



Republic of Vanuatu

FINAL

**Risk Informed Planning, Budgeting and Monitoring Guidelines
for Sub-National Government**

INSTRUCTION NO: 001/2016/DLA/MoIA

Dated- June, 2016

**Department of Local Authorities
Ministry of Internal Affairs, Vanuatu**

FOREWORD

It is with great pleasure I present the “Risk Proofed Planning, Budgeting and Monitoring Guidelines” for the local government of Vanuatu. These guidelines will be a game changer the way sub-national government functions. It integrates the “Community Driven Development” approach in the local level planning process. CCDRR and GSI elements have also been integrated throughout the guidelines.

The guidelines start with an institutional framework, which provides clear picture of different stakeholders involved in the planning process with clear definition of their roles and responsibilities.

The planning process has ten steps starting from community consultation, Area Council Level prioritization, screening and prioritization at Provincial level before the Provincial Five-Year Development Strategy and Annual Development Plans are prepared. Once the plans are approved, the province undertakes the procurement and starts the implementation, which are monitored and reported in regular interval.

I believe that these guidelines will be a living document, which will provide necessary tools to the members of Area Councils and Provincial Councils to plan and implement investments supported using Government and Non-Government resources.

Honorable Alfred Maoh (MP)

Minister, Ministry of Internal Affairs

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ACCRONYMS AND ABBREVIATIONS

AC	Area Council
AP	Authorisation of payment
BOQ	Bill of Quantities
CCA	Climate Change Adaptation
CDCCCs	Community Disaster Management and Climate Change Committees
CFMF	Contract Financial Management File
DRR	Disaster risk reduction
DRM	Disaster Risk Management
EM	Environmental Management
GSI	Gender and Social Inclusion
HH	Household
NDMO	National Disaster Management Office
NSDP	National Sustainable Development Plan
M & E	Monitoring and Evaluation
MoF	Ministry of Finance
NGOs	Non-Governmental Organisations
POC	Project Oversight Committee
PV	Payment Voucher
SG	Secretary General
TAC	Technical Advisory Commission (Provincial Government)
TAG	Technical Advisory Group (Area Council Government)

1. INTRODUCTION AND BACKGROUND

These “Risk Proofed Planning, Budgeting and Monitoring guidelines” provide Provinces with the sub national Planning Process for accessing budget allocations from the National Government and other sources as well as eligible for mobilising their own resources at local level.

Throughout these guidelines, climate, environment and disaster risk, and gender and social inclusion (GSI) issues are integrated.

The Guidelines are structured in the following way:

- (i) The first section defines the institutional framework for the Sub-national¹ Investment Planning Process.
- (ii) The second section provides an overview of the Sub-national Planning Process.
- (iii) The third section provides a detailed description of the steps which make up the Five Year Sub-national Strategic and Annual Planning Process.

These guidelines need to be read in conjunction with other relevant documents, such as the Decentralization Act and Vanuatu Central Tender Board Procurement Guideline for Government of Vanuatu.

¹ Sub-national refers to the Government structure at community, Area Council and Province level.

2. INSTITUTIONAL FRAMEWORK

The following table presents a summary of the Institutional Framework for the Sub-national Investment Planning Process.

Table 1: Institutional Framework for Sub-national Investment Planning Process

Stakeholders and levels	Composition	Role & responsibility
Villagers ²	Village units Female focus group (Including vulnerable people) Male focus group (including vulnerable people) Tribal groups Youth group	Identification of village development priorities. Participation in preparation of community profiling (including the identification of hazards, vulnerabilities and risks) with support from Technical Advisory Group (AC-TAG). Participation in the preparation of risk and resource maps through transect walks with (AC-TAG).
Village Council	Chairman, Village Development Committee Representatives of other existing committees. Village Chief/s Village Office bearers (with male and female representation) Community Disaster Management and Climate Change Committees (CDCCCs)	Participation in the Village Five Year Planning Meeting Facilitation of Village-level prioritisation Submission of Village priorities to Area Council level Provide input to the Annual Plans (cross check the relevance of selected priorities)
Area Secretary		Facilitation of Village-level prioritisation with the support from AC members Facilitate screening of Village-level priorities with support from AC members Facilitate organisation of Area Council 5 year Planning Workshop Facilitate organisation of Area Council Annual Planning Workshop

² If Village is not the lowest layer of administration, then other layers (Ex. Nakamal, Ward, Island, etc) will be considered as the lowest layer of administration.

		<p>Work with TAC to support villagers in preparing community profiles, village resource maps and integrating hazards, vulnerabilities and risks.</p> <p>Nominate AC-TAG members</p> <p>Submission of Area Council priorities to Technical Advisory Commission</p> <p>Support implementation of projects</p>
Area Council-Technical Advisory Group	<p>Teachers</p> <p>Health Workers</p> <p>Qualified Volunteers</p> <p>NGO representatives working in that AC</p>	<p>Preparation of five year Area Council Strategic Development Plan</p> <p>Identification and confirmation of Area Council priorities for the current year</p>
Area Council	<p>Chairman, Area Council</p> <p>Secretary, Area Council</p> <p>Women representative</p> <p>Youth representative</p> <p>Church representative</p> <p>Business representative</p> <p>Representative of people with disabilities</p>	<p>Endorsement of AC-TAG members</p> <p>Endorse the Area Council Development Plan</p>
Provincial Line Departments	<p>Education</p> <p>Health</p> <p>Agriculture</p> <p>Public Works</p> <p>NDMO etc.</p>	<p>Identification and prioritisation of sector priorities for Province-level investments</p> <p>Review of sectoral strategies and alignment with community priorities and the National Sustainable Development Plan (NSDP).</p> <p>Submission of sector priorities to TAC</p>
Technical Advisory Commission (TAC)	<p>Secretary General of the Province</p> <p>Provincial planner</p> <p>Sector technicians from other Provincial Departments</p> <p>NGOs based at the Province level</p> <p>Provincial CCDRM Officers or NDMO Representative</p>	<p>Support villagers in preparing community profiles, village risk and resource maps.</p> <p>Facilitation of Area Council Five Year Development Plan and Annual Planning Workshops</p> <p>Registration of Area Council and sector priorities</p> <p>Verification, appraisal, feasibility study (if required) and preliminary design/costing, Bill Of Quantities (BOQs) of sub-projects</p> <p>Screening of projects for climate, environmental and disaster risks and social inclusion issues.</p> <p>Preparation of five year provincial strategic document</p> <p>Preparation of annual development plan of the Province.</p>

		Presentation of five year provincial strategic plan and annual development plan and submission to Provincial Council.
Provincial Government	Secretary General Accountant Area Council Development Officer Provincial Planner	Review of the documents submitted by TAC and other parties. Support TAC and others in undertaking their roles and responsibilities
Provincial Government Council	Chairman Elected members of the Provincial Government Council Appointed members of the Provincial Government Council (Chiefs, women, youth and church representatives)	Endorsement of the Provincial Five Year Development Strategy and the Annual Development Plan Oversight of plan implementation

3. OVERVIEW OF SUB-NATIONAL PLANNING AND BUDGETING PROCESS

There are two main components of the Sub-national Investment Planning process:

- (i) Firstly, a **Local Government Region Five Year Strategic Development Planning Process**, which is undertaken by the Province every five years, and which is intended to profile local communities and identify local and community investment priorities over a five year period. During the course of the five year investment planning process, all villages in each Area Council will be consulted about their main needs and priorities ensuring the full inclusion of vulnerable groups.
- (ii) Secondly, a **Local Government Region Annual Development Planning and Budgeting Process** will be undertaken by the Provincial Government Council every year. This annual planning and budgeting process is intended to select investment priorities identified during the five year planning process, confirm with the Area Councils that they are still priorities, and then insert them into an Annual Development Plan and Budget to be implemented in the following year. In identifying sub-projects for the annual development plan and budget, the Provincial Government Council must take into account the hard budget ceiling represented by Provincial allocation.

It is very important to note that all villages in an Area Council should provide input into the Five Year Strategic Development Planning Process. The Five Year Strategic Development Planning Process is the main opportunity for all villages in the Area Council to identify their priorities, which will be discussed at the Area Council planning workshop.

However, during the Annual Development Planning Process, villages will not be expected to meet to identify new priorities. Instead, the Provincial Technical Advisory Commission will organise annual Area Council planning workshops during which the Area Council will confirm the priorities identified during the Five Year Strategic Development Planning process.

It is important that these priorities are confirmed every year because it is possible that they may have changed over time along with changes to climate, environment and disaster risk.

It is also important to note that in the first year that the Province undertakes a Five Year Strategic Development Planning Process, it also undertakes an Annual Development Planning and Budgeting process. In the following four years, however, the Province only undertakes an Annual Development Planning and Budgeting Process. This is shown in the following table.

Table 2: Sub-national investment planning and budgeting processes over five years

Year	Planning and budgeting process	TAC	AC	Village
YR 1	Five Year Strategic Development Planning Process (Yrs 1 – 5) YR 1 annual development planning and budgeting process	✓	✓	✓
YR 2	YR 2 annual development planning and budgeting process	✓	✓	
YR 3	YR 3 annual development planning and budgeting process	✓	✓	
YR 4	YR 4 annual development planning and budgeting process	✓	✓	
YR 5	YR 5 annual development planning and budgeting process	✓	✓	

4. LOCAL GOVERNMENT REGION FIVE YEAR STRATEGIC DEVELOPMENT PLANNING PROCESS

The Province will carry out a Five Year Strategic Development Planning Process, the aim of which is to identify project priorities for the coming five years. The end product of this process will be a Provincial Five Year Development Strategy.

There are ten steps in the Five Year Strategic Development Planning Process, as summarised in the table below and described in detail in the following sections. The first six steps are linked with identifying investment priorities and then preparation of the five year Strategic Development Plan and the Annual Development Plan. The last four steps involve submission of the draft plans to the Chairman of the Provincial Government Council for endorsement and then project procurement, implementation, monitoring and evaluation.

This is an indicative calendar only – and the earlier that planning activities can be carried out, the better.

It is instructed that all the planning documents (meeting minutes at the community level, resource and risk maps, community profile and priority lists at the community and Area Council level) need to be stored for future reference and use.

Table 3: Steps in the Local Government Region Five Year Strategic Development Planning Process

Step	Actors	Timeline	Purpose and checklist of actions need to be taken during each step
1a. Preparation of Community Profile, Resource Maps (after undertaking the transect walk) and Village level identification and prioritisation of projects (Village 5 Year Planning Meeting) ³	<p>Villagers (women and men)</p> <p>Village Officers & Chiefs</p> <p>Area Council member/TAG member</p> <p>TAC e.g. provincial CCDRM Officers</p>	August	<p>To establish 2 community-level priorities in each community for the next five years taking into account the need for risk resilient development.</p> <p>Checklist:</p> <p>Letter from SG to sectoral departments, Area Councils and Villages (template 6.1)</p> <p>Undertake transect walk</p> <p>Prepare the village risk and resource maps</p> <p>Prepare community profile (template 6.2)</p> <p>Organise separate male and female focus groups</p> <p>Organise meeting of Village Council</p> <p>Prepare village development priorities summary (template 6.2) accompanied with project descriptions, attendance list of all village level meetings and meeting minutes.</p>

³ Refer to template 5.3 for details.

1b. Sector identification and prioritisation of sub-projects for the Five Year Strategic Development Plan	Sector Provincial Departments (Provincially Based Government Departments)	August	<p>To establish 2 sector level priorities for the next five years taking into account the need for risk resilient development.</p> <p>Checklist:</p> <p>Organise meetings within sectoral departments chaired by the Head of department.</p> <p>Prepare the sector Development Priorities summary (template 6.1) attached with sectoral project descriptions, attendance list and meeting minutes.</p>
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<p>2. Area Council screening (including risk screening) and prioritisation of sub-projects (Area Council Five Year Development Plan)</p>	<p>Area Council Secretary & other representative, Village Chiefs Women Village representative AC TAG</p>	<p>September</p>	<p>To prioritise Village level submissions for Five Year Provincial Development Strategic Plan</p> <p>To submit 3 sub-projects for inclusion in Provincial Five Year Strategic Development Plan.</p> <p>Checklist:</p> <p>AC Secretary registers the priorities from the Villages in the template no 7.1.</p> <p>Organise meetings of AC members</p> <p>Organise AC Five Year Development Strategy Planning workshop.</p> <p>Screen the investments from risk angle using template no. 7.2</p> <p>Prepare the AC development priorities summary (template no 7.3) accompanied by project descriptions, attendance list, meeting minutes.</p> <p>Two copies of each document will be prepared- one will be sent to TAC and one will be kept with AC.</p>
<p>3. TAC registration and screening (including risk screening)</p>	<p>TAC</p>	<p>September</p>	<p>To register all Area Council and sectoral submissions and carry out screening</p> <p>Checklist:</p> <p>Register and screen the project submissions from AC and Sectors in the TAC project registration and screening format (template 8.1)</p>

			<p>Prepare detailed project document with the information provided by the ACs and sectors, which will include designs and Bill of Quantities.</p> <p>Review and update risk screening questionnaire initially completed by the AC for individual projects or complete if not already done</p>
4. Preparation of Five Year Strategic Development Plan for the Province including the TAC report on Sub-national Five Year Priority List and submission to the Provincial Government Council	TAC Provincial Government Council	September	<p>To undertake initial analysis and comparison of submissions for Provincial Five Year Strategic Development Priority List</p> <p>To discuss with the Provincial TAC screening and recommendations</p> <p>To finalise prioritisation of sub-projects for inclusion in Province Five Year Investment Priority List</p> <p>Checklist:</p> <p>TAC prepares report for Provincial Government Council (template 9.1)</p> <p>Prepare the Provincial Five Year Strategic Development list (template 9.2)</p> <p>Prepare the Provincial Socio-economic Development Strategy</p>
5. Announcement of approximate annual investment allocations to the Province.	MoF Line Ministries	October	<p>To provide hard budget ceilings within which to meaningfully prioritise investments.</p> <p>Checklist:</p> <p>Collect information regarding budget from Government, line Ministries and estimated own resources.</p>

			Write letters to sectoral Departments, ACs and Villages informing the budget (template 10.1)
6. Preparation of Annual (year 1) Development Plan with projects by the Provincial TAC and secure additional funding, other than the Government allocations made above.	TAC Secretary General	October	<p>To list out the development priorities for one year with drawings, costing and BOQs.</p> <p>To secure additional funding from NGOs and other donors to support those projects which are not funded out of the Government funding.</p> <p>Checklist:</p> <p>Collect information regarding budget from interested donors/NGOs on possible support to the prioritised projects.</p>
7. Submission of Draft Province Five Year Development Strategy and Annual Development Plan to Chairman of Provincial Government Council for endorsement for the first year. From the second year only the provincial Annual Development Plan will be submitted for endorsement.	Provincial Secretary General	November (when the Provincial Council meets from November 1-10)	<p>To approve Provincial Five Year Investment Priority List</p> <p>Submission of the Five Year Development Strategy, Annual Development Plan with estimated budget to the Provincial Council.</p> <p>Provincial Council reviews these documents and submits to the Chairman, Provincial Council for endorsement.</p>
8. Undertake procurement	Line Departments	December	<p>To start the procurement process and bid for those projects where services of external bidders are required</p> <p>Checklist:</p> <p>Prepare the procurement plan</p>

			<p>Prepare designs, specifications and tender documents</p> <p> Invitation to bid</p> <p>Issue tender documents and pre bid meetings</p> <p>Bid opening and evaluation</p> <p> Award of contract</p> <p>Negotiation and execution of contract</p> <p>Contracting and managing contracts.</p> <p>Contract supervision and oversight</p>
9. Implementation of projects	<p>Area Councils</p> <p>TAC</p> <p>Service provider</p>	January onwards	<p>To implement projects and to ensure that the technical qualities are maintained and the work is finished as per the due date. The payment also will be released to the companies as per the terms of the contract.</p> <p>Checklist:</p> <p>Bidder prepares the project implementation work plan.</p> <p>Nomination of technical officer by TAC to supervise project.</p> <p>Formation of Community oversight Committee</p> <p>Prepare authorization of payment.</p> <p>Verification of the payment request by accountant.</p> <p>Submission of request by the contractor for payment</p> <p> Registration of payments.</p>

10. Monitoring and Evaluation of Five Year Strategic Development Plan, Annual Development Plan and Projects	Provincial Government Council TAC	Apr-September	<p>To undertake M&E at three levels; Five Year Strategic Development Plan, Annual Development Plan and at the project level.</p> <p>Checklist:</p> <p>Preparation of M&E framework at the end of Five Year Strategic Development Plan.</p> <p>Integration of M&E indicators, timelines at the end of Annual Development Plan (template 15.1)</p> <p>Preparation of Quarterly Plans (template 15.2)</p> <p>Prepare field visit report after end of each field visit (template 15.5)</p> <p>Preparation of Annual Progress Report (template 15.3 and 15.4)</p>
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5. FIVE YEAR PLANNING STEP 1 A- PREPARATION OF COMMUNITY PROFILES AND VILLAGE LEVEL IDENTIFICATION AND PRIORITIES (VILLAGE LEVEL FIVE YEARS PLANNING MEETING)

Step 1a: Prepare community profile and identify priority projects			
Purpose	Stakeholders	Output	Timeline
Identify two priority community projects Link to community development plan	Villagers Village officers & chief TAC & TAG member	Community profiles Risk map Resource map Village/Community Action Plan	August
Tools	Template 5.1: Announcement Letter Template 5.2: Community Profile Template 5.3: Village/Community Action Plan ⁴ Template 5.4: Village Development Priorities Summary Template 5.5: Project Description		

Release of Announcement Letter: Template 5.1

In a letter written to the Area Council Secretary, the Secretary General of the Province will request the Village Chiefs in their jurisdictions to start the process of Five Year Strategic Development Plans. **Planning template 5.1** gives the format of the letter which needs to be used to inform the sectoral departments, Area Councils and Villages, which is provided at the end of this section.

In the letter, the Secretary General will also provide the last date that communication can occur; in general, the deadline for Village submissions to the Area Councils will be the end of August.

Preparation of Community Profile: Template 5.2

Upon receiving this information from the Secretary General, Area Council Secretary will inform the Village Chiefs in their jurisdictions of the need to prepare a community profile, risk and resource map and conduct Village level assessments of development priorities for the next five years in collaboration with TAC and AC-TAG.

The community profile will be prepared in a participatory way, and will document the existing situation of a community. It will start with a transect walk through the community and the preparation of risk and resource maps. The purposes of preparing the community profile and the information it needs to carry are identified in template 5.2

⁴ As required by the Decentralization Act (Amendment), No 16, 2013, section 4 AA

A community profile template has been provided in the **template 5.2** at the end of this section. The community profiles will be prepared by the Village Chiefs with participation of the men, women and other groups together with support from the Area Council Secretary and Area Council Technical Advisory Group. If required, this process can be facilitated by the Provincial TAC members, Provincial Planners, Provincial CCDRM Officers, NGO representatives and Secretary of the Area Council. If Community Profiles have already been prepared (even if as part of another process e.g. NGO) then it needs to be incorporated into the template provided in the template 5.2 shared at the end of this chapter of the document and needs to be ratified by the Village Chief and Secretary of the Area Council. This should avoid replication of community planning processes. The community profiles need to be prepared in the beginning of the five year strategic development plan process.

Community profiling, mapping and the transect walk provide a key opportunity to engage development partners earlier on this this process, which will later help secure additional funds and support for priority projects.

Assessment of Development Priorities

Once the Community Profiles are prepared, the Village level assessments of development priorities for the five years strategic development plan will be carried out as follows.

A Village Five Year Planning Meeting will be organised by the Village Council, with assistance from one or more members of the Area Council, TAC and TAG members if required. The Village Five Year Planning Meeting will be open to all residents of the Village and will be conducted as follows:

1. *Confirm meeting objectives.* The Village Chief and Area Council member(s) and the Provincial TAC member, if required will describe the objective and agenda of the meeting to participants.
2. *Focus group discussions.* The participants will divide at least into three focus groups – one female, one male and one youth. These groups should include individuals from other vulnerable sections of the population such as people living with disabilities and the elderly. The groups will discuss the development issues raised in the community profiles, their needs and priorities and how these could change as a result of climate and environmental change and disaster hazards including impacts for the most vulnerable groups in the village. If required, AC TAG and/or TAC members can provide more information on these risks and possible ways to deal with risks, to facilitate the discussion.
3. *Discussion and ranking of priorities.* Following the focus group meetings, a full plenary meeting will take place during which:
 - (a) each focus group presents the development priorities for the next five years that it has identified. This is done by asking separate groups to rank priority issues.
 - (b) a general discussion of these priorities takes place. At this stage it will also be discussed, whether the priorities identified have factored in climate, environment, disaster and social protection risks and help build community resilience.
 - (c) The output of this discussion will be a Village/Community Action Plan, which identifies a range of issues, priorities and solutions. This can be fed into the Five Year Planning Process but also used to get support from other stakeholders (e.g. NGOs). A template no 5.3 has been provided at the end of this step to develop such a Community/Village Plan.
 - (d) Group rankings for all development priorities will be combined into one village ranking to allow The participants to agree on **two** Village development priorities to be submitted to the Area Council.

It is important to note that the Village level development priorities can be either:

- (i) very specific to the community (e.g. a small scale water supply system for one village);
- (ii) The children of more than one village or even more than one Area Council).

At the end of the Village Five Year Planning Meeting, the Village Chief, assisted by other members of the Village Office, will prepare a submission to the Area Council (see **planning template 5.4** – Village Development Priorities Summary mentioned at the end of this section). This submission will include:

- (i) A short project description of the **two** Village priorities identified during the Five Year Planning Meeting and who it was proposed by (women, men, youth focus group). The submission will indicate the order of priority for the two sub-projects.
- (ii) A summary of topics discussed during the Five Year Planning Meeting as well as details of the Village-level planning process.

The submission will be made in two copies, one of which will be sent to the Area Council, and one of which will be kept in Village Office files.

Step 1a begins in August and finishes in August.

Template 5. 1: Announcement letter: Five Year Strategic Development Planning Process

Memorandum

From: _____ Chairman, Provincial Council

To: Chairman of Technical Advisory Commission, Provincial Sector Department Heads (Education, Health, Transport, Agriculture and others) and Area Council Secretary

Subject: **Five Year Provincial Strategic Development Planning Process**

Date: _____/200_

I request that Province Sector Departments and Area Council Secretaries initiate a Five Year Development Strategic Planning Process as soon as possible, with a view towards identifying priority investments for the next five years. This process will be facilitated by the Technical Advisory Commission.

The following is requested:

- (i) Province Sector Departments prepare their submissions of two priority projects for Province-level investments over the next Five years, to be sent to the Technical Advisory Commission before _____/200_.
- (ii) Area Council Secretaries ensure that:
 - a. Village Five Year Planning Meetings are organised and facilitated in the Villages within their jurisdiction. At the end of these Village Five Year Planning Meetings, before _____/2000_, each Village is expected to submit two priority projects (for the next five years) to its Area Council for consideration.
 - b. Area Council Five Year Planning Workshops are organised and facilitated in order to discuss Village submissions and to identify two Area Council priority projects (for the next five years) for submission to the Technical Advisory Commission.

Please note that all projects included in the Province Five Year Strategic Development Priority List will need to demonstrate that either: i) they have been designed to explicitly tackle climate, environment, disaster and social protection risk and build resilience and sustainability; or ii) their design (including project location) has taken into account these risks (e.g. budget has been allocated for the proposed projects more resilient to risks).

I look forward to your co-operation in these matters.

Yours sincerely, _____ Chairman, Provincial Government Council

Template 5.2 - Community Profile

The transect walk, risk and resource maps can be undertaken before completing the community profile because they will give information that will be useful for filling in the sections below. See Annex B for guidance on how to use these tools.

Data collection date:		
Team members	Organisation	Contact details

Key informants consulted in creating the community profile (e.g. teachers, chiefs, women's group chairperson)		
Name	Role in community	Contact details

Section 1: Population profile

Q 1: Where is the village located?	
Province:	Island:
Area Council:	Village / Community:
GPS points: <i>[if available]</i>	

Q 2: List village committees/organisations (e.g. Church groups, disaster committee, water committee)			
Organisation/committee	Number of members	Name of Chairperson	Phone number

Q 3: Population information

Information type**Details**

Total population

Number of households

Average household size

No. of males

No. of females

No. of children (*under18*)

No. of people with disability/ types of disabilities (e.g. hearing impairment, physical or intellectual disability)

Section 2: Economic and Asset Profile

Q 4: How many of the members within the community are formally employed/earning a wage?			
	Male	Female	Total
Main types of formal employment			
Q 5: What are the main sources of livelihood/income in the community? (tick)			
Waged employment		Subsistence farming	
Subsistence fishing		Craft/wood carving	
Kava		Copra	
Local market		Store	
Tourism		Other (list)	
Q 6: Which Government departments, non-government organisations (NGO) and/or community based organisations (CBO) are currently working in the area or have worked in the area in the past 3 years?			
Department /NGO / CBO		Activities/Project/Program	
Q 7: List skills present in the village/community (e.g. teachers, weavers, builders, masons, etc.)			
Skills		Yes/No	
Teaching			
Weaving			
Masonry			
Carpentry			
List down other skills below			
Q 8: List resources and assets that community members deem as important (e.g. roads, nakamal, community hall)*			
Important resource/asset		Description of geographical location (e.g. coastline, mountain, next to a stream)	

*You can use the resource map and resource map discussion with key informants to complete this section

Section 3: Infrastructure Profile

Q 9: What are the means of access to village/community?			
Type of transport	Access	No access	Comments (e.g. Distance to access it from middle of community, conditions, time, cost)
Truck			
Four Wheel Drive			
Canoe			
Boat (motorised)			
Ship			
Walking (Bush Track)			
Q 10: What are the types of power source available to the village /community? (please tick)			
Unelco/VUI	Generator	Solar	Battery
Candle	Oil (kerosene)	Other (Please name)	
Q 11: What are the types of fuel used for cooking in the village/community? (please tick)			
Gas	Firewood	Charcoal	Other (please name)
Q 12: What are the water sources?			
Sources	Number	Safe for drinking? Yes/No	Comments (eg. water quality/size of tank/use)
Spring/stream			
Lake			
Hand pump well			
Underground well			
Open well			
Gravity water supply (piped)			
Pump water supply			
Rainwater tank			
Bottled water			
Other			
Q 13: What is the distance to main clean water source from the centre of the village?			
In kilometres			
In minutes by foot			
Q 14: Is there usually enough drinking water supply for the village /community?			
Yes	No	Comments	
Q 15: Are there times when this water sources run out?			
Yes	No	Comments (eg. how often, alternative sources of water used)	

Q 16: What type of toilet do people in the community use? (please tick and provide number if available)							
Bush	Bush toilet	VIP (ventilated improved) toilet	Water sealed	Flush toilet with septic tank			
Flush toilet without septic tank	Beach	Stream	Other				
Q 17: How many toilets are private/publicly owned	Private:		Public:				
Q. 18: What does the community use to wash hands? (please tick)							
Soap & Water	Water only	Plant Leaves	Coconut husk	Sea Water	Sand and Ash	Nothing	Other
Q 19: What food supplies are available? Please tick							
Type of food	Enough	Not enough	Not Available	Source (e.g. home garden, local market, store)			
Root crop							
Fruit & nuts							
Meat							
Fish							
Imported food							
Other							

Q 20: What are the types of buildings in the village/community?			
Property type	Number of properties		General Condition
Sleeping houses (traditional)			
Sleeping houses (Semi and non-traditional)	Permanent	Semi-permanent	
Kitchen houses			
Classrooms			
Clinic/health Post			
Churches (include religion)			
Government buildings			
Other			
Q 21: What construction material is used for the buildings?			
House	Wall	Roof	
Sleeping houses (traditional)			
Sleeping houses (non-traditional)			

Kitchen houses		
Classrooms		
Clinic / health post		
Church		
Government buildings		
Community hall		
Other (eg. evacuation centre)		
Notes:	Examples of wall materials: 1. Permanent: Timber, concrete 2. Semi-permanent: mix of timber, concrete, bamboo 3. Temporary/bush material (bamboo)	Examples of roof materials: 1. Permanent: Corrugated iron 2. Semi-permanent: mix of corrugated iron and bamboo 3. Temporary/bush material (bamboo)
Q 22: What types of communication are working? (please tick)		
Mobile TVL	Mobile Digicel	HF Radio
E Gov	AM/FM Radio	Television
Q 23: What is the overall quality of communications mentioned in Q 22 in the village? (please tick)		
Good	Average	Bad
Q 24: What is the best form of communication?		

Section 4: Social Services Profile

Q 25: What functioning health facilities are available in the village/community? (list type e.g. hospital, health centre, dispensary, aid post, temporary clinic)	Number
Q 26: What functioning health facilities are available <u>outside</u> the village/community? (list type e.g. hospital, health centre, dispensary, aid post, temporary clinic)	Distance to travel from centre of village
Q 27: What health professionals are available <u>in</u> the village/community? (list type e.g. doctor, nurse, midwife, village health worker, traditional midwife,)	Number
Q 28: What health professionals are available <u>outside</u> the village/community? (list type e.g. doctor, nurse, midwife, village health worker, traditional midwife,)	Distance to travel from centre of village

Q 29: Availability of medical supplies in the Village / Community?		Adequate	Not Adequate	Not Available	
Basic essential drugs / supplies					
Measles vaccines					
Other vaccines					
Vitamin A capsules					
Other					
Q 30: Leading causes of death and/or sickness in village/community?			Group affected the most (i.e. women, babies, elderly, men etc.)		
1.					
2.					
3.					
Q 31: What is current access to schools for education purposes <u>in</u> the community (please tick)					
Name of School		Secondary	Primary	Kindergarten	
Q 32: What is current access to schools for education purposes <u>outside</u> the community (please tick)					
Name of School		Secondary	Primary	Kindergarten	
Q 33: Is the school being used for other purposes? (please tick)					
Name	Evacuation Centre		Storage Centre		Other (please specify use)
	Yes	No	Yes	No	

Q 34: Are the following activities happening in village/community? (please tick)			
Conflict over land	Conflict over natural resources	Stealing	Violence against men
Violence against women	Sexual violence or abuse	Violence against children	Other (please list)
Q 36: List any discrimination* against the village/community or groups in the village/community			

*Discrimination means treating a person or a group of people differently (especially in a harmful way). For example this could be because of their sex, sexuality, kustom, beliefs, disability or religion.

Section 5: Risk Profile

This section includes disaster, climate change, environment and social protection risks. You can use the risk map to help fill in this section.

Q 37: Does the location of the community have any of the following features? (please tick and provide details)

	Yes	No	Details (e.g. distance from centre of village)
Stream/floodplain			
Low lying coastal area			
Steep slopes/mountain			
Cliff			
Volcano			
Drainage ditches			
Bush/long grass (susceptible to wildfire)			
Rubbish dump			
Main road			
Other (e.g. industrial area)			

Q 38: Given the location of the village, what types of hazards have impacted or are likely to impact the community? (please tick and provide details)

Disaster hazards	Yes	No	Details of previous events (e.g. year, number of people affected)	Who are what are most affected (e.g. children, schools)
Cyclone/strong winds				
Volcanic eruption				
Mudslide, landslide, rock fall				
Low rainfall/drought				
Earthquake				
Tsunami				
Insect infestation				
Epidemic (eg. Dengue)				
Flood				
Storm surge				
Fire				
Environmental hazards (e.g. water pollution, erosion, deforestation)				
Other (please list)				

Q 39: What gradual changes is the community experiencing? (please list details - including who and what are most affected)

Type of change	Positive change	Negative change
Social (e.g. health issues)		
Political (e.g. change in elected representative, conflict over resources)		
Climate (e.g. changes in rainfall, temperature, sea level rise, soil salinity)		

Economic (e.g. employment opportunities)

Environmental (e.g. water pollution, soil erosion, mining, deforestation, removal of mangroves)

Other

Q 40: Does the community have evacuation centres or relocation sites?		Yes:	No:
Evacuation Centre/s	Estimated number of people	Toilets with adequate privacy for women and children?	
		Yes	No
Relatives house			
Church			
Class room			
Nakamal			
Community hall			
Sporting facility			
Another village/community			
Another Island			
Other			
Q 41: What is the village/community disaster management capacity?			
Disaster Risk Management activities	Yes	No	Details
Does the community have disaster awareness training?			
Does the community have a disaster committee?			
Does the community have an Action Plan for reducing risks and preparing for disasters?			
Does the community have a Response Plan in the event of an emergency?			
Have emergency drills been undertaken?			
Have emergency shelters been built?			
Does the community receive national early warnings?			
Does the community have a local early warning system (e.g. ring a church bell if there is a warning?)			
Other?			

Section 6: Additional Comments

Template 5.3- Community/Village Action Plan

Community/Villages produce action lists of priority projects as a result of their discussions (beyond just the 2 priority village projects). This **is mandatory** and the following template should be used when developing this list. In some cases the creation of this list will be supported by representatives of the TAG or TAC; NGOs and Church Groups or other Government departments.

Community/Village Action Plan

Priority number	Project name	Details	Problems that the project addresses	Project cost (estimate)	Community contribution (funding or in kind)	Timeframe (months/years)
1.	<i>Example: Gravity fed water project</i>	<i>Gravity fed system to be built to improve water supply</i>	<i>Water availability low during dry season. Children get sick.</i>	<i>300,000 Vatu</i>	<i>Labour, management, repairs, some materials (75,000)</i>	<i>18 months</i>
2.						
3.						

*This template can be used to include the 2 priority projects submitted to Area Councils. It can also be used to highlight projects that the community can raise funds for, work with NGOs and Church Groups on or apply for funding elsewhere (such as through their elected representative, small grants available at High Commissions etc.).

Template 5.4- Village Development Priorities Summary

NAME OF THE VILLAGE					
Project prioritisation process					
1) Village Priority ranking	Project title (same as in Project Description)			Approximate cost of investment	
Priority No. 1					
Priority No. 2					
2) Method used for prioritising in village meeting (indicate)	Pair-wise ranking				
	Anonymous vote				
	Consensus				
	Other (specify)				
3) Total people deciding on final priorities:	Male	Female	Youth	Total	

4) Date of Village planning meeting:	
5) Total Area Council or TAC members participated in the meeting?	
6) Declaration	Signed by Village Chief:

Attachments:

- Project Descriptions
- Attendance list
- Meeting minutes

PROJECT DESCRIPTION (for each project)

1. NAME OF THE VILLAGE AND AREA COUNCIL		
2. PROJECT TITLE		
3. LOCATION OF PROJECT		
4. PROJECT DESCRIPTION		
(a) Problem addressed by project <i>[Please describe the issue and how the project will address this]</i>	Problem:	
(b) Type of project (tick ONE sector)*	Health	
	Education	
	Transport (roads etc.)	
	Agriculture	
	Water & sanitation	
	Other (specify)	
(c) Description of project <i>[Please outline what activities the project will involve]</i>		

<p>(d) Risks TO the project from climate and environmental change and disaster hazards.</p> <p><i>[For example, what damage might a cyclone, change in rainfall or soil erosion have on a project]</i></p>		
<p>(e) Risks FROM the project for the environment, climate, disaster vulnerability and vulnerable groups</p> <p><i>[For example, could your project involve cutting down mangroves or forest, create lots of waste or not consider vulnerable groups]</i></p>		
<p>(f) Will your project have benefits to help make the village more able to deal with the impacts of disasters, climate and environmental change and involve vulnerable groups?</p>		
<p>(g) Priority level of project as determined by the community</p>		
(h) Number of beneficiaries	# beneficiary H/Hs	
	# women beneficiaries	
	<p># other vulnerable groups</p> <p><i>[Please specific e.g. elderly, individuals living with disabilities]</i></p>	
(i) Other information (location, specifications, etc.)		
6. DECLARATION	<p>Signed:</p> <p>Village Chief(s):</p>	

6. FIVE YEAR PLANNING STEP 1B- SECTOR IDENTIFICATION AND PRIORITIZATION OF SUB-PROJECTS FOR THE NEXT FIVE YEARS

Each of the Provincial sector departments (Education, Health, Agriculture, Transport and others) will be invited to submit two investment priorities for the next five years to the Provincial Technical Advisory Commission for consideration. These priorities will only concern Provincial-level investments – they will not be Area Council level investments but will be based on the priorities identified through community profiling and planning process. With the ultimate aim of needs based bottom up development planning, sector selection should be informed by step 1A.

Box 1: Defining investment types

Area Council level investments –a small-scale investment, generally only impacting one or a few Area Councils and their inhabitants and usually operated and maintained by the Area Council.

Province level investments –a larger investment, which usually benefits more than two Area Councils and their inhabitants, and which usually requires that the Province ensures operations and maintenance.

The Head of each department will organise a meeting with sector staff to discuss priorities for the next five years and to identify two Provincial-level investment priorities drawing upon the community profiles and area council priorities. The priorities should be considered in the context of increasing climate, environment and disaster risks and the need for risk management. Once the priorities have been identified, the Head of the sector department will make a submission directly to the Chairman of the Provincial Technical Advisory Commission (**see *planning template 6.1 – Sector Development Priorities Summary at the end of this section***). This submission will include:

- (i) A short project description for each of the two sector investment priorities for the next five years that have been identified by the department.
- (ii) A summary of the topics discussed by department staff in the process of identifying sector priorities and how these link with community and Area Council priorities and risk management.

Step 1b begins in August and ends in August.

Template 6.1: Sector Development Priorities Summary

PART 1

NAME OF THE PROVINCE		
SECTOR		
1) Priority ranking	Project title (same as in Project Description)	Project Description attached (Y/N)

Priority No. 1		
Priority No. 2		
2) Date of meeting when sectors' development priorities were identified		
3) Number of participants in the meeting?		
4) Gender of participants in the meeting?		
Declaration	Signed: Head of Sectoral Department	

Attachments:

- Project Descriptions
- Attendance list
- Meeting minutes

SECTOR PROJECT DESCRIPTION

PART 2

1) NAME OF THE PROVINCE		
2) SECTOR		
3) PROJECT LEVEL	Province level investment	
	Area council level investment	
4. PROJECT TITLE		
5. PRELIMINARY PROPOSAL		
(a) Problem addressed by project: <i>[Please describe the issue and how the project will address this]</i>		
(b) Type of project (tick sector)*	Health	
	Education	
	Transport (roads etc.)	

	Agriculture	
	Water & sanitation	
	Other (specify)	
(c) Project goal <i>[What do you aim to achieve i.e. overall impact]</i>		
(d) Description of project <i>[Please outline the key activities of the project]</i>		
(e) Risks TO the project from climate and environmental change and disaster hazards ⁵ . <i>[For example, what damage might a cyclone, change in rainfall or soil erosion have on a project]</i>		
(f) Risks FROM the project for the environment, climate, disaster vulnerability and vulnerable groups <i>[For example, could your project involve cutting down mangroves or forest, create lots of waste or not consider vulnerable groups]</i>		
(g) Will your project help make the village more able to deal with the impacts of disasters, climate and environmental change and involve vulnerable groups?		
(h) Priority level of project as determined by the community		
(i) Number of beneficiaries	# beneficiary H/Hs	
	# women beneficiaries	
	# other vulnerable groups <i>[Please specific e.g. elderly, individuals living with disabilities]</i>	

⁵ refer here to AC risk screening questionnaire for ideas relating to disaster, climate, environmental and social risks

(j) Other information (location, specifications, etc.)	
6. DECLARATION	Signed: Head of Sectoral Department:

7. FIVE YEAR PLANNING STEP 2- AREA COUNCIL SCREENING AND PRIORITIZATION OF SUB-PROJECTS (AREA COUNCIL FIVE YEAR PLANNING WORKSHOP)

The Area Council Secretary (or another, designated member of the Area Council) will register in a special file (**see *Planning format 7.1 – Area Council Initial Project Screening at the end of this section***) all the submissions made by the Villages within the Area Council’s jurisdiction.

Once all the Villages have made their submissions, and these have been duly registered by the Area Councils, the Area Council Secretary will organise a meeting of the Area Council members. During this meeting, the Area Council will:

- (i) First, determine whether some submissions are similar. For example, two Villages might propose building an additional classroom for the same primary school. Where proposals are the same, they would be combined into a single proposal/submission.
- (ii) Second, classify all Village submissions into one of three categories:
 1. **Area Council level investments** – in other words, those projects submitted by Villages which are eligible for investment funding as an Area Council level investments.
 2. **Province level investments** – in other words, those projects submitted by Villages which are eligible for investment funding as Province level investments.
 3. **Ineligible** – in other words, those projects submitted by Villages which cannot be funded by the Province.
- (iii) Third, screen eligible investments from risk using the risk screening questionnaire mentioned in **Annex G and Annex H**. The purpose of risk screening is to identify the key climate, disaster, environment and social protection risks to and from your project. This will inform future identification of measures (with the TAC) to manage these risks to ensure your project is sustainable and resilient to these.

Following registration and initial screening of Village submissions, the Area Council will organise the Area Council Five Year Planning Workshop.

Area Council Five Year Planning Workshop

The Area Council Five Year Planning Workshop will involve the following stakeholders:

- (i) All the members of the Area Council.
- (ii) All the Village Chiefs in the Area Council.
- (iii) One or two women representatives from each Village in the Area Council. The women representatives will be selected by the women in their Village to represent them.

- (iv) Other vulnerable group representatives (e.g. youth, individuals with disabilities) from each Village in the Area Council.
- (v) One or more member of the Provincial Technical Advisory Commission.

It will be the responsibility of the Area Council Secretary to invite all participants to the Five Year Planning Workshop.

The Area Council Five Year Planning Workshop will be conducted in the following way:

- (i) The Area Council will report on all the Village priorities for the next five years that were submitted by the Villages and registered at the Area Council level.
- (ii) The Area Council will then report on the initial screening process by describing which Village submissions were classified as:
 - 1. Eligible for funding as Area Council level investments.
 - 2. Eligible for funding as Provincial level investments.
 - 3. Ineligible for funding (and which will therefore be eliminated from further discussions).
- (iii) The Area Council will report on the risk screening findings for all eligible investments.

An Area Council level investment is defined as an investment that is small-scale, generally only impacts on one or a few Area Councils and their inhabitants, and can usually be operated and maintained by Area Council. A Provincial level investment, on the other hand, is a larger investment, which usually benefits more than two Area Councils and their inhabitants, and which usually requires that the Province ensures operations and maintenance. Workshop participants (including the TAC members) will then decide whether the Area Council's initial screening was valid. Once this has been agreed, further discussions about priorities at the Five Year Planning Workshop would only concern those submissions classified as either category 1 or 2.

- (iv) Each Village Chief will then make a short presentation of the eligible priorities that were submitted by his/her Village. The presentation will include a short description of the sub-projects and a justification for their prioritisation, where possible noting how each priority is inclusive of vulnerable groups and/or reduces risks and builds resilience to climate and environmental change and disaster hazards.
- (v) A member of the TAC will then facilitate the process of identifying the two highest priority projects for the Area Council. Where there have been a large number of project submissions, the preferred selection process is to use a prioritisation tool such as pair-wise ranking (see Annex B for details). For a smaller number of project submissions, anonymous voting is the most transparent approach.

Among the three highest priorities identified, the Area Council should select the highest priority for consideration for inclusion in Year 1.

Once the Five Year Planning Workshop has identified the Area Council's three top priority projects for the next five years, the Area Council Secretary, assisted by other members of the Area Council, will prepare:

- (i) A short report on the proceedings of the Area Council Five Year Planning Workshop (see **Template 7.2** – Area Council Development Priorities Summary at the end of this step).
- (ii) A list of the three priority projects agreed upon during the Five Year Planning Workshop **in order of priority** (1, 2, and 3).

- (iii) A Project Description (see the Project Document format as part of the template 7.2) for each of the three priority projects that the Area Council has decided to submit to the Provincial Technical Advisory Commission for consideration.

Two copies of each document will be prepared by the Area Council – one to be sent to the TAC, the other to be kept in the Area Council's files. Step 2 should be completed before the end of September.

Template 7.1- Area Council Level Initial Project Screening

Area Council name:

Five Year Planning starting in

FY 201__/201__

No	NAME OF PROPOSAL RECEIVED	LEVEL OF FUNDING (tick one option)		RISK SCREENING OF ELIGIBLE PROPOSALS				FUNDING ELIGIBILITY	
		To be considered for Area Council level funding	To be considered for Province (including sectoral) level funding	Risk Screening has been carried out*	What are the top three risks TO your project ⁶ (e.g. cyclones, drought, soil erosion)	What are the top three risks FROM your project ⁷ e.g. clearing mangroves	What are the main benefits from your project (if any)	<u>NON</u> -eligible for funding	Give reason for why the proposal is non-eligible
1									
2									

*Tick if risk screening has been carried out using the Area Council risk screening questionnaire and submit the completed screening questionnaire

Screening prepared by Area Council Members, date _____
& signatures:

Initial screening verified and approved by Area Council
Secretary. Signature and date:

⁶ Refer to annex G for more information and better understanding

⁷ Refer to annex H for more information and better understanding

Template 7.2 - Area Council Development Priorities Summary

NAME OF THE AREA COUNCIL				
Number of Villages in the Area Council:				
Project prioritisation process				
1) Area Council Priority ranking	Project title (same as in Project Description)			Approximate cost of investment
Priority No. 1				
Priority No. 2				
2) Method used for prioritising in Area Council meeting (indicate)	Pair-wise ranking			
	Vote			
	Consensus			
	Other (specify)			
3) Total people deciding on final priorities:	Male	Female	Vulnerable group representative	Total
4) Date of Area Council planning meeting:				
5) Total TAC members participated in the meeting?				
6) Declaration	Signed by Area Council Secretary:			

Attachments:

- Project Descriptions
- Attendance list
- Meeting minutes

PROJECT DESCRIPTION (for each of the two prioritised projects)

1. NAME OF AREA COUNCIL	
2. PROJECT TITLE	
3a. LOCATION OF PROJECT <i>Please provide a brief description</i>	

3b. What are the major hazards associated with this location? <i>E.g. coastal flooding, landslides</i>			
4. PROJECT DESCRIPTION			
(a) Problem addressed by project	Problem:		
(b) Type of project (tick ONE sector)*	Health		
	Education		
	Transport (roads etc.)		
	Agriculture		
	Water & sanitation		
	Other (specify)		
(c) Description of project			
(d) Priority level of project <i>e.g. priority 1 or 2</i>			
(e) Number of beneficiaries	# beneficiary H/Hs		
	# women beneficiaries		
	# Other vulnerable groups (specify)		
(f) Other information (location, specifications, etc.)			
5.RISKS AND BENEFITS*	1	2	3
List the three highest risks TO the project (use your judgement based on the results of the Area Council risk screening template)	e.g. flooding	e.g. cyclone	e.g. soil erosion
List the three highest risks FROM the project	e.g. water pollution from animals	e.g. cutting mangroves	

List the three highest benefits of your project	e.g. inclusion of women in project management		
---	---	--	--

6. DECLARATION	Signed:	
	Village Chief(s):	
	Signed:	
	Area Council Secretary:	

* It may be that you do not have 3 benefits – if so leave blank

8. FIVE YEAR PLANNING STEP 3- REGISTRATION AND SCREENING OF AREA COUNCIL AND SECTOR SUBMISSIONS BY THE PROVINCE TECHNICAL ADVISORY COMMISSION (TAC)

All Area Council and sector department submissions of priorities for the next five years will be addressed to the Chairman of the Provincial Technical Advisory Commission. Area Council and sector department submissions will be kept in appropriate files by the Provincial TAC in the Provincial Office.

Once all the five year submissions from the Area Councils and sector departments have been received, the Provincial TAC will meet to carry out the following tasks:

- (i) First, classify all submissions into one of three categories:
 - 1. **Area Council level investments** – in other words, those projects submitted by Villages which are eligible for funding as Area Council level investments.
 - 2. **Province level investments** – in other words, those projects submitted by Villages which are eligible for funding as Province level investments.
 - 3. **Ineligible** – in other words, those projects submitted by Villages which cannot be funded by the Province. An explanation for exclusion will be included in the screening document.

Screening will be carried out by using **Planning template 8.1 – Technical Advisory Commission – Project Screening** at the end of this step followed by a detailed **Project Document Template 8.2**.

- (ii) Determine whether any of the priority projects identified by the Area Councils and sector departments are the same. For example, two Area Councils might propose building a pedestrian bridge over the same point on a river. Where proposals are the same, they would be combined into a single proposal/submission.
- (iii) Classify all the eligible project submissions into two categories:
 - a) Area Council level investments;
 - b) Province level investments.
- (iv) List all project submissions into one of the following “sector” categories:
 - a) Education;
 - b) Health;
 - c) Agriculture;
 - d) Transport;
 - e) Other.
- (v) Rating risks to and from the project and benefits from the project for climate, environment, disaster and social protection issues using the Risk Screening Questionnaire (Annex H). This will build upon the initial risk screening undertaken by Area Councils (Annex H) and will identify where risk management is needed and priorities for investment.

A tentative list of non-eligible projects are mentioned below:

Non-developmental expenditures
<p>Administrative buildings and equipment (e.g. government offices, sector department offices, staff housing, vehicles, office computers, generators, etc.);</p> <p>Religious buildings (e.g. churches etc.);</p> <p>Salaries and other recurrent costs;</p>
Private goods
<p>Investments that would normally be made by individuals or the private sector (e.g. consumable medical supplies, agricultural inputs such as seeds and fertiliser, grain mills, tractors, etc.);</p> <p>Credit programmes;</p> <p>Livestock reconstitution schemes.</p>
National responsibilities
<p>Investments that would normally be considered to be “central” government responsibilities (e.g. paved roads, university/teaching facilities);</p> <p>Communications facilities (e.g. radio stations, telephone systems).</p>
Investments with likely negative environmental impacts
<p>Community-based projects that involve gasoline or diesel generators; guns; chain saws; pesticides, insecticides, herbicides and other dangerous chemicals; asbestos and other investments detrimental to the environment;</p> <p>Track upgrading or road rehabilitation of any kind inside natural habitats and existing or proposed protected areas;</p> <p>Forestry operations, including logging, harvesting or processing of timber products;</p> <p>Activities where the rural development and/or environmental gains do not clearly outweigh any potential losses;</p> <p>Projects that would lead to significant conversion or degradation of natural habitat;</p> <p>Investments that would result in the introduction of non-native species, unless these are already present in the vicinity or known from similar settings to be non-invasive.</p>
Investments with negative social impacts
<p>Investments likely to significantly contribute to gender and social inequalities, social protection issues, discrimination or vulnerability.</p> <p>Investments that result in the acquisition of land and involuntary resettlement are not allowed. However, some voluntary resettlement or land acquisition may occur, either with voluntary contributions or with compensation provided by the village.</p> <p>Investments which lead to loss or damage to cultural property, including sites having archaeological (prehistoric), paleontological, historical, religious, cultural and unique natural values.</p> <p>Projects that are unacceptable to a large number of villagers involved or any of the villagers directly affected. In particular, any activity unacceptable to an ethnic/tribal group in a village of mixed ethnic composition cannot be funded. Activities that will have adverse impacts on ethnic minorities within the village and/or in neighbouring villages cannot be funded.</p>
Investments not considering climate change and disaster hazards
<p>Projects in a high risk geographical location susceptible to disaster hazards and climate change with no clear measures for avoiding, reducing or managing these risks</p>

Projects with significant impacts on climate change or disaster vulnerability that cannot be managed e.g. projects clearing large areas of forest or mangrove increasing risk of flooding or storm surges.

In addition to the above table, 'Risk Screening Questionnaire' **Annex H** has been provided at the end of this guidelines, which will build upon the risk screening questionnaire already completed by the Area Council Secretaries (Annex H) to screen for project risks to ensure that that climate, disaster, environmental and social protection risks have been factored into the prioritised investments. The TAC will need to conduct this more detailed risk screening to ensure that risks are adequately screened and where necessary add further management measures in discussion with the TAG. If for any reason this initial screening by the Area Council has not happened or if the information is incomplete, the CCDRM Officer or NDMO Officer should work with the Chief Planner to complete both the Area Council and Provincial level risk screening.

The Head of the TAC will then ensure that all sector department heads are consulted about project submissions that concern their respective sectors. Thus, all education sector project submissions will be discussed with the Head of the Provincial Education Department.

Step 3 should be completed by the end of September.

Template 8.1 - Technical Advisory Commission Project Screening

Name of the Province: _____

Planning for Five Year Period Starting in FY 20__/20__

No	NAME OF PROPOSAL RECEIVED	LEVEL OF FUNDING (tick only one)		RISK SCREENING		FUNDING ELIGIBILITY	
		To be considered for Area Council level of investment	To be considered for Province level investment	Has risk screening been adequately completed (YES/NO)	If yes, what risk management measures are recommended?	Eligible for Investment (YES/NO)	If no, give reason for why the proposal is non-eligible
1							
2							
3							
4							
5							

Screening prepared by TAC, date & signatures: _____

Initial screening verified and approved by Chairman of TAC

Head. Signature and date: _____

Template 8.2 – Detailed Project Document

1) Name of Province			
2) Project proposer – Area Council or Sector			
3) Project title			
4) Project description	Sector (tick one)	Education	
		Health	
		Agriculture	
		Transport	
		Water & sanitation	
		Other (specify)	
	Brief description of project:		
<p>(i) Problem to be addressed (and how climate and environmental changes and disaster hazards impact this problem):</p> <p>(ii) Solution proposed:</p> <p>(iii) Other descriptive elements</p>			

5) Project priority and benefits	Did Village or Sector departments agree that project was a development priority?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
		If NO, please comment:	
	Priority for project proposer (Area Council):	1	2
	Was this project proposed by more than one Area Council/Sector?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
		If YES, how many:	
	Social project benefits (e.g. for gender and social inclusion, social protection and key vulnerable groups)		
	Economic project benefits (e.g. for livelihood diversification)		
	Climate benefits (e.g. builds climate change adaptation)		
	Environmental benefits (e.g. secures environmental management)		
	Disaster risk management benefits (e.g. builds disaster resilience, reduces risk)		
	Physical/access benefits (e.g. reduced time to get to services such as schools or clinics)		
Beneficiaries	No. of H/HHs		
	No. of people		
	No. of women		

		Types of vulnerable groups	
		No. of Villages	
6) Project risks <i>[Briefly describe]</i>	Risks TO the project	Risks FROM the project	
Economic (e.g. procurement, financial, commercial)			
Social (e.g. inequity)			
Climate change (e.g. drought, sea level rise)			
Environment (e.g. deforestation, soil erosion)			
Disaster (e.g. cyclones, flooding)			
Other (e.g. political, land issues)			

7) Risk management measures (linked to the risks identified above)

Risk TO the project

e.g. disaster resilient design of buildings or , infrastructure, using a more resilient crop species, digging drainage ditches

Risks FROM the project

e.g. contour planting to prevent erosion, managing construction waste

7) Initial design and costing	Location/site: (note if the site selection has taken into account risks e.g. has the project location been changed to consider risk)		
	What are the remaining major hazards associated with this location? <i>E.g. coastal flooding, landslides</i>		
	Dimensions or measurements of the site:		
	Estimated project costing:	Estimated value	
		Materials:	Vatu
		Unskilled labour:	Vatu
		Skilled labour:	Vatu
		Transport:	Vatu
Risk Management		Vatu	
Other:		Vatu	
	Contingency:	Vatu	
	Total	Vatu	
Cost per beneficiary household (total cost / beneficiaries)		Vatu	

	Attachments : (tick)	Drawings	
		Cost estimates	
		Risk Screening questionnaires (Area Council and Provincial levels)	
		Others (describe)	
	Proposed local contribution	Estimated value	
		Labour	Vatu
		Other	Vatu
		In cash	Vatu
		Total	Vatu
	What proportion of overall project cost is the local contribution (in %)		%
	What proportion of overall project costs (if any) is risk management (in %)		%
	Other issues linked to design, costs and contributions (including details of risk management costs)		

7) Critical factors (please attach critical factors assessment)	Is the project likely to be blocked by any critical factors or cause critical problems? (specify)		
8) Operations & maintenance arrangements	Are regular salaries involved?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
	If YES, describe:		
	Minor operations costs	YES <input type="checkbox"/>	NO <input type="checkbox"/>
	If YES, describe:		
	Maintenance tasks (including disaster management tasks such as re-clearing drainage ditches near a newly built classroom)	YES <input type="checkbox"/>	NO <input type="checkbox"/>
	If YES, describe:		
	Maintenance costs (describe and estimate)	Description: (cash and labour costs)	

	Annual cash costs		Vatu
	Annual labour needs		Person-days
	Proposed cost recovery methods (describe if applicable)		
	Proposed management structure for O&M (describe)		
9) Estimated duration of project	Start date (month)	End date (month)	Total months
10) Other notes on the project:			
11) Declarations	Dates of field preparation of Project Document		
		TAC member name	TAC member signature

	Project Document prepared by:		
	Project Document endorsed by:	Name/Signature of Village Chief(s):	
Name/Signature of Area Council Secretary:			
Date of signature:			
Place of signature:			

ATTACHMENT 1

DESIGN

ATTACHMENT 2

BILL OF QUANTITIES

Name of project: _____

Location: _____

No	Description of work	Unit	Quantity	Unit price Vatu	Total Prize	Remarks
1						
2						
3						
4						
	Total Price					

Note that the price for the work listed included material costs, labour costs, transport costs and tax, and no additional funds will be provided for these purposes. Please include all risk management activity costs.

In addition, completed risk screening questionnaire for individual projects will be prepared.

9. FIVE YEAR PLANNING STEP 4- PREPARATION OF FIVE YEAR PROVINCIAL STRATEGIC DEVELOPMENT PLAN INCLUDING TAC REPORT ON SUB-NATIONAL FIVE YEAR PRIORITY LISTS

Once the Provincial TAC has screened all Area Council and sector submissions, and eliminated those projects which are not eligible for funding, it should then prepare a report for the Provincial Government Council. This report, which should be prepared using ***planning template 9.1 – TAC report on Province Five Year Development Strategy Priority List*** (provided at the end of this section), will explain why certain project submissions have been eliminated and provide a list of those project submissions which are eligible and which have been retained.

This report will then be presented to the Provincial Council at its next meeting. The Provincial Council will consider the proposed Provincial Five Year Priority List and decide whether:

- (i) It accurately reflects the submissions made by the Area Councils and sectors;
- (ii) The project submissions that were eliminated were non-eligible for funding;
- (iii) The project submission that were retained are eligible for funding;
- (iv) The classification of projects into Province-level and Area Council level investments is correct.
- (v) The risk screening is adequate, has identified and ranked key project risks and benefits, and measures to manage these.

In the event that the Provincial Council finds that there are aspects of the Provincial Five Year Investment Priority List which require amendment, the Provincial TAC will revise the List.

At the end of the Provincial Council meeting, a vote will take place to decide whether a majority of the Provincial Council agrees with the proposed Provincial Five Year Investment Priority List.

Once agreed, the Provincial TAC will draw up the Draft Province Five Year Investment Priority List, using ***planning template 9.2 – Draft Province Five Year Development Strategy Priority List*** provided at the end of this section. If the Provincial administration has capacity or gets donor/NGO support, then they can make the Five Year Provincial Development Strategy comprehensive.

Step 4 will be completed by the end of September.

Template 9.1- TAC Report on Provincial Five Year Development Strategy Priority List

Name of the Province: _____

Planning for Five Year Period Starting in FY 20__/20__

No	NAME OF PROPOSAL RECEIVED	PROPOSED BY: <i>[indicate name of Area Council or sector]</i>	CATEGORISATION OF PROPOSAL (tick only one)			(DETAILS)	RISK RANKING WITH RISK MANAGEMENT* (High, medium, low)			
			To be considered for Area Council Level investment	To be considered for Province level Investment	NON-eligible for Investment		Climate	Disaster hazards	Environm ent	Social protection
1										
2										
3										
4										
5										

*Note this is the final risk ranking once management measures have been introduced. Some measures will be more effective than others in reducing these risks.

Prepared by TAC, date & signatures: _____

Verified and approved by Chairman, TAC.

Signature and date: _____

Template 9.2- Draft Provincial Five year Investment Priority List

Name of the Province: _____

Planning for Five Year Period Starting in FY 20__/20__

No	NAME OF PROPOSAL RECEIVED	PROPOSED BY: [indicate name of Area Council or sector]	LEVEL OF INVESTMENT (tick only one)	
			1	2
			To be considered for Area Council level investment	To be considered for Province level investment
1				
2				
3				
4				
5				

Prepared by TAC, date & signatures: _____

Verified and approved by Secretary General of the Province.

Signature and date: _____

10. FIVE YEAR PLANNING STEP 5- ANNOUNCEMENT OF APPROXIMATE BUDGET ALLOCATIONS TO THE PROVINCE

The Secretary General of the Province will inform local stakeholders (including local citizens) of the size of the annual government allocation. The aim here is to give local stakeholders an idea of the resources available for that particular financial year.

The Secretary General of the Province will provide this information in the following ways:

- (i) The Secretary General of the Province will send a letter to:

- Each Area Council Secretary General and
 - Each Head of Provincial Sectoral Departments

This letter will provide details of the annual allocation to the Province, explain that the full allocation will be made available. The **Template 10.1** at the end of this section provides the announcement letter from the Secretary General.

Information about allocations will be kept on file in the Provincial Administration office and will be made available to local citizens at their request.

All the activities under step 5 will be completed by end of October.

Template 10. 1: Announcement letter: Annual Budget Allocation and Annual Planning Process

Memorandum

From: _____ Chairman, Provincial Council

To: Chairman of Technical Advisory Commission, Provincial Sector Department Heads (Education, Health, Transport, Agriculture and others) and Area Council Secretary

Subject: **Annual Budget Allocation and Annual Planning Process**

Date: _____/200_

This Memorandum is to inform you that _____ Province has been provided with an annual allocation of _____ Vatu from the national Government for capital investments to finance small scale infrastructure development from FY _____ onwards.

This allocation is subject to the provisions of Instructions and Circulars concerning the funding and concerning the Provincial Annual Planning Process.

I therefore request that Province Sector Departments and Area Council Secretaries initiate an Annual Development Planning process on the basis of the Five Year Strategic Development Planning Process as soon as possible, with a view towards identifying priority investments for the next one year. This process will be facilitated by the Technical Advisory Commission.

The following is requested:

- (i) On the basis of the annual allocation of budget and committed support from donors, the Provincial Technical Advisory Commission will consider number of projects from the Five Year Strategic Development priority list for the FY 20____.
- (ii) It is requested that the concerned Provincial sectoral departments and Area Councils confirm the priorities for the FY____ by replying to this letter to the Secretary General, Chairperson of TAC.

Please note that all projects included in the Province Annual Development Priority List will need to demonstrate that either i) they have been designed to explicitly tackle climate, environment and disaster risk; or ii) their design (including project location) has taken into account these risks (e.g. budget has been allocated for risk resilient projects).

I look forward to your co-operation in these matters.

Yours sincerely, _____ Chairman, Provincial Government Council

11. ANNUAL PLANNING STEP 6- PREPARATION OF ANNUAL (YEAR 1) DEVELOPMENT PLAN WITH CLEAR IDENTIFICATION OF PROJECTS BY THE PROVINCIAL TAC AND SECURE FUNDING

Once the five year development strategy is prepared, the Provincial Technical Advisory Commission will meet and prioritise the investment over five years. While doing this, they will analyse the financial allocation trend of the Province for the last five years, which includes the local revenue spent on investments and the revenue allocated by different line Ministries for Provincial investments. If possible, the Provincial TAC can also do an analysis of the approximate support the Province gets every year through donor and NGO support.

The Provincial TAC will ensure that the Annual Development Plan is not a wish list; and they shortlist only those number of projects taken from the Five Year Strategic Development priorities, which they feel they can implement in that particular year. ***The planning template 15.1*** should be used to prepare the Annual Development Plan ***and template number 15.2*** should be used to prepare the Quarterly Development Plan.

So it is crucial that all the projects listed for year 1 under the five year strategic plan need to be costed, designed and a Bill of Quantities (BOQ) prepared before it is sent to the Provincial Government Council for approval. The Provincial Government Council will use the following non-eligible list to finalise and prioritise the projects.

12. FIVE YEAR/ANNUAL PLANNING STEP 7- SUBMISSION OF DRAFT PROVINCE FIVE YEAR DEVELOPMENT STRATEGY AND ANNUAL DEVELOPMENT PLAN (FOR YEAR 1) TO THE CHAIRMAN OF PROVINCIAL GOVERNMENT COUNCIL FOR ENDORSEMENT

Once the Provincial Council has agreed upon a Draft Provincial Five Year Investment Priority List, it will submit this as a recommendation to the Chairman of the Provincial Council.

The Chairman of the Provincial Council will approve the Draft Province Five Year Investment Priority List unless he/she finds that:

- (i) The Draft List is contrary to the laws and regulations of the Government of Vanuatu.
- (ii) The Draft List potentially compromises the national security of the Government of Vanuatu.
- (iii) The Draft List contravenes basic planning and budgeting procedures.

In the event that the Provincial Council Chairman does not approve the Draft Provincial Five Year Priority List, he/she will send it back to the Provincial Council and TAC for any necessary amendments.

Step 7 will be completed before the end of October. The Provincial Council meets on a specific date every year (i.e. between November 1 to 10th), so it is important that all the relevant documents are prepared by end of October to return to the Provincial Council for final endorsement.

13. STEP 8 – UNDERTAKE PROCUREMENT

These guidelines only cover procurement issues related to procurement for Government funded projects. The procurement guidelines issued by the Government of Vanuatu will be used for undertaking all the procurements at the Provincial level. If some projects are funded by donors or NGOs, then their procurement guidelines will be used then they will be held accountable for the process rather than Government administration. The following table explains in detail some of the basic definitions, examples and institutional arrangements related to procurement.

BASIC DEFINITIONS & EXAMPLES		
INSTITUTIONAL ARRANGEMENTS RELATED TO PROCUREMENT		
TERMS	DEFINITION	EXAMPLES
Procurement	Process of obtaining goods, works or services	Buying a wood/roof for a house
Goods	Any object in solid, liquid or gaseous form that has an economic value which can be exchanged or traded	Equipment, office supplies, machinery, vehicles and other products.
Works	Any construction and maintenance activities under projects	Construction and maintenance of roads, irrigation schemes, hydropower dams, plants, factories, buildings
Services	Expert services provided by a consulting firm or individual expert	Conducting research, surveys, design/costing and, supervision of other works and services.
Procurement Entity or Project Owner	Government entity and state enterprises using funds from the national budget	Line Departments, Provincial Government Council.
Tender Committee	Individuals officially appointed by the organization concerned who are responsible for procurement starting from the process of preparation until award of the contract	Provincial Tender Committee made up of Provincial staff
Engineer or Technical Officer	Individual (official or consultant) responsible for technical design, support to the Tender Committee	Official of Department of Public Works or any other member of the Provincial Technical Advisory Commission

	in procurement and contract supervision	appointed to advise Provincial Government Council
Community Representative	Senior members (male and female) of the community who will benefit from the project outputs; responsible to cooperate with the engineer on project design and on contract supervision	Village Chief, women's committee chair, head teacher, tribal group chief etc.
Community Based Organisation	Any kind of locally based non-profit organisation or association; particularly one acting as a contractor for community contracting	Farmer group undertaking improvements to an irrigation scheme

During the preparation of Provincial Annual Development Plan, drawings, costing and Bill of Quantities (BOQ) will be prepared for each of the prioritised sub-projects, costing and bill of quantities.

The Provincial TAC will prepare the bidding documents using the technical specifications, drawings, costing and BOQ. Once the bidding documents are prepared, it will be advertised in the Provincial Council Office, local newspaper (if any) and for larger bids in the national newspaper for a transparent procurement process.

The tender committee will review the received bids, make a final decision and submit to the chairman of Provincial Government Council for approval.

Once approved, the selected bidder will sign an agreement with the Provincial Government Council and start implementation.

Steps of procurement to be followed:

Approve of the budget including items to be procured

Package (dividing the items into packages or contracts of similar types)

Determine the appropriate procurement method for each package

Draft the Procurement Plan

Prepare the designs, specifications and tender documents (ensuring all infrastructure/building specifications meet building codes and risk resilient standards)

Invitation to bid

Issue of tender documents and pre-bid meeting if required

Bid opening

Bid evaluation and identification of preferred bidder's qualification

Post qualification (verification of preferred bidder's qualifications)

Award of contract

1. Negotiation and execution of contract
2. Contract administration

Contracting and managing Contracts

Contracting:

Once the Provincial Government Council has approved the selection of a contractor/vendor/consultant, the implementing agency will enter into contract negotiations.

The contract forms are provided in the Procurement Manual issued by the MoF. Once a contract is signed with a contractor/vendor/consultant, the value/amount of the contract will be considered as an obligation.

Upon agreement with the contractor/vendor, a contract will be drawn up and signed by the principal parties:

- the Secretary General on behalf of the Provincial TAC Chairman (the project owner);
- the contractor/vendor;

Two original copies of the contract will be signed:

- one original copy will remain in the files of the Secretary General (The Province TAC Chairman)
- one with the contractor

Co-signatories to the contract will include:

- the Head of the relevant sector department in the Province; as implementing agency
- the provincial planner
- the Accountant, along with a copy of the relevant bid/quotation evaluation forms;

Contract Management:

For each contract issued by the Province, the implementing agency will establish a Contract Financial Management File (CFMF). This will enable the implementing agency to keep track of all transactions related to the contract.

The CFMF will be kept in a special folder (Contract Folder), which will also include a copy of the contract and other documentation related to procurement.

Contract supervision and oversight:

The implementing agency (ies) are responsible for overseeing the contract execution.

The Provincial planner is responsible for monitoring the contract execution, advising the implementing agencies for contract management and execution and confirming that risk management measures are applied.

Each contract will be subject to the supervision arrangements specified in the Vanuatu Central Tender Board Procurement Guidelines, Government of Vanuatu. It is expected that each implementing agency prepares an implementation schedule/plan and links it to the frequency of technical supervision in the case of works/project in addition to the final technical inspection or sign-off on project completion before payments can occur. In addition, goods will be inspected on delivery and technical consultancy contracts will be supervised based on their Terms of Reference.

Supervision will ensure that works are carried out in accordance with contractual obligations and that they are of adequate quality as detailed in the technical specifications or in the terms of reference for a consultant.

In the case of works, supervision will take two forms:

technical supervision, to be undertaken by a technically qualified supervisor (either a Government agency or a private consultant);

local oversight, to be undertaken by a Project Oversight Committee (POC), composed of members of the local community that is the principal beneficiary of the investment.

For any goods that are to be delivered by a vendor, and in accordance with the terms and conditions of the contract in question, the provincial planner will designate an appropriate official (depending on the sector most closely involved – e.g. for medical equipment the most appropriate would be a health worker) and a POC representative to attest to reception.

For any services that are to be provided by a consultant (such as technical supervision of works), the provincial planner will also need to ensure that services have been rendered.

14. STEP 9 – IMPLEMENTATION OF PROJECTS

After signing the agreement, the bidder will start implementing the project activities. In consultation with the Provincial TAC, the bidder will prepare a project implementation work plan.

The implementation will be supervised by three groups of people; i) technical supervision by one Provincial TAC member, who will be nominated as the technical officer; ii) risk management supervisor

– potentially the provincial CCDRM officer, NDMO representative, or Chief Planner; and iii) work supervision by community members headed by the Village Chief.

The contractor will be paid by the Secretary General as per the terms and conditions mentioned in the agreement. The technical officer will verify the quality of the work and certify the payment.

For the payment, the following steps need to be followed for capital expenditures, engaged through the procurement process:

Authorizing Payment:

Upon receiving an invoice from a contractor/vendor and upon receipt of Certifications of Completion or (in the case of consultants) Certificates of Payment, the implementing agency will request the accountant to prepare an Authorization for payment.

The Authorization of Payment will be certified by the Secretary General and submitted to the Chairman of Provincial Council for authorization. Three copies of the authorization of payment will be issued for distribution as follows:

- The original copy shall be submitted to the Provincial Finance Section with the required supporting documents.
- One copy remains with the implementing agency, the Provincial Planner and Secretary General.

All APs issued by the Secretary General will be registered in two documents:

- the implementing agency Contract Financial Management File; and
- the Provincial Secretary General's Administrative Account Journal.

As and when copies of Payment Vouchers are received from the Accountant, the Secretary General will register them in the Province's Administrative Journal.

Payments

Step 1: Verification by Accountant

As soon as the Accountant has received a copy of the contract issued to the contractor/vendor/-consultant, s/he will review the documents and ensure that they are in accordance with the provisions of the Vanuatu Central Tender Board Procurement Guidelines issued by MoF, Vanuatu.

In the event that the Accountant is not convinced that due process has been observed in the evaluation of bids/quotations or the issuing of contract, s/he will refer the matter to the Secretary General for clarification and, if necessary, amendment.

Once the process has been confirmed, the Accountant will fill in the obligation in his/her Account Journal in the Contract Finance Management File worksheet by including the contract ID number and the total value of the contract.

Even if the contract is signed in another quarter, the registration of the contract in the Accounts Journal shall be done in the quarter **one** Journal since the workbooks are linked. This will enable the Accountant to track disbursements against all contracts issued by the District.

Step 2: Submission of contractor/vendor/consultant invoices and authorisation of payments

The implementing agency will submit Authorizations for Payments together with the invoices from the Contractors/vendors/consultants to the Accountant.

The Accountant will verify that:

- the AP has been properly filled in;
- the AP is in accordance with the contract in question;
- the AP does not exceed the remaining balance of the contractual obligation;
- the Provincial bank account has sufficient funds to cover the payment.

If all these conditions are met, then the Accountant will issue a Payment Voucher and prepare for payment by issuing a cheque.

The PV will be signed by:

- the Accountant, who prepares the PV;
- the Provincial Planner, who certifies the PV;
- the head of the line Department, as the authorising officer for the PV.

Three copies of each PV will be prepared and distributed as follows:

- the original copy will remain in the Accountant's files;
- one copy for the Secretary General;
- one copy for the contractor/vendor/consultant.

The Accountant will prepare a cheque for payment, to be signed in accordance with the procedures described above. The cheque will be given to the contractor/vendor/consultant.

Step 3: Registration of the payments

Once a payment voucher has been issued and a cheque made out to the contractor/- vendor/consultant in question, the Accountant will register the payment in two documents:

- the Secretary Generals' Accounts Journal; and
- the Accountant's Accounts Journal.

15. STEP 10 – MONITORING AND THE EVALUATION OF FIVE YEAR STRATEGIC DEVELOPMENT PLAN, ANNUAL DEVELOPMENT PLAN AND PROJECTS.

Monitoring and evaluation will be done at three levels;

- 1) Monitoring and evaluation of the five year strategic development plans;
- 2) monitoring of the annual development plan; and
- 3) Monitoring of project activities at the project site.

The purpose of the M&E is to:

- measure the progress in the implementation of the project; and
- help in writing reports.

The information will be collected on the indicators agreed both in the five years strategic plans and the annual development plans and any information related to these projects.

Risk indicators will have been identified by the TAC as part of the risk screening using the ***Risk Screening Questionnaire (Annex H)***.

The first step in this whole process is to divide the Five Year Strategic Development Plan into Annual Development Plans with clear activities, baselines, targets and indicators. Refer to ***planning template number 15.1*** at the end of this section for the Annual Development Plan. Then each of the Annual Development Plan needs to be clearly elaborated and targets for each of the indicators need to be developed. Responsibilities against each of the indicators or the targets need to be clearly defined for the successful implementation of the activities. The Provincial Annual Development Plan needs to be divided into a Quarterly Development Plan. Refer to ***planning template number 15.2*** at the end of this section for the quarterly development plan.

On the basis of the information collected, different sectoral line departments will produce reports against the indicators and targets and submit to the Provincial TAC to compile and produce the final reports. Refer to ***planning template number 15.3*** and ***15.4*** at the end of this section for the guidelines on the reporting format for capturing the progress. Once the final report is produced, it will be submitted to the Secretary General for review before it is sent to the Provincial Government Council for final approval.

Monitoring and evaluation is an ongoing activity, which needs to start while the strategy is being prepared (e.g. by developing indicators) and continue throughout project implementation. There should be two reports every year. Once after six months, when the information needs to be collected and compiled to see whether the progress is being made to achieve the targets or not and the annual report which will talk about the achievements made against the agreed indicators. The final report will be done at the end of the financial year.

The provincial administration should plan to finish everything within two months of initiating the activities.

The report preparation will be initiated by the line departments on the basis of the information they receive from Villages and the field visits (**planning template number 15.5** at the end of this section for capturing information regarding project on the field visits), which will be forwarded to the Provincial

Template 15.1 – Provincial Annual Development Plan with Monitoring Indicators

EXPECTED OUTPUTS*	PLANNED ACTIVITIES**	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET		
		Q 1	Q 2	Q 3	Q 4		Funding Source	Budget Description	Amount
Component 1 <i>Baseline:</i> <i>Indicators:</i> <i>Targets:</i> <i>Related outcome:</i>	1. Activity Result - Action - Action								
	2. Activity Result - Action - Action								
	3. Activity Result - Action - Action								
Component 2 <i>Baseline:</i> <i>Indicators:</i> <i>Targets:</i> <i>Related outcome:</i>									
TOTAL									

TAC. Provincial TAC will compile the report and submit to the Provincial Government Council through the Secretary General. Once the Provincial Government Council approves, the report will be sent to the DLA. DLA will review the progress and submit it to the line Ministries and to the Prime Minister's Office through Ministry of Internal Affairs.

Template 15.2 – Provincial Quarterly Development Plan with Monitoring Indicators

EXPECTED OUTPUTS*	PLANNED ACTIVITIES**	RESPONSI BLE PART Y			RESPONSIBLE PARTIES	PLANNED BUDGET		
		M 1	M 2	M 3		Funding Source	Budget Description	Amount
Output 1 <i>Baseline:</i> <i>Indicators:</i> <i>Targets:</i>	1. Activity Result - Action - Action							
	2. Activity Result - Action - Action							
	3. Activity Result - Action - Action							
Output 2 <i>Baseline:</i> <i>Indicators:</i> <i>Targets:</i>								
Output 3 <i>Baseline:</i> <i>Indicators:</i> <i>Targets:</i>								
TOTAL								

*Add additional components as required

** Ensure risk management measures are included

Template 15.3 - Template of Annual Progress Report

ANNUAL PROJECT PROGRESS REPORT

200.... Annual Project Progress Report

Project Codes and Titles

(As mentioned in the
Provincial Annual
Development Plan)

Report Period

Implementing Partner

Co-Implementing Partners

Co-financing Donor(s)

Reported by:

Name and Signature of the Secretary General

PART A: TOTAL RESOURCES

Allocated resources	Approved Budget for 200....	Actual Budget 200....	Remarks
Contribution from Central Government			
Contribution from Line Ministries			
Contribution from local revenue			
Contribution from development partners			
Total			
In cash(Vatu)			
In Kind			
Total			

PART B: NARRATIVE ASSESSMENT

1. **Context** (1 page maximum): This section should briefly discuss the following major issues
 - a. Major changes in social, political, economic and legal/administrative, climate, environmental, and disaster conditions in the country/province during the current year relevant to the program area
 - b. Major policy initiatives, legislative reforms, budget decisions or other trends relevant to the program area

- c. Changes in policy/strategic frameworks relevant to the program area (e.g. national/local development plans)
 - d. Whether any national level changes affected the project implementation
 - e. Any opportunities that might arise from these changes and that should be taken into account in the Annual Work Plan for the following year.
2. **Results Achieved** (3 pages maximum): this section should go beyond the analysis of the actual achievements against individual project outputs as already discussed. It should focus on the following key aspects:
- a. The progress being made towards the achievement of the project outputs and results against key constraints experienced in the process including progress on risk management measures
 - b. The results of related policy research/advice and M&E activities conducted during the year and how these results were used to improve project performance including whether additional risk management measures are needed
 - c. The collaboration with other projects, national agencies and international partners, not only through joint activities but also through joint programming
 - d. Advocacy and policy dialogue on issues addressed by different projects and if/how these interventions improved decision makers understanding of the issues and led to their support in addressing them
3. **Lessons and Recommendations** (1 page Maximum): this section should focus on the following key aspects:
- a. Major lessons, positive or otherwise, from the project during the recent year. They should consist of substantive and managerial aspects of project implementation, management, policy research/advice, coordination, advocacy and partnership development.
 - b. Main recommendations for the Annual Work Plan of the following year and beyond. (if needed), relating to as many of the above aspects as relevant.
 - c. Using disaggregated data (by sex, ethnicity, vulnerable group etc..) wherever possible.
 - d. Reporting on the results of the interventions for the independent beneficiaries/target group/vulnerable groups.
 - e. Demonstrating, what actions were taken to ensure the participation of community members and the civil servants in both the development and implementation of activities?
 - f. Demonstrating what activities were undertaken to build the capacity of civil servants and who have been supported.
 - g. Reporting on the contribution of the project to achieving gender equality and women's empowerment and showing evidence for this contribution.
 - h. Reporting on the contribution of the project to disaster risk reduction, climate change adaptation and/or environmental management.

Template 15.4: Annual Provincial Implementation Report

[illegible]

Template 15.5: Field Monitoring Report Form

General Instructions:

Use this form to prepare your field visit report. Be precise in presenting your assessment of the project. In writing your findings, conclusions and recommendations, reflect the views of stakeholders, especially the target groups, whom you have interviewed. Be sure to list in an annex the names of persons whom you met and the organizations they represent. Provide your office and the designated institution with copies of this report.

1. Basic project information.

Project number and title (As mentioned in the Annual Development Plan): -----

Sector: -----

Area Council: -----

Project's starting date:

Originally planned ----- Actual -----

Project's Completion date:

Originally planned ----- New -----

2. Purpose of field visit

The general purpose of a field visit is to obtain a first-hand account of the progress in achieving project results. In addition to this, however, list any special objectives that you might have.

3. Findings

State facts on the status of the sub project in terms of producing expected results, using established indicators and benchmarks. Present significant issues that need to be addressed (including emerging risks) and similarly any observed opportunities for improving the program or project (including costing for new risk management measures).

4. Conclusions

Based on your findings, state whether or not the project is making progress as planned and is inclusive, resilient and sustainable. If you had any special objective in making the field visit, also include your conclusions relating to it.

5. Recommendations:

State your recommendations clearly. Describe the actions proposed. Identify who are responsible for implementing them. Provide an indication of the time frame and any significant resources required.

Name	Signature
------	-----------

Title	Date of visit
-------	---------------

Organization represented

6. Field visit report annex

List of persons met and the organizations they represent

Annex A: Explaining Risk

What is Risk?

RISK is the possibility of harmful impacts (damages or losses) to vulnerabilities (e.g. people, property, infrastructure, assets) resulting from the interaction of a hazard with exposed vulnerabilities.

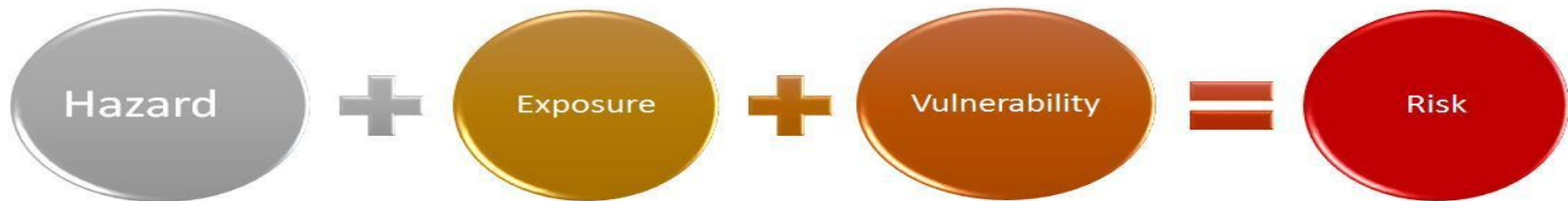


Table 1: Defining Risks

HAZARDS/CHANGES	EXPOSURE/ LOCATION	VULNERABILITY	RISK TO THE PROJECT	RISKS FROM THE PROJECT
Something natural or man-made that may cause disruption or damage to life, property and/or the environment (e.g. tsunami, sea level change, drought)	People, property, systems, or other elements present in hazard zones that are subject to potential losses	Parts of the project (e.g. people, assets/goods, infrastructure or activities vulnerable to hazards)	The possibility of impacts to project assets, people, resources and activities from hazards or changes	The possibility of impacts to sensitivities in the project area (e.g. people, the environment, cultural sites)

What is Risk Management?

Risk management is the identification and application of measures to avoid, reduce or manage risks.

The goal of risk management is resilient, sustainable and inclusive development (see glossary for an explanation of these terms).

Table 1: Examples of risk identification and risk management for development projects

	HAZARDS/ CHANGES	EXPOSURE/ LOCATION	VULNERABILITY	RISK TO THE PROJECT	RISKS FROM THE PROJECT	RISK MANGEMENT
Agricultural improvement project	Low rainfall/drought	Fertile land	Crops, irrigation systems	Crop damage	Water use impacting other water users	Drought resilient crops Water conservation & management
Water supply project	Tsunami	Low lying coastal area	Water infrastructure	Damage to water infrastructure & water contamination	Water use impacting other water users	Relocating water infrastructure to higher ground/ underground Water conservation
Hospital repair project	Heavy rainfall/flood	Floodplain close to a waterway	Buildings and assets (e.g. medicines)	Water damage to building and stocks	Contamination from hazardous waste disposal	Drainage & waterway clearance Management of hazardous waste
Income generation e.g. craft	Cyclone	Low lying coastal area	Craft materials and natural resources used for crafting	Loss of craft materials and natural resources	Overuse of natural resources e.g. trees	Water proof storage for craft materials Training in alternative craft methods

Education – class room project	Landslides (e.g. rockfall, mudslides)	Steep slope	Pupils, teachers, building, assets (e.g. books)	Injury and loss of life and damage to buildings/ assets	Access limited for people with disabilities	Long term relocation/slope stabilisation methods Build new class room in safer area
Emergency airstrip erosion control project	Storm surge, King tides and natural coastal erosion	Coastal area	Landing strip	Erosion of grass landing strip	No impact	Planting coastal vegetation e.g. mangroves to protect land

Annex B. Tools for developing a community profile and prioritising community problems

The following participatory tools can be used to develop the community profile as well as rank development priorities of communities.

1. Transect Walk	
What is it?	A transect walk is simply a walk through a village/community with a small group of community members. While walking, discussions with other community members can take place. Notes are made about people, the surrounding environment, problems and resources. The transect walk can provide information that can be used in the creation of maps and the community profile.
How do I use it?	<p>Step 1: Select group to conduct the transect walk. Participants accompanying the facilitator should have a good understanding of the community. They may be the same key informants that you involve in creating the community profile. The people you take with you may influence how others respond to your questions, so try and make sure you have women and men present in the group, or even conduct the walk twice, once with women, once with men.</p> <p>Step 2: Select the route for the transect walk. You might ask to walk from the highest to the lowest part of the landscape – for example from hill to coast through the community. Another option is to simply walk from north to south or east to west. You might ask to walk through different ‘zones’ within the community such as agriculture, housing, education, danger ‘zones’. The idea is to get a representative ‘snapshot’ of the community.</p> <p>Step 3: Observation, discussion and note taking. While you are walking you should make observations and notes about the information needed for the community profile: for example livelihoods, infrastructure (building types,</p>






	<p>roads, water and sanitation, food production and sales), social (health facilities and issues, roles and skills of women, men and children), risk profile (dangerous and at risk areas, evacuation sites/centres), problems that the community faces and capacities/resources/assets (land use, natural resources and existing projects). You can even start making note of solutions that people might mention along the way. When walking through the community, make sure that you talk to both men and women, people with disabilities and children/youth. It is also important to understand changes that have taken place over time.</p> <p>Step 4: Transfer the information. The information gathered in the transect walk can then be placed in the community profile template. You can also represent it visually on a diagram that can be shared with the community. See the examples below.</p>
What do I need?	Paper and pen to make notes. A print out of the community profile might be useful for guiding questions and observations. Large pieces of paper and markers to draw the transect walk diagram. If you have a camera you can take photos along the way that can be included in documentation.
How long will it take?	Allow around 1.5-3 hours (depending on how large the community is and whether or not you draw a transect diagram).
Example:	<p>Example 1:</p> <p>During a transect walk in Herald Bay village (Futuna, Tafea Province) the facilitators noted areas prone to landslides, infrastructure (such as Churches), crops grown in food gardens and types of forest.</p>



Example 2:

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Example 12 of 22 transect walk diagram from hills to coast that captures information from different areas within the community (you can also include drawings of the land use areas in the diagram to make the diagram easier to discuss with the wider community).

Land use	Forest	Food garden	School	Residential	Coastal
					
Infrastructure/ resources/assets	Firewood, food sources, forest ensures clean water source	Tools, food	School buildings, oval	Buildings (traditional and cement), drainage ditches, road access	Motorised boat
Livelihoods/ Economic/ subsistence activity	Copra plantation, collection of wild	Growing gardens for own use and for sale	Teachers and school maintenance person employed	3 stores selling imported food such	Fishing taking place

		nuts and yams	at local market		as rice, tinned tuna	
	Hazards (disaster, climate change, environment)	Fire, some removal of vegetation close to a stream	Low rainfall, cyclones, insect infestations, farmers note changes in seasons	Low rainfall, cyclones	Mosquitoes able to breed in rubbish lying around	Tsunami, storm surge, coastal erosion
	Problems/issues/risks	Community at risk of fire	Food supply low at some times of year	School buildings aren't large enough (growing population), school runs out of water and closes	Some elderly people not able to leave the house	Buildings near the coast are getting flooded more often

2. Resource Mapping

What is it?	A resource map is a simple map created by community members which aims to highlight resources, assets and things that are important to communities. By capturing these on a map, we can identify what types of infrastructure, places, natural resources and people are vulnerable to things like disaster, climate change and environmental risks. We can also identify
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	<p>what capacities communities already have, which can be further enhanced (for example if the community already has a strong community hall, this could be strengthened to be used as an evacuation centre).</p>
How do I use it?	<p>Step 1: Select groups to work on the resource map/s. For example you can divide willing participants into i) one group; ii) women's/men's/youth groups; or iii) put together a group of key informants made up of a teacher, health professional and village chief for example. Women and men often have different perceptions of what are resources and assets, and young people may find it challenging to speak their opinions in front of community leaders, so it is best to allow enough time to create separate maps, then bring the maps together into one.</p> <p>Step 2: Explain the purpose of creating the map. Use the explanation above to guide you, but use your own language and descriptions. Make sure the participants are clear on the task ahead.</p> <p>Step 3: Produce a map/s. Select the boundary for the map (e.g. village boundary). Participants should draw the map according to what is important to them, which might include infrastructure and services (such as roads, houses, bridges, schools, health clinics); water sites and sources; food gardens, forest land; soils, slopes, and elevations; stores and markets; Churches; and special places (such as sacred sites, cemeteries, and bus stops). Remember an accurate map is not what is important, it is people's perceptions of what is important to them that is important to capture.</p> <p>Step 4: Discussion of map. Once the map is drawn it is important for the groups to explain the features of this map and for others present to be encouraged to ask questions for clarification.</p>

Step 5: Conclude the activity. Thank the participants for their efforts and make sure to remind them how this information will be used (i.e. to complete the community profile which will be used to create a list of their development priorities).

What do I need? Large pieces of paper, markers. The exercise can also be done with chalk on school blackboards or concrete or using materials such as sand, sticks and rocks.

How long will it Approximately 1.5 hours for map making and presentation of maps by **take?** women's men's and youth groups. Creating a combined map will take longer but can be done later.

Example



A resource map from Herald Bay, Futuna, Tafea Province (from the Futuna Area Council Development Plan 2014-2019). They have listed assets and infrastructure such as houses and food gardens as well as important sites such as Churches.

3. Risk Mapping	
What is it?	A risk map is a simple map that highlights areas, people, natural resources and assets that are affected or vulnerable to hazards. They are typically created for natural hazards, such as coastal erosion, volcanoes, landslides, flooding and tsunamis but can also include things like areas likely to be affected by environmental hazards such as pollution from a rubbish dump or deforestation. Dangerous places, such as areas near a road, can be highlighted. Risk maps can also be a useful place to discuss climate change and what the implications of more intense rainfall events or gradual sea level rise might be for example.
How do I use it?	Step 1: Select groups to work on the risk map/s. For example you can divide willing participants into i) one group; ii) women's/men's/youth groups; or iii) put together a group of key informants made up of a teacher, health professional and village chief for example. Women and men often have different perceptions of what are hazards or risks, and young people may find it challenging to speak their opinions in front of community leaders, so it is best to allow enough time to create separate maps, then bring the maps together into one.

Step 2: Explain the purpose of creating the map. Use the explanation above to guide you, but use your own language and descriptions. Make sure the participants are clear on the task ahead.

Step 3: Produce a map/s. Select the boundary for the map (eg. village boundary – it is best to use the same boundary that you chose for the resource map). The resource map can be used as a base for the risk map by copying it onto another piece of paper for then drawing hazard and risk areas over the top. Participants should draw the map according to what they feel are the hazards and dangerous or at risk locations in the village/community. They can also identify which areas have been getting worse and vulnerable groups within the village/community. Remember an accurate map is not what is important, it is people's perceptions of what hazards and risks that they face that is important to capture.

Step 4: Discussion of map. Once the map is drawn it is important for the groups to explain the features of this map and for others present to be encouraged to ask questions for clarification.

Step 5: Conclude the activity. Thank the participants for their efforts and make sure to remind them how this information will be used (ie. to complete the community profile which will be used to create a list of their development priorities, including how disaster affects the community)

What do I need? Large pieces of paper, markers. The exercise can also be done with chalk on school blackboards or concrete or using materials such as sand, sticks and rocks.

How long will it take?

Approximately 1.5 hours for map making and presentation of maps by women's men's and youth groups. Creating a combined map will take longer but can be done separately.

Example



Risk map from Herald Bay, Futuna, Taféa Province (from the Futuna Area Council Development Plan 2014-2019). They have marked areas prone to landslides and flooding.

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Next step – prioritisation:

The transect walk, resource and risks maps and the community profile are useful participatory tools for helping the community to highlight the challenges it faces. Specific problems can be listed, then ranked in order of priority through pair wise ranking. Given that there are eligibility criteria for funding of priority projects, it is very important that communities are aware of these limitations before prioritising projects in the pair wise ranking. Community priorities that

aren't eligible can be considered in a wider community development plan and for alternative sources of funding. This highlights the importance of engaging with Government sectors and non-government organisations throughout this process, including using their support for transect walk, mapping and profiling.

4. Pair Wise Ranking	
What is it?	<p>Pair wise ranking is a tool used as a way to rank or prioritise lists of problems created by communities. Ranking a list helps identify which are the most important activities or projects to focus on. Pair wise ranking gives all involved a chance to have their views heard. Each item on a list is compared in a systematic way which allows the facilitator to tally community preferences.</p>
How do I use it?	<p>Step 1: Select groups to work on the ranking. Given women and youth may sometimes feel uncomfortable in voicing their opinions in a large group, it is good to first do the ranking exercise of projects in separate groups. A tally can then be made of each groups' priorities in order to reach consensus on whole of community priorities.</p> <p>Step 2: Demonstrate the process. It is best to first work through an example with all the groups together so that everyone understands the process.</p> <p>Step 3: Draw the matrix. Each group should be given a template with the pair wise ranking matrix on it and the list of community problems or projects on it.</p> <p>Step 3: Rank each pair. Each box in the matrix represents a pairing of each problem which can then be prioritised. A facilitator should help the group/community to decide which of the two problems it would prefer to address. Then for each pair, write the number of the preferable problem in the appropriate box. For example problem 1 is compared with problem 2, 2 is better, so the number two is inserted in that box.</p>

Step 4: Tally scores. Count the number of times each problem appears in the matrix, for example problem 5 appears 4 times in the matrix. So problem 5 receives the score of 4.

Step 5: Rank all items. Rank the problems by the total number of times they appear in the matrix. For example problem 1 occurs 5 times, but problem 2 occurs only 2 times, so problem 1 is ranked first and problem 2 is ranked second. To break a tie (where two problems appear the same number of times), look at the box where these two actual problems are compared in the matrix. The problem that was written and selected in that box receives the higher ranking and wins the tie. See below for examples.

What do I need? If available, a blackboard in a classroom is a useful place to do prioritisation. You can also place large pieces of paper up on a wall (joining them together with sticky tape), or if you have a laptop and projector you can project the table up onto a wall.

How long will it take? The length of time will depend on how many priorities the community has and whether you do the ranking as one entire community group, or do the prioritisation in separate groups first.

Example:	Example 1: Pair wise ranking of development problems by women’s group										
	..	.Problem Number							
			
		Problem	1	2	3	4	5	6	7	8	Score
	1. Broken water pump		6

			1	3	1	1		7	1	4	4
2. Poor roads and bridges	x		3	2	2	6	7	2	3	5	
3. Soil erosion	x	x		3	3	6	7	4	6	2	
4. Lack of agriculture tools	x	x	x		4	6	7	4	2	6	
5. Children sick all the time	x	x	x	x		6	7	5	1	7	
6. Lack of clinic	x	x	x	x	x		6	7	7	1	
7. Lack of classrooms	x	x	x	x	x	x		5	5	3	
8. Lack of market	x	x	x	x	x	x	x		0	8	

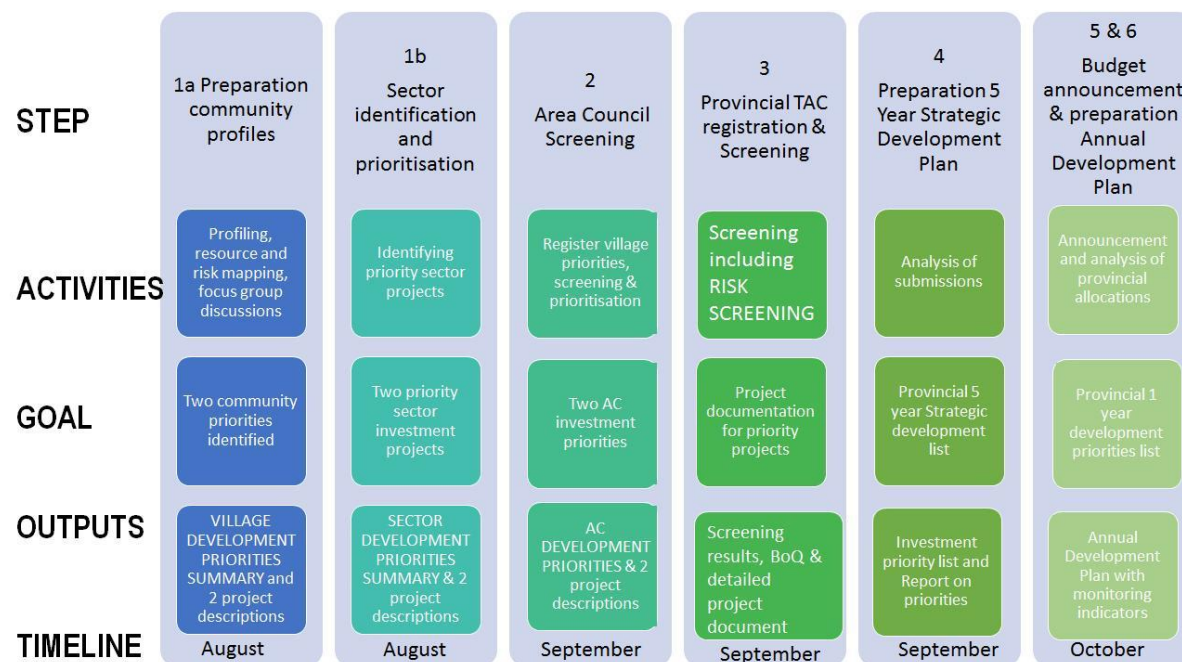
Example 2: The above exercise can be done by women's, men's and youth groups and then tallied together in a table. For example:

Problem/project	Score per group with total score (sum of)	Community ranking
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	Women	Men	Youth	Score	
1. Broken water pump	4	5	7	16	2
2. Poor roads and bridges	3	4	5	12	4
3. Soil erosion	6	0	1	7	5
4. Lack of agriculture tools	2	2	3	6	6
5. Children sick all the time	1	3	0	4	7
6. Lack of clinic	7	6	4	17	1
7. Lack of classrooms.	5	2	6	13	3
8. Lack of market	0	1	2	3	8

Top 3 community priorities for this example community are therefore 1. Lack of health clinic, 2. Broken water pump and 3. Lack of classrooms.

Annex C. Five Year Strategic Development Planning Process



Annex D. Calendar for risk resilient planning, budgeting and monitoring process

STEP	MONTH																
	August	Sept	Oct	Nov	Dec	Jan	Feb	Mar	April	May	June	Jul	Aug	Sept	Oct	Nov	Dec
1a. Preparation of Community Profile and Village level identification and prioritisation of sub-projects (Village 5 Year Planning Meeting)																	
1b. Sector identification and prioritisation of sub-projects for the next 5 years																	
2. Area Council screening and prioritisation of sub-projects (Area Council Five Year Planning Workshop)																	
3. TAC registration and screening																	
4. Preparation of Five Year Strategic Development Plan for the Province																	

STEP	MONTH																
	August	Sept	Oct	Nov	Dec	Jan	Feb	Mar	April	May	June	Jul	Aug	Sept	Oct	Nov	Dec
including TAC report on Sub-national Five Year Priority List and submission to Provincial Government Council																	
5. Announcement of approximate annual investment allocations to the Province by MOF and line Ministries.																	
6. Preparation of Annual (year 1) Development Plan with projects by the TAC and secure additional funding, other than the allocations already made by the Government.																	
7. Submission of Draft Province Five Year Development Strategy and Annual Development Plan to Chairman of																	

STEP	MONTH																
	August	Sept	Oct	Nov	Dec	Jan	Feb	Mar	April	May	June	Jul	Aug	Sept	Oct	Nov	Dec
Provincial Government Council for endorsement.																	
8. Undertake procurement																	
9. Implementation of projects																	
10. Monitoring and Evaluation of five year strategic development plan, annual development plan and projects																	

Annex E. Roles and responsibilities of different individuals/institutions involved in the risk resilient planning, budgeting and monitoring process

Three particular components of the Institutional Framework for the Sub-national Investment Planning Process require clear understanding.

(1) The Technical Advisory Commission (TAC)

A Technical Advisory Commission (TAC) is part of the Local Government structure in each Province.

Composition:

- Secretary General of Province
- Provincial planner
- Other members of Technical Advisory Commission (Provincially Based Government Departments)
- Sector technicians (If required)
- NGOs based at the Province
- level NDMO Representative

Role:

- Support Village Council to prepare the resource maps (after the transect walks) and community profiles.
- Facilitation of Area Council Five Year Strategy and Annual Planning Workshops
- Registration of Area Council and sector priorities
- Verification, appraisal, feasibility study (if required) and preliminary design/costing, Bill Of Quantities (BOQs) of sub-projects
- Preparation of five year provincial strategic development document
- Preparation of annual development plan of the Province.
- Presentation of five year provincial strategic development plan and annual development plan and submission to the Provincial Council.

Screening of projects for climate, environmental and disaster risk and social inclusion issues.

Functions:

- Proposer for the final recommendation made to the Chairman of the Provincial Government Council on the Provincial Five Year Strategic Development Plan;
- Proposer for the final recommendation made to the Chairman on the Provincial Annual Investment Plan and Budget;
- Manage and provide oversight to the Provincial investment planning and implementation process on behalf of the Chairman of the Provincial Government Council;

Review and appraisal of the Provinces' financial reports;

- Ensure timely and sufficient information flow from the Province to the Area Council and village Council regarding the Provincial investment plan and budget process and progress.

(2) The Area Council Technical Advisory Group (AC TAG)

The Area Council Technical Advisory Group will ensure facilitation of and technical input into the Area Council five year strategic development planning process. They will work on a voluntary basis. This is purely a technical team and is therefore composed uniquely of people who can make a difference to the decision-making process at the Area Council level.

Composition:

Teachers

Health workers

NGO representatives active in that Area Council

Representatives from Church

Women group

Businesses

Youth group

There are no limits to the number of members of the AC TAG, and each Area Council will need to evaluate their own needs depending on the size of the Area Council. The members of the AC TAG will be nominated in consultation with the Area Council Secretary.

Role:

Support Village Council to prepare the resource maps (by undertaking the transect walk) and community profiles integrating hazards and risks.

Facilitate the Area Council Five Year Strategic Development Planning Process in terms of all technical aspects, to ensure that the Area Council is provided with the necessary information to make informed recommendations to the Provincial Technical Advisory Commission.

Support the Area Council Secretary to prepare the Area Council Five Year Strategic Development Plan.

To support the Area Council Secretary in prioritizing two project ideas for implementation in the coming five years.

To support the Area Council Secretary in maintaining all the documents.

To extend support to Villagers to prepare the community profiles, risk and resource maps.

Functions:

Technical facilitation of the Area Council Five Year Strategic Development Planning Workshops;

Support Villagers to prepare community profiles, risk and resource maps.

Screening and appraisal of all submitted Village priorities;

Submission of two Area Council level priorities to the Provincial TAC.

(3) The Area Council Five Year Strategic Planning Workshops

Each Area Council in the Province will hold Development Five Year Strategic Development Planning workshop.

Composition:

Secretary, Area Council

Women representative

Youth representative

Church representative
Business representative

Area Council Technical Advisory Group (e.g. teachers, health workers and other resource people)
Village representatives:

- Village Council Chief of each Village
- Landowner representatives
- 1 woman from each Village
- 1 representative from the vulnerable community
- 1 youth representative from each Village

Role:

Screening of Village-level priorities

Organisation of Area Council 5 year Strategic Development Planning Workshop

Organisation of Area Council Annual Planning Workshop

Preparation of Five Year Area Council Strategic Development Plan

Identification and confirmation of Area Council priorities for the current year

Submission of Area Council priorities to the Provincial Technical Advisory Commission

Functions:

screening of Village priority submissions;

discussion of Village priority submissions;

identification of priorities for the Five Year socio- economic development strategies

TERMS	DEFINITION	EXAMPLES
Climate Change	Changes in the Earth's climate, generally referring to those due to human activities but can also include natural processes. These changes can include more intense extreme events such as droughts, floods, and tropical cyclones, and changes in average rainfall patterns. Climate change due to human activity has happened and is expected to continue much more quickly than natural changes in the climate, due to the unprecedented rate of increase in greenhouse gases.	Sea level rise More intense rainfall More intense cyclones
Climate change adaptation	Adjustments in response to actual or expected climate change, to reduce negative impacts or take advantage of opportunities.	Using drought resistant crops Locating new housing away from coasts
Disaster	When a hazard strikes a community and the result level of impact exceeds the affected community's ability to respond and allow the community to get back to normal .	Cyclone Pam affected an estimated 166,000 people 11 fatalities were reported
Disaster Management (DM)	All aspects of planning for and responding to emergencies and disasters, including both pre-and post-event activities .	Stockpiling disaster supplies such as tarpaulins Preparing a community disaster response plan
Disaster Risk Reduction (DRR)	Prevention, mitigation, preparedness and response activities , that a community may decide to undertake to reduce present and future hazard impact .	Retrofitting schools to make them stronger to cyclones Planting mangrove buffers Including disaster and climate awareness in school curriculums
Exposure	People, property, systems, or other elements present in hazard zones that are vulnerable to potential losses.	A house on a steep slope A home garden
Environmental Management (EM)	An attempt to control human impact on and interaction with the environment in order to preserve natural resources	Reducing, reusing and recycling waste

Gender and Social Inclusion (GS)	The process of improving the terms for individuals and groups to take part in society. Social inclusion aims to empower poor and marginalised people to take advantage of burgeoning global opportunities. It ensures that people have a voice in decisions which affect their lives and that they enjoy equal access to markets, services and political, social and physical spaces.	Ensuring women farmers have access to tools being distributed Ensuring persons with disabilities have access to new schools
Hazard	Something natural or man-made that may cause disruption or damage to life, property and/or environment	An earthquake A flood A cyclone A volcanic eruption
Resilient	The ability of a project to resist, absorb, accommodate to and recover from the effects of a hazard in a timely and efficient manner, including through the preservation and restoration of its essential basic structures and functions.	Houses built to meet earthquake standards Crops able to tolerate flood or drought conditions
Risk	The combination of the probability of an event and its negative consequences.	Cyclone damage to a school class room Loss of food garden crops during a drought Drowning of a child during flood event Pollution of uncapped well
Social protection	Policies and programs designed to reduce poverty and vulnerability by promoting efficient labour markets, diminishing people's exposure to risks, and enhancing their capacity to manage economic and social risks, such as unemployment, exclusion, sickness, disability and old age.	Ensuring women farmers have access to tools being distributed Ensuring persons with disabilities have access to new schools
Sustainable	1. Development that is conducted without depletion of natural resources or severe environmental changes/impacts.	No resource depletion e.g. water, trees No environmental change e.g. pollution
Vulnerability	Vulnerability is the degree to which life, property and/or environment is open to being affected by, or unable to cope with , adverse effects of hazard impacts.	People (e.g. single headed household) Infrastructure (e.g. water infrastructure) Activities (e.g. irrigation) Assets/goods e.g. crops)

Vulnerable groups	Populations as defined by socio-economic status, geography, gender, age, disability status, risk status related to sex and gender, and among other populations identified to be at-risk	Women Elderly Youth/children Persons living with disability
Hazard	Something natural or man-made that may cause disruption or damage to life, property and/or environment	An earthquake A flood A cyclone A volcanic eruption

Annex F. Basic CCDRM definitions and examples

Annex G: AREA COUNCIL RISK SCREENING

Step 1. Manage risks TO the project

1a. Tick the hazards or dangers that may impact the project area (use the completed community profile and risk map for information):

	Hazard number	Hazard type	Tick if yes		Hazard number	Hazard type	Tick if yes
Disaster	1	Cyclone/strong winds		Climate change	22	Sea level rise (in 5 or more years)	
	2	Rough seas/storm surge			23	Coral bleaching (in 5 or more years)	
	3	King tide			24	Increase of heavy rainfall (in 5 or more years)	
	4	Heavy rainfall/flood			25	Increase in air, water or sea temperature (in 5 or more years)	
	5	Low rainfall/drought			26	Saltier ground water (in 5 or more years)	
	6	Volcanic eruption/acid rain			27	Other:	
	7	Earthquake			28	Other:	
	8	Tsunami		Environment	29	Rubbish dump	
	9	Landslide/rock fall			30	Hazardous waste (e.g. hospital waste)	
	10	Bush fire			31	Water pollution (due to toilets)	
	11	Building fire			32	Water pollution (due to animals)	

	12	Other:			33	Soil degradation (reduced quality)	
	13	Other:			34	Soil erosion (e.g. sand mining)	
	14	Disputes over land or water			35	Deforestation	
	15	Disputes over chiefly title or leadership			36	Removal of mangroves or wetlands	
	16	Theft or vandalism			37	Dengue outbreak	
	17	Not obeying rules or laws (e.g building codes)			38	Diarrhea outbreak	
	18	Does not involve vulnerable groups*			39	Insect infestation	
	19	Limited community ownership			40	Over fishing or misuse of sea resources	
	20	Other:			41	Over hunting or animals or gathering of plants, nuts, seeds etc.	
	21	Other:			42	Invasive species (marine or land)	
					43	Other:	

* Consider the following people: elderly, disabled (blind, deaf, mental, mobility, other); women; children; youth; female headed households; pregnant women; very sick; ethnic/religious minorities; very poor; other excluded.

1b. In the first column list the number of the hazards or dangers you ticked in step 1a. In the second column list who or what would be impacted if these hazards or dangers happened. In the third column list any ideas on how to manage these problems for the project. There are some examples in the table and below the table for guidance.**

Hazard Number	Potential impacts to the proposed project	Ideas for managing these problems (risks)
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5	Water tanks dry up, and children get sick from using unclean water sources	<ul style="list-style-type: none"> - Include training on water system management and maintenance - Ensure that there is an emergency water supply for dry periods
24	Water source for gravity fed water project becomes unsafe to drink due to pollution from pigs	<ul style="list-style-type: none"> - Fence off the water source - Ensure people keep their animals fenced in
14	Pipes could be cut, no clean water for the community	<ul style="list-style-type: none"> - Ongoing discussions with other land owners required - Predetermine a fine for those who are found to cut pipes

****Examples of risk management measures include: **relocating a project site** (e.g. further away from coast), **changing the project design** (e.g. cyclone resistant design, no clearing on steep slopes), **protecting the project** (e.g. cap well), **increasing capacities** (e.g. maintenance and building skills), **introducing good agriculture and forestry practises** (e.g. mulching, drought tolerant crops, replanting forest), **introducing resource management measures** (e.g. waste management measures), **ensuring that the vulnerable are taken care of** (ensuring equal access to and management of water), **avoiding disputes** (e.g. careful negotiation of project sites, considering the needs of all communities in Area Council plans)

Step 2. Manage risks FROM the project

2a. Tick the hazards or dangers that the project may cause

	Hazard number	Hazard type	Tick if yes		Hazard number	Hazard type	Tick if yes
Disaster	1	Project is located in location that could cause danger for people (e.g. close to the coast, steep hill)		Climate change	18	Project contributes towards climate change (extensive greenhouse emissions e.g. diesel, deforestation)	
	2	Project requires clearing of vegetation on steep slopes or coastline that could cause danger for people			19	Other:	
	3	Project uses a lot of water resources or other		En vir	20	Project may produce excessive rubbish	

		natural resources, increasingly the vulnerability of project area stakeholders			
	4	Other:			
Social	5	Project may cause the displacement or eviction of people			
	6	Project may cause disputes over land			
	7	Project may cause disputes over chiefly title or leadership			
	8	The project may distort the local economy			
	9	All people* do not benefit equally from the project (e.g. only benefits men)			
	10	Project does not cater for the needs of all people* (e.g. disabled can't access)			
	11	Project may affect people's use of existing services/areas (e.g. children's play area, walking paths)			
	12	Project may affect the safety of the community*			
	13	The whole community** were not consulted about the project			
	14	Project will disturb a cultural site			
	21	Project may produce hazardous waste			
	22	Project may cause water pollution (e.g. from toilets)			
	23	Project may cause pollution from animals			
	24	Project may cause degradation of coastline (e.g. sand mining)			
	25	Project may cause soil degradation (reduced quality and quantity)			
	26	Project may cause deforestation			
	27	Project requires removal of mangroves			
	28	Project may result in diseases (to humans, animals or plants)			
	29	Project may disturb farming or gardening			
	30	Project may lead to over fishing or misuse of sea resources			
	31	Project may lead to over hunting or gathering			

	15	Project may cause jealousy because it gives material to only some groups in the community			32	Project may introduce invasive species (marine or land)	
	16	Project may cause increased conflict or crime			33	Other:	
	17	Other:			34	Other:	

* Consider the following people: elderly, disabled (blind, deaf, mental, mobility, other); women; children; youth; female headed households; pregnant women; very sick; ethnic/religious minorities; very poor; other excluded.

2b. For all of the hazards or dangers that could be caused by the project, write down the potential impact if the hazards or dangers happened (list who and/or what would be impacted). Also list any ideas for managing these problems. There are some examples in the table and below the table for guidance.**

Hazard Number	Potential impacts from the proposed project	Ideas for managing these problems (risks)
10	<i>Water tap is to be located on a steep slope meaning people with a disability or the elderly wouldn't be able to easily access</i>	<i>Create another tap on flat ground</i>
12	<i>Construction of the new building will take place next to a school so children will be exposed to abuse or will play amongst unsafe debris</i>	<i>Ensure children are supervised at all times when playing near construction site</i> <i>Fence construction site</i>

****Examples of risk management measures include: relocating a project site** (e.g. further away from coast), **changing the project design** (e.g. cyclone resistant design, no clearing on steep slopes), **protecting the project** (e.g. cap well), **increasing capacities** (e.g. maintenance and building skills), **introducing good agriculture and forestry practises** (e.g. mulching, drought tolerant crops, replanting forest), **introducing resource management measures** (e.g. waste management measures), **ensuring that the vulnerable are taken care of** (ensuring equal access to and management of water), **avoiding disputes** (e.g. careful negotiation of project sites, considering the needs of all communities in Area Council plans)

Step 3. Assess project benefits

Although it is possible to find ways to manage hazards and dangers to and from a project, some projects will from the start be designed to directly build resilience to hazards, help communities adapt to a changing climate, manage environmental problems and protect and include vulnerable groups. It is useful to identify these benefits, because these projects are more likely to receive funding. Please indicate below whether the project has any of these benefits.

3a. Tick project benefits

	Benefit number	Hazard type	Tick if yes		Benefit number	Hazard type	Tick if yes
Disaster	1	Project will assist in reducing vulnerability to disaster (e.g. a new community hall is also designed as an evacuation centre)		Climate change	8	Project will help adapt to climate change (e.g. protects coastline with revegetation)	
	2	Other:			9	Project will reduce greenhouse gas emissions (e.g. planting trees)	
Social	3	Project increases participation of the whole community*		Environment	10	Project improves environmental sustainability (e.g. project improves waste management practices in the community)	
	4	Access to resources, infrastructure or services is improved for the whole community*					
	5	Project increases the safety of the community** (e.g. road crossing in front of a school)					
	6	Project increases economic opportunities equally within the community* (e.g. women, youth and					

men farmers)

- 7** Project increases services for the community (e.g. builds a children's playground)

* Consider the following people: elderly, disabled (blind, deaf, mental, mobility, other); women; children; youth; female headed households; pregnant women; very sick; ethnic/religious minorities; very poor; other excluded.

3b. List details of how the project will impact positively on the community

Benefit Number	Details of benefits (who will benefit and what are the benefits)
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6 & 8	<i>Male and female farmers will benefit from drought resilient seeds to protect against future climate change and current climate variability (e.g. El Nino)</i>
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Annex H: Risk Screening Questionnaire

Introduction to the Risk Screening Questionnaire

Who should use this risk screening questionnaire? This questionnaire has been prepared for the Provincial Technical Advisory Committee (TAC) to screen small community, sector or provincial development projects. The TAC should refer to the completed Area Council risk screening template to complete this more detailed risk screening at provincial level.

What are they for? They will help with the following:

- a) *Identify risks to and from a development project.* Risk screening is an essential first step to identifying and assessing disaster, climate, environmental and social protection risks to and from a project.
- b) *Identify how to avoid, reduce or manage these risks to and from a development.* Screening will also help you find ways to make a project more resilient, inclusive and sustainable given the changing climate and environment; and given vulnerability to disaster hazards in the country (see *Box 1*).
- c) *Identify projects with benefits for risk resilience, sustainable and inclusive development.* By highlighting these benefits, project funding is more likely to be secured.

Box 1: What are we trying to achieve?

- ❖ **Resilient development** that is better able to cope with changes in climate and the environment and is able to withstand disasters.
- ❖ **Sustainable development** that minimises its impact on the environment.
- ❖ **Inclusive development** that ensures men, women and other vulnerable groups (e.g. children, elderly, those living with disabilities) benefit equally from development initiatives, by taking into account their different needs, concerns and capacities.

When to screen for risk? Screening should take place as early as possible, at the site selection and design stages of a project to ensure that potential climate, environmental, disaster and social protection risks to and from a project are flagged before more detailed design or confirmation of site location.

Box 2: What do we mean by risk?

RISK TO A PROJECT

The probability of harmful impacts to a project (e.g. damage to a school or injury to project stakeholders) resulting from the interaction between a source of risk (e.g. hazard such as a cyclone) with vulnerabilities (e.g. the school building, teachers, pupils and teaching materials). The source of risk varies:

- ❖ **Disaster risk:** the source of risk is a hazard (e.g. earthquakes, landslides).
- ❖ **Climate risk:** the source of risk is short term climate variability and long term climate change causing disaster events (e.g. flash floods) and/or more gradual long term changes (e.g. to levels of rainfall or sea level).
- ❖ **Environmental risk:** the source of risk is environmental hazards (e.g. pollution) and changes in availability/quality of natural resources (e.g. land, water).

RISK FROM A PROJECT

The probability of harmful impacts to the environment (e.g. deforestation), climate, disaster vulnerability and vulnerable groups resulting from the interaction of project activities (e.g. land clearance) and sensitives in a project area (e.g. natural forest).

- ❖ **Disaster and climate risk:** the source of risk are project activities such as site selection, vegetation clearance, construction, transportation and energy use resulting in impacts such as deforestation, pollution, emissions of greenhouse gases (contributing to climate change) or increased disaster vulnerability for project stakeholders.
- ❖ **Social protection risk:** the source of risk is the distribution or redistribution of goods or services by a project, impacting negatively on different social groups (including vulnerable groups) – for example the provision of seedlings to male farmers only.



How to screen for risk? Complete the questions in the following tables drawing upon the example provided in each table for a development project focusing on developing two open water wells in a community. You should draw upon existing information to help you with risk screening including community profiles, community risk maps and GIS maps.

SCREENING FOR RISKS TO THE PROJECT

This section helps you identify risks to the project from disaster hazards, climate and environmental change.

1. Is the project in a high risk geographical location* that could to question 3] (see Area Council template 1a, 1-13)			be impacted by disaster hazards? <i>[If no skip</i>	
High risk location	Yes/No	What parts of the project?*	Have you used GIS maps (Y/N)	Have you used community risk maps (Y/N)
<i>e.g. low lying coastal area</i>	<i>Yes</i>	<i>Two proposed water wells</i>	<i>No</i>	<i>Yes</i>

Low lying coastal area				
Stream floodplain				
Steep slopes/cliff				
Cyclone zone				
Earthquake zone				
Volcanic zone				
Bush/grass area				
Near a main road				
Near a rubbish dump				
Other e.g. industrial area?				

* When considering **parts of the project that can be impacted** take into account project sensitivities such as: i) project stakeholders (e.g. beneficiaries, employees); ii) project goods or assets (e.g. crops); iii) project infrastructure (e.g. water pipes, buildings); and iv) project activities (e.g. irrigation).

2. If the project is in a high risk geographical location, what (see Area Council template 1a, 1-13)			hazards could impact your project?*	
Hazard	Yes/No	What part of the project will be most impacted?	What is/are the possible impacts?*	How big is this impact?***
<i>e.g. tsunami</i>	<i>Yes</i>	<i>Two open water wells</i>	<i>Water pollution & damage to well</i>	<i>High</i>
Tsunamis				

Rough seas/storm surge				
King tides				
Heavy rainfall/flood				
Landslides/rock fall				
Earthquakes				
Cyclones/strong winds				
Volcanic eruption/acid rain				
Low rainfall/drought				
Bushfire				
Environmental hazards e.g. water pollution, erosion, insect infestation				
Other?				

* When identifying the **possible impacts** consider how the hazard could impact the project sensitivities, for example: i) changing availability or quality of natural resources; ii) displacing, injuring or increasing disease for project stakeholders; iii) damaging project assets/goods; or iv) disrupting project activities.

** When identifying **how big the impact** is, take into account whether you think the hazard or change is likely to happen and how severe the impacts would be. Categorise as high, medium or low. It is good to rate risks because this will show you where you need to focus any risk management.

3. Is the project dependent upon or sensitive to weather and
(see Area Council template 1a, 14-20)



climate conditions or changes?

Change	Yes/No	What part of the project will be most impacted?	What is/are the possible impacts?	How big is this impact?
<i>Example e.g. rainfall</i>	<i>Yes</i>	<i>Two proposed water wells</i>	<i>Reduced water availability</i>	<i>High</i>
Rainfall				
Coral bleaching				
Sea or air temperature				
Sea level				
Saltier ground water				
Other?				

4. Is the project dependent on the environment and sensitive to
(see Area Council template 1a, 21-35)



changes?

Note: changes to the environment include pollution, waste contamination, degradation, erosion, vegetation clearance, or changes in quality and availability of natural resources such as water

Resource dependence	Yes/No	What part of the project will be most impacted?	What is/are the possible impacts?	How big is this impact?
<i>Example e.g. water</i>	<i>YES</i>	<i>Two proposed open water wells</i>	<i>Water pollution causing sickness, children off school</i>	<i>Medium</i>

Water				
Land/soil				
Vegetation				
Animals/livestock				
Fisheries/marine resources				
Other?				

5. Is your project dependent on or sensitive to social changes?
(see Area Council template 1a, 36-43)



Social change/threat	Yes/No	What/who in the project area will be most impacted?*	What is/are the possible impacts?	How big is this impact?
<i>e.g. disputes over land that the project is located on could threaten the viability of the project</i>	Yes	<i>People disputing the land may prevent the project from going ahead</i>	<i>Project is threatened</i>	<i>High</i>
Dispute over land or water				
Dispute over chiefly title or leadership				

Theft or vandalism

Not obeying laws

Does not include
vulnerable groups*

Limited community
ownership

* Consider the following people: elderly, disabled (blind, deaf, mental, mobility, other); women; children; youth; female headed households; pregnant women; very sick; ethnic/religious minorities; very poor; other excluded.

6. SUMMARY OF RISKS TO THE PROJECT

An impact becomes a risk if you think it will happen and it will have consequences. Please summarise all high/medium risks that you have identified in Questions 2-5.

TOP RISKS	DETAILS	RISK RATING
<i>e.g. tsunami</i>	<i>Physical damage to water wells and pollution of water</i>	HIGH
1.		
2.		
3.		
4.		
5.		

SCREENING FOR RISKS FROM THE PROJECT

This section helps you identify risks from the project for climate and environmental change, disaster vulnerability and social protection.

7. Is the project likely to increase disaster vulnerability and therefore the risk of disasters?
(see Area Council template 2a, 1-5)



Project cause of change	Yes/No	What/who in the project area will be most impacted?*	What is/are the possible impacts?	How big is this impact?
<i>e.g. removal of mangroves</i>	<i>Yes</i>	<i>Households adjacent to the coast</i>	<i>Damage to houses & home gardens, loss of possessions & livestock</i>	<i>Low</i>
Locating project in a high risk area				
Clearing forest				
Clearing mangrove				
Clearing wetlands				
Using scarce community resources				
Other?				

**What/who in the project area will be impacted could include: i) environmental resources (e.g. forests, mangroves, coastal reefs, areas with lots of plant and animal species; ii) cultural and historical resources (e.g. graveyards); and iii) people (including vulnerable groups).*

8. Is the project likely to have negative impacts on the environment?

(see Area Council template 2a, 6-20)



Note: these include projects that will use lots of environmental resources (e.g. water), will involve cutting down vegetation to clear the land, or will involve damaging activities such as waste disposal.

Project cause of change	Yes/No	What/who in the project area will be most impacted?*	What is/are the possible impacts?	How big is this impact?
<i>e.g. use lots of water</i>	<i>Yes</i>	<i>Environmental resources including plants/animals/other communities</i>	<i>Reduced water availability for plants/animals/people in the area</i>	<i>Low</i>
Use lots of water				
Use lots of minerals/rocks				
Use lots of energy				
Use lots of land plants, trees, animals				

Use lots of sea
plants, fish, coral
etc.

Clear vegetation
from land

Produce lots of solid
waste or hazardous
waste

Pollute air, soil or
water

Other?

9. Is the project likely to contribute to climate change?
(see Area Council template 2a, 21-23)



Project cause of change	Yes/No	What part of the project area will be most impacted?*	What is/are the possible impacts?	How big is this impact?
<i>e.g. cutting down trees to clear land for wells</i>	Yes	<i>Environmental resources e.g. trees</i>	<i>Only a few trees cut, so a minor increase in greenhouse gases</i>	Low
Cutting down trees				
Transportation				
Energy use				

Energy generation

Other?

10. Is your project likely to contribute to inequalities, discrimination* or vulnerability? (see Area Council template 2a, 24-38)				
Pro Project cause of change	Yes/No	What/who in the project area will be most impacted?*	What is/are the possible impacts?	How big is this impact?
<i>e.g. involves distribution of water</i>	Yes	<i>People living with disabilities unable to access the wells</i>	<i>Unequal access to water</i>	<i>Medium</i>
Involves distribution or redistribution of natural resources e.g. water, timber				
Provides goods/assets e.g. seeds, tools				
Provides infrastructure e.g. water, sanitation				
Provides services e.g. health				



**Discrimination means treating a person or a group of people differently (especially in a harmful way). For example, this could be because of sex, sexuality, Kastom beliefs, disability or religion.*

11. SUMMARY OF RISKS FROM THE PROJECT

An impact becomes a risk if you think it will happen and it will have consequences. Please summarise all high/medium risks identified in questions 7-10.

TOP RISKS	DETAILS	RISK RATING
e.g. redistribution of water	Potential unequal access to water for vulnerable households including those living with disabilities.	MEDIUM
1.		
2.		
3.		
4.		
5.		

SCREENING FOR BENEFITS FROM THE PROJECT



Some projects are **designed from the start to provide benefit for the climate, environment, disaster or social protection risks**. For example projects that help communities conserve coral reefs, help improve waste management, target specific vulnerable groups, or help tackle water shortages from future climate change by providing water tanks.

For such projects, please complete the table below and rate the benefits that a project will provide for resilience, sustainability and social inclusion. By rating benefits, you are more likely to obtain project funding.


*If the project is a more standard development **project that does not directly tackle these issues**, but needs to be made stronger or more resilient given the risks identified earlier, please move straight to Question 14 to help you identify ways to manage these risks.*

12. Is the project designed to tackle climate change, environmental change or disaster risks? (see Area Council template 3a, 1-6)				
Project benefit	Yes/No	What/who will benefit?*	What is/are the benefit(s)?	How big is this benefit?
<i>e.g. No direct benefits from wells</i>	<i>No</i>			<i>None</i>
Improve disaster risk resilience	<i>e.g. yes</i>	<i>Whole community</i>	<i>New evacuation centres to protect the community during a disaster also doubles up as a community hall</i>	<i>High</i>
Improve environmental sustainability				
Help adapt or cope with climate change				



Help reduce GHG emissions				
Other?				

**Beneficiaries could include: women, children, youth, elderly, individuals living with disabilities, singled headed households etc.*

<p>13. Is the project designed to help certain vulnerable groups?* (see Area Council template 3a, 7-13)</p>				
				
Project benefit	Yes/No	Who will benefit?*	What is/are the benefit(s)?	How big is this benefit?
<i>e.g. No direct benefits</i>	<i>No</i>			<i>None</i>
Improve participation				
Improve access to resources				
Improve access to goods/assets				

Improve access to infrastructure	<i>e.g. Yes</i>	<i>People with disabilities</i>	<i>Improved access to community meetings</i>	<i>Medium</i>
Improve skills				
Improve economic opportunities equally				
Increased safety				
Improved services				
Other				

14. SUMMARY OF BENEFITS TO THE PROJECT

Please summarise all high/medium rated benefits that you have identified (if any) below.

TOP BENEFITS	DETAILS	BENEFIT RATING
<i>e.g. No direct benefits</i>	<i>Water well project designed to meet a development need rather than specifically to tackle risk</i>	NONE
1.		

2.

3.

MANAGING RISK TO AND FROM THE PROJECT

If the project is not specifically designed to deal with climate, disaster, environmental and social protection risks, it is still possible to build project resilience and reduce project impacts by introducing management measures that help the project reduce disaster risk, adapt to climate change, manage the environment or support vulnerable groups. Even if a project is designed to address environmental risk (e.g. reducing waste), there may be ways to manage some other risks you have identified.

Use the risk summary in Question 6 to identify the main risks to the project that you will need to manage.

15. Manage risk TO the project: can you think of ways to avoid, protect or prepare the project from the risks you have identified?		
Management strategy	YES (<input checked="" type="checkbox"/>) NO (<input type="checkbox"/>)	Management measure details (see Area Council template 1b)
e.g. reduce risk by protecting project assets	Yes	Ensure all new wells are capped and protected to reduce water pollution
Avoid risk e.g. relocate project, modify project		



Reduce risk through design or construction e.g. hazard resilient building design

Reduce risk by protecting project assets, people, activities e.g. embankments, planting to stabilise slopes

Accommodate risk by introducing new activities, technologies or products e.g. climate resilient crops, preparing project employees for disasters

Transfer risk e.g. insuring project assets

Other?

Use the risk summary in Question 11 to identify the main risks from the project that you will need to manage.

16. Manage risk FROM the project: what can you do to stop the project from damaging the environment and climate, impacting vulnerable groups and increasing disaster risk?



Management strategy	YES (<input checked="" type="checkbox"/>) NO ()	Management measure details (see Area Council template 2b)
<i>e.g. reduce risk by project design</i>	<i>e.g. Yes</i>	<i>e.g. installing a ramp to ensure elderly/those with a disability are able to access wells AND capping wells to prevent drowning</i>
Avoid or eliminate risks by site selection e.g. finding an alternative site away from sensitive environments		
Reducing risk by design or construction e.g. clearing less land, ensuring no tree harvesting on steep slopes		
Reduce pollution risk by introducing new activities, technologies, products or practices to minimise pollution e.g. sustainable waste management		

Reduce resource use risk by introducing new activities, technologies, products or practices to reduce resource use e.g. rainwater harvesting, solar panels, reforestation		
Reduce risk by raising awareness e.g. training on sustainable farming		
Other?		

In order to see how effective the management measures are, you will need to develop indicators to help monitor progress with risk management.

17. For your top management measures, please identify indicators for monitoring and evaluating the effectiveness of these risk management measures?			
Component of indicator	Management Measure 1	Management Measure 2	Management Measure 3
<i>Description of measure</i>	<i>Protection of water wells</i>		
What is the quantitative change	<i>TWO new wells are capped</i>		



What is the quality change?	<i>Water is free from pollution and flood water contamination</i>		
Timeframe for change?	<i>By 2016</i>		
Target group	<i>All households including vulnerable groups</i>		
Location	<i>Village X</i>		
Final indicator	<i>Two new wells in village X are effectively protected from flooding and pollution by 2016</i>		



Indicators help you measure progress towards a result and identify progress with managing risks. When you choose an indicator it is useful to include a measure of: i) how much change will take place (quantity); ii) how effective the change is (quality); iii) timeframe for the change; iv) target group; and v) location.

