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United Nations Development Programme

PROJECT DOCUMENT

Tuvalu

Project Title: **Tuvalu Coastal Adaptation Project, Phase 2 (TCAP-II)**

Project Number: **01001604**

Implementing Partner: **UNDP Pacific Office**

Start Date: **1 January 2024** End Date: **30 June 2026** PAC Meeting date: 14 March 2024

Brief Description

Tuvalu is a Least Developed Country (LDC) and the 8th smallest country in the world by land area. Tuvalu's atoll islands are cyclone exposed and very low laying and thus urgently exposed to sea level rise impacts. The capital Fogafale Island, Funafuti Atoll which houses approximately half of the national population (ca 5,714– 2,772 female and 2,942 male) has an average elevation less than 0.5m above the reach of high spring tide levels. It is thus extremely vulnerable to climate change impacts, especially projected sea-level rise and storm related marine flooding. These challenges, combined with limited resources and capacity constraints require urgent solutions to secure people and assets from the catastrophic impacts of sea level rise.

The objective of the Tuvalu Coastal Adaptation Project, Phase 2 (TCAP-II), is to focus on reducing the vulnerability of the southern lagoon shoreline of Fogafale Island in Tuvalu to the adverse impacts of wave overtopping, shoreline erosion, and rising sea levels. This project builds upon the achievements of the Green Climate Fund (GCF)-)-supported TCAP Project and aims to expand the reclaimed area by an additional 8 hectares, creating flood-free land and safeguarding 800 meters of shoreline. TCAP-II project will adhere to the TCAP reclamation design and align with Tuvalu's Long-Term Adaptation Plan (L-TAP) while also continuing efforts to enhance institutional capacity, human resources, awareness, and knowledge to facilitate better decision-making in coastal management, including improved integration of social requirements, including gender and disability needs. The final output encompasses the completion of coastal protection infrastructure, the development of capacity for coastal adaptation work, and the undertaking of policy and strategic analytical studies to showcase the viability of vertical adaptation for atoll nations such as Tuvalu.

TCAPII will comprise three interlinked Outputs:

- Output 1: Construction of coastal protection infrastructure of the southern lagoon shoreline of Fongafale Island in Funafuti. This is expected to protect approximately 800 m of vulnerable shoreline on the capital as well as provide approximately 8 ha of new safe raised land (reclamation).
- Output 2: Building capacity of Tuvalu government and civil society organizations in aspects of coastal protection works, mitigation of impacts, and planning and implementation.
- Output 3: Undertake policy and strategic analytical studies that demonstrate the feasibility of vertical adaption (reclamation and land raising) for atoll nations like Tuvalu.

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Contributing Outcome (UNSDCF, CPD, RPD): **By 2027, people, communities and institutions are more empowered and resilient to face diverse shocks and stresses, especially related to climate variability impacts, and ecosystems and biodiversity are better protected, managed, and restored.** Indicative Output(s) with gender marker[1]: **GEN2**	Total resources required:		US$ 17,544,541
	Total resources allocated:		US$ 17,544,541
		UNDP TRAC:	-
		Donor (DFAT):	US$ 13,799,108.36 (AUD 21,250,627)
		Donor (MFAT):	US$ 3,745,432.40 (NZD 6,150,000)
		Government:	-
		In-Kind:	-
	Unfunded:		

Agreed by (signatures)[2]:

Government	UNDP	Implementing Partner
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Date: 22-May-2024	Date: 29-Apr-2024	Date:

[1] The Gender Marker measures how much a project invests in gender equality and women's empowerment. Select one for each output: GEN3 (Gender equality as a principal objective); GEN2 (Gender equality as a significant objective); GEN1 (Limited contribution to gender equality); GEN0 (No contribution to gender quality)

[2] Note: Adjust signatures as needed

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I. DEVELOPMENT CHALLENGE

Coastal Vulnerability due to Sea Level Rise:

Tuvalu is an LDC and the 8th smallest country in the world by land area. It consists of nine inhabited atolls with a population of approximately 11,000 and a total land area of 26 km2. Tuvalu's atoll islands are cyclone exposed and very low laying and thus urgently exposed to sea level rise impacts. The capital Fogafale Island, Funafuti Atoll which houses approximately half of the national population (ca 6,000) has an average elevation less than 0.5m above the reach of high spring tide levels. It is thus extremely vulnerable to climate change impacts, especially projected sea-level rise and storm related marine flooding. These challenges, combined with limited resources and capacity constraints require urgent solutions to secure people and assets from the catastrophic impacts of sea level rise.

Right - Central Fogafale Island, Funafuti Atoll, the capital of Tuvalu. Home to over half the national population and only 1.4 km2 in area.



Using recent state of the art data analysis shows the overall average elevation of Central Fogafale today is a mere 23cm above the reach of measured high spring tides. In turn using IPCC worst case scenario sea level rise projections it is estimated near half of the land area of Fogafale will become routinely inundated during normal monthly high tides by 2050 – 2060*. By 2100 less than 10% of the land area would remain above the reach of annual high spring tide events.

The Fogafale example typifies the challenge faced by the people of Tuvalu. It is catastrophic, and as habitable areas of these islands transition to become intertidal zones; they will become increasingly uninhabitable. Marine waters will gradually damage buried services, paved surfaces such as roads and runway, lower floors of buildings and other assets. It will permanently destroy soils and terrestrial vegetation including food plants. It will reverse modest development gains in Tuvalu and will occur within foreseeable timeframes making normal day to day life or the pursuit of the country's modest development aspirations impossible.

Fogafale island shoreline is shown as the red outline. The areas shaded green with yellow outline is the land left above the reach of normal high tide water levels by 2050 – 2060. This amount of sea level rise is now assured – it will occur this century even if global emissions are completely phased out. This degree of monthly marine water flooding does not include the potential influence of storm wave impacts. Storm wave impacts combined projected sea level rise will produce catastrophic, island wide life-threatening conditions.

**The discussion of what case scenario is most likely is highly complex when translating sea level rise science to adaptation design criteria. Science is expected to continue to upgrade "most-likely" ranges as research improves, in comparison, adaptation effort today is expected to meet its design objectives related to the life of the infrastructure and the provision of protection for human communities and assets. Given the plausibility of worst-case scenarios (combined with the inattention of the global community to emissions reduction) adaptation design to sea level rise must err on the conservative. If design criteria are significantly shortened or overwhelmed by upgrades in scientific understanding of sea level rates, adaptation effort fails with catastrophic consequences. Thus, sea level adaptation design must consider worst case scenarios as far*

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as practical and in the specific case of sea level rise this is always advisable because it is a truly "no-regrets" strategy. If worst case scenarios are not reached by 2100, they will be reached not long after. Being conservative today, buys more time in the future.

Limited national financial resources and dependency on fragmented external financing: Coastal protection and site-specific assessment to finalize the design of the protection is expensive. Tuvalu's narrow economic base makes it extremely difficult for national budgets to be invested in for this purpose. As a result, past coastal protection investments have been financed through the small discretionary budgets available for outer island administration, private financing, or donor funding. All these sources are often too small and fragmented to provide a comprehensive, lasting solution. Lack of finance often leads to a design that is not based on detailed site-specific hydrodynamic modelling that enables the final structure to be perfectly aligned with the coastal processes (for improved performance and longevity of the structure) and enables future climate conditions to be incorporated into the design. "Best Practices from the Pacific" (USP, 2015) highlights that poor seawall designs in the Pacific have resulted in maladaptation in the past. Both the WB and JICA assessment reports revealed that many (if not most) privately or communally financed attempts in Tuvalu to armour the foreshore have failed or are failing due to insufficient or complete lack of site-specific assessments. Similarly, an LDCF assessment report points out that concrete blocks that were supplied by a development partner 25 years ago were not robust enough to withstand the immediate wave energy forces[1].

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Social inclusion, consultation, gender, and disability access: Gender and vulnerable group participation is a precondition for holistic and meaningful achievement of project outcomes. Recognizing this precondition, TCAP-II has been committed from its inception to ensure inclusion and integration of gender into the relevant project outputs and activities. This commitment aligns to DFAT, MFAT and UNDP gender policies, but more importantly to the Government of Tuvalu goals of its Gender Policy and its National Development Strategy specifically in promoting gender equality, mainstreaming and empowerment for women participation in decision making and leadership.

Tuvalu lacks a long-term support system for building national capacity in coastal management. Current external projects focus on short-term capacity building for existing government officials, neglecting long-term technical capacity development for those outside the government system, such as youth who may join the government in the future. This approach leaves gaps when skilled professionals depart. To address this, Tuvalu needs to establish a support system for long-term capacity building in priority areas like coastal protection, ensuring continuity of technical expertise. The activities in Output 2 will help build capacities in planning and coastal adaptation in the shorter term, while Output 3 will reveal the underlying fundamentals, policies and social inclusivity actions that will be required for the long-term. Output 3 will help Tuvaluan decision makers, technical practitioners, and community members (including youth and women) bring learnings from other countries that have adopted vertical adaptation as strategies and apply them to the Tuvaluan context, in particular L-TAP.

Funding and Resource Management: Securing adequate funding and resources for the completion of the coastal protection infrastructure project is a significant challenge. This includes the reclamation of land and the construction of defences. The project requires substantial financial investment, and ensuring a sustainable funding stream is crucial for its successful completion.

Technical Expertise and Construction: The construction of coastal protection infrastructure, covering 800 meters of vulnerable coastlines and involving reclamation of approximately 8 hectares, presents technical and logistical challenges. Ensuring the availability of skilled labour, construction materials, and equipment is crucial for the timely and effective completion of the project.

Building Capacity of Tuvalu Government and Civil Society Organizations: (a): **Inclusivity and Environmental Considerations**: Building the capacity of the Tuvalu government and civil society organizations to undertake coastal adaptation work in a socially inclusive and environmentally sound manner is a multifaceted challenge. It involves technical training and ensuring that adaptation efforts are inclusive and consider the needs of all stakeholders, especially marginalized communities. This requires a comprehensive approach that integrates social, environmental, and cultural considerations into capacity-building initiatives and (b) Knowledge Transfer and Stakeholder Engagement: Effectively transferring knowledge and skills to government and civil society organizations and fostering meaningful stakeholder engagement is crucial. This involves developing tailored training programs, promoting community involvement, and ensuring that local knowledge and perspectives are integrated into coastal adaptation initiatives.

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Policy and Strategic Analytical Studies for Vertical Adaptation: (a) **Feasibility Assessment**: Undertaking policy and strategic analytical studies to demonstrate the feasibility of vertical adaptation for atoll nations like Tuvalu presents a complex challenge. This involves conducting in-depth studies to assess the viability and implications of vertical adaptation strategies, considering the unique geographical and environmental characteristics of atoll nations. It requires interdisciplinary collaboration and rigorous analysis to develop evidence-based policies and strategies for vertical adaptation, and (b) **Data Availability and Research Capacity**: Access to reliable data and robust research capacity are essential for conducting policy and strategic analytical studies. Additionally, building the research capacity of local institutions and fostering partnerships with international experts can enhance the quality and relevance of analytical studies.

Socio-Economic Impacts and social safeguards: Implementing social safeguards to protect vulnerable groups from negative socio-economic consequences, ensuring that coastal adaptation initiatives contribute to inclusive and sustainable development.

Land Ownership: For TCAP2, Land reclamation will be undertaken according to Tuvaluan Law (refer below), which provides not only the legal framework to undertake reclamation works, but also clearly identifies that the Crown (ie the National Government) is the legal owner of the seabed and the resultant reclaimed land.

The basic law for the coastal zone in Tuvalu is the Foreshore and Land Reclamation Act 2008. The Act provides that, "Subject to the public rights of (a) navigation and fishing, and (b) of passing over the foreshore, and to any private fights that may exist in or over the foreshore or the sea-bed, the ownership of the foreshore and sea-bed is vested in the Crown" ((1), 3 Declaration of ownership of foreshore and sea-bed), in which "foreshore" means the shore of the sea or of channels or creeks that is alternately covered and uncovered by the sea at the highest and lowest tides, and "sea-bed" means the bed of all territorial and inland tidal waters.

As the ownership of the foreshore and seabed is vested in the Crown, "any land reclaimed otherwise than under section 11 (1) shall be vested in the Crown" (9 Vesting of reclaimed land), subject to subsection (2). Subsection (2) provides that "Causeways and landing-places constructed by a local government council shall, subject to the right of the Minister to call for their surrender to the Crown at any time, vest in that council." And "Subject to section 11 (1) the Minister may, in accordance with this section, authorise the reclamation of land over and upon the foreshore or the seabed irrespective of the ownership of land bordering on or of whether any land borders on such foreshore or sea-bed" (4 Minister may authorise undertaking).

As per Clause 10 of the Act, the Minister may enter into an agreement with any person either before or after the completion of an undertaking for the sale, lease or the granting of any other rights over the reclaimed land or other works.

Thus, no disputes over ownership of any new land created by the reclamation is anticipated.

Tuvalu Coastal Adaptation Project – TCAP (GCF / DFAT funded, UNDP / GoTV implemented)

The Green Climate Fund (GCF) / Australian Government funded, UNDP/ Government of Tuvalu implemented, Tuvalu Coastal Adaptation Project (TCAP) was re-designed in 2019 to reflect the dire situation in Fogafale and Tuvalu given more recent sea level rise science and climate change projections.

TCAP is a multifaceted, development-oriented programme of work typical of GCF Projects. With a total budget of approximately USD$40 million it was launched in 2017 and is now due for completion in 2025. Project completion has been delayed primarily due to the closure of Tuvalu's borders in early 2020 until late 2022 due COVID19. This meant that no international workers, including contractors and construction machinery, were able to be mobilised into the country until late 2022, delaying the commencement of the physical works (reclamation and outer island BTBs).

However, in summary, the current TCAP team represents the most experienced and well-established capacity in the Pacific Island region in respect to atoll coastal adaptation design and implementation and its experience with vertical adaptation (reclamation) in Tuvalu is unrivalled.

Tuvalu's Long Term Adaptation Plan (L-TAP)

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The TCAP reclamation was assessed during the consultation and due diligence processes as the most acceptable and pragmatic solution to the urgent problem of sea level rise impacts in Fogafale. Whilst 7.3ha is not sufficient to accommodate the entire Funafuti community, TCAP is proof of concept and has shown the provision of raised safe land is a viable solution. This design mostly uses locally sourced materials and now complete has been widely heralded as an acceptable, tangible example of pragmatic adaptation to sea level rise. Importantly, crucial issues such as environmental and social acceptability have been proven, local highly complex land ownership dynamics have been equitably settled and no unacceptable or lasting environmental impacts have been detected. TCAP has shown large scale engineering of solutions to sea level rise in locations such as Fogafale are feasible, acceptable, and effective.

Related to the success of TCAP's Fogafale reclamation work is the confidence this has built within the local community and national Government (GoTV) and international partners. TCAP has shown that reclamation can be undertaken safely in these environments and can produce tangible long-term adaptation. It is important to understand that prior to TCAP this has not been conclusively demonstrated in Tuvalu or elsewhere in the Pacific Islands. This trust and confidence have also led to the GoTV and UNDP to partner and leverage the experience and technical capacity of TCAP to develop Tuvalu's first national long-term adaptation plan.

Named L-TAP (Tuvalu's Long-Term Adaptation Plan), L-TAP builds on TCAP experience, and the new high-quality data secured by TCAP. L-TAP was launched at COP 28 (Egypt) in 2022 and again formed the centre piece of Tuvalu's adaptation discussion at COP29 (Dubai). It is a technically feasible reclamation design capable of accommodating the national population and incorporates solutions to a number of chronic developments bottlenecks in Tuvalu, such as sustainable water supply, safe wastewater management, improved fit for purpose and compliant airport and seaport facilities. And most importantly it will provide a tangible solution for the national population to sea level rise impacts.

The completed TCAP reclamation and proposed TCAP II will become integral components of L-TAP. They are consistent with the Government's long-term aspirations and plans and TCAP has designed it's work in full awareness of L-TAP. The TCAP designs are built to be complementary.

TCAP II

TCAP II is a direct result of the context provided in the introduction and summary above. However, whilst TCAP II is inspired by the success of the original TCAP Project, TCAP II is far more narrowly focused opportunity, it is not a large multidimensional Project, intended to span 5 or more years. TCAP II is focused on the outcomes of a request made by the Government of Tuvalu to the Australian Government for funding for additional reclamation work following the successful construction of TCAP1. Negotiations between the Government of Australia and the Government of Tuvalu resulted in an announcement by the Prime Minister of Australia in late 2023, that the Australian Government would make AUD $16.9 million available to facilitate additional reclamation work in Fogafale. This in turn, followed an official visit to Funafuti and the TCAP reclamation by the Australian Minister for International Development and the Pacificin August 2023 in addition to the Australian Government's earlier commitment to the TCAP work post Foreign Minister's visit in April 2023, when DFAT provided top-up funding to cover the unexpected costs of Covid delays and resultant travel complexities.

Thus, TCAP II intends build upon the achievements of the original TCAP work but it particularly aims to expand the provision of raised safe land on Funafuti by an additional 8 ha (the final figure will be subject to detailed design). This is entirely aligned to the Government of Tuvalu's long-term strategy to produce additional safe, flood-free land as well as protecting additional highly exposed urban shorelines in Fogafale (approximately 800 meters of shoreline will be protected by the TCAP II reclamation). The TCAP II shoreline was also highlighted in the original TCAP feasibility studies as locations of high value and urgency regarding protection.

The TCAPII project will adhere to the TCAP reclamation design and align with Tuvalu's Long-Term Adaptation Plan (L-TAP) while also continuing efforts to enhance institutional capacity, human resources, awareness, and knowledge to facilitate better decision-making in coastal management.

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II. STRATEGY

The objective of the Tuvalu Coastal Adaptation Project, Phase 2 (TCAP-II), is to focus on reducing the vulnerability of the southern lagoon shoreline of Fogafale Island in Tuvalu to the adverse impacts of wave overtopping, shoreline erosion, and rising sea levels. TCAPII's primary objective is to secure a further estimated 8ha of raised safe flood free land and protect an additional estimated 800m of shoreline in the densely populated and exposed lagoon foreshore of Fogafale following the model used on TCAP.

This project builds upon the achievements of the Green Climate Fund (GCF)-)-supported TCAP Project and aims to expand the reclaimed area by an additional 8 hectares, creating flood-free land and safeguarding 800 meters of shoreline. TCAP-II project will adhere to the TCAP reclamation design and align with Tuvalu's Long-Term Adaptation Plan (L-TAP) while also continuing efforts to enhance institutional capacity, human resources, awareness, and knowledge to facilitate better decision-making in coastal management. The final output encompasses the completion of coastal protection infrastructure, the development of capacity for coastal adaptation work, and the undertaking of policy and strategic analytical studies to showcase the viability of vertical adaptation for atoll nations such as Tuvalu.

TCAP II will use the same lagoon basin sediment resource area as TCAP I and the earlier New Zealand Government funded Borrow Pit Filling Project. Combined these 2 earlier Projects, about 500,000 m^3 of material used from that characterized resource that is estimated to contain over 20,000,000m^3 of material. To mitigate the risk of encountering World War II relics, the entire resource area has been subject to magnetometer survey (detection of metallic objects) and was surveyed with high resolution Lidar (Light Detection and Ranging) which can distinguish any substantive object on the sediment surface (i.e. vessels, aircraft, etc. associated with WWII). No such relics were detected with the Lidar and substantive metallic items detected have been marked for avoidance. This approach has two benefits, it allows the identification and avoidance of any relics of historical interest, and it allows avoidance of any substantial buried metallic objects. The magnetometer survey was undertaken as due diligence for any possible unexploded ordinance related to WWII (buried metallic objects).

Furthermore, TCAP-II takes the low risk of unexploded ordnance in Funafuti into noting that Funafuti was not the location of direct conflict during WWII. However, to ensure maximum safety, the project employs a multi-pronged approach. Magnetometer surveys are conducted as a precautionary measure. Additionally, the dredge used for the project, Contractor's dredge, was modified before starting TCAP-I work. These modifications include exclusion bars on the cutter head, which prevent any object larger than 10 centimeters from entering the dredge and being deposited in the reclaimed area. The success of these strategies in TCAP-I paves the way for their continued application in TCAP-II.

In TCAP –II, a comprehensive and inclusive approach is being adopted to address the challenges posed by climate change. Recognizing the importance of considering diverse perspectives, the project incorporates measures to ensure integration of gender equality and disability inclusion within the capacity development and policy studies. Strategies include inclusion of focal points within the project team to ensure integration into project design and implementation; actively involving women, youth and persons with disabilities in capacity development initiatives; specifically targeting the inclusion of women and vulnerable groups in the assessments and policy development to inform decision-making processes, recognizing their unique vulnerabilities and strengths in the face of environmental threats. Additionally, infrastructure and adaptation initiatives are designed with accessibility in mind, ensuring that individuals with disabilities can fully participate and benefit from the project's outcomes. By integrating gender and disability considerations into every aspect of the Project, Tuvalu aims to create a more resilient and equitable society that empowers all its citizens to thrive in the face of environmental challenges.

TCAP-1 incorporated numerous tasks and objectives across several interrelated Sectors. It had three main Output areas: 1) Capacity building, 2) Coastal infrastructure and 3) Improved governance and access to adaptation resources. Output 2 accounting for approximately 60% of the budget and particularly TCAP's capital works on Funafuti has been the direct inspiration for TCAP II. Similarly, TCAP-II has three interrelated Outputs: 1) Coastal infrastructure; 2) Capacity building; and 3) Enhanced knowledge of policy and social conditions required for vertical adaptation in atoll nations. These outputs build on and extend the work already undertaken in TCAP-I. Like TCAP-I, the bulk of TCAP-II budget is allocated to the capital works component of Output 1 (Activity 1.2).

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Today TCAP has established and maintains a substantive Suva / Funafuti based implementation team with a permanent office in Funafuti. It is also supported by international technical expertise (including procurement and financial management, engineering, and safeguards as well as coastal science and dredge industry expertise). It is proposed to further enhance the TCAP team through the recruitment of local gender and social development officer and an EbA and environmental monitoring officer. Furthermore, TCAP maintains excellent, current relations with local stakeholders and the national Government via numerous working relationships and more formally via the TCAP Board (Chaired by the Minister of Finance GoTV



The image above shows the completed TCAP reclamation (yellow polygon), the now developed Queen Elizebeth II Park complex (QEP was a locally designed and managed effort by the Government of Tuvalu) and the proposed TCAP II site. This entire shoreline including the stretch north of TCAP are all shores assessed in 2015 / 2016 during the compilation of the GCF TCAP Feasibility Study as areas of high priority for engineering to reduce exposure to wave induced flooding and erosion. Note: The white sand visible on the TCAP II shoreline is the result of artificial nourishment during the building of QEP. Priore to this the shore was steep, rocky, and strewn with building waste etc in an attempt to secure protection. TCAP has monitored this sand, and it is gradually being reworked and lost over time, meaning this shoreline will revert to its dysfunctional and vulnerable state without intervention.

The proposed project has three inter-related outputs that aim to achieve the objective of securing a further estimated 8ha of raised safe flood free land and protect approximately 800m of additional shoreline in the densely populated and exposed lagoon foreshore of Fogafale, as well as create enabling conditions for scaling up and replicating the project impact beyond the immediate target areas (eg L-TAP).

The three Outputs and their corresponding Activities are:

Output 1: Enhancement of coastal protection infrastructure of 800m shoreline extension with 8 hectares raised safe land on the Fogafale lagoon shore.

Activity 1.1: Coastal protection design and undertaking Environmental Social Impact Assessment

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This activity focuses on the planning and preparatory work that will allow construction to proceed, in particular this is the construction design of the reclamation and undertaking the required local planning process and Environmental and Social Impact Assessment (ESIA). The design will draw on foundational information (LIDAR, hydrodynamic modelling, vulnerability mapping etc) and experience from TCAP. Likewise, TCAPII will dovetail into established consultation and project oversight and management mechanisms already developed by TCAP and will thus accrue significant efficiencies and incorporate lessons learned etc.

The ESIA will also build on the combined knowledge of previous projects, as well as the consultation undertaken as part of TCAP. Stakeholder engagement will be an important part of Activity 1.1, ensuring that community inputs are received, and due process followed.

Activity 1.2: Construction of the TCAPII reclamation

Activity 1.2 focuses on the construction of the proposed reclamation designed in Activity 1.1 providing an additional approximate 8 ha of safe, flood-free land that also protects the high value assets that lie landward of the TCAPII structure. The coastal construction methods and safeguard actions will be informed by the successful practices established and currently ongoing in TCAP, this will include measures to help protect the community (particularly children, women who collect shells, persons with disability whose exposure to risk may temporarily increase), yet still provide access.

Activity 1.2 will further demonstrate the feasibility and effectiveness of land reclamation/raising as an adaptation strategy for atoll nations, providing a model for similar climate-vulnerable communities worldwide.

By successfully implementing these coastal protection measures, TCAP II not only aims to achieve its immediate objective of safeguarding Fogafale Island's shoreline but also contributes to the broader goal of increasing the resilience of infrastructure and the built environment to climate change, thereby strengthening the adaptive capacity, and reducing the exposure of Tuvalu to climate risks.

Output 2: Strengthening Tuvalu Government and Civil Society Organisations capacities on sustainable coastal adaptation management.

This output aims to continue to build the capacity of the Tuvalu government and civil society organisations. This will include providing targeted training programs and workshops to enhance technical expertise and knowledge of sustainable coastal adaptation practices.

This output has the following three activities:

Activity 2.1: Undertaking Coral transplanting (EbA)

The TCAPII reclamation is to be built on an area of reef flat that has been impacted by eutrophication and is therefore mostly devoid of living coral. This activity aims to reduce the adverse impacts on the small number of corals immediately adjacent to the proposed reclamation and create new coral reefs through a program of coral transplanting.

Coral transplanting has been widely practiced in many parts of the world and has been shown to be an effective way of both mitigating potential negative impacts from infrastructure construction and creating new and diverse reef habitats.

Building on the experiences from around the world, and more particularly a coral restoration initiative in Nui, Tuvalu between UNDP and an NGO, a tailored approach that addresses the specific needs of the project and the community will be developed. Techniques such as coral propagation and transplanting, and potentially nursery establishment. Nurseries are where new coral is grown and then transplanted to areas where it can grow and establish more successfully.

This activity would build local capacities, which can lead to more sustainable and effective projects. Promoting local communities, particularly women, youth and other vulnerable groups, as key actors in development and

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conservation helps to ensure that the community has the resources and knowledge to continue to manage and protect their natural resources even beyond the project's lifetime.

Activity 2.2: Enhancing Land Use Planning Capacities

The objective of planning land use is to influence, control or direct changes in the use of land so that it is dedicated to the most beneficial use and maintains the quality of the environment and promoting conservation of the land resources.

Neither the government nor the Kaupule (island council) has a national land- use plan in place. Therefore, there are limited restrictions on what landowners can do to their land. The need to increase awareness of and establish land-use and management planning capabilities is urgently needed to minimize land degradation and hazard exposure in Tuvalu.

The construction of *ca* 8ha of new land provides an ideal opportunity to demonstrate the benefits of best practice land use planning. This activity will assist the government in preparing a masterplan that will help shape the future use of the TCAPII land promoting more desirable social and environmental outcomes as well as a more efficient use of resources. The inclusion of a wide range of stakeholders, such as women, youth, persons with disability, government, and private sector businesses, will ensure that a wide range of voices are heard and that the broader needs of the community are understood. Master planning processes will then be used to help balance these often competing needs to produce a plan that better reflects community aspirations.

Capacity to undertake land use planning will be built through hands-on learning during workshops and masterplan development. Experts will lead government and community representatives through the process of preparation of master plans/land use plans. Such capacity building and practical experience, particularly in terms of ensuring inclusion community involvement, are going to be critical if Tuvalu is to adopt a large-scale vertical adaptation strategy such as L-TAP.

Activity 2.3: Technical capacity, knowledge and awareness strengthened for monitoring, protection, and maintenance of coastal protection infrastructure.

This activity recognizes the need for a sustained and informed approach to managing the newly implemented coastal defences, ensuring their longevity. Through targeted training programs, workshops, and knowledge-sharing sessions, Activity 2.1 seeks to empower Tuvalu government officials and civil society organizations, ensuring equitable gender and disability representation, with the technical expertise and operational know-how required to oversee coastal protection measures.

By building a robust capacity development framework, TCAP-II aims to ensure the durability and efficacy of the coastal protection infrastructure and enhance the island nation's overall adaptive capacity. This strategic investment in human resources and institutional strengthening is expected to yield dividends in the form of improved decision-making processes, enhanced readiness for future climate challenges, and a more resilient built environment. Ultimately, Activity 2.1 contributes significantly to the project's broader objectives of increasing resilience to climate change and reducing the vulnerability of Tuvalu's communities and ecosystems to its adverse effects, aligning with the nation’s Long-Term Adaptation Plan (L-TAP) and showcasing a comprehensive approach to climate adaptation for atoll nations.

Output 3: Enhanced knowledge of policy and social conditions required for vertical adaptation in atoll nations like Tuvalu.

As part of the project, undertaking policy and strategic analytical studies to demonstrate the feasibility of vertical adaptation in these settings will involve a rigorous and comprehensive approach. This will encompass conducting research and analysis to assess the specific environmental, social, and economic factors influencing the viability of vertical adaptation strategies in atoll nations. The studies will also involve engaging with local communities, government stakeholders, and scientific experts to gather diverse perspectives and insights. Additionally, the research will aim to identify and evaluate potential challenges, opportunities, and best practices related to vertical adaptation.

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It is envisaged these studies will help prioritize the development of evidence-based policy recommendations and strategic frameworks that can guide decision-making and resource allocation for vertical adaptation initiatives. Taking this holistic and data-driven approach aims to produce actionable insights and guidance that can inform effective and sustainable vertical adaptation strategies for atoll nations, ultimately contributing to long-term resilience and environmental sustainability in the region.

This output has the following two activities:

Activity 3.1: Conduct a review of existing policies and strategies related to vertical adaptation for atoll nations, focusing on Tuvalu.

Activity 3.1 designed to critically assess and enhance the framework within which Tuvalu and similar atoll nations can pursue vertical adaptation strategies to combat the adverse effects of climate change. This activity focuses on conducting a review of existing policies and strategies pertinent to vertical adaptation, with a specific lens on their applicability and effectiveness for atoll nations, using Tuvalu as a case study. The aim is to identify gaps, strengths, and opportunities within the current policy landscape that can inform more robust, resilient, and sustainable adaptation measures moving forward.

Activity 3.1 seeks to provide a comprehensive understanding of the current state of vertical adaptation efforts, drawing insights from both successes and challenges encountered by Tuvalu and other atoll nations. This review will serve as a critical resource for policymakers, stakeholders, and development partners, offering evidence-based recommendations to refine and enhance policy frameworks for vertical adaptation. The goal is to ensure that such policies are scientifically sound and technically feasible, culturally sensitive, and socially inclusive, thereby maximizing their effectiveness.

Furthermore, this activity will facilitate the integration of vertical adaptation into broader national planning processes, aligning with Tuvalu's Long-Term Adaptation Plan (L-TAP) and supporting the achievement of the project's overarching objective to increase the resilience of infrastructure and the built environment to climate change. By undertaking this policy and strategic review, TCAP II aims to lay the groundwork for innovative, forward-looking adaptation strategies that can serve as a model for atoll nations worldwide, demonstrating the feasibility and potential of vertical adaptation as a key component of climate resilience efforts.

Activity 3.2: Strategic Social Assessment of feasibility of implementing large-scale vertical adaptation measures in Tuvalu.

As demonstrated by projects such as TCAP, land reclamation/land raising (vertical adaptation) is a feasible approach to climate adaptation. However, the social feasibility of large-scale programs, such as L-TAP, particularly in Tuvalu is not as well understood.

Activity 3.2 aims at harnessing the collective expertise and insights of local stakeholders to confirm the feasibility of implementing large-scale vertical adaptation measures in Tuvalu. This activity underscores the project's commitment to a participatory approach with integration of gender and disability perspectives, recognizing the invaluable knowledge and experience that local communities, government entities, civil society organizations, and private sector partners bring to the table in addressing the challenges posed by climate change. Activity 3.2 seeks to ensure that the exploration of vertical adaptation strategies (Activity 3.1) is grounded in local realities, culturally sensitive, gender and disability inclusive and aligned with the needs and aspirations of the Tuvaluan people.

The Strategic Social Assessment will use the outcomes of Activity 3.1 (as well as data collected under Activity 2.2) and test their validity and feasibility through structured consultation, community surveys (written/online/social media) and two workshop periods designed to gather a wide range of perspectives (inclusive of gender and disability) and expertise on vertical adaptation. These interactions will not only facilitate a comprehensive assessment of social feasibility of implementing large-scale vertical adaptation measures but will also help to identify potential barriers and opportunities for such initiatives in Tuvalu.

The activity aims to cultivate a shared understanding and ownership of vertical adaptation processes among all stakeholders, thereby enhancing the likelihood of successful implementation and sustainability of these measures.

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III. RESULTS AND PARTNERSHIPS

Expected results:

The project contributes towards UNDP Strategic Plan Output 1.4 "Scaled up action on climate change adaptation and mitigation across sectors." The design of this proposed project incorporates lessons and best practices from several other projects (especially from the first phase of this project) to bring about a transformative impact that is inclusive, effective, efficient, and sustainable. These lessons include a) the use of locally appropriate technologies based on information available that are expected to be most cost-effective; b) the effectiveness of a comprehensive barrier removal strategy; c) an innovative approach for capacity development in the Tuvalu context; and d) the critical importance of leveraging available local resources for promoting longer-term autonomous adaptation. These lessons have been derived from experiences from the first phase of the project in Tuvalu and community-based adaptation initiatives.

Comparable efforts in the region and elsewhere have shown effective impacts related to saving lives and protecting assets with an appropriate mix of hard and soft solutions that are locally suitable. For example, in Australia, the Gold Coast Beach Protection Strategy included large-scale beach nourishment to widen sand-starved beaches, dune rehabilitation efforts, and a large, submerged offshore reef together provided a buffer against future storm events and improved the habitat for marine.

The proposed project will contribute to the achievement of climate-resilient sustainable development in Tuvalu. Construction of coastal protection measures in the most vulnerable coastlines of the country along high-value zones will reduce the vulnerability of Tuvaluans to the future impact of climate change, including tropical cyclones and heightened wave actions that have caused significant damage to lives, livelihoods, and economic assets in the past. The proposed measures will enable communities living in the vicinity not to have to bear the brunt of unabated coastal inundation and damages. This will ensure that businesses/livelihoods face lower disruptions and communities themselves do not incur heavy economic losses, not to mention the cost of disruptions to people through forced relocations. Coastal defences will protect 800m of vulnerable coastlines to minimize risks from wave-over-topping events. Moreover, if large-scale wave over-topping events occur, which result in a national state of emergency, the support structure for community-based disaster early response and recovery will help the affected restore their livelihoods and other economic assets as soon as possible. Overall, the project will contribute to the Fund level impact of increased resilience of infrastructure and the built environment to climate change. For the completion of the construction of coastal protection infrastructure, a comprehensive plan will be developed in collaboration with local stakeholders, government authorities, and experienced engineering and construction firms. This plan will involve conducting thorough environmental impact assessments and community consultations and ensuring the efficient and sustainable execution of the project.

The project outcome will strengthen the adaptive capacity and reduce exposure to climate risks through the strengthening of institutions, human resources, awareness and knowledge for resilient coastal management, protection of vulnerable coasts in high-value asset areas, and establishment of a sustainable financing mechanism for long-term adaptation efforts. The project will establish at least 1 coastal defence measure along vulnerable coastal lines in the target island (the southern lagoon shoreline of Fogafale Island in Tuvalu). To build the capacity of Tuvalu government and civil society organizations, targeted training programs, workshops, and partnerships with CBOs and NGOs such as youth, gender, disability and other special interest groups, international organizations and experts will be established. These initiatives will focus on enhancing technical expertise, fostering knowledge exchange, and prioritizing the inclusion of diverse voices and perspectives in coastal adaptation projects.

Undertaking policy and strategic analytical studies to demonstrate the feasibility of vertical adaptation will involve conducting in-depth research and analysis, engaging with local communities and scientific experts, and developing evidence-based policy recommendations and strategic frameworks. The goal is to produce actionable insights and guidance that can inform effective and sustainable vertical adaptation strategies for atoll nations like Tuvalu.

The project will result in strengthened institutions, human resources, awareness, and knowledge for resilient coastal management. Local capacities will be enhanced through on-the-job training and experience building in monitoring and

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data collection of very dynamic coastal processes and design of coastal adaptation measures. The project will build and improve the technical capacity of nationals to lead and take ownership in further development, implementation, and sustenance of coastal protection measures through the project and in the future. It will also Increase the knowledge of targeted government officials and community members, including women, youth, and children, to broaden the awareness of the impacts of climate change on coastal vulnerability.

The project will reduce the exposure of vulnerable populations to climate risks by reducing the vulnerability of key coastal infrastructure. It will support the participatory design, implementation, and monitoring of coastal measures in the southern lagoon shoreline of Fogafale Island in Tuvalu. The project will result in reduced vulnerability of coastal assets along 800 m of high-value coastlines on the target island.

By implementing the above strategy, the project aims to provide vital coastal protection and capacity-building and foster community resilience, environmental sustainability, and evidence-based policymaking for long-term adaptation and resilience in Tuvalu.

Resources Required to Achieve the Expected Results

- TCAP II is a time sensitive opportunity specifically designed to capitalise and leverage on the relationships and existing technical and administrative capacities of TCAP. It does not intend to duplicate TCAP management or technical frameworks, but rather it seeks to augment and expand the current established TCAP structure.
- It follows that the established TCAP management and technical teams will relatively seamlessly incorporate TCAP II objectives into our existing work programs. Likewise, administrative, and financial management systems already approved and established will be used to manage implementation, procurement, etc. This approach has very significant benefits and efficiencies given the trust TCAP enjoys, established relationships and unrivalled experience in this setting with such work. However, the opportunity is time sensitive the existing TCAP Team will start to reformulate and contract as TCAP works scale down through 2024. TCAP II will accrue significant “cold start” reestablishment costs and delays if implementation is not started by mid-2024.
- Based on the experiences of TCAP-I, it has been recognised that TCAP-II will be enhanced by the early recruitment of local personnel to act as focal points for gender and social development, as well as implementation and monitoring of EbA and other safeguard measures. A youth-led NGO has already expressed an interest in supporting the project, including the embedding of full-time resources as a means of enhancing delivery of TCAP-II as well as building capacity of the local NGO through on-project learning opportunities (eg mentoring and hands-on experience). This changes the dynamic of resources required. This proposal assumes that TCAP II will start by mid-2024 and that existing TCAP capacities will largely take responsibility for implementation.

Partnerships

- *Partnerships: The jurisdiction of coastal protection is shared across the Department of Lands and Survey (DoLS), the Public Works Department (PWD) and the Department of Environment (DoE). Through TCAP-1, these departments now have the technical capacity to monitor the dynamic processes of coastal change over time, however, are still lacking some of the capacity to design potential coastal interventions nor is there sufficient capacity within the Climate Change Department (CCD) to coordinate the work of these departments for effective coastal protection. It is recognised that continuous capacity-building efforts are needed in the technical areas of climate change, coordination, project design and management, financial management, knowledge management and reporting to further strengthen and improve the ability of the Government of Tuvalu to design and implement coastal adaptation infrastructure, develop policies and plans utilising inclusive processes; and develop a funded long-term adaptation strategy such as L-TAP.*

Development of technical capacities for coastal vulnerability assessments and technical assessments will require technical officers in the relevant departments to play mutually reinforcing yet distinct roles. In particular, the role of DoLS technical staff is monitoring and assessment; PWD is responsible for the preliminary design of interventions; DLG is responsible for coordination and monitoring of Kaupule activities; and DoE is responsible for overseeing the environmental and social impact assessment (ESIA) process, while the CCD plays a coordinating role. TCAP-II will continue to reinforce the training already provided to departmental technical staff through applying those skills to the

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project, it will also expand the skill sets and experience, particularly in the areas of EbA (coral transplanting) and its monitoring, and community consultation, planning and policy development through hands on exposure to good industry practice during the ESIA finalisation, the land use master planning, and the development of policies for long-term adaptation. TCAP-II will foster greater integration of CBOs and NGOs into the processes used by government for the development and implementation of climate change projects.

In developing the L-TAP concept, discussions with the government, various departments and potential donors made it clear that there is still considerable work to be done to fully develop the strategy. Further, LTAP is of such a scale that a stepwise approach needs to be taken. The inclusion of elements in Output 2 an all of Output 3 is in clear recognition of the complex nature of LTAP and the need to understand the barriers and enabling mechanisms that will be required to see it come to fruition. A strong partnership already exists between the Government of Tuvalu and UNDP in the development and marketing of L-TAP. This is exemplified by the support given by TCAP when Government requested technical support at COP 27 and 28 and TCAP staff joined the Tuvalu COP team to support outreach events regarding L-TAP, answer technical questions and explain long-term sea-level rise impacts.

Risks and Assumptions

The project's management team will employ adaptive management techniques to maintain the delivery of the expected outcomes. The significant risk factors that could result in the project not producing the expected results are the following:

- **Strategic risks:** Power dynamics and political and economic structures at the national level may undermine the implementation and impact of the project and lead to resources being allocated in a manner that is not consistent with the project objective.
- **Organizational risks:** Successful implementation will depend on careful coordination with various levels of government, across ministries and complementary, national, and sub-national initiatives.
- **Human resources risks:** Overworked, overstretched, and overtired essential staff and stakeholders.
- **Implementation capacity risks:** Inadequate and/or non-capacitated human resources to successfully implement the project are a risk. This includes potential insufficient technical capacity to complete the project at a high level of rigor or overworked, overstretched, and overtired stakeholder's staff and other essential staff that will have no bandwidth to absorb additional responsibilities.
- **Project management risks:** A committed project management team with adequate outreach and networking skills are essential for the activities' success. The team will need to have the ability: i) to engage the key stakeholders in constructive discussion about climate adaptation priorities; ii) to guide and supervise the implementation activities and effectively cooperate with the donors iii) to present their findings and recommendations convincingly to key policymakers and opinion leaders; iv) to coordinate capacity building and training activities with a wide variety of stakeholders, and iv) to identify areas of future work. Required technical experts must also support the management team during project implementation.
- **Social and environmental risks:** This project is planned in areas with many indigenous and vulnerable communities. There is a risk that the voices of women, youth, persons with disabilities, and indigenous and/or marginalized communities may not be represented in the project activities and studies that will be carried out. Every effort will be made to include these communities in dynamic ways that will be identified during the development of the stakeholder engagement plans during project inception so that their recommendations are integrated at all levels in a gender-responsive and disability inclusive manner. There are also risks related to environmental pollution and human health hazard, should there be a malfunction in equipment, guidelines not properly followed, and damage to the facilities constructed.
- **Unexploded Ordinance (UXO) Risk:** Unexploded ordinance (UXO) or remnants of war (ERW) have been found in the lagoon, including near the proposed TCAP2 site. The UXO is a result of military actions during World War II American occupation of Funafuti. During the occupation up to 174 vessels were moored in

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the lagoon, and Funafuti was subjected to bombing on 9 separate occasions (JICA 2011). A magnetic survey undertaken for the QEII Park reclamation) covered the area being proposed for dredging for TCAPII. The results of that survey indicate a scattering of magnetic anomalies (potential UXO) in the lagoon immediately offshore of the TCAPII site. Note magnetic anomaly detection does not mean all detections are UXO's, it means metallic artefacts have been detected. Previous visual inspections of areas showing magnetic anomalies showed that a large number of debris from moored vessels etc exist in this nearshore heavily populated area of Funafuti lagoon. An internal Australian Navy report was presented to the TCAP 2023 following lagoon clearance activities, the report cleared the Funafuti Lagoon of major UXO threats. The dredging undertaken for TCAP included UXO risk mitigation measures and dredging of a similar scale to that proposed for TCAPII was completed without incident. None the less, TCAPII will follow closely the methods and protocols established in TCAP I to carefully manage any risks posed by UXOs during the proposed reclamation works.

- **Logistic risks:** Remote country location burdened with logistical challenges due to limited sailing schedules, frequent flight cancellations may slow down the delivery of equipment, related construction materials for the reclamation works and the provision of technical on-the-ground expertise. Delays in procurement, inflation, and exchange rate losses (3 separate entries), as supply chain issues are ongoing, and inflation is rising.
- **Sustainability of project inputs:** Unplanned, uncoordinated, rushed, and inappropriate procurement can result in duplication and waste of resources, underutilized, or not utilized due to not considering local circumstances, lack of accountability, and unplanned funding for the long-term operations and maintenance of technologies and medical equipment.
- **Disruptions in the global supply chain:** COVID-19 demonstrated that disease outbreaks can impact the procurement supply chain but also result in lockdowns at the country level, paralyze travel to project sites and staff turnover, etc. In addition, political unrest, geopolitical dynamics, economic changes, natural disasters, and climate change can contribute to disruptions in global and regional supply chain management.
- **Reputational Risks to UNDP:** Potential issues that could surface include situations of delay, fraud, or controversies implicating UNDP or the donor's commitment to sustainable green transition could pose reputational risks and potentially impacting the relationship with the donor, and potential future donors and member states.
- **Construction Risks:** Potential delays, cost overruns, OHS, SEAH/GBV and technical challenges during construction. Project planning, engaging contractor from TCAP, regular monitoring, contingency. Environmental impact assessments and adherence to sustainable construction practices can help avoid adverse environmental impacts.
- **Mechanisms to Prevent Cost Overruns**: The contractor will bid on a fixed price to deliver the entire project as specified in the contract documents. This price should encompass all labor, materials, equipment, and other necessary resources. The contract will clear and comprehensive. It will explicitly define the scope of work, including specifications, materials, and timelines. This minimizes risks of ambiguity and potential disputes about what's included in the fixed cost. However, in an event a cost variation arises, this will be subjected to a formal process which will involve clear documentation, impact assessments on cost and schedule, and cost negotiation with the contractor before implementing any changes. As per UNDP financial regulation requirement a maximum of 20% of construction contingency sum will be included into the contract to cater for variations.
- **Environmental Risks:** Disruption of marine ecosystems, habitat destruction, and alteration of coastal dynamics due to reclamation activities. Conducting ESIA, implementing a suite of safeguard plans, and ensuring compliance with environmental regulations to minimize adverse impacts. Involving local communities and environmental experts can help identify and address potential environmental risks.

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- **Climate Risks:** Extreme weather can impact construction. Vulnerability of the infrastructure to future sea-level rise, storm surges, and extreme weather events. Timing of works, cyclone plans and contingency. Incorporating climate-change model predictions into design.
- **Weather risks:** Extreme weather could adversely impact delivery of Activity 2.1. The timing of works, design of infrastructure, site selection.
- **OHS risks:** Output involves operating in the field, particularly Activity 2.1 which involves in-water work, therefore OHS risks require careful consideration and management. Risk assessment, ESMP and OHS management plan, participant awareness eg toolbox meetings and hazobs
- **Social Risks:** Potential exclusion of marginalized groups, unequal participation, gender risks, and resistance to change. Promoting inclusive and participatory approaches, engaging with diverse stakeholder groups, and ensuring that capacity-building initiatives are culturally sensitive and responsive to local needs. Fostering stakeholder engagement and providing ongoing mentorship and support to ensure the effective uptake of new skills and knowledge.
- **Research Risks:** Data limitations, methodological challenges, and uncertainty in predicting long-term climate impacts, challenges in translating research findings into actionable policies. Employing robust research methodologies, engaging with policymakers, integrating local knowledge with scientific data, and acknowledging uncertainty in the analysis. Engaging with local communities and fostering multi-stakeholder dialogues ensuring representation of women and persons with disability.
- **Social assessment risks:** reluctance to participate, poor IT systems, conflicting stakeholder interests, potential exclusion of marginalized groups, unequal participation, gender risks and political and cultural sensitivities. Inclusive stakeholder engagement, multi-channel approach to engagement, transparent communication, flexibility in approach, awareness of potential sensitivities, gender action plan, and a GRM

Further reputational Risks to UNDP: Potential issues that could surface include situations of delay, fraud, or controversies implicating UNDP or the donor's commitment to sustainable green transition could pose reputational risks and potentially impacting the relationship with the donor, and potential future donors and member states.

Stakeholder Engagement

TCAPII will continue to engage with the wide range of stakeholders already engaged as a result of TCAP where a comprehensive "Stakeholder Engagement Plan & Grievance Redress Mechanism" (SEP & GRM) has been developed. The "Stakeholder Engagement Plan & Grievance Redress Mechanism" (SEP & GRM) can be found in Annex 7. The stakeholder management plan will be utilised 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.

TCAPII builds upon the foundation laid by TCAP, leveraging its existing Stakeholder Engagement Plan and Grievance Redress Mechanism. A lesson learnt from TCAP is that mechanisms for two-way consultation need to be established early (in this case they are already in place) and that information needs to provide in small, regular packages that keep stakeholders engaged without overwhelming them with information. This comprehensive framework ensures continued engagement with a diverse range of stakeholders.

The Stakeholder Management Plan serves as a roadmap for future interactions, outlining strategies to

- Proactive communication and understanding stakeholder concerns are key to addressing potential opposition,
- Recognizing and incorporating valuable local knowledge strengthens project outcomes and
- Foster collaboration through strategies that encourage information sharing, support, and buy-in create a more inclusive and successful initiative.

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These planned stakeholder management activities become crucial inputs for developing related subsidiary plans, ensuring their alignment and effectiveness. With each output likely to involve a specific subset:

Output 1: Local communities (including marginalised groups, People with disability, women and youths) living in the vicinity of the shoreline are essential participants, providing valuable insights into their environmental challenges and ensuring that the infrastructure addresses their specific needs. Based on lessons learned from TCAP, TCAP-II will particularly target schools and parents/grandparents to increase the reach of messaging around child safety and the risks associated with construction sites. Collaboration with Tuvalu government authorities responsible for infrastructure and environmental management is crucial for aligning the project with national policies and regulations and ensuring sustainable development. Engaging engineering and construction firms will bring technical expertise to the project, ensuring that the infrastructure is designed and built to high standards. Additionally, the involvement of international development agencies will provide financial, technical, and logistical support, enhancing the project's global best practices and experiences in coastal adaptation.

Output 2: This includes Tuvalu government agencies responsible for environmental and disaster management, local non-governmental organizations focused on community development and environmental conservation, educational institutions, international agencies and institutions, and representatives from local communities. Marginalised groups, CSOs, people living with disabilities, women, youths and other vulnerable groups will be engaged as part of the capacity building process.

Output 3:Key stakeholders for this output will include government research institutions and agencies responsible for environmental policy and planning, environmental experts and researchers with a focus on atoll ecosystems and climate adaptation, atoll communities directly impacted by coastal adaptation strategies, NGOs and CBOs (including special interest groups, gender and organizations of persons with disabilities), international research organizations with expertise in climate change and atoll ecosystems, and policy makers and advisors involved in shaping national and regional environmental policies.

Digital Solutions[3]

The project will leverage digital technologies and solutions to improve the experiences of target beneficiaries and partners and address the development challenges associated with the project:

- **Geographic Information Systems (GIS):** GIS to plan the construction of coastal protection infrastructure, help visualise data, conduct spatial analysis, and make informed infrastructure placement and design decisions.
- **Drones:** Drones to monitor construction progress, undertake surveys, monitor dredge and reclamation impacts.
- **Knowledge management systems –** the Coastal Hazards Platform developed by TCAP will continue to be used and refined with any relevant data from TCAPII.
- **Social media –** platforms like Facebook and Messenger are important tools for reaching a wide Tuvaluan audience as these commonly used compared to other methods of digital communication.

Knowledge Management Systems: Develop knowledge management systems to store and share best practices, case studies, and relevant resources related to socially inclusive and environmentally sound coastal adaptation work. This can facilitate knowledge exchange and collaboration among stakeholders.

Mobile Applications: May create mobile applications to facilitate communication, data collection, and information sharing among project partners and beneficiaries. These apps can be used for reporting coastal hazards, accessing training materials, and engaging with local communities.

[3] Please see the *Guideline "Embedding Digital in Project Design"*.

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Undertake Policy and Strategic Analytical Studies: Data Analytics and Modelling: Utilise data analytics and modelling tools to analyse climate data, assess the feasibility of vertical adaptation strategies, and simulate potential future scenarios for atoll nations like Tuvalu. This can provide evidence-based insights for policy formulation and strategic decision-making.

Participatory Digital Platforms: Implement participatory digital platforms to engage stakeholders in policy studies, allowing them to contribute insights, provide feedback on draft policies, and participate in scenario planning exercises.

Knowledge

Activity 2.2 will result in the production of a Masterplan for the new TCAPII land. Participants of the master planning process (government departments, CSOs and community (including gender and disability inclusion representatives) will be provided with copies of the final Masterplan to communicate the proposed and allowable use of the land to the local community and other users.

Output 3 will result in a policy/strategy review report and a Strategic Social Assessment that will be promulgated via several mechanisms, including dissemination to relevant government agencies and CBOs, international papers and/or conferences, and disclosure through UNDPs transparency portal.

The project will generate a range of specific knowledge products to support its objectives. These will include publications, databases, media products, and more, all designed to capture and disseminate the valuable insights and lessons learned throughout the project. Publications will play a key role in sharing the project's findings and best practices. These may include research papers, policy briefs, and technical reports covering topics such as coastal protection infrastructure, capacity-building efforts, and analytical studies on vertical adaptation. These publications will be widely distributed to relevant stakeholders, including government agencies, academic institutions, and international organizations. In addition to traditional publications, the project will also develop digital knowledge products, such as interactive databases and web-based tools. These resources will provide accessible and user-friendly platforms for stakeholders to access project data, research findings, and other relevant information. Media products, including videos, infographics, and interactive presentations, will be developed to effectively communicate project outcomes and lessons learned to a wider audience. These materials will be shared through various channels, including social media, websites, and public events, to create visibility and raise awareness of the project's activities and achievements.

To ensure that the knowledge and lessons learned are widely accessible and beneficial to others, the project will actively engage in knowledge-sharing activities. This will include organizing workshops, seminars, and conferences to bring stakeholders from Tuvalu and beyond together to exchange experiences and insights. Additionally, the project will seek to collaborate with regional and international partners to amplify the visibility of its knowledge products and lessons learned, ultimately contributing to broader efforts in climate change adaptation and resilience building.

By creating and disseminating these knowledge products and actively promoting visibility for its lessons learned, the project will maximize its impact and contribute to building a more resilient future for Tuvalu and other atoll nations facing similar challenges.

Sustainability and Scaling Up

Like TCAP reclamation, TCAPII has been designed to be aligned with the Government's LTAP; the reclamation will form part of the early physical works that will help demonstrate the feasibility of a large scale program such as LTAP, while Output 3 will directly inform L-TAP in terms of policies, strategies and social sensitisation that may need to be put in place to ensure the success of such a plan.

Thus, sustainability of TCAP II is both inherited from the extensive efforts of TCAP and built in via the fact both of these works will become part of the Tuvalu's Long Term Adaptation Planning – L-TAP.

The proposed project has been designed through extensive consultations and involvement of government, NGOs, and CSOs to ensure ownership of the interventions and the effectiveness of their impact. Relevant government departments and local communities have been involved in the proposed design and will lead project intervention implementation. The project builds on this commitment and ownership to ensure that the investments and impacts are sustained for the long term through the following:

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- The Tuvalu Coastal Adaptation Project, Phase 2 (TCAP-II), is committed to ensuring sustainability and scaling up its results by building upon the achievements of its predecessor, TCAP-I, and integrating with relevant national systems. TCAP-II will leverage the lessons learned and best practices from TCAP-I to inform its approach to sustainability and scaling up.
- The project will utilize and strengthen existing national capacities, including government institutions and civil society organizations, to ensure the long-term sustainability of coastal adaptation efforts. This will involve aligning project activities with Tuvalu's Long-Term Adaptation Plan (L-TAP) and integrating the reclaimed areas into the national land use and development plans. Additionally, the project will focus on capacity building for the Tuvalu government and civil society organizations, enhancing their ability to manage and maintain the coastal protection infrastructure and continue implementing socially inclusive and environmentally sound coastal adaptation initiatives.
- Capacity building and provision of equipment to expand the ability of NGOs and government to design and deliver coral transplanting activities. Through engaging with an NGO to undertake the coral transplanting, TCAP-II aims to particularly build capacity within the youth (including woman) of Tuvalu, helping empower both the men and women of the future to realise that they have the power to make a positive impact on their environment and within their communities.
- Building on the lesson learnt during TCAP, that is that land use planning needs to occur early in the project and that it needs to involve a wide range of stakeholders, capacity building will involve international experts providing hands on training to officers from DLG, PWD, CCD and Kaupule members in the processes of developing masterplans. Through application of good industry practices, community members, including representatives of CBOs/NGOs and vulnerable groups, will have an increased capacity in how they can voice their needs and play an active role in the development of land use plans.
- Output 3 will improve knowledge of both government and community organisations on the potential barriers and enabling measures that might exist for large-scale vertical adaptation (eg LTAP). Through better understanding of the social conditions required for programmes like L-TAP, experience in broad-scale community engagement, along with improved connections to international experiences and experts, the capacity to Tuvalu to take forward programmes such as L-TAP will be significantly enhanced.

- Building a body of knowledge and facilitating learning: It is important to emphasize that building climate-resilient coastal protection structures is a new field in Tuvalu and many parts of the Pacific. Information and awareness gaps are still significant in the country in terms of coastal dynamics and locally appropriate solutions. Through monitoring of the effectiveness of the proposed project investments, awareness-raising support, targeting all the islands, exchange visits (bringing island representatives from non-target islands), collection of beach profile data by communities and synthesis by DoLS, and organization of regional knowledge sharing events, the project builds national and regional knowledge on coastal processes and climate resilient coastal protection options.

- Monitoring and evaluation mechanisms will be put in place to track the effectiveness of capacity-building efforts and the sustainability of project outcomes. Transition arrangements will be established to facilitate the handover of responsibilities to national stakeholders, ensuring that they are equipped to sustain and scale up the results of the project. National ownership will be ensured through active engagement with local communities, government agencies, and relevant stakeholders, fostering a sense of ownership and commitment to the long-term success of the coastal adaptation initiatives. By building upon the successes of TCAP-I (e.g. DLS now utilise drone-based survey techniques and can undertake rapid monitoring of shorelines; students have successfully completed higher education degrees) and strengthening national capacities, TCAP-II aims to create a sustainable and impactful legacy that will benefit Tuvalu for years to come.

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IV. PROJECT MANAGEMENT

Cost Efficiency and Effectiveness

Cost efficiency and effectiveness in the project management will be achieved through adherence to the UNDP Programme and Operations Policies and Procedures (POPP) and reviewed regularly through the governance mechanism. To apply the principle of economy of scale, where possible, corporate LTAs will be used to speed up the procurement process and to get the best market offer. Work plans as well as procurement plans will be put in place to maximize results with the available resources, such as explore pooled procurement opportunities, joint monitoring activities, joint evaluation, communications and partnerships.

Cost-effective technologies and practices will be promoted throughout this project to ensure engagement and awareness of the private sector stakeholders. Lessons learnt will be collected by the project management unit, and will be shared with UNDP MCO and governments so to foster south-south exchanges, scale up and replicability in Asia and the Pacific.

This project will leverage existing related activities under TCAP as well as partnerships to improve cost-effectiveness. The country has identified all procurement items and will develop detailed procurement plans and timelines. The project will engage technical specialists from UNDP and consultants to support the process, in addition to engaging procurement specialists and working with regional advisors. Attention will be paid to ensure that gender-responsive procurement practices are applied and UNDP's PSEA terms and conditions are adhered to by vendors. To this end, the project will explore opportunities under capacity building to include awareness on UNDP's zero tolerance for sexual exploitation and abuse with local procurement vendors.

TCAPII will follow the same model for design and construction that was used on TCAP, which proved to be highly efficient at enabling rapid construction of significant infrastructure in a cost-efficient manner. The utilisation of the who undertook TCAP also results in increased cost-efficiency as they are already in-country (with appropriate equipment), have proven construction methods, understand the local conditions and risks associated with them, have a trained local workforce, and have built up a level of trust with the government and local community.

Using the existing TCAP PMU to manage TCAPII also is cost efficient and effective as it minimises start up time, can utilise existing systems, draws on specific knowledge and expertise developed during the delivery of TCAP.

TCAPII represents a logical expansion of the TCAP project, with Outputs 2 and 3 representing activities that have been identified as gaps from TCAP, that will significantly assist Tuvalu in developing and delivering a long-term vertical adaptation strategy such as LTAP.

Oversight and assurance.

UNDP MCO's Management Programme Oversight Unit and RCC Team Programme unit provide oversight and assurance for the project. Oversight and assurance activities will ensure operational and financial management of the projects are in compliance with UNDP's procedures, rules and regulations.

The CO's HACT focal points oversees HACT compliance of project implementing and responsible partners (Executing Partners). On an annual basis, regular spot checks and project audits are conducted for all projects, in line with UNDP POPP and the Assurance Plan approved by the Fiji MCO's Resident Representative. The project is also bound to comply with UNDP´s PPM Policies and the UNDP´s Financial Regulation 16.02 and Financial Rule 116.02.

Project Management

UNDP MCO will implement this project under UNDP's Direct Implementation Modality (DIM) in consultation with the project's beneficiaries and other project partners. UNDP will utilise the existing TCAP1 Project Management Unit (PMU) that has the technical and administrative capacity to mobilize and effectively apply the required inputs to reach the expected outputs. UNDP's MCO's**, Climate Change and Resilience Unit** Team Leader will supervise the Project Manager and International Project Coordinator. UNDP assumes overall management responsibility and accountability for project implementation. UNDP may identify a Responsible Party to carry out activities within a DIM project. A Responsible Party

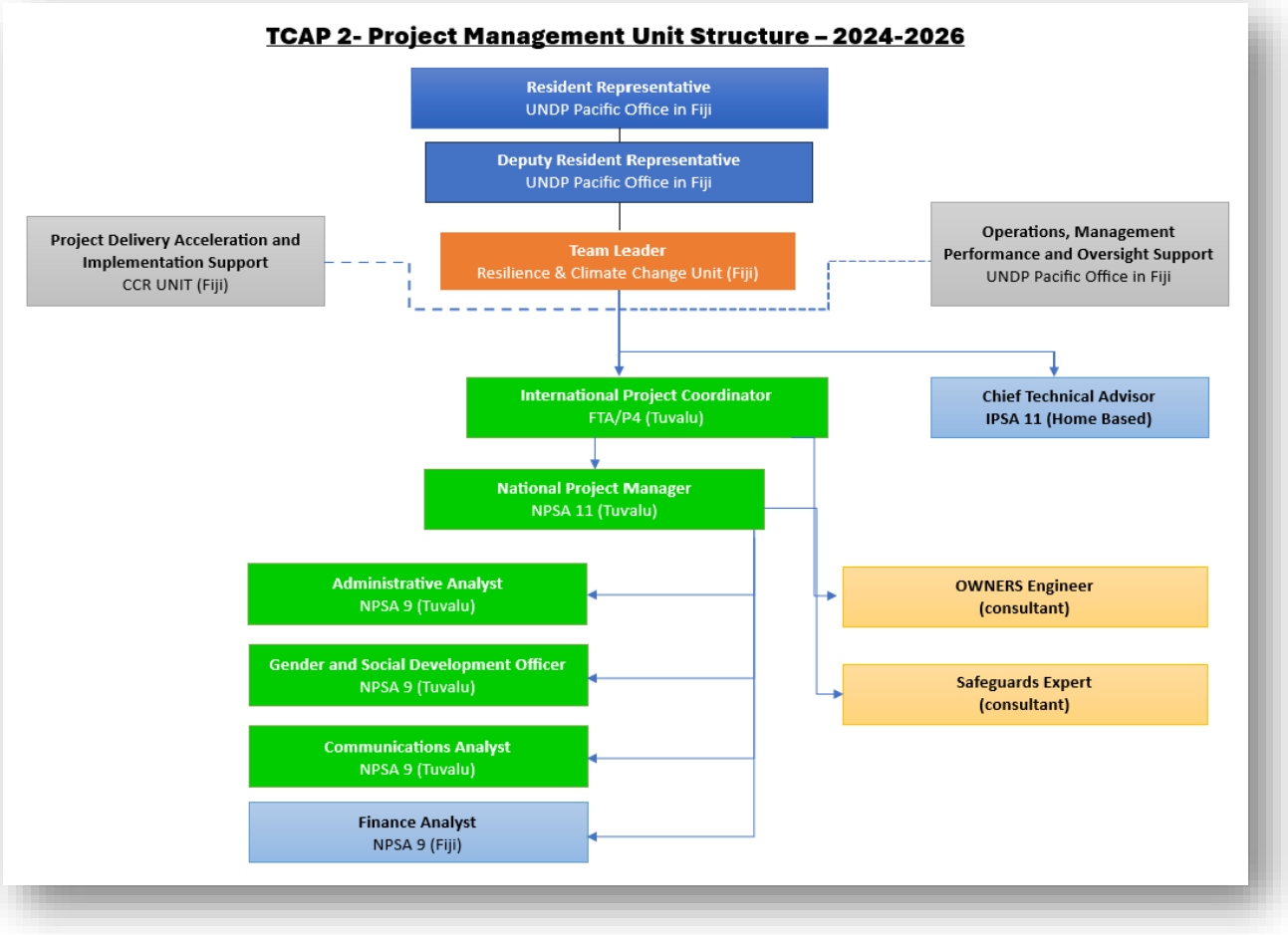
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is defined as an entity selected to act on behalf of the UNDP based on a written agreement or contract to provide goods and/or services to the project, carry out project activities and/or produce outputs using the project budge. The Responsible Party may manage these goods and services to carry out project activities and produce outputs. All Responsible Parties are directly accountable to UNDP per the terms of their agreement or contract with UNDP.

The project will be housed within the Climate Change and Resilience Portfolio of the MCO, with a conscious cross-unit collaboration with the Operations Unit, given the highly cross-sectoral nature of the project. This project will entail close support from the Operations Unit of the MCO, with QA ensured by the **Climate Change and Resilience Unit** Team Leader, Management Programme Oversight Unit and DRR. A project Board, co-chaired by the respective government agency with UNDP MCO RR, will be set up to guide at the national level and include all development partners and donors involved in climate adaptation mitigation work at the national level. This project board will ensure the effective use of resources for the Project's at the national and sub-national levels.

A terminal project evaluation will be conducted in accordance with the UNDP Evaluation Policy.

Project Management Unit



The Project Management Unit will comprise an International Project Coordinator, Project Manager, a Finance Analyst, an Administrative Analyst, a Communication Analyst, a Chief Technical Specialist, a Gender and Social Development Officer and other technical and administrative staff, as required (refer Figure in Section VIII). As the senior most representative of the Project Management Unit (PMU), the International Project Coordinator and Project Manager will be responsible for the overall day-to-day management of the project on behalf of UNDP, including the mobilization of

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all project inputs, supervision over project staff, responsible parties, consultants and sub-contractors. The project manager typically presents key deliverables and documents to the board for their review and approval, including progress reports, annual work plans, adjustments to tolerance levels and risk registers. The Project Manager will attend all board meetings and support board processes as a non-voting representative. The project will be operationalized in Tuvalu, specifically focusing on the southern lagoon shoreline of Fogafale Island in Funafuti. The project will establish physical project offices in relevant locations to facilitate project activities and coordination with local stakeholders. The project will also involve dedicated or shared operations support arrangements to ensure efficient implementation.

The project will work closely with other related initiatives and projects within the UNDP and with external partners. Collaborative arrangements with other projects similar in nature will include sharing resources, expertise, and best practices to enhance the project's overall impact and cost efficiency. The project will have annual project audit arrangements to ensure transparency, accountability, and compliance with financial and operational procedures and review the project's financial management and operational performance.

Overall, the project management for the Tuvalu Coastal Adaptation Project, Phase 2 (TCAP-II) will involve careful coordination, collaboration with stakeholders, effective resource management, and adherence to audit and financial procedures to ensure successful implementation and achievement of the project objective.

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V. RESULTS FRAMEWORK[4]

This project will contribute to the following Sustainable Development Goal (s): 13, 1 and 5					
This project will contribute to the following country outcome included in the UNDAF/Country Programme Document: Outcome Area 1: Environmental management climate change and disaster risk management					
This project will be linked to the following output of the UNDP Strategic Plan: Output 1.4: Scaled-up action on climate change adaptation and mitigation across sectors, which is funded and implemented.					
EXPECTED OUTPUTS	**OBJECTIVE, OUTCOME AND OUTPUT INDICATORS[1]**	**DATA SOURCE**	**BASELINE**	**TARGETS**	**RISKS AND ASSUMPTIONS**
Project output level indicator					
Output 1: Establishment of coastal protection infrastructure of 800m shoreline extension with 8 hectares raised safe land on the Fogafale lagoon shore.	*1.1 % Completion of planning phase (engineering design, ESIA and gender analysis)*	*TCAPII ProDoc*	*No design exists, no ESIA has been undertaken and no gender analysis*	*100% Reclamation engineering design completed, ESIA and gender analysis*	***Assumption**: There is a land-use agreement with the landowners; Environmental and social impact assessment confirms minimum risks.* ***Risk**: Incomplete land-use agreement and impact assessment may lead to unforeseen environmental and social impacts during project implementation*
	1.2: The length (m) of vulnerable coastlines protected (aligned with MCPD Output indicator 1.3.2), ensuring that gender	*TCAP-II ProDoc*	*In the proposed locations, there is no structural measures to mitigate the risk of wave over-topping or*	*800 m of vulnerable coastlines are protected by a coastal defence measure.*	***Assumption**: Construction will proceed without significant delays due to unforeseen challenges.* ***Risk**: Unforeseen environmental factors may impact the effectiveness of the coastal*

[4] UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project.

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This project will contribute to the following Sustainable Development Goal (s): 13, 1 and 5					
This project will contribute to the following country outcome included in the UNDAF/Country Programme Document: Outcome Area 1: Environmental management climate change and disaster risk management					
This project will be linked to the following output of the UNDP Strategic Plan: Output 1.4: Scaled-up action on climate change adaptation and mitigation across sectors, which is funded and implemented.					
	considerations are integrated		*coastal inundation events.*		*protection infrastructure, potentially leaving vulnerable coastlines inadequately protected.*
***Output 2**: Building of capacity of Tuvalu government and civil society organizations to undertake coastal adaptation work in socially inclusive and environmentally sound manner.*	*2.1: Area of coral transplanting/restoration (aligned with MCPD Output Indicator 1.3.2/IRRF 4.1.2)*		*Currently, no coral transplant/restoration is being undertaken in Funafuti*	*The equivalent of 800m of coral reef is transplanted.*	***Assumption:** sufficient human resources available and willing to engage and participate in training and transplanting program* ***Risk:** potential team member turnover, OHS risks associated with working with metal and within marine environments*
	2.2: Percentage (%) completion of Land Use Masterplan for new TCAPII land *Number of participants in developing the Masterplan*		*Currently there are no masterplans for reclaimed land in Tuvalu*	*Masterplan for TCAPII land prepared and endorsed.* *At least 30 people (50% women and representation of persons with disability) involved in the land use planning process*	***Assumption:** There is a clear understanding of the overall scope and complexity of the Masterplan. This includes the level of detail required, the planning area, and any specific requirements outlined by stakeholders* ***Risk:** Changes in project scope or requirements during the planning process. These changes can lead to delays and impact the percentage of completion initially defined*

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This project will contribute to the following Sustainable Development Goal (s): 13, 1 and 5					
This project will contribute to the following country outcome included in the UNDAF/Country Programme Document: Outcome Area 1: Environmental management climate change and disaster risk management					
This project will be linked to the following output of the UNDP Strategic Plan: Output 1.4: Scaled-up action on climate change adaptation and mitigation across sectors, which is funded and implemented.					
	2.3: Number of technical officers trained and certified on: *Monitoring /maintenance of coastal adaptation infrastructure* *Designing of coastal protection* *Project management, V&A assessment, CBA*	*TCAP-I*	*Currently, there is no institutional arrangement where technical officers can gain technical skills.*	*At least 10 technical government staff (50% women and representation of persons with disability) exposed to hands-on certified trainings on the three areas.*	***Assumption**: Skill-building trainings will not lead to accelerated turnover of staff, and that host departments will allow their staff to be away for sustained periods for skill-building.* ***Risk**: Enhanced skills from training may lead to increased staff turnover, disrupting operations, and prolonged absences for training may strain departmental resources.*
Output 3: Enhanced knowledge of policy and social conditions required for vertical adaptation in atoll nations like Tuvalu	*3.1 Number of policy recommendations and strategic insights generated from the review of existing policies and strategies related to vertical adaptation for atoll nations, specifically focusing on Tuvalu, that are incorporated into national*		*0*	*10 high-impact policy recommendations and strategic insights specifically focused on vertical adaptation incorporating gender and disability considerations.*	***Assumption**: The availability of comprehensive and up-to-date data on existing policies and strategies related to vertical adaptation for atoll nations, specifically focusing on Tuvalu, is accessible for the review process.* ***Risk**: The lack of cooperation or transparency from relevant stakeholders may hinder the thorough review of existing policies and*

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This project will contribute to the following Sustainable Development Goal (s): 13, 1 and 5					
This project will contribute to the following country outcome included in the UNDAF/Country Programme Document: Outcome Area 1: Environmental management climate change and disaster risk management					
This project will be linked to the following output of the UNDP Strategic Plan: Output 1.4: Scaled-up action on climate change adaptation and mitigation across sectors, which is funded and implemented.					
	or regional adaptation plans.				*strategies related to vertical adaptation for atoll nations, potentially limiting the effectiveness of the policy and strategic analytical studies.*
	3.2: Percentage of identified vertical adaptation measures in Tuvalu that are deemed feasible and incorporated into local policy or development plans		*0%*	*Ensure that at least 20% of the identified vertical adaptation measures in Tuvalu are deemed feasible and incorporated into local policy or development plans.*	***Assumption**: The local stakeholders are willing to engage and collaborate in the assessment process actively and are open to considering and implementing new adaptation measures.* ***Risk**: There is a risk of limited financial resources and capacity within the local government or organizations to implement the identified vertical adaptation measures, which may hinder their incorporation into local policy or development plans.*

[1] It is recommended that projects use output indicators from the Strategic Plan IRRF, as relevant, in addition to project-specific results indicators. Indicators should be disaggregated by sex or for other targeted groups where relevant.

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VI. MONITORING AND EVALUATION

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans: *[Note: monitoring and evaluation plans should be adapted to project context, as needed]*

Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	Progress data against the results indicators in the Results and Resource framework (RRF) will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly, or in the frequency required for each indicator.	If delays are identified, then causes will be analysed and corrective actions put in place by PMU GOT and donor partners receive monthly updates and details of any proposed actions to address delays.		
Track construction plan progress	Progress data against the construction plan targets will be monitored, tracked, reported in the monthly update activity report	Monthly	If delays identified, then causes will be analysed and corrective actions put in place by PMU. GOT and donor partners receive monthly updates and details of any proposed actions to address delays.		
Monitor and Manage Risk	• Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. Ensure quality risks statement entered and monitored in Quantum.	monthly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.		

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Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
	• Track and report Social, Environmental Screening Management Action plan implementation progress • Audits will be conducted in accordance with UNDP's audit policy to manage financial risk. Any grievances raised by the communities or key stakeholders will be managed through the grievance's mechanism in place for the project				
Learn	Knowledge, good practices, and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.		
Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Every other year	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.		
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.		
Project Report	A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period.	Quarterly, Annually, and at the end of the project (final report)			

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Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Project Review (Project Board)	The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	Specify frequency (i.e., at least annually)	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.		

Evaluation Plan[5]

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNSDCF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
Mid-Term Evaluation	N/A	Output 1.4: Scaled-up action on climate change adaptation and mitigation across sectors, which is found and implemented	Outcome area 1: Environmental management climate change and disaster risk management	01 July 2025	UNDP Management, RBH and Donors	30,000
Terminal Evaluation	N/A			01 July 2026	UNDP Management, RBH and Donors	40,000

[5] Optional, if needed

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VII. MULTI-YEAR WORK PLAN [67]

All anticipated programmatic and operational costs to support the project, including development effectiveness and implementation support arrangements, need to be identified, estimated, and fully costed in the project budget under the relevant output(s). This includes activities that directly support the project, such as communication, human resources, procurement, finance, audit, policy advisory, quality assurance, reporting, management, etc. All services which are directly related to the project need to be disclosed transparently in the project document.

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year ($)			RESPONSIBLE PARTY	PLANNED BUDGET		
		Y1	Y2	Y3		Funding Source	Budget Description	Amount ($)
Output 1: *Construction of coastal protection infrastructure covering 800 m of vulnerable Fogafale shoreline, comprising reclamation of approximately 8 ha,*	**Activity 1.1:** Coastal protection design and Safeguards reports developed using gender and disabiliy analysis	234,400	-	-	UNDP	DFAT	71200-International Consultants	234,400
		13,860	-	-	UNDP	DFAT	71600-Travel	13,860
	Activity 1.2: Coastal protection measures implemented ensuring gender and disability responsiveness	5,444,515	5,333,547	-	UNDP	DFAT	72100-Contractual Services-Companies	10,778,062
		1,735,429	751,186	-	UNDP	MFAT	72100-Contractual Services-Companies	2,486,615

[6] Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

[7] Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

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Gender marker: GEN-2		96,000	120,000	40,000	UNDP	DFAT	71200-International Consultants	256,000
		52,320	65,640	21,240	UNDP	DFAT	71600-Travel	139,200
		323,342	6,000	3,000	UNDP	MFAT	74500-Professional Services	332,342
	Sub-Total for Output 1	**7,899,866**	**6,276,373**	**64,240**				**14,240,478**
Output 2*: Building of capacity of Tuvalu government and civil society organizations* *Gender marker: GEN-2*	**Activity 2.1**: Undertaking Coral transplanting (EBA)	20,000	-	-	UNDP	MFAT	71200-International Consultants	20,000
		5,000	-	-	UNDP	MFAT	71600-Travel	5,000
		50,000	120,000	-	UNDP	MFAT	72100-Contractual Services-Companies	170,000
		20,000	-	-	UNDP	MFAT	72200-Equipment and Furniture	20,000
	Activity 2.2: Enhancing Land Use Planning Capacities	-	24,000	-	UNDP	MFAT	71200-International Consultants	24,000
		-	7,500	-	UNDP	MFAT	71600-Travel	7,500
		-	15,000	-	UNDP	MFAT	75700-Training, Workshops and Confer	15,000

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		-	2,000	-	UNDP	MFAT	74500-Miscellaneous Expenses	2,000
	2.3 Activity: Technical capacity, knowledge and awareness strengthened for monitoring, protection and maintenance of coastal protection infrastructure (integrating gender,disability and social inclusion representation together with Protection from Sexual Exploitation and Abuse)	24,000	48,000	-	UNDP	MFAT	71200-International Consultants	72,000
		7,800	15,600	-	UNDP	MFAT	71600-Travel	23,400
		-	80,000	-	UNDP	MFAT	72100-Contractual Services-Companies	80,000
		-	20,000	-	UNDP	MFAT	72200-Equipment and Furniture	20,000
		3,000	6,000	-	UNDP	MFAT	74500-Miscellaneous Expenses	9,000
	Sub-Total for Output 2	**129,800**	**338,100**	**-**				**467,900**
Output 3: Enhanced knowledge of policy and social conditions required for vertical adaptation in atoll nations like Tuvalu	**3.1 Activity**: Conduct a review of existing policies and strategies related to vertical adaptation for atoll nations, focusing on Tuvalu	-	48,000	-	UNDP	DFAT	71200-International Consultants	48,000
		-	8,800	-	UNDP	MFAT	71600-Travel	8,800
		-	30,000	-	UNDP	MFAT	75700-Training, Workshops and Confer	30,000

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Gender marker: GEN2	**3.2 Activity**: Collaborate with local stakeholders to assess the feasibility of implementing vertical adaptation measures in Tuvalu (including gender and disability perspectives)	-	14,000	-	UNDP	MFAT	72400-Communic & Audio Visual Equip	14,000
		-	60,000	-	UNDP	MFAT	72100-Contractual Services-Companies	60,000
		-	4,000	-	UNDP	MFAT	74500-Miscellaneous Expenses	4,000
	Sub-Total for Output 3	**-**	**164,800**	**-**				**164,800**
Project Management Cost	Project Management Cost	91,631	131,865	173,978	UNDP	DFAT	61300-Salary IP staff	397,473
		79,863	159,726	79,863	UNDP	DFAT	61100-Salary NP staff	319,452
		50,000	50,000	25,000	UNDP	DFAT	72100-Contractual Services-Companies	125,000
		20,000	50,000	40,000	UNDP	DFAT	74100-Professional Services	110,000
		6,000	6,000	3,000	UNDP	DFAT	72400-Communic & Audio Visual Equip	15,000
		1,200	1,200	600	UNDP	DFAT	72500-Supplies	3,000

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		2,400	2,400	1,200	UNDP	DFAT	74500-Miscellaneous Expenses	6,000
		4,000	4,000	2,000	UNDP	DFAT	73100-Rental & Maintenance-Premises	10,000
		4,000	4,000	2,000	UNDP	DFAT	75700-Training, Workshops and Confer	10,000
		2,000	2,000	1,000	UNDP	DFAT	72500-Supplies	5,000
		30,000	40,000	20,000	UNDP	DFAT	71600-Travel	90,000
		12,000	12,000	6,000	UNDP	DFAT	74596-Services to Projects - GOEs	30,000
		24,000	24,000	12,000	UNDP	DFAT	64300-Staff Mgmt Costs - IP Staff	60,000
		5,000	5,000	2,500	UNDP	MFAT	74596-Services to Projects - GOEs	12,500
		7,000	7,000	3,500	UNDP	MFAT	64300-Staff Mgmt Costs - IP Staff	17,500
Total budget for PMC		**339,094**	**499,191**	**372,641**				**1,210,926**

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Sub-total (output 1,2,3PMC)		**8,368,760**	**7,280,984**	**446,165**				**16,095,909**
1% UN Levy	DFAT	136,625	-	-				136,625
8% GMS	DFAT	493,455	484,350	34,230			75100 - GMS	1,012,036
1% UN Levy	MFAT	37,083	-	-				37,083
8% GMS	MFAT	176,046	97,927	720			75100 - GMS	274,693
GRAND TOTAL		**9,211,969**	**7,860,741**	**471,831**				**17,544,541**

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VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

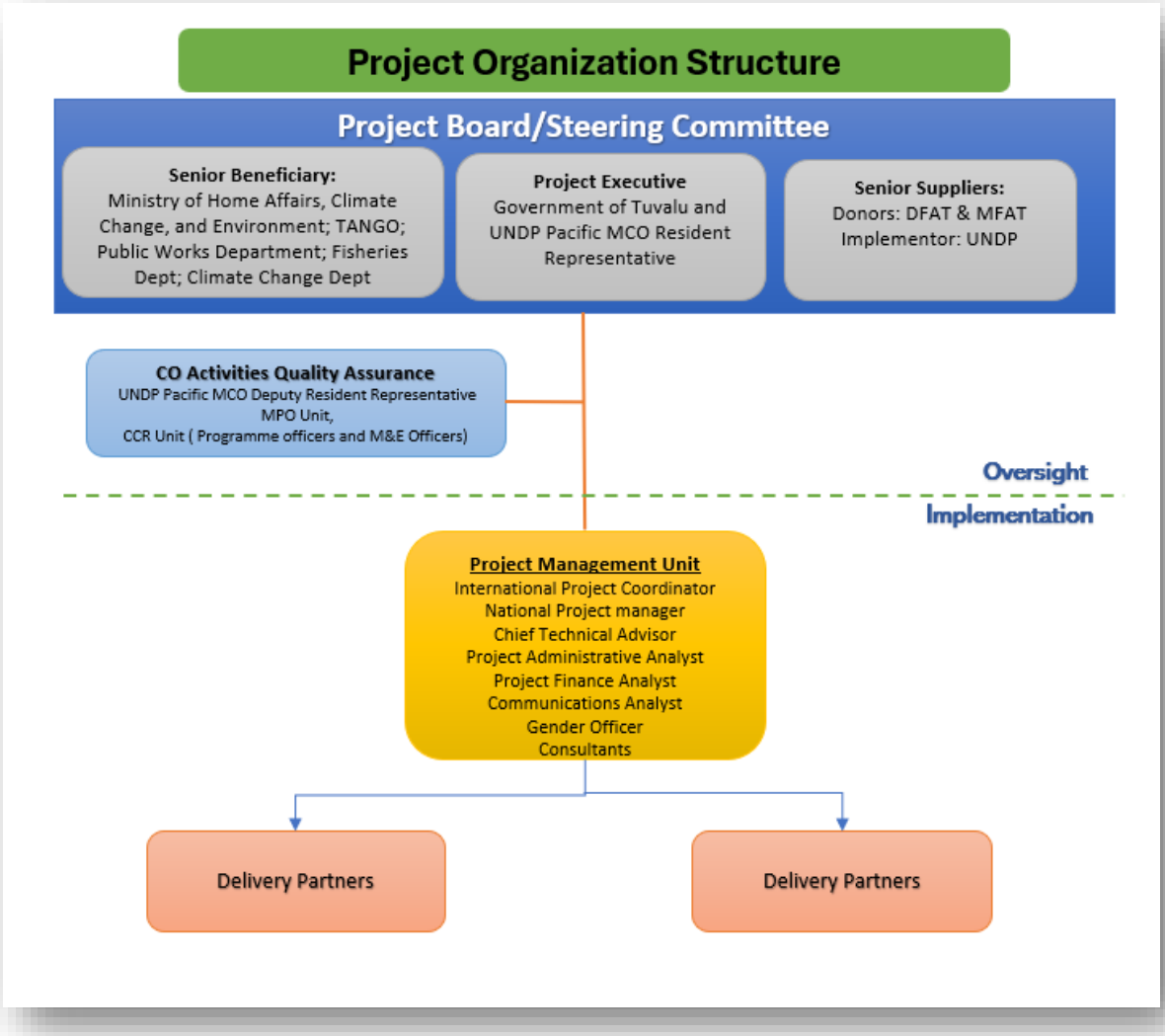
The project will be implemented following UNDP's Direct Implementation Modality (DIM) at the request of the Government of Tuvalu, the Australian Department of Foreign Affairs and Trade (DFAT) and New Zealand Ministry of Foreign Affairs and Trade (MFAT).

The **Implementing Partner** for this project is UNDP. UNDP will establish a Project Management Unit for the Implementation of the project. UNDP PMU is responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP resources. The Implementing Partner is responsible for:

- Approving and signing the multiyear work plan.
- Approving and signing the combined delivery report at the end of the year; and,
- Signing the financial report or the funding authorization and certificate of expenditures.

In view of the national ownership and building the national capacity, these responsibilities will be fulfilled by UNDP in close collaboration with the Government of Tuvalu.

The project organisation structure is as follows:



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Project Board:

The **Project Board** (also called Project Steering Committee) is responsible for making, by consensus, management decisions when guidance is required by the National Project Manager, including recommendations for UNDP/Implementing Partner approval of project plans and revisions. The Project Board will be co-chaired by UNDP's Resident Representative or his/her deputy and the senior representative from the relevant government (Tuvalu) ministry. The PB is comprised of the OPM, DoE, PWD, DLS, DRD, MoE and a representative from the NGO association (TANGO) and Tuvalu Council of Women. To ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. In case a consensus cannot be reached within the Board, the final decision shall rest with the UNDP Resident Representative.

Specific responsibilities of the Project Board include:

- Meet twice a year to provide overall guidance and direction to the project, ensuring it remains within any specified constraints.
- Address project issues as raised by the National Project Manager.
- Provide guidance on new project risks and agree on possible countermeasures and management actions to address specific risks.
- Agree on National Project Manager's tolerances as required.
- Review the project progress and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans.
- Appraise the annual project implementation report, including the quality assessment rating report; make recommendations for the workplan.
- Provide ad hoc direction and advice for exceptional situations when the National Project Manager's tolerances are exceeded; and
- Assess and decide to proceed on project changes through appropriate revisions.

The composition of the Project Board must include the following roles:

Executive:

The Executive is an individual who represents ownership of the project and will chair the Project Board. A representative from the Government Cooperating Agency or UNDP can hold this role. The Executive is Tuvalu's Department of Rural Development (DRD) and the UNDP Resident Representative.

The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher-level outcomes. The executive must ensure that the project gives value for money, ensuring a cost-conscious approach to the project and balancing the demands of the beneficiary and supplier.

Specific Responsibilities: (as part of the above responsibilities for the Project Board)

- Ensure that there is a coherent project organisation structure and logical set of plans;
- Set tolerances in the AWP and other plans as required for the National Project Manager;
- Monitor and control the progress of the project at a strategic level;
- Ensure that risks are being tracked and mitigated as effectively as possible;
- Brief relevant stakeholders about project progress;
- Organise and chair Project Board meetings.

Senior Supplier:

The Senior Supplier is an individual or group representing the interests of the parties concerned that provides funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Supplier's primary function within the Board is to provide guidance regarding the project's technical feasibility. The Senior Supplier role must have the authority to commit or acquire supplier resources required. If necessary, more than one person may be required for this role. Typically, the implementing partner, UNDP and/or donor(s) would be

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represented under this role. The Senior Suppler comprises of UNDP as implementing partner and role of oversight with DFAT and MFAT as Donors.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Make sure that progress towards the outputs remains consistent from the supplier perspective;
- Promote and maintain focus on the expected project output(s) from the point of view of supplier management;
- Ensure that the supplier resources required for the project are made available;
- Contribute supplier opinions on Project Board decisions on whether to implement recommendations on proposed changes;
- Arbitrate on, and ensure the resolution of any supplier priority or resource conflicts.

Senior Beneficiary:

The Senior Beneficiary is an individual or group of individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board is to ensure the realization of project results from the perspective of project beneficiaries. A representative of the government or civil society holds the Senior Beneficiary role. The Senior Beneficiary is the Department of Rural Development (DRD) and TANGO. The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. The Senior Beneficiary role monitors progress against targets and quality criteria. This role may require more than one person to cover all the beneficiary interests. For the sake of effectiveness, the role should not be split between too many people.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Prioritize and contribute beneficiaries' opinions on Project Board decisions on whether to implement recommendations on proposed changes;
- Specification of the Beneficiary's needs is accurate, complete and unambiguous;
- Implementation of activities at all stages is monitored to ensure that they will meet the beneficiary's needs and are progressing towards that target;
- The impact of potential changes is evaluated from the beneficiary's point of view;
- Risks to the beneficiaries are frequently monitored.

National Project Manager (NPM) and International Project Coordinator (IPC):

The National Project Manager (NPM) and International Project Coordinator (IPC) has the authority to run the project on a day-to-day basis on behalf of the Project Board within the constraints laid down by the Board. The NPM is responsible for day-to-day management and decision-making for the project. NPM's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost. IPC's overarching coordinating role will be to ensure all aspects of the Project are progressed in accordance with the Approved Funding Proposal and international best practice. The position will also supervise, support, and train the TCAP PMU personnel, coordinate short-term contracting and provide oversight across all management and implementation tasks.

The Implementing Partner appoints the NPM and IPC, who should be different from the Implementing Partner's representative in the Project Board

Specific responsibilities include:

- Provide direction and guidance to project team(s)/ responsible party (ies);
- Liaise with the Project Board to ensure the overall direction and integrity of the project.
- Identify and obtain any support and advice required for the management, planning and control of the project.
- Responsible for project administration.
- Plan the activities of the project and monitor progress against the project results framework and the approved annual work plan;

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- Mobilize personnel, goods and services, training and micro-capital grants to initiative activities, including drafting terms of reference and work specifications and overseeing all contractors' work;
- Monitor events as determined in the project monitoring schedule plan/timetable, and update the plan as required;
- Manage requests for the provision of financial resources by UNDP, through advance of funds, direct payments or reimbursement using the fund authorization and certificate of expenditures;
- Monitor financial resources and accounting to ensure the accuracy and reliability of financial reports;
- Be responsible for preparing and submitting financial reports to UNDP on a quarterly basis;
- Manage and monitor the project risks initially identified and submit new risks to the project board for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks log;
- Capture lessons learned during project implementation;
- Prepare the annual work plan for the following year and update the Quantum Project Management module if external access is made available.
- Prepare the Annual Project Report and submit the final report to the Project Board;
- Based on the Annual Project Report and the Project Board review, prepare the AWP for the following year.
- Ensure the mid-term review process is undertaken as per the UNDP guidance and submit the final MTR report to the Project Board.
- Identify follow-on actions and submit them for consideration to the Project Board;
- Ensure the terminal evaluation process is undertaken as per the UNDP guidance and submit the final TE report to the Project Board;

Project Assurance:

UNDP provides a three – tier supervision, oversight, and quality assurance role – funded by the agency fee – involving UNDP staff in Country Offices and at regional and headquarters levels. Project Assurance must be totally independent of the Project Management function. The quality assurance role supports the Project Board and Project Management Unit by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. The Project Board cannot delegate any of its quality assurance responsibilities to the International Project Coordinator and Project Manager.

Project Management Unit:

The UNDP Project Management Unit (PMU) will comprise of a group of project-financed staff and will be the same PMU currently on TCAP. The PMU will be responsible for supporting the PM in carrying out day-to-day activities of the project, the overall operational and financial management, and liaison with relevant stakeholders for the project. The PMU in Tuvalu will be located within the Climate Change Department. The PMU comprises of the following positions:

Funafuti-based

- **International Project Coordinator:** the Project Coordinator (international) is expected to take an overarching coordinating role ensuring all aspects of the Project are progressed in accordance with the Approved Funding Proposal and international best practice. The position will also supervise, support, and train the TCAP PMU personnel, coordinate short-term contracting and provide oversight across all management and implementation tasks. S/he also liaises closely with UNDP CO Programme and Operations Teams and maintains effective working relationships with project donors and other partners.

- **National Project Manager:** responsible for day-to-day management and decision-making for the project. NPM's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost.

- Gender and Social Development Officer: responsible for ensuring that gender and other socially vulnerable group needs are considered throughout project. Officer will be a focal point for community and be actively involved

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in day to day consultation, engagement, social mapping and including development, implementation and monitoring of GASP, with Gender Equality, Disability and Social Inclusion (GEDSI). Cultural and linguistic connection to country is key attribute of role.

-

- **Project Administrative Analyst:** the Project Administrative Analyst will assist the PM to ensure effective execution of administrative, procurement and financial services and processes in Project and transparent utilization of its financial and physical resources. The Project Administrative Analyst is also responsible for working closely together the Finance Analyst based in the Suva CCR Unit Office in maintaining the project accounting system.

Pacific Office-based

- **Project Finance Analyst:** the Finance Officer is responsible for setting up and maintaining the project accounting system, monitor quarterly and activity-wise expenditures vis-à-vis Annual Work Plan, prepare budget revision, process payment requests, update financial plans, and prepare status reports and other financial reports. The Finance Officer is also responsible for the financial management of the project including the overall budget expenditures according to the Project Document, advising the Government, PMU and UNDP on the need for budget revision and/or off-track activities, and presenting financial analysis at Project Board meetings.

- **Communications Analyst:** The Communications Specialist is responsible for internal and external communications for the project including periodic update and dissemination of results achieved, synthesis and analysis of lessons learned, and production of various communication materials such as videos, photo stories, blog articles, etc.

- **Chief Technical Advisor**: The CTA is responsible for bringing in international best practices to the implementation of the project and train the technical personnel in the PMU. The CTA will be an international staff under UNDP contract. CTA will be hired for the duration of the project. While the CTA will be based in Fiji, he/she is expected to spend 30% of time in Funafuti.

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IX. LEGAL CONTEXT

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of Tuvalu and UNDP, signed on 16 January 1979. All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

This project will be implemented by UNDP ("Implementing Partner") in accordance with its financial regulations, rules, practices, and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

X. RISK MANAGEMENT

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the [project funds][8] [UNDP funds received pursuant to the Project Document][9] are used to provide support to individuals or entities associated with terrorism , that the recipients of any amounts provided by UNDP hereunder do not appear on the United Nations Security Council Consolidated Sanctions List, and that no UNDP funds received pursuant to the Project Document are used for money laundering activities. The United Nations Security Council Consolidated Sanctions List can be accessed via https://www.un.org/securitycouncil/content/un-sc-consolidated-list. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (http://www.undp.org/ses) and related Accountability Mechanism (http://www.undp.org/secu-srm).
4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. In the implementation of the activities under this Project Document, UNDP as the Implementing Partner will handle any sexual exploitation and abuse ("SEA") and sexual harassment ("SH") allegations in accordance with its regulations, rules, policies and procedures.
6. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
7. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor, and sub-recipient:
    a. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of each responsible party, subcontractor and sub-

[8] To be used where UNDP is the Implementing Partner

[9] To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

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recipient and its personnel and property, and of UNDP's property in such responsible party's, subcontractor's and sub-recipient's custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:

b. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;

c. assume all risks and liabilities related to such responsible party's, subcontractor's and sub-recipient's security, and the full implementation of the security plan.

d. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible party's, subcontractor's, and sub-recipient's obligations under this Project Document.

e. Each responsible party, subcontractor and sub-recipient (each a "sub-party" and together "sub-parties") acknowledges and agrees that UNDP will not tolerate sexual harassment and sexual exploitation and abuse of anyone by the sub-parties, and other entities involved in Project implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Document.

(a) In the implementation of the activities under this Project Document, each sub-party shall comply with the standards of conduct set forth in the Secretary General's Bulletin ST/SGB/2003/13 of 9 October 2003, concerning "Special measures for protection from sexual exploitation and sexual abuse" ("SEA").

(b) Moreover, and without limitation to the application of other regulations, rules, policies and procedures bearing upon the performance of the activities under this Project Document, in the implementation of activities, each sub-party, shall not engage in any form of sexual harassment ("SH"). SH is defined as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment. SH may occur in the workplace or in connection with work. While typically involving a pattern of conduct, SH may take the form of a single incident. In assessing the reasonableness of expectations or perceptions, the perspective of the person who is the target of the conduct shall be considered.

f. In the performance of the activities under this Project Document, each sub-party shall (with respect to its own activities) and shall require from its sub-parties (with respect to their activities) that they, have minimum standards and procedures in place, or a plan to develop and/or improve such standards and procedures in order to be able to take effective preventive and investigative action. These should include: policies on sexual harassment and sexual exploitation and abuse; policies on whistleblowing/protection against retaliation; and complaints, disciplinary and investigative mechanisms. In line with this, sub-parties will and will require that their respective sub-parties will take all appropriate measures to:

(i) Prevent its employees, agents or any other persons engaged to perform any services under this Project Document, from engaging in SH or SEA;

(ii) Offer employees and associated personnel training on prevention and response to SH and SEA, where sub-parties have not put in place its own training regarding the prevention of SH and SEA, sub-parties may use the training material available at UNDP;

(iii) Report and monitor allegations of SH and SEA of which any of the sub-parties have been informed or have otherwise become aware, and status thereof;

(iv) Refer victims/survivors of SH and SEA to safe and confidential victim assistance; and

(v) Promptly and confidentially record and investigate any allegations credible enough to warrant an investigation of SH or SEA. Each sub-party shall advise UNDP of any such allegations received and investigations being conducted by

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itself or any of its sub-parties with respect to their activities under the Project Document, and shall keep UNDP informed during the investigation by it or any of such sub-parties, to the extent that such notification (i) does not jeopardize the conduct of the investigation, including but not limited to the safety or security of persons, and/or (ii) is not in contravention of any laws applicable to it. Following the investigation, the relevant sub-party shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.

g. Each sub-party shall establish that it has complied with the foregoing, to the satisfaction of UNDP, when requested by UNDP or any party acting on its behalf to provide such confirmation. Failure of the relevant sub-party to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.

h. Each responsible party, subcontractor and sub-recipient will ensure that any project activities undertaken by them will be implemented in a manner consistent with the UNDP Social and Environmental Standards and shall ensure that any incidents or issues of non-compliance shall be reported to UNDP in accordance with UNDP Social and Environmental Standards.

i. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud, corruption or other financial irregularities, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption, anti-fraud and anti money laundering and countering the financing of terrorism policies are in place and enforced for all funding received from or through UNDP.

j. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices (b) UNDP Anti-Money Laundering and Countering the Financing of Terrorism Policy; and (c) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.

k. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.

l. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud, corruption other financial irregularities with due confidentiality.

Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

m. Choose one of the three following options:

Option 1: UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud corruption, other financial irregularities or otherwise paid other than in accordance with the terms and conditions of this Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail any responsible party's, subcontractor's or sub-recipient's obligations under this Project Document.

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Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud, corruption or other financial irregularities, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

n. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.

o. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.

p. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled "Risk Management Standard Clauses" are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.

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XI. ANNEXES

Annex 1: Theory of Change

Annex 2: Project Quality Assurance Report

Annex 3: Social and Environmental Screening Template

Annex 4: Project Risk Analysis.

Annex 5: Capacity Assessment: Results of capacity assessments of Implementing Partner (including Partner Capacity Assessment Tool (PCAT) and HACT Micro Assessment)

Annex 6: Project Board Terms of Reference and TORs of key management positions.

Annex 7: Stakeholder Engagement Plan & Grievance Redress Mechanism (SEP & GRM) – link here

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Annex 1: Theory of Change

If coastal protection infrastructure is implemented along approximately 800 meters of the vulnerable southern lagoon shoreline of Fongafale Island in Funafuti, including the provision of approximately 8 hectares of new safe raised land (reclamation), and if the capacity of Tuvalu government and civil society organizations is built in aspects of coastal protection works, mitigation of impacts, and planning and implementation, along with policy and strategic analytical studies being undertaken that demonstrate the feasibility of vertical adaptation. Then the immediate shoreline will be more resilient to the adverse impacts of wave overtopping and shoreline erosion, safeguarding the infrastructure and livelihoods of the local population. Additionally, the increased capacity of local government and civil society organizations will ensure sustainable management and maintenance of the coastal protection measures, enhancing long-term resilience to climate change impacts. Furthermore, the successful demonstration of vertical adaptation strategies through policy and strategic studies will provide a replicable model for other atoll nations facing similar threats from rising sea levels, promoting broader regional and global adaptation efforts.

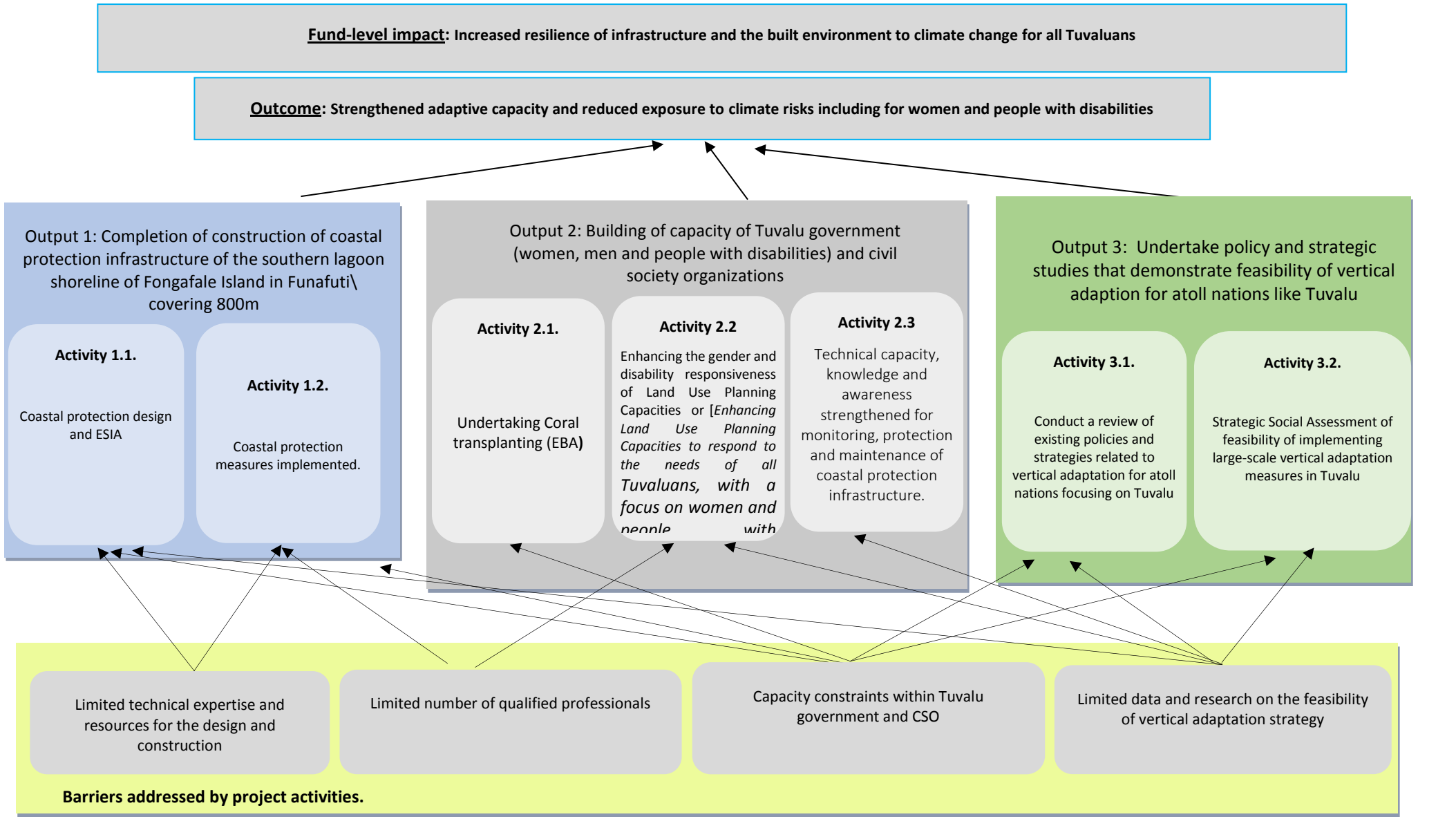
Assumptions:

- That the constructed coastal protection infrastructure will perform as expected under the conditions of rising sea levels and increased storm intensity.
- That there is ongoing political and community support for the implementation and maintenance of the project.
- That the capacity building for government and civil society organizations leads to effective management and advocacy for coastal protection.
- That the findings from policy and strategic studies are actionable and lead to the adoption of vertical adaptation strategies by Tuvalu and other atoll nations.

Risks:

- Potential underestimation of future sea-level rise and storm intensity could lead to insufficient protective measures.
- Changes in political or community support could impact project sustainability.
    - External economic factors could limit the availability of funding for ongoing maintenance and future adaptation projects.

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ANNEX 2: Project Quality Assurance Report

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ANNEX 2: : Social and Environmental Screening Template

SOCIAL AND ENVIRONMENTAL SCREENING TEMPLATE (2021 SESP TEMPLATE, VERSION 1)

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document at the design stage. Note: this template will be converted into an online tool. The online version will guide users through the process and will embed relevant guidance.

Project Information

Project Information	
1. Project Title	Tuvalu Coastal Adaptation Project 2
2. Project Number (i.e. Atlas project ID, PIMS+)	01001604
3. Location (Global/Region/Country)	Tuvalu
4. Project stage (Design or Implementation)	Design
5. Date	10/11/23

Part A. Integrating Programming Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?
Briefly describe in the space below how the project mainstreams the human rights-based approach
The project will uphold basic human rights by:

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- Realizing a project concept and development goal developed by the representatives of Tuvalu – the Government has initiated the project based on the strong community interest and desire for flood-free safe land in Funafuti.
- Providing coastal protection and adaptations that will improve the long-term resilience of the Funafuti to coastal flooding, which without human habitation will ultimately become untenable, thus depriving people of the right to safety and somewhere to live.
- The project will utilise the traditional and legal leadership structures as well as direct community engagement to involve the beneficiaries in the project. The project also has a Grievance Redress Mechanism, ensuring that the right to opinion is maintained and able to be exercised. The GRM contains mechanisms for maintaining the privacy of complainants if requested.
- The project applies the principal of equality and freedom of discrimination to all its activities. The project will draw upon the existing Gender Action Plan that has been prepared for TCAP to help ensure gender equity (refer below).
- Through the application of the Environmental and Social Management Plan the impacts of the project will be minimized, ensuring that the right to a healthy environment is maintained, livelihoods are not adversely impacted, and safety and personal security are enhanced.
- Monitoring and evaluation will be carried out to assess the effectiveness of the various plans. Where appropriate recommendations for updates or improvements will be made.

Briefly describe in the space below how the project is likely to improve gender equality and women's empowerment

The project will draw upon and adapt the existing TCAP Gender Strategy and Action Plan (GSAP).

The project is expected to bring a range of gender-responsive development impacts:

Women will be actively engaged in discussions and decisions related to design, functionality and maintenance of TCAP2.

- TCAP2 will provide additional employment opportunities for women and youth
- The project seek to engage with families, particularly children, regarding the potential hazards associated with construction projects
- As with TCAP, TCAP2 will provide additional space for the communities of Funafuti to work, live and play.
- Upon completion of the project, the land provided will provide further safe land that has been designed to be above sea level rise and storm surge levels, therefore women (who are particularly vulnerable to natural disasters) will be key beneficiaries.

The project has developed a Gender Action Plan to help mainstream gender equity throughout the project. The implementation and effectiveness of the GSAP will be monitored and evaluated by UNDP.

Briefly describe in the space below how the project mainstreams sustainability and resilience

The purpose of the physical interventions is to enhance the long-term sustainability and resilience of the island. The materials selected for the physical interventions are predominantly locally sourced.

Following on from TCAP, the GoT and Funafuti Kaupule have developed and promoted the TCAP2 concept. The community now have a better understanding of climate change, planning, construction and environmental management as a result of the previous project and will demand equal if not better performance from TCAP2. This means they will hold authorities, contractors and each other to account.

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An ESIA and ESMP will be prepared and be made public. By clearly enunciating the intended social and environmental management measures, and demonstrating (yet again) good industry practice, it will assist to imbed expectations and improve implementation of other island community projects. The Contractor will also be required to prepare a Construction Management Plan and associated social/environmental sub-plans in line with and to complement the overall project ESMP. Capacity building activities will reinforce sustainable practices in designing, building, monitoring and maintaining the coastal defences. Activities 2.1 and 2.3, involving EBA and land use planning, will provide a model for as well as the knowledge and skills to replicate such activities elsewhere within Tuvalu. A detailed monitoring and evaluation tracking tool will help monitor the effective implementation of these plans. Project sites monitoring and validation will be conducted by UNDP to ascertain progress on the ground.
Briefly describe in the space below how the project strengthens accountability to stakeholders
Stakeholders are consulted on matters that directly affect them, especially in relation to the project. The consultations will follow the principle of obtaining free, prior, and informed consent (FPIC) from communities and men and women as stated in UNDP policy. Consulting stakeholders also enables the project to gain a greater understanding from stakeholders of their views, capabilities, needs and concerns. The results of consultations will be incorporated into the ESIA and ESMP and be publicly available.

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The project is complying with the law and assisting agencies meet their own obligations, particularly with regard to notifications and provision of opportunities for community comment/engagement.

The Stakeholder Management Plan will be in place and shared with the public so that communities can be clear on what to expect from the project in terms of communication and interactions. A Grievance Redress Mechanism is in place to ensure that stakeholders have an avenue for asking for additional information, or raising concerns about the project.

As with TCAP, TCAP2 will continue to make public key information as required by UNDP SES. A sub-page will be created for TCAP2 under the existing TCAP website where information about TCAP2 can be posted. Safeguards related information will also be posted on the UNDP Transparency Portal.

Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (http://www.undp.org/ses) and related Accountability Mechanism (http://www.undp.org/secu-srm). MEIDECC as Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism.

UNDP will guarantee the quality management of development finance as well as M&E and reporting on project implementation. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

The Project Board is responsible for taking corrective action as needed to ensure the project achieves the desired results. In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition.

The Project Manager will also ensure that all project staff maintain a high level of transparency, responsibility and accountability in monitoring and reporting project results

All stakeholders have been actively engaged from the project design phase so that they are empowered to engage in implementation and monitoring. This will also enable them to request accountability and raise grievances if necessary. Validation of all plans and designs by all stakeholders including community representatives, as requested by UNDP SES Policy, and availability of all key information (including SEP and GAP summaries) in languages understood by these representatives, will be done.

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Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? *Note: Complete SESP Attachment 1 before responding to Question 2.*	**QUESTION 3: What is the level of significance of the potential social and environmental risks?** *Note: Respond to Questions 4 and 5below before proceeding to Question 5*			**QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High**
Risk Description ***(broken down by event, cause, impact)***	***Impact and Likelihood (1-5)***	***Significance*** ***(Low, Moderate Substantial, High)***	***Comments (optional)***	***Description of assessment and management measures for risks rated as Moderate, Substantial or High***
Risk 1: There is a risk that stakeholders may have concerns about the project that they wish to voice or complaints they wish to make. Principles: P6 and P14 Standards:	I = 3 L = 3	**Moderate**	TCAP2 is effectively an extension of TCAP, which has been ongoing for years. Recent completion of the TCAP reclamation in Funafuti has enabled the community to experience first hand the possible impacts and benefits of reclamation projects. TCAP2 is likely to result in less initial concerns as process is now understood by communities. However, engagement during the	Implement SEP and GRM Continue to communicate regularly with community. Through public disclosure of key documents and reporting on key project activities, accountability to stakeholders is enhanced.

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			project is expected to be higher as relationships are now well established and stakeholders used to expressing opinions.	
Risk 2: The project could exacerbate the risks of gender-based violence due to increased number of construction workers (including women), and possible spending habits. Principle: P12	I = 3 L = 2	**Moderate**		Contractor Code of Conduct GAP SEP. Update GRM to include specific procedures for GBV/SEAH.
Risk 3: Potential to impact marine habitats, eg loss of habitat and/or changes to hydrodynamic processes, due to construction of the reclamation, harvesting coral for relocation/transplanting. Standards: 1.1, 3.1 and 3.2	I = 4 L = 4	**Substantial**	The key works that have the potential to impact habitats are dredging and reclamation. Long-term impacts associated with dredge pits are unknown.	ESIA ESMP to be prepared based on findings of ESIA Long-term dredge pit monitoring plan Additional plans that will be prepared include Contractor Dredge Management Plan; Sampling and Analysis Plan, Spill Response Plan and Erosion Drainage Sediment Control Plan**.**
Risk 4: Terrestrial and marine noise associated with construction machinery. This can impact on local communities and marine and terrestrial fauna using the adjacent area. Standard: 3.1, 3.2	I = 2 L = 3	**Moderate**	Experience on TCAP shows that while some construction noise is inevitable, with appropriate management, including consultation, the impacts are acceptable.	ESIA ESMP includes noise mitigation measures. Contractor's construction management plan (and sub-plans) to include noise minimization/abatement based on specific equipment and works program. SEP GRM

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Risk 5: Project area is subject to risks associated with natural hazards such as cyclones, storm surge, and climate change ie increased sea level rise. Standard: 2.1 and 2.2	I = 4 L = 2	**Moderate**	Project and design of interventions is in response to climate change and therefore takes predictions into account Cyclone moorings for dredge are in place	Modelling undertaken to provide inputs to design. Emergency response plans
Risk 6: Worker and community safety risks associated with construction and UXO Standards: 3.1, 7.6	I = 3 L = 4	**Moderate**	All construction work involves some inherent risk e.g., manual labour, use of heavy machinery. Revetment construction and coral transplanting will involve in-water work, so extra attention needs to be paid to potential safety risks. Due to role in WWII as US base there is potential for UXO to occur in the lagoon. Limited UXO was encountered during TCAP and UXO mitigation measures proven effective.	ESMP and CESMPs (and associated sub-plans) SEP to inform community of construction activities. Construction workers to be appropriately trained for jobs. OHS plans to be in place and implemented (including provision/use of appropriate PPE) Implement UXO mitigation measures prior to any excavation
Risk 7: Use of vessels, machinery and storage of fuels creates potential for spills.	I = 3 L = 2	**Moderate**		ESMP to include mitigation measures.

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Standards: 3.5, 7.6, 8.1				CESMPs to be developed by contractors to detail equipment and site-specific risks and mitigation measures. Emergency Response plan Spill Response Plan (and provision of appropriate equipment)
Risk 8: Project involves excavation therefore there is the potential for chance cultural heritage finds. Standard: 4.2	I = 2 L =3	**Low**	Heritage in the form of UXO most likely find	ESMP – chance finds procedure (and application of UXO mitigation measures).
Risk 9: The reclamation will change the access to lagoon – current beach will abut land and new shoreline will be a series of 'steps' rather than a beach. The reclamation will mean that boat owners who currently pull their boats up onto the beach will need to use somewhere else in future. Principle: P6 and P14 Standard: 5.4	I = 2 L =4	**Moderate**	Design is likely to include a new small boat harbour) Consider inclusion of offshore mooring points to offset loss of beach for boat users.	ESIA to assess potential impacts on beach users, including boat owners. Implement SEP and GRM. Specific consultation with boat owners and incorporation of needs into any harbour design.
Risk 10 – The population of Tuvalu are considered indigenous*; therefore, the proposed project will impact indigenous peoples.	I = 4 L = 2	**Moderate**	While almost all Tuvaluans can be considered indigenous, there are no minority groups in the project	ESIA - potential risks to the communities of Funafuti will be assessed, as almost all the population of Tuvalu can be considered indigenous this means that the risks to indigenous peoples will also be assessed.

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The risk is that this impact could be adverse. *Dec 2020 UN guidance note clarifies treatment of 'whole of population' Ips. Standard 6: 6.1, 6.2, 6.3 and 6.5.			area, therefore there are not specific impacts related only to indigenous groups that might otherwise be overlooked. Development of the project by the Government was done in consultation with and approval of the Funafuti Falekaupule.	The ESIA, ESMP and the SEP/GRM, along with other project processes and documentation can enable the project to meet the objectives of Standard 6, that is: ○ Recognize and fostering full respect for indigenous peoples' human rights ○ Be designed in a spirit of partnership with full and effective participation ○ Be undertaken with free, prior, and informed consent where rights, lands, resources, and traditional livelihoods may be affected ○ Promote greater control and management by indigenous peoples over developments ○ Avoid adverse impacts and ensure equitable and culturally appropriate benefits and opportunities. Therefore a separate IPPF/P is not considered to be required, rather the requirements of the standard can be integrated in the ESMP and SEP.
Risk 11: Changes in land use due to project activities could impact historic users or result in complaints. Standard: 5.4	I = 3 L = 3	**Moderate**	The creation of new land result in changes in land/lagoon use	ESIA SEP GRM
Risk 12: Waste generated by the project could cause pollution if not appropriately managed. Standard: 8.1 and 8.4	I = 2 L = 2	**Low**	Most waste generated by the project will be non-hazardous, however construction contractors will need to service construction equipment, therefore some hazardous waste (oils,	ESMP to include waste management measures. Where possible waste hierarchy (reduce, reuse, recycle, dispose) is to be adopted. Contractors will be responsible for management of any hazardous waste.

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			hydraulic fluids etc) will be generated. The waste associated with the construction of the coastal protection infrastructure will have a limited impact on the environment is disposed of properly.	Management of waste to be included in contractor's management plans.
Risk 13: The project will require the use of significant volumes of sand and there is a risk that sand resources could be viewed as limited. Standard: 8.6	I = 2 L = 2	**Low**	Studies of sand resources within the Funafuti lagoon have demonstrated that there are deposits of sand that significantly exceed the amount required for TCAP2.	ESIA

	QUESTION 4: What is the overall project risk categorization?		
	Low Risk	☐	
	Moderate Risk	☐	
	Substantial Risk	X	
	High Risk	☐	
	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (check all that apply)		

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	Question only required for Moderate, Substantial and High Risk projects				
	Is assessment required? (check if "yes")	X			***Status? (completed, planned)***
	if yes, indicate overall type and status		☐	Targeted assessment(s)	
			X	ESIA (Environmental and Social Impact Assessment)	Planned
			☐	SESA (Strategic Environmental and Social Assessment)	
	Are management plans required? (check if "yes)	X			
	If yes, indicate overall type		X	Targeted management plans Stakeholder Engagement Plan Gender Action Plan Emergency Response Plan Waste Management Plan Emergency Response Plan UXO management Plan	Planned
			X	ESMP (Environmental and Social Management Plan which may include range of targeted plans)	Planned Based on ESMP,

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					Contractor will be required to prepare a series of sub-plans (eg UXO, Emergency Response, Waste Management etc)
			☐	ESMF (Environmental and Social Management Framework)	
	Based on identified <u>risks</u>, which Principles/Project-level Standards triggered?		**Comments (not required)**		
	Overarching Principle: Leave No One Behind				
	Human Rights	X			
	Gender Equality and Women's Empowerment	X			
	Accountability	X			
	1. Biodiversity Conservation and Sustainable Natural Resource Management	X			
	2. Climate Change and Disaster Risks	X	Area subject to cyclones		
	3. Community Health, Safety and Security	X	OHS risks associated with construction		

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	4. Cultural Heritage	☐	
	5. Displacement and Resettlement	X	Boat owners along shoreline will need to relocate boats.
	6. Indigenous Peoples	X	All Tuvaluans can be considered indigenous
	7. Labour and Working Conditions	X	
	8. Pollution Prevention and Resource Efficiency	X	

Final Sign Off

Final Screening at the design-stage is not complete until the following signatures are included

Signature	***Date***	***Description***
QA Assessor		UNDP staff member responsible for the project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

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SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		
INSTRUCTIONS: The risk screening checklist will assist in answering Questions 2-6 of the Screening Template. Answers to the checklist questions help to (1) identify potential risks, (2) determine the overall risk categorization of the project, and (3) determine required level of assessment and management measures. Refer to the SES toolkit for further guidance on addressing screening questions.		
Overarching Principle: Leave No One Behind **Human Rights**		**Answer (Yes/No)**
P.1	Have local communities or individuals raised human rights concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?	No
P.2	Is there a risk that duty-bearers (e.g. government agencies) do not have the capacity to meet their obligations in the project?	No
P.3	Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?	No
Would the project potentially involve or lead to:		
P.4	adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
P.5	inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities? [10]	No
P.6	restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities?	Yes
P.7	exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Gender Equality and Women's Empowerment		
P.8	Have women's groups/leaders raised gender equality concerns regarding the project, (e.g. during the stakeholder engagement process, grievance processes, public statements)?	No
Would the project potentially involve or lead to:		
P.9	adverse impacts on gender equality and/or the situation of women and girls?	No
P.10	reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No

[10] Prohibited grounds of discrimination include race, ethnicity, sex, age, language, disability, sexual orientation, gender identity, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender and transsexual people.

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P.11	limitations on women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? *For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being*	No
P.12	exacerbation of risks of gender-based violence? *For example, through the influx of workers to a community, changes in community and household power dynamics, increased exposure to unsafe public places and/or transport, etc*.	Yes
Sustainability and Resilience: Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below		
Accountability		
Would the project potentially involve or lead to:		
P.13	exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them?	No
P.14	grievances or objections from potentially affected stakeholders?	Yes
P.15	risks of retaliation or reprisals against stakeholders who express concerns or grievances, or who seek to participate in or to obtain information on the project?	No
Project-Level Standards		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
Would the project potentially involve or lead to:		
1.1	adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? *For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes*	Yes
1.2	activities within or adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	No
1.3	changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	Yes
1.4	risks to endangered species (e.g. reduction, encroachment on habitat)?	No
1.5	exacerbation of illegal wildlife trade?	No
1.6	introduction of invasive alien species?	No
1.7	adverse impacts on soils?	No

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1.8	harvesting of natural forests, plantation development, or reforestation?	No
1.9	significant agricultural production?	No
1.10	animal husbandry or harvesting of fish populations or other aquatic species?	Yes
1.11	significant extraction, diversion or containment of surface or ground water? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction*	No
1.12	handling or utilization of genetically modified organisms/living modified organisms?[11]	No
1.13	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)[12]	No
1.14	adverse transboundary or global environmental concerns?	No
Standard 2: Climate Change and Disaster Risks		
Would the project potentially involve or lead to:		
2.1	areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?	Yes
2.2	outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters? *For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes*	Yes
2.3	increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping practices)? *For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding*	No
2.4	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	No
Standard 3: Community Health, Safety and Security		
Would the project potentially involve or lead to:		
3.1	construction and/or infrastructure development (e.g. roads, buildings, dams)? (Note: the GEF does not finance projects that would involve the construction or rehabilitation of large or complex dams)	Yes
3.2	air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation?	Yes
3.3	harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)?	No
3.4	risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?	No

[11] See the Convention on Biological Diversity and its Cartagena Protocol on Biosafety.

[12] See the Convention on Biological Diversity and its Nagoya Protocol on access and benefit sharing from use of genetic resources.

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3.5	transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	Yes
3.6	adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g. food, surface water purification, natural buffers from flooding)?	No
3.7	influx of project workers to project areas?	No
3.8	engagement of security personnel to protect facilities and property or to support project activities?	No
Standard 4: Cultural Heritage		
Would the project potentially involve or lead to:		
4.1	activities adjacent to or within a Cultural Heritage site?	No
4.2	significant excavations, demolitions, movement of earth, flooding or other environmental changes?	Yes
4.3	adverse impacts to sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.4	alterations to landscapes and natural features with cultural significance?	No
4.5	utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
Would the project potentially involve or lead to:		
5.1	temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)?	No
5.2	economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	risk of forced evictions?[13]	No
5.4	impacts on or changes to land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	Yes
Standard 6: Indigenous Peoples		
Would the project potentially involve or lead to:		
6.1	areas where indigenous peoples are present (including project area of influence)?	Yes
6.2	activities located on lands and territories claimed by indigenous peoples?	Yes

[13] Forced eviction is defined here as the permanent or temporary removal against their will of individuals, families or communities from the homes and/or land which they occupy, without the provision of, and access to, appropriate forms of legal or other protection. Forced evictions constitute gross violations of a range of internationally recognized human rights.

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6.3	impacts (positive or negative) to the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? *If the answer to screening question 6.3 is "yes", then the potential risk impacts are considered significant and the project would be categorized as either Substantial Risk or High Risk*	Yes
6.4	the absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.5	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	Yes
6.6	forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources? *Consider, and where appropriate ensure, consistency with the answers under Standard 5 above*	No
6.7	adverse impacts on the development priorities of indigenous peoples as defined by them?	No
6.8	risks to the physical and cultural survival of indigenous peoples?	No
6.9	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? *Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.*	No
Standard 7: Labour and Working Conditions		
Would the project potentially involve or lead to: (note: applies to project and contractor workers)		
7.1	working conditions that do not meet national labour laws and international commitments?	No
7.2	working conditions that may deny freedom of association and collective bargaining?	No
7.3	use of child labour?	No
7.4	use of forced labour?	No
7.5	discriminatory working conditions and/or lack of equal opportunity?	No
7.6	occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?	Yes
Standard 8: Pollution Prevention and Resource Efficiency		
Would the project potentially involve or lead to:		
8.1	the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	Yes
8.2	the generation of waste (both hazardous and non-hazardous)?	Yes
8.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	No
8.4	the use of chemicals or materials subject to international bans or phase-outs?	No

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	For example, DDT, PCBs and other chemicals listed in international conventions such as the Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Convention	
8.5	the application of pesticides that may have a negative effect on the environment or human health?	No
8.6	significant consumption of raw materials, energy, and/or water?	Yes

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Annex 4: Project Risk Analysis.

OFFLINE PROJECT RISK REGISTER TEMPLATE

Project Title: Tuvalu Coastal Adaptation Project, Phase 2 (TCAP2)	**Project Number: 01001604**	**Date: 01-Feb-24**

#	Event	Cause	Impact(s)	Risk Category and Sub-category *(including Risk Appetite)*	Impact, Likelihood & Risk Level *(see Annex 3 Risk Matrix)*	Risk Valid From/To	Risk Owner *(individual accountable for managing the risk)*	Risk Treatment and Treatment Owner
1	There is a risk of contractors quoting prices higher than approved/expected budget	As a result of non-competitive direct contracting procurement exercise	Which could jeopardize project implementation.	**2. FINANCIAL (2.6. Budget availability and cash flow) - UNDP Risk Appetite: MINIMAL TO CAUTIOUS**	Likelihood: **3 - Moderately likely** Impact: **4 - Extensive** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 01-Jan-24 To: 30-Jun-26	Project manager	Risk Treatment 1.1: During the direct contract evaluation phase, UNDP will conduct a rigorous review of the Bill of Quantities (BOQ) against the Engineer's estimates. Additionally, the evaluation team will engage in robust negotiations with the contractor to ensure prices stay within an acceptable market range. In case where the cost is higher than the allocated amount, UNDP to discuss with the donors. Risk Treatment Owner: Project manager
2	There is a risk of inferior quality of materials used in construction.	As a result of Inadequate oversight during construction	Which would lead to structural problems or safety hazards.	**3. OPERATIONAL (3.7. Occupational safety, health and well-being) - UNDP Risk Appetite: EXPLORATORY TO OPEN**	Likelihood: **4 - Highly likely** Impact: **4 - Extensive** Risk level:	From: 01-Jan-24 To: 30-Jun-26	Project manager	Risk Treatment 2.1: Project coastal Engineer and government counterpart will conduct regular inspections to ensure material quality and adherence to standards and specifications.

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					HIGH RISK (equates to a risk appetite of SEEK)			Risk Treatment Owner: Project Manager
3	There is a risk of non-compliance by Responsible Parties (RPs)	As a result of absence of their established policies and procedures	Which will significantly hinder the effective implementation of project activities	**3. OPERATIONAL (3.8. Capacities of the partners) - UNDP Risk Appetite: EXPLORATORY TO OPEN**	Likelihood: **4 - Highly likely** Impact: **4 - Extensive** Risk level: **HIGH RISK (equates to a risk appetite of SEEK)**	From: 01-Jan-24 To: 30-Jun-26	Project manager	Risk Treatment 3.1: UNDP will undertake HACT Micro Assessment to evaluate the financial management, project implementation and reporting capacity of potential responsible parties (RPs) before entrusting them with project funds. Based on the risk rating (Low, Medium, High), UNDP will determine the most appropriate cash transfer modality and level of assurance activities for the project to monitor. Risk Treatment Owner: Project manager.
4	There is a risk that, unforeseen risks may go undetected until they escalate into critical issues	As a result of absence of a well-defined monitoring mechanism	Which could lead to premature interventions that disrupt the project schedule and hinder the timely identification of valuable learnings crucial for program improvement.	**4. ORGANIZATIONAL (4.5. Monitoring and oversight) - UNDP Risk Appetite: EXPLORATORY TO OPEN**	Likelihood: **4 - Highly likely** Impact: **4 - Extensive** Risk level: **HIGH RISK (equates to a risk appetite of SEEK)**	From: 01-Jan-24 To: 30-Jun-26	Project manager	Risk Treatment 4.1: UNDP will develop a comprehensive and adaptable monitoring framework tailored to the specific needs and objectives of this project. This framework will clearly define key performance indicators (KPIs), data collection methods, reporting procedures, a timeline for monitoring activities and provide valuable learnings for programme implementation

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								Risk Treatment Owner: Project manager.
5	There is a risk that the MCO may face a challenge in attracting experienced professionals during the recruitment of the project management unit	As a result of non-competitive local job market	Which will significantly hinder the effective implementation of project activities	**4. ORGANIZATIONAL (4.4. Accountability) - UNDP Risk Appetite: EXPLORATORY TO OPEN**	Likelihood: **4 - Highly likely** Impact: **4 - Extensive** Risk level: **HIGH RISK (equates to a risk appetite of SEEK)**	From: 01-Jan-24 To: 30-Jun-26	Project manager	Risk Treatment 5.1: UNDP will ensure that the positions are advertised widely in relevant local publications, UNDP Oracle, websites and social media platforms, and distributed thorough professional networks (LinkedIn) frequented by professionals. Additional, TCAP 2 will utilise existing TCAP 1 staff and develop a succession plan that identifies and prepares potential replacements for key positions to ensure smooth transitions in case of staff turnover. Risk Treatment Owner: Project manager.
6	There is a risk that Extreme climate events such as cyclones can cause delays, the design of the coastal protection infrastructure may not withstand climate change impacts.	As a result of Natural disasters	Which will impact existing coastal infrastructures, requiring repairs and reconstruction efforts.	**1. SOCIAL AND ENVIRONMENTAL (1.5. Climate change and disaster risks) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **2 - Low likelihood** Impact: **4 - Extensive** Risk level: **HIGH RISK (equates to a risk appetite of SEEK)**	From: 01-Jan-24 To: 30-Jun-26	Project manager	Risk Treatment 6.1: Implement coastal construction works during the non cyclone months between April-Nov Risk Treatment Owner: Engineer
7	There is a risk that Changes in hydrodynamic processes and	As a result of Natural dynamics	Which will impact in Loss of sedimentation that could impact on the	**1. SOCIAL AND ENVIRONMENTAL (1.5. Climate change**	Likelihood: **2 - Low likelihood**	From: 01-Jan-24 To: 30-Jun-26	Project Manager	Risk Treatment 7.1: Prior to final design and site selection of the coastal protection

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	deleterious sediment movement as a result of the construction of the coastal protection infrastructure.		coastal foreshore characteristics.	**and disaster risks) - UNDP Risk Appetite: CAUTIOUS**	Impact: **1 - Negligible** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**			infrastructure, a number of environmental and social studies should be undertaken. Risk Treatment Owner: Project manager
8	There is a risk for Loss of Habitat and/or Changes to Hydrodynamic processes	As a result of construction activities associated with the reclamation project and harvesting coral for relocation/transplantation .	Which will impact the overall health of the marine environment.	**1. SOCIAL AND ENVIRONMENTAL (1.4. Biodiversity conservation and sustainable natural resource management) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **2 - Low likelihood** Impact: **3 - Intermediate** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 01-Jan-24 To: 30-Jun-26	Project Manager	Risk Treatment 8.1: The project team to ensure to design the reclamation project that would disturb the least amount of seabed area possible. The project will limit the extent of clearing and ensure compliance to ESMP to implement construction techniques that minimize disturbance to the surrounding environment. Risk Treatment Owner: Project Manager
								Risk Treatment 8.2: Implement a comprehensive monitoring program to track the impact of construction activities on marine habitats and water flow patterns. Be prepared to adapt project plans and mitigation strategies based on the monitoring results. Risk Treatment Owner: Project Manager

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9	There is a risk that Accidental spillage of construction materials (e.g. cement); oils and other chemical spills	As a result of Transportation incidents & accidents	Which will impact in Loss of material resulting in additional costs to replenish and replace	**3. OPERATIONAL (3.7. Occupational safety, health and well-being) - UNDP Risk Appetite: EXPLORATORY TO OPEN**	Likelihood: **3 - Moderately likely** Impact: **3 - Intermediate** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 01-Jan-24 To: 30-Jun-26	Project Manager	Risk Treatment 9.1: Contractors compliance to the Environmental and Social Management Plan will be enforsed to ensure these risks are significantly reduced . Risk Treatment Owner: Safeguards Expert
10	There is a risk that Changes in coastal erosion and/or deposition as a result of the removal of sediment/gravel for the use in the coastal protection infrastructure	As a result of Dredging or other forms of sediment removal	Which will impact in natural replenishment of sediment/ gravel	**1. SOCIAL AND ENVIRONMENTAL (1.4. Biodiversity conservation and sustainable natural resource management) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **2 - Low likelihood** Impact: **3 - Intermediate** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 01-Jan-24 To: 30-Jun-26	Project Manager	Risk Treatment 10.1: Prior to the selection of sites where material might be obtained for use in the coastal protection infrastructure, environmental and social studies will be undertaken including chemical, ecological and physical assessments (and associated modelling) that consider factors such as existing sediment erosion and deposition, potential contamination, disturbance to terrestrial and littoral zone habitats through the removal of sediment, noise, and vibration impacts and impact on biota. Risk Treatment Owner: Project Manager

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11	There is a risk that Terrestrial and marine noise including using construction equipment and rock dumping will occur as a result of the project.	As a result of Construction Operation(s)	Which will impact in causing temporary disturbance to sensitive receptors as the resident communities and immediate benthic marine organisms within the construction area.	**3. OPERATIONAL (3.7. Occupational safety, health and well-being) - UNDP Risk Appetite: EXPLORATORY TO OPEN**	Likelihood: **3 - Moderately likely** Impact: **3 - Intermediate** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 01-Jan-24 To: 30-Jun-26	Project Manager	Risk Treatment 11.1: An assessment of the terrestrial habitat where the coastal protection infrastructure is to be located should consider any sensitive receptors including communities. Further, noise shields should be constructed to reduce the potential for noise to reach these communities. With respect to the marine environment, the studies that will be undertaken will provide input into the final location of coastal protection infrastructure to ensure underwater noise does not impact marine organisms and sensitive receptors. Risk Treatment Owner: Project Manager
12	There is a risk that complex land tenure can cause delays and limit the successful construction of coastal protection interventions.	As a result of disagreement from Landowner or non-willingness to allow development to proceed on his land	Which will impact in Incomplete development of planned intervention(s).	**1. SOCIAL AND ENVIRONMENTAL (1.12. Stakeholder engagement) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **4 - Highly likely** Impact: **4 - Extensive** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 01-Jan-24 To: 30-Jun-26	Project Manager	Risk Treatment 12.1: The project will be along the coastline which is owned partly by the crown (seabed) and the rest by private citizens (the Foreshore and Land Reclamation Act). The Tuvaluan Government and Pulekaupule (Executive board of Local Government representing chiefs and landowners) had agreed for the land reclamation works under

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								TCAP 2 in late 2023. As an outcome of the meeting, the Pulekaupule will hold further discussion with the Government to have a MOU in place for land reclamations agreeing on providing consent for coastal construction. This MOU is expected to be signed prior to the RFP announcement and commencement of activities to ensure that communities are part of the decision-making process thus increasing ownership. The project will not proceed with RFQ process in absence of this MOU. The process of obtaining a community endorsement has started and is expected to be with the finalization of environmental and social impact assessment by Mid-June 2024. Awareness campaigns on coastal protection are incorporated to improve the understanding of the proposed interventions making sure they are supported and endorsed by the community. Risk Treatment Owner: Project Manager

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13	There is a risk that that changes in the priority on implementation of approved interventions from Funafuti	As a result of Project Board Decision	Which will impact in delaying the project.	**7. STRATEGIC (7.5. Government commitment) - UNDP Risk Appetite: OPEN TO SEEKING**	Likelihood: **2 - Low likelihood** Impact: **3 - Intermediate** Risk level: **LOW (equates to a risk appetite of CAUTIOUS)**	From: 01-Jan-24 To: 30-Jun-26	Project Manager	Risk Treatment 13.1: It is anticipated that Funafuti will be the focus on implementation and written approval will be sought from Funafuti Kaupule, at all points the focal point will be informed and consulted. Risk Treatment Owner: Project Manager
14	There is a risk that weak Internet Connectivity in Tuvalu	As a result of High internet costs and low bandwidth in Tuvalu	Which will impact in timely communications	**3. OPERATIONAL (3.4. Reporting and communication) - UNDP Risk Appetite: EXPLORATORY TO OPEN**	Likelihood: **4 - Highly likely** Impact: **4 - Extensive** Risk level: **SUBSTANTIAL (equates to a risk appetite of OPEN)**	From: 01-Jan-24 To: 30-Jun-24	Project Manager	Risk Treatment 14.1; Purchase of Star Link for the PMU and Internet budget to be sufficient so that enough bandwidth bought/purchased to meet the monthly data demands from the PMU team. Risk Treatment Owner: Project Manager
15	There is a risk of delay in disbursements from donors	As a result of unrealistic milestones and bureaucratic procedures within the donor organization	Which will impact the project's cash flow and ability to meet financial obligations.	**2. FINANCIAL (2.6. Budget availability and cash flow) - UNDP Risk Appetite: MINIMAL TO CAUTIOUS**	Likelihood: **2 - Low likelihood** Impact: **4 - Extensive** Risk level: **LOW (equates to a risk appetite of CAUTIOUS)**	From: 01-Jan-24 To: 30-Dec-24	Project Manager	Risk Treatment 15.1: To ensure timely contract issuance and project execution, UNDP MCO to ensure securing all necessary funding commitments/ disbursement upfront. This will involve developing a realistic disbursement schedule that aligns with project milestones and adheres to the qualified audit recommendations identified in the TCAP 1 audit report. Furthermore, the RCC unit will establish a clear

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								framework for ongoing monitoring and oversight of the project budget, cash flow, and adherence to contractual obligations. This would include regular reporting requirements, on-site visits, and collaboration with an independent auditor. Risk Treatment Owner: Project Manager
16	There is a risk that contractor fails or refuses to rectify defects identified in the Land reclamation construction projects	As a result of financial difficulties, poor quality workmanship or disputes over the nature or cause of the defects	Which will impact in project delays, loss of funds, increased costs, and reputational damage.	**4. ORGANIZATIONAL (4.9. Procurement) - UNDP Risk Appetite: EXPLORATORY TO OPEN**	Likelihood: **3 - Moderately likely** Impact: **4 - Extensive** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 01-Jan-24 To: 30-Jun-26	Project Manager	Risk Treatment 16.1: MCO to obtain performance bonds up to a value of 10% of contract sum for civil construction works to ensure the contractor has rectified any defects or outstanding work. Risk Treatment Owner: Project Manager
17	There is a risk that contractor mobilizes resources (equipment, personnel) inefficiently or fails to mobilize fully.	As a result of financial difficulties and poor quality Workmanship	Which will impact in delaying project progress and incurring unnecessary costs.	**2. FINANCIAL (2.3. Corruption and fraud) - UNDP Risk Appetite: MINIMAL TO CAUTIOUS**	Likelihood: **2 - Low likelihood** Impact: **4 - Extensive** Risk level: **SUBSTANTIAL (equates to a risk appetite of OPEN)**	From: 01-Jan-24 To: 30-Jun-26	Project Manager	Risk Treatment 17.1: Require a performance bond from the contractor equal to the mobilization cost. Risk Treatment Owner: Project Manager Risk Treatment 17.2: Link the bond's release to the achievement of staged mobilization milestones.

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								Risk Treatment Owner: Project Manager Risk Treatment 17.3: Release a portion of the bond (e.g., 20%) upon initial mobilization, with subsequent releases tied to subsequent milestones. Risk Treatment Owner: Project Manager
18	There is a risk of Unexploded Ordnance (UXO) or remnants of war (ERW) is discovered during excavation or dredging activities.	As a result of excavation and/or dredging actitivties during construction process	Which will impact in Safety, work stoppages, delays due to UXO or ERW detonation Injury or fatality	**8. SAFETY AND SECURITY (8.7. Manmade hazards) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **2 - Low likelihood** Impact: **4 - Extensive** Risk level: **HIGH RISK (equates to a risk appetite of SEEK)**	From: 01-Jan-24 To: 30-Jun-26	Project Manager	Risk Treatment 18.1: Development of UXO and ERW management Plan and ESMP to include chance finds procedure (and application of UXO/ERW mitigation measures). Risk Treatment Owner: Project Manager Risk Treatment 18.2: the Contractors dredge to be modified before starting TCAP I work with exclusion bars on the cutter head (the inlet for sediments) to prevent any object larger than approximately 10cm from entering the dredge and thus being deposited in the reclamation. Risk Treatment Owner: Project Manager

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Annex 5: Partner Capacity Assessment

(refer to Attachment for PCAT and MA for RPs - Tuvalu Fisheries Department, Department of Environment, CCD and DLG)

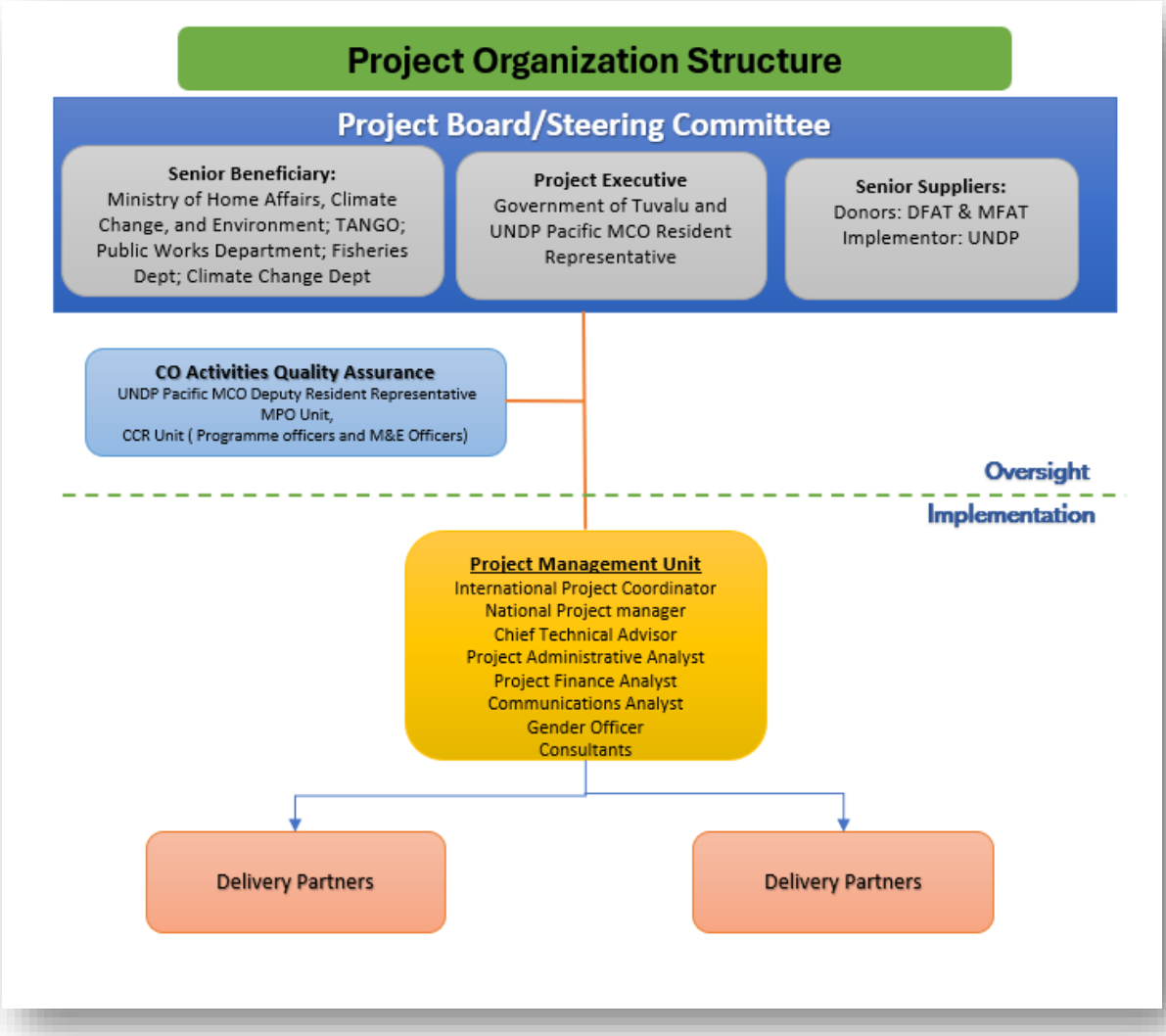
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Annex 6: Project Board Terms of Reference

A. **Overall function of the Project Board.**

The Project Board is responsible for making by consensus, management decisions when guidance is required by the National Project Manager, including recommendations for UNDP/Implementing Partner approval of project plans and revisions. The Project Board will be co-chaired by UNDP's Resident Representative and the National Designated Authority.

B. **The project organisation structure is as follows:**



1. **Specific responsibilities of the Project Board include:**
   - Address project issues as raised by the National Project Manager;

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- Provide guidance on new project risks, and agree on possible countermeasures and management actions to address specific risks;
- Agree on National Project Manager's tolerances as required;
- Review the project progress, and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans;
- Appraise the annual project implementation report, including the quality assessment rating report; make recommendations for the workplan;
- Provide ad hoc direction and advice for exceptional situations when the National Project Manager's tolerances are exceeded; and
- Assess and decide to proceed on project changes through appropriate revisions.

2. **The composition of the Project Board must include the following roles:**

i) Executive:

The Executive is an individual who represents ownership of the project who will chair the Project Board. This role can be held by a representative from the Government Cooperating Agency or UNDP. The Executive is the National Designated Authority of Tuvalu and the UNDP Resident Representative.

The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher level outcomes. The executive has to ensure that the project gives value for money, ensuring cost-conscious approach to the project, balancing the demands of beneficiary and supplier.

Specific Responsibilities: (as part of the above responsibilities for the Project Board)

- Ensure that there is a coherent project organisation structure and logical set of plans;
- Set tolerances in the AWP and other plans as required for the National Project Manager;
- Monitor and control the progress of the project at a strategic level;
- Ensure that risks are being tracked and mitigated as effectively as possible;
- Brief relevant stakeholders about project progress;
- Organize and chair Project Board meetings.

ii) Senior Supplier:

In close consultation with the Tuvalu Government, the Senior Supplier is an individual or group representing the interests of the parties concerned which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project. The Senior Supplier role must have the authority to commit or acquire supplier resources required. If necessary, more than one person may be required for this role.

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Typically, the implementing partner, UNDP and/or donor(s) would be represented under this role. The Senior Suppler comprises of UNDP as implementing partner with DFAT and MFAT as Donors.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Make sure that progress towards the outputs remains consistent from the supplier perspective;
- Promote and maintain focus on the expected project output(s) from the point of view of supplier management;
- Ensure that the supplier resources required for the project are made available;
- Contribute supplier opinions on Project Board decisions on whether to implement recommendations on proposed changes;
- Arbitrate on, and ensure resolution of, any supplier priority or resource conflicts;

iii) Senior Beneficiary:

The Senior Beneficiary is an individual or group of individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board is to ensure the realization of project results from the perspective of project beneficiaries. The Senior Beneficiary role is held by a representative of the government or civil society. The Senior Beneficiary are the Department of Climate Change, Department of Environment, Department of Public Works (PWD), Island Representatives and NGO representatives.

The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. The Senior Beneficiary role monitors progress against targets and quality criteria. This role may require more than one person to cover all the beneficiary interests. For the sake of effectiveness, the role should not be split between too many people.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Prioritize and contribute beneficiaries' opinions on Project Board decisions on whether to implement recommendations on proposed changes;
- Specification of the Beneficiary's needs is accurate, complete and unambiguous;
- Implementation of activities at all stages is monitored to ensure that they will meet the beneficiary's needs and are progressing towards that target;
- Impact of potential changes is evaluated from the beneficiary point of view;
- Risks to the beneficiaries are frequently monitored.

iv) Other members of the Board:

The Project Board is comprised of an official at the Director/Senior staff level from the following agencies:

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1. Ministry of Home Affairs, Climate Change, and Environment
2. Secretary to Government, Chairman of the Development Coordination Committee
3. Department of Climate Change
4. Department of Environment
5. Public Works Department
6. Department of Lands & Survey
7. Department of Local Government
8. Ministry of Education
9. Department of Fisheries
10. NGO association (TANGO)
11. Tuvalu Council of Women.
13. Department of Marine and Port Services
14. Treasury Department
15. Funafuti Island Community Representative
16. Tekavatoetoe community representative??

The Project Board allows observers to sit in the PB meetings and participate in the discussions as deemed necessary by the Board. An observer is not a project board member and thus he/she does not have a vote in board decisions.

Specific roles of individual Board member include:

- understand the strategic implications and outcomes of initiatives being pursued through project outputs;
- appreciate the significance of the project for some or all major stakeholders and perhaps represent their interests;
- be genuinely interested in the initiative and the outcomes being pursued in the project;
- be an advocate for the project's outcomes;
- have a broad understanding of project management issues and the approach been adopted;
- be committed to, and actively involved in pursuing the project's outcome;

3. **Board Meetings**

The National Designated Authority of Tuvalu and the UNDP Resident Representative shall convene the Project Board meetings. If the designated Chairs are not available, then their alternate (referred to as the Acting Chairs) will be responsible for convening and conducting that meeting. The Acting Chair is responsible for informing the Chair as to the salient points/decisions raised or agreed to at that meeting.

Special meetings can be called where appropriate when there are special issues or any other matters that need urgent discussion.

In order to ensure UNDP’s ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value

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money, fairness, integrity, transparency and effective international competition. In case a consensus cannot be reached within the Board, final decision shall rest with the UNDP Resident Representative. To ensure the success of the TCAP project and continued good working collaboration between the Government of Tuvalu and UNDP, all efforts will be made to reach a joint decision between the co-chairs.

4. **Frequency of the meetings:**

The project board shall meet at least twice a year to provide overall guidance and direction to the project, ensuring it remains within any specified constraints with the support of the full complement of PMU Secretariat in Tuvalu

Special meetings can be called anytime when there are special issues or any other matters that need urgent discussion. The special meetings shall be planned closely with the Project Assurance to ensure ample time for travel arrangements for the meeting conveners, project assurance team and assembling of the PMU.

5. **Agenda Items**

All agenda items must be forwarded to the Project Manager by 3 working days prior to the next scheduled meeting. The Project Board meeting agenda, with attached meeting papers will be distributed at least two weeks prior to the next scheduled meeting. The Chair has the right to refuse to list an item on the formal agenda, but members may raise an item under 'Other Business' if necessary and as time permits.

6. **Minutes & Meeting Papers**

The minutes of each meeting will be prepared by the Project Management Unit. Full copies of the Minutes, including attachments, shall be provided to all Project Steering Committee members no later than two weeks following each meeting.

7. **Proxies to Meetings**

Members of the Project Board shall nominate a proxy to attend a meeting if the member is unable to attend. The Chair will be informed of the substitution at least 12 days prior to the scheduled nominated meeting. The nominated proxy shall provide relevant comments/feedback, of the Project Steering Committee member they are representing, to the attended meeting.

8. **Quorum Requirements**

The quorum shall contain at least 50% from the project board members is required for the meeting to be recognized as an authorized meeting for the recommendations or resolutions to be valid.

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Annex 7: Stakeholder Engagement Plan & Grievance Redress Mechanism (SEP & GRM) - link here