



TUVALU COASTAL ADAPTATION PROJECT (TCAP)

Stakeholder Engagement Plan & Grievance Redress Mechanism

1 November 2021



QUALITY INFORMATION

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1 INTRODUCTION

1. The Tuvalu Coastal Adaptation Project (TCAP) is a seven-year project that will contribute to strengthening the resilience of Tuvalu, one of the world's most vulnerable countries to climate change and sea level rise.
2. The project is being financed by the Green Climate Fund (USD36 million) and the Government of Tuvalu (USD2.9 million). Implemented by the UN Development Program (UNDP) in partnership with the Government of Tuvalu under Ministry of Finance through the Department of Climate Change, the project will improve coastal protection in key locations on the islands of Funafuti, Nanumea and Nanumaga.
3. While these new measures will act as a buffer during storms, the project also strives to build the capacity of national and island governments and local communities in adapting to climate change in the longer term.

1.1 BACKGROUND

4. The Tuvalu Coastal Adaptation Project has three inter-related outputs that aim to increase the resilience of infrastructure and built environment to climate which will strengthen adaptive capacity and reduced exposure to climate.
5. The three Project outputs are as follows:
6. **Output 1** is strengthening of institutions, human resources, awareness, and knowledge for resilience coastal management. This output leads to long term outcomes which include reduced vulnerability of Tuvalu to future impact of climate change, reduced loss from potential natural disasters, enhanced livelihoods and food and water security. To achieve this output, two activities will be implemented including technical capacity building within government departments whose mandate include the protection and monitoring of coastal area, and engaging youths in coastal protection technical training with the intention to build long-term national capacity for resilient coastal management. All technical department in-line with coastal protection will possess enough level of technical expertise to monitor and assess high risk coastlines and possible causes of climate and/or non-climate risks. Youth and women will also engage in coastal protection work in community level monitoring as well as simple repairs needed. Increased knowledge about data and dynamic coastal formation process is an expected outcome in this output.
7. **Output 2** is reducing coastal vulnerability of Tuvalu to climate change induced hazards. Underlying activities includes island level assessment to finalize the coastal design enhancing the current limited body of knowledge about coastal dynamics and island formation process in the country. The coastal protection measures will be undertaken on three islands and the sea level assessments will be carried out in all the islands of the country. Output 2 is expected to equip the country with a prerequisite often required by technical department staff to obtain hands-on skills and procedures for replicating the Green Climate Fund (GCF) investments beyond the project lifecycle.
8. **Output 3** is strengthening a sustainable domestic financial mechanism to sustain, replicate and scale GCF investments. This output will be supported through two activities which include the technical assistance for reflecting climate change adaptation concerns into the island strategic plans and their budgets and improving the iterative planning and budgeting process through proper monitoring and reflection of the outcomes in continuous monitoring in the next Island Strategic Plan (ISP). The ISP should involve all groups, including women, youth and other vulnerable groups, to express their different climate change concerns in the design of the ISP.

1.1.1 Purpose of this Document

9. The stakeholder management plan is used for: planning the engagement of stakeholders, developing strategies to reduce or eliminate resistance, valuing local knowledge and experience and creating strategies to increase sharing, support and buy-in. Because planning for stakeholder management generates activities, this plan becomes an input to other subsidiary plans.
10. As most of the population of Tuvalu can be considered as Indigenous Peoples under UNDPs Standard 6, this SEP also aims to fulfil the requirements of that Standard in terms of consultation, in particular, to achieve Free, Prior, Informed Consent (FPIC). Ensuring full, effective, and meaningful participation is at the heart of UNDP's approach to working with



indigenous peoples. Standard 6 contains specific requirements regarding participation of and agreement with indigenous peoples throughout the Project cycle. The key elements to achieve this are included in this SEP. Further information can be found in UNDP (2020) Guidance Note Standard – Indigenous Peoples¹.

2 REGULATIONS AND REQUIREMENTS

2.1 UNDP REQUIREMENTS

11. UNDP is committed to meaningful, effective, and informed stakeholder engagement in the design and implementation of all UNDP projects. UNDP's commitment to stakeholder engagement arises from internal policies, procedures, and strategy documents as well as key international human rights instruments, principles, and numerous decisions of international bodies, particularly as they relate to the protection of citizens' rights related to freedom of expression and participation. UNDP also follows the UN Statement of Common Understanding on Human Rights-Based Approaches to Development Cooperation which provides for *"Participation and Inclusion: Every person and all peoples are entitled to active, free and meaningful participation in, contribution to, and enjoyment of civil, economic, social, cultural and political development in which human rights and fundamental freedoms can be realized."*²
12. In summary, the key UNDP Social and Environmental Standards (SES) stakeholder engagement requirements are³:
 - Ensure meaningful, effective, informed participation of stakeholders in the formulation and implementation of UNDP Programmes and Projects, providing stakeholders opportunities to express their views at all points in the Project decision-making process on matters that affect them. (SES, Part C, paras. 18, 20).
 - Conduct stakeholder analysis and engagement in a gender-responsive, culturally sensitive, non-discriminatory and inclusive manner, identifying potentially affected vulnerable and marginalized groups and providing them opportunities to participate (SES, Part C, para. 18).
 - Develop appropriately scaled Stakeholder Engagement Plans, with level and frequency of engagement reflecting the nature of the activity, magnitude of potential risks and adverse impacts, and concerns raised by affected communities (SES, Part C, para. 21).
 - Meaningful, effective, and informed consultation processes need to be free of charge and meet specified criteria, including free of intimidation and external manipulation; initiated early and iterative; inclusive; gender and age responsive; culturally appropriate and tailored to language preferences; and based on timely disclosure of relevant, accessible information regarding the project and its social and environmental risks and impacts (SES, Part C, para. 20).
 - Include differentiated measures to allow effective participation of disadvantaged or vulnerable groups, including persons with disabilities (SES, Part C, para. 20).
 - Undertake measures to ensure effective stakeholder engagement occurs where conditions for inclusive participation are unfavourable (SES, Part C, para. 18).
 - Document consultations and report them in accessible form to participants and the public (SES, Part C, paras. 20, 28).
 - Ensure early and iterative meaningful stakeholder engagement throughout the assessment and management of potential social and environmental risks and impacts (SES, Part C, para. 16).

¹

https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/UNDP%20SES%20Indigenous%20Peoples%20GN_Final_December%202020.pdf

² Available at <http://hrbportal.org/the-human-rights-based-approach-to-development-cooperation-towards-a-common-understanding-among-un-agencies>.

³ UNDP (2020), Guidance Note – UNDP Social and Environmental Standards – Stakeholder Engagement



- Ensure that stakeholders who may be adversely affected by the project can communicate concerns and grievances through various entry points, including when necessary, an effective project-level grievance mechanism, and also UNDP's Stakeholder Response Mechanism and Social and Environmental Compliance Unit (SES, Part C, paras. 23-26, 37).
- For projects that affect rights, lands, territories, resources, and traditional livelihoods of indigenous peoples, ensure meaningful consultations and free, prior informed consent (FPIC) (SES, Part C, para. 22; SES, Standard 6, para. 10).
- For projects that may involve physical or economic displacement, ensure activities are planned and implemented collaboratively with meaningful and informed participation of those affected (SES, Standard 5).
- Provide ongoing reporting to affected communities and individuals for projects with significant adverse social and environmental impacts (SES, Part C, para. 34).
- Seek to identify, reduce and address the risk of retaliation and reprisals against people who may seek information on and participation in project activities, express concerns and/or access project-level grievance redress processes/mechanisms or UNDP's Stakeholder Response Mechanism or Social and Environmental Compliance Unit (SES, Part C, para. 27).
- Ensure that stakeholder analysis and engagement are conducted in a gender-responsive, culturally sensitive, non-discriminatory and inclusive manner, identifying potentially affected vulnerable and marginalized groups and providing them opportunities to participate. (SES, Part C, para. 18).

2.2 GCF REQUIREMENTS

13. GCF seeks to ensure the greatest degree of transparency in all its activities through the effective dissemination of information to stakeholders and the public at large. Recognising the need to ensure public access and stakeholder participation, GCF sets out the Information Disclosure Policy (IDP) which outlines the information that is made available to the public either as a routine matter or upon request. The IDP requires GCF to presume the disclosure of information relating to GCF and its funding activities.

2.2.1 Information Disclosure

14. The GCF Information Disclosure Policy operationalizes its commitment by ensuring transparency, public access to information and stakeholder participation in all its activities. The Information Disclosure Policy requires that relevant information, including with respect to environmental and social issues, is made available to the affected and potentially affected communities and external stakeholders.
15. GCF require that all additional environmental and social safeguards documents be disclosed. These documents may include a suite of assessment and management instruments, such as resettlement action plans and policy frameworks, indigenous peoples' plans, and planning frameworks, gender assessments and gender action plans, and environmental and social due diligence and audit reports. These documents will complement the environmental and social reports or core safeguards instruments – and should be disclosed in the same manner and timeframe as the core instruments.
16. GCF require accredited entities, including intermediaries, to ensure the effective engagement of communities and individuals, including transboundary, vulnerable and marginalised groups and individuals that affected or potentially affected by the activities proposed for GCF financing. The disclosure of information, meaningful consultation, and informed participation is to be designed and undertaken in a manner that takes into consideration the risks and impacts, including where appropriate transboundary impacts as well as opportunities to enhance environmental and social outcomes of the proposed Environmental and Social Policy activities, starting from the design and development of activities and will continue throughout the lifecycle of the activities.



2.2.2 Stakeholder Engagement

17. GCF requires that culturally appropriate, meaningful consultation/discussions are undertaken throughout the life cycle of activities, with information provided and disclosed in a timely manner, in an understandable format, in appropriate local languages, gender inclusive and responsive, free from coercion, and incorporates the views of stakeholders in the decision-making process. The processes should pay particular attention to vulnerable groups and to conducting consultations / sharing sessions in a manner that does not put vulnerable individuals and groups at risk.

2.2.3 Grievance Redress Mechanisms (GRM)

18. GCF requires that accredited entities inform the communities affected, or likely to be affected, by the GCF-financed activities about the grievance and redress mechanisms at all three levels, at the earliest opportunity of the stakeholder engagement process and in an understandable format and in all relevant languages.
19. At the GCF level, the independent Redress Mechanism will address the grievances and complaints filed by persons, groups of persons or communities or on their behalf by governments or a representative, duly authorised to act in such a capacity, who may be or have been affected by the adverse impacts including transboundary impacts of the projects, in connection to the GCF-financed activities. In the event of a complaint being filed with the independent Redress Mechanism, the accredited entities will cooperate with the independent Redress Mechanism and GCF.

2.3 GOT REQUIREMENTS

20. The Environmental Protection (Environmental Impact Assessment) Regulations 2012 state that after review of the full assessment, the DoE may issue instructions for the proponent to undertake consultations and may provide full details for the proposed consultations process.
21. The Falekaupule (Local Government) Act 1977 governs the establishment and composition of a Falekaupule (traditional assembly) and a Kaupule (island council) as well as their meetings, proceedings, and functions. The Act determines that each March, and at 3 monthly intervals throughout the year an assembly of all residents of the Falekaupule area will be held to discuss treasury matters, local development plans and any other matters. Schedule 3 of the Act details the functions of the Falekaupule, in the context of TCAP and stakeholder engagement, the specific function to note is Schedule 3 (12a) to establish, maintain and provide information and publicity services.

3 SUMMARY OF PREVIOUS STAKEHOLDER ENGAGEMENT ACTIVITIES (AS AT DECEMBER 2020)

22. During the development of the project, there was considerable consultation with key stakeholders. This consultation was summarized and included as part of the GCF Funding Proposal, then the TCAP induction meeting and report.
23. From the LiDAR topographical data collected in 2020, the project CTA and Engineer developed future sea level scenarios and safe zones as well as coastal adaptation designs specific to Tuvalu's atoll islands. This information has been shared with the government leaders of Tuvalu, and the islands beneficiaries and communities for their decision-making and as such was shared widely and repeatedly in consultations.
24. Ongoing mechanisms for engagement have been:
 - Meetings with government staff, partners, local communities, and the public.
 - Community consultations, including targeted group discussions, to discuss project and potential impacts as part of the ESIs.
 - Development of a Communication Strategy and Plan.



- Twitter: @TCAPforTu8. A twitter account was established in October 2017. As at 13/9/20 @TCAPforTu8 has 305 Following and 534 Followers.
 - Website: www.tcap.tv. The TCAP website was established in 2018 and provides an overview of the project, bios of some of the key team members. Seven web articles/stories were posted on the TCAP.tv website in 2020. Most importantly from a GRM perspective, the website provides contact details for submission of feedback, questions, or media enquiries – both email and telephone details are given. Further, a link to the external UNDP Office of Audit and Investigation hotline is provided for reporting complaints or concerns.
 - A Facebook page was created for the project in January 2019: <https://www.facebook.com/Tuvalu-Coastal-Adaptation-Project-342968406432792/>. As at 13/9/20 the page has 1481 followers and 1462 like the page.
 - [Quarterly newsletter \(see below\)](#), as well as through face-to-face meetings and local media. Communities have been consistently kept updated and their comments fed back into the project. They have played a key role in decision-making, supporting the understanding that the project belongs to them.
 - Effective internal communication, including networking among the project management team, the technical consultants and the in-line ministries and government leaders, has facilitated the work of the project and ensured stakeholders have been kept up to date.
 - The project used national events including [World Environment Day](#) (June 5) and the [75th Commemoration of the United Nations](#) (October 23) to promote the project's objectives and progress.
 - Two TCAP quarterly e-newsletters have been sent ([Issue 1 - October 2020](#) and [Issue 2 - December 2020](#)) to 38 key government stakeholders, UNDP staff and interested parties. [PDF versions](#) were prepared for offline dissemination (including two additional newsletters). A 'Subscribe' button has been added across TCAP website pages for the public, as well as links posted to Twitter and Facebook for local audiences.
 - Radio Tuvalu and Tuvalu TV were updated on key project activities, [for example](#) the completion of the LiDAR topographical survey and its significance.
25. Engagement activities are summarised each year in the Annual Performance Review Report GCF template, which are disclosed on the Green Climate Fund's website and quarterly, starting 2021, in the quarterly Progress report UNDP template.

4 PRINCIPLES AND SUMMARY OF THE SEPs

26. Two Stakeholders Engagement Plans (SEPs) have been developed by the project: one for the proposed intervention in Funafuti, and another one for the proposed interventions on the two outer islands of Nanumea and Nanumanga. These detailed plans are presented in Appendices 3 and 4 respectively. The following paragraphs provide a summary presentation of the principles that underpin the SEP approach and a summary of the common points shared by both SEPs.



4.1.1 Stakeholder Analysis Overview

Stakeholders	Interests at stake in relation to project	Effect of project on interests (+, 0, -)	Importance of stakeholder for success of project 1 = little/no importance 2 = some importance 3 = moderate importance 4 = very important 5 = critical player	Degree of influence of stakeholder over project 1 = little/no importance 2 = some importance 3 = moderate importance 4 = very important 5 = critical player
GCF	Reputation	+	4	5
UNDP	Reputation	+	4	5
Project Team	Reputation	+	5	4
Government of Tuvalu	Reputation and capacity to plan/implement Training	+	5	5
Local government and traditional leaders	Voice of the communities – exposing positives and negatives of the project Active participation to share knowledge Welfare of local communities	+	5	5
Island communities and beneficiaries	Enhanced resilience through reduced climate impacts Ownership for longevity of action	+	4	4
Directly affected landholders	Protection of assets and/or loss of land or trees Key role in maintenance of infrastructure	0	5	5
Project contractors and workers	Safety and ability to deliver Maintenance of infrastructure	0	4	4
Women's and youths' organizations, people with disability	Gender equity and employment opportunities	+	4	4
Civil society groups and local NGOs	Environmental and social issues	0	4	



4.1.2 Target audience and key messages overview

WHO	WHY	HOW	SPECIFIC KEY MESSAGES
<p>Government Department</p> <p>Implementing Partners</p> <p>Stakeholders</p>	<p>To communicate progress and impacts of project.</p> <p>To demonstrate transparency in project development and implementation</p> <p>To credit government and build relationships</p> <p>To develop strong partnership with technical partners</p> <p>To train implementing partners</p>	<p>Regular sharing of project document, information, data and technical knowledge</p> <p>Regular stakeholder meetings</p> <p>Trainings and workshops</p> <p>Disclosure (transparency)</p> <p>Board Meetings</p> <p>Tagging in social media</p>	<p>The project aims to build the adaptive capacity on technical coastal adaptation for project sustainability and monitoring of the project</p> <p>The project collaborates with its partners and stakeholders to share knowledge and experience, promote visibility, raise awareness and influence change</p> <p>The project coordinates and reports activities with its partners and builds technical capacities.</p> <p>The Project Management Unit (PMU) along with its implementing partners are accountable, transparent, and work to connect with government and stakeholders, including the islands communities and beneficiaries</p>
<p>Islands communities</p> <p>Falekaupules and Kaupules</p>	<p>To communicate progress and impacts of project</p> <p>To demonstrate transparency in project development and implementation</p> <p>To expand and share knowledge</p> <p>To create a platform of knowledge and experience sharing</p> <p>To identify and protect sites of significance</p>	<p>Validation of Environment Social Impact Assessments (ESIA) documents</p> <p>Approvals of coastal protection designs</p> <p>Regular community meetings, consultations, sharing sessions, and training</p> <p>Community engagement through local leaders</p> <p>Continuous engagement and transparent information sharing, especially when the project experiences delay in its implementation</p>	<p>The project collaborates/consults with the targeted communities and islands stakeholders to share knowledge and experience, promote visibility, raise awareness and influence change</p> <p>The project values the community knowledge, views and opinion on decision making on coastal protection measure designs.</p> <p>To further harness innovation and value local knowledge, a 'champions' program will be launched side-by-side with the Kaupule level investment program under Output 3</p>



	To support the implementation of the TCAP project activities, and to effectively and efficiently facilitate engagement and on-going liaison with the communities of Nanumea and Nanumaga	<p>Collection of information on local knowledge and practices</p> <p>Promotions of project information and communication materials</p> <p>Recruitment of TCAP island community facilitators</p>	
Partners, stakeholders, communities, beneficiaries and public	<p>To raise public awareness of climate change impacts and adaptation needs</p> <p>To build public profile of Government/UNDP and project in addressing climate change issues</p> <p>To strengthen and promote the visibility of the project to all the beneficiaries and the public</p> <p>To communicate progress of project activities</p> <p>To minimize impact on directly affected and vulnerable groups</p> <p>To inform on the GRM</p>	<p>TCAP newsletters (links to press releases, new stories as they are published, interviews, etc.)</p> <p>Pamphlet</p> <p>Billboards</p> <p>TV and radio news and program</p> <p>Building media contacts and relationships</p> <p>Press releases</p> <p>Distributions of Information, Education and Communication (IEC) materials</p> <p>Tagging in social media</p> <p>Mitigation measures</p> <p>GRM committee</p>	<p>Project aims to build visibility, update, and promote project implementation, raise awareness, and influence change to public, beneficiaries, targeted communities, and stakeholders</p> <p>The project is a credible development partner in communicating information and outcomes of its activities in coordination with relevant Government ministries and departments.</p> <p>The community has a mechanism to raise concerns and have issues resolved.</p>
Professional development and exposure	To share knowledge and experience	<p>Visibility at conferences and events</p> <p>Dissemination of news and case studies</p> <p>Project results capitalization, publication, and dissemination</p>	The project values the work of development professionals with advocacy and influencing technical advisors on coastal engineering and looks for collaborative efforts to highlight results and lessons learnt.



4.1.3 Project Stakeholders

27. Appendix 1 contains the Stakeholder Register – this is a living document that will be regularly updated throughout the life of the project as new stakeholders are identified.
28. The UNDP SES requirements on access to information is being met by maintaining and disclosing a public record of stakeholder engagement throughout the project cycle. Note, where it may be necessary to safeguard the identities of stakeholders, statistical information will be recorded and disclosed.
29. The initial stakeholder plan was disclosed as part of the Funding Proposal stage. The project Communication Strategy has been disclosed and stakeholders have been kept up to date with project activities through the various activities described in Section 3, recorded, reported and then summarized in the APRs. Once approved by the Project Board and UNDP, the updated Stakeholder Engagement Plan will be publicly disclosed.
30. As noted in Section 1.1.1, most of the population of Tuvalu can be considered to be indigenous for the purposes of UNDP Standard 6. Therefore, all consultation activities can be considered to be with indigenous peoples, which is particularly important if the requirement for Free, Prior, Informed, Consent (FPIC) needs to be met. Appendix 4 contains a checklist for determining the need for FPIC and some procedures for obtaining it.

5 STAKEHOLDER ENGAGEMENT PROGRAMME

31. Two stakeholder engagement plans (one for Funafuti and one for Nanumaga and Nanumea) have been developed to provide schedule of engagement activities and who is responsible for their delivery. The programmes draw on and is consistent with the approved Project Communication Strategy.
32. The purpose of the stakeholder engagement programme is to:
 - Develop partnerships with stakeholders
 - Provide stakeholders with updates on the project
 - Create an avenue for stakeholder feedback
 - Fulfil the requirements of GCF, UNDP and GoT
 - Help build knowledge and capacity within the stakeholder groups to assist with future projects
 - Provide a timeline of engagement activities and identify who will be responsible for their delivery.
33. The following consultation and consent processes are to be adopted as part of the project stakeholder engagement programme:
 - Identification of parties to the negotiation and decision-makers
 - Elaboration of the decision-making processes of the respective parties
 - The role if any of outside counsel and expertise, including e.g. a third party mediator/negotiator
 - Agreement on relevant time periods
 - Applicable community protocols that must be respected
 - Steps to guarantee an environment without coercion or duress
 - The format for benefit sharing discussions and arrangements
 - Sharing of information in meaningful, accessible and culturally appropriate manner



- Identification of other project activities or circumstances that will trigger additional consent processes
 - The format for documenting the agreement, conditions that attach, and/or other conclusions of the process.
34. A variety of engagement methods (and technologies) will be employed as part of the engagement programme, they include:
- TCAP Board meetings
 - Community consultation and meetings
 - Government Departments consultation, workshops, and meetings
 - Sharing (virtual and/or face to face) of project implementation reports, notes, briefs, etc.
 - TCAP website (<https://tcap.tv/>), including videos, articles, blogs, newsletters, Board meeting minutes, other endorsed documents
 - Twitter@TCAPforTu8
 - Facebook - Tuvalu Coastal Adaptation Project
 - Project resources/materials such as banners, billboards, brochures, presentations
 - Press releases, TV, and radio programs.
35. Many of the above mechanisms provide opportunities for community feedback outside of formal consultative meetings e.g., Facebook, email, Twitter, all of which are monitored by the TCAP team.
36. A 'champions' program launched side-by-side with the Kaupule level investment program. In addition to supporting community CCA innovations, TCAP will support individual/group innovative requests by developing Kaupules' capacity in identifying champions and facilitating and supporting individual / group initiatives – which is indeed a role of a decentralized authority. The focus of the TCAP project on three islands initially will allow this exposure and will facilitate interconnectedness and synergies of initiatives. The three Kaupules will set a process in motion to identify champions as they see fit i.e., call for proposal, community meetings, etc. The vehicle to support this programme will be the same as the one outline in the CRPBG under the Output 3
37. The Falekapule is open to everyone over the age of 18 and the monthly meetings present an opportunity for communities to raise issues or provide feedback on the various activities associated with TCAP, which are then communicated to the TCAP team. Further, Tuvalu is a small place with a very close-knit community, the TCAP team in Tuvalu are part of and well known to communities so therefore receive considerable firsthand informal feedback on the project.
38. Appendix 3 and 4 contains the Stakeholder Engagement Programme, this is a living document and will be updated regularly throughout the project as needs change because of iterative consultations and possibly consent processes over the course of the project implementation and evaluation.

6 GRIEVANCE MECHANISM

39. As noted earlier, UNDP and GCF both have policies of information disclosure and transparency, this includes ensuring that stakeholders who may be adversely affected by the project can communicate their concerns and grievances. In line with these policies, a Grievance Redress Mechanism (GRM) has been prepared (Appendix 2).
40. During implementation, and particularly construction phases of any project, a person or group of people can be adversely affected, directly or indirectly due to the project activities. The grievances that may arise can be related to social issues such as eligibility criteria and entitlements, disruption of services, temporary or permanent loss of livelihoods and other social and cultural issues. Grievances may also be related to environmental issues such as excessive dust generation, damages to infrastructure due to construction related vibrations or transportation of raw material, noise, traffic



congestions, decrease in quality or quantity of private/ public surface/ ground water resources during irrigation rehabilitation, damage to home gardens and agricultural lands, etc.

41. The Grievance Redress Mechanism (GRM) is for people seeking satisfactory resolution of their complaints on the environmental and social performance of the TCAP.
42. Special attention will be placed on ensuring that grievances related to gender issues, such as harassment, will be catered for, and that the grievance process will be designed in such a way that it facilitates access for women.
43. In addition to the project-level and national grievance redress mechanisms, complainants have the option to access two additional independent grievance mechanisms:
 - UNDP Stakeholder Response Mechanism - www.undp.org/secu-srm
 - GCF Independent Redress Mechanism - <https://irm.greenclimate.fund>

7 MONITORING AND REPORTING

44. The PMU will monitor the impacts of stakeholder engagement activities. Stakeholder engagement will form a regular agenda item at PMU meetings. Issues and risks identified will be recorded in the project Risk Register for ongoing monitoring and/or actioning as appropriate.
45. A summary of all stakeholder engagement activities will be collated and made available to the public e.g., in Annual Performance Report. The summary will contain the following information as a minimum:
 - Stakeholder engagement activities implemented
 - Dates and venues of engagement activities
 - Information shared with stakeholders
 - Outputs including issues addressed.
46. Outcomes of sharing sessions, consultations or responses to issues raised will be reported back to communities as per the Communications Strategy e.g., via the project website, newsletters, radio program, visits, meetings, etc.
47. The Stakeholder Engagement Programme will be monitored, reviewed, and updated quarterly as required.
48. The Annual Performance Report as well as the Quarterly Progress Report include a section on Stakeholder Engagement. Stakeholder consultation has been assessed as part of the Mid-Term Evaluation (MTE) process, and TCAP responded to their recommendations in this updated SEP.
49. This Stakeholder Engagement Plan will be reviewed and updated as necessary, at least annually.



APPENDIX ONE – STAKEHOLDER REGISTER

Organisation	Name	Last name	Email
Nanumaga Tupu (Head Chief)	Seti	Sopoaga	No email
Nanumaga Pule Kaupule	Sikiga	Taimi	sikigakitasi@gmail.com
Nanumaga Leader (in Funafuti)	Hamoia	Holona	haumat01@wairaka.com
Nanumaga TCAP Board Representative (in Funafuti)	Penehuro	Hauma	pnhauma@gmail.com
Nanumea Pule Fenua (Head Chief)	Iese	Katoaga	No email
Nanumea Pule Kaupule	Tofiga	Paitela	sotiata.t@gmail.com
Nanumea Leader (in Funafuti)	Piliota	Hinota	hinota80@gmail.com
Nanumea TCAP Board Representative (in Funafuti)	Launiu	Pelosi	launiupelosi@gmail.com
Funafuti Ulu Fenua (Head Chief)	Siliga	Kofe	siligak@rocketmail.com
Funafuti Pule Kaupule	Semi	Vine	semivine@gmail.com
Funafuti Kaupule Secretary	Taualo	Penivao	tpenivao@gmail.com
Minister of Finance	Seve	Paeniu	sevepaeniu@gmail.com
CEO Minister of Finance	Niutui	Niutui	nuiatui@gmail.com
Director of Treasury	Peniuna	Kaitu	pkaitu@gov.tv
Acting Director of Central Procurement	Frank	Fiapati	mfiapati@live.com
CEO Ministry of Education, Youth and Sports	Tufoua	Panapa	tufoitupugaolemele@gmail.com
Acting Director of Education	Enele	Epati	kaaifanoiga@gmail.com
Secretary of the Office of the Prime Minister	Vavau	Faatuga	vfaatuga@gov.tv
Assistant Secretary of Human Resources Management Department	Asogali	Panapa	dayzpanapa@gmail.com
Director of Land and Survey	Fataasi	Malologa	fmalologa@gmail.com
Acting Director of Environment	Tilia	Tima	tilia.tima@gmail.com



CEO of Ministry Local Government and Agriculture	Taufia	Patolo	tpatolo79@gmail.com
Acting Director of Local Government	Suiti	Faavae	sfavae@gov.tv
Director of Marines Services	Taasi	Pitoui	taasi.pitou@gmail.com
Director of Public Works	Malofou	Sopoaga	msopoaga@gmail.com
ADB/UNDP Representative	Letasi	Lulai	liulai@adb.org
President of Tuvalu Association of NGOs (TANGO)	Alisa	Taukave	alisataukave@gmail.com tuvalutango@gmail.com
Coordinator of Tuvalu National Council of Women	Pula	Toafa	pula_toafa@yahoo.com.au
Coordinator of Fusi Alofa (Disability Persons Organisation)	Melton Malosiaga	Tauetia	tauetia@gmail.com



APPENDIX TWO – GRIEVANCE REDRESS MECHANISM

1 INTRODUCTION

1.1 PURPOSE OF THE GRIEVANCE REDRESS MECHANISM

1. During implementation, and particularly construction phases of any project, a person or group of people can be adversely affected, directly or indirectly due to the project activities. The grievances that may arise can be related to social issues such as eligibility criteria and entitlements, disruption of services, temporary or permanent loss of livelihoods and other social and cultural issues. Grievances may also be related to environmental issues such as excessive dust generation, damages to infrastructure due to construction related vibrations or transportation of raw material, noise, traffic congestions, decrease in quality or quantity of private/ public surface/ ground water resources during irrigation rehabilitation, damage to home gardens and agricultural lands, etc.
2. UNDP and GCF both have policies of information disclosure and transparency; this includes ensuring that stakeholders who may be adversely affected by the project can communicate their concerns and grievances. The Grievance Redress Mechanism (GRM) is for people seeking satisfactory resolution of their complaints on the environmental and social performance of the TCAP project at the Climate Change Department (CCD) in Tuvalu.
3. The GRM provides a process to ensure that:
 - the basic rights and interests of every person affected by poor environmental performance or social management of the project are protected; and
 - concerns arising from the poor performance of the project during the phases of design, construction and operation activities are effectively and timely addressed.
4. While recognising that many complaints may be resolved immediately, the Complaints Register and Grievance Redress Mechanism encourages mutually acceptable resolution of issues as they arise. The Complaints Register and Grievance Redress Mechanism has been designed to:
 - be a legitimate process that allows for trust to be built between stakeholder groups and assures stakeholders that their concerns will be assessed in a fair and transparent manner;
 - allow simple and streamlined access to the Complaints Register and Grievance Redress Mechanism for all stakeholders and provide adequate assistance for those that may have faced barriers in the past to be able to raise their concerns;
 - provide clear and known procedures for each stage of the Grievance Redress Mechanism process, and provides clarity on the types of outcomes available to individuals and groups;
 - ensure equitable treatment to all concerned and aggrieved individuals and groups through a consistent, formal approach that, is fair, informed and respectful to a concern, complaints and/or grievances;
 - to provide a transparent approach, by keeping any aggrieved individual/group informed of the progress of their complaint, the information that was used when assessing their complaint and information about the mechanisms that will be used to address it; and
 - enable continuous learning and improvements to the Grievance Redress Mechanism. Through continued assessment, the learnings may reduce potential complaints and grievances.



1.2 STRUCTURE OF THE GRM

5. The project has adopted a two-tier Grievance Redress Mechanism structure: tier one is for issues that can be resolved at the site or project level; while tier 2 is for more complex issues that cannot be readily resolved at the site or project level and therefore require escalating. This is because it is anticipated that many complaints will be able to be readily resolved at the contractor/project level e.g., noise or dust complaints discussions between contractor and stakeholders. While more complex or significant grievances are likely to require escalation to the second tier of the GRM – the Grievance Redress Committee (GRC). The GRC may make recommendations to the Board for resolution of issues that required Board approval or Government intervention.
6. In addition to the project-level and national grievance redress mechanisms, complainants have the option to access UNDP's Accountability Mechanism, and/or GCFs redress mechanism.

1.2.1 Composition

7. The GRM will be administered by TCAP on behalf of UNDP and an ad hoc GRC in response to specific requests for grievance. The GRC will be balanced in composition (government and non-government) – refer Section 2.2.3.
8. In its role as GRM secretariat, TCAP will perform the following core functions:
 - Publicise the existence of the GRM and the procedure for using it
 - Receive and log requests for dispute resolution
 - Acknowledge receipt to the requestor
 - Determine eligibility
 - Assign responsibility for review and action
 - Track and document efforts at grievance/dispute resolution and their outcomes.
9. The Grievance Redress Committee will perform the following core functions:
 - Take direct action to resolve the grievance/dispute (e.g., bring the relevant parties together to discuss and resolve the issue themselves with oversight by the Project Board);
 - Request further information to clarify the issue, and share that information with all relevant parties, or ensure that a government agency represented on the Project Board took an appropriate administrative action to deal with a complaint;
 - Refer the grievance/dispute to the Project Board and/or independent mediation, while maintaining oversight; or
 - Recommend referral to the government or legal system (e.g., to the courts) if the issue is outside the mandate of the Project Board to resolve.

1.3 DISCLOSURE OF THE GRM

10. Local communities and other stakeholders will be advised of the existence of the GRM and its operation. This shall be done via several mechanisms:
 - During stakeholder meetings and workshops.
 - A one-page brochure, clearly outlining the existence of the GRM, the processes included and the contact details of the project community focal point/administration officer. The brochure shall be in both English and Tuvaluan. The GRM brochure shall be provided to the Kaupule during the formal stakeholder meetings.
 - Public notice boards.
 - TCAP website, TCAP newsletter and social media feeds (e.g., Radio Tuvalu).



2 COMPLAINTS PROCESS

11. The Complaints process is for people seeking satisfactory resolution of their complaints on the environmental and social performance of the TCAP project.
12. This Process is consistent with the Project's Environment and Social Management Plan.
13. For the purpose of this procedure, a community grievance or complaint is a notification provided to the TCAP by a community member or group that they have suffered some form of offence, detriment, impairment or loss as a result of TCAP's activities and/or employee or contractor behavior. The overall process is summarised in Figure A2-1 below.

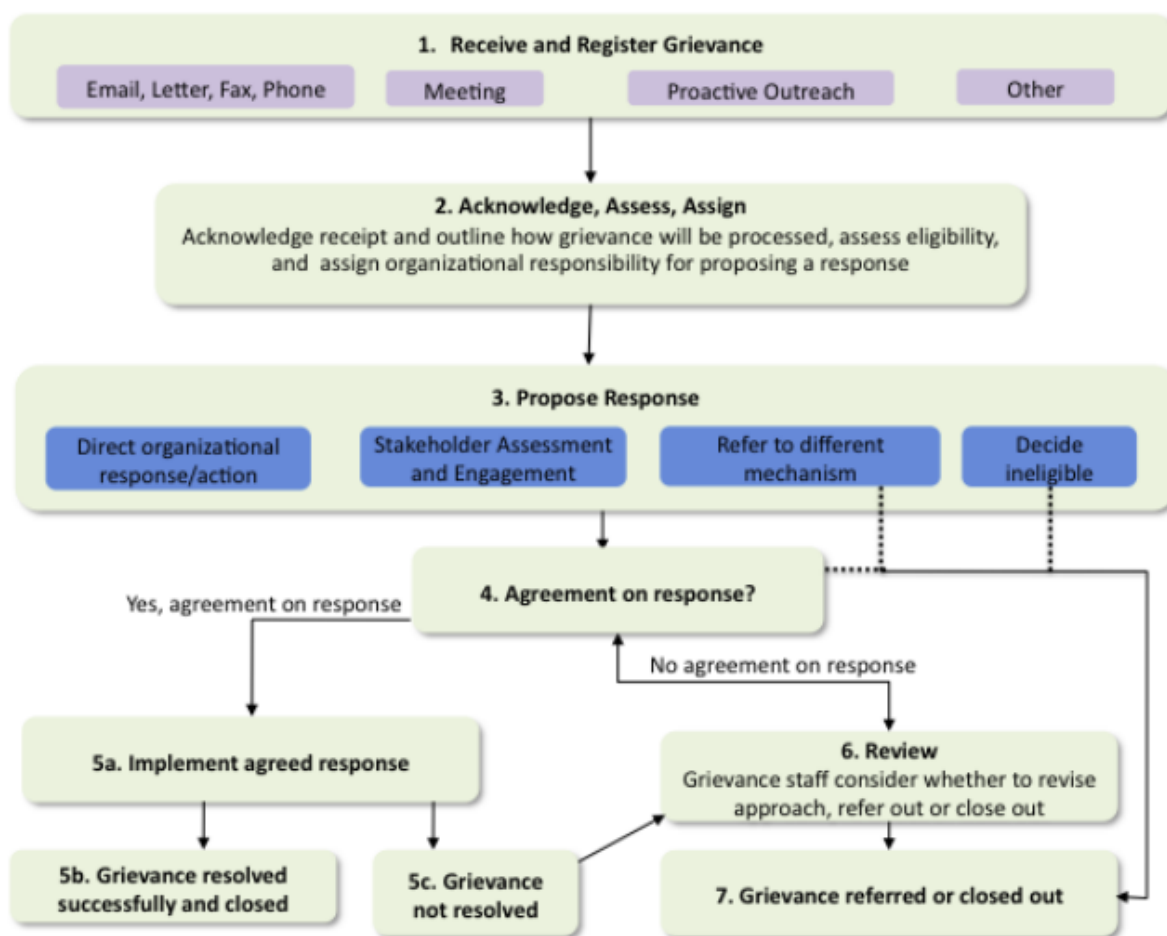


Figure A2-1 General overview of grievance redress process⁴

2.1 LODGING A COMPLAINT

14. Anyone can make a complaint or grievance, ask for information on the project or get in touch for any project related reason. The various ways to get in touch are:

⁴ UNDP (2017) Guidance Note – UNDP SES – Stakeholder Engagement Supplemental Guidance: Grievance Redress Mechanisms



- By Phone: (688) 20 883 and 20 258 at the Tuvalu Partnership House Office business hours.
- By email: TCAP.feedback@undp.org
- By mail: Tuvalu Coastal Adaptation Project, Partnership House, Tuvalu Department of Climate Change and Disaster, Funafuti, Tuvalu
- In person: by visiting Tuvalu Coastal Adaptation Project Office, Partnership House, Funafuti, Tuvalu. TCAP team members may also receive complaints when in the field, but sufficient details must be provided by complainant to allow follow up.
- Via the TCAP website: <https://tcap.tv/>

2.1.1 Information to be included in a Grievance

15. The Grievance should include the following information:

- name of the individual or individuals making the Complaint (the "Claimant")
- a means for contacting the Claimant (email, phone, address, other)
- if the submission is on behalf of those alleging a potential or actual harm, the identity of those on whose behalf the Grievance is made, and written confirmation by those represented of the Claimant's authority to lodge the Grievance on their behalf
- the description of the potential or actual harm
- Claimant's statement of the risk of harm or actual harm (description of the risk/harm and those affected, names of the individual(s) or institutions responsible for the risk/harm, the location(s) and date(s) of harmful activity)
- what has been done by Claimant thus far to resolve the matter
- whether the Claimant wishes that their identity is kept confidential; and
- the specific help requested from the GRM.

16. However, complainants are not required to provide all of the information listed above. Initially, the complainant need only provide enough information to determine eligibility. If insufficient information is provided, the TCAP has an obligation to make a substantial, good faith effort to contact the complainant to request whatever additional information is needed to determine eligibility, and if eligible, to develop a proposed response.

2.1.2 Eligibility criteria for the Grievance Redress Mechanism

17. There is a procedural step for the assessment of eligibility for the GRM to ensure that the issue being raised is relevant to project. Eligibility will be determined based on the following four criteria:

- Does the complaint indicate that the program has caused a negative economic, social, or environmental impact on the complainant, or has the potential to cause such an impact?
- Does the complaint specify what kind of impact has occurred or may occur, and how the program has caused or may cause that impact?
- Does the complaint indicate that those filing the complaint are the ones who have been impacted, or are at risk of being impacted; or that those filing the complaint are representing the impacted or potentially impacted stakeholders at their request?
- Does the complaint provide enough information for GRM staff to decide on the first three questions?



2.2 MANAGEMENT OF COMPLAINTS

18. The key to the successful management of community complaints is to act immediately. Proactively resolving complaints and disputes early is preferable rather than allowing community issues to escalate. Most complaints can be resolved quickly and satisfactorily by:
 - Dealing with complaints in persons
 - Apologising for inadvertent breaches
 - Rectifying root causes
 - Assuring complainants of future preventative action.
19. Wherever possible, the project team will seek to resolve the complaint as soon as possible, and thus avoid escalation of issues. However, where a complaint cannot be readily resolved, then it must be escalated.

2.2.1 Complaints Register

20. All complaints or grievances are entered into a register to enable tracking of each complaint/grievance. When a complaint is received the following information is to be recorded:
 - Complaint number/identifier
 - Date complaint received
 - Complainants contact details (name, address, phone / fax, email)
 - Details of complaint
 - Receiving officer/medium (letter, email, verbal).
21. Complaint records (letter, email, record of conversation) are stored together, electronically or in hard copy. Each record has a unique identifier.

2.2.2 Process for Managing Complaints

22. The complaints and GRM process, including durations of each step are shown in Table 1. Key features of the process are outlined below:
 - When a complaint is received, the recipient of the complaint will be the Administrative Officer to immediately ensure there is awareness of the complaint. The TCAP Project Manager shall notify the person and/or the contractor responsible for the implementation of that particular activity for TCAP in writing within 48 hours of awareness of the formal complaint.
 - Each complaint will be acknowledged so that complainant is aware that complaint has been received.
 - Complaints will be assessed for eligibility. If a complaint is found not be related to TCAP's operations, then the complainant will be informed accordingly in writing and the complaint will be considered as closed
 - Each complaint/grievance is assigned a specific person responsible for close out. The Grievance Redress Registering and Monitoring form (Annexure 1) breaks grievances into the following categories: construction, compensation, revegetation, access, social nuisance, other. The most appropriate person to manage the complaint will be identified based on the nature of the complaint.
 - Each complaint or grievance will have an action for addressing and closing out.
 - Contractor or staff of the TCAP team and the Climate Change Department or similar project person can address issues onsite as required. If necessary, meetings will be held with the concerned affected persons / complainant and the concerned officer to find a solution to the problem and develop plans to redress the grievance. Issues



raised and resolved on-site should be registered in the complaints register – the logging of these informal resolutions encourages responsiveness; and ensures that repeated or low-level grievances are being noted in the system.

- Use of community leaders and customary methods of conflict resolution is encouraged if necessary and appropriate when an issue is raised. The Falekaupule is the customary forum where grievances can be discussed; each island has one.
- If an issue/complaint cannot be resolved onsite, it is elevated to the TCAP Project Manager for resolution (with support from the TCAP team). If the TCAP Project Manager cannot resolve the issue, it is escalated to Tier 2 i.e., it is referred to the ad hoc Grievance Redress Committee.
- Every possible effort should be made by the TCAP and construction contractor to resolve the issues referred to in the complaint within their purview. However, there may be certain problems that are more complex and cannot be solved through project-level mechanisms. Such grievances will be referred to the Grievance Redress Committee.
- All simple complaints and grievances must aim to be closed out within 1 month. Complex complaints should aim to be closed out within 3 months or deferred to the Grievance Redress Committee.
- The Grievance Redress Committee will hold the necessary meetings with the aggrieved party/complainant and the concerned officer and attempt to find a solution acceptable at all levels.
- As noted in Section 1.2.1, the Grievance Redress Committee may refer the grievance/dispute to the Project Board; or if outside the scope and mandate of the Project Board recommend that it is referred elsewhere (e.g., to the courts).
- Grievance Redress Committee will communicate proposed responses to the complainant formally (including when issues have been escalated to the Project Board). If the proposed response satisfies the complainant, the response will be implemented, and the complaint and/or grievance closed. In cases where a proposed response is unsatisfactory to the complainant, the Grievance Redress Committee may choose to revise the proposed response to meet the complainant's remaining concerns, or to indicate to the complainant that no other response appears feasible to the Grievance Redress Committee. The complainant may decide to take a legal or any other recourse if s/he is not satisfied with the resolutions due to the deliberations of the two tiers of the grievance redress mechanism.
- The deliberations of the meetings and decisions taken are recorded. All meetings in connection with the Grievance Redress Mechanism, including the meetings of the Grievance Redress Committee, must be recorded.
- Following completion of the agreed corrective action, a complaint can be closed. Actions taken are to be documented to evidence compliance e.g., photos, report or any supporting document. Acknowledgement from the complainant that appropriate actions have been undertaken and that complaint can be closed should be obtained, this is best done using a standardised complaint close out form. Once the form is completed, then the complaint can be closed in the complaint register.
- Details of all complaints and their responses status shall be provided in monthly reports to the PMU.



Table 1: Summary of Key Grievance Redress Mechanism Steps and their Durations

Step	Process	Duration
1.	Affected person (AP) makes complaint to the TCAP	Anytime
2.	Complaint is logged in Complaint Register	24
3.	TCAP receives the issue and in consultation with the implementer of TCAP activity or whoever the complaint is directing towards (if appropriate) and assigns responsible person. Complainant notified of complaint registration and commencement of resolution process.	48 hours
4.	TCAP reports back to AP and gets clearance from the complainant	15 days
5.	Agreed actions are implemented and confirmation of satisfactory outcome obtained.	1-3 months
5.	Complaint closed out in complaint register.	1-3 months
If unresolved		
6.	TCAP takes grievance to the Grievance Committee for resolution	As soon as it is apparent that issue cannot be resolved at project level or after 1 month, whichever comes first
7.	Grievance Redress Committee meets and initiates second tier of resolution process.	Within 4 weeks of matter being referred
8.	Grievance Redress Committee will communicate proposed responses to the complainant formally (including when issues are escalated to the Project Board).	Within 3 months
9.	The response will be implemented, and the complaint and/or grievance closed	GRC to advise on timeframe
If unresolved or if at any stage AP is not satisfied		
	AP can take the matter to appropriate national court	As per the judicial system
	AP can utilise UNDP and/or GCF redress mechanisms	As per institutions timeframes

2.2.3 Maintaining Communication and Status Updates

23. Files for each Grievance will be available for review by the Claimant and other Stakeholders involved in the Grievance, or their designated representative(s). Appropriate steps will be taken to maintain the confidentiality of the Claimant if previously requested.
24. TCAP will provide periodic updates to the Claimant regarding the status and current actions to resolve the Grievance. Not including the acknowledgment of receipt of the Grievance, such updates will occur within reasonable intervals (not greater than every thirty (30) days).

2.2.4 Grievance Redress Committee

25. As noted above, a Grievance Redress Committee will be formed expressly for the purpose of resolving issues that cannot be readily solved by the TCAP team and/or contractor. The Grievance Redress Committee represents a second tier of complaint resolution and therefore issues that cannot be readily resolved will be escalated to the Committee.
26. The GRM Committee is not a statutory body, nor has it authority to make project decisions that would require Board approval. The GRM Committee is a mediating body that will make recommendations for the resolution of complaints – these recommendations will be presented to the Project Board and/or appropriate authority for agreement and implementation.
27. At any point after receiving a Grievance and through to implementation of the proposed solution and way forward, the GRC may seek the technical assistance and/or an advisory opinion from any entity or individual in Tuvalu or internationally which may reasonably be believed to be of assistance.
28. The objectivity, transparency and credibility of the Grievance Redress Committee is of paramount importance to the success of the GRM process, and to maintaining good relations among stakeholders.
29. . The Grievance Redress Committee will be made up of:
 - Committee Chair –Climate Change Department– Ms Pepetua Latasi



- TCAP Project Manager – Alan Resture
 - Island Community Leaders – different for each island depending on where the issue comes from:
 - Funafuti island Chief: Siliga Kofe (or his representative)
 - Nanumea island Chief: Lese Katoaga (or Funafuti representative: Piliota Hinota)
 - Nanumaga island Chief: Seti Sopoaga (or Funafuti representative: Toomu Hauma)
 - Community representatives – TNCW (Women's council), Fusialofa (People with disability), TNYC (Youths' council) (see Appendix 1 – Stakeholder Register)
 - Representative from the Ministry/Department related to the complaint (refer Appendix 1 – Stakeholder Register)
30. The majority of GRC members should be from the non-governmental sector. The GRC is composed of members from the CSO / private sector; UNDP/TCAP team members; and the Climate Change Department (or her/his designee); and limited number of additional government members as appropriate
31. In accordance with the UN rules on ethical conduct, all members of the Grievance Redress Committee must declare any conflict of interests, actual or potential, with respect to grievances submitted for consideration.
32. The Terms of Reference for the Grievance Redress Committee are:
- providing support to the affected persons in solving their problems
 - prioritize grievances and resolve them at the earliest
 - provide information to the Project Board on serious cases at the earliest opportunity
 - coordinate with the aggrieved person/group and obtain proper and timely information on the solution worked out for his/her grievance
 - study the normally occurring grievances and advise PMU and Project Board on remedial actions to avoid further occurrences.

2.3 EXTERNAL RESOLUTION MECHANISMS

33. The Project Grievance Redress Mechanism does not replace or exclude other existing avenues for complaint resolution.
34. All complainants have the right to use the Court of Tuvalu at any time to seek resolution.
35. Two additional independent grievance mechanisms are also available to complainants:
- UNDP Stakeholder Response Mechanism - www.undp.org/secu-srm
 - GCF Independent Redress Mechanism - <https://irm.greenclimate.fund>.

3 ROLES AND RESPONSIBILITIES

36. The following are persons involved in the complaints process and their supporting roles and responsibilities:
- Focal Point for managing the Tuvalu TCAP complaints process: TCAP National Project Manager (Mr Alan Resture)
 - Person who will manage the database and record keeping: TCAP Administrative Officer (Ms Pine Andy-Tonga)
 - Persons who will answer simple queries and manage simple complaints: TCAP Project Manager (Mr Alan Resture) and TCAP Safeguards and Works Supervisor (TBA).
 - Person who will prepare report for UNDP reporting: Safeguards Specialist / TCAP Project Manager / TCAP Safeguards and Works Supervisor.



- Grievance Redress Committee. As described above, the GRC will be formed and will meet on an as needs basis for complex or significant grievance management. Terms of reference as described in Section 2.2.4.

4 REPORTING AND EVALUATION

37. Complaints shall be reported in the regular project reporting to UNDP. It should contain:
- Total number of complaints / grievances received
 - Total number resolved
 - Total number under investigation / not yet resolved, noting any that have exceeded recommended close out timeframes
 - Summary of any significant grievances currently not yet resolved and any risks to project implementation.
38. If there are more than 30 complaints / grievances recorded, the TCAP Project Manager may decide to investigate any patterns or repetition of issues that need addressing. The TCAP Project Manager may decide to get an independent consultant to review and provide advice.

4.1.1 Public Disclosure of Results

39. Annually, the GRM will make available to the public, a report describing the work of the GRM, listing the number and nature of the grievances received and processed in the past 12 months, a date and description of the grievances received, resolutions, referrals and ongoing efforts at resolution, and status of implementation of ongoing resolutions (including any material changes or additions to the mitigation measures and/or action plans). The level of detail provided with regard to any individual grievance will depend on the sensitivity of the issues and Stakeholder concerns about confidentiality, while providing appropriate transparency about the activities of the GRM.
40. The report will also highlight key trends in emerging conflicts, grievances, and dispute resolution, and make recommendations regarding:
- measures that can be taken by the Government to avoid future harms and grievances; and
 - improvements to the GRM that would enhance its effectiveness, accessibility, predictability, transparency, legitimacy, credibility, and capacity.



GRM ANNEXURE ONE: GRIEVANCE REDRESS REGISTERING AND MONITORING FORM

Complainant Information (Person Reporting)						
Name:				Gender:		
Address:				Telephone:		
National ID:				Email:		
Type of complainant:						
Affected person/s	Intermediary (on behalf of the AP)	Civil organization	Service organization	Others (specify)		
Registration (assigned):						
Complaint Details						
Mode of receiving the grievance:						
Letter	Phone call	Fax	Email	Verbal complaint	Suggestion box	Others (specify)
Location of the problem/issue specified in the complaint:						
Type of problem/grievance:						
Construction	Compensation/payment	Revegetation	Access	Social nuisance	Other (specify)	
Short description of the problem:						



Short description of the factors causing the problem:						
Person/agency responsible for causing the problem:						
TCAP	Affected parties	Service delivery agencies	Local political authority	Civil organizations	Funding agencies	Others (specify):
Past action/s taken by the complainant (if any):						
Details of the focal point that received the complaint:						
Name of the person who received the complaint:				Position:		
Name of the receiving office:				Date:		
Actions taken by the Receiving Office						
	Short Description			Name of Action Officer		Date
Action 1						
Action 2						
Action 3						
Final Resolution						
Signature:					Date:	

GRM Annexure 2: Close-Out Template



As per the GRM process, following completion of the agreed corrective action/s, a complaint can be closed. Acknowledgement from the complainant that appropriate actions have been undertaken and that complaint can be closed should be obtained. The template below can be used to record complainant agreement.



GRM CLOSE OUT LETTER TEMPLATE

Tuvalu Coastal Adaptation Project

Partnership House, Vaiaku,

Funafuti, Tuvalu

Date: *(insert date)*

RE: RESOLUTION OF GRIEVANCE RELATED TO THE TUVALU COASTAL ADAPTATION PROJECT

Dear *(insert name of complainant/s here)*

In response to your complaint of *(insert date of complaint registration)* regarding *(insert subject of complaint and GRM registration reference)* we wish to confirm that the following actions were undertaken:

- *(Insert summary of the actions taken and the outcomes achieved)*
- *(provide as much information as required to demonstrate that resolution has been achieved)*
- *(this information should be available from the GR Registering and Monitoring Form)*

To close out this matter, we request that you sign and return the acknowledgement below. We thank you for your participation and continued interest in the project.

Regards

Alan Resture

TCAP Project Manager

Acknowledgement

I, the undersigned, acknowledge that the above actions have been undertaken and that all reasonable efforts have been made to address my complaint.

Name:

Signature:

Date:



APPENDIX THREE – STAKEHOLDER ENGAGEMENT PLAN - FUNAFUTI

1 STAKEHOLDER GROUPS

1. Stakeholder groups applicable to TCAP are described below.

1.1 NATIONAL GOVERNMENT AUTHORITIES

2. National authorities are defined as those agencies of the GoT who have the power to regulate or influence the Project in terms of granting permits or other approvals for the Project and monitoring and enforcing compliance with GoT law throughout the project implementation cycle. Productive ongoing dialogue with these national authorities will be required throughout project implementation.
 - **Office of the Prime Minister (OPM):** In relation to TCAP planned activities, in service training and scholarships are supervised by the Human Resources Management Department of the OPM. The OPM is responsible for ensuring that sustainability is safeguarded in the utilization of Tuvalu's natural resources through informed Government policies and public practices by (i) maximizing social and economic returns through the sustainable management all resources in Tuvalu, (ii) facilitating maximum land usage in Tuvalu, and (iii) maintaining a systematic register of all available land resources. Any land issues associated with TCAP will be managed through the Department of Land and Survey (DLS) which is now under the OPM.
 - **Ministry of Finance (MoF):** The ministry is responsible for supporting the Government in pursuing a sound economic policy, enhance growth and productivity and ensure efficiency in the public and private sector. The ministry is responsible for the Climate Change Department (CCD), focal point of contact for TCAP, in which the project is housed. The MoF is the National Designated Agency for TCAP and its Minister co-chairs the TCAP Board.
 - **Ministry of Public Works, Infrastructure and Environment (MPWIE):** The ministry, through its Department of Environment (DoE), is responsible for the formulation and implementation of environmental policies with the aim of ensuring ecologically sustainable development in Tuvalu. The DoE will also oversee the environmental assessment and approval process for TCAP. The ministry oversees permitting and approval processes related to infrastructure and public works, environment, labour, and disasters.
 - **Ministry of Local Government and Agriculture (MLGA):** This ministry is responsible for all economic and social policies for the development of all Tuvaluans on each island. Through five program areas, the ministry provides and ensures (i) a distributive growth of Tuvalu's economy by providing policy direction and coordinating implementations, (ii) enhanced economic and social development in the outer islands through their Kaupule empowerment and community participants, (iii) promotion of the social well-being for individuals, (iv) facilitation, preservation and protection of valuable cultural heritage in Tuvalu through systematic recording and documentations, and (v) minimizing the negative effects of solid waste on Tuvalu's environment through prudent policy, legislation and sustainable systems. Agriculture, Forestry and NGOs are also under the responsibility of the MLGA.
 - **Ministry of Education, Youth and Sports (MEYS):** The ministry, amongst other education and sports responsibilities supervises the pre-service training and scholarships country programme and youths' affairs.
 - **Ministry of Health and Social Welfare (MHSW):** The ministry houses the Gender Affairs Department (GAD), the Red Cross, and the Tuvalu Family Health Association (TuFHA). As a primary contact and supporting services from GAD and the Tuvalu National Council of Women (TNCW), TuFHA may provide advice and support towards addressing any issue associated with gender balance that may arise from the planning, implementation, and evaluation of this project.
 - **The Kaupule Island Administration:** The Falekaupule Act 1977 governs the establishment and composition of a Falekaupule (traditional assembly) and a Kaupule (island council) as well as their meetings, proceedings, and



functions. These governing bodies of each island have a significant role on the TCAP project. The Funafuti Kaupule is a vital partner on the design, development, and implementation of TCAP. Their involvement is particularly critical for mediating local issues and consultations with the wider community and for securing long-term and unhindered access to the new Catalina Harbour area for all community members, whether from Funafuti or from one of the outer islands.

1.2 PROJECT AFFECTED COMMUNITIES AND INDIVIDUALS

3. This group includes all people who may be directly or indirectly affected by the TCAP, especially households, fisher folk and boat owners that live adjacent to the proposed reclamation area. This community comprises both Funafuti landowners and settlers from the outer islands.
4. The Tuvalu National Council of Women (TNCW) is an NGO that was set up in the late 1970's to direct and manage women's affairs and their issues. The council consists of elected women and are the formal link between Government and women's communities. TNCW has provided support in the area of women's political participation, women's handicrafts, legal literacy and trainings on gender-based violence and child abuse and exploitation.
5. All women above the age of 18 years become part of their respective island's women's organization, which has office bearers consisting of the president, treasurer and secretary who serves a 2-year term before there is an election for the next office bearers. The women are presented at the Kaupule via the women's community officer, whose role is to ensure development activities and funding is channeled to support women's needs and interests.
6. The majority of church members on Funafuti are members of the Christian Church of Tuvalu, with smaller numbers of the Seventh Day Adventist, Jehovah's Witnesses, and Baha'i faiths. Like many Pacific Island societies, churches are a central part of communal and cultural life, with most community members attending Sunday services as well as weekday prayer and fellowship group activities. It is important for TCAP to initiate engagement with the main faith-based institutions of each island as they provide opportunities to effectively communicate and disseminate information about the TCAP activities in a way that is sensitive to community beliefs and worldviews.
7. The reclamation which is proposed in Funafuti is adjacent to properties of some residents (land owners and landusers) who will be particularly affected by the project e.g. loss of their current access to the beach, their view on the lagoon, and their lagoon breeze. In addition, the current sandy beach, the only one on Fogafale island, also serves the needs of the whole community, as it is the primary and preferred access to the water for many residents. It has the highest concentration of boats (in the vicinity of 30 in 2021), used for subsistence and/or commercial fishing, which are moored there, or hauled on the beach. The beach is frequented by children and adults alike, for recreation and other cultural purposes. Hence, groups particularly affected by the project will be:
 - Landowners adjacent to the reclamation area,
 - Fishermen who moor their boats in the area targeted by the proposed reclamation or haul them on the beach, and
 - Individuals and families who access this beach, essentially from the villages Alapi and Senala on Fogafale.

1.3 CIVIL SOCIETY AND NGOS

8. This group includes smaller groups in society who may have an interest in the TCAP and its social and environmental aspects. On Funafuti, there exists an umbrella organisation of NGOs called the Tuvalu Association of NGOs (TANGO).
9. TANGO was established in 1986 and has a membership of approximately 48 members. TANGO's core role is to provide a policy voice within government and provide information and communication to its members and the local community. Other activities include capacity building, project, and program coordination, and fundraising and resource mobilization.
10. As mentioned above, the Tuvalu National Council of Women (TNCW) is a NGO set up to manage women's affairs and their issues. TNCW continues to provide support in the area of women's political participation, women's handicrafts, legal literacy and training on gender-based violence and child abuse and exploitation.



11. Disability Persons Organisations (DPOs) will be consulted throughout the TCAP lifecycle. Fusi Alofa is the only DPO currently located in Tuvalu. The estimated number of persons with disabilities with significant difficulties functioning in Tuvalu is 444.

1.4 CULTURAL LEADERS

12. As the project may affect sites that are considered of cultural or spiritual significance for indigenous people, cultural leaders will be consulted in a manner which is appropriate, respectful, and empowering. The objective will be to identify such potential sites and take all the necessary measures to minimize any impact. In the same vein, an understanding will be developed of the potential impact of the project on the traditional livelihoods of indigenous people.

2 THE STAKEHOLDER ENGAGEMENT AND CONSULTATION PROGRAM

13. The SEP maps out the stakeholders to be consulted over the duration of the project and the mechanisms/mediums to be employed to engage with them. This SEP incorporates activities already undertaken as well as planned future consultations. The SEP will be updated and refined throughout the lifecycle of the Project. During this process, the focus and scope of the SEP will change to reflect the varying stages of project implementation and to encompass any changes to project design.

2.1 ENGAGEMENT MEDIUMS

14. Table A3.1 lists the recommended engagement mediums that are appropriate for SEP activities proposed as part of the implementation plan.
15. The mode of consultation will vary according to the sub-project and the participants, but in all cases will promote participation by ensuring that the venue is accessible, the timing convenient and the manner of conduct of the consultation is socially and culturally appropriate. Consultations will be announced to give sufficient notice for participants to prepare and provide input to project design.

Table A3.1: Recommended Engagement Mediums for TCAP Project Stakeholders

Medium	Description
Stakeholder Meetings	
Focus Group Meetings	The aim of a focus group is to pull together stakeholders with the same interest into a single meeting to discuss issues. Meetings usually have a very specific objective which is aligned with the expectations and interest of the stakeholders' present.
Community based consultations	These consultations are focused to identify and discuss stakeholder concerns or to provide feedback using detailed information. These consultations should, wherever feasible, be held within the community environment.
Written / visual communications	
Project Information Bulletin	This needs to be a short and concise document provided in jargon-free information describing the project actions, the potential social and environmental impacts, the need for the project and the contact details for the project team.



Notice boards	Notice boards (community and work site entrances) are a good tool to use for communication of up-to-date project information such as timing and duration of works, upcoming consultations, project progress and other relevant project information.
Letters	Formal method of communication usually intended to convey very specific messages. Alternatively, it is used as a formal method for request of information.
Emails	Using emails for outer islands stakeholders can pose a challenge because of limited internet access due to insufficient telecommunications and/or supporting IT infrastructure. NGOs and most of the Government Ministries do have access to email which can be utilised for communications but arranging of formal community consultations is best arranged through other methods of communication.
Media	
Internet	With 4G internet access, the public may have better access to knowledge and information about the project via the TCAP website, Facebook page and Twitter account. The website and social media accounts may be used to update the public on implemented and planned activities as well as announcements.
Radio	In Tuvalu, radio is the primary medium for raising awareness and prepare stakeholders for larger events or refined communication to take place.
Other	
PMU	PMUs will be the 'familiar face' of the project and will, for many stakeholders at the community level, represent the most direct channel to the project.
Telephone	Use of the telephone / mobile phone is still regarded as the preferred method for communication because of accessibility and speed. Having a discussion over a phone to ensure mutual understanding between two parties is quicker and easier compared to sending an email and waiting for reply.

2.2 IMPLEMENTATION PLAN

16. The Implementation Plan for the TCAP Project lifecycle encompasses the following components:

- **Activity:** the various operational consultation activities that will be undertaken as part of the SEP,
- **Objective:** the target that each activity needs to reach,
- **Stakeholder:** the various stakeholders to be targeted during implementation of the SEP activity,
- **Medium:** the method by which the engagement or consultation will be done.

17. As project details develop, this SEP and implementation plan shall be updated by the PMU Project Manager to reflect the current project status and timeframes. In practice, the PMU will notify stakeholders, the Falekaupule and Kaupule, and the Funafuti communities at least 7 days prior to community consultations. Updates of project activities will be presented at this time as outlined in the Table A3.2.



Table A3.2: Funafuti stakeholder engagement and consultation implementation plan

No	TCAP Project Activity	Timetable	Objective	Stakeholders	Medium
A1	Feasibility, decision on the sites / technologies and preliminary designs	From Project initiation through to tendering.	To map and analyse landowners and non-landowning households in the adjacent community, and other groups that the project may affect. Identify the most vulnerable and disadvantaged groups.	Individuals, families, and groups directly impacted by the project	In partnership with Kaupule
A2			To identify potential sites of significance / indigenous lands which needs preservation for cultural (or environmental) purposes	Community key leaders / Church leaders	In partnership with Falekaupule
A3			To identify and decide site and investment measures To identify and discuss potential impacts and mitigation measures	All identified	Community Consultations Focused group meetings Public meetings Website and social media Emails and letters
A4	Disclosure of ESIA and ESMP updates	Prior to procurement	To disclose ESIA	All identified	Newspaper Websites and social media Hardcopy on public display DoE
		Prior start of works = Contractor C-ESMP	Final design, construction methods and updated mitigation and management plan GRM awareness GBV prevention strategies Management of labour influx	Communities Site occupants (GoT) Site users with focus on boat owners and landowners (if different from above)	One-on-one meetings Community consultations Consultation minutes / reports



No	TCAP Project Activity	Timetable	Objective	Stakeholders	Medium
A5	Detailed design	Once Contractor is onboard and prior start of works	Design updates Public announcements	Government agencies, site users	Emails One-on-one consultations Radio and websites Noticeboards
A6	Start of Works	Week before start of works	Start of civil works	All identified stakeholders Site occupant (Government)	Newspaper Emails One on one meetings
			To reconfirm ongoing consultation, feedback and complaints processes	Community Site occupant (Government)	Community Notice Boards Community workshops and consultations Website TCAP Safeguard & Works Supervisor
A7			Future land use of reclamation land	Future site occupants (Government / Kaupule)	

3 RESOURCES AND RESPONSIBILITIES

18. The TCAP PMU will take the lead role in the implementation of the SEP and will be responsible for arranging and facilitating the meetings as appropriate with their in-depth knowledge of the natural, social, and traditional environments within Funafuti. The PMU will also be the focal point for all stakeholder queries and contacts in relation to the implementation of the SEP.

3.1 PUBLIC COMMUNITY CONSULTATIONS TO DATE

19. Consultation commenced during the early design phase of project development. Multi-stakeholder consultations, including with government agencies, NGOs, DSOs, and partners were conducted during June 2015 culminating in a GCF Concept that was then developed into the Funding Proposal that was submitted to GCF in June 2016. It is to be noted, the original concept was revisited in 2018 due to significant shoreline changes and the development of a Foreshore Master Plan. In September 2018, TCAP took its revised conceptual plans to Funafuti and held multi-stakeholder meetings



with Government, Kaupule and Communities as well as key individuals. The revised design was supported, and a Preliminary Environmental Assessment prepared on that basis.

20. A further series of public consultations and stakeholder meetings were held in 2019 and 2020 with the aim of having meaningful consultation with affected communities and to provide an opportunity for all parties to provide feedbacks to the Project. The meetings primarily targeted the Funafuti Falekaupule, Kaupule and community members, but Government agencies, authorities and development partners in Funafuti were also consulted. The community consultations also included an Island Strategy Planning and management training event with the Kaupule and Department of Local Government staff in Funafuti as part of the national LoCAL mechanism. The consultations for the Funafuti community group took place according to the schedule in Table A3.3.

Table A3.3: Funafuti Community Consultations to end of 2020

Date	Location	Community Meeting
September 2017	Funafuti	Inception workshop
November 2017	Funafuti	Project presentation and first board meeting
January 2018	Funafuti	Technical consultations and Kaupule meetings: Concept design (CTA)
April and May 2018	Fubnafuti	Preparation second board meeting
16 th -17 th July 2018	Funafuti	Kaupule & DLG trainings on UNDP Financial Management Procedures
September 2018	Funafuti	Individual consultations (CTA) and detailed assessment of Fogafale lagoon shore
May 2019	Funafuti	LiDAR surveys and technical consultations
August and September 2019	Funafuti	Geotechnical surveys and ESIA assessments
3 rd September and 8 th October 2019	Funafuti	Kaupule and community consultation to inform participants of TCAP project scope and gather initial views: 54 community members attended (34 males, 26 females)
5 th -6 th November 2019	Funafuti	Kaupule and community consultation to discuss the TCAP project design and implementation process: 47 participants (32 males, 15 females)
7 th -8 th November 2019	Funafuti	ISP LoCAL mechanism, budget planning and capacity development training for Kaupule staff and Falekaupule members: 45 participants (19 females, 26 males)
14 th November 2019	Funafuti	Consultative gender assessments, review, analysis, and planning
9 th December 2019	Funafuti	Consultations with communities located adjacent to proposed TCAP reclamation area and discussions about project concept and design: 26 participants (12 males, 14 females)
December 2019	Funafuti	Informative discussion on the results of the LiDAR survey and use on the island



27 th October – 2 nd November 2020	Funafuti	Focus group discussions and interviews with women & youths, boat owners & landowners, disabes of community feedbacks on ESIA and draft concept designs for communities adjacent to proposed TCAP reclamation. ESIA Falekaupule, Kaupule and community restitution and validation: 30 participants (17 males, 13 females)
3 rd June 2021	Funafuti	Final design Kaupule meeting
tba October 2021	Funafuti	Boat owners/users consultation

21. Information gathered during the consultation process on the social, economic, or environmental situation of Funafuti has been included in the baseline description of the ESIA. Other and all stakeholders' engagement events have also been reported in the 2020 APR.



APPENDIX FOUR: STAKEHOLDER ENGAGEMENT PLAN – NANUMAGA AND NANUMEA

1 STAKEHOLDER GROUPS

1. Stakeholder groups applicable to TCAP are described below.

1.1 NATIONAL GOVERNMENT AUTHORITIES

2. National authorities are defined as those agencies of the GoT who have the power to regulate or influence the Project in terms of granting permits or other approvals for the Project and monitoring and enforcing compliance with GoT law throughout the project implementation cycle. Productive ongoing dialogue with these national authorities will be organised throughout project implementation.
 - **Office of the Prime Minister (OPM):** In relation to TCAP planned activities, in service training and scholarships are supervised by the Human Resources Management Department of the OPM. The OPM is responsible for ensuring that sustainability is safeguarded in the utilization of Tuvalu's natural resources through informed Government policies and public practices by (i) maximizing social and economic returns through the sustainable management of all resources in Tuvalu, (ii) facilitating maximum land usage in Tuvalu, and (iii) maintaining a systematic register of all available land resources. Any land issues associated with TCAP will be managed through the Department of Land and Survey (DLS) which is now under the OPM.
 - **Ministry of Finance (MoF):** The ministry is responsible for supporting the Government in pursuing a sound economic policy, enhance growth and productivity and ensure efficiency in the public and private sector. The ministry is responsible for the Climate Change Department (CCD), focal point of contact for TCAP, in which the project is housed. The MoF is the National Designated Agency for TCAP and its Minister co-chairs the TCAP Board.
 - **Ministry of Public Works, Infrastructure and Environment (MPWIE):** The ministry, through its Department of Environment (DoE), is responsible for the formulation and implementation of environmental policies with the aim of ensuring ecologically sustainable development in Tuvalu. The DoE will also oversee the environmental assessment and approval process for TCAP. The ministry oversees permitting and approval processes related to infrastructure and public works, environment, labour, and disasters.
 - **Ministry of Local Government and Agriculture (MLGA):** This ministry is responsible for all economic and social policies for the development of all Tuvaluans on each island. Through five program areas, the ministry provides and ensures (i) a distributive growth of Tuvalu's economy by providing policy direction and coordinating implementations, (ii) enhanced economic and social development in the outer islands through their Kaupule empowerment and community participants, (iii) promotion of the social well-being for individuals, (iv) facilitation, preservation and protection of valuable cultural heritage in Tuvalu through systematic recording and documentations, and (v) minimizing the negative effects of solid waste on Tuvalu's environment through prudent policy, legislation and sustainable systems. Agriculture, Forestry and NGOs are also under the responsibility of the MLGA.
 - **Ministry of Education, Youth and Sports (MEYS):** The ministry, amongst other education and sports responsibilities supervises the pre-service training and scholarships country programme and youths' affairs.
 - **Ministry of Health and Social Welfare (MHSW):** The ministry houses the Gender Affairs Department (GAD), the Red Cross and the Tuvalu Family Health Association (TuFHA). As a primary contact and supporting services from GAD and the Tuvalu National Council of Women (TNCW), TuFHA may provide advice and support towards addressing any issue associated with gender balance that may arise from the planning, implementation, and evaluation of this project.



- **The Kaupule Island Administration:** The Falekaupule Act 1977 governs the establishment and composition of a Falekaupule (traditional assembly) and a Kaupule (island council) as well as their meetings, proceedings, and functions. These governing bodies of each island have a significant role on the TCAP project. The Kaupules on both Nanumaga and Nanumea are vital partners on the design, development, and implementation of TCAP. The Kaupules are particularly critical for (i) mediating local issues and consultations with the wider community, (ii) securing land access to establish then maintain the BTB as well as (iii) acquiring approval to extract sand from other parts of the island for the BTB construction.

1.2 PROJECT AFFECTED COMMUNITIES AND INDIVIDUALS

3. This group includes all people who may be directly or indirectly affected by the TCAP coastal protection infrastructure project, especially those households located within or adjacent to the proposed BTB installation. It includes communities located on Nanumaga and Nanumea.
4. As the BTB is expected to be built on land, land status and landowners will be identified early in the project and special consultations will be conducted with this group.
5. The Tuvalu National Council of Women (TNCW) is an NGO that was set up in the late 1970's to direct and manage women's affairs and their issues. The council consists of elected women and the formal link between Government and women's communities. TNCW has provided support in the area of women's political participation, women's handicrafts, legal literacy and recently ran programs on ending violence against women. All women above the age of 18 years become part of their respective island's women's organization which office bearers consisting of the president, treasurer and secretary who serves a 2-year term before there is an election for the next office bearers. The women are presented at the Kaupule via the women's community officer, whose role is to ensure development activities and funding is channeled to support women's needs and interests.
6. Nanumaga and Nanumea population are affiliated with the Christian Church of Tuvalu (Ekalesia Kelisiano o Tuvalu), with a smaller number of Baha'i faiths in Nanumea. Like many Pacific Island societies, churches are a central part of communal and cultural life, with most community members attending Sunday services as well as weekday prayer and fellowship group activities. It will be important for the TCAP to initiate engagement with the main faith-based institutions of each island and these will provide opportunities to effectively communicate and disseminate information about the TCAP activities in a way that is sensitive to community beliefs and worldviews.
7. There are two educational institutions on each island. In 2020, Nanumaga Lotohoni primary school had approximately 87 students and pre-school 35. Nanumea Kaumaile primary school had 105 students and pre-school of 35.
8. There is only one hospital in Tuvalu, the Princess Margaret Hospital in Funafuti. The health centers on Nanumaga and Nanumea are vital links and resources to the local communities due to the remoteness of the island from the main hospital on Funafuti.

1.3 CIVIL SOCIETY AND NGOS

9. This group includes smaller groups in society who may have an interest in the TCAP and its social and environmental aspects. On Funafuti, exist an umbrella organisation of NGO's called the Tuvalu Association of NGOs (TANGO).
10. TANGO was established in 1986 and has a membership of approximately 48 members. TANGO's core role is to provide a policy voice within government and provide information and communication to its members and the local community. Other activities include capacity building, project, and program coordination, and fundraising and resource mobilization.
11. As mentioned before, the Tuvalu National Council of Women (TNCW) is a NGO set up to manage women's affairs and their issues. TNCW continues to provide support in the area of women's political participation, women's handicrafts, legal literacy and trainings on gender-based violence and child abuse and exploitation.
12. Disability Persons Organisations (DPOs) will be consulted throughout the TCAP lifecycle. Fusi Alofa is the only DPO currently located in Tuvalu. The estimated number of persons with disabilities with significant difficulties functioning in Tuvalu is 444.



13. It is anticipated that people living with a disability may be particularly affected by the construction of a BTB. Specific measures will be considered, in close consultations with Fusi Alofa to mitigate this risk.

1.4 CULTURAL LEADERS

14. As the project may affect sites that are considered of cultural or spiritual significance for indigenous people, cultural leaders will be consulted in a manner which is appropriate, respectful, and empowering. The objective will be to identify such potential sites and take all the necessary measures to minimize any impact. In the same vein, an understanding will be developed of the potential impact of the project on the traditional livelihoods of indigenous people.

2 THE STAKEHOLDER ENGAGEMENT PROGRAM

15. The SEP maps out the stakeholders to be consulted over the duration of the project and the mechanisms/mediums to be employed to engage with them. The SEP will be updated and refined throughout the lifecycle of the Project. During this process, the focus and scope of the SEP will change to reflect the varying stages of project implementation and to encompass any changes to project design

2.1 ENGAGEMENT MEDIUMS

16. [Table A4.1](#) lists the recommended engagement mediums that are appropriate for SEP activities proposed as part of the implementation plan components.

Table A4.1 Recommended Engagement Mediums for TCAP Project Stakeholders

Medium	Description
Stakeholder Meetings	
Focus Group Meetings	The aim of a focus group is to pull together stakeholders with the same interest into a single meeting to discuss issues. Meetings usually have a very specific objective which is aligned with the expectations and interest of the stakeholders' present.
Community based consultations	These consultations are focused to identify and discuss stakeholder concerns or to provide feedback using detailed information. These consultations should, wherever feasible, be held within the community environment.
	TCAP will recruit an Island Community Facilitator on each island to: <ul style="list-style-type: none"> • Support in the implementation of the TCAP project on the Nanumea and Nanumaga islands, and • Effectively and efficiently facilitate engagement and on-going liaison with the communities of Nanumea and Nanumaga.
Written / visual communications	



Project Information Bulletin	This needs to be a short and concise document provided in jargon-free information describing the project actions, the potential social and environmental impacts, the need for the project and the contact details for the project team.
Notice boards	Notice boards (community and work site entrances) are a good tool to use for communication of up-to-date project information such as timing and duration of works, upcoming consultations, project progress and other relevant project information.
Letters	Formal method of communication usually intended to convey very specific messages. Alternatively, it is used as a formal method for request of information.
Emails	Using emails for in-country stakeholders can pose a challenge because of limited internet access due to insufficient telecommunications and/or supporting IT infrastructure. NGOs and most of the Government Ministries do have access to email which can be utilised for communications but arranging of formal community consultations is best arranged through other methods of communication.
Media	
Internet	With 4G internet access, the public may have better access to knowledge and information about the project via the TCAP website, Facebook page and Twitter account. The website and social media accounts may be used to update the public on implemented and planned activities as well as announcements.
Radio	In Tuvalu, radio is the primary medium for raising awareness and prepare stakeholders for larger events or refined communication to take place.
Other	
PMU	PMUs will be the 'familiar faces' of the project and will, for many stakeholders at the community level, represent the most direct channel to the project.
Telephone	Use of the telephone / mobile phone is still regarded as the preferred method for communication because of accessibility and speed. Having a discussion over a phone in order to ensure mutual understanding between two parties is quicker and easier compared to sending an email, waiting for reply.

17. The mode of consultation will vary according to the subproject and the participants, but in all cases will promote participation by ensuring that the venue is accessible, the timing convenient and the manner of conduct of the consultation socially and culturally appropriate. Consultations will be announced to give sufficient notice for participants to prepare and provide input to project design.



2.2 IMPLEMENTATION PLAN

18. The Implementation Plan for the TCAP Project lifecycle encompasses the following components:

- **Activity:** the various operational consultation activities that will be undertaken as part of the SEP,
- **Objective:** the target that each activity needs to reach,
- **Stakeholder:** the various stakeholders to be targeted during implementation of the SEP activity,
- **Medium:** the method by which the engagement or consultation will be done.

19. Some elements of the implementation plan have yet to be confirmed. As project details develop, this SEP and implementation plan shall be updated by the PMU Project Manager to reflect the current project status and timeframes. In practice, the PMU will notify stakeholders, the Kaupule, and the Funafuti communities at least 7 days prior to community consultations. Updates of project activities will be presented at this time as outlined in Table A4.2.

Table A4.2: Nanumea and Nanumaga stakeholder engagement and consultation implementation plan

No	TCAP Project Activity	Timetable	Objective	Stakeholders	Medium
A1	Feasibility, decision on the sites / technologies and preliminary designs	From Project initiation through to tendering.	Conduct a detailed stakeholder mapping and analysis of the landowners and non-landowning households in the adjacent community and other groups that the project may affect. Identify the most vulnerable and disadvantaged groups.	Individuals, families, and communities directly impacted by the project	In partnership with Falekaupule / Kaupule
B2			To identify potential sites of significance / indigenous lands which needs preservation for cultural (or conservation) purposes	Community key leaders/ Church leaders	In partnership with Falekaupule / Kaupule



No	TCAP Project Activity	Timetable	Objective	Stakeholders	Medium
B3			<p>To identify and decide for site and investment measures</p> <p>To identify and discuss potential impacts and mitigation measures</p>	All identified	<p>Community Consultations</p> <p>Focused group meetings</p> <p>Public meetings</p> <p>Emails and letters</p>
B4	ESIA disclosure and ESMP updates	Prior to procurement (ESIA)	To disclose ESIA	All identified	<p>Newspaper</p> <p>Website and social media</p> <p>Hardcopy on public display</p>
		Prior start of works = Contractor C-ESMP	<p>Final design, construction methods and updated mitigation and management plan</p> <p>GRM awareness</p> <p>GBV prevention strategies</p> <p>Management of labour influx</p>	<p>Communities</p> <p>Site occupants (landowners particularly)</p> <p>Site users (if different from above)</p>	<p>One-on-one meetings</p> <p>Community consultations</p> <p>Consultation reports / minutes</p>
B5	Detailed design	Once procurement has started and prior to works starting	<p>Design updates</p> <p>Public announcements</p>	Kaupule, site occupants (owners and users)	<p>Emails</p> <p>One-on-one consultations</p> <p>Radio and websites</p> <p>Noticeboards</p>
B6	Commencement of works	Week before start of works.	Start of civil works	<p>All identified stakeholders</p> <p>Kaupules</p>	<p>Newspaper</p> <p>Email</p> <p>One on one meetings</p>
			To reconfirm ongoing consultation, feedback and complaints processes	<p>Community</p> <p>Kaupules</p>	Community Notice Boards



No	TCAP Project Activity	Timetable	Objective	Stakeholders	Medium
					Community workshops and consultations Website Island Community Facilitator (TCAP officer)

3 RESOURCES AND RESPONSIBILITIES

20. The TCAP PMU takes the lead role in the implementation of the SEP and will be responsible for arranging and facilitating the meetings as appropriate with their in-depth knowledge of the natural, social and traditional environments within Nanumaga and Nanumea. The PMU is also be the focal point for all stakeholder queries and contacts in relation to the implementation of the SEP. Island Community Facilitators are also to be recruited early 2020 in preparation of construction.

4 PUBLIC COMMUNITY CONSULTATIONS TO DATE

21. A series of public consultations and stakeholder meetings have been held in 2019 and 2020 with the aim of having meaningful consultation with affected communities and to provide an opportunity for all parties to provide input into the Project. The meetings primarily targeted the Nanumaga and Nanumea Falekaupules and Kaupules, community members, but Government agencies, authorities and development partners in Funafuti were also consulted. The community consultation also included an Island strategic Planning and management training event as part of the national LoCAL mechanism with the Kaupule and Department of Local Government staff in Nanumea. The consultation with the various community groups in the outer islands took place as recorded in Table A4.3.

Table A4.3: Nanumea and Nanumaga community consultations to end of 2020

Date	Location	Community Meetings
September 2017	Funafuti	Inception workshops (including Nanumea and Nanumaga residents in Funafuti)
November 2017	Nanumea	Initial island site visit, rapid field assessments and project presentation
November 2017	Nanumaga	Initial island site visit, rapid field assessments and project presentation
August 2019	Nanumea	Biophysical data collection, training, IVA and ESIA field assessments
30 th August 2019	Nanumea	Kaupule (4 members) and community consultation for geotechnical assessment and community initial views about the project: 20 community members (8 females and 12 males)



September 2019	Nanumaga	Biophysical data collection, training, IVA and ESIA field assessments (SPC)
13 th and 17 th September 2019	Nanumaga	Kaupule (5 members) and community consultation for geotechnical assessment and community initial views about the project: 35 community members (10 females and 25 males)
14 th November 2019	Funafuti	Gender consultation with Nanumea and Nanumaga Funafuti-based residents
December 2019	Funafuti	Informative discussion with Nanumea and Nanumaga Funafuti-based residents on the results of the LiDAR survey and use on the island
4 th December 2019	Funafuti	Consultation with Nanumaga community (Funafuti residents) on the concept design: 20 participants (13 males and 7 females)
10 th December 2019	Funafuti	Consultation with Nanumea community (Funafuti residents) on the concept design: 32 participants (21 males and 11 females)
20 th March 2020	Nanumea	Community to discuss community concept design: 38 members (28 males and 10 females,) Distributing of IEC materials to primary school
23 rd -24 th March 2020	Nanumea	Kaupule staff (and members) trainings on ISP LoCAL mechanism and budget planning: 24 participants (12 males, 12 females)
29 th March 2020	Nanumaga	Distributing of IEC materials Primary school
21 st May 2020	Nanumaga	Kaupule discussion the BTB concept design and the possibility of shifting the boat harbor and church locations: 4 members Community consultations on the new conceptual design
9 th -10 th July 2020	Nanumaga	Focus group (Disables, Women & Youth, Leaders & Landowners) community feedbacks and validation on ESIA and draft concept designs: 94 total participants (62 males, 32 females)
25 th July 2020	Nanumea	Community consultations on TCAP response to the community's (Elite Team) request to the Prime Minister: 49 participants (25 males, 24 females)
3 rd September 2020	Nanumaga	Consultations with community on the Gender Action Plan 70 participants (42 males, 28 females)
4 th -11 th September 2020	Nanumaga	Kaupule staff (and members) training on ISP LoCAL mechanism and budget planning: 120 participants (74 males, 46 females)
11 th -29 th September 2020	Nanumea	Focus group (Disables, Women, Youth, Fisherman, Leaders, Kaupule, and Landowners) community feedbacks and validation on ESIA and draft concept designs: 288 total participants (161 males, 127 females)
29 th September 2020	Nanumea	Consultations with community on the Gender Action Plan: 62 participants (43 males, 19 females)



14 th December 2020	Nanumaga	Final conceptual design presentation and validation for Nanumaga (Kaupule then community): total 23 participants (18 males, 5 females)
15 th December 2020	Nanumea	Final conceptual design presentation and validation for Nanumea (Kaupule then community): total 31 participants (26 males, 5 females)
23 rd June 2021	Nanumaga	Approval of detail designs for Kaupule then community: total 20 participants (6 males, 14 females)
25 th June 2021	Nanumea	Approval of detail design for Kaupule then community: total 20 participants (22 males, 7 females))
September 2021	Nanumaga	Landowners/users consultation
September 2021	Nanumea	Landowners/users consultation

22. Information gathered during the consultation process on the social, economic, or environmental situation of Nanumaga and Nanumea have been included in the baseline description of the ESIA. Other and all stakeholders' engagement events have also been reported in the 2020 APR.



APPENDIX FIVE: UNDP'S CHECKLIST OF WHETHER AN ACTIVITY REQUIRES FPIC

Most of the activities being undertaken by TCAP will not require FPIC. However, Activity 2.2 – implementation of coastal protection works, will require access to and use of land and therefore could trigger the need for FPIC in some instances. Although unlikely, the following checklist should be referred to confirm whether FPIC is needed for specific actions associated with Activity 2.2.

It is important to note that the processes outlined in the SEPs provide the basis for achieving FPIC, the procedures provided below clarify and reinforce the mechanisms and recording required.

Table 1. Checklist for appraising whether an activity may require an FPIC process (partial listing) ⁵	Yes/No
1. Will the activity involve the relocation/resettlement/removal of an indigenous population from their lands?	
2. Will the activity involve the taking, confiscation, removal or damage of cultural, intellectual, religious and/or spiritual property from indigenous peoples?	
3. Will the activity adopt or implement any legislative or administrative measures that will affect the rights, lands, territories and/or resources of indigenous peoples (e.g. in connection with the development, utilization or exploitation of mineral, water or other resources; land reform; legal reforms that may discriminate de jure or de facto against indigenous peoples, etc.)?	
4. Will the activity involve natural resource extraction such as logging or mining or agricultural development on the lands/territories of indigenous peoples?	
5. Will the activity involve any decisions that will affect the status of indigenous peoples' rights to their lands/territories, resources or livelihoods?	
6. Will the activity involve the accessing of traditional knowledge, innovations and practices of indigenous and local communities?	
7. Will the activity affect indigenous peoples' political, legal, economic, social, or cultural institutions and/or practices?	
8. Will the activity involve making commercial use of natural and/or cultural resources on lands subject to traditional ownership and/or under customary use by indigenous peoples?	
9. Will the activity involve decisions regarding benefit-sharing arrangements, when benefits are derived from the lands/territories/resources of indigenous peoples (e.g. natural resource management or extractive industries)?	
10. Will the activity have an impact on the continuance of the relationship of the indigenous peoples with their land or their culture?	

If the answer is 'Yes' to any of these questions, it is likely that FPIC will be required of the potentially affected peoples for the specific activity that may result in the impacts identified in the questions.

⁵

https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/Final%20UNDP%20SES%20Indigenous%20Peoples%20GN_Jan2017.pdf



NOTES ON FREE, PRIOR AND INFORMED CONSULTATIONS (FPIC)

The extent, frequency and degree of engagement required by the consultation process should be commensurate with the identified project risks and adverse impacts and with the concerns raised by affected IPs. FPICs are built on mutually accepted process between affected communities and project actors.

The overall aim of the FPIC process with all stakeholders is to obtain a signed agreement or oral contract witnessed by an independent entity agreed to by both parties, ensuring that the greatest number of community members are involved and represented, including potentially marginalized groups. The community's customs and norms for participation, decision-making and information sharing are to be respected.

At a very general level, FPIC may be understood as the right of indigenous peoples to approve or reject certain proposed actions that may affect them and that the process for reaching such a decision must possess certain characteristics.

In Tuvalu, there are traditional leaders as well as elected ones. Each island has a traditional assembly of Elders called a Falekaupule or 'te sina o fenua' (literally, "grey-hairs of the land") and there is a law, the Falekaupule Act 1999, founded on the Tuvalu culture that brings together the traditional responsibilities of the Falekaupule and the elected Kaupule (the executive arm of the Falekaupule). So the Falekaupules and Kaupules have traditional and legal basis for representing the citizens of Tuvalu.

The mechanism for the involvement and participation of citizens in local governance is the falekaupule assembly, which is held quarterly for each island.

Procedures.

FPICs should be orientated towards obtaining broad community support and by which, broad community support consists of a collection of expressions by affected community members and/or their recognized representatives in support of the proposed project/sub-project activities.

FPICs do not necessarily require unanimity and in some instances, decisions may be achieved even if individuals or groups within the community disagree. FPICs lay out organized and iterative processes through which decisions and measures adopted by the project incorporate the views of the affected IPs on matters that affect them directly.

Effective FPICs are built upon two-way processes that should:

- Involve members of affected communities and their recognized representative bodies and organizations in good faith.
- Capture the views and concerns of men, women and vulnerable community segments including the elderly, youth, displaced persons, children, people with special needs, etc. about impacts, mitigation mechanisms, and benefits where appropriate as reflected in sub-project design. If necessary, separate forums or engagements need to be conducted based on their preferences.
- Begin early in the process of identification of environmental and social risks and impacts and continue on an ongoing basis as risks and impacts arise.
- Be based on the prior disclosure and dissemination/socialization of relevant, transparent, objective, meaningful, and easily accessible information which is in a culturally appropriate language(s) and format and is understandable to affected IPs. In designing consultation methods and use of media, a special attention needs to be paid to include the concerns of Indigenous women, youth, and children and their access to development opportunities and benefits.
- Focus on inclusive engagement on those directly affected than those not directly affected;
- Ensure that the consultation processes are free of external manipulation, interference, coercion and/or intimidation. The ways the consultations are designed should create enabling environments for meaningful participation, where applicable. In addition to the language(s) and media used, the timing, venues, participation composition need to be carefully thought through to ensure everyone could express their views without repercussions.
- Be documented.