



REPUBLIC OF VANUATU

**NATIONAL ADVISORY BOARD  
ON CLIMATE CHANGE AND  
DISASTER RISK REDUCTION**



**NATIONAL ADVISORY BOARD**  
on Climate Change and Disaster Risk Reduction  
GOVERNMENT OF VANUATU

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# **Risk Governance Assessment Report**

## **Strengthening Climate and Disaster Risk Governance in Vanuatu**

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*Supported by Pacific Risk Resilience Project*

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1. Risk Profiling Report
2. Climate Public Expenditure and Institutional Review Report
3. List of people consulted

## ACRONYMS AND ABBREVIATIONS

<b>ADR</b>	<b>Annual Development Report</b>
<b>AusAID</b>	<b>Australia's Agency for International Development (now DFAT)</b>
<b>CBO</b>	<b>Community Based Organizations</b>
<b>CC</b>	<b>Climate Change</b>
<b>CCA</b>	<b>Climate Change Adaptation</b>
<b>COM</b>	<b>Council of Ministers</b>
<b>DARD</b>	<b>Department of Agriculture and Rural Development</b>
<b>DEPC</b>	<b>Department of Environmental Protection and Conservation</b>
<b>DLA</b>	<b>Department of Local Authorities</b>
<b>DoE</b>	<b>Department of Energy</b>
<b>DLQS</b>	<b>Department of Livestock and Quarantine Services</b>
<b>DRM</b>	<b>Disaster Risk Management</b>
<b>DRR</b>	<b>Disaster Risk Reduction</b>
<b>DSPPAC</b>	<b>Department of Strategic Planning, Programming and Aid Coordination</b>
<b>EIA</b>	<b>Environment Impact Assessment</b>
<b>GIS</b>	<b>Geographical Information System</b>
<b>HRD</b>	<b>Human Resources Development</b>
<b>INGO</b>	<b>International Non-Government Organizations</b>
<b>MDG</b>	<b>Millennium Development Goals</b>
<b>MIPU</b>	<b>Ministry Infrastructure and Public Utilities</b>
<b>ME</b>	<b>Ministry Energy</b>
<b>MoE</b>	<b>Ministry of Environment</b>

<b>M&amp;E</b>	<b>Monitoring and Evaluation</b>
<b>NAB</b>	<b>National Advisory Board on Climate Change and Disaster Risk Reduction</b>
<b>NACCC</b>	<b>National Advisory Committee on Climate Change</b>
<b>NAP</b>	<b>National Action Plan (DRR and DM)</b>
<b>NAPA</b>	<b>National Adaptation Plan of Action</b>
<b>NDMO</b>	<b>National Disaster Management Office</b>
<b>NGO</b>	<b>Non-Government Organization</b>
<b>NSO</b>	<b>National Statistics Office</b>
<b>PAA</b>	<b>Priorities and Action Agenda</b>
<b>PDMC</b>	<b>Provincial Disaster Management Committees</b>
<b>PLAS</b>	<b>Planning Long, Acting Short</b>
<b>PMO</b>	<b>Prime Minister's Office</b>
<b>PSC</b>	<b>Public Service Commission</b>
<b>REDD</b>	<b>Reducing emissions from deforestation and forest degradation in developing countries</b>
<b>TAC</b>	<b>Technical Advisory Commission</b>
<b>UNDP</b>	<b>United Nations Development Programme</b>
<b>UNFCCC</b>	<b>United Nations Framework on Climate Change</b>
<b>USD</b>	<b>United States Dollar</b>
<b>WB</b>	<b>World Bank</b>

## STRUCTURE OF REPORT

**The report is structured into seven Parts.**

### **PART ONE: Introduction**

This section covers a broad range of background and implementation issues associated with the Risk Governance Assessment (RGA) including a brief description of the Vanuatu Context; some background into the establishment of the National Advisory Board for Climate Change and Disaster Risk Reduction (NAB) and discussion on the underlying issues that have challenged its effectiveness during the first year of operation.

The purpose of the RGA is defined as is a list of the key RGA outputs and components. A brief description of the consultation process is provided and reference is also made to a conceptual framework that was utilised to frame questions and show linkages as a means of demystifying the connections between Climate Change, Climate Change Adaptation, Disaster Risk Reduction and Disaster Risk Management.

### **PART TWO: National Advisory Board for Climate Change and Disaster Risk Reduction (NAB)**

This section provides some background information on the establishment of the NAB including details on the original structure and mandate of the NAB including the Executive Committee and Secretariat/Project Management Unit.

Consultation feedback is included leading to recommendations for strengthening the NAB (including the Secretariat) structure, role and capacity.

### **PART THREE: Capacity Assessment of National Level Agencies**

This section details the results of a comprehensive analysis of agencies at the national level. It looks specifically at the horizontal linkages and information sharing between agencies including NGOs and the private sector; and also at the vertical linkages between national level agencies, provincial governments, area councils and ultimately with communities.

Specific emphasis was placed on analysing planning and policy documents; human resource capacities against specific mandates; information management systems; knowledge management and Monitoring and Evaluation systems (M&E).

The key issues related to each of these issues are summarised as are a list of recommendations.

### **PART FOUR: Capacity Assessment of Local Government**

This section provides background information on the Government's Decentralisation Act together with an analysis of the Local Government system including the Department for Local Authorities (DLA), Provincial Councils and Area Councils. Their relationship with, and role of the Technical Advisory Commission (TAC) in coordinating government services and supporting Business Planning and implementation is also analysed.

A comprehensive list of issues has been detailed as have recommendations designed to strengthen the local government system and facilitate the operationalization of the Decentralisation Act.



## **PART FIVE: Risk Profiling**

This section is an Executive Summary of a more detailed component report<sup>1</sup>. The identification of key risks and vulnerabilities is a critical precursor to achieving resilient development outcomes and this component has provided the start-point for this process – namely the identification of risks. In undertaking the analysis the component reviewed a large range of documentation including regional and global reports and undertook consultations with the key stakeholders in Vanuatu including project teams from regional projects.

## **PART SIX: Financing**

This section is an Executive Summary of a more detailed report that addresses the issues of funding mechanisms and access to funding. The component reviewed the past trends in climate funding, analysed the challenges related to achieving National Implementing Entity (NIE) status and considered the capacities of finance staff to undertake broader work in relation to mainstreaming climate financing.

## **PART SEVEN: Implementation of Recommendations**

This section of the report provides a complete list of all recommendations together with the names of existing and/or proposed projects that are in a position to implement the specific recommendations.

The strong message is the recommendations must be structured to ensure prerequisite issues are identified.

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<sup>1</sup> Profile of risks from climate change and geohazards in Vanuatu.

## EXECUTIVE SUMMARY

### Introduction

Vanuatu has positioned itself as a regional leader in the fields of Climate Change (CC) and Disaster Risk Reduction (DRR) and has been widely applauded for its initiative to establish a National Advisory Board for Climate Change and Disaster Risk Reduction (NAB) as a means of improving coordination and governance around the two issues. While some improvements have been observed since the formation of NAB, the execution of the NAB functions has proven to be a difficult challenge and while capacities and the ability to coordinate and manage resources are important, there are some underlying issues that will continue to test the NAB resolve.

For example, CC and DRR are both undisciplined fields meaning that any individual or agency can declare themselves experts in the fields making coordination very difficult. There are also low levels of buy-in to the NAB process from across many government agencies which dilutes the effectiveness of NAB as a strategic policy driver and very few systems have been established to facilitate information sharing.

Many of these challenges can be overcome, however it will require a concentrated effort on behalf of the NAB Secretariat to ensure that strong and decisive leadership is demonstrated and that the important policy and planning frameworks together with information management systems are established, operationalized and maintained.

### Risk Governance Assessment

This RGA was initiated at the request of the Vanuatu Government. It was designed to critically analyse the NAB structure including roles, while also expanding its focus to assess the capacities of agencies undertaking CC/DRR activities.

The RGA was funded by the Australian Government<sup>2</sup> through the UNDP Regional Risk Resilience Program and was conducted during the period September to November, 2013. The specific outputs for the RGA were:

- An Assessment Report providing analysis, recommendations and implementation plan for strengthening risk governance related to Climate Change and Disaster Risk Reduction.
- A draft National Policy on Climate Change and Disaster Risk Reduction drawing inputs from the RGA Governance, Risk Profiling, Climate Financing consultancies in addition to previous initiatives and consultations.
- A capacity development plan for the NAB and its Secretariat based on a performance analysis of current functions and structure.

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<sup>2</sup> SPC-GIZ provided technical assistance for the development of the National Policy CC/DRR

- A matrix elaborating the areas/issues found out through the RGA and mapping current activities of projects undertaking different activities at different level and the gaps, which can be used by the NAB as a tool for coordination.

### **RGA Consultation Process**

RGA consultations were arranged through the NAB–PMU and where appropriate, PMU staff participated in consultation meetings with government agencies. Although more than 80 persons participated in the consultations, the overall engagement particularly from government agencies, was generally disappointing. A number of officials for reasons not disclosed, simply failed to keep appointments with the RGA team even after confirmations were made. Feedback from other sources suggests that insufficient time was given to facilitate their attendance and of course conflicting agendas prevented others from attending meetings. Despite this, there was a clear sense that engagement with NAB was not a priority for many officials and that significant bridge building was required by the Secretariat to re-engage with these agencies.

### **Findings and recommendations**

The findings and recommendations of each section of the report are outlined below. More detailed analysis can be found in the relevant section.

### **Part Two – National Advisory Board Climate Change and Disaster Risk Reduction**

NAB was created to serve as Vanuatu's supreme policy making and advisory body for all climate change and disaster risk reduction projects, initiatives and activities<sup>3</sup>. At the time of the RGA, it has been established for just 12 months and during this time a total of three meetings have been convened. Unfortunately the meetings were not well attended and agenda items tended to be on lower level project based issues rather than strategic policy level discussion and decisions.

Ten key observations were made as a result of feedback. Several of these are summarized below:

- There was a view that NAB was dominated by Ministry for Climate Change officials and therefore not representative of whole-of-government services.
- Some felt that NAB should focus on strategic issues that support the broader government decision-making system.
- Owing to the absence of specific criteria, some felt that NAB decision making processes lacked transparency.
- There was a view that NAB was simply duplicating existing mechanisms and it was unclear who it reported to.

### **Recommendations**

Three options for reforms to the NAB structure, together with amendments to its roles and representation are proposed. These are designed specifically to address a range of issues including:

1. The level of engagement of senior officials
2. Transparency in decision making

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<sup>3</sup> Refer to the Government decision number 141/2012.

3. Positioning NAB as a value-adding entity within the broader development agenda.
4. Formalizing the NAB reporting.

### **Secretariat**

The NAB Secretariat was established to also serve as a joint Project Management Unit (PMU). It had 28 specific responsibilities to fulfil within three strategic functional areas:

1. Strategic Governance and Policy
2. Technical advice, project monitoring and coordination
3. Financing, procurement and administration.

Since it was established, the Secretariat/PMU has been heavily engaged in implementing projects including those designed to strengthen their own capacity. This has resulted in the Secretariat's strategic coordination, information management and stakeholder relationship functions being neglected or not properly executed.

A number of issues were raised about the Secretariat/PMU effectiveness and several of these are summarized below:

1. There was a need to separate the Secretariat and PMU functions so that the Secretariat can undertake its primary support and facilitation role.
2. There was some concern that because the Secretariat functions were not being undertaken in an effective manner that there was the potential for non-compliance with government finance policy.
3. The Secretariat should be focusing their priorities on facilitating the CC/DRR work of departments.
4. There was a need to ensure the NAB Portal was operating at its full potential in terms of knowledge management and information management.

### **Recommendations**

Reforms to the structure and roles of the Secretariat are proposed and the role of the PMU clearly defined. The recommendations aim to:

1. Position the Secretariat in a strategic whole-of-government leadership role on CC/DRR driving coordination, stakeholder relationships and information management including knowledge management.
2. Provide a sustainable funding model for Secretariat staff.
3. Position the PMU as a mechanism for managing and or coordinating operational support to multi-sector CC/DRR projects in partnership with other agencies.

### **Questionnaire**

Specific questionnaire was developed to guide discussions at both the national and Local Government Levels. The key themes were:

- Institutions and Structures

- Planning and Implementation
- Budgeting and Financial Management
- Human Resource Capacity
- Monitoring and evaluation
- Knowledge, Information and Communication
- Partnerships and Coordination

### **Part Three - Capacity Assessment National Level**

The national assessment considered both horizontal relationships across departments and with INGOs and the private sector. It also analyzed the vertical relationships from national through to community levels to determine the level of engagement and influence lower level institutions (including communities) are having on the framing of national policy and the development of plans and priorities. The Disaster Risk Management (DRM) functions associated with emergency response, early recovery and other humanitarian assistance do not come under the remit of NAB and therefore these aspects are not covered in the RGA analysis. These areas have been adequately covered on other reviews<sup>4</sup> however the institutional arrangements and capacity of NDMO are addressed as part of the broader Ministry of Climate Change (MCC) analysis.

A total of 13 Departments were consulted in addition to the Chamber of Commerce representing the private sector, Oxfam representing the I-NGOs and SPC-GIZ representing regional organisations.

The major observations in relation to the consultations included:

1. A number of legislative changes are required to reflect the current climate and disaster governance arrangements and clarify the full range of climate and disaster risk responsibilities.
2. The current Corporate, Strategic and Business planning process of different Ministries and Departments are weak with many agencies not having plans.
3. The MCC does not yet have an approved long term Corporate Plan, although it is acknowledged that efforts are ongoing to complete this task. The lack of a formal plan is sending the wrong signals to the COM that the Ministry is not demonstrating alignment with the national priorities contained within the PAA and PLAS. This means that the medium term plan related to CC/DRR is either not implemented or, if implemented, it is not reported well.
4. No systematic assessment has been carried out to understand the required skills set, existing skills set and the gaps for implementing CC/DRR initiatives. No human resource development plan has been developed. Most training is ad hoc in nature and not linked to a formal professional development strategy
5. M&E systems are weak or non-existent in most agencies. Therefore the CC/DRR achievements may not be adequately highlighted in the Government Annual Development Report prepared by the PMO.
6. Information and knowledge management systems are lacking within the NAB and most agencies making information sharing and the learning of lessons almost impossible.

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<sup>4</sup> AusAID International Disaster Response Laws, Rules and Principles Review 2012

## Recommendations

The recommendations have focused on the key foundation issues required for long-term and sustainable planning and actions in the CC/DRR field. Many of the recommendations will have positive impacts on the broader development agenda.

These are summarized below, however a number have several sub recommendations which are not displayed here:

1. Improve corporate, strategic and operational planning capabilities.
2. Strengthen legal policy and legislative frameworks.
3. Create and implement a national strategy for CC/DRR capacity development
4. Establish and operationalize a formal M&E system.

## Part Four – Capacity Assessment Local Government

The RGA analysis was undertaken in three of the six provinces; SANMA, TAFEA and SHEFA in addition to detailed discussion with the Department of Local Authorities. The key observations included:

- The Decentralisation Act (2006) and the Amendment to the Act (2013) outline the roles and responsibilities of the local administration under a decentralisation of service delivery across Vanuatu. While the Act is quite specific about how it will be implemented, there are significant capacity and resource challenges, in addition to varying perceptions as to what the Act is designed to achieve that will make operationalization of the Act difficult.
- DLA is under resourced and currently lacks the capacity to drive the operationalization of the Decentralisation Act. It also has no Corporate Plan, Strategic Plan nor Business Plan. They also lack the resources to strengthen provincial and area councils.
- There are a number of challenges within the existing structure at local level. For example, there are conflicting priorities between elected officials and appointed officials tasked to manage the local government structures on a day-to-day basis.
- The current planning trends at provincial and area council levels generally tend to be non-strategic and ad hoc and there are no consistent templates to guide planning. For example, most do not have a long-term strategic plan and there is no provision for communities to influence planning and priorities.
- While it is now mandatory for provincial governments to utilise Technical Advisory Commissions to engage with, and include government services in planning processes, this is not effective owing to limited resources, capacity, guidelines and systems.
- Area Secretaries/Councils are under-resourced and incapable in many instances of performing their mandated responsibilities.
- Many projects implemented by Government, INGOs, UN and Regional Agencies generally bypass local government systems which means that authorities are unable to monitor progress toward the achievement of community programs, nor are they able to benefit from such programs in implementing their own priorities.

## Recommendations

The recommendation focus upon establishing the business foundations to facilitate the operationalization of the Decentralization Act. They include:

1. Strengthen the capacity of DLA.
2. Strengthen Planning and M&E frameworks at provincial and area council levels.
3. Strengthen community action planning in accordance with the bottom up planning process envisaged in the Act.

## Part Five – Risk Profiling

A full and detailed report has been prepared for this component. The RGA Report contains an Executive Summary and should only be read as a guide. The outputs for the component included:

1. A library of Vanuatu risk assessment reports in both digital format and a summary of documents.
2. A geo-hazards, climate change and disaster risk profile for Vanuatu contained with a digital database.
3. A list of current and planned risk mapping activities in Vanuatu.
4. Identified data and analysis gaps and a set of priority mapping.

The assessment was undertaken following a three step process:

1. Compilation of documents and information through: collection of social and natural scientific research reports undertaken on geo-hazards, climate, climate-change and disaster risks in Vanuatu; collection of key national and provincial level vulnerability identification and assessments or any other published risk reports; identification and listing in a database of current and planned risk mapping activities in Vanuatu; identification, location and listing of datasets for Vanuatu that could be useful. These include all geophysical/climate/oceanographic datasets both locally and overseas.
2. Synthesise and analyse through: summarise and synthesise the key findings into a single document covering geological risks (volcanic, seismic hazards and tsunami-genic hazards), climate variability, climate change to date, climate projections, disaster risk; create basic visual risk maps of Vanuatu climate and disaster risks, showing in broad terms the level of risk for each island.
3. Identify gaps and options for future work through: identification of gaps in data, information and analysis; identification of research required to downscale analysis and further identify the level of risk for each province or island; identification of the most important meteorological variable that needs research to determine the level of risk for each island; listing of options for further research and recommendations for priority projects.

## Observations and Recommendations

Observation	Recommendation
No disaster database exists	Set up a database shared and used by the ministries and other stakeholders
Vanuatu has not produced its Second National Communication	Finalize the SNC asap and share with stakeholders
Climate change projections are solely dependent on the PCCSP information	Use other tools (i.e. SimCLIM 3.0) as well, to increase flexibility, assess additional functionality and use more and more detailed information
No high-resolution Digital Elevation Model exists for Vanuatu as a whole	As this information is crucial for assessing flood risks and risks from landslides, creating a better DEM should be prioritized
The change in future precipitation is highly uncertain	Closely monitor rainfall on the different islands to build a database that will improve projections of extreme weather
Current development projects seem to focus on areas that have a lower risk profile	Focus development projects on areas of high risks; this is the only way to lower Vanuatu's global profile as a high risk country

## Part Six - Financing

This Executive Summary is complimented by a separate and more detailed report.

### Findings

- Development partners have significantly increased contributions to Vanuatu in recent years, including for climate change and disaster risk reduction projects. As developed countries recover from the global financial crisis, their funding commitments are expected to increase over the next decade, especially given their COP-15 commitment in 2009 to treble funding by 2020.
- Much of the climate funding will flow to countries that have identified their risks and priorities, have a strong system of governance to allocate funding to projects according to these priorities, and satisfactory standards of project management and financial management. To date, only countries in Africa and Central and South America have been recognized in this way – by having an agency gain accreditation as a National Implementing Entity (NIE) for the Adaptation Fund (and for similar climate change funds).
- To date, Pacific Island countries have only received about 1% of funding world-wide, despite being amongst the countries that will be most affected by climate change. Within the Pacific, Vanuatu has done relatively well in obtaining funding for mitigation projects, but has received less than its population share for adaptation projects.
- If Vanuatu targets an agency to gain NIE accreditation, it should increase the development funding it receives for climate change programs and projects. As well, it will give development partners confidence to use mainstream Government systems, as provided for in the Paris



Declaration on Aid Effectiveness. Currently, much funding bypasses Vanuatu Government systems – leading to duplication, inefficiencies and a lack of capacity building.

- At present, bilateral funds generally flow through the Development Fund (which is a trust fund) and the Government accounting system. Funds from regional agencies and I-NGOs typically implement projects directly and do not provide funds and therefore are not mainstreamed. In both cases, shortages of procurement, project management, financial management and audit capacity across Government have led to donors bypassing Government processes and setting up their own project management units, using their own procurement procedures and outsourcing audits to accounting firms.
- As a result, capacity building within Government has been lacking, or is being spread too thinly and disburses after projects are finished. The establishment of the NAB with a coordinating role across Ministries, and with Provincial Governments, Area Councils and NGOs, provides the opportunity to build this capability – not only for climate change projects but for all development projects.

The report includes a gap analysis of the NIE requirements and sets out a roadmap to gain accreditation using support from development partners. This roadmap involves:

1. Improvements for central agencies:

- Bringing the Financial Statements for the Government up-to-date and ensuring they remain compliant with International Public Sector Accounting Standards as those standards are expanded;
- Helping the Office of the Auditor-General to audit these statements for timely presentation to Parliament and publication;
- Assisting the Central Tenders Board to implement its improvement agenda, including the development of a tender website and database to improve transparency, and to better harmonize with donor requirements.

2. Improvements for the NAB Secretariat and Project Management Unit:

- A group of skilled people who can demonstrate a two-year track record of good project management and financial management. This team is currently being assembled, with donor funding identified for 2014.
- A more stable funding base so that these skills don't disperse. Potential funding sources include project management fees and budget support.
- The capacity to channel funding for climate change projects to provinces, council areas and the community through a small grants scheme.

## 6.2 RECOMMENDATIONS

### Targeting NIE Accreditation

**F 1:** The Government to target NIE accreditation and seek assistance to implement the improvements listed below.

### Central Agency Improvements

**F 2:** The Ministry of Finance and Economic Management:

1. Develops a plan to produce the Financial Statements within 3 months of the end of each year, as required by section 25 of the *Public Finance and Economic Management Act*;
2. Aims to produce the 2013 Financial Statements by the end of March 2014;
3. Identifies areas where compliance with International Public Sector Accounting Standards

could become an issue as the standards are expanded;

4. Seeks assistance for the Central Tenders Board to implement its improvement agenda, including the development of a tender website and database; and
5. Liaises with the Office of the Auditor-General on assistance required to address the audit backlog, with the aim of having audited Financial Statements provided to Parliament and published within 4 months of the end of each year.

### Small Grants Scheme

**F3:** The Secretariat establish a Small Grants Scheme, or build on existing schemes, to provide a direct channel of climate change funding to individuals, local organisations and the community, by June 2014.

### Part Seven – Implementation Strategies

The immediate implementation of recommendations is critical if transformational reforms are to take place that will lead to greater levels of coordination, information sharing and community engagement. The RGA has identified a number of existing and proposed projects that align superbly with the recommendations and work is underway to build these into work-plans and budgets.

In prioritizing the recommendations, emphasis will be placed on identifying prerequisite activities such as those demonstrated in the following table. The theme “setting up the business before you do business” applies.

Level of Intervention	Intervention	Conditions
<b>Ministry</b>	Corporate Planning M&E Framework	Linked to PAA PLAS
<b>Departmental</b>	Strategic Planning	Linked to Corporate Plan
Operational	Business Planning Standing Operating Procedures	Linked to strategic plan and organisational mandates
Measuring and Sharing Results	Monitoring Evaluation and Reporting. Information management system	Linked to Business Plans
Capacity Development	Needs Assessment and professional development strategy	Linked to Organisational structure and CC/DRR mandates
<b>Provincial Government</b>	Strategic Plan	Linked to PAA and Community Development Plans (CDPs)
Operational	Business Plan	Linked to Strategic Plan
Measuring and sharing results	M&E Framework	Linked to Business Plan
Area Council	Business Plan	Linked to Strategic Plan and CDPs
Community	Community Development Plans	Linked to risk and vulnerability analysis

### **1.1 Vanuatu Context**

A recent report by the United Nations International Strategy for Disaster Reduction (UNSDR) has found that five Pacific countries – Fiji, Vanuatu, Tonga, Papua New Guinea and Solomon Islands – are among the top 15 disaster risk countries in the world, with Vanuatu and Tonga ranked as the top two. These rankings highlight the vulnerability of Pacific island countries and their exposure to the various shocks that have such a great impact on lives, livelihoods and sustainable development investments.

While such reports are quick to focus on vulnerability it also has to be emphasised that major contributing factors that influence levels of vulnerability are human related and include the failure to consider risk as part of policy and planning processes (mainstreaming), inconsistency in approaches, failure to comply with policy and standards or to enforce compliance, and fragmented “pilot or sector entry point” approaches to building whole-of-government capacities and resilience. While such approaches have their value in some circumstances, they must link back into the mainstream system to enable lessons to be learned and the expansion of the initiatives.

Climate change is another potential “game changing factor”, however if current risk is not being well managed then future risks associated with climate change variables will only compound the vulnerability problems. It will also make adaptation (other than perhaps research) a less effective option as only long-term resilience building strategies will close the gap between high levels of risk and low levels of resilience. Conversely, every future shock will widen the resilience gap making the importance of whole-of-government (including NGOs and Private Sector) integrated programmes more critical. The nexus between climate change and development is closing in realization of the challenges related to achieving successful adaptation, as is the need for parallel systems which has been a legacy of the separate funding streams associated with development and Climate Change.

The Government of Vanuatu through its efforts in establishing the National Advisory Board (NAB) for Climate Change and Disaster Risk Reduction, has taken an important step toward ensuring improvement to coordination and governance surrounding the threats posed to its people, environment and assets. One of its critically important functions is to improve access to and the management of human, financial and technical resources to achieve sustainable development and livelihood security outcomes.

It is worthy of note that the Vanuatu NAB is the first in the Pacific Region and it has received accolades internationally for the foresight and innovation displayed by the Government to better coordinate and steer the rapidly increasing numbers of climate change and disaster-related program, projects and initiatives.

The execution of NAB functions has however proven to be a difficult challenge and while capacities and the ability to coordinate and manage resources are important considerations, there are some underlying issues that will continue to test the NAB resolve:

- Both Climate Change (CC) and Disaster Risk Reduction/Management (DRR/M) are unregulated disciplines, meaning any agency or individual can become involved in both or

either fields. This has resulted in an “overdose” of well-intended projects that tend to succeed only in overwhelming country capacities, fragmenting resilience building efforts and delivering short-term unsustainable benefits.

- Many regional programmes including those associated with United Nations, Regional Agencies and INGOs often bypass established government systems and as such are not registered with the Prime Minister’s Office (PMO) or Finance Department. This makes coordination and adherence to national priorities extremely difficult if not impossible to achieve. In Vanuatu, only those projects that are registered with the PMO and the Finance Department are monitored by government M&E systems.
- There is currently no mechanism that is recording and monitoring progress of projects that bypass government mechanisms. The Risk Governance Assessment (RGA) has identified a number of projects where duplication is evident and the inconsistency in methodologies obvious. The challenge here is that no lessons are learned and very few good practices are expanded beyond the pilot phase.
- For a number of reasons, confidence in the NAB is not consistent across the government and this created a reluctance by some departments to engage with the process. It is clear that sectors would prefer direct engagement with donors rather than being managed by external mechanisms and this has the potential to undermine the NAB philosophy.
- Globally, information and science around climate change is and will remain difficult to access and assess from a policy and planning perspective. There are uncertainties in outputs, restrictions in applying results and other intricacies that make it difficult for NAB to properly deal with questions and requests from stakeholder groups. There is no quick-fix for this and it will be difficult to meet expectations. There are of course some highly accessible products available to guide some basic programs in Vanuatu.

Twelve months after initial set-up and operation of the Ministry of Climate Change (MCC), representatives of member agencies have called for a review of the NAB system, to identify solutions to these and other perceived shortfalls and to stream-line its operating mechanisms for greater efficiencies.

It is clear to the RGA Team that a number of the challenges impeding the effectiveness of the NAB process were already well known and served as the catalyst for this assessment. While recognizing the importance of justifying recommendations based on clearly identified deficiencies, it was felt that the real value-adding of the RGA Team was in focusing on the future through identifying a suite of options for strengthening the NAB process within the context of the government’s broader development policies and institutional frameworks. This would therefore bring broader benefits to whole-of-government development efforts.

## **1.2 Purpose**

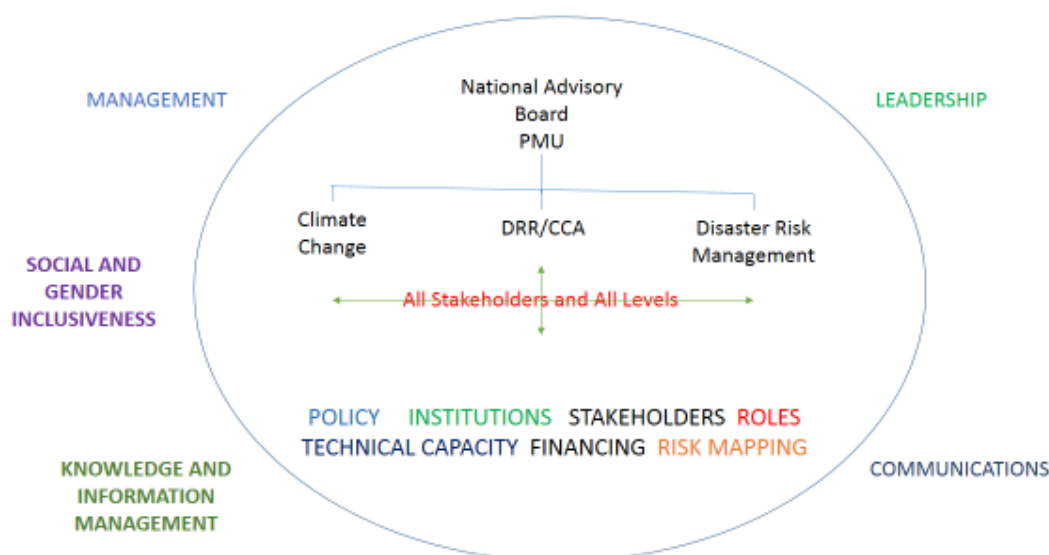
This RGA was made possible with the resource assistance of The Australian Government<sup>5</sup> through the United Nations Development Programme (UNDP) Regional Risk Resilience Project (RRP).

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<sup>5</sup> SPC-GIZ supported the development of the CC/DRR Policy

The overarching purpose of the analysis is to analyze current climate change and disaster risk reduction capacities, strengths and weaknesses at all levels (national, provincial and local), evaluate critical institutional functions and their performance by national institutions, and suggest mechanisms and improvements to make best use of strengths or remedy weaknesses.

In undertaking this work the assessment considered both horizontal relationships across departments and with INGOs and the private sector. It also analyzed the vertical relationships from national through to community levels to determine the level of engagement and influence lower level institutions (including communities) are having on the framing of national policy and the development of plans and priorities. It should be noted that the Disaster Risk Management (DRM) functions associated with emergency response, early recovery and other humanitarian assistance does not come under the remit of NAB and therefore these aspects are not covered in the RGA analysis. These areas have been adequately covered on other reviews<sup>6</sup> however the institutional arrangements and capacity of NDMO are addressed as part of the broader MCC analysis.



**Diagram 1.1: RGA Overview**

### 1.3 Outputs

The assessment is designed to deliver the following outputs:

- An Assessment Report providing analysis, recommendations and implementation plan for strengthening risk governance related to Climate Change and Disaster Risk Reduction.
- A draft national policy on Climate Change and Disaster Risk drawing inputs from the RGA Governance, Risk Profiling and Climate Financing consultancies.
- A capacity development plan for the NAB and its Secretariat based on a performance analysis of current functions and structure.

<sup>6</sup> AusAID International Disaster Response Laws, Rules and Principles Review 2012

- A matrix elaborating the areas/issues found out through the RGA and mapping current activities of projects undertaking different activities at different level and the gaps, which can be used by the NAB as a tool for coordination.

#### 1.4 RGA Components

The assessment was comprised of three principal components, however the third component related to the review of legislation is being undertaken externally to the mainstream RGA review:

- **COMPONENT 1:** Analysis of Risk Governance Capacity and Needs from national to local levels (vertically) and across all Government and other stakeholders (horizontally) involved in CCA, DRR and DRM initiatives. This will include a complete analysis of a broad range of issues including existing; policy, institutional systems, mandates, partnerships, information management and communications.
- **COMPONENT 2:** Analysis of climate change and DRM financing baselines and options for future mechanisms. This component will be supported in part by UNDP's PRR programme, and potentially the Pacific Island Forum Secretariat (PIFS), SPC-GIZ CCCPIR and ADAPT Asia-Pacific.
- **COMPONENT 3:** Review of legislative aspects of DRR-CCA in Vanuatu, with a focus on providing amendments to the Disaster Act and Meteorology Act. This component will be supported in part by UNDP's Bureau for Crisis Prevention and Recovery (BCPR), UNDP joint program in Vanuatu and the World Bank IRCCNH Project. Component 2 may also provide input for amendments to financial legislation in Vanuatu to support the establishment of climate financing mechanisms.

The RGA consultations have also made significant contributions to the development of the National Policy for Climate Change and Disaster Risk which is outlined at Annex 5. It also provided inputs to the UNDP RRP work-plan that will support the implementation of RGA recommendations.

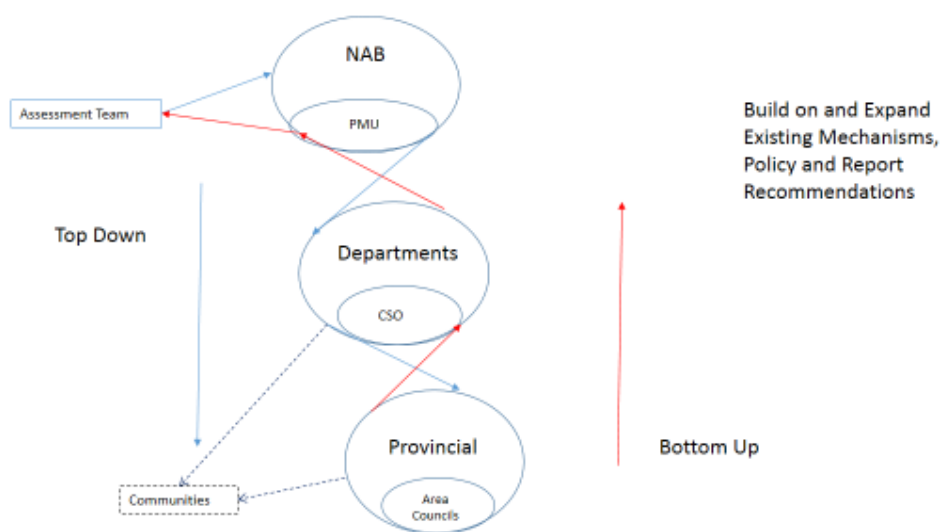
#### 1.5 Consultation Process

The RGA analysis was implemented through a range of strategies including desk-top review of documentation and onsite consultations recommended by the NAB-PMU, and follow-up emails and telephone calls. In total more than 80 persons from more than 20 agencies including three Local Governments were consulted. A number of individuals for reasons not disclosed, simply failed to keep appointments with the RGA Team.

The assessment process also built on existing experiences and the outcomes of previous reports and recommendations. It was undertaken in a structured manner commencing with an inception workshop involving key stakeholders. This was followed by widespread and intensive consultation that included "Top Down" analysis involving 1-2 hour meetings with the NAB/PMU, Departments, Provincial Governments and where possible Area Councils to draw out the key issues.

This was reinforced through a "Bottom Up" return strategy to obtain clarifications where necessary.

This process is depicted below:



**Diagram 1.2: RGA Consultation Process**

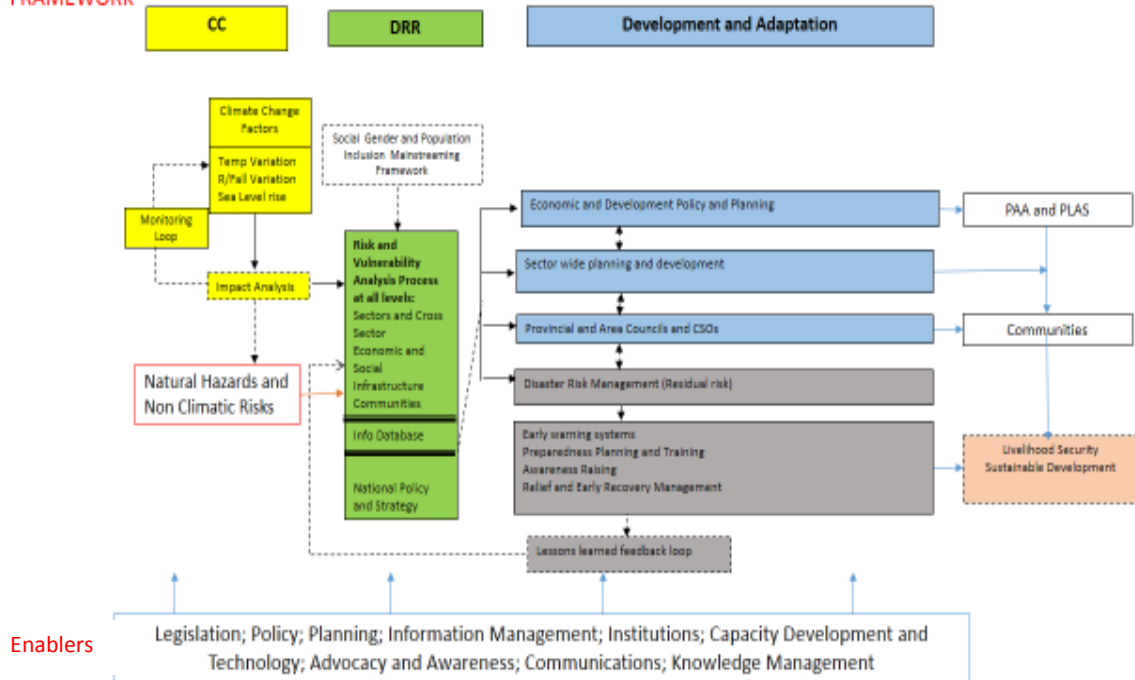
### 1.6 Conceptual Framework

A conceptual framework was also developed to structure and guide the consultation process and to provide a uniform appreciation of the key functional responsibilities related to CC/DRR/CCA/Development and DRM and their relationships. This was important given the varying degrees of knowledge, understanding and capacities around the subject issues. This framework also provided the RGA Team with a structure upon which to frame their specific questions for agencies.

The underlying philosophy of the framework is that:

- CC has the potential to alter existing or introduce new risks and Vanuatu must have the technical and technology capacity to analyse the changing risk scenarios and to understand what these changes mean to the sustainability of long-term development;
- DRR is a risk management concept that is underpinned by rigorous risk and vulnerability analysis that builds in considerations for social and gender in the determination of adaptation and broader development initiatives. Hence why the determination of CC impacts must be clearly defined and made readily available in user friendly formats;
- The design of sustainable development and Climate Change Adaptation options are derived from formal risk and vulnerability analysis. Traditional systems are also utilised for lower level adaptation.
- DRM involves the management of residual risk factors which are identified through risk and vulnerability outcomes. This includes disaster preparedness, warning and evacuation systems, awareness raising and planning, emergency response and recovery management.

# EXAMPLE NATIONAL FRAMEWORK



**Diagram 1.3 CC/DRR Strategic Framework**

By understanding the functions and linkages, the RGA Team was able to identify a range of issues that were related to the “enablers” which are highlighted in the input box of the framework. This includes legislation, policy, planning processes, institutional systems and information management processes.



## 1.7 Terminology

One only needs to view the plethora of terminology used in the CC and DRR areas to understand how fragmented and undisciplined the fields have become. Even though Vanuatu has developed its own terms, these are not necessarily consistent with other regional countries and this makes capacity building and uniformity in practice very challenging. Vanuatu's DRM terms<sup>7</sup> are listed below as are some clarifying statements that are designed to bring consistency to the readers of this report. It is noted that there does not seem to be any CC terminology and the issue of uniform terminology could be something that can be addressed by the NAB Secretariat through its Advisory Groups.

Term	Vanuatu Definition	RGA Clarification
VULNERABILITY	Vulnerability is the <b>degree</b> to which life, property and/or environment is open to being <b>affected</b> by, or <b>unable to cope with</b> , adverse effects of hazard impacts.	CC can change risk variables which can also then alter levels of vulnerability or introduce new types of vulnerability
DISASTER MANAGEMENT	All aspects of <b>planning for and responding</b> to emergencies and disasters, including both <b>pre-and post-event activities</b> .	Also commonly referred to as Disaster Risk Management
DISASTER RISK REDUCTION	<b>Prevention, Mitigation, Preparedness and Response Activities</b> that a community may decide to undertake to <b>reduce</b> present and future <b>hazard impact</b> .	DRR is a risk management philosophy that enables governments and communities to build sustainability through the identification of evidence-based resilience and adaptation solutions. This is not an NDMO role.
PREVENTION	The measures taken <b>to avoid a disaster</b> from occurring	Measures taken to eliminate risk. By managing risk it is possible to reduce the occurrence of a disaster situation.
MITIGATION	Measures taken <b>before and after an event to reduce the extent of a disaster or potential disaster</b>	Measures taken to reduce the level of risk to manageable levels.

**Table 1: DRM Terminology**

<sup>7</sup> Obtained from the NDMO Terminology

## PART TWO: NATIONAL ADVISORY BOARD

### 2.1 Background

National Advisory Board on Climate Change and Disaster Risk Reduction (NAB) is a formal government institutional mechanism made up of government and non-government members. The board representation was approved by the Council of Ministers meeting (COM) held on 15<sup>th</sup> October 2012<sup>8</sup>. Prior to mid-2012, many of the NAB functions were undertaken by two separate entities, namely the National Advisory Committee on Climate Change (NACCC) and the National Task Force on Disaster Risk Reduction (NTF).

The primary objective of NAB is to “act as Vanuatu’s supreme policy making and advisory body for all the disaster risk reduction and climate change programs, projects, initiatives and activities”.

NAB’s underlying purpose is to bring greater levels of coordination among the many individual CC/DRR projects and to ensure high levels of transparency in the determination of ongoing priorities and funding. The existing NAB structure is highlighted hereunder.

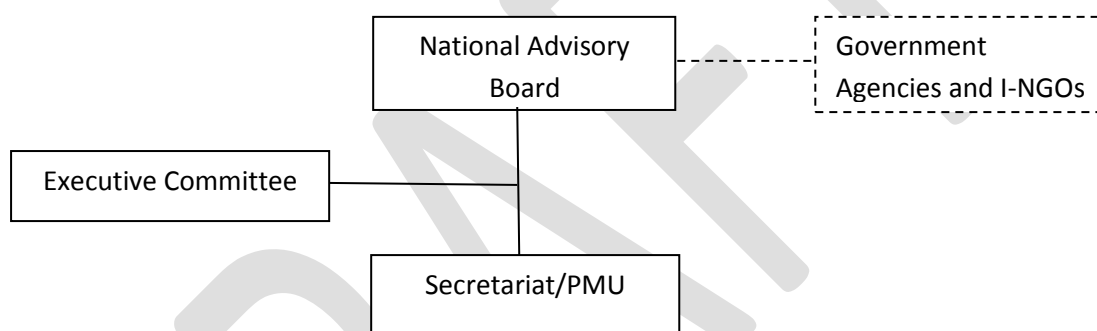


Diagram 2.1: Current NAB Structure

### 2.2 NAB Mandate

As per the Government decision of Council of Ministers meeting held on dated 15<sup>th</sup> October 2012, NAB has six main mandates;

- Act as Vanuatu’s supreme **policy making and advisory body** for all disaster risk reduction and climate change programs, projects, initiatives and activities.
- Develop DRR and CC **policies, guidelines and positions**.
- Advise on **international, regional and national** DRR and CC **obligations**
- Advise, facilitate and endorse the **development** of new DRR & CC programs, projects, initiatives and activities – including **mainstreaming** CC and DRR.
- Act as a focal point for **information-sharing and coordination** on CC/DRR
- Advise, guide and coordinate the development of national CC & DRR **financing** processes.

<sup>8</sup> Refer to the Government decision number 141/2012 for more information.

Since its inception, NAB has met on three occasions<sup>9</sup>. The agenda at each meeting tended to be project focused rather than structured to facilitate policy level discussion and decisions<sup>10</sup>. Although NAB membership involved senior level representatives from key sectors agencies and INGOs, many of the senior officers have not attended meetings and have instead delegated such responsibility to lower level officers.

### **2.3 Consultation Feedback**

The views expressed on NAB effectiveness were mixed. The most thought provoking observations came from the NAB-PMU staff themselves and so when combined with the external observations, there was a good mix of views being expressed, mostly constructive. The RGA team has tried to rank these so as to focus on the strategic issues where changes and/or reforms would have the greatest impact.

1. NAB was established as a whole-of-government instrument and yet many felt that it became a Ministry of Climate Change (MCC) “dominated” mechanism. This was one reason put forward as to why representation by senior officials was inconsistent. For example the current NAB is co-chaired by the Directors of NDMO and VMGD – although previously with separate ministries, both are now Departments within the MCC.
2. The role of NAB should be more strategic and linked to supporting other government decision making institutions. For example a number of those consulted felt that NAB should not develop departmental or sector policy but instead should set the strategic level policy agenda relevant to CC and DRR and that departments should develop their own policy for NAB endorsement.
3. Concern that NAB was involved in financial management issues related to projects.
4. NAB should create the environment whereby CC and DRR projects could be assessed against pre-determined priorities and criteria and then validated by a neutral NAB instrument as this would also create the opportunity for greater levels of coordination and transparency.
5. NAB was duplicating the role of other government entities and that instead it should assist in facilitating the compliance with government policy related to CC/DRR projects. It was pointed out during consultations that many regional and NGO projects simply bypass the established government systems and fail to register projects with PMO and Finance. Stronger action over non-compliance is being contemplated. For example VAT exemptions and visas.
6. It was generally felt that NAB should play the role of an intermediary between the policy and the science, creating bridges to find answers and solutions.
7. Civil Society felt that NAB provided an entry point for inclusiveness in decision making and engagement.

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<sup>9</sup> NAB meetings were held on 17<sup>th</sup> December 2012, 6<sup>th</sup> March 2013 and 30<sup>th</sup> August, 2013.

<sup>10</sup> In the first meeting held on 17<sup>th</sup> December 2012, issues related membership, UNDP Pacific Risk Resilience Programme, USAID Coastal Community Adaptation Project, MDRR project were discussed. In the second meeting held on 6<sup>th</sup> March 2013, issues such as IRCCNH, L&L project, Artek project, COP 19 project, MDRR project and other regional projects were discussed. In the third meeting held on 30<sup>th</sup> August 2013, issues such as Risk Governance Assessment, COP19 project, SPC/USAID project and SPREP EbA projects were discussed.

8. Concern over the transparency of some NAB decisions in relation to the disbursement of funds. It was considered that there were no clear and consistent criteria for analysing project designs, nor was there any feedback as to why some projects were selected over others.
9. The NAB was not as effective as the two committees it replaced and that as a result partnerships and levels of engagement were dropping. It was felt that under NACCC for example, there were greater levels of coordination through regular meetings among CC projects and even stronger linkages with government systems but this had been diluted.
10. There are very mixed views and sentiments about the relevance of NAB. The most asked questions were: "Is the NAB providing value-adding to the government decision making processes?" Is the NAB duplicating existing mechanisms? Is the NAB membership appropriate to ensure transparency in decision making?

## **2.4 Executive Committee**

NAB is supported by an Executive Committee, which is designed to be reactive to address issues where urgent decisions are required. The Executive Committee is comprised of the Directors' VMGD and NDMO (Co-Chairs); Department for Strategic Management (DSM) from PMO, Environment, Finance; representative from I-NGO and the NAB Secretariat/PMU.

The roles and responsibilities of this sub-committee are linked to the following functions:

- Present NAB activities, plans, policies etc. to national leaders and decision makers;
- Drive, minimize bottle necks, and follow up on the implementation of DRR & CC initiatives and programmes according to the schedule set by the NAB,
- Facilitate the unencumbered flow of funds (external and internal) to implementing agencies for DRR & CC activities;
- Screen, interview, hire and/or appoint PMU staff or DRR & CC project coordinators or government consultants;
- Nominate individuals to represent Vanuatu at international DRR & CC negotiations and meetings;
- Provide regular guidance to Parliament and high level leaders on DRR & CC in Vanuatu (e.g. signing and ratification of major treaties, conventions, policies and legislations);
- Report regularly to Parliament on the progress of DRR & CC implementation activities including challenges to be addressed and activities planned for each financial year; and
- Make emergency or expedited decisions on behalf of the NAB for urgent DRR & CC issues.

This committee has met on three occasions since the formation<sup>11</sup> and a scan of the minutes reveals that most meetings have been attended only by PMU members, donor and I-NGO representatives. Discussions were mostly related to projects and other administrative issues and it was felt that meeting outcomes were not always relevant for providing strategic guidance to the NAB or higher level officials. It can be inferred that the NAB Sub-Committee meetings did not always have a quorum of key stakeholders and there is always the danger that because of the limited engagement from other stakeholders it may become the de facto NAB.

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<sup>11</sup> NAB sub-committee meeting minutes dated 8<sup>th</sup> February 2013, 8<sup>th</sup> May 2013 and 12<sup>th</sup> June 2013.

## 2.5 NAB Secretariat/Project Management Unit

The NAB Secretariat/Project Management Unit (PMU) was established to undertake the roles and responsibilities associated with the following strategic areas:

- **Strategic Governance and Policy:** Including implementation of actions associated with national, regional and international CC/DRR obligations; identification of positions for international summits, identification of CC/DRR priorities, and development of a national policy on CC and DRR
- **Technical Advice, Project Monitoring and Coordination:** Including providing technical advice to government departments and NGOs, acting as the coordination point for CC and DRR matters, starting a 'project endorsement process' and 'information materials endorsement process' and working to support standardized approaches.
- **Project Management – Financing, Procurement & Administration:** Including Secretariat duties for the NAB, investigating funding mechanisms for Vanuatu, providing support and advice on procurement for CC/DRR, and implementing projects.

The terms NAB Secretariat and PMU were in themselves confusing to many people and from observations and feedback, there appears to be no clear distinction between the Secretariat's and PMU's role. Since being established the PMU has been heavily engaged in implementing projects including those designed to strengthen their own capacity. Recent reviews by the EU and WB identified several project management challenges that questions the effectiveness of the PMU as a project implementing entity. This focus has resulted in the Secretariat's strategic coordination, information management and stakeholder relationship functions being neglected or not properly executed. A down-side of this has been low engagement by departments and decline in the level of confidence in the NAB.

Currently there are many CC/DRR projects being implemented or about to be implemented by INGOs, Regional Agencies, United Nations (UN) Agencies and the government. While efforts are being made to record these projects on the NAB Portal, there are currently very few efforts to harmonise the activities for greater impact and even less effort to capture the lessons and best practices. The NAB Secretariat must step up to the plate on these issues.

Other feedback included:

1. The PMU and Secretariat functions be separated and that the Secretariat does not get involved in implementing projects.
2. Currently, and primarily because of the emphasis on PMU functions, the level of interaction with the PMO and Finance is not optimal resulting in concerns being expressed about some NAB activities and the potential for non-compliance with policy. Extensive work is needed to build partnerships and information systems and to improve communication and coordination and that this should be a key role for the secretariat.
3. While departments felt they were addressing the need to incorporate CC and DRR into their respective strategic plans, there were concerns as to how to make this happen in practise. Many felt that this is the type of information and capacity development the Secretariat should be sharing with them.

4. The NAB Portal is an excellent tool for information sharing and yet very little if any information is captured from across departments. Information that is on the portal is not always well structured.
5. Monitoring and Evaluation was seen as a major shortcoming in almost all departments and within the Secretariat and greater attention needed to be given to building institutional and individual capacities.

## **2.6 Strengthening the NAB system**

The following inputs are based on the NAB “functions” (including the Secretariat and PMU) continuing, however with more alignment and integration within the existing government infrastructure and decision making mechanisms.

The primary objective is to break down any perceptions that NAB is simply an extension of the MCC and/or that it is a duplication of existing government structures. Finding a strategic role for NAB within the whole-of-government institutional framework is therefore key to the effectiveness of CC/DRR adaptation and mainstreaming efforts.

For example: The PMO considers Climate Change and Disaster Risk Reduction as cross-cutting sustainable development imperatives. They have established three committees to provide guidance on project and financial priorities associated with national development agendas, including CC and DRR:

- Central Agency Committee (CAC) – comprising DG level representatives from Finance, PMO and Foreign Affairs;
- Development Committee of Officials (DCO) – comprising the DG’s of all Ministries.
- Ministerial Budget Committee – that endorses decisions from the CAC and DCO.

Additionally, a National Steering Committee comprising high-level officials from Finance and Economic Management, Prime Minister’s Office, Infrastructure and Public Utilities, Foreign Affairs and Public Service Commission has been established to provide strategic and policy oversight over all development projects implemented through the Vanuatu Project Management Unit (VPMU). There is potential for a wider role for this mechanism including undertaking some of the NAB decision making functions.

## **2.7 Institutional Actions**

Three institutional options are proposed for strengthening the NAB functions while also strengthening links with the mainstream development decision making systems. It should be pointed out that any changes to the roles and membership of the NAB and its Secretariat would be determined by the option selected and these range from:

- Option 1: Maintaining the status quo of the current framework but introducing several changes to overcome challenges with levels of engagement by stakeholders, improving decision making and transparency of decisions and coordination among other important reforms.

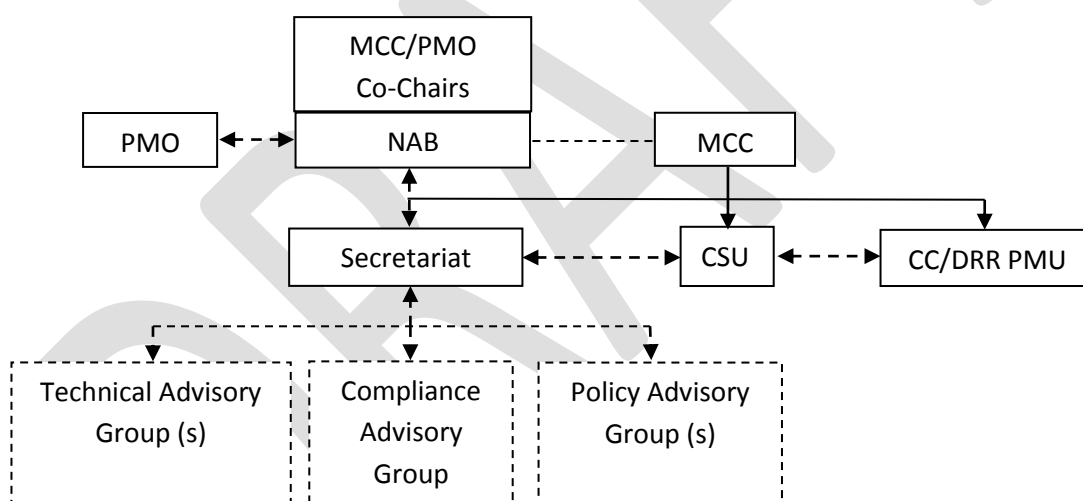
- **Option 2:** Partial integration within existing high level mechanisms as a means of mainstreaming NAB decisions and addressing compliance concerns in addition to those issues raised in option one.
- **Option 3:** Basically the same as option one, the major changes are that the NAB is chaired by the Minister MCC and there is direct reporting to the COM.

### Option 1: Maintain the current system with modifications

Challenges to be addressed:

1. NAB being seen as a fully compliant with existing national protocols.
2. Coordination weaknesses and transparency related to decision making for project funding
3. Low levels of engagement by departments.

NAB continues to function with much the same structure but with revisions to both the membership and roles to enhance neutrality in decision making, to reinforce the value adding contributions to existing decision making mechanisms and to strengthen linkages with the national development framework. The Directors General MCC/PMO would be the co-chairpersons.



**Diagram 2.2: Current NAB Structure slightly modified**

Changes:

- The status of the co- chairpersons has been raised to DG level.
- Roles and membership of NAB have been revised to reflect its strategic role and neutrality.
- Strengthening of the Secretariat to facilitate wider whole-of-government leadership role including stronger links with the PMO and key Central Agencies through the establishment of a compliance and oversight group.
- Redefining the roles of the CC/DRR PMU to reflect its programme management oversight and coordination roles for multi-sector CC/DRR projects.

- Removal of the Executive Committee which runs the risk of being the de facto NAB. The roles will be undertaken by the Secretariat
- Establishment of advisory groups to support Secretariat work-plan priorities. The roles of these groups will be determined by the tasks assigned by the Secretariat.
- MCC CSU supporting both the Secretariat and PMU functions.

**Advantages:**

- Increased levels of engagement by departments due to a high level co-chairpersons;
- Stronger linkages with PMO, VPMU and Finance will bring more confidence on NAB compliance with government policy.
- Better coordination, information management and stakeholder engagement through a more focused and strengthened Secretariat.
- Greater project oversight and reporting through a focused CC/DRR PMU

**Disadvantages:**

- NAB functions and decisions still not seen to be mainstreamed within whole-of-government development systems.
- NAB and Secretariat still MCC dominated.
- Little or no increase in perceptions of NAB value adding to the broader development agenda.

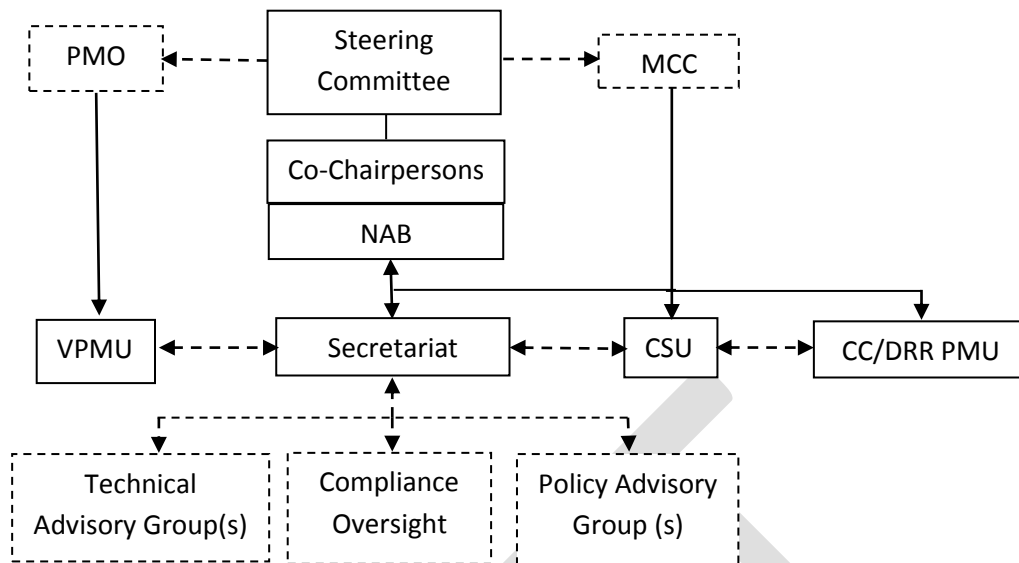
**Option 2: Partial Integration within an existing high level mechanism**

Challenges to be addressed:

1. As for (1) above.
2. Mainstreaming NAB decision making

Integrating the final NAB high level decisions within the VPMU Steering Committee which has oversight for all major development projects. The DG's MCC/PMO would serve as the NAB Chairpersons and be added to the Steering Committee to bring in the climate and disaster risk aspects of resilient development.





**Diagram 2.3: NAB Structure with partial integration to established government systems**

**Changes:**

- As for (1) above.
- NAB decision making elevated to a high-level Steering Committee

**Advantages**

- NAB's value adding to the broader development agenda is recognised.
- Mainstreaming objectives across the broader development agenda can be realised to greater effect.
- Perceptions of low levels of transparency in decision making reduced.

**Disadvantages**

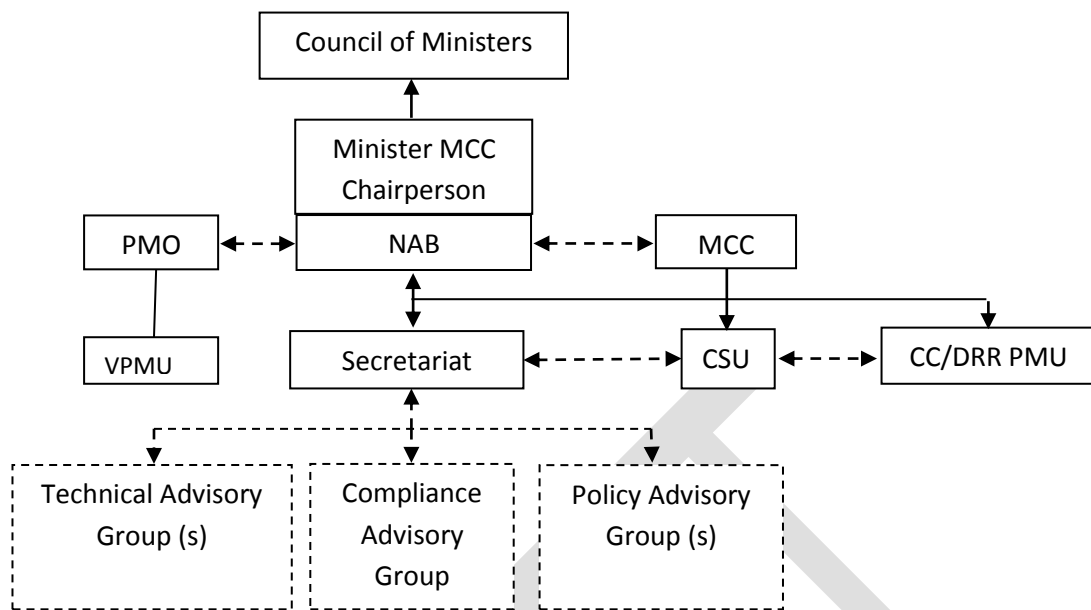
- The final high level decisions related to CC/DRR are removed from NAB.

**Option 3 - Direct Reporting to the COM**

**Challenges to be addressed**

1. As for Options 1-2 above
2. Perceived gaps in high level reporting of NAB

This option formalises NAB as an important element of the government's decision making machinery for resilient and sustainable development. The key features are that NAB is chaired by the Minister for Climate Change and there are direct reporting responsibilities to the COM.



**Diagram: 2.4 Formalisation of High-Level Reporting**

#### **Advantages**

- NAB issues raised to the highest level of government
- Higher profile for NAB
- Increased engagement from NAB members through high level chairperson.
- NAB's value adding to the broader development agenda is recognised.
- Mainstreaming objectives across the broader development agenda can be realised to greater effect.
- Increased transparency in decision making and limited conflict of interest by those making decisions.

#### **Disadvantages**

- There is always the chance that political influence will conflict with NAB strategic priorities.

**Table 2: NAB/Secretariat/PMU Roles**

Option	NAB	Secretariat	CC/DRM Project Management Unit
1	<p>Conducting oversight with respect to:</p> <ol style="list-style-type: none"> <li>1.The functioning of the Secretariat and PMU</li> <li>2.The overall coordination of climate change and disaster risk management programs</li> </ol>	<p>Provide strategic oversight and coordination of all Climate Change and Disaster Risk Management Projects.</p>	<p>Provide management oversight and coordination of multi sector climate change and disaster risk management projects.</p>
Functions	<ul style="list-style-type: none"> <li>• Set priorities as it applies to policy, projects and financing</li> <li>• Approve CC and DRR policy and guidelines as recommended by the Secretariat</li> <li>• Approve new projects as recommended by the Secretariat</li> <li>• Monitor and approve positions related to global and regional CC and DRR obligations</li> <li>• React to issues as identified by the Secretariat or PMU.</li> <li>• Submit an Annual report on NAB CC/DRM achievements.</li> </ul>	<ul style="list-style-type: none"> <li>• Coordination and oversight of policy and guideline development</li> <li>• Coordination and registration of new and existing projects regardless of funding source</li> <li>• Coordination the preparation of position papers related to global and regional obligations</li> <li>• Develop and maintain the NAB Portal and information management systems</li> <li>• Coordinate assessment of and make recommendation for the funding and/or implementation of new CC and DRR projects against agreed priorities</li> <li>• Coordinate advisory groups, facilitate capacity development initiatives and drive mainstreaming efforts.</li> <li>• Undertake whole-of-Government M&amp;E and reporting.</li> </ul>	<ul style="list-style-type: none"> <li>• Project and contract management</li> <li>• Undertake M&amp;E and reporting relative to existing projects and provide progress reports and updates</li> <li>• Establish and maintain performance standards on all obligations and responsibilities of the government or in accordance with donor requirements</li> <li>• Manage all project funds and report to the NAB through the Secretariat</li> <li>• Undertake procurement and logistic support with the assistance of the CSU</li> <li>• Document lessons learned and best practices and share with the Secretariat</li> </ul>

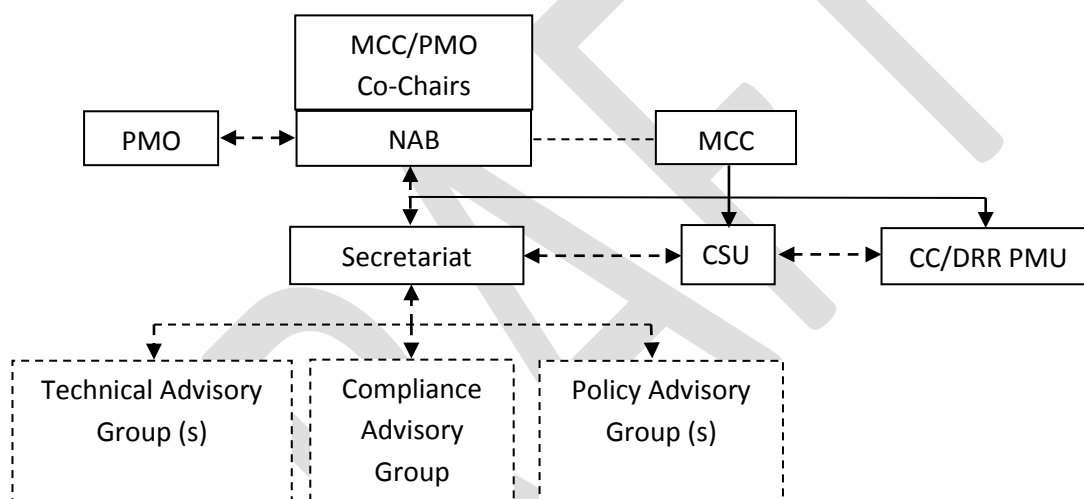
Option	NAB	Secretariat	CC/DRR PMU
2	<p>Conducting oversight with respect to:</p> <ol style="list-style-type: none"> <li>1.The functioning of the Secretariat and PMU</li> <li>2.The overall coordination of climate change and disaster risk management programs</li> </ol>	<p>Provide strategic oversight and coordination of all Climate Change and Disaster Risk Management Projects.</p>	<p>Provide management oversight and coordination of multi sector climate change and disaster risk management projects.</p>
Functions	<ul style="list-style-type: none"> <li>• Set priorities as it applies to CC/DRR policy, projects and financing</li> <li>• Endorse CC and DRR policy and guidelines as recommended by the Secretariat for approval of the SC</li> <li>• Make recommendation to the Steering Committee on project endorsement</li> <li>• Monitor and endorse positions related to global and regional CC and DRR obligations</li> <li>• Submit an Annual report on NAB CC/DRM achievements.</li> </ul>	<ul style="list-style-type: none"> <li>• Coordination and oversight of policy and guideline development</li> <li>• Coordination and registration of new and existing projects regardless of funding source</li> <li>• Coordination the preparation of position papers related to global and regional obligations</li> <li>• Develop and maintain the NAB Portal and information management systems</li> <li>• Coordinate assessment of and make recommendation for the funding and/or implementation of new CC and DRR projects</li> <li>• Coordinate advisory groups, facilitate capacity development initiatives and drive mainstreaming efforts.</li> <li>• Undertake whole-of-Government M&amp;E and reporting.</li> </ul>	<ul style="list-style-type: none"> <li>• Project and contract management</li> <li>• Undertake M&amp;E and reporting relative to existing projects and provide progress reports and updates</li> <li>• Establish and maintain performance standards on all obligations and responsibilities of the government or in accordance with donor requirements</li> <li>• Manage all project funds and report to the NAB through the Secretariat</li> <li>• Undertake procurement and logistic support with the assistance of the CSU</li> <li>• Document lessons learned and best practices and share with the Secretariat</li> </ul>

Option	Steering Committee	Secretariat	CC/DRR Project Management Unit
3	<p>Conducting oversight with respect to:</p> <ol style="list-style-type: none"> <li>1. The functioning of the Secretariat and PMU</li> <li>2. The overall coordination of climate change and disaster risk management programs</li> </ol>	Provide strategic oversight and coordination of all Climate Change and Disaster Risk Management Projects.	Provide management oversight and coordination of multi sector climate change and disaster risk management projects.
Functions	<ul style="list-style-type: none"> <li>• Set priorities as it applies to CC/DRR policy, projects and financing</li> <li>• Approve CC and DRR policy and guidelines as recommended by the Secretariat</li> <li>• Approve new projects as recommended by the Secretariat</li> <li>• Monitor and approve positions related to global and regional CC and DRR obligations</li> <li>• React to issues as identified by the Secretariat or PMU.</li> </ul>	<ul style="list-style-type: none"> <li>• Assess and make recommendation for the funding and/or implementation of new CC and DRR projects</li> <li>• Oversight of policy and guideline development</li> <li>• Coordination and registration of new and existing projects regardless of funding source</li> <li>• Coordinate the preparation of position papers related to global and regional obligations</li> <li>• Maintain the NAB Portal and information management systems</li> <li>• Coordinate and facilitate capacity development initiatives.</li> <li>• Undertake whole-of-Government M&amp;E and reporting functions.</li> </ul>	<ul style="list-style-type: none"> <li>• Project and contract management</li> <li>• Undertake M&amp;E and reporting relative to existing projects and provide progress reports and updates</li> <li>• Establish and maintain performance standards on all obligations and responsibilities of the government or in accordance with donor requirements</li> <li>• Manage all project funds and report to the NAB through the Secretariat</li> <li>• Undertake procurement and logistic support with the assistance of the CSU</li> <li>• Document lessons learned and best practices and share with the Secretariat</li> </ul>

## 2.8 Recommended NAB Structure

Option one is recommended as this is the closest to the existing structure and there would be less complexity in introducing the necessary changes quickly. Further reforms related to options 2&3 can be considered later as necessary. The key reforms under this structure are:

1. Higher level leadership with the DG's MCC and PMO co-chairing meetings.
2. NAB membership and roles refined so that is a smaller and more dynamic entity.
3. The functions of the NAB Secretariat and PMU are split so that the Secretariat can serve as the main engine room for NAB reforms and decisions. The PMU on the other hand serves as the MCC project coordination mechanism for multi sector CCA/DRR projects.
4. The thematic group concept is retained under a new name (i.e. Advisory Groups) and a Compliance Group is added to ensure issues related to the perceived lack of transparency are addressed.



## 2.9 NAB Core Structures and Role

Changes to the NAB, Secretariat and the PMU should be determined by the core functions listed at Table-2. The NAB membership should consist of a small core group with others seconded as need be. Meetings should be held quarterly or more frequently as specified by the Chairperson (s). Ownership and engagement with Ministries, Departments and NGOs should be driven from the Secretariat level given that the NAB does not meet regularly. This overcomes the challenges of down-sizing the NAB.

As an advisory board, the NAB's primary role is to oversee the development of a detailed risk-based plan of action on climate change and disaster risk reduction, to inform the Government's Annual Budget. The 2014 priorities are to:

- Enhanced protection of natural resources and biodiversity, taking climate change into account;
- Providing sustainable, resilient, appropriate infrastructure and services;

- Enabling continuous political reform, decentralization and human and institutional strengthening;
- Broadening economic capacity.

In regard to this the NAB should:

1. Advise Government agencies and donors on the priority actions;
2. Coordinate climate change and disaster risk reduction activities across the country (through the Secretariat);
3. Coordinate delivery of multi-agency/sector projects in cooperation with line ministries and departments, Local Government, NGOs, Private Sector and communities (through the Project Management Unit);
4. Facilitate the implementation of projects at the provincial, area and village levels, including through a program of small grants.

While the NAB Secretariat is attached to the Ministry of Climate Change for administrative purposes, its whole-of-Government role means that it will operate at the strategic level - with operational activities being carried out by Departments and other implementing agencies, including where appropriate, the Project Management Unit.

NAB	Member
Co- Chairpersons	DG MCC/PMO
Core members	Director, Vanuatu Meteorological Geo-hazards Department (VMGD)
	Director Finance
	Director Department Local Authorities
	Director VMPU
	Chamber of Commerce (representing the private sector)
	Representative of NGO
	Manager NAB Secretariat

**Table 3: NAB Membership**

## 2.10 Secretariat

The Secretariat takes on a very strategic whole-of-government leadership, coordination, stakeholder relationships and information management role and therefore should comprise a core staff that can be supported either by short-term secondments, technical assistance and/or advisory groups. The Secretariat should be positioned within the MCC structure under the office of the Director General and be seen as a separate and clearly identifiable entity to other departments including the Corporate Services Unit (CSU) and Project Management Unit.

The Secretariat Manager should be a dynamic and inspirational leader who would report directly to the DG MCC. Its Business Plan should reflect NAB priorities and be approved by NAB. Staffing of the Secretariat as a separate entity will be challenging, particularly during the transition period.

Sustainability of core secretariat staff will therefore be critical and should be assessed from three aspects:

1. Skills and competencies of staff will have to be very high and it is important that there is both continuity and a career progression strategy;
2. Funding for the first year (2014) is committed for several existing PMU positions through World Bank resources. Other interim staffing can be supported through funding sources including an approved VMGD budget amount for PMU (as it was then known) from the Government. An options paper is urgently required to detail long-term funding for the Secretariat.

Position	Key Functions
Strategic Manager	Driving the strategic agenda, stakeholder and donor relationships; oversight and coordination of work related to global and regional obligations and coordinating the work of the Secretariat. The actual implementation of work related to regional and global commitments is not seen as a Secretariat function.
IT Specialist	To establish and drive the information management systems including the review and management of the NAB Portal.
Stakeholder Coordinator	Monitoring and registration of projects, information sharing, capturing and sharing lessons and best practices, overseeing coordination meetings with and between project teams
Monitoring and Evaluation Specialist	To support the PMO with national efforts to establish the M&E system and to operationalize NAB M&E systems including capacity building for the MCC and PMU officers
Policy and Planning Specialist	To facilitate the mainstreaming agenda and provide technical support for the preparation of key policy and planning documents.
Communication and Knowledge Management Specialist	To manage the collection, promotion and dissemination of knowledge products, best practices and lessons learned.

**Table 4** below details the suggested core Secretariat positions:

There are important roles for advisors and volunteers to play in supporting the Secretariat however the scope of their engagement should be clearly defined so that fast-tracking of initiatives and guidelines and capacity building remain their primary objective.

## 2.11 Project Management Unit

The PMU should be positioned within the MCC structure in close proximity to the Corporate Services Unit (CSU). Full-time project coordinators will be hired to coordinate multi-sector projects and they will report to the Strategic Manager Corporate Services who will also oversee the CSU. This is a



logical fit as the PMU should not directly manage projects but instead should provide technical and logistic support and guidance to implementing agencies to ensure components/projects are implemented in compliance with established government and donor policy and practise. The placement of a dedicated strategic manager will alleviate financial reporting, delivery and audit concerns. Project Coordinators should minimize their engagement in operational issues such as procurement, human resource acquisition and financing, and instead provide additional project resources to the CSU to ensure that it can meet project needs and demands against agreed timelines.

A Steering or Advisory Committee co-chaired by the Strategic Manager CSU and the PMO together with representatives from implementing agencies and donors should provide the policy and compliance oversight to all PMU projects.

As the CSU is not fully functional there will need to be a transition period however every effort should be made to expedite this process so that skills and competencies can be developed over time.

## 2.12 Advisory Groups (Thematic Teams)

At least three advisory groups are proposed to support the Secretariat in implementing its strategic roles. This should not limit the option for the Secretariat to increase this number or to create sub-groups. A sitting allowance or other appropriate incentive should be paid to members of all Advisory Groups based on levels of attendance and quality of outputs.

Representation and frequency of meetings for the Advisory Groups will be determined by the Secretariat, depending on the nature of the tasks to be performed and the timeframes.

The Compliance Group will consist of a core group of officer level officials with additional secondments made depending on the nature of the work.

Compliance Group	
Chairperson	Finance – Internal Audit
Core Members	NAB Secretariat
	Prime Minister’s Office (Aid Coordination Unit)
	VPMU
	Finance Development Fund
	NGO Representative (to be identified)

**Table 5: Compliance Advisory Group membership**

The Compliance advisory group will be responsible for finance (including NIE status and a sustained NAB funding model) and policy oversight functions and more specifically for ensuring that for each project submitted to NAB for approval, the project proposal:

1. Has been assessed against the relevant criteria and also identifies:
  - skills transfer and sustainability
  - poverty reduction and gender impacts
  - how goods and services will be procured
  - how good the M&E and reporting criteria are
  - the main risks and how they will be mitigated and managed
  - whether and how lessons learnt will be captured and recorded
2. Includes the 'Project Income and Expenditure Details' form<sup>12</sup> with details of funding source, including provincial/area/village contributions (financial or in-kind), and Expenditure
3. Has nominated the people responsible for:
  - preparing it
  - assessing it
  - project management
  - where applicable, independent monitoring and evaluation
  - the project has been scored against the relevant criteria and categorised under the Policy Guidelines as either 'high', 'medium' or 'low' priority
  - the recommendation is based on a proper assessment.
4. Within two weeks of each project being endorsed by the NAB, the responsible project manager has set up and indexed a file to record:
  - the project proposal
  - any conditions accepted or endorsed by the NAB
  - contact details of relevant people
  - for projects funded through the Development Fund, a copy of the 'Green Form' (Request for Authorization to Expend Development Funds)
  - monthly/quarterly progress reports and budget statements;
5. The communication manager has uploaded the project details onto the NAB Portal.
6. On a monthly basis, each project manager has kept their project files up-to-date and the IT Knowledge Management Specialist has kept the Portal up-to-date.

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<sup>12</sup> DESPAC Form

## **2.13 NAB RECOMMENDATIONS**

### **NR 1: Revised structure of the National Advisory Board**

It is critical for NAB to be linked to the government decision making system and that it be seen as an essential value adding contributor in the achievement of the government's development objectives. All options provide an opportunity for achieving this while also preserving the strategic role of NAB. While Options 2 & 3 provide the best opportunity for NAB to be seen as being mainstreamed within the primary decision making structures of the government while also preserving the NAB identity with option 1 as the preferred interim approach. The rationale for this is that only minimal structural change is required and this means reforms that will also benefit the MCC can be implemented within a short time-frame. A strategy outlining the key steps for achieving the transition should be developed and fully implemented by the end of quarter one 2014.

### **NR 2: Revised roles of NAB**

The Secretariat is the key to having a successful and value adding NAB mechanism and also for ensuring strong linkages and effective coordination across all CC/DRR stakeholders. Currently the Secretariat is not operating at optimal levels for a number of reasons which have been stated. A rapid transition to forming a separate Secretariat supported by an initial injection of technical assistance to fast-track operationalization during the reform period will be critical. Strong and decisive leadership within the Secretariat is required to tackle the challenges associated with harmonising efforts and achieving coordination. Some of the immediate actions include:

- The preparation of Job Descriptions and transfer of existing PMU staff based on the alignment of their skill-sets with the functions to be performed.
- Filling of core staffing gaps through existing government and project budget support
- The establishment of SOPs and protocols to guide Secretariat operations.
- The design of a business plan detailing priority actions.
- The strengthening of knowledge and information management systems including the NAB Portal.
- The review of existing committee and support group systems with a view to harmonizing their work with a revised NAB/Secretariat framework.
- The preparation of a business continuity plan with emphasis on such issues as a sustainable staffing strategy.
- Strengthening of the MCC Corporate Services Unit (CSU) to enable it to provide support services to both the PMU and Secretariat.

### **NAB funding options**

**NR 3:** The NAB Finance Compliance Advisory Group be established as a matter of urgency to investigate options for the ongoing funding of the NAB Secretariat.

## PART THREE: CAPACITY ASSESSMENT OF NATIONAL LEVEL AGENCIES

### 3.1 Summary of key observations:

1. A number of legislative changes are required to reflect the current climate and disaster governance arrangements and clarify the full range of climate and disaster risk responsibilities.
2. The current Corporate, Strategic and Business planning process of different Ministries and Departments are weak with many agencies not having plans.
3. The MCC does not yet have an approved long term Corporate Plan however it is acknowledged that efforts are ongoing to complete this task. The lack of a formal plan is sending the wrong signals to the COM that the Ministry is not demonstrating alignment with the national priorities contained within the PAA and PLAS. This means that the medium term plan related to CC/DRR is either not implemented or, if implemented, it is not reported well.
4. No systematic assessment has been carried out to understand the required skills set, existing skills set and the gaps for implementing CC/DRR initiatives. No human resource development plan has been developed. Most training is ad hoc in nature and not linked to a formal professional development strategy
5. M&E systems are weak or non-existent in most agencies. Therefore the CC/DRR achievements may not be adequately highlighted in the Government Annual Development Report prepared by the PMO.
6. Information and knowledge management systems exist within the NAB but are not fully utilised. This makes information sharing and the learning of lessons almost impossible.

### 3.2 RGA Process

This aspect of the RGA focused on the analysis of government, NGO and private sector relationships. It looked specifically at the internal institutional structures and capacities relevant to mandates, what planning had been undertaken and how this occurred. A range of other issues including information management and M&E processes were also considered.

A total of 13 departments from within the broader government sector, I-NGO networks and the Chamber of Commerce representing the private sector and regional agencies were consulted either directly or indirectly. Within the Ministry of Climate Change (MCC), four departments were consulted:

- National Disaster Management Office
- Vanuatu Meteorological and Geo-hazards Department
- Department of Energy, and
- Department of Environment (although it was not clear if this had officially been confirmed within the MCC structure).

### 3.3 Institutions and structures - MCC

Although the MCC is relatively new, the departments under its remit have been in operation for many years. The RGA revealed that a number of legislative changes were required to reflect the

current climate and disaster governance arrangements and clarify the full range of responsibilities associated with these issues. Some of the key findings are summarised below:

### **3.3.1 NDMO**

The policy framework which drives the mandate for NDMO is the National Disaster Act 2006. Standard Operating Procedures (SOPs) have been developed but are not being effectively used and require updating.

The disaster risk reduction element is missing from the National Disaster Act however this aspect of resilience building is considered to be more a role for the NAB Secretariat than NDMO and should be included in the National Climate Change and Disaster Risk Reduction Policy and ultimately in the NAB legislation. NDMO does not currently have a strategic plan, however they do have a business plan but this is not linked to the PAA or PLAS. The Business Plan is considered to be more a list of activities driven by the available budget, rather than a strategic plan that might influence the budget they may receive. This is an area requiring further improvement.

Staff felt that being part of the MCC provides NDMO with more visibility. They currently have eight staff working at national level and plan to have six staff at the provincial level. Provincial disaster management committees have been established however these are not working efficiently and only one has an approved plan. SANMA for example stated that they have been waiting two years for feedback on their plan from NDMO which has still not been provided.

Although the office infrastructure has been greatly improved, the NDMO human capacity is still quite weak despite significant injections of technical assistance over time. Unfortunately their reputation in some provinces and across departments is not always positive. Staff turnovers and the lack of a structured professional development strategy to guide capacity building, including induction training for new staff and career progression is a problem for NDMO. Unlike Meteorologists or Geo-Scientists who are formally qualified, many NDMO staff are required to learn their trade on-the-job. Usually their only professional development is through attending national or regional training activities but this is a hit-and-miss strategy that does not necessarily improve their professional skills and competencies. The RGA is concerned that the NDMO may not have the capacity to fulfil its full mandate related to whole-of-government responses to emergencies including early recovery and that urgent action is required to reallocate roles if this proves to be correct.

This is not a new problem for disaster management offices across the globe. It has been an issue for more than 20 years and needs to be addressed. Providing the services of advisors will not solve the underlying capacity challenges, unless they are totally focused and committed to sustained capacity building.

### **3.3.2 VMGD**

The Meteorology Act approved in 1989 provides the mandate for the Meteorological Service. Work is underway to draft a new Act, however they are waiting to see the National Climate Change and Disaster Risk Reduction Policy before making final recommendations. Support will be required to complete this work. A new Strategic Plan, 2014-2023 will be launched in November 2013, despite

the absence of an approved Corporate Plan that provides the over-arching vision and direction for the Ministry.

Geo-hazards is one of the seven new units within the Department. VMGD staffing will increase from 50 to 89 if the proposed new structure which is with the Public Service Commission for review is approved.

### **3.3.3 Environment**

The Department of Environmental Protection and Conservation was established in 1986 as the Vanuatu Environment Unit (VEU). Before March 2003, the Department conducted its functions only in an advisory capacity, as there was no legal framework in place to direct its operations. Since August 2009, the Vanuatu Government upgraded the VEU to a fully-fledged Department with an overall mandate to oversee the formation and review of policies and environmental legislation to facilitate ecologically sustainable development and at the same time protect and conserve Vanuatu's natural resources or environment.

The Environmental Protection and Conservation Act (Cap 283) is currently the principal legislation governing Vanuatu's overall environment management. It has undergone a major review to include the mainstreaming of climate change. Other effective legislation includes the Ozone Layer Protection Act No. 27, 2010 on substances that damage the ozone layer and regulations covering Environmental Impact Assessments (EIA). The other legal frameworks which determine the mandate of the Departments are: Waste Management Bill and Pollution Control Bill and draft regulations on Community Conservation Areas and Specified Endemic Species.

The staff from Department of Environment (DE) are not sure how the PAA and PLAS has been linked to the mandates of their Department or how the Environmental Impact Assessment has impacted the PAA and PLAS. The medium term Strategic Plan 2013-2018 is currently being developed by the Department with support from SPC-GIZ for the environment policy and this has demonstrated links with development priorities.

The current organizational structure of the Department of Environment has some limitations. They currently have ten staff although they have proposed a new structure which has not been yet approved. They are planning to have four sections; waste management, EIA compliance, Ozone and biodiversity. They, like many other departments, plan to expand their outreach capacity to all six provinces. At least within the MCC, efforts should be made to harmonise the establishment of provincial offices and capacities as a means of gaining greater levels of effectiveness and also to avoid cost duplication.

It was suggested during consultations that the EIA process of the Environment Department could be amended to include DRR aspects to ensure a complete impact analysis. EIA for example looks at risk in terms of "impact of development on the environment"; DRR on the other hand takes the opposite view in that it "addresses risk from the impact of the environment (climate change and natural hazards) on development". Simply combining these two approaches would mean that one MCC entity could drive the mainstreaming agenda at the provincial and local levels.

### 3.3.4 Energy

Department of Energy (DoE) does not have a specific overarching legal framework (No Act, no policy), although they do have an Electricity Act, Geo Thermal Act, Petroleum Act and Utilities Resolution Act. A ten year National Energy Road Map is in place, however this is very general in nature. Support is needed for the development of an energy policy and broader Act which would provide legally binding mandates for their department. There is currently a lack of clarity in areas such as: factory waste, energy efficiency and price control issues with other entities.

The structure of the DoE has changed over time and it was upgraded from a unit to a department in 2011 but the number of staff was reduced. As per the instruction by the new government it was removed from Mines and Minerals and made a separate entity. The budget of DoE comes from both Ministry of Land and Ministry of Climate Change owing to the fact that the budget has not been transferred across to the new department.

A summary of issues under this section is as follows:

- Legislative changes are required to reflect the current climate and disaster governance arrangements and clarify the full range of climate and disaster risk responsibilities.
- Department of Energy does not have a legal framework (no Act, no policy). There is a lack of clarity and duplication of mandates. Clarity is needed in areas such as: factory waste, energy efficiency and price control issues with other entities. DoE has been the subject of several experimental restructures in the past.
- Establishment of six provincial offices by the Department of Environment could result in overlapping mandates, be confusing for provincial departments regarding coordination, and duplicate expenditure with other MCC entities.
- The Standard Operating Procedures (SOPs) for NDMO are not effectively used and there is a need to review them and make necessary modifications. NDMO does not have a strategic plan but they have a business plan which requires further improvement. The capacity building initiatives of NDMO for provincial disaster management committees and community disaster and climate change management committees needs to be reviewed and improved.
- The Meteorology Act does not cover key issues such as CC and Geo hazards. VMGD have limited capacity to finalise their Act and will require some external technical support to complete this task. VMGD has Standard Operating Procedures for some of the units which require updating and new Standard Operating Procedures are required for the new units.

### 3.4 Planning and implementation

Improving governance of climate change and disaster risk reduction requires a strategic and unified vision. Much work in this regard has been progressed by national and provincial government as well as civil societies<sup>13</sup>. The current challenge is consolidating the climate and disaster risk reduction streams into a single integrated pathway. At present there are a number of disaster risk and climate change policy documents, each providing some guidance on climate and disaster risk and national and sector priorities. The Priority Action Agenda (PAA) was recently revised to include climate

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<sup>13</sup> Concept Note, Strengthening Climate Change and Disaster Risk Governance in Vanuatu.

change and disaster risk reduction directives. A draft National Climate Change and Disaster Risk Reduction Policy is being developed<sup>14</sup>, and will be finalised based on the findings from this Risk Governance Assessment. The Government has also developed a National Action Plan (NAP) on Disaster Risk Reduction and Disaster Management 2006-2016 which was reviewed in 2010 and from which emerged a revised set of priorities moving forward from 2011.

The National Adaptation Plan of Action (NAPA) is viewed by global funding mechanisms as the document that lists the priority adaptation strategies for the country. Although it is acknowledged that the NAPA (short-term priorities) will be made obsolete from 2015 with a National Adaptation Plan (NAP) (mid to long-term priorities) there are some weaker aspects of the existing NAPA which reduces the strategic nature of the document and can serve as guidance for the design of the NAP.

1. It lists potential scenarios and adaptation options broadly and not specific adaptation based on risk analysis;
2. There appears to be no community engagement in the design process and no evidence that community adaptation strategies have been included;
3. There is no evidence of social and gender inclusiveness in the adaptation options.

The current strategic planning process of different agencies under the Ministry of Climate Change appears to be non-strategic as there do not seem to be strong synergies between the various departments while preparing the plans. The Ministry does not have an approved long-term corporate plan although some of the agencies have prepared their own plans without strategic guidance from the Ministry. Although PAA and PLAS talk about the need to consider climate change, it has proven to be a challenge within a number of departments to actually operationalize this within core business functions. The Department of Education and Department of Agriculture and Forestry have mainstreamed the CC/DRR agenda into their policies and have started some activities with support from development partners<sup>15</sup>. Most line agencies will need technical assistance to complete the mainstreaming process.

There is no formalised data management system. Each entity collects and maintains separate data and in many cases this is not linked to the local government level.

DoE has their own database which is very informal in nature and information is only collected whenever they have the opportunity to go into the field. There is an identified need to streamline the current system and to make it more formal. They have signed an agreement with National Statistics Office (NSO) to share data with them.

Some of the issues and challenges under this section are:

- The current planning process of different agencies under the Ministry of Climate Change is non-strategic and compartmentalised within each department.

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<sup>14</sup> Supported by Pacific Islands Climate Change Adaptation Program (PICCAP) and SPC-GIZ.

<sup>15</sup> National Curriculum Statement and National Forest Policy with support from SPC-GIZ.

<sup>15</sup> Vanuatu education in emergency policy, 2013-2017 and Guide to Climate Change and Disaster Risk Reduction Engagement within the Agriculture Sector, 2013



- The Ministry does not have an approved long term corporate plan. The lack of such planning tools means they are not demonstrating linkages to the long-term vision and strategies (i.e. PAA and PLAS). This means that the medium-term plans related to CC/DRR are either not implemented or not well reported.
- The NAPA is a guideline rather than a plan of action and does not include social and gender considerations nor was it designed with high engagement with communities.
- Lack of an updated and systematic data management system and the lack of a mechanism for collecting data will impede information sharing.

### **3.5 Human resources capacity**

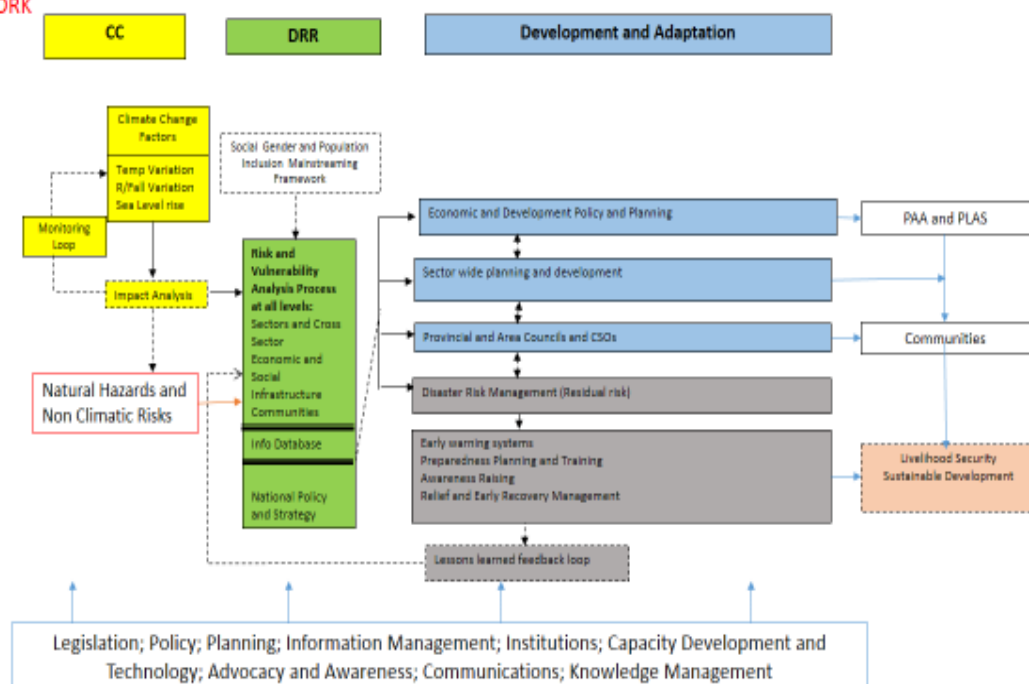
Capacity building of human resources is one of the primary functions that the Ministry of Climate Change is mandated to undertake. The RGA process has revealed that neither the MCC nor its departments have undertaken any systematic process to assess the skill sets required for successful mainstreaming and operationalization of CC/DRR strategies. More specifically, no gap analysis has been developed to identify priorities. The RGA is aware that some departments including Environment<sup>16</sup> have participated in capacity needs assessment, however it was difficult to obtain feedback from other agencies as to whether such assessments had been undertaken in recent years.

The current training programs are mainly provided by external sources including regional agencies. A national framework such as the one below which is repeated from Part One serves many purposes, but in terms of capacity development it enables countries to visualise and map the key elements that together facilitate sustained and integrated actions toward achieving resilience. Without a framework, which is the case now, it is difficult to have structured programme of support and this lends itself to inconsistency in training and limited progress toward building specific skills and competencies.

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<sup>16</sup> Vanuatu National Capacity Building – Action Plan for Global Environmental Management - 2008

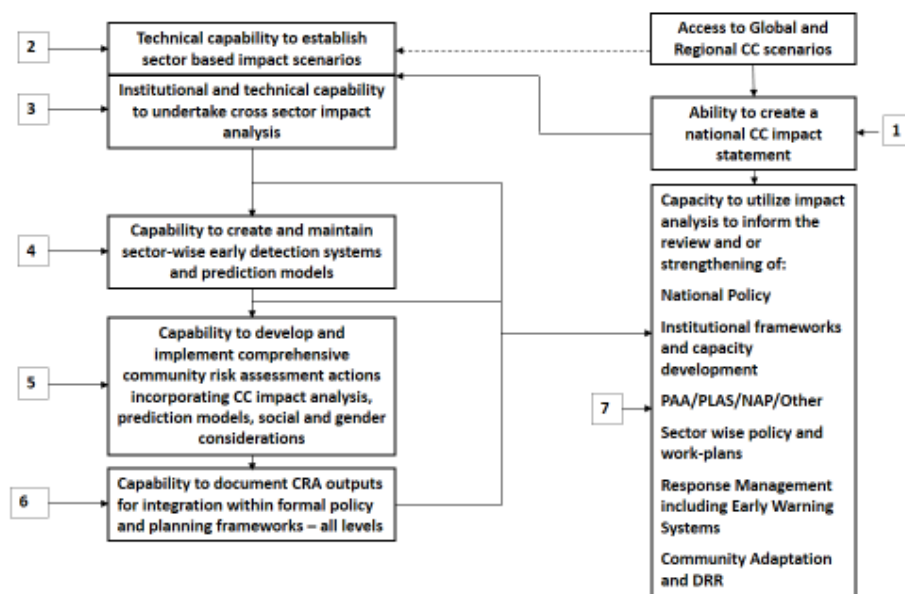
## EXAMPLE NATIONAL FRAMEWORK



**Diagram 3.1 Example National Framework**

Historically many regional agencies and sometimes donors, work with specific sectors rather than whole-of-government initiatives and their mandates are structured accordingly. As a result they tend to favour “entry point” approaches through these sectors to achieve whole-of-government outcomes. For example, “Mainstreaming in the Agriculture Sector” as opposed to building a national mainstreaming capacity that can support all sectors. Others just target topical issues such as mainstreaming. Duplication and inconsistency in approach often occurs.

Efforts should be made to map functional areas so that key competencies (including technology), priorities and linkages can be identified and capacity development strategies prepared. An example of this is displayed below for illustrative purposes only. It shows the type of skills and competencies that are necessary to operationalize the national framework and it is strongly recommended that Vanuatu develop such a framework to facilitate the same outcomes.



**Diagram 3.2: Example Capacity Framework**

#### Summary of key issues this section:

- There is no structured CC/DRR capacity building framework that guides the identification and prioritisation of capacity needs required to fully operationalize a country system.
- There no systematic capacity assessment system that would enable the MCC and other entities to identify capacity and technology needs against an established framework.
- There tends to be a reliance on external resources or Technical Advisors to solve capacity development challenges on an ad hoc basis. This results in supply driven training courses or technical inputs that are not necessarily aligned with a structured country or departmental professional development strategy.

### 3.6 Monitoring, Evaluation and Reporting

Over the years Vanuatu has embarked on many development initiatives including the Comprehensive Reform Program in 1997, the PAA in 2006 and the PLAS in 2009. It is understood that the PAA is to be replaced by the National Sustainable Development Plan 2015-2020. Further to these policy initiatives, major programs and projects were also implemented to address the country's development needs. However, according to several government officials the impact of these programs has been mixed and in some cases, not fully known. It is recognized that the absence of an effective Monitoring and Evaluation system has greatly hampered the government in terms of providing useful information and insight, and importantly, providing performance feedback on government programs. This has led to major constraints affecting the implementation of government programs, policies and projects. Lack of information has limited the government process of moving towards evidence-based policy making. Many of the Ministries and Departments consulted during the assessment do not have an efficient M&E system, and in some cases have no M&E system at all.

The government has established a dedicated M&E Unit within the PMO after approval of its functions by the Public Service Commission in 2008. The primary roles of this unit are to:

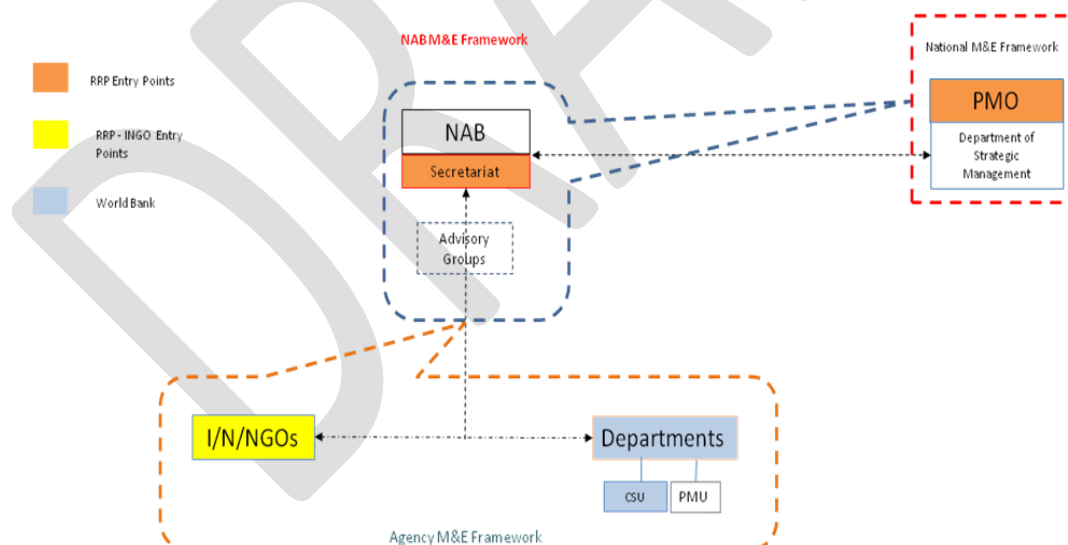
- Lead the preparation of an annual assessment of development progress using the Annual Development Report (ADR);
- Monitor and evaluate the impact of government policy (PAA, PLAS, COM decisions, programs and the NPP); and
- Facilitate policy feedback and recommendations to the Council of Ministers, the Office of the Prime Minister and amendments to the auditing of government policies.

The Unit works closely with the Sector Policy Analysts within the Department of Strategic Policy and Planning and Aid Coordination, Expenditure Analysts within the Ministry of Finance and Economic Management, and line Ministries to monitor implementation of government programs and activities and ensure they are in line with government policy priorities.

The absence of an approved Corporate Plan has led to delays in formalising the M&E system within the Ministry of Climate Change. Individual departments within the Ministry do not have an effective M&E system or in cases, dedicated M&E staff. The achievements of the Ministry are therefore not comprehensively highlighted in the Government Annual Development Report prepared by the PMO. This may in the future open it to criticism or place it as a low priority when government priorities and resources are allocated.

The majority of agencies consulted including at the local government level, conceded that the absence of a structured M&E framework was a weak element in their operations. It is therefore critical for the PMO to reinforce efforts to build M&E systems across government.

NAB needs to support these efforts by ensuring that M&E systems are developed at various levels to enable progress of climate and disaster risk projects to be accurately determined. It is also critical for capturing lessons learned and best practices. The following diagram articulates how an integrated M&E system linked to CC/DRR may work in operation.



**Diagram 3.3: Integrated M&E System**

### 3.7 Information, communication and partnerships

“Communication” refers to all forms of communication including verbal, visual, written, song, text/SMS and a range of others. VMGD has an excellent Communications Plan and produces over sixty different forms of communication, ranging from verbal updates, meetings and seminars, newsletters, brochures, reports, forecasts, alerts, radio sessions, awareness sessions in schools, web materials and social media updates and telephone link-ups with field officers. When considering

communication, it is also important to consider “engagement”. Engagement can be understood as entering into a two-way conversation. This includes receiving comments and feedback on communications; asking community members and partner organizations for their opinions; and using the skills and resources available in communities and organizations to contribute to data collection VMGD undertakes.

VMGD collects and provides high quality and reliable information on meteorological events (such as rainfall, El Nino and La Nina events and cyclones) and geo-hazards (such as tsunamis, earthquakes and volcanic eruptions). The Department works closely with the National Disaster Management Office (NDMO) and provides forecasts, alerts, bulletins and awareness materials directly to government, organizations, students and communities.

There are some other excellent examples of collaboration. An example is the "Cloud Nasara" animation on ENSO impacts and adaptation, developed with each of the collaborating partners<sup>17</sup> contributing its own strengths and expertise. The Cloud Nasara DVD was rolled out in a series of train the trainer workshops, and included a detailed evaluation form which each community/partner/government agency who has been provided with the animation has filled out and returned. The purpose of the evaluation is to measure the impact of the engagement with communities.

In terms of Networking, there are some excellent successes including the signing of MoU's with partners<sup>18</sup> to ensure farmers in outer islands receive agrometeorology bulletins through field worker, cultural center, NGO's and media networks.

VMGD is also working closely with a range of partners<sup>19</sup> to collect traditional knowledge and information related to climate indicators to ensure that scientific projections are presented to the public in a way that is consistent with traditional beliefs. A database has been developed and now populated with over 500 traditional adaptive strategies for ni-Vanuatu communities.

Some of the issues identified include:

- Even though resources are limited for all agencies, there is significant collaboration and use of existing networks to disseminate and collect information. The problem is that many of the initiatives are being driven outside of the NAB framework and this places a question mark over the whole-of-government impact and sustainability of the initiatives.
- While there are some good examples of information exchange, there is no formal information management system that ensures that this is done routinely. Monitoring and support of these systems is necessary to ensure that they are working and this requires a multi-strategy approach.
- Scientific predictions become useful when linked to the current and past community knowledge of weather and geo-hazards cycles and traditional methods of adaptation.

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<sup>17</sup> VMGD, SPC-GIZ, Australian Red Cross and Bureau of Meteorology

<sup>18</sup> VMGD, Department of Agriculture and SPC-GIZ

<sup>19</sup> Tanna Cultural Center, Bureau of Meteorology in Australia and SPC-GIZ

### **3.8 Knowledge and coordination**

Knowledge refers to the creation, absorption and diffusion of information and expertise towards effective development solutions. Knowledge can be developed at a variety of levels and through a variety of means.

The Ministry of Education has created partnerships<sup>20</sup> to ensure that climate change science and experience is included in the new K-13 curriculum which will be launched in 2015. This curriculum systematically ensures transfer of Vanuatu-focused knowledge and experience on CC & DRR to students at all levels and in all subjects.

Regional education networks, such as the Community Education & Training Centre at USP and the USP- Pacific Centre for Environment & Sustainable Development are working with partners<sup>21</sup> to develop non-formal education training modules on CC & DRR for rural training centres in Vanuatu

A consortium of non-government organizations working on climate change adaptation in Vanuatu has established the Vanuatu Climate Adaptation Network (VCAN) to coordinate the range of activities undertaken by civil societies and other non-government organizations. International and national humanitarian actors have also established the Vanuatu Humanitarian Team (VHT) to improve collaboration between NGOs working on humanitarian preparedness, response and recovery and to support NDMO and other government agencies in the delivery of their mandated disaster risk management responsibilities. OXFAM is helping them to coordinate with external stakeholders.

Six clusters have been established to ensure focused planning at the national level to coordinate different national level agencies. The six clusters are: Logistics (NDMO), Education (Ministry of Education), Health and Sanitation (Department of Water and Geology), Agriculture and Food Security (Department of Agriculture), Water and Sanitation and Protection (Department of Women's Affairs). Although the clusters appear to be providing value-adding, it is important that they are strengthened.

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<sup>20</sup> Education has partnered with VMGD and SPC-GIZ

### **3.9 NATIONAL LEVEL RECOMMENDATIONS**

#### **Improve the Strategic Planning Frameworks**

**NL 1:** Corporate, Strategic and Business Planning are weak in many ministries and departments with several exceptions such as Public Works and Agriculture. These are the foundations for long-term visioning and whole-of-government reporting against PAA and PLAS objectives and priorities. They also articulate priorities upon which to identify CC/DRR interventions and are therefore critical for decision making purposes. Technical assistance is urgently required to support this process.

**NL 2:** The Secretariat facilitates technical assistance to support the efforts of departments to design strategic plans incorporating CC/DRR. Further assistance should be provided to ensure that departments fully understand how to operationalize CC/DRR within their core business activities.

#### **Strengthen legal policy frameworks**

**NL 3:** Technical assistance be provided to finalise and promote the National Policy for Climate Change and Disaster Risk at all levels and to support departments in reviewing existing and relevant policies to reflect the content of the new policy.

**NL 4** That a national framework for CC/DRR be developed to guide policy, planning, priority areas and capacity building.

**NL 5:** Technical assistance be provided to support the revision and operationalization of the VMGD, Energy and NDMO legislation.

**NL 6:** The new NAP be developed in full compliance with the new national policy in addition to ensuring participation from all levels including communities and that social and gender inclusiveness is threaded through all adaptation strategies.

#### **Create a national strategy for capacity development**

**NL 7:** The Secretariat coordinates the design of a comprehensive capacity development plan for the country, detailing the skill sets, technology and functional competencies required for operationalizing the national CC/DRR framework.

**NL 8:** The need for a Professional Development guideline that clearly identifies the key functions and competencies required for NDMO staff and supported by a capacity building programme that covers induction training, skills development and career progression. This will enable staff to be progressively and continuously developed over their career.

#### **Establish a formal Monitoring and Evaluation system**

**NL 9:** Technical assistance be provided to support the establishment and operationalization of M&E systems that target integrated national level, as well as the provincial and area council levels:

- The national M&E system managed by the PMO that extends across all Ministries and Departments;
- NAB M&E system as a reporting entity to PMO to be managed by the Secretariat;
- NAB Agency implementing entities linking back to the Secretariat.

## PART FOUR: CAPACITY ASSESSMENT OF LOCAL GOVERNMENT

### 4.1 Summary of Key Observations

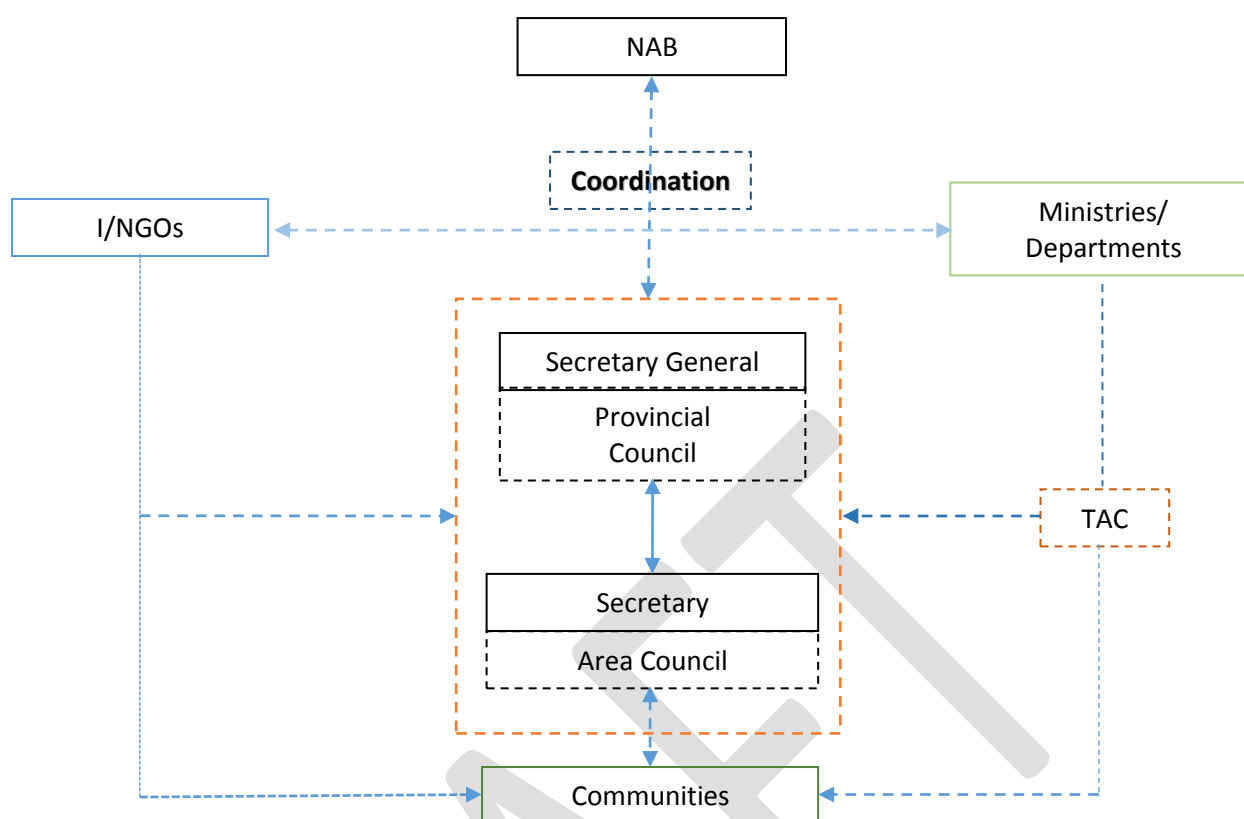
- The Decentralisation Act (2006) and the Amendment to the Act (2013) outline the roles and responsibilities of the local administration under a decentralisation of service delivery across Vanuatu. While the Act is quite specific about how it will be implemented, there are significant capacity and resource challenges, in addition to varying perceptions as to what the Act is designed to achieve that will make operationalization of the Act difficult.
- DLA is under resourced and currently lacks the capacity to drive the operationalization of the Decentralisation Act. It also has no Corporate Plan, Strategic Plan nor Business Plan. They also lack the resources to strengthen provincial and area councils.
- There are a number of challenges within the existing structure at local level. For example, there are conflicting priorities between elected officials and appointed officials tasked to manage the local government structures on a day-to-day basis.
- The current planning trends at provincial and area council levels generally tend to be non-strategic and ad hoc and there are no consistent templates to guide planning. For example, most do not have a long-term strategic plan and there is no provision for communities to influence planning and priorities.
- While it is now mandatory for provincial governments to utilise Technical Advisory Commissions to engage with, and include government services in planning processes, this is not effective owing to limited resources, capacity, guidelines and systems.
- Area Secretaries/Councils are under-resourced and incapable in many instances of performing their mandated responsibilities.
- Many projects implemented by Government, INGOs, UN and Regional Agencies generally bypass local government systems which means that authorities are unable to monitor progress toward the achievement of community programs, nor are they able to benefit from such programs in implementing their own priorities.

### 4.2 Structure of Consultations

The analysis was undertaken in three of the six provinces namely SANMA, TAFEA and SHEFEA. A specific questionnaire was prepared to guide discussions and this was centred around the following issues and within the context of the institutional structure below.

• Institutions and Structures	• Planning and Implementation	• Budgeting and Financial Management
• Human Resource Capacity	• Monitoring and Evaluation	• Knowledge, Information and Communication
Partnerships and Coordination		





**Diagram 4.1: Integrated Institutional System**

### **4.3 Local Government Structure**

#### **4.3.1 Provincial Level**

As per Part two of the Decentralization Act, Local Governments have two layers: the Local Government Councils at the Provincial level and the Area Councils. Some of the Provinces (like SHEFA) have created an intermediate layer called “Sub Districts”. Each Provincial Government Council is composed of elected officials (for four years) and appointed members such as the Provincial Secretary who is selected by the Public Service Commission (PSC) as per clause 18E of the PSC Act.

The Secretary General as the Chief Executive Officer of the Local Government Council for which he/she is appointed should have the charge and custody of and be responsible for all books, records and other documents of the Local Government Council.

The financial year of a Local Government Council shall be a period of 12 calendar months commencing on 1<sup>st</sup> January. Each Local Government Council should have a “Local Government Fund” consisting of the grants received from the central government under section 26 & 27, all local taxes, fees, rents, fines and profits from trade lawfully levied by the Local Government Council.

### **4.3.2 Area Council Level**

The Decentralization Act allows for the Minister of Internal Affairs on the advice of each Local Government Council to divide a local government region into area council divisions or districts and may alter those divisions or districts.

Area Councils are supported by an Area Secretary appointed by the Provincial Council. They are comprised of delegates representing Chiefs, Churches, Women, Youth and Disability. Amendments to the Decentralization Act<sup>22</sup> also outline the functions of area councils:

- Review and consolidate community action plans for each community within that area council division or district;
- Develop an area council Strategic Development Plan for the relevant area council division or district;
- Coordinate, monitor and report to the relevant Provincial Government Council on the implementation of the relevant area council Strategic Development Plan.

An area council must hold its meetings at least four times each year. The funds of an area council consist of monies received from the relevant Local Government Council and other sources.

### **4.4. Government Services**

Section 4D of the Decentralization Amendment Act requires the establishment of a Technical Advisory Commission (TAC) within the Local Government Region. The commission must consist of the Secretary General of a Local Government Region, who works as the chairperson of the commission, and heads of government departments based in the Local Government Region. The functions of the TAC are to:

- Review and consolidate action plans for each area council in the relevant Local Government Region;
- Develop a Local Government Region Strategic Development Plan for the relevant Local Government Region;
- Coordinate, monitor and report to the relevant Local Government Council on the progress of implementation of the relevant Local Government Region Strategic Development Plan;
- Assist the relevant Secretary General in the coordination of government services in the relevant Local Government Region. A Strategic Development Plan must be approved by the relevant Local Government Council before it can be implemented.

### **4.5 Discussion and Findings**

The Decentralization Act of Vanuatu, 2006 and Decentralization (Amendment) Act No. 16 of 2013 elaborate different structures and their functions existing at sub-national level.

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<sup>22</sup> Decentralization (Amendment) Act No. 16 of 2013

#### 4.5.1 Department Local Authority (DLA)

Discussions with DLA highlighted a number of issues related to the operationalization of the Decentralization Act:

- Current planning is “top down” and the Decentralization Amendment Act calls for a shift to a “bottom up” planning process. DLA does not have the capacity to implement the transformation shift in planning and have indicated that support for the development of a Standard Operating Manual would be very useful for the staff working at the sub-national level.
- DLA has identified that Area Councils face resource challenges, however the lack of financial resources limits improvement. Area Secretaries are key to the success of the decentralization strategy and so this issue needs to be addressed as a matter of priority.
- There are misunderstandings regarding the roles and responsibilities of the Provincial Council [elected] members and the Secretary General who is appointed by the PSC. Even though the Act describes their respective roles clearly, there is a need for a guideline explaining the role synergies in more detail. A detailed capacity building program also needs to be planned for improving the effectiveness of the local administration.
- There is a need to coordinate external stakeholders by developing an integrated planning, budgeting, monitoring and reporting mechanism that can be adhered to by all stakeholders.
- DLA also mentioned that they don’t have a corporate plan for their Department and they need assistance for developing such a strategic document.

#### 4.5.2 Local Government Institutions

During the assessment, representatives from the Provincial Council including Secretary General, TAC members, Area Secretaries, Area Council members and community members were consulted. Some of the issues identified under this section are:

- **Lack of clarity regarding the roles and responsibility of the executive (Secretary General) and legislature (Provincial Council):** From the discussion it is clear that there is a lack of clarity regarding the roles and responsibilities between the provincial council members and the Secretary General (SG). Under the Decentralization Act, the SG should support the provincial council in discharging its responsibilities, however in reality the opposite often applies. The supremacy of the executive over the legislature raises a lot of questions regarding the existing downward accountability mechanism at the sub-national level.
- **Limited synergy between the functioning of line Departments and the Provincial Administration:** While there is good interface with line departments, provincial administration does not have the same level of coordination in discharging responsibilities. Line departments are not accountable to the Provincial Administration and their reporting responsibilities remain with their respective agencies in Vila where their budgets are allocated and their performance is measured by their supervisors. Annual work-plans of the respective agencies are usually designed around directions and priorities received from Vila rather than on the basis of needs and priorities outlined within Provincial Plans.

This means there is no clear indication as to whether the services being delivered by government agencies are consistent with PAA and PLAS priorities.

#### **4.5.3 Technical Advisory Commission**

Currently, each province has a Technical Advisory Commission (TAC)<sup>23</sup> to co-ordinate government services at provincial level. Limited resources and capacities to fulfil such a mandate hinder the effective execution of this role. The TAC concept is relatively new, and there are many unresolved issues related to the perceived roles of TACs including the way they are established and the availability of resources for the execution of their functions.

Although some TAC members have technical capacity relative to their field of expertise, it is difficult for them to engage in strategic planning, budgeting, monitoring and reporting processes and to also undertake their activities without basic resources and facilities. Insufficient funding is allocated for transport, fuel and other basic expenditure incurred in the delivery of their services.

They are however, best placed to drive CC/DRR mainstreaming agendas and should be strengthened.

#### **4.5.4 Area Councils**

Area Councils try to address issues raised by the Village Councils, however most have challenges in making decisions. Area Secretaries have a significant range of functions they must perform and this limits their ability to think and act strategically. Some of these functions include: electoral registration, marriage registration, birth registration, population and household census, business registration and developing project proposals.

They are also the key community spokesperson for both Province and Government for gathering information, preparing community profiles, preparing monthly reports, events coordination (for example, Provincial day celebration) and disaster response and recovery focal point. It is difficult for one person to undertake so many tasks, especially when they are under-resourced and lack the capacity to engage with communities on a regular basis. Area Secretaries are sometimes represented in the TAC, however they can only represent the issues agreed by Area Councils and these are neither comprehensive nor strategic in nature.

#### **4.6 Planning and implementation**

The planning process at the Provinces is ad hoc and not well coordinated. TAC is generally not well utilised to plan and implement projects. Some of the issues under the planning and implementation section are the following:

- **Few strategic plans for the Province:** The planning process at the local level is quite ad hoc in nature. Most of the Provincial administrations except for SHEFA, do not have a strategic planning

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<sup>23</sup> A Technical Advisory Commission (TAC) comprising of all sector managers in the areas of Agriculture, Tourism, Water Supply, Public works, Police, Education, Health, Environment, Disaster management, meteorology, Livestock, Forestry and other NGOs represented within the province. TAC is supposed to have monthly meetings spearheaded by the SG to update and discuss some of the issues arising especially potential projects requested by communities. TAC should ensure that community needs, issues or projects are addressed accordingly in essence of the urgency and nature of the issue and tries it's' best to respond in a timely manner. Recently Parliament has passed a resolution for the Provincial Council to support TAC, failing which action will be taken.

document or a Provincial corporate plan. Even though some provinces have designed a corporate plan, they do not factor in important elements including the CC/DRR agenda.

- **Lack of bottom up planning process:** The planning process is mostly top down and involves very little if any input from communities. As has been previously mentioned, Annual Business Plans of line departments are mostly dictated by national level agencies, while provincial councillors are the official representatives of the people, but do not always consult with communities to establish their needs.
- **Government line agencies receive separate funding** beyond the reach and control of the Provincial Administration. The Provincial Administration does not have enough capacity to mobilise additional resources for the Province, even though the Decentralization Act<sup>24</sup> clearly mentions this. Line departments usually plan for their next year activities in November, however budgets are not usually released until the end of first quarter of the new financial year.
- **Different approaches used** by different stakeholders for implementing projects at sub-national level: The assessment reveals that different projects which are already implemented and other pipeline projects use different approaches for planning, implementation and monitoring of projects at the sub-national level.

#### 4.7 Human Resources Capacity

The RGA looked at human resources capacity at the sub-national level with the focus on identifying issues related to their performance but also the causes for not being able to discharge their duties. Some of the human resources capacity issues are summarised below:

- **Lack of capacity at different levels:** Lack of capacity of different staff at different levels of local administration is a concern which requires attention. For example, the Provincial Council members often do not understand the intricacies of development requirements. Many of the staff other than SG and the accountant (appointed by the Public Service Commission) are political appointments and this sometimes compromises the quality of the human resources capacity. It is important to introduce some mechanism at the Provincial level for transparent and merit based recruitment processes.

Some provincial line Departments have the capacity to manage projects, however this function is retained at the national level in many departments, with funds earmarked for provincial projects utilised for other non-related activities. The level of decentralization and empowerment of provincial staff is therefore influenced by the head of the departments in Vila and not government policy.

There is a dearth of capacity and resources at the Area Council levels. It is important to rethink the staffing structure of the Area Council as most of the actual implementation of activities is undertaken at this level. The Area Secretary has only very basic resources but no vehicle, bike, boat or financing to undertake his work and cover costs, including extensive travel to meet Village Councils in each community. The assessment noted that most of the Council Members and Area Secretaries walk long distance to visit different Villages to discharge their duties. The

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<sup>24</sup> Article 27 C of Part 7 of the Decentralization Act talks about the "Funding of Local Government Councils"

main DLA priorities are to strengthen Area Secretaries and particularly their Socio Economic skills and their broader capacity to understand their strategic and priority setting roles. Some of the Area Councils have implemented projects in the past, but they don't have much capacity to do it effectively.

#### 4.8 Monitoring, evaluation and reporting

Monitoring and Evaluation (M&E) is a significant challenge for government agencies and also local government at sub-national level. The lack of such systems means that the Secretary General finds it difficult to oversee the activities undertaken by the provincial line departments and report to DLA and other relevant national agencies. Challenges and issues under this section are:

- **Absence of data:** Currently there are severe data limitations for monitoring the provincial development outcomes. Different agencies have their own informal mechanism to collect data, and store them in their respective agencies usually without sharing with others. This results in the same data being collected by different agencies at different times of the year. The Provincial Administration has not stored the data in one place and there is no mechanism for smooth flow of data from National Statistics Centre to the Provinces and Provincial data to the national level. Currently, data collection processes are sporadic and not systematic.
- **Absence of a formalised monitoring mechanism:** The Provincial Administration does not have a mechanism to monitor the results or activities. As they don't have a corporate plan, they also do not have indicators against which they can measure the results of their work. Having a formalised M&E system at the Province level is a good way for the SG and TAC to keep track of the planned activities, know their implementation status and report results.

#### 4.9 Knowledge, information and communication

- **Limited system to capture the traditional practices of coping with climate change and disaster risks:** The assessment reveals that the local people in Vanuatu had indigenous mechanism to deal with the temperature rise and rainfall variation. These practices have not been systematically captured and put into use during the planning process.
- **Weak information management systems:** Most of the Provincial Administrations do not have a proper information management system. The SG of SANMA mentioned that they have a website within the Department of Provincial Affairs but no formal M&E system. Therefore no record of actions that have taken place in the Province can be accurately reported upon or promoted. Despite this the Secretary General provides a quarterly progress report to the Department of Local Authority at national level.

Some of the line Departments have recently started reporting to the SG on their activities however the SG has no input to their priorities. The Area Secretaries prepare and send monthly report to the SG however they don't use any specific format to prepare these reports.

#### 4.10 Partnerships and coordination

- **Weak coordination:** The Provincial Council and the SG do not have any mechanism to even know the number of projects which are being implemented in the Province. Most of the agencies (Multilaterals, Bilateral and NGOs) work directly with the community without letting

the Provincial administration know about the projects or if they do it is simply a courtesy visit to tell them what is being implemented. On occasions donors support projects through national agencies without keeping the provincial administration in the loop. This becomes very difficult for the Provincial Administration and can result in duplication of activities and skewed funding support to some areas.

NGOs link with the Area Secretaries to inform them about their activities, however these are often not linked to either the Area Secretary Business Plan or the Secretary General Business Plan. In TAFEA Province, the Secretary General organises a coordination meeting on every 1<sup>st</sup> Tuesday of the month with the provincial line Departments to collect information regarding their activities. This mechanism can be used for coordinating activities of the provincial line Departments. A Financial Services Bureau (FSB) has been established to coordinate government funds within the Province under the oversight of the SG but further action is pending to establish these linkages with the Finance Office at national level.

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#### **4.11 LOCAL GOVERNMENT RECOMMENDATIONS**

##### **Strengthen the capacity of the Department Local Authority**

**LG 1:** Provide technical assistance to DLA for the operationalization of the Decentralisation Act including the development of their Strategic Plan, Standing Operating Procedures to guide capacity development at the Local Government level, Planning Templates to facilitate the bottom up planning processes and role clarification between the elected council members and appointed staff at the provincial level.

##### **Strengthen planning and M&E frameworks at provincial and area council levels**

**LG 2:** Provide technical assistance to support the development of Strategic and Business Plans at the Provincial and Area Council level; and to strengthen M&E and information systems.

**LG 3:** Provide resources to strengthen the capability and effectiveness of Secretary General, Provincial Councils, TACs, Area Secretaries and Area Councils in performing their mandates under the Decentralisation Act.

##### **Strengthen community planning**

**LG 4:** Technical assistance for Area Secretaries to support the implementation of the community development planning process and integration of CC/DRR as required under the Decentralisation Act



## PART FIVE: RISK PROFILING SUMMARY

### 5.1 Introduction

This summary is complimented and extended by a separate and more detailed report on RGA Risk Profiling outcomes which can be found as a separate Annexure.

The Government of Vanuatu recognises that effective institutions and the inter-relationships between them are at the heart of its ability to respond to growing climate and disaster risks. To this end, a comprehensive analysis of climate and disaster risk governance is undertaken.

A critical precursor is the development of a risk profile for Vanuatu that identifies the key risks and vulnerabilities that Vanuatu's risk governance institutions must address. Currently there is no single, up-to-date and easily accessible document that summarises the major studies of risk undertaken to date.

The “Profile of risks from climate change and geohazards in Vanuatu” report describes the activities and results of the risk profiling.

The **overall objective** is to compile a summary analysis of climate, climate change and disaster risks. The outputs are as follows:

output description	output format
<b>library of Vanuatu risk assessment reports</b> from completed geohazards, climate, climate change and disaster risks and vulnerability analyses undertaken by the Government of Vanuatu, development partners, projects and academics	<ul style="list-style-type: none"><li>digital files of the relevant documents (pdf, docx and xlsx)</li><li>summary documents (<b>Library list.xlsx</b>, <b>Library overview.docx</b>)</li></ul>
<b>a geohazards, climate change and disaster risk profile for Vanuatu</b> to inform the Risk Governance Assessment, Second National Communication and national climate change and disaster risk reduction policy	<ul style="list-style-type: none"><li>the risk profile report</li><li>a digital database with all identified spatial information</li></ul>
<b>a list of current and planned risk mapping activities</b> in Vanuatu that can be used for coordination purposes	<ul style="list-style-type: none"><li>digital files of the relevant documents (pdf, docx and xlsx)</li><li>summary document (<b>Future Risk Mapping Activities.docx</b>)</li></ul>
<b>identified data and analysis gaps</b> and a set of priority risk mapping, data collection or analysis actions and recommendations required to improve information on Vanuatu climate and disaster risks	<ul style="list-style-type: none"><li>the risk profile report</li></ul>

The assessment was undertaken following a three step process:

4. Compilation of documents and information through: collection of social and natural scientific research reports undertaken on geo-hazards, climate, climate-change and disaster risks in Vanuatu; collection of key national and provincial level vulnerability identification and assessments or any other published risk reports; identification and listing in a database of current and planned risk mapping activities in Vanuatu; identification, location and listing of datasets for Vanuatu that could be useful. These include all geophysical/climate/oceanographic datasets both locally and overseas.
5. Synthesise and analyse through: summarise and synthesise the key findings into a single document covering geological risks (volcanic, seismic hazards and tsunami-genic hazards), climate variability, climate change to date, climate projections, disaster risk; create basic visual risk maps of Vanuatu climate and disaster risks, showing in broad terms the level of risk for each island.
6. Identify gaps and options for future work through: identification of gaps in data, information and analysis; identification of research required to downscale analysis and further identify the level of risk for each province or island; identification of the most important meteorological variable that needs research to determine the level of risk for each island; listing of options for further research and recommendations for priority projects.

The following table lists the effects of climate change that are considered in the assessment.

<b>climate change</b>	<b>long term effects (climate)</b>	<b>short term effects (weather)</b>
temperature increase	higher Tmin, Tmean, Tmax	heat waves, cold spells
precipitation change	less or more annual rainfall	floods, droughts
sea level rise (NB. vertical land movement)	higher sea levels, compounded by higher wave-setups	higher flood extremes
ocean acidification	increase with atmospheric CO2 levels	
sea surface temperature increase	higher min, mean and max SST	more and longer episodic high temperatures

Some findings for the risks from climate change:

- Increase in daily temperatures is the same for the whole of Vanuatu, for minimum, mean and maximum daily temperatures. Compared to 1995, by 2040 it is 1.2°C (global 1.9°C), by 2070 2.3°C (global 3.6°C)
- Increase in sea surface temperatures will bring the whole of Vanuatu in a zone where coral bleaching will be frequent (above 29.5°C)

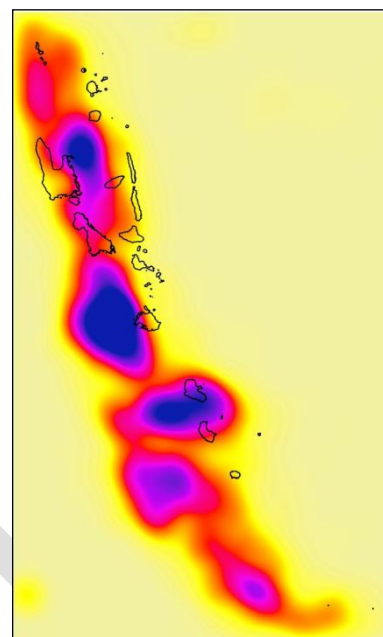
- The change in precipitation is unclear: half the models project a change of less than 10% by 2040, while the other half projects a stronger change. This will pose challenges to planning and policy development. This uncertainty is much higher than the differences over the islands.
- Sea level rise will continue and accelerate. Information on local vertical land movement is crucial. For Port Vila, an increase of 159cm is projected for 2100, when the observed sinking of 4.8mm/year is taken into account.
- In 20 years' time ocean acidification will have damaged 80% of the coral reefs around the world, including those in Vanuatu. Considering their crucial role for coastal protection, food security and tourism, this makes it the most significant impact of climate change for Vanuatu.
- The extreme temperatures (including heat-waves) will reach higher levels and become more frequent. By 2040, the current 1-day maximum occurring once every 20 years, will occur every other year.
- The duration of dry periods will become longer. The 1 in 5 year event will lengthen from just under 19 days to 28 days.
- Extreme rainfall will become more frequent and intense. By 2040 the 1 in 100 year event will have increased 10-11%. This change is the same over all islands. Frequencies of current events will increase by 1.2-2.5
- Episodic high sea surface temperatures will increase from about 10% of the time currently to 25% of the time by 2040 (in Efate). This is different for different islands.

The following geo-hazards are present in Vanuatu:

Hazard	data/information sources
Earthquakes	A global database with all recorded earthquakes (location of epicentre as well as the magnitude [from 1950]) can be used to produce a density map of earthquakes around Vanuatu
Volcanoes	The location of the volcanoes is known, and risk-zones can be mapped around these, identifying the areas at risk
Land/mud slides	Land/mud slides are happening when a certain slope is exceeded for specific soil compositions, when triggered by rainfall or earthquakes
Floods	Floods from extreme rainfall events or coastal inundation (from high-tide, storm-surges, tsunamis, waves, aggravated by sea level rise)
Tsunamis/storm-surges	Coastal areas prone to inundation from elevated sea levels (tsunamis, storm-surges, high-tides / combinations) can be mapped
Liquefaction	Liquefaction occurs in soil with a high moisture content (usually reclaimed land) when shaken by an earthquake

Some findings for the risks from geo-hazards:

- The risks are well understood, with known properties regarding location and frequency and expected to not change in frequency or intensity over time.
- Given the rarity of the disasters, there is a lot of uncertainty in the frequency/intensity distribution. This is not going to improve.
- Getting from event to impact requires information that is currently not available: for flooding (both coastal inundation and flooding from extreme rainfall) a high resolution Digital Elevation Model with high vertical precision is needed. The same is true for landslides.
- The map shows the epicentres of all earthquakes in the Vanuatu area, weighted with the magnitude. It clearly shows that the earthquakes are concentrated offshore, potentially causing tsunamis.
- An important trigger for flood disasters are storms. There is a 10% chance that the southern half of Vanuatu (Efate and below) will be hit by a category 5 storm (wind speeds over 250 km/h) in the next 10 years. For the northern half (above Efate) it will be a category 4 storm (210-250 km/h).



The report finishes with observations and recommendations:

Observation	Recommendation
No disaster database exists	Set up a database shared and used by the ministries and other stakeholders
Vanuatu has not produced its Second National Communication	Finalize the SNC asap and share with stakeholders
Climate change projections are solely dependent on the PCCSP information	Use other tools (i.e. SimCLIM 3.0) as well, to increase flexibility, assess additional functionality and use more and more detailed information
No high-resolution Digital Elevation Model exists for Vanuatu as a whole	As this information is crucial for assessing flood risks and risks from landslides, creating a better DEM should be prioritized
The change in future precipitation is highly uncertain	Closely monitor rainfall on the different islands to build a database that will improve projections of extreme weather
Current development projects seem to focus on areas that have a lower risk profile	Focus development projects on areas of high risks; this is the only way to lower Vanuatu's global profile as a high risk country

Lastly, the following research projects are recommended according to their priority:

Aspect	research needed
DEM+soil	A Digital Elevation Model is required for modelling the impacts of flooding, both from sea and from heavy rainfall, as well as landslides. The global DEM has a horizontal resolution of 30x30 meters with a vertical (interpolated) resolution of 1 meter, which is insufficient for the modelling. The LIDAR DEM that is being handover to Vanuatu Government has a horizontal resolution of 1x1 meter, with 0.3 meter vertical resolution, but does only cover some coastal areas in Vanuatu. This area needs to be extended. Furthermore, the modelling of landslides also needs soil information, including moisture content.
coral reefs	Coral reefs are crucial for the livelihoods of the people in Vanuatu. They are part of the protection against coastal flooding, home to fish that feeds the communities, and an attraction for tourists. The pressures on the coral reef from higher sea surface temperatures and ocean acidification, acerbated by sea level rise (health coral reef can grow with up to 5 mm/year, SLR could become larger than that), is causing a severe deterioration. Coral reef management (focussing on removal of garbage, prohibiting artificial beaches and digging trenches as well as removal of coral) would aim at giving the coral the best chance of survival while the international community is getting their act together.
VLM/SLR	Vertical land movement is a process that has the same order of magnitude as sea level rise, but can either off-set it or make it worse. Only for Port Vila information on VLM is available. Given the fact that Vanuatu is in a tectonic active area, it is to be expected that there is variation between the islands. Estimating the VLM in these locations is essential for assessing the risks from sea level rise. This is possible directly (i.e. from continuous GPS) or indirectly (from tidal records).
precipitation	Precipitation is a more complex issue than might seem from a first glance. There is significant variation in time (about 30%) and space (from just over 1100mm to just under 4600mm) in annual precipitation, while there is a strong disagreement between climate models over how precipitation is going to develop under climate change. As extreme events (floods and draughts) are being impacted by climate change quicker and more pronounced than the annual average, efforts should be made to build a detailed, complete, reliable precipitation record in all provinces or even islands in Vanuatu, building on the existing rainfall observer's network.

## PART SIX: FINANCING SUMMARY

### 6.1. Introduction

This summary is complemented by a separate and more detailed report on a Climate Public Expenditure and Institutional Review (CPEIR), which is provided herewith. The CPEIR report draws on relevant parts of this report in providing a review of the country's policies, institutional arrangements and public expenditure as they relate to CC/DRR activities.

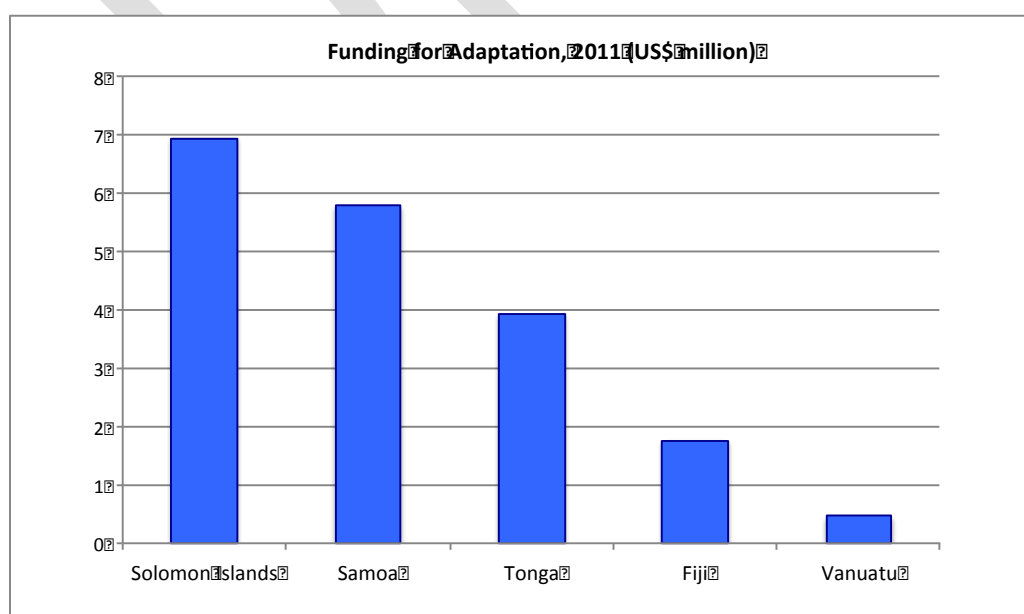
### 6.2 Scope

The Review adopts a broader scope than previous CPEIRs in other countries by:

1. including an analysis of Disaster Risk Reduction projects and expenditure;
2. undertaking a 'first-pass' assessment of policies and practices that affect a country's responses to CC/DRR, namely:
  - a) 'dirty expenditures' which can conflict with the aims of CC/DRR policies, programs and projects;
  - b) revenue policies that could support CC/DRR objectives;
  - c) the operation of public-private partnerships that may be relevant to CC/DRR activities.
3. assessing the feasibility of various funding modalities in Vanuatu, including direct access to the Adaptation Fund by gaining National Implementing Entity (NIE) accreditation;
4. identifying viable NIE candidates, assessing the capability of the most preferred candidate and developing a list of actions required to gain that accreditation.

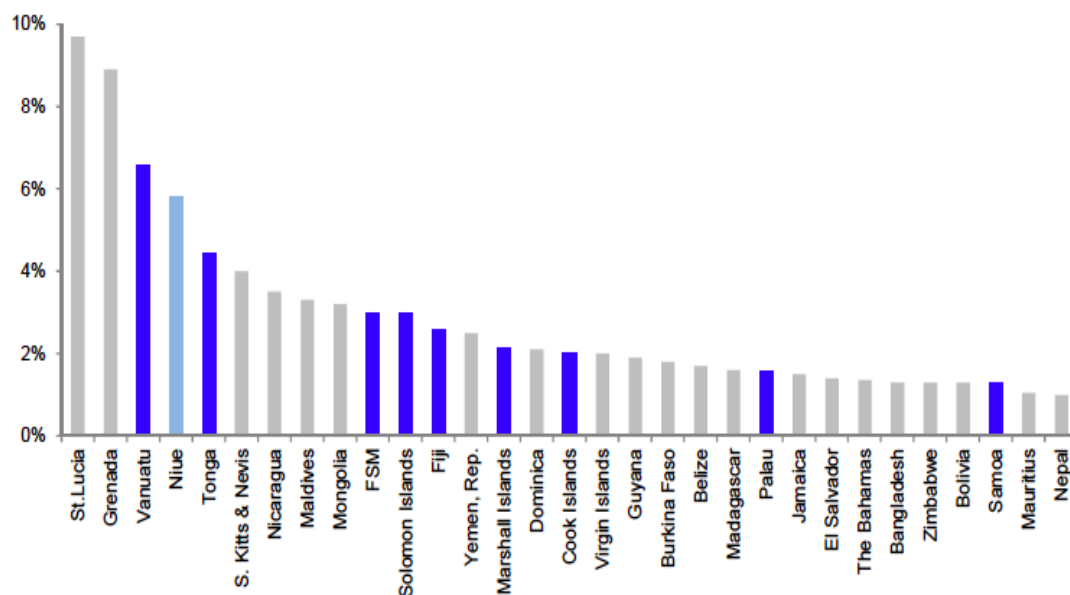
### 6.3 Findings

In summary, the Review found that Pacific Island countries have only received about 1.5% of world-wide funding for Adaptation, and that Vanuatu in turn has been receiving a lower share of funding than most other Pacific Island countries, as indicated by the following comparison:



Vanuatu's lower share is despite the fact that it is considered to be one of the countries most vulnerable to climate change in the Pacific, and in the world. This is highlighted by the following cross-country comparison of the losses it already incurs from natural disasters.

**Estimated average annual losses from natural disasters (% of GDP)**



Into the future, greater levels of funding are likely to become available for climate change adaptation as the economies of Developed Countries recover. As well, as a Least Developed Country, Vanuatu is likely to benefit from the United Nations goal of promoting at least half of these to 'Developing Country' status by 2019.

To be in a better position to take advantage of the funding that will become available, it is important for Vanuatu to establish strong, efficient and sustainable governance arrangements, including financial management and project management capacity, and to demonstrate a track record in maintaining these arrangements over several years.

Vanuatu can do this by targeting NIE accreditation for a candidate entity, which will also give it direct access to funding from the Adaptation Fund. The following table compares the attributes of the most likely candidates - the Ministry of Climate Change (established in March 2013) and the Vanuatu Project Management Unit (which has been operating for a number of years managing large infrastructure projects).

Criterion	Ministry of Climate Change	Vanuatu Project Management Unit
On-going role	Yes *	Yes
Staffing Capacity	Being staffed	Understaffed
Mainstream Operations	Partly	Partly
Track Record	No	Yes

The Vanuatu Project Management Unit has a track record in financial management and project management, which the Ministry of Climate Change has not. However, as the role of the Ministry is to be the lead agency for climate change, it is the more logical choice to aim for NIE accreditation.

Hence, the report **recommends that**:

1. the Ministry of Climate Change be the entity that seeks to become Vanuatu's NIE (with the Vanuatu Project Management Unit as the fall-back option). This involves implementing the list of actions set out in Table 5.2 of the CPEIR report; and
2. Vanuatu seeks assistance to develop and implement the required actions in the Ministry of Climate Change, in the Ministry of Finance (including the Central Tenders Board), and in the Office of the Auditor-General.

It also **recommends that** the Office of the Prime Minister analyse projects that have CC/DRR objectives and publish details in the Annual Development Report. This will provide transparency to policy makers and to development partners on how well the funding allocated to the various types of CC/DRR projects and activities aligns with the Government's priorities. At the same time, the review recognises the need to clarify these priorities. This involves updating and refining the various plans to set out the Government's development priorities in more detail and, linked to these, the cross-cutting strategies and projects needed to address its CC/DRR vulnerabilities.



## PART SEVEN: IMPLEMENTATION STRATEGY

This section details the implementation modalities for the RGA recommendations. Prioritising the recommendations is the key to ensure that solid foundations are established to facilitate the long-term and structured implementation of strategies. The order of priority is listed in the following table under the heading “P”.

- P1 – Highest priority for immediate implementation
- P2 – Parallel priority that will take longer to implement
- P3 – Important to do within a 3-6 month period

Although the primary focus is on CC and DRR, if implemented, the recommendations will have a broad ranging positive impact on whole-of-government development initiatives.

**Table 7.1: Implementation Strategy** **WORK IN PROGRESS**

Section	Recommendation and Tasks	Support	Modality	2014				
				P	Q1	Q2	Q3	Q4
NAB	Revised Structure of NAB: <ul style="list-style-type: none"> <li>Developing and Operations Manual on the execution of NAB functions</li> </ul>	Short-term technical expert	UNDP RRP	1				
	Revised roles of NAB Secretariat: <ul style="list-style-type: none"> <li>Review of Job Descriptions and staffing</li> <li>Development of SOPs and protocols</li> <li>Development of a 3 year Strategic and 1 year Business Plan detailing priority actions.</li> <li>Develop information management systems</li> <li>Strengthening the CSU capacity</li> </ul>	Short-term technical expert  Resource support	SPC-GIZ UNDP RRP IRCCNH	1				

	<p>NAB Funding Options:</p> <ul style="list-style-type: none"> <li>• Prepare an options paper for the long-term funding of the Secretariat</li> </ul>	Short-term technical expert	UNDP RRP	3				
National	<p>Improve strategic planning frameworks:</p> <ul style="list-style-type: none"> <li>• Support the development of Ministry Corporate/and Departmental Strategic and Business Plans</li> <li>• Support for the operationalization of Strategic and Business plans incorporating DRR.CC</li> </ul>	<p>Short-term technical expert</p> <p>Long-term national advisors</p>	UNDP RRP	3				
	<p>Strengthen legal policy frameworks:</p> <ul style="list-style-type: none"> <li>• Support to MCC for drafting new legislation</li> <li>• Support for NDMO, VMGD, Energy for drafting legislation</li> <li>• Support for the finalisation and promotion of the national CC/DRR Policy</li> <li>• Assistance to Departments for CC/DRR policy compliance</li> </ul>	<p>Mid-term expert</p> <p>Short-term experts</p> <p>Capacity building</p>	<p>MDRR</p> <p>IRCCNH</p> <p>SPC-GIZ</p>	2				
	<p>National framework for CC/DRR/DRM:</p> <ul style="list-style-type: none"> <li>• Support for the development of a national CB strategy incorporating the functions, skills and competencies required for operationalizing the framework.</li> <li>• Develop a CB implementation strategy</li> </ul>	Mid –term expert	<p>UNDP RRP</p> <p>SPC-GIZ</p>	3				
	<p>Capacity Building of NDMO</p> <ul style="list-style-type: none"> <li>• Support for the development of a professional development guideline outlining key skills and competencies for positions.</li> <li>• Include within the guideline pathways for Induction, progressive skills development and career progress.</li> </ul>	Mid-term Expert	<p>IRCCNH</p> <p>UNDP-RRP</p>	2				

	<p>Establish M&amp;E system</p> <ul style="list-style-type: none"> <li>Support PMO in the roll-out and capacity development for the national M&amp;E framework</li> <li>Support NAB Secretariat and PMU projects in establishing M&amp;E systems</li> </ul>	Resources  Mid-term experts	IRCCNH  SPC-GIZ	2				
Local Governm ent	<p>Strengthen DLA</p> <ul style="list-style-type: none"> <li>Support for the implementation of the Decentralisation Act including the development of SOPs and Planning Templates.</li> </ul>	Long Term Experts and Advisors	UN Joint Project  UNDP-RRP	2				
	<p>Strengthen planning frameworks at provincial and area council levels:</p> <ul style="list-style-type: none"> <li>Support the development of Strategic Plans and Business Plans at Provincial and Area Council Levels.</li> <li>Resource assistance to strengthen the capacity of provincial and area councils to implement their mandates under the Decentralisation Act.</li> </ul>	Long-term resource assistance including national experts	UN Joint Project  IRCCNH  UNDP I-NGO Project	2  2				
	<p>Strengthen community planning Frameworks:</p> <ul style="list-style-type: none"> <li>Support to Area Councils for standardizing and developing community level action plans incorporating CC/DRR elements.</li> </ul>		V-CAP  UN Joint Project  UNDP I-NGO Project	3				
Risk Profiling	<p>Strengthen Information Management Systems:</p> <ul style="list-style-type: none"> <li>Establish a database and train stakeholders in accessing and using risk information</li> <li>Review, upgrade and market the NAB Portal</li> </ul>	Technical assistance and resources	SPC-GIZ MDRR IRCCNH	3				

	Finalise the Second National Communication	Technical assistance	MDRR IRCCNH SPC-GIZ	1				
Financing	NIE Status: Central Agency improvements related to: <ul style="list-style-type: none"> <li>Financial Statements</li> <li>Compliance with accounting standards</li> <li>Tenders Board website and database</li> <li>Audit Financial Statements</li> </ul>	Technical Assistance	UNDP-RRP IRCCNH SPC - GIZ	2				

### Project Identification

UNDP RRP	United Nations Development Programme Regional Risk Resilience Project
MDRR	Mainstreaming Disaster Risk Reduction (World Bank)
IRCCNH	Increasing Resilience to Climate Change and Natural Hazards (World Bank)
UN Joint Project	United Nations Joint Project – UNDP, FAO, UNICEF
V-CAP	Vanuatu Coastal Adaptation project (UNDP)
UNDP I-NGO	United Nations Development Program – International NGO Project (Live and Learn)
SPC – GIZ	Secretariat Pacific Community (SPC) – German International Development (GIZ) Coping with Climate Change in the Pacific Islands Region (CCCPIR)

## Annex A: Risk Governance Assessment stakeholders consulted (August –December 2013)

### Strengthening Climate Change and Disaster Risk Governance in Vanuatu

AGENCY	NAME
Risk Governance Assessment (RGA)Team	Ian Rector Flo Bridger Peter Kouwenhoven Robert Shead Bikash Dash
Prime Minister's Office- Department of Strategic Planning and Management & M&E Unit	Roan Lester Collin Tavi Johnson Naviti Nebcevanhas Benjamin Shing Jonas Arugogona Jean Sese
Public Service Commission (PSC) staff [x4]	Laurent Rep Webster Alilee Annie Wotu

	Judith Melsul
Chief of UNICEF Field Office and UN Joint Presence Vanuatu	Diane Araki Roslyn Arthur David Donald Woulseje
UNDP- V-CAP project	Bernard O'Callaghan Mathew Hardwick Colleen Peacock-Taylor
Ph.D. Canditate Centre for Disaster Studies , School of Earth and Environment Sciences	Astrid Vachette
Crc.si- cooperative Research centre for spital information- Australia	Dr. Nathan D, Quadros
Global Green growth institute –Senior technical /water specialist	Chaerin Yun
Environment and Energy consultants, ltd. Planning, policy development , project design and management and evaluations	Peter Johnston
Japan International Cooperation agency- resident representative & Programme Officer	Moriya Tsutomu Simbolo Richard

VPMU	Johnson Wapia Anna Salwai Mr. Tony Telford
Department of Women's Affairs -Director	Doresday Kenneth
National Disaster Management Office Director-	Shadrack Welegtabit Peter Korisa <a href="#">Morris Harrison</a> Alice Iarem
Meteorology and Geohazards Department  Director VMGD	Jesse Benjamin Mike Waiwai Gibson David- Philip Malsale Sylvain Todman Esline Garaebiti
Department of Environment- Director	Albert Williams Donna Kalfatak
Energy Unit	Mr. Leo Moli

Project Management Unit	Brian Phillips Malcoml Dalesa Florence Lautu Rebecca Iaken Paul Audin Peta Turnbull Connie Sewere Dorah Wilson
VCAN & VHT Representatives	Daniel Vorbach Shirley Laban Tokon Alex Mathieson Jennifer Worthington
ADAPT Asia Pacific- Regional project preparation Specialist	Chris Manu
<b>Minister of Agriculture, Livestock, Forestry, Fisheries and Biosecurity-</b> Santo & Port Vila Head office Please provide names of officers you meet: Department of Agriculture, Department of Forestry, Department of Livestock, Department of Fisheries	O'Neil Dalesa
Department of Health	SHEFA health technical staff member



Department of Education [Head of Department and technical staff ] Director Education Service -Basic Education Coordinator -Secondary education officer -Senior School mapping officer - National Inclusive Education coordinator - National Education in Emergency coordinator	Roy Obed Pierre Gambetta Shirley Joe Liku Bollen Jim Knox Allanson Virana Lini
Ministry of infrastructure and public utilities Senior management and technical staff	Anre Yatibu Ambatha Paraliu Magaret McFarlane
Chamber of Commerce	Mr. Alick Berry
NAB members	Jotham Napat Shadrack Welegtabit Hanington Tarte Tricia Wilden Lonny Bong James Wasi Jesse Benjamin Chris Ioan

	David Gibson Steven Noel Christopher Bartlett Charlie Namaka Janet Aru Tambeana Pakoa Rarua
SANMA Secretary General TAC member Area Secretary	Daniel Sakaria Philip Panpan Lazarus Amos
TAFEA Secretary General Provincial Forestry Development Officer (TAC member) Community Representative and Chairman of Area Council North Tanna Area secretary South West Tanna Area Secretary West Tanna Area Secretary Middle Bush Area Secretary	Ketty Dan Napwatt Simon Naupa Johnny Nimau Bob Solomon Lui Alick Wendy Tomasi John Nocklam
Live and Learn Country manager (Port Vila) and Regional Program Manager (Suva)	Andrina KL Thomas Morgan Wairiu

IFPRI	Mark Rosegrant Bing Vamonte-Santos Katarlah Taylor Madan Dey
Lands Department	Karae Vurobaravo
Statistics Bureau	Harry Nalau
Department of Local Authority [DLA]	Cherol Ala
RGA inception workshop -participants	
IRCCNH	Paul Audin
Director- Dept. of Energy	Jesse Benjamin
SPC/GIZ	Dr. Christopher Bartlett
DG-MoCC	Jotham Napat
Geology and Mines	Morris Stephen
Geology and Mines	Brooks Rakau
JICA Vanuatu	Richard Simbolo
UNDP/RGA Team Leader	Ian Rector

UNDP/PMU	Dorah Wilson
UNDP/RGA Consultant	Bikash Dash
UN Joint presence Office	Roslyn David
UNJP/UNICEF	Diane Araki
UNDP/RGA Consultant	Peter Kouwenhoven
French Embassy	Marie Giron
VANGO	Charlie Harrison
Oxfam	Shirely Laban
PMO	Roan Lester
Oxfam	Dan Vorbach
PMU/VMGD	Rebecca Iaken
Livestock department	Nambo Moses
MFEM	Brian Wabait
MOH	Joseph Bani
PMU/VMGD	Malcolm Dalesa
PMU	Peta Turnbull
PMU/VMGD	

PMU/VMGD	Florence Iautu Connie Sewere
Australian Government (Department of Environment)	Laura Gerstenberg
AECOM Pacific Australia Climate Change Science and Adaptation Planning (PACCSAP)	Shin Furuno Ashani Basnayake Will Symons