

Final Vanuatu NCAP

**GOVERNMENT of VANUATU / GEF / UNEP
NATIONAL CAPACITY SELF-ASSESSMENT PROJECT**

**Vanuatu National Capacity Building
Action Plan (NCAP) for Environmental
Management**

FINAL ACTION PLAN

**Produced for the Environment Unit , Ministry of
Lands and Natural Resources by Albert Williams of
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Table of Contents

| | |
|---|----|
| Table of Contents | 1 |
| 1.0 The Vanuatu National Capacity Self- Assessment (NCSA) Project | 3 |
| 1.1 Government Acknowledgement of the Global Environment Facility support | 3 |
| 1.2 NCSA Objectives and Vanuatu Process..... | 3 |
| 2.0 The Vanuatu NCAP for Environmental Management | 7 |
| 2.1 Policy Statement | 7 |
| 2.2 Outcome | 7 |
| 2.3 Objectives | 7 |
| 3.0 Implementation Framework For the NCAP | 11 |
| 3.1 Organizational structure | 11 |
| 3.2 Resources required and resource mobilization..... | 12 |
| 3.3 Roles and responsibilities..... | 13 |
| 3.3.1 Role in managing/coordinating the NCAP implementation..... | 13 |
| 3.3.2 Role in implementing specific activities under the NCAP Objectives | 13 |
| 3.3.3 Role in monitoring progress..... | 14 |
| 4.0 Monitoring system | 15 |
| 4.1 Why monitor?..... | 15 |
| 4.2 Indicators | 15 |
| 5 Remarks | 17 |
| 5.1 On ways to address the priority issues | 17 |
| 5.2 On the implementation framework for the NCAP | 17 |
| 5.3 Organizational structure | 17 |
| 5.4 Financial resources | 18 |
| 5.5 On the monitoring system for the NCAP | 18 |
| 5.6 Project extension..... | 18 |
| Annex 1: Detail Description of the M&E Indicators | 19 |

1.0 The Vanuatu National Capacity Self- Assessment (NCSA) Project

The Vanuatu Government, through the Vanuatu Environment Unit in collaboration with relevant departments, has implemented this UNEP/GEF funded project on National Capacity Self Assessment (NCSA) Project, which started in Vanuatu in December 2004. The main objective of the NCSA project is to enhance the capacity of Vanuatu in addressing global environment management issues, particular in the thematic areas of Biodiversity, Climate Change and Land Degradation, each being addressed within its respective international convention.

1.1 Government Acknowledgement of the Global Environment Facility support

The Vanuatu Government acknowledges that new directions in environmental management provided through the implementation of the Rio Conventions (United Nations Convention on Biological Diversity (UNCBD); UN Convention to combat Desertification (UNCCD), and UN Framework Convention on Climate Change (UNFCCC), has demonstrated the significant difficulties it has as a least developed countries (LDC).

The government also hopes that the key capacities constraints identified under this exercise will continue to be supported by the Global Environment Facility and other key United Nations agencies.

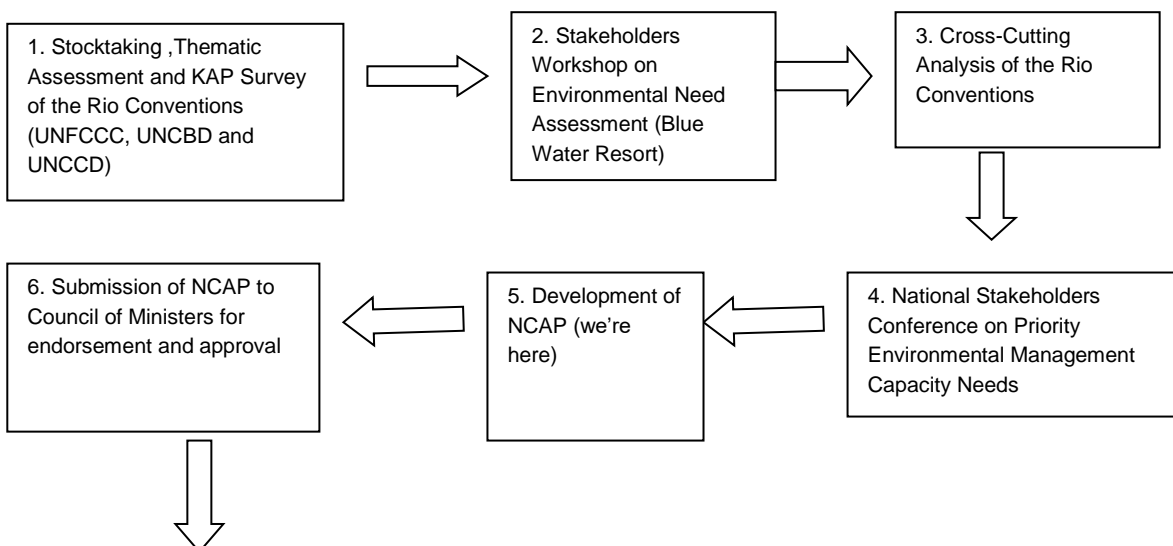
1.2 NCSA Objectives and Vanuatu Process

The primary goal of the NCSA is to identify, through a country-driven consultative process, priorities and needs for capacity building to protect the global environment. Specific objectives to be accomplished through the NCSA include, inter alia:

- To identify, confirm or review priority issues for action within the thematic areas of biodiversity, climate change and desertification/land degradation, respectively;
- To explore related capacity needs within and across the three thematic areas;
- To catalyze targeted and coordinated action and requests for future external funding and assistance; and
- To link country action to the broader national environmental management and sustainable development framework.

A main expected output from the NCSA project is to develop a National Capacity Needs Strategy and Action Plan referred to here as the National Capacity Building Action Plan for Environmental Management (NCAP) that addresses confirmed priority environment management capacity needs in Vanuatu. The NCAP was developed through a participatory process that assesses capacities at the three organizational levels: Systematic, Institutional and Individual as shown in the flowchart in Figure 2.

Figure 2-the NCSA Process in Vanuatu



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7. Implementation of NCAP
(including Evaluation and
Monitoring)

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Through the above processes the Vanuatu Government and its stakeholders were able to go fully analyze the obligations and key activities that are required under the Rio Conventions as Tabulated in Table 1 as well as the key capacities needed to effectively implement its obligations as shown in Table 2.

Final Vanuatu NCAP

Table 1. Main activities and obligations arising from the three conventions as identified by the NCSA Project analyses (stocktaking)

| ACTIVITIES AND OBLIGATIONS | UNCBD | UNCCD | UNFCCC | COMMENT ON THE CAPACITY REQUIRED |
|---|-------|-------|--------|--|
| Effective early warning and advance planning | √ | √ | √ | This is a requirement for pre-emptive action – needs planning capacity, but depends on data and information being available. Requires legal basis |
| Identification and monitoring of biological diversity important for its conservation and sustainable use | √ | - | - | Survey, inventory and regular monitoring capacity required – for all 3 conventions |
| In-situ and ex-situ biodiversity conservation | √ | - | - | Technical and operational expertise, facilities and financial resources required. Also requires legal basis |
| Respect for and preservation of knowledge, innovation and practices of indigenous and local communities | √ | - | - | A collaborative and partnership approach is required which comes from training for Govt officials and mobilization and awareness for communities |
| Develop and introduce socio-economically sound measures that act as incentives for conservation and sustainable use of biodiversity | √ | - | - | This is a protection and management tool for which Govt officials need to be specifically trained and for which a legal basis must be provided |
| Research, scientific and technical education and training; facilitate technical and scientific cooperation | √ | √ | √ | Capacity required ranges from well-trained and qualified technical and scientific staff, to good research facilities including laboratory and field equipment, as well as operational funds |
| Promote and encourage understanding and public awareness | √ | √ | √ | Specialist public education and public information capacity requires enhancement and focus on the 3 conventions and their ramifications |
| Application of the EIA Process to minimize significant adverse impacts | √ | - | - | Needs the dedicated and trained staff resources to drive the process as well as a serious commitment from the Govt that the process will be applied. Sensitization of the development sector is also required. Legal basis and clear and fair procedures are essential |
| Ensure safety in handling living modified organisms resulting from biotechnology; Implement the Cartagena Protocol on Bio-safety | √ | - | - | Requires specialized and trained personnel to implement legal and procedural requirements to control and manage the risk. Legal basis required |
| Sharing in a fair and equitable way the results of research and development and the benefits from utilization of natural resources | √ | - | - | Requires partnership arrangements between communities and developers with the Govt acting as the arbiter through the appropriate legislation and training |
| Technology transfer; provide access to environmentally-sound technologies | √ | √ | √ | In-country capacity must be able to accept and utilize technology which could become available only through the appropriate cooperative links with peers in other countries |
| Access to adequate financial resources | √ | - | √ | A meaningful commitment from Govt to allocate funds to the extent possible for the core functions and obligations; a re-prioritization of existing funds; partnership strategies with potential donors; capacity to formulate proposals which lead to funding success |
| Promotion of alternative livelihoods, including training in new skills | - | √ | - | This applies equally to all 3 conventions and usually relies on project-based initiatives to seek alternative income generation activities |
| Information collection, analysis and exchange; inventories and database management | - | √ | √ | Capacity required ranges from well-trained and qualified technical staff, to good facilities for monitoring and other field equipment, hardware and software as well as operational funds |
| Empowerment of those directly affected | - | √ | - | Applies to both CCD and FCCC and requires expertise in working effectively with communities after gaining their confidence |
| Participatory process involving civil societies, non-governmental organizations and community-based organizations | - | √ | - | Requires special training to mobilize and win the confidence of communities so they can enter into meaningful partnerships with Govt. Mandatory requirement better enshrined in law |
| Institutional level capacity-building | - | - | √ | This applies equally to all 3 conventions and ranges from human resources, to expertise, to equipment and other facilities, etc |
| Enhancement and or creation of an enabling environment | - | - | √ | Capacity to create an effective context starting from policy, on to legislation, institutions, know-how, etc, to benefit for membership of the convention |
| International negotiations | - | - | √ | Starts with training, but requires the right skills and adequate experience. Must be based on clear Govt policy |
| Assessment for implementation of mitigation options | - | - | √ | Sensitization (possibly through training) of those responsible |
| Vulnerability and adaptation assessment | - | - | √ | Capacity needed to incorporate V&A assessments as part of the EIA process |
| National communications | √ | √ | √ | This refers to the formal national communications required by all conventions from signatories – requires the capacity to dedicate the necessary human resources |

Table 2. Cross-cutting capacity needs and opportunities
(based on the NCSA Project Cross-Cutting Analysis Report)

| | CROSS-CUTTING CAPACITY NEEDS | OPPORTUNITIES FOR CROSS-CUTTING CAPACITY BUILDING |
|---------------------|---|--|
| SYSTEM LEVEL | Policy Framework | Adoption and implementation of the Draft Climate Change Policy; Development of agro-silvi-pastoral policies; Development of alternative renewable energy resources <i>e.g.</i> solar, bio-mass, bio-gas etc |
| | Legal and Regulatory Framework | A harmonized regulatory framework among the key natural resource sectors and focal points for Rio Conventions |
| | Management Accountability Framework | Need for a harmonized management accountability mechanism for the RIO conventions for ease of reporting and accountability by the focal points |
| | Economic Framework | Need to explore environmental taxation to finance environmental management <i>e.g.</i> CITES fees, forestry levies, fuel import duties and environment trust account |
| | System level resources | Need for an environmental trust account that would facilitate financial sustainability of sector programmes. Need to explore environmental tax to generate and finance national environmental programmes <i>e.g.</i> diversion or 90/10 (30VT/1VT) split on import duty |
| | Process and relationships | Too many committees - need for a single advisory or coordinating committee <i>e.g.</i> Sustainable Development Council where all project steering committees reported to. |
| INSTITUTIONAL LEVEL | Mission and vision statements | Develop a harmonized and integrated mission and vision statements across the two key Ministries of Agriculture and Lands |
| | Culture, structure and competencies | Ministries of Agriculture and Lands to emphasize a more business-private enterprise work culture (use carrot and stick to motivate) |
| | Processes | Performance based contracts or expenditure to reduce the risk of abuse of limited financial resources available for projects in the country |
| | Human resources | Country should start focusing on more postgraduate training from Masters to even PhD level for practicing civil servants |
| | Financial resources | Exploring alternative financial revenue mechanisms such as environmental taxation. Alternatives such as a split on import duty as illustrated earlier |
| | Information resources | Need to strengthen information resource centres at Ministries of Lands and of Agriculture (collection of data and resources, storage and management of relevant information from line departments from respective ministries. Then progressively setup a clearing house mechanism (CHM) and then a state of the environment reporting (SoE) framework. |
| INDIVIDUAL LEVEL | Job requirements and skills | All new environment related projects to have a clause on possible assistance for a minimum of 2 years to ensure continuity of a project or programme |
| | Training and retraining | Postgraduate technical training for civil servants must be advocated by TSCU/ NEC |
| | Career progression (path) | Clear career paths would only come about if approved departmental structures are filled. Key Environmental departments to develop clear career paths with appropriate incentives |
| | Accountability and Ethics | PSC Professional Code of Ethics needs to be developed and implemented |
| | Personal and professional relationships | Formation of the Sustainable Development Council as the forum for all project steering committees to report to |
| | Performance Management System | Performance-based remuneration and performance-based contracts for high ranking officials such as DGs, Directors and Heads of Departments. |
| | Incentives and security | Country to adopt minimum salaries per qualification - <i>e.g.</i> PhD Degree: VTM4.5/year; Masters Degree: VTM3/yr; Bachelor Degree: VTM2/yr; Diploma: VTM1.5/yr; Certificate: VTM1.2 |
| | Work redeployment and job sharing | Government, through the Ministries of Lands and Agriculture, needs to develop a policy on work redeployment and job sharing, <i>e.g.</i> NGOs with government programmes through agreements (MOU & MOA) |
| | Inter-relationships and team work | Government, through the Ministries of Lands and Agriculture, needs to develop a policy on inter-relationship and teamwork among key departments. |
| | Communication skills | A information exchange and communication policy needs to be developed to facilitate communication and information dissemination |

2.0 The Vanuatu NCAP for Environmental Management

2.1 Policy Statement

The Government reaffirms its commitment to protect and manage the environment for the benefit of all ni-Vanuatu, present and future as enshrined in Article 7(d) of the Constitution¹. In particular, it will do its utmost to honour the obligations it took on when it joined the global movement and signed the Convention on Biological Diversity, the Convention to Combat Desertification and the Framework Convention on Climate Change.

2.2 Outcome

The NCAP needs to be seen to be contributing to a national environmental Outcome. This needs to be linked to the Government environmental policy as well as lead to the Objectives that the NCAP will set itself.

The following Outcome arises out of the preamble of the Environment and Conservation Act and is proposed for consideration for the NCAP:

- *The conservation, sustainable development and management of the environment of Vanuatu for the benefit of present and future ni-Vanuatu*

The operative words in this Outcome are *conservation, sustainable development and management* – this is what will be carried out. The subject of the activities to be carried out is the *environment of Vanuatu*. And the ultimate goal is the *benefit of present and future ni-Vanuatu*. The NCAP is expected to make a worthwhile contribution towards this Outcome and will be judged accordingly.

2.3 Objectives

The NCAP will make its contribution towards the adopted Outcome through a set of Objectives and Activities/Actions (Shown in Tables 3-9).

Table 3: Objective 1 and Key Activities

| Objective 1: A dossier of national policies, legislation, and organizational arrangements for environmental protection and management | | | |
|--|---------------------------------|--|---------------|
| Key Actions | Responsible Agency | Indicators | Timeframe |
| 1.1 Submit a Council of Minister Paper (COM) to approve the NCAP | 1.1 Director, Environment Unit, | 1.1 A clear policy direction for capacity building in Environmental management | December 2007 |

¹ The Constitution of the Republic of Vanuatu, in Article 7(d), states "... to protect the Republic of Vanuatu and to safeguard the national wealth, resources and environment in the interests of the present generation and of future generations;"

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| | | | |
|--|---|--|---------------------------|
| 1.2 Submit the National Draft Policy on Climate Change to the COM for approval | 1.2 Director, Vanuatu Meteorology Services, | 1.2 A clear policy direction for climate change and climate variation | December 2007 |
| 1.3 Upgrade Environment Unit to the Departmental status | 1.3. Director, Environment Unit | 1.3 An effective organizational leader with institutional capacity in environmental management | December 2008 |
| 1.4 Establish Inter-Ministerial Committee on Environment | 1.4 Director, Environment Unit | 1.4 An effective inter-ministerial environment | July 2008 |
| 1.5 Develop and implement the National Forest Policy Action Plan | 1.5 Director, Forests Division, MALQFF | 1.5 An effective forest policy on forest resource management | July 2008 |
| ** 1.6 Development of an Agriculture policy | 1.6 Director, Department of Agriculture and Rural Development, MALQFF | 1.6 An effective agricultural policy that ensures sustainable development | Ongoing already-July 2008 |
| ***1.7 Submit the Draft Energy Policy to COM for approval. | 1.7 Director, Energy Unit, | 1.7 An effective energy policy that support environmental management | December 2007 |

Table 4: Objective 2 and Key Activities

| Objective 2. An environmental information management system to store and protect knowledge, inform and educate, and provide a basis for decision-making | | | |
|--|---|---|---------------|
| Key Actions | Responsible Agency | Indicators | Timeframe |
| 2.1 Develop a robust information system for environmental management based on VANRIS (Vanuatu Resource Information System) | 2.1 Ministry of Lands and Natural Resources | 2.1 User satisfaction in accessing data and information for decision making | December 2009 |
| *2.2 Establish a centralized national information center to store environment data. | 2.2 Ministry of Lands and Natural Resources | 2.2 User satisfaction in accessing data and information for decision making | December 2010 |

Table 5: Objective 3 and Key Activities

| Objective 3. Innovative techniques, methodologies and systems to support the implementation of the Rio Conventions and other MEAs | | | |
|--|--|---|---------------|
| Key Actions | Responsible Agency | Indicators | Timeframe |
| *** 3.1 Review, develop and adopt appropriate or innovative techniques and methodologies to implement the Rio Conventions and other MEAs | 3.1 Environment Unit, Department of Agriculture and Meteorology Department | 3.1 A set of innovative techniques and methodologies for environmental management | December 2009 |
| *** 3.2 Develop | 3.2 Environment Unit, | 3.2 Clear sustainable | |

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| | | | |
|--|---|---------------------------------------|-----------|
| sustainable land management practices across the various environmental sectors | Department of Agriculture and Meteorology Department | policy directions for land management | July 2008 |
|--|---|---------------------------------------|-----------|

Table 6: Objective 4 and Key Activities

| Objective 4. An active environmental education and outreach programme to inform and raise awareness among the young and old, and prepare them for an active role in environmental protection and management | | | |
|--|---|---|---------------|
| Key Actions | Responsible Agency | Indicators | Timeframe |
| 4.1 Incorporate climate change, land degradation and biological diversity into existing school curriculum for Years 6-10 | 4.1 Ministry of Education (MoE) in collaboration with Environment Unit, | 4.1 Effective environmental education through formal education system | December 2009 |
| 4.2 Incorporate climate change, land degradation and biological diversity into existing community and NGO's environmental education and outreach programmes | 4.2 VANGO and Provincial Technical Advisory Groups (TAG) with the support of MoE, | 4.2 Effective community environmental information dissemination | July 2009 |

Table 7: Objective 5 and Key Activities

| Objective 5. Organizational and individual capacity for systematic observations, surveys and scientific research | | | |
|---|---|--|---------------|
| Key Actions | Responsible Agency | Indicators | Timeframe |
| 5.1 Develop and enact the National Scientific Research Council (NSRC) legislation/Bill | 5.1 Ministry of Lands and Natural Resources | 5.1 Effective legislative direction for research in Vanuatu | December 2008 |
| 5.2 Improve the systematic observation capabilities and forecasting of climatic conditions and weather extremes | 5.2 Vanuatu Meteorology Services | 5.2 Effective and reliable forecasting and systematic observation of climatological data and information | December 2009 |

Table 8: Objective 6 and Key Activities

| Objective 6. An improved Environmental Impact Assessment Process and its mandatory application as required by Government policy and legislation | | | |
|--|---|---|---------------|
| Key Actions | Responsible Agency | Indicators | Timeframe |
| 6.1 Amend the Environmental Management and Conservation Act to include an EIA for all projects. | 6.1 Environment Unit and the State Law Office | 6.1 Effective and comprehensive EIA Guideline | December 2008 |
| 6.2 Incorporate Public Participation and compliance monitoring in | 6.2 Environment Unit and the MOLNR, | 6.2 A clear and transparent EIA process | December 2008 |

| | | | |
|-----------------|--|--|--|
| the EIA process | | | |
|-----------------|--|--|--|

Table 9: Objective 7 and Key Activities

| Objective 7. Enhanced level of personal/individual qualifications and expertise for environmental protection and management at the ministerial, national, and provincial levels and across all relevant sectors | | | |
|--|---|---|-------------------|
| Key Actions | Responsible Agency | Indicators | Timeframe |
| **7.1 Assess, identify specific and targeted capacity needs of individuals for environmental protection and management | 7.1 Public Service Commission | 7.1 Competent individuals at all level of government and across sectors discharging their environmental duties in a professional, transparent and accountable way | July 2008 onwards |
| **7.2 Develop a post-graduate training paper for COM approval emphasizing on Masters and Doctorate (PhD) | 7.2 Public Service Commission and National Education Commission | 7.2 Pool of national expertise (Multi-skilled and specialised skills) for sustainable development | July 2008 onwards |

3.0 Implementation Framework For the NCAP

The government of Vanuatu expects to implement its NCAP through a framework which comprise of an organizational structure, the identification of resources required, identification of roles and responsibilities for the NCAP objectives and measuring success of the NCAP.

3.1 Organizational structure

The Vanuatu government recognised that for the NCSA Project to have a beneficial impact for Vanuatu, the NCAP must be implemented and this needs a context, an organizational structure.

The Environment Unit, and or the Department of the Environment, will have a leading role in coordinating the various activities envisaged in the NCAP. However, in recognition that many of these activities involve capacity building at individual and organizational level, the Public Service Commission will also play a key role. The work of these two organizations needs to be guided by a higher body which comprises the main stakeholders in environmental protection and management and which has to be set up for the purpose after due consideration. As such the government is proposing the formation of an inter-Ministerial Committee on Environment. The establishment of this body will be the subject of a government investment programme (GIP) project proposal for the support of the Inter-Ministerial Committee by one of the countries bilateral development partners.

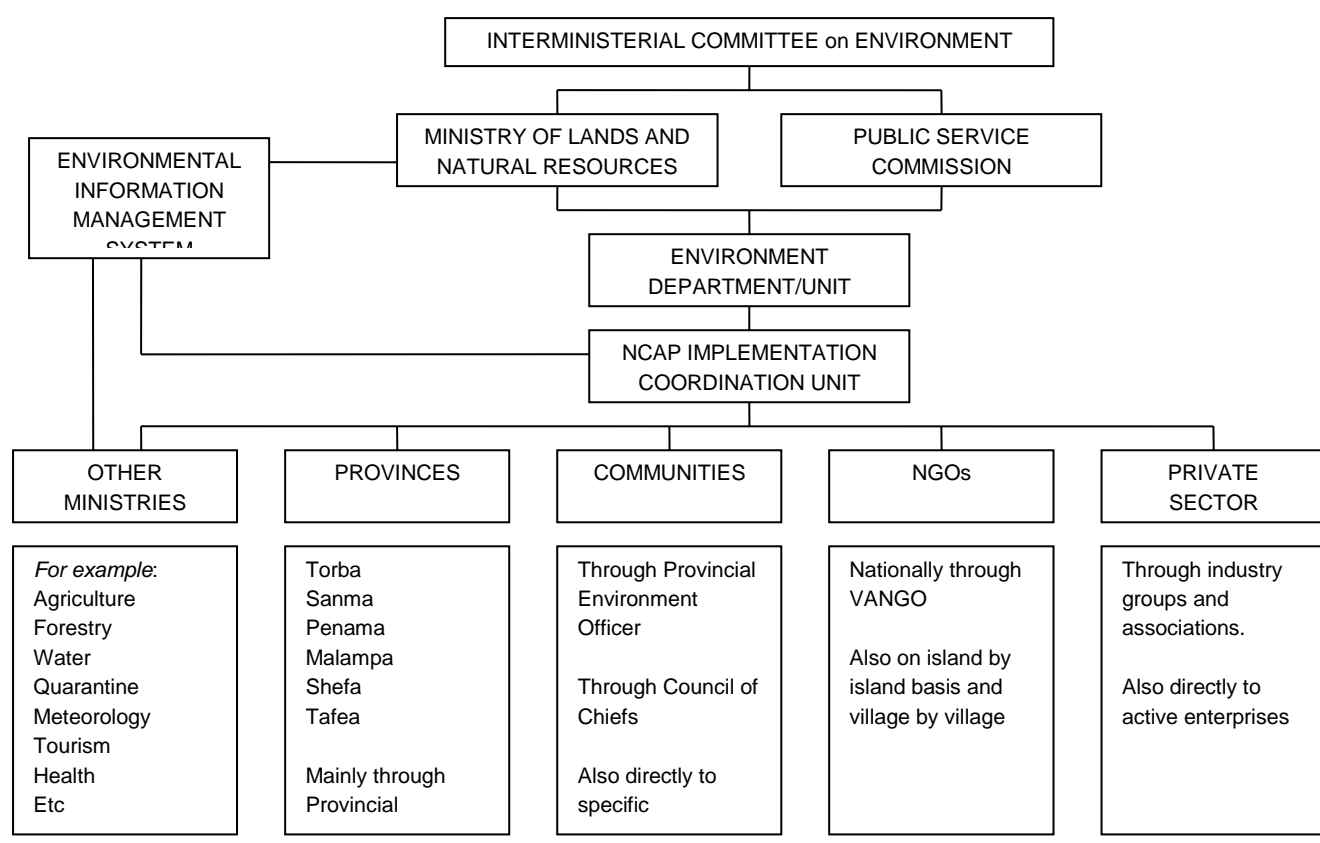
Until such time as the higher coordinating body is established, a competent staff member in the Environment Unit/Department, should be designated as coordinator for NCAP implementation so as to maintain the momentum gained through the NCSA Project. When an inter-Ministerial Committee is established, the coordination role will remain within the Environment Unit/Department, however, this official will service the Committee.

The role of the Coordinator will include promoting project proposals which had been identified in the NCAP and securing the necessary funding support, as well as keeping track of progress towards the NCAP Objectives. This latter task will rely on the monitoring system which is proposed below and which will require a dedicated position (Monitoring and Evaluation Specialist) if it is to be effective.

The NCAP Implementation Coordinator and the M&E Specialist will work very closely with those responsible for the Environmental Information Management System.

The diagram on the next page illustrates the organizational framework within which the NCAP will be implemented.

ORGANIZATIONAL FRAMEWORK FOR THE IMPLEMENTATION OF THE NCAP



3.2 Resources required and resource mobilization

While the government has fully committed itself to the implementation of the NCAP, it also requires external financial resources both in the short term and in the long term. In the short term, funding is required to extend the project by around 3-4 months from the scheduled termination at the end of June. This would see the project extended to the end of December 2007 at the latest. This extension is required to consolidate the results achieved by supporting the process of endorsement of the NCAP by the Government, the launch of the NCAP at a national conference, the publication of the NCAP, and the formulation of project proposals and negotiations for resource mobilization with various donors.

It is estimated that the extension of the project by 3-4 months, the holding of a national conference for approximately 50 participants including 3-4 persons from each Province (as well as the Project Managers of NCSA Projects still on-going in neighbouring Pacific countries), the printing and distribution of 1000 copies of the NCAP document, and a consultancy for drafting project proposals for resource mobilization, will cost between US\$40,000 and US\$50,000. It is expected that at the end of June, when the project was scheduled to end, there will still be about US\$50,000 unspent in the project budget and it is proposed that this sum should be utilized for the extension of the project.

It is difficult to estimate in a meaningful manner, the funding resources that would be required in the long term to carry out the various Activities identified under each Objective of the NCAP, hence the proposal for a consultancy to carry out such an exercise during the period of project extension. The government expects that the greater majority of these funds will need to be

sourced from outside Government resources and these are likely to be the GEF and traditional donors who have been active in the past in Vanuatu, both bilateral and multilateral. The government also understands that exploratory discussions were held with NZAID, through the New Zealand High Commission in Port Vila, and the response was very encouraging. When the NCAP is available with its proposed programme of work, donors should be approached and invited to consider specific proposed activities.

3.3 Roles and responsibilities

3.3.1 Role in managing/coordinating the NCAP implementation

The key role of the Environment Unit/Department and the Public Service Commission in managing and coordinating the implementation of NCAP has been discussed above. Also discussed above was the role of a higher organization such as an inter-Ministerial Committee on Environment to provide guidance to those managing and coordinating the implementation process.

Therefore, although implementation of various Activities under NCAP will take place at all levels from Central Government through Provincial Government and other sectors of civil society, the overall management and coordination responsibility must remain with Central Government.

3.3.2 Role in implementing specific activities under the NCAP Objectives

As noted already above, implementation of NCAP Activities will be nation-wide. Central Government will take the lead role in planning, resourcing, organizing, coordinating, and monitoring the various activities. It will also implement Activities dealing with policy formulation, legislation and institutional organizations (Objective 1). Central Government will also have a lead role in providing or arranging for training through scholarships and courses as well as through opportunities for secondment and internships as discussed elsewhere in this report (under Objectives 5 and 7).

Central Government also has a crucial role in implementing the Environmental Information Management System (Objective 2), in the application of the EIA Process for major development proposals (Objective 6), and in providing opportunities for scientific and technical innovations and discoveries (Objective 5), and these have been discussed above.

While Central Government will operate primarily at the central and “upstream” levels, Provincial Government will implement various NCAP Activities closer to where the beneficiaries are, at provincial level. The role of Provincial Government, especially when the position of Environment Officer is established in each Provincial Office (under Objective 1), will range from training (Objective 7), to information (Objective 2), the screening of PEA (Objective 6), monitoring and reporting back (Objective 5), etc.

As the ultimate beneficiaries of many of the Activities envisaged under NCAP, communities have a very particular role within their immediate environment of village or island. They are likely to be the ones who will apply the products and other benefits accruing from the various NCAP Activities, such as the knowledge and information (Objective 2), training (Objective 7), natural resources management, etc. Their role is crucial in the protection of water quality and

the management of water quantity, the prevention of soil erosion, species and ecosystem protection, anti-litter and waste management, etc.

The prime role of NGOs in the implementation of the NCAP is in education, raising community awareness and enhancing their sensitivity (Objective 4). Most NGOs operate primarily within their “parish” and their work often takes the form of empowerment of communities and individuals, resource mobilization, contract work for Central Government and reporting back. But NGOs are also in a pivotal role serving as the communication and entry point between the Government (Central and Provincial) and the communities at village level.

Finally, the role of the Private Sector, within the various industry groups and associations and also at individual industry level. Their role is to balance development with environmental protection and management and such a balance is essential for some industries such as the tourism industry, agriculture and primary production, fisheries, etc. The Private Sector also has a role in the implementation of the EIA Process (Objective 6), in research (Objective 5) and in training (Objectives 7).

3.3.3 Role in monitoring progress

The role of monitoring progress towards the NCAP Objectives and its Outcome is a shared one. Most of the observations and measurements will take place as desk exercises from a central perspective although some observations at Provincial level will mean that communities and NGOs could also be involved. A number of monitoring functions will be coordinated initially at Provincial Government level who will assume responsibility to keep monitors informed, ensure continuity of the monitoring process, and transmit the results to the M&E Specialist in the NCAP Implementation Coordination Unit in the Environment Unit/Department.

Self-assessment and self-monitoring are a role of the Private Sector, with the data collected initially at Provincial level, and then passed on to the Central Government level.

The interpretation of data and information and making reports on progress available to a wide audience, is a role of Central Government but working through Provincial Governments in order to reach communities and grassroots.

Finally, the execution of pre-determined actions triggered by the monitoring information is a role of Central Government with the collaboration of the Provincial Governments. However, the private sector may also have a role to play as appropriate.

4.0 Monitoring system

4.1 Why monitor?

The Vanuatu Government recognised its limited technical capacity to do monitoring and evaluation and through the NCSA Project contracted an international consultant to develop its NCAP Monitoring and Evaluation Framework. This section is an excerpt of the M&E Framework for the implementation of the NCAP.

Monitoring has been defined as a series of measurements or observations over time, such that changes can be recorded and trends can be identified. The objectives of monitoring can range from compliance, to state of environment reporting, to tracking progress towards a goal or objective. The objective of a monitoring system for the NCAP is to track progress towards the Objectives and the Outcome. Through monitoring, answers can be provided to the questions - Has the NCAP made progress towards, or met its Objectives? Has it contributed to its targeted Outcome?

The monitoring system being proposed for the NCAP will be based on 10 Indicators and these are discussed in the following section. In proposing this system, there is a recognition that capacity and resources are limited overall and they are therefore limited for the monitoring effort. As can be seen from the Indicators below, they will be monitored annually, mostly through a desk exercise or simple measurements or observations. The information will be collated and analyzed by the M&E Specialist with the assistance of other specialists for some specific data. The Committee will receive the reports of the M&E Specialist and sanction the release of a comprehensive annual report on progress towards the Objectives and Outcome of the NCAP.

4.2 Indicators

Indicators can be either qualitative or quantitative. If chosen carefully, Indicators can be very useful information tools since they summarize data on complex environmental issues and indicate the overall status and trends of those issues. Good Indicators will simplify, quantify and communicate data.

Indicators should be as simple and as few as possible, while demonstrating some measure of progress or magnitude of change. They must be easy to measure/observe and the parameters should not require interpretation, and should lend themselves to uncomplicated synthesis, analysis and interpretation leading to valid/reliable results. The results of monitoring of an indicator must be easy to communicate and report back to stakeholders, including local communities, and they need to be understood by them.

It is proposed to monitor each of the Objectives selected for the NCAP through the use of one or two indicators and these are summarized in Table 10 below.

Table 10. NCAP Objectives and their respective Indicators

| OBJECTIVES | INDICATORS |
|---|--|
| 1. A dossier of national policies, legislation, and organizational arrangements for environmental protection and management | 1 Existence of clear policies, effective legislation and institutional framework for environmental protection and management providing those responsible with clear policy guidance, a good legal foundation and adequate institutional capacity |
| 2. An environmental information management system to store and protect knowledge, inform and educate, and provide a basis for decision-making | 2 The degree of satisfaction of end-users (in terms of the ease with which information can be accessed; its accuracy, reliability and timeliness) |
| 3. Innovative techniques, methodologies and systems to support the implementation of the Rio Conventions and other MEAs | 3 The proportion of “home-grown” methodologies applied in the implementation of the Rio Conventions as against those that are “imported” |
| 4. An active environmental education and outreach programme to inform and raise awareness among the young and old, and prepare them for an active role in environmental protection and management | 4a Increased level of public response and public participation when opportunities are provided |
| | 4b Increased awareness as measured by the acceptance of communities to constraints placed upon them to protect the environment |
| 5. Organizational and individual capacity for systematic observations, surveys and scientific research | 5 Monitoring, survey and research proceeding regularly and contributing data and information into the system |
| 6. An improved Environmental Impact Assessment Process and its mandatory application as required by Government policy and legislation | 6a The number of developments where the EIA Process is accepted by the developer and applied as mandatory, compared with those where it is not |
| | 6b Conditions attached to permits being monitored, including self-monitoring and reporting regularly by developers |
| 7. Enhanced level of personal/individual qualifications and expertise for environmental protection and management at the ministerial, national, and provincial levels and across all relevant sectors | 7a The proportion of trained/qualified individuals in positions of responsibility compared to those who are not |
| | 7b The level of satisfaction with the performance and leadership of trained individuals as measured through the assessments carried out by the Public Service Commission |

Each of the selected Indicators is considered in some more detail in Annex 1.

5 Remarks

The common conclusion from the NCSA stocktaking reports is that the capacity of Vanuatu to give effect to its obligations under the Rio Conventions is very limited. In fact, the capacity of Vanuatu to adequately protect and manage its environment in general, is very limited – some fundamental core requirements for environmental protection and management are not in place and for Vanuatu to satisfy the requirements of the conventions, it needs to go back to basics and establish a functional and effective environmental protection and management system as originally envisaged by the Environment and Conservation Act.

5.1 On ways to address the priority issues

Each of the identified issues involves Central Government, some more than others and the key role of Central Government ranges from enunciating the necessary policies, to enacting the necessary legislation, setting up the necessary institutions, building the required human resources capacity and making available the required financial resources. However, while the Government will lead and guide, it cannot do it alone. The responsibility for protecting and managing the environment is a shared responsibility, and the Government will establish partnerships with provincial governments, village communities and citizens, the NGO community and the private sector.

5.2 On the implementation framework for the NCAP

The implementation framework comprises the organizational structure, the resources required and resource mobilization activities, various roles and responsibilities for activities, and a system for measuring success – monitoring, including Indicators and regular reporting.

5.3 Organizational structure

Governance for NCAP implementation is provided by an inter-Ministerial Committee on Environment and operational responsibility will be entrusted to a NCAP Implementation Coordination Unit (ICU) which will be established within the Environment Department/Unit. Initially, the ICU will be led by an Implementation Coordinator and the only other staff will be a Monitoring and Evaluation Specialist. The NCAP Implementation Coordinator and the M&E Specialist will work very closely with those responsible for the Environmental Information Management System.

5.4 Financial resources

The requirement for financial resources in the long term will reflect the needs of the various Activities identified under each Objective of the NCAP, hence the proposal for a consultancy to formulate project proposals. The greater majority of these funds will need to be sourced from outside Government resources such as the GEF and traditional donors who have been active in the past in Vanuatu, both bilateral and multilateral. Exploratory discussions resulted in a very encouraging response and the cohesive context created by the NCAP is expected to be attractive to donors.

The roles of Central Government, Provincial Government, communities, NGOs and the private sector, together with their respective responsibilities, have been identified and discussed.

5.5 On the monitoring system for the NCAP

The monitoring system being proposed for the NCAP will be based on ten Indicators and recognizing that capacity and resources are limited overall, Indicators will be monitored annually, mostly through a desk exercise or simple measurements or observations. The information will be collated and analyzed by the M&E Specialist with the assistance of other specialists for some specific data. The inter-Ministerial Committee will receive the reports of the M&E Specialist and sanction the release of a comprehensive annual report on progress towards the Objectives and Outcome of the NCAP.

5.6 Project extension

The financial resources remaining in the project budget should be used to extend the project by about 3-4 months to the end of December 2007. This extension is required to consolidate the results achieved by supporting the process of endorsement of the NCAP by the Government, the launch of the NCAP at a national conference, the publication of the NCAP, and the formulation of project proposals and negotiations for resource mobilization with various donors.

Annex 1: Detail Description of the M&E Indicators

Each of the selected Indicators identified for the NCAP Monitoring and Evaluation are discussed in more detail below.

Indicator 1: Existence of clear policies, effective legislation and institutional framework for environmental protection and management providing those responsible with clear policy guidance, a good legal foundation and adequate institutional capacity

Description: This Indicator strives to answer the questions – Has the Government expressed its policies towards environment clearly and unequivocally? Does the legal basis for environmental protection and management provide guidance and boundaries? Are the institutions able to deliver on the Government policy? In the case of the policies and the legislation, it is easy to determine whether they exist or not. However, whether the policies are clear, and whether the legislation provides guidelines and boundaries, and whether Government institutions are capable of delivering on the Government policies, requires a value judgement.

Baseline: The situation in terms of policies, legislation and institutions as described in the reports from the NCSA stocktaking reviews provides the baseline.

Measurements and observations: This Indicator will rely on observations made at least on an annual basis by reference to appropriate annual reports to Parliament.

Responsibilities: The observations are best made collectively by the Inter-Ministerial Committee on Environment, with the support of the NCAP Implementation Coordination Unit. The Committee will also perform whatever analysis is deemed appropriate and a report will be produced. The report will contribute to the comprehensive report on progress towards the NCAP Objectives which will be collated annually by the M&E Specialist of the Coordination Unit and which will bring any necessary follow-up to the attention of the appropriate Minister for action.

Expertise/capacity required and availability: It is assumed that it is the Committee that will consider this Indicator and as it will comprise officials and other stakeholders of a certain calibre, capacity will not be an issue.

Indicator 2: The degree of satisfaction of end-users (in terms of the ease with which information can be accessed; its accuracy, reliability and timeliness)

Description: The question that this Indicator addresses is: Does the environmental information management system provide its clients with what they require? And this can be ascertained directly by asking them. This Indicator goes beyond the setting up of the system and its efficient functioning which are only means to an end, and attempts to determine whether the ultimate goal of applicability is reached. This Indicator is of direct interest to a number of Objectives.

Baseline: The baseline for this indicator is a simple one – an environmental information management system does not yet exist in Vanuatu.

Measurements and observations: The measurement of satisfaction with the service provided by the environmental information management system, will rely on an annual user survey which should be entrusted to a professional opinion polling organization.

Responsibilities: While the measurements will be undertaken by an outside contractor, and the results analyzed by the same contractor, they will be interpreted for the sake of the Committee by the Implementation Unit's M&E Specialist. As with other reports, this too will contribute to the comprehensive report on progress towards the NCAP Objectives which will be collated annually by the M&E Specialist and which will bring any necessary follow-up to the attention of the Manager of the information management system for appropriate action.

Expertise/capacity required and availability: Opinion surveys are best undertaken by specialists and as this task will be contracted out, capacity should not be an issue.

Indicator 3: The proportion of “home-grown” methodologies applied in the implementation of the Rio Conventions as against those that are “imported”

Description: Like its Objective, this Indicator is focused on the actions arising from the Rio Conventions and the question that it attempts to answer is – Does the latitude and capacity exist for innovative technical methodologies to arise and be applied? And, rather than try and measure latitude and capacity, it concentrates on a quantitative assessment of the number of methodologies which were developed in Vanuatu compared with those that were emulated from elsewhere.

Baseline: The NCSA Project stocktaking reviews as well as the various national communications to the relevant COPs provide the baseline.

Measurements and observations: The measurement will comprise a desk exercise by the M&E Specialist, annually.

Responsibilities: Following the brief report by the M&E Specialist to the Committee, the information will be passed on to the relevant focal points for the Conventions in Vanuatu, for any appropriate action.

Expertise/capacity required and availability: No specialized expertise required and capacity is therefore not an issue.

Indicator 4a: Increased level of public response and public participation when opportunities are provided

Description: This Indicator is closely tied with the following one and they attempt to answer the question – Is there an informed response from the public when asked to contain their activities within certain boundaries or when invited to participate in decision-making? In answering the question, the Indicator will measure the successful application of the activities of the environmental education and outreach programme targeted under the Objective.

Baseline: In order to establish a baseline, a historical review must be undertaken to record the extent and intensity of the response of the public when provided with participation opportunities, say over the past five years.

Measurements and observations: The quantitative measurement will be a desk exercise to be carried out by the M&E Specialist based on information received from officials in Central and Provincial Governments on the degree of public participation.

Responsibilities: The results will be reported to the Committee by the M&E Specialist, annually. If there appears to be a lack of participation, the Department of Environment will be advised to investigate the barriers that might be preventing participation, and addressing the problem.

Expertise/capacity required and availability: The monitoring will be undertaken by the M&E Specialist and no additional capacity is required.

Indicator 4b: Increased awareness as measured by the acceptance of communities to constraints placed upon them to protect the environment

Description: This Indicator is closely tied with the preceding one and they attempt to answer the question – Is there an informed response from the public when asked to contain their activities within certain boundaries or when invited to participate in decision-making? In answering the question, the Indicator will measure the successful application of the activities of the environmental education and outreach programme targeted under the Objective.

Baseline: It is difficult to establish a meaningful baseline at the outset for this Indicator. Instead, it is suggested that the first annual results are used as the baseline and subsequent assessments will be gauged against this first result.

Measurements and observations: The annual measurement comprises a qualitative assessment to be carried out by the Provincial Environment Officers on the behaviour of the public over the previous 12 months.

Responsibilities: The Provincial Environment Officers will have the responsibility to provide their observations to the M&E Specialist who will collate them into an annual report to the Committee. If indications are that the public are less responsive than they should be, the NCAP Coordinator will be requested to explore what Activities can be carried out under Objective 4 to remedy the situation.

Expertise/capacity required and availability: Reliance on the judgement of the Provincial Environment Officers may require some training.

Indicator 5: Monitoring, survey and research proceeding regularly and contributing data and information into the system

Description: This indicator will determine whether there is a reliable measurement of environmental changes over time. It will do this across the themes covered by the Rio Conventions namely, biodiversity, impacts of climate change and land degradation. The Activities being measured by this Indicator are closely linked to Activities under Objective 2.

Baseline: If the extent of monitoring action is considered the indicator, it is likely that the baseline is limited to monitoring being undertaken on climate, invasive species, etc. However, once the monitoring and survey system is established as a key Activity under Objective 5, the first results could be considered as a more comprehensive baseline.

Measurements and observations: The focus of the Indicator is the monitoring activity itself, not the results of that monitoring. The observations will therefore identify and record the number and extent of monitoring, survey and similar research activities that are ongoing.

Responsibilities: The initial responsibility for observations will lie with the respective focal points for the Rio Conventions, who will report to the M&E Specialist who will collate the results and report to the Committee. The information will be used in the respective national communication to the relevant CoPs.

Expertise/capacity required and availability: This is considered as one of the expected tasks of the convention Focal Points and no additional expertise is required.

Indicator 6a: The number of developments where the EIA Process is accepted by the developer and applied as mandatory, compared with those where it is not

Description: The mandatory EIA Process has been enshrined in legislation in Vanuatu for some time. However, there is still a lot of resistance and avoidance among developers and the legislation is not leading to environmental protection as intended. The question that this Indicator and the following one attempt to provide an answer to is - Is the EIA Process being applied in a mandatory way as intended? And this indicator approaches the answer from a quantitative perspective.

Baseline: The baseline is provided by the current situation and can be established numerically by reviewing the significant developments over the past five years or so and noting those that were subject to the EIA Process and those that were not.

Measurements and observations: Since the EIA Process and its application is a responsibility of the Environment Department/Unit, the data for this Indicator can be obtained from the Annual Report to Parliament of the Department/Unit which should be based on information contained in the records and filing system of the Department/Unit, supplemented as necessary by information provided by the Provincial Environment Officers.

Responsibilities: The M&E Specialist will glean the information from the Annual Report of the Department/Unit which would have been collated as described above. The information will be reported to the Committee and included in its annual report on progress with the implementation of the NCAP. Worrying trends will be brought to the attention of the Environment Department/Unit for appropriate action.

Expertise/capacity required and availability: This is a desk job requiring no specialist capacity.

Indicator 6b: Conditions attached to permits being monitored, including self-monitoring and reporting regularly by developers

Description: The mandatory EIA Process has been enshrined in legislation in Vanuatu for some time. However, even when the initial stages as prescribed by the E&C Act are applied, the process is not continued into the monitoring phase and the legislation is not leading to environmental protection as intended. The question that this Indicator and the previous one attempt to answer is - Is the EIA Process being applied in a mandatory way as intended? And in particular, is the monitoring phase being implemented?

Baseline: Although the problem is known to exist, it may be difficult to determine a meaningful baseline and it is suggested that the first annual record be considered as the baseline for subsequent annual reporting.

Measurements and observations: One of the tasks of Provincial Environment Officers is to manage the EIA Process at Provincial level. They will be in the best position to know what permits have been granted, what conditions were attached to each permit, and what monitoring is being carried out to ensure that the conditions are being met. The measurement for this Indicator will therefore consist of an annual report on the situation by each Provincial Environment Officer.

Responsibilities: The reports from the Provinces will be collated by the M&E Specialist and analyzed to determine any Provinces that are significantly remiss regarding the monitoring requirements of the EIA Process. This will be reported to the Committee for its information and

included in its annual report on progress with the implementation of the NCAP. Those Provinces identified as having problems may require assistance in the form of corrective Activities under Objective 6.

Expertise/capacity required and availability: Provincial Environment Officers may require some training initially.

Indicator 7a: The proportion of trained/qualified individuals in positions of responsibility compared to those who are not

Description: This Indicator and the following one attempt to provide an answer to the question – Are there adequate resources and opportunities for training and experience in aspects of environmental protection and management at the senior and middle management levels of the Public Service? However, while this Indicator takes a quantitative approach, the next one looks qualitatively at the application of the benefit from Activities under Objective 7.

Baseline: A survey is required to establish a baseline for this Indicator. The survey can either target the broad Government system – Central and Provincial, or preferably, it could utilize data and information which may be available from the Public Service Commission. It must be stressed that confidentiality is to be protected. The survey will be carried out by the M&E Specialist following the setting of some parameters/criteria such as: which positions and which Ministries and Departments are to be covered, what qualifications and training are being targeted, etc.

Measurements and observations: The measurement comprises a repeat of the survey which established the baseline and it should be undertaken annually.

Responsibilities: The results of the survey, by category rather than on an individual basis (to protect confidentiality) will be conveyed by the M&E Specialist to the Committee and incorporated into the annual report on progress with the implementation of the NCAP. If the results indicate an unsatisfactory situation, the responsibility for acting will lie with the Public Service Commission and activities could be initiated under Objective 7.

Expertise/capacity required and availability: This is a desk exercise requiring minimal statistical analysis skills and no further capacity building is deemed necessary.

Indicator 7b: The level of satisfaction with the performance and leadership of trained individuals as measured through the assessments carried out by the Public Service Commission

Description: This Indicator and the previous one attempt to provide an answer to the question – Are there adequate resources and opportunities for training and experience in aspects of environmental protection and management at the senior and middle management levels of the Public Service? The previous Indicator takes a quantitative approach, while this one looks qualitatively at the application of the benefit from Activities under Objective 7.

Baseline: It is difficult to set a baseline for the application of training and qualifications to enhance performance and leadership qualities among senior and middle managers in the Public Service. It is therefore suggested that the result of the first survey be considered as the baseline.

Measurements and observations: The assessment, which will be based on a desk review of Public Service performance records, will be undertaken annually.

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Responsibilities: The annual desk review is ideally carried out by the Public Service Commission, but failing that, the M&E Specialist can carry it out. Following the review, the M&E Specialist, with the collaboration of the Public Service Commission, will analyze the data and report to the Inter-Ministerial Committee on Environment. The information will form part of the annual report on progress with the implementation of the NCAP. The Public Service Commission could use the information to re-assess and adjust its capacity building programmes.

Expertise/capacity required and availability: No special expertise is required for measurement and analysis of this Indicator.