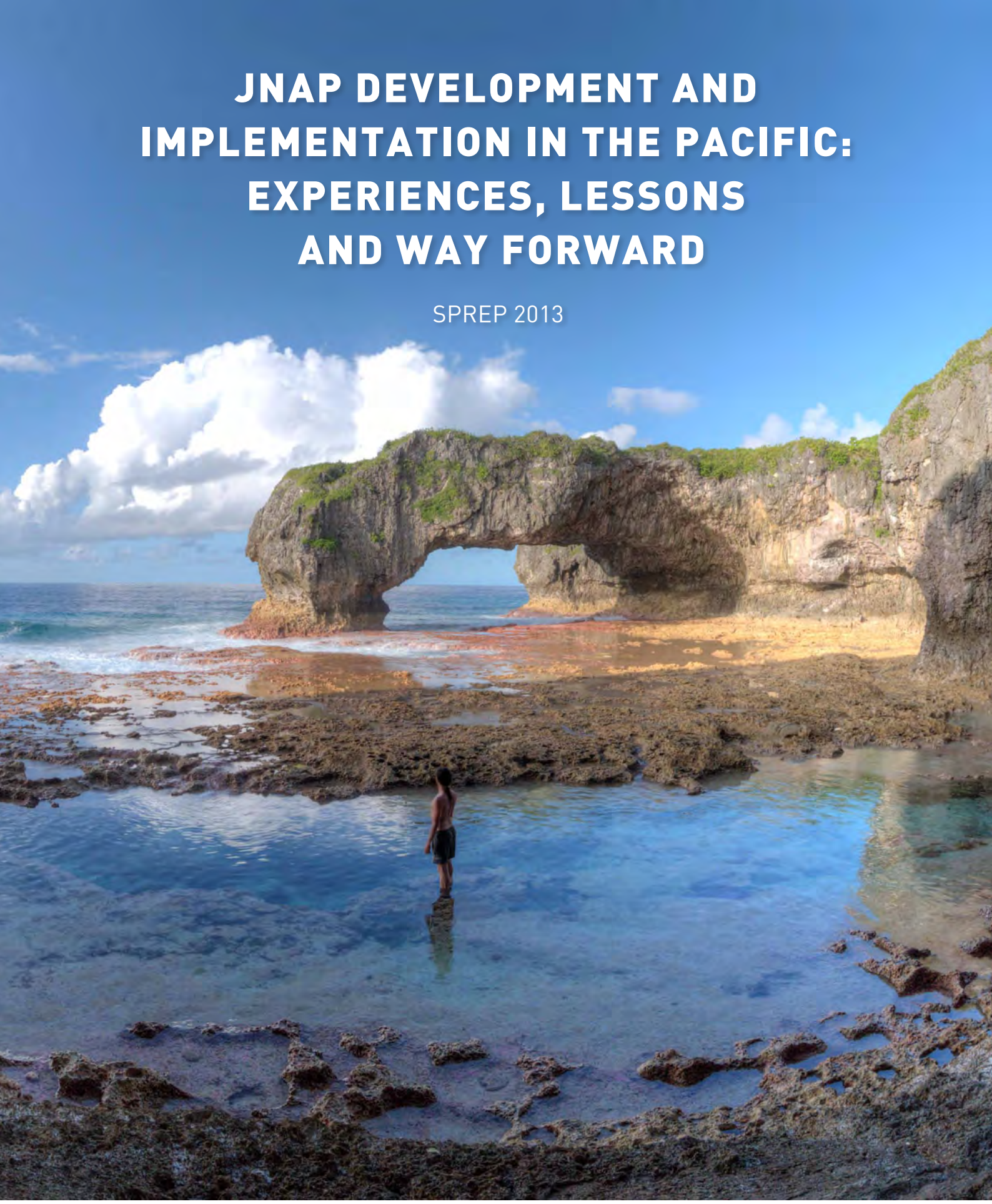
JNAP DEVELOPMENT AND IMPLEMENTATION IN THE PACIFIC: EXPERIENCES, LESSONS AND WAY FORWARD

SPREP 2013



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ACRONYMS

ADB	Asian Development Bank
AusAID	Australian Agency for International Development
CBD	Convention on Biological Diversity
CBO	Community-based Organisation
CCA	Climate Change Adaptation
CCM	Climate Change Mitigation
CCCI	Climate Change Cook Islands (a division within the Office of the Prime Minister)
CCTF	Climate Change Trust Fund (Tonga)
CIE	Department of Commerce, Industry and Environment (Nauru)
CROP	Council of Regional Organisations in the Pacific
DM	Disaster Management
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
EbA	Ecosystem-based Adaptation
EBM	Ecosystem-based management
EC	The European Community
EU	The European Union
EMCI	Emergency Management Cook Islands (a division within the Office of the Prime Minister)
GEF	Global Environment Facility
GEF-SCCF	Global Environment Facility-Special Climate Change Fund
GIS	Geographic Information System
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
HFA	Hyogo Framework of Action
IPCC	Intergovernmental Panel on Climate Change
ISDR	United Nations Office for Disaster Risk Reduction (which is the Secretariat for the International Strategy for Disaster Risk Reduction)
IWRM	Integrated Water Resources Management
JNAP	Joint National Action Plan (for climate change and disaster risk management)
JNAP-TC	JNAP Technical Committee (aka JNAP Task Force in Tonga)
JNAP-TCS	Secretariat to the JNAP Technical Committee
MDG	Millennium Development Goals
M&E	Monitoring and Evaluation
MOIP	Ministry of Infrastructure and Planning (Cook Islands Government)
MoW	Ministry of Works (now Ministry of Infrastructure – Tongan Government)
NAP	National Action Plan for DRM and DM
NAPA	National Adaptation Plan of Action
NCCTF	National Climate Change Trust Fund

NDG	National Development Goals
NECC	National Environment and Climate Change Committee (Cook Islands)
NEMO	National Emergency Management Office (Tonga)
NES	National Environment Service (Cook Islands)
NGO	Non-government organisation
NISIP	National Infrastructure Strategy and Investment Plan (Tonga)
NSAP	National Strategic Action Plan (Tuvalu)
NSDP	National Sustainable Development Plan (Cook Islands NSDS)
NSDS	National Sustainable Development Strategy
OPM	Office of the Prime Minister (Cook Islands)
PAA	Prioritised Action Agenda (Vanuatu's NSDS)
PACC	Pacific Adaptation to Climate Change (a UNDP-GEF funded project implemented by SPREP)
PacRIS	Pacific Risk Information System (SPC in partnership with the World Bank and ADB)
PASAP	Pacific Adaptation Strategy Assistance Program
PCRAFI	Pacific Catastrophe Risk Assessment and Financing Initiative (of the World Bank)
PFTAC/IMF	Pacific Financial Technical Assistance Centre of the International Monetary Fund
PICTs	Pacific Island Countries and Territories
PIFACC	Pacific Islands Framework for Action on Climate Change
PIFS	Pacific Islands Forum Secretariat
PPCSR	Pilot Program for Climate Resilience (PPCS), an ADB and World Bank executed project under the Climate Investment Fund
SIRIP	Solomon Islands Road Improvement Project
SNC	Second National Communication
SOPAC	Applied Geoscience and Technology Division of the SPC
GCCA:PSIS	Global Climate Change Alliance: Pacific Small Island States project (implemented by SPC)
SPC	Secretariat of the Pacific Community
SPREP	Secretariat of the Pacific Regional Environment Programme
SRIC-CC	Strengthening the Resilience of Our Islands and Our Communities to Climate Change (Cook Islands)
SPCR	Strategic Program for Climate Resilience for the Pacific (ADB and WB Climate Investment Funded project)
TSDF	Tonga's Strategic Development Framework
ToR	Terms of Reference
UNDP	United Nations Development Program
UNCCD	United Nations Convention to Combat Desertification
UNFCCC	United Nations Framework Convention on Climate Change
USAID	United States Agency for International Development
V&A	Vulnerability and Adaptation Assessment
WB	The World Bank
WRI	The World Resources Institute

EXECUTIVE SUMMARY

Since 2010, Pacific Island Countries (PICs) have taken steps to develop and implement an integrated action plan, or Joint National Action Plan (JNAP), for climate change (CC) and disaster risk management (DRM)[1]. Tonga was the first country to develop its JNAP and to get government approval in July 2010, with several other PICs following suit. The development of a JNAP has been encouraged and facilitated by the Secretariat of the Pacific Regional Environment Programme (SPREP) and the Secretariat of the Pacific Community (SPC) through its Applied Geosciences Division (SOPAC) and multilateral and bilateral development partners such as the United Nations Development Program (UNDP), GIZ and the Government of Australia. Countries have also made efforts to systematically implement their JNAPs by accessing domestic resources and financial resources available through bilateral and multilateral Official Development Assistance (ODA) and climate change finances (CCF).

The purpose of this report is to review the JNAP development and implementation process, and assess lessons learnt for future JNAPs in the region. The review focuses on the Cook Islands and Tonga, which have made progress in implementing their JNAP strategies. These countries obtained support from development partners for JNAP implementation. The review also included Tuvalu, which has completed development of its JNAP with Government endorsement, and countries currently in the process of developing their JNAP – Kiribati, Nauru, Niue and the Republic of Marshall Islands. Reference is also made to other countries such as Palau, Solomon Islands and Vanuatu, which chose alternative paths to their integration of CC and DRM.

Review methodology

A mixed methodology comprised a review of published and grey literature, country consultations guided by a questionnaire and Skype interviews, as well as visits to the Cook Islands and Tonga. Regional partners too were consulted in person, over Skype and/or using written questionnaires. Two analytical frameworks were used to guide the assessment. A combined risk management and policy cycle based framework was used to assess the JNAP development phase (based on OECD 2009; Olhoff and Schaer 2010). A Pillars and Bridges framework, based on an adapted analytical framework of Lal and Crawford (2012), was used to assess the effectiveness of JNAP implementation in the Cook Islands and Tonga.

Output

Key lessons about factors that contributed towards effective JNAP development and implementation, and key challenges faced, are assessed, to identify areas for strengthening. Detailed assessments of JNAP development and implementation in the Cook Islands and Tonga are provided as Annex 4 and 5. Some reflections on the implication of country-level experiences and lessons for the development and coordination of the proposed Integrated Pacific Regional Strategy for CC and DRM are also made.

1 Countries at times use different terms for their JNAP. For example, in Tuvalu it is known as the Tuvalu National Strategic Action Plan for CC and DRM, whereas in Kiribati this is referred to as the Kiribati Joint Implementation Plan (KJIP) for CC and DRM).

KEY FINDINGS

A JNAP is developed as part of a suite of national instruments to support a country's national development efforts for sustainable development and resilience. Although it is only three years since the first JNAP was developed, some key lessons can be identified, as well as areas that could be strengthened for efficient and effective integration of CC and DRM in development.

Rationale for JNAP development

Countries (and regional partners) cite similar reasons for developing a JNAP, based on their respective practical experiences and challenges in dealing with disasters, climate change issues and development under parallel processes. These include recognising the:

- link between development and risk management;
- need to minimise duplication of efforts and reduce inefficiency;
- potential to increase efficiency through cross-agency collaboration, particularly when each agency is constrained by limited human and financial resources;
- ongoing funding imperatives for CC and DRM and development, using domestic resources as well as Official Development Assistance (ODA) and climate change finances (CCF); and
- value of a nationally endorsed instrument, such as a JNAP, in placing countries in the 'driver's seat' when engaging with development partners, particularly when it clearly spells out stakeholder-based priorities and programmes.

Integration of CC and DRM and the JNAP

Three different pathways have been used in the region to facilitate integration of DRM and CC in development.

1. Many countries focused on developing their JNAP linked to their national sustainable development strategies (NSDS) or equivalent; for example, in Cook Islands, Tonga and Tuvalu, where the JNAPs have formally been endorsed by the Government. Countries such as Kiribati, Nauru, Niue and RMI are also currently developing their NSDS-linked JNAPs.
2. Some countries, such as Palau and Vanuatu, initially focused on developing their governance arrangements to strengthen coordination between the activities of their national disaster management office (NDMO) and the agency/focal point addressing climate change.
3. Countries such as the Solomon Islands decided to focus on sectoral level mainstreaming and implementation, instead of proceeding with a national JNAP development per se.

JNAP Development and Endorsement: Experiences and Lessons learnt

Development of a JNAP can be defined in terms of inclusiveness, efficiency and joint ownership. Successful development and endorsement of JNAPs depend to a large extent on the commitment of government agencies and other stakeholders involved, and the process used.

In all countries going down any of the three paths for integrating CC and DRM, this was done with the technical and financial support of regional intergovernmental agencies and development partners.

The JNAP development process has largely followed key steps outlined in the *Guide to Developing DRM National Action Plans* (SOPAC 2009), a guide that combined a risk management framework and policy cycle process. Countries have generally used available data and information from international, regional and national sources to undertake national and sector-level problem and solution analysis. Generally, a broad-brush approach was used, guided by lead and supporting regional partners.

JNAP Development: Success factors and key challenges

JNAP development experiences in the region suggest common underlying reasons for success, whereas the reasons for delays are diverse and country specific. The key factors observed behind efficient JNAP development and joint ownership included:

- presence of champions with interest and commitment to CC and DRM and integration (e.g. Tonga, Tuvalu);
- ministerial and/or Cabinet level endorsement for the JNAP concept (e.g. Tonga);
- high-level Ministry support and engagement in the JNAP development (e.g. Kiribati and Tonga); and
- establishment of a 'formal' JNAP development governance arrangement, with clearly identified lead agency, and supported by committed inter-agency task force/or expert group (e.g. Kiribati, Tonga and Tuvalu).

CHALLENGES

Countries have faced significant constraints in efficiently completing their JNAP instruments. Some common challenges are found, although specific details are unique to the social and political conditions in-country. These include:

- ability of in-country partners to commit time and resources over an extended development period, as, for example, noted by Cook Islands, Kiribati and RMI. Reasons included the limited number of staff in each agency, with competing demands. Frequent travel to regional and international meetings exacerbated this issue, putting strain on agencies to even meet their core functions, let alone engage in new initiatives such as JNAP development, which is seen to be outside their core function.
- expectations on regional partners to provide greater 'hands-on' support than was initially envisaged. Despite the presence of several regional and international partners with programmes on mainstreaming CC and DRM mainstreaming, despite their willingness to assist, they too are constrained by their respective modality of engagement and often project-based funding. Furthermore, the availability of regional staff to commit to the extra work does not always match the timing for countries in terms of organising their internal partners and internal support (e.g. in Nauru).
- JNAP development itself may not always be seen as a high priority of the government and/or different arms of the government due to competing demands, causing delays in its development as well as affecting the extent of joint ownership across the government (e.g. Cook Islands).

Other reasons cited for delays included:

- JNAP development may have been regarded as a partners' initiative and 'countries were unable to commit sufficient resources at the time' (e.g. Nauru, Niue and RMI);
- differences between the priorities of the government and what stakeholders had identified (e.g. Niue);
- CC and DRM regarded as disaster management and environment issues respectively (e.g. Fiji); and
- change in staff (e.g. in Cook Islands); or change in national governance arrangement responsible for CC and/or DRM (e.g. Fiji).

In addition, the relevance of developing a JNAP was questioned by government, non-government and development partners in some countries where other policy instruments exist such as NAPs, NAPAs, and/or CC Policy. These countries decided to choose alternative paths for integrating CC and DRM (e.g. Solomon Islands and Vanuatu).

Benefits of JNAP development process

There is a general consensus that the JNAP development process provides many benefits. It helps, for example to:

- increase understanding across stakeholders about the close relationship between disaster risk management and risks associated with climate change and its flow-on effects across climate sensitive sectors;
- increase understanding of the importance of development planning and implementation with climate and disaster risks in mind;
- increase understanding about the relevance and the existence of different types of information and data maintained by different arms of the Government;
- encourage close engagement and collaboration between NDMO and CC units, and line ministries, NGOs and civil society groups;
- increase interagency dialogue and rapport with like-minded people across agencies;
- bring together stakeholders at national and community (and regional) levels to share expertise, information, knowledge and resources; and
- develop institutional capacity to systematically consider current hazards as well as climate change trends in an integrated manner, recognising traditional governance and decision-making processes.

The JNAP document is used by countries to guide their development and risk management efforts, for which development partner support is sought. For development partners, too, the presence of a JNAP helps them to justify areas of their support to a country under their ODA as well as CCF. This could be improved, as discussed below.

REGIONAL LEVEL BENEFITS

The JNAP process has helped to:

- strengthen relationships between SPREP and SPC and other regional partners, such as UNDP and GIZ, to the benefit of countries;
- pool available resources, while reducing competition to deliver initiatives in-country; and
- share tasks across agencies.

There is scope for further gains in efficiencies and effectiveness, particularly with regards to providing the most effective technical backstopping support to the countries.

Is a JNAP for CC and DRM needed?

Several countries and partners in the region have asked if JNAP development is the best pathway to follow in each PIC. That is, can the one size fit all?

There is no simple answer to this question. What is considered to be an appropriate pathway for a country to facilitate CC and DRM integration would depend on several country-specific conditions. These factors may include, for example:

- Are climate and disaster risks explicitly identified as a challenge by the country and is there a specific goal about risk management and resilience reflected in the country's national sustainable development strategy (NSDS) or equivalent?
- Is CC and DRM more than just a political issue? Is the Government committed to, and placing a high priority on, giving effect to this agenda?
- Does the country already have key policy instruments, such as a DRM national action plan (NAP), national adaptation plan of action (NAPA), CC Policy, including at the sectoral level, that reflect a 'whole of country' approach to CC and DRM and development?
- Is there a good working relationship between CC and DRM officers in the country and do they jointly support the implementation of the principles of NAP and NAPAs at the sector level regardless of the legislative mandate?

- Is there a good understanding across all levels of government and NGOS about the relationship between CCA and DRR , and the relevance of simultaneously addressing risk and development in an integrated manner?

It is possible that a country may decide that development of a JNAP *per se* may not be a critical first step for them. It may instead decide to, for example, strengthen coordination and governance mechanisms for an integrated approach to CC and DRM, or develop an integrated CC and DRM policy. This is, for example, the path that Vanuatu, and to some extent Palau, chose.

JNAP – Integration of CC, DRM and Environment in Development

All three completed JNAPs reflect a recognition of the relationship between development, disaster and climate risks and the role of environment in both development and risk management. They all include strategies aimed at addressing:

- underlying causes of vulnerability (such as lack of adequate water and sanitation);
- the use of hard and soft ecosystem-based solutions (such as coastal zone management, integrated catchment management, or mangrove rehabilitation); and
- disaster management measures (such as an early warning system and preparedness and capacity to respond to disaster events).

Countries have also included other aspects of the link between climate change and development in their JNAP.

- Cook Islands explicitly recognises the importance of economic development as a strategy for reducing disaster and climate risks; and
- Cook Islands, RMI, Tonga and Tuvalu explicitly recognise the relationship between energy security for reducing risks as well as addressing climate change mitigation goals.

The recognition of the whole spectrum of measures, including climate compatible/climate smart measures, is only just emerging.

The capacity of countries to effectively address the underlying goal of a JNAP, integration of DRM and CC in development could be further improved by:

- increasing understanding about the relationship between disasters, environment and climate change and their effects on sustainable development and resilience;
- adopting an integrated development and risk management framework which reflects globally accepted principles behind climate and disaster risk management; environmental management; and economic and social development; and
- considering response measures across the whole spectrum of development-risk reduction-risk management continuum.

Strategic Planning and JNAP Matrix

Basic principles of strategic planning and log frames have guided the formulation of a JNAP matrix to list their goals, strategies, actions, sub actions, lead agencies and partner agencies. The structure of a JNAP is similar across the region, largely reflecting the regional frameworks of action for DRR and DM (SOPAC 2005) and/or Climate Change (SPREP 2011). There are also significant differences. In most cases, specific strategies and actions have some semblance of what are listed in the two regional frameworks of action, though the exact relationships are at times difficult to identify.

This reflects a broader gap in capacity in strategic sector-level planning in-country as well as in the mix of expertise available to development partners who are supporting the countries.

Having clarity about the relationship between outcomes, strategies and actions can help:

- countries to develop an appropriately sequenced set of activities, identify relevant interagency collaborations, and identify individual and collaborative components of their multiyear agency budgets;

- agencies during negotiations with development partners; and
- countries to develop an appropriate monitoring and evaluation (M&E) system, including specific, measurable, attainable, relevant and time bound measures, for the JNAP coordination and implementation.

All the completed JNAPs make reference to an M&E framework and Communications Strategy to be developed once the JNAP is implemented. However, neither the Cook Islands nor Tonga have effectively addressed these, as yet. Clearly, differentiation between goals, outcomes, outputs and activities and an M&E system with a clear set of M&E indicators and baseline information is important particularly when comparing performance and for making adaptive responses over time (OECD 2012).

JNAP IMPLEMENTATION

The JNAP instrument is intended to guide the development and implementation of integrated CC and DRM in development projects at the sub national and national levels. While the Cook Islands and Tonga have made some progress in implementing their JNAP, they have also faced key constraints. Key differences in the way JNAP is treated are also found in the two countries.

In Tonga, the JNAP:

- is widely recognised as the document that summarises the country's priorities regarding disaster risk and climate change management; and
- has a high profile within the Government, NGOs and partners. Implementing Ministries and NGOs refer to the JNAP in their project proposals, particularly for climate change related projects that dominate partner support.

In the Cook Islands, the JNAP:

- does not have a high profile; and
- implementation is generally regarded by local stakeholders as 'too little or slow' or 'not by design', perhaps because many projects listed as 'Actions' or 'Sub actions' in the Cook Islands' JNAP were already at various stages of development.

One of the key reasons for the difference between the Cook Islands and Tonga in the perceived ownership, profile and pace of JNAP implementation could be the difference in the effectiveness of the JNAP governance arrangement in the two countries; particularly in the absence of an agreed implementation plan.

Tuvalu, on the other hand, has been significantly constrained in implementing their JNAP due to competing demands on limited human resources, particularly because of their regular duty travel. Tuvalu's experience is likely to be echoed across many small island developing states (SIDS) where human resources within government agencies are limited – this issue needs to be addressed when developing appropriate milestones for implementation.

JNAP Implementation: Effectiveness of governance arrangement and availability of resources

The JNAP is designed to support sustainable development and resilience outcomes through the national system of CC and DR management within a national development context. From a functional perspective, a national system of CC and DR management comprises development and risk management plans and priorities, financial management, organisational arrangements and stakeholder-based decision-making processes, as well as the underlying enabling environment of knowledge, capacity and legislative frameworks (summarised as 'Pillars and Bridges' Framework in the report).

JNAP Governance – Functional relationship between NSDS, JNAP, Sector Plans, programme and projects (Pillar 1 and Bridges 1 and 4)

While a JNAP is developed to address specific national goals of development and risk management, and the link between a JNAP and their NSDS or equivalent is mentioned, the link is not always strong. There is also a difference in their effectiveness for several reasons.

Duration of JNAP and NSDS

The Cook Islands and Tuvalu have aligned the duration of their JNAP and NSDS or equivalent. The duration of the JNAP and NSDS is not always the same: Tonga is an example of this. Having different timeframes would make it difficult to align its review and adaptive changes with those suggested under the review of NSDS, particularly when such reviews are conducted by different line ministries supported by different arms of the regional intergovernmental agencies.

NSDS-linked JNAPs and linkages with sectoral and sub national plans

The linkages between a JNAP and sub national and sectoral plans and policies are limited, although some effort has been made to develop specific sectoral policies/strategies, under specific externally funded climate change projects, such as the Pacific Adaptation to Climate Change programme (PACC) and the Pacific Adaptation Strategy Assistance Program (PASAP). However, while sector level policies may have been developed after a JNAP had been endorsed, the JNAP is not always explicitly referenced. This could be due to a variable level of understanding about:

- the relationship between their sectoral deliverables and risks management,
- the role a JNAP could play in supporting sustainable development and building resilience, as observed amongst government agencies and NGOs; and
- capacity constraints in programmatic planning as well as in developing a multi-year prioritised and appropriately sequenced programme of work.

There is also disconnection between a JNAP and sub national/sectoral plans. Without a JNAP-linked sector or corporate plan in hand, the country is limited in its ability to be in the 'driver's seat' and to effectively seek development partner assistance towards their own priorities. The strengthening of technical understanding and capacity in strategic planning and outcome-focused and prioritised programming across all sectors is identified as a major need in the region.

Scientific and traditional knowledge systems

All countries note difficulties in getting access to baseline scientific and other data and experiential/ traditional information, which are scattered across the government agencies, NGOs and regional partners. Capacity to further manipulate such information is often limited throughout the region. Strengthening of scientific and traditional knowledge systems that encourage easy access to baseline data and information, and capacity to further manipulate data and support knowledge-based decisions, is urgently needed throughout the region.

Development partner engagement, public finance management and aid effectiveness (Bridges 2 and Pillar 2)

The effectiveness of the JNAP implementation has, so far, very much depended on the availability of external funding, development partner engagement and project and finance management systems adopted by donors. Cook Islands, Tonga and Tuvalu have all identified a Financing Strategy in their JNAP document and funding is often sought from bilateral, multilateral and regional ODA and climate change funding sources.

External funding has generally been provided on a project-by-project basis, with countries negotiating each project with development partners, through a JNAP Secretariat (as in Tonga), or through line ministries (Cook Islands and Tonga). The presence of a JNAP has somewhat increased the efficiency of their donor interaction, with development partners taking their cue from the JNAP as to the country's priorities. This has not been without challenges, particularly in the absence of sector plans. In both Cook Islands and Tonga, the absence of prioritised sector plans, together with a clear articulation of the adoption of integrated development and risk management approaches, constrain their ability to 'drive' their engagement with development partners.

PUBLIC FINANCE MANAGEMENT AND JNAP PROJECT FINANCE MANAGEMENT

Management of JNAP related finances varies across the region, even though all countries have their Public Finance Management System in place, including aid management/coordination mechanisms. Partners are making efforts to use national systems to channel development assistance, including for project-based initiatives, as per the Paris and Pacific Declarations on Aid Effectiveness. There are also cases in the region where partners set up parallel project accounts, to avoid delays in the release of funds.

One of the key effects of having such a parallel process is that countries have difficulty in reconciling their development assistance records with those of the development partner. Tonga, for example, reported its difficulty in getting development partners to provide the government with the summary of their total development assistance.

JNAP Financing

To improve their ability to manage development assistance through their Public Finance Management System, Pacific island countries have expressed a preference for direct budget support and the use of a National Trust Fund for climate change (and DRM) financing. There are merits and challenges in adopting such financing modalities, as compared with project-by-project funding, as described by PIFS (PIFS 2011).

Some countries, such as Cook Islands and Samoa, continue to pursue National Implementing Entity (NIE) status with the Climate Change Adaptation Fund, despite the first round of applications being unsuccessful. A CC Trust Fund approach has also been considered by countries such as Nauru, Samoa and Tonga.

To be sustainable and effective, such Climate Change Trust Funds need to be carefully designed and established, preferably under national legislation. Key areas for consideration include having an appropriate governance mechanism in place to ensure appropriate financial management, transparency and accountability. Furthermore, careful attention needs to be given to the types of activities that could be supported, reflecting an integrated development and risk management approach. Otherwise, as in Tonga, the concept of a National Trust Fund may need to be revisited, as is currently narrowly designed.

Supporting governance arrangement

Cook Islands and Tonga both identified a two-tier arrangement for JNAP governance, but there are also differences in regards to establishing and operationalising the arrangements, and thus, in the effectiveness of JNAP implementation. These two experiences (and other project level experience in the Cook Islands discussed in the report) suggest that to give full effect to the intent of JNAP, and for effective coordination of cross cutting CC and DRM and issues within the context of national development, a country needs:

- a dedicated JNAP-coordination unit/Secretariat;
- a robust governance arrangement;
- clearly defined roles and responsibilities for different levels of JNAP governance and an appropriate reporting mechanism; and
- at least one staff member in each ministry with integration of CC and DRM and as part of their job description or core function.

Implication of country experiences for the Integrated Pacific Regional Strategy for CC and DRM

Regional partners have an important role to play in supporting PICs to realise their vision and development goals. Such support needs to be based on an integrated development and risk management framework and technically robust methodologies, while building on the national system of governance that is cognisant of capacity constraints and recognising the need for a team with technical expertise.

Experiences from the countries provide some useful lessons, as regional partners and countries develop an integrated Pacific regional strategy for CC and DRM. These include:

1. The adoption of an integrated development and risk management framework would help to ensure key principles and goals captured in respective international instruments and regional frameworks are appropriately reflected in the IPRS. This would include climate change; disaster risk management; biological diversity and environment; sustainable resource management and aid effectiveness and development cooperation.
2. When assisting countries to identify appropriate response measures, it is equally important that regional partners, too, acknowledge the relevance of:
   - the range of hard and soft options across the development-DRR-DM-CCA-CCM spectrum; and
   - collaboration across regional agencies to draw inputs from a diverse field of expertise, including climate and other science, social science, behavioural science, economics and financial management.
3. The integrated strategy should reflect a regionally linked national system of actors and stakeholders, comprising regional, national and sub-national governments, private sector, research bodies, and civil society, including community-based organisations, playing complementary roles. Such stakeholders would work in partnership across temporal, spatial, administrative and social scales, supported by relevant scientific and traditional knowledge.
4. The integrated strategy could clearly spell out an outcome-focused matrix with clear line of sight and logic between goals, outcomes, strategies and targeted programmes;
5. Establish an appropriate regional governance arrangement for the implementation of the integrated strategy, in support of national goals of sustainable development and resilience, including:
   - clearly identified and dedicated secretariat/unit (located in an appropriate regional organisation), with a clearly spelled out role and functions. The Secretariat to comprise specialists in strategic planning, CC, DRM, knowledge management and a financing specialist;
   - engagement of other CROP agencies with specific technical advantages in the development and coordination of JNAP implementation.
6. A prioritised implementation plan for the secretariat for supporting the strategy across the region, consistent with a country's own priorities, including a financing strategy, and an M&E system linked to the country level JNAP M&E.
7. Recognising that as integrated development and risk management is a new domain, and strategic planning capacity within regional organisations is also variable, the strengthening of regional capacity in strategic planning as well as in the use of consistent and robust methodologies for mainstreaming CC and DRM in development will also be required.

CONCLUSION

In conclusion, countries have been successful to some extent in developing and implementing their JNAPs and in linking the JNAP to NSDS to secure development partner assistance. The development of a JNAP has served several purposes for countries in the region. The benefits have included increased understanding across stakeholders about the close relationship between disaster risk management and risks associated with climate change; and the need for a collaborative whole of government and country-based approach to development and risk management. The JNAP linked to NSDS, or the equivalent national instrument, serves as a good reference document, which can be used by the government and donors to justify the development of specific proposals for development partner support.

However, any system of governance is only as effective as its weakest link. There is scope for increased efficiency and effectiveness in JNAP development and implementation in the region.

Key recommendations

In summary, key recommendations for strengthening a JNAP to support integrated development and risk management in the Pacific include:

DEVELOPMENT PHASE

1. Before a country decides to develop its JNAP, assess if this is the appropriate path to follow, and assess if a minimal set of conditions are in place to efficiently and cost effectively develop and endorse the JNAP.
2. Before embarking on the JNAP development process:
   - identify local champions across agencies;
   - get support and commitment from Minister/Cabinet; and
   - establish an interagency JNAP Task Force of committed stakeholders.
3. Countries and partners are realistic about the level of time and resources that may be required and factor these in their initial planning and resource allocation.
4. Ensure core expertise and skills are included in the regional JNAP core team, including an appropriate mix of expertise and experience in CC, DRM, development, as well as strategic planning.
5. Explicitly:
   d. develop a basic understanding in-country amongst all levels of government and NGOs regarding the relationship between disaster, environment and climate change and their effects on sustainable development and resilience; and
   e. consider disaster risk management, climate change and development issues as well as the spectrum of response measures that target sustainable development and resilience goals.

JNAP INSTRUMENT

6. Ensure:
   a. there is a clear link between the NSDS and JNAP, and the duration of the JNAP is aligned with the NSDS, or equivalent;
   b. the JNAP instrument is outcome-focused and prioritised;
   c. the relationship between outcomes, strategies and actions is clearly articulated within the JNAP document; and
   d. JNAP instruments include a clearly articulated governance mechanism for coordination of the JNAP implementation, financing strategy, a robust M&E System, including SMART indicators, and an appropriate reporting mechanism.

JNAP IMPLEMENTATION

7. To give full effect to the intent of a JNAP for integrated development and risk management, and for effective coordination of cross cutting CC and DRM and issues within the context of national development, countries should:
   - establish a national governance system with clearly defined roles and responsibilities of different levels of JNAP governance units for coordination, implementation, M&E and reporting against JNAP goals and NSDS outcomes; and
   - identify a dedicated JNAP-coordination unit/secretariat with expertise in CC, DRM, strategic planning and finance.
8. Strengthen national information systems, including:
   a. establish/strengthen baseline climate, disaster, socio-economic and sectoral level databases together with traditional knowledge; and
   b. build capacity in integrated knowledge management, as well as in making informed choices using available tools, such as multi-criteria analysis.
9. To give full effect to the intent of a JNAP, and for effective coordination of cross cutting CC and DRM issues within the context of national development, as well as to increase capacity for improved access to development funds, countries should:
   a. ensure a direct link between JNAP goals and strategies to goals, strategies and actions identified in the sub national/sectoral plans and Corporate Plans;
   b. strengthen links between the JNAP and sub national/sectoral levels of governance and identify at least one staff member in each ministry who has integration of CC and DRM as part of their job description or core function.
   c. build capacity of sectoral line ministries, in partnership with the Ministry of Finance and Planning, to mainstream CC and DRM and develop prioritised rolling sectoral and agency Business Plans, together with rolling multi-year budget plans, consistent with the medium term budgetary framework.
10. To improve the effectiveness of JNAP implementation, develop a good understanding across all levels of government about the:
    a. relevance of the key principles and strategies enshrined in international and regional instruments including those related to climate change; disaster risk reduction and disaster management; biodiversity, conservation and environment; sustainable resource management; and
    b. relevance of the Paris (and Pacific) Principles of Aid Effectiveness and the Forum Cairns Compact on Development and Cooperation .
11. To increase the efficiency and effectiveness of regional technical support to countries, CROP agencies (and partners) should:
    a. ensure, in the short term, core expertise and skills are included in the regional JNAP core team, including an appropriate mix of expertise and experience in CC, DRM, development, strategic planning and finance.
    b. consider, in the medium to longer term, proactively developing country-specific joint strategies and programmes, jointly seek external funding, and proactively put together the best team to assist countries to address development, disaster and climate risks and environmental issues for sustainable development and resilience.
12. Countries and partners strengthen their funding modalities, including:
    a. When developing a national climate change (and DRM) Trust Fund or any other such centralised financing mechanism, it is critical that:
       i. it meets the standard finance management conditions of transparency and accountability; and
       ii. the scope of projects and programmes to be supported under that Fund covers development and environment management initiatives for reducing vulnerabilities, including climate compatible development, as well as other DRR and CCA, CC Mitigation and risk management activities.

b. Forum Leaders and partners review funding modalities and secure programmatic support to CROP agencies for their technical backstopping role, ensuring adequate capacity and flexibility to respond to country-calls for assistance.

INTEGRATED PACIFIC REGIONAL STRATEGY

13. Country-level lessons in the development, implementation and financing of the cross-cutting JNAP instrument have relevance for the development of an integrated CC and DRM strategy, including:
    a. the importance of:
        - establishing an appropriately resourced coordinating unit/secretariat;
        - coordinating unit/secretariat includes core staff with expertise in CC and DRM as well as with strategic planning and finance;
        - adopting an integrated development and risk management framework and blending of key principles and strategies enshrined in international and regional frameworks;
    b. the importance of recognising the relevance of the Paris Declaration on Aid Effectiveness and the Forum Cairns Compact on Strengthening Development Coordination, and using a national system of planning and budgeting, and finance management.

1 BACKGROUND

Since 2010, Pacific Island Countries (PICs) have made efforts to develop and implement an integrated action plan, or Joint National Action Plan (JNAP) for climate change (CC) and disaster risk management (DRM)[2]. Tonga was the first country to develop its JNAP with government approval in July 2010, with several other PICs following suit.

The development of joint national action plans has been encouraged and facilitated by SPREP and SPC. SPC is mandated to support and facilitate disaster risk management whereas SPREP has the primary carriage of coordinating and supporting climate change adaptation in the region. A regional core technical team, comprising SPREP, SPC, and the UNDP regional office, was formed to support countries during the development phase. Other development partners have since joined the team, including AusAID, GIZ, UNDP Fiji Country office and UNICEF.

JNAP development in the region reflects a gradual evolution of understanding, within countries and CROP agencies and other development partners, about the importance of jointly addressing disaster risks and climate change issues. The reasons noted include the similarities in underlying challenges in dealing with natural and human induced disasters, as well as the required institutional and human capacity to deal with such risks in-country.

Countries have also made efforts to systematically implement their JNAPs by accessing domestic financial and other resources available through bilateral and multilateral Official Development Assistance (ODA) and climate change finances (CCF). JNAP initiatives in-country are expected to be guided by various international and regional instruments, including the Pacific Islands Framework Adaptation for Climate Change, 2005-2015(SPREP 2011), the Regional Disaster Risk Management Framework for Action, 2005-2015 (SOPAC 2005), the Paris (and Pacific) Declaration on Aid Effectiveness and Forum Cairns Compact for Development Effectiveness (Pacific Islands Forum Secretariat 2005; OECD 2005/2008; PIFS 2009).

The purpose of this report is to review the JNAP development and implementation process in the Pacific to assess lessons learnt and identify ways forward in strengthening JNAP development and implementation in the region.

The review was identified by SPREP and partners to focus on the detailed case studies of Cook Islands and Tonga, which have made progress in implementing JNAP strategies, including the establishment of organisational arrangements to reflect the underlying philosophy of integration of CCA and DRR. They have also been successful in obtaining some coordinated support for their JNAP implementation from development partners. This review includes Tuvalu which has completed its JNAP with government endorsement, as well as countries currently in the process of developing their JNAPs – Kiribati, Nauru, Niue and the Republic of Marshall Islands. Reference is made to other countries, such as Palau, Solomon Islands and Vanuatu, which chose alternative paths to their integration of CC and DRM.

A number of reports and papers have addressed the issue of the relationship between CCA and DRM and the rationale for their integration in the Pacific (see e.g. (Thistlethwait and Votaw 1992; Betterncourt, Croad et al. 2006; Gero, Méheux et al. 2010; Hay 2010; Hay 2011; GFDRR 2012; Hay 2012; The World Bank 2012). The UNISDR and partners summarised a practical rationale for DRR and CCA integration, barriers and approaches to address these barriers and constraints (Table 1).

2 Countries may use different terms for their JNAP. For example, in Tuvalu it is known as the Tuvalu National Strategic Action Plan for DRM and CC, whereas in Kiribati it is the Kiribati Joint Implementation Plan (KJIP) for CC and DRM.

TABLE 1 Practical Rationale for CCA and DRR integration, Barriers and Approaches to address these barriers and constraints

Rationale	Barriers	Approaches to address barriers and facilitate CCA and DRM integration
Minimise duplication of efforts and redundancies	Separate global and regional frameworks	Strong enabling environment and communication to practitioners and broader public
Ease burden of programming development assistance	Capacity constraints (lack of coordination, communication, political will, insufficient funds and absence of expertise)	Improved access to practical weather and climate change information
Reduce potential conflicts in policy development	Perceptions of development practitioners that CCA and DRR are not valuable	More emphasis on bottom-up approaches
Make efficient use of scarce resources	Difficulty in quantifying the benefits of integration	Information support for decision makers – scientific and economic
Increase recognition that there is little practical difference between the two		

Source: UNISDR, UNDP et al (2012)

This review builds on them by taking a country-focused functional approach, focusing on integrated governance and technical aspects of CC and DRM integration to identify specific functional areas within a national system that deals with policy-to-budgeting organisational arrangements, decision-making processes, and supporting enabling environments.

Section 2 briefly describes the review methodology and underlying analytical frameworks used to assess the effectiveness of JNAPs in the region. Section 3 examines the JNAP development process in the region, identifying factors that contributed to success and key challenges that may have contributed to delays in the finalisation of JNAPs.

Section 4 discusses JNAP implementation in the Cook Islands and Tonga to highlight its successes as well as key challenges. Key lessons about factors that contribute towards effective JNAP development and implementation are summarised in Section 5. Section 5 also includes some reflections on the implication of country-level experiences and lessons for the development and coordination of the proposed Integrated Pacific Regional Strategy for DRM and Climate Change (IPRS-DRM andCC).

2

JNAP REVIEW METHODOLOGY

This review report is based on a mixed methodology used to address the specific terms of reference provided in Annex 1. The methodology included:

- Desk-review of government endorsed JNAPs from Cook Islands, Tonga and Tuvalu, as well as draft information from countries currently at various stages of the JNAP development processes;
- Fieldwork to Cook Islands and Tonga to consult with key government officials and JNAP stakeholders. This consultation was guided by the use of a semi-structured questionnaire.
- Consultation with countries in various stages of JNAP development, using a semi-structured questionnaire, and Skype discussion with country focal points for JNAP, CC, DRM and/or PACC project team where feasible. This included Kiribati, Nauru, Niue, the Republic of Marshall Islands, Solomon Islands and Tuvalu;
- Consultation with key development partners to identify their experiences and lessons learnt during the JNAP development and implementation processes, including coordination of their financial and other support with other development partners. This consultation was guided by the use of a semi-structured questionnaire.
- General review of literature on mainstreaming of CC and DRM issues in the Pacific.

The list of people consulted in person or via phone and Skype is summarised in Annex 2.

Analytical Framework used to review JNAP development and implementation

To help structure the technical and functional aspects of JNAP development and implementation, two frameworks are used: a combined risk management and policy cycle framework for JNAP development; and a *Pillars and Bridges* framework. These are briefly summarised below.

Combined risk management and policy cycle

Strategic instruments, such as national and sectoral development plans, are generally formulated using a policy cycle-based decision-making process. The policy cycle process follows a standard set of steps. These normally include: situation analysis, including risk assessments, problem analysis, including root cause analysis; solution analysis – identification, assessment of options and selection of desired solution; design; implementation and monitoring and evaluation; and review, feedback and adjustment[3]. A risk (disaster and climate risk) management framework, on the other hand, provides a systematic basis for undertaking a technical analysis to support risk and risk-based decisions. As such, it is an integral aspect of any mainstreaming exercise. Risk-based development decisions, including disaster risk reduction and climate change adaptation decisions require:

- scientific assessment of current and projected weather and climate risks (i.e. hazards, vulnerability and exposure);
- scientific assessment of the impacts of climate risks;
- identification of risk reduction and risk management response measures;
- assessment of options and selection of preferred response measures based on an agreed set of criteria;
- implementation and monitoring; an
- review, feedback and adjustments (adaptive management).

A combined policy cycle and risk management thus provides a framework for developing strategic level instruments,

3 See for example: www.unep.org/pcmu/project_manual/Manual_chapters/Project_cycle.pdf; www.odi.org.uk/resources/details.asp?id=5696&title=planning-tools-audience-message; www.siteresources.worldbank.org/PROJECTS/Resources/40940-1212588723006/projectcycle_examples.pdf

where CC, DRM and other risks are simultaneously considered. It also provides an analytical framework to review steps followed in the JNAP development process and the kinds of risk assessment which helped to underpin the identification of response strategies, actions and measures outlined in the country's JNAP instrument.

An assessment of the structure and design of the JNAP instrument provides an insight into the scope for outcome-focused strategies and programmes of work at the national, sectoral and community levels that address development and risk management objectives. A review of the governance arrangement used to develop the cross sectoral strategic instruments (JNAP) provides an insight into the level of coordination and cooperation across government agencies and other stakeholders. A detailed description of the combined policy and risk management framework can be found in, for example, reports prepared by the OECD and UNDP(OECD 2009; Olhoff and Schaer 2010). A Pacific guide for preparing a DRR and DM NAP implicitly uses this combined risk management and policy cycle-based framework (SOPAC 2009).

Effectiveness of JNAP Implementation and Financing: A National Systems Framework

A 'Pillars and Bridges' analytical framework is used to assess the effectiveness and efficiency as well as the sustainability of the implementation of a JNAP. This analytical framework is based on the *Pillars, Bridges and Capacity Framework (PBCF)* proposed by Lal and Crawford(2012)to the Pacific Islands Forum Secretariat for assessing readiness for climate change financing from the country perspective. It thus has similarities with the Pacific Climate Finance Assessment Framework proposed by the Pacific Islands Forum Secretariat ((PIFS 2012(August)).

The 'Pillars and Bridges' framework focuses on functional and operational aspects of sustainable development and resilience governance, highlighting also decision-making processes across all levels of government. It recognises the importance and centrality of the national system of planning and development, including finance management, and knowledge-based decisions at all levels of government and communities. In essence, as illustrated in Figure 1, it comprises two pillars and four bridges that constitute the national system of planning and finance:

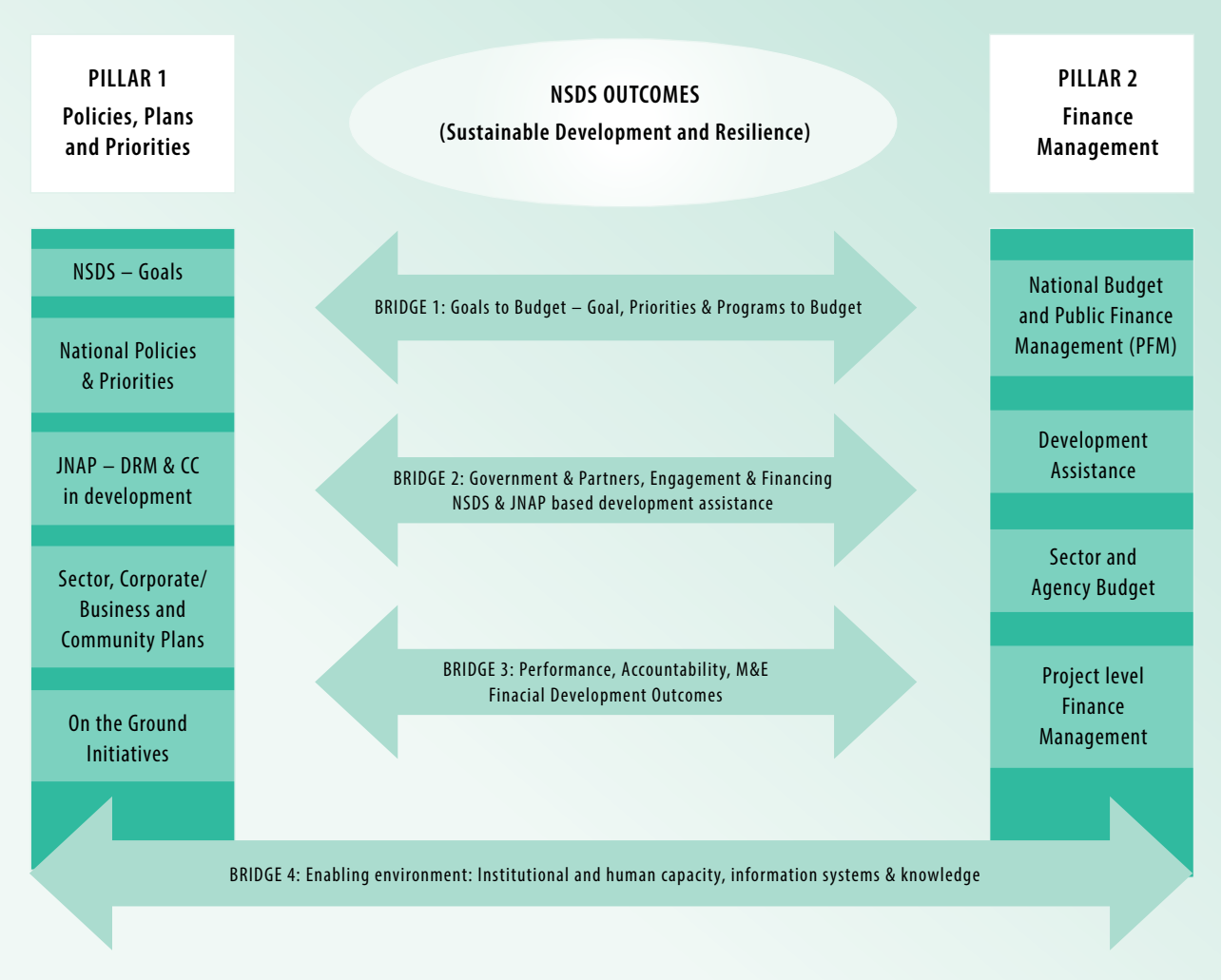
- **Pillar 1: Policies, Plans and Priorities.** This relates to country-specific development goals and policies, plans and priorities. It includes a country's overarching NSDS which define the underlying development and resilience goals; and usual sectoral policies and plans as well as Corporate/Agency-level plans and programmes. This pillar defines the broad strategies for addressing conventional economic and social development goals (which are also reflected in the MDG goals); environment, disaster risk reduction and disaster management and climate mitigation and adaptation objectives, that together address a nation's development needs and resilience.
- **Pillar 2: Finance management.** This relates to how domestic and development partner resources (usual development-focused domestic budget and ODA; and climate change and DRM financing) are managed by a country, consistent with Public Finance Management principles, and principles of aid effectiveness. It includes national and sector budgets, agency level finance management and activity level finance management.

These two pillars are connected by a series of **Bridges** which involve a series of core decision-making processes and stakeholders.

- **Bridge 1: Planning, priorities to project implementation and budget:** This relates to national decision-making processes linking national and sectoral policies to priorities, sectoral and sub-national programmes; selection of initiatives on the ground; costing and budgetary allocation/ appropriation – how countries translate their policies and priorities into sector/corporate programmes and budget for domestic budget allocation/appropriation.
- **Bridge 2: Government and Development Partner Connectivity:** Government and Development Partner engagement and aid coordination and management, consistent with the Paris and Busan Principles of Aid Effectiveness – this relates to how well the government and development partners engage with each other, and the government at all levels is able to coordinate, harmonize and manage development assistance (ODA and CCF), as well as ensure development partner support is aligned with NSDS goals and priorities, DRM and climate change, and environment agenda.

- **Bridge 3: Performance, Accountability, M&E Processes:** Accountability and reporting on domestic and partner resource expenditure as well as M&E of development and CC and DRM outcomes, including those related to climate change mitigation and adaption outcomes – outputs and impacts on GHG emissions and associated measures, and reduction in vulnerability and community resilience. This also includes a feedback loop.
- **Bridge 4: Enabling environment**. This is the foundation that supports and facilitates effective functioning of the 'Pillars and Bridges'. It is embedded in, and dependent on, the overall foundational capacity in-country. This relates to organisational and institutional capacity and scientific and traditional knowledge to support decision-making during the combined risk management and policy and project cycle-based decisions in the context of overarching national development challenges; M&E and reporting; and adaptive management.

FIGURE1 National System of Governance of Policies, Plans, Priorities and Finance Management for Sustainable Development and Resilience: A Pillars and Bridges Analytical Framework



Source: Adapted from Lal and Crawford (2012)

The country and function-focused 'Pillars and Bridges' Framework also helps to identify governance areas and decision-making processes that could be strengthened to increase effectiveness of the JNAP implementation.

Performance, quality and lessons learnt by countries in developing and implementing their JNAPs are assessed from the perspective of relevance, effectiveness, efficiency, impact and sustainability, as defined in Box 1.

BOX 1 Criteria used to assess JNAP development and implementation

Relevance: the extent to which the JNAP suits the stated purpose.

Effectiveness: the extent to which the JNAP addresses its key objectives.

Efficiency: efficient and effective use of resources to achieve the desired results during the development and implementation phases, including partner resources.

Impact: the effect and impact of the JNAP in coordination, collaboration, harmonisation and reduction in duplication of effort between CCA and DRM as well as integrating disaster and climate risk considerations in development efforts.

Sustainability: whether the benefits of the JNAP are likely to be sustained over time, and how is this monitored and acted upon.

Source: Based on (OECD-DAC 2013).

3

JNAP PROCESS: AN OVERVIEW

This section focuses on the rationale countries have noted for developing a JNAP, and lessons learnt during the JNAP processes in the region, including observations from other countries where an alternative path was selected to encourage CC and DRM integration.

Rationale for JNAP development

A JNAP is one element of a country's efforts to manage its national development for sustainable development and resilience. Countries (and regional partners) cite similar reasons for developing a JNAP, based on their respective practical experiences and challenges in dealing with disasters, climate change issues and development under parallel processes. These are discussed below. Table 2 summarises key reasons stated by PICs that have developed their JNAP or are at some stage of their JNAP development.

Linkages between development, risk reduction and risk management

There has been a gradual realisation of the relationship between development and risk management, after pursuing them in parallel. Traditionally, the focus of development had been on economic, social, environmental issues, and more recently on the balance across the three pillars, economic, social and environment. That is, sustainable development became the core of national development goals.

Countries have also regularly managed the effects of disasters, such as those caused by natural hazards such as cyclones, floods and storm surges. With the effects of climate change being already experienced and projected changes in climate expected to affect the frequency and/or intensity of such hazards, countries are being forced to address not only their current disaster deficits[4] but also projected adaptation deficit[5].

Pacific Island countries have taken steps to strengthen their climate change adaptation (CCA) and disaster risk management (DRM). Initially such efforts targeted the strengthening of post disaster response and management strategies, including improving their early warning systems, and the preparedness of communities to respond to and cope in times of disasters: that is, disaster management was the focus. Since the declaration of the Yokohama Strategy in 1994, and more recently the Hyogo Framework of Action (HFA) in 2004, attention has also turned towards reducing disaster risks by addressing the key root causes of vulnerability and exposure, including development conditions as underlying causes of the risks (UNISDR 2007).

Nature–based solutions (such as ecosystem management, including ridge to reef, integrated coastal zone management, and ecosystem-based adaptation, or EbA) to disaster risk reduction and climate change adaptation have also become an integral part of DRM and climate change mitigation and adaptation. Such an evolution in disaster and climate risk management reflects changes that have occurred globally.

International instruments, such as the Hyogo Framework of Action (HFA) have encouraged countries to develop their National Action Plans (NAP), for disaster risk reduction and disaster management (DRR and DM). A NAP for disaster risk management (DRM) is the key strategic instrument that outlines specific objectives and strategies for reducing risks, and managing residual disaster risks. In parallel, under the UNFCCC, climate change risk reduction and mitigation and adaptation have been the focus. The international community has, more recently, shifted its focus from mainly targeting reduction of greenhouse gas emissions by developed countries to adaptation to climate change by both developing and developed countries, in line with the provisions of the UNFCCC. The

4 Disaster (adaptation) deficit is the gap in countries ability to respond and cope with a disaster event under current prevailing disaster risks Cardona, O.-D., M. G. Ordaz, et al. (2010). "Disaster risk from a macroeconomics perspective: a metric for fiscal vulnerability evaluation." Disasters**34**(4): 1064-1083.

5 Adaptation deficit is the gap in countries ability to respond and cope with risks associated with changing climate risks Burton, I. (2005). "Adapt and thrive: Options for reducing the climate change adaptation deficit." Policy Options December 2005-January 006: 33-38.

development of strategic instruments, such as a National Adaptation Programme of Action (NAPA), has been seen as the guiding document to assist least developed countries (LDCs) and inform other countries in reducing their risks to climate change. Nationally Appropriate Mitigation Actions (NAMA) have also been promoted globally.

There is now also a global drive for all countries to develop a more comprehensive short, medium and long term National Adaptation Plan (NAP) (UNFCC COP 17 [Copenhagen] decision 5/CP.17 (http://unfccc.int/adaptation/workstreams/ national_adaptation_plans/items/7594.php).

Under the Convention on Biological Diversity (CBD) and other environmental instruments, the relevance of environment management has also been promoted to reduce disaster and climate risks as well as to mitigate GHG emissions through ecosystem management and conservation. The most recent shift in global debate about mitigation and adaption can be seen in the promotion of climate compatible and climate smart development to promote green growth, reduce carbon emissions and generate other environmental benefits (Someshwar 2008; FAO 2011; ACDI-VOCA 2012). There are also ongoing discussions about climate compatible development in the Pacific (World Bank 2012 (April)), including, for example, in the Cook Islands (Akairo Limited 2013 (Draft)).

Various policy instruments and action plans, such as NAPs, NAPAs and National Biodiversity Strategic Action Plans (NBSAPs), are often developed by Pacific countries with the assistance of regional intergovernmental agencies, SPREP and SPC. Such support has been provided through regional, and bilateral support available under the respective international instruments, HFA, UNFCCC and CBD, and bilateral and multilateral Official Development Assistance (ODA). Development partners such as AusAID, NZAID, GIZ, UNDP, UNISDR, World Bank and ADB have also been active players.

The design of NAPs and NAPAs reflect guiding principles and strategies listed in the respective regional policy instruments, such as the Pacific Disaster Risk Reduction and Disaster Management Framework for Action (referred to here as the Regional Framework for Action or RFA) and the Pacific Islands Framework of Action on Climate Change (PIFACC).

Historically, disaster risk management and climate change issues have been addressed independently of each other, and of development, by countries as well as by regional development partners. The National Disaster Management Office (NDMO), or equivalent, has coordinated disaster risk management-related initiatives; whereas climate change has usually been coordinated under the Department of Environment or, in some cases, the National Meteorological Services. Such a separation also reflects the parallel processes adopted globally and regionally, and financial and technical support provided under respective international instruments(Gero, Méheux et al. 2010; Hay 2011; Hay 2012; The World Bank 2012; UNISDR, UNDP et al. 2012).

Globally, different instruments are promoted and supported by different agencies. The HFA is coordinated by the UN Office for Disaster Risk Reduction (UNISDR), while the UNFCCC is coordinated by the UNFCCC Secretariat. In the region, SPC is mandated to support and facilitate disaster risk management, and was instrumental in supporting countries to develop the regional framework of action for DRM usually involving national disaster management offices. SPREP, on the other hand, has the primary role in coordinating and supporting climate change adaptation at the regional level, and supported the development and implementation of PIFACC. The regional instruments reflect the guiding principles and strategies of the international instruments (ie. the HFA and UNFCCC) and associated programmes of work. There are some differences between the two instruments, in particular regarding loss and damage and the application of the polluter-pays principle, and the obligation on the part of polluting developed countries to provide 'new and additional' resources to developing countries under climate change financing (see, for example, Brown, Bird et al. 2010). On the other hand, UNDP has promoted MDGs through the NSDS, or equivalent, with the World Bank encouraging a Poverty Reduction Strategy to be a central element of national development. Regionally, national development planning and financial management has been encouraged by the Pacific Island Forum Secretariat (PIFS) through the Forum Cairns Compact on Strengthening Development Coordination and the Paris (and Pacific) Principle of Aid Effectiveness (Figure 2).

With climate change, countries have been forced to deal with increased frequency and/or intensity of weather events, such as cyclones, droughts, flooding and the effects of sea level rise in the form of storm surges and coastal inundation – effects normally associated with natural disasters, and events normally addressed by national emergency services, NDMOs and by sectoral agencies. As understanding grew about the factors contributing to vulnerability and the dynamics of climate change and its effects on weather and climate conditions, countries began to realise the close relationship between development and vulnerability and the similarities in the approaches and strategies required to address climate change and other disaster risks.

INTEGRATION OF DEVELOPMENT AND RISK MANAGEMENT

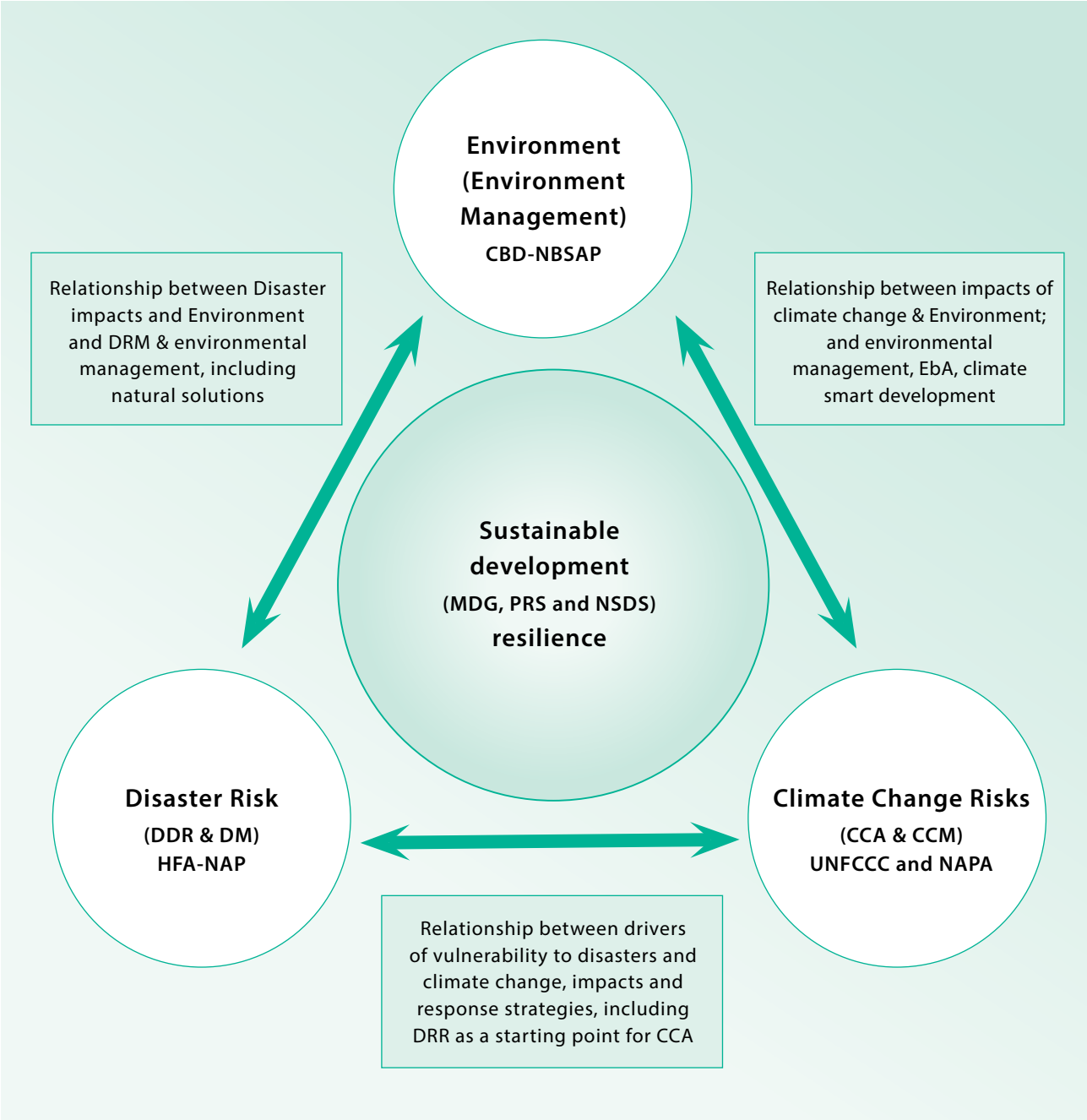
Pacific island countries acknowledge added pressures are being placed on them by climate change within their constraints of poor economic development, limited domestic resources and, in some cases, weak governance. They also realise that CCA and DRR are development issues that affect ecological, economic and social systems of their societies, and that these issues need to be addressed in the context of their national sustainable development. The link though, is not always reflected in their strategic instruments and their actions on the ground.

In response, and to embed their risk management in national development, some countries revised their national development strategies to also include disaster risk reduction, climate change adaptation and strengthening resilience as separate development goals (e.g. Government of Cook Islands 2011; Government of Vanuatu 2012 (August)). Cook Islands also have identified economic development as an integral goal in their joint national action plan (See Annex5). Some countries, such as Solomon Islands, have explicitly recognised the close relationship between development and risks, and the importance of resilience of the communities to external shocks. The government is now looking at strengthening existing development processes, by applying a resilience lens to achieve the national development goals. The government is considering involving the Ministry of Development Planning and Aid Coordination (MDPAC), in partnership with the MECDM, to coordinate this process (MECDM 2013 (April draft)).

PLETHORA OF STANDALONE POLICIES AND THE NEED TO MINIMISE DUPLICATION OF EFFORTS AND INCREASE EFFICIENCY

Countries have recognised the inefficient implementation of a plethora of standalone policy instruments and strategic actions plans that are not harmonised, such as those related to disaster risk management (National Action Plans); climate change (NAPA and climate policies), environment (NBSAPs). It is found that as a result of different funding support provided under the respective international instruments, many standalone activities were often implemented with limited coordination across agencies (for example, Cook Islands (Government of Cook Islands 2012); Tonga; (Government of Tonga 2010); and Tuvalu (Government of Tuvalu 2012 a). Stakeholders noted, ' at times there was duplication of efforts and inefficiencies in national CCA and DRM efforts, compounded by the presence of limited human resources within any one agency to adequately address such cross cutting issues'. Pacific island countries also acknowledge the added pressures on them due to limited domestic resources and, in some cases, weak governments.

FIGURE 2 The relationship between Disaster, Environment and Climate Change and Development, also showing respective guiding international and national policy instruments for responding to these issues.



Source: Adapted from Lal (2013)

SIMILARITIES IN TECHNICAL APPROACHES, INFORMATION NEEDS, CROSS DISCIPLINARY EXPERTISE, AND COLLABORATIVE GOVERNANCE RESPONSES

There is also a growing realisation and understanding, at least amongst those involved in CCA and DRM , about the similarities in the underlying determinants of vulnerabilities to natural disaster and climate risks, and challenges faced in responding to them. CC and DRM management usually involve the same implementing government agencies and have similar requirements of scientific information, technical capacity and skills. That is, disaster risk management and climate change share in common key characteristics of what has been described globally as 'wicked problems'(Rittel and Webber 1973; Commonwealth of Australia 2007). There are also similarities in the approach needed and commonality of relevant strategies required to address the underlying causes of natural disaster and climate change risks. Table 2 summarises key characteristics of 'wicked problems' that DRM, climate change and environmental management share in common and collaborative governance responses needed across all these domains.

Given such commonalities, and in an effort to reduce inefficiency, minimise duplication and increase effective use of limited resources, the idea of a JNAP was born to increase coordination and integration of the management of disaster risk and climate change (in development). While some improvements can be seen in the Cook Islands and Tonga, as discussed below, there is significant scope to increase efficiency and effectiveness of coordination of CC and DRM integration.

FUNDING IMPERATIVES FOR CC AND DRM FINANCING

> Climate change and climate risks are real challenges facing the people of Kiribati. The Government of Kiribati (GoK) therefore sees the need to have in place a JNAP (Kiribati Joint Implementation Plan) for CCA and DRR . There is also an understanding within the Government that CCA and DRR cannot be addressed separately, as addressing CCA means addressing DRR, too. The GoK needs to have its KJIP so it can talk with donors on how and for what it needs external resources.
>
> Source: Office of Te Beretitenti – response to the JNAP review questionnaire. May 2013.

While countries have accepted the need to proactively take action to reduce disaster risks, limited domestic resources allocated to disaster risk reduction, as compared with what is usually made available for post disaster management, means they realise the need to identify and secure alternative sources of resources. Countries recognise that addressing their current disaster risks is a good starting point for adapting to climate change, as advocated in the latest IPCC report(2012 b). With increasing recognition that CC and DRR challenges cannot be addressed separately, countries have an opportunity to systematically address their development and risk management challenges in an integrated manner within their national development context. Such an integrated agenda can be pursued using normal ODA as well as increasing financial resources available under global climate change financing (see http://www.adaptasiapacific.org/funds-compendium).

Countries also realise that having a government-endorsed JNAP could place them in the 'driver's seat' when it comes to engaging with development partners. Such a strategic instrument, which spells out stakeholder-based priority needs and specific initiatives identified on the basis of context-specific integrated development and risk assessments, will improve their ability to seek specific assistance, coordinate and harmonise development partner assistance towards their own national priorities. Table 3 summarises key rationales cited by countries for developing a JNAP, or equivalent.

TABLE 2 Common characteristics of 'wicked problems' – disaster, environment and climate change risks and challenges in identifying appropriate solutions.

		Challenges of defining the management issue			Challenges in identifying appropriate solution		
Issue	Characteristics	Disaster risks and vulnerability	Environmental risks and Vulnerability	Climate Change and Vulnerability	Disaster risk reduction	Environmental management	Climate risk management
Defining the issue/problem	Difficult because there are many causes and drivers across different space, time and actors	X	X	X			
Defining the scope and scale of the problem	Difficult because of the multidimensional nature of the issue and definition depends on: the perspectives of the person asking the question; disciplinary background, and experience of those looking for solutions scales, pathways of effects and interactions and interdependencies systems understanding about the relationship and interaction between and across the human/social and ecological subsystems	X	X	X			
Identifying appropriate solution or response measure	Depend on: • agency defining solutions, their thematic or sectoral mandate, and capacity • starting point and the pathways selected; • the level of understanding about the complexity of the human/socio ecological system dynamics • the understanding about how any solution, when implemented, may generate intended and unintended consequences over time, and hence may change the nature of the problem.				X	X	X
Collaboration across Government Agencies	No one government agency would have the mandate or capacity to act on their own. Response requires an effective engagement and coordinated action between and across government agencies, as the problem or the solution does not fit neatly within the responsibility of any one agency.	X	x	x	x	x	x
Collaboration between Government, private sector and communities	Government alone cannot solve the problem and take action. The decision-making process and actions require coordinated engagement and actions by a range of stakeholders, including agencies at all levels of government, non-profit organisations, private businesses, civil society groups, and individuals.	X	x	x	x	x	x
Changes in mindset, attitudes and behaviour	Solutions involve changing behaviour of stakeholders– often a difficult task in the short to medium term				x	x	x
Need to act, learn and adapt	There is no definitive solution to the problem – rather the problem and measures to address the underlying problem continually evolve and thus the need for adaptive management				x		

Source: Derived using characteristics defined in Rittel and Webber (1973)and Commonwealth of Australia (2007).

TABLE 3 Reasons stated by PICs for developing their JNAP, or equivalent.

Countries (Status of their JNAP or equivalent)	Tonga (approved)	Cook Islands (approved)	Tuvalu (approved)	Niue (awaiting endorsement)	RMI (in prep)	Nauru (in prep)	Kiribati (in prep)	Solomon Islands (in prep)
DRM and CCA as development issues	✔	✔	✔	✔	✔	✔	✔	✔
Commonality in national development goal – safety, resilience and sustainable development	✔	✔	✔	✔	✔	✔	✔	✔
Recognised similarities in the impacts and effects of natural disasters and climate change	✔	✔	✔				✔	
Recognised overlap/commonality in measures required to address DRR and CCA	✔	✔	✔	✔			✔	
Need for harmonised DRM and CCA responses	✔	✔						
Need for cooperation, coordination and collaboration between key government agencies and other stakeholders	✔	✔	✔					
Remove duplication of effort and increased efficiency	✔	✔						
Improved engagement with development partners and support for country's priority needs		✔					✔	

Source: Country consultation and country JNAPs.

Integration of CC and DRM and the JNAP Development Process

Three different pathways have been used in the region to facilitate integration of CC and DRM in development, as summarised in Table 4.

Many countries have focused on developing their JNAP strategic instrument linked to their national sustainable development strategies, NSDS, or equivalent. This was the path chosen, for example, in Cook Islands, Tonga and Tuvalu, where their JNAPs have formally been endorsed by the Government. Countries such as Kiribati, Nauru, Niue and RMI are currently developing their NSDS-linked JNAPs.

Some countries, such as Palau and Vanuatu, decided to focus on developing their governance arrangements to strengthen coordination between the activities of their national disaster management office and the agency/ focal point addressing climate change.

On the other hand, the Solomon Islands decided to focus on sectoral level mainstreaming and implementation, instead of proceeding with a national JNAP development per se.

TABLE 4 Pathways selected by countries to integrate CC and DRM and status

Country	Confirmed partners[6]	Instrument	Current Status
Cook Islands	SPC, SPREP, GoA*	Joint National Action Plan	Completed and endorsed by the government Governance structure partially established, implementation slow; SRIC-CC (an Adaptation Fund project) implementing some aspects of JNAP. EDF 10 ACP-EU Natural Disaster Facility expected to support
Tonga	SPC, SPREP, GoA*	Joint National Action Plan	PACC and other sources.
Tuvalu	SPREP, SPC, GoA*	Joint National Action Plan	Completed and endorsed by the Government. Developed with the assistance of national expert team drawn from members of externally funded project Steering Committees. Recommendation made to establish NSAPCC Steering Committee. Limited implementation as yet. Expecting EDF 10 Natural Disaster Facility to further implement the National Strategic Action Plan (NSAP) for CC and DRM
Niue	SPREP, SPC-EU, SPC, GoA*	JNAP	Completed but not endorsed due to difference between government priorities and priorities identified by the stakeholder task force. Actions being integrated into Niue Strategic Development Plan
Fiji	SPREP, UNDP, UNISDR, IFRC, SPC	JNAP	Stalled, due to changes in the position of NDMO and PS and Minister Responsible for DRM. Responsibility now rests with the Ministry of Rural and Maritime Development and National Disaster Management).
Kiribati	SPREP, UNDP, GCCA, SPC, GIZ, UNICEF, GoA*	Kiribati Joint Implementation Plan (KJIP)	KJIP development process was moved from the Ministry of Environment to the Office of the President (OB). KJIP is seen as the vehicle to integrate climate change and disaster risk across all development sectors.
RMI	SPREP, SPC, GoA*	JNAP	Draft JNAP developed with the support of SPC/SPREP. Government reconsidering implementation arrangement.
Nauru	GIZ, SPREP, SPC, EU-SPC, GoA*	Adapted RONADAPT	RONADAPT (draft NAPA developed in 2010) is being revised to integrate DRM. Due to limited capacity, there is a suggestion to have a TA to help revise the RONADAPT following 2 JNAP related workshops
Palau	SPREP, SPC, GIZ, SPC-EU	Alternative national-level pathway to DRM7CC integration	Discussions about JNAP development was held during the DRM review process in 2012. Palau is considering strengthening its governance of DRM and CC by improving coordination between NEMO (focal point for DRM) and OERC (focal point for CC)
FSM	SPC, GCCA, GIZ, SPREP, IOM	Alternative national-level pathway for integrating DRM and CC integration	Focus is on completing National DRM/CCA policy and state level action plans.
Vanuatu	EU, GIZ, WB (GFDRR), SPREP	Alternative pathway for integrating DRM and CC integration	Joint leadership of the NDMO and the Meteorological and Geo-Hazard Division to support integration of CC and DRM. Vanuatu is taking a step-wise approach. • It decided to build its legislative framework and governance arrangements for strengthening their coordination and management of DRM and CCA through a National Advisory Board (bringing together their advisory committees on DRM and CC). • Currently there are some discussions about developing their JNAP, with the assistance of EU bilateral funding.
Solomon Islands	WB (GFDRR), UNISDR, OCHA, UNDP, SPC, SPREP, GIZ, GoA*	Alternative pathway to DRM and CC integration	Solomon Islands decided to develop a Joint Framework for CC/DRM to help strengthen existing national and provincial planning and budget processes. Its focus is expected to be in terms of greater inclusion of risk considerations in the Medium Term Plan for the NDS and longer term measures, with MDPAC leading the planning process and MECDM providing technical support regarding DRM and CC integration.

As of June 7th 2013.
*Government of Australia provides support either directly to countries through their bilateral funding or through regional support to SPREP under PASAP/ PACCSAP.
Source: SPC (2013) and completed country and regional partner questionnaires under this JNAP review.

6 Note, in almost all instances, partner support has been provided through specific project level funding secured by respective CROP agencies or UN agencies, which then meant projects had their own time constraints and their availability did not always match with countries' needs at the time.

JNAP Development and Endorsement: Experiences and Lessons learnt

In all the countries that have decided to go down the path of JNAP development, intergovernmental agencies, SPREP and SPC and UNDP, as members of the core JNAP team, have actively been involved providing financial resources and technical expertise. This team has, more recently, also been supported by other development partners, such as GIZ, EU and the Government of Australia (Table 4). The JNAP development in countries largely followed the key steps outlined in the *Guide to Developing DRM National Action Plan* ((SOPAC and Partners 2009), that essentially followed a combined risk management framework and policy cycle process. Box 2 summarises the steps followed by countries in developing their JNAP.

BOX 2 JNAP Development Process: integrated risk management and policy cycle steps

1. Preparatory Phase: Political support
2. Situation analysis:
   i. Vulnerability assessment as advocated by the IPCC and under HFA (CHARM tool)for disaster risk assessment
   ii. Review of key national reports, such as First National Communication; National Capacity Self Assessment under MEAs, National Climate Change Policy; NBSAP, National Emergency Plan and Environment Management Committee
   iii. Stakeholder (government and non-government agencies, private sector, etc)
3. Problem (and root cause) analysis and solution analysis
4. Prioritisation of issues, actions and JNAP matrix identifying gaps currently not addressed under externally funded projects
5. Costing of JNAP actions
6. Writing of JNAP instrument
7. Cabinet approval

Source: Based on several sources (SOPAC and Partners 2009; Government of Tonga 2010; Government of Cook Islands 2012; Government of Tuvalu 2012 b)

Development of a JNAP can be defined in terms of inclusiveness, efficiency and joint ownership, which to a large extent depends on the process used by the agency leading the development process.

Lead Agency and Stakeholder-based Task Force

Agencies that led the JNAP development process vary across the region, reflecting existing governance arrangements in-country, capacity and the institutional home of the key champion for CC and DRM and integration. Some countries used their existing CC focal point, usually the Ministry of Environment, to coordinate their JNAP. Examples include Nauru, Niue and Tonga. In the Cook Islands, the Emergency Management Cook Islands (EMCI), which is the agency responsible for disaster risk management, took the lead in coordinating the JNAP development. In Solomon Islands, the units responsible for disaster risk management and climate change (and environment) in the Ministry for Climate Change, Environment, Disaster and Meteorology, jointly took the lead in the JNAP discussion. In Vanuatu, the Vanuatu Meteorology and Geo Hazards Department and National Disaster Management Office, under the Ministry of Climate Change and DRM, and housed in the same building, jointly coordinate CC and DRM.

The presence of key champions and which agency served as the 'lead' body in the development of a JNAP, and the level of support received from the government, influenced the efficiency with which the JNAP development can

progress. Often SPREP and SPC lay the initial foundation by identifying key champions and securing support from the highest level of government possible, such as in Tonga and Tuvalu, before starting the JNAP development processes. In Tonga, such high-level representation led to the Minister of Environment becoming an advocate and facilitated a Cabinet level decision to develop the JNAP. In Kiribati, the JNAP development is led by the Office of the President, which means there is a high level of commitment and coordination. On the other hand, in the Cook Islands, despite the decision on the part of the government to develop a JNAP, the perception in the country is that the JNAP process (see discussion below) did not have joint ownership between EMCI and the focal point for climate change during the early stages of the process, affecting its efficient finalisation (further discussed below and also see Annex 5 for more details).

In all countries, the JNAP development process is supported by an Interagency Task Force, comprising members with existing thematic and sectoral level committees in the country, including NGO and civil society representatives and women's groups. The JNAP Task Force members were usually drawn from those who have served the advisory teams established during the NAP and/or NAPA development processes and/or for preparing the First and Second Communication reports for UNFCCC. The JNAP Task Force also included members of committees coordinating national disaster management. The JNAP Task Force plays a range of duties as summarised in Box 3.

An inclusive stakeholder-based process adopted by the JNAP Task Force and supported by the best available scientific and experiential data contributed to the efficiency in JNAP development. This was the case in Tonga and Tuvalu. The use of an inclusive and transparent process by the agency leading the JNAP development also helped to ensure that key development issues, together with issues particularly critical for most vulnerable groups, including women and children, were considered; youth issues were generally not explicitly considered.

The inclusive process adopted helped increase the ownership of the JNAP instrument in countries such as Tonga and Tuvalu: ownership of the JNAP in the Cook Islands is limited as discussed below. In Tonga, the simultaneous support of champions across key levels of government – within the climate change unit, the CEO of the ministry leading the JNAP development and the Minister of MLECNR – also encouraged efficient development and government endorsement.

Scientific Data and Information sources

The stakeholder-based JNAP Task Force relied on Information about disasters, disaster risks, climate change and its effects, obtained from different sources. In some cases baseline information was manipulated by a subgroup of the JNAP Task Force and informed the stakeholder-based decisions underpinning the JNAP instrument. Box 4 summarises the types of information used by Tonga and Tuvalu in their JNAP development, including technical inputs provided by regional partners.

The breadth and depth of scientific information used varied between countries, reflecting technical information readily available and accessible in the country, the capacity of technical committees to draw such information together, and/or time and resources available from regional partners to support data and information compilation and analysis. The most common source of information was the overview reports prepared by the countries in response to their commitments to international instruments. These included Progress Reports against the HFA and RFA; First and Second National Communications under the UNFCCC; and National Self Capacity Assessment under the MEAs/CBD. Generally, climate change related technical data from IPCC AR4 was usually referred to in JNAPs with limited detailed empirical information on natural disasters.

BOX 3 Diversity of roles played by members of the JNAP Task Force during the JNAP development process

The JNAP Task Force members helped to:

- collate relevant national and sectoral policies, plans, legislation etc;
- provide access to baseline data maintained by the agency – such as weather and climate data, disaster events and impacts; gender disaggregated and geo-referenced social and economic databases; population distribution, human development conditions, such as poverty, access to water, health and sanitation;
- prepare disaster risk profiles for their sectors, including assessments of trends in weather and climate change, climate and other risks, vulnerable groups, areas and sectors, and identification of additional technical assessments required, development of TORs for external consultants;
- undertake and/or provide inputs into problem and solution analysis, and identification of key strategies, actions and sub action required to address the underlying vulnerability and development issues
- serve as the core group to make informed decisions based on interdisciplinary data and risk and risk reduction assessments during the actual mainstreaming process.

They were also expected to, post JNAP endorsement, take on board key strategies and implement them through their own medium term Corporate Plans and Business Plans and own budgetary processes.

Source: Based on several sources (SOPAC and Partners 2009; Government of Tonga 2010; Government of Cook Islands 2012; Government of Tuvalu 2012b).

Countries have generally used available data and information to undertake national and sector-level problem and solution analysis using a broad brush approach; often guided by lead and supporting regional partners. Usually broad strategies and generic actions remain the focus of detail in the JNAPs, for which general knowledge is usually sufficient.

Once the latest climate change projections became available from CSIRO and the Australian Bureau of Meteorology (BOM) produced with Australian International Climate Change Initiative (ICCAI) funding, countries now make reference to these in their JNAPs. However, there is limited reference to detailed overview data about a country's disasters, such as disaster Risk Profiles information available on, for example, the World Bank and ADB web portals. In addition to the new climate futures data, countries would also require more context specific climate impact information to inform specific actions on the ground. Such assessments are often very data intensive and require specialised technical skills. In-country institutional and technical capacity for such detailed analysis is limited and the depth and breadth of capacity varies across the region. Countries such as Nauru, Niue and Tuvalu are usually considerably challenged, whereas larger countries such as Fiji, Solomon Islands and Vanuatu have a better reservoir of technical capacity.

BOX 4 Types of documents and information compiled and referred to during their mainstreaming exercise, in addition to DRR and DM and climate change related projects in Tonga and Tuvalu

Tonga	Tuvalu
• Vulnerability Assessment on Tonga's Initial National Communication, 2005; • Climate Change Thematic Assessment Report under National Capacity Self Assessment Project, 2007; • National Climate Change Policy, 2006; • Climate Change Chapter under National Assessment Report, 2004; • Joint Community consultations on Climate Change, Biodiversity and National Capacity Self Assessment Projects, 2006; • Observed and historical climatic trends; • Future climate and sea level scenarios available from IPCC AR4; • Assessment of potential impact of disaster risks using CHARM; • Technical inputs from in-country experts • Technical input from regional organisations and other development partners	• *Kakeenga II* • *Community Governance Arrangements*, 1997. • Tuvalu National Disaster Management Plan (2010) • The National Adaptation Programme of Action (NAPA) • The UN Framework Convention on Climate Change Second National Communication (SNC) • The National Biodiversity Strategic Action Plan (NBSAP) • The UN Convention to Combat Desertification Sustainable Land Management project (SLM) and National Action Programme (NAP • Observed and historical climatic trends; • Future climate and sea level scenarios from BOM-CSIRO under PCCSP; • Technical inputs from in-country experts • Technical input from regional organisations and other development partners
Source: Government of Tonga (2010)	Source: Government of Tuvalu (2012 a)

JNAP Development: Success factors and key challenges

Identify local champions across agencies with key interest in the integration agenda, obtain support and commitment from Minister/Cabinet and establish an interagency JNAP Task Force of committed stakeholders before embarking on the JNAP development process.

JNAP development experiences in the region suggest common underlying reasons for success, whereas the reasons for delays in the development and endorsement are diverse and very country specific. The following conclusions are made on the basis of triangulated-stakeholder comments received during in-country consultations, from completed questionnaires received from countries and regional partners, and on-on-one Skype conversations with partners and key country officials. Only those factors which could be triangulated by more than one stakeholder group within a country are mentioned below.

Amongst the key factors behind efficient JNAP development and joint ownership, included:

- Ministerial and/or Cabinet level endorsement for the JNAP concept (e.g. Tonga);
- high-level Ministry support and engagement in the JNAP development (e.g. Kiribati and Tonga);
- establishment of a 'formal' JNAP development governance arrangement, with clearly identified lead agency, and supported by committed inter-agency Task Force/expert group (e.g. Kiribati, Tonga and Tuvalu); and
- presence of local champions within the government agency, as well as at the Cabinet level (e.g. Tonga).

CHALLENGES

Countries have faced significant constraints and challenges in efficiently completing their JNAP instrument, even in those countries still developing their JNAP. The underlying reasons behind key challenges are diverse, including:

- The ability of in-country partners to commit time and resources over an extended development period.

> Countries and partners need to be realistic about the level of time and resources that may be required and factor these in their initial planning and resource allocation before embarking on JNAP development.

Reasons for this constraint included the limited number of staff in each agency, with competing demands; frequent travel to regional and international meetings exacerbates this issue and puts a strain on agencies to meet their core functions, let alone engage in new initiatives such as the JNAP development. This was noted, for example, by Cook Islands, Kiribati and RMI. In the case of Nauru, it seems limited technical capacity in-country to build on an existing strategic document, such as NAPA (RoNADAPT), and to integrate CC and DRM aspects is also limited, contributing to the delays in the finalisation of the JNAP.

- Expectations on regional partners to provide greater 'hands-on' support.

> Forum Leaders and partners may wish to review funding modalities and secure programmatic support to CROP agencies for their technical backstopping role, ensuring adequate capacity and flexibility to respond to country-calls for assistance.

Regional support is needed not to only guide the country teams, but sometimes also to help write the JNAP document. Despite the presence of several agencies and partners with programmes on mainstreaming (SPREP, SPC, UNDP, SPC-GIZ and SPC-EU-GCCA), they too are often constrained by their own time-bound project funding. The respective agencies' modality of engagement and support and the project-based funding and the availability of staff to commit to the extra work do not always match the timing when countries have been able to organise their internal partners and internal support.

This suggests the need to review resourcing and the nature of funding modalities available to CROP agencies to support technical backstopping. CROP agencies may wish to address this issue when developing a Regional Technical Support Mechanism (RTSM) under the ADB-World Bank funded Strategic Program for Climate Resilience for the Pacific Region (SPCR).

At times, JNAP development itself may not be seen as a high priority in different parts of the Government, affecting their level of commitment towards completing the JNAP. In Cook Islands, for example, even though the development of JNAP was a decision of the government, EMCI took the lead building on their DRM-NAP with limited engagement of the Ministry of Environment, particularly towards the end of the process when there was a staff turnover. While the Ministry of Environment had been the CC focal point, their engagement at the time of JNAP development was somewhat constrained as CC was not formally part of the Ministry's core function. As a result, the stakeholder perception has been that JNAP development was seen as EMCI's initiative, and climate change issues were apparently (as noted by several in-country stakeholders) included as 'an afterthought'. This apparent lack of joint ownership may have been behind some delays in the finalisation of the JNAP document.

Other reasons cited for delays included:

- JNAP development may have been regarded as a partners' initiative and countries were unable to commit sufficient resources at the time (e.g. Nauru, Niue and RMI);
- difference between the priorities of the government and what stakeholders had identified (Niue);
- change in the national governance arrangement responsible for CC and/or DRM (e.g. Fiji)
- DRR and CCA are seen as disaster management and environment issues (e.g. in Fiji, UNISDR, UNDP et al (2012).

In addition, the relevance of developing a JNAP was initially questioned by government, non-government and development partners when the country already has several other policy instruments, such as NAPs, NAPAs, and/or CC Policy (e.g.in the Solomon Islands MECDM (2013 (April draft)), Vanuatu).

Benefits of JNAP development process

There is a general consensus, across all three countries with a government-endorsed JNAP, as well as by countries at various stages of development, that, notwithstanding the challenges experienced in the JNAP development phase, the JNAP-development process provides many benefits.

It helps, for example, to:

- increase understanding across stakeholders about the close relationship between disaster risk management and risks associated with climate change and its flow on effects across climate sensitive sectors in particular;
- increase understanding about the importance of development planning with climate and disaster risks in mind;
- increase understanding about the relevance and the existence of different types of data and information maintained by different arms of the Government;
- encourage close engagement and collaboration between NDMO and CC units, and line ministries, NGOs and civil society groups;
- increase interagency dialogue and rapport with likeminded people across agencies;
- bring together stakeholders at national and community (and regional) levels to share expertise, information, knowledge and resources; and
- develop institutional capacity to systematically consider current hazards as well as climate change trends in an integrated manner, recognising traditional governance and decision-making processes.

The JNAP document, as discussed below, is used by countries to guide their development and risk management efforts, particularly for which development partner support is sought. For development partners, too, the presence of a JNAP helps them to justify areas of their support to a country under their ODA as well as CCF. This could be improved, as discussed below.

REGIONAL LEVEL BENEFITS

The JNAP process has helped to strengthen the relationship between SPREP and SPC, as the two regional CROP agencies that have the carriage of CC and DRM respectively, and other partners, such as UNDP and GIZ.

There is also some evidence of increasing efficiency in the use of limited resources by partners deciding amongst themselves as to who would take the 'operational lead' to support the JNAP development in a particular country, spreading the load amongst themselves. Thus, in Tuvalu, for example it was SPREP, whereas in the Cook Islands, SPC took the lead. Such a division of labour can also be seen involving other development partners. In Nauru, for example, GIZ is taking the lead in supporting the Department of Commerce, Industry and Environment (CIE) to adapt their RoNADAPT to become their JNAP equivalent. Regardless of who takes the lead, a collaborative team approach is the principle guiding partner engagement in the JNAP development processes.

Regional partners responding as a team to country-requests help to increase the pool of resources available to support the country, overcoming resource constraints each partner may have, as well as help to reduce competition to deliver initiatives on the ground. While personal relationships built over time have particularly helped to improve JNAP partnerships, there is evidence in the region that taking such a cross-agency team approach is also generating spillover impacts. For example, in Choiseul in the Solomon Islands, SPREP, SPC, GIZ and other partners are working together to support DRM, CC and environment integration at the provincial level.

However, while the increased use of a cross-agency team is helping to improve some aspects of regional support, there is scope for further gains in efficiencies and effectiveness particularly with regards to providing the most effective technical backstopping to the countries.

From the regional intergovernmental perspective, key CROP agencies, SPREP and SPC (and perhaps also PIFS) have different sets of expertise and thus can have complementary roles to play in this agenda of CC and DRM integration in development. Efficiency in the use of limited regional-level resources could be improved through more effective team work and partnerships. In the short term, the CROP agencies, with the assistance of other partners, could proactively bring together an appropriate mix of expertise to ensure robust and technically sound integrated development and risks management planning support is provided to the countries. In the medium to longer term, CROP agencies may consider to:

- proactively develop country-specific joint strategies and programmes;
- jointly develop proposals for external funding through ODA and CCF; and
- jointly implement the programmes, putting together the best technical team to assist countries to simultaneously address development, disaster and climate risks as well as environmental objectives in support of their sustainable development and resilience goals.

To increase efficiency and effectiveness of regional technical support to countries, CROP agencies (and partners):

- ensure, in the short term, core expertise and skills are included in the regional JNAP core team, including appropriate mix of expertise and experience in CC, DRM, development, strategic planning and finance.
- consider, in the medium to longer term, proactively developing country-specific joint strategies and programs, jointly seek external funding, proactively put together the best team to assist countries to simultaneously address development, disaster and climate risks and environmental issues for sustainable development and resilience.

The adoption of such an approach would no doubt build on efforts already underway to strengthen inter-CROP collaboration through the CROP Working Committee on Climate Change, and extend it to also include disaster risk management agenda. Such an expanded focus could be formalised through CROP Heads to encourage the agencies to explicitly develop appropriate operational modalities.

Is a JNAP for CC and DRM needed?

Based on the experience so far, several countries and partners in the region asked whether JNAP development is the best pathway to follow in each PIC. That is, does the one size fit all?

There is no simple answer to this question. What is considered to be an appropriate pathway to follow by a country would depend on several country-specific conditions. These may include, for example:

- Are climate and disaster risks explicitly identified as a challenge and thus is there a specific goal about risk management and resilience reflected in the country's NSDS, or equivalent?
- Is CC and DRM more than just a political issue? That is, is the Government committed, and placing a high priority, to taking the steps to operationalise in an integrated manner, international and regional instruments, and bring about the necessary organisation and decision-making reforms required to support the integration agenda?
- Does the country already have key policy instruments, such as a NAP, NAPA, CC Policy and other such instruments that reflect a 'whole of country' approach to DRM and CC risk management?
- Is there a good working relationship between CC and DRM officers in the country and do they already jointly support the implementation of the principles of NAP and NAPAs at the sector level, regardless of the legislative mandate?
- Is there a good understanding across all levels of government and NGOs about the relationship between DRR and CCA, and the relevance of simultaneously addressing risk and development in an integrated manner?

That is, if, for example, CC and DRM officers have a close working relationship, an understanding of each other's field of work, and mutual recognition of similarities in the underlying principles, strategies and actions advocated under their respective instruments (such as a NAP, NAPA, CC Policy), a country may decide not to pursue a national level JNAP. Instead, the CC and DRM officers may jointly decide to go straight to the sector/sub national level to increase their understanding and assist them to mainstream CC and DRM issues and develop appropriate prioritised action plans. This was the conclusion in Solomon Islands, for example (Box 5).

On the other hand, if the in-country understanding about the relevance of CC and DRM integration agenda is limited, rapport between CC and DRM officers is weak, and existing cross agency collaboration is limited, a JNAP development process could serve a useful role as noted above.

BOX 5 JNAP and Solomon Island's decision

The MECDM and development partners held a stakeholder based workshop to review their DRM and CC efforts and to identify the best path forward, including if developing another instrument such as a JNAP was required.

They decided not to develop a JNAP instrument that only made reference to the NDS. A more integrated risk planning was required. They decided to create a National Framework for Resilient Development to help strengthen existing development processes. This was to be done by applying a resilient lens to achievement of the NDS objectives.

The Strategic Framework will identify key climate change and disaster risks that are likely to undermine the achievement of the NDS objectives and identify approaches to reduce these risks. They decided to focus on strengthening risks assessment and integrating this into planning. To give effect to this, SI has also tentatively decided that the process of mainstreaming at the provincial and sectoral level may best be coordinated by the Ministry of Planning and Finance in partnership with MECDM: Ministry of Development Planning and Aid Coordination (MDPAC) staff are likely to have greater experience in strategic planning processes.

Source: MECDM (2013 (April draft)); and country consultation over Skype.

A question then arises: 'is JNAP development the best pathway to achieve close collaboration and coordination of CC and DRM activities towards CC and DRM integration in development?'

It is possible that a country may decide that development of a JNAP may not be a critical first step for them, particularly when their existing NAP has already incorporated key elements of climate risk management, or if the NAPA already includes key elements of DRM. Instead countries could decide to strengthen their coordination and governance mechanism for integrated CC and DRM and develop their policy before embarking on JNAP development. This is, for example, the path that Vanuatu, and to some extent, Palau, chose. Box 6 summarises key elements of such an approach in Vanuatu (Government of Vanuatu 2011 (draft)). It is noted that the governance path chosen by Vanuatu to establish the National Adaptation Board (NAB) as the overarching governance body to provide policy advice, supported by a Secretariat comprising CC and DRM expertise, is similar to the governance arrangement that evolved for the JNAP implementation in Tonga (as discussed below).

Thus, before a country decides to go down the JNAP development path, it may be prudent to assess if a minimal set of conditions are in place to efficiently and cost-effectively develop and endorse their JNAP. Questions such as the following, to be collectively asked by government and other stakeholders, could help in such an assessment, as was done in the Solomon Islands (MECDM 2013 (April draft)):

- who in the country is asking for its development and why;

Before a country decides to develop their JNAP, it may be prudent to assess if this is the best path to follow and assessing if a minimal set of conditions are in place to efficiently and cost effectively develop and endorse their JNAP.

- is developing the JNAP instrument the best pathway for addressing those needs;
- is there an alternative pathway that the country may choose, particularly when the country already has other key policy instruments, such as NAP, NAPA, CC Policy, DRM Policy and there is already a good working relationship between CC and DRM officers particularly;
- who are the relevant local champions, in key line ministries to drive the process; and
- what preparatory steps need to be undertaken before the country/ partners decide, if and, to develop their JNAP.

BOX 6 Vanuatu's approach to DRM and CC coordination and development

1. The Government decided to form a single national advisory board (NAB) that jointly considers Disaster Risk Management and Climate Change issues. This board would effectively merge the existing NACCC and the NTF. Members of the NAB will be officially appointed and have their roles and duties formally integrated into their job descriptions.
2. The defined roles of the NAB include acting as Vanuatu's supreme policy making and advisory body for all disaster risk reduction and climate change programs, projects, initiatives and activities; and advising, guiding and coordinating the development of national CC and DRR financing processes.
3. NAB will be supported by Technical Working Groups on specific themes; and a fully staffed Project Management Unit (PMU) under the Vanuatu Meteorological and Geohazards Department, which will formally and fully provide Secretariat functions to the NAB.
4. PMU's role will include:
   a. Strategic Governance and Policy
   b. Technical Advice, Project Monitoring and Coordination
   c. Project Management – Financing, Procurement and Administration

Source: Various (Government of Vanuatu 2011 (draft); Government of Vanuatu 2012; Government of Vanuatu 2013).

JNAP development – Integrated development and risk management paradigm

JNAP development in all countries reflects the recognition, albeit implicitly, of the complex relationship between development, disaster and climate risks and the role of environment in both development and risk management.

The impacts of natural and human induced hazards on human wellbeing depend on, for example, the two-way relationship: between disaster and environmental conditions that influence human livelihoods; between climate change and its impact on climate extremes influencing hazards and their impact and sustainability of development outcomes; between the health of environment and the effects of climate change and disasters; as well as on a complex web of interaction between environment, climate change, disaster and development status that influence sustainable development and resilience. These relationships are briefly explained in Annex 3 and summarised in Figure 2.

They all have strategies aimed at addressing underlying causes of vulnerability (such as, lack of adequate water and sanitation; the use of hard and soft ecosystem-based solutions (like coastal zone management, integrated catchment management, and/or mangrove rehabilitation); and disaster management measures (such as early warning systems and preparedness and capacity to respond to disaster events). Cook Islands also explicitly recognise the importance of economic development as a strategy for reducing disaster and climate risks. On the other hand, countries such as Cook Islands, RMI, Tonga and Tuvalu explicitly recognise the relationship between energy security for reducing risks as well as addressing climate change mitigation goals. The inclusion of such strategies are emphasised by the respective international and regional instruments.

Develop a basic understanding amongst all levels of government and NGOs regarding the relationship between disaster, environment and climate change and their effects on sustainable development and resilience.

Guide integration of CC, DRM and development, blending principles and strategies advocated in key international and regional instruments.

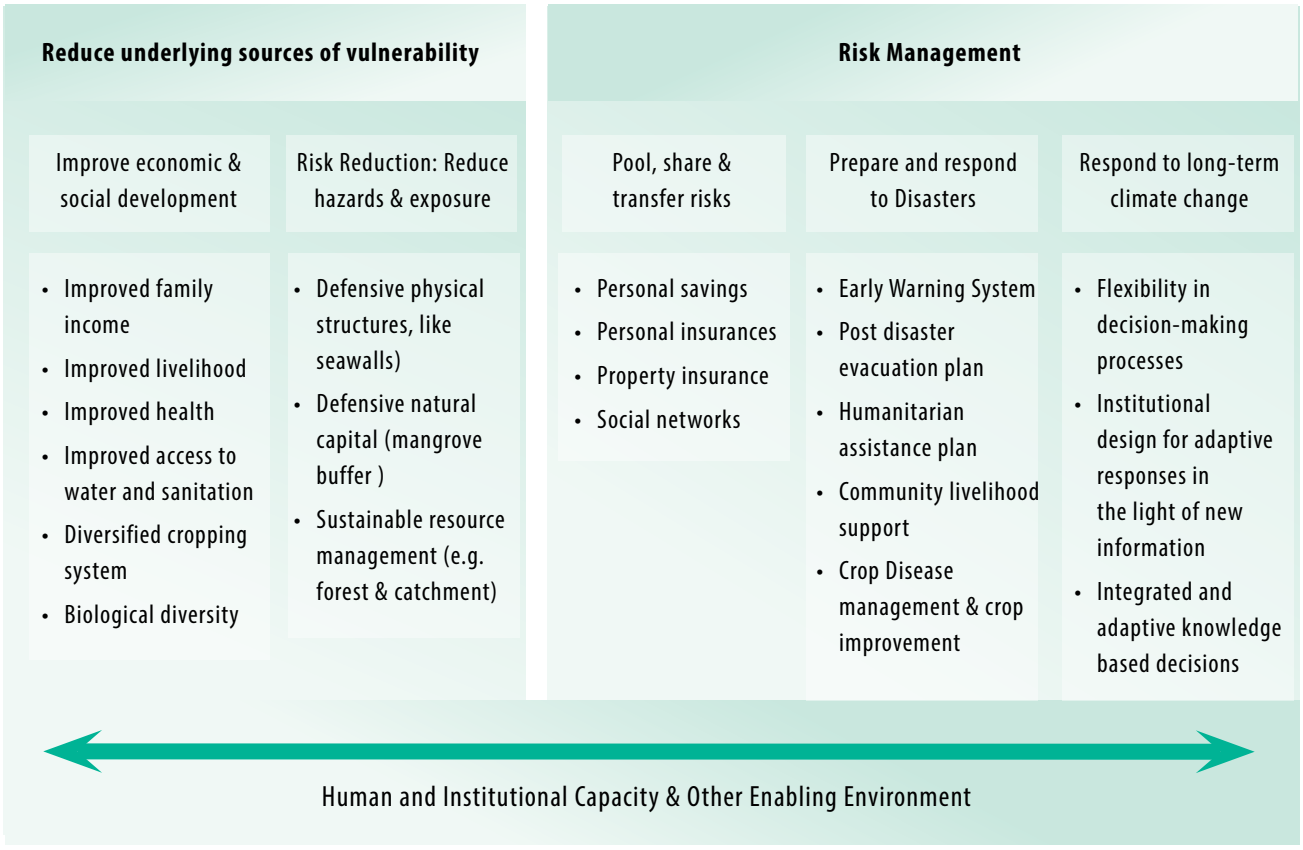
The countries recognise the relevance of a range of strategies required to address the challenges of development and risk management, guided by international and regional instruments. There is the need to blend such instruments together to guide their development and risk management efforts in a practical manner. That is, principles and strategies, advocated for climate change (UNFCCC, PIFACC and NAPAs), disaster risk management (HFA, RFA-DRM, NAP), environment management (CBD, NBSAP and other environmental instruments) and development (MDGs, NSDPs), need to be brought together so they can be simultaneously considered at the time of developing on-the-ground initiatives targeting vulnerable communities.

Such blending of principles and strategies at the strategic level will help not only to understand the interactions between development, disaster and climate risks, and environment but to also develop effective outcome-focused sectoral and community-based plans for implementation. When such an integrated approach is adopted, a spectrum of response measures will be considered (see Box 7). These would include normal development efforts that address underlying causes of vulnerability – such as poverty and lack of adequate water and sanitation. It would include also measures that reduce exposure and risks, such as hard and soft ecosystem-based solutions, disaster management measures, such as early warning systems and preparedness and capacity to respond to disaster events. It may also include specific measures that address new sources of climate risks. That is, once such an understanding becomes common, countries would explicitly also consider climate smart/compatible development that encouraged reduction in GHG emissions, increased carbon sequestration and the use of renewable energy (Someshwar 2008; FAO 2011; ACDI-VOCA 2012)(Mitchell and Maxwell 2010; World Bank 2012 (April)). Environment based solutions will also be an integral part of the development and risk management strategies and actions.

A recent policy review conducted under the Strengthening the Resilience of Our Islands and Our Communities to Climate Change (SRIC-CC) in the Cook Islands also advocates for the Government to blend the paradigm of climate, disaster and development within a single framework to formalise the direction set by the NSDP, establish linkages between the JNAP and the Renewable Energy Chart, and provide entry points for other policies and plans as they are developed, or reviewed and adopted (Akairo Limited 2013 (Draft)).

While some aspects of such an approach are implicit in various JNAPs, the underlying thinking is not fully embedded in either the JNAP, nor in sectoral plans where they exist, or when identifying on-the-ground actions. As mentioned above, Cooks Islands, for example, includes a Strategic Area on economic development. The Tongan JNAP includes a goal on renewable energy. All JNAPs include Strategies to address water and related health issues, strategies that target resource and environmental issues. However, other than in the Ministry of Infrastructure in both the countries, integration of CC and DRM in development has not explicitly been pursued.

BOX 7 Spectrum of Development, DRR, DRM CCA and environmental measures of relevance in an integrated] development and risk management



Source: Based on McGray et al (2007), IPCC-SREX Lal, Mitchell et al 2012 and Lal (2012)

In summary, the capacity to effectively address the underlying Goal of JNAP, that is integration of CC and DRM in development for sustainable development and resilience, could be further improved by:

- adopting an integrated development and risk management paradigm which reflects amalgamation of paradigms and principles behind development, climate and disaster risk management and environmental management; and
- recognising the relevance of considering response measures across the whole spectrum of development-risk reduction-risk management continuum.

> Explicitly consider the inextricable link between development, environment and risk management, and simultaneously consider climate change and disaster risk management and development issues, as well as consider a spectrum of measures that targets sustainable development and resilience goals.

A combined risk management and development framework could help to simultaneously consider development and risk management challenges when developing policy instruments, plans and programmes/ projects (OECD 2009; Olhoff and Schaer 2010). Such an approach will also help to achieve a balance across development objectives. Some of these development objectives may be incompatible with each other in a particular context and a decision may need to be made as to which objective will be given priority. In other cases tradeoffs may need to be made, choosing options that provide win-win solutions. To encourage the adoption of such an integrated approach to sectoral planning and programming, a basic understanding about the issues and technical capacity would be strengthened across the region.

JNAP Instrument Structure

The structure of a JNAP is similar across the region, reflecting the use of the only mainstreaming guide available in the region (SOPAC 2009) and the fact that JNAPs draw on the regional frameworks of action for DRR and DM (SOPAC 2005) and/or climate change (SPREP 2011). They include a JNAP matrix of goals, strategies/actions and sub actions; Indicative Costing under each goal and a Governance Arrangement for the implementation of JNAP.

There are also significant differences, which are discussed next, in relation to a JNAP Matrix and Governance arrangements identified in the JNAP instruments.

JNAP Matrix

Principles of strategic planning and logical framework (log frame) guided the JNAP instrument, with all the three countries producing a JNAP matrix – similar to a log frame to list their goals, strategies, actions, sub actions, lead agencies and partner agencies. However, they differ in the way these are presented, particularly the way in which the high level goals are presented in the matrix.

Tonga, for example, presents its high level 'Goals' followed by 'Actions' and 'Sub actions'; and objectives, rationale and outcomes are listed as explanatory text. Cook Islands, on the other hand, talks about overarching Strategic Areas, followed by specific 'Strategies' and then 'Actions' and 'Sub actions'. In most cases specific strategies and actions have some semblance of what are listed in the two regional frameworks of actions (Table 5).

However, when one looks at these closely the exact relationships are at times difficult to identify. For example, strategies and action listed under Goal 3 in Tonga's JNAP can be related to several different goals in RFA/PIFACC. On the other hand, in the Cook Islands JNAP, capacity development is not mentioned as a 'Strategic Area' but listed as 'Action' under the Strategic Area 1 (Governance) and Strategic Area 3 (Disaster Risk Management and CCA).

CI JNAP includes a strategy to strengthen economic development and livelihoods for increasing resilience to DR and climate change under its Strategic Goal 4, *Risk Reduction and Climate Change Adaptation*. The explicit inclusion of such a strategy is a first in the region. The inclusion of a strategy to improve economic development and livelihood implicitly acknowledges that improving economic wellbeing and livelihoods is an integral part of risk reduction and adaptation to climate change, as advocated in, for example, the latest IPCC-SREX report (Lal, Mitchell et al. 2012; IPCC 2012 b). It also suggests an implicit adoption of an integrated development and risk management approach, at least during the JNAP development phase. In addition to DRR and DM issues and CCA, Cook Islands also include a goal on Energy Security, recognising that climate change issues relate to both mitigation and adaptation. Tuvalu, like Tonga and the draft RMI JNAP, also has a goal on energy security and a low carbon future.

The current draft JNAPs and completed JNAPs include actions that deal with resource and environment management. This reflects an implicit recognition of ecosystem-based solutions, too, as a basis for DRR and CCA, advocated globally (UNEP 2009; CBD-COP 10 2010). However, such thinking is not explicitly described in the JNAP instrument.

The JNAP matrices for the Cook Islands and Tonga do not fully reflect an outcome-focused strategic planning. The Tongan JNAP however, does mention outcomes under the respective goal, but the linkages between goals, strategies and actions are not always clear. This is the same in the Cook Islands, where the higher level Strategic Areas do not have the associated outcome listed, although there are outcomes listed for specific strategies under the Strategic Area. Under the Strategic Area 2, *Monitoring* no specific outcomes are listed. However, under one of its strategies, **'Document and promote traditional knowledge and coping mechanism',** an outcome is listed as 'locally relevant risk management and climate change adaptation activities', and with an action on 'use traditional knowledge and coping strategies to inform the design of DRR and CCA' (p 26). While the intent is apparent, the potential outcome is embedded in the description of the action.

Such a disconnect is not unique to JNAPs. It can also be found in many other strategic instruments, such as DRR and DM NAP and Climate Change Policies in the region supported by regional partners (Lal 2012 (October)).

TABLE 5 Comparison of RFA, PIFACC and Tonga and Cook Island's JNAP matrix content.

Theme	RFA on DRR and DM	PIFACC	Tongan JNAP	Cook Islands JNAP
Governance	**Theme 1**: Governance: Organisational, Institutional, Policy and Decision-making Frameworks	**Goal 2:** Governance and decision-making	**Goal 1**: Improved Governance Objective 1: Develop enabling policy and capacity for increased consideration of CC and DRR in planning and decision-making Objective 2 Strengthen institutional capacity in management of DRM and CC in 4 priority islands	**Strategic Area 1: Governance** **Strategy 1: Strengthen governance arrangement for DRM and CCA** **Strategy 2: Mainstreaming natural hazards and CC consideration in national planning and budgetary process**
Knowledge (technical and traditional)	**Theme 2**: Knowledge, Information, Public Awareness and Education	**Goal 3**:Improving understanding of climate change	**Goal 2:** Enhanced Technical Knowledge, Education and awareness Objective1: Improve science and technical knowledge Objective 2: Increase relevant education and community awareness Objective 3: Strengthen evidence-based decision and policy making	**Strategic Area 2: Monitoring** **Strategy 1: Monitor and assess risks and vulnerability** **Strategy 2: Document traditional knowledge and coping mechanism**
Context specific analysis of hazards, vulnerabilities and elements at risks	**Theme 3**: Analysis and Evaluation of Hazards, Vulnerabilities and Elements of Risk	**Goal 3:** Improving understanding of climate change	**Goal 3:** Analysis and assessment of vulnerability No relevant objectives	**Strategic Area 2: Monitoring** **Strategy 1: Monitor and assess risks and vulnerability**
Disaster risk reduction/ Adaptation action	**Theme 5**: Reduction of Underlying Risk Factors	**Goal 1:** Implementing tangible, on-ground adaptation measures	**Goal 3:** Analysis and assessment of vulnerability to climate impacts and Disaster risks. Objectives 1-2; 4-5 implement appropriate water, health, livelihood, coastal, fisheries and coral reef management Objective 3: improve community based capacity in V&A Objective 4: strengthen capacity for EIA and enforcement	**Strategic Area 4: Risk Reduction and CCA** **Strategy 1: strengthen infrastructure, including proofing against current and anticipated climate** **Strategy 2: Strengthen economic development and livelihoods for increasing resilience to DR and climate change**
Treating economic development as a response measure for building resilience to DR and CC				**Strategic Area 4: Risk Reduction and CCA** **Strategy 2: Strengthen economic development and livelihoods for increasing resilience to DR and climate change**
Disaster management	**Theme 4**: Planning for Preparedness, Response, and Recovery		**Goal 4**: Enhanced Community Preparedness and resilience to impacts of all disasters Objectives 4 and 5: Strengthen weather monitoring networks and forecasting and EWS	**Strategic Area 3: Disaster Management and CCA** **Strategy 1: Strengthening preparedness, response and EWS**
Mitigation of GHG		**Goal 5:** Mitigation of global greenhouse gas emissions	**Goal 5:** Affordable, environmentally friendly energy security for sustainable development Objective 1: 100% reduction in GHG emissions Objective 2: improve energy security	Mitigation as a theme is not directly included in the Matrix. Although an action to reduce fossil fuel and replace with renewable energy is listed under a strategy on strengthening energy transportation and storage systems to reduce risks (Strategic Area)

Partnership		**Goal 6**: Partnership and cooperation	**Goal 6:** Strong Partnerships and collaboration within Government agencies, civil societies, NGOs, and private sector	**Covered as one of the principles guiding implementation**
Education and Capacity Development	**Theme 2**: Knowledge, Information, Public Awareness and Education	**Goal 4**: Education, training and awareness	**Goal 2:** Enhanced Technical Knowledge, Education and awareness Objective 3: Increased national capacity for CCA and DRM	**Mentioned as actions under Strategic areas 1 and 3** **Action under Strategic Area 1:** Strengthen capacity of government agencies, Island Councils and NGOs **Action under Strategic Area 3:** • to provide emergency health services and manage hazardous substances

The weak connection between goals/outcomes, strategies, actions/outputs may reflect a broader gap in capacity in strategic sector level planning in-country as well as perhaps the mix of expertise available to development partners supporting countries. The World Bank and the Pacific Financial Technical Assistance Centre of the International Monetary Fund (PFTAC/IMF) in its 2013 review of Public Financial Management (PFM) identified several key challenges, including the issue of plans being inadequate to inform budget development.

Having clarity about the relationship between outcomes, strategies and actions can help countries develop an appropriately sequenced set of activities, identify relevant interagency collaborations, and identify individual and collaborative components of their multiyear agency budgets. Similarly, having an explicit line of sight between **'Goal'/'S**trategic Area', **'S**trategies' and **'A**ctions' and **'S**ub actions' can help agencies when they negotiate project proposals for funding. Such clarity will also help countries to develop an appropriate M&E system, including SMART (specific, measurable, attainable, relevant and time bound), for the JNAP coordination and implementation.

All three completed JNAPs make reference to an M&E framework and Communications Strategy to be developed once the JNAP is implemented. However, neither the Cook Islands nor Tonga have effectively addressed these, as yet. As noted by the OECD, it is important to clearly differentiate between (goals) outcomes, outputs and activities and to have an M&E system with a clear set of M&E indicators and baseline information to compare performance and make changes in responses over time (OECD 2012).

Build capacity in strategic planning including understanding about the difference between policies, goals/objectives, and strategies. Foster action plans that are outcome- focused and prioritised with a robust M&E System.

4

JNAP IMPLEMENTATION – EXPERIENCES FROM COOK ISLANDS AND TONGA

While it has been less than three years since the commencement of the JNAP process in the region, some lessons can be identified from the experiences of the Cook Islands and Tonga. Tuvalu's progress with their implementation has been slow due largely to capacity and time constraints, with only a few members within the government having carriage of this and often competing demands made on them, including regular duty travel. Such constraints are likely to be observed in many small island developing states with a limited work force; an issue that needs to be considered when identifying key milestones and deliverables under the JNAP.

Key findings are highlighted below with detailed assessments of the implementation of JNAP in the Cook Islands and Tonga provided in Annex 4 and 5.

Recognition of JNAP as a key national guiding instrument

The JNAP instrument in both the countries is intended to guide the development and implementation of integrated DRM and CC-in-development projects. While development partners use the JNAP in both countries as their guiding document, key differences in the way JNAP is treated in the two countries are observed.

In Tonga, the JNAP is widely recognised as the document that summarises the countries priorities regarding disaster risk and climate change management. The JNAP has a high profile within the Government, amongst NGOs and partners. Implementing Ministries and NGOs alike make reference to JNAP in their project proposals, particularly for climate change-related projects that have dominated partner support. Thus, one can find a list of projects in Tonga that are clearly articulated as those related to specific JNAP goals, and articulating responsible implementing agency together with supporting partners (Table 6).

In the Cook Islands, on the other hand, the JNAP does not have a similar high profile. JNAP implementation is generally regarded as 'too little or slow'. This could be because many projects listed as 'Actions' or 'Sub actions' in the JNAP were already at various stages of development. Consequently, JNAP implementation is seen by some as 'not by design'.

One of the key reasons for the difference between Tonga and the Cook Islands in the perceived ownership and profile of JNAP and the different pace of implementation could be the difference in of the JNAP Governance arrangement in the two countries and the approach taken for DRM and CC integration: particularly in the absence of an agreed Implementation Plan.

National System of CC and DRM and Sustainable Development and Resilience

The JNAP is a means to an end, and the end is development and resilience outcomes. The outcomes are to be generated through activities facilitated through the national system of DR and climate change management within a national development context (Box 8 defines key elements of such a national system).

From a functional perspective, the national system of DRM and CC management comprises national sustainable development plans, NSDS, integrated disaster risk and climate change risk management plans, JNAP, finance management, and how these are linked together through organisational arrangements and stakeholder-based decision-making processes, as well as the underlying enabling environment of knowledge, capacity and legislative frameworks (summarised as 'Pillars and Bridges in Figure 1 above).

Box 8 Key elements of a National System of Climate Change and Disaster Risk Management

National systems are at the core of countries' capacity to meet the challenges of observed and projected trends in exposure, vulnerability, and weather and climate extremes [and due to other causes of natural disaster]. It also notes that an effective national system comprises multiple actors from national and sub-national governments, private sector, research bodies, and civil society, including community-based organizations, playing differential but complementary roles to manage risk according to their accepted functions and capacities. In a national system, different stakeholders and actors work in partnership across temporal, spatial, administrative, and social scales, supported by relevant scientific and traditional knowledge.

Source: Lal, Mitchell et al (2012)and IPCC (2012 b).

TABLE 6 Examples of projects that are clearly listed as JNAP activities and those that are related to JNAP in Tonga.

Project Title	JNAP Goals (and sector/ area targeted)	Budget	Funding Source (Implementing Agency)	Responsible Government Agency	Other in-country partners
Projects with specific reference to JNAP					
ACP-EU Natural Disaster Facility, 2009-2013	Post disaster management governance (Goal 1); training in counselling; health risk assessment (Goal 2); emergency relief supplies (Goal 4)	€1.868 million	Regional (SPC-SOPAC)	NEMO, MECC	Line ministries, including MoH, MEWAC, TRC
International Climate Change Adaptation Initiative (ICCAI) 2011-2013	Establishment of the JNAP Secretariat (Goal 1); groundwater and coastal zone-resilience and preparedness to disasters(Goal 4)	AUD $2 million	Australian bilateral program (ICCAI)	MECC	MoW
PACC + (UNDP through SPREP-UNDP)	Water resource and coastal management on Tongatapu (Goal 4)		Australian PASAP through UNDP(SPREP)		
AusAID funding through ADB	Climate change financing (Goal 1);	AUD $4 million	Australia multilateral (ADB)	MFEM and MLECNR	
Strategic Program for Climate Resilience (SPCR) under the Pilot Program on Climate Resilience(PPCR)	CCA projects in the marine, agriculture, coastal, sectors(Goal 4)	$5 million		MFEM and MEECNR/ JNAP Secretariat	Works, Marine, MoH; Tonga Trust; Agriculture
Pacific Adaptation Strategy Assistance Program (PASAP)	LIDAR survey(Goal 2) Lifuka coastal (Goal 4)	Regional Funding: AUD $ 12million AUD 562000	Australia-DCCEE through SPC/others	MLECNR	
Pacific Climate Change Science Program (PCCSP) under ICCAI	Climate Change Science and CC and SLR forecast (Goal 2)	Regional funding: $20 m	Australia-DCCEE Through CSIRO and BOM	MLECNR, TMS	
EU-SPC Global Climate Change Alliance: 2011-2014	Coastal protection measures in Hahake and Kolonga (Goal 4)	€ 500,000	Regional through SPC	MLECNR	

Project Title	JNAP Goals (and sector/ area targeted)	Budget	Funding Source (Implementing Agency)	Responsible Government Agency	Other in-country partners
JNAP CC projects under development					
Tefisi Community Based CCA	Coastal erosion (Goal 4)	USD$1 million	JICA	MLECNR	
Enhanced resilience of communities of Tonga to CC though living with sea framework for groundwater and shore line protection (3 years stating 2012/13?)	Coastal erosion, groundwater pollution; and shoreline protection (Goal 4)	USD $6.8 million	Adaptation Fund (UNDP)		
Tonga Meteorology Service	Strengthening Meteorological Services (Goal 1) Communication and Preparedness and resilience to impacts of disasters (Goal 4)	USD$1 million	ACP-EU GFDRR	TMS, MLECNR	
Ridge-to-reef Project	Biodiversity, Marine, SLM (Goal 4)	?	GEF-UNDP (several)		
Related to JNAP Goals (these were initiated before the JNAP instrument was developed/ finalised)					
Pacific Adaptation to Climate Change (PACC)- Tonga 2008-2014	Water resource management; coastal management; and infrastructure; food security (Goal 4)	USD$ 750,000	GEF-UNDP (SPREP)	MLECNR	
GIZ Land based activities and mainstreaming (2009-2015)	CCA policies in agriculture, forestry, land use planning (Goal 1)	€ 4.2 million for Vanuatu, Tonga, Fiji	GIZ through SPC	MLECNR, MAFF, Ministry of Education	
Sustainable Land Management	Land management and Ecosystem based services (Goal 4)	USD $ 1million	GEF-UNDP	MLECNR	
MESCAL 2009-2013	EbA, nature based solutions (Goal 4)	USD$350,000	BMU(IUCN)	MLECNR	
Small Grant Projects	Several			Civil Society Forum	

Source: Tongan JNAP Secretariat, personal communication. May 2013

The Cook Islands and Tonga both identified a two-tier governance arrangement for NSDS-linked JNAP governance, and implementation carried out by line ministries, NGOs and civil society groups. Table 7 compares the JNAP governance arrangement in the two countries. Key aspects of the CC and DRM governance are discussed below to highlight the similarities and differences; details can be found in the respective case studies (Annex 4 and 5).Their experiences suggest that the robustness of their 'Pillars and Bridges' governance system and the availability of dedicated resources to facilitate the cross agency coordination influence the effectiveness of JNAP implementation.

TABLE 7 Comparison of JNAP Implementation Governance Arrangement

Activity	Tonga (as operational today)	Cook Islands
JNAP Implementation	JNAP Task Force (Technical Committee) to, include: • Assist ministries to integrate JNAP action into Corporate/ Annual Plans; • Develop project profiles to facilitate external funding • Develop M&E system, provide regular reporting upwards • Participate in advocacy for JNAP internally and externally	JNAP Project Management Committee (JNAP-PNC) as a subcommittee of National Disaster Risk Management Council, changed to become National Disaster Risk Management and Climate Change Council (NDRMCCC) to: • Provide operational oversight of implementation, and support of JNAP actions into MTBF, and annual work/ business plan and budget • Develop and implement M&E framework • Capture lessons learnt in on-going implementation of JNAP, and of DRM and CCA activities
Dedicated Coordinating Unit/ Secretariat for JNAP Implementation	3-person Secretariat funded under AusAID	Joint CCCI and EMCI; EMCI identified as lead institution to coordinate implementation of JNAP; Coordination of JNAP implementation also listed as a strategic function under CCCI's Budget Plan 2012-15.
Report upwards	To Parliamentary Standing Committee on Environment Through Ministry of Land, Environment, Climate Change and Natural Resources (MLECNR)	To NDRMCCC
Supporting stakeholder-based Committee	JNAP Task Force (Technical Committee)	DRM and CC National Platform, which a transformed Country Climate Change Team to include DRM mandates Serve as coordination mechanism to ensure multi-stakeholder collaboration and coordination Foster enabling environment for developing culture of prevention Facilitate integration of DRM and CCA into national policies, planning and programs
Institutional Leadership for JNAP Implementation and coordination to realise effectiveness and efficiency	JNAP-TCS	EMCI (in collaboration with CCCI)
Linkages with CCA programs represented in JNAP	CC and Environment Division, MLECNR	CCCI in the Office of the Prime Minister
Linkage with DRM	NEMO under the Ministry of Infrastructure	EMCI under the Office of the Prime Minister (but housed in a separate Building with Police)
Source	Government of Tonga (2010); and country consultation, June 2013.	Government of Cook Islands (2012); and country consultation, May 2013.

TONGAN'S JNAP GOVERNANCE

Tongan JNAP governance comprises:

- a combined forum bringing together the National Environment Coordinating Committee (NECC) and National Emergency Management Committee (NEMC) to oversee/provide policy and high level coordination for JNAP implementation.
- an Interdisciplinary Task Force (commonly referred to as the JNAP Technical Committee, JNAP-TC), to monitor and report on the progress of JNAP implementation, funding plan and challenges faced; and report to the Cabinet in consultation with the joint NECC-NEMC about JNAP implementation.

The governance arrangement called for a Secretariat to be provided jointly by MLECNR and NEMO to support the JNAP Technical Committee (JNAP-TC). During the JNAP Implementation, a JNAP Secretariat was established with financial support from AusAID; a Secretariat with dedicated staff was not identified in the approved JNAP document.

The establishment of the 3-person JNAP Secretariat provides a focal point for activities identified for JNAP Technical Committee, and is largely seen to be one of the key contributing factors for the successful coordination of JNAP in Tonga. While the role of the Secretariat was not formally defined at the time of its establishment, it took on various activities as and when a need arose. The JNAP-TCS undertook activities, such as:

- Advocated for the integration of CC and DRM issues, as per the JNAP, in various sectoral/line ministries;
- Facilitated engagement of different stakeholders – government agencies and different NGOs when considering external climate change-related funding opportunities, such as EDF 10, USAID; ADB PPCR and UNDP Pacific Resilience Project;
- Coordinated inputs from Government and NGO stakeholders in the design of mainly climate change related projects implemented by respective sectoral ministries/departments;
- Developed communication programs in the form of radio and TV materials to reach the wider audience; and
- Supported the establishment of a National Climate Change Trust Fund under the ADB's PPCR Project.

The relationship between the JNAP-TCS and the JNAP Technical Committee, and upwards to the Cabinet and Parliament, is strong, with the CEO and the Minister for MLECNR providing the conduit through which the JNAP related activities are reported upwards. Line Ministries and NGOs report on their progress to the JNAP-TC; albeit orally. The JNAP-TCS, through the CEO of MLECNR then regularly updates the Parliamentary Standing Committee on Climate Change and Environment and to the Cabinet (see Figure 3 in Annex 4). With strong support from the CEO and the Minister for MLECNR, the JNAP Secretariat is able to perform its functions relatively effectively; the Joint Platform meetings are though irregular and called when there are specific issues to be discussed or there is interest in supporting a climate change related project/program.

- The Tongan JNAP Secretariat, however, does face some key challenges, which affects its effectiveness in encouraging integrated CC and DRM issues in development. Its effectiveness can be increased further by:
- formally defining the role and functions of the JNAP-TCS;
- emphasising the role of JNAP-TCS is to facilitate both integrated climate change and DRM in development; JNAP activities have largely focused on climate change issues, with JNAP initiatives considered to be 'light on DRM issues' – perhaps because the JNAP-TCS is established under the MLENR, without any DRM expertise;
- JNAP-TCS maintaining a distinct identity as serving integrated CC and DRM related roles, when the head of JNAP-TCS is also the Assistant Director of CC and Environment under the MLECNR;
- including a person with DRM expertise and experience in the JNAP-TCS, together with accessing strategic planning expertise from the Ministry of Finance and Planning; the current Secretariat currently comprises two technical persons with climate change and environment background and a third on finance;
- developing a JNAP Implementation Plan for the JNAP-TCS; and
- developing an M&E system for monitoring and providing consistent reporting on JNAP implementation.

These areas of strengthening are also similar to the ones Cook Islands could adopt, in addition to addressing other specific challenges; particularly as the Cook Islands has yet to fully establish its JNAP Governance arrangements.

COOK ISLANDS JNAP GOVERNANCE

- The Cook Islands JNAP, too, identifies a two–tiered governance arrangement for the JNAP implementation and management (see Figure 4 in Annex 4 – Cook Islands Case Study). This arrangement includes:
- The JNAP Project Management Committee (JNAP-PMC);
- The JNAP Platform, with joint CCCI and EMCI serving as the secretariat to the JNAP-PMC and JNAP Platform.

The JNAP-PMC is a subcommittee of the National Disaster Risk Management and Climate Change Council, and reporting to it. The JNAP-PMC role as defined in the JNAP document is to provide operational oversight of implementation and support of JNAP actions into the MTBF, and annual work/business plan and budget; develop and implement an M&E framework and capture lessons learnt in on-going implementation of the JNAP, and of CCA and DRM activities. The EMCI is the operational leader for the implementation of JNAP (Government of Cook Islands 2012). The CCCI and EMCI are expected to provide Secretariat services to the JNAP-PMC, as well as co-chair the JNAP Platform.

- The JNAP Platform was established comprising the original Climate Change Country team with an expanded mandate to also include DRM issues. The JNAP Platform includes representatives of key government agencies, NGOs and the private sector. The role of the JNAP Platform, as identified in the JNAP document is to:
- serve as coordination mechanism through a consultative and participatory process to ensure multi-stakeholder collaboration and coordination in line with HFA and UNFCCC;
- foster an enabling environment for developing a culture of prevention through advocacy and awareness raising;
- facilitate integration of CCA and DRM into national policies, planning and programmes.

The JNAP Platform meets regularly to share information about JNAP related activities, initiatives and available funding. CCCI and EMCI play the role of advocacy and awareness raising through various fora and media outlets in the country. Through the Platform, potential for collaboration is identified, particularly when external funding opportunity arises. There is scope to strengthen this process further to proactively facilitate greater CC and DRM integration across all stakeholders and supporting sectoral agencies in programmatic planning and budgeting, discussed below.

The JNAP-PMC has not as yet been established. As a result the operational oversight has been limited and the JNAP coordinating role has fallen on the CCCI and EMCI, while performing their other core business. The CCCI and EMCI are expected to provide secretariat services to the JNAP-PMC, as well as co-chair the JNAP Platform.

The coordination of the implementation of JNAP strategies has been limited for several governance related reasons, including the absence of a follow-through in both CCCI and EMCI identifying integration of CC and DRM in their respective work plans; only EMCI did. While the intent of the overarching strategic functions is clear and CCCI undertook various coordination functions, it appears to have focused on establishing itself first. The level of coordination may change from 2013/14, as they both now refer to coordination of JNAP implementation under their respective outputs (Office of the Prime Minister (CI) 2013 (February Final)). However, they each tend to emphasise their respective mandated areas. This may perhaps be a reflection of difficulty in providing appropriate balance between one's own mandated core function and the joint function which has not been clearly articulated; particularly in the absence of a core M&E system discussed below.

The above suggests that Cook Islands could further strengthen their efforts towards effective coordination of JNAP implementation by, in the first instance, identifying common outputs as well as common strategies to proactively encourage coordination of CCA and DRM , and develop joint Business Plans and budget submissions for this aspect of their work (budget issues are further discussed below).

The CCCI and the EMCI have pursued some joint activities, such as the SRIC-CC programme of work in Pa Enua, which also includes national level strengthening of CC and DRM integration as one of its activities; this focus may change in light of the recent review of the SRIC-CC Strategic Area framework (Manarangi-Trott and Innovations 2013). The Manarangi-Trott review has suggested excluding the delivery of the national level strengthening component from the SRIC-CC M&E system, given that the primary focus of the SRIC-CC is on the outer islands, Pa Enua (Manarangi-Trott and Innovations 2013). If this suggestion is followed through, and national level

strengthening of CC and DRM integration were excluded from SRIC-CC, this JNAP strategy would need to be taken up as a separate activity under either CCCI, EMCI, or ideally by a dedicated unit with a combined expertise in CC and DRM. Such a unit, as discussed below, can then be in a strong position to support line ministries to not only make reference to the JNAP in their Business Plans, such as Marine Resources, Education, National Environment Service and Ministry of Infrastructure Planning (MOIP), but also help them to embrace the concept of integrated CC and DRM in development across their strategic plans and programme and project designs; a task that will require long term and ongoing engagement.

The importance of a dedicated JNAP coordinating unit/Secretariat and an appropriate governance arrangement

The two contrasting experiences from Cook Islands and Tonga suggest that to give full effect to the intent of the JNAP, and for effective coordination of cross cutting CC and DRM issues within the context of national development, the establishment of a dedicated JNAP-coordination unit/Secretariat supporting a fully functioning streamlined governance of JNAP coordination and implementation is required. In such a JNAP governance arrangement, it is equally important to have clearly defined roles and responsibilities of different levels of JNAP governance and appropriate reporting mechanism. At least one staff in each ministry would need to have integration of CC and DRM as part of their job description or core function.

> Governments may wish to consider establishing a dedicated team/JNAP Secretariat, comprising staff with at least CC and DRM expertise and clearly defined roles to support JNAP coordination and implementation, and supported by a clear governance arrangement for monitoring and reporting.
>
> In addition, in each ministry identify integration of CC and DRM as part of a person's job description or core function.

In such a JNAP governance arrangement, it is equally important to have clearly defined roles and responsibilities of different levels of JNAP governance and appropriate reporting mechanism. At the same time, at least one staff in each ministry would need to have integration of CC and DRM in their job description or core function. It is only then that the real intent of the JNAP can be implemented across sectoral line ministries. JNAP development was expected to trigger this flow on change, but without having anyone from the coordinating unit, or within the line ministries, such mainstreaming at the implementation level has been weak at best.

This conclusion is also supported by key reasons given by stakeholders in the Cook Islands behind the SRIC-CC project having a higher profile than the country's JNAP. The reasons included:

- A clearly identifiable person 'leading' its implementation – the Project Manager, with a clearly identified function and budget;
- A strong programme of work that is being actively pursued;
- Active engagement with, and consultation by, the project team across government agencies and NGOs and in the islands, Pa Enua; and
- Active communication and awareness programme, including training workshops and media presence.

While one may argue that a well resourced project that is implementing specific actions on-the-ground, including having a media presence, will no doubt have a higher presence than a strategic plan, it is also possible that a plan too can have a high profile if it is 'seen to be doing things' and there is a recognisable active programme emanating from it. Presence of a dedicated 'champion' or an identifiable unit that is actively promoting the JNAP, advocating for CC and DRM integration, and proactively taking steps to support other agencies and stakeholders in their CC and DRM agenda, could help increase the JNAP's profile. The role of champions in promoting cross cutting issues has been widely acknowledged globally (Bass, Roe et al. 2010 b) and in the region in relation to mainstreaming CC and DRM (Lal 2012 (October)).

FUNCTIONAL RELATIONSHIP BETWEEN NSDS, JNAP, SECTOR PLANS, PROGRAMME AND PROJECTS (PILLAR 1 AND BRIDGES 1 AND 4)

Throughout the region, as mentioned above, effort has been made to explicitly align the JNAP with the respective NSDS or equivalent, including in the Cooks Islands and Tonga (Table 8). In some cases, JNAP were developed following the completion of NAP – DRR and DM, with reference to the respective NSDP. This, for example, was the case in the Cook Islands. The Tuvalu NSAP (National Strategic Action Plan for Climate Change and Disaster Risk Management), while linked to *Te Kakeega II* (Tuvalu's NSDS), specifically builds on the Climate Change Policy, *Te Kaniva*. The JNAP is intended to be the Implementation Plan for their Climate Change Policy (Government of Tuvalu 2012a). Vanuatu's Prioritised Action (Vanuatu's NSDS), on the other hand, was revised to include a goal on climate change and disaster risk management after they developed their DRR and DM NAP (Government of Vanuatu 2006b; Government of Vanuatu 2012 (August)).

TABLE 8 Examples of NSDS linked JNAPs in countries that have formally endorsed JNAPs

Country	JNAP Document	NSDS	Strategic Goal Link of JNAP	Source
Tonga	Joint National Action Plan for Disaster Risk Management and Climate Change Adaptation (JNAP) 2010-2015	National Strategic Planning Framework (NSPF), 2009-14	Goal 7: integration of environment sustainability, climate change and disaster risks into national planning and execution of programmes.	(Government of Tonga 2010; Government of Tonga 2011)
Cook Islands	Joint National Action Plan for Disaster Risk Management and Climate Change Adaptation (JNAP) 2011-2015	National Sustainable Development Plan, 2011-2015	Goal 5: A resilient and sustainable Cook Islands where our people are resilient to disasters and climate change and able to achieve sustainable livelihoods	(Government of Cook Islands 2011; Government of Cook Islands 2012)
Tuvalu	Tuvalu National Strategic Action Plan for Climate Change and Disaster Risk Management, 2012-2016	Te Kakeega II (2005–2015) – National Strategy for Sustainable Development	Te Kakeega II, 2005-2015 Goal 7: Environment Sustainability (Climate Change and Disaster Risk Management) Link to Tuvalu's Climate Change Policy, Te Kaniva, 2011,2020	(Government of Tuvalu 2005; Government of Tuvalu 2012 a; Government of Tuvalu 2012 b)

Duration of JNAP and NSDS

Having a similar duration of the JNAP and NSDS, or equivalent, can help countries align, harmonise and coordinate their review process and make adaptive changes. The Cook Islands JNAP and NSDP run for the same period, 2011-2015. The duration of the JNAPs is not always the same as that of the country's medium term NSDS. For example, Tonga's NSPF runs from 2009-14, whereas the JNAP runs from 2010-2015.

- Ensure there is a clear link between the NSDS and JNAP and the duration of the JNAP is aligned with the NSDS, or equivalent;
- JNAP instrument is outcome-focused and prioritised;
- the relationship between outcomes, strategies and actions is clearly articulated;
- JNAP instrument includes a clearly articulated governance mechanism for coordination of the JNAP implementation, financing strategy, a robust M&E System, including SMART indicators, and an appropriate reporting mechanism.

Having different timeframes would make it difficult to align the JNAP's review and changes with the review of NSDS, particularly when such reviews are conducted by different line ministries, supported by different arms of the regional intergovernmental agencies. A Peer Review, that examines the national system of development governance, including public finance management and donor engagement, is supported by the Pacific Islands Forum Secretariat under the Forum Cairns Compact for Development Effectiveness (PIFS 2009) – Peer review usually involves the ministry of planning and finance. The JNAP (or NAP and NAPA) review processes are supported by SPC and SPREP, and are expected to involve the ministry that oversees JNAP (or NAP and NAPA) coordination. Such review processes are run independently, and during different times, thus making it difficult to reconcile performance across the different levels of governance.

NSDS-linked JNAPs and linkages with sectoral and sub national plans

All three completed JNAPS reflect explicit linkages with the respective NSDS, however, the next level of linkages with sub national and sectoral plans and policies is limited. Such a link is weak in regards to existing sectoral plans, even where CC and DRM have not been mainstreamed.

Some effort has been made to develop specific sectoral policies/strategies, under specific externally funded climate change projects (Table 9). However, in these cases, while sector level policies were developed after the JNAP had been endorsed, the JNAP is not always explicitly referenced. This is the case of water policy in Tonga (2011). Only in the case of the infrastructure sector, where DRM and CC integration is strongly reflected, is there explicit reference to the JNAP in Tonga.

TABLE 9 Sector level policies/strategies related to climate change and/or disaster risk management

Country	Type of strategic mainstreaming	Reference	Project
Solomon Islands	National Climate Change Policy	Government of Solomon Islands (2012)	
Fiji	National Climate Change Policy	Government of the Republic of Fiji (2012)	SPC-GIZ
	National Climate Change Adaptation Strategy for Land-Based Resources 2012-2021	Government of Fiji (2012 (draft))	
Tonga	National Infrastructure Investment Plan (NIIP)		(Government of Tonga 2013)
	Water Sector Policy Water Bill (draft)		UNDP-SPREP funded PACC
Kosrae, Federated States of Micronesia	Climate change legislation	FSM (Kosrae State Government) (2011)	UNDP-SPREP PACC project
Nauru	Water, Sanitation and Health Policy Framework (Sectoral Policy Framework)	Government of Nauru (2012)	UNDP-SPREP funded PACC and GEF-SPC-SOPAC funded IWRM Project
Vanuatu	Amended Vanuatu National Forestry Policy, incorporating climate change issues	Government of Vanuatu (2011 (draft))	SPC-GIZ Climate Change
	Revised Vanuatu Environmental Management and Conservation Act 2012, incorporating climate change issues	GTZ (2010)	SPC-GIZ Climate Change
Tuvalu (co products)	Water and Sanitation Plan (draft)		UNDP-SPREP PACC

This could be due to several reasons.

In both the Cook Islands and Tonga, a variable level of understanding about the relationship between their sectoral deliverables and risks management, and the role JNAP could play in supporting sustainable development, was observed amongst government agencies and NGOS. Even where there is recognition of the need to integrate DRM and CC issues at the sectoral level, the lack of integration may largely be due to capacity constraints in programmatic planning, including developing a multi-year prioritised and appropriately sequenced programme of work. This was highlighted during the JNAP discussion in the Solomon Islands, where it was agreed that the mainstreaming agenda had to go beyond the remit of the Ministry of Environment, Climate Change, Disaster Management and Meteorology (MECDM), and also involve the Ministry of Development Planning and Aid Coordination (MDPAC).The issue of inadequate plans is not unique to the area of climate change and disaster risk management. The World Bank and IMF/PFTAC, in its 2013 review of PFM, identified several key challenges, including the issue of national budget allocations that do not reflect government priorities, and secondary problems of plans being inadequate to inform budget development (Table 10). The solutions suggested by the World Bank and IMF/PFTAC are consistent with the conclusions of this JNAP review.

TABLE 10 Sectoral plan and planning-related key budget allocation and public finance management challenges in the Pacific

Primary problem	Secondary Problem	PFM weaknesses causing the problem	Priority reform to address the problem
Budget allocations do not reflect Government Priorities	Plans are inadequate to inform budget development	Plans are not prepared, or have weak ownership or do not provide a realistic basis for prioritising resources	Improve quality of plans and build ownership through consultation
	Plans are adequate but not reflected in budgets	Administrative problems impede integration of planning and budgeting	Alignment of budgeting and planning through shared staff, timelines and documents

Source: World bank and IMF/PFTAC (World Bank and IMF/PFTAC 2013)

Strengthening of technical understanding and capacity in strategic planning and outcome- focused and prioritised programming across all sectors was identified as a major need across the region.

> Build capacity of sectoral line ministries, in partnership with Ministry of Finance and Planning, to mainstream CC and DRM and develop prioritised rolling sectoral and agency Business Plans, together with a multi-year budget plans, consistent with MTBF.

Without having JNAP-linked sector plans in hand this also means that agencies are not in a position to develop their multi-year JNAP-related priorities and budgets consistent with their MTBF. This constraint also affects the country's ability to be in the 'driver's seat' and to effectively seek development partner assistance, coordinating and harmonising their support towards their own priorities. Having appropriate JNAP-linked sectoral strategies, actions and rolling outcome-focused budgets will increase the capacity of countries to efficiently and effectively access development assistance.

Strengthening of such capacities to support mainstreaming CC and DRM at the sector level will help:

- increase understanding about the relationship between national and sectoral development and climate and disaster risks;
- identify priority development initiatives that reflect considerations of CC and DRR ;
- Identify cross sectoral collaboration required to generate synergistic outcomes;
- develop and report on programmatic sector plans together with a rolling budget consistent with the MTBF;

- proactively coordinate and harmonise development partner assistance for countries' high priorities, using donor roundtable discussions; and
- increase the ability to respond to development partner interests and access funding from bilateral, multilateral and regional ODA as well as CCF sources consistent with their policies and strategies.

Strengthen national Information system, including baseline data and databases on climate, disaster, socio-economic and sectoral level information together with traditional knowledge.

Build capacity in integrated knowledge management, as well as in making informed choices using available tools, such as multi-criteria analysis.

Taking a whole of country approach to national, sub national and sectoral planning and programming will also help to identify the common enabling elements required to support a knowledge-based decision-making process. All countries note difficulties in getting access to baseline scientific and other data and experiential information. Currently, data and information in both the countries, as elsewhere, are scattered across the government agencies, NGOs and regional partners. Often government agencies and NGOs do not know about the presence of such information. Similarly, new data and information generated as part of CCA/DRR projects are often kept within the agencies involved in the projects, but not readily accessible by others. As mentioned earlier, while aggregate level information may be sufficient to support strategic planning, more disaggregated and spatially differentiated data is required at the sectoral and sub national level. On the other hand, when designing specific projects addressing local development and risk management needs, a more context specific scientific and social information may be needed to support relevant CC and DRM measures. Capacity to generate and utilise such information is often limited. Strengthening of scientific and traditional knowledge systems that encourage easy access to baseline data and information, and capacity to further manipulate data and support knowledge-based decisions, is urgently needed throughout the region.

DEVELOPMENT PARTNER ENGAGEMENT, PUBLIC FINANCE MANAGEMENT AND AID EFFECTIVENESS (BRIDGES 2 AND PILLAR 2)

Effectiveness of the JNAP implementation has, so far, very much depended on the availability of external funding, development partner engagement and project and finance management systems adopted by donors. For JNAP implementation, funding is often sought from bilateral, multilateral and regional ODA and climate change funding sources. For increased access to funding, Cook Islands, Tonga and Tuvalu all have a Financing Strategy identified in their JNAP document. They generally also note that JNAP funding will be in accordance with their:

- national planning and budgetary processes and systems, and in particular the Medium Term Budgetary Framework (MTBF) or Medium Term Expenditure Framework ; and
- aid management requirements stipulated by donors and other partners [i.e. consistent with the Paris and Pacific Principles of Aid Effectiveness).

External funding has generally been provided on a project-by-project basis, with countries negotiating each project with development partners. Such a negotiation may occur through the JNAP Secretariat, or through line ministries. In Tonga, for example, projects are negotiated directly with/through the JNAP Secretariat/MLECNR for climate change related JNAP activities; through NEMO (i.e. Ministry of Public Works) for DRM related JNAP activities; or directly through the line ministries implementing the sectoral projects. In the Cook Islands, the JNAP indicates that project proposals could be developed by members of the JNAP PMC, with the assistance of EMCI. The JNAP-PMC has not been established and EMCI alone may not have relevant expertise required to effectively undertake such a role, leaving line ministries to directly negotiate JNAP related projects. In the Cook Islands, for large external funding, such as EDF 11 and GEF STAR funding, development partner engagement may also involve the Ministry of Foreign Affairs and Immigration, as the political focal point, CCCI as the climate change focal point, EMCI as the DRM focal point, or respective sectoral ministries (Box 9).

BOX 9 Benefits of having a JNAP when engaging with development partners: A Cook Islands Experience

The development of a JNAP has increased the efficiency of Cook Islands' interaction with the donors. Externally funded projects currently under development with specific reference to the JNAP activities, and involving respective implementing sectoral line ministries, including:

- GEF Star project (focussing on Marine, Agriculture and Biodiversity),
- EDF 11 project,
- EDF 10 ACP-EU Natural Disaster Facility project.

In these cases, the Ministry of Foreign Affairs, through the Director of United Nations and Treaties Division, which is the political focal point for climate change, has 'marketed' JNAP amongst the development partners. CCCI on the other hand provided the technical focal point for climate change, and EMCI the focal point for DRM. In the case of the GEF STAR project, for example, the government did not need to have another round of consultation. The OPM was able to respond quickly and organise a JNAP Platform meeting to decide on their own specific priorities before they engaged with the donors. On the other hand, NGOs such as the Red Cross Cook Islands successfully obtained external funding with reference to a specific strategy in the JNAP. They undertook a study to assess the legal preparedness for an international disaster response, with implementation one of the key strategies regarding legislative strengthening for disaster risk management(Cook Islands Red Cross Society and IFRC 2012).

For the donors, the presence of a JNAP has increased the efficiency of their interaction with the countries, taking their cue from the JNAP as to the country's priorities (see Box 9).

PUBLIC FINANCE MANAGEMENT AND JNAP PROJECT FINANCE MANAGEMENT

Management of JNAP-related finances varies across the region, even though all countries have their Public Finance Management System in place, including aid coordination. Despite efforts made to improve national budget processes, there remains considerable scope for strengthening national finance management (ADB 2009), including development partner assistance.

Sectoral plans and donor engagement

Donor engagements have not been without challenges, particularly in the absence of a clearly articulated sectoral plan and clear priorities. In both the countries, the effectiveness of JNAP-related donor engagement has been influenced by the presence (or rather the absence) of NSDS-JNAP-linked sector plans and the use of national public finance management system.

As Box 10 demonstrates, the absence of sector plans, together with a clear articulation of the adoption of an integrated development and risk management approach, caused some difficulties for Cook Islands when defining the types of projects that could be funded under available funding opportunities under the GEF STAR. In Tonga, too, the absence of sector plans, reflecting explicit considerations of disaster and climate risks considerations, has constrained its ability to 'drive' their engagement with development partners.

In the case of the Cook Islands, all development partner assistance is channelled though the Cook Islands Government Public Finance System, and thus there is alignment of reporting on development assistance funds and expenditure to donors and the Parliament. In the case of NGO-funded projects, the funding, monitoring and financial reporting is totally outside of the government system. This is the practice for NGO funding across the region.

In Tonga, all donor-funded government projects, too, are managed through the Project Aid Coordination Committee (PACC), in the Ministry of Finance and Planning. They have an internal project approval system in

place, which requires the Government to submit project concept notes for approval before a proposal can be submitted for external funding. The use of the Government's PFM system varies between development partners. In the majority of cases, such as the World Bank, ADB, EU and AusAID, project funds are managed through the PFM system. There are cases where a development partner may establish a separate bank account and manage its financial receipts and expenditure outside of the Government System. This has been the case of a GIZ-supported technical assistance project on education, as well as the Australian-funded PASAP coastal zone management project in Haa'pai, Tonga. The main reason given was to avoid delays in the release of funds for project activities through the Government system. In both these cases, financial acquittals and progress reporting are provided to the head office in Suva, in the case of GIZ, and SPC, in the case of the PASAP project. One of the effects of having such a parallel process is that countries have difficulty in reconciling their development assistance records with those of development partners. Tonga, for example, also reported its difficulty in getting development partners to provide the government with the summary of their total development assistance.

BOX 10 JNAP and GEF Star project development

GEF STAR, the System for Transparent Allocation of Resources, 5th replenishment of funding available under CBD. The focal areas under the GEF Star are: biodiversity, climate change, and land degradation, with the Cook Islands allocation of $2 million for climate change, $2.14 million for biodiversity, and $0.5 million for land degradation. The adoption of the 'ridge to reef' approach is advocated under the GEF Start Funding. The Cook Islands Government carefully considered the match between JNAP strategies and specific GEF Start Objectives under each of the focal areas and identified strategies/ actions to implement under the JNAP. The JNAP Platform helped in this process.Source: GEF STAR (Global Environment Facility 2010).

It seems during the initial discussion between the Government and the development partner, that there was some disagreement about the relevance of Cook Islands Government proposals for GEF STAR funding (Myra Patai, Ministry of Foreign Affairs, pers comm., May 2013).

This may have reflected differences in the stated priorities of the Cook Islands government and development partners. The initial disagreement may also reflect some differences in the understanding about the relationship between the 'ridge to reef' approach and what is implicit in the NSDP-linked JNAP. When principles advocated under the HFA, UNFCCC and the CBD (and other MEAs) are taken together, and as reflected in the Cook Islands NSDP, JNAP and other policies, sustainable development and resilience can be seen to reflect the need for integrating DR, CC and environment in development decisions, and taking a system view, including 'ridge to reef'.

Such a challenge could thus be minimised if the country had clearly articulated sectoral plans where the relationship between DRR and CC was described, the adoption of integrated development and risk management approach spelled out, and considerations of a continuum of DRR and CCA measures explicitly explained and reflected in the sector strategies and priorities.

Source: JNAP review country consultation, May 2013.

JNAP Financing

To improve their ability to manage development assistance through their Public Finance Management System, PICs have expressed a preference for direct budget support and the use of a National Trust Fund for climate change (and DRM) financing (PIFS 2011; PIFS 2012; PIFS 2013). There are merits and challenges in adopting such financing modalities, as compared with project-by-project funding. These are described by, for example, PIFS (PIFS 2011).

Some countries, such as Cook Islands and Samoa, continue to pursue National Implementing Entity (NIE) status with the Climate Change Adaptation Fund, despite the first round of applications being unsuccessful. A CC Trust Fund Approach has also been considered by countries such as Nauru, Samoa and Tonga.

When developing national climate change (and DRM) Trust funds or any other such centralised financing mechanism, it is critical that, in addition to meeting the standard finance management conditions of transparency and accountability, the scope of projects and programs to be supported under that Fund covers development and environment management initiatives for reducing vulnerabilities, including climate compatible development, as well as other DRR and CCA, CCM and risk management activities.

To be sustainable and effective, such Climate Change Trust Funds need to be carefully designed and established, preferably under a national legislation. Key areas for consideration include having an appropriate governance mechanism in place to ensure appropriate financial management, transparency and accountability. Furthermore, careful attention needs to be given to the types of activities that could be supported, reflecting an integrated development and risk management approach. Otherwise, as in the case of Tonga, the concept of a National Trust Fund may need to be revisited, where such a Trust Fund is currently narrowly designed (See Box 11).

BOX 11 Tonga Climate Change Trust Fund

ADB-PPCR Project, *Strategic Program for Climate Resilience (SPCR)*

Tonga has explored the possibility of establishing a Tonga Climate Change Trust Fund (TCCTF) under Parliamentary legislation, and has also drafted a Bill. This has been put on hold, on the advice of the ADB's SPCR team. Instead, a Cabinet-based CCTF was approved in May 2013. The Cabinet decision was based on the ADB's SPCR team's assessment that the current Bill, and the regulatory arrangements under it, was unlikely to be in place and managed by the required time for the implementation of the SPCR and in a manner required by the ADB, and this would have caused delays in obtaining the ADB funding. It is hoped that other development partners would also channel their funds through the CCTF.

The Tonga Climate Change Trust Fund has now been set up with an initial endowment being provided under the SPCR funding. The SPCR has a funding of $15 million. Of this an initial endowment of $4 million from the Climate Investment Fund plus a $1 million is to be used towards community-based DRM and CCA activities.

A Community-based project is defined to mean 'a project, that the project initiative comes from a Community and/or an organisation based within a community, and that the project itself is confined to the geographical and operational confines of that community' (Government of Tonga 2013 b, p 1). The rest will be used to implement the CCA projects selected for implementation involving a number of agencies and NGOS across the country. A clear decision-making process for assessing and selecting community-based projects has been identified. (Source: (Government of Tonga 2013 a; Government of Tonga 2013 b).

Some Observations:

For the CCTF to become the national source of funds to support Tonga's CC and DRM priorities, and where other development partners are willing to contribute towards the Fund, several key issues would need to be addressed.

Firstly, its governance arrangement would need to be revisited. Currently, the Minister for MLECNR is the chair of the CCTF Board. This is likely to add to the already existing concerns that JNAP activities go beyond those related to climate change and the responsibility of any one implementing ministry, like MLECNR. To encourage greater ownership acceptance of the CCTF, its governance arrangement needs to be reconsidered before the concept is taken to the Parliament for consideration. The experience of Tuvalu's Trust Fund governance could provide some useful lessons (AusAID 1997; Graham 2005; PIFS 2012; PPCR 2012).

Secondly, the focus of the CCTF is in supporting community-based projects. For it to be used to support all types of JNAP-related projects, the scope of projects under the CCTF would need to be changed. A National CCTF would be expected to support all, community and non-community-based, DRR, DM, CCM and CCA projects within the national development.

5. KEY LESSONS AND CONCLUSION

The development of a JNAP has served several purposes for countries in the region. The benefits have included encouraging an increased understanding across stakeholders about the close relationship between disaster risk management and risks associated with climate change; and the need for a collaborative whole-of-government and country-based approach to development and risk management. The JNAP linked to NSDS, or equivalent national instrument, serves as a good reference document, one that can be used by the government and donors to justify the development of specific proposals for development partner support.

However, any system of governance is as effective as its weakest link, which would need to be strengthened to improve efficiency and its effectiveness, as this review of JNAP development and implementation demonstrates.

Key Lessons

1. Ideally, JNAP development and implementation would involve all stakeholders, government, NGOs, civil societies, private sectors and communities, all playing differential roles according to their accepted comparative advantage. The JNAP would ideally reflect the adoption of an integrated development and risk management approach to sustainable development and resilience. It would recognise a national systems approach to development and risk management, focussing on plans and policies and projects (Pillar 1) on the one hand, and national and ODA and CCF (Pillar 2) on the other, as well as various organisational and institutional linkages linking the two pillars (Bridges 1-4).
2. JNAP development is not necessarily the only pathway for encouraging the integration of CC and DRM in development.

   Countries in the region may choose to focus on the sub national and sector level for CC and DRM integration, and building capacity on how integration can be reflected in sub national plans and initiatives on the ground. This may be particularly relevant where the country already has their DRM NAP, NAPAs and/or climate change policy, and there is a strong rapport between CC and DRM focal points to support such integration as well as commitment at the sector and sub national levels for integrating CC and DRM in their plans.

   Experience from the region also suggests that not all countries may be ready to go down the path of successfully developing the JNAP in the short term. In some countries, several options may need to be pursued to lay the foundation before developing their JNAPs. This may particularly be the case in countries where the rapport and working relationship between CC and DRM officers is not a strong one, a local champion may not be apparent, and the Government's support is not strong.
3. The development and endorsement of the country's JNAP is but a first step. To have an effective implementation, as a first step, there needs to be a commitment on the part of all – Government and development partners – to allocate resources for the development and implementation of the JNAP. Development partners must be prepared to support countries in the JNAP implementation effort at least for the short–to-medium term, without which resources invested may not produce much results, given the resource and capacity constraints most countries face.
4. As a minimum, an appropriate governance arrangement needs to be established for the coordination of JNAP implementation, supported by a dedicated and resourced Secretariat (or a coordination unit). Such a governance arrangement could be based on a two-tiered system, including:
   - A high level (Cabinet) level committee that provides policy direction and high level coordination for integrated CC and DRM in development;
   - An Interdisciplinary Technical Committee, JNAP-TC, to
     - Facilitate integration of CC and DRM in development across all levels of government and non-government agencies;

- monitor the progress of JNAP implementation, financial management and outcomes achieved, as well as challenges faced;
- report upwards through the Cabinet to the government in consultation

The composition of the Secretariat must include both CC and DRM specialists to ensure that a balanced approach to integrated CC and DRM programmes is pursued, in addition to at least being able to draw on strategic planning expertise that is available in the ministry of planning and development, or equivalent.

The role and function of the JNAP-Secretariat must be clearly defined to avoid concerns about overlap with implementing line ministries, and to ensure the identity of the Secretariat as a coordinating body is apparent as a unit promoting both CC and DRM initiatives. Box 12 provides an indication of the types of role a JNAP-Secretariat could play.

5. The JNAP implementation must be guided by a multi-year Implementation Plan, together with a multi-year budget.

   One of the key priorities of the Secretariat would include the facilitation of line ministries to develop their outcome-focussed sectoral plans where DRM and CC considerations are integrated, and a prioritised programme of work is defined.

   Mainstreaming of CC and DRM across the sectoral line ministries will provide a uniting foundation for improving efficiency and effectiveness in collaboration across agencies, increasing civil society and NGO engagement, and generating a synergistic outcome. It will also assist line ministries to develop their outcome-focussed budget submissions for approval and discussion with development partners. Without such a multi-year plan, agencies will have difficulty in developing their multi-year agency budgets, consistent with the MTBF (or MTEF).

   Having prioritised, and preferably outcome-focused sectoral plans, countries will be able to drive their interaction with development partners, and achieve a harmonised and coordinated support for their priority programmes.

6. Monitoring and Evaluation (M&E) System for JNAP

   A linked M&E system to monitor and report on the effectiveness of the JNAP implementation, would include:

   - M&E system for the JNAP coordinating unit/Secretariat, including SMART indicators reflecting its core function;
   - M&E system for the implementing agencies, including SMART indicators, with reference to key JNAP goals, outcomes and outputs. Aggregation of the performance against these objectives, outputs and outcomes could then be reported against the respective NSDS Goal that the JNAP is aligned with.

   With such an M&E system, monitoring and reporting against the JNAP, NSDS and other regional and international instruments could be streamlined and made more efficient. A combined framework for reporting on project deliverables, finance management and project outcomes can also improve the effectiveness and efficiency of reporting to government and development partners.

7. The JNAP development and resilience agenda needs to reflect the blending of paradigms, principles and strategies advocated across key international instruments, including the MDG, UNFCCC, HFA and CBD.

   Such an approach will help to achieve a balance across development and resilience objectives, recognising that some may be incompatible and specific tradeoffs may need to be made. A whole spectrum of measures will also be explicitly considered, recognising the relevance of addressing a development-risk reduction-risk management continuum of issues. A combined policy cycle and risk management-based framework could help systematically integrate DRM and CC considerations in development. A combined project cycle and risk management-based framework could help to systematically integrate CC and DRM considerations when identifying and designing on-the-ground initiatives for sustainable development and resilience.

8. Institutional and technical capacity in outcome-focused strategic planning and programming.

   Integrated development and risk management is new to the region and to most agencies (as is generally the case in most developing countries). To adopt an integrated approach to development and risk management, staff in government agencies and regional partners would need to think outside their normal subject areas

and approaches and embrace a new paradigm that not many people may be trained in. Similarly, expertise in strategic planning, let alone sectoral level strategic planning where development and risks issues are integrated, is limited at best and in many cases almost non-existent.

By strengthening such capacity across agencies, or at least being able to draw on the core staff of the ministry of planning and development, or equivalent, countries and regional partners could go a long way towards supporting developing outcome-focused sectoral plans and programmes targeting sustainable development and resilience.

9. Country-specific knowledge system

There is an urgent need to strengthen a linked national system of baseline climate, disaster, socio-economic and sectoral level databases, traditional knowledge, and to build capacity in integrated knowledge management. Currently climate, disaster, social and economic as well as sectoral level data and information are maintained across the government agencies, NGOs and regional partners. Often government agencies and NGOs do not know about the presence of such information. Similarly, new data and information generated as part of DRR/CCA projects are often kept within the agencies involved in the projects, but are not readily accessible by others.

A JNAP coordinating unit/Secretariat with appropriate resources can help to facilitate all of the above, as outlined in Box 12.

BOX 12 Potential Coordinating of a JNAP Unit/Secretariat

In the case of cross cutting goals of integrating CC and DRM in development, a JNAP Coordinating Unit/Secretariat can play a significant role in promoting the adoption of a national system approach to addressing ecological, economic, social and resilience objectives, and where institutional and technical capacity is limited. Its functions would ideally include:

Advocacy

- General advocacy, awareness and communication activities targeting government agencies, NGOs and civil societies about issues such as:
- the relevance of a JNAP across sectors;
- general understanding about the relationship between sectoral development and risk management,
- the importance of adopting an integrated climate smart/climate compatible development where DRR and DM and climate change mitigation and adaptation considerations are integrated, regardless of the sectoral starting point for a project/programme.

Coordination

- proactively facilitate collaboration and partnerships between and across government agencies and NGOs in domestic and externally funded projects and programs to help:
- ensure synergies across CC and DRR activities and development initiatives;
- increase efficiency in the use of limited resources;
- increase effectiveness of project designs, including harnessing expertise; and experiences and improve collaboration across the government and NGOs.

Technical advice

- provide technical advice on and facilitate the use of a standardised approach to the integration of disaster and climate risk considerations in their plans and programmes as well as on-the-ground initiatives;
- facilitate support to line ministries in the area of strategic planning and outcome-focused multi-year programming, and in partnership with the agency responsible for finances, support and develop multi-year budgets;
- support government agencies and NGOs to adopt knowledge-based decision-making processes for integrated CC and DRM considerations in development initiatives;
- facilitate the development of a national linked Information system, including key baseline social, economic, geo-referenced disaster, climate and other scientific and experiential knowledge.

Capacity development

- facilitate training activities aimed at increasing understanding about the relationship between sectoral development and risk management, adopting an integrated climate smart/climate compatible development where DRR and DM and climate change mitigation and adaptation considerations are integrated in development;
- facilitate training in outcome-focused strategic planning and programme design for implementation including an appropriate M&E system.

Finances and Development Assistance

- Identify potential bilateral and multilateral development assistance opportunities, and provide support and advise on procurement of ODA and CCF;
- JNAP M&E and Reporting
- Encourage consistent monitoring and reporting on progress towards achieving stated outcomes and financial management, using an integrated template for reporting on progress towards achieving NSDP-linked JNAP goals and financing performance against MTBF and principles of paid effectiveness.

Based on several sources, such as UNISDR Secretariat (http://www.unisdr.org/who-we-are/mandate); UN Secretariat (http://www.un.org/en/mainbodies/secretariat/.

Implication of country experiences for the Regional Integrated Strategy

Use country-level lessons in the development and implementation of the cross-cutting JNAP instrument to guide the development of the regional integrated strategy for CC and DRM, including the relevance of establishing an appropriately resourced coordinating Secretariat. The composition of the coordinating unit/Secretariat must include core staff with expertise in CC and DRM as well as strategic planning.

In the development and implementation of JNAPs in the region, experiences from the countries provide some useful lessons, as regional partners and countries develop an integrated Pacific regional strategy for DRM and CC. These include:

10. Country strategies such as the JNAP should be in line with respective international instruments and regional frameworks to ensure that best practices are reflected at the national level. Some of the international and regional instruments that would need to be 'blended' are:
    - UNFCCC and PIFACC (CCA and CCM) – climate change;
    - HFA and RFA – DRR and DM – disaster risk management;
    - CBD and Nairobi Plan of Action – biodiversity and environment conservation;
    - UNCCD and sustainable land management; sustainable forestry management; and
    - Paris (and Pacific) Declaration of Aid Effectiveness and Forum Cairns Compact on Strengthening development coordination – aid effectiveness.
11. When assisting countries to identify appropriate response measures, it is equally important that regional partners, too, acknowledge the relevance of the whole range of hard and soft options across the development-DRR-DRM-CCA spectrum that countries would need to consider.

    Only through such an approach will they be able to assist countries to address their current development needs, disaster risks, and adapt to climate change. In identifying and designing such measures, regional partners may require collaboration across regional agencies to draw inputs from a diverse field of expertise, including climate and other science, social science, behavioural science, economics and financial management.
12. The integrated strategy must reflect the recognition of a regional-linked national system of actors and stakeholders, comprising regional, national and sub-national governments, private sector, research bodies, and civil society, including community-based organisations, playing complementary roles according to their accepted functions and capacities. Such stakeholders would work in partnership across temporal, spatial, administrative, and social scales, supported by relevant scientific and traditional knowledge.
13. The integrated strategy would include a matrix with clear line of sight and logic between goals, outcomes, strategies and targeted programmes that reflect the application of principles underpinning it; regional governance arrangement for the coordination of the implementation of the integrated strategy, in support of national goals of sustainable development and resilience;
14. At the regional level, establish a clearly identified and dedicated integrated strategy unit/secretariat (located in an appropriate regional organisation), with a clearly spelled out role and functions, including the modality of engagement of other CROP agencies with specific technical comparative advantages in the development and coordination of JNAP implementation. Such a unit/secretariat would ideally comprise at least specialists in strategic planning, climate change, DRM, knowledge management and a financing specialist.
15. A prioritised Plan of Implementation for the integrated strategy unit/secretariat to support the coordination of its implementation across the region, consistent with countries' own priorities articulated in their NSDS-linked JNAP for CC and DRM, or equivalent instrument. Such a plan of implementation will also include:
    a. A financing strategy and a rolling budget for the JNAP Secretariat to support the coordination of implementation of the integrated strategy, and
    b. An M&E system, including SMART indicators for the integrated strategy and the coordinating unit/secretariat, linked to the country-level JNAP M&E system and indicators.

6. Recognising that integrated development and risk management is a new domain and strategic planning capacity within regional organisations is also variable, strengthening regional capacity in strategic planning as well as in the use of consistent and robust methodologies for mainstreaming CC and DRM in development, will also be required.

Use country-level lessons in the development and implementation of the cross-cutting JNAP instrument to guide the development of the integrated regional strategy for CC and DRM, including the relevance of establishing an appropriately resourced coordinating secretariat. The composition of the coordinating unit/secretariat must include core staff with CC and DRM expertise as well as with strategic planning.

In conclusion, regional partners have an important role to play in supporting PICs to realise their vision and development goals. Such support needs to be based on the adoption of an integrated development and risk management framework and technically robust methodologies, while building on the national system of governance that is cognisant of capacity constraints, and recognising the need for a team with a context-specific mix of technical expertise.

Concluding remarks

In conclusion, countries have been successful to some extent in developing and implementing their JNAPs, and using a JNAP-linked to NSDS to secure development partner assistance. The development of a JNAP has served several purposes for countries in the region. The benefits have included encouraging increased understanding across stakeholders about the close relationship between disaster risk management and risks associated with climate change; and the need for a collaborative whole-of-government and country-based approach to development and risk management. The JNAP-linked to NSDS, or equivalent national instrument, serves as a good reference document, one that can be used by the government and donors to justify the development of specific proposals for development partner support.

However, any system of governance is as effective as its weakest link. There is scope for increased efficiency and effectiveness in JNAP development and implementation in the region. The experience in the region suggests that to improve effectiveness of JNAPs and their implementation, including in accessing ODA and CCF, countries could focus on building on their national, sectoral and sub national, including community level, governance system; improving areas that work partially; and focusing on areas that can be strengthened in the short term for maximum benefits. Ultimately, to strengthen the CC and DRM integration agenda for sustainable development and resilience, with or without producing a JNAP, countries would take a systems view of development needs and risks and collaboratively identify and choose appropriate solutions, supported by robust scientific and experiential knowledge within a linked national and sub national governance system. Further strengthening of regional partnerships and technical capacity focussing on integrated development and risk management could also help to increase efficiency and effectiveness of particularly regional technical support to countries.

Key recommendations

In summary, key recommendations for strengthening development and implementation of a JNAP to support integrated development and risk management in the Pacific include:

DEVELOPMENT PHASE

1. Before a country decides to develop their JNAP, assess if a JNAP is the appropriate path to follow at that stage, and assessing if a minimal set of conditions are in place to efficiently and cost effectively develop and endorse their JNAP.
2. Before embarking on the JNAP development process:
   - identify local champions across agencies;
   - get support and commitment from Minister/Cabinet; and
   - establish an interagency JNAP Task Force of committed stakeholders.
3. Countries and partners are realistic about the level of time and resources that may be required and factor these in their initial planning and resource allocation.
4. Ensure core expertise and skills are included in the regional JNAP core team, including an appropriate mix of expertise and experience in CC, DRM, development, as well as strategic planning.
5. Explicitly:
   a. develop a basic understanding in-country amongst all levels of government and NGOs regarding the relationship between disaster, environment and climate change and their effects on sustainable development and resilience; and
   b. simultaneously consider disaster risk management, climate change and development issues as well as the spectrum of response measures that target sustainable development and resilience goals.

JNAP INSTRUMENT

6. Ensure:
   a. there is a clear link between the NSDS and JNAP, and the duration of the JNAP is aligned with the NSDS, or equivalent;
   b. the JNAP instrument is outcome-focused and prioritised;
   c. the relationship between outcomes, strategies and actions is clearly articulated within the JNAP document; and
   d. JNAP instruments include a clearly articulated governance mechanism for coordination of the JNAP implementation, financing strategy, a robust M&E System, including SMART indicators, and an appropriate reporting mechanism.

JNAP IMPLEMENTATION

7. To give full effect to the intent of a JNAP for integrated development and risk management, and for effective coordination of cross cutting CC and DRM issues within the context of national development, countries should:
   - establish a national governance system with clearly defined roles and responsibilities of different levels of JNAP governance units for coordination, implementation, M&E and reporting against JNAP goals and NSDS outcomes; and
   - identify a dedicated JNAP-coordination unit/secretariat with expertise in CC, DRM, strategic planning and finance.
8. Strengthen national Information system, including:
   a. establish/strengthen baseline climate, disaster, socio-economic and sectoral level databases together with traditional knowledge; and
   b. build capacity in integrated knowledge management, as well as in making informed choices using available tools, such as multi-criteria analysis.

9. To give full effect to the intent of a JNAP, and for effective coordination of cross cutting CC and DRM issues within the context of national development, as well as increase capacity for improved access to development funds, countries should:
    a. ensure direct links between JNAP goals and strategies to goals, strategies and actions identified in the sub national/sectoral plans and Corporate Plans;
    b. strengthen links between the JNAP and sub national/sectoral levels of governance and identify at least one staff in each ministry who has integration of CC and DRM as part of their job description or core function.
    c. build capacity of sectoral line ministries, in partnership with the Ministry of Finance and Planning, to mainstream CC and DRM and develop prioritised rolling sectoral and agency Business Plans, together with rolling multi-year budget plans, consistent with the MTBF.

10. To improve the effectiveness of JNAP implementation, develop a good understanding across all levels of government about the:
    a. relevance of the blended key principles and strategies enshrined in international and regional instruments including those related to climate change; disaster risk reduction and disaster management; biodiversity conservation and environment; sustainable resource management; and
    b. relevance of the Paris (and Pacific) Principles of Aid Effectiveness and Forum Cairns Compact on Development and Cooperation .
11. To increase efficiency and effectiveness of regional technical support to countries, CROP agencies (and partners):
    a. ensure, in the short term, core expertise and skills are included in the regional JNAP core team, including an appropriate mix of expertise and experience in CC, DRM, development, strategic planning and finance.
    b. consider, in the medium to longer term, proactively developing country-specific joint strategies and programmes, jointly seek external funding, and proactively put together the best team to assist countries to simultaneously address development, disaster and climate risks and environmental issues for sustainable development and resilience.
12. Countries and partners strengthen their funding modalities, including:
    a. When developing a national climate change (and DRM) Trust Fund or any other such centralised financing mechanism, it is critical that:
        i. it meets the standard finance management conditions of transparency and accountability; and
        ii. the scope of projects and programmes to be supported under that Fund covers development and environment management initiatives for reducing vulnerabilities, including climate compatible development, as well as other DRR and CCA, CCM and risk management activities.
    b. Forum Leaders and partners review funding modalities and secure programmatic support to CROP agencies for their technical backstopping role, ensuring adequate capacity and flexibility to respond to country-calls for assistance.

INTEGRATED PACIFIC REGIONAL STRATEGY

13. Country-level lessons in the development, implementation and financing of the cross-cutting JNAP instrument have relevance for the development of an integrated Pacific regional strategy for CC and DRM, including:
    a. the importance of:
        - establishing an appropriately resourced coordinating unit/secretariat;
        - the coordinating unit/secretariat including core staff with expertise in CC and DRM as well as strategic planning and finance;
        - adopting an integrated development and risk management framework and blending of key principles and strategies enshrined in international and regional agreements;
    b. recognising the relevance of the Paris (and Pacific) Declaration on Aid Effectiveness and Forum Cairns Compact on Strengthening Development Coordination, and using a national system of planning and budgeting, and finance management.

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ANNEX 1: TERMS OF REFERENCE

REVIEW OF THE JOINT NATIONAL ACTION PLAN ON CLIMATE CHANGE AND DISASTER RISK MANAGEMENT (JNAP) PROCESS AND OUTCOMES IN PACIFIC ISLAND COUNTRIES

1. Background:

SPREP & SPC in line with respective organisations' leading role on climate change and disaster risk management have supported PICTs to develop joint national action plans on climate change and disaster risk management (JNAP). A JNAP regional team was established including SPREP, SPC and UNDP as the core partners; other partners have since joined the JNAP regional support team, such as GIZ and World Bank. The first JNAP was developed in 2010 and Tonga approved its JNAP, a first in the region, in 2011. As of today Cook Islands and Tuvalu have also approved their JNAP. While RMI and Niue are awaiting approval, other countries such as Nauru, Kiribati, Solomon Islands and FSM are at various stages of their JNAPs development.

2. Purpose of the consultancy:

To review the JNAP development process, outputs produced and outcomes achieved to date, and identify key lessons learned.

3. Specific objectives:

Focusing on the JNAP development and implementation in Tonga and Cook Islands:

1. Review the JNAP development process adopted in the country to identify:
    a. lessons learnt and
    b. areas of the JNAP development process for further strengthening;
2. Document the performance, quality and lessons realized through the development of the JNAP by the countries and development partners, for example, in
    a. bringing together stakeholders at the regional, national and community levels to share expertise, information, knowledge and resources;
    b. developing institutional capacity to systematically address current hazards as well as climate change trends in an integrated manner, recognising traditional governance and decision-making processes;
    c. strengthening relationships across development partners, including between SPREP and SPC as the two regional CROP agencies that has the carriage of CC and DRM regional support to the PICTs.
3. Evaluate the performance, quality and lessons of JNAPs in countries, including the following:

RELEVANCE

a. integrated development and implementation of initiatives addressing CC and disaster risks and development objectives across sectors;
b. addressing the focal areas of national development plan; and
c. Consideration of recent science through PCCSP projections, new financing envelopes and World Bank Policy and Practice note for climate and disaster resilient development in the Pacific Islands region.

EFFECTIVENESS

a. mainstreaming climate change and disaster risk management and effecting policy change across each country;
b. Evaluate JNAP implementation arrangements in-country, including sustainability and effectiveness of governance and institutional capacity improving engagement with aid management and coordination divisions/ agencies; and
c. Assess how the JNAP process, outputs and outcomes incorporated the needs of women, youth and vulnerable groups.

EFFICIENCY

a. Evaluation how JNAPs have been used to leverage resources and obtain coordinated support from development partners for integrated DRM and CCA and CCM initiatives.

MONITORING AND EVALUATION – HOW DOES EACH JNAP MONITOR AND EVALUATE?

a. Systematic consideration of the spectrum of measures relevant to development and risk management (DRR & DM, CCA & CCM); and
b. Evaluate the effectiveness of communication strategies associated with JNAP, including donor engagement.

SUSTAINABILITY – ARE JNAPS SUSTAINABLE?

a. Identification and analysis of the key constraints and areas of national governance to be strengthened, referencing existing assessments completed; and
b. Provide recommendations for future engagement and capacity building for national planning of climate change and DRR, building on JNAPs.

4. Output:

An easy to read report , with a tentative title, *JNAP development and implementation in the Pacific: Lessons learnt and way forward.*

ANNEX 2: PEOPLE CONSULTED

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ANNEX 3: RELATIONSHIP BETWEEN DEVELOPMENT, DISASTERS, ENVIRONMENT AND CLIMATE CHANGE

This annex draws on a draft concept paper prepared by the author for ODI in support of the AusAID-ODI project on *DEC Integration, what does it mean?* It provides a brief overview of the interactions across ecological, social and economic systems that underpin sustainable development and underlying the two-way relationship between development and D, E, C risks; and the relationship between development and the complex web of interaction across underlying processes behind disaster, environment and climate change risk. The discussion also covers the multidimensional relationship between poverty reduction, disaster risk management (DRR & DM); resource and environmental management (EM), and climate change mitigation (CCM) and climate change adaptation (CCA), guided by the respective national and international policy instruments, and their impact on sustainable development and resilience.

Poverty, vulnerability and resilience

Poverty, in its broadest sense, is considered a level of deprivation such that a person is unable to meet minimum standards of well-being, which is defined as (AusAID 2001; World Bank 2001):

- adequate resources for attaining the basic necessities of food, water, shelter, and clothing;
- access to acceptable levels of health and education;
- accountability from state institutions and civil society, and
- freedom from excessive vulnerability to adverse shocks.

This definition of poverty captures key issues also considered by the global communities (such as those represented in the Intergovernmental Panel on Climate Change (IPCC) and UN Secretariat for International Strategy for Disaster Risks (ISDR)) to determine vulnerability. Vulnerability is defined[7] as 'the propensity of exposed elements to suffer adverse effects when impacted by hazard' (Lavell, Oppenheimer et al. 2012p. 32.). This definition reflects the physical causes (such as precipitation and storms), and their effects on hazards (such as floods and storm surges), as well as social, economic and environmental context of people and their livelihoods, their access to resources, their everyday patterns of social interactions and organisations (Cardona, Aalst et al. 2012).

Poverty, as defined above, is one of the determinants of peoples' predisposition, sensitivity and susceptibilities to shocks and stresses, weaknesses and lack of capacity; governance, institutional and environmental factors are also key determinants of vulnerability of communities and societies (Cardona, Aalst et al. 2012).

An integral aspect of the debate on development and risk management is also one of resilience of the systems and communities to respond to, cope with and improve after external shocks (IPCC 2012). Vulnerability and resilience approach to risk management emphasise different entry points and thus focus on different dimensions of the system. A vulnerability approach usually focuses on the dynamics of social-political systems, whereas resilience discussions emphasise ecological-biophysical systems (Miller, Osbahr et al. 2010). Resilience is now defined more broadly to also include capacity to make improvements to essential structures, processes and functions in the light of climate change (IPCC 2012). This convergence in thinking about vulnerability and resilience highlights the same concern of those dealing with vulnerability and resilience – the response of human and ecological systems to stresses and external shocks and the role of institutions, social capital and leadership and learning in development and risk management (Miller, Osbahr et al. 2010). This agenda of resilience thus complements the

7 This definition reflects the convergence of thinking of academics and practitioners working across disaster risk reduction, climate change adaptation and environmental management themes brought together by the IPCC for its SREX report IPCC (2012 b). Managing the Risks of Extreme Events and Disasters to Advance Climate Change Adaptation. A Special Report of Working Groups I and II of the Intergovernmental Panel on Climate Change [Field, C.B., V. Barros, T.F. Stocker, D. Qin, D.J. Dokken, K.L. Ebi, M.D. Mastrandrea, K.J. Mach, G.-K. Plattner, S.K. Allen, M. Tignor, and P.M. Midgley (eds.)]. Cambridge, UK, and New York, NY, USA, Cambridge University Press.

sustainable development agenda which emphasises the sustainability of natural systems to provide ecosystem services for intergenerational needs and aspirations.

In summary, regardless of whether the entry point for development intervention was about improving economic wellbeing, improving health and sanitation, environmental conservation or about disaster and climate risk management, the common focus across development efforts can be regarded as poverty reduction for sustainable development and resilience. When pursuing a poverty reduction agenda for sustainable development and resilience, an understanding about risks, their key determinants and their interactions across economic, social and environmental systems is crucial.

Risks, Disasters and development

All sectors of society are at risk from hazards, originating from natural and human forces and some of which result in disasters. Risk is a product of the interaction between events, exposure and vulnerability (IPCC 2012). Risks may be due to natural and human induced hazards, environmental factors, or financial and political forces. Disasters occur when risks are realised. Disaster is defined as the disruption of the functioning of a community or society due to hazardous physical events causing widespread adverse human, material or environmental effects which exceeds the capacity of community and society to cope using its own resources, and thus requiring an emergency response to satisfy critical human needs (UNISDR 2009; IPCC 2012 b).

Disasters may result from slow onset of conditions, such as drought or pest and disease infestation, or be triggered by extreme events, such as cyclones. Where climate change is considered to be the underlying cause of extreme events, such disaster risks are referred to as climate change risks. On the other hand, when loss in ecosystem services due to environmental degradation and unsustainable use of natural resources is behind the hazardous event such risks may be referred to as environmental risks.

There are also other drivers of risks that directly and indirectly affect development. These include population growth, urbanisation and inequitable economic growth, that force people to live in hazard-prone conditions that increases their vulnerability (see e.g. IFRC 2004; Carius, Tänzler et al. 2008; World Bank 2010; DFID 2011; UNISDR 2011; ESCAP and UNISDR 2012; IFRC 2012).

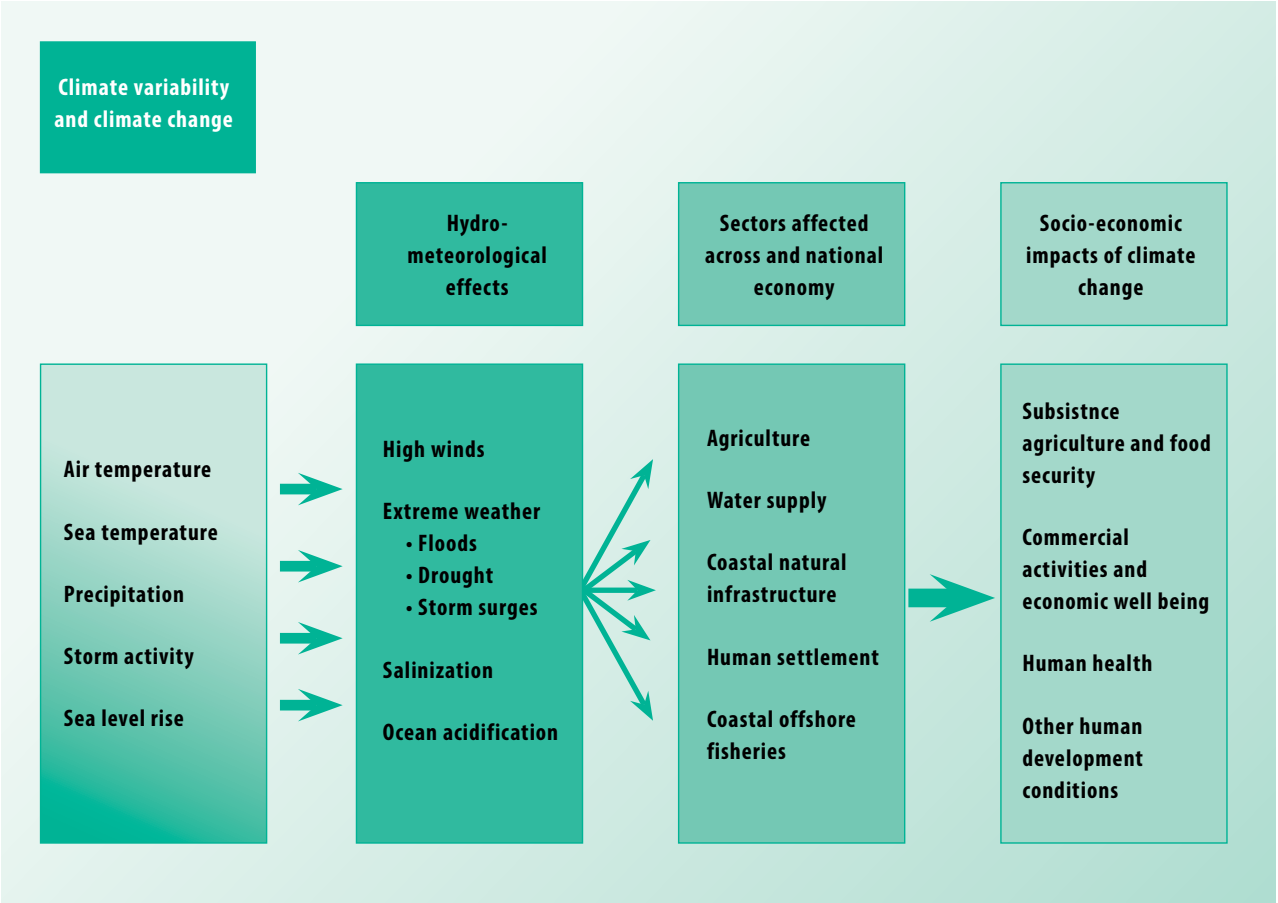
The impact of disasters can be significant, causing loss of lives and livelihoods, as well as economic losses at the household and sectoral levels and across the national economy. Pathways through which the effects of hazards are realised through coupled human and ecological systems are multiple, and depend on the interaction between social, economic and environmental context. Box 13 illustrates, for example, the multiple pathways through which the effects of natural climate variability and climate change on social and economic wellbeing could be experienced.

The extent of impacts depends on not only the intensity of hazard events but also on the status of economy, industry and human development condition.

While most countries have made progress towards achieving many of their MDGS (United Nations 2012), the long-term sustainability of this progress, is dependent on what steps are taken to also reduce risks the communities and countries face, in addition to improving preparedness, response and rebuilding efforts. The pathways through which development reduces risks are multiple, including increased household income and economic growth, environmental conservation, health improvements, food security and infrastructure. Development choices made by individuals, communities and countries can also generate new risks ((UNDP 2004). For example, increased economic growth on the back of forestry development (without sustainable forest management practices) can result in degraded catchment, increasing soil erosion. Excessive soil erosion could result in downstream siltation, increasing the potential for flooding during heavy rains.

In summary, consideration of the two-way relationship between economic development and risk is crucial if sustainability in development outcomes is to be achieved. The pathways through which development reduces risks are multiple, depending on the entry point for development and sectoral focus, including increased household income and economic growth, environmental conservation, human health improvements, food security and infrastructure. Considerations of such two-way relationships between development and risks are equally important in development assistance programs.

BOX 13 Climate changes, their hydro meteorological effects, sectors that may be affected and the social and economic impacts on people



Source: Lal 2012

Environment and development

Environment and development, too, have a two-way relationship with each other (as well as with other types of risks). This is recognised in various international instruments, such as the Convention of Biological Diversity (CBD) and Millennium Development Goals. Both these instruments acknowledge the relationship between poverty reduction and biodiversity[8] conservation as two development goals. The exact causal relationship between poverty (and vulnerability) and environmental conservation is though unclear. The CBD Secretariat notes that the relationship is not a simple and straight forward one, where one can say 'poverty causes biodiversity loss or improvements in biodiversity reduce poverty' (CBD 2010, p. 7.) The relationship is much more complex, with many different pathways through which environment supports human wellbeing, which needs to be explicitly considered before implementing specific economic and social development or risk management initiatives.

Human wellbeing is defined in many different ways in the environment literature, emphasising different goods and services nature provides (Millennium Ecosystem Assessment 2005) – the basic material needs, such as food, fibre, and medicines, social and cultural services; security (including security from natural and human-

8 Biodiversity is defined by CBD as the 'variability among living organism from all sources including, *inter alia*, terrestrial, marine and other aquatic ecosystem and the ecological complexes of which they are part; this includes diversity within species, between species and of ecosystems'.

made disasters). Access to, and freedom of, choice is also seen as an integral dimension of human well being. These elements of nature and ecosystem services are similar to the key dimensions of poverty or vulnerability as defined above.

Millennium Assessment defined ecosystem services in four categories of functional values to humans (Millennium Ecosystem Assessment 2005). These include:

- *provisioning services* – that provide food, water, timber for shelter and firewood, and fibre;
- *regulating services*- that affect local climate, floods, pests and disease, wastes, and water quality;
- *cultural services* – that provide recreational, aesthetic, and spiritual benefits; and
- *supporting services* (i.e. underlying ecological processes) such as soil formation, photosynthesis, and nutrient cycling.

The globally accepted traditional wisdom has been that there is a high level of dependence of the poor on environment-based resources (Millennium Ecosystem Assessment 2005; Ash and Jenkins 2007; Colls, Ash et al. 2009; CBD 2010). Recent evidence though suggests that the relationship between poverty and environment is much more mixed and nuanced.

Climate change and development

Some weather and climate extremes have changed, and are projected to further change in the future due to the effects of human-induced global warming. The effects of global warming on climatic conditions is generally accepted, as is the acknowledgement that human induced changes in climate will affect the types, intensities and frequency of hazards normally experienced by communities, countries and regions. Extreme and non-extreme climate events due to climate change will, as mentioned earlier, further exacerbate the vulnerability of communities, and negatively affect development outcomes.

Disaster risks associated with hydro-meteorological hazards cause significant losses throughout developed and developing countries, showing large spatial and inter-annual variability as well. Detailed understanding and empirical evidence about their effects on the lives and human well being is still emerging. Nonetheless, there is sufficient evidence to suggest that extreme weather and climate events affect all sectors of an economy. The pathways through which such impacts will be experienced are diverse and complex (see Box 1) and not adequately understood. Although greater impacts are expected on sectors with close links to climate, such as: water, agriculture and food security, forestry, health and tourism (Handmer et al 2012). In the fisheries sector, for example, the impacts would be experienced due to increases in sea surface temperatures and ocean currents, ocean acidification, coral bleaching and changes in habitats, such as seagrass and, coral reefs and mangroves (Johnson and Marshall 2007; Bell, Johnson et al. 2011). The impact on national economies and community wellbeing can be significant, too, because of the interactions between social and economic conditions and dependence on coastal ecosystems. For example, many African, Asian and Pacific countries have been shown to be highly vulnerable to the effects of the effects of global warming due to the relative importance of fisheries to national economies and diets and limited opportunities and societal capacity to adapt to potential impacts (e.g. see Johnson and Marshall 2007; Allison, Perry et al. 2009; Bell, Johnson et al. 2011).

In summary, it is clear that climate change, too, has a two-way direct relationship with development, even if the detailed empirical evidence is limited. It is also recognised that such interactions must be explicitly considered if reduction in vulnerability and improvements in capacity to cope with external shocks and stresses are to be achieved and sustained. However, responses to climate change must also take into account the complex web of interactions across ecological, social and economic systems and interactions across other causes of risks.

Complex web of interaction across disasters, environment and climate change and development outcomes

The impact of disasters, poor environment and climate change on the poor and the vulnerable is undisputed, even though the commonality of the human vulnerability dimension may not always be recognised or emphasised. In the case of environment, for example, traditional debate has been on the state of the environment and biological diversity per se and less on reliance of the poor on the ecosystem goods and services for their livelihoods or on the benefits healthy ecosystems generate for risk reduction.

The exact relationship between development and disasters, environment and climate change is, however, often not linear. As discussed above, development outcomes are not only dependent on the respective sources of risks but also on the complex web of interactions of forces and processes across physical, ecological and economic systems and multiple pathways through which such effects manifest. Such interactions also have an important influence on disaster and climate change impacts, and vice versa. For example, the effects of disaster causing events, such as storm surges or tsunamis, on lives and livelihoods of coastal communities can be mitigated by the presence of healthy mangroves (Das & Vincent 2009) (Badola and Hussain 2005). In Orissa, for example, villages with the presence of a wide belt of mangroves between the village and the coast experienced statistically fewer deaths during the 2004 Asian tsunami than a nearby village with fewer mangroves (Das and Vincent 2009). Whereas in the region of Bhitarkanika mangroves, villages not sheltered by mangroves suffered five times more in economic losses due to damage to houses and crops than those that were protected by coastal mangroves (Badola and Hussain 2005).

The complex interactions across human and ecological systems also influence the effects of extreme events on the resilience of ecosystem and associated ecosystem services (CBD and Ramsar 2007); (AfDB, ADB et al. 2003; Buddemeier, Kleypas et al. 2004; Johnson and Marshall 2007). For example, a recent review of a number of studies demonstrates that while ecosystems are usually exposed to various types of human induced stresses[9], drastic events can trigger ecosystems to shift to a less desirable state due to their reduced state of resilience, causing significant economic loss (Scheffer, Carpenter et al. 2001).

Each of these risks is not static. Vulnerability changes over time and space, due to climate change as well as other drivers of risks. Climate change over time, as mentioned earlier, will increase not only frequency, intensity and duration, but also through indirect effects of vulnerability and exposure (Cardona, Aalst et al. 2012; Handmer, Honda et al. 2012; Lavell, Oppenheimer et al. 2012; Seneviratne, Nicholls et al. 2012). Environmental risks, too, change with changing socioeconomic conditions and pressures, which affect human vulnerability of particularly the poor (Hanna, Folke et al. 1995; Robinson 1995; Saurin 1996).

The capacity to adapt, too, is a function in part of a society's level of wealth, education, institutional strength and access to technology (Burton 2004). At the community level, the resilience of people to withstand stresses and shocks, as discussed above, very much depends on their livelihood conditions, which is influenced by their access to financial, economic, social and human assets and their conditions (IISD, IUCN et al. 2003; Elasha, Elhassan et al. 2005; O'Brien, O'Keefe et al. 2008; Christopolos, Anderson et al. 2009). Nationally, the nature and the extent of a society's development, too, heavily influence both its degree of exposure to climate and other disaster risks and its capacity to adapt (Burton, Diringer et al. 2006). Such arguments are also presented in AusAID's Fast FACT sheets for its staff (see AusAID 2010 a; AusAID 2010 b; AusAID 2010 c; AusAID 2010 d; AusAID 2010 e; AusAID 2010 f; AusAID 2010 g; AusAID 2010 h).

In summary, while individually, each of the sources of risks, D, E, C, affect development outcomes, the interactions between and across these sources of risks could amplify their impacts. Figure 2 (above) reflects the relationship between D, E, C and development and the complex web of interaction across D, E, C and development.

Pursuing a poverty reduction agenda for sustainable development and resilience is about having a governance and knowledge-based decision-making process that supports a simultaneous consideration of disaster, climate,

9 Such as through human increased nutrient loads, habitat fragmentation and degradation

and environment risks and other drivers of vulnerability. A systems approach in governance and institutional design would involve:

- recognising risk as an integral dimension of sustainable development and resilience;
  - recognising risks as a product of vulnerability and exposure to hazard due to natural and human induced events, and social, economic and environmental dimensions;
- understanding spatial and temporal dimensions of disaster, environment and climate risks, the interactions across the different sources of risks and the interactions across economic, social and environmental systems;
- recognising a linked national system of governance involving all levels of government and society (vertical) and across all sectoral agencies (horizontal);
- recognising the relevance of stakeholders-based collective decisions in the face of uncertainty, development decisions would be reviewed and adjusted as new information became available;
- recognising the relevance of multiple knowledge sets derived from interdisciplinary scientific analysis and experiences of communities and managers.

Adopting such an integration agenda would not necessarily mean revolutionising national governance systems at once. One could be pragmatic about the change. Embracing the philosophy of integration, countries could strengthen their existing governance and decision-making processes and capacity, acknowledging different sectoral and thematic entry points for addressing vulnerability and risk management concerns. An integral part of this step-wise strengthening in governance includes:

- improving institutional arrangements to facilitate collective decisions about cross sectoral issues and developing prioritised cross-cutting strategic actions plans for implementation at the sectoral level;
- coordination of DRM & CC integration in development by a central agency with appropriate mandate, and supported by budgetary and development partner support;
- building institutional and technical capacity, including:
  - basic understanding about context-specific dynamics of ecological, economic and social systems;
  - understanding about the relationship across different objectives to facilitate trade-offs;
  - Multi-stakeholder-based decision-making process that reflects compromises required to identify the most appropriate development response strategies.

ANNEX 4: JNAP DEVELOPMENT AND IMPLEMENTATION IN TONGA

BACKGROUND

The SPREP Review

The purpose of the review of Tonga's JNAP development and implementation process is to assess lessons learnt by Tonga that has successfully developed their JNAP and are implementing key JNAP strategies. This is one of two such case studies; the other country examined in detailed is Cook Islands. Tonga and Cook islands have also been successful in negotiating development partner support for their JNAP implementation. These case studies are a part of a broader review of the JNAP development and implementation in the region. Annex 1 provides the TOR for the study.

Methodology

This Tonga review of JNAP development and implementation is based on a mixed methodology, including:

- Desk-review of completed JNAP document and related publications and reports;
- Consultation with key government officials and JNAP stakeholders and development partners. A List of people consulted in the Tonga is summarised in Tonga-Annex 2. This consultation was guided by the use of a semi-structured questionnaire.
- General review of literature on mainstreaming of DRM and CC issues in the Pacific

Guiding questions used to analyse development, endorsement and implementation of JNAP were divided into five parts: JNAP development and endorsement; JNAP implementation; JNAP Financing; regional partners; and sustainability of JNAPs. The analysis was guided by two analytical frameworks. For analysing the JNAP development, a combined risk management and policy cycle-based process was used (OECD 2009; Olhoff and Schaer 2010). A Step-by-step guide to combined policy and risk management process is provided by Lal(Lal 2012 (October)). For the assessment of the JNAP implementation, a 'Pillars and Bridges and Capacity analytical framework (for short, Pillars & Bridges Framework) was used to assess the effectiveness, efficiency as well as sustainability of the implementation of JNAP, focussing on functional aspects of governance and decision-making processes. The Pillars and Bridges Framework recognizes the importance and centrality of the national system of planning and development, including finance management, and knowledge based decisions at all levels of government and communities (See Annex 3).

Constraints

The government officials, NGOs and civil society representatives, together with key Climate Change consultants currently involved in Tonga Climate Change activities were very helpful in providing available data in a timely manner. Nevertheless, there were some limitations and constraints due to:

Timing of the review over 6 weeks in May and June;

Unavailability of key stakeholders due to competing demands or travel overseas.

Key Findings

The key findings are discussed below under the subject of JNAP development and JNAP Implementation, including discussion about financing and sustainability of JNAP efforts.

JNAP development process and ownership

Tonga was the first country in the region, and the world, to develop their Joint National Action Plan for Disaster Risk Management and Climate Change Adaptation (JNAP) 2010-2015. The idea for developing a JNAP emerged at the time Tonga was considering developing its Disaster Risk Management Action Plan (DRM-NAP) under the Hyogo Framework of Action (HFA) and Regional Framework of Action for Disaster Risk reduction and Disaster Management (RFA-DRM). At the same time, the country was also considering developing its National Adaptation Plan of Action for climate change (NAPA) under the UNFCCC and Pacific Islands Framework of Action on Climate Change (PIFACC). A SOPAC-led High Level Advocacy Team representation to the Cabinet in October 2009 emphasised the need to combine the NAP and NAPA into a single instrument. The rationale behind the development of the JNAP by Tonga included: (Government of Tonga 2010) p 28.

- An acknowledgement of the close linkages between climate change impacts and disaster risk management;
- The need to avoid/minimise duplication of efforts resulting from a plethora of standalone national policies, regional and international instruments;
- To increase efficiency in development efforts and maximise the use of limited resources.

The Cabinet endorsed the development of the Joint National Action Plan for DRM and CCA and sought support from SOPAC and SPREP.

The development of the JNAP took place during 2009-10 and the Government endorsed the instrument in late 2010. The JNAP was developed within the context of Tonga's national development and is aligned with its National Strategic Planning Framework, 2009-14 (NSPF). The NSPF provides Tonga's overarching framework for development and resource allocation. Goal 7 of the NSPF calls for the integration of environment sustainability, climate change and disaster risks into national planning and execution of programs.

Tonga essentially followed the guideline for developing a DRM national action plan prepared by SOAPC and Partners (SOPAC and Partners 2009), after establishing a multidisciplinary Task force for CCA and DRM. The Task Force is a merger of the National Environment Coordinating Committee (NECC) and National Emergency Management Committee. The combined team comprised departmental heads from government ministries, such as the Ministries of Environment and Climate Change (MECC), Health, Education, Fisheries, Agriculture, Works, Tonga Meteorological Service, and National Disaster Management Office, NGOs and statutory organisations, with clearly spelled out terms of reference. The Task Force was established as a subcommittee of the Cabinet, with specific instructions to maintain current members and their designation to ensure continuity in the process. Its role was also explicitly defined to:

- provide operational and technical guidance for the development and implementation of the JNAP;
- provide leadership and a coordination role for in-country consultation;
- serve as a link to national government on reporting of progress.

Having a Cabinet subcommittee of technical people to coordinate the JNAP development provided the high-level support from across the government. It encouraged access to existing information and data, key national reports and information, and ensured robust analysis underpins the JNAP development processes. The joint ownership of the JNAP process was also ensured through the Task Force being chaired by the Director of MECC and Director of NEMO in alternative meetings.

The JNAP development followed a combined risk management and policy cycle steps, summarised in Box 14, using a range of data and information sources (Box 15)

BOX 14 JNAP Development Process in Tonga: integrated risk management and policy cycle Steps

1. Preparatory Phase: Political support, including with the assistance of a regional High Level Advocacy Team
2. Situation analysis:
   i. Vulnerability assessment as advocated by the IPCC and under HFA (CHARM tool)for disaster risk assessment
   ii. Review of key national reports, such as First National Communication; National Capacity Self Assessment under MEAs, National Climate Change Policy; NBSAP, National Emergency Plan and Environment Management Committee
   iii. Stakeholder (government and non-government agencies, private sector, etc)
3. Stakeholder-based problem (and root cause) analysis and solution analysis led by regional partners
4. Prioritisation of issues, possible solutions/ actions and identifying gaps currently not addressed under externally funded projects
5. JNAP text development
6. Costing of JNAP actions
7. Cabinet approval

Source: Based on (SOPAC and Partners 2009; Government of Tonga 2010)

BOX 15 Types of documents and information compiled and referred to during their mainstreaming exercise, in addition to DRR and DM and climate change related projects in Tonga

- Vulnerability Assessment on Tonga's Initial National Communication, 2005;
- Climate Change Thematic Assessment Report under National Capacity Self Assessment Project, 2007;
- National Climate Change Policy, 2006;
- Climate Change Chapter under National Assessment Report, 2004;
- Joint Community consultations on Climate Change, Biodiversity and National Capacity Self Assessment Projects, 2006;
- Observed and historical climatic trends;
- Future climate and sea level scenarios;
- Assessment of potential impact of disaster risks using CHARM; and
- Technical analysis by regional partners.

Source: Government of Tonga (2010)

JNAP DEVELOPMENT: STAKEHOLDER PERCEPTION

The JNAP development process was considered by stakeholders consulted to be an inclusive one, and consequently there is a strong ownership of the JNAP instrument.

The JNAP development processes generated several benefits, including:

- increase understanding across stakeholders about the close relationship between disaster risk management and risks associated with climate change and its flow on effects across climate sensitive sectors in particular;
- increase understanding about the overlap in organisational mandates and responses when integrating climate and disaster risks within their own programs;
- Increase understand about the relevance of, and the existence of different types of information, and data maintained by different arms of the Government;
- encourage closer collaboration between NDMO and CC unit in country;
- increase interagency dialogue and develop rapport with likeminded people.

Stakeholders consider the JNAP to be a very good document that can be used to guide:

- integration of development and risk management; and
- engagement with and support from development partners for Tonga's priorities.

Development partners, too, are using the JNAP as a reference document to align their support consistent with their own ODA and CCF strategies.

The JNAP Document

The structure of the JNAP document combining DRM NAP and CC issues includes: JNAP Matrix, JNAP Implementation Strategy, including guiding principles for implementation, Indicative Costing, JNAP Governance structure, Financing Strategy, a skeleton M&E system and a reference to a Communication Strategy.

THE JNAP MATRIX

The JNAP Matrix comprises six goals – Governance; knowledge, information, education and awareness; vulnerability assessment of climate change and disaster risks; community preparedness and resilience (disaster management); and energy security. Under each goal, specific objectives are identified where the country intends to focus, and actions and sub actions then reflect addressing those objectives. The JNAP matrix also identifies the designated responsible government agency and potential national partners and regional and international development partners.

Given the origin of the JNAP, it is not surprising it reflects a combination of goals and themes listed in the RFA-DRM and PIFACC (Table 11). Tonga, in addition to DRR and DM issues and CCA, also includes a goal on Energy Security, recognising that climate change issues relate to both mitigation and adaptation. This is similar to Tuvalu's approach where they too have a goal on energy security and low carbon future.

An explicit connection is at times difficult to deduce between particular goals, strategies, action and sub actions and the expected outcome. For example, the JNAP includes actions that deal with resource and environment management. This reflects an implicit recognition of ecosystem-based solutions, too, as a basis for DRR and CCA, advocated globally(UNEP 2009; CBD-COP 10 2010). However, such thinking is not explicitly described in the JNAP document, and the underlying logic behind many actions, and relationships are not always clear. Having clear relationships can help agencies when developing proposals that provide an appropriate sequence of activities and interagency collaboration that collectively supports a programmatic approach to development and multi-year budget management.

> When the JNAP is reviewed next, provide stronger line of sight between Goals, strategies and expected outcome/ output, actions and sub actions.

TABLE 11 Comparison of the Tongan JNAP with the regional instruments, RFA on DRR and DM and PIFACC

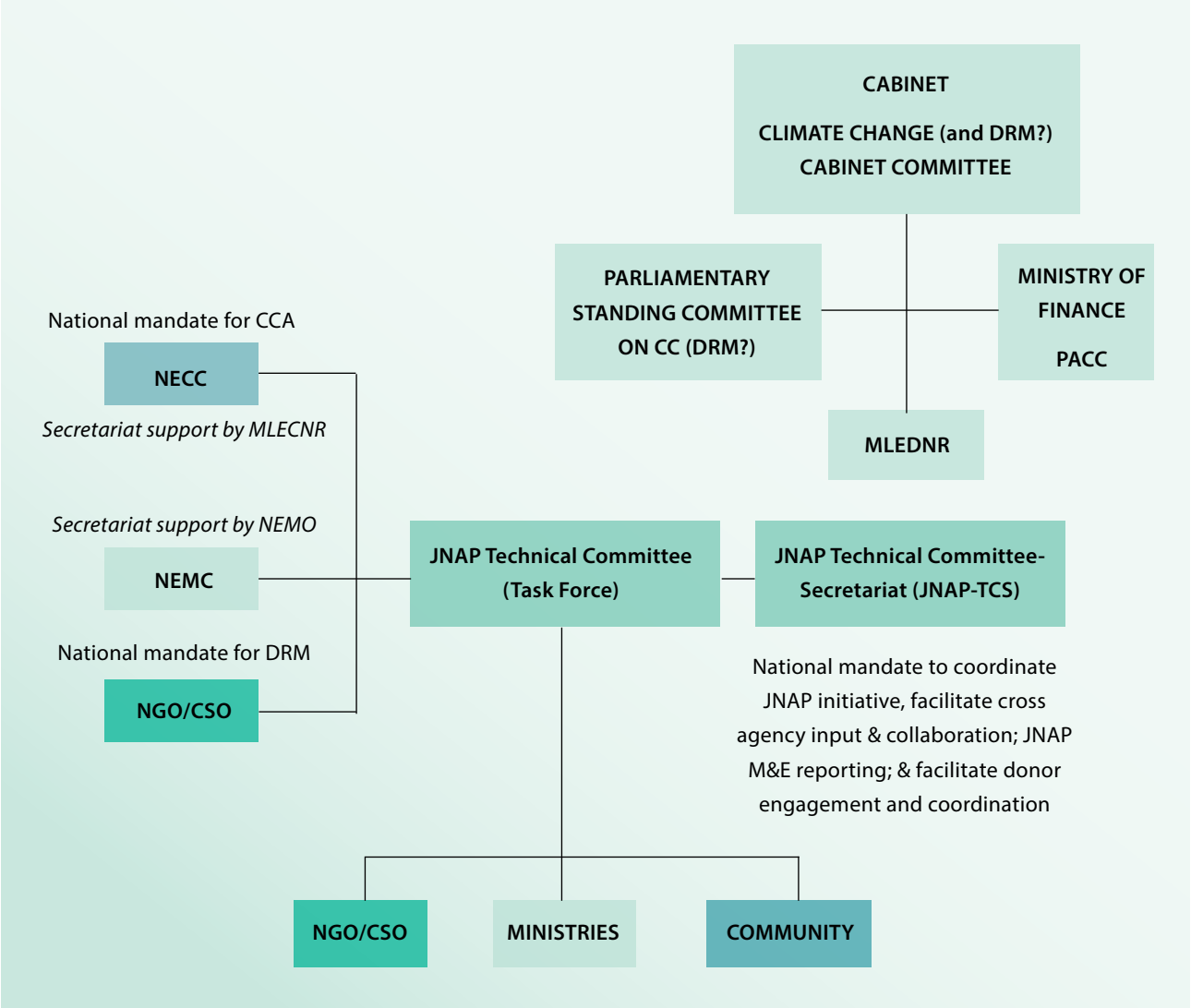
Theme	RFA on DRR and DM	PIFACC	Tongan JNAP
Governance	**Theme 1**: Governance: Organisational, Institutional, Policy and Decision-making Frameworks	**Goal 2:** Governance and decision-making	**Goal 1**: Improved Governance
Knowledge (technical and traditional)	**Theme 2**: Knowledge, Information, Public Awareness and Education	**Goal 3**:Improving understanding of climate change	**Goal 2:** Enhanced Technical Knowledge (Education and awareness)
Education and Capacity Development	**Theme 2**: Knowledge, Information, Public Awareness and Education	**Goal 4**: Education, training and awareness	**Goal 2:** (Enhanced Technical) Knowledge, Education and awareness
Context specific analysis of hazards, vulnerabilities and elements at risks	**Theme 3**: Analysis and Evaluation of Hazards, Vulnerabilities and Elements of Risk	**Goal 3:** Improving understanding of climate change	**Goal 3:** Analysis and assessment of vulnerability and implement appropriate water, health, livelihood, coastal, fisheries and coral reef management
Disaster risk reduction/ Adaptation action	**Theme 5**: Reduction of Underlying Risk Factors	**Goal 1:** Implementing tangible, on-ground adaptation measures	**Goal 3:** Analysis ... implement appropriate water, health, livelihood, coastal, fisheries and coral reef management
Disaster management	**Theme 4**: Planning for Preparedness, Response, and Recovery		**Goal 4**: Enhanced Community Preparedness and resilience to impacts of all disasters
Mitigation of GHG		**Goal 5:** Mitigation of global greenhouse gas emissions	**Goal 5:**Affordable, environmentally friendly energy security for sustainable development
Partnership		**Goal 6**: Partnership and cooperation	**Goal 6:** Strong Partnerships and collaboration within Government agencies, civil societies, NGOs, and private sector

JNAP Governance

- While actions under the JNAP are to be implemented by relevant ministries and NGOs, its overall coordination and implementation is to be supported by a proposed governance arrangement. A two-tiered governance arrangement was proposed in the Tongan JNAP, with clearly defined roles.
- A joint meeting of the National Environment Coordinating Committee (NECC) and National Emergency Management Committee (NEMC). NECC is approved by Cabinet as the national coordinating committee for all donor-funded environmental programs for MECC. The NEMC is prescribed under the Emergency Act 2007 to build DRM capacity.
  - The role of the joint NECC-NEMC is to provide policy and high level coordination for JNAP implementation.
- An Interdisciplinary Task Force (commonly referred to as the JNAP Technical Committee, JNAP-TC, during the implementation stage), as a subcommittee of the Cabinet. Its role is to
  - monitor and report on the progress of JNAP implementation, funding plan and challenges faced; and
  - report to the Cabinet in consultation with the joint NECC-NEMC about JNAP implementation.

Operationally, the governance structure evolved into a JNAP–TC Secretariat, which reported through the Ministry of Lands, Environment, Climate Change and Natural Resources, MLECNR, (formerly MECC) to the Parliamentary Standing Committee on Climate Change and Cabinet's Climate Change Committee (See Figure 3).

FIGURE 3 Governance arrangement for the coordination of JNAPimplementation in Tonga



JNAP Implementation–public profile, challenges and way forward

The JNAP has a very high profile in Tonga. Implementing Ministries and NGOs alike use the JNAP as the reference point for particularly climate change related projects. Projects identified for external support closely take their cue from the JNAP.

There are several reasons for the high profile and local ownership.

Firstly, Tonga established a 3-person JNAP-TC Secretariat (JNAP-TCS) to support the implementation of the JNAP. The establishment of the JNAP-TC Secretariat was made possible by the bilateral funding of about $2 million for the Secretariat and on-the-ground activities. With the availability of dedicated staff and resources, the JNAP-TCS could focus on the coordination of the JNAP implementation, even though the JNAP-TCS role has not been formalised.

Secondly there are strong champions within the JNAP-TCS, in the CEO of MLECNR, NEMO and in the Minister for MLECNR at the Cabinet level that promoted JNAP and its implementation.

Thirdly, the JNAP-TCS has actively engaged key stakeholders across sectoral line ministries and departments, NGOs and civil society, in JNAP-related discussions. The Secretariat through the JNAP-TC also facilitated discussions regarding major donor-funded projects, involving a wide range of actors with relevant disciplinary/thematic expertise and experience. The JNAP-TCS has had limited engagement with NGOs engaged in DRM activities, as well as the engagement of the NEMO in externally funded projects where risk reduction and risk management initiatives may also have been relevant.

JNAP-TC meetings have provided a useful forum to discuss JNAP priorities and development partner interests. Such discussions have also led to the development of project concepts for potential funding. JNAP-TC meetings have encouraged identification of relevant project partners and collaboration involving government agencies, NGO and civil society groups.

These discussions precede large cross sectoral funding such as EDF 11 and GEF STAR, and before respective line ministries submit their concept notes to the Project Aid Coordinating Committee (PACC), MFEM (discussed further below), and Cabinet approval. The JNAP- TC also comments on project designs and helps identify priority vulnerable communities that could be targeted under specific projects.

Fourthly, JNAP-TC meetings have been used to orally report on the progress of externally funded JNAP activities. At times, such reporting process has allowed other members of the Forum to help improve the quality of final outputs produced from externally funded projects. For example, through the process of a JNAP-TC meeting, the Curriculum Division Unit of the Ministry of Education assisted the Tonga Development Trust, the implementing body for a GIZ funded activity, to translate children's climate change books on *Poh and Miri* into the Tongan language suitable for the relevant age groups.

Challenges and way forward

Despite the successes, Tonga faces a number of challenges in its JNAP implementation. These challenges relate to issues such as:

- the absence of prioritised JNAP Implementation and sectoral plans (plans, priorities and programmes, Pillar 1);
- nature of donor engagement (Bridge 2); and
- project finance management (Public Finance Management, Pillar 2).

PLANS, PRIORITIES AND PROGRAMMES (PILLAR 1)

There is an explicit link between Tonga's Strategic Development Framework (TSDF) and JNAP, and projects implemented or under consideration that reflect JNAP actions or sub action. The JNAP is used as a reference document for all project proposals submitted to donors, and as mentioned earlier, donors use the JNAP to also justify their support. However, in the absence of JNAP-linked sectoral plans, such projects are often seen to be piecemeal activities.

While some effort has been made to develop specific sectoral policies/strategies, such as water policy (Government of Tonga 2011), and forestry policy (Government of Tonga 2009)the JNAP is not referenced there, although climate change has been considered in the development of these policies/strategies. These policy instruments are still in draft form, and thus have not been formally adopted, as a result of which sectoral level actions plans are still to be developed.

There is also a variable level of understanding amongst government agencies and NGOS about the relationship between their sectoral deliverables, and risk management, and the role a JNAP could play in supporting sustainable development. Strengthening of technical understanding and capacity in strategic planning and outcome-focused and prioritised programming across all sectors was identified as a major need in the country.

The JNAP-TCS, while actively implementing the JNAP, has neither a formally defined JNAP-TCS role nor a prioritised work program/Plan of Implementation. Formally approved JNAP-TCS roles and functions can help to increase its efficiency, and this together with a prioritised work program will help the Secretariat to address high payoff areas.

> Formalise the JNAP-TC Secretariat, defining its roles and functions for the Coordination of JNAP implementation, supporting integration of CC and DRM in development initiatives across all levels of government, NGO, civil society, private sector and communities.

The JNAP activities are considered to be 'light on DRM'. One of the reasons for this could be that the JNAP-TCS does not include staff with expertise in DRM. The NEMO is physically located under the Ministry of Infrastructure and Planning, making it difficult to have closer interactions on a regular basis, even though the commitment for integrating CC and DRM issues is strong. Inclusion of staff with DRM expertise and community experience could help address this gap. It will also help address the current perception that JNAP implementation is an initiative of the MLECNR. The challenge of maintaining a distinct identity for the JNAP-TCS serving both DRM and CC related roles may have been enhanced with the recent appointment of the JNAP Project Manager as the Director of the Division on CC and Environment.

> Strengthen the JNAP-TCS by appointing a person with DRM expertise and community experience to facilitate CC and DRM integration across government agencies, NGOs and private sector.

DONOR ENGAGEMENT (BRIDGE 2)

Implementation of the JNAP has very much depended on external funding. Funding is provided on a project-by-project basis, individually negotiated with development partners. Projects are negotiated directly with/through the JNAP Secretariat/MLECNR for climate change-related JNAP activities; through NEMO (i.e. Ministry of Public Works) for DRM-related JNAP activities; or directly through the line ministries implementing the sectoral projects. However, in the absence of prioritised sector plans, the agencies and the Government are not in a strong position to call a donor roundtable in order to coordinate development partner support. In 2012, a donor round table was organised by the Government. The donor roundtable provided a good forum to exchange information between the government and the partners as well as across partners. It did not help the Government to secure coordinated resources from partners, partly because the government agencies did not have a prioritised sector plan and program of work. This is not unique to the cross-cutting areas such as CC and DRM. In a recent review of PFM, the World Bank and IMF identified similar key challenges, including the issue of national budget allocations that do not reflect government priorities, and secondary problems of plans being inadequate to inform budget development, and difficulty in developing a multi-year budget (see Table 10 in the body of the report).

As a priority, there is an urgent need for the JNAP-TCS, in partnership with the Ministry of Finance and Planning, to assist sectoral line ministries to mainstream CC and DRM into their sectoral and agency Business Plans, and develop multi-year budgets as well. Mainstreaming exercises at the sector level will help:

- build capacity about relationships between national and sectoral development and climate and disaster risks;
- identify priority development and other activities where DRR and CC considerations are reflected;
- identify cross sectoral collaboration required to generate synergistic outcomes;
- increase the ability to respond to development partner interests and access funding from bilateral, multilateral and regional ODA as well as CCF sources consistent with their policies and strategies;
- proactively coordinate and harmonise development partner assistance for countries high priorities, using for example donor roundtable discussion;
- develop and report on programmatic rolling budget consistent with the MTBF.

Urgently assist, in partnership with the Ministry of Finance and Planning, sectoral line ministries to mainstream DRM and CC and develop prioritised sectoral and agency Business Plans, together with three-year budget plans, consistent with the MTBF.

Such an integrated planning, programming and budgeting approach helps Tonga to better sequence and coordinate JNAP-related activities, and secure complementary financing across agencies, creating maximum synergy. In the absence of prioritised sectoral plans, in the interim, the JNAP-TCS, in partnership with the Ministry of Finance and Planning, could assist line ministries to develop an outcome-focused programmatic approach when designing their project proposals for external assistance. Such an approach will help identify a sequence of activities required to deliver on the stated objective/outcomes and establish interagency collaboration, as well as help develop multi-year rolling budgets.

FINANCING AND FINANCIAL MANAGEMENT (PILLAR 2)

Currently, all donor-funded government projects are managed through the Project Aid Coordination Committee (PACC) of the Ministry of Finance and Planning. Project concept notes can only be submitted to donors, once they have been approved as part of the Agency's Corporate Plan and Budget submission. Generally agencies submit their annual plans, with annual budget estimates. The Government is working towards encouraging agencies to submit a rolling three-year plan and budget estimates as part of the MTBF. However, such a system can be effective when the government agency has a prioritised sector plan and ideally are able to develop programmatic funding proposals. Capacity to undertake strategic and programmatic planning and budgeting is limited across the sectors.

Financing of purely NGOs and civil society activities are not subject to the PACC process.

The management of project funds is also variable. In the majority of cases, externally funded project budgets are managed through the Government Finance Management System. In exceptional cases, a development partner establishes a separate bank account and manages its financial receipts and expenditure outside of the Government System. An example of this is the GIZ Technical Assistance under the regional project, *GIZ Land based activities and mainstreaming (2009-2015)*, and Australian funded PASAP's coastal erosion project in Lifuka. In both the projects, regular monitoring and reporting was done back to the implementing agency (GIZ Suva office and SPC respectively for the GIZ project and the PASAP project); the JNAP TCS was given copies of the progress reports.

In the case of NGO funded projects, channelling of funds and monitoring and financial reporting is totally outside of the government system. One of the effects of having such a parallel process is that countries have difficulty in reconciling their records with those of development partners. Tonga, for example, also reported its difficulty in getting some development partners to regularly provide the government with the summary of their total development assistance.

Review CCTF's governance arrangement as well as the scope of projects to be supported in line with the priorities of the JNAP, if the CCTF is to evolve into Tonga's National Climate Change Trust Fund.

It is unclear if this is likely to change under the proposed Climate Change Trust Fund, given its current agreed arrangements, and the current focus on community-based projects (see Box 16). The presence of the Climate Change Trust Fund, as currently constituted, would no doubt help improve coordination of community-based projects and encourage the complementing of government-led JNAP initiatives, and help increase the synergy between government and NGO and civil society-led activities. It will also facilitate non-government projects to be also submitted through the PACC process.

BOX 16 Tonga Climate Change Trust Fund

ADB-PPCR Project, *Strategic Program for Climate Resilience (SPCR)*

Tonga is intending to establish a Tonga Climate Change Trust Fund (TCCTF) under a Parliamentary legislation. However, on the advice of ADB's SPCR team a Cabinet based CCTF has been approved in May 2013. The Cabinet decision was based on the ADB's SPCR team's assessment that the current Bill, and the regulatory arrangements under it, was unlikely to have been in place and managed by the required time for the implementation of the SPCR and in a manner required by the ADB. This would have caused delays in obtaining the ADB funding.

As a result, Tonga's Climate Change Trust Fund has been set up with an initial endowment being provided under the SPCR funding. The SPCR has a funding of $15 million. Of this an initial endowment of $4 million from the Climate Investment Fund plus a $1 million is to be used towards community-based DRM and CCA activities. 'Community-based' project are defined to mean 'a project, that the project initiative comes from a Community and/or an organisation based within a community, and that the project itself is confined to the geographical and operational confines of that community' (Government of Tonga 2013 b, p 1)

The rest will be used to implement the CCA projects selected for implementation involving a number of agencies and NGOS across the country

The SPCR project will be implemented by MLECNR and the proposed chair of the CCTF Board is the Minister for MLECNR. This CCTF is being set up with the intention that other development partners would also channel their funds through it.

Source: (Government of Tonga (Government of Tonga 2013 a; Government of Tonga 2013 b).

However, for the CCTF to become the national financing source, including where development partner resources are pooled for Tonga's use to address its national priorities, the governance arrangement would need to be revisited. Currently, the Minister for MLECNR is the chair of the CCTF Board. This is likely to add to the already existing concerns that JNAP activities do not go beyond those related to climate change and that it should not be the responsibility of any one implementing ministry, like MLECNR.

To encourage greater ownership acceptance of the CCTF, its governance arrangement may need to be reconsidered before the concept is taken to the Parliament for consideration; currently the Trust Fund is established under a Cabinet decision. Furthermore, as the CCTF is a project-based initiative and its focus is on supporting community-based projects, its scope would need to be changed if Tonga is to use this as a National Climate Change Trust Fund (NCCTF) for all JNAP-related projects. A NCCTF support would cover all, community and non-community-based, DRR, DM, CCM and CCA projects within the national development context.

Operationally, the JNAP-TCS could still provide the secretariat services, and the JNAP-TCS would report to the Ministry of Finance through the Minister of MLECNR. However, for this to work efficiently, the Secretariat is likely to need additional staff to service the Trust Fund as intended.

For CCTF to become the national financing source, including where development partner resources are pooled for Tonga's use to address its national priorities, its governance arrangement would need to be revisited. Currently, the Minister for MLECNR is the chair of the CCTF Board. This is likely to add to the already existing concerns that JNAP

activities go beyond those related to climate change and the responsibility of any one implementing ministry, like MLECNR. To encourage greater ownership acceptance, CCTF's governance arrangement needs to be reconsidered before the concept is taken to the Parliament for consideration. The experience of Tuvalu's Trust Fund governance could provide some useful lessons, (AusAID 1997; Graham 2005; PIFS 2012; PPCR 2012). Furthermore, as the CCTF is a project-based initiative and its focus is on supporting community-based projects, its scope would need to be changed if Tonga is to use this as a National Climate Change Trust Fund (NCCTF) for all JNAP related projects. A NCCTF support would cover all, community and non-community-based, DRR, DM, CCM and CCA projects within the national development context.

M&E SYSTEM FOR JNAP IMPLEMENTATION

The Tongan JNAP document makes reference to an M&E system and reporting procedures. However, the M&E system is yet to be developed. Project managers and ministries provide oral reports to the JNAP-TC.

In the absence of a JNAP reporting template, the level of details and quality of reporting tends to vary. Written reporting back to the JNAP-TC is not the norm. The Secretariat summarises oral presentations from JNAP TC meetings for its reporting upwards. Currently there is monitoring and reporting on impacts the projects may have had. Financial reporting on projects is made through the respective line ministries to the PACC, MFEM, using a reporting template that focuses on finance aspects only.

> Develop an Implementation Plan for the JNAP-TCS, together with an M&E System, including SMART indicators, for consistent monitoring and reporting on the progress on JNAP implementation.

In the short-medium term, a two-tiered M&E system, together with SMART (specific, measurable, attainable, relevant and time bound) indicators, would need to be developed for the coordination of JNAP by the JNAP-TCS, and for the sectoral agencies implementing JNAP projects.

An M&E system for the JNAP-Secretariat would focus on its core functions, as well as report on the outcomes achieved through projects. Appropriate M&E systems could be designed once a prioritised JNAP Implementation Plan is completed and sectoral level plans are developed.

In the interim, a simplified reporting template could be developed to help line ministries to provide consistent information about JNAP related project progress against deliverables and expected outcomes(as well as on financial management). This could be done by adapting a current finance reporting template to also include information about project delivery against the stated objectives, JNAP goals and the TSDF outcomes. The use of such a combined template could also help streamline reporting back to the government, as illustrated in Figure 3 above.

> In the short term, the JNAP-TCS and Ministry of Finance and Planning may consider developing a joint project progress and financial management reporting template to ensure consistency in reporting.

Conclusion

The JNAP addresses DRM and CC issues from a whole-of-country perspective, where government, NGOs, civil societies, private sectors and communities have roles to play according to their accepted comparative advantage. The JNAP reflects, implicitly, a national systems approach to development and risk management, focussing on plans and policies and projects (Pillar 1) on the one hand, and national and ODA and CCF (Pillar 2) on the other, and various organisational and institutional linkages (Bridges 1-4) linking the two pillars. However, any system is as good as its weakest link, and this needs addressing if implementation of JNAP priorities is to be achieved in an efficient and effective manner.

The integration agenda requires a collaborative approach that reflects the integration of disaster, environment and climate change issues in development, and the adoption of a national system approach to governance.

While the JNAP-TCS has been effective in encouraging involvement of a wide range of government agencies and NGOs, and reporting on JNAP initiatives upwards through the Government system, the integration of a development and risk management agenda is new to implementing agencies and there is limited institutional and technical capacity. A JNAP Secretariat with climate change and DRM specialists working with line ministries can facilitate such an integration agenda. Inclusion of a person with DRR and DM expertise and community-based experiences can assist the JNAP-TCS to proactively facilitate explicit consideration of DRR and DM issues in project and program designs.

The JNAP-TCS can facilitate the mainstreaming of DRM and CC across the sectoral line ministries. Sectoral and sub national plans will provide a uniting foundation for improving efficiency and effectiveness in collaboration across agencies, increasing civil society and NGO engagement, and generating a synergistic outcome. It will also assist line ministries to develop their outcome-focused budget submissions for approval and discussion with development partners.

Having such sectoral level plans linked to the JNAP and TSDF, Tonga is then well placed to call a donor roundtable discussion, and proactively 'drive' the process of coordination and harmonisation of development assistance towards their own priorities, acknowledging the different sectoral/thematic interests of development partners. The presence of the Climate Change Trust Fund, as currently constituted, would help better coordinate community-based projects that complement government led JNAP initiatives. Such an approach can help to increase the synergy between government and NGO and civil society-led activities. Formalisation of the CCTF as a Parliamentary approved National Climate Change Trust Fund, with relevant government arrangements and decision-making processes, would help further strengthen efficiency and effectiveness of the JNAP implementation and the use of limited national and development assistance to achieve the desired sustainable development and resilience goals. The TSDF-linked JNAP provides a good foundation to help the whole-of-country and whole-of-government address the national sustainable development and resilience goals. A few key areas of Pillars and Bridges that comprise the national system of governance and institutional and human capacity would need to be strengthened, together with the adoption of a blend of paradigms, principles and strategies advocated under key international and regional instruments to support integrated development and risk management.

ANNEX 5: JNAP DEVELOPMENT AND IMPLEMENTATION IN THE COOK ISLANDS

The SPREP Review

The purpose of this Cook Islands case study, as part of a regional review of JNAP development and implementation, is to assess lessons learnt by Cook Islands during their JNAP development and implementation process. Cook Islands is one of two case studies; the other country examined in detailed is Tonga, which has also established organisational arrangements to reflect the underlying philosophy of integration of DRR and CCA. Cook Islands and Tonga have also been successful in negotiating development partner support for their JNAP implementation. Tuvalu, the third country that also has a Government endorsed JNAP linked to the Kakeenga II (country's NSDS), is still developing specific initiatives; the delays have been largely caused by limited capacity, compounded by frequent duty travel by key people. Annex 1 provides the TOR for the study.

Methodology

- The review of JNAP development and implementation in the Cook Islands is based on a mixed methodology, including:
- Desk-review of completed JNAP document and related publications and reports.
- Consultation with key government officials and JNAP stakeholders and development partners. The list of people consulted in the Cook Islands, and elsewhere, for this review is provided in Annex 2.

General review of literature on mainstreaming of CC and DRM in development in the Pacific and globally.

Guiding questions were used to analyse development, endorsement and implementation of JNAP and the analysis was guided by two analytical frameworks. For analysing the JNAP development, a combined risk management and policy cycle-based process was used (OECD 2009; Olhoff and Schaer 2010). A Step-by-step guide to combined policy and risk management process is provided by Lal((Lal 2012 (October)). For the assessment of the JNAP implementation, a 'Pillars and Bridges and Capacity analytical framework (for short, Pillars and Bridges Framework) was used to assess the effectiveness and efficiency as well as sustainability of the implementation of JNAP, focussing on functional aspects of governance and decision-making processes. This is described in the section on Methodology in the main report.

CONSTRAINTS

Key government officials, NGOs and civil society representatives, together with key SRIC-CC project consultants, were very helpful in sharing their knowledge and providing information during the consultation. Nevertheless, there were some limitations and constraints, including the:

tight timeline of the project, which influenced timing of the field visit, and unavailability, or limited access to key stakeholders due to competing demands; and

difficulties in accessing key unpublished country documents.

Key Findings

The key findings are discussed below under the subject of JNAP development and JNAP Implementation, the latter also covers the issues of financing, regional partner roles and sustainability. The discussion, as required under the JNAP Review Project Terms of reference (TOR), focuses on performance, quality and lessons learnt by Cook Islands in developing and implementing their JNAPs. These are assessed from the perspective of relevance,

effectiveness, efficiency, impact and sustainability: these criteria are defined in Box 1 in the body of the report. Stakeholder perception information is only provided where the same or similar comments were received from multiple stakeholders.

JNAP development process and ownership

The Cook Islands developed their Joint National Action Plan for Disaster Risk Management and Climate Change Adaptation (JNAP) 2011-2015 to provide a roadmap for implementing Goal 5 of the National Sustainable Development Plan (NSDP), 2011 -2015. The purpose of Goal 5 is to achieve 'a resilient and sustainable Cook Islands where our people are resilient to disasters and climate change and able to achieve sustainable livelihoods'. The JNAP as an implementing document notes that by addressing these two objectives, the Cook Islands Government can ensure that Cook Islanders 'are prepared for disasters and climate change impacts, and that 'the impacts of disasters and climate change are reduced' (Government of Cook Islands 2012, viii). This alignment of the two instruments occurred as a result of the consultative process used during the development of NSDS where there was extensive engagement of national and local line agency representatives, natural disaster and climate change experts, NGOs, private sector and members of the public. During such consultations, risk and risk management featured significantly. The development of the JNAP and NSDS occurred almost simultaneously.

The decision to develop a JNAP was made by the Government at the time when it already had a DRM National Action Plan, 2009-2015, and it was considering developing a national adaptation plan of action (NAPA) for climate change (an instrument that is encouraged by the UNFCCC for Least Developed Country). The government recognised (as mentioned in the JNAP) that their DRM NAP did not adequately cover climate change risks; risks that were no longer regarded as an emerging issue but one which the country was already facing.

Historically, over the period of 1969-2010, 47 cyclones have been reported as passing within 400 kilometres of Rarotonga, an average of over one cyclone a year (Newport and Tutangata 2011). In 2005 there were 5 cyclones within a span of 2 months causing damage of over NZ$29 million. With such events causing major disaster, climate change was seen as a concern that needed action now in preparation for more and changing risks expected in the future. During the Second National Communication (SNC), observations in changes in recent weather and climatic conditions, identified in the First National Communication, became clearer, including shifting rainfall patterns, drought and increased windiness as well as more hot days. The impacts of such changes on productivity and seasons of fruit bearing trees, and possibly correlation with health effects like respiratory illness and vector borne disease outbreaks were reported (Government of the Cook Islands 2011; BOM and CSIRO 2011 b).

- Cook Islands has also identified many gaps and constraints that affect their ability to effectively address climate variability and climate change (Government of Cook Islands 2009; Government of the Cook Islands 2011). Amongst the key barriers and gaps identified included those related to (Government of the Cook Islands 2011):
- the availability of comprehensive climate and risk information;
- institutional capacity to oversee climate change issues, to facilitate and coordinate across agencies and stakeholder engagement in climate related policy and project development;
- integration of climate change in planning and implementation, including in development programs and projects; and
- budget constraints and financing.

The Government noted the difficulty in effectively operationalising a plethora of international, regional and national instruments. In the JNAP document, the overlap between DRR and CCA challenges, and the involvement of essentially the same government agencies in addressing CCA and DRR, was also cited as reasons for the need to rationalise DRM and CC (Government of Cook Islands 2012). The Government thus decided to develop a joint action plan to address such challenges.

The JNAP development process started in 2010. In the Cook Islands, it overlapped with the preparation of the SNC and a functional review of institutional arrangements related to climate change, led by the National Environment Service (Newport and Tutangata 2011). This review led to, as a first step, the Cabinet establishing Climate Change Cook Islands (CCCI) and the appointment of the Director of the CCCI. The EMCI was also administratively 'moved'

to be under the Office of the Office of the Prime Minister (OPM); although EMCI staff remained housed in Police Building, recognising its core legislative responsibility for post disaster management and their close interaction with police services in times of disaster emergencies.

The EMCI, with the support of the NES and OPM, developed the JNAP. Regional support and assistance was provided by SPC, as the regional agency supporting DRR and DM, and SPREP supporting climate change issues in the region. A UNDP-supported consultant provided technical assistance and helped draft the JNAP.

The JNAP was developed by building on its DRM NAP, which was originally developed using the DRM Mainstreaming guidelines prepared by SOPAC and Partners. It reflects a combined risk management and policy cycle-based process. The JNAP also drew on existing climate change material drafted by the National Environment Service, including the draft National Environment Strategic Framework, NESAF, and the SNC; many of the SNC strategies were subsequently incorporated into the JNAP.

A draft JNAP document was presented at the week-long *Climate Change Adaptation Planning Workshop* in March 2011 organised by NES. A diverse group of stakeholders, government agencies, and NGOs, as well as civil societies and development partners had the opportunity to provide comments on the JNAP draft. The JNAP team also tapped into other parallel ongoing activities such as those by ADB (ADB 2011), and the PASAP funded functional review (Newport and Tutangata 2011). Thus the JNAP development process could be regarded as stakeholder-based integration of climate risk and environment considerations in development, bringing together three different considerations – disaster risk, climate variability and climate change and development.

The engagement of the OPM helped navigate the JNAP through the Government process for endorsement. The JNAP was endorsed by Cabinet in 2012, although some activities had already begun while the document was still in the draft form. In some cases, projects were already in the pipeline, and thus were included as JNAP initiatives in the JNAP document. These included the ADB Small Grant Project, *Managing Climate Risks in Cook Islands Vulnerable Communities* and the UNFCCC Kyoto Protocol Adaptation Fund project, *Strengthening the Resilience of our Islands and our Communities to Climate Change* (SRIC-CC), the design of which was also discussed during the Adaptation Planning workshop. For a list of projects current at the time of JNAP development, see Timmerman(2010).

JNAP DEVELOPMENT – STAKEHOLDER PERCEPTION

Despite the above process, the general stakeholder perception, today, is that JNAP development was an EMCI initiative (or not even a Cook Islands initiative but an SPC (SOPAC) driven activity). Comments received included: the development process was not an 'inclusive one', and the JNAP is a revised NAP with 'some climate change related statements added on'.

Such perceptions may explain, to some extent, why the JNAP is not necessarily seen as being 'owned' across the agencies, even though it is a 'whole of country' document that includes activities to be implemented across all key government agencies and by NGOs and civil society and private sector. A perception perhaps also fuelled by an absence of a JNAP Management Committee/JNAP coordination unit/Secretariat that is 'driving' the integration of DRM and CC initiatives under the JNAP, as discussed below.

The JNAP Document

The JNAP document combines DRM NAP and CC related goals and responses, and comprises several key components: JNAP Matrix; JNAP Implementation Structure; Financing Strategy; a skeleton M&E system; and a reference to a Communication Strategy.

THE JNAP MATRIX

The JNAP Matrix comprises four 'Strategic Areas' (equivalent to Goals in, for example, the Tongan JNAP): Governance; Monitoring; Disaster Management; and Risk Reduction and Climate Change Adaptation. Each Strategic Area has several strategies with expected strategic outcomes, together with a number of actions and sub actions against each strategy.

JNAP and DRM-NAP

Given the origin of the JNAP, it is not surprising it has a close similarity with the Regional Framework of Action on DRR and DM, PIFACC and the CI DRM NAP (Table 12). There are also some key differences. For example, the JNAP does not specifically make reference to strengthening information and information systems, other than about documenting and using traditional knowledge; but not about scientific knowledge. This is surprising, particularly when it is a cross cutting issue as well as a core aspect of the enabling environment; the DRM NAP has a specific goal on the subject of knowledge for effective DRM; the Climate Change Adaptation Planning Workshop had a whole session devoted to 'Developing a Knowledge Base for DRM and CCA, Awareness and Outreach'; and the SNC also included a specific strategy on this topic.

ECONOMIC DEVELOPMENT AND JNAP

The CI JNAP includes a strategy to strengthen economic development and livelihoods for increasing resilience to DR and climate change under its Strategic Goal 4, *Risk Reduction and Climate Change Adaptation*. The explicit inclusion of such a strategy is a first in the region.

The inclusion of a strategy to improve economic development and livelihood implicitly acknowledges that improving economic wellbeing and livelihoods is an integral part of risk reduction and adaptation to climate change, as advocated in the latest IPCC-SREX report (Lal, Mitchell et al. 2012; IPCC 2012 b). It also suggests an adoption of an integrated development and risk management approach, at least during the JNAP development phase. JNAP also includes actions that deal with resource and environment management. This reflects an implicit recognition of an ecosystem based solution, too, as a basis for DRR and CCA, advocated globally(UNEP 2009; CBD-COP 10 2010). The relationship between development and risk management (and environment) is briefly described in Annex 3, and illustrated in Figure 2 in the body of the report. However, such system thinking is not explicitly described in the JNAP document, which could explain a number of standalone actions without necessarily reflecting the types of responses required across economic, social and ecological systems.

A direct or explicit connection is at times difficult to deduce between a particular strategic area, strategy, actions and sub actions and the expected outcome. For example, the Strategic Area 2, *Monitoring,* has a Strategy on 'Document and promote traditional knowledge and coping mechanism' with an action on 'use traditional knowledge and coping strategies to inform the design of DRR and CCA'. While the intent is apparent, the potential outcome is embedded in the description of the action. Similarly capacity development is not mentioned as a strategy or goal but listed as actions under the Strategic Area 1 (Governance) and Strategic Area 3 (Disaster Risk Management and CCA) (see Table 11); even though capacity constraints is a major issue for the Cook Islands and it is a core element of the enabling environment to promote CC and DRM integration (Government of Cook Islands 2009; Government of the Cook Islands 2011).

Having such a direct relationship between strategic area, strategies and actions and sub actions can help agencies justify their project proposals for funding. Ideally a project/program proposal will have clear linkages between project objectives, specific JNAP strategic areas, and respective NSDP outcomes the project is intended to contribute to. By adopting an outcome-focused approach to project proposals, agencies would also develop an appropriately sequenced set of activities, and identify relevant interagency collaborations that collectively support the development of their multi-year budgets. Such clarity will also help develop an appropriate M&E system for the JNAP implementation.

> When the JNAP is reviewed next, provide a stronger connection between Strategic Areas, expected outcome/ output, actions and sub actions in the JNAP. matrix.

TABLE 12 Comparison of RFA, PIFACC and Cook Island's JNAP matrix content.

Theme	RFA on DRR and DM	PIFACC	Cook Islands JNAP
Governance	**Theme 1**: Governance: Organisational, Institutional, Policy and Decision-making Frameworks	**Goal 2:** Governance and decision-making	**Strategic Area 1:** Governance **Strategy 1:** Strengthen governance arrangement for DRM and CCA **Strategy 2:** Mainstreaming natural hazards and CC consideration in national planning and budgetary process
Knowledge (technical and traditional)	**Theme 2**: Knowledge, Information, Public Awareness and Education	**Goal 3**:Improving understanding of climate change	**Strategic Area 2:** Monitoring **Strategy 1:** Monitor and assess risks and vulnerability **Strategy 2:** Document traditional knowledge and coping mechanism
Context specific analysis of hazards, vulnerabilities and elements at risks	**Theme 3**: Analysis and Evaluation of Hazards, Vulnerabilities and Elements of Risk	**Goal 3:** Improving understanding of climate change	**Strategic Area 2:** Monitoring **Strategy 1:** Monitor and assess risks and vulnerability
Disaster risk reduction/ Adaptation action	**Theme 5**: Reduction of Underlying Risk Factors	**Goal 1:** Implementing tangible, on-ground adaptation measures	**Strategic Area 4:** Risk Reduction and CCA **Strategy 1:** Strengthen infrastructure, including proofing against current and anticipated climate **Strategy 2:** Strengthen economic development and livelihoods for increasing resilience to DR and climate change
Treating economic development as a response measure for building resilience to DR and CC			**Strategic Area 4:** Risk Reduction and CCA **Strategy 2:** Strengthen economic development and livelihoods for increasing resilience to DR and climate change
Disaster management	**Theme 4**: Planning for Preparedness, Response, and Recovery		**Strategic Area 3:** Disaster Management and CCA **Strategy 1:** Strengthening preparedness, response and EWS
Mitigation of GHG		**Goal 5:** Mitigation of global greenhouse gas emissions	Mitigation as a theme is not directly included in the Matrix. Although an action to reduce fossil fuel and replace with renewable energy is listed under a strategy on strengthening energy transportation and storage systems to reduce risks (Strategic Area)
Partnership		**Goal 6**: Partnership and cooperation	Covered as one of the principles guiding implementation
Education and Capacity Development	**Theme 2**: Knowledge, Information, Public Awareness and Education	**Goal 4**: Education, training and awareness	Mentioned as actions under Strategic areas 1 and 3 **Action under Strategic Area 1:** Strengthen capacity of government agencies, Island Councils and NGOs4, strategy 1 and Action 3, Sub action 3.3 **Action under Strategic Area 3:** to provide emergency health services and manage hazardous substances

JNAP and Stakeholder Perception The JNAP document is regarded as a valuable document bringing together DRM and CC and development under one policy instrument. Several JNAP projects have been implemented, or are under development. However, the general perception amongst the local stakeholders is that JNAP implementation 'has been little or slow'.

This could partly be because many activities listed in the JNAP were already in the pipeline when the JNAP document was being prepared, and thus may not be seen to be implementing JNAP. It is also possible that focus has largely been on development plans and actual on-the-ground initiatives that addressed community vulnerability are only a few. They too were already in the pipeline (see a list of projects in Newport and Tutangata (2011).

Some stakeholders observed that a $5 million-project funded under the Adaptation Fund, SRIC-CC, developed around the same time as JNAP, had a 'higher public profile' than JNAP. This Cook Islands project, *Strengthening Resilience of our Islands and Our communities to Climate Change,* is implemented by CCCI addressing several key actions identified in the JNAP.[10] Box 17 summarises the SRIC-CC objectives and key components.

BOX 17 SRIC-CC Project

Project Objective: to strengthen the ability of all Cook Islands communities, and the public service to make informed decisions and manage anticipated climate change driven pressures (including extreme events in a proactive, integrated and strategic manner

Project components:

- Strengthening and implementing CCA and DRR at national level
- Strengthening capacities for CCA and DRR in the Pa Enua
- Implementing CCA and DRR measures in the Pa Enua
- Climate change adaptation knowledge management

Source: Government of Cook Islands (Government of Cook Islands 2011)

Amongst the reasons given for SRIC-CC having a high profile includes:

- a clearly identifiable person 'leading' its implementation – the Program Manager was appointed in September 2012, with a project budget;
- a strong program of work that is being actively pursued;
- active engagement, consultation and coordination across government agencies and NGOs and in the Pa Enua;
- appointment of focal points in each of the Pa Enua
- active communication and awareness program in Raratonga and Pa Enua, including training workshops and media presence.

While one may argue that a well resourced project that is implementing specific actions on-the-ground, including having a media presence, will no doubt have a higher presence than a strategic plan, a plan too can have a high profile if it is 'seen to be doing things' and there is a recognisable active program emanating from it. The presence of a dedicated 'champion' or an identifiable unit that is actively promoting JNAP, advocating for DRM and CC integration, and proactively taking steps to support other agencies and stakeholders in their DRM and CC agenda, could help increase the JNAP's profile. The role of champions in promoting cross cutting issues has been widely acknowledged globally (Bass, Roe et al. 2010 b) and in the region in relation to DRM and CC integration, as documented in the body of this report.

10 The formal mapping of the SRIC-CC components and activities against JNAP actions and sub actions was completed in 2012.

1. There are many other lessons that could be learnt from the SRIC-CC project that could be of assistance in strengthening JNAP implementation, including financing:
2. The ability to use climate change funding source – the Climate Change Adaptation Fund – to address both CC and DRM issues, as well as economic development needs; particularly since in the international forum, countries have argued for CCF to be additional to ODA (Brown, Bird et al. 2010) and more recently as compensation for damage and losses (AOSIS 2012);
3. The adoption of a system view of governance – while the project targeted strengthening DRR and CCA capacity in the outer islands, Pa Enua, it also included activities for strengthening national policies and institutional coordination of DRM and CC (although this may change as discussed below); and

Taking a structured knowledge-based and step-wise approach to policy review and designing 'on-the-ground' initiatives, reviewing the scope of the original project at the time of inception and revising some aspects of the project (see , for example Box 18).

BOX 18 DRM and CCA Plan and its integration in the Community Sustainable Development Plan: Changes made during the Inception Phase

The SRIC-CC Project document had one of its expected outcomes, integrated climate change adaptation and disaster risk reduction action plans for each of the 11 inhabited Pa Enua, including harmonization with island development plans'. During the stakeholder consultation for the Inception Phase, a decision was made to integrate planning for enhancing island and community resilience with the wider process of preparing individual Pa Enua Community Sustainable Development Plans (CSDPs). This process was not addressed in the original SRIC-CC documents.

The rationale given was that instead of having two parallel plans for Pa Enua, it is important to have a more comprehensive and structured planning approach for island development that demonstrates the CSDP linkage with Goal 6 of the NSDP and further linkages with the JNAP. It was agreed that the CSDP would outline the needs and aspirations of the individual island communities, including about building resilience to climate change. The CSDP would then determine specific priority initiatives for funding under the SRIC-CC project.

Source: Manarangi-Trott and Innovations (2013)

JNAP Implementation: Key Lessons

Although the JNAP has formally been in existence since 2012, some aspects of the JNAP were implemented when the instrument was still in draft form.

JNAP GOVERNANCE

Following the functional review, the Cook Islands Government established, as mentioned earlier, a CCCI under the Office of the Prime Minister which included as part of its mandate working more closely with OPM-EMCI office on both CCA and DRM. CCCI and EMCI, with their respective core functions on climate change and disaster risk management, directly report to the Chief of Staff, OPM under their respective Outputs 5 and 6 (Government of Cook Islands 2012). The function of the EMCI is established under the 2007 Disaster Risk Management Act, and is guided by the DRM Act and the DRM NAP. It implements DRM-related JNAP strategies and is the operational leader for the implementation of the JNAP (Government of Cook Islands 2012).

The JNAP document identified a two-tiered governance arrangement for the JNAP implementation and management (Figure 4). This included:

- Disaster Risk Management and Climate Change Council, supported by the JNAP Project Management Committee

(JNAP-PMC), and reporting to it ; and

- The JNAP Platform comprising of inter-ministerial representatives, NGO and civil society, with the support of CCCI and EMCI to serve as secretariat to the JNAP-PMC and JNAP Platform.

The JNAP Project Management Committee (JNAP-PMC) is a subcommittee of the National Disaster Risk Management and Climate Change Council, and reporting to it. The JNAP-PMC role as defined in the JNAP document includes to:

- provide operational oversight of implementation;
- support of JNAP actions into the MTBF and annual work/business plan and budget;
- develop and implement M&E framework ; and
- capture lessons learnt in on-going implementation of JNAP, and of DRM and CCA activities.

The role of the JNAP Platform, as articulated in the JNAP document is to:

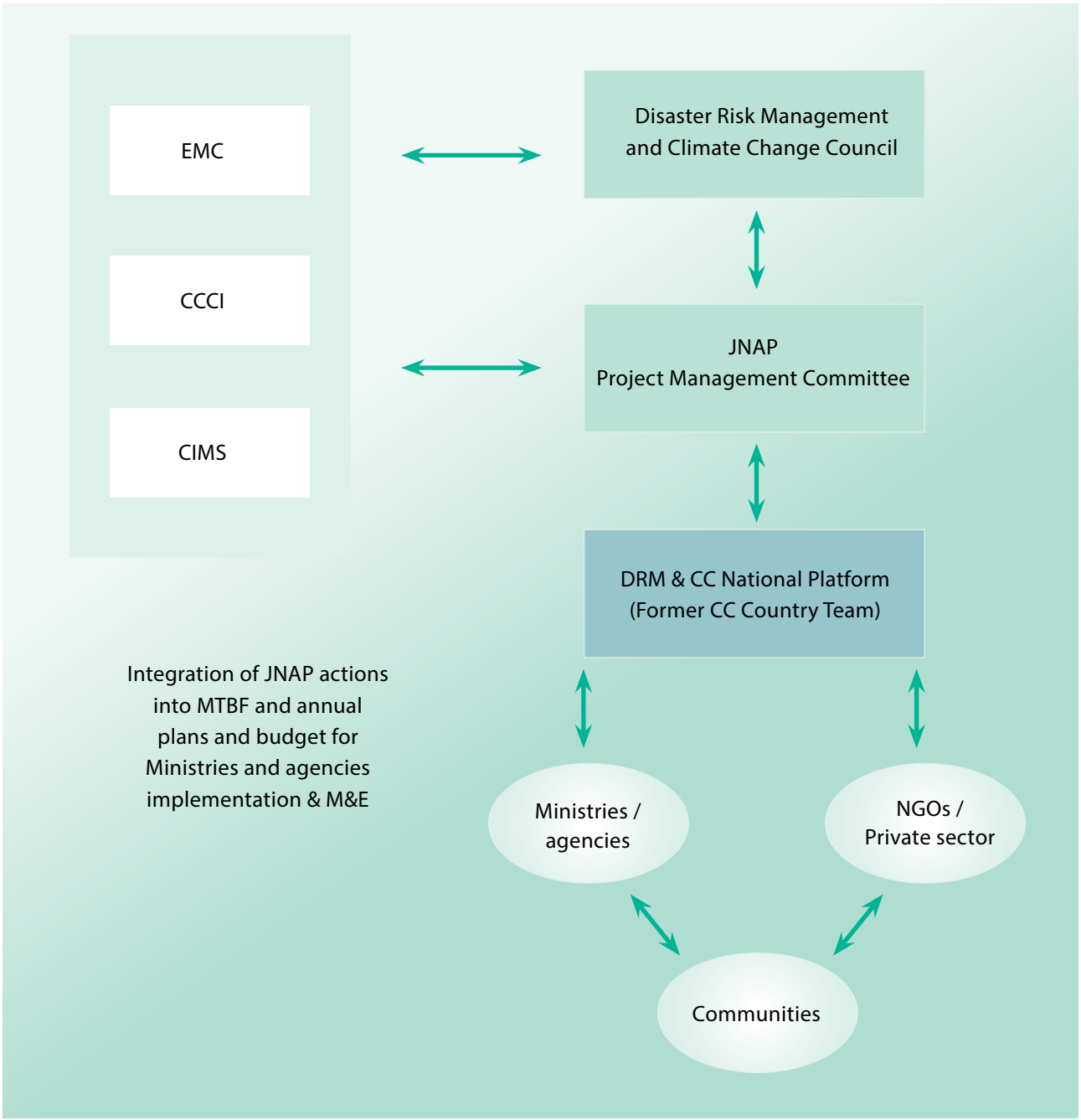
- serve as coordination mechanism through a consultative and participatory process to ensure multi-stakeholder collaboration and coordination in line with HFA and UNFCCC;
- foster enabling environment for developing culture of prevention through advocacy and awareness raising;
- facilitate integration of DRM and CCA into national policies, planning and programmes.

The JNAP Platform meets regularly to share information about JNAP-related activities, initiatives and available funding. The CCCI and EMCI play the role of advocacy and awareness raising through various fora and media outlets in the country. Through the Platform, potential for collaboration is identified, particularly when external funding opportunity arises. There is scope to strengthen this process further to proactively facilitate greater CC and DRM integration across all stakeholders and supporting sectoral agencies in programmatic planning and budgeting, discussed below.

The JNAP PMC has not as yet been established. As a result, the operational oversight has been limited and the JNAP coordinating role has fallen on the CCCI and EMCI, while performing their other core business. The CCCI and EMCI are expected to provide Secretariat services to the JNAP-PMC, as well as co-chair the JNAP Platform.

The CCCI and the EMCI have pursued some joint activities, such as the SRIC-CC program of work in Pa Enua (Box 17). It also includes national level strengthening of CC and DRM integration as one of its activities; this focus may change in light of the recent review of the SRIC-CC Strategic Area framework (Manarangi-Trott and Innovations 2013). The Manarangi-Trott review has suggested the exclusion of the delivery of the national level strengthening from the SRIC-CC M&E system, given the primary focus of the SRIC-CC is on the outer islands, Pa Enua (Manarangi-Trott and Innovations 2013). If this suggestion is followed through, and national level strengthening of DRM and CC integration were excluded from SRIC-CC, this JNAP strategy would need to be taken up as a separate activity under either CCCI, EMCI, or ideally by a dedicated unit with a combined expertise in CC and DRM. Such a unit, as discussed below, can then be in a strong position to support line ministries to not only make reference to JNAP in their Business Plans, such as Marine Resources, Education National Environment Service and Ministry of Infrastructure Planning (MOIP), but also help them to embrace the concept of integrated CC and DRM in development across their strategic plans and programme and project designs; a task that will require long term and ongoing engagement.

FIGURE 4 Governance structure proposed in the approved JNAP in the Cook Islands



Source: Government of Cook Islands (2012)

JNAP Coordination

Strengthened joint coordination of JNAP implementation by:

- ensuring the Business Plans of both EMCI and CCCI include common outputs; as well as those that emphasise their own mandates; and
- including a common strategy to proactively encourage coordination of CC and DRM integration.

The coordination of the implementation of JNAP strategies has been limited for several governance related reasons. In the 2012-13 Budget, both EMCI and CCCI had coordination of JNAP implementation as one of their overarching strategic functions, but only EMCI mentioned integration of CC and DRM in their area-specific strategic functions (more like lower level thematic strategies) (Government of Cook Islands 2012). While the intent of the overarching strategic functions is clear, CCCI undertook various coordination functions, but it may have also focused on establishing itself. The level of coordination may change from 2013/14, as they both now refer to coordination of JNAP implementation under their respective outputs (Office of the Prime Minister (CI) 2013 (February Final)). The CCCI also includes a specific objective 'To provide support to the efforts to address climate change impacts and implement the JNAP through facilitation, coordination and management'. Outcome against this objective though is specifically about climate change. This may be a reflection of the difficulty in providing an appropriate balance between one's own mandated core function and the joint function which has not been clearly articulated; particularly in the absence of a core M&E system discussed below. This suggests that Cook Islands could further strengthen their efforts towards effective coordination of JNAP implementation by identifying common outputs and strategies to encourage coordination of DRM and CCA, and develop joint Business Plans and budget submissions (budget issues are further discussed below).

JNAP IMPLEMENTATION: DEVELOPMENT AND RISK MANAGEMENT PARADIGMS

Develop capacity in and encourage simultaneous consideration of development, natural disaster and climate risk (and environmental) issues across all sectors for encouraging a more systematic approach to development that explicitly considers disaster and climate risks, including climate smart development that minimises GHG emissions.

Line ministries and other stakeholders are expected to deliver on JNAP actions of relevance to them. Some line ministries, such as Marine Resources, National Environment Service and Ministry of Infrastructure Planning (MOIP), make reference to JNAP in their Business Plans. Their risk related programmes (except that of MOIP) are largely climate related. For example, the NES Business Plan includes many JNAP activities, including climate V&A for 5 outer islands, coastal adaptation needs for extreme events and climate change. Marine Resource's Business Plan includes activities on fisheries resource management for building resilience to climate change in the tuna industry, aquaculture and lagoons. MOIP's Business Plan is the only one that includes activities related to both CC and DRM, focusing on disaster/ climate proofing key coastal infrastructure.

It is also noted that while specific CC and DRM activities may be included in an Agency's Business Plan, these plans do not reflect explicit thinking about integration of disaster and climate risk considerations in respective development efforts. This is despite having specific policies (at least eight by last count), that incorporated CCA and DRR (Manarangi-Trott and Innovations 2013; Akoiro Limited 2013 (April)).

Sectoral and Agency Business Plans could be strengthened to explicitly emphasise the relationship between development, climate change, disaster risk reduction and disaster management, and develop and implement on-the-ground initiates that address all these objectives, regardless of the entry point for such interventions. This would require governments and stakeholders to adopt a broader framework of integrated development and risks management, including DRR, DM and CCA as well as climate change mitigation and climate compatible

development. To encourage this, one would need to blend paradigms, principles and strategies advocated for climate change (UNFCCC, PIFAC and NAPAs), disaster (HFA, RFA-DRM, NAP), environment (CBD, NBSAP) and development (MDGs, NSDPs), as described in Figure 2 in the report. Under such an approach, a broad spectrum of response measures would also be considered when developing sectoral plans. Such measures could include, for example, improving economic well being, ecosystem based solutions, and hard and soft options (see Box 2). Recent policy reviews conducted under the SRIC-CC advocates for the Government to blend the paradigm of climate, disaster and development within a single framework to formalise the direction set by the NSDP, establish linkages between the JNAP and Renewable Energy Chart, and provide entry points for other policies and plans as they are developed, or reviewed and adopted (Akairo Limited 2013 (Draft)). Such an approach is consistent with the integrated consideration of disaster, environment and climate change issues in development proposed by the Overseas Development Institute under an AusAID funded project (Lal 2013).

JNAP AS A GUIDING DOCUMENT FOR DEVELOPMENT PARTNER ENGAGEMENT

The Ministry of Foreign Affairs, through the Director of United Nations and Treaties Division, which is the political focal point for climate change, has 'marketed' JNAP amongst the development partners. The CCCI on the other hand provides the technical focal point for climate change, and EMCI the focal point for DRM. Externally funded projects currently under development with specific reference to the JNAP activities, and involving respective implementing sectoral line ministries, include projects such as:

- GEF STAR project (focussing on Marine, Agriculture and Biodiversity);
- EDF 10 ACP-EU Natural Disaster Facility project;
- SPC-GCCA Pacific Small Island States (GCCA: PSIS).

There are also many projects under development by NGOs, civil society and private sector.

The development of the JNAP has increased the efficiency of Cook Islands' interaction with the donors, particularly as government does not have to call another round of stakeholder consultation every time a new funding opportunity becomes available. The tourism sector through the JNAP process has also become aware of the risks of disasters to their industry and made efforts to implement measures to reduce disaster risks.

Through the JNAP Platform, stakeholders could use the JNAP document as a reference and collectively decide on sector-specific priority strategies that may match development partner priority areas and interests before they engaged with the donors. NGOs have successfully used JNAP as a reference document to proactively secure funding for priority projects. Red Cross Cook Islands, for example, successfully used the JNAP as a reference document to secure funding for priority projects. It undertook a study to assess legal preparedness for international disaster response, with implementation one of the key strategies regarding legislative strengthening for disaster risk management (Cook Islands Red Cross Society and IFRC 2012).

> Consider identifying a JNAP Coordination Unit/Secretariat comprising staff with at least a CC and DRR expertise together with a strategic planner co-located within the OPM.
>
> The core function of the CC and DRM officers in the JNAP-Secretariat will be that of supporting integration of DRM and CC in development initiatives across all levels of government, NGO, civil society private sector and communities.

To give momentum to the implementation of the JNAP, the Government needs to seriously consider taking the next step agreed to in 2011, following the Functional Review. The Government then had the intention to establish a National Office of DRM and CC Coordination, and amalgamate CCCI and related functions from EMCI and Cook Islands Meteorological Services (CIMS) (and Energy Division), after a year of establishing the CCCI in 2011 (Newport and Tutangata 2011). That is, establish a single dedicated unit that could promote all the different dimensions of the DRM and CC integration in development in the country. In the light of developments since that decision, this

issue needs to be revisited. The climate change policy review under the SRIC-CC project also recommends further consideration of the governance arrangement for CC and DRM (Akairo Limited 2013 (Draft)).

In the interim, the Government may wish to consider identifying a dedicated team/unit or a JNAP – Secretariat with CC and DRM expertise within the OPM, and a clearly defined core function of the Secretariat. Recruitment and co-location of a DRM officer within the Office of the Prime Minister could help increase day-to-day interaction between the CCCI and DRM person for with DRR functions of EMCI. The joint team could also proactively facilitate joint JNAP activities, including integration of disaster and CC risk considerations in line ministries and their development programs. Furthermore, drawing on the strategic planning expertise already within the OPM, such a unit will also be well placed to support sector level mainstreaming across the line ministries, develop outcome-focused sector plans and programs (and budgets as discussed below) with clear connection between objectives, outcomes, outputs and strategies, reducing the kinds of challenges the Government faces when negotiating programs with development partners (Box 19).

BOX 19 JNAP and GEF Star project development

GEF STAR, the System for Transparent Allocation of Resources, 5th replenishment of funding available under CBD. The focal areas under the GEF Star are: biodiversity, climate change, and land degradation, with Cook Islands allocation of $2 million for climate change, $2.14 million for biodiversity, and $0.5 million for land degradation. The adoption of the 'ridge to reef' approach is advocated under the GEF Start Funding. The Cook Islands Government carefully considered the match between JNAP strategies and specific GEF Start Objectives under each of the focal areas and identified strategies/actions to implement under the JNAP. The JNAP Platform helped in this process. Source: GEF STAR ((Global Environment Facility 2010);

It seems during the initial discussion between the Government and the development partner, that there was some disagreement about the relevance of Cook Islands Government proposals for GEF STAR funding (Myra Patai, Ministry of Foreign Affairs, pers comm., May 20130.

This may have reflected differences in stated priorities of the Cook Islands government and development partners. The initial disagreement may also reflect some differences in the understanding about the relationship between the 'ridge to reef' approach and what is implicit in the NSDP-linked JNAP. When principles advocated under HFA and UNFCCC and the CBD (and other MEAs) are taken together, sustainable development and resilience can be seen to reflect the need for integrating DR, CC and environment in development decisions, including ridge to reef.

Such a challenge could thus be minimised if the country had clearly articulated sectoral plans where the relationship between DRR and CC was described, the adoption of integrated development and risk management approach spelled out, and considerations of DRR and CCA measures explained and reflected in the sector strategies and priorities.

Source: JNAP review country consultation, May 2013.

FINANCING STRATEGY AND FINANCE MANAGEMENT

- The JNAP clearly spells out that JNAP related funding could be sought from bilateral, multilateral and regional ODA and climate change funding sources. The intended goal is to have JNAP funding in accordance with:
- the national planning and budgetary processes and systems, and in particular the Medium Term Budgetary Framework (MTBF) ; and
- consistency with the aid management requirements stipulated by donors and other partners.

Cook Islands has also signed the Paris (OECD 2008) and Pacific Principles (PIFS 2007) of Aid Effectiveness, which also requires development partners to utilise country's governance systems.

Currently, funding for JNAP activities is project based, with projects individually negotiated with development partners. The JNAP document notes that project proposals could be developed by members of the JNAP PMC with the assistance of EMCI. As seen earlier, JNAP-PMC has not been established as yet, and EMCI alone though may not have relevant expertise required to effectively undertake such a role.

Project concept notes for external support are assessed by the Aid Management Unit, reviewed by NSDC and CACC, and then considered by the Cabinet for approval. Only after such a government process is followed as part of their Public Finance Management System are development proposals submitted to the development partners for consideration. While projects that directly address disaster and climate risks automatically would have been scrutinised for their alignment with the JNAP and NSDS, other development projects that may be affected by hazard conditions, or affect other types of risks, are not necessarily assessed with respect of disaster and climate risks.

Business plans and budget submissions are made by line ministries to the Ministry of Finance for scrutiny and recommendations to the Cabinet; Business plans and budgets are then approved by the parliament, focussing on much higher issues of NSDS, national budgets and development assistance. The MFEM is encouraging multi-year sector plans. Agencies face considerable challenges in this regard due to capacity constraints. Agency Business Plans are essentially annual plans and they too do not reflect multi-year planning. Nor do they include cross-sectoral activities, normally required for CC and DRM.

Agencies also have difficulties in preparing multi-year budgets, consistent with the MTBF. This is not unique to the situation where cross-cutting CC and DRM issues are involved. The World Bank and the Pacific Financial Technical Assistance Centre of the International Monetary Fund, in its 2013 review of PFM, identified several key challenges, including the issue of national budget allocations that do not reflect government priorities, and secondary problems of plans being inadequate to inform budget development, and difficulty in developing multi-year budgets (see Table 10 in the body of the report).

There is growing recognition of the need to: develop capacity in programmatic planning; develop a multi-year prioritised and appropriately sequenced programme of work; and multi-year budgets. To improve the effectiveness of JNAP implementation, the OPM could, through a JNAP coordination unit/Secretariat and in partnership with the finance and planning arm of the government, address such challenges in regards to CC and DRM integration. Adopting an integrated strategic planning, programming and budgeting exercise could help sectoral agencies to:

- build understanding about the relationship between sectoral development and resilience;
- identify priority development and other activities where DRR and CC considerations are reflected;
- identify cross sectoral collaboration to generate synergistic outcomes;
- increase the ability to respond to development partner interests and access funding from bilateral, multilateral and regional ODA as well as CCF sources consistent with their policies and strategies;
- proactively coordinate and harmonise development partner assistance for countries high priorities, using for example donor roundtable discussion (see below); and
- develop programmatic investment plan together with rolling budget consistent with the MTBF.

> The OPM, through a JNAP Coordination Unit/Secretariat may wish to consider, in partnership with MFEM, to support sectoral line ministries to develop outcome-focused medium term sectoral plans, and agency Business Plans (integrating DRM and CC), together with three year budget plans, consistent with a MTBF.

Most importantly, in the context of JNAP, it will help Cook Islands Government to better coordinate JNAP related activities, facilitate collaboration, and create maximum synergy. In the absence of prioritised sectoral plans, in the interim, the JNAP Platform, though a JNAP coordination unit could support line ministries to develop a programmatic approach to their proposals for donor assistance, help identify an appropriate collaboration and activities across agencies and create maximum synergistic outcomes.

PROJECT FINANCING AND FINANCE MANAGEMENT

Development partner assistance for individual projects are channelled though the Cook Islands Government Public Finance System, as required under the Paris and Pacific Declaration on Aid Effectiveness. Consequently, the Government does not seem to have difficulties aligning its reporting on development assistance funds and expenditure to donors and the Parliament. However, availability of ODA and CCF based support to individual projects, also causes difficulties in adopting a programmatic approach to its CC and DRM activities. Cook Islands, like other countries in the region, is exploring other modalities of financing through available sources of particularly climate change financing (PIFS 2011; PIFS 2012).

Recently, the government has engaged in a process to get registration as a National Implementing Entity under the Adaptation Fund. While it had successfully accessed the $5 million SRIC-CC project funding through the multilateral implementing entity (MEI), UNDP, had it been accepted as a national implementing entity (NEI), Cook Islands expected to have direct access to the Adaptation Fund to a maximum country cap of USD$10 million. The NIE would give Cook Islands greater control over the available funding, and use its own country systems and processes to support their own priorities, including not losing a percentage of funding to an MEI (PIFS 2012). To be accepted as an NIE, the Cook Islands recognises it would need to strengthen its NSDS-JNAP system of governance, including strengthening its two pillars – planning, prioritisation and programming; and public finance management, together with the four bridges comprising organisational and decision-making processes, knowledge and capacity linking the two pillars.

Monitoring and Evaluation system

The JNAP document includes a process oriented reporting mechanism. It also identifies organisations through which reports will be provided and the frequency of such reports.

However, a full M&E system for JNAP is still to be developed.

In the absence of a JNAP-PMC and dedicated JNAP unit, reporting falls on individual line ministries under its NSDS reporting process; much of the focus of this reporting is financial management and project status against the broad NSDS goals. The CCCI and EMCI reports on JNAP related activities under their Outcome 5 and 6 to the Chief of Staff, where some reporting on JNAP activities are reported. A system of monitoring and evaluation of JNAP related government and non-government projects/programs, their outputs and impacts needs to be developed, as well as for reporting on JNAP related NSDP outcomes. The M&E system will include SMART (specific, measurable, attainable, relevant and time bound) indicators.

A linked M&E system would ideally be designed for the OPM (preferably at the level of JNAP coordination unit/ Secretariat), and the implementing agencies at the sectoral and sub national levels. This could be done once a prioritised JNAP Implementation Plan and sectoral level plans are developed. The approach adopted in the SRIC-CC project could be a useful guide for developing a simple M&E system (Government of Cook Islands 2011; Manarangi-Trott and Innovations 2013), drawing on lessons learnt identified by OECD (2012).

In the interim, a simplified reporting template could be developed to help line ministries provide JNAP-related progress against deliverables and expected outcomes as well as on financial management.

Conclusion

The JNAP addresses CC and DRM issues from a whole of the country perspective, where government, NGOs, civil societies, private sectors and communities have roles to play according to their accepted comparative advantage. The JNAP reflects a national systems approach to development and risk management, focussing on plans and policies and projects (Pillar 1) on the one hand and national and ODA and CCF (Pillar 2) on the other. These two pillars are linked through various institutional arrangements and decision-making processes (Bridges 1-4), including knowledge and institutional capacity.

In the JNAP implementation, the Cook Islands has tended to respond to development partner interest and thus the focus has largely been on individual standalone projects. Access to donor funding has been facilitated by the

Department of Foreign Affairs and Immigration, as the political focal point, by the CCCI as the climate change focal point, EMCI as the DRM focal point, and the NES as the focal point for Global Environment Facility. Other line ministries are also directly contacted by development partners. The JNAP Platform serves as a coordination point to information sharing, advocacy and activity implementation, monitoring and reporting on projects.

A system can be strengthened by addressing the weakest links.

In the Cook Islands, the JNAP process could be strengthened by addressing the core constraint that currently limits effective and efficient coordination of JNAP implementation: the lack of a dedicated person/coordinating unit/Secretariat, with core functions such as to:

- proactively facilitate and coordinate JNAP implementation across the line ministries, NGOs and other stakeholders;
- support the development of prioritised sector plans where DRM and CC are integrated into development together with a multi-year budget submissions;
- support the JNAP Platform and PMC when established; and
- coordinate the monitoring, evaluation and reporting on not only JNAP implementation, but also the underlying intent of encouraging integration of DRM and CC in development.

In conclusion, the Cook Islands JNAP development is a positive step forward to facilitating and encouraging DRM and CC integration in development. This integration agenda is generally new to implementing agencies and there is limited institutional and technical capacity. The DRM and CC integration in development agenda can be supported by a dedicated JNAP unit/Secretariat with CC and DRM specialists, drawing on planning expertise from within the OPM. An appropriately resourced JNAP coordination unit/Secretariat could also help increase the profile of the JNAP and encourage cost effectiveness in the delivery of JNAP strategic areas and objectives and NSDP outcomes. Box 12 in the body of the report provides more details on the potential role of a JNAP coordination unit/Secretariat.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