Docusign Envelope ID: 5CBB0FE0-FD7B-4F97-8F1B-F0FDA2C2EAA5



GREEN CLIMATE FUND





Empowered lives. Resilient nations.

UNDP annotated Project Document
Tonga Coastal Resilience Project

United Nations Development Programme

Project title: *Tonga Coastal Resilience*		
Country: Tonga	**Implementing Partner (GCF Executing Entity):** UNDP Pacific Multi-country Office (MCO)	**Execution Modality:** Direct implementation (DIM)
Contributing Outcome (UNSDCF/CPD, RPD, GPD): Outcome 1: 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. Sub outcome 2: Enhanced climate change adaptation and resilience.		
UNDP Social and Environmental Screening Category: Substantial		**UNDP Gender Marker:** GEN 2
Quantum Award ID: 1295975		**Quantum Project/Output ID:** 01003036
UNDP PIMS ID number: 5942		**GCF Project ID number**: FP234
LPAC meeting date: 21 August 2024		
Actual start date: 27 August 2024		**Project completion date:** 27 August 2031
Interim Evaluation Report (a.k.a. Mid-Term Review) deadline for submission to GCF: 27 May 2028		**Final Evaluation Report (Terminal evaluation report deadline for submission to GCF:** 27 February 2032
		Project Completion Report deadline for submission to GCF: 27 November 2031
Operational Closure Date: 27 May 2032		**Financial Closure Date:** 27 November 2032

DS

Docusign Envelope ID: 5CBB0FE0-FD7B-4F97-8F1B-F0FDA2C2EAA5

Brief project description:

Tonga is highly vulnerable to climate change impacts, including increases in temperature and precipitation, more intense tropical cyclones, and rising sea levels. Tonga faces a potential long-term threat from permanent inundation and wave-driven flooding that may threaten the displacement of communities facing significant frequent flooding risks, as well as permanent losses from sea level rise (SLR) in the absence of future adaptation measures. To overcome these challenges, the Tonga Coastal Resilience project will drive a transformational shift in coastal adaptation in Tonga, empowering local stakeholders and communities to build a resilient and sustainable future. The Tonga Coastal Resilience Project aims to benefit the community by addressing coastal inundation through immediate protection measures and fostering long-term adaptation. This includes providing critical climate risk information, planning tools, and training to build the resilience of vulnerable coastal communities, ultimately enhancing their ability to withstand and adapt to the impacts of climate change. The project establishes a national multi-sectoral platform to integrate climate risk information into local development planning; strengthens local capacities to collect and manage data for coastal adaptation planning; and constructs over four kilometers of sea defenses in vulnerable coastal areas. Additionally, the project addresses issues such as land-use planning and voluntary retreat to enhance Tonga's long-term resilience.

FINANCING PLAN	
GCF grant	USD 22,656,409
UNDP TRAC resources	USD 63,000
Confirmed cash co-financing to be administered by UNDP	
(1) Total budget administered by UNDP	**USD 22,719,409**
CONFIRMED CO-FINANCING COMMITTED TO THE FUNDED ACTIVITY (AS DEFINED IN THE FAA)	
Ministry of Finance, Tonga	**USD 1,200,000**
(2) Total confirmed co-financing that is not administered by UNDP	**USD 1,200,000**
(3) Grand-Total Project Financing (1)+(2)	**USD 23,919,409**

SIGNATURES

Signature:	**Agreed by Government Development Coordination Authority**	**Date/Month/Year:** 28-11-2024
Signature: DocuSigned by: Tuya Altangerel 6835C56A2FBF485...	**Agreed by UNDP** Munkhtuya Altangerel Resident Representative	**Date/Month/Year:** 25-Nov-2024

MINISTRY OF METEOROLOGY, ENERGY, INFORMATION DISASTER MANAGEMENT, ENVIRONMENT CLIMATE CHANGE & COMMUNICATIONS MINISTER FOR MEIDECC

DS

Disbursement: The government is aware of the conditions of disbursement ascribed to the first and subsequent tranches of the GCF funding as specified in the FAA (and in particular Clause 9 of the FAA, as referenced in the Financial Management Section of this Project Document). To the extent that these obligations reflect actions of the Government, the Government must ensure that the conditions are met and there is continuing compliance, as well as understanding that the availability of GCF funding is contingent on meeting all conditions listed in the FAA.

I. TABLE OF CONTENTS

I. TABLE OF CONTENTS 2
II. DEVELOPMENT CHALLENGE 5
III. STRATEGY 7
IV. RESULTS AND PARTNERSHIPS 9
V. PROJECT MANAGEMENT 18
VI. PROJECT RESULTS FRAMEWORK 22
VII. MONITORING AND EVALUATION (M&E) PLAN 32
VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS 38
IX. FINANCIAL PLANNING AND MANAGEMENT 43
X. TOTAL BUDGET AND WORK PLAN 52
XI. LEGAL CONTEXT 64
XII. RISK MANAGEMENT 64
XIII. MANDATORY ANNEXES 68
Annex A: GCF Specific Conditions, Representation, Warranties and Covenants 69
Annex B: GCF Board-approved Funding Proposal 70
Annex C: Co-financing commitment letters of co-financing 71
Annex D: Timetable of project implementation 73
Annex E: Procurement plan 97
Annex F: Terms of References for Project Board and Project Team 107
Annex G: UNDP Social and Environmental Screening Procedure (SESP) 112
Annex H: Environmental and Social Management Plan or Framework (ESMP or ESMF) 139
Annex I: Stakeholder Engagement Plan 221
Annex J: Gender Analysis and Action Plan 250
Annex K: UNDP Risk Register 266
Annex L: Letter of Agreement with the government in case UNDP Support Service Costs are applied 299
Annex M: Additional agreements 300
Annex N: UNDP Project Quality Assurance Report 301
Annex O: Monitoring Activity Table 328
Annex P: Other annexes included in the Funding Proposal annex package approved by the GCF Board 335

List of Tables

Table 1 Output 3 beneficiaries in Hahake....9
Table 1 Project Management Unit (PMU) Office in Nuku'alofa, Tonga:....19
Table 2 Project Implementation Unit base in Nuku'alofa, Tonga:....20
Table 3 Home-based with travel, specialist roles and consultancy support: 21
Table 4 Summary of Management Procedures: 187
Table 5 Stakeholder Analysis Overview 229
Table 6 Common consultation methods in Tonga 230
Table 7 Target Audience and Key Messages Overview....231
Table 8 Key Stakeholder Workshops and Activities....235

List of Figures

Figure 1 Baseline vs Post-project Outcomes 7
Figure 2 Theory of Change....9
Figure 3 Site B: Schematic of the current situation (Panel 1) and shoreline protection construction (Panel 2) of 2kms of coastal protection measures developed for Manuka to Kolonga shoreline 13
Figure 4 Site A: proposed rock revetment for Sub-activity 3.1.2 Construction of 2.3kms of revetment Nukuleka - Talafo'ou 13
Figure 5 Project Organisation Structure 39
Figure 6 Project Fund Flow 44

Acronyms

APR	Annual Performance Report
BPPS	Bureau for Policy and Programme Support
CDP	Community Development Plans
CNA	Capacity Needs Assessment
CSO	Civil Society Organisation
DP	District Plans
ENSO	El Niño Southern Oscillation
FP	Full Proposal
GCF	Green Climate Fund
GCF Sec	Green Climate Fund Secretariat
GoT	Government of Tonga
HTHH	Hunga-Tonga-Hunga-Ha'apai
ISP	Island Strategic Plans
ITAP	GCF Independent Technical Advisory Panel
LiDAR	Light Detection and Ranging
MAFF	Ministry of Agriculture, Food and Forests
MIA	Ministry of Internal Affairs
MIEDECC	Ministry of Meteorology, Energy, Information, Disaster Management, Environment, Climate Change and Communications
MLNR	Ministry of Lands and Natural Resources
MoFPP	Ministry of Finance and National Planning
MoF	Ministry of Fisheries
MoI	Ministry of Infrastructure
MoW	Ministry of Works
NC	National Communication
POPP	Programme and Operations Policies and Procedures
PMO	Prime Minister's Office
PP	Policy and Planning
SBAA	Standard Basic Assistance Agreement
SDGs	Sustainable Development Goals
SIDS	Small Island Developing State
SLR	Sea Level Rise
SPCZ	South Pacific Convergence Zone
UNFCCC	United Nations Framework Convention on Climate Change

II. DEVELOPMENT CHALLENGE

Tonga is one of the most vulnerable countries to climate change and disaster risks. The country ranks 6th most vulnerable and 5th most exposed (out of 185) globally.[1] The ND-GAIN Index score (out of 100), which summarises a country's vulnerability to climate change and other global challenges in combination with its readiness to improve resilience, scores Tonga on the ND-GAIN Index as 41.1, and its overall rank is 140 out of 185.[2] Tonga has experienced a series of climate disasters in recent years: tropical cyclones Ian (2014), Gita (2018), and Harold (2020), as well as non-climate related disasters with the Hunga-Tonga-Hunga-Ha'apai (HTHH) volcano eruption in 2022, which triggered tsunami waves throughout the Tonga archipelago. Climate-induced and non-climate-related disasters have affected up to 80% of the population and wiped out between 12% to 40% of the GDP.[3] Climate change is expected to increase serious impacts, including more heavy rainfall events, severe tropical cyclones, and extreme sea level events with increased prevalence of heat waves, intensified cyclones, saline intrusion, wave-driven flooding, and permanent inundation. These will require adaptation for Tonga's people, infrastructure, and coastal ecosystems.[4] Biodiversity and the natural environment of Tonga are likely to face extreme pressure, as well as the losses of some species of fish, coral, birds, and terrestrial species.

Year-to-year variability occurs under the influence of the El Niño Southern Oscillation (ENSO) in the south-east Pacific, which can bring prolonged drought conditions and contribute to a depletion of potable water and tropical cyclones that occur during the wet season, in turn, causing extensive damage to local infrastructure, agriculture, and major food sources.[5] Categories 4 and 5 tropical cyclones are increasing as a proportion of all cyclones, severely impacting infrastructure in the Pacific. Changes in rainfall patterns have also resulted in almost annual flood events that damage significant assets and threaten livelihoods. Critically, rising sea levels will continue to increase the frequency of coastal inundation, damaging coastal infrastructure and settlements. Tonga faces the long-term threat of permanent inundation and wave-driven flooding, and some studies have suggested that significant displacement of communities will occur.[6] The *2021 IPCC 6th Assessment Report* indicates that the global mean sea level has risen approximately 20cm since 1901. Rates are accelerating, and between 2006 and 2018, global average rates were 3.7 mm/year. Yet, Tonga has already witnessed a general sea level rise of 6.4 mm per annum, based on historical records from 1993–2007.[7] Sea level rise (SLR) hotspots present greater impacts in certain areas or regions over others, including the SPCZ, with greater warming projected in and around Tonga (the Southwest SPCZ and the Northeast SPCZ). [8] The permanent losses under a 0.5m SLR scenario are expected to be 6%, and under a 1.0m SLR scenario to be 25%.[9] In combination with potential tectonic disturbances and cyclone activity, the risk to human communities of coastal submergence and wave inundation is among the highest in the world.[10] Aside from fast-hitting climate and non-climate related disaster events, climate-induced slow onset processes like coastal erosion, ocean acidification and other forms of environmental degradation in the medium term will drive both forced and voluntary internal movements in Tonga. [11] The largest island, Tongatapu, faces significant frequent flooding risks and permanent losses from SLR. On Tongatapu, there is clear evidence of the impacts of local SLR, and the permanent losses under a 0.5m SLR scenario are expected to be 6% and under a 1.0m SLR scenario to be 25%.[12] With most of

[1] UND, 'Rankings - Notre Dame Global Adaptation Initiative - University of Notre Dame', *Notre Dame Global Adaptation Initiative*, 2023 <https://gain.nd.edu/our-work/country-index/rankings/> [accessed 19 September 2023].
[2] UND, 'Rankings - Notre Dame Global Adaptation Initiative - University of Notre Dame', *Notre Dame Global Adaptation Initiative*, 2023 <https://gain.nd.edu/our-work/country-index/rankings/> [accessed 19 September 2023].
[3] Asian Development ADB, 'Tonga at Risk of Sea Level Rise, Seismic Events, According to ADB Report', *Asian Development Bank*, 2023, Tonga <https://www.adb.org/news/tonga-risk-sea-level-rise-seismic-events-according-adb-report> [accessed 19 September 2023].
[4] ICEDS, *Infrastructure and Settlements Key Findings for the Pacific from the United Nations Intergovernmental Panel on Climate Change's (IPCC) Sixth Assessment Report (AR6) on Impacts, Adaptation and Vulnerability*, Pacific Factsheet: Infrastructure and Settlements (Australian National University (ANU), Canberra: Institute for Climate, Energy and Disaster Solutions (ICEDS), 2022) <https://www.pacificclimatechange.net/sites/default/files/documents/infrastructure-settlements-ipcc.pdf>.
[5] World Bank, *Climate Risk Country Profile - Tonga* (Washington DC: World Bank Group, 2021).
[6] World Bank, 2021. *Climate Risk Country Profile – Tonga*, World Bank Group
[7] MEIDECC, *Third National Communication on Climate Change Report* (Minister for Meteorology, Energy, Information, Disaster Management, Climate Change and Communications, 2019).
[8] IPCC, *Sixth Assessment Report Working Group I - the Physical Science Basis - IPCC* (Intergovernmental Panel on Climate Change (IPCC), 2022) <https://www.ipcc.ch/report/ar6/wg1/downloads/factsheets/IPCC_AR6_WGI_Regional_Fact_Sheet_Small_Islands.pdf>.
[9] ADB, *Multi-Hazard Disaster Risk Assessment, Tongatapu*, Risk Assessment Summary Report (Asian Development Bank (ADB), 2021).
[10] Mélanie Becker, Mikhail Karpytchev, and Fabrice Papa, 'Chapter 7 - Hotspots of Relative Sea Level Rise in the Tropics', in *Tropical Extremes*, ed. by V. Venugopal and others (Elsevier, 2019), pp. 203–62 <https://doi.org/10.1016/B978-0-12-809248-4.00007-8>.
[11] TWG MSDP, *Migration and Sustainable Development Policy* (Technical Working Group (TWG) of Tonga for the Migration and Sustainable Development Policy (MSDP), 2021) <https://crisisresponse.iom.int/sites/g/files/tmzbdl1481/files/appeal/documents/Tonga%20Migration%20and%20Sustainable%20Development%20Policy.pdf>.
[12] ADB, *Multi-Hazard Disaster Risk Assessment, Tongatapu*, Risk Assessment Summary Report (Asian Development Bank (ADB), 2021).

Tongatapu's most populated areas of the north and northeast coasts at only 1m above sea level, SLR is likely to see many settlements inundated in the absence of adequate adaptation strategies in place.

Tongatapu is Tonga's most populous island, with the highest population density and the largest land area of Tonga's islands (approximately 270 km^2). Given the location of the main city of Nuku'alofa, Tongatapu also has the largest accumulation of built assets and infrastructure, including the main airport and seaport. Of Tonga's total population of 100,179 people, around 74% (74,320) reside on Tongatapu Island, with approximately half concentrated within the greater Nukualofa area.[13] The population of Tongatapu is projected to grow over the next decade, with Tongans commonly relocating from the outlying islands to Tongatapu.[14] Paid work, education, health care and other opportunities associated with the capital city drive relocation from other less well-developed or productive parts of the archipelago. At the same time, communities from other smaller, low-laying islands and settlements are expected to be increasingly challenged by meteorological-ocean hazards associated with climate change, which is expected to progressively drive relocation. In extreme cases, habitat destruction and agricultural viability reduce the prospects for return to the home environment, increasing the impetus for long-term internal and outward migration or displacement.[15] Notably, the influx of new settlers to Tongatapu results in a greater strain on land resources around the capital Nuku'alofa and increases settlement patterns into marginal, low-lying and highly flood-exposed areas such as Nukuleka. Land ownership complexities in Tonga further complicate internal displacement and resettlement.[16] Tonga's communities need support to adapt and manage climate and disaster risks facing their well-being, livelihoods, and infrastructure. Displacement has also been an issue due to disaster impacts, such as the 2022 tsunami, and is likely to continue. According to the 2021 census, the number of women in Tonga is higher than the number of men. Women constitute 51.33 percent of the population, and men make up the remaining 48.66 percent of the population. Nearly a quarter of the households (22.1 percent) are headed by women.[17] The disproportionate impact of climate change on women and other vulnerable groups is widely recognised.

Significant and long-term displacements require a multi-stakeholder and cross-ministerial response to deliver public services and manage community interests and expectations. Yet, although ongoing climate change threats, risks, and impacts challenge Tonga and have brought the need for transformative adaptation to the forefront, several adaptive capacity gaps remain in supporting a deliberative transformative adaptation in Tonga. These include limited capacities within the public sector that may affect agenda setting and the ability to anticipate, guide, and make decisions for long-term adaptation; limited vertical and horizontal coordination between different levels of government that limits policy and implementation coherence; inadequate resource allocation to enhance overall resilience, and specifically at the community level; a lack of localisation of knowledge and discourse on climate change and understanding and awareness of unique attributes of different islands, especially Tongatapu and; the diversity of interests and beliefs in conflict with long-term adaptation needs (including those related to land use).

The project creates a fundamental shift enabling Tonga to address climate change risks, as they pertain to land-use and coastal risks, through spatial adaptation plans and policy with broad public and political acceptance to address critical climate risks, supported by processes to gather and interpret critical data over time and provide for communities to guide their future through Community Development Plans (CDPS), as well as constructing practical coastal protection measures along the Hahake coastline. These efforts represent the highest priorities of the Government of Tonga, consistent with the National Adaptation Plan (the Joint National Action Plan on Climate Change Adaptation and Disaster Risk Management 2018-2028 - JNAP II) and companion documents: the Tonga Climate Change Policy (2016): A Resilient Tonga by 2035, and the Tongan Strategic Development Framework II 2015-2025. The project activities are also consistent with the strategies under the UNFCCC convention (Third NC Report on Climate Change and Enhanced NDC 2020), as well as the SDGs in Tonga: Goal 13, target 13.1 and 13b, and Goal 11, target 11.5.

[13] TSD, 'Population and Housing Census | Tonga Statistics Department', 2021 <https://tongastats.gov.to/census-2/> [accessed 18 September 2023].
[14] TWG MSDP, *Migration and Sustainable Development Policy* (Technical Working Group (TWG) of Tonga for the Migration and Sustainable Development Policy (MSDP), 2021) <https://crisisresponse.iom.int/sites/g/files/tmzbdl1481/files/appeal/documents/Tonga%20Migration%20and%20Sustainable%20Development%20Policy.pdf>.
[15] TWG MSDP, *Migration and Sustainable Development Policy* (Technical Working Group (TWG) of Tonga for the Migration and Sustainable Development Policy (MSDP), 2021) <https://crisisresponse.iom.int/sites/g/files/tmzbdl1481/files/appeal/documents/Tonga%20Migration%20and%20Sustainable%20Development%20Policy.pdf>.
[16] Under the Constitution of Tonga (the Constitution and the Land Act), all land in Tonga belongs to the King of Tonga. Land allotments are then inherited through families, but only to the eldest 'legitimate' son and not to 'illegitimate' eldest sons or to women or younger male heirs.
[17] Government of Tonga (2021), Census 2021: factsheet https://tongastats.gov.to/census-2/population-census-3/census-report-and-factsheet/

III. STRATEGY

The project addresses coastal inundation in critical areas through immediate coastal protection measures in the northeastern parts of Tongatapu while fostering long-term adaptation by providing critical climate risk information and planning tools supported through key training, knowledge sharing and capacity. The project's Theory of Change is that the project outputs will enable transformational change towards climate-responsive land use and long-term climate risk-informed adaptation planning. The interventions will do this by addressing the key barriers to effective adaptation planning and implementing the means to avoid maladaptive measures in the future. These outputs lead to the outcomes of building the long-term resilience of vulnerable coastal communities and transformative adaptation to the direct impacts of climate change in Tonga. Specifically, the project will a) strengthen knowledge, capacity and engagement for incorporating climate risks into long-term adaptation planning supported through multi-sectoral, multi-stakeholder engagement and dialogue platform, b) strengthen national and local capacities for effective monitoring and assessment of climate risk, and c) reduce the vulnerabilities of coastal communities in Hahake to climate hazards through coastal protection measures.

Figure 1 Baseline vs Post-project Outcomes

Baseline	Post-project
No mechanism for decision-making on land-use planning in the face of future climate risks	Spatial adaptation plans and policy with broad public and political acceptance address key climate risks
Lack of base data and capacity to interpret climate risks to coastal property, infrastructure, and livelihoods	Strong cohort of officials and community members with capacity to interpret data and climate projections
No mechanism for addressing coastal climate risks at community level	Community development plans incorporate relevant climate risks and define future resilience pathways
Limited understanding of coastal adaptation infrastructure	Models available for coastal protection measures

Transformative adaptation aims to address the root causes of vulnerabilities to climate change – by transforming them into more just, sustainable or resilient states.[18] The Theory of Change for the project, therefore, involves an integrated set of outputs addressing key policy/regulatory, institutional and implementation/resourcing issues.

Output 1 will address the lack of climate-informed land-use planning, including dialogue and discussions regarding solutions for internal migration by strengthening knowledge, capacity and engagement for incorporating climate risks into long-term adaptation planning. This is supported through a multi-sectoral, multi-stakeholder engagement and dialogue platform, which will allow the co-creation of long-term climate change adaptation strategies, including voluntary retreats. The national multi-stakeholder engagement platform for dialogue will provide an unprecedented programme for engagement on the impacts of climate change aimed at preventing vulnerable Tongans from being forced to undertake unplanned or spontaneous relocation or migrate out from Tonga. The national multi-stakeholder engagement platform will draw on knowledge and experience from a range of sectors to inform policy options and utilise knowledge, information and technical inputs on climate change impacts. This platform will work towards gaining interministerial and civil societal support for, as well as lasting agreement and commitment to, climate change responses in Tonga.

The output also supports development and spatial planning via the inclusion of climate risks and consideration of appropriate and transformative adaptation options in Community Development Plans (CDPs), district plans (DPs) and Island Strategic Plans (ISPs). Thereby addressing the limited capacity of local community actors to develop and design bottom-up community plans for implementing climate-responsive and climate-risk-informed solutions by developing the capacity of local government, village committees, and NGOs, to integrate climate change risks and adaptation needs into community-level planning; in turn, informing community development plans (CDPs) and developing climate risk-informed spatial planning. Notably, the CDP process has been instrumental in expanding women's participation in decision-making and identifying women's practical prioritie [19] and is critical for

[18] Giacomo Fedele, Camila I. Donatti, Celia A. Harvey, Lee Hannah, David G. Hole, (2019), 'Transformative adaptation to climate change for sustainable social-ecological systems', Environmental Science & Policy, Volume 101, 2019, Pages 116-125, ISSN 1462-9011, https://www.sciencedirect.com/science/article/pii/S1462901119305337

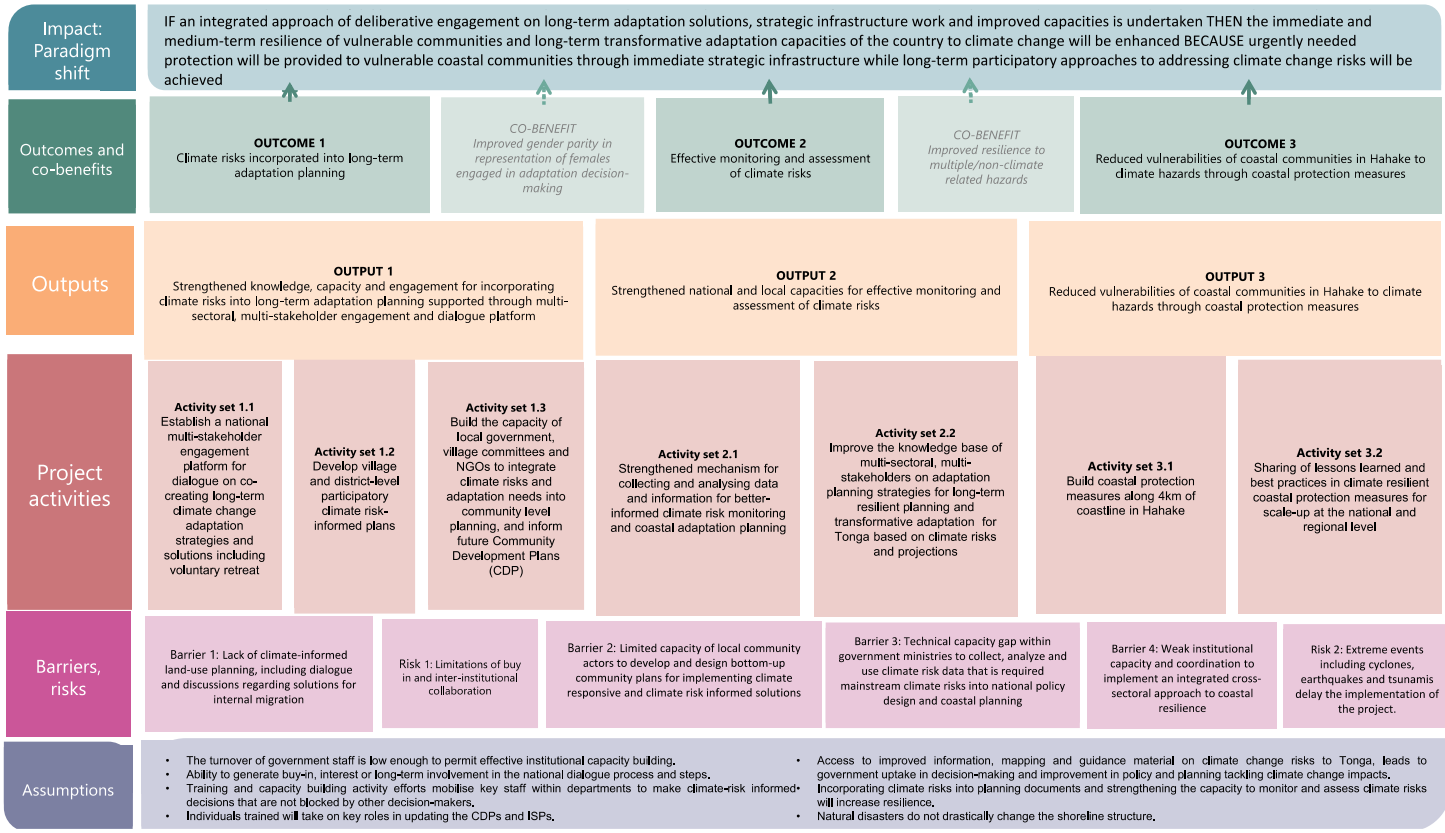
[19] Government of the Kingdom of Tonga (2019), 'National Women's Empowerment and Gender Equality Tonga Policy and Strategic Action Plan', prepared by the Women's Affairs Division, Ministry of Internal Affairs, for Pacific Community (SPC), https://hrsd.spc.int/sites/default/files/2021-07/WEDGET_STRATEGIC_PLAN_OF_ACTION_2019_2025_Final.pdf

transformative and participatory adaptation decision-making. These processes are otherwise restricted as the decision-making processes in Tonga are male-driven, and there is restricted access of women to these spaces limiting their ability to fully engage in decision-making.

Output 2 addresses the technical capacity gap within government ministries to collect, analyze and use climate risk data that is required to mainstream climate risks into national policy design and coastal planning by strengthening national and local capacities for effective monitoring and assessment of climate risks. This output enhances the mechanism for collecting and analysing data and information for better-informed climate risk monitoring and coastal adaptation planning, providing key capacity building, training, and mentoring for coastal adaptation planning and monitoring and developing climate risk-informed coastal plans. At the same time, Output 2 improves the knowledge base of multi-sectoral-stakeholders on adaptation planning strategies for long-term resilient planning and transformative adaptation for Tonga which are based on risks and projects. This includes improving LiDAR coverage for Tonga's Islands and capacities for interpreting key information, producing maps and knowledge material on scenario-based coastal risk maps, for decisions on long-term settlement patterns and climate risk for strategic long-term coastal planning while strengthening multistakeholder coordination and collaboration on coastal adaptation and planning integrating climate change.

Output 3 addresses the weak institutional capacity and coordination to implement an integrated cross-sectoral approach to coastline resilience. This includes the technical and financial barriers limiting investments in coastal protection that respond to Tonga's immediate adaptation needs for reducing vulnerabilities of coastal communities in Hahake to climate hazards through coastal protection measures. Coastal protection will be built along 4.3km of coastline. At the same time, this output develops a long-term outlook and analysis of coastal protection measures through the sharing of the lessons learned on coastal protection measures and effectiveness for potential scale-up at the national and regional levels. Coupled with the activities under Output 2, this Output will increase national capacities for understanding coastal processes, hydrodynamics, and oceanography, and along with increased community awareness developed, will move the focus away from maladaptive coastal protection works towards interventions based on sound information and technical design/construction.

Figure 2 Theory of Change



IV. RESULTS AND PARTNERSHIPS

Expected Results: The project is aimed at directly benefiting 3,608 people or 3.6% of the population, achieved through three key outputs. Output 1 supports building the capacity of local government, village committees and NGOs to integrate climate risks and adaptation needs into community-level planning, and inform future Community Development Plans (CDP) Under Output 1, 300 people (community members) are therefore expected to directly benefit from being trained in climate-risk and adaptation for updating/developing the CDPs/ ISPs. Under Output 2 a further 25 government staff (MoI, MLNR, MoF & NP, MIEDECC, MIA) will directly benefit from training in incorporating climate change risks in planning and budgeting, and supporting development planning; while a further 25 government staff (including MLNR, MoI, MIEDECC) will directly benefit from technical training on climate risk monitoring and data. This figure of 3,608 direct beneficiaries also incorporates the populations directly adjacent to the coastal resilience works under Output 3, a total of 3,258 people:

Table 1 Output 3 beneficiaries in Hahake

Census 2021			
Location	**Village population size**	**Female**	**Male**
Kolonga	1201	625	576
Makaunga	357	185	172
Talafo'ou	387	191	196
Navutoka	679	344	335
Manuka	302	150	152
Nukuleka	332	159	173
Total	**3258**	**1654**	**1604**

The project is predicted to also result in 96,571 indirect beneficiaries, reaching the remaining total population of Tonga (Tonga's population is 100,179 people as per the 2021 census) when including those that will benefit indirectly from the adaptation planning and strategies of the island-level spatial plans developed and the outcomes developed through the multistakeholder engagement platform.

Output 1 Strengthened knowledge, capacity and engagement for incorporating climate risks into long-term adaptation planning supported through multi-sectoral, multi-stakeholder engagement and dialogue platform. This Output (1.1.) establishes a national multi-stakeholder engagement platform for dialogue on co-creating long-term climate change adaptation strategies and solutions, including voluntary retreat; (1.2) develops village and district level participatory climate risk-informed plans, and; (1.3) builds the capacity of local government, village committees and NGOs to integrate climate risks and adaptation needs into community level planning, and inform future Community Development Plans (CDP). This Output is expected to make the first steps required for Tongan society to move towards making the necessary decisions and trade-offs to mitigate the effects of climate change on vulnerable coastal communities. Output 1 supports building the capacity of local government, village committees and NGOs to integrate climate risks and adaptation needs into community-level planning and inform future Community Development Plans (CDP). Under Output 1, 300 people (community members) are therefore expected to directly benefit from being trained in climate-risk and adaptation for updating/developing the CDPs/DPs/ISPs. A further 25 government staff (MoI, MLNR, MoFPP, MIEDECC, MIA) will directly benefit from training in incorporating climate change risks in planning and budgeting and supporting development planning.

The project will design a multi-sectoral and multi-actor stakeholder engagement plan and guidelines for a bottom-up national engagement process by undertaking the following sub-activities under **Activity 1.1. Establish a national multi-stakeholder engagement platform for dialogue on co-creating long-term climate change adaptation strategies and solutions, including voluntary retreat:**

Sub-Activity 1.1.1 Design of a multi-sectoral and multi-actor stakeholder engagement plan and guidelines for a bottom-up national engagement process. Support will be provided to the government (including MEIDECC) to establish a multi-stakeholder dialogue platform to lead the engagement around transformative adaptation. The design of the multi-stakeholder dialogue platform on long-term climate change adaptation strategies and solutions, will be comprised of representatives selected (internally) from each GoT Ministry, with primary members from MIEDECC, MIA, PMO MoI, MoW, MoF, NP, P&P, MoFPP, MoAFF, MLSNR, as well as representatives from across Tonga's CSOs engaged with youth, inclusivity, gender, environment and other areas. Expertise in community dialogue and governance will be utilised to first design the multi-sectoral and multi-actor stakeholder engagement plan and guidelines specifically for this bottom-up national engagement process, followed by preparing the terms of reference for the dialogue platform itself.

Sub-Activity 1.1.2 Facilitate a national awareness campaign on climate change and disaster risks and transformative adaptation strategies for multi-stakeholder dialogue co-creating long-term adaptation strategies and solutions (using material developed under Output 2). The national awareness campaign will be carried out based on the findings of the stakeholder engagement plan developed specifically for the national dialogue process, engaging widely with local, island and national level stakeholders on climate change risk to build the momentum for the national multi-stakeholder dialogue platform . This sub-activity raises awareness of people, officials, and decision-makers by localizing climate change knowledge. The various stages of stakeholder engagement and awareness campaign will utilise the data and information gathered and developed on the risks and vulnerabilities, future climate impacts, coastal dynamics, etc, from Output 2 and the local-level development plans as they come through from the other Activities under Output 1.

Sub-Activity 1.1.3 Develop a Terms of Reference for a National adaptation planning engagement platform specifying memberships, responsibilities and results. The composition and the terms of reference of the multi-stakeholder dialogue platform, along with the stakeholder engagement plans for the public awareness campaigns, will be developed in close collaboration with the government. The Terms of Reference will be revisited and updated during the latter period of the project to incorporate any lessons learnt and improvements based on how the establishment and convening of the national platform may have taken place.

Sub-Activity 1.1.4 Undertake meetings of the national engagement platform on long-term climate change adaptation as per the Terms of Reference. This sub-activity is expected to lead to the necessary planning decisions and trade-

offs needed to avoid the most serious effects of climate change on vulnerable coastal communities. Rather than a linear policy process, the co-creation and implementation of practical solutions for better land use will be supported. The approach should ensure continuous engagement of all stakeholders rather than only providing inputs during the design stage of a policy process.

Sub-Activity 1.1.5 Develop policy options to incorporate climate resilience and land use principles into national frameworks. This sub-activity develops policy options for climate resilience incorporating land use principles through a participatory process that builds policy consensus and promotes planning coherence.

Activity 1.2 Develop village and district-level participatory climate risk-informed plans: Activity 1.2 supports building the capacity of local government, village committees, and NGOs to integrate climate risks and adaptation needs into community-level planning and informing CDPs.

Activity 1.2.1 Supports a participatory process for developing village and district spatial plans to incorporate climate risk planning and adaptation strategies and principles of land use. CDPs are provided to all village committee, district and town officers, but do not yet incorporate the climate risk considerations needed to address climate change adaptation priorities and propose solutions and opportunities to address the most urgent needs for building resilience. Data and information will be simplified and made accessible to the wider population (closely linked to activities under Outcome 2). Beyond the targeting of CDPs and DPs in Tongatapu, the project will support the development/updates of the IDPs (for the five island cluster groups - Vava'u, Ha'apai, 'Eua, Tongatapu and Niuas) to incorporate climate risk considerations through guidelines, climate information data and graphical profiles.

Activity 1.3 Build the capacity of local government, village committees, and NGOs to integrate climate risks and adaptation needs into community-level planning and inform future Community Development Plans (CDP). This will also support the local governance capacity for adaptation planning and decision-making.

Sub-Activity 1.3.1 Develop an updated climate-responsive Community Development Plan Guideline to inform the development of future CDPs that includes participatory vulnerability assessment and planning, gender needs assessment, and adaptation needs assessment and planning. To assist government institutions and local government, village committees, and NGOs in the capacity to interpret climate risks into planning and to undertake budgeting, engage community-led decision-making, and coordinate between government and other agencies to address climate risks and inform future CDPs and ISPs, a climate responsive Community Development Plan Guideline will assist the development of future CDPs (which are used to inform ISPs). This guideline includes participatory vulnerability assessment and planning, gender needs assessment, and adaptation needs assessment and planning.

Sub-Activity 1.3.2 Design and implement a capacity building package for the Ministry of Internal Affairs on utilising the new climate-responsive CDP guideline. This sub-activity will provide mentoring and training to 300 people on integrating climate change risks into planning and budgeting (building the capacity of local government, village committees and NGOs to integrate climate risks and adaptation needs into community-level planning) over 4 years to inform future CDPs/ISPs.

Sub-Activity 1.3.3 Strengthen capacities of key ministries[20] for climate change risk informed planning and budgeting through trainings and materials. Sub-activities 1.3.1 and 1.3.2 will be supported through trainings and materials for key ministries to coordinate 'up and down' on climate change risk-informed planning and budgeting.

Sub-Activity 1.3.4 Organize island events (Vava'u, Ha'apai, 'Eua, Tongatapu and Niuas) for sharing lessons for producing climate responsive CDPs. Island events for Vava'u, Ha'apai, 'Eua, Tongatapu and Niuas will be held to share lessons for producing climate responsive CDPs.

These activities are also supported by the Strategy and Plan under Output 2.1, on climate risk monitoring and data and also informs the development of the CDP guideline.

Output 2 Strengthened national and local capacities for effective monitoring and assessment of climate risks. Output 2 addresses the limited capacity and available data to collect, analyse and use climate risk to inform considered strategic spatial planning and inform adaptation in policy design and decision-making processes

[20] Ministry of Internal Affairs, Ministry of Lands, Ministry of Finance and National Planning, Ministry of Meteorology, Energy, Information, Disaster Management, Environment, Climate Change and Communications, Ministry of Infrastructure

regarding land use and coastal management. Under Output 2, 25 government staff (including MLNR, MoI, and MIEDECC) will directly benefit from technical training on climate risk monitoring and data.

Activity 2.1 Strengthened mechanism for collecting and analysing data and information for better-informed climate risk monitoring and coastal adaptation planning strengthens the four government agencies that have responsibilities in the broad areas of monitoring coastal processes and maintaining and managing coastal protection.

Sub-Activity 2.1.1 Increases the capacity of the Government to effectively collect, manage and analyse coastal monitoring data. A Capacity Needs Assessment (CNA) will assess the key institutional capacity needs in the fields of technical capacity for closely monitoring the coastal dynamics of vulnerable coastlines, designing locally appropriate protection measures and planning, and implementing the measures that are within the technical and financial capabilities of the Government. Government staff will be trained in a) technical training on climate risk monitoring and data (MLNR, MoI, MIEDECC) focused on improving LiDAR knowledge and capacities for interpreting key information, producing maps and knowledge material on scenario-based coastal risk maps and b) incorporating these for decisions on long term settlement patterns and climate risk for strategic long-term coastal planning, supporting development planning (MoI, MLNR, MoFPP, MIEDECC, MIA). The CNA will also outline the gaps for the capacity building and training opportunities to occur through regional placements in technical agencies in the Pacific established and supported (for example, SPC and others). The CNA results will determine the development of the over-arching long-term Capacity Building Strategy and Plan for Government staff with a package of training and capacity building relevant to the specific ministries so that equipment and data can be fully utilized for use in generating climate and risk information and data such as satellite imagery, aerial photography, drone imagery, LiDAR topography and bathymetry, and planning and budgeting for adaptation measures.

Sub-Activity 2.1.2 Collecting, interpreting and using data on climate risks for coastal adaptation planning to produce scenario-based coastal risk maps and knowledge material for use under Output 1. The project will cover a LiDAR re-survey of Tongatapu (updating the 2011 coverage) and all the low-lying islands that do not have current coverage: Nomuka and lagoon, Mango Island and lagoon, Fomoifua Island and Tanoa Island and lagoon, Lalona Island and lagoon, Telekitonga Island and reef, Pangai Island complex and reef, Ofolanga and Mo'Unga'One, Niviva Island and lagoon, Lofanga Island and lagoon, Fotuha'a Island, Tungua, Ha'afeva, Ua Island and lagoon. The project will support survey and equipment purchases to support improved coastal adaptation planning and monitoring capacity through the purchase of selected equipment (hardware and software). This equipment will remain with the GoT to provide the capability to carry on supplementary survey work as needed to track change and monitor over time. This equipment will be accompanied by a full package of training and capacity building for departmental staff to ensure that equipment and data can be fully utilised.

Sub-Activity 2.1.3 Improve multi-stakeholder coordination and collaboration on coastal adaptation and planning integrating climate change recognizing that the equipment and data, assessments and analyses must be shared across multiple ministries, the long-term Capacity Building Strategy and Plan for government use on coastal and climate risk monitoring and analysis will inform cross-ministerial cooperation in producing and utilizing data for the purpose of coastal protection. Where LiDAR equipment will support smaller monitoring and assessment work, this will be managed and maintained by the Ministry of Lands/Department of Geology who already have and maintain drones and other technical survey equipment. A will be developed, hosted, and maintained by SPC, who hold the regional mandate to provide, secure, and curate such products and data on behalf of the Pacific Island member States, of which Tonga is a full member. The approach to facilitate data sharing amongst the key stakeholders in Tonga follows the lessons and approach model from UNDP's experience with the GCF-funded Tuvalu Coastal Adaptation Project (TCAP) to provide a mechanism to ensure data sustainability post-implementation.[21]

Activity 2.2 Improve the knowledge base of multi-sectoral, multi-stakeholders on adaptation planning strategies for long-term resilient planning and transformative adaptation for Tonga based on climate risks and projections:

Sub-Activity 2.2.1 Support the use and interpretation of data collected in Output 2.1 by providing easily understood materials for multiple stakeholder types that consider strategic long-term coastal adaptation and inform the national multi-stakeholder adaptation planning engagement platform. Under the Capacity Building Strategy and Plan,

[21] In the case of TCAP, after collecting high-quality baselines and undertaking wave hazard modeling, this data was used to generate a stand-alone, open online platform where all these data products can be viewed, interrogated, and accessed.

technical officers and local government officers will be trained on coastal zone management, coastal processes, coastal planning and hazards management, and climate down-scaling with training and mentoring undertaken and training materials developed and distributed to support government staff across ministries to be able to integrate climate risks into planning and budgeting within their work using these materials.

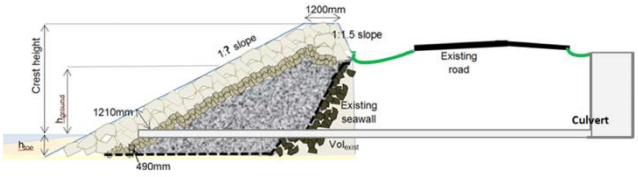
Output 3 Reduced vulnerabilities of coastal communities in Hahake to climate hazards through coastal protection measures by undertaking (3.1) coastal protection measures constructed along 4.3km of coastline in Hahake and (3.2) sharing lessons learned and best practices in climate resilient coastal protection measures for scale-up at the national and regional level. **Activity 3.1. Coastal protection measures built along 4.3km of coastline in Hahake** will enhance coastal protection in Hahake, where climate change-induced coastal erosion and wave overtopping are already causing land loss and damage to coastal infrastructure.:

Sub-Activity 3.1.1 Detailed design and site-specific assessments of coastal protection measures finalized for Hahake: The project is designed to engage the services of a consulting company/firm to provide design and supervision services for the construction component. While it has been envisaged as one company/firm providing the services, a market and technical analysis will be done at the start of implementation to ascertain whether two separate firms will be required for the two separate areas of construction or not.

Sub-Activity 3.1.2 Construct coastal protection measures in Hahake:

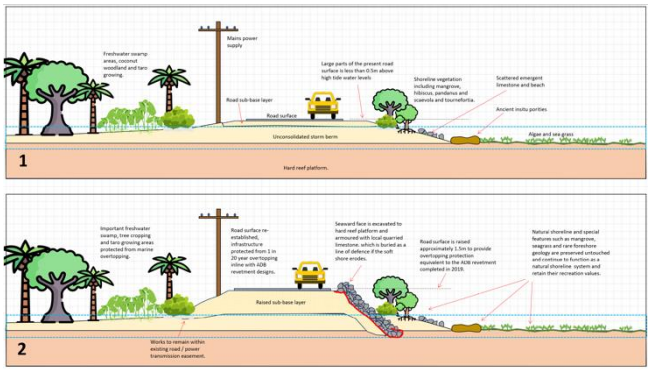
At the southernmost end of the Hahake Peninsula, 2.3 km of rock revetment will be installed along the coast between the villages of Talafo'ou and Nukuleka to protect the low-lying and highly vulnerable shoreline (Site A). On the north-eastern side, coastal protection measures for the Manuka to Kolonga shoreline will consist of over-topping protection but not a foreshore revetment (Site B). At the end of the project, it is envisaged that an additional 4.3 km of vulnerable coastline will have been equipped with a range of coastal adaptation measures (including rock revetments) preventing erosion, wave overtopping and/or subsequent coastal flooding that are expected to worsen under projected climate change scenarios. A total of 3,258 people will benefit as the populations directly adjacent to the coastal resilience works. The revetment will be based on an existing proven design illustrated below (as already constructed in the adjacent coastal area under ADB):

Figure 4 Site A: proposed rock revetment for Sub-activity 3.1.2 Construction of 2.3kms of revetment Nukuleka - Talafo'ou



Legend	Rock Class	Type	D_{15} (mm)	D_{50} (mm)	D_{85} (mm)
	Class I	Armour Stone	528	605	677
	Class II	Secondary Armour	104	180	250
	Class III	Filter Layer	20	24	28
	-	Backfill	-	-	-
	-	Geotextile Layer	-	-	-

Figure 3 Site B: Schematic of the current situation (Panel 1) and shoreline protection construction (Panel 2) of 2kms of coastal protection measures developed for Manuka to Kolonga shoreline



1. Further technical detail on these coastal works is presented in the Feasibility Study (included in

Annex P: Other annexes included in the Funding Proposal annex package approved by the GCF Board). For site location, please refer to the Project Management section.

UNDP is required to report on the co-financing amounts disbursed and applied towards the implementation of the Funded Activity (i) in each Annual Performance Report (APR), (ii) in the Interim Evaluation, (iii) in the Terminal Evaluation, (iv) in the Project Completion Report, (v) as a condition precedent for all requests for disbursement, within the timeframe to ensure timely requests for disbursements and in form and substance satisfactory to the GCF, and (vi) upon the request of GCF. To this end, all co-financiers (including the Implementing Partner, if applicable) will be requested to provide to UNDP the relevant information in the form of co-financing materialization letters during each of the above project milestones.

Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information**:** To accord proper acknowledgement to the GCF for providing grant funding, the GCF logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GCF will also accord proper acknowledgement to the GCF. Information will be disclosed by UNDP in accordance with relevant policies notably the UNDP Disclosure Policy[22] . In addition GCF may further disclose project information under its own GCF Disclosure Policy[23], in line with the terms and conditions set out in the AMA. See also GCF Branding Guidelines.

Carbon offsets or units: As outlined in the AMA agreement between UNDP and the GCF, to the extent permitted by applicable laws and regulations, the Implementing Partner will ensure that any greenhouse gas emission reductions (e.g. in emissions by sources or an enhancement of removal by sinks) achieved by this project shall not be converted into any offset credits or units generated thereby, or if so converted, will be retired without allowing any other emissions of greenhouse gases to be offset.

Resources required to achieve the expected result: The project will be resourced by a) the PMU, b) specialists, c) the equipment package, d) the capacity building and training package, and d) the construction budget and package, as described in the budget. the UNDP Pacific Multi-Country Office (MCO) is responsible for Project planning, coordination, management, monitoring, evaluation and reporting. Procurement and deployment of LiDAR (LiDAR and capacity building package) includes the costs of conducting the LiDAR survey and capacity building of the Government departments, especially the GIS Office. A consulting company/firm will provide design and supervision services for the construction component. While it has been envisaged as one company/firm providing the services, a market and technical analysis will be done at the start of implementation to ascertain whether two separate firms will be required for the two separate areas of construction or not. The contract/s will be for the duration from the start of design until the end of construction, with the Terms of Reference detailing the expected services during design and construction. The firm/s will be expected to have a lead engineer who will provide consistent guidance and support throughout the implementation of the construction component of the project supporting the PMU. In addition, UNDP will be providing technical oversight to the design, safeguards and construction itself with the use of its in-house expertise and externally engaged experts as required.

Reflecting the Government of Tonga's commitment to sustained O&M, co-financing of US$225,000 has been agreed upon during the seven-year project implementation period. In addition, the Government has made a commitment to financing US$150,000/year for post-project O&M for the coastal protection measures for their expected lifecycles, *ca* 40 years. This will cover inspections, repairs, materials, and plant hire.

Partnerships: The implementation of the project will be carried out in collaboration and consultation with the following Government agencies: the Department of Climate Change under the Ministry of Meteorology, Energy, Information, Disaster Management, Environment, Climate Change and Communications (MEIDECC) and with the Ministry of Lands and Natural Resources (MLNR) and Ministry of Infrastructure (MoI). An Operations and Maintenance Plan specific to the coastal protection measures will be developed as part of the design of the infrastructure by the Design and Supervision Engineers. This will form a part of the scope of work for the Design and

[23] See https://www.greenclimate.fund/documents/20182/184476/GCF_B.12_24_-_Comprehensive_Information_Disclosure_Policy_of_the_Fund.pdf/f551e954-baa9-4e0d-bec7-352194b49bcb

Supervision Engineering Firm. It will be a part of the handover of the assets to the responsible Government agency, which is the Ministry of Infrastructure. Notably, the project builds upon other initiatives via the previous work undertaken in the Tonga Climate Resilience Sector Project (CRSP), Asian Development Bank, 2013-2019: contributed 2kms of revetment for coastal protection measures in the Hahake area. This project was funded by the ADB (US$ 20 million) with co-financing from the Government of Tonga (GoT - US$ 3.88 million) to implement the Strategic Program for Climate Resilience (SPCR) prepared by GoT under phase II of the Pilot Program for Climate Resilience (PPCR). The Tonga Coastal Resilience project will complement this earlier work, adopting the lessons regarding revetment design and community consultation. Additionally, the project is supported by other initiatives by ADB, namely the Asian Development Bank (ADB) Multihazard Assessment (2021) of Tongatapu assessed multiple natural hazards in the capital city, Nuku'alofa, and the entire island where it is located, Tongatapu. Under the Tonga Integrated Urban Resilience Sector Project (TIURSP), ADB plan to support the Government to manage current flood risk and increase the resilience of the Nuku'alofa urban area. For this purpose, the 'Climate and Disaster Resilient Urban Development Strategy and Investment Plan' was developed, including a long-term adaptation pathway for Nuku'alofa which will enable continued development of the city in a manner resilient to natural hazards. Other projects such as the Australian Government's Governance for Resilient Development in the Pacific Program (Gov4Res) (Australian contribution $7.9 million, 2019-2023) supports national and local governments and communities, as well as regional organisations, to strengthen decision-making processes and governance systems towards risk informed and resilient development of which UNDP's proposed project will also support outcomes, given the enhanced access to technical capacity building and training for government staff, for climate-risk informed decision making under Output 2. Output additionally builds on the CDP development undertaken in the IFAD Tonga Rural Innovation Project completed in 2017, which supported the development of 151 Community Development Plans (CDPs) between 2015 and 2017, supporting 13,238 direct beneficiaries.

Risks and Assumptions*:* The project document identifies two risks with a medium to high probability of occurring and a medium level of impact on people and the environment. In addition, one risk with a low probability of occurrence but a high level of impact was also identified. The rest of the risks have a low probability of occurring and a low to medium impact. Annex I: Environmental and Social Management Plan or Framework (ESMP or ESMF) as relevant, specifically highlights the risk associated with the national dialogue process not yielding anticipated results as impacting the principle of accountability. However, this ESMP will cover all three risks with above average probability and impact. These include a) Risks associated with capacity gaps, b) Risks associated with the national dialogue process not yielding anticipated results, and c) Risks related to limited workforce and construction materials.

To date, no licenses and permits have been applied for (as outlined in Annex 9 of

Annex P: Other annexes included in the Funding Proposal annex package approved by the GCF Board). The area of development is government-held held and confirmation from MLSLR for a Development Consent permit is still required as per the Act. The application will also require EIA and stakeholder consultation reports. Licenses and permits, such as the EIA approval required for coastal works will be applied for in the early implementation phase. These permits will be applied for at the implementation stage as the Detailed Project Proposal, including technical specifications and design drawings, must accompany the Application as required under sections 32 and 36 of the National Spatial Planning and Management Act 2012. It is expected this will also trigger the local ESIA process, which will also be implemented by the Project.

Stakeholder engagement: The project engages the Joint National Adaptation Plan (JNAP) Advisory for multisectoral multistakeholder involvement across government as well as the community level directly and the Tonga Civil Society Forum for Tonga (CFST), the Prime Minister's Office (National Planning and Local Government), and the Ministry of Internal Affairs (MIA). A Stakeholder Engagement Strategy is included in

Annex I: Stakeholder Engagement Plan, which identifies the intended beneficiaries, target groups of engagement, as well as potentially affected groups.

South-South and Triangular Cooperation (SSC/TrC): Lessons learned from the GCF project will provide the basis for detailed technical approaches to coastal resilience. These lessons will be shared nationally, through awareness campaigns as well as internationally to contribute to current knowledge on building climate resilienceOutput 3.2 organizes regional lessons learned conference toward the end of the project implementation to disseminate lessons to other countries in the region. In addition, to bring the voice of Tonga to global and regional fora, the project will explore opportunities for meaningful participation in specific events where UNDP could support engagement with the global development discourse on coastal adaptation planning and resilience. The project will provide regional cooperation opportunities with countries implementing initiatives on coastal adaptation planning for SIDS in geopolitical, social and environmental contexts relevant to the proposed project in Tonga and the Pacific. Consequently, the investments in this project will not only be replicated in other SIDS in the region, but will also catalyze further investments that will help scale up this nationwide approach..

Gender Equality and Women's Empowerment: The gender assessment and stakeholder consultations as outlined in the Annex J: Gender Analysis and Action Plan have identified the following areas as particularly important dimensions to be reflected in the implementation strategy of the project:

Gender Analysis

- The different needs in responding to extreme weather events faced by women and men, as well as other vulnerable groups;
- Analysis of the gendered-based division of labour which can be reflected in the engagement of women, men and youth in project activities;
- Reflecting women's access to, and control over, environmental resources and the goods and services that they provide into the design of ecosystem restoration and monitoring activities;
- The need to collect sex and age-disaggregated data during the project implementation so that gender- and age-responsive decisions can be supported;

Voice and participation

- Ensure equitable participation of women, men, youth and elderly people at community-level adaptation actions;
- Create opportunities for women to voice their views on transformative agenda for adaptation, and in planning, monitoring and implementation of climate and risk informed Community Development Plans (CDPs) (component 1).
- Ensure the participation of women's groups, youth groups and church groups in community mobilization;
- Create opportunities for participation of vulnerable and people with disabilities in all project consultations and activities.
- Adjusting advocacy and awareness raising approach to different population groups; for sensitive topics, women-only, men-only, or youth-only meetings may be needed and organizing consultations at specific times of the day may be advised for ensuring women's participation;
- Include all stakeholders involved in the project to develop awareness raising/training aimed at drawing attention to the implication of climate resilience adaptation and gender equality;
- Undertake community discussions and dialogue in relation to gender and social inclusion in climate and disaster resilience.
- Organize design workshops (targeting women and people with disabilities) to develop transformative adaptation solutions.

Knowledge: The construction of coastal protection measures on the Hahake coast will result in a lessons-learned package (report) relevant to the immediate and short—to medium-term interventions for coastal communities across Tonga and the Pacific region. A specific technical assessment of the effectiveness of the coastal protection measures will provide a critical knowledge product from Output 3, Activity 3.1. This package will include a report of the lessons learned, as well as guidelines and standards that can be adopted for use in similar contexts in the Pacific.

This project seeks to build Tonga's technical capacity in climate risk data collection and management, strengthening Tonga's ability to select long-term and medium-term adaptation interventions by prioritizing high-risk areas. Increased technical capacity in climate risk data collection and management will also be built into a central repository of empirical experience in Tonga, and the surrounding islands of the Pacific.
Under Output 2, the guidelines and capacity-building elements around planning and decision-making, including the related work around the development of climate-informed local-level plans (including both the Island Development Plans and the Community Development Plans), will produce knowledge products and lessons learnt that are relevant for medium-term decision-making. The repository of training materials and guidelines for incorporating climate-risk into the CDPs, DSP and IDP will be retained by the MIA, the Ministry responsible for the development of the CDPs, as well as held in the MIEDECC repository established under the JNAP.

Innovativeness, Sustainability and Potential for Scaling Up: The overall design of this project, moving from a piecemeal approach to a more comprehensive framework, should lead to replacing the short-term reactive approach with a longer-term, planned, proactive, and sustainable approach. In the SIDS context, transformational long-term approaches to adaptation address vulnerability to climate change and disaster risks should be managed deliberately through "collective design, intentionality and political negotiation."[24] Within the Project, transformational long-term approaches to adaptation to address vulnerability to climate change and disaster risks will be engaged by facilitating discussion for long-term transformational adaptation planning, with the access and capacity to ground decisions based on climate risk information. The discussion undertaken within the multi-stakeholder dialogue platform is designed to establish a soundly based national approach to land-use/adaptation decision-making that will be employed over the medium term – and well beyond the conclusion of the project. Its aim is to establish a national-level approach to land use and adaptation throughout Tonga's small islands and to empower communities to become directly involved in decisions in their own localities. Community-led decision-making will be informed by a solid baseline of technical information on a range of risk factors (coastal topography, wave modelling, rates of sea level rise, etc.) and the capacity of government agencies and civil society to interpret this information in decision-making. This is expected to remain valid throughout the project, though ongoing training/capacity building is likely to be required in the medium term. By doing so, the project is designed to establish a soundly based national approach to land-use/adaptation decision-making that will be employed over the medium term to long term, well beyond the project's conclusion. It aims to establish a national-level approach to land use and adaptation throughout Tonga's small islands and empower communities to become directly involved in local decisions. At the same time, in the final year of the project, a technical assessment will be carried out by an expert to review the effectiveness of the coastal protection measures put in place in the project, which will inform the capturing of best practices for coastal measures under Output 3. Therefore, these coastal protection measures will also create a body of knowledge developed through these interventions to contribute towards more sustained coastal resilient solutions across the Pacific where other islands are confronted with similar climate challenges.

Digital Solutions:
There will be a central repository of the lessons learned, technical assessment(s) produced, along with the guidance for decision-making produced that will form a repository of training materials and guidelines for incorporating climate-risk retained by the MIA, the Ministry responsible for the development of the CDPs, as well as held in the MIEDECC repository established under the JNAP. Similarly, the published report(s) on lessons learned in the Government of Tonga's climate change website.

Improved improving LiDAR coverage for Tonga's Islands, and capacities for interpreting key information, producing maps and knowledge material on scenario-based coastal risk maps will provide solutions for decision-making concerning long-term settlement patterns and climate risk for strategic long-term coastal planning. These solutions will also serve in strengthening multistakeholder coordination and collaboration on coastal adaptation and planning, integrating climate change.

[24] Idowu Ajibade & Ellis Adjei Adams (2019), 'Planning principles and assessment of transformational adaptation: towards a refined ethical approach, Climate and Development, 11:10, 850-862, https://www.tandfonline.com/doi/full/10.1080/17565529.2019.1580557

V. PROJECT MANAGEMENT

Cost Efficiency and Effectiveness: The project will reduce the vulnerability of critical coastline areas to erosion and inundation in Hahake (north-eastern Tongatapu) and increase the long-term resilience of communities in Tonga, contributing to enhanced national and community-level capacity for managing the impact of climate change. This will deliver the maximum results with available resources in four main ways:

I. **Selection of tested, locally appropriate options, based on detailed site-specific assessments and public consultations**; Selection of specific type of coastal protection solutions in Tonga's Tongatapu Island: The design of the proposed GCF project is based on the best knowledge available on coastal protection in the region and in Tonga informed by previous assessments and current relevant projects. The three broad strategies for coastal vulnerability – retreat, accommodate and protect – have been reviewed and analyzed for the target site. The options selected are a result of weighing multiple options against these three strategies and in consideration of community views. Potential coastal protection options were also informed by assessment studies which evaluated the technical feasibility, social acceptance, and economic implications of each option. Based on a review of the reports as well as an assessment of local environmental, bathymetric and oceanic conditions, rock revetment was proposed for north-eastern Tongatapu; The review and selection of the above-mentioned options were done fully aware that, presently, international best practices lean towards implementing coastal protection strategies that aim to work with natural processes rather than challenge the forces of the ocean head-on. Yet, the effectiveness of the engineered coastal protection solutions has been tested in Tonga and elsewhere. A successful example of (coral) rock revetment is found in the capital city of Nuku'alofa in Tonga. It was constructed in 1983 following the destruction of the old sea wall by 1982 Cyclone Isaac. The old wall was also made of coral blocks but was thin and nearly vertical. When the storm surge from Cyclone Isaac resulted in over-topping the offshore reef, parts of the sea wall were destroyed immediately, while other parts collapsed due to the washing out of the fine-fill material behind the wall. The 1983 revetment was built by the Government of Tonga with funding from Germany. Today, after more than 30 years of construction, the revetment structure remains in place[25]. Similarly, revetments built in the 1960s in the vicinity of Nukuleka and Navutoka in north-eastern Tongatapu have been identified as extremely successful, and the shoreline position has been unexpectedly stable across this shore over the last 50 years, largely due to the revetment. These also cover the adjacent ADB-constructed revetment that although only completed in recent years, has already endured tsunami impact and remained undamaged and provided effective protection in comparison to areas where there is no such revetment. ADB has also investigated multiple alternative options for protecting assets in the north-eastern coast of Tongatapu. The option of moving key infrastructure (i.e. road) more inland was considered but rejected on the same grounds of land tenure issues. As the issue associated with land ownership is uniform across the country, the option of moving important assets out of harm's way, although it may be considered economically a preferred option, is likely to face similar practical difficulties in the short run. However, it is important to emphasize that voluntary retreat will be one of the inevitable options that the Tonga community will likely adopt as sea level continues to rise. To increase the long-term preparedness, the platform established in Output 1, will facilitate the discussion on these long-term adaptation options. This reflects the acute realization that the measures proposed in this project would be of limited value in isolation; a mix of short- and long-term solutions is critical for meeting the project objective.

II. **Integrating capacity building of technical ministries and local communities for ensuring their long-term engagement not only for monitoring of the GCF investments but also for replicating the project results beyond the project geographical boundaries and timeframe**; For building the national and local capacity for effective monitoring, maintenance and community adaptation actions, it is proposed in this project that extensive training will target the administrators of coastal resources. Data will be obtained through engaging third-party firms to collect key LiDAR data sets. This will be supplemented by purchasing equipment (hardware and software) that will enable GoT to carry out ongoing data collection on a smaller scale. A package of

[25] Helu, S. (1991). Seawall construction and coastal development at Nuku'alofa, Tonga (abstract). In: Workshop on Coastal Processes in the South Pacific Island Nations, Lae, Papua New Guinea, 1–8 October 1987, *SOPAC Technical Bulletin* 7: 193.194. Published by the SOPAC Technical Secretariat in 1991, Suva, Fiji. Available online at: http://ict.sopac.org/VirLib/TB0007.pdf .

training/capacity building will accompany these purchases to ensure relevant capability at the national level. This project will also assist the GoT build technical capacity to monitor coastal changes over time using a combination of outsourced survey work and access to developing technologies. LiDAR surveys of outer islands will be provided through private providers to ensure that data can be produced and analysed in time to be available to support other parts of the project (in particular, the national dialogue under Output 1). At the same time, the project will take advantage of recent technological advancements through supporting the purchase of selected LiDAR equipment suitable for small-scale surveys as a follow-up to the major survey. The Government of Tonga will gain access to Light Detection and Ranging (LiDAR) camera mounted on a small unmanned aerial vehicle ("drone"). UNDP has already started a private sector partnership in Maldives where the similar technology is used for mapping the coastal areas of their islands. Having access to this technology will enable the Government of Tonga to continue to accumulate data over time on key topographic and bathymetric parameters. A package of training will be provided in relation to the hardware and software associated with this equipment. This is a shift in the way coastal vulnerability is addressed by small island developing states: they now can be proactively part of the solutions to the problem that is the highest national priority for most of them. Previously, their ability to address the problem was dependent on donor resource availability and outside technical support for such survey work and data analysis. This approach will profoundly enhance the government's ability to understand coastal changes and processes over time and design solutions that are effective and sustainable.

III. **Mobilizing community support for implementing local land management and ecosystem restoration measures within the context of the existing local development planning and execution mechanism**; Setting the conditions for continuous community engagement in local adaptation actions, primarily in the form of O&M of the hard-engineered solutions and climate risk based land management practices, is an integral part of the project design which contributes to the overall efficiency and effectiveness of the project. Use of existing community-level financing options for sustainability and engagement: The importance of local governance and the effective use of available domestic finance has long been recognized in the region. In Tonga, the advent of a bottom-up development planning approach, characterized by the Community Development Plans is likely to offer new opportunities for community-based adaptation actions in the future. By building on baseline initiatives, GCF support will strengthen the capacity of communities to access domestic/external funding sources such as GEF SGP for advancing community actions for climate resilience. By building the community capacity for accessing additional climate resources, it is expected that community-level adaptation actions such as ecosystem restoration activities, gained through the participation in the project implementation, will be sustained and replicated beyond the project timeframe and geographical boundary.

IV. **A comprehensive approach to removal of multiple barriers within a single project framework**; The without-project scenario represents a continuation of the existing situation while the with-project scenario represents the project investment scenario. Both scenarios are dynamic in nature in that both projected population growth and economic (GDP) growth are included in the analysis. Hence, in the absence of the project, economic damages from extreme events are assumed to increase both as a result of the projected growth in population and as a result of the projected economic growth. All other things being equal, population growth increases the number of assets exposed to potential damages while economic growth increases the economic value of those assets.

Project Management

Table 2 Project Management Unit (PMU) Office in Nuku'alofa, Tonga:

Position Description	Time	Location	Level	Project Output	Thematic/Focus Area Functional Contribution
Project Manager (International) *Based in PMU*	Full time	Nuku'alofa	IPSA 11	1,2,3	Overall Project Management and Execution in line with international best practices and UNDP policies and procedures, and coordination of the PMU

Deputy Project Manager *Based in PMU*	Full time	Nuku'alofa	NPSA 11	1,2,3	Project Management and Execution in line with knowledge and understanding of national context, government policies and procedures - complementing the Project Manager (International)
Communications Officer *Based in PMU*	Full time	Nuku'alofa	NPSA 9	1,2,3	Contribution of national level context to the development of communication strategy for the project in line and ensuring on-the-ground execution of the strategy. Development of communication, visibility and knowledge products development for the project at national level, with technical input and advisory support from the Communication specialist (international)
Gender and Safeguards Officer *Based in PMU*	Full time	Nuku'alofa	NPSA 10	1,2,3	Contribution to development of Social and Environmental Safeguards baseline assessment and monitoring plan aligned to national context and on-the-ground execution of the monitoring plan and periodic assessment of compliance to the plan as well as execution of safeguards capacity development at national level
Finance Officer *Based in PMU*	Full time	Nuku'alofa	NPSA 10	1,2,3	Day-to-day financial management support for the project and facilitation of project-related procurement support at national level as per UNDP POPP
Monitoring and Evaluation Officer *Based in PMU*	Full time	Nuku'alofa	NPSA 10	1,2,3	Coordination and development of effective monitoring and reporting mechanisms in line with UNDP policies and procedures and ensuring timely monitoring, inspection, evaluation procedures as well as systems improvement for the project, tracking and support to reporting on project output progress and status including updating of project risks
Admin Assistant *Based in PMU*	Full time	Nuku'alofa	NPSA 9	1,2,2	Day-to-day project administration support and implementation of operational strategies, processes and procedures in line with UNDP POPP
Driver *Based in PMU*	Full time	Nuku'alofa	G3	1,2,3	Provide reliable and safe driving services using office vehicle to Project staff, UN staff, and official visitors. Proper use and day-to-day maintenance of office vehicle
Component Coordinator (Output 1) *Based in PMU*	Full time	Nuku'alofa	NPSA 10	1	Dedicated day-to-day technical execution support to stakeholder engagement, capacity development and knowledge management for climate risk planning and adaptation strategies in alignment to knowledge and understanding of the national context - twinning with Technical Advisor for Output 1 (International) to build local capacity for project implementation support
CTA (International) *(Part-time based in PMU and PIU)*	Part-time over 1 - 7 years	Partly home-based and partly based in Nuku'alofa	IPSA 12	1,2,3	Coordination and consolidation of technical advisory support and is responsible for quality execution of the project outputs in line with the project design, international standards and UNDP POPP
Component Coordinator (Outputs 2 & 3) *(Based Part time between PIU and PMU)*	Full time	Nuku'alofa	NPSA 10	2,3	Dedicated day-to-day technical execution support to data collection, analysis and management for risk informed spatial planning, monitoring and management of coastal protection in alignment to knowledge and understanding of the national context - twinning with Technical Advisor for Output 2 (International) to develop local capacity for project implementation support Dedicated day-to-day technical execution support to construction of coastal protection measures in coordination with the CTA, safeguards specialist for construction (International) and project engineer

Table 3 Project Implementation Unit base in Nuku'alofa, Tonga:

Position Description	Time	Location	Level	Project Output	Thematic/Focus Area Functional Contribution
Safeguards Officer - Construction (national) *Based in PIU*	Full-time (limited period year 2 - 6)	Nuku'alofa	NPSA 10	3	Dedicated assessment of social and environmental safeguards related to technical construction of coastal protection measures for design and engineering of coastal protection measures based on knowledge of national context and execution of safeguard measures on the ground and periodically monitoring compliance

Safeguards Specialist - Construction (international) *Based in PIU*	Part-time during year 2 -3	Home-based with some travel to Tonga	International Consultant	3	Dedicated development of the ESIA related to construction of coastal protection measures in line with international standards and best practices and providing technical advisory support to national monitoring of safeguards and support to safeguards capacity development at national level. Capacity building support to the Safeguards Officer - Construction (national)

Table 4 Home-based with travel, specialist roles and consultancy support:

Position Description	**Time**	**Location**	**Level**	**Project Output**	**Thematic/Focus Area Functional Contribution**
Safeguards Specialist (international)	Part-time over 1 - 7 years	Home-based with some travel to Tonga	International Consultant	1,2,3	Development of project's ESMP line with international standards and best practices, assessing compliance with the safeguards and proposing remedies and support to monitoring of project's overall environment and social safeguards. Capacity building support to the Gender and Safeguards Officer.
Gender Specialist (international)	Part-time over 1 - 7 years	Home-based with some travel to Tonga	International Consultant	1,2,3	Provide strategic direction and guidance on delivery of gender strategy, development of gender sensitive guidelines and incorporation of gender-responsive measures in implementation of all project outputs in line with international standards, best practices and UNDP POPP. Update and assist with the implementation of the Gender Strategy and Action Plan of the project. Assessing compliance with guidelines developed in project implementation period. Provide continuous capacity building support to the National Gender and Safeguards Officer
Communication Specialist	Part-time over 1- 7 years	Home-based with some travel to Tonga	International Consultant	1,2,3	Development of communication strategy for the project in line with international standards, best practices and UNDP POPP and technical advisory support to execution of the strategy. Provision of Technical input and Quality Assurance to communication and knowledge products development for the project. Capacity building support to the Communications Officer (National).
Procurement technical support	Part-time over 1 - 7 years	Home-based with some travel to Tonga	Consultant Company	1,2,3	Procurement support for complex and other procurements in the project via support to documentation and procedures in line with UNDP POPP and assessment and monitoring of compliance of documentation and procedures
Technical Expert (International) - Output 1	Part-time over 1- 7 years	Home-based with some travel to Tonga	International Consultant	1	Technical expert for Output 1 will develop the multi-sectoral and multi-actor stakeholder engagement plan and guidelines, update and develop updated CDP Guidelines, support the implementation of the guidelines and local planning processes, develop lessons learnt from undertaking local planning and support trainings of CC risk-informed planning.
Technical Expert (International) - Output 2	Part-time over 1- 7 years	Home-based with some travel to Tonga	International Consultant	2	Technical expert for Output 2 will work closely with the CTA to undertake the Capacity Needs Assessment and develop the Capacity Development Plan (with support from the CTA), and support the implementation of trainings, support data analysis and development of the scenario-based coastal risk maps, incorporate climate data for Output 1 products.

VI. PROJECT RESULTS FRAMEWORK

Contribution to the Sustainable Development Goal (s): *13*

Intended Outcome as stated in the UNSDCF/Country [or Regional] Programme Results and Resource Framework:
Outcome 1: 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.
Sub outcome 2: Enhanced climate change adaptation and resilience.

Applicable Output(s) from the UNDP Strategic Plan:
OUTCOME 3 Resilience built to respond to systemic uncertainty and risk
3.1 Institutional systems to manage multi-dimensional risks and shocks strengthened at regional, national and sub-national levels
4.1 Natural resources protected and managed to enhance sustainable productivity and livelihoods

Project title and Quantum Project Number: Tonga Coastal Resilience Project

GCF Project/Programme Focus:*)*

☐ Reduced emissions (mitigation)
☒ Increased resilience (adaptation)

GCF IMPACT LEVEL – Paradigm shift potential:

	Current state (Baseline)		Potential target scenario (Description)	How the project/programme will contribute (Description)
	Description	**Rating**		
Scale	In Tonga, adaptation to climate change has occurred through a series of one-off project interventions that focus on single localities without reference to broader consideration of the long-term impacts of climate change on coastal areas, land use and sustainable livelihoods.	Low	The 7-year project will reach communities under Output 1, to drive accountable engagement on decision-making for long-term adaptation planning. The paradigm shift involves having the dialogue to underpin future decisions on spatial land planning in the face of sea level rise. Output 2 equips the government with the ability to map climate change impacts, risks and vulnerabilities and provides the critical data to plan for long-term adaptation solutions that aim to avoid maladaptive decisions. Allied to this will be a baseline of fundamental information on coastal topography and bathymetry nationwide. A cohort of officials and community representatives will have the capacity to use this data to inform planning and policy making adaptation responses.	The project will increase the ability for Tonga's government to undertake climate-responsive planning through access to, and ability to utilise information for climate risk informed decision making. The project will support a series of interventions that address different levels: <u>National dialogue</u> A comprehensive National Dialogue will be convened to provide a platform to consider the implications of climate change – especially sea level rise – at a national scale. This will be based on inclusive cross-sector consultations and engagement and be directed towards agreement to long-term policy solutions. <u>Technical inputs and capacity</u> The National Dialogue will receive technical inputs on climate change impacts (e.g. wave/hazard mapping in face of sea level rise). To this end the project will commission one large scale

			The Government of Tonga will be in a position to make long term decisions on approaches to coastal adaptation, including the potential for voluntary retreat and its implications on land use and land ownership (e.g. trade-offs between different uses and beneficiaries). Documented examples of good practice will be available to guide coastal adaptation responses, including infrastructure.	LiDAR survey and support local capacity in data collection and interpretation. <u>Community led adaptation</u> The project will facilitate review of Community Development Plans and District Plans to incorporate gender-responsive community led adaptation responses. <u>Coastal infrastructure models</u> The project will support coastal infrastructure that will both protect local communities and provide models for different approaches.
Replicability	Presently there is (limited technical capacity in terms of expertise and access to data to effectively model vulnerable land areas for planning purposes), limited coordinated engagement to facilitate dialogue from local to national level). No comprehensive nation-wide cross sectoral engagement on impacts of climate change has yet taken place in Tonga (or in other Pacific SIDS), so there has been no opportunity to replicate the approach. Infrastructure for coastal protection has been applied in Tonga (and elsewhere in the Pacific Islands region) but with limited assessment of their	Medium	Output 2 undertakes national capacity building in multiple areas, based on capacity needs assessment. At the same time, the Output hands over tools and datasets, while strategically mentoring and training key staff. Documentation of good practices in coastal infrastructure will also provide models for wider distribution. Equally, the process for achieving agreement – through a dedicated National Dialogue platform on long term adaptation – will also be of wider interest in the face of sea-level rise would be of considerable interest to other SIDS in the Pacific Islands region and potentially elsewhere (the process – at national and community level - may be seen to be as important as the outcome).	The project will provide important models for potential replication in several areas. Firstly – the National Dialogue Platform is unique in the Pacific region in terms of a) the extent of its national coverage, b) commitment to broad engagement, and c) being informed by up-to-date high quality information on hazards. Secondly – the outcome of the process will be a national policy (plus supporting documentation potentially including legal instruments) that will guide long-term decisions on adaptation. Both the above are novel and innovative approaches, for Tonga and the region, so the lessons learned will be captured through a structured process during the project. These will be disseminated as the project concludes through a variety of media, as well as dedicated knowledge sharing events. Models for coastal infrastructure can be used to inform future coastal protection in Tonga (including outer islands) and

	design, effectiveness and longevity.				potentially more widely in the Pacific Islands region.
Sustainability	The Government of Tonga has made multiple commitments to addressing climate change through national statements and strategies - but these largely reflect national aspirations rather than specific actions and lack indication of allocation of resources while coordination between institutions/Departments is also limited.	Medium	The project aims to mainstream climate change hazards into key policies and plans from national level though to community level. This is a means to ensure that meaningful changes are adopted with respect to adaptation planning. In addition, the project will provide enhanced capacity at government and community level to collect, interpret and use information / data on climate change hazards.		The project will support and facilitate the National Dialogue Platform and parallel community engagement in adaptation planning. The project will provide critical data and information for climate risk planning and decision making (e.g. such as supporting coastal LiDAR surveys and the purchase of equipment to maintain current knowledge on key coastal parameters), while also building capacity in these areas as well as data interpretation. It is intended that this knowledge will be sustained through the project term and beyond.
SDG indicators:	**Objective and Outcome Indicators**	**Baseline**	**Mid-term Target**	**End of Project Target**	**Assumptions**
13.1 Strengthen resilience and adaptive capacity to climate-related hazards and natural disasters in all countries	13.1.3 Proportion of local governments that adopt and implement local disaster risk reduction strategies in line with national disaster risk reduction strategies	Currently no guidelines available or climate-risk informed plans	1 island development plans integrate and addresses climate change, gender and adaptation concerns	5 island development plans integrate and address climate change, gender and adaptation concerns	This will be monitored under the project. The project team will sensitize and raise awareness on the importance of women's participation in defining the spatial plans for long-term adaptation
13.b Promote mechanisms for raising capacity for effective climate change-related planning and management in least developed countries and small island developing States, including focusing on women, youth and local and marginalized communities	13.b.1 Number of least developed countries and small island developing States with nationally determined contributions, long-term strategies, national adaptation plans and adaptation communications, as reported to the secretariat of the United Nations	Currently no national mechanism for, or dialogue on co-creating long-term transformative climate change adaptation	No national mechanism for, or dialogue on co-creating long-term transformative climate change adaptation	At least 2 regular meetings held for the multistakeholder platform for dialogue (according to the agreed schedule/at least 1 meeting per year for last 2 years of the project lifetime)	This will be monitored under the project.

	Framework Convention on Climate Change					
GCF OUTCOME LEVEL : Reduced emissions and increased resilience (IRMF Core Indicators, quantitative indicators)						
GCF Results Area	**IRMF Indicator**	**Means of Verification (MOV)**	**Baseline**	**Mid-term Target**	**End of Project Target**	**Assumptions**
ARA1 Most vulnerable people and communities	Core 2: Direct and indirect beneficiaries reached	Minutes of trainings and consultations with communities Beneficiaries feedback surveys Lists of attendees (disaggregated by gender) Training/mentoring materials available for government staff to integrate climate change risks in planning and budgeting Availability of district adaptation plans developed. Available Island Strategic Development Plans – for Ha'apai (2017-2023), Niua (2015-2018), 'Eua (2015-2018), and Vava'u (2017-2023) and Tongatapu that integrate climate change and adaptation concerns. MTE and TE Census data (update changes)	0 (Current population is not covered by climate risk informed district adaptation plans)	350 direct beneficiaries[26] 40,071 indirect beneficiaries[27]	3,608 direct beneficiaries (of which 1,804 are women)[28] 96,871 indirect beneficiaries expected (of which 48436 are women)[29]	Potential changes in settlement populations (with the inward and outward migration of people to Tongatapu) Based on 2021 Census data

[26] By the mid-term, 300 people (community members) will have benefited from some training activities in climate-risk and adaptation for updating/developing the CDPs/ ISPs, and 25 government staff will have benefited from some training in incorporating climate change risks in planning and budgeting, supporting development planning; while a further 25 government staff will have benefited from some technical training on climate risk monitoring and data.

[27] The 40,071 population is expected to benefit from by the project mid-term from the piloting of a climate-risk-informed Tongatapu Island Development Plan, which brings together the Island's population, omitting those already benefiting from climate-risk-informed planning under urban resilience planning for the greater Nuku'alofa area. The figure of 40,071 is the total population of Tongatapu 74,320 (2021 Census), excluding the population within Nuku'alofa (greater region/urban agglomeration) 34,249 (2021 Census), or around 6,134 households (ADB, 2023); where disaster and climate risk planning, including disaster risk management plans, are already addressed within urban master planning (Climate and Disaster Resilient Urban Development Strategy and Investment Plan for Greater Nuku'alofa)[1].

[28] After construction work under Output 3 is completed, 3,258 people will benefit from increased resilience to coastal climate change impacts from coastal protection measures, and 350 people will have benefited from training. This includes 300 people trained in climate-risk and adaptation for updating/developing the CDPs/ ISPs (from project indicator under Output 2) and 50 Government agency staff trained or receiving technical capacity building support under Outputs 1 and 2.

[29] Indirect beneficiaries are the population of Tonga's island groups of Tongatapu, Ha'apai, Niua, 'Eua, and Vava'u given that they will benefit indirectly from the adaptation planning and strategies of the island-level spatial plans developed following piloting in Tongatapu, as well as indirectly benefiting from the outcomes developed through the multistakeholder engagement platform. In addition to the Strategic Development Plan for Tongatapu, the project supports other district plans to incorporate climate risk. In addition to renewing the Island Strategic Development Plans – for Ha'apai (2017-2023), Niua (2015-2018), 'Eua (2015-2018), and Vava'u (2017-2023) the island spatial planning will be supported by the collection, interpretation, and use of data on climate risks for coastal adaptation planning to produce scenario-based coastal risk maps and knowledge material for use. These will also be supported through the development of materials for developing village and district spatial plans (e.g. graphic reports developed from Output 2, visual aids to demonstrate climate change impacts) and a graphic report package", with visual aids to demonstrate climate change impacts, as well as the participatory process workshops/consultations for developing village and district spatial plans for each of 6 islands and 6 Island-level graphical reports related to settlement patterns and climate risk for strategic long-term coastal adaptation planning developed. This will include consultations determining adaptation needs, gender needs, participatory vulnerability assessment and planning. The Island Plans incorporate the community development plans and district development plans.

ARA3 Intrastructure and built environment	Core 3: Value of physical assets made more resilient to the effects of climate change and/or more able to reduce GHG emissions	Independent evaluations (Interim Evaluation and Terminal Evaluation) Project progress reports (including Annual Progress Report) Site visits	The value for this indicator will be determined by mid-term. -	The value for this indicator will be determined by mid-term.	The value for this indicator will be determined by mid-term.	

GCF OUTCOME LEVEL: Enabling environment (IRMF Core Indicators, qualitative indicators)					
Core Indicators	**Baseline context (description)**	**Rating for current state (baseline)**	**Target scenario (description)**	**How the project will contribute**	**Coverage**
Core Indicator 5: Degree to which GCF investments contribute to strengthening institutional and regulatory frameworks for low emission climate-resilient development pathways in a country-driven manner	Lack of coherent national approach to climate risks and the implications for current/future land use in Tonga	low	Long term engaged discussion informing decision making is established through the ongoing meetings of the national multi-stakeholder dialogue platform for dialogue on co-creating long-term climate change adaptation strategies and solutions including voluntary retreat; Inclusive and gender responsive climate change adaptation responses developed at national, island and local level through the national engagement platform for raising awareness and co-	Address recognized barriers to addressing climate risk and adaptation: • Provide resources to support the national multi-stakeholder dialogue platform on co-creating long-term climate change adaptation strategies and solutions process. • Implement technical and social capacity building at community and government level	National level (one country)

			creating adaption solutions.			
Core indicator 8: Degree to which GCF investments contribute to effective knowledge generation and learning processes, and use of good practices, methodologies and standards	Currently no knowledge management and sharing by Government of Tonga on good practices in coastal protection	low	The project will present best practice coastal protection options as part of training undertaken with government officers	The project will showcase best practice contributions through the regional sharing conference with PIC SIDS, and produce a shared publication of good coastal practices that that can be used throughout the Pacific SIDS	Multi-countries	
Core Indicator 6: Degree to which GCF investments contribute to technology deployment, dissemination, development or transfer and innovation	Some current access to coverage of LiDAR, multihazard risk assessments and other types of information for coastal adaptation planning, but limited translation and up to date information	medium	Initial climate impact and risk monitoring and informed decision-making undertaken with new updated LiDAR coverage	Interpreted and up to date, Tonga-wide LiDAR coverage completed and translated to provide the basis for spatial planning and strategic planning decision-making, including adaptation options for resettlement and avoiding maladaptation.	National level (one country)	

PROJECT/PROGRAMME SPECIFIC INDICATORS: (Outputs):						
Project Results (Outputs)	**Indicator**	***Means of Verification (MOV)***	**Baseline**	**Mid-term Target**	**End of Project Target**	**Assumptions**
Output 1 Strengthened knowledge, capacity and engagement for incorporating climate risks into long-term adaptation planning supported through multi-sectoral, multi-stakeholder engagement and dialogue platform	Level of community participation in the multi-sector national dialogue platform on long-term climate change adaptation strategies and solutions	Minutes of meetings Attendees list Workshop reports Progress/Evaluation Reports (Annual Progress Report, Interim Evaluation, Terminal Evaluation)	0% of villages in Tonga have yet to participate in the national awareness campaign or sub-national level consultations on the multi-	At least 40% of villages in Tonga participate in the national awareness campaign or sub-national level consultations	At least 80% of villages in Tonga participate in the national awareness campaign or sub-national level consultations on the multi-stakeholder dialogue platform	Inability to generate buy-in, interest or long-term involvement in the national dialogue process and steps.

			stakeholder dialogue platform	on the multi-sector national dialogue platform		
	Number of national multi-sectoral, multi-stakeholder engagement and dialogue platform meetings held (e.g. at least 1 meeting per year for last 2 years of the project lifetime (or as indicated in the final TOR for the national dialogue platform)	• Minutes of meetings • Attendee lists	Currently no national mechanism for, or dialogue on co-creating long-term transformative climate change adaptation	No national mechanism for, or dialogue on co-creating long-term transformative climate change adaptation	At least 2 regular meetings held for the multi-stakeholder dialogue platform (according to the agreed schedule/at least 1 meeting per year for last 2 years of the project lifetime)	Commitment from all critical parties, including landowners
Output 2 Strengthened national and local capacities for effective monitoring and assessment of climate risks	Availability of a guideline for local planning that incorporates climate risks and adaptation	Number of and availability of plans and policies	Currently no guidelines available or climate-risk informed plans	A draft guideline available and piloted for local planning	At least 1 guideline adopted for local planning	
	Number of Island development plans that integrate and address climate change, gender, and adaptation concerns	Availability of gender-sensitive spatial planning guideline considering climate risk and adaptation strategies developed	Currently no guidelines available or climate-risk informed plans	1 island development plans integrate and addresses climate change, gender and adaptation concerns	5 island development plans integrate and address climate change, gender and adaptation concerns	The project team will sensitize and raise awareness on the importance of women's participation in defining the spatial plans for long-term adaptation
	Number of individuals who are trained (disaggregated by gender) in climate risks and adaptation for updating/developing the CDPs /ISPs	Consultation minutes and attendee lists for training undertaken Feedback analysis of trained individuals	0 community members are trained on updating CDPs and accessing finance for CCA priority actions	100 community members are trained on updating CDPs and accessing finance for CCA priority actions	At least 300 people trained in climate-risk and adaptation for updating/developing the CDPs/ ISPs	Individuals trained will take on key roles in updating the CDPs and ISPs.
	Number of climate risk informed Island plans	Island graphical reports on settlement patterns and climate risk for long-term coastal adaptation planning	0 Island-level graphical profiles related to settlement	0 Island-level graphical profiles related to	5 Island-level graphical profiles related to settlement patterns	LiDAR coverage can be undertaken of all site/unaffected by weather/clouds

		available Minutes of coordinating body/committee established for multi-stakeholder coordination and collaboration on coastal adaptation and planning integrating climate change	patterns and climate risk for strategic long-term coastal adaptation planning developed.	settlement patterns and climate risk for strategic long-term coastal adaptation planning developed.	and climate risk for strategic long-term coastal adaptation planning developed	
Output 3 Reduced vulnerabilities of coastal communities in Hahake to climate hazards through coastal protection measures	Length of coastal protection measures developed for Nukuleka to Talafo'ou and Manuka to Kolonga shoreline	Progress and Evaluation Reports: i) Technical design evaluation report and ii) Implementation report by assessment/ construction vendor iii) Annual progress report	2km of revetment constructed along NE Tongatapu (ADB funded)	2km of revetment constructed along NE Tongatapu (ADB funded) Technical design evaluation report completed	6.3km of revetment constructed along NE Tongatapu in total comprising of: 2.3kms of rock revetment built between Nukuleka and Talafo'ou 2kms of coastal protection measures constructed Manuka to Kolonga	Natural hazards do not drastically change the shoreline structure
	Number of publications shared	Availability of published report on lessons learned in Government of Tonga's climate change website	Limited published information available locally documenting lessons learned on coastal protection measures and effectiveness	Limited published information available locally documenting lessons learned on coastal protection measures and effectiveness	1 published report on lessons learned (on coastal protection measures and effectiveness) available	
	Number of conferences organized for sharing lessons and best practices in climate resilient coastal protection measures	Conference attendees list and conference report on lessons sharing conference	Limited sharing of lessons learned on coastal protection measures and effectiveness relevant to Pacific SIDS	Limited sharing of lessons learned on coastal protection measures and effectiveness relevant to Pacific SIDS	1 conference organized (inclusive of 1 conference report) on best practices in climate resilient coastal protection measures	Willingness for attendees to participate in lessons learned sharing

PROJECT/PROGRAMME CO-BENEFIT INDICATORS:					
Co-benefit	**Indicator**	**Baseline**	**Mid-term Target**	**End of Project Target**	**Assumptions**
Co-benefit 1 Improved gender parity in representation of females engaged in adaptation decision-making	Increase in adaptation solutions that respond to women's priorities in local planning tools or through design thinking workshops.	Adaptation priorities in local planning tools are not differentiated by gender	A minimum of 10 percent of adaptation actions as per the local planning tools responds to priorities expressed by women	30 to 40 percent of adaptation actions as per the local planning tools responds to priorities expressed by women	The project makes considerable efforts to promote women's participation and engagement in climate resilience - including developing long-term adaptation solutions through design thinking workshops, enhancing the capacity of women to shape local development and spatial planning
Co-benefit 2 Improved resilience to multi-hazards	Number of plans considering coastal inundation events developed	0 Island-level graphical profiles related to settlement patterns and coastal inundation risk for strategic long-term coastal adaptation planning developed.	0 Island-level graphical profiles related to settlement patterns and coastal inundation risk for strategic long-term coastal adaptation planning developed.	5 Island-level graphical profiles related to settlement patterns and climate risk incorporating coastal inundation for strategic long-term coastal adaptation planning developed	Planning for coastal inundation generated as an impact of climate change also generates resilience benefits toward tsunami inundation
	Kilometers of coastal protection to multi-hazards (e.g. tsunami impacts) in Hahake	2km of coastal revetment in Nukuleka	2km of coastal revetment in Nukuleka	6.3km of revetment constructed along NE Tongatapu in total comprising of: 2.3kms of rock revetment built between Nukuleka and Talafo'ou 2kms of coastal protection measures constructed Manuka to Kolonga	Climate change coastal protection measures offer some protection for other non-climate change related hazards such as tsunamis

Modifications to the Project Results Framework: **No modifications to the Project Results Framework shall be allowed**, unless the Implementing Partner has sought and obtained prior agreement/approval from UNDP, where pursuant to the terms of the AMA, FAA or GCF policies, UNDP may be required to seek formal prior approval from GCF in relation to proposed modifications to the Funded Activity, in particular where the modifications could reasonably be considered to constitute a Major Change (as defined in the GCF policies). All minor and major modifications shall be duly documented in a Note to File and shall be cleared by UNDP-BPPS in line with UNDP policies and Standard Operating Procedures.

VII. MONITORING AND EVALUATION (M&E) PLAN

Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the UNDP POPP and UNDP Evaluation.

The UNDP Country Office is responsible for ensuring full compliance with all UNDP project M&E requirements including project monitoring, UNDP quality assurance requirements, quarterly risk management, and evaluation requirements.

Additional M&E requirements will be undertaken in accordance with the GCF Integrated Results Management Framework, GCF Evaluation Policy, and other relevant GCF policies. The costed M&E plans included below, and the Monitoring Activity Plan in Annex Q, will guide the GCF-specific M&E activities to be undertaken by this project.

In addition to these mandatory UNDP and GCF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Report.

Minimum project monitoring and reporting requirements as required by the GCF:

Inception Workshop and Report: A project inception workshop will be held after the Funded Activity Agreement becomes effective, with the aim to:

a. Familiarize key stakeholders with the detailed project strategy and discuss any changes that may have taken place in the overall context since the project idea was initially conceptualized that may influence its strategy and implementation.
b. Discuss the roles and responsibilities of the project team, including reporting lines, stakeholder engagement strategies and conflict resolution mechanisms.
c. Review the results framework and monitoring plan.
d. Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E; discuss the role of the GCF National Designated Authority and other stakeholders in project-level M&E.
e. Update and review responsibilities for monitoring project strategies, including the risk register; SESP report, Social and Environmental Management Framework and other safeguard requirements; project grievance mechanisms; gender strategy; knowledge management strategy, and other relevant management strategies.
f. Review financial reporting procedures and budget monitoring and other mandatory requirements and agree on the arrangements for the annual audit.
g. Plan and schedule Project Board meetings and finalize the first-year annual work plan.
h. Formally launch the Project.

The inception report is to be submitted to GCF within six months of project start (i.e. Funded Activity Agreement effectiveness)[30]. The inception report will be cleared by the UNDP Country Office and the UNDP-BPPS Regional Technical Adviser and approved by the Project Board.

GCF Annual Performance Report (APR) (due for submission to the GCF by 1st March each year of project implementation):

The annual GCF APR covering the reporting period January to December will be completed for each year of project implementation. UNDP will undertake quality assurance of the APR before submission to the GCF. The APR process and will follow the standard annotated GCF templates and UNDP guidance prepared by BPPS for GCF-financed projects.

[30] See Schedule 4 of the Funded Activity Agreement

The Project Manager, the UNDP Country Office, and the BPPS Regional Technical Advisor will provide objective input to the APR. The Project Manager will ensure that the indicators included in the project results framework are monitored annually in advance so that progress can be included in the report. The Project Manager and CO must complete a high-quality draft APR and financial file for review and input by the BPPS RTA and for an internal quality assurance and clearance process prior to submission of the APR to the GCF.

The UNDP Country Office will coordinate the input of other stakeholders to the APR, as appropriate. The quality rating of the previous year's report will be used to inform the preparation of the subsequent report.

The APR submitted to the GCF shall be shared with the Project Board and disclosed publicly on GCF's website.

All project documents should have an annex that outlines in detail the project results, tracking and verification system as part of the description of the project's M&E framework.

Independent Interim Evaluation Report (IER):

An independent interim evaluation report will be submitted to the GCF by 27 May 2028*. This is a legally binding deadline. If it cannot be met because of extraordinary circumstances, a milestone extension request must be sent to and cleared by BPPS/VF Programme Support, Oversight and Compliance Hub and submitted to the GCF Secretariat at least 2 months prior to the submission deadline*.

In order to meet the submission deadline, the final IER must be completed and sent to BPPS/VF Programme Support, Oversight and Compliance Hub no later than 2 months in advance of the GCF submission deadline to allow sufficient time for internal review/clearance that is required prior to submission. Therefore, the IER process must start no later than 8 months before the expected date of submission to the GCF.

The terms of reference, the review process and the final IER report will follow the standard templates and guidance prepared by UNDP for GCF-financed projects available on the UNDP Evaluation Resource Center (ERC).

The evaluation will be independent, impartial
and rigorous. The evaluator(s) that UNDP will hire to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. Equally, the evaluators should not be in a position where there may be the possibility of future contracts regarding the project being evaluated.

The GCF NDA and other stakeholders will be involved and consulted during the evaluation process. Additional quality assurance support is available from the BPPS RTA and BPPS VF Programme Support, Oversight and Compliance Hub.

The final IER will be publicly available in English and will be posted on the UNDP ERC by 27 May 2028. A management response to IER recommendations will be posted in the ERC within six weeks of the IER's completion and submitted to the GCF Secretariat as per the AMA/FAA requirements.

Project Completion Report (PCR):

The Project Completion Report will cover the project's final calendar year of implementation and will be due for submission to the GCF within [3 months] after the project completion date.[31]

The Project Manager, the UNDP Country Office, and the BPPS Regional Technical Advisor will provide objective input to the PCR covering the final calendar year of implementation. The Project Manager and CO must complete a high-

[31] See Schedule 4 of the Funded Activity Agreement

quality draft PCR and financial file for review and input by BPPS RTA and for an internal quality assurance and clearance process prior to submission of the APR to the GCF.

The UNDP Country Office will coordinate the input of other stakeholders to the PCR, as appropriate.

Independent Final Evaluation Report (FER):

An independent final evaluation report (FER) will take place upon completion of all major project outputs and activities and will be submitted to the GCF by 27 February 2032. *This is a legally binding deadline. If it cannot be met because of extraordinary circumstances, a milestone extension request must be sent to and cleared by BPPS/VF Programme Support, Oversight and Compliance Hub and submitted to the GCF Secretariat at least 2 months prior to the submission deadline.*

In order to meet the submission deadline, the final version of the FER must be completed and sent to BPPS RTA no later than 2 months in advance of the GCF submission deadline to allow sufficient time for internal review/clearance that is required prior to submission. Therefore, the FER process must start no later than 8 months before the expected date of submission to the GCF.

The terms of reference, the evaluation process and the final FER will follow the standard templates and guidance prepared by the UNDP for GCF-financed projects available on the UNDP Evaluation Resource Center.

The evaluation will be independent, impartial and rigorous. The evaluator(s) that UNDP will hire to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. Equally, the evaluators should not be in a position where there may be the possibility of future contracts regarding the project being evaluated.

The GCF NDA and other stakeholders will be involved and consulted during the final evaluation process. Additional quality assurance support is available from BPPS RTA and VF Programme Support, Oversight and Compliance Hub.

The final FER will be publicly available in English and posted on the UNDP ERC by 27 February 2032. A management response to the FER recommendations will be posted to the ERC within six weeks of the FER report's completion and submitted to the GCF Secretariat as per the AMA/FAA requirements.

Final Report:

The project's Project Completion Report along with the final evaluation report (FER) and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the Project Board during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

Monitoring and Evaluations Plans:
In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans**.**

Monitoring Plan**:** The project results, corresponding indicators and mid-term and end-of-project targets in the project results framework will be monitored by the Project Management Unit annually, and will be reported in the GCF APR every year, and will be evaluated periodically during project implementation. If baseline data for some of the results indicators is not yet available, it will be collected during the first year of project implementation. Project risks, as outlined in the risk register, will be monitored quarterly.

See

Annex O: Monitoring Activity Table for the detailed Monitoring Activity Table.

GCF Monitoring requirements	Frequency/ Timeframe	Expected Action	Primary responsibility	Partners (if joint)	Indicative costs to be charged to the Project Budget[32] (US$)
Inception Workshop		As per above description	Implementing Partner Project Manager (PM)/Coordinator/Chief Technical Advisor (CTA)		*8,000*
Inception Report and baseline assessments	Within six (6) months after the Effective Date	As per above description	PM/Coordinator/CTA		*21,833*
Risk management (including Quantum Risk Register)	Quarterly	Risks are identified by Project Team and actions are taken to manage risk. The risk register is actively maintained to keep track of identified risks and actions taken	PM/Coordinator/CTA Country Office		None
Monitoring of indicators in project results framework ***(including hiring of external experts, project surveys, data analysis, data collection for IER and FER, etc.)*** ***See Monitoring Activity Table in Annex Q***	On-going	Slower than expected progress will be addressed by project management	PM/Coordinator/CTA		*300,000*
GCF Annual Performance Report	Annually as per FAA	Mandatory contribution by Project Team, CO and BPPS RTA. Strengths and weaknesses to be reviewed by project management and used to inform decisions to improve	RTA UNDP Country Office[33] PM/Coordinator/ CTA		*25,000*

[32] Excluding project team staff time and UNDP staff time and travel expenses.
[33] Or equivalent for regional or global project

GCF Monitoring requirements	Frequency/ Timeframe	Expected Action	Primary responsibility	Partners (if joint)	Indicative costs to be charged to the Project Budget[32] (US$)
		project performance			
Audit of Implementing Partner as per UNDP audit policies	As per UNDP Audit policies		UNDP Country Office		*12,000*
Lessons learned, case studies, and knowledge generation	On-going	Relevant lessons are captured by project management and used to inform management decisions, raise awareness, etc.	Project Manager		*Cost is allocated under Activity 3.2*
Monitoring of *ESMP*	On-going		Project Safeguards Officer		*35000*
Monitoring of gender action plan	On-going		Project Gender Officer		*35000*
Monitoring of stakeholder engagement plan	On-going		Project Stakeholder Engagement Officer		*70,000*
Addressing environmental and social grievances	*Costs associated with missions, workshops, UNDP-BPPS expertise etc. can be charged to the project budget.*		Project Manager UNDP Country Office UNDP-BPPS as needed		*16,250*
Project Board meetings	At minimum annually		Project Board UNDP Country Office PM		
Supervision missions	Two per year		UNDP Country Office		None[34]
Oversight missions	Troubleshooting as needed		RTA UNDP BPPS		None[35]
GCF learning missions/site visits	To be determined.		UNDP Country Office and Project Manager and UNDP BPPS		
Oversight of IE process and IE management response	As per IER schedule		UNDP Country Office and UNDP BPPS		None**Error! Bookmark not defined.**
Project Completion Report	21 November 2031	Mandatory contribution by Project Team, CO	RTA UNDP Country Office[36] PM/Coordinator/ CTA		

[34] The costs of UNDP Country Office and BPPS's participation and time are charged to the GCF Agency Fee.
[35] The costs of UNDP Country Office and BPPS participation and time are charged to the GCF Agency Fee.
[36] Or equivalent for regional or global project

GCF Monitoring requirements	Frequency/ Timeframe	Expected Action	Primary responsibility	Partners (if joint)	Indicative costs to be charged to the Project Budget[32] (US$)
		and BPPS RTA. Strengths and weaknesses to be reviewed by project management and used to inform decisions to improve project performance			
Translation of evaluation reports into English	As required. GCF will only accept reports in English.		UNDP Country Office		
Oversight of FE process and FE management response	As per FER schedule		UNDP		None**Error! Bookmark not defined.**
TOTAL indicative COST Excluding project team staff time, and UNDP staff and travel expenses					*523,083*

Evaluation Plan

GCF Evaluation Requirements	Partners (if joint)	Related Strategic Plan Output	UNSDCF/CPD Outcome	Submission Date to GCF	Key Evaluation Stakeholders	Cost and Source of Funding
Independent Interim Evaluation				By the IER submission date on cover page of this project document		*33,000* Charged to Fee budget
Independent Final Evaluation				By the FER submission date on cover page of this project document		*33,000* Charged to Fee budget
TOTAL indicative COST						*66,000*

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

Section 1: General roles and responsibilities in the projects' governance mechanism

The project will be implemented following UNDP's Direct Implementation Modality (DIM), which is the modality whereby UNDP takes on the role of Implementing Partner. This role is reflected in the Standard Basic Assistance Agreement (SBAA) signed between UNDP and the Government of Tonga signed on 2013, the Country Programme Action Plan (CPAP), and policies and procedures as outlined in the UNDP POPP (see https://info.undp.org/global/popp/ppm/Pages/Defining-a-Project.aspx). In DIM modality, UNDP applies its technical and administrative capacity and assumes the responsibility for mobilizing and applying effectively the required inputs in order to reach the expected outputs. UNDP assumes overall management responsibility and accountability for project implementation. Accordingly, UNDP must follow all policies and procedures established for its own operations. The responsibility for the execution of the DIM projects rests with UNDP. However, Government ownership of the project is ensured in the DIM modality, and the project implementation is directly co-located with the Government of Tonga.

The 2023 Micro-HACT assessment results stipulated that the project should be implemented under DIM. DIM will accordingly be applied in a way that maximizes cost-effectiveness while tailoring the capacity development of counterpart government institutions.

UNDP provides a three-tier oversight and quality assurance role involving UNDP staff in Country Offices and at regional and headquarters levels. This includes management of funds, programme quality assurance, fiduciary risk management, timely delivery of financial and programme reports to GCF and other requirements as per the AMA.The quality assurance role supports the Project Board by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. Project Assurance must be independent of the Project Management function; the Project Board cannot delegate any of its quality assurance responsibilities to the Project Manager. The project assurance role is covered by the accredited entity fee provided by the GCF. As an Accredited Entity to the GCF, UNDP is required to deliver GCF-specific oversight and quality assurance services including: (i) Day-to-day oversight supervision, (ii) Oversight of project completion, (iii) Oversight of project reporting. UNDP's responsibilities are outlined in the AMA that has been entered into between GCF and UNDP and are outlined in the FAA for this project. The FAA and AMA will govern UNDP's responsibilities for GCF. The 'Development Partner' role of UNDP is to represent the interests of the parties, which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing) and is covered by the accredited entity fee provided by the GCF. The Development Partner's primary function within the Board is to provide guidance regarding the technical feasibility of the project.

Implementing Partner: The Implementing Partner for this project is the UNDP Pacific Multi-Country Office (MCO). The Implementing Partner is the entity to which the UNDP Administrator has entrusted the implementation of UNDP assistance specified in the signed project document along with the assumption of full responsibility and accountability for the effective use of UNDP resources and the delivery of outputs, as set forth in this document.

The Implementing Partner is responsible for executing this project. Specific tasks include:

- Project planning, coordination, management, monitoring, evaluation and reporting. This includes providing all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes and is aligned with national systems so that the data used and generated by the project supports national systems.
- Overseeing the management of project risks as included in this project proposal and new risks that may emerge during project implementation;
- Procurement of goods and services, including human resources;

- Financial management, including overseeing financial expenditures against project budgets;
  - Approving and signing the multiyear workplan;
  - 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.

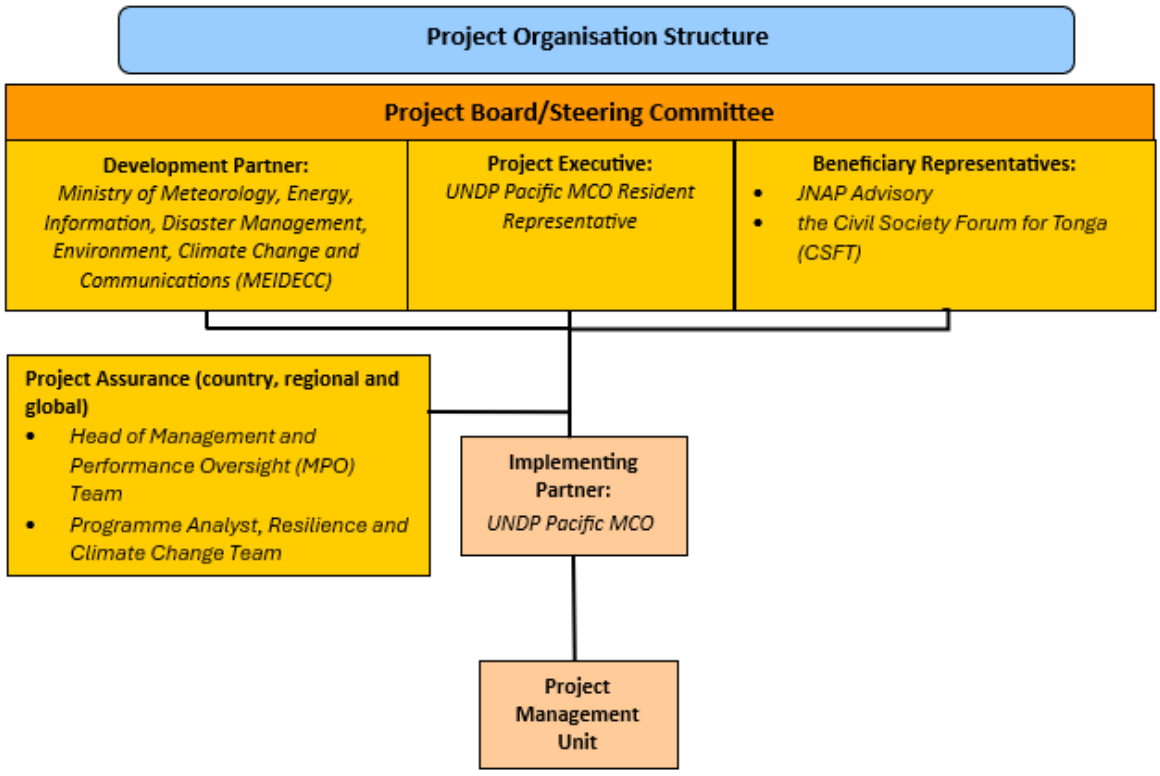
Project stakeholders and target groups: The project engages the Joint National Adaptation Plan (JNAP) Advisory for multisectoral multistakeholder involvement across government as well as the community level directly and the Tonga Civil Society Forum for Tonga (CFST), the Prime Minister's Office (National Planning and Local Government), and the Ministry of Internal Affairs (MIA).

UNDP: UNDP is accountable to the GCF for the implementation of this project. This includes overseeing project execution undertaken by the Implementing Partner to ensure that the project is being carried out in accordance with UNDP and GCF policies and procedures and the standards and provisions outlined in the Delegation of Authority (DOA) letter for this project. **The UNDP BPPS Executive Coordinator, in consultation with UNDP Regional Bureaus and the Implementing Partner, retains the right to revoke the project DOA, suspend or cancel this GCF project.** UNDP is responsible for the Project Assurance function in the project governance structure and presents to the Project Board and attends Project Board meetings as a non-voting member.

A strict firewall will be maintained between the delivery of project oversight and quality assurance performed by UNDP and project execution undertaken by UNDP. The segregation of functions and firewall provisions within UNDP in this case is described in the next section.

Section 2: Project governance structure

Figure 5 Project Organisation Structure



**The Ministry of Meteorology, Energy, Information, Disaster Management, Environment, Climate Change provides financing to the project issued via the Ministry of Finance as Co-financing.*

The UNDP Resident Representative assumes full responsibility and accountability for oversight and quality assurance of this Project and ensures its timely implementation in compliance with the GCF-specific requirements and UNDP's Programme and Operations Policies and Procedures (POPP), its Financial Regulations and Rules and Internal Control Framework. A representative of the UNDP Country Office will assume the assurance role and will present assurance findings to the Project Board, and therefore attends Project Board meetings as a non-voting member.

Section 3: Segregation of duties and firewalls vis-à-vis UNDP representation on the project board

The UNDP Resident Representative and Deputy Resident Representative perform UNDP's implementation oversight role in the project, as represented in the project board and via the project assurance function. The UNDP Project Manager, who will report to the UNDP Pacific MCO, performs UNDP's execution role in the project.

Section 4: Roles and Responsibilities of the Project Organization Structure

a) **Project Board:** All UNDP projects must be governed by a multi-stakeholder board or committee established to review performance based on monitoring and evaluation, and implementation issues to ensure quality delivery of results. The Project Board (also called the Project Steering Committee) is the most senior, dedicated oversight body for a project.

The two prominent (mandatory) roles of the project board are as follows:

1) **High-level oversight of the execution of the project by the Implementing Partner** (as explained in the "Provide Oversight" section of the POPP). This is the primary function of the project board and includes annual (and as-needed) assessments of any major risks to the project, and decisions/agreements on any management actions or remedial measures to address them effectively. The Project Board reviews evidence of project performance based on monitoring, evaluation and reporting, including progress reports, evaluations, risk register and the combined delivery report. The Project Board is the main body responsible for taking corrective action as needed to ensure the project achieves the desired results.

2) **Approval of strategic project execution decisions of the Implementing Partner** with a view to assess and manage risks, monitor and ensure the overall achievement of projected results and impacts and ensure long term sustainability of project execution decisions of the Implementing Partner (as explained in the "Manage Change" section of the POPP).

Requirements to serve on the Project Board:

- ✓ Agree to the Terms of Reference of the Board and the rules on protocols, quorum and minuting.
- ✓ Meet annually; at least once.
- ✓ Disclose any conflict of interest in performing the functions of a Project Board member (if not avoidable) and take all measures to avoid any real or perceived conflicts of interest. This disclosure must be documented and kept on record by UNDP.
- ✓ Discharge the functions of the Project Board in accordance with UNDP policies and procedures.
- ✓ Ensure highest levels of transparency and ensure Project Board meeting minutes are recorded and shared with project stakeholders.

Responsibilities of the Project Board:

- ✓ Consensus decision making:
    - The project board provides overall guidance and direction to the project, ensuring it remains within any specified constraints, and provides overall oversight of the project implementation.
    - Review project performance based on monitoring, evaluation and reporting, including progress reports, risk register and the combined delivery report;

- The project board is responsible for making management decisions by consensus.
- 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.
- In case consensus cannot be reached within the Board, the UNDP representative on the board will mediate to find consensus and, if this cannot be found, will take the final decision to ensure project implementation is not unduly delayed.

✓ Oversee project execution:

- Agree on project manager's tolerances as required, within the parameters outlined in the project document, and provide direction and advice for exceptional situations when the project manager's tolerances are exceeded.
- Appraise annual work plans prepared by the Implementing Partner for the Project; review combined delivery reports prior to certification by the implementing partner.
- Address any high-level project issues as raised by the project manager and project assurance;
- Advise on major and minor amendments to the project within the parameters set by UNDP and the donor and refer such proposed major and minor amendments to the UNDP BPPS/VF Executive Coordinator (and the GCF Secretariat and/or GCF Board, as required by GCF policies);
- Provide high-level direction and recommendations to the project management unit to ensure that the agreed deliverables are produced satisfactorily and according to plans.
- Track and monitor co-financed activities and realisation of co-financing amounts of this project.
- Approve the Inception Report, Baseline Report, GCF APRs, Interim Independent Evaluation and terminal evaluation reports, other reports that GCF may require.
- Ensure commitment of human resources to support project implementation, arbitrating any issues within the project.

✓ Risk Management:

- Provide guidance on evolving or materialized project risks and agree on possible mitigation and management actions to address specific risks.
- Review and update the project risk register and associated management plans based on the information prepared by the Implementing Partner. This includes risks related that can be directly managed by this project, as well as contextual risks that may affect project delivery or continued UNDP compliance and reputation but are outside of the control of the project. For example, social and environmental risks associated with co-financed activities or activities taking place in the project's area of influence that have implications for the project.
- Address project-level grievances.

✓ Coordination:

- Ensure coordination between various donor and government-funded projects and programmes.
- Ensure coordination with various government agencies and their participation in project activities.

Composition of the Project Board: The composition of the Project Board must include individuals assigned to the following three roles:

1. **Project Executive:** This is an individual who represents ownership of the project and chairs (or co-chairs) the Project Board. The Executive usually is the senior national counterpart for nationally implemented projects (typically from the same entity as the Implementing Partner), and it must be UNDP for projects that are direct implementation (DIM). In exceptional cases, two individuals from different entities can co-

share this role and/or co-chair the Project Board. If the project executive co-chairs the project board with representatives of another category, it typically does so with a development partner representative. The Project Executive is: UNDP Pacific MCO Resident Representative

2. **Beneficiary Representative(s):** Individuals or groups representing the interests of those groups of stakeholders who will ultimately benefit from the project. Their primary function within the board is to ensure the realization of project results from the perspective of project beneficiaries. Often representatives from civil society, industry associations, or other government entities benefiting from the project can fulfil this role. There can be multiple beneficiary representatives in a Project Board. The Beneficiary representative (s) is/are:: the JNAP Advisory and the Civil Society Forum for Tonga (CSFT).

3. **Development Partner(s):** Individuals or groups representing the interests of the parties concerned that provide funding, strategic guidance and/or technical expertise to the project. The Development Partner(s) is/are: the Ministry of Meteorology, Energy, Information, Disaster Management, Environment, Climate Change.[37]

b) **Project Assurance:** Project assurance is the responsibility of each project board member; however, UNDP has a distinct assurance role for all UNDP projects in carrying out objective and independent project oversight and monitoring functions. UNDP performs quality assurance and supports the Project Board (and Project Management Unit) by carrying out objective and independent project oversight and monitoring functions, including applying and ensuring compliance with UNDP's risk management and social and environmental management systems to ensure the SES are applied through the project cycle. The Project Board cannot delegate any of its quality assurance responsibilities to the Project Manager. Project assurance is totally independent of project execution.

A designated representative of UNDP playing the project assurance role is expected to attend all board meetings and support board processes as a non-voting representative. It should be noted that while in certain cases UNDP's project assurance role across the project may encompass activities happening at several levels (e.g. global, regional), at least one UNDP representative playing that function must, as part of their duties, specifically attend board meeting and provide board members with the required documentation required to perform their duties. The UNDP representative playing the main project assurance function is: the UNDP Deputy Resident Representative.

c) **Project Management – Execution of the Project:** The Project Manager (PM) (also called project coordinator) is the senior most representative of the Project Management Unit (PMU) and is responsible for the overall day-to-day management of the project on behalf of the Implementing Partner, including the mobilization of 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 review and approval, including progress reports, annual work plans, adjustments to tolerance levels and risk registers.

A designated representative of the PMU is expected to attend all board meetings and support board processes as a non-voting representative.

The primary PMU representative attending board meetings is: the Project Manager

The Project Management Unit (PMU): All the PMU positions will be located in Nuku'alofa, Tonga, and none are based in UNDP Pacific Multi-Country Office (MCO). The majority of roles based full time within an office located in Nuku'alofa. However, some technical roles are to be part-time and remote (homebased) with travel to Tonga. The project's Inception Report will provide details of the establishment of the PMU, any changes and updates to the PMU structure. The Project Management Unit will comprise of the following national and international positions:

- Full-time - International: Project Manager, based in-country.
- Full-time – National, based in-country: Deputy Project Manager; Gender and Safeguards Officer; Communications Officer; Administrative Assistant; Finance Officer; Monitoring and Evaluation Officer; Driver.

[37] the Ministry of Meteorology, Energy, Information, Disaster Management, Environment, Climate Change provides financing to the project issued via the Ministry of Finance as Co-financing.

- Part-time – International, intermittently based in-country: a Chief Technical Advisor, Procurement Technical Advisor
- Furthermore, a Project Implementation Unit (PIU) will be set-up within the Ministry of Infrastructure dedicated to the construction component of the project with the following expertise: Design and supervision engineering firm personnel, Safeguards specialist (construction), Safeguards Officer (construction). Procurement Technical Advisor

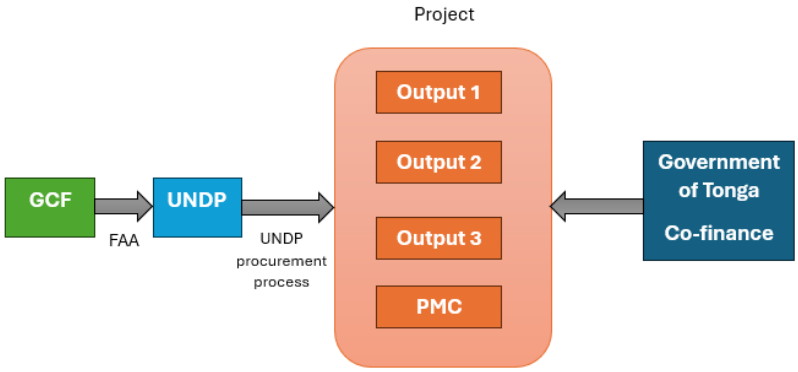
The Project Manager: The Project Manager (PM) (also called project coordinator) is the senior most representative of the Project Management Unit (PMU) and is responsible for the overall day-to-day management of the project on behalf of UNDP, including the mobilization of all project inputs, supervision over project staff, consultants and sub-contractors. The Project Manager will attend all board meetings and support board processes as a non-voting representative. The Project Manager will run the project on a day-to-day basis within the constraints laid down by the Project Board, and prepare 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 function will end when the final project terminal evaluation report and other project closure activities and documentation required by the GCF and UNDP, has been completed and submitted to UNDP. The Project Manager'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, as well as managing the overall conduct of the project; Implementing activities by mobilizing goods and services; Checking on progress and plan deviations; Ensuring that changes are controlled and problems addressed; Monitoring progress and risks; and Reporting on progress including measures to address challenges and opportunities.

IX. FINANCIAL PLANNING AND MANAGEMENT

The total cost of the project is USD 23,919,409. This is financed through a GCF grant of USD 22,656,409, USD 63,000 in cash co-financing to be administered by UNDP and USD 1,200,000 in other co-financing not administered by UNDP. UNDP is responsible for the oversight of implementation of the Funded Activity, including those activities and outcomes supported by GCF resources and through co-financing.

GCF funding will be received by the administrative agent (UNDP) as the AE on a standard Funded Activity Agreeement (FAA) signed between the GCF and UNDP (see the figure below). Considering the latest Mico-HACT findings for MEIDECC and taking into account the procurement burdens entailed by what this project seeks to do, the project will be implemented as per UNDP's Direct implementation Modality (DIM). Tonga's Government co-finance will be independently invested in project outcomes, in parallel to GCF grant during implementation. UNDP has received a co-financing commitment through an official letter from the Government of Tonga's Ministry of Finance confirming its commitment to co-finance the GCF Coastal Resilience Project. The Board will ensure, as part of its functions and responsibilities, tracking of the co-financing amounts and its utilization as per the approved Work Plan of the project. There is no fund flow through the AE on co-finance. The fund flow for the project is shown below.

Figure 6 Project Fund Flow



Co-finance disbursement monitoring: The actual realization (materialization) of project co-financing will be monitored and reported (i) in each Annual Performance Report (APR), (ii) in the Interim Evaluation, (iii) in the Terminal Evaluation, (iv) in the Project Completion Report, (v) as a condition precedent for all requests for disbursement, within the timeframe to ensure timely requests for disbursements and in form and substance satisfactory to the GCF, and (vi) upon the request of GCF. Signed letters from co-financiers will be requested for (i) and (v) to confirm the amounts that have materialized for the respective calendar year or implementation year.

Co-financing will be used for the following project outputs:

Co-financing source	Co-financing type/financial instrument	Name of Co-financier	Investment Mobilized	Co-financing amount	Co-financing Outputs
Government of Tonga	Cash contribution	Ministry of Finance	Awareness campaign media National dialogue events Documentary/film materials Workshops/consultations Printed products and audiovisual materials National event	732,000	Output 1
Government of Tonga	Cash contribution	Ministry of Finance	O&M implementation for data and equipment Training of govt officials Design and publication Workshops	258,000	Output 2
Government of Tonga	Cash contribution	Ministry of Finance	O&M, technical meetings, publication/s, video and contribution to Conference	210,000	Output 3
UNDP TRAC resources	Grant in cash	Ministry of Finance	Regional conference (activity 3.2.3)	63,000	Output 3

GCF Disbursement schedule: GCF grant funds will be disbursed by GCF upon submission of the Request for Disbursement (RfD) to GCF according to the indicative disbursement schedule (submitted to GCF as a condition for FAA effectiveness) and upon meeting all conditions precedent to disbursement. The Country Office will submit an annual work plan to the UNDP BPPS/VF Programme Support, Oversight and Compliance Hub and comply with the GCF milestones in order for the next tranche of project funds to be released. All efforts must be made to achieve

80% delivery annually to accomplish the expected outputs/activities on a timely manner, within the planned duration to avoid extension of the project.

Disbursements	GCF Proceeds (USD)
Disbursement 1	954,864
Disbursement 2	5,570,681
Disbursement 3	3,349,399
Disbursement 4	3,039,418
Disbursement 5	3,706,806
Disbursement 6	4,296,471
Disbursement 7	1,738,770
Total	**22,656,409**

Conditions Precedent for Disbursement: The Government/Implementing Partner is aware of the conditions and covenants of disbursement ascribed to the first and subsequent tranches of the GCF funding, as further set out below. To the extent that these obligations reflect actions of the Government, the Government must ensure that the conditions are met and there is continuing compliance, as well as understanding that the availability of GCF funding is contingent on meeting all conditions listed. The UNDP-BPPS unit will conduct a compliance review the FAA conditions precedent and covenants to disbursement as a part of the internal clearance procedures for submitting request for disbursements to the GCF, in accordance with Clause 9 of the FAA – Conditions Precedent to Disbursement, and Clause 10 – Additional Representations, Warranties and Covenants of the Accredited Entity:

The obligation of the Fund to make any Disbursements under this Agreement shall be subject to the following conditions having been fulfilled to the satisfaction, in form and substance, of the Fund:

a) *General conditions for all Disbursements*:

I. Other than in relation to the first Disbursement, submission to the Fund by the Accredited Entity of evidence that at least seventy per cent (70%) of the funds previously disbursed by the Fund have been spent on Eligible Expenditures;

II. Other than in relation to the first Disbursement, submission to the Fund by the Accredited Entity of APRs and Financial Information in accordance with the AMA and this Agreement;

III. Delivery to the Fund by the Accredited Entity of a Request for Disbursement, signed by the person or persons authorized to do so, no later than thirty (30) calendar days prior to the date on which the Disbursement is requested to be made, which shall not be later than the Closing Date;

IV. Delivery to the Fund by the Accredited Entity of evidence indicating the status and the amount of the Co-financing disbursed and applied to the implementation of the Funded Activity up to the date of the request for funds made by the Accredited Entity; and

V. Confirmation to the Fund by the Accredited Entity that there is no event of default occurring with respect to this Agreement.

b) *Conditions precedent to first Disbursement*:

I. Effectiveness of this Agreement;

II. Delivery to the Fund by the Accredited Entity of an executed copy of the Project Document; and

III. Delivery to the Fund by the Accredited Entity of evidence of the authority of the person or persons authorized to sign each Request for Disbursement (with respect to the GCF Proceeds and the

Accredited Entity Fees) under this Agreement, unless otherwise notified by the Accredited Entity, and the authenticated specimen signature of each such person;

c) *Conditions precedent for all Disbursements where the GCF Proceeds will be used to finance construction works under the Project*:
   I. Solely in the case of the first such Disbursement for the relevant lot of Civil Works, delivery to the Fund by the Accredited Entity of the detailed technical feasibility studies for the relevant civil works contract(s) to be carried out under the Project, comprising of the technical assessments and engineering designs; and
   II. Solely in the case of the first such Disbursement for the relevant lot of Civil Works, delivery to the Fund by the Accredited Entity of (A) the Terms of Reference/Request For Proposals for the relevant Civil Works to be carried out under the Project, and (B) evidence that the relevant procurement/contracting process has been launched by the Accredited Entity.

d) *Conditions precedent to third Disbursement*:
   I. Delivery to the Fund by the Accredited Entity of written confirmation from the Accredited Entity that all licenses, permits, registrations and any other authorizations that may be required in order for the construction works under the Project to be carried out have been obtained and are in full force and effect.

If within one hundred and twenty (120) calendar days from the Effective Date, or such longer period established by the Fund in writing, the conditions precedent for the first Disbursement established in Clause 9.01 have not been fulfilled, the Fund may terminate this Agreement by giving notice to the Accredited Entity.

If thirty (30) days prior to the Closing Date, the Accredited Entity has not requested the Disbursement of the full amount of the GCF Proceeds, or the Fund has not otherwise disbursed the full amount of the GCF Proceeds, GCF shall be entitled to cancel the undisbursed portion of the GCF Proceeds.

In addition to clause 18.01 of the AMA, the Accredited Entity represents and warrants that:

a) On the date of the execution of this Agreement and the date of each Disbursement made by the Fund under this Agreement, there are no circumstances of which the Accredited Entity is aware, including through its oversight of the Funded Activity as per the obligations of this FAA, the AMA and UNDP's own policies and practices, that may substantially interfere with the performance of its obligations under this Agreement, the AMA or with the implementation of the Funded Activity, or otherwise jeopardize the achievements of any objectives, outcomes or outputs of the Funded Activity;
b) On the date of the first Disbursement by the Fund under this Agreement and throughout the term of this Agreement, the Project Document remains in effect;
c) On the date of each Disbursement by the Fund under this Agreement, no Event of Default has occurred and is continuing under this Agreement;
d) On the date of execution of this Agreement, the Effective Date and on the date of each Disbursement made by the Fund under this Agreement, the Accredited Entity has carried out all due diligence as necessary to ensure that the Funded Activity is at all times in compliance with its own gender policy and any other relevant UNDP policies;
e) On the date of execution of this Agreement, the Effective Date and on the date of each Disbursement made by the Fund under this Agreement, the Accredited Entity has carried out all due diligence as necessary to ensure that the Funded Activity is at all times in compliance with the requirements of clause 4.05(b)(ii)(B) of the AMA; and
f) On the Effective Date, the Accredited Entity has duly executed this Agreement, and that this FAA is legally binding on, and enforceable against it in accordance with its governing law.

In addition to clause 18.02 of the AMA, the Accredited Entity covenants that as from the Effective Date of this Agreement it shall:

Project Implementation

a) Apply, in accordance with its own policies and procedures, its own fiduciary principles and standards relating to AML/CFT in the implementation of the Funded Activity;
b) Ensure that the beneficiaries, sites, village communities, non-governmental organisations and multi-stakeholder dialogue platform participants identified in section B.3 of the Funding Proposal are selected in accordance with the relevant Activities and processes set out in the Funding Proposal;
c) Not change any of the Project implementation sites under Activity 3.1 without the prior written approval of the Fund;
d) Without prejudice to the requirements of clause 10.01(b) of the AMA, ensure that the company(ies) contracted to perform the construction works under Activity 3.1 take out and maintain appropriate insurance coverage including, but not limited to, contractors all risk insurance, third party/public liability insurance and labour/workers compensation insurance prior to the commencement of any construction works, in each case, in accordance with prudent industry practice;

Co-financing Provisions

e) Confirm to the Fund, in the APRs to be submitted to the Fund, that each Co-financier has allocated in its annual budget the relevant Co-financing resources for the implementation of the Project to the satisfaction of the Accredited Entity;
f) Inform the Fund, in the APRs to be submitted in accordance with the AMA, on the status of the Co-financing resources that have been disbursed and applied to the implementation of the Funded Activity;
g) Ensure that the Co-financing provided by the Co-financiers for the execution of the Funded Activity is obtained from and contributed by each Co-financier in a timely manner;
h) Take appropriate measures to ensure that the Co-financing and the GCF Proceeds are disbursed and/or applied for the implementation of the Funded Activity in accordance with the Implementation Plan;

ESS Provisions

i) Undertake and/or put in place any adequate measures in order to ensure that the management of the environmental and social risks and impacts arising from the Funded Activity complies at all times the recommendations, requirements and procedures set forth in the Environmental and Social Management Framework ("**ESMF**"), which was provided by the Accredited Entity to the Fund before the Approval Decision and which shall not be amended, abrogated or waived without prior written approval of the Fund. This includes putting in place measures, including with respect to the Accredited Entity's grievance redress mechanisms, to prevent and respond to the conducts described in clause 18.02(k) of the AMA, for adherence to the relevant principles and requirements included in the ESMF;
j) Ensure that the GCF Proceeds will not support or finance, directly or indirectly, any activities with potential environmental and social risks that are equivalent to category A pursuant to the Environmental and Social Risks Categories to be conducted as part of the Project;
k) Obtain, or ensure that the relevant agency(ies) and/or person(s) shall acquire, all land and rights in respect of land that are required to carry out the Funded Activity and shall promptly furnish to the Fund, upon its request, evidence that such land and rights in respect of the land are available for the purposes of the Funded Activity;
l) Prior to commencing any construction works or activities for the implementation of Activity 3.1 of the Project, submit to the Fund, (i) the Environmental and Social Impact Assessment ("**ESIA**"), and (ii) the Environmental and Social Management Plan ("**ESMP**"), relating to the relevant construction works or activities to be executed, in a form and substance satisfactory to the Fund;
m) In relation to each Sub-activity under Activity 3.1 that is Category B (pursuant to the Environmental and Social Risk Categories), disclose the ESIA and ESMP, which shall include a Stakeholder Engagement Plan, an activity level Grievance Redress Mechanism, a Livelihood Action Plan (LAP); a Biodiversity Action Plan (BMP), a SEAH Action Plan, and, as appropriate, any other associated information, including those relevant to indigenous peoples, required to be disclosed pursuant to the relevant policies of the Accredited Entity in

such a manner so as to meet, in accordance with Clause 13.01, Clause 15.01(e), Clause 25.05 and Clause 25.08 of the AMA, the requirements of the GCF Information Disclosure Policy and the GCF Revised Environmental and Social Policy (the "**Sub-activity Disclosure Package**");

n) (i) Pursuant to the procedure set out in Schedule 7, prior to the finalization of the Activity Disclosure Package, deliver such documentation for the review and comment by the Fund and take into account such comments in the finalization of the Activity Disclosure Package; and (ii) comply with the requirements set out in Schedule 7;

o) Prior to commencing any activities that have potential application of the Accredited Entity's Social and Environmental Standards (2021 version), including Standard 6 titled "Indigenous Peoples", and its Guidance Note on Standard 6 titled "Indigenous Peoples" (February 2021 version), furnish to the GCF, the Indigenous Peoples Plan or its equivalent and evidence that free, prior and informed consent from the indigenous peoples and communities has been obtained for the purposes of the relevant activities;

p) Acquire all necessary environmental licenses or clearances, and shall promptly furnish evidence, in a form and substance satisfactory to the GCF and upon its request, that such licenses or clearances, are available for the purposes of the Project;

q) Ensure that the infrastructure to be implemented as part of the Funded Activity (i) are designed, constructed, operated and decommissioned in accordance with good industry practices and any other applicable standards which, in each case, shall be consistent with the practices of other international organizations working in the region, and taking into consideration health and safety risks to third parties or affected communities; and (ii) the quality of such infrastructure is in accordance with best practices followed by international organizations in the region;

Monitoring; Reporting; Evaluation

r) In case any amendment or modification is entered to or otherwise agreed by the Accredited Entity with respect to the Project Document, inform of such event and furnish to the Fund the executed copies of such amendment or modification within ten (10) days from its execution. For the avoidance of doubt, the Accredited Entity shall ensure that such amendment or modification does not contravene the terms and conditions provided in this Agreement and the AMA;

s) In case of a change of the authorized representative to sign the Request for Disbursement, provide, together with the Request for Disbursement, evidence, satisfactory to the Fund, of the authority of such person to sign the Request for Disbursement and the relevant authenticated specimen signature of such person;

t) Prior to the commissioning of the independent mid-term evaluation report, deliver to the Fund, in a form and substance satisfactory to the Fund (i) the baseline assessment undertaken by the Accredited Entity to estimate targets for the Core 3 Indicators, and (ii) a revised logical framework reflecting the updated baseline and targets;

u) Include in the Inception Report, information on the establishment of the Project Board and the Project Management Unit (PMU) and any changes to the PMU structure; and

v) Ensure that each Annual Work Plan ("**AWP**") includes the Co-financing amount per Activity to be provided by each Co-financier.

Pursuant to clause 23.04 of the AMA, the Accredited Entity shall inform the Fund in the final APR and consult with the Fund on the steps to be taken in relation to the durable assets and/or equipment purchased with the GCF Proceeds to implement the Funded Activity, provided that nothing herein shall in any way be construed to limit the rights of UNDP to take such steps as it reasonably deems in the best interest of the continued operation of the Funded Activity taking into consideration the objectives of the GCF and the terms of the applicable SBAA, and in accordance with its policies and procedures.

Budget Revision and Tolerance:

Any reallocation of the GCF grant among the outputs that result in a variation of more than [10%] of the GCF agreed budget for that output must be approved by the GCF in advance.

No reallocation of the approved Budget from Output 3 is permitted without approval in writing by the Fund in advance.

Any increase in the amount allocated to project management costs must be communicated by the Accredited Entity to the Fund and approved in writing by the Fund in advance.

Any budget reallocation involving a major change in the project's scope, structure, design, or objectives or any other change that substantially alters the purpose or benefit of the project requires UNDP BPPS internal review/clearance and the GCF's prior written consent. All minor and major changes shall be duly documented in a Note to File and submitted to BPPS for prior to their implementation.

As per UNDP requirements outlined in the UNDP POPP, the project board will agree on a budget tolerance level for each plan under the overall annual work plan allowing the project manager to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the Project Board (within the GCF requirements noted above). Should such deviation occur, the Project Manager and UNDP Country office will seek the approval of the UNDP-BPPS team.

UNDP is not in a position to increase the total budget above the amount approved by the donor, therefore any over-expenditure would have to be absorbed from non-GCF resources by the Implementing Partner (GCF Executing Entity).

Project Specific Conditions: The Implementing Partner hereby expressly agrees, and shall ensure that each of its responsible parties, their respective sub-recipients and other entities involved in Project Implementation, either as contractors or subcontractors and any individuals performing services for them under the Project Document agrees, to comply with the Project Specific Conditions, Representation, Warranties and Covenants, in each case as set out in Annex A of this Project Document. Non-compliance with these Project Specific Conditions, Representations, Warranties and Covenants shall be deemed to constitute a breach by the Implementing Partner of its obligations under this Project Document.

Project extensions**:** Any project milestones with deadlines indicated in the signed FAA (including GCF closing date and completion date) **cannot be extended unless through a formal extension request submitted and approved by the GCF** as per the GCF policy on cancellation and restructuring. The UNDP-BPPS Executive Coordinator must approve all requests for extension of the Project Completion & Closing Date and other milestone extensions with hard deadlines, before they are submitted to the GCF. All extensions impose additional time and cost burdens at all levels and the GCF project budget cannot be increased beyond its originally approved amount. Extensions are unfunded by the GCF and UNDP. A single extension may be granted **on an exceptional basis** and subject to the conditions and maximum durations set out in the UNDP POPP. The project management costs during the extension period must remain within the originally approved amount, and any increase in PMC costs shall be covered by non-GCF resources; the additional UNDP oversight costs during the extension period must be covered by non-GCF resources, in accordance UNDP's policy as set out in UNDP POPP.

For any extension request, UNDP CO and IP will consult and jointly present a clear plan indicating how and from which specific sources the additional oversight costs that will be incurred by UNDP will be covered during the extended period. The BPPS Executive Coordinator shall consult the Regional Bureaux (RBX) and may reject the extension request if no external (non-GCF) financing by the IP or internal UNDP CO resources for the additional oversight cost of UNDP can be identified.

All extension requests, along with all supporting documentation, shall be submitted by the IP to the UNDP CO in line with the requirements and within the deadlines set out in the UNDP SOPs and policies in UNDP POPP.

Audit: The project will be audited as per UNDP Financial Regulations and Rules and applicable audit policies. Audit cycle and process must be discussed during the Inception workshop. If the Implementing Partner is an UN Agency, the project will be audited according to that Agencies applicable audit policies.

Transfer or disposal of assets: In consultation with the NIM Implementing Partner and other parties of the project, UNDP is responsible for deciding on the transfer or other disposal of assets. Transfer or disposal of assets is recommended to be reviewed and endorsed by the project board following UNDP rules and regulations. Assets may be transferred to the government for project activities managed by a national institution at any time during the life of a project, however it **must be done before the operational closure date**. In all cases of transfer, a transfer document must be prepared and kept on file[38]. The transfer should be done before Project management Unit complete their assignments.

In addition, the following GCF requirements must be followed: As stated in the Funding Activity Agreement (refer to the Annex for the relevant FAA clauses), the Accredited Entity shall inform the GCF, in the final Annual Progress Report (APR), which steps it intends to take in relation to the durable assets and/or equipment purchased with the GCF Proceeds to implement the Funded Activity.

Closing Date (GCF term): The closing date is defined in the signed FAA to be the date which is 6 years after the Effective Date (or such later date as the Fund shall establish by notice to the Accredited Entity), on which the Accredited Entity's right to receive GCF Proceeds to the GCF Account in respect of the Funded Activity will have terminated. The project closure date is identified in the signed FAA.

Project completion (GCF term): The project completion date is the date of FAA effectiveness plus project duration. This date can only be extended through a formal extension request to the GCF Secretariat. Prior to the completion date, all UNDP-financed inputs must be provided and related activities for the Project completed. No activities, except for the final clearance of the Terminal Evaluation Report and the corresponding management response and the end-of-project review Project Board Meeting should take place after the Completion Date.

Project completion will be conducted as per UNDP requirements outlined in the UNDP POPP and in accordance with the GCF-approved and agreed Project Calendar/Milestones in the FAA, as follows:

The APRs, Financial Information, audited and unaudited financial statements shall be submitted as set out in the AMA within the Reporting Period.

Milestones	Timing
Start of Project implementation	Effective Date
Inception Report	Within six (6) months after the Effective Date
Independent Interim Evaluation Report	Within three (3) years and nine (9) months after the Effective Date
End of Project Implementation	Completion Date

[38] See https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_Project%20Management_Closing.docx&action=default.

Milestones	Timing
Project Completion Report (Final APR)	Within three (3) months after the Completion Date
Independent Final Evaluation Report	Within six (6) months after the Completion Date

Project closure (UNDP term): Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP. All costs incurred to close the project must be included in the project closure budget and reported as final project commitments presented to the Project Board during the final project review. The only costs a project may incur following the final project review are those included in the project closure budget.

- **Operational closure**: **Operational closure must happen 9 months after the Completion Date as per the deadlines set in the FAA**. Prior to operational closure, the Final Evaluation Report must have been submitted and the corresponding FER management response and the end-of-project review Project Board meeting must have been completed. The Implementing Partner through a Project Board decision will notify the UNDP Country Office when operational closure has been completed. Before Operational Closure, the project must have completed the transfer or disposal of any equipment that is still the property of UNDP (refer to **Transfer or disposal of assets** paragraph).
- **Financial closure**: **Financial closure must happen within 6 months of operational closure or after the date of cancellation.** The project is financially closed when the following conditions are met: a) project is operationally completed or has been canceled; b) Implementing Partner has reported all financial transactions to UNDP; c) UNDP has closed the accounts for the project; d) UNDP and the Implementing Partner have certified a final Combined Delivery Report (which serves as final budget revision).
  Between operational and financial closure, the implementing partner will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the UNDP-BPPS/VF Programme Support, Oversight and Compliance Hub for confirmation before the project will be financially closed in Quantum by the UNDP Country Office.

Cancellation and Suspension: All projects considering going through cancellation or suspension must follow UNDP and GCF requirements. Guidance can be found in the UNDP POPP (SOPs for management actions of Vertical Fund projects escalated to the Executive Coordinator and the GCF policy on restructuring and cancellation).

Refund to GCF: Should a refund of unspent funds to the GCF be necessary, this will be managed directly by the UNDP-BPPS VF Directorate in New York. No action is required by the UNDP Country Office on the actual refund from UNDP project to the GCF. Unspent project balance is not permitted to be transferred to any other projects.

X. TOTAL BUDGET AND WORK PLAN

Total Budget and Work Plan

PIMS ID	5942	**Quantum Business Unit**	
Quantum Project ID	01003036	**Quantum Project Title**	Tonga Coastal Resilience
Quantum Award ID	1295975	**Quantum Award Title**	Tonga Coastal Resilience
Implementing Partner	UNDP Pacific Multi-country Office (MCO)		

OID	GCF Output / Atlas Activity	AID	Activity	Financing Source	Atlas Budget Account Code	Atlas Budget Account Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Amount Year 5 (USD)	Amount Year 6 (USD)	Amount Year 7 (USD)	TOTAL (USD)	Budget notes
1					71400	Contractual Services - Individual	37,267	46,506	43,516	44,777	44,715	44,837	47,345	308,963	1
					71200	International Consultants	4,450	19,719	25,292	20,322	15,586	16,102	11,140	112,611	2
					71600	Travel	1,989	2,713	6,735	10,792	6,792	2,713	6,713	38,447	3
					72200	Equipment and Furniture	9,600	-	-	-	-	-	-	9,600	4
		1.1	Establish a national multi-stakeholder engagement platform for dialogue on co-creating long-term climate change adaptation strategies and solutions including voluntary retreat	GCF	72300	Materials & Goods	-	-	17,000	22,000	11,000	-	-	50,000	5
					72400	Communic & Audio Visual Equip	-	-	10,000	-	-	-	-	10,000	6
					72800	Information Technology Equipmt	1,600	-	-	-	-	-	-	1,600	7
					74200	Audio Visual & Print Prod Costs	3,750	5,000	12,000	13,800	22,880	11,130	8,440	77,000	8
					75700	Training, Workshops and Conference	-	100,000	120,400	123,800	150,200	119,800	23,800	638,000	9
					72100	Contractual Services - Companies	3,133	64,178	48,638	91,078	117,568	23,133	3,133	350,861	10
		1.1 Total					61,789	238,116	283,581	326,569	368,741	217,716	100,571	1,597,082	
	Strengthened knowledge, capacity and engagement for incorporating climate risks into long-term adaptation planning supported through multi-sectoral, multi-stakeholder engagement and dialogue platform				71400	Contractual Services - Individual	36,828	45,668	42,717	41,314	43,908	44,000	49,148	303,582	11
					71200	International Consultants	4,450	19,719	25,292	20,322	15,586	16,102	11,140	112,611	12
					71600	Travel	1,989	2,713	2,532	2,713	2,713	2,713	2,713	18,086	13
					72200	Equipment and Furniture	9,600	-	-	-	-	-	-	9,600	14
		1.2	Develop village and district level participatory climate risk informed plans	GCF	72400	Communic & Audio Visual Equip	-	-	19,000	19,000	-	-	-	38,000	15
					72800	Information Technology Equipmt	1,600	-	-	-	-	-	-	1,600	16
					74200	Audio Visual & Print Prod Costs	-	-	40,000	40,000	-	-	-	80,000	17
					75700	Training, Workshops and Conference	-	-	109,500	49,500	-	-	-	159,000	18
					72100	Contractual Services - Companies	3,133	4,178	4,178	4,178	4,178	3,133	3,133	26,111	19
		1.2 Total					57,600	72,278	243,219	177,027	66,384	65,949	66,134	748,590	
					71400	Contractual Services - Individual	36,828	45,668	42,717	41,315	43,908	44,000	49,147	303,583	20
					71200	International Consultants	12,190	26,492	82,065	27,095	22,358	22,875	17,913	210,988	21
					71600	Travel	2,211	3,015	2,814	3,015	3,015	3,015	3,015	20,100	22
		1.3	Build the capacity of local government, village committees and NGOs to integrate climate risks and adaptation needs into community level planning, and inform future Community Development Plans (CDP)	GCF	72200	Equipment and Furniture	10,200	-	-	-	-	-	-	10,200	23
					72800	Information Technology Equipmt	1,700	-	-	-	-	-	-	1,700	24
					74200	Audio Visual & Print Prod Costs	-	-	6,000	-	35,000	20,000	-	61,000	25
					72100	Contractual Services - Companies	3,133	33,418	29,178	109,178	109,178	28,133	3,133	315,351	26
					75700	Training, Workshops and Conference	-	-	6,000	6,000	84,000	52,800	61,200	210,000	27
		1.3 Total					66,262	108,593	168,774	186,603	297,459	170,823	134,408	1,132,922	
GCF Total Output 1:							185,652	418,986	695,574	690,199	732,584	454,487	301,112	3,478,594	
Government Co-financing Output 1:							-	-	120,000	136,000	181,000	180,000	115,000	732,000	Co-F 1
Output 1 Total:							**185,652**	**418,986**	**815,574**	**826,199**	**913,584**	**634,487**	**416,112**	**4,210,594**	
2					71400	Contractual Services - Individual	55,352	64,285	59,710	57,570	61,574	61,726	69,681	429,898	28
					71200	International Consultants	6,675	15,788	19,318	14,558	12,598	13,373	9,605	91,917	29
					71600	Travel	2,874	3,919	3,658	7,919	3,919	3,919	7,919	34,127	30
					72200	Equipment and Furniture	15,000	-	-	-	-	-	-	15,000	31
		2.1	Strengthened mechanism for collecting and analysing data and information for better-informed climate risk monitoring and coastal adaptation planning	GCF	72800	Information Technology Equipmt	2,500	1,035,840	-	-	-	-	-	1,038,340	32
					73100	Rental & Maintenance-Premises	92,184	2,095	2,095	2,095	2,095	2,095	2,095	104,754	33
					75700	Training, Workshops and Conference	-	-	75,000	79,000	83,000	75,000	4,000	316,000	34
					72100	Contractual Services - Companies	4,700	2,957,367	1,271,025	88,267	6,267	4,700	104,700	4,437,026	35
		2.1 Total					179,285	4,079,295	1,430,807	249,409	169,453	160,813	198,000	6,467,062	
	Strengthened national and local capacities for effective monitoring and assessment of climate risks				75700	Training, Workshops and Conference	-	-	-	-	-	25,000	-	25,000	36
					72100	Contractual Services - Companies	43,700	27,267	57,267	42,267	27,267	25,700	115,700	339,168	37
					71400	Contractual Services - Individual	55,351	64,285	59,711	57,570	61,574	61,726	69,680	429,898	38
					71200	International Consultants	6,675	15,788	19,318	14,558	12,598	13,373	9,605	91,917	39
		2.2	Improve the knowledge base of multi-sectoral, multi-stakeholders on adaptation planning strategies for long-term resilient planning and transformative	GCF	71600	Travel	3,095	4,221	3,939	4,221	4,221	4,221	4,222	28,140	40
					72200	Equipment and Furniture	15,600	-	-	-	-	-	-	15,600	41
					72400	Communic & Audio Visual Equip	-	-	-	-	36,000	24,000	-	60,000	42
					72800	Information Technology Equipmt	2,600	-	-	-	-	-	-	2,600	43
		2.2 Total					127,021	111,562	140,236	118,617	141,661	154,020	199,207	992,322	
GCF Total Output 2:							306,306	4,190,856	1,571,042	368,026	311,114	314,833	397,207	7,459,384	
Government Co-financing Output 2:							-	-	60,000	82,000	52,000	52,000	12,000	258,000	Co-F 2
Output 2 Total:							**306,306**	**4,190,856**	**1,631,042**	**450,026**	**363,114**	**366,833**	**409,207**	**7,717,384**	
3					71400	Contractual Services - Individual	55,351	68,652	68,444	66,303	70,307	70,460	74,048	473,565	44
					71200	International Consultants	6,675	13,338	94,518	94,168	9,168	9,943	9,605	237,417	45
		3.1	Build coastal protection measures along 4km of coastline in Hahake	GCF	71600	Travel	4,422	6,030	5,628	10,030	6,030	6,030	10,030	48,200	46
					72100	Contractual Services - Companies	114,700	611,267	658,045	1,559,291	2,327,758	3,185,772	594,790	9,051,623	47
					75700	Training, Workshops and Conference	6,750	6,750	13,500	4,000	-	-	4,000	35,000	48
	Reduced vulnerabilities of coastal communities in Hahake to climate hazards through coastal protection measures	3.1 Total					187,898	706,037	840,136	1,733,793	2,413,263	3,272,205	692,473	9,845,804	
					71400	Contractual Services - Individual	52,516	65,697	65,746	40,029	43,792	53,945	37,065	358,790	49
					71200	International Consultants	6,675	13,338	9,518	9,168	9,168	9,943	59,605	117,417	50
		3.2	Sharing of lessons learned and best practices in climate resilient coastal protection measures for scale-up at the national and regional level	GCF	71600	Travel	4,643	6,331	5,909	6,331	6,331	6,331	16,331	52,207	51
					72400	Communic & Audio Visual Equip	-	-	-	-	-	-	50,000	50,000	52
					74200	Audio Visual & Print Prod Costs	-	-	-	-	-	3,000	3,000	6,000	53
					72100	Contractual Services - Companies	32,900	43,867	43,867	43,867	43,867	32,900	32,900	274,167	54
		3.2 Total					96,734	129,233	125,040	99,395	103,158	106,119	198,901	858,581	
GCF Total Output 3:							284,632	835,271	965,175	1,833,187	2,516,421	3,378,324	891,374	10,704,385	
Government Co-financing Output 3:							-	10,000	10,000	7,500	7,500	27,000	148,000	210,000	Co-F 3
UNDP Co-financing Output 3:							-	-	-	-	-	-	63,000	63,000	Co-F 4
Output 3 Total:							**284,632**	**845,271**	**975,175**	**1,840,687**	**2,523,921**	**3,405,324**	**1,039,374**	**10,977,385**	
4					74100	Professional Services	6,160	8,400	7,840	8,400	8,400	8,400	8,400	56,000	55
					71400	Contractual Services - Individual	28,939	44,834	42,137	67,023	65,953	68,093	68,093	385,070	56
					71600	Travel	885	1,206	1,125	1,206	1,206	1,206	1,206	8,040	57
					72200	Equipment and Furniture	4,000	-	-	-	-	-	-	4,000	58
	Project Management	4.1	Project Management	GCF	73100	Rental & Maintenance-Premises	79,200	1,800	1,800	1,800	1,800	1,800	1,800	90,000	59
					74200	Audio Visual & Print Prod Costs	250			250			250	750	60
					74596	Service to Projects – GOE	50,840	69,328	64,706	69,328	69,328	69,328	69,328	462,186	61
					75700	Training, Workshops and Conference	8,000	-	-	-	-	-	-	8,000	62
		4.1 Total					178,274	125,568	117,608	148,007	146,687	148,827	149,077	1,014,046	
GCF Total Output 4:							178,274	125,568	117,608	148,007	146,687	148,827	149,077	1,014,046	
Output 4 Total:							**178,274**	**125,568**	**117,608**	**148,007**	**146,687**	**148,827**	**149,077**	**1,014,046**	
GCF Grand Total							**954,864**	**5,570,681**	**3,349,399**	**3,039,418**	**3,706,806**	**4,296,471**	**1,738,770**	**22,656,409**	
Government Grand Total							**-**	**10,000**	**190,000**	**225,500**	**240,500**	**259,000**	**275,000**	**1,200,000**	
UNDP Co-financing Total							**-**	**-**	**-**	**-**	**-**	**-**	**63,000**	**63,000**	
Project Grand Total:							**954,864**	**5,580,681**	**3,539,399**	**3,264,918**	**3,947,306**	**4,555,471**	**2,076,770**	**23,919,409**	

Budget notes

Budget Note No.	Budget Notes (Description)
1	Project Manager (International) Full time IPSA 11, Nuku'alofa based (90.4% split across the 3 outputs, 9.6% PMU)
	CTA (International) Part-time across years 1-7 of project IPSA 12 Nuku'alofa based (split across 3 project outputs)
	Deputy Project Manager Full time NPSA 11, Nuku'alofa based (90% split across the 3 outputs, 10% PMU)
	Gender and Safeguards Officer Full time NPSA 10, Nuku'alofa based (split across 3 project Outputs)
	Communications Officer Full time NPSA 9, Nuku'alofa based (split across 3 project outputs)
	Component Coordinator (Output 1) Full time NPSA 10, Nuku'alofa based (split across Output 1)
	Admin Assistant Full time NSPA 9, Nuku'alofa based (split 70% PMU and 30% between 3 outputs)
	Finance Officer NPSA 10 Full time Nuku'alofa based (split 70% PMU and 30% between 3 outputs)
	Monitoring and Evaluation Officer NPSA 10 Full time Nuku'alofa based (split across 3 project outputs)
	Driver full time G3 (split 70% PMU, and 30% between 3 Outputs)
2	Communications Specialist to develop the project's Communications Strategy and assist with the implementation of the Strategy, working closely with the PMU's Communications Officer. Part-time International Consultant, Homebased, 5 days a month for 7 years at the rate of $500 a day = $210,000 (Split across 3 project outputs)
	Gender Specialist to update Gender Strategy and Action Plan and assist with technical inputs to the implementation of the Plan throughout the project, working closely with the PMU's Gender and Safeguards Officer. International consultant Part-time across years 1-7 of project, Nuku'alofa based (split across 3 project Outputs). The IC will come in at the beginning to update the Gender Assessment and Action Plan (30 days at $600 per day) + mid-term support to monitor progress and make changes as necessary (15 days at $600 per day) + special support to Output 1 (40 days at $600) + annual support (towards APR period 10 days at $600 per day for 7 years) = $93,000
	Safeguards Specialist to update and develop the project's ESMP and assist with the implementation of the plan working closely with the PMU's Gender and Safeguards Officer. International Consultant, Part-time across years 2-7 of project, Homebased (split across 3 project Outputs). This IC will spend initial time developing the ESMP for the project (40 days at $700) and then mid-term support to monitor progress and make changes as necessary (15 days at $700 per day) + annual support 15 days at $600 per day for 6 years, excluding year 1) = $101,500
	Community Planning and engagement technical expert for Output 1 producing multi-sectoral and multi-actor stakeholder engagement plan and guidelines, developing the climate-responsive Community Development Plan Guideline and support to the implementation of stakeholder engagement, capacity development and knowledge management through producing lessons learnt from local planning process. Part-time from Year 2-7 part home-based/part Nukualofa based (split across Output 1): Initial support of 50 days at $700 per day + 10 days per quarter for 6 years (excluding year 1) = $203,000
3	TA - coastal travel (DSA 15*224 = $3360 + 3 return airfares * $3000 = $9000. Total $12360)
	Staff Position Travel for output 1 - Project Manager (International) $2,300.00; CTA (International) $13,200.00; Technical Advisor (International) - Output 1 $25,000.00; Safeguards Specialist (international) $5,940.00; Gender Specialist (international) $5,400.00; Communication Specialist $2,700.00. Total output 1 staff travel $54,540.00 split across 10 output 1 sub-activities.
	Travel (Local and International) for Evaluations (IE&FE)
4	Equipment and furniture (60,000) split across Output 1 &2 (19 office desks and drawers, 19 office chairs, 2 printers, 5 shelves and other office-related equipment as required) - for 19 PMU staff based in Nuku'alofa.
5	Materials for social mobilisation (flyers, radio/TV, newspapers, social media)
6	Translation services by translation company for engagement process communications, including translation of written materials and interpretation.

7	10 laptops provided to staff dedicated exclusively to the implementation of Output 1 and Output 2 for the delivery of their activities including design of a multi-sectoral and multi-actor stakeholder engagement plan and guidelines, facilitating the national awareness campaign, developing the National adaptation planning engagement platform and policy options development (Output 1). Laptop will also be used for collecting, interpreting and using data on climate risks for coastal adaptation planning to produce scenario-based coastal risk maps and knowledge material for use under Output 1 (Output 2). @10,000 across Output 1 &2 (50% each)
8	Print materials to support policy development facilitation (1 x 8000)
	Print materials and audio visual materials to support the engagement process (5000 x 5 years)
	Print materials and audio visual materials to support awareness campaign/facilitation of multistakeholder dialogue (7000 x 5 years)
	Print materials and audio visual materials to support the meetings of the national engagement platform
9	Workshops for community awareness (3 workshops each of 4 days). National awareness campaign will include specific campaigns and workshops targeting women and girls to co-create solutions.
	3 national dialogue events = $60,000, including gender mainstreaming components as stipulated in the Gender Action Plan, as well as Environmental and Social components as indicated in the ESMF and ESMP
	Facilitated policy development discussion workshop 5 days @ 2000
	$100,000 x 5 years for campaigns and workshops as part of bottom-up dialogue engagement (including 1 ongoing campaign over 5 years, and at least 5 workshops), including Gender Action Plan targeted activities for implementation.
	Meetings and workshops for IE and FE
10	NGO for community dialogue to support community dialogue and awareness consultative/workshop engagement activities with local, island and national level stakeholders on climate change risk
	Community dialogue firm to prepare terms of reference for the national dialogue platform (est 2000 x 10 days)
	Community dialogue firm to implement communications plan and national awareness campaign ($2000 a day*8 days for workshops [budget note 1.1k] = $48000; + $2000 day *2 days per month*21months = $84000. total) include travel (i.e. no separate travel budget).
	Firm to undertake the national dialogue platform events ($2000 a day*10days* 2 national dialogue events = $40000)
	International firm to deliver part of the National Dialogue, in partnership with NGOs and GoT (Community dialogue firm to implement communications plan and national awareness campaign).
	Consultation company to develop Policy options, includes 14 days travel DSA $224 *14 days + $3000 return * 1 trip ($3136)
	Procurement technical support for complex and other procurements in the project (Split across 3 outputs)
11	Project Manager (International) Full time IPSA 11, Nuku'alofa based (90.4% split across the 3 outputs, 9.6% PMU)
	CTA (International) Part-time across years 1-7 of project IPSA 12 Nuku'alofa based (split across 3 project outputs)
	Deputy Project Manager Full time NPSA 11, Nuku'alofa based (90% split across the 3 outputs, 10% PMU)
	Gender and Safeguards Officer Full time NPSA 10, Nuku'alofa based (split across 3 project Outputs)
	Communications Officer Full time NPSA 9, Nuku'alofa based (split across 3 project outputs)
	Component Coordinator (Output 1) Full time NPSA 10, Nuku'alofa based (split across Output 1)
	Admin Assistant Full time NSPA 9, Nuku'alofa based (split 70% PMU and 30% between 3 outputs)
	Finance Officer NPSA 10 Full time Nuku'alofa based (split 70% PMU and 30% between 3 outputs)
	Monitoring and Evaluation Officer NPSA 10 Full time Nuku'alofa based (split across 3 project outputs)

	Driver full time G3 (split 70% PMU, and 30% between 3 Outputs)
12	Communications Specialist to develop the project's Communications Strategy and assist with the implementation of the Strategy, working closely with the PMU's Communications Officer. Part-time International Consultant, Homebased, 5 days a month for 7 years at the rate of $500 a day = $210,000 (Split across 3 project outputs)
	Gender Specialist to update Gender Strategy and Action Plan and assist with technical inputs to the implementation of the Plan throughout the project, working closely with the PMU's Gender and Safeguards Officer. International consultant Part-time across years 1-7 of project, Nuku'alofa based (split across 3 project Outputs). The IC will come in at the beginning to update the Gender Assessment and Action Plan (30 days at $600 per day) + mid-term support to monitor progress and make changes as necessary (15 days at $600 per day) + special support to Output 1 (40 days at $600) + annual support (towards APR period 10 days at $600 per day for 7 years) = $93,000
	Safeguards Specialist to update and develop the project's ESMP and assist with the implementation of the plan working closely with the PMU's Gender and Safeguards Officer. International Consultant, Part-time across years 2-7 of project, Homebased (split across 3 project Outputs). This IC will spend initial time developing the ESMP for the project (40 days at $700) and then mid-term support to monitor progress and make changes as necessary (15 days at $700 per day) + annual support 15 days at $600 per day for 6 years, excluding year 1) = $101,500
	Technical expert for Output 1 will work closely with the CTA to undertake the Capacity Needs Assessment and develop the Capacity Development Plan (with support from the CTA), and support the implementation of trainings, support data analysis and development of the scenario-based coastal risk maps, incorporate climate data for Output 1 products. This IC will provide Initial support of 50 days at $700 per day + 10 days per quarter for 6 years (excluding year 1) = $203,000. Support will include stakeholder engagement, capacity development and knowledge management for climate risk planning and adaptation strategies in line with international standards and best practices
13	Staff Position Travel for output 1 - Project Manager (International) $2,300.00; CTA (International) $13,200.00; Technical Specialist (International) - Output 1 $25,000.00; Safeguards Specialist (international) $5,940.00; Gender Specialist (international) $5,400.00; Communication Specialist $2,700.00. Total output 1 staff travel $54,540.00 split across 10 output 1 sub-activities.
14	Equipment and furniture (60,000) split across Output 1 &2 (19 office desks and drawers, 19 office chairs, 2 printers, 5 shelves and other office-related equipment as required) - for 19 PMU staff based in Nuku'alofa.
15	Materials for developing village and district spatial plans (e.g. graphic reports developed from Output 2, visual aids to demonstrate climate change impacts) 1 graphic report package @10,000 + $10,000 SESA materials, data costs for 1 draft finalized review – Y1 Q2 and Y2Q4 + $8000 materials, data costs for ESMP development and approval & ESMP revision and finalization Y3Q3 and Y4Q1 + $10,000 gender strategy and plan
16	10 laptops provided to staff dedicated exclusively to the implementation of Output 1 and Output 2 for the delivery of their activities including design of a multi-sectoral and multi-actor stakeholder engagement plan and guidelines, facilitating the national awareness campaign, developing the National adaptation planning engagement platform and policy options development (Output 1). Laptop will also be used for collecting, interpreting and using data on climate risks for coastal adaptation planning to produce scenario-based coastal risk maps and knowledge material for use under Output 1 (Output 2). @10,000 across Output 1 &2 (50% each)
17	$10,000 x 8 Print and audio visual materials for developing village and district spatial plans (e.g. graphic reports developed from Output 2, visual aids to demonstrate climate change impacts)
18	Participatory process workshops/consultations for developing village and district spatial plans for each 6 islands @5 days each (30 days) + $6000 SESA Consultations Y1 Q2 and Y2Q4 +3000 Consultations for ESMP development and approval & ESMP revision and finalization Y3Q3 and Y4Q1
	Participatory process consultations/workshops across 6 islands 60,000 x 1 year (Y3), to support NGOs/CSOs through relevant government agencies leading the participatory process consultations/workshops.
19	Procurement technical support for complex and other procurements in the project (Split across 3 outputs)
20	Project Manager (International) Full time IPSA 11, Nuku'alofa based (90.4% split across the 3 outputs, 9.6% PMU)
	CTA (International) Part-time across years 1-7 of project IPSA 12 Nuku'alofa based (split across 3 project outputs)
	Deputy Project Manager Full time NPSA 11, Nuku'alofa based (90% split across the 3 outputs, 10% PMU)
	Gender and Safeguards Officer Full time NPSA 10, Nuku'alofa based (split across 3 project Outputs)
	Communications Officer Full time NPSA 9, Nuku'alofa based (split across 3 project outputs)
	Component Coordinator (Output 1) Full time NPSA 10, Nuku'alofa based (split across Output 1)

	Admin Assistant Full time NSPA 9, Nuku'alofa based (split 70% PMU and 30% between 3 outputs)
	Finance Officer NPSA 10 Full time Nuku'alofa based (split 70% PMU and 30% between 3 outputs)
	Monitoring and Evaluation Officer NPSA 10 Full time Nuku'alofa based (split across 3 project outputs)
	Driver full time G3 (split 70% PMU, and 30% between 3 Outputs)
21	Communications Specialist to develop the project's Communications Strategy and assist with the implementation of the Strategy, working closely with the PMU's Communications Officer. Part-time International Consultant, Homebased, 5 days a month for 7 years at the rate of $500 a day = $210,000 (Split across 3 project outputs)
	Gender Specialist to update Gender Strategy and Action Plan and assist with technical inputs to the implementation of the Plan throughout the project, working closely with the PMU's Gender and Safeguards Officer. International consultant Part-time across years 1-7 of project, Nuku'alofa based (split across 3 project Outputs). The IC will come in at the beginning to update the Gender Assessment and Action Plan (30 days at $600 per day) + mid-term support to monitor progress and make changes as necessary (15 days at $600 per day) + special support to Output 1 (40 days at $600) + annual support (towards APR period 10 days at $600 per day for 7 years) = $93,000
	Safeguards Specialist to update and develop the project's ESMP and assist with the implementation of the plan working closely with the PMU's Gender and Safeguards Officer. International Consultant, Part-time across years 2-7 of project, Homebased (split across 3 project Outputs). This IC will spend initial time developing the ESMP for the project (40 days at $700) and then mid-term support to monitor progress and make changes as necessary (15 days at $700 per day) + annual support 15 days at $600 per day for 6 years, excluding year 1) = $101,500
	Technical expert for Output 1 will work closely with the CTA to undertake the Capacity Needs Assessment and develop the Capacity Development Plan (with support from the CTA), and support the implementation of trainings, support data analysis and development of the scenario-based coastal risk maps, incorporate climate data for Output 1 products. This IC will provide Initial support of 50 days at $700 per day + 10 days per quarter for 6 years (excluding year 1) = $203,000. Support will include stakeholder engagement, capacity development and knowledge management for climate risk planning and adaptation strategies in line with international standards and best practices
	Development of Capacity Building Strategy and Plan for climate risk inclusion in planning. IC (40 days*$1000 = $40000) + travel dsa 224*12 days = $2688 + return airfare $3000 = $5688)
	Safeguards Capacity Building Plan to be developed during Y3Q4
22	Staff Position Travel for output 1 - Project Manager (International) $2,300.00; CTA (International) $13,200.00; Technical Specialist (International) - Output 1 $25,000.00; Safeguards Specialist (international) $5,940.00; Gender Specialist (international) $5,400.00; Communication Specialist $2,700.00. Total output 1 staff travel $54,540.00 split across 10 output 1 sub-activities.
23	Equipment and furniture (60,000) split across Output 1 &2 (19 office desks and drawers, 19 office chairs, 2 printers, 5 shelves and other office-related equipment as required) - for 19 PMU staff based in Nuku'alofa.
24	10 laptops provided to staff dedicated exclusively to the implementation of Output 1 and Output 2 for the delivery of their activities including design of a multi-sectoral and multi-actor stakeholder engagement plan and guidelines, facilitating the national awareness campaign, developing the National adaptation planning engagement platform and policy options development (Output 1). Laptop will also be used for collecting, interpreting and using data on climate risks for coastal adaptation planning to produce scenario-based coastal risk maps and knowledge material for use under Output 1 (Output 2). @10,000 across Output 1 &2 (50% each)
25	Audiovisual materials for CDP package 1 x 20000
	Printed products for the CDP package
	Communication and publication packages of CDPs production and print costs
26	Firm to provide training and mentoring materials for integrating climate change risks into planning and budgeting @$25,000 per year for 4 years
	Consultancy firm/NGOs package-plan for CDP 2 years @$80,000 + $10,000 to assist in the development of gender in the overall capacity development package
	CDP guideline consultancy - capacity needs assessment ($800*30 days = $24000 + travel dsa $224* 10 = $2240 + return airfare $3000 = $5240)
	Procurement technical support for complex and other procurements in the project (Split across 3 outputs)
27	Training and mentoring associated with purchase of selected hardware / software tools - 8 trainings @ 3000 each

	6 x consultation-workshops @$3000 (adaptation needs, gender needs, participatory vulnerability assessment and planning) + $10,000 session on climate and gender responsive CDPs
	6 Island events/workshops for sharing lessons learned @15000 each
	6 x consultation workshops facilitated and outreach to support NGOs/CSOs through relevant government agencies leading collection and collation of local priorities to inform policy action through the gender-sensitive climate responsive CDP guideline @3000 (adaptation needs, gender needs, participatory vulnerability assessment and planning)
Co-F 1	10,000 - materials for awareness and TV program; 70,000 - national awareness program; 50,000 - Contribution to national dialogue events throughout Tonga ; 10,000 - Contribution to print materials to support policy development facilitation 10,000 - Materials to be used for a documentary or short film to be produced 75,000 - Contribution to participatory process workshops/consultations for developing village and district spatial plans" 240,000 - Consultations on Land Use policy. In the budget there's a budget for bringing regional parliamentary members to Tongatapu for national workshops this co-finance can also contribute to the 5 x consultation-workshops @3000 (adaptation needs, gender needs, participatory vulnerability assessment and planning) 100,000 - Contributing to Audiovisual materials for CDP package & NGOs/CSOs supported by relevant government agencies leading collection and collation of local priorities to inform policy action through the gender-sensitive climate responsive CDP guideline - facilitated consultations and outreach: 6 consultation workshops 5,000 - Contribution to printed products for the CDP package; 12,000 - capacity building package contribution 150,000 - Co-financing funds will be on the national event that will be held with awareness materials/documentary. Etc
28	Project Manager (International) Full time IPSA 11, Nuku'alofa based (90.4% split across the 3 outputs, 9.6% PMU)
	CTA (International) Part-time across years 1-7 of project IPSA 12 Nuku'alofa based (split across 3 project outputs)
	Deputy Project Manager Full time NPSA 11, Nuku'alofa based (90% split across the 3 outputs, 10% PMU)
	Gender and Safeguards Officer Full time NPSA 10, Nuku'alofa based (split across 3 project Outputs)
	Communications Officer Full time NPSA 9, Nuku'alofa based (split across 3 project outputs)
	Component Coordinator (Output 2&3) Full time NPSA 10, Nuku'alofa based (split across Outputs 2 and 3)
	Admin Assistant Full time NSPA 9, Nuku'alofa based (split 70% PMU and 30% between 3 outputs)
	Finance Officer NPSA 10 Full time Nuku'alofa based (split 70% PMU and 30% between 3 outputs)
	Monitoring and Evaluation Officer NPSA 10 Full time Nuku'alofa based (split across 3 project outputs)
	Driver full time G3 (split 70% PMU, and 30% between 3 Outputs)
29	Communications Specialist to develop the project's Communications Strategy and assist with the implementation of the Strategy, working closely with the PMU's Communications Officer. Part-time International Consultant, Homebased, 5 days a month for 7 years at the rate of $500 a day = $210,000 (Split across 3 project outputs)
	Gender Specialist to update Gender Strategy and Action Plan and assist with technical inputs to the implementation of the Plan throughout the project, working closely with the PMU's Gender and Safeguards Officer. International consultant Part-time across years 1-7 of project, Nuku'alofa based (split across 3 project Outputs). The IC will come in at the beginning to update the Gender Assessment and Action Plan (30 days at $600 per day) + mid-term support to monitor progress and make changes as necessary (15 days at $600 per day) + special support to Output 1 (40 days at $600) + annual support (towards APR period 10 days at $600 per day for 7 years) = $93,000
	Safeguards Specialist to update and develop the project's ESMP and assist with the implementation of the plan working closely with the PMU's Gender and Safeguards Officer. International Consultant, Part-time across years 2-7 of project, Homebased (split across 3 project Outputs). This IC will spend initial time developing the ESMP for the project (40 days at $700) and then mid-term support to monitor progress and make changes as necessary (15 days at $700 per day) + annual support 15 days at $600 per day for 6 years, excluding year 1) = $101,500

	Technical expert for Output 2 will work closely with the CTA to undertake the Capacity Needs Assessment and develop the Capacity Development Plan (with support from the CTA), and support the implementation of trainings, support data analysis and development of the scenario-based coastal risk maps, incorporate climate data for Output 1 products. International Consultant Part-time from Year 2-7 part home-based/part Nuku'alofa based (split across Output 2): Initial support of 30 days at $700 per day + mid-term support (20 days at $700 per day) +20 days towards the end of the project = $49,000.
30	Staff Position Travel for output 2 - Project Manager (International) $2,400.00; CTA (International) $13,600.00; Technical Specialist (International) - Output 2 $25,000.00 ; Safeguards Specialist (international) $5,940.00; Gender Specialist (international) $5,400.00; Communication Specialist $2,700.00. Total output 2 staff travel $55, 040.00 split across 4 output 2 sub-activities.
	Travel (Local and International) for Evaluations (IE&FE)
31	Equipment and furniture ($60,000) split across Output 1 &2 (19 office desks and drawers, 19 office chairs, 2 printers, 5 shelves and other office-related equipment as required) - for 19 PMU staff based in Nuku'alofa.
32	10 laptops provided to staff dedicated exclusively to the implementation of Output 1 and Output 2 for the delivery of their activities including design of a multi-sectoral and multi-actor stakeholder engagement plan and guidelines, facilitating the national awareness campaign, developing the National adaptation planning engagement platform and policy options development (Output 1). Laptop will also be used for collecting, interpreting and using data on climate risks for coastal adaptation planning to produce scenario-based coastal risk maps and knowledge material for use under Output 1 (Output 2). @10,000 across Output 1 &2 (50% each)
	LiDAR equipment package: 1 x 286000 Unmanned Aerial Vehicle-mounted LiDAR and camera system 2 x 65000 Server with over 100T capacity 4 x 7800 Computers (Toughbook) 8 x 7150 Computers (Workstation/Laptop) 1 x 130000 Software for LiDAR data processing and analysis, GIS platforms, etc + training 2 x 195000 GNSS high-accuracy GPS system with rover units = training 1 x 76440 Spare parts, back up support and technical repairs
33	Vehicle rental @ $14,965.00 x 7 years
34	Committee meetings and multi-stakeholder coordination and collaboration - meeting costs 1 x $8000
	LiDAR capacity building training package for technical stakeholders
	Meetings and workshops for IE and FE
35	Revised LiDAR coverage (Tongatapu and lagoon, Nomuka + lagoon,Mango Is + lagoon, Fomoifua Is & Tanoa Is + lagoon, Lalona Is & Telekitonga Is + reef, Pangai Is complex + reef, Ofolanga & Mo'Unga'One, Niviva Is and lagoon Lofanga Is and lagoon, Fotuha'a Is, Tungua, Ha'afeva, Ua Is + lagoon) total cost 4215859.71 (incl mobilisation/demobilisation)
	Consultative assessment workshops for adaptation solutions and current land use package @ $70000 + $12000 Consultations for ESMP development and approval & ESMP revision and finalization Y3Q3 and Y4Q1
	MoU for SPC data analysis and support/collaboration for specific project needs.
	Procurement technical support for complex and other procurements in the project (Split across 3 outputs)
36	Interpretation consultative workshops $2500 x 10
37	Monitoring and Evaluation Plan: Services undertaken for the monitoring of project activities @$300,000 over 7 year period (annual, Y2Q2, Y3Q1, Y4Q4, Y7Q3 as per M&E Plan)
	Procurement technical support for complex and other procurements in the project (Split across 3 outputs)
38	Project Manager (International) Full time IPSA 11, Nuku'alofa based (90.4% split across the 3 outputs, 9.6% PMU)
	CTA (International) Part-time across years 1-7 of project IPSA 12 Nuku'alofa based (split across 3 project outputs)
	Deputy Project Manager Full time NPSA 11, Nuku'alofa based (90% split across the 3 outputs, 10% PMU)
	Gender and Safeguards Officer Full time NPSA 10, Nuku'alofa based (split across 3 project Outputs)

	Communications Officer Full time NPSA 9, Nuku'alofa based (split across 3 project outputs)
	Component Coordinator (Output 2&3) Full time NPSA 10, Nuku'alofa based (split across Outputs 2 and 3)
	Admin Assistant Full time NSPA 9, Nuku'alofa based (split 70% PMU and 30% between 3 outputs)
	Finance Officer NPSA 10 Full time Nuku'alofa based (split 70% PMU and 30% between 3 outputs)
	Monitoring and Evaluation Officer NPSA 10 Full time Nuku'alofa based (split across 3 project outputs)
	Driver full time G3 (split 70% PMU, and 30% between 3 Outputs)
39	Communications Specialist to develop the project's Communications Strategy and assist with the implementation of the Strategy, working closely with the PMU's Communications Officer. Part-time International Consultant, Homebased, 5 days a month for 7 years at the rate of $500 a day = $210,000 (Split across 3 project outputs)
	Gender Specialist to update Gender Strategy and Action Plan and assist with technical inputs to the implementation of the Plan throughout the project, working closely with the PMU's Gender and Safeguards Officer. International consultant Part-time across years 1-7 of project, Nuku'alofa based (split across 3 project Outputs). The IC will come in at the beginning to update the Gender Assessment and Action Plan (30 days at $600 per day) + mid-term support to monitor progress and make changes as necessary (15 days at $600 per day) + special support to Output 1 (40 days at $600) + annual support (towards APR period 10 days at $600 per day for 7 years) = $93,000
	Safeguards Specialist to update and develop the project's ESMP and assist with the implementation of the plan working closely with the PMU's Gender and Safeguards Officer. International Consultant, Part-time across years 2-7 of project, Homebased (split across 3 project Outputs). This IC will spend initial time developing the ESMP for the project (40 days at $700) and then mid-term support to monitor progress and make changes as necessary (15 days at $700 per day) + annual support 15 days at $600 per day for 6 years, excluding year 1) = $101,500
	Technical expert for Output 2 (International Consultant) Part-time from Year 2-7 Nuku'alofa based (split across Output 2): This IC position will provide initial support of 30 days at $700 per day + mid-term support (20 days at $700 per day) +20 days towards the end of the project = $49,000. This support will be provided to data analysis and management of risk informed spatial planning, monitoring and management of coastal protection
40	Staff Position Travel for output 2 - Project Manager (International) $2,400.00; CTA (International) $13,600.00; Technical Specialist (International) - Output 2 $25,000.00 ; Safeguards Specialist (international) $5,940.00; Gender Specialist (international) $5,400.00; Communication Specialist $2,700.00. Total output 2 staff travel $55, 040.00 split across 4 output 2 sub-activities.
41	Equipment and furniture (60,000) split across Output 1 &2 (19 office desks and drawers, 19 office chairs, 2 printers, 5 shelves and other office-related equipment as required) - for 19 PMU staff based in Nuku'alofa.
42	6 Island-level graphical reports related to settlement patterns and climate risk for strategic long-term coastal adaptation planning developed
43	10 laptops provided to staff dedicated exclusively to the implementation of Output 1 and Output 2 for the delivery of their activities including design of a multi-sectoral and multi-actor stakeholder engagement plan and guidelines, facilitating the national awareness campaign, developing the National adaptation planning engagement platform and policy options development (Output 1). Laptop will also be used for collecting, interpreting and using data on climate risks for coastal adaptation planning to produce scenario-based coastal risk maps and knowledge material for use under Output 1 (Output 2). @10,000 across Output 1 &2 (50% each)
Co-F 2	160,000 - Training for Govt. Officials (DSA & Airfare) can also be able to attend regional and international training/workshop 8,000 - Implementation O&M cost for data and equipment (years 4 - 7) 60,000 - Contribution to consultative assessment workshops for adaptation solutions and current land use package (logistics, venue costs) 30,000 - Contribution to design and publication of 6 Island-level graphical reports related to settlement patterns and climate risk years during 5-7 of the project (10,000 annually)
44	Project Manager (International) Full time IPSA 11, Nuku'alofa based (90.4% split across the 3 outputs, 9.6% PMU)
	CTA (International) Part-time across years 1-7 of project IPSA 12 Nuku'alofa based (split across 3 project outputs).
	Deputy Project Manager Full time NPSA 11, Nuku'alofa based (90% split across the 3 outputs, 10% PMU)
	Gender and Safeguards Officer Full time NPSA 10, Nuku'alofa based (split across 3 project Outputs)

	Communications Officer Full time NPSA 9, Nuku'alofa based (split across 3 project outputs)
	Component Coordinator (Output 2&3) Full time NPSA 10, Nuku'alofa based (split across Outputs 2 and 3)
	Admin Assistant Full time NSPA 9, Nuku'alofa based (split 70% PMU and 30% between 3 outputs)
	Finance Officer NPSA 10 Full time Nuku'alofa based (split 70% PMU and 30% between 3 outputs)
	Monitoring and Evaluation Officer NPSA 10 Full time Nuku'alofa based (split 70% PMU and 30% between 3 outputs)
	Driver full time G3 (split 70% PMU, and 30% between 3 Outputs)
	Safeguards Officer - construction (national) full time NPSA10 Nuku'alofa based
45	Communications Specialist to develop the project's Communications Strategy and assist with the implementation of the Strategy, working closely with the PMU's Communications Officer. Part-time International Consultant, Homebased, 5 days a month for 7 years at the rate of $500 a day = $210,000 (Split across 3 project outputs)
	Gender Specialist to update Gender Strategy and Action Plan and assist with technical inputs to the implementation of the Plan throughout the project, working closely with the PMU's Gender and Safeguards Officer. International consultant Part-time across years 1-7 of project, Nuku'alofa based (split across 3 project Outputs). The IC will come in at the beginning to update the Gender Assessment and Action Plan (30 days at $600 per day) + mid-term support to monitor progress and make changes as necessary (15 days at $600 per day) + special support to Output 1 (40 days at $600) + annual support (towards APR period 10 days at $600 per day for 7 years) = $93,000
	Safeguards Specialist to update and develop the project's ESMP and assist with the implementation of the plan working closely with the PMU's Gender and Safeguards Officer. International Consultant, Part-time across years 2-7 of project, Homebased (split across 3 project Outputs). This IC will spend initial time developing the ESMP for the project (40 days at $700) and then mid-term support to monitor progress and make changes as necessary (15 days at $700 per day) + annual support 15 days at $600 per day for 6 years, excluding year 1) = $101,500
	Safeguards Specialist to develop ESIA for Construction component and support safeguards during construction, working closely with PMU and PIU members, including the Safeguards Officer of the PMU - International Consultant, Part-time during year 2 -3. This IC will develop the EIA ($100K) + $70K (100 days at $700) for remaining part-time support provided over 2 years
46	Staff Position Travel for output 3 - Project Manager (International) $2,300.00; CTA (International) $13,200.00; Safeguards Specialist (international) $6,120.00; Safeguards - Construction (international) $18,000.00; Gender Specialist (international) $5,200.00; Communication Specialist $2,600.00; Engineering firm for design and supervision $35,000.00. Total output 3 staff travel $82,420.00 split across 5 output 3 sub-activities.
	Travel (Local and International) for Evaluations (IE&FE)
47	Total cost of construction of Nukuleka Revetment of $2,561,558 includes the following breakdown: Contract signed $128,078 Construction mobilisation survey workplan etc $256,156 Ground clearance earthworks $256,156 Rock sourcing and stockpiling $384,234 Construction $1,024,623 Inspection of completed works $384,234 Performance bond (DLP 10%) $128,078
	Total cost of construction of Kolonga Road raising/armoring of $5,350,898 includes the following breakdown: Contract signed $267,545 Construction mobilisation survey etc $267,545 Ground clearance earthworks $535,090 Rock & fill sourcing and stockpiling $802,635 Construction $2,407,904 Inspection of completed works $535,090 Performance bond (DLP) $535,090
	Engineering consultancy firm for design and supervision of Nukuleka and Kolonga coastal protection measures

	Procurement technical support for complex and other procurements in the project (Split across 3 outputs)
48	$16,000 SIA development during Y1Q2 and Y3Q4 and $11,000 Consultations for ESMP development and approval & ESMP revision and finalization Y3Q3 and Y4Q1
	Meetings and workshops for IE and FE
49	Project Manager (International) Full time IPSA 11, Nuku'alofa based (90.4% split across the 3 outputs, 9.6% PMU)
	CTA (International) Part-time across years 1-7 of project IPSA 12 Nuku'alofa based (split across 3 project outputs).
	Deputy Project Manager Full time NPSA 11, Nuku'alofa based (90% split across the 3 outputs, 10% PMU)
	Gender and Safeguards Officer Full time NPSA 10, Nuku'alofa based (split across 3 project Outputs)
	Communications Officer Full time NPSA 9, Nuku'alofa based (split across 3 project outputs)
	Component Coordinator (Output 2&3) Full time NPSA 10, Nuku'alofa based (split across Outputs 2 and 3)
	Admin Assistant Full time NSPA 9, Nuku'alofa based (split 70% PMU and 30% between 3 outputs)
	Finance Officer NPSA 10 Full time Nuku'alofa based (split 70% PMU and 30% between 3 outputs)
	Monitoring and Evaluation Officer NPSA 10 Full time Nuku'alofa based (split 70% PMU and 30% between 3 outputs)
	Driver full time G3 (split 70% PMU, and 30% between 3 Outputs)
	Safeguards Officer - construction (national) full time NPSA10 Nuku'alofa based
50	Communications Specialist to develop the project's Communications Strategy and assist with the implementation of the Strategy, working closely with the PMU's Communications Officer. Part-time International Consultant, Homebased, 5 days a month for 7 years at the rate of $500 a day = $210,000 (Split across 3 project outputs)
	Gender Specialist to update Gender Strategy and Action Plan and assist with technical inputs to the implementation of the Plan throughout the project, working closely with the PMU's Gender and Safeguards Officer. International consultant Part-time across years 1-7 of project, Nuku'alofa based (split across 3 project Outputs). The IC will come in at the beginning to update the Gender Assessment and Action Plan (30 days at $600 per day) + mid-term support to monitor progress and make changes as necessary (15 days at $600 per day) + special support to Output 1 (40 days at $600) + annual support (towards APR period 10 days at $600 per day for 7 years) = $93,000
	Safeguards Specialist to update and develop the project's ESMP and assist with the implementation of the plan working closely with the PMU's Gender and Safeguards Officer. International Consultant, Part-time across years 2-7 of project, Homebased (split across 3 project Outputs). This IC will spend initial time developing the ESMP for the project (40 days at $700) and then mid-term support to monitor progress and make changes as necessary (15 days at $700 per day) + annual support 15 days at $600 per day for 6 years, excluding year 1) = $101,500
	Technical evaluation of design and effectiveness of coastal protection measures
51	Staff Position Travel for output 3 - Project Manager (International) $2,300.00; CTA (International) $13,200.00; Safeguards Specialist (international) $6,120.00; Safeguards - Construction (international) $18,000.00; Gender Specialist (international) $5,200.00; Communication Specialist $2,600.00; Construction Safeguards specialist $35,000.00. Total output 3 staff travel $82,420.00 split across 5 output 3 sub-activities.
	Travel costs for design and protection measures evaluation team $10000
52	Video production of lessons learned/guidelines and standards $50,000
53	Publication of lessons learned/guidelines and standards
54	Procurement technical support for complex and other procurements in the project (Split across 3 outputs)

Co-F 3	73,000 - O&M for year of the project 37,000 - JNAP technical team meeting for the evaluation of the design and effectiveness of coastal protections measures 50,000 - Contribution to video and publication of lessons learned 50,000 - Contribution for organizing an international /regional conference for sharing lessons learned in climate resilient coastal protection and management
Co-F 4	International /regional conference for sharing lessons learned in climate resilient coastal protection and management as 3.2.3 activity. This is planned to be a 2 day event, 50 participants expected. Travel costs x15pax including DSA 4 days in average (38,000). 25,000 venue costs, including hybrid conference set up, and catering (morning tea, afternoon tea and lunch) x 2 days
55	Professional audit - @8,000 for annual general audit expenses in country and associated costs related to regular DIM audits arrangements as per donor requirements (GFC) x 7 years of project duration
56	Project Manager (International) Full time IPSA 11, Nuku'alofa based (90.4% split across the 3 outputs, 9.6% PMU)
	Deputy Project Manager Full time NPSA 11, Nuku'alofa based (90% split across the 3 outputs, 10% PMU)
	Admin Assistant Full time NSPA 9, Nuku'alofa based (split 70% PMU and 30% between 3 outputs)
	Finance Officer NPSA 10 Full time Nuku'alofa based (split 70% PMU and 30% between 3 outputs)
	Driver full time G3 (split 70% PMU, and 30% between 3 Outputs)
57	Staff Position Travel for PMC - Project Manager (International) $3,000.00; Gender Specialist (international) $3,040.00; Communication Specialist $2,000.00. Total PMC staff travel $8,040
58	Equipment and furniture (4,000) other office-related equipment as required for PMU staff based in Nuku'alofa.
59	Office rent @ 90,000 total project
60	Print production and video costs over project lifespan
61	DPC at approx. $462,186 for 7 years. Estimation of administrative support transaction-based using UNDP Pacific Office in Fiji 2023 Transactional Services Prices list UPL/LPL
62	Inception workshop @ 1 x 8,000 (venue hire and catering)

XI. 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 Tonga and UNDP, signed on (08-January 2013). All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

This project will be implemented by UNDP Pacific Multi-country Office (MCO) ("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.

XII. 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][39] [UNDP funds received pursuant to the Project Document][40] 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:

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

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-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:
    i. 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;
    ii. 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.

b. 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.

c. 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.

d. 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 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.

e. 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.

f. 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.

g. 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.

h. 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.

i. 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.

j. 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 or 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.

k. 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 or 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.

   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.

l. 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.

m. 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.

n. 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.

XIII. MANDATORY ANNEXES

Annex A: GCF Specific Conditions, Representations, Warranties and Covenants
Annex B: GCF Board-approved Funding Proposal
Annex C: Letter of agreement between the Implementing Partner and Responsible Parties
Annex D: Co-financing commitment letters of co-financing (from the project design stage)
Annex E: Timetable of project implementation
Annex F: Procurement plan
Annex G: Terms of References for Project Board and Project Team
Annex H: UNDP Social and Environmental Screening Procedure (SESP) (to be completed in UNDP Quantum+ and the printout to be attached to the project document)
Annex I: Environmental and Social Management Plan or Framework (ESMP or ESMF), as relevant
Annex J: Stakeholder Engagement Plan (including summary of consultations)
Annex K: Gender Analysis and Action Plan
Annex L: UNDP Risk Register
Annex M: Letter of Agreement with the government in case UNDP Support Service Costs are applied
Annex N: HACT micro assessment and Partner Capacity Assessment Tool (PCAT)
Annex O: Additional agreements: Including cost sharing agreements, project cooperation agreements signed with NGOs (where the NGO is designated as the "executing entity"), letters of financial commitments
Annex P: UNDP Project Quality Assurance Report (to be completed in UNDP Quantum+ and the printout to be attached to the project document)
Annex Q: Monitoring Activity Table
Annex R: On-Granting Provisions Applicable to the Implementing Partner
Annex S: Other annexes included in the Funding Proposal annex package approved by the GCF Board (to the extent that they are not confidential as indicated in the disclosure form submitted to the GCF)

Annex A: GCF Specific Conditions, Representation, Warranties and Covenants

(i) The Implementing Partner hereby expressly agrees and shall ensure that each of its responsible parties, their respective sub-recipients and other entities involved in Project Implementation, either as contractors or subcontractors and any individuals performing services for them under the Project Document agrees, to comply with the following Project Specific Conditions: as stipulated in the Term Sheet and FAA at

Annex P: Other annexes included in the Funding Proposal annex package approved by the GCF Board

(ii) The Implementing Partner hereby expressly represents and warrants, and shall ensure, where applicable, that each of its responsible parties, their respective sub-recipients and other entities involved in Project Implementation, either as contractors or subcontractors and any individuals performing services for them under the Project Document represents and warrants: as stipulated in the Term Sheet and FAA at

Annex P: Other annexes included in the Funding Proposal annex package approved by the GCF Board

(iii) The Implementing Partner hereby expressly covenants, and shall ensure, where applicable, that each of its responsible parties, their respective sub-recipients and other entities involved in Project Implementation, either as contractors or subcontractors and any individuals performing services for them under the Project Document covenants: as stipulated in the Term Sheet and FAA at

Annex P: Other annexes included in the Funding Proposal annex package approved by the GCF Board

The Implementing Partner agrees that any non-compliance of the Project Specific Conditions under item (i), representation and warranties provided under item (ii) and/or the covenants set out in item (iii) above shall be deemed a breach of the obligations of the Implementing Partner under this Project Document.

Annex B: GCF Board-approved Funding Proposal

The GCF Board-approved Funding Proposal for Tonga Coastal Resilience Project can be found at the link:
Tonga Coastal Resilience FP234 GCF-approved Funding Proposal
(available via link: https://www.greenclimate.fund/project/fp234)

Annex C: Co-financing commitment letters of co-financing

MINISTRY OF FINANCE
Government of Tonga

Reference No.: 103G/323 Date: 25/03/2024

Mr. Pradeep Kurukulasuriya
Executive Coordinator and Director
UNDP- Environmental Finance, Nature, Climate and Energy
New York, U.S.A.

Dear Mr. Kurukulasuriya,

Re: Co-financing commitment letter for the Green Climate Fund (GCF) project -"Coastal Resilience Project in Tonga."

This letter serves to confirm the Government of Tonga' s commitment to co-finance the above stated GCF project, totalling to USD$1,200,000.

The Government of Tonga will commit USD$1,200,000 as cash contributions for supporting project implementation, operation and maintenance (0&M) for the duration of the project.

The Government of Tonga also commits to covering the costs of operations and maintenance with respect to the hard-engineered solutions on the Northeastern Coast, Tongatapu, and data equipment, estimated at USD$ 81,000 during the seven-year project implementation period. In addition, the Government has made a commitment to finance USD$ 150,000 per year for post-project 0&M for the coastal protection measures for the project's expected lifecycle.

On behalf of the Government of Tonga, I would like to thank the UNDP and GCF for the opportunity to submit this proposal to enhance coastal protection and strengthen national and local capacity for building short and long term resilience in Tonga.

Yours sincerely,

MINISTRY OF FINANCE TONGA

Mrs Kilisitina Tuaimei'api
Chief Executive Officer for Finance
Tonga

Phone: +676 7400700 • Fax: +676 24040 • Website: http://www.Finance.gov.to • Address: P.O. Box 87, St George Government Building, Taufa'ahau Road, Nuku'alofa, TONGA

DocuSign Envelope ID: 9473312E-0BC1-4A81-9CCD-10FC4AA09617

United Nations Development Programme

29 April 2024

Letter No.: 031/24

Dear Ms. Bennet,

Subject: **Co-financing commitment letter for Coastal Resilience Project in Tonga**

I am writing to you to express our commitment to support the Coastal Resilience Project in Tonga that was proposed to the Green Climate Fund (GCF) for funding.

This is to confirm the grant contribution of UNDP to co-finance the project, should the proposal be approved, with a total value of **USD 63,000** for year 7 of the project.

Yours sincerely,

DocuSigned by:
Yemesrach Workie
2CE96066A75D94B3

Yemesrach Workie
Officer-in-Charge
UNDP Pacific Office in Fiji

Ms. Nancy Bennet
Executive Coordinator, Ad Interim (A.I)
Vertical Funds Programming Support, Oversight and Compliance Unit
Bureau for Policy and Programme Support (BPPS)/Global Policy Network
United National Development Programme (UNDP)

and

The Green Climate Fund "GCF"

Encl.

UNDP Pacific Office in Fiji | Level 2, Kadavu House, 414 Victoria Parade, Suva, Fiji
Tel: +679 3312 500 | E-mail: registry.fj@undp.org | www.undp.org/pacific

Annex D: Timetable of project implementation

	Year 1			
	Q1	**Q2**	**Q3**	**Q4**
Output 1. Strengthened knowledge, capacity and engagement for incorporating climate risks into long-term adaptation planning supported through multi-sectoral, multi-stakeholder engagement and dialogue platform				
Activity 1.1 Establish a national multi-stakeholder engagement platform for dialogue on co-creating long-term climate change adaptation strategies and solutions including voluntary retreat				
Sub-activity 1.1.1 Design of a multi-sectoral and multi-actor stakeholder engagement plan and guidelines for a bottom-up national engagement process.				Design and establishment of a multi-sectoral and multi-actor stakeholder engagement plan and guidelines for a bottom-up national engagement process Specific guidance on engaging women, girls and other vulnerable groups within engagement plan and guidelines for a bottom-up national multi-sectoral and multi-actor adaptation planning engagement process developed
Sub-activity 1.1.2 Facilitate a national awareness campaign on climate change and disaster risks and transformative adaptation strategies for multi-stakeholder dialogue platform co-creating long-term adaptation strategies and solutions (using material developed under Output 2)				National awareness campaign undertaken on climate risk and long term transformative adaptation strategies Engagement and socialisation on climate change risk and long term transformative adaptation strategies and the multi-sectoral and multi-actor stakeholder bottom-up national engagement process undertaken at local, island and national levels. 3 Campaign activities targeting women on climate change risk and co-creating long term transformative adaptation strategies.
Sub-activity 1.1.3 Develop a Terms of Reference for a National adaptation planning engagement platform				

specifying memberships, responsibilities and results				
Sub-activity 1.1.4 Undertake meetings of the national engagement platform on long-term climate change adaptation as per the Terms of Reference				
Sub-activity 1.1.5 Develop policy options to incorporate climate resilience and land use principles into national frameworks				
Activity 1.2 Develop village and district level participatory climate risk informed plans				
Sub-activity 1.2.1 Support a participatory process for developing village and district spatial plans to incorporate climate risk planning and adaptation strategies and incorporating principles of land-use				
Activity 1.3 Build the capacity of local government, village committees and NGOs to integrate climate risks and adaptation needs into community level planning, and inform future Community Development Plans (CDP)				
Sub-activity 1.3.1 Develop an updated climate-responsive Community Development Plan Guideline to inform the development of future CDPs that includes including participatory vulnerability assessment and planning, gender needs assessment, and adaptation needs assessment and planning.				
Sub-activity 1.3.2 Design and implement a capacity building package for the Ministry of Internal Affairs on utilising the new climate-responsive CDP guideline				Develop gender-sensitive capacity building package on the new gender and climate-responsive CDP guideline
Sub-activity 1.3.3 Strengthen capacities of key ministries for climate change risk informed planning and budgeting through trainings and materials				
Sub-activity 1.3.4 Organize island events (Vava'u, Ha'apai, 'Eua, Tongatapu and Niuas) for sharing lessons for producing climate responsive CDPs				
Output 2 Strengthened national and local capacities for effective monitoring and assessment of climate risks				
Activity 2.1 Strengthened mechanism for collecting and analysing data and information for better-informed climate risk monitoring and coastal adaptation planning				

Sub-activity 2.1.1 Increase capacity of the Government to effectively collect, manage and analyse coastal monitoring data				
Sub-activity 2.1.2 Collecting, interpreting and using data on climate risks for coastal adaptation planning to produce scenario-based coastal risk maps and knowledge material for use under Output 1				
Sub-activity 2.1.3 Improve multi-stakeholder coordination and collaboration on coastal adaptation and planning integrating climate change				
Activity 2.2 Improve the knowledge base of multi-sectoral, multi-stakeholders on adaptation planning strategies for long-term resilient planning and transformative adaptation for Tonga based on climate risks and projections				
Sub-activity 2.2.1 Support the use and interpretation of data collected in Output 2.1 by providing easily understood materials for multiple stakeholder types that consider strategic long-term coastal adaptation and inform the national multi-stakeholder				
Output 3. Reduced vulnerabilities of coastal communities in Hahake to climate hazards through coastal protection measures				
Activity 3.1. Build coastal protection measures along 4km of coastline in Hahake				
Sub-activity 3.1.1 Detailed design and site-specific assessments of coastal protection measures finalized for Hahake		Start of procurement for design engineer services	Start of construction design	
Sub-activity 3.1.2 Construct coastal protection measures in Hahake			Construction procurement starts	Construction procurement
Activity 3.2. Sharing of lessons learned and best practices in climate resilient coastal protection measures for scale up at the national and regional level				
Sub-activity 3.2.1 Technical evaluations of the design and effectiveness of the coastal protection measures conducted				
Sub-activity 3.2.2 Production of and publication of a report on lessons learned				
Sub-activity 3.2.3 Organize an international /regional conference for sharing lessons learned in climate				

resilient coastal protection and management				
Project Monitoring*	Start of project implementation/Inception Workshop	Inception Report		
APR = Annual Performance Report				

*In addition to this monitoring requirements, the Funded Activity is also subject to financial reporting per the AMA/FAA, such as Unaudited/Audited Financial Statements, Financial information reports, and other reports as defined in

	Year 2			
	Q1	**Q2**	**Q3**	**Q4**
Output 1. Strengthened knowledge, capacity and engagement for incorporating climate risks into long-term adaptation planning supported through multi-sectoral, multi-stakeholder engagement and dialogue platform				
Activity 1.1 Establish a national multi-stakeholder engagement platform for dialogue on co-creating long-term climate change adaptation strategies and solutions including voluntary retreat				
Sub-activity 1.1.1 Design of a multi-sectoral and multi-actor stakeholder engagement plan and guidelines for a bottom-up national engagement process.	Design and establishment of a multi-sectoral and multi-actor stakeholder engagement plan and guidelines for a bottom-up national engagement process Specific guidance on engaging women, girls and other vulnerable groups within engagement plan and guidelines for a bottom-up national multi-sectoral and multi-actor adaptation planning engagement process developed			
Sub-activity 1.1.2 Facilitate a national awareness campaign on climate change and disaster risks and transformative adaptation strategies for multi-stakeholder dialogue co-creating long-term adaptation strategies and solutions (using material developed under Output 2)	National awareness campaign undertaken on climate risk and long term transformative adaptation strategies Engagement and socialisation on climate change risk and long term transformative adaptation strategies and the multi-sectoral and multi-actor stakeholder bottom-up national engagement process undertaken at local, island and national levels. 3 Campaign activities targeting women on climate change risk and co-creating long term transformative adaptation strategies.			
Sub-activity 1.1.3 Develop a Terms of Reference for a National adaptation planning engagement platform specifying memberships, responsibilities and results	Consultation undertaken on the memberships, responsibilities and results that should be incorporated within the ToR for the national adaptation planning engagement platform A (gender sensitive) ToR for the national adaptation planning engagement platform that defines responsibilities, results and specifies memberships (including Women's Affairs Division/Ministry of Internal Affairs, Women's organizations) developed			
Sub-activity 1.1.4 Undertake meetings of the national engagement platform on long-term climate change adaptation as per the Terms of Reference				
Sub-activity 1.1.5 Develop policy options to incorporate climate resilience and				

land use principles into national frameworks				
Activity 1.2 Develop village and district level participatory climate risk informed plans				
Sub-activity 1.2.1 Support a participatory process for developing village and district spatial plans to incorporate climate risk planning and adaptation strategies and incorporating principles of land-use				Awareness consultative/workshop engagement activities with local, island and national level stakeholders on climate change risk and co-creating long term transformative adaptation strategies undertaken
Activity 1.3 Build the capacity of local government, village committees and NGOs to integrate climate risks and adaptation needs into community level planning, and inform future Community Development Plans (CDP)				
Sub-activity 1.3.1 Develop an updated climate-responsive Community Development Plan Guideline to inform the development of future CDPs that includes including participatory vulnerability assessment and planning, gender needs assessment, and adaptation needs assessment and planning.				
Sub-activity 1.3.2 Design and implement a capacity building package for the Ministry of Internal Affairs on utilising the new climate-responsive CDP guideline	Develop gender-sensitive capacity building package on the new gender and climate-responsive CDP guideline			
Sub-activity 1.3.3 Strengthen capacities of key ministries for climate change risk informed planning and budgeting through trainings and materials				Guidelines and other official documents to support government staff to integrate climate change risks in planning and budgeting that incorporate the inclusion of equitable participation of decision makers and officials (men and women) in the capacity development trainings developed
Sub-activity 1.3.4 Organize island events (Vava'u, Ha'apai, 'Eua, Tongatapu and Niuas) for sharing lessons for producing climate responsive CDPs				
Output 2 Strengthened national and local capacities for effective monitoring and assessment of climate risks				

Activity 2.1 Strengthened mechanism for collecting and analysing data and information for better-informed climate risk monitoring and coastal adaptation planning				
Sub-activity 2.1.1 Increase capacity of the Government to effectively collect, manage and analyse coastal monitoring data				Develop a long-term Capacity Building Strategy and Plan for government use on coastal and climate risk monitoring and analysis to inform coastal adaptation planning (e.g. including understanding and use of climate and risk information and data such as satellite imagery, aerial photography, drone imagery, LiDAR topography and bathymetry) Capacity needs assessment to inform the long-term Capacity Building Strategy and Plan undertaken Capacity building and training opportunities through regional placements in technical agencies in the Pacific established and supported (for example, SPC and others) Training/mentoring undertaken and training materials available to support government staff to integrate climate change risks in planning and budgeting
Sub-activity 2.1.2 Collecting, interpreting and using data on climate risks for coastal adaptation planning to produce scenario-based coastal risk maps and knowledge material for use under Output 1			Critical equipment for improved coastal adaptation planning and monitoring capacity purchasde for use Baselines available through LiDAR surveys that cover country-wide critical areas Scenario-based coastal risk maps and knowledge material for use under Output 1 produced	
Sub-activity 2.1.3 Improve multi-stakeholder coordination and collaboration on coastal adaptation and planning integrating climate change				
Activity 2.2 Improve the knowledge base of multi-sectoral, multi-stakeholders on adaptation planning strategies for long-term resilient planning and transformative adaptation for Tonga based on climate risks and projections				

Sub-activity 2.2.1 Support the use and interpretation of data collected in Output 2.1 by providing easily understood materials for multiple stakeholder types that consider strategic long-term coastal adaptation and inform the national multi-stakeholder dialogue platform				
Output 3. Reduced vulnerabilities of coastal communities in Hahake to climate hazards through coastal protection measures				
Activity 3.1. Build coastal protection measures along 4km of coastline in Hahake				
Sub-activity 3.1.1 Detailed design and site-specific assessments of coastal protection measures finalized for Hahake	Start of construction design			Site specific assessments of coastal protection measures developed and finalized for Nukuleka - Talafo'ou, Hahake (hard reventment) and coastal protection measures for the Manuka to Kolonga shoreline
Sub-activity 3.1.2 Construct coastal protection measures in Hahake	Construction procurement			
Activity 3.2. Sharing of lessons learned and best practices in climate resilient coastal protection measures for scale up at the national and regional level				
Sub-activity 3.2.1 Technical evaluations of the design and effectiveness of the coastal protection measures conducted				
Sub-activity 3.2.2 Production of and publication of a report on lessons learned				
Sub-activity 3.2.3 Organize an international /regional conference for sharing lessons learned in climate resilient coastal protection and management				
Project Monitoring*	APR			

APR = Annual Performance Report

*In addition to this monitoring requirements, the Funded Activity is also subject to financial reporting per the AMA/FAA, such as Unaudited/Audited Financial Statements, Financial information reports, and other reports as defined in the FAA.

	Year 3			
	Q1	**Q2**	**Q3**	**Q4**
Output 1. Strengthened knowledge, capacity and engagement for incorporating climate risks into long-term adaptation planning supported through multi-sectoral, multi-stakeholder engagement and dialogue platform				
Activity 1.1 Establish a national multi-stakeholder engagement platform for dialogue on co-creating long-term climate change adaptation strategies and solutions including voluntary retreat				

Sub-activity 1.1.1 Design of a multi-sectoral and multi-actor stakeholder engagement plan and guidelines for a bottom-up national engagement process.	Design and establishment of a multi-sectoral and multi-actor stakeholder engagement plan and guidelines for a bottom-up national engagement process Specific guidance on engaging women, girls and other vulnerable groups within engagement plan and guidelines for a bottom-up national multi-sectoral and multi-actor adaptation planning engagement process developed			
Sub-activity 1.1.2 Facilitate a national awareness campaign on climate change and disaster risks and transformative adaptation strategies for multi-stakeholder dialogue platform for co-creating long-term adaptation strategies and solutions (using material developed under Output 2)	National awareness campaign undertaken on climate risk and long term transformative adaptation strategies Engagement and socialisation on climate change risk and long term transformative adaptation strategies and the multi-sectoral and multi-actor stakeholder bottom-up national engagement process undertaken at local, island and national levels. 3 Campaign activities targeting women on climate change risk and co-creating long term transformative adaptation strategies.	Engagement and socialisation on climate change risk and long term transformative adaptation strategies and the multi-sectoral and multi-actor stakeholder bottom-up national engagement process undertaken at local, island and national levels. National awareness campaign materials (that also incorporate women-led talk shows, or women's forum or media advertisements targeting women and their role in shaping national adaption strategies) developed 3 Campaign activities targeting women on climate change risk and co-creating long term transformative adaptation strategies.		Design thinking workshops held for women/women leaders/women organisations) on climate change risk and co-creating long term transformative adaptation strategies. Awareness consultative/workshop engagement activities with local, island and national level stakeholders on climate change risk and co-creating long term transformative adaptation strategies held
Sub-activity 1.1.3 Develop a Terms of Reference for a National adaptation planning engagement platform specifying memberships, responsibilities and results				
Sub-activity 1.1.4 Undertake meetings of the national engagement platform on long-term climate change adaptation as per the Terms of Reference				
Sub-activity 1.1.5 Develop policy options to incorporate climate resilience and land use principles into national frameworks				
Activity 1.2 Develop village and district level participatory climate risk informed plans				
Sub-activity 1.2.1 Support a participatory process for developing village and district spatial plans to incorporate climate risk planning and adaptation strategies and incorporating principles of land-use	Awareness consultative/workshop engagement activities with local, island and national level stakeholders on climate change risk and co-creating long term transformative adaptation strategies undertaken			
Activity 1.3 Build the capacity of local government, village committees and NGOs to integrate climate risks and adaptation needs into community level planning, and inform future Community Development Plans (CDP)				

Sub-activity 1.3.1 Develop an updated climate-responsive Community Development Plan Guideline to inform the development of future CDPs that includes including participatory vulnerability assessment and planning, gender needs assessment, and adaptation needs assessment and planning.				Facilitate community outreach and engagement on adaptation
Sub-activity 1.3.2 Design and implement a capacity building package for the Ministry of Internal Affairs on utilising the new climate-responsive CDP guideline				
Sub-activity 1.3.3 Strengthen capacities of key ministries for climate change risk informed planning and budgeting through trainings and materials	Guidelines and other official documents to support government staff to integrate climate change risks in planning and budgeting that incorporate the inclusion of equitable participation of decision makers and officials (men and women) in the capacity development trainings developed			
Sub-activity 1.3.4 Organize island events (Vava'u, Ha'apai, 'Eua, Tongatapu and Niuas) for sharing lessons for producing climate responsive CDPs				
Output 2 Strengthened national and local capacities for effective monitoring and assessment of climate risks				
Activity 2.1 Strengthened mechanism for collecting and analysing data and information for better-informed climate risk monitoring and coastal adaptation planning				
Sub-activity 2.1.1 Increase capacity of the Government to effectively collect, manage and analyse coastal monitoring data	Develop a long-term Capacity Building Strategy and Plan for government use on coastal and climate risk monitoring and analysis to inform coastal adaptation planning (e.g. including understanding and use of climate and risk information and data such as satellite imagery, aerial photography, drone imagery, LiDAR topography and bathymetry) Capacity needs assessment to inform the long-term Capacity Building Strategy and Plan undertaken Capacity building and training opportunities through regional placements in technical agencies in the Pacific established and supported (for example, SPC and others) Training/mentoring undertaken and training materials available to support government staff to integrate climate change risks in planning and budgeting	Training/mentoring undertaken and training materials available to support government staff to integrate climate change risks in planning and budgeting Technical officers and local government officers trained on coastal zone management, coastal processes, coastal planning and hazards management, and climate down-scaling		
Sub-activity 2.1.2 Collecting, interpreting and using data on climate risks for coastal adaptation planning to produce scenario-based coastal risk maps and	Critical equipment for improved coastal adaptation planning and monitoring capacity purchased for use Baselines available through LiDAR surveys that cover country-wide critical areas			

knowledge material for use under Output 1	Scenario-based coastal risk maps and knowledge material for use under Output 1 produced			
Sub-activity 2.1.3 Improve multi-stakeholder coordination and collaboration on coastal adaptation and planning integrating climate change				Capacity building to integrate data developed in activity 2.1.2 through mentoring and training for intergovernmental multistakeholder coordination undertaken
Activity 2.2 Improve the knowledge base of multi-sectoral, multi-stakeholders on adaptation planning strategies for long-term resilient planning and transformative adaptation for Tonga based on climate risks and projections				
Sub-activity 2.2.1 Support the use and interpretation of data collected in Output 2.1 by providing easily understood materials for multiple stakeholder types that consider strategic long-term coastal adaptation and inform the national multi-stakeholder				
Output 3. Reduced vulnerabilities of coastal communities in Hahake to climate hazards through coastal protection measures				
Activity 3.1. Build coastal protection measures along 4km of coastline in Hahake				
Sub-activity 3.1.1 Detailed design and site-specific assessments of coastal protection measures finalized for Hahake	End of construction designs	Detailed design of coastal protection measures developed for Nukuleka - Talafo'ou, Hahake (hard reventment) Design of coastal protection measures developed for Manuku to Kolonga shoreline		
Sub-activity 3.1.2 Construct coastal protection measures in Hahake	Construction procurement		Start of contract for Construction of revetment for Nukuleka to Talafo'ou shoreline	Start of contract for Construction of coastal protection measures for Manuka to Kolonga shoreline
Activity 3.2. Sharing of lessons learned and best practices in climate resilient coastal protection measures for scale up at the national and regional level				
Sub-activity 3.2.1 Technical evaluations of the design and effectiveness of the coastal protection measures conducted				
Sub-activity 3.2.2 Production of and publication of a report on lessons learned				
Sub-activity 3.2.3 Organize an international /regional conference for sharing lessons learned in climate resilient coastal protection and management				

Project Monitoring*		Interim Evaluation		

APR = Annual Performance Report

*In addition to this monitoring requirements, the Funded Activity is also subject to financial reporting per the AMA/FAA, such as Unaudited/Audited Financial Statements, Financial information reports, and other reports as defined in the FAA.

	Year 4			
	Q1	**Q2**	**Q3**	**Q4**
Output 1. Strengthened knowledge, capacity and engagement for incorporating climate risks into long-term adaptation planning supported through multi-sectoral, multi-stakeholder engagement and dialogue platform				
Activity 1.1 Establish a national multi-stakeholder engagement platform for dialogue on co-creating long-term climate change adaptation strategies and solutions including voluntary retreat				
Sub-activity 1.1.1 Design of a multi-sectoral and multi-actor stakeholder engagement plan and guidelines for a bottom-up national engagement process.	Design and establishment of a multi-sectoral and multi-actor stakeholder engagement plan and guidelines for a bottom-up national engagement process Specific guidance on engaging women, girls and other vulnerable groups within engagement plan and guidelines for a bottom-up national multi-sectoral and multi-actor adaptation planning engagement process developed			
Sub-activity 1.1.2 Facilitate a national awareness campaign on climate change and disaster risks and transformative adaptation strategies for multi-stakeholder dialogue co-creating long-term adaptation strategies and solutions (using material developed under Output 2)	Design thinking workshops held for women/women leaders/women organisations) on climate change risk and co-creating long term transformative adaptation strategies. Awareness consultative/workshop engagement activities with local, island and national level stakeholders on climate change risk and co-creating long term transformative adaptation strategies held			
Sub-activity 1.1.3 Develop a Terms of Reference for a National adaptation planning engagement platform specifying memberships, responsibilities and results				
Sub-activity 1.1.4 Undertake meetings of the national engagement platform on long-term climate change adaptation as per the Terms of Reference			Regular meetings held (on the schedule defined at 1.1.3.2) for national engagement on long term transformative adaptation strategies (at least 1 meeting per year for last 2 years of the project lifetime)	
Sub-activity 1.1.5 Develop policy options to incorporate climate resilience and land use principles into national frameworks				
Activity 1.2 Develop village and district level participatory climate risk informed plans				
Sub-activity 1.2.1 Support a participatory process for developing village and district spatial plans to incorporate climate risk planning and adaptation strategies and incorporating principles of land-use	Awareness consultative/workshop engagement activities with local, island and national level stakeholders on climate change risk and co-	Guidelines for relevant offices and departments to include climate change considerations in bottom-up		

	creating long term transformative adaptation strategies undertaken	planning developed Gender-sensitive guidelines for participatory village and district spatial plans, targeting 50% of female participation developed 1 village and district level participatory process for developing a climate-risk informed district spatial plan piloted in Hahake.		
Activity 1.3 Build the capacity of local government, village committees and NGOs to integrate climate risks and adaptation needs into community level planning, and inform future Community Development Plans (CDP)				
Sub-activity 1.3.1 Develop an updated climate-responsive Community Development Plan Guideline to inform the development of future CDPs that includes including participatory vulnerability assessment and planning, gender needs assessment, and adaptation needs assessment and planning.	Facilitate community outreach and engagement on adaptation			
Sub-activity 1.3.2 Design and implement a capacity building package for the Ministry of Internal Affairs on utilising the new climate-responsive CDP guideline				
Sub-activity 1.3.3 Strengthen capacities of key ministries for climate change risk informed planning and budgeting through trainings and materials		Guidelines and other official documents to support government staff to integrate climate change risks in planning and budgeting that incorporate the inclusion of equitable participation of decision makers and officials (men and women) in the capacity development trainings developed		Guidelines and other official documents to support government staff to integrate climate change risks in planning and budgeting that incorporate the inclusion of equitable participation of decision makers and officials (men and women) in the capacity development trainings developed

Sub-activity 1.3.4 Organize island events (Vava'u, Ha'apai, 'Eua, Tongatapu and Niuas) for sharing lessons for producing climate responsive CDPs				
Output 2 Strengthened national and local capacities for effective monitoring and assessment of climate risks				
Activity 2.1 Strengthened mechanism for collecting and analysing data and information for better-informed climate risk monitoring and coastal adaptation planning				
Sub-activity 2.1.1 Increase capacity of the Government to effectively collect, manage and analyse coastal monitoring data	Long-term Capacity Building Strategy and Plan for government use on coastal and climate risk monitoring and analysis to inform coastal adaptation planning developed	Training/mentoring undertaken and training materials available to support government staff to integrate climate change risks in planning and budgeting Technical officers and local government officers trained on coastal zone management, coastal processes, coastal planning and hazards management, and climate down-scaling		
Sub-activity 2.1.2 Collecting, interpreting and using data on climate risks for coastal adaptation planning to produce scenario-based coastal risk maps and knowledge material for use under Output 1	Critical equipment for improved coastal adaptation planning and monitoring capacity purchased for use Baselines available through LiDAR surveys that cover country-wide critical areas Scenario-based coastal risk maps and knowledge material for use under Output 1 produced			
Sub-activity 2.1.3 Improve multi-stakeholder coordination and collaboration on coastal adaptation and planning integrating climate change	Capacity building to integrate data developed in activity 2.1.2 through mentoring and training for intergovernmental multistakeholder coordination undertaken			
Activity 2.2 Improve the knowledge base of multi-sectoral, multi-stakeholders on adaptation planning strategies for long-term resilient planning and transformative adaptation for Tonga based on climate risks and projections				
Sub-activity 2.2.1 Support the use and interpretation of data collected in Output 2.1 by providing easily understood materials for multiple stakeholder types that consider strategic long-term coastal adaptation and inform the national multi-stakeholder				6 Island-level graphical reports related to settlement patterns and climate risk for strategic long-term coastal adaptation planning produced Consultative assessment on the trade-offs between adaptation solutions and current land use considering food security, water security and livelihoods as well as incorporating cultural sensitivities and traditional knowledge
Output 3. Reduced vulnerabilities of coastal communities in Hahake to climate hazards through coastal protection measures				

Activity 3.1. Build coastal protection measures along 4km of coastline in Hahake				
Sub-activity 3.1.1 Detailed design and site-specific assessments of coastal protection measures finalized for Hahake	Detailed design of coastal protection measures developed for Nukuleka - Talafo'ou, Hahake (hard reventment) Design of coastal protection measures developed for Manuku to Kolonga shoreline			
Sub-activity 3.1.2 Construct coastal protection measures in Hahake	Construction of coastal protection measures for Manuka to Kolonga shoreline Construction of revetment for Nukuleka to Talafo'ou			
Activity 3.2. Sharing of lessons learned and best practices in climate resilient coastal protection measures for scale up at the national and regional level				
Sub-activity 3.2.1 Technical evaluations of the design and effectiveness of the coastal protection measures conducted				
Sub-activity 3.2.2 Production of and publication of a report on lessons learned				
Sub-activity 3.2.3 Organize an international /regional conference for sharing lessons learned in climate resilient coastal protection and management				
Project Monitoring*	APR			

APR = Annual Performance Report

*In addition to this monitoring requirements, the Funded Activity is also subject to financial reporting per the AMA/FAA, such as Unaudited/Audited Financial Statements, Financial information reports, and other reports as defined in the FAA.

	Year 5			
	Q1	**Q2**	**Q3**	**Q4**
Output 1. Strengthened knowledge, capacity and engagement for incorporating climate risks into long-term adaptation planning supported through multi-sectoral, multi-stakeholder engagement and dialogue platform				
Activity 1.1 Establish a national multi-stakeholder engagement platform for dialogue on co-creating long-term climate change adaptation strategies and solutions including voluntary retreat				
Sub-activity 1.1.1 Design of a multi-sectoral and multi-actor stakeholder engagement plan and guidelines for a bottom-up national engagement process.	Design and establishment of a multi-sectoral and multi-actor stakeholder engagement plan and guidelines for a bottom-up national engagement process Specific guidance on engaging women, girls and other vulnerable groups within engagement plan and guidelines for a bottom-up national multi-sectoral and multi-actor adaptation planning engagement process developed			

Sub-activity 1.1.2 Facilitate a national awareness campaign on climate change and disaster risks and transformative adaptation strategies for multi-stakeholder dialogue co-creating long-term adaptation strategies and solutions (using material developed under Output 2)	National awareness campaign undertaken on climate risk and long term transformative adaptation strategies	Engagement and socialisation on climate change risk and long term transformative adaptation strategies and the multi-sectoral and multi-actor stakeholder bottom-up national engagement process undertaken at local, island and national levels. National awareness campaign materials (that also incorporate women-led talk shows, or women's forum or media advertisements targeting women and their role in shaping national adaption strategies) developed		Design thinking workshops held for women/women leaders/women organisations) on climate change risk and co-creating long term transformative adaptation strategies. Awareness consultative/workshop engagement activities with local, island and national level stakeholders on climate change risk and co-creating long term transformative adaptation strategies held
Sub-activity 1.1.3 Develop a Terms of Reference for a National adaptation planning engagement platform specifying memberships, responsibilities and results				
Sub-activity 1.1.4 Undertake meetings of the national engagement platform on long-term climate change adaptation as per the Terms of Reference	Regular meetings held (on the schedule defined at 1.1.3.2) for national engagement on long term transformative adaptation strategies (at least 1 meeting per year for last 2 years of the project lifetime)			
Sub-activity 1.1.5 Develop policy options to incorporate climate resilience and land use principles into national frameworks				Guidance for land use considering climate risk and incorporating climate resilience developed Land Use Policy update consulted and developed, prepared ready for submission to Cabinet Gender-responsive policy options to incorporate climate resilience and land use principles into national frameworks developed
Activity 1.2 Develop village and district level participatory climate risk informed plans				
Sub-activity 1.2.1 Support a participatory process for developing village and district spatial plans to incorporate climate risk planning and adaptation strategies and incorporating principles of land-use				
Activity 1.3 Build the capacity of local government, village committees and NGOs to integrate climate risks and adaptation needs into community level planning, and inform future Community Development Plans (CDP)				

Sub-activity 1.3.1 Develop an updated climate-responsive Community Development Plan Guideline to inform the development of future CDPs that includes including participatory vulnerability assessment and planning, gender needs assessment, and adaptation needs assessment and planning.	Facilitate community outreach and engagement on adaptation			Facilitate community outreach and engagement on adaptation Collection and collation of local priorities to inform policy action through the gender-sensitive climate responsive CDP guideline Updated gender-sensitive climate-responsive CDP guidelines developed
Sub-activity 1.3.2 Design and implement a capacity building package for the Ministry of Internal Affairs on utilising the new climate-responsive CDP guideline				
Sub-activity 1.3.3 Strengthen capacities of key ministries for climate change risk informed planning and budgeting through trainings and materials		Guidelines and other official documents to support government staff to integrate climate change risks in planning and budgeting that incorporate the inclusion of equitable participation of decision makers and officials (men and women) in the capacity development trainings developed		Guidelines and other official documents to support government staff to integrate climate change risks in planning and budgeting that incorporate the inclusion of equitable participation of decision makers and officials (men and women) in the capacity development trainings developed
Sub-activity 1.3.4 Organize island events (Vava'u, Ha'apai, 'Eua, Tongatapu and Niuas) for sharing lessons for producing climate responsive CDPs				
Output 2 Strengthened national and local capacities for effective monitoring and assessment of climate risks				
Activity 2.1 Strengthened mechanism for collecting and analysing data and information for better-informed climate risk monitoring and coastal adaptation planning				
Sub-activity 2.1.1 Increase capacity of the Government to effectively collect, manage and analyse coastal monitoring data	Training/mentoring undertaken and training materials available to support government staff to integrate climate change risks in planning and budgeting Technical officers and local government officers trained on coastal zone management, coastal processes, coastal planning and hazards management, and climate down-scaling			
Sub-activity 2.1.2 Collecting, interpreting and using data on climate risks for coastal adaptation planning to produce scenario-based	Coordinating body/committee for multi-stakeholder coordination and collaboration on coastal adaptation and planning integrating climate change established			

coastal risk maps and knowledge material for use under Output 1				
Sub-activity 2.1.3 Improve multi-stakeholder coordination and collaboration on coastal adaptation and planning integrating climate change				
Activity 2.2 Improve the knowledge base of multi-sectoral, multi-stakeholders on adaptation planning strategies for long-term resilient planning and transformative adaptation for Tonga based on climate risks and projections				
Sub-activity 2.2.1 Support the use and interpretation of data collected in Output 2.1 by providing easily understood materials for multiple stakeholder types that consider strategic long-term coastal adaptation and inform the national multi-stakeholder	6 Island-level graphical reports related to settlement patterns and climate risk for strategic long-term coastal adaptation planning produced Consultative assessment on the trade-offs between adaptation solutions and current land use considering food security, water security and livelihoods as well as incorporating cultural sensitivities and traditional knowledge			
Output 3. Reduced vulnerabilities of coastal communities in Hahake to climate hazards through coastal protection measures				
Activity 3.1. Build coastal protection measures along 4km of coastline in Hahake				
Sub-activity 3.1.1 Detailed design and site-specific assessments of coastal protection measures finalized for Hahake	Detailed design of coastal protection measures developed for Nukuleka - Talafo'ou, Hahake (hard reventment) Design of coastal protection measures developed for Manuku to Kolonga shoreline			
Sub-activity 3.1.2 Construct coastal protection measures in Hahake	Construction of revetment for Nukuleka to Talafo'ou Construction of coastal protection measures for Manuka to Kolonga shoreline	End of Construction of revetment for Nukuleka to Talafo'ou Construction of coastal protection measures for Manuka to Kolonga shoreline	Start of DLP Construction of coastal protection measures for Manuka to Kolonga shoreline	
Activity 3.2. Sharing of lessons learned and best practices in climate resilient coastal protection measures for scale up at the national and regional level				
Sub-activity 3.2.1 Technical evaluations of the design and effectiveness of the coastal protection measures conducted				
Sub-activity 3.2.2 Production of and publication of a report on lessons learned				
Sub-activity 3.2.3 Organize an international /regional conference for sharing lessons learned in				

climate resilient coastal protection and management				
Project Monitoring*	APR			

APR = Annual Performance Report

*In addition to this monitoring requirements, the Funded Activity is also subject to financial reporting per the AMA/FAA, such as Unaudited/Audited Financial Statements, Financial information reports, and other reports as defined in the FAA.

	Year 6			
	Q1	**Q2**	**Q3**	**Q4**
Output 1. Strengthened knowledge, capacity and engagement for incorporating climate risks into long-term adaptation planning supported through multi-sectoral, multi-stakeholder engagement and dialogue platform				
Activity 1.1 Establish a national multi-stakeholder engagement platform for dialogue on co-creating long-term climate change adaptation strategies and solutions including voluntary retreat				
Sub-activity 1.1.1 Design of a multi-sectoral and multi-actor stakeholder engagement plan and guidelines for a bottom-up national engagement process.	Design and establishment of a multi-sectoral and multi-actor stakeholder engagement plan and guidelines for a bottom-up national engagement process Specific guidance on engaging women, girls and other vulnerable groups within engagement plan and guidelines for a bottom-up national multi-sectoral and multi-actor adaptation planning engagement process developed			
Sub-activity 1.1.2 Facilitate a national awareness campaign on climate change and disaster risks and transformative adaptation strategies for multi-stakeholder dialogue co-creating long-term adaptation strategies and solutions (using material developed under Output 2)	National awareness campaign undertaken on climate risk and long term transformative adaptation strategies			3 Campaign activities targeting women on climate change risk and co-creating long term transformative adaptation strategies. Design thinking workshops held for women/women leaders/women organisations) on climate change risk and co-creating long term transformative adaptation strategies.
Sub-activity 1.1.3 Develop a Terms of Reference for a National adaptation planning engagement platform specifying memberships, responsibilities and results				
Sub-activity 1.1.4 Undertake meetings of the national engagement platform on long-term climate change adaptation as per the Terms of Reference	Regular meetings held (on the schedule defined at 1.1.3.2) for national engagement on long term transformative adaptation strategies (at least 1 meeting per year for last 2 years of the project lifetime)			
Sub-activity 1.1.5 Develop policy options to incorporate climate				

resilience and land use principles into national frameworks				
Activity 1.2 Develop village and district level participatory climate risk informed plans				
Sub-activity 1.2.1 Support a participatory process for developing village and district spatial plans to incorporate climate risk planning and adaptation strategies and incorporating principles of land-use				
Activity 1.3 Build the capacity of local government, village committees and NGOs to integrate climate risks and adaptation needs into community level planning, and inform future Community Development Plans (CDP)				
Sub-activity 1.3.1 Develop an updated climate-responsive Community Development Plan Guideline to inform the development of future CDPs that includes including participatory vulnerability assessment and planning, gender needs assessment, and adaptation needs assessment and planning.				
Sub-activity 1.3.2 Design and implement a capacity building package for the Ministry of Internal Affairs on utilising the new climate-responsive CDP guideline	Develop audiovisual materials for gender-sensitive capacity building package on the new gender and climate-responsive CDP guideline Develop training materials and hold training sessions/mentoring for government staff (men and women) on integrating climate change in planning and budgeting			
Sub-activity 1.3.3 Strengthen capacities of key ministries for climate change risk informed planning and budgeting through trainings and materials		Guidelines and other official documents to support government staff to integrate climate change risks in planning and budgeting that incorporate the inclusion of equitable participation of decision makers and officials (men and women) in the capacity development trainings developed		Guidelines and other official documents to support government staff to integrate climate change risks in planning and budgeting that incorporate the inclusion of equitable participation of decision makers and officials (men and women) in the capacity development trainings developed
Sub-activity 1.3.4 Organize island events (Vava'u, Ha'apai, 'Eua, Tongatapu and Niuas) for sharing lessons for producing climate responsive CDPs		Organise and hold 6 island events for knowledge sharing on climate-responsive CDP with voices of and women's specific issues highlighted		
Output 2 Strengthened national and local capacities for effective monitoring and assessment of climate risks				

Activity 2.1 Strengthened mechanism for collecting and analysing data and information for better-informed climate risk monitoring and coastal adaptation planning				
Sub-activity 2.1.1 Increase capacity of the Government to effectively collect, manage and analyse coastal monitoring data	Training/mentoring undertaken and training materials available to support government staff to integrate climate change risks in planning and budgeting Technical officers and local government officers trained on coastal zone management, coastal processes, coastal planning and hazards management, and climate down-scaling			
Sub-activity 2.1.2 Collecting, interpreting and using data on climate risks for coastal adaptation planning to produce scenario-based coastal risk maps and knowledge material for use under Output 1	Coordinating body/committee for multi-stakeholder coordination and collaboration on coastal adaptation and planning integrating climate change established			
Sub-activity 2.1.3 Improve multi-stakeholder coordination and collaboration on coastal adaptation and planning integrating climate change				
Activity 2.2 Improve the knowledge base of multi-sectoral, multi-stakeholders on adaptation planning strategies for long-term resilient planning and transformative adaptation for Tonga based on climate risks and projections				
Sub-activity 2.2.1 Support the use and interpretation of data collected in Output 2.1 by providing easily understood materials for multiple stakeholder types that consider strategic long-term coastal adaptation and inform the national multi-stakeholder	6 Island-level graphical reports related to settlement patterns and climate risk for strategic long-term coastal adaptation planning produced Consultative assessment on the trade-offs between adaptation solutions and current land use considering food security, water security and livelihoods as well as incorporating cultural sensitivities and traditional knowledge			
Output 3. Reduced vulnerabilities of coastal communities in Hahake to climate hazards through coastal protection measures				
Activity 3.1. Build coastal protection measures along 4km of coastline in Hahake				
Sub-activity 3.1.1 Detailed design and site-specific assessments of coastal protection measures finalized for Hahake	Detailed design of coastal protection measures developed for Nukuleka - Talafo'ou, Hahake (hard revetment) Design of coastal protection measures developed for Manuku to Kolonga shoreline			
Sub-activity 3.1.2 Construct coastal protection measures in Hahake	Construction of coastal protection measures for Manuka to Kolonga shoreline	End of Construction of coastal protection measures for Manuka to Kolonga shoreline	End of DLP for Nuuleka to Talafo'ou Start of DLP for Manuka to Kolonga shoreline	DLP for Manuka to Kolonga shoreline
Activity 3.2. Sharing of lessons learned and best practices in climate resilient coastal protection measures for scale up at the national and regional level				

Sub-activity 3.2.1 Technical evaluations of the design and effectiveness of the coastal protection measures conducted				Conduct technical evaluation of the design and effectiveness of the coastal protection measures Production of a report on lessons learned
Sub-activity 3.2.2 Production of and publication of a report on lessons learned		A video (on coastal protection measures and effectiveness) published		
Sub-activity 3.2.3 Organize an international /regional conference for sharing lessons learned in climate resilient coastal protection and management				Conference on best practices and lessons learned in climate resilient coastal protection measures relevant to Pacific SIDS held with national and regional participants
Project Monitoring*	APR			Project Closure

APR = Annual Performance Report

*In addition to this monitoring requirements, the Funded Activity is also subject to financial reporting per the AMA/FAA, such as Unaudited/Audited Financial Statements, Financial information reports, and other reports as defined in the FAA.

	Year 7			
	Q1	**Q2**	**Q3**	**Q4**
Output 1. Strengthened knowledge, capacity and engagement for incorporating climate risks into long-term adaptation planning supported through multi-sectoral, multi-stakeholder engagement and dialogue platform				
Activity 1.1 Establish a national multi-stakeholder engagement platform for dialogue on co-creating long-term climate change adaptation strategies and solutions including voluntary retreat				
Sub-activity 1.1.1 Design of a multi-sectoral and multi-actor stakeholder engagement plan and guidelines for a bottom-up national engagement process.				
Sub-activity 1.1.2 Facilitate a national awareness campaign on climate change and disaster risks and transformative adaptation strategies for multi-stakeholder dialogue co-creating long-term adaptation strategies and solutions (using material developed under Output 2)	National awareness campaign undertaken on climate risk and long term transformative adaptation strategies			National awareness campaign undertaken on climate risk and long term transformative adaptation strategies Engagement and socialisation on climate change risk and long term transformative adaptation strategies and the multi-sectoral and multi-actor stakeholder bottom-up national engagement process undertaken at local, island and national levels. National awareness campaign materials (that also incorporate women-led talk shows, or

				women's forum or media advertisements targeting women and their role in shaping national adaption strategies) developed
Sub-activity 1.1.3 Develop a Terms of Reference for a National adaptation planning engagement platform specifying memberships, responsibilities and results				
Sub-activity 1.1.4 Undertake meetings of the national engagement platform on long-term climate change adaptation as per the Terms of Reference	Regular meetings held (on the schedule defined at 1.1.3.2) for national engagement on long term transformative adaptation strategies (at least 1 meeting per year for last 2 years of the project lifetime)			
Sub-activity 1.1.5 Develop policy options to incorporate climate resilience and land use principles into national frameworks				
Activity 1.2 Develop village and district level participatory climate risk informed plans				
Sub-activity 1.2.1 Support a participatory process for developing village and district spatial plans to incorporate climate risk planning and adaptation strategies and incorporating principles of land-use				
Activity 1.3 Build the capacity of local government, village committees and NGOs to integrate climate risks and adaptation needs into community level planning, and inform future Community Development Plans (CDP)				
Sub-activity 1.3.1 Develop an updated climate-responsive Community Development Plan Guideline to inform the development of future CDPs that includes including participatory vulnerability assessment and planning, gender needs assessment, and adaptation needs assessment and planning.				
Sub-activity 1.3.2 Design and implement a capacity building package for the Ministry of Internal Affairs on utilising the new climate-responsive CDP guideline	Develop audiovisual materials for gender-sensitive capacity building package on the new gender and climate-responsive CDP guideline Develop training materials and hold training sessions/mentoring for government staff (men and women) on integrating climate change in planning and budgeting			
Sub-activity 1.3.3 Strengthen capacities of key ministries for climate change risk informed				

planning and budgeting through trainings and materials				
Sub-activity 1.3.4 Organize island events (Vava'u, Ha'apai, 'Eua, Tongatapu and Niuas) for sharing lessons for producing climate responsive CDPs	Organise and hold 6 island events for knowledge sharing on climate-responsive CDP with voices of and women's specific issues highlighted			
Output 2 Strengthened national and local capacities for effective monitoring and assessment of climate risks				
Activity 2.1 Strengthened mechanism for collecting and analysing data and information for better-informed climate risk monitoring and coastal adaptation planning				
Sub-activity 2.1.1 Increase capacity of the Government to effectively collect, manage and analyse coastal monitoring data				
Sub-activity 2.1.2 Collecting, interpreting and using data on climate risks for coastal adaptation planning to produce scenario-based coastal risk maps and knowledge material for use under Output 1	Coordinating body/committee for multi-stakeholder coordination and collaboration on coastal adaptation and planning integrating climate change established			
Sub-activity 2.1.3 Improve multi-stakeholder coordination and collaboration on coastal adaptation and planning integrating climate change				
Activity 2.2 Improve the knowledge base of multi-sectoral, multi-stakeholders on adaptation planning strategies for long-term resilient planning and transformative adaptation for Tonga based on climate risks and projections				
Sub-activity 2.2.1 Support the use and interpretation of data collected in Output 2.1 by providing easily understood materials for multiple stakeholder types that consider strategic long-term coastal adaptation and inform the national multi-stakeholder	6 Island-level graphical reports related to settlement patterns and climate risk for strategic long-term coastal adaptation planning produced Consultative assessment on the trade-offs between adaptation solutions and current land use considering food security, water security and livelihoods as well as incorporating cultural sensitivities and traditional knowledge			
Output 3. Reduced vulnerabilities of coastal communities in Hahake to climate hazards through coastal protection measures				
Activity 3.1. Build coastal protection measures along 4km of coastline in Hahake				

Sub-activity 3.1.1 Detailed design and site-specific assessments of coastal protection measures finalized for Hahake	Detailed design of coastal protection measures developed for Nukuleka - Talafo'ou, Hahake (hard revetment) Design of coastal protection measures developed for Manuku to Kolonga shoreline			
Sub-activity 3.1.2 Construct coastal protection measures in Hahake	DLP for Manuka to Kolonga shoreline		End of DLP for Manuka to Kolonga shoreline	
Activity 3.2. Sharing of lessons learned and best practices in climate resilient coastal protection measures for scale up at the national and regional level				
Sub-activity 3.2.1 Technical evaluations of the design and effectiveness of the coastal protection measures conducted	Conduct technical evaluation of the design and effectiveness of the coastal protection measures Production of a report on lessons learned			
Sub-activity 3.2.2 Production of and publication of a report on lessons learned	A video (on coastal protection measures and effectiveness) published	A lessons learned (on coastal protection measures and effectiveness) report published		
Sub-activity 3.2.3 Organize an international /regional conference for sharing lessons learned in climate resilient coastal protection and management	Conference on best practices and lessons learned in climate resilient coastal protection measures relevant to Pacific SIDS held with national and regional participants			
Project Monitoring*	Project Closure			Project Completion

APR = Annual Performance Report

*In addition to this monitoring requirements, the Funded Activity is also subject to financial reporting per the AMA/FAA, such as Unaudited/Audited Financial Statements, Financial information reports, and other reports as defined in the FAA.

Annex E: Procurement plan

Project information: Tonga Coastal Resilience
Version of the Plan: Version 4.0 dated 29/04/2024

Approval Date of the procurement Plan: 29/04/2024

Date of General Procurement Notice: 29/04/2024

Period covered by this procurement plan: 72 Months

Other Arrangements: For contract issuance of construction (and other large procurements) for the Tonga Coastal Resilience Project such as coast adaptation measures construction and procurement of LiDAR/equipment, the disbursement of funds by GCF to UNDP will be "frontloaded" to the expected start day of procurement.

II. Goods, Works and non-consulting services.

Prior Review Threshold: Procurement Decisions subject to Prior Review by the AE

UNDP will be responsible for carrying out procurement activities in adherence to UNDP policies and procedures. The following UNDP procurement thresholds shall apply to procurement of goods, services and works.

	Procurement Method	Threshold for use of method	Prior Review Threshold	Comment
1.	Micro-purchasing (MP)	Below US $5,000 ($10,000 if approved by the Bureau)	*Please see Annex 1.*	Limited International or national
2.	Request for quotation (RFQ)	US $5,000 ($10,000 if approved by the Bureau) to $199,999	*Please see Annex 1.*	Limited International or national
3.	Invitation to bid (ITB)	US $200,000 and above	*Please see Annex 1.*	Open international
4.	Request for proposal (RFP)	US $200,000 and above	*Please see Annex 1.*	Open international
5.	Direct Contracting	Any amount within permissible circumstances	*Please see Annex 1.*	None

The following UNDP prior or post review requirements apply to the various procurement methods used for the project. *Please refer to Annex 1.*

Prequalification (for complex Civil Works)

All detailed engineering technical design documentation for this project will be developed during project implementation by a licensed engineering company. In addition, construction and technical oversight of construction will be conducted by licensed companies, as regulated by Tongan Building Regulations, the Land Act and the Tonga

Coastal Management Policy (TCMP), as well, in addition to the regular programmatic monitoring and oversight done by the UNDP Pacific Multi-Country Office.

3. Procurement Packages (for Goods, Works and Non-consultancy services) with Methods and Time Schedule

1	2	3	4	5	6	7	8	9	10	11	12	13
Ref. No.	**Contract (Description)**	**Source of Funds**	**Planned Estimated Cost in US$**	**Actual Estimated Cost in US$**	**Procurement Method**	**Pre - qualification (yes/no)**	**Domestic Preference (yes/no)**	**Review by AE (Prior / Post) ***	**Date of issuance of doc's** (Estimation)	**Bid-Opening Date** (Procurement start date)	**Date of contract /order signature** (Estimation)	**Comments**
1	Engineering consultancy firm for design and construction supervision (company) for (a) construction of the Nukuleka revetment and (b) Kolonga road construction/raising and armouring	GCF	$1,100,000		UNDP/One-UN RBAP LTA framework with engineering/consultancy firms	No	No		Y1-Q3/Q4	Y1-Q3/Q4	Y2-Q2	For all items, the Procuring entity is UNDP
2	Staff Position Travel - flights/tickets	GCF	$ 201,000.00		LTA	No	No		Y1-Q1	Y1-Q1	Y1-Q2	
3	Equipment and Furniture	GCF	$ 65,000.00		Request for Quotation	No	No		Y1-Q1	Y1-Q1	Y1-Q1	
4	Computers	GCF	$ 10,000.00		Request for Quotation	No	No		Y1-Q1	Y1-Q1	Y1-Q1	
5	Campaigns and workshops as part of Gender Action Plan and bottom up dialogue engagement (100,000x 5 years for campaigns and workshops venue, logistics and catering costs) – Activity 1.1.2	GCF	$ 500,000.00		LTA	No	No		Y1-Q3	Y1-Q3	Y1-Q4/Y2-Q1	
6	Technical Expert for output 1 - travel flights/tickets	GCF	$ 12,360.00		LTA	No	No		Y3-Q3	Y3-Q3	Y3-Q3	
7	Print and audio visual materials for Outputs 1, 2 and 3	GCF	$ 310,750.00		Request for Quotation	No	Yes		Y1-Q2	Y1-Q2	Y1-Q2	

8	Community awareness workshops (3 workshops each of 4 days) – venue, logistics and catering cost	GCF	$ 60,000.00		LTA	No	Yes		Y3-Q3	Y3-Q3	Y3-Q3	
9	National Dialogue event – venue, logistics and catering cost	GCF	$ 60,000.00		Request for Quotation	No	Yes		Y4-Q4	Y4-Q4	Y4-Q4	
10	Print Materials - policy development facilitation	GCF	$ 8,000.00		Request for Quotation	No	Yes		Y5-Q3	Y5-Q3	Y5-Q3	
11	Workshop - policy development facilitation	GCF	$ 10,000.00		Request for Quotation	No	Yes		Y5-Q3	Y5-Q3	Y5-Q3	
12	Participatory process consultations workshops across 6 islands	GCF	$ 60,000.00		Request for Quotation	No	Yes		Y2-Q4	Y2-Q4	Y2-Q4	
13	Materials for developing village and district spatial plans	GCF	$ 38,000.00		Request for Quotation	No	Yes		Y3-Q2	Y3-Q2	Y3-Q2	
14	Participatory process consultations for developing village and district spatial plans for each 6 islands - 6 islands (5 days each (60 days))	GCF	$ 99,000.00		Request for Quotation	No	Yes		Y3-Q2	Y3-Q2	Y3-Q2	
15	Consultation-workshops 6x for CDPs	GCF	$ 78,000.00		Request for Quotation	No	Yes		Y4-Q4	Y4-Q4	Y4-Q4	
16	Training and mentoring workshop for purchase of hardware/software tools	GCF	$ 24,000.00		Request for Quotation	No	Yes		Y2-Q4	Y2-Q4	Y2-Q4	
17	Island events/workshops for sharing lessons learned	GCF	$ 90,000.00		Request for Quotation	No	Yes		Y6-Q1	Y6-Q1	Y6-Q1	
18	LiDAR capacity building training package for technical stakeholders	GCF	$ 300,000.00		Request for Proposal	No	Yes		Y2-Q3	Y2-Q3	Y2-Q4	

19	Revised LiDAR coverage	GCF	$ 4,215,859.71		Request for Proposal or Invitation to Bid	No	No	Ex-ante review	Y1 - Q2	Y2-Q2	Y2-Q3/Q4	
20	LiDAR equipment package	GCF	$ 1,035,840.00		UNDP/One-UN global ICT LTA	No	No	Ex-ante review	Y2-Q2	Y2-Q3	Y2-Q3/Q4	
21	Committee meetings and multistakeholder coordination and collaboration - meeting support	GCF	$ 8,000.00		Request for Quotation	No	Yes		Y4-Q4	Y4-Q4	Y4-Q4	
22	6 Island-level graphical reports related to settlement patterns and climate risk	GCF	$ 60,000.00		Request for Quotation	No	Yes		Y4-Q4	Y4-Q4	Y4-Q4	
23	Consultative assessment workshops for adaptation solutions and current land use package	GCF	$ 82,000.00		Request for Quotation	No	Yes		Y3-Q4	Y3-Q4	Y3-Q4	
24	Construction Nukuleka reventment	GCF	$ 2,561,558.51		Invitation to Bid	No	No	Ex-ante review	Y3-Q1	Y3-Q2	Y3-Q4	
25	Construction Kolonga Road raising/armouring	GCF	$ 5,350,898.17		Invitation to Bid	No	No	Ex-ante review	Y3-Q1	Y3-Q2	Y3-Q4	
26	Travel costs for design and protection measures evaluation team 1 (Flights/ticket costs)	GCF	$ 10,000.00		LTA	No	No		Y6-Q4	Y6-Q4	Y6-Q4	
27	Preparation and publication of lessons learned	GCF	$ 6,000.00		Request for Quotation	No	Yes		Y6-Q2	Y6-Q2	Y6-Q2	
28	Project Vehicle (rental and maintenance)	GCF	$ 104,755.00		Request for Quotation	No	No		Y1-Q1	Y1-Q1	Y1-Q1/Q2	
29	Office rent	GCF	$ 90,000.00		Request for Quotation	No	Yes		Y1-Q1	Y1-Q1	Y1-Q1	
30	Inception workshop venue, logistics and catering cost	GCF	$ 8,000.00		LTA	No	Yes		Y1-Q1	Y1-Q1	Y1-Q1	

31	NGOs/CSOs consultation workshops for collecting and collating local priorities	GCF	$ 18,000.00		Request for Quotation	No	Yes		Y5-Q4	Y5-Q4	Y5-Q4	
32	Interpretation consultative workshop	GCF	$ 25,000.00		Request for Quotation	No	Yes		Y5-Q4	Y5-Q4	Y5-Q4	
33	ESIA and ESMP consultations and workshops	GCF	$ 27,000.00		Request for Quotation	No	Yes		Y1-Q1	Y1-Q1	Y1-Q1	
34	Travel (Local and International) for Evaluations (IE&FE)	GCF	$ 24,000.00		LTA	No	Yes		Y3-Q2	Y3-Q2	Y3-Q2	
Total of goods procured			**$16,425,271.39**									

** Thresholds for pre/post review mentioned in Annex 1 on p. 13 of the document apply. All UNDP contracts for goods and services over US$ 50,000 and/or IC contracts over US$100,000 are subject to UNDP procurement review committee review prior to award of contract. While contracts above $1M, are also subject to mandatory ex-ante review prior to launching the corresponding procurement process.*

III. Selection of Consultants

Prior Review Threshold: Selection decisions subject to Prior Review by AE:

UNDP procurement thresholds and rules shall apply to procurement of consulting services. UNDP staff recruitment follows Human resources (project staff) rules.

	Selection Method	**Prior Review Threshold**	**Comment**
2	Individual Consulting (IC)	*Please see Annex 1 to this procurement plan*	
3	Request for proposal (RFP)	*Please see Annex 1 to this procurement plan*	

The following UNDP prior or post review requirements apply to the various consultant recruitment methods used for the project. *Please refer to Annex 1.*

Short list comprising entirely of national consultants: Short list of consultants for services, estimated to cost less than $100,000 equivalent per contract, may comprise entirely of national consultants in accordance with the Fund's interest in encouraging the development and use of National Consultants from partner countries of operation.

Description of National Consultancy Assignment	**Estimated cost**
Community dialogue firm to prepare terms of reference for dialogue platform	$ 20,000.00

Community dialogue firm to support dialogue platform - 10 days & 2 national dialogue events	$ 40,000.00
Translation services for engagement process communications	$ 10,000.00
NGO for community dialogue	$ 18,750.00

Any Other Special Selection Arrangements: [including advance procurement and retroactive financing, if applicable]

As per UNDP POPP, the legal instrument used by UNDP to engage a Civil Society Organization (CSO) is a responsible party agreement (see page 3 and 4 in this section in POPP). Selection and award process for the CSO equally follows a competitive procurement-based selection process.

4. Consultancy Assignments with Selection Methods and Time Schedule

4.1. Individual Consultancy (IC) Services and consultancy services (companies)

1	2	3	3	4	5	6	7	8	9	10	11	12
Ref. No.	**Description of Assignment**	**Source of Funds**	**Estimated cost**	**Selection method**	**Review by AE (Prior / Post)**	**Issuance of Expression of Interest**	**Finalize shortlist and issue RFP**	**Proposals Submission Date**	**Complete Technical Evaluation**	**Complete Financial Evaluation**	**Negotiate and Award**	**Comment**
1	Development of Strategy cost by individual – 40 days	GCF	48,376	IC contracting	*Thresholds for pre/post review mentioned in Annex 1 on p. 13 of the document apply.*	Y1-Q1	Y1-Q1	Y1-Q1	Y1-Q1	Y1-Q1	Y1-Q1	
2	Firm to provide training and mentoring materials for integrating climate change risks into planning and budgeting	GCF	100,000	RPF		Y2-Q3	Y2-Q3	Y2-Q3	Y2-Q4	Y2-Q4	Y2-Q4	
3	Technical evaluation of design and effectiveness of coastal protection measures (design and protection measures evaluation)	GCF	50,000	IC contracting		Y6-Q3	Y6-Q3	Y6-Q3	Y6-Q4	Y6-Q4	Y6-Q4	
4	Safeguards Capacity	GCF	50,000	IC contracting		Y1-Q1	Y1-Q1	Y1-Q1	Y1-Q1	Y1-Q1	Y1-Q1	

	Building Plan consultant				*Thresholds for pre/post review mentioned in Annex 1 on p. 13 of the document apply.*							
5	Professional audit consultant	GCF	56,000	IC contracting		Y1-Q1	Y1-Q1	Y1-Q1	Y1-Q1	Y1-Q1	Y1-Q1	
6	International firm to delivery National Dialogue	GCF	$ 60,000.00	RFP		Y2-Q4	Y2-Q4	Y2-Q4	Y3-Q1	Y3-Q1	Y3-Q1	
7	Community dialogue firm to implement communications plan and national awareness campaign (8 days for workshops - 21months) include travel	GCF	$ 132,000.00	RFP		Y3-Q1	Y3-Q1	Y3-Q1	Y3-Q2	Y3-Q2	Y3-Q2	
8	Community dialogue firm to prepare terms of reference for dialogue platform	GCF	$ 20,000.00	RFP		Y3-Q4	Y3-Q4	Y3-Q4	Y3-Q4	Y3-Q4	Y3-Q4	
9	Community dialogue firm to support dialogue platform - 10 days & 2 national dialogue events	GCF	$ 40,000.00	RFP		Y4-Q4	Y4-Q4	Y4-Q4	Y4-Q4	Y4-Q4	Y4-Q4	
10	IC or Consultancy Firm to develop policy options - incl 14 days travel	GCF	$ 54,000.00	IC contracting/RFP		Y5-Q3	Y5-Q3	Y5-Q3	Y5-Q3	Y5-Q3	Y5-Q3	
11	Contracted firm for training and mentoring for integrating climate change risks into planning and budgeting	GCF	$ 100,000.00	RFP		Y3-Q1	Y3-Q1	Y3-Q1	Y3-Q1	Y3-Q1	Y3-Q1	
12	Translation services for engagement process communications	GCF	$ 10,000.00	IC contracting		Y3-Q3	Y3-Q3	Y3-Q3	Y3-Q3	Y3-Q3	Y3-Q3	

13	NGO or consultancy firm for CDP package plan	GCF	$ 160,000.00	RFP	*Thresholds for pre/post review mentioned in Annex 1 on p. 13 of the document apply.*	Y3-Q2	Y3-Q2	Y3-Q2	Y3-Q3	Y3-Q3	Y3-Q3	
14	Consultancy firm CDP guideline	GCF	$ 29,240.00	RFP		Y1-Q4	Y1-Q4	Y1-Q4	Y1-Q4	Y1-Q4	Y1-Q4	
15	Monitoring and Evaluation Plan developed by company/IC	GCF	$ 300,000.00	RFP		Y1-Q2	Y1-Q2	Y1-Q2	Y1-Q3	Y1-Q3	Y1-Q3	
16	NGO for community dialogue	GCF	$ 18,750.00	RFP		Y2-Q4	Y2-Q4	Y2-Q4	Y2-Q4	Y2-Q4	Y2-Q4	
17	Procurement technical support for complex and other procurements	GCF	$470,000.00	RFP	*Thresholds for pre/post review mentioned in Annex 1 on p. 13 of the document apply.*	Y-Q2	Y1-Q2	Y1-Q2	Y1-Q3	Y1-Q3	Y1-Q3	
18	Community Planning and engagement Technical expert for Output 1	GCF	$203,000.00	IC contracting		Y2-Q1	Y2-Q1	Y2-Q1	Y2-Q2	Y2-Q2	Y2-Q2	
19	Technical Expert (International) - Output 2	GCF	$49,000.00	IC contracting		Y2-Q1	Y2-Q1	Y2-Q1	Y2-Q2	Y2-Q2	Y2-Q2	
20	Safeguards Specialist (international)	GCF	$101,500.00	IC contracting		Y2-Q1	Y2-Q1	Y2-Q1	Y2-Q2	Y2-Q2	Y2-Q2	
21	Gender Specialist (international)	GCF	$93,000.00	IC contracting		Y1-Q2	Y1-Q2	Y1-Q2	Y1-Q3	Y1-Q3	Y1-Q3	
22	Communication Specialist (international)	GCF	$210,000.00	IC contracting		Y1-Q2	Y1-Q2	Y1-Q2	Y1-Q2	Y1-Q2	Y1-Q2	

23	Safeguards Specialist (construction) - International	GCF	$170,000.00	IC contracting		Y2-Q4	Y2-Q4	Y2-Q4	Y2-Q4	Y2-Q4	Y2-Q4	
Total			**$ 2,418,866**									

Annex 1: UNDP Policy on Prior and Post Review

	Level 1 (Country Level): Contracts, Assets and Procurement Committee	**Level 2 (Regional):** Regional Advisory Committee on Procurement (country offices only)	**Level 3 (HQ):** Advisory Committee on Procurement
Competitive procurement process			
Any contract or series of contracts including amendments to be awarded to a vendor *in a calendar year* that in aggregate has a cumulative value:	Above US $50,000 (above US $100,000 for Individual Contracts) and up to the standard delegated procurement authority – Direct Review by CAP Chairperson Above the standard delegated procurement authority and up to any increased delegated procurement authority – by CAP Committee	Above the delegated procurement authority and up to US $2 million (applies per year for Long-Term Agreements)	Country offices: above US $2 million (applies per year for Long-Term Agreements)
Direct contracting			
Any contract or series of contracts, including amendments to be awarded to a vendor *in a calendar year* that in aggregate has a cumulative value:	Above US $50,000 and up to 50 percent of the standard delegated procurement authority – Direct Review by CAP Chairperson Above 50 percent of the standard delegated procurement authority and up to 50 percent of any increased delegated procurement authority – by CAP Committee	Above 50 percent of the delegated procurement authority and up to US $2 million (applies per year for long-term agreements)	Headquarters units: above 50 percent of the delegated procurement authority Country offices: above US $2 million (applies per year for long-term agreements)
Amendment of all contracts			
Any amendment or series of amendments to a contract which, in aggregate, increases the contract value by 20 percent or the delegated procurement authority, whichever is less:	Above US $50,000 and up to the standard delegated procurement authority – Direct Review by CAP Chairperson. Above the standard delegated procurement authority and up to the increased delegated procurement authority - by CAP Committee	Above the delegated procurement authority and up to US $2 million (applies per year for long-term agreements)	Country offices: above US $2 million (applies per year for long-term agreements)
Ex ante review			
Ex ante review refers to the review of the procurement strategy roadmap prior to commencement of the procurement process for complex procurement actions with a value:	N/A	Above US $1 million and up to US $2 million (applies per year for long-term agreements)	Above US $2 million (applies per year for long-term agreements)

Notes:	1. The procurement support unit shall participate when requested in the committee review of ex ante submissions. 2. An ex ante review is not required if: 1. The business unit has had a previous successful experience in the procurement of similar goods/services/works that was already subject to an ex ante review; or 2. There is sufficient specific corporate guidance and templates on the procurement of the said goods/services. 3. Irrespective of the above, the procurement authority may submit the cases for ex ante review if significant risks are perceived.

Annex F: Terms of References for Project Board and Project Team

Terms of Reference of Techncial Services to be provided by UNDP:

- *These staff costs cannot include any oversight functions as this would duplicate GCF implementation functions paid by the GCF Fee.*
- *All technical services must be specified and known and cannot refer to anticipated or expected technical support services.*
- *The qualifications necessary to undertake these technical services must be included in the TOR.*
- *The UNDP-BPPS RTA and the PTA must approve the technical services included in the TOR (and the qualifications). The RTA and the PTA have the full authority to edit, revise, and/or refuse the technical services if they are contrary to GCF policy.*

Terms of Reference for Key Project Staff

Project Manager

Background

The Project Manager (PM) will be appointed by the project implementing partner. The PM will be responsible for the overall management of the Project, including the mobilisation of all project inputs, supervision over project staff, consultants and sub-contractors.

Duties and Responsibilities

- Manage the overall conduct of the project.
- Plan the activities of the project and monitor progress against the approved workplan.
- Execute activities by managing personnel, goods and services, training and low-value grants, including drafting terms of reference and work specifications, and overseeing all contractors' work.
- Monitor events as determined in the project monitoring plan, and update the plan as required.
- Provide support for completion of assessments required by UNDP, spot checks and audits.
- Manage requests for the provision of UNDP financial resources through funding advances, direct payments or reimbursement using the FACE form.
- Monitor financial resources and accounting to ensure the accuracy and reliability of financial reports.
- Monitor progress, watch for plan deviations and make course corrections when needed within project board-agreed tolerances to achieve results.
- Ensure that changes are controlled, and problems addressed.
- Perform regular progress reporting to the project board as agreed with the board, including measures to address challenges and opportunities.
- Prepare and submit financial reports to UNDP on a quarterly basis.
- Manage and monitor the project risks – including social and environmental 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 revisions to the multi-year workplan, as needed, as well as annual and quarterly plans if required.
- Prepare the inception report no later than one month after the inception workshop.
- Ensure that the indicators included in the project results framework are monitored annually in advance of the GCF APR submission deadline so that progress can be reported in the GCF APR.
- Prepare the GCF APR;
- Assess major and minor amendments to the project within the parameters set by UNDP-BPPS/VF Programme Support, Oversight and Compliance Hub;
- Monitor implementation plans including the gender action plan, stakeholder engagement plan, and any environmental and social management plans;

- Monitor and track progress against the GCF Core indicators.
- Support the Mid-term review and Terminal Evaluation process.

Required skills and expertise

- A university degree (MSc or PhD) in a subject related to natural resource management or environmental sciences.
- At least 5 years of demonstrable project/programme management experience.
- At least 5 years of experience working with ministries, national or provincial institutions that are concerned with natural resource and/or environmental management.

Competencies

- Strong leadership, managerial and coordination skills, with a demonstrated ability to effectively coordinate the implementation of large multi-stakeholder projects, including financial and technical aspects.
- Ability to effectively manage technical and administrative teams, work with a wide range of stakeholders across various sectors and at all levels, to develop durable partnerships with collaborating agencies.
- Ability to administer budgets, train and work effectively with counterpart staff at all levels and with all groups involved in the project.
- Ability to coordinate and supervise multiple Project Implementation Units in their implementation of technical activities in partnership with a variety of subnational stakeholder groups, including community and government.
- Strong drafting, presentation and reporting skills.
- Strong communication skills, especially in timely and accurate responses to emails.
- Strong computer skills, in particular mastery of all applications of the MS Office package and internet search.
- Strong knowledge about the political and socio-economic context related to the Indonesian protected area system, biodiversity conservation and law enforcement at national and subnational levels.
- Excellent command of English and local languages.

Project Monitoring and Evaluation Officer

Under the overall supervision and guidance of the Project Manager, the M&E Officer will have the responsibility for project monitoring and evaluation. The M&E Officer will work closely with the Communications Officer on knowledge management aspects of the project. Specific responsibilities will include:

- Monitor project progress and participate in the production of progress reports ensuring that they meet the necessary reporting requirements and standards;
- Ensure project's M&E meets the requirements of the Government, the UNDP Country Office, and UNDP-BPPS/ VF Programme Support, Oversight and Compliance Hub; develop project-specific M&E tools as necessary;
- Oversee and ensure the implementation of the project's M&E plan, including periodic appraisal of the Project's Theory of Change and Results Framework with reference to actual and potential project progress and results;
- Oversee/develop/coordinate the implementation of the stakeholder engagement plan;
- Oversee and guide the design of surveys/ assessments commissioned for monitoring and evaluating project results;
- Facilitate mid-term and terminal evaluations of the project; including management responses;
- Facilitate annual reviews of the project and produce analytical reports from these annual reviews, including learning and other knowledge management products;
- Support project site M&E and learning missions;
- Visit project sites as and when required to appraise project progress on the ground and validate written progress reports.

The Project M&E Officer will be recruited based on the following qualifications

- Masters degree, preferably in the field of environmental or natural resources management;
- At least five years of relevant work experience preferably in a project management setting involving multi-lateral/ international funding agency. Previous experience with UN project will be a definite asset;
- Significant experience in collating, analyzing and writing up results for reporting purposes;
- Very good knowledge of results-based management and project cycle management, particularly with regards to M&E approach and methods. Formal training in RBM/ PCM will be a definite asset;
- Knowledge and working experience of the application of gender mainstreaming in international projects;
- Understanding of biodiversity conservation, law enforcement, sustainable livelihoods and associated issues;
- Very good inter-personal skills;
- Proficiency in computer application and information technology.
- Excellent language skills in English (writing, speaking and reading) and in local languages.

Project Gender Officer

Under the overall supervision and guidance of the Project Manager, the Gender Officer will have the responsibility for the implementation of the Gender Action Plan. The Gender Officer will work closely with the M&E Officer, Safeguards Officer and Communications Officers on related aspects of project implementation, reporting, monitoring, evaluation and communication. Specific responsibilities will include:

- Monitor progress in implementation of the project Gender Action Plan ensuring that targets are fully met, and the reporting requirements are fulfilled;
- Oversee/develop/coordinate implementation of all gender-related work;
- Review the Gender Action Plan annually, and update and revise corresponding management plans as necessary;
- Work with the M&E officer and Safeguards Officer to ensure reporting, monitoring and evaluation fully address the gender issues of the project;

The Project Gender Officer will be recruited based on the following qualifications:

- Master's degree in gender studies, gender and development, environment, sustainable development or closely related area.
- Demonstrated understanding of issues related to gender and sustainable development; at least 5 years of practical working experience in gender mainstreaming, women's empowerment and sustainable development in relevant Country/Region/Area of Work;
- Proven experience in gender issues in Country/Region/Area of Work
- Previous experience with UN projects will be a definite asset;
- Demonstrated understanding of the links between sustainable development, social and gender issues;
- Experience in gender responsive capacity building;
- Experience with project development and results-based management methodologies is highly desired/required;
- Excellent analytical, writing, advocacy, presentation, and communications skills.
- Excellent language skills in English (writing, speaking and reading) and in local languages.

Project Safeguards Officer

Under the overall supervision and guidance of the Project Manager, the Environmental and Social Safeguards Officer will have the responsibility for the implementation of the project's environmental and social management plan/framework, other SES instruments, and overall compliance with the UNDP SES policy and other applicable legal and institutional frameworks (including national law). The Safeguards Officer will work closely with the M&E Officer, Gender Officer and others on related aspects of project reporting, monitoring, evaluation and communication. Specific responsibilities will include:

- Monitor progress in development/implementation of the project ESMP/ESMF ensuring that UNDPs SES policy is fully met, and the reporting requirements are fulfilled, including those in the project's FAA;
- Manage/develop/coordinate all SES-related plans and their implementation;
- Ensure that social and environmental grievances are managed effectively and transparently through the project's GRM and in line with UNDP SES policy;
- Validate and, as needed, update the project's SESP at appropriate intervals, and update other SES instruments as necessary and in line with the FAA;
- Ensure full disclosure of SES instruments with concerned stakeholders, in line with UNDP SES policy;
- Ensure environmental and social risks are identified, avoided, mitigated and managed throughout project implementation;
- Work with the M&E officer to ensure reporting, monitoring and evaluation encompasses the project's safeguards, including reporting to UNDP as appropriate;

The Project Safeguards Officer will be recruited based on the following qualifications:
- A Bachelor's degree, preferably in the field most relevant to the project's main areas of social/environmental risk;
- At least three years of relevant work experience of safeguards for project or programme implementation, ideally involving international donors.
- Very good inter-personal skills and high level of professional integrity
- Proficiency in computer application and information technology.
- Excellent language skills in English (writing, speaking and reading) and in local languages.

Project Assistant

Under the guidance and supervision of the Project Manager, the Project Assistant will carry out the following tasks:
- Assist the Project Manager in day-to-day management and oversight of project activities;
- Assist the M&E officer in matters related to M&E and knowledge resources management;
- Assist in the preparation of progress reports;
- Ensure all project documentation (progress reports, consulting and other technical reports, minutes of meetings, etc.) are properly maintained in hard and electronic copies in an efficient and readily accessible filing system, for when required by PB, TAC, UNDP, project consultants and other PMU staff;
- Provide PMU-related administrative and logistical assistance.

The Project Assistant will be recruited based on the following qualifications:
- A Bachelors degree or an equivalent qualification;
- At least three years of work experience preferably in a project involving biodiversity conservation, natural resource management and/or sustainable livelihoods. Previous experience with UN project will be a definite asset;
- Very good inter-personal skills;
- Proficiency in the use of computer software applications especially MS Word and MS Excel.
- Excellent language skills in English (writing, speaking and reading) and in local languages

Project Accountant/Finance Assistant/Finance officer

Under the guidance and supervision of the Project Manager, the Project Accountant will have the following specific responsibilities:
- Keep records of project funds and expenditures, and ensure all project-related financial documentation are well maintained and readily available when required by the Project Manager;
- Review project expenditures and ensure that project funds are used in compliance with the Project Document and GoI financial rules and procedures;
- Validate and certify FACE forms before submission to UNDP;

- Provide necessary financial information as and when required for project management decisions;
- Provide necessary financial information during project audit(s);
- Review annual budgets and project expenditure reports, and notify the Project Manager if there are any discrepancies or issues;
- Consolidate financial progress reports submitted by the responsible parties for implementation of project activities;
- Liaise and follow up with the responsible parties for implementation of project activities in matters related to project funds and financial progress reports.

The Project Accountant will be recruited based on the following qualifications:
- A Bachelors degree or an advanced diploma in accounting/ financial management;
- At least five years of relevant work experience preferably in a project management setting involving multi-lateral/ international funding agency. Previous experience with UNDP or UN project will be a definite asset;
- Proficiency in the use of computer software applications particularly MS Excel;
- Excellent language skills in English (writing, speaking and reading) and in local languages.

Project Communications Officer

Under the overall supervision and guidance of the Project Manager, the Communications Officer will have the responsibility for leading knowledge management outputs in Component 4 and developing the project communications strategy at the project outset and coordinating its implementation across all project components. The Communications Officer will work closely with the M&E Officer on knowledge management aspects of the project. Specific responsibilities will include:
- Develop a project communications strategy / plan, incorporate it with the annual work plans and update it annually in consultation with project stakeholders; coordinate its implementation
- Coordinate the implementation of knowledge management outputs of the project;
- Coordinate and oversee the implementation of public awareness activities across all project components;
- Facilitate the design and maintenance of the project website/webpages and ensure it is up-to-date and dynamic;
- Facilitate learning and sharing of knowledge and experiences relevant to the project;

The Project Communications Officer will be recruited based on the following qualifications:
- A Bachelors degree, preferably in the field of community development or natural resource / environmental management;
- A communications qualification (Diploma, Bachelors degree)
- At least three years of relevant work experience of communications for project or programme implementation, ideally involving international donors. Previous experience with UN projects will be a definite asset;
- Previous experience in developing and implementing communications strategies for organizations or projects
- Strong professional working capacity to use information and communications technology, specifically including website design and desk top publishing software
- Understanding of illegal wildlife trade, biodiversity conservation, sustainable livelihoods and associated issues;
- Very good inter-personal skills
- Excellent language skills in English (writing, speaking and reading) and in local languages

Annex G: UNDP Social and Environmental Screening Procedure (SESP)

Project Information

Project Information	
1. Project Title	Coastal Resilience Project – Tonga
2. Project Number (i.e. Atlas project ID, PIMS+)	5942
3. Location (Global/Region/Country)	Kingdom of Tonga
4. Project stage (Design or Implementation)	Design
5. Date	28 September 2023

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

Tonga's Initial Communication to the United Nations Framework Convention on Climate Change (UNFCCC) (July 2005) reported that all key sectors are likely to be significantly affected by climate change, with major environmental, economic, and social consequences. Particular concerns include impacts on coastal assets and resources, agricultural production, and water supply. Tonga is the second most vulnerable country out of 173 countries listed in the World Risk Index[41] – a method to measure a country's exposure, susceptibility, coping capacity, and adaptive capacity. From 1991 to 2010, the global climate risk index ranked Tonga 7th of 179 countries in terms of observed average annual losses per unit GDP in % due to climate-related disasters and in terms of average climate-related deaths per 100,000 people.[42] The program will increase the safety of people, their homes, and their small-scale family farms, which are predominantly located in high risk, low elevation areas. Further, the program will increase community resilience by providing structural engineering standards for coastal protection infrastructure, therefore enhancing the lives of vulnerable groups including those with disabilities, minority groups, youth and the elderly.

Human rights-based approach to development programming, gender equality and women's empowerment, and environmental sustainability, are integrated into Project design by mainstreaming the safeguards in the project activities themselves. Capacity building will provide additional social and human right benefits with a specific focus on the access of vulnerable groups to trainings and project benefits: they will be supported to codesign bottom-up community plans for implementing climate responsive and climate risk informed solutions. Technical training at the government level will contribute to developing Tonga's ability to select long-term and medium-term adaptation interventions by prioritizing high-risk areas. Importantly, all project interventions will follow the UNDP Guidelines on equity, fairness and equal distribution of benefits among beneficiaries, and have been developed together with various stakeholders to ensure that no rights or laws are infringed by the proposed activities. This project will ensure that the principles of accountability and the rule of law, participation and inclusion, and equality and non-discrimination are taken into account by ensuring that there is an effective communication for the various stakeholders to share their insights and suggestions on the project, as well as their complaints if the project is not aligned with human-rights' principles.

The human-rights based approach has also been mainstreamed during the project preparation through consultations with the stakeholders. Consultations were held on the intervention sites in order to identify local key stakeholders such as beneficiaries, communities, locally elected officials, prefectures, civil society, and other key stakeholders. Stakeholders could raise human rights concerns so that these could be integrated and responded from the very beginning in the project design. Additional engagement will be conducted throughout the project, supported by the Stakeholder Engagement Plan (which also incorporates the processes for obtaining FPIC where required). Reports of stakeholder consultations will be made available as required upon request by the UNDP-CO.

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

A key output of the proposal is the gender-responsive strengthening of national and local capacities for effective monitoring, maintenance, and community adaptation actions. This will enhance the long-term community response to climate change adaptation needs in a way that specifically reflect women's various needs. Women's groups will also be trained and take part in climate/risk and ecosystem monitoring activities, which is expected to contribute to women's empowerment at the local level.

The activities have also been designed with a strong focus on the gendered impacts of climate change. There is overall alignment of the project activities with the specific needs of women, and other vulnerable groups residing along vulnerable coastlines in the target areas. The project will enhance the capacities of communities to monitor, evaluate, and communicate the results and impacts of coastal protection adaptation investments. Moreover, the direct contributions the project will make towards improving coastal and marine ecosystems are expected to bring co-benefits of supporting subsistence marine-based livelihood activities (artisanal fishing, sea cucumber collection, etc), which are often practiced by women. MEIDECC along with the Ministry of Internal Affairs will work closely with various community groups, such as women's groups, youth groups, and church groups to ensure that different members of communities will be given opportunities to participate in project activities. All community level meetings to identify and train beneficiaries for these roles will include gender concerns. Additionally, technical training and jobs created within the various ministries will be split evenly among men and women, resulting in additional capacity building opportunities for women. The Community Development Plans (CDP), to be developed through the project, will be improved by the introduction of gender-responsive adaptation needs assessments.

[41] https://www.germanwatch.org/sites/default/files/Global%20Climate%20Risk%20Index%202021_2.pdf

[42] United Nations University, Institute for Environment and Human Security. 2012. Global Climate Risk Index, 2012

Last, support to the national government will include specific gender modules in order to introduce and mainstream gender consideration at the level of national policies. So far, Political will for mainstreaming gender is generally low. There is lack of recognition of the ways in which gender shapes diverse roles, needs and constraints of rural women and men and lack of acknowledgment that gender is a factor directly affecting people's agency. Tonga has not yet ratified the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW), which obstructs the overall work of governmental institutions on the promotion of gender equality in agriculture and rural women's empowerment at all levels. The project will introduce a climate and gender-responsive approach to land-use planning, supported by gender-disaggregated data collection. At least 50 officers (of which 50% are women) within the technical departments will be trained over the course of project implementation, and this training will include gender-disaggregated data collection.

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

The project is expected to have some short-term fine-scale environmental impacts but with significant environmental benefits. The proposed GCF project will contribute to the achievement of climate-resilient sustainable development in Tonga. The construction of a coastal protection measures in a highly vulnerable area of coastline coastline of the country will reduce vulnerability of Tongans to future impacts of climate change including cyclones and heightened wave actions that have caused significant damage to lives, livelihoods, and economic assets in the past. The proposed interventions will enable communities living in the exposed coastal areas to deal with the impacts of the unabated coastal inundation and damages. This will ensure that businesses/livelihoods face lower levels of disruptions, and the economic, social, cultural and psychological costs to people associated with forced relocations are significantly delayed. In Hahake, 4km of vulnerable coastlines will be protected by rock revetment and associated measures to minimize damages from wave over-topping events. In addition, 48 Community Development Plans will incorporate locally specific climate risks and adaptation measures which are expected to be financed through mobilisation of resources locally and from external sources.

Overall, the project will contribute to fund level impacts of increased resilience of infrastructure and the built environment to climate change, and increased resilience of ecosystems and ecosystem services.

In addition, the project will conduct technical feasibility studies, in agreement with UNDP's social and environmental safeguards, prior to the commencement of any works. This will include hydrological and hydrodynamic modelling studies. The results of these assessments will factor into mitigation measures that will be integrated into the final design. The activities will increase the generation and use of information on coastal processes, oceans and climate in decision-making by strengthening institutional capacity, human resources, awareness and knowledge for resilient coastal management. For example, increased volume of coastal data can improve the investment decision on coastal protection and its design to reduce the risk of locking finite Government financial resources into poorly planned infrastructure projects that did not factor climate vulnerabilities into the project design. By increasing data collection on various coastal dynamics and improving modelling capacity, this project assists GoT in avoiding the risk of maladaptation.

Briefly describe in the space below how the project strengthens accountability to stakeholders

The project has been designed to fill gaps and address barriers such as (1) the technical capacity gap within government ministries to collect, analyze and use climate risk data that is required mainstream climate risks into national policy design and coastal planning ; (2) the limited capacity of local community actors to develop and design bottom-up community plans for implementing climate responsive and climate risk informed solutions and (3) weak institutional capacity and coordination to implement an integrated cross-sectoral approach to coastline resilience. Thereby it will create true transformational change in current practices of national and local coastal protection and management, causing a shift from isolated, uninformed, and top-down approaches for "coping" to imminent threats, towards integrated, climate risk informed, long-lasting and community-focused efforts for "adaptation" to short-, medium- and long-term threats imposed by climate change. By doing so, it strengthens government accountability to exposed and vulnerable communities in Tonga.

The efforts to build Tongan communities' capacity of, but also community/district agencies' capacities to support in, identifying future climate risks and corresponding actions as well as mobilizing necessary funding for community actions, have only begun recently. The development of Community Development Plans (CDP) is a baseline initiative that the Ministry of Internal Affairs (MIA) has been leading and, to date, all rural communities have formulated, or in the process of formulating, a CDP. MIA intends to strengthen their support to communities in undertaking climate vulnerability assessments, adaptation and gender needs assessments and assisting communities in mobilizing funds from, for example, the Tonga Trust Fund, assisted by PRRP, but local actors' capacities remain limited.

The project rationale lies on a community-based and gender-sensitive approach engaging deeply with all stakeholders, from government authorities to local communities, including indigenous peoples. The project will also enhance the capacity of local government, village committees and NGOs to facilitate their full engagement and participation in incorporating climate risks and adaptation solutions into the existing community-level planning framework. Strengthened capacity and high levels of participation of community members and local government in adaptation actions is a prerequisite for reducing risks and managing the impacts of extreme weather events on coastal communities. Local governments, including Town and District officers, and village committees are the closest level of government to the local communities and can instil long-term change in communities since local governments continue to remain regardless of when project may come and go. By building the capacities of these local actors, they will not only be able to understand and use climate risk data for local adaptation planning, but they will be able to sustain adaptation measures at the community-level, thereby enabling true transformation. The project will provide the community with improved information to allow them to be part of the decision-making process prior to, during and post significant weather/climate events. The project will also provide valuable data that will allow for future planning as to how the government and communities need to adapt their current activities to meet the increasing threat of climate change. Equipped with critical information, technology, and the capability to understand climate data so as to make competent decisions will drive mainstreaming into both government and community planning and action. Building on these new capabilities will be improved communication mechanisms and the inclusion of resilience-building projects in the socio-economic planning process.

Furthermore, in order to achieve sustainability of interventions, it is critical that the project is incorporated into formal governance mechanisms, such as national and sub-national planning processes. GCF support will offer an opportunity for community engagement in grassroots adaptation actions through the work focusing on revising Community Development Plans. A dedicated set of activities aiming at building community and NGO's capacity for accessing external resources such as GEF Small Grants Program and the National Climate Change Trust Fund will change the way community members are engaged in facilitating local actions.

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 (also called Project Steering Committee) 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. The summary in English of key documents (ProDoc, SESP, GAP, SEP, ESMF) will be made available to all stakeholders at the local level at least 120 days before project approval, according to UNDP stakeholder

engagement guidelines. These documents will also be presented and discussed during the validation and inception workshop, to be held within 60 days of project CEO endorsement. This will ensure both active participation and accountability.

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 Sediment movement during the installation of coastal protection infrastructure in Hahake could enter important marine habitats, including in the catchment of the Fanga'uta lagoon. Standard 1 : 1.1; 1.2; 1.3; 1.4	I = 4 L = 2	**Moderate**	During the installation of coastal protection infrastructure (activity 3.1), it may be necessary to undertake very small-scale earth works to level areas where the coastal protection infrastructure will be placed to ensure it has adequate footings. The earth works will move marine sediment that, if not properly contained, may enter important marine habitats. However, sediment movement is likely to be very localised and transient. There may be some transient issues arising through the construction phase, mainly through mobilisation of beach material (coral sand), from rock placement activities. These are considered below in the context	• The Environmental and Social Management Framework (ESMF) outlines steps required in order to ensure full compliance with SES requirement during project implementation. In accordance with the ESMF, an environmental and social impact assessment (ESIA) will be carried out at project inception to assess this and all other environmental and social risks. The ESIA will be immediately followed by an ESMP, including targeted management plans. The ESIA process will draw upon the ESMF to assess the associated impacts, and to inform the specific management measures outlined in the ensuing Management Plans. • A Feasibility study has already been carried out during project design. This feasibility study has been commissioned to provide background information and guidance for the elaboration of the first Tongan submission to the Green Climate Fund. The feasibility study treats the current and expected climate change impacts and examines the technical feasibility of each of the proposed solutions while assessing the feasibility of implementing these solutions within a single project framework. Simultaneously, considerations for gender responsiveness, impact potentials, sustainability potentials, and the possibility for transformational change have been

			of management and protection of the local marine environment. There is one significant marine protected area in the general vicinity of the adaptation works, involving the Fanga'uta lagoon and its surrounds. The Fanga'uta Lagoon was declared as a marine reserve in 1974. Subsequently, to address the declining health of the lagoon, the Ridge to Reef project developed a revised approach, resulting in management of the lagoon under the Fanga'uta Stewardship Plan (FSP)	examined carefully. This feasibility study will feed into the ESIA. The ESMF precises the areas / standards which have already been covered and the ones that will require additional impact assessment. • As noted by the feasibility study, the environmental effects of building the revetment works are 'acceptable, given that the construction will take place in the footprint of previous coastal works, while also providing benefits through improved protection and drainage management. Similarly, the mixed adaptation approach along the northern coast is considered to enhance environmental benefits through activities focussing on revegetation, road raising, and behaviour change. The installation of patch revetments on a very localised scale is considered to involve minimal adverse effects. However, because of the vulnerability of this ecosystem, the risk has been rated as Moderate. • Collaboration with the protected area management institutions will be needed during the ESIA, throughout the construction work and operation and maintenance. . The Protected Areas are managed by the MEIDECC, which will facilitate this coordination. • To ensure that sediment is not mobilised through current movement that will result in any significant impacts, it will be necessary to prepare a Biodiversity Action Plan (developed in close collaboration with relevant protected area management institutions if possible) including erosion control sediment measures to restrict sediment movement within the marine environment. Further, any earthworks should be undertaken at low tide to reduce sediment movement. These impacts will be spatially and temporally restricted to construction periods. • A sloping rock revetment has been proposed, which enhances the likelihood of beneficial sand accumulation at the toe of the structures.
Risk 2 The construction of coastal protection infrastructure may lead to loss of habitat, changes in hydrodynamic processes, potential increases in erosion, included in the catchment of the Fanga'uta lagoon	I = 3 L = 3	**Moderate**	There is one significant marine protected area in the general vicinity of the adaptation works, involving the Fanga'uta lagoon and its surrounds. The Fanga'uta Lagoon was declared as a marine reserve in 1974.	Prior to final design of the coastal protection infrastructure project, the ESIA conducted should include: • Chemical, ecological and physical assessments (and associated modelling) that consider the adjacent marine ecosystems including but not limited to, marine water quality within the areas of influence, potential contamination from marine sediments that may currently be contaminated, disturbance

Standard 1: 1.1; 1.2; 1.3; 1.4 ; 1.11			Subsequently, to address the declining health of the lagoon, the Ridge to Reef project developed a revised approach, resulting in management of the lagoon under the Fanga'uta Stewardship Plan (FSP). The coastline between Manuka and Kolonga, has geological and ecological features worthy of protection hence the proposal to where it is proposed to raise the road level in this area rather than ocean front revetments. There are a range of small-scale environmental impacts associated with the installation of the coastal protection infrastructure (activity 3.1), including the impacts on the marine environment through the loss of habitat, changes in hydrodynamic processes, potential increases in erosion in the project area but also in its adjacent areas (project's area of influence).	to habitats through the placement of infrastructure, noise, and vibration impacts, impact on benthic, planktonic and pelagic biota, and entrainment and entrapment of marine organisms. All these studies should consider spatial and temporal characteristics; • Hydrodynamic modelling to ensure the coastal protection infrastructure does not result in the change to coastal processes within natural variables respectively. The study should evaluate various coastal infrastructure types and design; • Hydrological modelling to ensure that the appropriate structures are designed that will not result in changes to the wetland ecosystems through hypersaline environment and ensuring sediment loads do not enter the marine environment. The information from the ESIA will be used to inform the ESMP for the project along with providing fine scale information for the design of the coastal protection infrastructure. The plan should include: • Water quality monitoring in the short term • A Biodiversity Action Plan to be discussed in consultation with the two neighboring Protected Areas' Management units. The objective is to avoid any negative impact of the construction in the protected areas and other important marine habitats. To mitigate environmental impacts, it is critical to ensure that the proposed coastal protection infrastructure is away from sensitive habitats and is designed to minimize entrapment and entrainment of marine species although this is unlikely given the types of infrastructure being constructed. Further, the infrastructure should avoid impacts on marine species and specifically important habitats such as coral reefs. • Close collaboration to be established with the FSP steering committee.
Risk 3 The construction of coastal protection infrastructure (activity 3.1) could lead to sediment movement and may also expose acid sulphate soils within the mangrove areas Standard 1: 1.1; 1.2; 1.3; 1.4; 1.7; 1.11	I = 4 L = 1	**Low**	Acid sulphate soils and/or potential acid sulfate soils occur in mangrove areas, in which case construction work (activity 3) would risk exposing them. However, the occurrence of mangroves in proximity to the project footprint is very limited. The composition of the soils	

			(sand) at the project sites is also analogous to an atoll, in that it is comprised almost entirely of course carbonate very permeable sands and rubble and little igneous material is present. It is highly unlikely any acid sulfate soils exist at the project infrastructure work site. Excavation and earthworks will occur over the footing of an existing riprap revetment or adjacent to an existing road on a shore that is geologically very young (hundreds of years) Thus neither the chemistry or physical conditions conducive to ASS formation exists and the likelihood of presence is very low.	
Risk 4 Entrainment, impingement and or entrapment of marine organisms could happen as the result of the construction of coastal protection infrastructures (activity 3.1) Standard 1: 1.1; 1.2; 1.3; 1.4 ; 1.11	I = 3 L = 2	**Moderate**	During the construction of the coastal protection infrastructure and opening of drainage paths to for example, the wetlands, marine organisms could be entrained, impinged, and or entrapped. This could result in the death of the specific marine organisms such as phytoplankton, zooplankton and marine invertebrates. They can also impact on juvenile fishes if placed in an inappropriate location.	• To avoid impacts, the placement of the coastal protection infrastructure will rely on the studies identified above and those undertaken during the first year of the project. Further, observers should be used during construction to mitigate the risk of capture of important species thus reducing potential impacts on vertebrate fauna.
Risk 5 The project will offer climate smart solutions to protect the island coast and adapt its landscape This may change	I = 3 L = 2	**Moderate**	Though there is no specific indigenous peoples status in Tongan national political and legal framework, Tongans (a homogeneous group	• The project - especially coastal protection - responds directly to the needs identified by GoT and local population, as expressed during project design phase • The project has planned to integrate extensive consultations, including FPIC, as part of its design and to work on the basis of

Tongans' relationship to their landscape, hence affecting their cultural heritage and traditional knowledge on coastal land management Principle 1: P1; P2; P3; P4; P5; P6 Principle 4: P13; P14 Standard 1 : 1.3 Standard 4: 4.1; 4.2; 4.3; 4.4 Standard 6: 6.1; 6.2; 6.3; 6.6; 6.9			throughout the country constituting the vast majority of inhabitants) are considered under UNDP standards as an "indigenous people", in the sense of a distinct collective which has pursued its own concept and way of human development in a given socio-economic, political and historical context; has tried to maintain its distinct group identity, languages, traditional beliefs, customs, laws and institutions, worldviews and ways of life; has exercised control and management of the lands, territories and natural resources that it has historically used and occupied, with which it has a special connection, and upon which its physical and cultural survival as indigenous peoples typically depends; and pre-dates those who colonized the lands in Oceania – although Tonga itself was never colonized. The indigenous peoples of Oceania indeed include Pacific Islanders, among which Polynesians (one-sixth), of which Tongans are part[43]. The special relationship that Tongans[44] have with their lands, territories, resources means that their landscape and land management practices are embedded within their cultural heritage. Although Western	local development plans and to work on long-term solutions on the basis of community dialogue (Activity 1.1) • Traditional knowledge on coastal management, which is deeply embedded in Tongans livelihood, housing, and overall culture, has not been well documented and such documentation should be part of the community dialogues and documentation of the village and district participatory informed climate risk undertaken as part of Output 1. Tongan cultural practices and knowledge, specific to Tongan people, should thus be preserved through the project. The promotion and protection of the rights of indigenous peoples, especially concerning their lands, territories, resources, traditional livelihoods, tangible and intangible Cultural Heritage, are necessary to achieve UNDP's goals of advancing human rights, respecting indigenous peoples' identities and improving their well-being. • As Standard 6 applies to almost all of the population, it is considered that a separate Indigenous Peoples Plan is not required, rather the requirements of the standard can be integrated into the ESMP and Stakeholder Engagement Plan (SEP). • The SEP, which includes a Grievance Redress Mechanism, will provide the mechanism for achieving Free Prior Informed Consent (FPIC), that is, the population of Tonga, and particularly those directly affected, will continue to be consulted and involved in providing consent for the ongoing delivery of the project. • The ESMP and the SEP, 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 ○ Support Tonga in their promotion and protection of indigenous peoples' 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

[43] SEARAC, Southeast Asian American Statistical Profile, 2004; https://www.empoweredpi.org/; https://www.api-gbv.org/resources/census-data-api-identities/
[44] https://minorityrights.org/minorities/pacific-islanders/

			influence has somewhat altered traditions and culture in Tonga, certain Tongan rituals and art forms survive[45]. The project has assessed that "Traditional Knowledge" solutions to marine hazard mitigation is unsuited to contemporary modes of living in Tonga's urban / peri-urban settings and that it cannot account for climate change stress. The problems of met-ocean hazards that are faced by contemporary Tongan communities and their built environments require additional solutions (output 1) which will tend to replace or modify traditional knowledge and practices. The outcomes of the project (through changed long-term land use plans) are likely to affect both tangible cultural heritage (immovable objects, sites, structures, groups of structures, human settlements and natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance) and intangible Cultural Heritage, also referred to as living heritage, including practices, representations, expressions, knowledge, skills—such as	○ Promote greater control and management by indigenous peoples over developments ○ Avoid adverse impacts and ensure equitable and culturally appropriate benefits and opportunities. • Any change to the landscape (Activity 3.1) will be dependent on the community's FPIC to the construction

[45] *American Indian Quarterly*
Vol. 30, No. 1/2, Special Issue: Indigenous Languages and Indigenous Literatures (Winter - Spring, 2006), pp. 11-27 (17 pages)

			traditional knowledge on coastal erosion management —. While this knowledge appears not to be suited to the changing climate conditions anymore, its loss/modification may affect Tongans' cultural identity.	
Risk 6 The national land use strategy could lead to the physical and economic displacement as a result of changes to traditional practices. Principle 1: P1; P2; P3; P4; P5; P6 Principle 4: P13; P14 Standard 1 : 1.3 Standard 4: 4.1; 4.2; 4.3; 4.4 Standard 6: 6.1; 6.2; 6.3; 6.6; 6.9	I = 4 L = 3	**Substantial**	The land use plan for Tonga based on climate risks and projections (Activity 1.2) could lead to restrictions of access and/or displacement (physical/economic) if not sufficiently based on community dialogue, including appropriate representation of vulnerable people such as women, youth and the disabled.	• This is an upstream risk which requires a SESA. The SESA will assess the impact of the national land use strategy and its potential for physical &/or economic displacement . The additional consultations during SESA will help ensure that indigenous peoples' livelihoods are accounted for and that indigenous peoples can share their concerns in regard to the national policy. • Activity 1.2.4 provides a basis for national consultations with government ministries, nobles, landowners and businesses • A Process Framework will be designed if any unavoidable risk remains after the SESA and threatens communities' livelihoods or in the event that the national land use strategy determines that large scale population relocation is required for long-term sustainable land use, then a resettlement action plan will need to be prepared to support such a strategy. • The Gender Action Plan ensures that women's activities, needs and interests are being integrated into the land use policy • The Stakeholder Engagement Plan, including a Free Prior Informed Consent protocol to be implemented during the community dialogues (Activity 1.1). It will be crucial to capitalize on and use, where relevant, traditional modes of communication and meeting protocols. Faith-based institutions will also be important in this space to ensure the best possible reach, participation and outcomes. • During PPG, there was an agreement from community members that such discussion will continue about long-term adaptation options. It was also suggested that for such dialogues to be effective, meetings need to take place regularly. Existing mechanisms such as village or district committees were suggested as a possible platform for any dialogue on temporary relocation:

				• Physical coastal works will be limited to Tongatapu
Risk 7 The construction of coastal protection infrastructure (Activity 3.1) could limit access shorelines, including for fishing and other livelihood activities.. This could impact people's livelihoods, including women's and indigenous peoples', and create conflicts over limited access. Principle 1: P1; P2; P3; P4; P5; P6 Principle 4: P13; P14 Standard 1: 1.3 Principle 2: P8; P9; P10; P11 Standard 4: 4.1; 4.2; 4.3; 4.4 Standard 6: 6.1; 6.2; 6.3; 6.6; 6.9	I = 3 L = 3	**Moderate**	It is possible that the access to fishing grounds could be impacted as a result of ill-informed positioning of the coastal protection infrastructure (3.1). Currently, no important fishing grounds are known to occur in any of the project areas. However, consultation with the communities revealed that access the coastal area is very frequent and that there are concerns regarding potential restrictions of access. The communities are using the sea daily for fishing, swimming, and to process fau and panadanus for weaving. Different fishing activities are conducted there such as collecting shellfishes, fish traps (*pa ika*), collecting sea urchins etc. This means any restriction of access to the sea could have a major impact on people's livelihood and way of life. Access to boat ramps is crucial for local communities. Last, some light traffic obstruction is likely to occur during the construction, which could affect communities' ability to go in and out the villages for their livelihood activities.	• Physical coastal works will be limited to Tongatapu • As outlined in the ProDoc, the project works towards facilitating long-term community engagement in coastal resilience building in Tonga. It relies on community consultations and local development plans, which will define the location and uses of the boat ramps. • The livelihood, gender and stakeholder engagement plans will consider each group's activities in relation to the sea and provide adequate measures to secure their access. • A Grievance Redress Mechanism will be set up and made accessible to all community members. The different groups will then be able to alert the PMU if ever access is restricted, and their livelihoods are negatively impacted. • Local Development Plans will include conflict resolution mechanisms

Risk 8 Terrestrial and marine noise could happen because of the use of construction equipment and rock dumping. Standard 3 : 3.1 ; 3.2	I = 3 L = 3	**Moderate**	Terrestrial and marine noise including through the use of construction equipment and rock dumping will occur as a result of the projects. This can impact on local communities and marine and terrestrial fauna using the adjacent area. The noise will predominantly relate to the dumping of rock, which will have very limited temporal scales.	• 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 if an impact occurs. The noise will predominantly relate to the dumping of rock, which will have very limited temporal scales. • 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 9 Damages to the environment and risks related to the safety of workers could be associated with the quarries from where the stones will be sourced. This secondary risk on the project's area of influence includes deforestation due to the exploitation of the quarries, creation of waste and pollution from the quarry, and negative impact on the workers' health and safety Standard 1 : 1.1 Standard 3 : 3.1 ; 3.2 ; 3.3 ; 3.8 Standard 8 : 8.2	I = 1 L = 1	**Low**	Stones will come from local quarries located on the island. Quarries in Tonga are small and often left dormant for years and then occasionally re-activated according to needs. Because there is little if any natural forest left on Tongatapu and because the forests tend to be associated with lowlands which is not where better quality limestone can be sourced, it is unlikely that the quarries will cause any harm to the forest. The work will be conducted on the short-term, and involve few local workers.	
Risk 10 The coastal constructions, though aiming at protecting the coast from the effects of climate change, are themselves inherently vulnerable to Climate Change and could be destroyed by natural disasters Standard 2 : 2.1 ; 2.2 ; 2.3	I = 4 L = 3	**Substantial**	Tonga has a semitropical climate **T**here is more than a 20% chance of potentially-damaging earthquake shaking the project area in the next 50 years. There is more than a 40% chance of a potentially-damaging tsunami occurring in the next 50 years. The areas at risk of tsunami will	• The ESIA will detail further information to adequately account for the level of hazard and to determine the effect that the destruction or serious damage to infrastructure associated with the planned project could have on the local communities and environment. Information about secondary hazards (fires, landslides, liquefaction, tsunami in coastal areas) that have affected the project area in the past and the effects these caused will be collected. Community memory and historical accounts of hazard can provide useful information to supplement scientific studies. Sectoral ministries will be asked

			increase as global mean sea level rises. According to the IPCC (2013), global mean sea level rise depends on a variety of factors, and estimates for 2100 range from ~20 cm to nearly 1 m. However, regional changes in sea level are difficult to predict. There is also more than a 20% chance of potentially-damaging coastal flood waves occurring in the next 10 years. [46]	to provide information support, and constructions will be designed in line with national regulations. • Similar design revetements as what is proposed in the project have proved to be particularly performant during 2022 eruption/tsunami • Based on this information, appropriate measures will be integrated in all phases of the project, in particular during design and construction (output 3) but also in the land-use plan (output 1). **Project planning decisions, project design, and construction methods will take into account the level of earthquake hazard,** of tsunami, and of coastal flood hazard for any activities located near the coast. The constructions will be designed to be robust to projected increases in global sea level. • The ESMP will detail additional measures related to emergency contingencies in the planning and construction. A clear emergency management plan should be drafted and practiced to prepare staff for crisis mitigation. Some communities (Manuka, Talafo'ou and Nukuleka) have carried out training and an exercise to develop a Disaster Management Plan, following NEMOs direction, but many community members are not aware of this. Some of the communities also carry out drills to keep people in communities aware and alert. In the drills the Town officer announces the evacuation procedure for those who need special assistance, including the elderly, disabled and children and they proceed first. This requires ongoing reinforcement in the communities.
Risk 11 Better coastal governance and management, as a result of both activity 1.2 (land use policy) and 1.3 (construction of infrastructures) could lead to an increase in the demand for agricultural lands, habitation and other uses, in an area where	I = 3 L = 3	**Moderate**	About 75% of Tonga's population lives in rural areas, with agriculture and fisheries as their main source of livelihoods. Tonga has one of the highest rates of subsistence food production amongst Pacific Island Countries. Agricultural	• The project will monitor the access to coastal and adjacent agricultural lands as part of its Monitoring measures. This project will empower and train local and national authorities to monitor and use climate risk data for coastal adaptation planning (activity 2.2) but also build the capacity of local government, village committees and NGOs to integrate climate risks and adaptation needs into community development plans (CDP) (activity 2.3)

[46] https://thinkhazard.org/en/report/245-tonga

communities depend on these lands for their livelihoods and where many are dependent on leases. This could particularly affect rural women, whose access is generally lower. Principle 1: P1; P2; P3; P4; P5; P6 Principle 2: P8; P9; P10; P11 Principle 4: P13; P14 Standard 1: 1.3 Standard 2 : 2.3 Standard 4: 4.1; 4.2; 4.3; 4.4 Standard 6: 6.1; 6.2; 6.3; 6.6; 6.9			land use is dominated by crop cultivation, followed by livestock activities, however about half of the agricultural land in Tonga is fallow. Most land in Tonga belongs to the nobles. Most land holdings are small – eight acres or about 3.24 hectares, but most farmers are dependent on leases. Land can be leased from for T$80 per year, which is cheap, but the land cannot be owned. Some bushland is being sold for new housing, although selling land is not legal, so it is done covertly by pretending that it is being gifted to a relative. Every male Tongan is entitled to access a town allotment and a bush allotment for farming when they reach the age of 16. Men can "rent" land from a noble, and only a man can inherit land use rights. Tongan women do not have any tenure rights over land, are not entitled to own land and can only have temporary access to land. Women can legally lease land, although it is difficult for them to do so.	• The Gender Action Plan will propose adequate measures to secure women's access to land • A Grievance Redress Mechanism will be set up and made accessible to all community members. The different groups will then be able to alert the PMU if ever access is restricted and their livelihoods are negatively impacted. • Local Development Plans will include conflict resolution mechanisms
Risk 12 Outcome 1 may exacerbate existing discriminations against women and youth and potentially other minorities such as	I = 3 L = 4	**Moderate**	Political will for mainstreaming gender is generally low in Tonga. There is lack of recognition of the ways in which gender shapes diverse roles,	• Project consultations have been conducting through focus groups, including a specific women's group in each location. This will continue and ensure women's ability to participate. A specific young women's group could be added (3 focus groups are usually conducted – one with men, one with women and the third with the young men)

LGBTI, as they do not participate effectively in decision-making arena at the national nor local level, leading to maladapted governance decisions, especially in regard to land-use planning. The project also involves regular interactions with project actors (e.g., information/training sessions, construction workers), which could create opportunities for SEAH. Principle 1: P1; P2; P3; P4; P5; P6 Principle 2: P8; P9; P10; P11 Principle 4: P13; P14 Standard 1: 1.3 Standard 2 : 2.3 Standard 4: 4.1; 4.2; 4.3; 4.4 Standard 6: 6.1; 6.2; 6.3; 6.6; 6.9			needs and constraints of rural women and men and lack of acknowledgment that gender is a factor directly affecting people's agency. Tonga has not yet ratified the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW), which obstructs the overall work of governmental institutions on the promotion of gender equality in agriculture and rural women's empowerment at all levels. Moreover, in a community-setting, women may be underrepresented or silent during consultations.	• The Gender Action Plan will design appropriate measures to be included in the design of the community dialogue platform (Activity 1.1), the development of the land use plan (1.2). As part of implementation and mainstreaming gender aspects, relevant laws, policies and strategies against GBV/SEAH are to be implemented. • In addition, the GAP is reinforced by the Stakeholder Engagement Plan (SEP). The SEP highlights the engagement of women and women stakeholder groups and consideration of specific communication needs that they may have. • The GRM includes specific actions for dealing with SEAH. • The training of local government, village committees and NGOs to integrate climate risks and adaptation needs into community development plans (2.3) will integrate gender-responsive modules to build authorities' capacities to mainstream gender in land-uses and coastal policies • The project will rely on existing groups such as women development committees for ensuring sustainability of results • The project will adhere to UNDP's policies for protection against Harassment, Sexual Harassment, Discrimination and abuse of Authority, as well as special measures for protection from sexual exploitation and sexual abuse. • **UNDP will request that contractors, suppliers, and partners adhere to zero tolerance for SEAH conduct and commit to taking adequate action if faced with SEAH allegations, in the absence of which, contractual arrangements can be terminated.**
Risk 13 The duty bearers of this project, in particular the contractors, may have low capacities through consultations with the general communities with specific understanding on the different risks that may be imposed with regards to gender, women, indigenous, people living with disabilities, elderly, youth and the community at large. Principle 1: P1; P2; P3; P4; P5; P6 Principle 4: P13; P14	I = 3 L = 3	**Moderate**	During the consultations leading to design of the project, issues were raised in regarding the potential lack of coordination and communication between the contractors and communities. Some communities expressed that such issue has already happened in the past: during the construction of a wharf in Hafeeva island for instance, the residents of the island recommended that the wharf is	• The community will take direct ownership of the project and will be directly involved in each phase of the project, especially through the community dialogues (1.1), the elaboration of community development plans (2.3), and the community consultations linked to the constructions (3.1.3). • Technical feasibility studies will directly integrate, and highlight as such, communities' recommendations (3.1.3) in order to build a long-standing collaboration between local authorities and communities • All project activities impacting communities' lands will follow the FPIC guidelines as defined by the IPP

			built on the other side, because the current was too strong the other side. However, the engineer did not follow the advice and the wharf was destroyed in less than a month. It is important for the communities to directly engage in the project and to be part of every component, and engineers/contractors should be capacitated to integrate communities' recommendations.	• The project will continuously build local and national capacities (2.2) and share lessons learnt (3.2) in order to promote good governance and accountability.
Risk 14 The project activities could lead to work-related accidents involving local workers during the construction of coastal infrastructure; if the infrastructure are damaged, they could also affect the safety of local communities Standard 3 : 3.1 ; 3.2 ; 3.3 ; 3.8 Standard 7: 7.6	I = 3 L = 2	**Moderate**	The project will build infrastructure that will require the use of local workforce. Accidents may arise on the construction sites. Vehicles and machines used for transporting people and construction materials can also cause traffic accidents. Last, potential destruction / damage to the infrastructure due to weather conditions could lead to further incidents	• The project will require compliance with the Code of Conduct and safety standards by Project companies and personnel • Specific measures will be specified in the ESMP and the associated Health & Security Plan • An Emergency Fund may be considered within the HSP to deal with possible situations of this kind – this will be determined during ESIA
Risk 15 The rather small-scale influx of workers (30-40 persons max) into the area generated by the project to work on the coastal protection infrastructure has raised concerns regarding gender-based violence and young women's safety. Principle 2: P12 Standard 7: 7.5	I = 3 L = 2	**Moderate**	Tonga has no domestic violence, sexual harassment, human trafficking, sex tourism or family legislation in place and has neither signed nor ratified the Convention on the Elimination of all forms of Discrimination Against Women (CEDAW). Tonga has no minimum age of sexual consent, so statutory rape is not a crime. The legal definition of rape is	• During the construction side, a team of engineers will be appointed by the Government, but once the structure is in place, the communities and local authorities will be in charge of monitoring and data collection (output 2) • The GAP will be revised on project inception in order to integrate one targeted and concerted measure to prevent any Gender-Based-Violence • The GRM includes specific actions for dealing with SEAH. • UNDP will request that contractors, suppliers, and partners adhere to zero tolerance for SEAH conduct and commit to taking adequate action if faced with SEAH allegations, in

			limited to acts amounting to sexual intercourse, and the common law rules requiring proof of physical resistance in order to establish lack of consent is still applied. The defense of the reasonable belief that a victim was of legal age of consent is also still allowed. Communities, during the consultations, have expressed very clearly their wish to see their members employed by the project, linked their concerns with potential risks of gender-based violence by incoming workers on women and girls. While the project will mostly work with local workforce, some external expertise will be needed. Expatriate workers from overseas will also be on site during this Project. There will be 3 senior / technical level of ongoing expatriate management and coordination based in Tongatapu for the duration of the Project and various technical tasks along the way that require overseas team's and individuals (up to 20-30) to visit and undertake short-term work. 3 local staff based in Tongatapu will also undertake routine travel and work on the outer islands too	the absence of which, contractual arrangements can be terminated.
Risk 16 The construction of coastal protection measures could lead to temporary	I = 2 L = 2	**Low**	Construction work at this scale may in some cases lead to temporary physical relocation around the construction sites. SIDS countries, in their climate	

relocation measures of neighboring communities. Standard 5: 5.1			change adaptation strategies, have sometimes sponsored periodic relocations to other islands and countries[47]. However recent catastrophic events have highlighted key challenges linked to the emotional attachment to lands, and the financial costs of relocations. The present project, as it is designed, takes into consideration of the nearest homes and other buildings to the possible construction sites so that no relocation will be needed. The preliminary conclusion is that such relocation would not be required. Any temporary relocation deemed necessary at a later stage would trigger a revision of the SESP, and to follow the FPIC guidelines as per the IPP.	
Risk 17 The main infrastructures (revetments, activity 3.1) will be completed with some mixed approaches, including planting. This activity could lead to the introduction of alien and/or invasive species if non-local species used. Principle 1: 1.6; 1.8 Standard 6: 6.2	I = 3 L = 2	**Moderate**	Activity 1.3 plans a mixed-approach to coastal protection. While the construction of infrastructures is the main objective, it will be complemented by small-scale local measures, that currently do not have detailed design. These may include reforestation activities, which may lead to the introduction of alien and potentially invasive species. The Global Register of Introduced	• The ESIA will assess further what those mixed approaches will entail and how the plantation activities are planned. • Reforestation is to prioritise native species. Where non-native species are proposed, it must be demonstrated that they do not pose a threat as an invasive species.

[47] Climate Change Adaptation and Disaster Risk Reduction: Issues and Challenges, Rajib Shaw, Juan Pulhin, Joy Pereira, Emerald Group Publishing, 2010

			and Invasive Species – Tonga identifies 383 alien species introduced so far in Tonga[48]. The Pacific Island Ecosystems at Risk (PIER) project listed the species of particular concerns[49]. It is possible that some replantation could inadvertently lead to either the introduction of alien species or the spread of invasive species.	

	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)				
	Question only required for Moderate, Substantial and High Risk projects				
	Is assessment required? (check if "yes")	☐			***Status? (completed, planned)***
	if yes, indicate overall type and status		☐	Targeted assessment(s)	
			X	ESIA (Environmental and Social Impact Assessment)	planned
			X	SESA (Strategic Environmental and Social Assessment)	planned

[48] https://www.gbif.org/dataset/828f8713-6462-465c-b35f-25e4800e3881#taxonomicCoverages
[49] http://www.hear.org/pier/reports/tappendix3.htm

	Are management plans required? (check if "yes)	☐			
	If yes, indicate overall type		X	Targeted management plans (e.g. Gender Action Plan, Emergency Response Plan, Waste Management Plan, others)	Gender Action Plan (completed) Stakeholder Action Plan (completed) Biodiversity Action Plan Indigenous Action Plan Livelihood Action Plan (all planned - included in the ESMP) Process Framework (if deemed necessary after SESA)
			X	ESMP (Environmental and Social Management Plan which may include range of targeted plans)	Planned
			X	ESMF (Environmental and Social Management Framework)	Completed
	Based on identified <u>risks</u>, which Principles/Project-level Standards triggered?		**Comments (not required)**		
	Overarching Principle: Leave No One Behind				
	Human Rights	X	Better coastal governance and management, as a result of both activity 1.2 (land use policy) and 1.3 (construction of infrastructures) and could lead to an increase in the demand for agricultural lands, in an area where communities depend		

			on these lands for their livelihoods and where many are dependent on leases.
	Gender Equality and Women's Empowerment	X	Outcome 1 may exacerbate existing discriminations against women and youth, as they do not participate effectively in decision-making arena at the national nor local level, leading to maladapted governance decisions, especially in regard to land-use planning. Rural women, whose access to land is generally lower than men's, could particularly be affected by the project. In addition, the rather small-scale influx of workers (30-40 persons max) into the area generated by the project to work on the coastal protection infrastructure has raised concerns in regards to gender-based violence and young women's safety
	Accountability	X	The duty bearers of this project, in particular the contractors, may have low capacities to engage with all members of the communities in depth, and to integrate their recommendations in the construction of the coastal infrastructures
	1. Biodiversity Conservation and Sustainable Natural Resource Management	X	the installation of coastal protection infrastructure could lead to sediment movement, loss of habitat, changes in hydrodynamic processes, potential increases in erosion, Entrainment, impingement and or entrapment of marine organisms including in or around protected areas.
	2. Climate Change and Disaster Risks	X	The coastal constructions, though aiming at protecting the coast from the effects of climate change, are themselves inherently vulnerable to Climate Change and could be destroyed by natural disasters
	3. Community Health, Safety and Security	X	Terrestrial and Marine Noise could happen as a result of the use of construction equipment and rock dumping. The project activities could lead to work-related accidents involving local workers during the construction of coastal infrastructures ; if the infrastructures are damaged, they could also affect the safety of local communities
	4. Cultural Heritage	X	By affecting the Tongan landscape, offering climate smart solution to adapt to climate change, and by supporting the national land use policy, the project is likely to change Tongans' relationship to their landscape, hence affecting their cultural heritage and traditional knowledge on coastal land management

	5. Displacement and Resettlement	X	The national land use policy could lead to the economic displacement of livelihood activities, including women's and indigenous peoples'. The coastal infrastructures could restrict fishermen's access to fishing grounds and other livelihood activities, including women's and indigenous peoples'.
	6. Indigenous Peoples	X	The indigenous peoples of Oceania indeed include Pacific Islanders, among which Polynesians (one-sixth), of which Tongans are part. The special relationship that Tongans have with their lands, territories, resources means that their landscape and land management practices is are embedded within their Cultural Heritage. Although Western influence has somewhat altered traditions and culture in Tonga, certain Tongan rituals and art forms survive.
	7. Labour and Working Conditions	X	Risks related to the safety of workers could be associated with the quarries from where the stones will be sourced. The project activities could also lead to work-related accidents involving local workers during the construction of coastal infrastructures.
	8. Pollution Prevention and Resource Efficiency	X	Damages to the environment (deforestation due to the exploitation of the quarries, creation of waste and pollution from the quarry) could be associated with the quarries from where the stones will be sourced.

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.

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)?	**Yes**
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?	**Yes**
P.3	Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?	**Yes**
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?	**Yes**
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? [50]	**Yes**
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)?	**Yes**
Would the project potentially involve or lead to:		
P.9	adverse impacts on gender equality and/or the situation of women and girls?	**Yes**
P.10	reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	**Yes**
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*	**Yes**
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?	**Yes**

[50] 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.

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?	**Yes**
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)?	**Yes**
1.5	exacerbation of illegal wildlife trade?	No
1.6	introduction of invasive alien species?	**Yes**
1.7	adverse impacts on soils?	**Yes**
1.8	harvesting of natural forests, plantation development, or reforestation?	**Yes**
1. 9	significant agricultural production?	No
1. 10	animal husbandry or harvesting of fish populations or other aquatic species?	No
1.11	significant extraction, diversion or containment of surface or ground water? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction*	**Yes**
1.12	handling or utilization of genetically modified organisms/living modified organisms?[51]	No
1.13	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)[52]	No
1.14	adverse transboundary or global environmental concerns?	No
Standard 2: Climate Change and Disaster Risks		
Would the 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? *For example, through increased precipitation, drought, temperature, salinity, extreme events*	**Yes**
2.3	direct or indirect increases in vulnerability to climate change impacts or disasters now or in the future (also known as maladaptive 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*	**Yes**
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 potentially involve or lead to:		
3.1	construction and/or infrastructure development (e.g. roads, buildings, dams)?	**Yes**

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

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)?	**Yes**
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
3.4	transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.8	adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g. food, surface water purification, natural buffers from flooding)?	**Yes**
3.9	influx of project workers to project areas?	**Yes**
3.10	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?	**Yes**
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)	**Yes**
4.4	alterations to landscapes and natural features with cultural significance?	**Yes**
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)?	**Yes**
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)?	**Yes**
5.3	risk of forced evictions?[53]	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**
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**

[53] 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.

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?	No
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*	**Yes**
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.*	**Yes**
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?	**Yes**
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?	No
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? *For example, DDT, PCBs and other chemicals listed in international conventions such as the Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Convention*	No
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?	No

Annex H: Environmental and Social Management Plan or Framework (ESMP or ESMF)

Coastal Resilience Project – Tonga Environmental and Social Management Framework

Project Title: ***Tonga Coastal Resilience Project***

Country: Kingdom of Tonga

SESP Categorization: ***Substantial Risk***

Executive Summary

This Environmental and Social Management Framework (ESMF) has been prepared in support of a project proposal entitled "*Coastal Resilience Project – Tonga*" (the project) by the Government of the Kingdom of Tonga to the Green Climate Fund (GCF). As this project is supported by the United Nations Development Programme (UNDP) in its role as a GCF Accredited Entity, the project has been screened against the UNDP's Social and Environmental Standards Procedure and deemed a Moderate Risk (World Bank/International Finance Corporation Category B) project. As such, an ESMF has been prepared for the project.

The Ministry for Meteorology, Energy, Information, Disaster Management, Environment, Climate Change and Communications is the National Designated Authority and executing agency, in partnership with Ministry of Lands, Survey and Natural Resources; Ministry of Fisheries; Ministry of Internal Affairs. A Project Management Unit (PMU) will be established for the implementation of the project and compliance with this ESMF.

The project will target 39,427 direct and 100,651 indirect people in Tonga. The proposed project will include the construction of 4km of physical protection of vulnerable coastlines to reduce the impact of wave energy and/or soil erosion. Northeastern Tongatapu (Hahake) will be equipped with rock revetments preventing erosion, wave overtopping and/or subsequent coastal flooding.

The project will also undertake activities that will strengthen national and local capacities for effective monitoring, maintenance and community adaptation actions with respect to monitoring and the status of ecosystem functions; mapping and modelling coastal scenarios; and monitoring of coastal/marine ecosystems.

The project does not require any land acquisition and/or resettlement. Importantly, under section 109 of the *Constitution of Tonga 1990*, *all land which is 50 feet (15.24 metres) above the high-water mark as belonging to the Crown. Such beach frontage land can only be leased by the Minister of Lands with the consent of Cabinet for the construction of a store, jetty or wharf*. Therefore, the land where the project activities will be undertaken is owned by the Crown.

This ESMF sets out the principles, rules, guidelines, and procedures for screening, assessing, and managing the potential social and environmental impacts of forthcoming interventions of the project. It aims to effectively address risks through thorough application of the environmental and social measures, including time-bound action plans for avoiding, and where avoidance is not possible, reducing, mitigating, and managing adverse impacts related to the future activities or policies/regulations. It specifies the most likely applicable social and environmental policies and requirements, as well as how those requirements will be met through procedures for the screening, assessment, approval, mitigation, monitoring, and reporting of social and environmental risks and impacts associated with the activities to be supported. It ensures that the activities are screened and assessed, and that appropriate management measures are in place prior to implementation.

The procedures have been designed to ensure compliance with relevant social and environmental policy frameworks, including the Tonga's legal, policy, and institutional framework, UNDP's Social and Environmental Standards, and GEF safeguards. The project has developed a Grievance Redress Mechanism to deal with any complaints and/or grievances and issues that may arise as a result of the project. This Grievance Redress Mechanism complies with Tongan and UNDP Safeguard procedures.

Budgeting for environmental interventions and the application of mitigation measures to enhance positive impacts in Tonga is an investment in the future as it will reduce the environmental and social liability at local, island and national levels. The result of this budget will be that there will be clean water, more productive soils with less chemicals, more resilient crops to the impacts of climate change, healthy ecosystems, knowledgeable communities, and overall improvement in the quality of life of the population.

Summary of UNDP's Social and Environmental Safeguards triggered by the project

Principles and Standards	Rating	Justification
Principle 1: Human rights	Substantial	Better coastal governance and management, as a result of both activity 1.2 (land use policy) and 1.3 (construction of infrastructures) and could lead to an increase in the demand for agricultural lands, in an area where communities depend on these lands for their livelihoods and where many are dependent on leases. This could in particular affect indigenous peoples and women's rights: it could 1) change Tongans' relationship to their landscape, hence affecting their cultural heritage and traditional knowledge on coastal land management ; 2) lead to the economic displacement of livelihood activities, including women's and indigenous peoples' ; 3) restrict fishermen's access to fishing grounds and other livelihood activities, including women's and

		indigenous peoples' ; 4) exacerbate existing discriminations against women and youth, as they do not participate effectively in decision-making arena at the national nor local level, leading to maladapted governance decisions, especially in regards to land-use planning
Principle 2: Gender equality and women's empowerment	Moderate	Outcome 1 may exacerbate existing discriminations against women and youth, and potentially other minority groups such as LGBTI as they do not participate effectively in decision-making arena at the national nor local level, leading to maladapted governance decisions, especially regarding land-use planning Rural women, whose access to land is generally more difficult than men's, could particularly be affected by the project. In addition, the rather small-scale influx of workers (30-40 persons max) into the area generated by the project to work on the coastal protection infrastructure has raised concerns regarding gender-based violence and the safety of young women.
Principle 3: Sustainability and Resilience / Standard 1: Biodiversity conservation and sustainable natural resource management	Substantial	The installation of coastal protection infrastructure could lead to sediment movement, loss of habitat, changes in hydrodynamic processes, potential increases in erosion, Entrainment, impingement and or entrapment of marine organisms including in or around protected areas,
Principle 4: Accountability	Moderate	The duty bearers of this project, in particular the contractors, may have low capacities through consultations with the general communities with specific understanding on the different risks that may be imposed with regards to gender, women, indigenous, people living with disabilities, elderly, youth and the community at large
Standard 2: Climate change and Disaster risks	Substantial	The coastal constructions, though aiming at protecting the coast from the effects of climate change, are themselves inherently vulnerable to Climate Change and could be destroyed by natural disasters.
Standard 3: Community Health, Safety and Security	Moderate	Terrestrial and Marine Noise could happen for a short period because of the use of construction equipment and rock dumping. The project activities could lead to work-related accidents involving local workers during the construction of coastal infrastructures; if the infrastructures are damaged, they could also affect the safety of local communities.
Standard 4: Cultural heritage	Moderate	By affecting the Tongan landscape, offering climate smart solution to adapt to climate change, and by supporting the national land use policy, the project is likely to change Tongans' relationship to their landscape, hence affecting their cultural heritage and traditional knowledge on coastal land management.
Standard 5: Displacement and resettlement	Substantial	The national land use policy could lead, in the long-term, physical and/or economic displacement of people and their livelihood activities. Historic land-use practices may need to change in response to climate threatens and to enable resilient communities to continue. The proposed coastal infrastructure could impede access to shorelines, including for fishing and other livelihood activities.
Standard 6: Indigenous peoples	Moderate	Though there is no specific indigenous peoples status in Tongan national political and legal framework, Tongans are considered under UNDP standards as an "indigenous people", in the sense of a distinct collective which has pursued its own concept and way of human development in a given socio-economic, political and historical context; has tried to maintain its distinct group identity, languages, traditional beliefs, customs, laws and institutions,

		worldviews and ways of life; has exercised control and management of the lands, territories and natural resources that it has historically used and occupied, with which it has a special connection, and upon which its physical and cultural survival as indigenous peoples typically depends; and pre-dates those who colonized the lands in Oceania – though Tonga itself was never colonized. The indigenous peoples of Oceania indeed include Pacific Islanders, among which Polynesians (one-sixth), of which Tongans are part[54]. The special relationship that Tongans[55] have with their lands, territories, resources means that their landscape and land management practices are embedded within their Cultural Heritage. Although Western influence has somewhat altered traditions and culture in Tonga, certain Tongan rituals and art forms survive[56].
Standard 7: Labour and Working Conditions	Moderate	Risks related to the safety of workers could be associated with the quarries from where the stones will be sourced. The project activities could also lead to work-related accidents involving local workers during the construction of coastal infrastructures.
Standard 8: Pollution Prevention and Resource Efficiency	Moderate	Damages to the environment (deforestation due to the exploitation of the quarries, creation of waste and pollution from the quarry) could be associated with the quarries from where the stones will be sourced. Terrestrial and Marine Noise could happen as a result of the use of construction equipment and rock dumping.

The application of UNDP's Social and Environmental Safeguard Policy and of the above-mentioned triggered standards will lead to a series of procedures and measures described in the table below.

[54] SEARAC, Southeast Asian American Statistical Profile, 2004; https://www.empoweredpi.org/; https://www.api-gbv.org/resources/census-data-api-identities/
[55] https://minorityrights.org/minorities/pacific-islanders/
[56] *American Indian Quarterly*
Vol. 30, No. 1/2, Special Issue: Indigenous Languages and Indigenous Literatures (Winter - Spring, 2006), pp. 11-27 (17 pages)

Summary of the required environmental and social elements

Environmental and social elements	Description	Activities to be addressed
Strategic Environmental and Social Assessment (SESA)	SESA refers to a range of analytical and participatory approaches that aim to integrate social and environmental considerations into policies, plans and programmes (PPPs) and evaluate their interlinkages with economic considerations. Potential adverse risks and impacts associated with such activities are systematically examined. SESA evaluates the effect of policy changes on a broad, cross-sectoral basis with the aim of making "upstream" development decision-making more sustainable. SESAs typically look at wider sustainability issues than project-level assessments, however, there needs to be linkages between the two: information and strategies determined in a SESA should cascade down through tiers of decision-making. It will be conducted together with the ESIA.	Community dialogue platform established for a long-term adaptation strategy including voluntary retreat. 1.2. Develop a long-term climate resilient land use plan for Tonga based on climate risks and projections.
Process Framework	A Process Framework will be designed if any unavoidable risk remains after the SESA, particularly in terms of access to resources or the need for large scale relocation. The Process Framework supplements the project's environmental and social assessment with a participatory framework focused on the potential impacts of access restrictions. The purpose of the Process Framework is to establish a process by which members of potentially affected communities participate in the design of project components, determination of measures necessary to address the requirements of SES Standard 5, and implementation and monitoring of relevant project activities.	1.1 Community dialogue platform established for a long-term adaptation strategy, including voluntary retreat. 1.2. Develop a long-term resilient land use plan for Tonga based on risks and projections
Environmental and Social Impact Assessment (ESIA)	In accordance with UNDP's SES policy, substantial-risk projects require comprehensive forms of assessment. An ESIA assesses the full range of social and environmental impacts, including alternatives analysis. It will be developed and carried out by independent experts in a participatory manner with stakeholders during the inception phase. The ESIA will further identify and assess social and environmental impacts of the project and its area of influence; evaluate alternatives; and design appropriate avoidance, mitigation, management, and monitoring measures. It will address all relevant issues related to the SES Overarching Principles and Project-level Standards. It will be conducted during the first six months of project implementation and fully address the risks and activities.	3.1. Building coastal protection measures along 4 km of coastline in Hahake
Environmental and Social Management Plans (ESMP) and associated Management Plans	A key output of the ESIA is an ESMP, prepared within the first six months of project implementation, to further refine risk identification and mitigation strategies, as well as to establish a system for monitoring these risks. Based on the findings, required management plans will be developed and implemented as appropriate. These plans will be an integral part of the ESMP and provide more detailed background and measures for the most substantial risks: Livelihood Action Plan (LAP) Biodiversity Action Plan (BAP)	Activities assessed through SESA and ESIA
Technical and feasibility studies	Coastal protection constructions to be built and associated mixed measures to be defined have been subject to technical and feasibility studies, which will be	3.1. Building coastal protection measures along 4 km of coastline in Hahake.

	completed according to UNDP SES requirements and guidelines to be appropriately screened and managed.	
Operationalization of a Grievance Redress Mechanism (GRM)	The full details of the GRM will be agreed upon during the ESIA phase and the project will establish a project-level GRM at the start of implementation. Interested stakeholders may raise a grievance at any time with the Project Management Office, the Responsible Parties, UNDP, or the GEF.	All activities
Operationalization of the Gender Action Plan	A Gender Action Plan has been developed during the project's design phase. It will guide all actions pertaining to SES implementation and gender-mainstreaming. It offers specific activities, from capacity-building to specific consultation activities, allowing all women to fully engage with the project and decision-making processes from the outset.	All activities
Operationalization and update of the Stakeholder Engagement Plan and development of an associated FPIC protocol	A Stakeholder Engagement Plan has been developed during the project's design phase. It will guide all actions pertaining to SES implementation. It will be completed by an FPIC protocol, to be developed together with local communities and indigenous peoples (and integrated in the IPP) to enable communities to get extensive information about the project and associated possible positive and negative consequences. They will be encouraged and given the time to explicitly reflect on this information to able to give their free prior informed consent (FPIC). The FPIC protocol will then be applied to each activity of the project, as communities will be allowed to provide their consent to part of them, ask for modifications, or withdraw their consent.	SEP applies to all activities. FPIC required for activities under Outcomes 1 and 3

Environmental and social risk management of the project will be provided at three levels:

I. preparatory phase in the first six months of the project, while the PMU is building trust relationships with project stakeholders and further defining field interventions (before any activities that may cause adverse social or environmental impacts start, through SESA/ESIA/ESMP measures);

II. implementation (when putting in place the said activities), through the implementation of the ESMP and associated plans measures; the management plans are here conceived as sections of the ESMP which provide detailed background and operationalisation steps to the measures addressing the most substantial risks;

III. operating stages (through ESMF monitoring when selecting the green entrepreneurship activities for instance, as well as mitigation measures M&E according to ESMP and associated management plans).

To ensure that appropriate safeguards measures are in place, a Strategic Environmental & Social Assessment (SESA) and an Environmental & Social Impact Assessment (ESIA) will be undertaken and an Environmental & Social Management Plan (ESMP) prepared within the first six months of project implementation, to further refine risk identification and mitigation strategies, as well as to establish a system for monitoring these risks. Based on the ESIA findings and as part of the ESMP (as appropriate), the embedded specific management plans (Biodiversity Action Plan, Livelihood Action Plan) will be developed and implemented. The project will ensure that FPIC is adhered to and will not initiate any activities that may cause adverse social or environmental impacts until SESA, ESIA and ESMP have been completed, disclosed and discussed with stakeholders, and then put in place.

The implementation of project activities will be done under the supervision of a Project Board. The Project Management Unit (PMU) will plan and oversee the execution of project activities and evaluate and report on their progress to the Board and other stakeholders. TORs of both the Board and the PMU will include specific responsibilities related to safeguards, including ensuring a functioning GRM, as well as the development, implementation, and monitoring of the ESMP and any associated stand-alone plans. The project will enhance the capacities of all relevant actors for the implementation and monitoring of safeguards plans and measures.

The estimated total costs for implementing the environmental and social safeguards measures recommended in this ESMF amount to USD 1,202,0577.

Introduction

This Environmental and Social Management Framework (ESMF) has been prepared in support of a project proposal for "Coastal Resilience Project" by the Government of the Kingdom of Tonga to the Green Climate Fund (GCF). As this project is supported by UNDP in its role as a GCF Accredited Entity, the project has been screened against UNDP's Social and Environmental Standards Procedure and deemed a Substantial Risk project. As such, an Environmental and Social Management Framework has been prepared for the project.

Background

The Government of the Kingdom of Tonga with support from UNDP, is formulating a project on adaptation to climate change impacts "Coastal Resilience Project" for submission to the GCF. The project will seek to improve the resilience of vulnerable communities to climate change impacts.

The Kingdom of Tonga is an archipelago of 172 coral and volcanic islands, of which only 36 are inhabited. The total land area is 747 km^2 spread over 347, 282 km^2 of ocean. There are 17 main islands forming three major groups namely the Vava'u group to the north, the central Ha'apai group and the southern Tongatapu group. **Error! Reference source not found.** shows the whole Kingdom of Tonga, while **Error! Reference source not found.**,

Figure 3 Map of Ha'apai Figure 4 Map of Vava'u

and **Error! Reference source not found.** show the island groups of Tongatapu, Ha'apai and Vava'u respectively.

The Kingdom of Tonga is very susceptible to climatic events such as cyclone and associated storm events and subsequent flooding. For example, Cyclone Ian, a Category Five storm caused significant damage in the Ha'apai Island Group on Saturday 11 January 2014. It was the first Category Five cyclone to impact Tonga.

The islands are also very susceptible to associated impacts from subsea earthquakes and subsequent tsunamis that may impact the nation. The nation has already observed the impacts of sea level rise due to climate change and significant coastal erosion impacts.

Overview of the Project

The project will enable the Government of the Kingdom of Tonga to implement measures that are required for both reducing short-term vulnerability and building long-term resilience in coastal areas in the country, which are facing increasing impacts of climate change in the form of sea level rise, intensifying cyclone events and extreme weather events.

Reducing coastal vulnerability and building Tonga's capacity for effective coastal protection is a national priority that is recognised in all key national strategies and policies. The formulation of this project has been led by Ministry for Meteorology, Energy, Information, Disaster Management, Environment, Climate Change and Communications (MEIDECC) with technical support from Joint National Action Plan on Climate Change Adaptation and Disaster Risk Management Taskforce as well as full participation of non-government organisations and community members.

The GCF funded interventions will deliver direct and indirect benefits to more than 39,427 people and 100,651 people, respectively. The project will also contribute to building enabling environments for Government of the Kingdom of Tonga and communities to proactively engage in identifying and implementing solutions to coastal resilience building.

Summary of Activities

The proposed project will have the following activities:

- Outcome 1: Strengthened knowledge, capacity and engagement for incorporating climate risks into long-term adaptation planning supported through multi-sectoral, multi-stakeholder engagement and dialogue platform.
- Output 1.1 Establish a national multi-stakeholder engagement platform for dialogue on co-creating long-term climate change adaptation strategies and solutions including voluntary retreat
- Output 1.2 Develop village and district level participatory climate risk informed plans
- Output 1.3 Build the capacity of local government, village committees and NGOs to integrate climate risks and adaptation needs into community level planning, and inform future Community Development Plans (CDP)
- Outcome 2: Strengthened national and local capacities for effective monitoring and assessment of climate risks

- Output 2.1 Strengthened mechanism for collecting and analysing data and information for better-informed climate risk monitoring and coastal adaptation planning.
- Output 2.2 Improve the knowledge base of multi-sectoral, multi-stakeholders on adaptation planning strategies for long-term resilient planning and transformative adaptation for Tonga based on climate risks and projections.
- Outcome 3: Reduced vulnerabilities of coastal communities in Hahake to climate hazards through coastal protection measures
- Output 3.1. Build coastal protection measures along 4km of coastline in Hahake
- Output 3.2 Sharing of lessons learned and best practices in climate resilient coastal protection measures for scale-up at the national and regional level

Expected positive impacts

The environmental and social objectives of the projects are to:

improve coastal protection measures in the targeted areas

- encourage good management practices through planning, commitment and continuous improvement of environmental practices
- minimise or prevent the pollution of land, air and water pollution
- improve wetland ecosystem
- build climate resilient coastal protection and drainage infrastructure that reduces their environmental and social impacts during storm events
- undertake sediment retention works that reduce land-based sources of marine pollution
- protect native flora, fauna and important ecosystems
- comply with applicable laws, regulations and standards for the protection of the environment
- adopt the best practicable means available to prevent or minimise environmental impact
- describe monitoring procedures required to identify impacts on the environment
- provide an overview of the obligations of MEIDECC and UNDP staff and contractors regarding environmental obligations.

Overview of Existing Biophysical and Social Environment

Biophysical

Location and setting

The South Pacific Polynesian Kingdom of Tonga spreads across over 170 small islands, many uninhabited. Tonga covers around 747km^2 of land area, spread across an estimated combined land and sea area of 720,000 km^2[57]. Of the 176 islands, 36 are inhabited by a population of approximately 100,179[58].

The islands are formed on the tops of two parallel submarine ridges stretching from Southwest to Northeast and enclosing a 50 km wide trough (MEIDECC, 2019). The islands are divided into four main island groups: the Tongatapu group in the south including (74,320); Ha'apai group in the middle (5,665); the Vava'u group in the north (14,182); and the Niuas in the far north (1,148)[59].

[57] https://climateknowledgeportal.worldbank.org/
[58] https://tongastats.gov.to/census-2/
[59] ibid

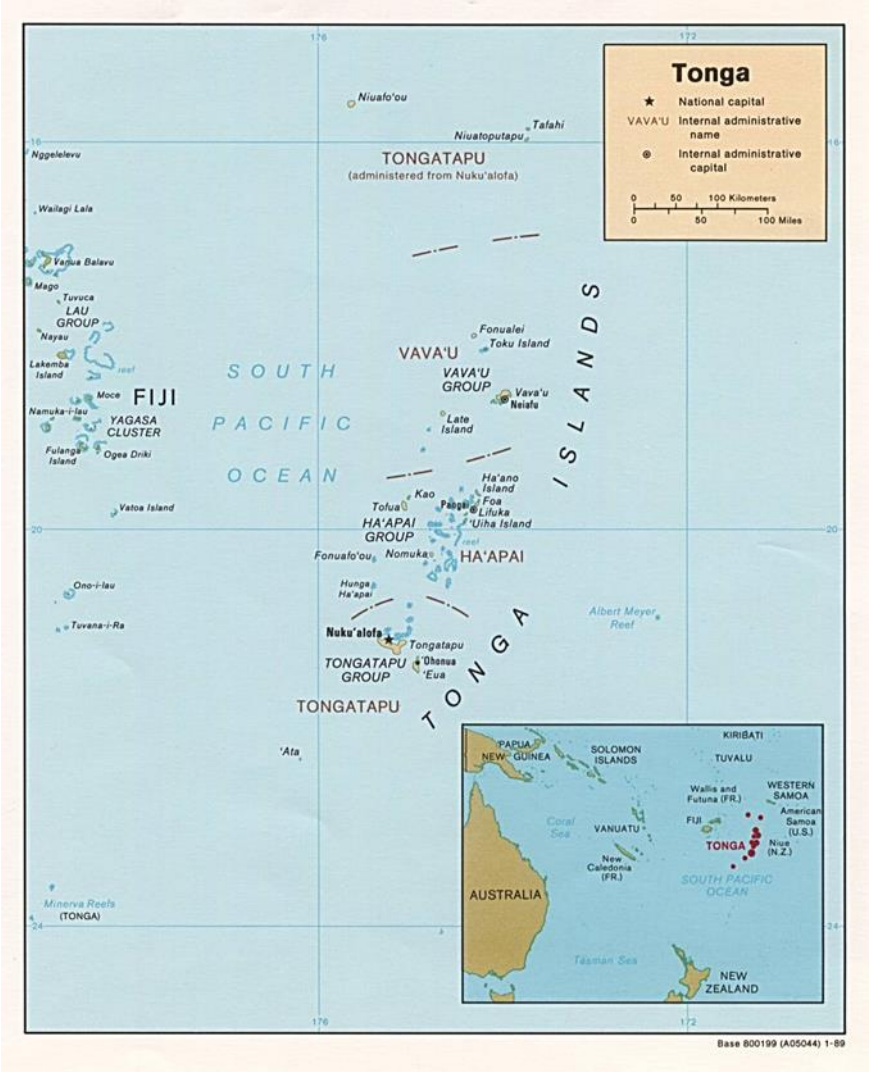


Figure 1 Map of Tonga



Figure 2 of Tongatapu

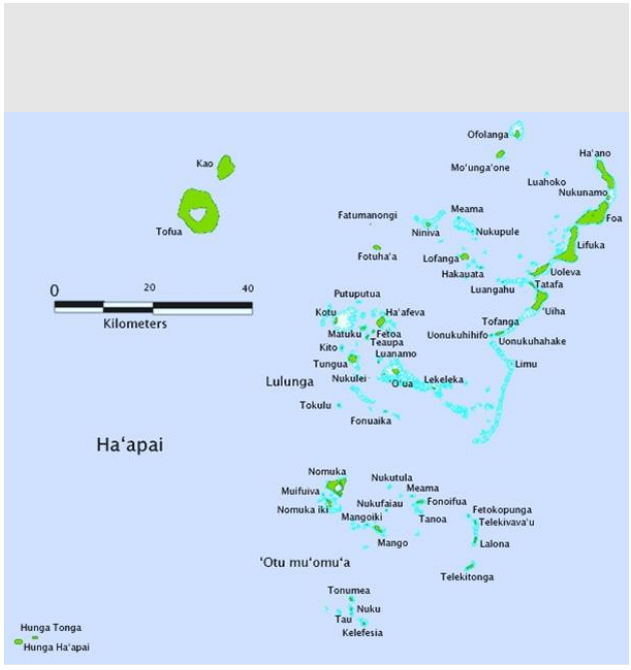


Figure 3 Map of Ha'apai



Figure 4 Map of Vava'u

Geology, topography and soils

The islands of Tonga are a mixture of geologically young steep volcanic islands, some of which remain so volcanically active they are ephemeral and uninhabitable (e.g., Hunga Tonga Island). The islands in Tonga are a mix of uplifted coral limestone (uplifted atolls), which may be capped with volcanic ash layers producing deep fertile soils. In contrast, others are steep, mountainous and volcanic in origin. Many of the nearshore communities are located on comparatively low-lying, marine hazard exposed land, exemplified by the national capital Nukualofa. Several volcanoes, some of which are still active, exist along the western ridge, while many coral islands have formed along the eastern ridge, amongst them are the Vava'u and Ha'apai island groups. Coral islands are in two categories, the low (true atoll islands) and raised coral limestone islands. The geological history of Tonga is complex. Tongatapu Island with the capital Nuku'alofa, is a good example of this complexity; it is a former low-lying atoll that has been raised and tilted down towards the north[60]. The tilting has resulted in today's landscape consisting of a relatively flat island surface with inaccessible steep limestone cliffs tens of meters high on the southern shores and gradual shallowing towards the northern shoreline. However, the northern shore land/sea boundary differs as very low laying swampy nearshore land, protected by a large shallow lagoon and characterised by extensive intertidal reef and mud flats and mangrove wetlands.

[60] Schofield, J. C. (1967). Notes on the geology of the Tongan Islands. *N.Z. Jl Geol. Geophys*, *10*, 1424–1428.



Figure 5 Landform features of Tongatapu (showing also the location of the national capital Nuku'alofa on the low laying northern shore)

Climate

Tonga's climate is tropical with a wet season usually from November to April that has both moderate and variable rainfall, and dry season from May to October. Mean annual precipitation has averaged 1,666 millimeters (mm) over the period 1901–2019[61]. While, mean annual temperature in Tonga varies from 23°C to 26°C (World Bank, 2021b). Tonga's weather is governed by a number of factors that include the trade winds and the movement of the South Pacific Convergence Zone (SPCZ), a zone of high-pressure rainfall that migrates across the Pacific south of the equator. Year-to-year variability occurs under the influence of the El Niño Southern Oscillation (ENSO) in the south-east Pacific, which can bring prolonged drought conditions and contribute to a depletion of potable water, and tropical cyclones that occur during the wet season, causing extensive damage to local infrastructure, agriculture, and major food sources.

[61] https://documents.worldbank.org/en/publication/documents-reports/documentdetail/099900212142210482/P177189022159803d0834e0ae94a2732881

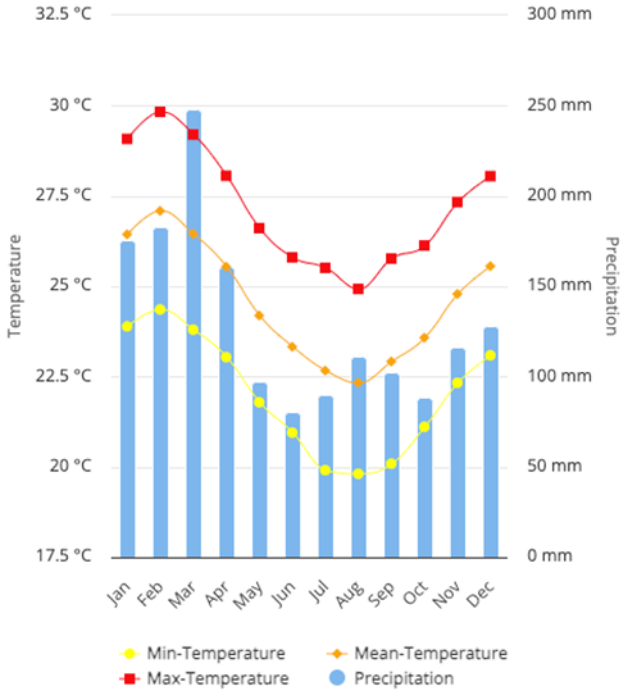


Figure 6 Monthly climatology of min-temperature, mean-temperature, max-temperature and precipitation 1991-2020 (World Bank 2021b)

Due to the spatial distribution of the islands of Tonga, there is a disparity in the nature of rainfall in the country. Tonga's Third National Communication to the UNFCCC reports the annual mean rainfall at the five meteorological stations in Tonga between 1971–2007: Tongatapu reported an average of 1,721 mm, Vava'u an average of 2,150 mm, Ha'apai an average of 1,619 mm, Niua Fo'ou an average of 2,453 mm and Niua Toputapu an average of 2,374 mm (MEIDECC, 2019). All of the Tongan archipelago islands therefore receive significant annual rainfall.

Biological Environment

Terrestrial Flora

The flora of Tonga is very similar to that of the adjacent islands and archipelagos, particularly Samoa. It is estimated to comprise 340 native angiosperm species, only 3% (15 species) of which are thought to be endemic to the archipelago. No genera are endemic to Tonga.' Of the species endemic to the archipelago, only four were reported as occurring in Tongatapu: *Pittosporum yunckeri, Polyalthia amicorum, Robiquetia tongensis, Xylosma smithiana*[62]. An additional consideration is to avoid the introduction or proliferation of invasive or potentially invasive plant species. In this regard the Pacific Island Ecosystems at Risk project (PIER) has developed a list of 'PIER plant species present in the Tongatapu Group listed by scientific name' [63].

Tropical lowland rain forests predominate below 500 meters elevation. Evergreen trees form a continuous canopy up to 30 meters in height. Common canopy trees include *Diospyros* spp., *Rhus taitensis, Alphitonia zizyphoides, Calophyllum neo-ebudicum, Cryptocarya turbinata, Elattostachys apetala, Litsea mellifera, Maniltoa grandiflora, Myristica hypargyraea, Zanthoxylum pinnatum, Garcinia myrtifolia, Neonauclea forsteri, Didymocheton tongensis* (on 'Eua), *Podocarpus pallidus, Inocarpus fagifer, Erythrina fusca, Pisonia grandis, Pittosporum arborescens, Garuga floribunda, Ficus obliqua, Pleiogynium timoriense,* and *Cynometra grandiflora*. The understorey includes dense clumps of the fern *Dicranopteris linearis* and the shrubs *Piper puberulum* and *Psychotria insularum*.

On coastal dunes and relatively recent lava and ash deposits where soils are thinner and drier, forests of *Casuarina equisetifolia* predominate, with low trees and shrubs including *Pandanus tectorius, Syzygium dealbatum, Hibiscus tiliaceus*, and *Scaevola taccada*.

[62] Suitability or otherwise for coastal protection of this species has not been established in the current study.
[63] Available at: http://www.hear.org/pier/locations/pacific/tonga/tongatapu_group/specieslist.htm

Littoral forests of *Hernandia nymphaeifolia, Barringtonia asiatica*, and *Casuarina equisetifolia* grow closest to the coast in areas with salt spray. Immediately inland are coastal forests with *Pisonia grandis* and *Excoecaria agallocha* as the predominant trees.

Mangrove scrub and mangrove forest are found in saltwater wetlands on coral atolls and around the shores of the larger islands' coastal lagoons. Mangrove scrub is found on estuaries and reef flats and on the edges of mangrove forests. The small- to medium-sized trees *Rhizophora mangle, Rhizophora stylosa*, and *Lumnitzera littorea* are dominant. Where conditions are favorable mangrove forests dominated by *Bruguiera gymnorhiza* with *Xylocarpus moluccensis* and *X. granatum* replace the mangrove scrub.

Plants endemic to Tonga include *Alphitonia franguloides var. obtusa, Arytera bifoliata, Grewia amicorum, Grewia populoides, Guioa lentiscifolia, Meiogyne amicorum, Oldenlandia debilis, Pandanus amicalis, Pandanus tongatapuensis, Pandanus vavauensis, Phyllanthus amicorum, Pittosporum yunckeri, Psychotria euaensis, Scaevola porrecta, and Xylosma smithiana.*

Several species are endemic to one or two islands:

Phyllostegia tongaensis is endemic to 'Ata

Aglaia heterotricha, Didymocheton tongensis, Hedycarya alternifolia, Ixora yunckeri, Plantago euana, and the fern Thelypteris macroptera are endemic to 'Eua

Dennstaedtia parksii and the orchid Robiquetia tongaensis are endemic to 'Eua and Tongatapu

the conifer Podocarpus pallidus is endemic to 'Eua and Vava'u

Psychotria kaoensis and Selaginella yunckeri are endemic to Kao

Atractocarpus crosbyi, Casearia buelowii, and the palm Pritchardia pacifica are endemic to Vava'u.

Most native habitat on Tonga's 170 islands has been cleared through thousands of years of settlement and subsistence agriculture. A few uninhabited and steep volcanic islands, such as the islands of Late, Kao-Tonga, and Tofua still support large areas of native forest. 'Eua also retains native forest on sizeable areas around its steep terrain. Even on uninhabited islands, there is ongoing clearing for subsistence agriculture and commercial kava plantations. Invasive rats and cats greatly impact populations of native species, such as nesting birds, invertebrates, lizards, and native plants (through seed predation).

Terrestrial Fauna

There are 20 species of terrestrial and sea birds, two of which are endemic to Tonga and near-threatened, such as the Tongan Whistler and Polynesian Megapode. The endemic Tongan megapode is the only remaining bird of the four species in its family: these flightless birds with large eggs were very vulnerable to hunting by human and introduced predators after their arrival on the islands. There has been effort to conserve their declining population by translocating their eggs to nearby Fonualei and Late islands.

The islands are home to numerous seabirds, including brown noddy (Anous stolidus), Phoenix petrel (Pterodroma alba), and bristle-thighed curlew (Numenius tahitiensis). Seabird breeding colonies are mostly limited to offshore islets free of rats, which prey on eggs and chicks.

There are 20 known species of reptiles in the ecoregion. They include the Lau banded iguana (Brachylophus fasciatus), the boa Candoia bibroni, nine species of gecko, and nine species of skink..

There are no native land mammals in the ecoregion. Native bats include the Pacific flying fox (Pteropus tonganus) and Pacific sheath-tailed bat (Emballonura semicaudata). The black rat (Rattus rattus) and brown rat (R. norvegicus) were introduced to the islands by humans, and have decimated the island's birds.



Figure 7 Manuka to Kolonga shoreline and surrounding vegetation

Marine

Tonga contains many marine ecosystems, from globally significant coral reefs to mangroves, seagrass areas, seamounts and deep-sea trenches supporting at least 1,142 fish species, including sharks and rays, as well as whales, dolphins and sea turtles.

The marine environment in Tonga can be divided into four main ecological zones, all of which are recognised in the vernacular vocabulary: 1) the shore that is exposed at low tide, 2) the lagoon and tidal flats, 3) fringing reefs and barrier reefs, and (4) the open sea.

The nearshore and intertidal areas of Tongatapu consist of a wide range of habitats including mangroves, rock terraces, sand beaches, saline wetlands, estuary and mudflats, reef flats and coral reefs (barrier, fringing and submerged). The tidal range at Tongatapu is 1.8m (BoM, 2023a),

The coastal area Manuka - Kolonga to the west of Kolonga village remains a natural system and has never been protected by revetment. Unlike areas further west it has numerous raised outcrops of limestone bedrock



Figure 8 Existing shoreline for Manuka to Kolonga

Water and groundwater

There are no rivers in Tonga and goundwater serves as the primary water source. However, Tongans also use rain and desalinated water. The groundwater is both spatially and temporally of variable quality for drinking due to its mixing with underlying seawater and the impacts of overlying human settlements. There are, therefore, a range of natural, anthropogenic as well as institutional factors that contribute to the vulnerability of groundwater in Tongatapu.

Natural hazards

Volcanism and seismic activity

The islands of Tonga are associated with the Tonga-Kermadec Ridge and Tonga Trench, which is a large submarine subduction zone and also one of the fastest moving and most tectonically active on Earth, forming part of the "Pacific Ring of Fire" of intense seismic activity. Tonga has several active sites of volcanism and is subject to frequent tremors and earthquakes. Individual and island groups have been subject to tectonic uplift, subduction and tilting; however, limited monitoring infrastructure make evaluation of these dynamics very hard to determine.

Tsunamis

Tsunami inundation modelling shows that Tonga's islands are critically exposed to tsunamis given their location along the Tonga Trench. Tsunami modelling undertaken for Tongatapu Island in 2011[64] and then in 2021[65] shows that tsunami is also likely to impact the northern coastal areas of Nuku'alofa, and particularly Nukuleka, Talafo'ou, Navutoka, Manuka and Kolonga. Though not directly related to climate change, tsunamis pose an additional coastal hazard that is exacerbated by sea level rise and requires a similar adaptive response.

Critically, Tonga's seismological activity resulted in the January 2022 violent eruption of the Hunga Tonga-Hunga Ha'apai submarine volcano 65km north of Tonga's capital Nuku'alofa, which produced a tsunami affecting Tongatapu and other islands of Tonga, as well as affecting Fiji, American Samoa, Vanuatu, New Zealand, Japan, the US, far-eastern Russia, Chile and Peru. Hunga Tonga–Hunga Ha'apai's plume reached a peak height of 58 kilometres into the atmosphere and sustained heights greater than 30 km. The eruption generated ocean-wide tsunamis, never before recorded in the Pacific instrumental record, and which were also undetected by tsunami warnings, given that volcanically generated tsunamis still remain a 'blind spot' in our understanding of tsunami hazards. Tsunami waves with run-up heights up to 45m struck the uninhabited island of Tofua in Tonga, and a 1.2m tsunami struck Nuku'alofa on Tongatapu (BoM, 2022).

Tropical Storms and Cyclones

The entire Tongan Archipelago is subject to direct land fall of tropical cyclones. These can generate locally raised sea levels and large wave conditions, heavy rainfall, and wind speeds more than 200km/h. The World Bank Tonga Climate Risk Country Profile indicates there were 85 cyclones developing within or crossing the Tongan archipelago between the years 1969 – 2011 with an approximate average of 20 cyclones per decade. The report outlines there were 55 cyclones since 1981 and 19 of these were Category 3 or higher. There have been only three Category 5 tropical cyclones ever recorded in Tongan waters, TC Ron (1997) and TC Ian (2014), and TC Harold (2020); it is notable that these have all occurred in the last twenty-five years, and two within the last decade.

Table 1 The seven most destructive tropical cyclones to have affected Tonga since 1960

Name	Category	Month/Year	Area Affected
Severe Tropical Cyclone (un-named)	Category 4	March 1961	Vava'u
Severe Tropical Cyclone "Isaac"	Category 4	March 1982	Vav/Hap/Tongatapu
Severe Tropical Cyclone "Ron"	*Category 5*	*January 1998*	*Niuafo'ou*
Severe Tropical Cyclone "Waka"	Category 4	January 2002	Vava'u
Severe Tropical Cyclone "Ian"	*Category 5*	*January 2014*	*Ha'apai*
Severe Tropical Cyclone "Gita"	Category 4	February 2018	Tongatapu

[64] Damlamian et al., 2011
[65] Borrero et al., 2021

Severe Tropical Cyclone "Harold"	Category 5	April 2020	Eua/Tongatapu

Social and Built Environment

Land tenure

The land tenure in Tonga and predominantly in the project area is owned by the Government of the Kingdom of Tonga. Importantly, under section 109 of *The Act of Constitution of Tonga 1990*, *all land which is 50 feet (15.24 metres) above the high-water mark as belonging to the Crown. Such beach frontage land can only be leased by the Minister of Lands with the consent of Cabinet for the construction of a store, jetty or wharf*.

Demographics

Tongatapu is Tonga's most populous island, with the highest population density. Of Tonga's total population of 100,179 people, around 74% (74,320) reside on Tongatapu Island, approximately half of which are concentrated within Tonga's capital city in the greater Nukualofa area.[66] The Island of Tongatapu has the largest land area of Tonga's islands (approximately 270km^2) and given the location of the main city of Nuku'alofa, Tongatapu also has the largest accumulation of built assets and infrastructure, including the main airport and seaport. Despite being a raised atoll, Tongatapu Island is agriculturally highly productive land with an upper layer of volcanic soils derived from ancient volcanic ash falls.

Of 31,000 employed in the country, approximately 19.4 per cent work in agriculture, 30.9 per cent in industry and 49.8 per cent in services. However, remittances from families overseas (most often in Australia and New Zealand) have been the largest contributor to Tonga's Gross National Product and are a major source of its foreign exchange year-by-year.[67] In Tonga, the number of workers participating in the seasonal schemes in Australia and New Zealand is so considerable that it has led to a shortage of agricultural labour in some sending communities, especially during peak harvest time.[68] However, remittances are critical to strengthening resilience at the household, community and national levels and potentially constitute an alternative source of climate finance to build climate-resilient houses, improve the general quality of houses, purchase water tanks, improve seawalls at their property, and increase the overall resilience of households as well as climate-proof community infrastructure (IOM & ILO, 2022). Still, while international migration (out of Tonga) is significant, with the Tongan diaspora estimated to be 126,540 (more than the population residing within Tonga) (TWG MSDP, 2021), the population continues to grow with an annual average population growth of 0.3 per cent per annum over the last decade (ILO, 2022).

The population of Tongatapu is projected to grow over the next decade, with Tongans commonly relocating from the outlying islands to Tongatapu. While all forms of internal migration occur in Tonga (rural to urban, rural to rural, urban to rural and urban to urban) the predominant trend in Tonga (and indeed globally) is rural to urban.[69]

Gender

In Tongan society, women have traditionally held a high social status within communities thanks to the 'Fahu' system within families, which marks the eldest or another 'chosen' sister to hold a position of influence and respect within the family. The 'Fahu' system grants the power of decision-making within families, and in some contexts it ranks sisters above brothers. Gender stereotypes about Tongan women remain pervasive with traditional customs and Christian values that have been interpreted as justifying paternalistic social hierarchy. In Tonga, the age of consent for girls is 15. There is no minimum age of consent for boys. Under the Criminal Offences Act 1988 and subsequent Amendments, rape is an offence that can only be committed by a man against a woman or girl. Marital rape was criminalised in Tonga 1999. Gender specific offences, such as 'enticing a woman to desert her husband', 'procuring the defilement of females' and 'abduction of women' are contained within the Criminal Offences Act.[70]

Consensual same-sex sexual activity is criminalised in Tonga under the 1988 Criminal Offences Act.. In practice, the law has not been used to prosecute same-sex sexual conduct between consenting adults in recent years.[71] Same-sex marriage is not legally recognised in Tonga.

[66] https://tongastats.gov.to/census-2/

[67] Base. (2022, February 23). *Remittances for Recovery in Tonga*. BASE. https://energy-base.org/news/remittances-for-recovery-dealing-with-the-aftermath-of-tongas-volcanic-eruption/

[68] http://www.ilo.org/suva/publications/WCMS_856083/lang--en/index.htm

[69] https://crisisresponse.iom.int/sites/g/files/tmzbdl1481/files/appeal/documents/Tonga%20Migration%20and%20Sustainable%20Development%20Policy.pdf

[70] https://asiapacific.unwomen.org/sites/default/files/2022-12/UN_WOMEN_TONGA.pdf

[71] ibid

Economy and Employment

Tonga has one of the world's smallest economies, as measured by GDP (World Bank 2023). Remittances have been the largest contributor to Tonga's Gross National Product and a major source of its foreign exchange year-over-year (Base, 2022),

Overall, aside from the contribution from remittances, Tonga's economy is highly dependent on climate-sensitive sectors such as agriculture, fisheries and tourism and a limited resource base that is sensitive to external shocks. In 2022, agriculture contributed 19.93% of GDP, industry contributed 19.44%, and services 60.63%.[72]

The Services sector employs the majority of Tonga's population at 43%. However, the agricultural sector, which includes fisheries and forestry, is then the leading productive sector in Tonga. The agricultural sector supports the majority of the population for subsistence and for cash income, employing a third of the labour force and accounting for at least 50% of the export earnings. Climatic conditions, concern for food security, availability of labour and technology, lack of technology and innovative practices, and market access are all issues affecting agricultural production. The performance of the fisheries sector has fluctuated over time according to the boom-and-bust cycles due to the migration of the tuna species, market access, fish prices, and policy.

Although incidence of absolute poverty is low in Tonga, many experience economic hardship. The national revenue base is heavily influenced by the fluctuations of the global economy, relying heavily on remittance payments and foreign donor aid. Remittances are vulnerable to the economic fluctuations in countries where the Tongan diaspora mostly live (e.g., the US, Australia, and New Zealand), when downturns occur in these countries, remittances reduce and have a negative impact on Tongans both at the family level and for the broader economy.

Donor funds also contribute significantly to the government budget and are primarily used for funding developmental projects and programmes that the government does not have sufficient resources to implement. However, Tonga is also rated 'high' in terms of the overall risk of debt distress (World Bank-IMF, 2021), with a high level of public debt, around half of which is owed to China, with a sharp spike in debt repayments due from FY2024 onwards.

Tonga's economic instability has been further compounded by its exposure to natural disasters. Overall, Tonga is considered highly vulnerable to disasters and climate change impacts, the Global Climate Risk Index 2020 cited Tonga as one of the countries experiencing the highest levels of climate-related loss as a percentage of GDP over the period 1999 - 2018.

Governance

Tonga is a constitutional monarchy with two levels of government, local and national. The legislative assembly is a unicameral Parliament appointed every four years in a first-past-the-post system. Prior to constitutional reform in 2010, only nine seats were popularly elected – for a maximum period of three years – whilst a further nine seats were reserved for members of the aristocracy who were appointed by the monarch with an indefinite tenure. Following election reform, there are now 17 People's Representatives who are voted for by the general population and nine noble members who are elected to represent the 33 hereditary nobles of Tonga. In addition to this, the Prime Minister may appoint up to four Cabinet members who have not been elected to the legislative assembly. Women cannot be appointed to any of the nine reserved noble seats, as the required aristocratic titles can only be inherited by men.

There is no constitutional provision for local government and the main legislative texts that cover local government are the Fonos Act 1988 and the District and Town Officers Act 1988. Local governance in Tonga consists of district and town officers who are elected every three years. The 23 district officers and 156 town officers are elected by popular vote every three years and report directly to the Prime Minister's Office, or the governor in the case of Ha'apai and Vava'u divisions.[73]

Infrastructure and Water Resources

Most buildings and major infrastructure developments in urban and rural areas throughout Tonga occur on vulnerable, low lying coastal areas that are at risks to climate change. Tonga's road and other drainage systems remain underdeveloped and ill-suited to cope with intense and frequent rainfall, or storm surge. The lack of appropriate drainage on some roads in Vava'u, for example, also causes large amounts of sedimentation to flow into coastal waters during heavy rain.

[72] https://www.adb.org/publications/key-indicators-asia-and-pacific-2023
[73] https://www.clgf.org.uk/default/assets/File/Country_profiles/Tonga.pdf

Social and Environmental Screening

As this project is supported by UNDP in its role as a GCF Accredited Entity, the project has been screened against UNDP's Social and Environmental Standards Procedure. The Social and Environmental Screening Procedure was undertaken, and the project deemed to be a Substantial (GCF Category B) risk project. Discussions on the impact assessment are provided in the Social and Environmental Screening Procedure, which provided the rationale for the project being classified as a substantial risk. This ESMF provides further discussion below.

Screening Procedure

An impact risk assessment was undertaken using the UNDP Social and Environmental Screening Procedure to assess the probability (expected, highly likely, moderately likely, not likely) and the impact of the risk (critical, severe, moderate, minor, negligible). From this, a significance value was attributed to the potential impact (negligible, low, medium, high and extreme).

Table 2 Rating of probability and impact of risk

Score	Rating
5	Expected
4	Highly Likely
3	Moderately likely
2	Not Likely
1	Slight

Table 3 Rating of Impact of Risk

Score	**Rating**	**Definition**
5	Critical	Significant adverse impacts on human populations and/or environment. Adverse impacts high in magnitude and/or spatial extent (e.g. large geographic area, large number of people, transboundary impacts, cumulative impacts) and duration (e.g. long-term, permanent and/or irreversible); areas impacted include areas of high value and sensitivity (e.g. valuable ecosystems, critical habitats); adverse impacts to rights, lands, resources and territories of indigenous peoples; involve significant displacement or resettlement; generates significant quantities of greenhouse gas emissions; impacts may give rise to significant social conflict
4	Severe	Adverse impacts on people and/or environment of medium to large magnitude, spatial extent and duration more limited than critical (e.g. predictable, mostly temporary, reversible). The potential risk impacts of projects that may affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples are to be considered at a minimum potentially severe.
3	Moderate	Impacts of low magnitude, limited in scale (site-specific) and duration (temporary), can be avoided, managed and/or mitigated with relatively uncomplicated accepted measures
2	Minor	Very limited impacts in terms of magnitude (e.g. small affected area, very low number of people affected) and duration (short), may be easily avoided, managed, mitigated
1	Negligible	Negligible or no adverse impacts on communities, individuals, and/or environment

When undertaking the risk assessment, all activities were assessed, including, hard/soft infrastructure and livelihood interventions.

Table 4 UNDP Risk Matrix applied to the project

Impact						
	5	M	S	S	H	H
	4	L	M	S	S	H
	3	L	M	M	M	S
	2	L	L	L	M	M
	1	L	L	L	L	L
		1	2	3	4	5
		Likelihood				
Low, Moderate, Substantial, High						

Potential Risks and Impacts Identified

Table shows the UNDP Principles and Standards that were identified as being triggered by the project and the level of risk associated with each.

Table 5 describes the potential environmental and social risks identified by Output.

Table 5 UNDP Principles and Standards triggered by the project and the assessed risk

Principles	
Human Rights	
Gender Equality and Women's Empowerment	
Environmental Sustainability	
Accountability	
Standards	
Biodiversity Conservation and Sustainable Natural Resource Management	
Climate Change Mitigation & Adaptation	
Community Health, Safety	
Cultural Heritage	
Displacement and Resettlement	
Indigenous Peoples	
Labour and Working Conditions	
Pollution Prevention and Resource Efficiency	

Low	
Moderate	
Substantial	
High	

Table 6 Summary of potential social and environmental risks per Output according to the SESP

Output	Risk	UNDP safeguard principles and standards	Overall risk rating of the activity
1.1. Establish a national multi-stakeholder engagement platform for dialogue on co-creating long-term climate change adaptation strategies and solutions including voluntary retreat.	Risk 12 Outcome 1 may exacerbate existing discriminations against women and youth and potentially other minorities such as LGBTI, as they do not participate effectively in decision-making arena at the national nor local level, leading to maladapted governance decisions, especially regarding land-use planning. The project also involves regular interactions with project actors (e.g., information/training sessions, construction workers), which could create opportunities for SEAH. Risk 13 The duty bearers of this project, in particular the contractors, may have low capacities through consultations with the general communities with specific understanding on the different risks that may be imposed with regards to gender, women, indigenous, people living with disabilities, elderly, youth, and the community at large.	Principle 1: P1; P2; P3; P4; P5; P6 Principle 2: P8; P9; P10; P11 Principle 4: P13; P14 Standard 1: 1.3 Standard 2 : 2.3 Standard 4: 4.1; 4.2; 4.3; 4.4 Standard 6: 6.1; 6.2; 6.3; 6.6; 6.9 Principle 1: P1; P2; P3; P4; P5; P6 Principle 4: P13; P14	Moderate
1.2 Develop village and district level participatory climate risk informed plans.	Risk 5 The national land use policy could lead to the economic displacement of livelihood activities, including women's. Risk 11 Better coastal governance and management, because of both activity 1.2	Principle 1: P1; P2; P3; P4; P5; P6 Principle 4: P13; P14 Standard 1 : 1.3 Standard 4: 4.1; 4.2; 4.3; 4.4 Standard 6: 6.1; 6.2; 6.3; 6.6; 6.9 Principle 1: P1; P2; P3; P4; P5; P6	Moderate

	(land use policy) and 1.3 (construction of infrastructure) could lead to an increase in the demand for agricultural lands, in an area where communities depend on these lands for their livelihoods and where many are dependent on leases. This could particularly affect rural women, whose access is generally more difficult.	Principle 2: P8; P9; P10; P11 Principle 4: P13; P14 Standard 1: 1.3 Standard 2 : 2.3 Standard 4: 4.1; 4.2; 4.3; 4.4 Standard 6: 6.1; 6.2; 6.3; 6.6; 6.9	
1.3 Build the capacity of local government, village committees and NGOs to integrate climate risks and adaptation needs into community level planning, and inform future Community Development Plans (CDP)	<u>Risk 5</u> The project will offer climate smart solutions to protect the island coast and adapt its landscape This may change Tongans' relationship to their landscape, hence affecting their cultural heritage and traditional knowledge on coastal land management. <u>Risk 12</u> The project involves regular interactions with project actors (e.g., information/training sessions, construction workers), which could create opportunities for SEAH. <u>Risk 13</u> The duty bearers of this project, in particular the contractors, may have low capacities through consultations with the general communities with specific understanding on the different risks that may be imposed with regards to gender, women, indigenous, people living with disabilities, elderly, youth and the community at large.	Principle 1: P1; P2; P3; P4; P5; P6 Principle 4: P13; P14 Standard 1: 1.3 Standard 4: 4.1; 4.2; 4.3; 4.4 Standard 6: 6.1; 6.2; 6.3; 6.6; 6.9 Principle 1: P1; P2; P3; P4; P5; P6 Principle 2: P8; P9; P10; P11 Principle 1: P1; P2; P3; P4; P5; P6 Principle 4: P13; P14	Moderate

2.1 Strengthened mechanism for collecting and analysing data and information for better-informed climate risk monitoring and coastal adaptation planning			Low
2.2 Improve the knowledge base of multi-sectoral, multi-stakeholders on adaptation planning strategies for long-term resilient planning and transformative adaptation for Tonga based on climate risks and projections			Low
3.1. Building coastal protection measures along 4 km of coastline in Hahake	Risk 1 Sediment movement during the installation of coastal protection infrastructure in Hahake could enter important marine habitats, including in the catchment of the Fanga'uta lagoon. Risk 2 The construction of coastal protection infrastructure may lead to loss of habitat, changes in hydrodynamic processes, potential increases in erosion, included in areas adjacent to two coastal and marine reserves. Risk 3 The construction of coastal protection infrastructure (activity 3.1) could lead to sediment movement and may also expose acid sulphate soils within the mangrove areas. Risk 4 Entrainment, impingement and or entrapment of marine organisms could happen as the result of the construction of	Standard 1: 1.1; 1.2; 1.3; 1.4 Standard 1: 1.1; 1.2; 1.3; 1.4; 1.11 Standard 1: 1.1; 1.2; 1.3; 1.4; 1.7; 1.11 Standard 1: 1.1; 1.2; 1.3; 1.4; 1.11	Substantial

	coastal protection infrastructures (activity 3.1) Risk 6 The national land use strategy could lead to the physical and economic displacement because of changes to traditional practices. This may change Tongans' relationship to their landscape, hence affecting their cultural heritage and traditional knowledge on coastal land management. Risk 7 The construction of coastal protection infrastructure (Activity 3.1) could access shorelines, including for fishing and other livelihood activities. This could impact people's livelihoods, including women's and indigenous peoples', and create conflicts over limited access. Risk 8 Terrestrial and marine noise could happen because of the use of construction equipment and rock dumping. Risk 9 Damages to the environment and risks related to the safety of workers could be associated with the quarries from where the stones will be sourced. This secondary risk on the project's area of influence includes deforestation due to the exploitation of the quarries, creation of waste and pollution from the quarry, and	Principle 1: P1; P2; P3; P4; P5; P6 Principle 4: P13; P14 Standard 1: 1.3 Principle 1: P1; P2; P3; P4; P5; P6 Principle 4: P13; P14 Standard 1: 1.3 Principle 2: P8; P9; P10; P11 Standard 4: 4.1; 4.2; 4.3; 4.4 Standard 6: 6.1; 6.2; 6.3; 6.6; 6.9 Standard 3: 3.1 ; 3.2 Standard 1: 1.1 Standard 3: 3.1; 3.2; 3.3 ; 3.8 Standard 8: 8.2 Standard 2: 2.1; 2.2; 2.3	

	negative impact on the workers' health and safety. Risk 10 The coastal constructions, though aiming at protecting the coast from the effects of climate change, are themselves inherently vulnerable to Climate Change and could be destroyed by natural disasters. Risk 14 The project activities could lead to work-related accidents involving local workers during the construction of coastal infrastructure; if the infrastructures are damaged, they could also affect the safety of local communities. Risk 15 The rather small-scale influx of workers (30-40 persons max) into the area generated by the project to work on the coastal protection infrastructure has raised concerns regarding gender-based violence and young women's safety. Risk 16 The construction of coastal protection measures could lead to temporary relocation measures of neighbouring communities. Risk 17 The main infrastructures (revetments, activity 3.1) will be completed with some mixed approaches, including planting. This activity could lead to the introduction of	Standard 3: 3.1; 3.2; 3.3 ; 3.8 Standard 7: 7.6 Principle 2: P12 Standard 7: 7.5 Standard 5: 5.1 Principle 1: 1.6; 1.8 Standard 6: 6.2	

	alien and/or invasive species if non-local species are used.		
3.2 Sharing of lessons learned and best practices in climate resilient coastal protection measures for scale-up at the national and regional level			Low

Potential Environmental and Social Impacts and Mitigations

The table below summarises some of the potential environmental and social impacts that are likely to occur based on the outcomes of the screening undertaken to date. The table also includes proposed mitigation measures that could be applied to ensure that the impacts are avoided or minimized to a level that is acceptable.

Activity	Unmitigated Impacts	Avoidance and Mitigation Measures	Project Phase
Outcome 1: Strengthened knowledge, capacity and engagement for incorporating climate risks into long-term adaptation planning supported through multi-sectoral, multi-stakeholder engagement and dialogue platform.			
Output 1.1: Establish a national multi-stakeholder engagement platform for dialogue on co-creating long-term climate change adaptation strategies and solutions including voluntary retreat.			
	Outcome 1 may exacerbate existing discriminations against women and youth and potentially other minorities such as LGBTI, as they do not participate effectively in decision-making arena at the national nor local level, leading to maladapted governance decisions, especially regarding land-use planning. The project also involves regular interactions with project actors (e.g., information/training sessions, construction workers), which could create opportunities for SEAH.	Broad and inclusive engagement (implement SEP) Implement GAP Operationalise GRM Ensure that vulnerable people are represented Transparency of operations – disclosure requirements Implement SEAH Action Plan	All phases
	The duty bearers of this project, in particular the contractors, may have low capacities through consultations with the general communities with specific understanding on the different risks that may be imposed with regards to gender, women, people living with disabilities, elderly, youth, and the community at large.	Capacity assessments Trainings Implement SEP and GRM Implement GAP	Planning And Implementation
	Potential complaints or grievances	Reduce risk through engagement – implement SEP Implement GRM	All phases
Output 1.2: Develop village and district level participatory climate risk informed plans.			
	The national land use policy could lead to the economic displacement of livelihood activities, including women's.	Broad inclusive engagement to ensure all views and potential impacts are captured (SEP) LAP GAP	
	Better coastal governance and management, because of both activity 1.2 (land use policy) and 1.3 (construction of infrastructure) could lead to an increase in the demand for agricultural lands, in an area where communities depend on these lands for their livelihoods	SESA to consider potential unintended downstream impacts Implement SEP and GRM GAP	Planning and Implementation

Activity	Unmitigated Impacts	Avoidance and Mitigation Measures	Project Phase
	and where many are dependent on leases. This could particularly affect rural women, whose access is generally more difficult.		
	Potential complaints or grievances	Reduce risk through engagement – implement SEP Implement GRM	All phases
Output 1.3: Build the capacity of local government, village committees and NGOs to integrate climate risks and adaptation needs into community level planning, and inform future Community Development Plans (CDP)			
	Training does not reach appropriate representative group.	Equitable representation Implement SEP and GRM Implement GAP	Implementation
	The project will offer climate smart solutions to protect the island coast and adapt its landscape. This may change Tongans' relationship to their landscape, hence affecting their cultural heritage and traditional knowledge on coastal land management.	Implement SEP Incorporation of traditional knowledge where appropriate	Implementation
	Involves regular interactions with project actors (e.g., information/training sessions, construction workers), which could create opportunities for SEAH.	Implement GAP GRM Implement SEAH Action Plan	Implementation
	Poor understanding of risks associated with gender, disabilities and other vulnerable groups that require consideration	Capacity assessments Training Implement SEP Implement GAP Implement SEAH Action Plan	Implementation
	Representation of women and other vulnerable groups poor	Implement Gender Assessment Action Plan Redcure risk through broad inclusive engagement – implement SEP	All phases
	Potential complaints or grievances	Reduce risk through inclusive engagement – implement SEP Implement GRM	All phases
Outcome 2: Strengthened national and local capacities for effective monitoring and assessment of climate risks			

Activity	Unmitigated Impacts	Avoidance and Mitigation Measures	Project Phase
Activity 2.1: Strengthened mechanism for collecting and analysing data and information for better-informed climate risk monitoring and coastal adaptation planning			
	Poor capacity of office bearers or others involved in project	Capacity assessment Training	Planning and implementation
	Information not well understood or disseminated	SEP	All phases
	Insufficient technical resources eg equipment, including IT for long-term storage of data	Identify potential resource gaps	Implementation
Activity 2.2: Improve the knowledge base of multi-sectoral, multi-stakeholders on adaptation planning strategies for long-term resilient planning and transformative adaptation for Tonga based on climate risks and projections			
	Women and vulnerable groups not appropriately represented	Equitable representation - ensure the representation of women and vulnerable groups in project activities, including empowering them as key resources for project implementation. Implement GAP Implement SEP Operationalise GRM	All phases
	The national land use strategy could lead to the physical and economic displacement because of changes to traditional practices.	SESA to consider potential unintended downstream impacts LAP	Implementation
	Potential complaints or grievances	Reduce risk through engagement – implement SEP Implement GRM	All phases
Outcome 3: Reduced vulnerabilities of coastal communities in Hahake to climate hazards through coastal protection measures			
Activity 3.1. Building coastal protection measures along 4 km of coastline in Hahake			
	Erosion and sedimentation – excavation and removal of vegetation will leave ground exposed to erosion and potential movement of sediment, particularly into marine habitats.	Sediment and erosion controls to be employed (apply ESMP) Avoid earthworks when heavy rainfall is expected. Test for Potential Acid Sulfate Soils (PASS) where likely eg mangrove areas	Construction

Activity	Unmitigated Impacts	Avoidance and Mitigation Measures	Project Phase
	The rather small-scale influx of workers (30-40 persons max) into the area generated by the project to work on the coastal protection infrastructure has raised concerns regarding gender-based violence and young women's safety.	Labour management – source local resources where possible to minimise influx Implement GAP Implement GRM Implement SEAH Action Plan	Construction
	The project activities could lead to work-related accidents involving local workers during the construction of coastal infrastructure; if the infrastructures are damaged, they could also affect the safety of local communities.	Occupational health and safety plans Ensure appropriate training Use of PPE	Construction
	Changes in hydrodynamic processes	Design to consider local hydrodynamic processes and seek to minimise any adverse impacts upon them.	Design
	Community OHS risk - Increased vehicular movement around and within the sites	High risk work sites to be fenced during their construction to minimise public access. Training to be given to drivers to ensure understanding of site requirements. Non-conforming drivers to be automatically replaced. Implement SEP and ESMP/OHS plan	Construction
	Disruption to traffic due to construction works eg due to machinery or movement of materials	SEP – to alert communities to increase risk and potential disruptions/changes to road conditions Traffic management	Construction
	Damages to the environment and risks related to the safety of workers could be associated with the quarries from where the stones will be sourced. This secondary risk on the project's area of influence includes deforestation due to the exploitation of the quarries, creation of waste and pollution from the quarry, and negative impact on the workers' health and safety.	Existing quarries to be used if possible ESIA to assess Permits to be obtained where required ESMP	Planning and construction
	Fire and emergency (safety)	Flammable and combustible liquids bunding/storage areas to be designed in accordance with appropriate international standards Fire extinguishers are to be available on site	Construction

Activity	Unmitigated Impacts	Avoidance and Mitigation Measures	Project Phase
		No open fires are permitted within the project area Communication equipment and emergency protocols to be established prior to commencement of construction activities. Train all staff in emergency preparedness and response (cover health and safety at the work site). Check and replenish First Aid Kits Use of Personal Protection Equipment	
	The construction of coastal protection measures could lead to temporary disruption or changes to the way in which communities can use shoreline.	SEP and GRM LAP	Construction
	Construction waste – solid waste will increase during construction eg bulk transport and packing waste, waste from construction camps, offcuts and scrap materials,	ESMP to include waste management. Apply waste management hierarchy	Construction and O&M
	Lack of O&M can result in failure of infrastructure	Community management committees to be formed. Build capacity of management committees. O&M funds to be set up. Designs to consider O&M and seek to minimise cost/requirement.	O&M
	Impacts to ecology by labourers and construction workers	Labourers and construction workers will be prohibited at all times from collecting native species during the construction contract. SEP and GRM	Construction
	Potential complaints or grievances	Reduce risk through engagement – implement SEP Implement GRM	All phases
	Construction impacts – air pollution, noise, waste, and community safety.	No burning of waste on site. Construction to be limited to hours of 7am-6pm Machinery to be fitted with required air and noise protection equipment and to be in good working order. Equipment to be sited to minimise impacts on sensitive receptors	Construction

Activity	Unmitigated Impacts	Avoidance and Mitigation Measures	Project Phase
		Earthworks to be confined to times of year when soil moisture is high to minimise dust, wet dirt roads down if necessary. Work force to be issued with appropriate PPE and training. High risk work sites to be fenced to minimise public access. Designated areas for storage of fuels, oils, chemicals or other hazardous liquids should have compacted impermeable bases and be surrounded by a bund to contain any spillage. Refuelling to be undertaken in areas away from water systems.	
	Increase in dust levels at sensitive receptors	Implement effective dust management measures in all areas during design, construction and operation. Manage dust/particulate matter generating activities to ensure that emissions do not cause an environmental nuisance at any sensitive locations Construction activities should minimise risks associated with climatic events (check forecasts) Implement scheduling/staging of proposed works to ensure major vegetation disturbance and earthworks are minimised. Locate material stockpile areas as far as practicable from sensitive receptors. Cover if appropriate. Rubbish receptacles should be covered and located as far as practicable from sensitive locations	
	Increase in vehicle / machinery emissions	Ensure vehicles/machines are switched off when not in use. Ensure only vehicles required to undertake works are operated onsite. Ensure all construction vehicles, plant and machinery are maintained and operated in accordance with design standards and specifications. Develop and implement an induction program for all site personnel, which includes as a minimum an outline of the	Construction

Activity	Unmitigated Impacts	Avoidance and Mitigation Measures	Project Phase
		minimum requirements for environmental management relating to the site.	
	Increased noise levels during construction	Specific noise reduction devices such as silencers and mufflers shall be installed as appropriate to site plant and equipment. Minimise the need for and limit the emissions as far as practicable if noise generating construction works are to be carried out outside of the hours: 7am-6pm Consultation with nearby residents in advance of construction activities particularly if noise generating construction activities are to be carried out outside of 'daytime' hours: 7am-6pm. Implement SEP. Provide a mechanism for receiving and resolving complaints (GRM)	Construction
	Habitat loss and disturbance of faun as a result of construction of coastal protection infrastructure	Limit vegetation clearing and minimise habitat disturbance through adequate protection and management of retained vegetation. Ensure that all site personnel are made aware of sensitive fauna/habitat areas and the requirements for the protection of these areas. Relocate where possible benthic macro-fauna that is sessile or slow moving eg giant clams and holothurians that could be impinged or entrapped as a result of construction of coastal protection measures. Minimise disturbance to on-site fauna and recover and rescue any injured fauna during construction and operation. Minimise noise levels and lighting intrusion throughout construction and operation in the vicinity of any sensitive locations. Revegetate disturbed areas using native species that have high habitat value.	Construction

Activity	Unmitigated Impacts	Avoidance and Mitigation Measures	Project Phase
	Potential for cultural heritage items within design/construction footprint	ESIA to assess cultural heritage risk ie identify any assets. Design to seek to avoid where possible, if not, then a cultural heritage management plan to be developed and agreed with relevant government agencies and communities.	Pre-construction
	Damage or disturbance to significant important Archaeological, Indigenous and/or Cultural Heritage during the earth disturbances and land clearing activities	Develop a Chance Finds Procedure as part of ESMP	Construction
Activity 3.2 Sharing of lessons learned and best practices in climate resilient coastal protection measures for scale-up at the national and regional level			
	Poor dissemination of information	SEP	Implementation

Legal and Institutional Framework

International Legal Framework

- Tonga is signatory to the following international conventions of relevance to the project:
- The South Pacific Nuclear Free Zone Treaty (1965)
- International Convention on the Elimination of All Forms of Racial Discrimination (1972)
- Convention concerning the Protection of the World Cultural and Natural Heritage (1972)
- Vienna Convention for the Protection of the Ozone Layer (1985)
- Convention for the Protection of the Natural Resources and Environment of the South Pacific Region (1986)
- Convention on Biological Diversity (1992)
- Agreement establishing the South Pacific Regional Environment Programme (1993)
- Convention on the Rights of the Child (1995)
- Kyoto Protocol to the United Nations Framework Convention on Climate Change (1997)
- Memorandum of Understanding for the Conservation of Cetaceans and their Habitats in the Pacific Islands Region (2006)
- Protocol on Hazardous and Noxious Substances Pollution, Preparedness, Response and Cooperation in the Pacific Region (2006)
- Convention on the Rights of Persons with Disabilities (2007)
- Paris Agreement (2015)
- National Legal Framework
- National legislation and policies

The following national legislation and policies are relevant to the project:

- Birds and Fish Preservation Act 1974
- Declaration of Parks and Reserves Act 1979
- Environmental Impact Assessment Act 2003
- Environmental Management Act 2010
- Fisheries Management Act 2002
- Fisheries Management Act 2002 (Special Management Area Order)
- Fisheries Conservation and Management Regulations 1994
- Fisheries (Coastal Communities) Regulations 2009
- Hazardous Wastes and Chemicals Act 2010
- Marine Pollution Prevention Act 2002
- Noxious Weeds Act (1917)
- Parks and Reserves Act 1976
- Preservation of Objects of Archaeological Interest Act 1969
- Waste Management Act 2005
- Criminal Offences Act (1926)
- Gender and Development (GAD) Policy
- Environmental Management Act 2010

The enactment of the *Environmental Management Act 2010* created a new overarching regulatory framework for the Kingdom of Tonga. The objectives of the Act are to:

- co-ordinate the role of Government in relation to all environmental management, including climate change issues, and decision-making processes
- promote meaningful public involvement in relation to issues of environment management, including climate change
- ensure the observance within the Kingdom of its international obligations relating to the protection of the environment
- promote the concept of sustainable development in relation to the environment and natural resources of the Kingdom
- facilitate an assessment of the impacts on the environment of any activity likely to affect it, prior to a proposed activity taking place
- promote the understanding, management, conservation and protection of the biological diversity of the Kingdom
- facilitate implementation of measures to increase the resilience of the Kingdom and its environment to climate change.

Environmental Impact Assessment Act 2003

This *Environmental Impact Assessment Act 2003* requires that all major projects must be supported by an appropriate environmental impact assessment, conducted as required under the Act. In making an assessment with respect to a major project, the Minister (responsible for environment) must have due regard for, *inter alia*, whether any project is likely to:

- result in or increase pollution;
- result in the occurrence, or increase the chances of occurrence, of natural hazards such as soil erosion, flooding, tidal inundation, or hazardous substances;
- result in the introduction of species of types not previously present that might adversely affect the environment and biodiversity;
- have features, the environmental effects of which are not certain, and the potential impact of which is such as to warrant further investigation; or
- result in the allocation or depletion of any natural and physical resources in a way or at a rate that will prevent the renewal by natural processes of the resources or will not enable an orderly transition to other materials.

A major project cannot proceed unless the environmental impact assessment has been approved by the Minister. Under the Tongan regulatory framework, this being the *Environmental Impact Assessment Act 2003* and the *Environmental Impact Assessment Regulations 2010*, all development activities must be referred to the MEIDECC. With this notification, the proponent must complete a Determination of Category of Assessment Form, providing an overview of the proposed development and some specifics in relation to the existing environment and potential environmental impacts and mitigation measures. The Secretariat and the Minister determine whether the proposed development is a minor or major project and advises the proponent within 30 days. If it is a major project, the proponent then submits a full Environmental Impact Assessment for review by the Secretariat. The Secretariat makes recommendations to the Environmental Assessment Committee. The Minister receives an assessment report and issues the approval (with or without conditions), a request for further information, or a rejection.

Under the *Environmental Impact Assessment Act 2003*, a Schedule lists the projects considered as major projects. Project components that may trigger the need for an environmental impact assessment include (l) sand or gravel extraction from any beach within 50 metres of the high tide mark; (q) the removal of trees (including mangroves) or natural vegetation of any area more than half a hectare; and (r) construction of roads, wharfs, barrages, embankments or levees which affect the flow of tidal waters.

This ESMF provides the information required for the MEIDECC to undertake its assessment process as required under the regulations as any Major Project.

Biodiversity Conservation

The *Parks and Reserves Act 1976* of the Kingdom of Tonga established a Parks and Reserves Authority with members appointed by the Privy Council. Under the Act the Authority, with consent of Privy Council has the power to declare or cancel any area of land or sea as a park or reserve and draws up regulations to protect, preserve and maintain the natural, historical, scientific, or other valuable features of any park or reserve.

The *Birds and Fish Preservation Act 1974* sets the limit and prohibits the catching or injuring of certain species of fish, birds and turtles. The Act also establishes the legal authority for the enforcement of the Act. Penalties for violation include as fine and imprisonment and confiscation of equipment used for capture. Declared protected areas under this Act are the two major lagoons of Tongatapu, Fanga'uta and Fanga Kakau.

Protection of Cultural Heritage

The protection of physical cultural / archaeological items is enforced by the *Preservation of Objects of Archaeological Interest Act 1969* (revised in 1988. The Act establishes a permitting procedure for the search and removal of archaeological items and stipulates a procedure for reporting discoveries, with or without permit. The discovery should be reported without undue delay, indicating the precise site and the circumstances of the discovery, to the Committee.

Waste and Hazardous Waste Management

The *Waste Management Act 200*5 provides for the collection, disposal and management of all wastes in the Kingdom of Tonga. The act designates the Ministry of Health as the Authority for wastes for all areas of Tonga except Tongatapu which is under jurisdiction of another authority. The Act defines the waste management areas, the roles and responsibilities of the authority and Minister and sets the fees for waste management services.

The *Hazardous Wastes and Chemicals Act 2010* provides for the regulation and proper management of hazardous wastes and chemicals in Tonga in accordance with accepted international practices and the International Conventions applying to the use, transboundary movement, and disposal of hazardous substances and for related purposes.

Fisheries and Marine Protected Areas

The *Fisheries Management Act 2002* deals with fisheries management, conservation, sustainable utilisation, and development. Under section 13, the Minister (responsible for Fisheries) can designate specific areas of fisheries waters to be special management areas for the purposes of coastal community management, application of certain conservation and management measures, subsistence fishing operations or other specified purpose.

The *Fisheries Management Act 2002 (Special Management Area Order)* demarcates fisheries waters that are protected as Special Management Areas. It also outlines the rights and responsibilities that coastal communities have over these protected areas.

The *Fisheries (Coastal Communities) Regulations 2009* set out the processes and rules by which coastal communities will exercise control over special management areas.

Environmental Standards

Currently, Tonga has no legislated environmental standards, e.g. ambient air quality standards, pollution/emission standards, noise standards, water quality standards. As such, applicable international standards should be used.

Criminal Offences Act

Tonga criminalises same-sex sexual activity between men and between women under the Criminal Offences Act. This provision carries a maximum penalty of ten years' imprisonment. Both men and women are criminalised under this law. Although never formally colonised, the law was inherited from the British while a protectorate state. Tonga retained the provision upon independence and continues to criminalise same-sex sexual activity today. There is no evidence of the law being enforced in recent years, however LGBT people are subjected to discrimination and violence.

Gender and Development (GAD) Policy

Tonga has no domestic violence, sexual harassment, human trafficking, sex tourism or family legislation in place and has neither signed nor ratified the Convention on the Elimination of all forms of Discrimination Against Women (CEDAW). Tonga has no minimum age of sexual consent, so statutory rape is not a crime. The legal definition of rape is limited to acts amounting to sexual intercourse, and the common law rules requiring proof of physical resistance in order to establish lack of consent is still applied. The defence of the reasonable belief that a victim was of legal age of consent is also still allowed.

Customary law has constitutional status in Tonga and the application of customary practices influence formal criminal procedures. Fault based divorce is practiced in Tonga, and division of matrimonial property in cases of divorce does not take non-financial contributions into consideration. Traditionally, police and community members are known to encourage reconciliation in cases of domestic abuse. In recent years, Tonga has pursued national planning measures in support of its women.

A national Gender and Development (GAD) Policy was adopted in 2001 and reviewed in 2011. The policy notes that cultural attitudes that assign women a lower status than men persist, with some limited exceptions such as *mehekitanga* (eldest sisters). To address this issue, the GAD policy advocates awareness-raising and attention to the school curriculum as a way of overcoming stereotypes[1]. In 2010, the Government introduced a new policy allowing women maternity protection in the civil service and initiated nationwide consultation on the potential ratification of CEDAW. In 2011, the government directed the drafting of legislation covering violence against women.

UNDP environmental and social safeguard policy

The project covered by this ESMF will comply with UNDP's updated Social and Environmental Standards (SES), which came into effect on 1 January 2021. UNDP Safeguards are measures to protect or to avoid risks (do no harm), while promoting benefits (do good). The current ESMF, which forms part of the UNDP safeguards requirements, provides guidance to assess and manage the risks linked to potential harm induced by project activities, while providing guidance to ensure that these activities will actually promote benefits to the beneficiaries with respect to its objectives.

These standards underpin UNDP's commitment to mainstream social and environmental sustainability in its programmes and projects to support sustainable development and are an integral component of UNDP's quality assurance and risk-management approach to programming. Through the SES, UNDP meets the requirements of the GEF's Environmental and Social Safeguards Policy.

The objectives of the SES are to:

- Strengthen the social and environmental outcomes of programmes and projects
- Avoid adverse impacts to people and the environment
- Minimize, mitigate, and manage adverse impacts where avoidance is not possible
- Strengthen UNDP and partner capacities for managing social and environmental risks
- Ensure full and effective stakeholder engagement, including through a mechanism to respond to complaints from project-affected people.
- Through the screening (SESP), the project was determined to trigger all the SES Principles and Standards.

Overall Principle: Leave No One Behind

Leaving no one behind and reaching the furthest behind first is the central promise of the 2030 Agenda. As an overarching programming principle, leaving no one behind requires UNDP to prioritize its programmatic interventions to address the situation of those most marginalized, discriminated and excluded, and to empower them as active agents of the development process. All persons living in extreme poverty, in any form, are left behind, together with those enduring disadvantage(s) that deny or limit their choices and opportunities relative to others in society. In identifying who is being left behind, UNDP considers five key factors: discrimination, geography, vulnerability to shocks, governance and socio-economic status.[74] At the intersection of these factors, people face multiple reinforcing sources of deprivation and inequalities. Programming to leave no one behind should follow the rights-based approach to development, including the application of a gender perspective. Actions and decisions that improve the lives of poor, excluded and marginalized groups and that address inequalities and discrimination include advocacy, creating enabling environments, capacity development and support for civil society, community empowerment, and enhancing the quality and accessibility of services.

Principle 1: Human Rights

UNDP recognizes the centrality of human rights to sustainable development, poverty alleviation and ensuring fair distribution of development opportunities and benefits and is committed to supporting "universal respect for, and observance of, human rights and fundamental freedoms for all." UNDP adheres to the United Nations Development Group (UNDG) Statement of Common Understanding of the Human Rights-Based Approach to Development

[74] See UNSDG, Leaving no one behind – A UNSDG operational guide for UN Country Teams (interim draft April 2019).

Cooperation and Programming (UN Common Understanding) which outlines that development programmes and policies should further the realization of human rights as laid down in the Universal Declaration of Human Rights and other human rights instruments. UNDP also recognizes the human rights-based approach as a key engagement principle in pursuing development outcomes. In furthering the realization of rights, UNDP shall both refrain from providing support for activities that may contribute to violations of a State's human rights obligations and the core international human rights treaties and seek to support the protection and fulfilment of human rights. In its Programmes and Projects, UNDP will uphold the principles of accountability and the rule of law, participation and inclusion, and equality and non-discrimination, noting that prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, 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. UNDP will also ensure the meaningful, effective and informed participation of stakeholders in the formulation, implementation, monitoring and evaluation of Programmes and Projects. UNDP seeks to support State efforts to meet their human rights obligations as requested, however, UNDP does not have a monitoring role with respect to human rights. In the context of UNDP Programmes and Projects, UNDP's due diligence obligations require UNDP to monitor compliance with its policies.

Principle 2: Gender Equality & Women's Empowerment

The promotion of gender equality and the empowerment of women are central to the mandate of UNDP and intrinsic to its human rights-based approach to development programming. This effort includes advocating for women's and girls' human rights, combating discriminatory practices, and challenging the roles and stereotypes that create inequalities and exclusion. UNDP Programmes and Projects will be gender-responsive in their design and implementation. UNDP will seek to identify and integrate the different needs, constraints, contributions and priorities of women, men, girls and boys into its programming. UNDP Programmes and Projects will promote gender equality and the empowerment of women. UNDP will seek to reduce gender inequalities in access to and control over resources and the benefits of development. Programmes and Projects will ensure that both women and men are able to participate meaningfully and equitably, have equitable access to Programme and Project resources, and receive comparable social and economic benefits. UNDP will ensure that its Programmes and Projects do not discriminate against women or girls or reinforce gender-based discrimination and/or inequalities.

Principle 3: Sustainability and Resilience

Sustainable management, protection, conservation, maintenance and rehabilitation of natural habitats and their associated biodiversity and ecosystem functions are fundamental to UNDP's efforts to develop and implement sustainable development pathways. UNDP seeks to address poverty and inequality while maintaining and enhancing natural capital. Sustainable management, protection, conservation, maintenance and rehabilitation of natural habitats and their associated biodiversity and ecosystem functions are fundamental to UNDP's efforts to develop and implement sustainable development pathways. UNDP will ensure that environmental sustainability is systematically mainstreamed into its Programmes and Projects. In designing development cooperation activities, UNDP will seek to support Programme Countries and Implementing Partners to address the environmental dimensions (both opportunities and constraints) of major development issues and to strengthen environmental management and protection. UNDP uses and promotes a precautionary approach (17) to natural resource conservation and reviews its development cooperation activities to ensure they do not cause negative environmental effects. UNDP requires the application of relevant social and environmental standards to avoid adverse environmental impacts, or where avoidance is not possible, to minimize, mitigate, and as a last resort, offset and compensate for potential residual adverse impacts. UNDP will assist Programme Countries and Implementing Partners to integrate low-emission, climate-resilient objectives into national and sectoral development plans and will ensure that supported Programmes and Projects enhance climate resiliency and avoid unwarranted increases in greenhouse gas (GHG) emissions, instead enhancing efficiency and reducing GHG intensity.

Principle 3: Accountability

UNDP does not support activities that do not comply with national law and obligations under international law, whichever is the higher standard (hereinafter "Applicable Law"). UNDP promotes accountability to programme and project stakeholders by (i) enabling active local community engagement and participation in decision-making, particularly those at risk of being left behind; (ii) ensuring transparency of programming interventions through provision of timely, accessible and functional information regarding supported activities, including on potential environmental and social risks and impacts and management measures; (iii) ensuring stakeholders can communicate their concerns and have access to rights-compatible complaints redress processes and mechanisms; and (iv) ensuring effective monitoring—and where appropriate, participatory monitoring with stakeholders—and reporting on implementation of social and environmental risk management measures. UNDP's SES are underpinned by an Accountability Mechanism with two key components: (i) the Stakeholder Response Mechanism (SRM) that ensures individuals, peoples, and

communities affected by projects have access to appropriate grievance resolution procedures for hearing and jointly addressing complaints and disputes related to the social and/or environmental impacts of UNDP-supported projects; and (ii) the Social and Environmental Compliance Unit (SECU) which investigates alleged non-compliance with UNDP's Social and Environmental Standards and screening procedure from project-affected stakeholders and recommends measures to address findings of non-compliance.[75]

Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management

Conserving biodiversity, maintaining ecosystem services, and sustainably managing natural resources are fundamental to sustainable development. UNDP seeks to maintain and enhance the goods and services provided by biodiversity and ecosystems in order to secure livelihoods, food, water and health, enhance resilience, conserve threatened species and their habitats, and increase carbon storage and sequestration.

UNDP is committed to integrating biodiversity and ecosystem management into development planning and production sector activities, strengthening protected areas systems, and managing and rehabilitating ecosystems for adaptation to and mitigation of climate change. UNDP seeks to strengthen effective governance and decision-making systems affecting biodiversity and ecosystems, including strengthening the rights of affected populations including women, indigenous peoples and local communities to sustainable use of resources.

This Standard reflects the objectives of the Convention on Biological Diversity, including the conservation of biological diversity, the sustainable use of its components and the fair and equitable sharing of the benefits arising out of the use of genetic resources. UNDP promotes an ecosystem approach to biodiversity conservation and sustainable management of natural resources.

Standard 2: Climate Change Mitigation and Disaster risks

Climate change is a fundamental threat to sustainable development and the fight against poverty. It has the potential to stall and even reverse human development through its impacts on key development sectors and activities, including agriculture and food production, water, ecosystems and other natural resources, disaster risk management and health. Climate change may exacerbate extreme weather events, increasing the risk of high-impact disasters. Communities that are already subjected to impacts from climate change may experience an acceleration and/or intensification of impacts due to Project activities that do not integrate and anticipate climate change risks.

UNDP supports countries to integrate low-emission, climate-resilient objectives into national and sectoral development plans, identify priority mitigation and adaptation measures, implement measures to reduce vulnerability and increase adaptive capacity and resilience.

UNDP will ensure that its Projects are sensitive to climate change risks and do not contribute to increased vulnerability to climate change. UNDP mobilizes resources to support Programme countries to finance their national adaptation costs.

UNDP strengthens the participation of women in decision-making processes on climate adaptation, mitigation and disaster risk reduction. UNDP supports countries to ensure that disaster risk reduction, climate mitigation and adaptation programmes specifically support women to strengthen their resilience, in part by securing rights and tenure to land, housing and other assets.

Standard 3: Community Health, Safety and Security

The Community Health and Safety Standard recognizes that project activities, equipment, and infrastructure can increase community exposure to risks and impacts. Potential negative impacts affecting health and safety may arise from a broad range of supported activities, including from infrastructure development and construction activities, changes in the nature and volume of traffic and transportation, water and sanitation issues, use and management of hazardous materials and chemicals, impacts on natural resources and ecosystems, the influx of project labour, and potential abuses by security personnel. This Standard addresses the need to avoid or minimize the risks and impacts to community health, safety and security that may arise from project-related activities, with particular attention given to disadvantaged and marginalized groups.

Standard 4: Cultural Heritage

[75] For further information, visit www.undp.org/secu-srm.

UNDP recognizes the importance of Cultural Heritage for current and future generations and seeks to ensure that Cultural Heritage is protected during development activities. UNDP seeks to ensure equal participation, access and contribution of women and men in protecting and sharing the benefits of Cultural Heritage.

Standard 5: Displacement and Resettlement

UNDP will seek to avoid physical and economic displacement in its Projects. In exceptional circumstances and where avoidance is not possible, displacement may occur only with full justification, appropriate forms of legal protection and compensation, and according to the following requirements.

Activities that involve physical and economic displacement, including through land acquisition or restrictions on land use or access to resources, pose impoverishment risks. Potential impacts may include loss of livelihoods, homelessness, food insecurity, and other adverse impacts. These impacts may lead to social unrest and political instability.

Standard 6: Indigenous Peoples

Indigenous peoples, as distinct people, are equal to all other peoples. Indigenous individuals and indigenous peoples or communities are entitled to enjoy and exercise their human rights without discrimination. Indigenous peoples possess collective human rights which are indispensable for their existence, well-being and development as peoples. The special relationship that indigenous peoples have with their lands, resources, and territories is integral to their physical, spiritual and cultural survival.
The promotion and protection of the rights of indigenous peoples, especially concerning their lands, territories, traditional livelihoods, cultures and resources, are necessary to achieve UNDP's goals of advancing human rights, respecting indigenous peoples identities and improving their well-being.

Standard 7: Labour and Working Conditions

The pursuit of inclusive and sustainable economic growth, full and productive employment and decent work for all requires the protection of workers' fundamental rights, their fair treatment, and the provision of safe and healthy working conditions. Project activities seek to enhance employment promotion benefits, development outcomes and sustainability by ensuring sound worker-management relationships and cooperation in their design and implementation. The SES requirements have been guided by a number of international conventions and instruments, including those of the International Labour Organization (ILO) and the United Nations (UN).

Standard 8: Pollution Prevention and Resource Efficiency

The Pollution Prevention and Resource Efficiency Standard recognizes that increased industrial activity, urbanization, and intensive agricultural development often generate increased levels of pollution (78) to air, water, and land, and consume finite resources in a manner that may threaten people and the environment at the local, regional, and global level. Pollution prevention and resource efficiency are core elements of a sustainable development agenda and UNDP Projects must meet good international practice in this regard.

This Standard outlines a project-level approach to pollution prevention and resource efficiency. Reduction of greenhouse gas emissions that contribute to climate change is addressed in Standard 2: Climate Change Mitigation and Adaptation.

Discussion

As can be seen from the information provided in Sections 3.2 and 3.3, Tongan legislation alone is not sufficient to meet the requirements of the UNDP SES. As the more stringent standard, the UNDP SES requirements will be the minimum that will need to be satisfied by the project.

Procedures for Screening, Assessment and Management

The project will follow UNDP's requirements and procedures for screening, assessment, and management according to its substantial-risk project categorization.

The following principles will guide the procedures:

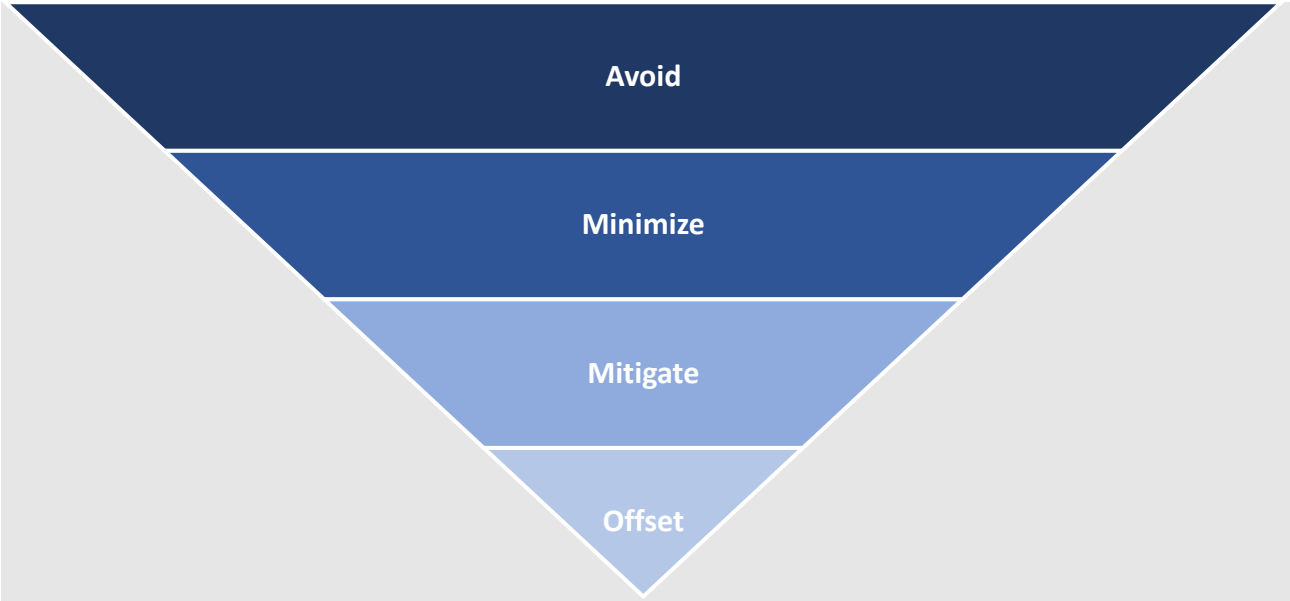
Mitigation ***Hierarchy*** - The project will first seek to *avoid* potential adverse impacts, then *minimize* them; where impacts remain, it will then apply *mitigation* measures; the *offset* of impacts that have not mitigated will be used as a last resort.

Precautionary Principle - The lack of full scientific certainty shall not be used as a reason for postponing measures to prevent serious threats.

Direct, Indirect, and Cumulative Impacts - The project will consider all relevant impacts, not just in the immediate project area but also in the project's area of influence; it will also consider cumulative impacts from the project or from other relevant past, present, and reasonably foreseeable developments in the geographic area.

"Polluter pays" - The cost of mitigation is borne by the agent causing the damage.

Figure 9: UNDP's SES mitigation hierarchy



Social and Environmental Screening Procedure (SESP)

The SESP was conducted during project design and proposal development and is summarized in Table 5 and available as annex to the ProDoc. The SESP was preceded by an initial Social and Environmental Risk Screening undertaken by the PPG team, then completed and finalized following the SES mission conducted by the PPG team's Safeguards Consultant.

It has been conceived according to the following principles:

Do Not Assume Away Risks - Impact and probability have been rated as if mitigation measures will not be applied, thinking "*worst case scenario*".

Rate Risks Appropriately - Risk significance levels have not been under-estimated – to be accurate, the most likely risk levels have been identified.

Categorize Based on Highest Risk - The overall categorization has been accurately assigned by using the highest individual risk rating.

During implementation, the project will be re-screened with the UNDP SESP as needed in the course of required assessments; as prescribed by the project's ESMP; when determined necessary by the respective Project Manager (after consideration of the advice from PMO staff with responsibility for safeguards), the Project Steering Committee, or UNDP CO; and/or when project circumstances change in a substantive or relevant way.

The activities that may potentially cause adverse social and environmental impacts (as noted in Table 5) may not proceed until they are screened and assessed and that appropriate management measures are in place, according to the rules and procedures of this ESMF.

Activities under Output 3 (mixed methods to be combined with the infrastructure) will be further defined during project implementation, on the basis of a comprehensive, field based, site specific assessment of potential interventions and on-going dialogue with local stakeholders (activity 2.3) and an ESIA which will be conducted during the first phase of project implementation (first six months).

The Project Management Unit is responsible for implementing screening procedures, assisting in scoping, evaluation and approval of the proposed interventions. The PMU will be in charge of safeguards screening (as per the SESP guidelines and using the SESP template) of each intervention and, based on that screening, determining whether further technical and feasibility studies are required before they are accepted and funded (or whether the given intervention should not be accepted due to the level/nature of the risks).

Feasibility Study

A feasibility study was conducted in December 2021 and covered many of the screened risks related to the implementation of the Tonga Coastal Resilience Project. This feasibility study has been commissioned to provide background information and guidance for the elaboration of the first Tongan submission to the Green Climate Fund. The feasibility study treats the current and expected climate change impacts and examines the technical feasibility of each of the proposed solutions while assessing the feasibility of implementing these solutions within a single project framework. Simultaneously, considerations for gender responsiveness, impact potentials, sustainability potentials, and the possibility for transformational change have been examined carefully.

It proved to be necessary to appropriately design the project and remains to be completed by the ESIA (see below). The table below shows which of the standards were covered by the Feasibility study and/or by the GAP and SEP, also designed during the project design phase, and which ones remain to be covered by the ESIA.

Standards triggered by the project	Covered by the feasibility study	Covered by the GAP	Covered by the SEP	To be covered by the ESIA in addition to the feasibility study	Covered by SESA
P1		X	X	X	X
P2		X	X	X	X
P3	X	X	X	X	X
S1	X				X
S2	X				X
S3				X	
S4				X	X
S5				X	X
S6				X	X
S7				X	
S8	X				

Environmental and Social Impact Assessment (ESIA) and Environmental and Social Management Plan (ESMP)

In accordance with UNDP's SES policy, substantial risk projects require comprehensive forms of assessment. An ESIA assesses the full range of social and environmental impacts, including alternatives analysis. It will be developed and carried out by independent experts in a participatory manner with stakeholders during the inception phase. As stated above, the feasibility study also covered part of the safeguard-related risks. The ESIA will further identify and assess, for

the remaining standards and risks, social and environmental impacts of the project and its area of influence; evaluate alternatives; and design appropriate avoidance, mitigation, management, and monitoring measures. It will address all relevant issues related to the SES Overarching Principles and Project-level Standards including those related to GBV and SEAH. A key output of the ESIA is an ESMP, as described next.

The ESIA will be carried out during the first six months of the project by a team of one international safeguard expert (it is required that this expert is able to travel to the field) supported by one to two national experts. Such work conducted in parallel will allow the PMU to integrate exclusionary criteria when designing the activities of Output 3 (see Table 5 for the relevant activity). It is expected that these field activities would not start before 6 to 12 months after project launch. This period will allow sufficient time to conduct a full and comprehensive ESIA by the team of safeguard consultants, who will then design appropriate measures in the ESMP and appropriate plans.

The ESIA will include targeted assessments — aligned with the targeted management plans listed below (to be included in the ESMP) — and specific focus on moderate and substantial-risk activity typologies, though the ESIA will be holistic by considering all areas of risk (please see Table 5).

The ESMP will provide a set of avoidance, mitigation, monitoring, and institutional measures – as well as actions needed to implement these measures – to achieve the desired social and environmental sustainability outcomes. Complementing what has already been identified in the ProDoc, the ESMP will further identify project activities that cannot take place until the relevant mitigation measures are approved and put in place. The measures will be adopted and integrated into the project activities, monitoring and reporting framework and budget, and captured in a revised SESP for each project.

The ESMP (and ESIA report) will be the output of the ESIA (described above). Both the Social and Environmental Screening Procedure (SESP) and the Environmental and Social Management Framework (ESMF) completed during the project's development phase will be used as the basis for the ESMP. An ESMP template can be found in the annexes.

Specific management plans will be developed during the ESIA/ESMP phase, including but not limited to:

- Livelihood Action Plan (LAP)
- Biodiversity Action Plan (BMP)
- GBV and SEAH Action Plan

In addition, the Stakeholder Engagement Plan will be completed by a FPIC protocol.

These plans are currently conceived as sections of the ESMP allowing for more background information and details on operational procedures, implementation steps for key measures related to the most substantial risks. The exact content of the ESMP will be determined based on the findings of the ESIA, and as required for SES compliance.

Livelihood Action Plan (LAP)

The Livelihood Action Plan aims to define how the local communities and indigenous peoples' livelihoods will be preserved (do no harm) and enhanced (do good). It will include a benefit-sharing mechanism that will adequately address the needs and specificities of all beneficiaries. It also addresses economic displacement, hence completing the Resettlement Action Plan by offering livelihood analysis and solutions to economic impacts of the project. LAP includes elements specific to economic displacement resettlement, including issues related to participation of individuals and communities in decisions potentially impacting them and their livelihoods, compensation and rehabilitation assistance, and non-discrimination and attention to collective rights.

The LAP will address Outputs 1 and 3.

Biodiversity Action Plan (BAP)

A Biodiversity Action Plan will be developed for the project area, with a particular focus on the neighbouring Protected Areas, to manage all risks associated with the activities. This includes Livelihood activities supported by the project, small infrastructure, and small-scale entrepreneurship.

The measures will aim to avoid or reduce adverse biodiversity impacts, following a mitigation hierarchy, seeking to achieve no net loss of biodiversity, where possible. Alternative project designs and locations are to be considered to avoid potential impacts. Mitigation and management measures need to meet (and ideally exceed) not only Applicable Law (i.e. national law and obligations under international law) but also the requirements specified in Standard 1.

The BAP will also allow to address current gaps in information for undertaking biodiversity-related actions related to the scope and impact of artisanal mining activities and to the nature and location of the livelihood activities, green entrepreneurship, and infrastructure to be supported by the project.

The BAP will address Output 3.

FPIC protocol (as part of the Stakeholder Engagement Plan)

As Standard 6 applies to almost all the population of Tonga, it is considered that a separate Indigenous Peoples Plan is not required, rather the requirements of the standard can be integrated into the ESMP and Stakeholder Engagement Plan (SEP).

The SEP, which includes a Grievance Redress Mechanism, provides the mechanism for achieving Free Prior Informed Consent (FPIC), that is, the population of Tonga, and particularly those directly affected, will continue to be consulted and involved in providing consent for the ongoing delivery of the project.

The ESMP and the SEP, along with other project processes and documentation can enable the project to meet the objectives of Standard 6, as detailed in UNDP's guidance note on Standard 6[76],that is:

Recognize and fostering full respect for indigenous peoples' human rights

Support Tonga in its promotion and protection of indigenous peoples' 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.

FPIC:

- Free: refers to a consent given voluntarily and absent of coercion, intimidation or manipulation.
- Prior: refers to a period of time in advance of an activity or process when consent should be sought, as well as the period between when consent is sought and when consent is given.
- Informed: refers mainly to the nature of the engagement and type of information that should be provided prior to seeking consent and also as part of the ongoing consent process.
- Consent: refers to the collective decision made by the rights-holders and reached through the customary decision-making processes of the affected peoples or communities.
- The FPIC processes in the SEP include the following steps:
- Scoping
- Planning, research and assessment
- Consultation
- Negotiation
- Agreement
- Implementation.

The FPIC process annex in the SEP also summarises the elements that should be contained within an agreement.

In general, FPIC should not be sought for approval "of the project" but of specific activities, especially the ones impacting communities' livelihoods. It is not appropriate for communities to consent to "the project" or "general aims" as the project is too big and contains too many elements. This is a usual flaw of conservation FPIC mechanisms. Consent should be sought separately – through separate documented agreements – for all specific activities that may affect communities.

The SEP will address the whole project, and FPIC will apply to Outputs 1 (1.1 and 1.2) and 3 (3.1).

Strategic Environmental and Social Assessment (SESA) and Process Framework

A team of consultants will carry out a SESA to address the risks and potential negative impacts linked to Output 1 (see Table 5). SESA refers to a range of analytical and participatory approaches that aim to integrate social and environmental considerations into policies, plans and programmes (PPPs) and evaluate their interlinkages with economic considerations. Potential adverse risks and impacts associated with the development of the national land-use policy will

[76] https://ses-toolkit.info.undp.org/sites/g/files/zskgke446/files/SES%20Document%20Library/Uploaded%20October%202016/UNDP%20SES%20Indigenous%20Peoples%20GN_revFeb2022.pdf

be systematically examined (activities 1.1 and 1.2). SESA evaluates the effect of policy changes on a broad, cross-sectoral basis with the aim of making "upstream" development decision-making more sustainable. It will look at wider sustainability issues than project-level assessments.

However, the SESA will be carried out during the first six months of the project in parallel with the ESIA as there needs to be linkages between the two: information and strategies determined in a SESA should cascade down through tiers of decision-making.

The risk of future displacement is determined by the way in which policies and processes influence peoples' exposure and vulnerability to hazards. Any remaining unavoidable risk related to physical displacement would lead to the need to design a Process Framework and potentially a Resettlement Action Plan.

The Process Framework would be required if the SESA determined that the National Land Use Strategy would lead to communities potentially being restricted from access to natural resources ie displacement. The Process Framework would follow the completion of the SESA. Refer UNDP SES Process Framework Template for guidance as to contents and structure of the framework.

If the Land Use Strategy and Process Framework outcomes result in the need for massive population relocation/displacement, then a Resettlement Action Plan will need to be developed to support the implementation of the Land Use Strategy.

Environmental and Social Management Framework (ESMF)

The present ESMF has been developed as part of UNDP's due diligence process in the project cycle, following the screening of the present project with the SESP (see annex to the ProDoc). Based on the project risk categorization and its specific risks, the above and below procedures for screening, assessing, and managing those risks must be followed during the inception phase.

Stakeholder Engagement Plan (SEP)

A Stakeholder Engagement Plan has been developed during the project's design phase. It constitutes an annex to the Project Document and will guide all actions pertaining to SES implementation. As already noted, the SEP covers standard 6 requirements and includes processes for obtaining FPIC for Outputs 1 and 3. As almost the entire Tongan population can be considered indigenous, then consultation with indigenous peoples has already commenced and will continue guided by the SEP. The FPIC processes will be applied to each activity under Outputs 1 and 3, as communities will be allowed to provide their consent to part of them, ask for modifications, or withdraw their consent.

The SEP also includes a detailed Grievance Redress Mechanism (GRM) (Appendix 2 of the SEP).

Gender Action Plan (GAP) and GBV/SEAH Action Plan

A Gender Action Plan has been developed during the project's design phase. It constitutes an annex to the ProDoc and will guide all actions pertaining to SES implementation.

The potential risks associated with GBV/SEAH were screened against a set of high-level indicators (refer Annex 2). The overall risk rating for SEAH associated with the project was determined to be moderate.

A SEAH Action Plan has been developed as part of the ESMF (

Table) and should be implemented in conjunction with other safeguard plans.

SEAH and GBV risks at a sub-project level will be considered under each ESIA, which will include an assessment of potential for SEAH and GBV based on local to occur during both the implementation and operations of relevant activities in accordance with good practice principles, for example as outlined in the in GCF guidelines to assessing SEAH and GBV risk [77]. Management measures of identified risks at a sub-project level will be administered through each ESMP, which will require mitigative measures to be designed and implemented in alignment with the precepts of the GBV/SEAH Action Plan.

[77]https://www.greenclimate.fund/document/sexual-exploitation-abuse-and-harassment-seah-risk-assessment-guideline

Table 7 SEAH Action Plan

Action to address SEAH risk	Timeline	Responsible Body	Monitoring
As part of the project's stakeholder consultations, properly inform those affected by the project of SEAH risks and project activities to get their feedback on project design and safeguard issues. Consultations need to engage with a variety of stakeholders (political, cultural or religious leaders, health teams, local councils, social workers, women's organizations and groups working with children) and should occur at the start and throughout the implementation of the project.	Consultations need to be throughout the project cycle, not just during preparation.	IA	Monitoring of implementation of SEP. Ongoing consultations, particularly when ESMP is updated.
Disseminate information, in collaboration with GBV partners, on GBV referral pathway and the importance of timely seeking services	During implementation	IA	Ongoing reporting
Make certain of the availability of an effective GRM with multiple channels to initiate a complaint - Include specific procedures for SEAH (eg confidential reporting with safe and ethical documenting of SEAH cases).	Prior to contractor mobilizing.	IA	Ongoing monitoring and reporting on GRM to verify it is working as intended.
Map out SEAH prevention and response actors in project adjoining communities.	During preparation and Implementation	IA UNDP to provide technical support as appropriate	Update mapping as appropriate
Clearly define the SEAH requirements and expectations in the bid documents.	Procurement.	IA.	
Define the requirements to be included in the bidding documents for a Code of Conduct which addresses SEAH.	Procurement.	IA	
Evaluate the contractor's SEAH Accountability and Response Framework in the ESMP and confirm prior to finalizing the contract the contractor's ability to meet the project's SEAH prevention and response requirements.	Procurement.	IA	Review by UNDP
Review ESMP to verify that appropriate mitigation actions are included	Implementation	IA	Review by UNDP Review by GCF
Review that the GRM receives and processes complaints in a timely manner referring to an established mechanism to review and address GBV complaints.	During project implementation		Ongoing reporting Monitoring of complaints and their resolution
Codes of Conduct signed and understood 1) Ensure requirements in CoCs are clearly understood by those signing. o Have CoCs signed by all those with a physical presence at the project site. o Train project staff on the behavior obligations under the CoCs. o Disseminate CoCs (including visual illustrations) and discuss with employees and local communities. o Create an appropriate Accountability and Response Framework.	Initiated prior to contractor mobilization and continued during implementation.	Contractor, Consultant, IA.	Review of SEA/SH risks during project supervision (e.g., Mid-term Review) to assess any changes in risk. Supervising Engineer reporting that CoCs are signed and that workers have been trained and understand their obligations. Monitoring of GM for SEA/SH complaints. Discussion at public consultations.

Develop Training Materials/key messages for project workers sensitization, community awareness and for sensitization targeting Project management and Contractor management	At the start of the project		Training and communication materials developed, and strategies developed. Training materials should include at least the following topics: Definition of GBV, SEAH and how the project can exacerbate/contain GBV Roles and responsibilities of project stakeholders. Project staff Code of Conduct (CoC) Case reporting mechanism, accountability structures, and referral procedures within agencies and for community members to report cases related to project staff; and Services available for survivors of GBV.
Have project workers and local community undergo training on SEA/SH.	Implementation	IA, Contractors, Consultants	Ongoing reporting
Undertake regular M&E of progress on SEA/SH prevention and response activities, including reassessment of risks as appropriate.	Implementation	IA, Contractors, Consultants	Monitoring of GRM Ongoing reporting
Implement appropriate project-level activities to reduce SEAH risks prior to civil works commencing such as: Have separate, safe and easily accessible facilities for women and men working on the site. Locker rooms and/or latrines should be in separate areas, well-lit and include the ability to be locked from the inside. Visibly display signs around the project site (if applicable) that signal to workers and the community that the project site is an area where SEA/SH is prohibited. As appropriate, ensure public spaces around the project grounds are well-lit.	Prior to works commencing	Contractor (implementation) Supervising engineer (supervising/enforcing contract)	Ongoing reporting. o Reviews during implementation support missions.

The UNDP SES Policy integrates Gender-Based-Violence, and concerns about GBV were raised during the consultations, therefore, the ESIA will need to specifically investigate gender issues and GBV/SEAH risks and if necessary, update the GAP to integrate any additional measures necessary to address the risk.

Summary of Management Procedures

Table 5 Summary of Management Procedures:

Document	Responsibility	Timing
Environmental and Social Management Framework (ESMF)	UNDP CO	Project design phase – before submission to GCF
Stakeholder Engagement Plan (SEP)	UNDP CO	Project design phase –
Gender Action Plan and GBV/SEAH Action Plan (GAP)	UNDP CO	Project design phase – before submission to GCF

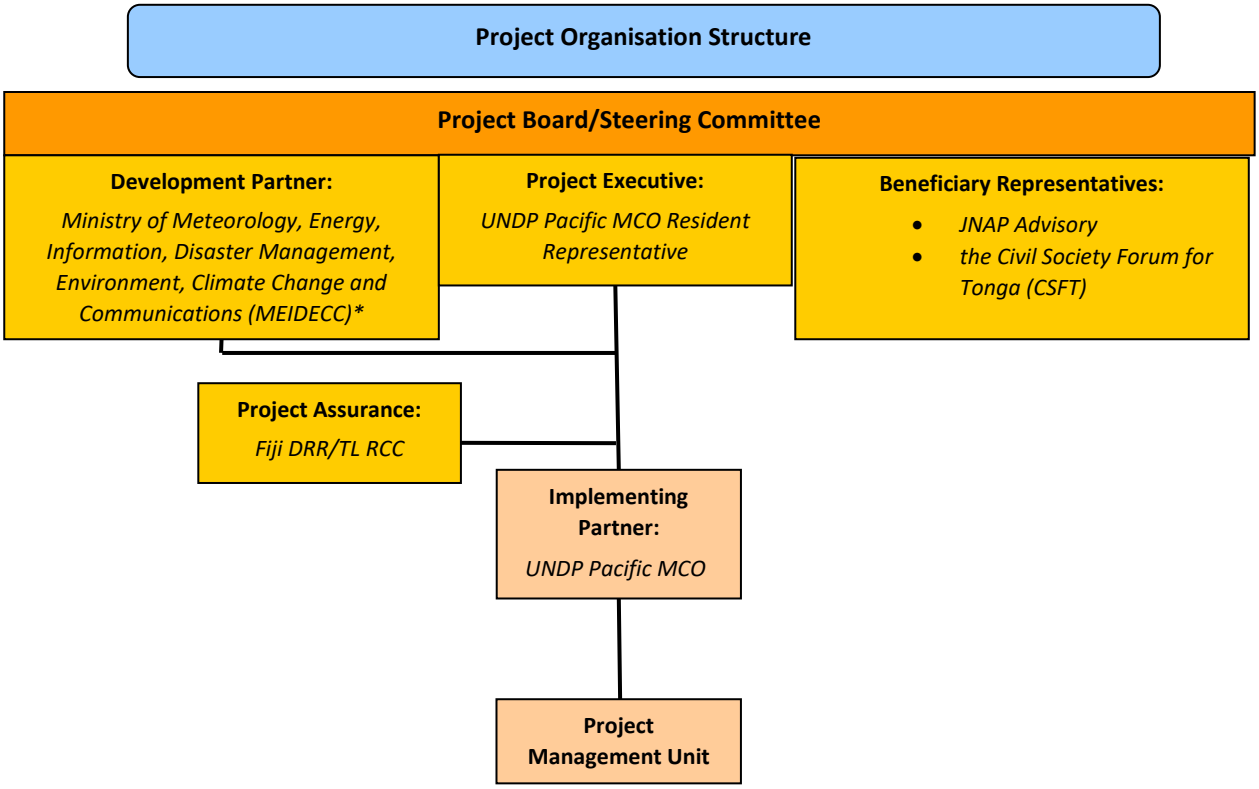
		To be revised after completion of ESIA and SESA.
Environmental and Social Management Plan (ESMP) Livelihood Action Plan (LAP) Biodiversity Action Plan (BAP)	UNDP CO	To be prepared as an outcome of the ESIA and SESA. First six months of project implementation – before any activities that may cause adverse social or environmental impacts start (see table 1 and table 5)

Institutional arrangements and Monitoring

General Management Structure and Responsibilities

A high-level PMU structure is shown and the key roles are discussed below.

Figure 10 Project Organisation Structure



**The Ministry of Meteorology, Energy, Information, Disaster Management, Environment, Climate Change provides financing to the project issued via the Ministry of Finance as Co-financing.*

Project Board

The UNDP Resident Representative assumes full responsibility and accountability for oversight and quality assurance of this Project and ensures its timely implementation in compliance with the GCF-specific requirements and UNDP's Programme and Operations Policies and Procedures (POPP), its Financial Regulations and Rules and Internal Control Framework. A representative of the UNDP Country Office will assume the assurance role and will present assurance findings to the Project Board, and therefore attends Project Board meetings as a non-voting member.

The UNDP Resident Representative and Deputy Resident Representative perform UNDP's implementation oversight role in the project, as represented in the project board and via the project assurance function. The UNDP Project Manager, who will report to the UNDP Pacific MCO, performs UNDP's execution role in the project.

d) All UNDP projects must be governed by a multi-stakeholder board or committee established to review performance based on monitoring and evaluation, and implementation issues to ensure quality delivery of results. The Project Board (also called the Project Steering Committee) is the most senior, dedicated oversight body for a project.

The two prominent (mandatory) roles of the project board are as follows:

3) **High-level oversight of the execution of the project by the Implementing Partner** (as explained in the "Provide Oversight" section of the POPP). This is the primary function of the project board and includes annual (and as-needed) assessments of any major risks to the project, and decisions/agreements on any management actions or remedial measures to address them effectively. The Project Board reviews evidence of project performance based on monitoring, evaluation and reporting, including progress reports, evaluations, risk register and the combined delivery report. The Project Board is the main body responsible for taking corrective action as needed to ensure the project achieves the desired results.

4) **Approval of strategic project execution decisions of the Implementing Partner** with a view to assess and manage risks, monitor and ensure the overall achievement of projected results and impacts and ensure long term sustainability of project execution decisions of the Implementing Partner (as explained in the "Manage Change" section of the POPP).

Composition of the Project Board: The composition of the Project Board must include individuals assigned to the following three roles:

4. **Project Executive:** This is an individual who represents ownership of the project and chairs (or co-chairs) the Project Board. The Executive usually is the senior national counterpart for nationally implemented projects (typically from the same entity as the Implementing Partner), and it must be UNDP for projects that are direct implementation (DIM). In exceptional cases, two individuals from different entities can co-share this role and/or co-chair the Project Board. If the project executive co-chairs the project board with representatives of another category, it typically does so with a development partner representative. The Project Executive is: UNDP Pacific MCO Resident Representative

5. **Beneficiary Representative(s):** Individuals or groups representing the interests of those groups of stakeholders who will ultimately benefit from the project. Their primary function within the board is to ensure the realization of project results from the perspective of project beneficiaries. Often representatives from civil society, industry associations, or other government entities benefiting from the project can fulfil this role. There can be multiple beneficiary representatives in a Project Board. The Beneficiary representative (s) is/are: Ministry of Meteorology, Energy, Information, Disaster Management, Environment, Climate Change and Communications (MEIDECC), the JNAP Advisory and the Civil Society Forum for Tonga (CSFT).

6. **Development Partner(s):** Individuals or groups representing the interests of the parties concerned that provide funding, strategic guidance and/or technical expertise to the project. The Development Partner(s) is/are: the MIEDECC.[78].

e) **Project Assurance:** Project assurance is the responsibility of each project board member; however, UNDP has a distinct assurance role for all UNDP projects in carrying out objective and independent project oversight and monitoring functions. UNDP performs quality assurance and supports the Project Board (and Project Management Unit) by carrying out objective and independent project oversight and monitoring functions, including applying and ensuring compliance with UNDP's risk management and social and environmental management systems to ensure the SES are applied through the project cycle. The Project Board cannot delegate any of its quality assurance responsibilities to the Project Manager. Project assurance is totally independent of project execution.

A designated representative of UNDP playing the project assurance role is expected to attend all board meetings and support board processes as a non-voting representative. It should be noted that while in certain cases UNDP's project assurance role across the project may encompass activities happening at several levels (e.g. global, regional), at least one UNDP representative playing that function must, as part of their duties, specifically attend

[78] MIEDECC provide financing via the Ministry of Finance co-financing.

board meeting and provide board members with the required documentation required to perform their duties. The UNDP representative playing the main project assurance function is: the UNDP Deputy Resident Representative.

f) **Project Management – Execution of the Project:** The Project Manager (PM) (also called project coordinator) is the senior most representative of the Project Management Unit (PMU) and is responsible for the overall day-to-day management of the project on behalf of the Implementing Partner, including the mobilization of 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 review and approval, including progress reports, annual work plans, adjustments to tolerance levels and risk registers.

A designated representative of the PMU is expected to attend all board meetings and support board processes as a non-voting representative.

The primary PMU representative attending board meetings is: the Project Manager

The Project Management Unit (PMU): All the PMU positions will be located in Nuku'alofa, Tonga, and none are based in UNDP Pacific Multi-Country Office (MCO). The majority of roles based full time within an office located in Nuku'alofa. However, some technical roles are to be part-time and remote (homebased) with travel to Tonga. The project's Inception Report will provide details of the establishment of the PMU, any changes and updates to the PMU structure. The Project Management Unit will comprise of the following national and international positions:

- Full-time - International: Project Manager, based in-country.
- Full-time – National, based in-country: Deputy Project Manager; Gender and Safeguards Officer; Communications Officer; Administrative Assistant; Finance Officer; Monitoring and Evaluation Officer; Driver.
- Part-time – International, intermittently based in-country: a Chief Technical Advisor, Procurement Technical Advisor
- Furthermore, a Project Implementation Unit (PIU) will be set-up within the Ministry of Infrastructure dedicated to the construction component of the project with the following expertise: Design and supervision engineering firm personnel, Safeguards specialist (construction), Safeguards Officer (construction). Procurement Technical Advisor

The Project Manager: The Project Manager (PM) (also called project coordinator) is the senior most representative of the Project Management Unit (PMU) and is responsible for the overall day-to-day management of the project on behalf of UNDP, including the mobilization of all project inputs, supervision over project staff, consultants and sub-contractors. The Project Manager will attend all board meetings and support board processes as a non-voting representative. The Project Manager will run the project on a day-to-day basis within the constraints laid down by the Project Board, and prepare 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 function will end when the final project terminal evaluation report and other project closure activities and documentation required by the GCF and UNDP, has been completed and submitted to UNDP. The Project Manager'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, as well as managing the overall conduct of the project; Implementing activities by mobilizing goods and services; Checking on progress and plan deviations; Ensuring that changes are controlled and problems addressed; Monitoring progress and risks; and Reporting on progress including measures to address challenges and opportunities.

Project Delivery and Administration

Project Delivery

The project will be delivered on the ground by UNDP.. In addition, collaboration with MIEDECC, MLSNR, MoI, NGOs and local communities is expected.

Administration of Environmental and Social Management Framework and Plan

The PMU will be responsible for the implementation with the ESMP.

The ESMF will be part of any tender documentation. UNDPwill be responsible for the revision or updates of this document during the course of work. It is the responsibility of the person to whom the document is issued to ensure it is the most up to date version.

The UNDP are accountable for the provision of specialist advice on environmental and social issues to the delivery organisations (e.g. contractors and/or NGOs) and for environmental and social monitoring and reporting. UNDP will assess the environmental and social performance of the delivery organisations (e.g. contractors) in charge of delivering each component throughout the project and ensure compliance with the ESMP. During operations the delivery organisations will be accountable for implementation of the ESMP. Personnel working on the projects have accountability for preventing or minimising environmental and social impacts.

The Safeguards Officer will be responsible for daily environmental inspections of the project/construction site. The UNDP Safeguards Specialistor its delegate will cross check these inspections by undertaking monthly audits.

The delivery organisation e.g. contractor will maintain and keep all administrative and environmental records, which would include a log of complaints and/or grievances together with records of any measures taken to mitigate the cause of the complaints and/or grievances.

The PMU will be responsible for the day to day compliance of the ESMP

Environmental procedures, site and activity-specific work plans/instructions

Environmental procedures provide a written method describing how the management objectives for a particular environmental element are to be obtained. They contain the necessary detail to be site or activity-specific and are required to be followed for all construction works. Site and activity-specific work plans and instructions are to be issued and will follow the previously successful work undertaking similar projects by the UNDP, Asian Development Bank, World Bank and EU as examples.

Capacities

The PMU have the responsibility for ensuring systems are in place so that relevant employees, contractors, and other workers are aware of the environmental and social requirements for construction, including the ESMP.
All project personnel will attend an induction that covers health, safety, environment, and cultural requirements.
All workers engaged in any activity with the potential to cause serious environmental harm (e.g. handling of hazardous materials) will receive task specific environmental training.

There is a need to provide a specific training on Environmental and Social Safeguards. The project is an opportunity for the PMU, the Ministry of the Environment and UNDP CO to build capacities and standardize SES practices at the national level.

Specialists with relevant expertise in social and environmental safeguards will be engaged to support the completion of the SESA and ESIA and targeted assessment. External expertise will also be sought to define the subsequent development of ESMPs and any stand-alone management plans. These experts will be required to offer a training session to all relevant stakeholders on safeguards policies and implementation.

UNDP will provide advice to project teams as needed to support the implementation of this ESMF and the preparation, implementation, and monitoring of social and environmental management plans/measures.

The PMU will have the final responsibility for the integration of ESMP/stand-alone management plan(s) in the execution of the project. The integration of those plans will need to consider particular institutional needs within the implementation framework for application of the ESMP, including a review of the required budget allocations for each measure, as well as the authority and capability of institutions at different administrative levels (e.g. local, regional, and national), and their capacity to manage and monitor ESMP implementation. Where necessary, capacity-building, and technical assistance activities will be included to enable proper implementation of the ESMP.

A specific capacity-building plan will be integrated into the ESMP to allow all stakeholders to adequately screen, assess, and manage the SES. It will address, but not be limited to, the topics included in the table below:

Table 7: Timing and modules for capacity-building

STAKEHOLDER	MODULE
UNDP CO, UNDP office, PMU, Steering Committee, Government	UNDP Social and Environmental Safeguards Grievance Redress Mechanism Monitoring, Reporting and Verification

	Gender Mainstreaming Stakeholder Engagement FPIC Induction that covers health, safety, environment, and cultural requirements.
UNDP CO Project Management Support Unit	UNDP Social and Environmental Safeguards + a specific module on FPIC documentation management

Monitoring and reporting

Environmental incident reporting

Any incidents, including non-conformances to the procedures of the ESMF/ESMP are to be recorded using an Incident Record and the details entered into a register. For any incident that causes or has the potential to cause material or serious environmental harm, the site officer shall notify the Project Manager as soon as possible. The delivery organisation/contractor must cease work until remediation has been completed as per the approval of UNDP

Daily and weekly environmental inspection checklists

A daily environmental checklist is to be completed at each work site by the relevant field officer and maintained within a register. A weekly environmental checklist is to be completed and will include reference to any issues identified in the daily checklists completed by the field officers. The completed checklist is to be forwarded to UNDP for review and follow-up if any issues are identified.

Corrective Actions

Any non-conformances to the ESMP are to be noted in weekly environmental inspections and logged into the register. Depending on the severity of the non- conformance, the camp officer may specify a corrective action on the weekly site inspection report. The progress of all corrective actions will be tracked using the register. Any non-conformances and the issue of corrective actions are to be advised to UNDP.

Review and auditing

The ESMF and its procedures are to be reviewed at least every six months by UNDP staff. The objective of the review is to update the document to reflect knowledge gained during project delivery/construction and to reflect new knowledge and changed community standards (values).

The ESMF will be reviewed, and amendments made if:

- There are relevant changes to environmental conditions or generally accepted environmental practices; or
- New or previously unidentified environmental risks are identified; or
- Information from the project monitoring and surveillance methods indicate that current control measures require amendment to be effective; or
- There are changes to environmental legislation that are relevant to the project; or
- There is a request made by a relevant regulatory authority; or
- Any changes are to be developed and implemented in consultation with UNDP Staff. When an update is made, all site personnel are to be made aware of the revision as soon as possible e.g. through a toolbox meeting or written notification.
- Reporting on progress and issues in the implementation of this ESMF will be documented in the project's quarterly reports and annual project implementation reports (PIRs). Until the ESMP and associated management plans are put in place, the responsible party will be tasked with compiling reports on the implementation of this ESMF, for reporting to the Project Steering Committee, to UNDP, and to GEF (as appropriate). Key issues will be presented to the Project Steering Committee during each committee meeting.

- Implementation of the subsequent ESMP and management plans will be the responsibility of the Project Management Office, and other partners as agreed upon and described in those plans.

The ESMF monitoring and evaluation plan will accompany project monitoring as outlined below in Table 14. Stakeholder participation will be encouraged throughout MRE of the ESMF.

Parameters to be measured

- Strategic indicators to be monitored by the Programme Steering Committee
- Effectiveness of Environmental and Social Screening of Project Activities (SESP)
- Effectiveness of environmental monitoring and reporting
- Implementation of training programs on SES.
- Indicators to be monitored by the Implementation partner (UNDP)
- Effectiveness of the insertion of environmental clauses in the execution files
- Effectiveness of social measures for stakeholder engagement, FPIC implementation and gender-mainstreaming
- Number of actors trained/aware in environmental and social management
- Effectiveness of ESMP and Standalone management plans in place
- Level of involvement of project stakeholders and target groups in monitoring the implementation of activities
- Number of people affected by the programme
- Regularity and effectiveness of proximity monitoring
- Effectiveness of the GRM.

Table 8: ESMF Monitoring and Evaluation Plan

Monitoring Activity	Description	Frequency / Timeframe	Expected Action	Roles and Responsibilities	Cost (excl. staff time)
Track progress of ESMF implementation	Implementation of this ESMF coordinated for each project, and with results reported to each Project Steering Committee on an annual basis.	Quarterly (until ESMPs and management plans are in place)	Required ESMF steps are completed in a timely manner.	PMU	None
Monitoring of potential impacts identified in ESIA and per the subsequent ESMP, especially for activities 3.1 yet to be designed in detail.	Permanent and participatory implementation and monitoring of impacts and mitigation measures, in accordance with ESMP (to be prepared together with ESIA).	Continuous, once ESIA is completed and ESMP is in place	Implementation of ESMP; participatory monitoring of ESIA findings (i.e. identifying indicators, monitoring potential impacts and risks); integration of ESMP into project implementation strategies. Monitoring of environmental and social risks, and corresponding management plans as relevant (tendered to national institute, local consultant, CSO or service provider)	PMU	10,000
Learning	Knowledge, good practices and lessons learned regarding social and environmental risk management 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 teams and used to inform management decisions.	PMU	None (see activity 3.2)
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.	Annually	Areas of strength and weakness will be reviewed and used to inform decisions to improve project performance.	UNDP CO	None
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 steering committee and used to make course corrections.	PMU Steering committee (validation)	None
Annual project implementation reports	As part of progress report to be presented to the Project Steering Committee and key stakeholders, analysis, updating and recommendations for risk management will be included.	Annually	Updates on progress of ESMF/ESMP will be reported in the project's annual PIRs. A summary of the avoidance and mitigation of potential social and environmental impacts will be included in the program annual report, sharing best practices and lessons learned across the programme.	PMU	None

Monitoring Activity	Description	Frequency / Timeframe	Expected Action	Roles and Responsibilities	Cost (excl. staff time)
Project review	The Project Steering Committee will consider updated analysis of risks and recommended risk mitigation measures at all meetings.	At least annually	Any risks and/ or impacts that are not adequately addressed by national mechanisms or project team will be discussed in project steering committee. Recommendations will be made, discussed and agreed upon.	Steering committee	None

Stakeholder engagement and Information disclosure

A Stakeholder Engagement Plan (SEP) has been developed and is available as an appendix to the ProDoc. The following provides a summary of the SEP.

Public consultation and Environmental and Social Disclosure

The ESMF includes public consultation through the implementation of the stakeholder engagement plan. The project was discussed with a wide range of stakeholders including relevant government departments, industry groups, NGOs, and individual community members and approved by Government. Extensive on-ground consultation has been undertaken during the design of the project (as well as during the earlier projects that this project is aiming to upscale) and consultation with affected communities will continue.

The UNDP and MEIDECC will develop and release updates on the project on a regular basis to provide interested stakeholders with information on project status. Updates may be via a range of media eg print, radio, social media or formal reports. A publicized telephone number will be maintained throughout the project to serve as a point of contact for enquiries, concerns, complaints and/or grievances. All enquiries, concerns, complaints and/or grievances will be recorded on a register and the appropriate manager will be informed. All material must be published in English and Tongan as appropriate.

Some enquiries, concerns, complaints and/or grievances may require an extended period to address. The complainant(s) will be kept informed of progress towards rectifying the concern. All enquiries, concerns, complaints and/or grievances will be investigated, and a response given to the complainant in a timely manner. A grievance redress mechanism has been included in the ESMF to address any complaints and/or grievances that may not be able to be resolved quickly.

Nominated PMU/contractor staff will be responsible for undertaking a review of all enquiries, concerns, complaints and/or grievances and ensuring progress toward resolution of each matter. A hotline and email will be established during implementation and the ESMF will be updated with these details accordingly.

Complaints register and grievance redress mechanism

During the construction and implementation phases of any project, a person or group of people can be adversely affected, directly or indirectly due to the project activities. The grievances that may arise can be related to social issues such as eligibility criteria and entitlements, disruption of services, temporary or permanent loss of livelihoods and other social and cultural issues. Grievances may also be related to environmental issues such as excessive dust generation, damages to infrastructure due to construction related vibrations or transportation of raw material, noise, traffic congestions, decrease in quality or quantity of private/ public surface/ ground water resources during irrigation rehabilitation, damage to home gardens and agricultural lands etc.

A grievance redress mechanism has been included as part of the SEP for this project. The GRM allows those that have a complaint and/or grievance or that feel aggrieved by the project to be able to communicate their concerns and/or grievances through an appropriate process. The GRM will provide an accessible, rapid, fair and effective response to concerned stakeholders, especially any vulnerable group who often lack access to formal legal regimes.

The Grievance Redress Mechanism set out in the SEP has been designed to:

- be a legitimate process that allows for trust to be built between stakeholder groups and assures stakeholders that their concerns will be assessed in a fair and transparent manner;
- allow simple and streamlined access to the Complaints Register and Grievance Redress Mechanism for all stakeholders and provide adequate assistance for those that may have faced barriers in the past to be able to raise their concerns;
- provide clear and known procedures for each stage of the Grievance Redress Mechanism process, and provides clarity on the types of outcomes available to individuals and groups;
- ensure equitable treatment to all concerned and aggrieved individuals and groups through a consistent, formal approach that, is fair, informed and respectful to a concern, complaint and/or grievance;
- to provide a transparent approach, by keeping any aggrieved individual/group informed of the progress of their complaint and/or grievance, the information that was used when assessing their complaint and/or grievance and information about the mechanisms that will be used to address it; and

- enable continuous learning and improvements to the Grievance Redress Mechanism. Through continued assessment, the learnings may reduce potential complaints and grievances.

Eligibility criteria for the Grievance Redress Mechanism include:

- Perceived negative economic, social or environmental impact on an individual and/or group, or concern about the potential to cause an impact;
- clearly specified kind of impact that has occurred or has the potential to occur; and explanation of how the project caused or may cause such impact; and
- individual and/or group filing of a complaint and/or grievance is impacted, or at risk of being impacted; or the individual and/or group filing a complaint and/or grievance demonstrates that it has authority from an individual and or group that have been or may potentially be impacted on to represent their interest.
- Local communities and other interested stakeholders may raise a complaint and/or grievance at all times to the MEIDECC. Affected local communities should be informed about the ESMF provisions, including its grievance mechanism and how to make a complaint and/or grievance.

Complaints Register

A complaints register will be established as part of the project to record any concerns raised by the community during construction. Any complaint and/or grievance will be advised to the UNDP and MEIDECC within 24 hours of receiving the complaint and/or grievance. The complaint and/or grievance will be screened. Following the screening, complaints and/or grievances regarding corrupt practices will be referred to the UNDP for commentary and/or advice.

Wherever possible, the project team will seek to resolve the complaint and/or grievance as soon as possible, and thus avoid escalation of issues. However, where a complaint and/or grievance cannot be readily resolved, then it must be escalated.

A summary list of complaints and/or grievances received and their disposition must be published in a report produced every six months.

Grievance Redress Mechanism

The Grievance Redress Mechanism has been designed to be problem-solving mechanism with voluntary good-faith efforts. The Grievance Redress Mechanism is not a substitute for the legal process. The Grievance Redress Mechanism will be as far as practicable, try to resolve complaints and/or grievances on terms that are mutually acceptable to all parties. When making a complaint and/or grievance, all parties must always act, in good faith and should not attempt to delay and or hinder any mutually acceptable resolution.

The Grievance Redress Mechanism (GRM) is for people seeking satisfactory resolution of their complaints on the environmental and social performance of the Project.

Special attention will be placed on ensuring that grievances related to gender issues, such as GBV and SEAH, will be catered for, and that the grievance process has been designed in such a way that it facilitates access for women. The GRM includes a victim-centred approach for GBV/SEAH complaints.

To ensure smooth implementation of the Project and timely and effectively addressing of problems that may be encountered during implementation, a robust Grievance Redress Mechanism, which will enable to the Project Authorities to address the grievances of the stakeholders of the Project has been established.

All complaints regarding social and environmental issues can be received either orally (to the field staff and/or MEIDECC), by phone, in the complaints box or in writing to the UNDP, PMU or the Construction Contractor. A key part of the grievance redress mechanism is the requirement for the PMU and construction contractor to maintain a register of complaints received at the respective project site offices. All complainants shall be treated respectfully, politely and with sensitivity, this includes specific procedures for SEAH (eg confidential reporting with safe and ethical documenting of SEAH cases). Every possible effort should be made by the PMU and construction contractor to resolve the issues referred to in the complaint within their purview. However, there may be certain problems that are more complex and cannot be solved through project-level mechanisms. Such complaints will be referred to the Grievance Redress Committee.

The Grievance Redress Mechanism has been designed to ensure that an individual and/or group are not financially impacted by the process of making a complaints and/or grievances. The Grievance Redress Mechanism will cover any reasonable costs in engaging a suitably qualified person to assist in the preparation of a legitimate complaint and/or grievance. Where a complaint and/or grievance is seen to be ineligible, the Grievance Redress Mechanism will not cover these costs.

Information about the Grievance Redress Mechanism and how to make a complaint and/or grievance must be placed at prominent places for the information of the key stakeholders.

The Communications Officer in the PMU or a designated person from the PMU will be designated as the key officer in charge of the Grievance Redress Mechanism. The Terms of Reference for these positions (as amended from time to time) will have the following key responsibilities:

- coordinate formation of Grievance Redress Committees before the commencement of constructions to resolve issues;
- act as the focal point at the PMU on Grievance Redress issues and facilitate the resolution of issues within the PMU;
- create awareness of the Grievance Redress Mechanism amongst all the stakeholders through public awareness campaigns;
- assist in redress of all grievances by coordinating with the concerned parties;
- maintain information on grievances and redress;
- monitor the activities of MEIDECC on grievances issues; and
- prepare the progress for monthly/quarterly reports.

The GRM is a two-tier system. The first tier redress mechanism involves the receipt of a complaint and/or grievance at the village/town and/or district level. The stakeholders are informed of various points of making complaints and/or grievances (if any) and the District/Town Officer or the Communications Officer from the PMU collect the complaint and/or grievances from these points on a regular basis and record them. This is followed by coordinating with the concerned people to redress the grievances. The Communications Officer of the PMU will coordinate the activities at the respective district and/or village level to address the grievances and would act as the focal point in this regard. The District/Town Officer or any officer given the responsibility of this would coordinate with the Communications Officer and MEIDECC in redressing the grievances. The designated officer of the Local Authorities is provided with sufficient training in the procedure of redress to continue such systems in future.

The grievance must be made orally (to the field staff) or in writing to the UNDP, Communications Officer, MEIDECC or the Construction Contractor. Complainants may specifically contact the Communication Officer and request confidentiality if they have concerns about retaliation. In cases where confidentiality is requested (i.e. not revealing the complainant's identity to UNDP, MEIDECC and/or the Construction Contractor). In these cases, the Communication Officer will review the grievances, discuss it with the complainant, and determine how best to engage project executing entities while preserving confidentiality for the complainant.

As soon as a complaint and/or grievance is received, the Communication Officer would issue an acknowledgement. The District/Town Officer receiving the complaint and/or grievance should try to obtain relevant basic information regarding the grievance and the complainant and will immediately inform the Communication Officer in the PMU.

The PMU will maintain a Complaint/Grievance Redress register at the District Level. Keeping records collected from relevant bodies is the responsibility of PMU.

After registering the complaint and/or grievance, the Communication Officer will study the complaint and/or grievance made in detail and forward the complaint and/or grievance to the concerned officer with specific dates for replying and redressing the same. The Communication Officer will hold meetings with the affected persons / complainant and then attempt to find a solution to the complaint and/or grievance received. If necessary, meetings will be held with the concerned affected persons / complainant and the concerned officer to find a solution to the problem and develop plans to redress the grievance. The deliberations of the meetings and decisions taken are recorded. All meetings in connection with the Grievance Redress Mechanism, including the meetings of the Grievance Redress Committee, must be recorded. The Communication Officer for the Grievances Redress Mechanism will be actively involved in all activities.

Managing complaints of SEAH requires different approaches than other types of complaints due to the sensitivity of the violence; the potential for survivors to experience stigma, rejection, or harm; and because of the reluctance of many survivors to come forward. Additional mechanisms are needed that create safe, enabling spaces for survivors to report SEAH that offer a safe, ethical, survivor-centred response. Thus, survivor safety, choice, confidentiality and consent must be systematically applied to all complaints of SEAH. For this reason, the GRM includes a specific pathway to receive and resolve complaints of SEAH related issues stakeholders may be adversely affected, directly or indirectly due to the project activities -refer section below.

For GBV/SEAH complaints, a victim-centred approach will be taken. The victim-centred approach puts the rights and dignity of victims, including their well-being and safety, at the forefront of all efforts to prevent and respond to sexual exploitation and abuse and sexual harassment, regardless of the affiliation of the alleged perpetrator.

In the event that the complaint relates to GBV/SEAH (either through the existing channels of the GRM process or via Tonga Women and Children's Crisis Centre), the Communications Officer would notify a nominated staff focal point who are informed of all GBV services/referral focal points for their community and how to access them. The staff focal point will help reduce risk of exposure of GBV survivors and reduce undermining confidence. The SEAH focal point will assist SEAH survivors by referring them to the Tonga Women and Children's Crisis Centre for support immediately after receiving a complaint directly from the survivor. Information in the GRM will remain confidential and will not be managed by the mainstream GRM process – for SEAH complaints, the GRM will serve primarily to: a) refer complainants to the GBV service provider; and b) record resolution of the complaint.

The first-tier Grievances Redress Committee would be formed to oversee all the grievances EXCEPT for grievances related to:

- SEAH
- Compensation for acquired land;
- Issue relating to engineering aspect; and
- Cases pending in court.
- A Village/Town Level Project Implementation Committee would be formed to oversee the first tier of the Grievance Redress Mechanism. The Village/Town Level Project Implementation Committee would include:
- District Officer;
- Town Officer from specific village/town/island;
- Women Representative from the village/island;
- Youth Representative from the village/island;
- Director for Climate Change; and
- Project Manager (Secretariat).

The resolution at the first tier will normally be completed within 15 working days and the complaint and/or grievance will be notified of the proposed response through a disclosure form. The resolution process should comply with the requirements of the Grievance Redress Mechanism in that it should, as far as practicable, be informal with all parties acting in good faith. Further, the Grievance Redress Mechanism should, as far as practicable, achieve mutually acceptable outcomes for all parties.

Should the grievance not be resolved within this period to the satisfaction of the complainant, the grievance will be referred to the next level of the Grievance Redress Mechanism. If the social safeguard and gender officer feels that adequate solutions can be established within the next five working days, the District Officer/ Governor can decide on retaining the issue at the first level by informing the complainant accordingly. However, if the complainant requests for an immediate transfer to the next level, the matter must be referred to the next tier. In any case, where the issue is not addressed within 20 working days, the matter is referred to the next level.

Any grievance related to corruption or any unethical practice should be referred immediately to the Tongan Office of the Attorney General and/or the Tonga Office of the Commissioner for Public Relations and the Office of Audit and Investigation within the UNDP in New York.

The Grievance Redress Committee formed at every Island level would address the grievance in the second tier. A Grievance Redress Committee will be constituted on the Island by the circulars issued by the CEO of the MEIDECC, who would also be the Chairman of the Committee.

The Structure of the committee would be:

- CEO or a designated officer from MEIDECC (Chair);
- Director, Civil Society Forum of Tonga;
- CEO of the Ministry of Internal Affairs;
- CEO of the Ministry of Lands and Natural Resources;
- CEO of the Ministry of Infrastructure;
- CEO of the Department of Fisheries;
- National Project Director;
- Project Manager (Secretariat); and
- Communication Officer.

The Communication Officer from the PMU will engage the respective Director for Local Government in the Ministry of Internal Affair and Director of Climate Change in MEIDECC, in getting these Committees constituted for each District/Town and Island levels and get the necessary circulars issued in this regard so that they can be convened whenever required.

The Grievance Redress Committee will hold the necessary meetings with the aggrieved party/complainant and the concerned officer and attempt to find a solution acceptable at all levels. The Communications Officer and/or a delegate would record the minutes of the Grievance Redress Committee meeting.

Grievance Redress Committee, through the Communications Officer and/or a delegate, will communicate proposed responses to the complainant formally. If the proposed response satisfies the complainant, the response will be implemented and the complaint and/or grievance closed. In cases where a proposed response is unsatisfactory to the complainant, the Grievance Redress Committee may choose to revise the proposed response to meet the complainant's remaining concerns or to indicate to the complainant that no other response appears feasible to the Grievance Redress Committee. The complainant may decide to take a legal or any other recourse if s/he is not satisfied with the resolutions due to the deliberations of the tiers of the grievance redress mechanism.

SEAH Grievances

Survivor-centred guiding principles will be systematically applied through all steps and actions. These guiding principles are as follows:

- the safety of the survivor shall be ensured at all times. Potential risks to the survivor will be identified and action taken to ensure the survivor's safety and to prevent further harm including ensuring that the alleged perpetrator does not have contact with the survivor. If the survivor is an employee, reasonable adjustments may be made to the survivor's work schedule and work environment to ensure their safety; where possible, these adjustments will alter the alleged perpetrator's work schedule and environment rather than the survivor's.
- All actions should reflect the survivor's choices, but this does not prevent the programme from deciding on disciplinary measures related to the alleged perpetrator.
- all information related to the case must be kept confidential and identities must be protected. Only those who have a role in the response to an allegation should receive case-level information, and then only for a clearly stated purpose and with the survivor's specific consent.
- the survivor must provide informed consent to progress with each stage of the complaints process. Survivors may withdraw their consent during the process at any time. If this occurs, depending on the nature of the complaint and available information, the programme may be able to continue disciplinary procedures without the survivor's consent.

Any grievance related to a complaint of SEAH or domestic violence needs to be managed confidentially through the following process:

I. Step One Receive the complaints of SEAH

Complaints of SEAH can be received by:

- the existing channels of the GRM Process.
- Tonga Women and Children's Crisis Centre

If the person making the complaint is the survivor (the person who the alleged violence was directed towards) and the complaint relates to SEAH, the person who received the complaint will:

- tell the survivor about how to access and the Tonga Women and Children's Crisis Centre and the service that they can provide.
- document and register the allegation.
- explain the SEAH complaints and reporting process to the survivor including:
- the process.
- that they (the survivor) can choose whether they want to make a formal complaint to the Communication Officer based in the PMU.
- that if they choose to make a formal complaint to the Communication Officer based in the PMU:
- they control whether and how information about the case is shared with other agencies or individuals.
- all information will be kept confidential. Only those who will respond to the case will be told about their complaint / situation.
- if they agree, another person (the Communication Officer who is a woman) will contact the survivor to talk with them more about their complaint. It should also be identified who this woman is in case there are concerns about speaking to a specific person (for example, if they are related to / close to the alleged perpetrator). If there is a potential conflict of interest or bias, the PMU will identify another person with the PMU to handle the complaint.

The survivor can change their mind and withdraw their consent at any time. Depending on the nature of the complaint and the information available, while the survivor's participation in the process will stop, the Communication Officer based in the PMU may continue disciplinary proceeding against the alleged perpetrator.

Information about the complaint will be kept confidential. All information should not identity the survivor, perpetrator or include any other information that will identify the survivor or perpetrators of a specific situation.

If the survivor chooses to make a formal complaint to the GRM, communicate the allegation to the Communication Officer based in the PMU.

If the survivor chooses not to make a formal complaint to the GRM, they should be reminded about the Tonga Women and Children's Crisis Centre and told that if they change their mind, or if something else happens, they can always make a complaint in the future.

If the survivor of the alleged violence is a child, under the age of 18 years of age, while mandatory reporting does not apply to programme, it is considered good practice for any suspected or known harm to children to be reported to the Police or Department of Justice for further investigation. Where the alleged abuse is criminal, such as physical or sexual violence or neglect by parents or caregivers it should be reported to the Police.

If the person making the complaint is the survivor (the person who the alleged violence was directed towards) and the complaint relates to other forms of SEA and/or SH, the person who received the complaint will:

- tell the survivor about the Tonga Women and Children's Crisis Centre;
- document and register the allegation

If the complaint relates to a project worker using SEAH which is also a breach of the Code of Conduct, such as any form of SEAH, including domestic violence, that is a crime in Tonga, disciplinary action may also be taken against the project

worker if they have broken the Code of Conduct. However, if the alleged perpetrator is not employed on the specific project under the programme, the role of the project is to refer the survivor of SEAH to service providers, and if necessary to ensure that there is no ongoing risks to the survivor related to the project, for example if they are employed by a project under the programme or a participant in a project under the programme.

If the person making the complaint is a third party (not the person who the alleged violence was directed towards such as a family member, community member, colleague, friend), the person who received the complaint will:

- document and register the allegation.
- explain that the project may not be able to take action without the survivor's participation and that it would be better if the survivor themselves comes forward to enable the project to take all the action possible.
- ask them to tell the survivor about the available options for reporting or accessing support services.

Step 2: Communicate with the Survivor – Ongoing

The SEAH Focal Point should be the only person to communicate with the survivor. Where the survivor has chosen to speak to a woman (who has been trained in handling complaints of SEAH) will be delegated this role by the complaints specialist based in the PMU.

This communication should include:

- responding to any questions or concerns from the survivor.
- ensuring that the survivor has received appropriate support.
- asking for the survivor's consent at each stage in the process.
- gathering any further information that may be required from the survivor.
- explaining that where the allegation involved a criminal offence the survivor should consider going to the Police.

The survivor will be provided ongoing feedback on the development and outcome of their case

Step 3: Assess if the Allegation is likely linked to the project

The Communication Officer based in the PMU will determine the likelihood of the allegation being linked to a project under the programme.

If the allegation is determined to be likely linked to a project, the GCF will be notified within 48 hours of the determination being made of a) the nature of the allegation; b) if the alleged perpetrator is, to the survivor's best knowledge, associated with the project (yes/no); c) the survivor's age and/or sex (if available); and d) if the survivor was referred to services.

No further information, including name and contact details of the survivor or alleged perpetrator would be shared (except in the context of referral for services or verification, with the consent of the survivor).

Step 4: Verify and Act

If an allegation is determined to be likely to be linked to a project under the programme, the Communication Officer based in the PMU will convene the ad hoc SEAH Grievance Committee who will:

Convene a meeting to review the complaint and decide on the verification process within 48 hours of determining that the allegation is likely linked to the project. The goal of the verification is to:

- determine the likelihood that the incident occurred.
- recommend disciplinary measures towards the alleged perpetrator of SEAH.

The SEAH Grievance Committee will be formed on an ad hoc basis where verification and action is required. It will be composed of:

- Communication Officer
- Senior officials (Deputy Chief Executive level or above) or designee from:
- MEIDECC

- Civil Society Forum of Tonga
- Department of Justice
- Representative of employer of the alleged perpetrator
- Tonga Women and Children's Crisis Centre.

All verification steps and meetings must be documented with information kept confidentially.

In cases of SEAH related to the project, compensation will not be paid to the survivor or anyone else (e.g., their relatives or community) as such processes are most often not administered using a survivor-centred approach. This does not limit the survivor seeking available civil remedies from the alleged perpetrator, such as child support.

Step 5: Document and Monitor Complaints of SEAH

As for other complaints within the GRM system, each individual complaint of SEAH will be documented and registered and regularly reported to the PMU/Board. However, for SEAH complaints these reports should be numerical only and not contain any information with the potential of being identified, including names and contact details of survivors, their families, or of alleged perpetrators.

External Accountability Mechanisms

In addition to the project-level and national grievance redress mechanisms, complainants have the option to access UNDP's Accountability Mechanism, with both compliance and grievance functions. The Social and Environmental Compliance Unit investigates allegations that UNDP's Standards, screening procedure or other UNDP social and environmental commitments are not being implemented adequately, and that harm may result to people or the environment. The Social and Environmental Compliance Unit is housed in the Office of Audit and Investigations and managed by a Lead Compliance Officer. A compliance review is available to any community or individual with concerns about the impacts of a UNDP programme or project. The Social and Environmental Compliance Unit is mandated to independently and impartially investigate valid requests from locally impacted people, and to report its findings and recommendations publicly.

The Stakeholder Response Mechanism offers locally affected people an opportunity to work with other stakeholders to resolve concerns about the social and environmental impacts of a UNDP project. Stakeholder Response Mechanism is intended to supplement the proactive stakeholder engagement required of UNDP and its Implementing Partners throughout the project cycle. Communities and individuals may request a Stakeholder Response Mechanism process when they have used standard channels for project management and quality assurance and are not satisfied with the response (in this case the project level grievance redress mechanism). When a valid Stakeholder Response Mechanism request is submitted, UNDP focal points at country, regional and headquarters levels will work with concerned stakeholders and Implementing Partners to address and resolve the concerns. Visit www.undp.org/secu-srm for more details. The relevant form is attached as Annexure Three.

Budget for ESMF implementation

Table 9: Budget for ESMF Implementation

Item	**Cost USD**
Development of ESIA, SESA, ESMP	65,000
Travel and DSA for experts developing ESMP/ESIA	20,000
ESMP and ESIA report and protocols	5,000
Monitoring of Environmental and Social Safeguards including gender and stakeholder engagement	10,000
Safeguards Capacity-Building Plan	50,000
Auditing	
Staff time	
International Safeguards Specialist	$227,274.58
International Gender Specialist	$333,911.87
Safeguards Construction	$227,274.58
National Gender and Safeguards Officer	$135,221.80
National Communications Officer	$128,894.29
Total Budget	**1,202,577.12**

Annex 1: Guidance for Submitting a Request to the Social and Environmental Compliance Unit and/or the Stakeholder Response Mechanism

Guidance for Submitting a Request to the Social and Environmental Compliance Unit (SECU) and/or the Stakeholder Response Mechanism (SRM)

Purpose of this form

If you use this form, please put your answers in bold writing to distinguish text

The use of this form is recommended, but not required. It can also serve as a guide when drafting a request.

This form is intended to assist in:

Submitting a request when you believe UNDP is not complying with its social or environmental policies or commitments and you are believe you are being harmed as a result. This request could initiate a 'compliance review', which is an independent investigation conducted by the Social and Environmental Compliance Unit (SECU), within UNDP's Office of Audit and Investigations, to determine if UNDP policies or commitments have been violated and to identify measures to address these violations. SECU would interact with you during the compliance review to determine the facts of the situation. You would be kept informed about the results of the compliance review.

and/or

Submitting a request for UNDP "Stakeholder Response" when you believe a UNDP project is having or may have an adverse social or environmental impact on you and you would like to initiate a process that brings together affected communities and other stakeholders (e.g., government representatives, UNDP, etc.) to jointly address your concerns. This Stakeholder Response process would be led by the UNDP Country Office or facilitated through UNDP headquarters. UNDP staff would communicate and interact with you as part of the response, both for fact-finding and for developing solutions. Other project stakeholders may also be involved if needed.

Please note that if you have not already made an effort to resolve your concern by communicating directly with the government representatives and UNDP staff responsible for this project, you should do so before making a request to UNDP's Stakeholder Response Mechanism.

Confidentiality If you choose the Compliance Review process, you may keep your identity confidential (known only to the Compliance Review team). If you choose the Stakeholder Response Mechanism, you can choose to keep your identity confidential during the initial eligibility screening and assessment of your case. If your request is eligible and the assessment indicates that a response is appropriate, UNDP staff will discuss the proposed response with you, and will also discuss whether and how to maintain confidentiality of your identity.

Guidance

When submitting a request please provide as much information as possible. If you accidentally email an incomplete form, or have additional information you would like to provide, simply send a follow-up email explaining any changes.

Information about You

Are you…

A person affected by a UNDP-supported project?

Mark "X" next to the answer that applies to you: Yes: No:

An authorized representative of an affected person or group?

Mark "X" next to the answer that applies to you: Yes: No:

If you are an authorized representative, please provide the names of all the people whom you are representing, and documentation of their authorization for you to act on their behalf, by attaching one or more files to this form.

First name:

Last name:

Any other identifying information:

Mailing address:

Email address:

Telephone Number (with country code):

Your address/location:

Nearest city or town:

Any additional instructions on how to contact you:

Country:

What you are seeking from UNDP: Compliance Review and/or Stakeholder Response

You have four options:

Submit a request for a Compliance Review;

Submit a request for a Stakeholder Response;

Submit a request for both a Compliance Review and a Stakeholder Response;

State that you are unsure whether you would like Compliance Review or Stakeholder Response and that you desire both entities to review your case.

Are you concerned that UNDP's failure to meet a UNDP social and/or environmental policy or commitment is harming, or could harm, you or your community? Mark "X" next to the answer that applies to you: Yes: No:

Would you like your name(s) to remain confidential throughout the Compliance Review process?

Mark "X" next to the answer that applies to you: Yes: No:

If confidentiality is requested, please state why:

Would you like to work with other stakeholders, e.g., the government, UNDP, etc. to jointly resolve a concern about social or environmental impacts or risks you believe you are experiencing because of a UNDP project?

Mark "X" next to the answer that applies to you: Yes: No:

Would you like your name(s) to remain confidential during the initial assessment of your request for a response?

Mark "X" next to the answer that applies to you: Yes: No:

If confidentiality is requested, please state why:

Requests for Stakeholder Response will be handled through UNDP Country Offices unless you indicate that you would like your request to be handled through UNDP Headquarters. Would you like UNDP Headquarters to handle your request?

Mark "X" next to the answer that applies to you: Yes: No:

If you have indicated yes, please indicate why your request should be handled through UNDP Headquarters:

Are you seeking both Compliance Review and Stakeholder Response?

Mark "X" next to the answer that applies to you: Yes: No:

Are you unsure whether you would like to request a Compliance Review or a Stakeholder Response? Mark "X" next to the answer that applies to you: Yes: No:

Information about the UNDP Project you are concerned about, and the nature of your concern:

Which UNDP-supported project are you concerned about? (if known):

Project name (if known):

Please provide a short description of your concerns about the project. If you have concerns about UNDP's failure to comply with its social or environmental policies and commitments, and can identify these policies and commitments, please do (not required). Please describe, as well, the types of environmental and social impacts that may occur, or have occurred, as a result. If more space is required, please attach any documents. You may write in any language you choose

Have you discussed your concerns with the government representatives and UNDP staff responsible for this project? Non-governmental organisations?

Mark "X" next to the answer that applies to you: Yes: No:

If you answered yes, please provide the name(s) of those you have discussed your concerns with

Name of Officials You have Already Contacted Regarding this Issue:

First Name	Last Name	Title/Affiliation	Estimated Date of Contact	Response from the Individual

Are there other individuals or groups that are adversely affected by the project?

Mark "X" next to the answer that applies to you: Yes: No:

Please provide the names and/or description of other individuals or groups that support the request:

First Name	Last Name	Title/Affiliation	Contact Information

Please attach to your email any documents you wish to send to SECU and/or the SRM. If all of your attachments do not fit in one email, please feel free to send multiple emails.

Submission and Support

To submit your request, or if you need assistance please email: project.concerns@undp.org

Annex 2: GBV/SEAH Risk Screening

	Indicator	Risk Scoring Options	Risk rating	Comments
Country-level violence				
	Gender Development Index	Countries are grouped into five groups based on the absolute deviation from gender parity in HDI values, from 1 (closest to gender parity) to 5 (furthest from gender parity). **Lowest risk** = Group 1 **Highest risk** = Group 5	Low	0.996 (2022) (Group 1) (https://hdr.undp.org/data-center/specific-country-data#/countries/TON) . Gender inequality index = 0.4654 (2022) -
1	Prevalence intimate partner violence (IPV)	**High Risk** is having national IPV prevalence above regional average per DHS **Low Risk** is having national IPV prevalence below the regional average per DHS	Moderate	Tonga LPV = 37 **%** (WHO Western Pacific Region Fact Sheet – Violence Against Women Prevalence Estimates 2018).
2	Prevalence any form of sexual violence (SV)		High	79% of Tongan women and girls have experienced physical or sexual violence in their lifetime (2021) - https://pacificdata.org/data/dataset/pwl-national-study-on-domestic-violence-on-women-in-tonga
3	Prevalence of child marriage (defined as marriage before age 18)	High = The top 20 countries have prevalence of over 30%	Medium	0.4% of women aged 15-49 were married before the age of 15 (https://asiapacific.unwomen.org/sites/default/files/2022-12/UN_WOMEN_TONGA.pdf) 10% of girls and 3% of boys in Tonga are married before their 18th birthday (https://www.girlsnotbrides.org/learning-resources/child-marriage-atlas/atlas/tonga/)
4	State Department Trafficking in Persons report		Medium	Tier 2 Watch List (2022 https://www.state.gov/reports/2022-trafficking-in-persons-report/tonga/)

5	Is the project in a fragile, conflict or violence affected (FCV) country?	High risk = yes	Low	Not listed - https://thedocs.worldbank.org/en/doc/608a53dd83f21ef6712b5dfef050b00b-0090082023/original/FCSListFY24-final.pdf
Legal Context				
6	Laws on sexual harassment.		Medium	Yes – Gender specific offences, such as 'enticing a woman to desert her husband', 'procuring the defilement of females' and 'abduction of women' are contained within the Criminal Offences Act.
7	Laws on domestic violence and marital rape		Medium	Yes - Marital rape was criminalised in Tonga 1999
Gender Norms and Beliefs				
8	Justification of wife beating		High	56% of respondents (women and men) agreed with the statement that a husband could beat his wife if she was unfaithful (https://pacificdata.org/data/dataset/pwl-national-study-on-domestic-violence-on-women-in-tonga)
9	Prevalence of help seeking to stop violence		Low	
10	National-level capacity to respond to GBV		Low	
11	National action plan on addressing violence against women and girls/GBV			
12	GBV Working Group		Medium	Yes: In 2013, Tonga passed the Family Protection Act in 2013 to ensure the safety and protection of all persons including children who experience or witness domestic violence. The act was implemented the following year also leading to the establishment of the Family Protection Advisory Council (FPAC). In 2016, the FPAC Counselling sub-committee was established. In 2018 the Family Protection Act Trust Fund for Gender Based Violence service providers was implemented. The Tonga Family Protection Legal Aid Center was established following that and work began

				on consolidating Domestic Violence administrative data from frontline agencies. 2019 saw development of the Tonga Family Protection Counselling Framework and the establishment of the Tonga Police Domestic Violence Unit.
13	Does the country have a National referral pathway protocol for GBV service provision		High	Tonga's National Service Delivery Protocol launched in 2021, however very few practitioners to provide support
Project Implementation Areas				
14	Is the project in an area of the country with an active humanitarian or emergency situation?	**Low Risk** is when no project activities are implemented in areas experiencing a humanitarian **High Risk** is when any project activities are implemented in areas of the country experiencing a humanitarian emergency	Low	No, however there has been historic humanitarian emergencies in the area
15	Is the project in hard-to supervise areas?	**Low risk** is when the AEs monitoring capacity is sufficient **High risk** is when activities are implemented in areas where the AE's monitoring capacity is limited	Low	No. The areas are all readily accessible.
Project Preparation Process				
16	Were consultations undertaken with women's groups?	**Low risk** is when there were stakeholder consultations with groups advocating for women, children and adolescent girls held separately from men. **High risk** is when there were no stakeholder consultations with groups advocating for women, children and adolescent girls held separately from men	Low	Women groups consulted
17	During stakeholder consultations, did groups advocating for women, children and adolescent	**Low risk** is when concerns related to project-related SEA/SH were not raised. **High risk** is when concerns related to project-related SEA/SH risks were raised or when there were no	Moderate	Same sex relationships remain problematic in Tonga

	girls raise concerns about the project's potential additional SEA/SH risks?	effective consultations with groups advocating for women, children and adolescent girls.		
Intervention Design				
18	Do mechanisms for the selection of beneficiaries create opportunities for individual project actors to sexually exploit or abuse beneficiaries?	**Low risk** is when individual project actors have limited or no decision- making power over beneficiary selection. **Medium risk** is when individual project actors have some degree of decision-making power over beneficiary selection, but the process takes place in public or in the presence of community members or local authorities. **High risk** is when individual project actors select beneficiaries with limited presence of external actors to validate the process.	Low	
19	Do mechanisms for the verification of conditionalities create opportunities for project actors to sexually exploit or abuse project beneficiaries?	**Low risk** is when project actors have no decision-making power over verification of conditionalities or there is effective oversight **Medium** when the verification of conditionalities is conducted by individual project actors in public or in the presence of community members/local authorities. **High risk** is when the verification of conditionalities is conducted by individual project actors in private settings.	Low	
20	Do mechanisms for the transfer of benefits (cash, vouchers, in-kind goods, stipends, wages, and scholarships) create opportunities for project actors to sexually exploit	**Low risk** is when individual project actors have no direct control over transfer of benefits **Medium risk** when the transfer of benefits is conducted by individual project actors in public or in the presence of community members or local authorities.	Low	

	or abuse project beneficiaries?	**High risk** is when project actors have direct control over transfer of benefits and transfers occur in private settings.		
21	Do project activities include regular interaction with project actors (e.g. participation in public works, attending regular information or training sessions, counselling), that could create opportunities for project actors to sexually exploit or abuse beneficiaries (or for sexual exploitation or abuse between beneficiaries)?	**Low risk** is when there are no such activities. **High risk** is when there are such opportunities during regular interaction between beneficiaries and project actors. **Very high risk** is when there is a residential component to the activity (such as boarding schools).	Medium	
22	How much infrastructure, construction, upgrading or rehabilitation does your project entail?	High risk = major scale Medium risk = medium scale Low risk = small scale	High	
23	Risk profile of the labor influx		Medium	The scale of the activities is moderate in terms of civil projects. It is proposed to use local labour where possible to reduce labour influx is low.
24	During program implementation, do female project actors work with male project actors alone or with limited oversight?	**Low risk** is when female project actors do not work with male actors alone or there is oversight of the interactions. **High risk** is when female project actors work with male project actors alone with no or limited oversight	Medium	Not yet well defined. GAP will seek to minimise risk

25	Are military or paid security Forces being contracted as part of the project?	**Low risk** is when there is no direct contact between military or paid security forces and beneficiaries or there is oversight **High risk** is when there is direct contact between military or paid security forces and beneficiaries with limited oversight	Low	No
Project Management				
24	Does the implementing agency already have established codes of conduct explicitly prohibiting SEA/SH that would apply to project actors?	**Low risk** is when codes of conduct explicitly prohibiting SEA/SH do exist **High risk** is when codes of conduct prohibiting SEA/SH do not exist	Low	UNDP CoC explicitly prohibits SEAH
25	Have these codes of conduct explicitly prohibiting SEA/SH been communicated to project actors?	**Low risk** is when codes of conduct explicitly prohibiting [SEA/SH] risks have been communicated to project actors. **High risk** is when codes of conduct explicitly prohibiting [SEA/SH] risks have not been communicated to project actors or where they do not exist.	High	Contractors' workers will be required to sign Code of Conduct to prevent any SEA/SH issues.

Annex 3: UNDP Indicative Outline for ESIA

An ESIA report should include the following major elements (not necessarily in the following order):

(1) Executive summary: Concisely discusses significant findings and recommended actions.

(2) Legal and institutional framework: Summarizes the analysis of the legal and institutional framework for the project within which the social and environmental assessment is carried out, including (a) the country's applicable policy framework, national laws and regulations, and institutional capabilities (including implementation) relating to social and environmental issues; obligations of the country directly applicable to the project under relevant international treaties and agreements; (b) applicable requirements under UNDP's SES; and (c) and standards and/or requirements, including those of any other donors and development partners. Compares the existing social and environmental framework and applicable requirements of UNDP's SES (and th donors/development partners) and identifies any potential gaps that will need to be addressed.

(3) Project description: Concisely describes the proposed project and its geographic, social, environmental, and temporal context, including any offsite activities that may be required (e.g., dedicated pipelines, access roads, power supply, water supply, housing, and raw material and product storage facilities), as well map of sufficient detail, showing the project site and cumulative impacts. (i.e. area of influence).

(4) Baseline data: Summarizes the baseline data that is relevant to decisions about project location, design, operation, or mitigation measures; identifies and estimates the extent and quality of available data, key data gaps, and uncertainties associated with predictions; assesses the scope of the area to be studied and describes relevant physical, biological, and socioeconomic conditions, including any changes anticipated before the project commences; and takes into account current and proposed development activities within the project area but not directly connected to the project.

(5) Social and environmental risks and impacts: Predicts and takes into account all relevant social and environmental risks and impacts of the project, including those re-levelted to Standards). These will include, but are not limited to, the following:

(a) Environmental risks and impacts, including: any material threat to the protection, conservation, maintenance and rehabilitation of natural habitats, biodiversity, and ecosystems; those related to climate change and other transboundary or global impacts; those related to community health and safety; those related to pollution and discharges of waste; those related to the use of living natural resources, such as fisheries and forests; and those related to other applicable standards.[79]

(b) Social risks and impacts, including: any project-related threats to human rights of affected communities and individuals; threats to human security through the escalation of personal, communal or inter-state conflict, crime or violence; risks of gender discrimination; risks that adverse project impacts fall disproportionately on disadvantaged or marginalized groups; any prejudice or discrimination toward individuals or groups in providing access to development resources and project benefits, particularly in the case of disadvantaged or marginalized groups; negative economic and social impacts relating to physical displacement (i.e. relocation or loss of shelter) or economic displacement (i.e. loss of assets or access to assets that leads to loss of income sources or means of livelihood) as a result of project-related land or resource acquisition or restrictions on land use or access to resources; impacts on the health, safety and well-being of workers and project-affected communities; and risks to cultural heritage.

(c) *Gender-specific risks*, including the potential for SEAH and other GBV to occur within the footprint of any proposed sub-project, based on local level baseline assessments and good practice methodology and should consider the: i) degree to which consultative processes have been undertaken with women and other vulnerable minorities in the development of the sub-project; ii) potential for the sub-project to exacerbate SEAH risks, based on the developed baseline, geographic location and extent of the proposed sub-project activities; iii) accessibility of reporting processes or similar grievance redress mechanisms for potential survivors of SEAH or GBV that prioritize the protection of survivors or individuals making any reports.

(6) Analysis of alternatives: Systematically compares feasible alternatives to the proposed project site, technology, design, and operation – including the "without project" situation – in terms of their potential social and environmental impacts; assesses the alternatives' feasibility of mitigating th

[79] For example, the Environmental, Health, and Safety Guidelines (EHSGs), which are technical reference documents with general and industry-specific statements of Good International Industry Practice. The EHSGs contain information on industry- specific risks and impacts and the performance levels and measures that are generally considered to be achievable in new facilities by existing technology at reasonable cost. Available at www.ifc.org/ehsguidelines.

costs of alternative mitigation measures, and their suitability under local conditions; the institutional, training, and monitoring requirements for the alternative mitigation measures; for each of the alternatives, quantifies the social and environmental impacts to the extent possible, and attaches economic values where feasible. Sets out the basis for selecting the particular project design.

(7) Mitigation Measures: Summary of (with attachment of full) Environmental and Social Management Plan (ESMP) (see indicative outline of ESMP below.) The ESMP identifies mitigation measures required to address identified social and environmental risks and impacts, as well as measures related to monitoring, capacity development, stakeholder engagement, and implementation action plan. The ESMP will include specific actions to manage and/or mitigate any identified SEAH risks, in alignment with the SEAH Action Plan developed at a project level.

(8) Stakeholders. Summarizes and links to project Stakeholder Engagement Plan or ESMP that includes plan for consultations. Includes summary of consultations undertaken for development of ESIA (see appendices).

(9) Conclusions and Recommendations: Succinctly describes conclusion drawn from the assessment and provides recommendations. Includes recommendation regarding the environmental risks and impacts.

(10) Appendices: (i) List of the individuals or organisations that prepared or contributed to the social and environmental assessment; (ii) References – setting out the written materials both published and unpublished, that have been used; (iii) Record of meetings, consultations and surveys with stakeholders, including those with affected people and local NGOs. The record specifies the means of such stakeholder engagement that were used to obtain the views of affected groups and local NGOs, summarizes key concerns and how these concerns addressed in project design and mitigation measures; (iv) Tables presenting the relevant data referred to or summarized in the main text; (v) Attachment of any other mitigation plans; (vi) List of associated reports or plans.

Annex 4: UNDP Livelihood Action Plan Outline

A Livelihood Action Plan (LAP) details the **procedures** and **actions** that will be undertaken in order to ensure that the capacity, production levels, and standards of living of economically displaced people are improved or at least restored, and that displaced people are compensated adequately. This plan must be developed after it has been determined, following the process outlined in Standard 5, that displacement is unavoidable. The LAP reflects the commitment made by the Implementing Partner and UNDP to affected people and communities to meet obligations arising from economic displacement.

The LAP covers the following elements:

1. Introduction

Briefly describe the project and associated facilities (if any)

Describe project components requiring economic displacement; land acquisition and resettlement; give overall estimates of land and/or resources to which access has been restricted

Provide explanation of how economic displacement is necessary to achieve the project objectives, how the project is in the 'public interest' and how displacement is proportional to project outcomes

2. Minimizing Displacement

Describe the justification for the displacement. Please also discuss alternative project designs, including the "no project" scenario and if they may have avoided or reduced the resettlement.

Describe efforts and measures to minimize displacement, and expected outcomes of these efforts and measures

Describe how requirements of Indigenous Peoples Standard have been addressed if Indigenous Peoples are displaced.

3. Census and Socioeconomic Surveys/Social Baseline

Provide results of the census, assets inventories, natural resource assessments, and socioeconomic surveys and briefly describe how these were performed, i.e., techniques used, individuals interviewed, etc.

Identify all people and communities potentially affected by displacement activities and potential impacts to each. Be precise about the land titles or the lack thereof in the social baseline. Conduct a vulnerability assessment and outline what determines vulnerability (i.e. which criteria need to be met to consider someone vulnerable)

4. Legal Framework

Describe all relevant international, national, local, and community laws and customs that apply to displacement activities, with particular attention to laws and customs relating to tenure rights and highlight any potential conflicts e.g. between UNDP's SES and national or regional law

Describe how free, prior, informed consent was obtained for displacement of indigenous peoples and tribal communities, if applicable

Describe project-specific mechanisms to address conflicts

Describe entitlement/compensation policies for each type of impact

Describe method of valuation used for affected structures, land, trees, and other assets

Prepare entitlement matrix, which includes budget and timeframe for payment of entitlements

5. Displacement-related Property

Describe how affected people have been involved in a participatory process to identify replacement property when they have lost access to property to which they have legitimate rights. Describe the advantages and disadvantages of the properties, including the property chosen.

Describe how affected people whose livelihoods are urban-based have been involved in a participatory process to identify livelihood replacement and support opportunities. Provide evidence of past consultation events, such as participation lists, photos and reports.

Describe how affected people whose livelihoods are land-based have been involved in a participatory process to identify lands they can access, including lands with productive potential, locational advantages, and other factors at least equivalent to that being lost.

Describe how affected people whose livelihoods are natural resource-based have been involved in a participatory process to identify resources they can access with equivalent livelihood-earning potential and accessibility.

Describe how affected people whose access to legally designated parks and protected areas has been restricted have been involved in identifying and choosing measures to mitigate impacts.

Describe the feasibility studies conducted to determine the suitability of chosen lands and/or natural resources described above, including natural resource assessments (soils and land use capability, vegetation and livestock carrying capacity, water resource surveys) and environmental and social impact assessments of the sites.

Give calculations relating to land and resource availability

Describe, as relevant, mechanisms for: 1) procuring, 2) developing and 3) allotting displacement property, including the awarding of title or use rights to allotted lands and/or resources. Indicate to whom titles and use rights will be allocated, including by gender.

Provide detailed description of the arrangements for site development for agriculture, including funding of development costs

If circumstances made it difficult to provide land or resources as described above, provide evidence of mutual agreement with affected people/communities on alternative measures.

6. Income Restoration

Are compensation entitlements sufficient to improve livelihoods and income streams for each category of impact? Attach independent review of opportunities to enhance incomes/livelihoods. What additional economic rehabilitation measures are necessary?

Briefly spell out the restoration strategies for each category of impact and describe their institutional, financial, and technical aspects

Describe the process of consultation with affected populations and their participation in finalizing strategies for income restoration

How do these strategies vary with the area of impact?

Provide a transparent methodology/formula that is understandable to project-affected people and can be verified for each case.

Does income restoration require change in livelihoods, development of alternative farmlands or some other activities that require a substantial amount of training, time for preparation, and implementation?

How are the risks of impoverishment to be addressed?

What are the main institutional and other risks for the smooth implementation of the resettlement programs?

Describe the process for monitoring the effectiveness of the income enhancement/restoration measures

Describe any social or community development programs currently operating in or around the project area. If programs exist, do they meet the development priorities of their target communities? Are there opportunities to support new programs or expand existing programs to meet the development priorities of communities in the project area?

7. Institutional Arrangements

Describe the institution(s) responsible for delivery of each item/activity in the entitlement policy; implementation of income restoration programs; and coordination of the activities associated with and described in the livelihood action plan

State how coordination issues will be addressed where displacement is spread over a number of jurisdictions or where displacement will be implemented in stages over a long period of time

Identify the agency that will coordinate all implementing agencies. Does it have the necessary mandate and resources?

Describe the external (nonproject) institutions involved in the process of income restoration (land development, land allocation, credit, training) and the mechanisms to ensure adequate performance of these institutions

Discuss institutional capacity for and commitment to displacement

Describe mechanisms for ensuring independent monitoring, evaluation, and financial audit of the LAP and for ensuring that corrective measures are carried out in a timely fashion

8. Implementation Schedule

List the chronological steps in implementation of the LAP, including identification of agencies responsible for each activity and with a brief explanation of each activity

Prepare a month-by-month implementation schedule of activities to be undertaken as part of resettlement implementation

Describe the linkage between resettlement implementation and initiation of civil works for each of the project components

9. Participation and Consultation

Describe the various stakeholders

Describe the process of promoting consultation/participation of affected populations and stakeholders in resettlement preparation and planning. Be specific about which kinds of documentation will have to be collected (photos, reports, attendance lists, etc.)

Describe the process of involving affected populations and other stakeholders in implementation and monitoring

Describe the plan for disseminating LAP information to affected populations and stakeholders, including information about compensation for lost assets, eligibility for compensation, displacement assistance, and grievance redress

10. Grievance Redress

Describe the step-by-step process for registering and addressing grievances and provide specific details regarding a cost-free process for registering complaints, response time, and communication modes

Describe how the mechanism ensured unrestricted access, transparency, accountability, how it documents cases and keeps the complainants informed and the institutional setup.

Describe the mechanism for appeal

Describe the provisions for approaching civil courts if other options fail

11. Monitoring and Evaluation

Describe the internal/performance monitoring process. Ensure monitoring program seeks to measure whether displaced enjoy at least a standard of living and access to livelihoods equal to what they enjoyed before displacement

Define key monitoring indicators derived from baseline survey. Provide a list of monitoring indicators that will be used for internal monitoring, including number and location of displaced persons

Describe institutional (including financial) arrangements

Describe frequency of reporting and content for internal monitoring

Describe process for integrating feedback from internal monitoring into implementation

Define methodology for external monitoring

Define key indicators for external monitoring

Describe frequency of reporting and content for external monitoring. Ensure monitoring program is regular and ongoing following project completion until durable solutions are reached

Describe process for integrating feedback from external monitoring into implementation

Describe arrangements for final external evaluation

Describe need for updates to census, assets inventories, resource assessments, and socioeconomic surveys, if necessary, as part of LAP monitoring and evaluation

12. Costs and Budgets

Provide a clear statement of financial responsibility and authority

List the sources of funds for displacement and describe the flow of funds

Ensure that the budget for displacement is sufficient and included in the overall project budget. Include provisions for non-anticipated adverse impacts.

Identify displacement costs, if any, to be funded by the government and the mechanisms that will be established to ensure coordination of disbursements with the LAP and the project schedule. Prepare estimated budget, by cost and by item, for all displacement costs including planning and implementation, management and administration, monitoring and evaluation, and contingencies

Describe the specific mechanisms to adjust cost estimates and compensation payments for inflation and currency fluctuations

Describe the provisions to account for physical and price contingencies

Describe the financial arrangements for external monitoring and evaluation including the process for awarding and maintenance of contracts for the entire duration of displacement

Annexes

Copies of census and survey instruments, interview formats, and any other research tools

Information on all public consultation including announcements and schedules of public meetings, meeting minutes, and lists of attendees

Examples of formats to be used in monitoring and reporting on LAP implementation

Entitlement matrix

Evidence of prior informed consent for indigenous peoples and tribal communities

Annex 5: UNDP Elements of Biodiversity Action Plan

Where biodiversity values of importance to conservation are associated with a project or its area of influence, the preparation of a Biodiversity Action Plan (BAP) provides a useful means to focus a project's mitigation and management strategy. For project activities that may affect natural habitats, critical habitats and protected areas, Standard 1 notes that a BAP needs to be in place. For projects solely designed to strengthen biodiversity and maintain or restore ecosystems in areas of critical habitat, the project document itself would constitute such a plan. Biodiversity plans are highly encouraged when also operating in modified habitats with biodiversity values of importance to conservation.

Targeted biodiversity-related mitigation and management measures may be integrated into more general Environmental and Social Management Plans (ESMPs) or related plans. However, a BAP provides focused attention to actions in ecologically critical areas. A BAP may be included as part of a broader ESMP.

As noted in the Section 2.1 of this guidance note, National Biodiversity Strategies and Action Plans (NBSAP) are the primary instruments for implementing the Convention on Biological Diversity at the national level. A BAP is a more targeted instrument for enhancing and conserving biodiversity and ecosystem services in particular habitats, demonstrated on an appropriate geographic scale. A BAP should seek to achieve net gains to the biodiversity values for which the critical habitat was designated. A BAP is highly context specific.

There is no one widely recognized, cross-sectoral framework for the development of a BAP. Typically a BAP will be undertaken to address significant gaps in information for undertaking biodiversity-related actions (such as insufficient baseline data or understanding of key biodiversity values) and would articulate a management plan where/when adequate information is available for developing appropriate actions.

General elements of a BAP include the following:

(1) Description of biodiversity context: Identifies national and/or regional biodiversity context; location of projects site/s; relevant physiography; general description of relevant ecosystems, habitats, flora, fauna; priority biodiversity features and components of elevated significance.

(2) Objectives and targets biodiversity actions and mitigation: Identifies measures and actions to enhance and conserve biodiversity and/or in accordance with the mitigation hierarchy avoid, minimize, mitigate, potentially significant adverse social and environmental impacts to acceptable levels. Describes – with technical details – each biodiversity-related action/mitigation measure, including the type of issue/impact to which it relates and the conditions under which it is required (e.g., continuously or in the event of contingencies), together with designs, implementation descriptions and operating procedures, as appropriate; takes into account, and is consistent with, other relevant mitigation plans (e.g. indigenous peoples, economic displacement).

(3) Implementation action plan (schedule, cost estimates and source of financing): Outlines an implementation schedule for measures that must be carried out as part of the project, showing phasing and coordination with overall project implementation plans; and the capital and recurrent cost estimates and sources of funds for implementing the BAP (i.e. budget). Describes institutional arrangements, identifying which party is responsible for carrying out the actions/mitigation and monitoring measures.

(4) Stakeholder Engagement: Outlines context-specific plan to engage in meaningful, effective and informed consultations with relevant stakeholders, including locally affected groups. Includes information on (a) means used to inform and involve affected people and description of effective processes for receiving and addressing stakeholder concerns and grievances regarding the project's social and environmental performance.

(5) Monitoring and reporting: Identifies monitoring objectives and specifies the type of monitoring, with linkages to the biodiversity actions and mitigation measures. Describes parameters to be measured, methods to be used, sampling locations, frequency of measurements, detection limits (where appropriate), and definition of thresholds that will signal the need for corrective actions. Establishes reporting schedule and format.

Annex I: Stakeholder Engagement Plan

TONGA COASTAL RESILIENCE PROJECT

Stakeholder Engagement Plan & Grievance Redress Mechanism

21 September 2023

Quality Information

Document: Tonga Coastal Resilience Project - Stakeholder Engagement Plan

Date: 27 October 2023

Prepared by: Phillip Hawes

Revision History

Revision	Revision Date	Details
0	21 September 2023	Draft for Review
1	27 October 2023	Update following UNDP review

Contents

1 Introduction 224
1.1 Background 224
1.2 Purpose of this Document 224
2 Regulations and Requirements 224
2.1 UNDP Requirements 224
2.2 GCF Requirements 225
2.2.1 Information Disclosure 225
2.2.2 Stakeholder Engagement 226
2.2.3 Grievance Redress 226
2.3 Government of Tonga Requirements 226
3 Overview of the Project 226
4 Principles For Effective Stakeholder Engagement 227
4.1 Tongans as Indigenous Peoples 227
4.2 Stakeholder Identification and Consultation Methods 228
4.2.1 Key Stakeholders 228
4.2.2 Stakeholder Consultation Methods 230
5 Stakeholder Engagement Plan Implementation 233
5.1 Implementing Arrangements 233
5.2 Stakeholder Engagement Action Plan 233
5.3 Public Consultation and Environmental and Social Disclosure 233
5.3.1 Disclosure 237
6 Grievance Redress 237
7 Monitoring and Reporting 237
Appendix 1 – FPIC Processes
Appendix 2 – Grievance Redress Mechanism

Introduction

Background

The proposed GCF Tonga Coastal Resilience project has been developed based on multi-stakeholder discussions and participation of a wide range of stakeholder groups.

Under the leadership of the Ministry of Meteorology, Energy, Information, Disaster Management, Environment, Climate Change and Communications (MEIDECC), climate change related issues and solutions were identified, and they were presented for community discussions, inputs, and endorsement. Relevant stakeholders to be involved in the project implementation, monitoring and evaluation, and post-project operation and maintenance were also identified during the process. Civil society organizations were also fully engaged in the process.

Purpose of this Document

The purpose of Stakeholder Engagement Plan (SEP) is to support the long-term sustainability of the project achievements by providing a formal document outlining the project plans to communicate with stakeholders holding interest or potential interest in the project work and objectives. The engagement plan identifies the potential stakeholders, their interest levels, power, and influence, and is regularly updated to meet stakeholder circumstances.

As most of the population of Tonga can be considered as indigenous for the purposes of UNDP Standard 6, therefore, all consultation activities can be considered to be with indigenous peoples, which is particularly important where the requirement for Free, Prior, Informed, Consent (FPIC) needs to be met (Outputs 1 and 3). The SEP also provides the mechanisms by which the UNDP Standard 6 and obtaining FPIC requirements will be met.

The stakeholder management plan is used for: planning the engagement of stakeholders, developing strategies to reduce or eliminate resistance, valuing local knowledge and experience and creating strategies to increase sharing, support and buy-in. Because planning for stakeholder management generates activities, this plan becomes an input to other subsidiary plans.

The approach is based on the principles of fairness and transparency in selection of stakeholders, ensuring consultation, engagement and empowerment of relevant stakeholders comprehensively for better coordination between them from planning to monitoring and assessment of project interventions; access of information and results to relevant persons; accountability of stakeholders; implementing grievances redress mechanism and ensuring sustainability of project interventions after its completion.

Regulations and Requirements

UNDP Requirements

UNDP is committed to meaningful, effective, and informed stakeholder engagement in the design and implementation of all UNDP projects. UNDP's commitment to stakeholder engagement arises from internal policies, procedures, and strategy documents as well as key international human rights instruments, principles, and numerous decisions of international bodies, particularly as they relate to the protection of citizens' rights related to freedom of expression and participation. UNDP also follows the UN Statement of Common Understanding on Human Rights-Based Approaches to Development Cooperation which provides for "*Participation and Inclusion: Every person and all peoples are entitled to active, free and meaningful participation in, contribution to, and enjoyment of civil, economic, social, cultural and political development in which human rights and fundamental freedoms can be realized*."

In summary, the key UNDP Social and Environmental Standards (SES) stakeholder engagement requirements are:

Ensure meaningful, effective, informed participation of stakeholders in the formulation and implementation of UNDP Programmes and Projects, providing stakeholders opportunities to express their views at all points in the Project decision-making process on matters that affect them. (SES, Part C, paras. 18, 20).

Conduct stakeholder analysis and engagement in a gender-responsive, culturally sensitive, non-discriminatory, and inclusive manner, identifying potentially affected vulnerable and marginalized groups and providing them opportunities to participate (SES, Part C, para. 18).

Develop appropriately scaled Stakeholder Engagement Plans, with level and frequency of engagement reflecting the nature of the activity, magnitude of potential risks and adverse impacts, and concerns raised by affected communities (SES, Part C, para. 21).

Meaningful, effective, and informed consultation processes need to be free of charge and meet specified criteria, including free of intimidation and external manipulation; initiated early and iterative; inclusive; gender and age responsive; culturally appropriate and tailored to language preferences; and based on timely disclosure of relevant, accessible information regarding the project and its social and environmental risks and impacts (SES, Part C, para. 20).

Include differentiated measures to allow effective participation of disadvantaged or vulnerable groups, including persons with disabilities (SES, Part C, para. 20).

Undertake measures to ensure effective stakeholder engagement occurs where conditions for inclusive participation are unfavourable (SES, Part C, para. 18).

Document consultations and report them in accessible form to participants and the public (SES, Part C, paras. 20, 28).

Ensure early and iterative meaningful stakeholder engagement throughout the assessment and management of potential social and environmental risks and impacts (SES, Part C, para. 16).

Ensure that stakeholders who may be adversely affected by the project can communicate concerns and grievances through various entry points, including, when necessary, an effective project-level grievance mechanism, and also UNDP's Stakeholder Response Mechanism and Social and Environmental Compliance Unit (SES, Part C, paras. 23-26, 37).

For projects that affect rights, lands, territories, resources, and traditional livelihoods of indigenous peoples, ensure meaningful consultations and free, prior informed consent (FPIC) (SES, Part C, para. 22; SES, Standard 6, para. 10).

For projects that may involve physical or economic displacement, ensure activities are planned and implemented collaboratively with meaningful and informed participation of those affected (SES, Standard 5).

Provide ongoing reporting to affected communities and individuals for projects with significant adverse social and environmental impacts (SES, Part C, para. 34).

Seek to identify, reduce, and address the risk of retaliation and reprisals against people who may seek information on and participation in project activities, express concerns and/or access project-level grievance redress processes/mechanisms or UNDP's Stakeholder Response Mechanism or Social and Environmental Compliance Unit (SES, Part C, para. 27).

Ensure that stakeholder analysis and engagement are conducted in a gender-responsive, culturally sensitive, non-discriminatory, and inclusive manner, identifying potentially affected vulnerable and marginalized groups and providing them opportunities to participate. (SES, Part C, para. 18).

GCF Requirements

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

Information Disclosure

The GCF Information Disclosure Policy operationalizes its commitment by ensuring transparency, public access to information and stakeholder participation in all its activities. The Information Disclosure Policy requires that relevant information, including with respect to environmental and social issues, is made available to the affected and potentially affected communities and external stakeholders.

GCF requires that all additional environmental and social safeguards documents be disclosed. These documents may include a suite of assessment and management instruments, such as resettlement action plans and policy frameworks, indigenous peoples' plans, and planning frameworks, gender assessments and gender action plans, and environmental and social due diligence and audit reports. These documents will complement the environmental and social reports or core safeguards instruments – and should be disclosed in the same manner and timeframe as the core instruments.

GCF require accredited entities, including intermediaries, to ensure the effective engagement of communities and individuals, including transboundary, vulnerable, and marginalised groups and individuals that affected or potentially affected by the activities proposed for GCF financing. The disclosure of information, meaningful consultation, and informed participation is to be designed and undertaken in a manner that takes into consideration the risks and impacts, including where appropriate transboundary impacts as well as opportunities to enhance environmental and social outcomes of the proposed Environmental and Social Policy activities, starting from the design and development of activities and will continue throughout the lifecycle of the activities.

Stakeholder Engagement

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

GCF's Indigenous Peoples Policy reflects the importance of fully and effectively engaging with indigenous peoples in the design, development and implementation of the strategies and activities to be financed by GCF, while respecting their rights

The implementation of this SEP, the project ESMF and the Grievance Redress Mechanism along with Tongan Law will ensure that the project is aligned with the GCF policies.

Grievance Redress

GCF requires that accredited entities inform the communities affected, or likely to be affected, by the GCF-financed activities about the grievance and redress mechanisms at all three levels, at the earliest opportunity of the stakeholder engagement process and in an understandable format and in all relevant languages.

At the GCF level, the independent Redress Mechanism will address the grievances and complaints filed by persons, groups of persons or communities or on their behalf by governments or a representative, duly authorised to act in such a capacity, who may be or have been affected by the adverse impacts including transboundary impacts of the projects, in connection to the GCF-financed activities. In the event of a complaint being filed with the independent Redress Mechanism, the accredited entities will cooperate with the independent Redress Mechanism and GCF.

Government of Tonga Requirements

The Tongan EIA law requires the participation of public in the assessment process, however the form it takes is not defined.

Overview of the Project

Broadly, the three Outcomes of the project have the following key stakeholders:

Outcome 1: Strengthened knowledge, capacity and engagement for incorporating climate risks into long-term adaptation planning supported through multi-sectoral, multi-stakeholder engagement and dialogue platform.

This Outcome focuses on establishing a dialogue platform, facilitating evidence-based discussions about the impact on climate change on coastal communities, and raising awareness about and preparedness for internal relocation driven by climate risks. As such, in principle, every single individual in the country is a key stakeholder for this Output. But on a day-to-day basis for project implementation, key stakeholders include the Ministry of Lands, Survey and Natural Resources, Ministry of Internal Affairs, NGOs and CSOs, members of parliament, village and island development committee members, nobles and other landowners, and businesses. They will be engaged in

awareness raising and consultation meetings throughout the implementation of the project to elicit their views on the issue of possible internal migration and have them reflected in the revision of the national land use plan.

Outcome 2: Strengthened national and local capacities for effective monitoring and assessment of climate risks.

Outputs 2.1 and 2.2 are designed to build the national capacity for continuous collection, monitoring and assessment of coastal or marine data for improved understanding of coastal processes and the status of coastal resilience. While a large part of the budget will be used for building the technical capacity within central government ministries and departments, NGOs and community members are expected to play a distinct role especially in monitoring the status of marine ecosystems and water quality. Local community and NGOs, with support from the Ministry of Internal Affairs, are expected to play a central role in the implementation of Activity 2.3, where continuation and expansion of Outputs 2.1 and 2.3 will be discussed in the context of Community Development Plans (CDP). The existing platforms for CDP formulation will be utilized and strengthened. In particular, District/Town Officers and community groups such as women's and youth groups will be considered a key stakeholder because their responsibilities will be more clearly defined, and their capacity to fulfil the responsibilities strengthened, in the specific context of CDP formulation, resource mobilization and execution of priority actions.

Outcome 3: Reduced vulnerabilities of coastal communities in Hahake to climate hazards through coastal protection measures.

This Outcome will be delivered by a range of partners. Output 3.1, which aims to put in place hard engineered solutions to reduce the risk of coastal erosion and storm surges in the Northeastern coasts of Tongatapu, will be led by the Ministry of Infrastructure. In Outputs 3.1 and 3.2, community members are expected to play an important role for operation and maintenance of the GCF investments in the form of cleaning of culverts/drainage, visual observations of structural damages of the revetments and continuous monitoring of marine/coastal habitats. Commitment for community engagement during and beyond the project implementation will be specifically agreed on during the operation and maintenance consultations as part of Output 3.1.

Principles For Effective Stakeholder Engagement

Stakeholder engagement is usually informed by a set of principles defining core values underpinning interactions with stakeholders. Common principles based on International Best Practice include the following:

- Commitment is demonstrated when the need to understand, engage and identify the community is recognised and acted upon early in the process.
- Integrity occurs when engagement is conducted in a manner that fosters mutual respect and trust
- Respect is created when the rights, cultural beliefs, values and interests of stakeholders and affected communities are recognised.
- Transparency is demonstrated when community concerns are responded to in a timely, open and effective manner.
- Inclusiveness is achieved when broad participation is encouraged and supported by appropriate participation opportunities.
- Trust is achieved through open and meaningful dialogue that respects and upholds a community's beliefs, values and opinions.

Tongans as Indigenous Peoples

Although there is no specific indigenous peoples status in Tongan national political and legal frameworks, Tongans are considered under UNDP standards as an "indigenous people", in the sense of a distinct collective which has pursued its own concept and way of human development in a given socio-economic, political and historical context; has tried to maintain its distinct group identity, languages, traditional beliefs, customs, laws and institutions, worldviews and ways of life; has exercised control and management of the lands, territories and natural resources that it has historically used and occupied, with which it has a special connection, and upon which its physical and cultural survival as indigenous peoples typically depends; and pre-dates those who colonized the lands in Oceania – though Tonga itself was never colonized.

The special relationship that Tongans have with their lands, territories, resources means that their landscape and land management practices are embedded within their Cultural Heritage. Although Western influence has somewhat altered traditions and culture in Tonga, certain Tongan rituals and art forms survive.

The proposed project activities were screened against UNDP's Social and Environmental Standards (SES) wherein Standard 6 was triggered. However, as Standard 6 applies to almost all of the population, it is considered that a separate Indigenous Peoples Plan is not required, rather the requirements of the standard can be met by being integrated into the ESMP and Stakeholder Engagement Plan (SEP).

As noted in the ESMF and UNDP Standard 6 Guidance Note, while all consultations with indigenous peoples should be carried out in good faith with the objective of achieving agreement, Standard 6 stipulates circumstances in which Free, Prior, Informed, Consent (FPIC) must be pursued and secured before proceeding with the specified actions:

Rights, lands territories, resources, traditional livelihoods: FPIC will be ensured on any matters that may affect the rights and interests, lands, resources, territories (whether titled or untitled to the people in question) and traditional livelihoods of the indigenous peoples concerned. Project activities that may adversely affect the existence, value, use or enjoyment of indigenous lands, resources or territories shall not be conducted unless agreement has been achieved through the FPIC process. (Requirement 9)

Resettlement: No relocation of indigenous peoples will take place without the free, prior and informed consent (FPIC) of the indigenous peoples concerned and only after agreement on just and fair compensation, and where possible, with the option of return (Requirement 8).

Cultural Heritage: UNDP will respect, protect, conserve and not take or appropriate the cultural, intellectual, religious and spiritual property of indigenous peoples without their free, prior and informed consent (Requirement 13d).

It has been determined for the Tonga Coastal Resilience Project, Standard 6 is triggered and Outputs 1 and 3 will require Free, Informed and Prior Consent (FPIC). Appendix 1 outlines the process that will be required to be followed for these Outputs to obtain FPIC. Further information about Standard 6 and FPIC can be found on the UNDP SES Toolkit page.80

In all cases, no activities (Activities 1.1 and 1.2 and Activity 3.1) predicated on the granting of FPIC should be initiated until the outcomes of the FPIC process are validated and any required mitigation measures are in place.

Stakeholder Identification and Consultation Methods

Key Stakeholders

Key stakeholders for the project include GCF, UNDP, Project Team, Government of Tonga, Local government and traditional leaders, communities, and beneficiaries, directly affected landholders, project contractors and workers, civil society groups and local NGOs.

Table 6 provides a summary stakeholder analysis.

As already noted, most of the population of Tonga can be considered as indigenous for the purposes of UNDP Standard 6. Therefore, all consultation activities can be considered to be with indigenous peoples, which is particularly important where the requirement for Free, Prior, Informed, Consent (FPIC) needs to be met (Outputs 1 and 3). Refer to Appendix 1 for further information on the FPIC process.

80 https://info.undp.org/sites/bpps/SES_Toolkit/SES%20Document%20Library/Uploaded%20October%202016/FINAL%20FPIC%20FAQ%20Guidance%20-%20June%2015%202022.pdf

Table 6 Stakeholder Analysis Overview

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

Women's and youths' organizations, people with disability	Gender equity and employment opportunities	+	4	4
Civil society groups and local NGOs	Environmental and social issues	0	4	

Stakeholder Consultation Methods

There are a variety of engagement techniques used to build relationships with stakeholders, gather information from stakeholders, consult with stakeholders, and disseminate project information to stakeholders.

When selecting an appropriate consultation technique, culturally appropriate consultation methods, and the purpose for engaging with a stakeholder group should be considered. The techniques mostly used in Tonga are listed in the Table below. The Table that follows on Target Audience and Key Messages Overview outlines how and why some of the techniques from the table on Common consultation methods would be used depending on target audience.

Table 7 Common consultation methods in Tonga

Engagement Technique	**Appropriate application of the technique**
Correspondences (Phone, Emails)	Distribute information to Government officials, NGOs, Local Government, and organisations / agencies Invite stakeholders to meetings and follow-up
One-on-one meetings	Seeking views and opinions Enable stakeholder to speak freely about sensitive issues Build personal relationships Record meetings
Formal meetings	Present the Project information to a group of stakeholders Allow group to comment – opinions and views Build impersonal relation with high level stakeholders Disseminate technical information Record discussions
Public meetings	Present Project information to a large group of stakeholders, especially communities Allow the group to provide their views and opinions Build relationship with the communities, especially those impacted Distribute non-technical information Facilitate meetings with presentations, PowerPoint, posters etc. Record discussions, comments, questions.
Focus group meetings	Present Project information to a group of stakeholders Allow stakeholders to provide their views on targeted baseline information Build relationships with communities Record responses
Project website	Present project information and progress updates Disclose ESIA, ESMP and other relevant project documentation Seek feedback
Media, including social media	Present project information and progress updates Share information on project activities

Direct communication with affected land/asset owners	Share information on timing of works Agree options for removing / relocation of assets
Road signs	Share information on project activities Reminders of potential impacts
Project leaflet / newsletter	Brief project information to provide regular update Site specific project information Invite feedback

Table 8 Target Audience and Key Messages Overview

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

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

Stakeholder Engagement Plan Implementation

Implementing Arrangements

The SEP will be aligned with the project implementation arrangements as shown in Figure . In recognition of the importance of stakeholder engagement and communication, there will be a dedicated Communications Officer in the PMU.

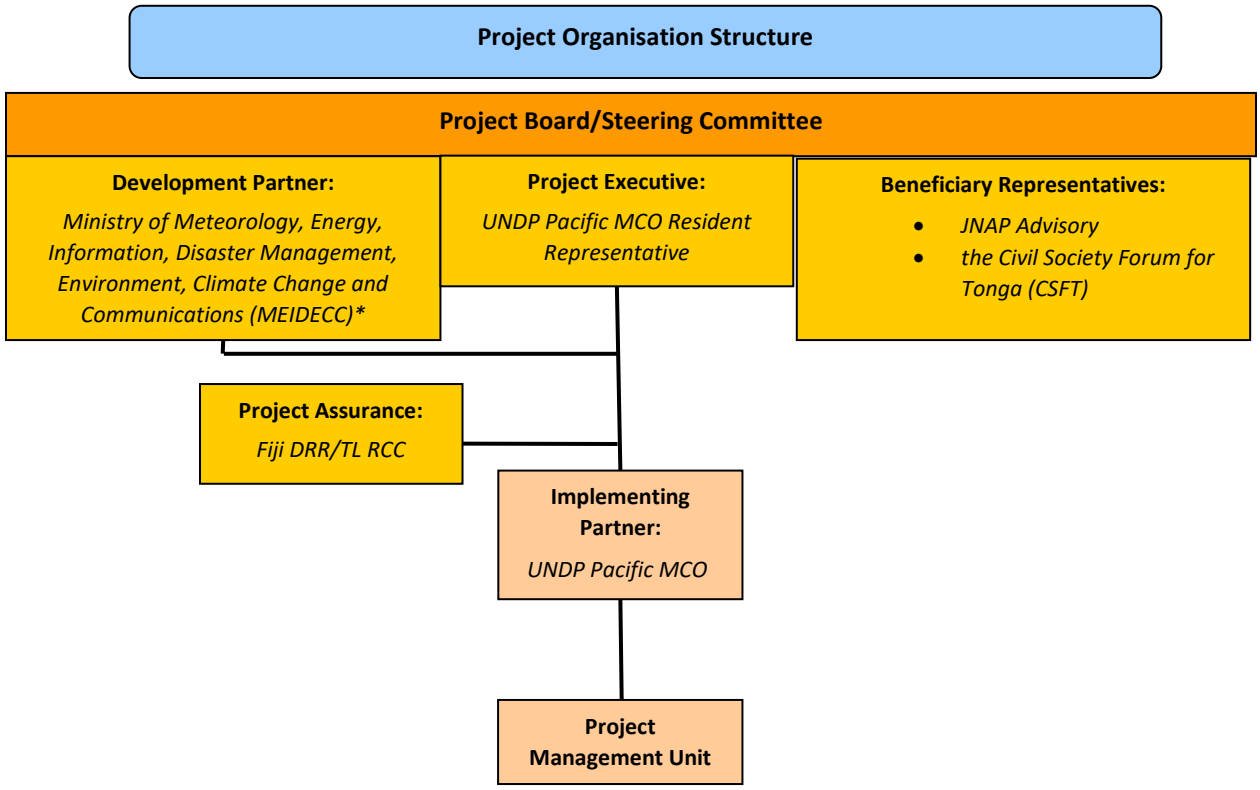


Figure 10 High-level project organisational structure

Stakeholder Engagement Action Plan

In general, the SEP implementation begins at the inception workshop which will be held at the capital city of Nuku'alofa. Government departments, Nuku'alofa-based Island Development Committees from Ha'apai and Vava'u, Members of Parliaments from these two island groups, NGOs/CSOs and citizens will be invited to the workshop and the focus of the project, the timing of island visits and stakeholder consultations, types and nature of adaptation investments, and expectations from stakeholders engaged will be presented.

Workshops and training activities that serve as key avenues for community engagement are shown in the table below. Due to the interconnectivity of some of the project activities (especially Output 1 and Activity 2.2), some of the workshops/training will be jointly organized with multiple objectives covering different elements of the project.

By no means is the table below intended to be an exhaustive list of opportunities for stakeholder engagement. Informal stakeholder engagement will certainly take place at any time as needed, especially as the project implementation architecture includes a full-time, project-financed officer (Junior Climate Change Officer) who will be posted in Tongatapu, offering uninterrupted opportunities for community members to interact with project staff as needed.

Public Consultation and Environmental and Social Disclosure

The UNDP and MEIDECC will develop and release updates on the project on a regular basis to provide interested stakeholders with information on project status. Updates may be via a range of media eg print, radio, social media or formal reports. A publicized telephone number will be maintained throughout the project to serve as a point of contact for enquiries, concerns, complaints and/or grievances. All material must be published in English and Tongan as appropriate.

All enquiries, concerns, complaints and/or grievances will be recorded on a register and the appropriate manager will be informed. Some enquiries, concerns, complaints and/or grievances may require an extended period to address. The complainant(s) will be kept informed of progress towards rectifying the concern. All enquiries, concerns, complaints and/or grievances will be investigated, and a response given to the complainant in a timely manner. A grievance redress mechanism has been developed to address any complaints that may not be able to be resolved quickly.

Nominated PMU/contractor staff will be responsible for undertaking a review of all enquiries, concerns, complaints and/or grievances and ensuring progress toward resolution of each matter.

Table 9 Key Stakeholder Workshops and Activities

Activity	Title	Timing	Objective	Location	Stakeholders
1.1	Awareness campaign for resilient, long-term land use plan	Yr 1, 2 & 3	Initial community mobilization, awareness	Tongatapu	Local communities, Town/District Officers, NGOs, MIA
1.1	Agreement of on process for FPIC for solutions, particularly voluntary retreat	Yr 1	Community agreement to engagement platform / representatives and process for developing/agreeing to long-term adaptation plans	Various	Local communities, Town/District Officers, NGOs, MIA
1.2	Community dialogue on long-term adaptation options as part of SESA and FPIC process	Yr 1	Community understanding of potential impacts (particularly displacement) and agreement to process. Ensuring FPIC process followed	Various	NGOs; communities; MIA
1.2	National consultations with Government, nobles and landowners.	Yr 3, 4 & 5	Inputs from the stakeholders and providing inputs about climate risks	Tongatapu	Government departments, nobles and landowners
1.2	Community dialogue on long-term adaptation plans being developed	Yr 4 & 5	Community inputs to options, review and endorsement of plans being developed. FPIC for options proposed.	Tongatapu	NGOs, communities, MIA
1.2	National workshops on results	Yr 5 & 6	To present results from the national consultation process	Tongatapu	Community representatives, members of parliament, government staff, nobles, landowners, businesses
2.3	Community awareness campaign	Yr 2	Presentation of project objective in alignment with CDPs	Tongatapu	NGOs; communities; District/Town Officers; MEIDECC; MIA
2.3	Capacity building on vulnerability assessments, gender	Yr 2, 3, 4, 5 & 6	To build the local technical capacity in the context of CDPs	Tongatapu	Local communities, Town/District Officers, NGOs, MIA

Activity	Title	Timing	Objective	Location	Stakeholders
	and adaptation needs assessment				
2.3	Capacity meeting on management strengthening for village committees, local government and NGOs/CSOs	Yr 2, 3, 4 & 5	To build the local technical capacity in the context of CDPs	Tongatapu	Local communities, Town/District Officers, NGOs, MIA
2.3	Community consultations for CDP guidelines	Yr 5 & 6	To seek inputs on revising the CDP guideline based on lessons from the project	Tongatapu	Local communities, Town/District Officers, NGOs, MIA
2.3	National event sharing lessons from CDP revision	Yr 6	To disseminate lessons to communities outside of the project target site	Tongatapu	NGOs; communities; District/Town Officers; MEIDECC; MIA
3.1	ESMP community consultations	Continuous	To update ESMP requirements and scope of work; to provide opportunities for community feedback on project implementation especially construction activities	Tongatapu	Local communities, Town/District Officers, MoI
3.1	Site specific assessment	Yr1	Community input and agreement (FPIC) into option selection and the final design.	Hahake (NE TT)	Communities in Hahake; MoI; MIA
3.1	*Community O&M consultation*	Yr 1, 2 & 3	Assignment of responsibilities for O&M	Hahake	Communities in Hahake; MoI;MIA
3.1	*Technical Evaluation*	Yr 6	Community input in impact evaluation	Hahake	Communities in Hahake: MoI
3.2	*Production of publication on lessons learned*	Yr 5	Community inputs on lessons learned	Tongatapu	NGOs; communities

Disclosure

Disclosure of relevant project information helps stakeholders effectively participate. The UNDP will disclose information in a timely manner, that is accessible and culturally appropriate, placing due attention to the specific needs of community groups that may be affected by project implementation (such as literacy, gender, differences in language or accessibility of technical information or connectivity).

UNDP has a Transparency Portal to publicly disclose projects' documentation related to environmental and social safeguards (eg environmental and social analyses, ESIAs, ESMFs and ESMPs, indigenous peoples and social inclusion plans and other relevant documents. The website is: https://open.undp.org/

Grievance Redress

As noted earlier, UNDP and GCF both have policies of information disclosure and transparency, this includes ensuring that stakeholders who may be adversely affected by the project can communicate their concerns and grievances. In line with these policies, a project specific Grievance Redress Mechanism (GRM) has been developed (Appendix 2).

During implementation, and particularly construction phases of any project, a person or group of people can be adversely affected, directly or indirectly due to the project activities. The grievances that may arise can be related to social issues such as eligibility criteria and entitlements, disruption of services, temporary or permanent loss of livelihoods and other social and cultural issues. Grievances may also be related to environmental issues such as excessive dust generation, damages to infrastructure due to construction related vibrations or transportation of raw material, noise, traffic congestions, decrease in quality or quantity of private/ public surface/ ground water resources during irrigation rehabilitation, damage to home gardens and agricultural lands, etc.

The Grievance Redress Mechanism is for people seeking satisfactory resolution of their complaints on the environmental and social performance of the project.

Special attention will be placed on ensuring that grievances related to gender issues, such as harassment, will be catered for, and that the grievance process will be designed in such a way that it facilitates access for women.

In addition to the project-level and national grievance redress mechanisms, complainants have the option to access two additional independent grievance mechanisms:

UNDP Stakeholder Response Mechanism - www.undp.org/secu-srm

GCF Independent Redress Mechanism - https://irm.greenclimate.fund

Monitoring and Reporting

The PMU will monitor the impacts of stakeholder engagement activities. Stakeholder engagement will form a regular agenda item at PMU meetings. Issues and risks identified will be recorded in the project Risk Register for ongoing monitoring and/or actioning as appropriate.

A summary of all stakeholder engagement activities will be collated and made available to the public e.g., in Annual Project Implementation Report. The summary will contain the following information as a minimum:

- Stakeholder engagement activities implemented
- Dates and venues of engagement activities
- Information shared with stakeholders
- Outputs including issues addressed.

Outcomes of sharing sessions, consultations or responses to issues raised will be reported back to communities e.g., via the project website, newsletters, radio program, visits, meetings, etc.

The Stakeholder Engagement Plan will be monitored, reviewed at least annually and updated as required.

The Annual Performance Report will include a section on Stakeholder Engagement.

Appendix 1 – FPIC Process

Introduction

Free Prior Informed Consent (FPIC) is a decision-making process without pressure and intimidation (free), which is performed before the activity that affects the community is undertaken (prior), with the possession of full and accurate knowledge about the activity and its impact on the community (informed), so that the community can either provide or withhold its permission over the activity (consent).

It has been determined that FPIC will be required for Outputs 1 (Activities 1.1 and 1.2) and 3 (Activity 3.1), therefore the following process must be applied to those Outputs.

Steps for Achieving FPIC

The FPIC process should follow the six steps summarised in Figure A1.



Figure A-1: Steps for the FPIC process.

Step 1 - Scoping

a) Identify Indigenous peoples and local communities with potential interests in the land or resources that may be impacted by the proposed activity.

b) Identify any rights, claims, or interests of these communities to land or resources in or adjacent to the site(s) or area(s) of the proposed activity.

c) Identify any sites, resources, habitats, and landscapes of global or national cultural, archaeological or historical significance, and/or of critical cultural, ecological, economic, or religious/sacred importance for the traditional cultures of local communities or indigenous peoples which may be impacted by the proposed activity, project, or expansion. These sites should be identified through engagement with these local communities.

d) Identify whether the proposed activity, project, or expansion may diminish the rights, claims, or interests identified in Steps 1 – b and c. This is the case in circumstances including, but not limited to, the following:

Land currently used by communities, or members of a community, for primary subsistence activities would no longer be available to these people for these activities.

Communities, or members of a community, would cease to have access, or would have diminished access, to natural resources used for local consumption or subsistence.

Communities, or members of a community, would cease to have access, or would have diminished access, to sites with religious/sacred or cultural importance.

The sites, resources, habitats, and landscapes of global or national cultural, archaeological or historical significance, and/or of critical cultural, ecological, economic, or religious/sacred importance for the traditional cultures of local communities must be identified through engagement with these local communities.

Step 2 – Planning, Research and Assessment

a) Conduct participatory mapping of land and natural resource use.

b) Assess potential impacts (positive and negative) of the project.

c) Involve independent parties to support the mapping and assessment process. Communities have the right to choose an independent party that can support them in the FPIC process. These independent parties could include local NGOs. Independent parties should also be involved in the FPIC process to act as an impartial verifier of compliance with the steps and agreements of the FPIC process.

d) Re-define and revise the project, if necessary, to address potential impacts relative to the rights of indigenous peoples and local communities.

Step 3 - Consultation

a) Provide community representatives with a description of project activities, benefits, and impacts, presented in an accessible and appropriate way to community representatives' education levels and to the cultural context.

b) Allow time for the community to consult internally regarding the acceptability of the proposed project.

c) Consult the community to determine if they will agree to the project (STOP / GO decision), and under what conditions.

d) Re-define and revise the project, if necessary, to address the concerns raised by the community during the consultation.

Step 4 - Negotiation

a) If the community is amenable to the project, negotiate terms of agreement for proceeding, including provisions such as continued access to the affected lands and resources, just and fair compensation for loss of use of land and resources, commensurate with such loss, and/or an equitable share in the project benefits.

b) Facilitate access to legal advice for communities to support them in the negotiation process if necessary. Legal advice and access to independent parties should be available to communities throughout the FPIC process, but especially in the negotiation phase.

Develop a plan for participatory monitoring and conflict resolution, which includes an agreed mechanism for the community and its members to raise grievances and have these grievances duly considered and resolved.

Step 5 - Agreement

a) At the end of the consultation and negotiation process, agree clearly with community representatives whether they accept the proposed activity, project, or expansion (STOP / GO decision) and the conditions that must be met for their agreement.

b) Finalize the agreement, including all the agreed conditions, and secure endorsement from any other relevant stakeholders, such as the local authorities, as necessary. See below for recommended elements in an agreement.

Step 6 - Implementation

a) Implement the agreement, including the agreed-upon forms of compensation, benefit sharing, and/or continued access or other conditions (as applicable).

b) Implement the participatory monitoring and conflict resolution (GRM) plan.

Elements of an Agreement

As a best practice, agreements should include the following elements:

Summary of program, project, and/or activity information (location, duration, area of influence, objectives, and impacts).

Clear signatory parties or an alternative customary binding practice that will be used to finalize the agreement, indicating the chosen representatives, their role in the community, how they were chosen, and their responsibility and role as representatives.

Whether any ownership, titles, or use rights change and how, including whether any constituents will exchange their rights or titles for compensation and how negative impacts will be avoided, mitigated, or compensated.

Mutually agreed upon, substantive evidence of consent (e.g., written documentation, observed verbal commitment, recordings, or photographs [only if participants have given consent], third-party interviews when customary processes are used).

Communication arrangements:

- The best way to communicate with the representatives includes consideration of the language spoken, the level of literacy, and cultural considerations and etiquette to be followed when communicating with leaders, elders, or spiritual/religious figures.
- How the representatives will ensure that they speak for the community as a whole, taking into consideration marginalized groups such as women, youth, the elderly, or individuals with disabilities.
- How the dialogue will be shared with constituents and how their inputs will be solicited for decision making.
- How disputes will be resolved.

Agreed feedback, a complaints mechanism, and provision of access to a remedy (if the project GRM needs to be modified, then it should be so).

A monitoring (for compliance with the agreement) and evaluation plan, including community participation and feedback.

Terms for revision, including a means to revisit and/or revise as the program or project progresses.

Terms for the withdrawal of consent.

Independent verification provisions (e.g., verification of the process used to reach the negotiated agreement and/or continuous monitoring of the agreement).

Appendix 2

Grievance Redress Mechanism

Introduction

During the construction and implementation phases of any project, a person or group of people can be adversely affected, directly or indirectly due to the project activities. The grievances that may arise can be related to social issues such as eligibility criteria and entitlements, disruption of services, temporary or permanent loss of livelihoods and other social and cultural issues. Grievances may also be related to environmental issues such as excessive dust generation, damages to infrastructure due to construction related vibrations or transportation of raw material, noise, traffic congestions, decrease in quality or quantity of private/ public surface/ ground water resources during irrigation rehabilitation, damage to home gardens and agricultural lands etc.

Should such a situation arise, there must be a mechanism through which affected parties can resolve such issues in a cordial manner with the project personnel in an efficient, unbiased, transparent, timely and cost-effective manner.

The project allows those that have a complaint and/or grievance or that feel aggrieved by the project to be able to communicate their concerns and/or grievances through an appropriate process.

While recognising that many complaints and/or grievances may be resolved immediately, the Grievance Redress Mechanism encourages mutually acceptable resolution of issues as they arise. The process has been designed to:

- be a legitimate process that allows for trust to be built between stakeholder groups and assures stakeholders that their concerns will be assessed in a fair and transparent manner;
- allow simple and streamlined access to the Complaints Register and Grievance Redress Mechanism for all stakeholders and provide adequate assistance for those that may have faced barriers in the past to be able to raise their concerns;
- provide clear and known procedures for each stage of the Grievance Redress Mechanism process, and provides clarity on the types of outcomes available to individuals and groups;
- ensure equitable treatment to all concerned and aggrieved individuals and groups through a consistent, formal approach that, is fair, informed, and respectful to a concern, complaint and/or grievance;
- to provide a transparent approach, by keeping any aggrieved individual/group informed of the progress of their complaint and/or grievance, the information that was used when assessing their complaint and/or grievance and information about the mechanisms that will be used to address it; and
- enable continuous learning and improvements to the Grievance Redress Mechanism. Through continued assessment, the learnings may reduce potential complaints and grievances.

Eligibility criteria for the Grievance Redress Mechanism include:

- Perceived negative economic, social, or environmental impact on an individual and/or group, or concern about the potential to cause an impact;
- clearly specified kind of impact that has occurred or has the potential to occur; and explanation of how the project caused or may cause such impact; and
- individual and/or group filing of a complaint and/or grievance is impacted, or at risk of being impacted; or the individual and/or group filing a complaint and/or grievance demonstrates that it has authority from an individual and or group that have been or may potentially be impacted on to represent their interest.

Local communities and other interested stakeholders may always raise a complaint and/or grievance to the MEIDECC. Affected local communities should be informed about the grievance mechanism and how to make a complaint and/or grievance.

Complaints Register

Where there is a community issue raised, the following information will be recorded:

time, date and nature of enquiry, concern, complaints and/or grievances

- type of communication (e.g. telephone, letter, personal contact)
- name, contact address and contact number
- response and investigation undertaken because of the enquiry, concern, complaint and/or grievance
- actions taken and name of the person taking action.

A complaints register will be established as part of the project to record any concerns raised by the community during construction. Any complaint and/or grievance will be advised to the UNDP and MEIDECC within 24 hours of receiving the complaint and/or grievance. The complaint and/or grievance will be screened. Following the screening, complaints and/or grievances regarding corrupt practices will be referred to the UNDP for commentary and/or advice along with the MEIDECC.

Wherever possible, the project team will seek to resolve the complaint and/or grievance as soon as possible, and thus avoid escalation of issues. However, where a complaint and/or grievance cannot be readily resolved, then it must be escalated.

Grievance Redress Mechanism

The Grievance Redress Mechanism has been designed to be problem-solving mechanism with voluntary good-faith efforts. The Grievance Redress Mechanism is not a substitute for the legal process. The Grievance Redress Mechanism will be as far as practicable, try to resolve complaints and/or grievances on terms that are mutually acceptable to all parties. When making a complaint and/or grievance, all parties must always act in good faith and should not attempt to delay and or hinder any mutually acceptable resolution.

To ensure smooth implementation of the Project and timely and effectively addressing of problems that may be encountered during implementation, a robust Grievance Redress Mechanism, which will enable to the Project Authorities to address the grievances of the stakeholders of the Project has been established.

All complaints regarding social and environmental issues can be received either orally (to the field staff and/or MEIDECC), by phone, in the complaints box or in writing to the UNDP, PMU or the Construction Contractor. A key part of the grievance redress mechanism is the requirement for the PMU and construction contractor to maintain a register of complaints received at the respective project site offices. All complainants shall be treated respectfully, politely and with sensitivity. Every possible effort should be made by the PMU and construction contractor to resolve the issues referred to in the complaint within their purview. However, there may be certain problems that are more complex and cannot be solved through project-level mechanisms. Such complaints will be referred to the Grievance Redress Committee.

The Grievance Redress Mechanism has been designed to ensure that an individual and/or group are not financially impacted by the process of making a complaint and/or grievances. The Grievance Redress Mechanism will cover any reasonable costs in engaging a suitably qualified person to assist in the preparation of a legitimate complaint and/or grievance. Where a complaint and/or grievance is seen to be ineligible, the Grievance Redress Mechanism will not cover these costs.

Information about the Grievance Redress Mechanism and how to make a complaint and/or grievance must be placed at prominent places for the information of the key stakeholders.

The Communications Officer in the PMU or a designated person from the PMU will be designated as the key officer in charge of the Grievance Redress Mechanism. The Terms of Reference for these positions (as amended from time to time) will have the following key responsibilities:

- coordinate formation of Grievance Redress Committees before the commencement of constructions to resolve issues
- act as the focal point at the PMU on Grievance Redress issues and facilitate the resolution of issues within the PMU

- create awareness of the Grievance Redress Mechanism amongst all the stakeholders through public awareness campaigns
- assist in redress of all grievances by coordinating with the concerned parties
- maintain information on grievances and redress
- monitor the activities of MEIDECC on grievances issues
- prepare the progress for monthly/quarterly reports.

A two-tier Grievance Redress Mechanism structure has been developed to address all complaints and/or grievances in the project. The first trier redress mechanism involves the receipt of a complaint and/or grievance at the village/town and/or district level. The stakeholders are informed of various points of making complaints and/or grievances (if any) and the District/Town Officer or the Communications Officer from the PMU collect the complaint and/or grievances from these points on a regular basis and record them. This is followed by coordinating with the concerned people to redress the grievances. The Communications Officer of the PMU will coordinate the activities at the respective district and/or village level to address the grievances and would act as the focal point in this regard. The District/Town Officer or any officer given the responsibility of this would coordinate with the Communications Officer and MEIDECC in redressing the grievances. The designated officer of the Local Authorities is provided with sufficient training in the procedure of redress to continue such systems in future.

The grievance must be made orally (to the field staff) or in writing to the UNDP, Communications Officer, Safeguards Officer, MEIDECC or the Construction Contractor. Complainants may specifically contact the Communication Officer and request confidentiality if they have concerns about retaliation. In cases where confidentiality is requested (i.e. not revealing the complainant's identity to UNDP, MEIDECC and/or the Construction Contractor). In these cases, the Communication Officer will review the grievances, discuss it with the complainant, and determine how best to engage project executing entities while preserving confidentiality for the complainant.

As soon as a complaint and/or grievance is received, the Communication Officer would issue an acknowledgement. The District/Town Officer receiving the complaint and/or grievance should try to obtain relevant basic information regarding the grievance and the complainant and will immediately inform the Communication Officer in the PMU.

The PMU will maintain a Complaint/Grievance Redress register at the District Level. Keeping records collected from relevant bodies is the responsibility of PMU.

GRM Process

After registering the complaint and/or grievance, the Communication Officer will study the complaint and/or grievance made in detail and forward the complaint and/or grievance to the concerned officer with specific dates for replying and redressing the same.

GBV/SEAH Related Complaints

For GBV/SEAH related complaints, a victim-centred approach is to be taken. The victim-centred approach puts the rights and dignity of victims, including their well-being and safety, at the forefront of all efforts to prevent and respond to sexual exploitation and abuse and sexual harassment, regardless of the affiliation of the alleged perpetrator.

The victim-centred approach is founded on the rights of victims and a set of guiding principles. It refers to a systematic way of engaging with victim(s), from the moment that allegations are known and in every subsequent interaction. It requires the empathetic, individualized, holistic delivery of continuous and reliable services in a non-judgmental and non-discriminatory manner.

The priority is creating an enabling environment in which victims can speak to someone they can trust, safely and confidentially, that they will be listened to and heard, feel supported and empowered, and that they can express their needs and wishes.

Victims must be fully informed at every stage of the process, including about what they can expect and what is and is not possible, and to have the opportunity to provide consent before any action is taken on their behalf, giving

them back as much control and sense of personal agency as is feasible. They must be protected from stigmatization, discrimination, retaliation and re-traumatization.

Core elements of the victim-centred approach include[81]:

- Give Control
- Clarify issues of privacy and confidentiality
- Ask and listen, without judgement
- Keep victim-survivor informed throughout any process and before any action
- Protect / ensure safety
- Have procedures and regulations to ensure timeliness in communications and investigations, if any
- Regulate for and ensure equal treatment of victim and alleged perpetrator during any process, including investigation
- Have a range of administrative actions ready as response, use swiftly as appropriate with victim preference taken into account
- Assume neither guilt nor innocence: start from the possibility that what the victim is reporting may indeed have happened.

In the event that the complaint relates to GBV/SEAH, the Communications Officer would notify a nominated SEAH focal point who are informed of all GBV services/referral focal points for their community and how to access them. The SEAH focal point will help reduce risk of exposure of GBV survivors and reduce undermining confidence. The SEAH focal point will assist SEAH survivors by referring them to GBV service provider/s for support immediately after receiving a complaint directly from the survivor. Information in the GRM will remain confidential and the complaint will not be managed by the mainstream GRM process (see below) – for SEAH complaints, the GRM will serve primarily to: a) refer complainants to the GBV/SEAH service provider; and b) record resolution of the complaint.

Other Complaints

The Communication Officer will hold meetings with the affected persons / complainant and then attempt to find a solution to the complaint and/or grievance received. If necessary, meetings will be held with the concerned affected persons / complainant and the concerned officer to find a solution to the problem and develop plans to redress the grievance. The deliberations of the meetings and decisions taken are recorded. All meetings in connection with the Grievance Redress Mechanism, including the meetings of the Grievance Redress Committee, must be recorded. The Communication Officer for the Grievances Redress Mechanism will be actively involved in all activities.

The first-tier Grievances Redress Committee would be formed to oversee all the grievances EXCEPT for grievances related to:

- Compensation for acquired land
- Issue relating to engineering aspect
- Cases pending in court.

A Village/Town Level Project Implementation Committee would be formed to oversee the first tier of the Grievance Redress Mechanism. The Village/Town Level Project Implementation Committee would include:

- District Officer

81 UN Women (2019) What will it take? Promoting cultural change to end sexual harassment.

- Town Officer from specific village/town/island
- Women Representative from the village/island
- Youth Representative from the village/island
- Director for Climate Change
- Project Manager. (Secretariat).

The resolution at the first tier will normally be completed within 15 working days and the complaint and/or grievance will be notified of the proposed response through a disclosure form. The resolution process should comply with the requirements of the Grievance Redress Mechanism in that it should, as far as practicable, be informal with all parties acting in good faith. Further, the Grievance Redress Mechanism should, as far as practicable, achieve mutually acceptable outcomes for all parties.

Should the grievance be not resolved within this period to the satisfaction of the complainant, the grievance will be referred to the next level of Grievance Redress Mechanism. If the social safeguard and gender officer feels that adequate solutions can be established within the next five working days, the District Officer/ Governor can decide on retaining the issue at the first level by informing the complainant accordingly. However, if the complainant requests for an immediate transfer to the next level, the matter must be referred to the next tier. In any case, where the issue is not addressed within 20 working days, the matter is referred to the next level.

Any grievance related to corruption, or any unethical practice should be referred immediately to the Tongan Office of the Attorney General, and/or the Tonga Office of the Commissioner for Public Relations and the Office of Audit and Investigation within the UNDP in New York.

The Grievance Redress Committee formed at every Island level would address the grievance in the second tier. A Grievance Redress Committee will be constituted on the Island by the circulars issued by the CEO of the MEIDECC, who would also be the Chairman of the Committee.

The Structure of the committee would be:

- CEO or a designated officer from MEIDECC (Chair)
- Director, Civil Society Forum of Tonga
- CEO of the Ministry of Internal Affairs
- CEO of the Ministry of Lands and Natural Resources
- CEO of the Ministry of Infrastructure
- CEO of the Department of Fisheries
- National Project Director
- Project Manager (Secretariat)
- Communication Officer.

The Communication Officer from the PMU will respective Director for Local Government in the Ministry of Internal Affair and Director of Climate Change in MEIDECC, in getting these Committees constituted for each District/Town and Island levels and get the necessary circulars issued in this regard so that they can be convened whenever required.

The Terms of Reference and responsibilities for the Grievance Redress Committee are:

- providing support to the affected persons in solving their problems
- prioritize grievances and resolve them at the earliest

- provide information to the PMU and MEIDECC on serious cases at the earliest opportunity
- coordinate with the aggrieved person/group and obtain proper and timely information on the solution worked out for his/her grievance
- study the normally occurring grievances and advise PMU, National and District Steering Committee on remedial actions to avoid further occurrences.

The Grievance Redress Committee will hold the necessary meetings with the aggrieved party/complainant and the concerned officer and attempt to find a solution acceptable at all levels. The Communications Officer and/or a delegate would record the minutes of the Grievance Redress Committee meeting.

Grievance Redress Committee through the Communications Officer and/or a delegate will communicate proposed responses to the complainant formally. If the proposed response satisfies the complainant, the response will be implemented and the complaint and/or grievance closed. In cases where a proposed response is unsatisfactory to the complainant, the Grievance Redress Committee may choose to revise the proposed response to meet the complainant's remaining concerns, or to indicate to the complainant that no other response appears feasible to the Grievance Redress Committee. The complainant may decide to take a legal or any other recourse if s/he is not satisfied with the resolutions due to the deliberations of the three tiers of the grievance redress mechanism.

Disclosure of GRM and its operations

Stakeholders, including local communities, will be advised of the existence of the GRM and its operation. This shall be done via several mechanisms:

- During stakeholder meetings and workshops.
- A one-page brochure, clearly outlining the existence of the GRM, the processes included and the contact details of the project community focal point/administration officer.
- Public notice boards.
- project website, newsletters, and social media feeds.

Bi-annually, the GRFP will make available to the public, a report describing the operation of the GRM, listing the number and nature of the Grievances received and processed in the past six months, a date and description of the Grievances received, resolutions, referrals and ongoing efforts at resolution, and status of implementation of ongoing resolutions. The level of detail provided with regard to any individual Grievance will depend on the sensitivity of the issues and Stakeholder concerns about confidentiality, while providing appropriate transparency about the activities of the GRM. The report will also highlight key trends in emerging conflicts, Grievances, and dispute resolution, and make recommendations regarding:

- measures that can be taken by the Government to avoid future harms and Grievances; and
- improvements to the GRM that would enhance its effectiveness, accessibility, predictability, transparency, legitimacy, credibility, and capacity.

Resolution

Once a grievance has been addressed and the party that filed the grievance has accepted the solution, an agreement should be signed by all involved parties. Records of all grievances made and addressed should be preserved to ensure continued compliance and a transparent grievance review mechanism.

Without Prejudice

The existence and use of this GRM is without prejudice to any existing rights under any other complaint mechanisms that an individual or group of individuals may otherwise have access to under national or international law or the rules and regulations of other institutions, agencies, or commissions.

GRM ANNEXURE ONE: Grievance Registration and Monitoring Form

Complainant Information (Person Reporting)						
Name:				Gender:		
Address:				Telephone:		
National ID:				Email:		
Type of complainant:						
Affected person/s	Intermediary (on behalf of the AP)	Civil organization	Service organization	Others (specify)		
Registration (assigned):						
Complaint Details						
Mode of receiving the grievance:						
Letter	Phone call	Fax	Email	Verbal complaint	Suggestion box	Others (specify)
Location of the problem/issue specified in the complaint:						
Type of problem/grievance:						
Construction	Compensation/payment	Revegetation	Access	Social nuisance	Other (specify)	
Short description of the problem:						
Short description of the factors causing the problem:						
Person/agency responsible for causing the problem:						
Project	Affected parties	Service delivery agencies	Local political authority	Civil organizations	Funding agencies	Others (specify):
Past action/s taken by the complainant (if any):						
Details of the focal point that received the complaint:						
Name of the person who received the complaint:				Position:		
Name of the receiving office:				Date:		
Actions taken by the Receiving Office						

	Short Description	Name of Action Officer	Date
Action 1			
Action 2			
Action 3			
Final Resolution			
Signature:		Date:	

GRM Annexure 2: Close-Out Template

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

Insert project office address

Date: *(insert date)*

RE: RESOLUTION OF GRIEVANCE RELATED TO THE BIOSPHERE RESERVES PROJECT

Dear (insert name of complainant/s here)

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

(Insert summary of the actions taken and the outcomes achieved)

(provide as much information as required to demonstrate that resolution has been achieved)

(this information should be available from the GR Registering and Monitoring Form)

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

Regards

(insert name)

Project Manager

Acknowledgement

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

Name: …… Signature: ……Date: …….

Annex J: Gender Analysis and Action Plan

Impact	**Gender responsive and participatory adaptation solutions enhances immediate and medium-term resilience, and long-term transformative adaptation capacities of women and girls in Tonga .**							
Outcome	**Improved capacities and participatory spaces for women and girls promote gender-responsive transformative adaption solutions.**							
Project outputs	**Gender Targets and Activities**	**Baseline**	**Timeline**	**Budget**	**Responsibility**	**Means of Verifying the achievement of targets**	**Potential risk and barriers in the delivery of targets**	**Risk mitigating measures**
Output 1: Knowledge, capacity and engagement for incorporating climate risks into long-term adaptation planning strengthened and supported through multi-sectoral, multi-stakeholder engagement and dialogue platform	1.1.1. The engagement plan and guidelines for bottom-up national engagement process will include specific guidance on engaging women, girls and other vulnerable groups. Target: one gender responsive stakeholder engagement plan	0	Year 2-6	10,000 (for consultant to assist the drafting of the stakeholder engagement plan)	UNDP, MEIDECC	Gender responsive stakeholder engagement plan (final document)	Low risk level. however, capacities to translate the policy ambition of gender and social inclusion (JNAP target 17) into plans may be limited among government ministries.	The project will build on JNAP's commitment to promote gender and social inclusion and hire an expert to support development of a gender responsive stakeholder engagement plan
	1.1.2. National awareness campaign will include specific campaigns and workshops targeting women and girls to co-create solutions. Target: at least 3 campaign activities (women-led talk shows, or women's forum or media advertisements targeting women and their role in shaping national adaption strategies) 3 design thinking workshops held for women/women leaders/ women organizations targeting at least 75 women	0 0	Year 2-6	500,000 (100,000x 5 years for campaigns and workshops)	UNDP, MEIDECC, NGOs/ CSOs	Sex disaggregated data of national awareness campaign and workshop attendees in semi-annual GAP progress reports	Community stakeholder may not see women's participation as a priority and discourage women's participation	The project will work with women leaders, women officials, and women's organizations to raise awareness, and organize consultations. The project will also raise awareness of men and male leaders on the importance and effectiveness of gender equality and women's participation in decision making through targeted messaging.

Impact	**Gender responsive and participatory adaptation solutions enhances immediate and medium-term resilience, and long-term transformative adaptation capacities of women and girls in Tonga .**							
Outcome	**Improved capacities and participatory spaces for women and girls promote gender-responsive transformative adaption solutions.**							
Project outputs	**Gender Targets and Activities**	**Baseline**	**Timeline**	**Budget**	**Responsibility**	**Means of Verifying the achievement of targets**	**Potential risk and barriers in the delivery of targets**	**Risk mitigating measures**
	1.1.3. Terms of reference for national adaptation planning engagement platform will be gender-responsive. Target: 1 gender-responsive ToR developed	0	Year 2	-	UNDP, MEIDECC, Women's Affairs Division (Ministry of Internal Affairs)	Gender responsive ToR (final document)		No issue anticipated. The project will support Women's Affairs Division role in the National Adaptation Planning engagement platform
	1.1.4. participation of women's affair division supported as per the ToR for the national adaption planning engagement platform Target: 1 meeting (as per the ToR) attended	0	Year 2-6	-	UNDP, Women's Affairs Division (Ministry of Internal Affairs), Women's organizations	Meeting attendee lists, GAP semi annual progress reports		No issue anticipated but any discrepancies will be reported
	1.1.5. gender-responsive policy options to incorporate climate resilience and land use principles into national frameworks Target: 1 gender-responsive guidance note, and 1 gender sensitive land use policy developed	0	Year 3-6	20,000 (for consultants)	UNDP, MEIDECC, Women's Affairs Division (Ministry of Internal Affairs), Women's organizations	Guidance note and policy document (final document)	Land use is a politically and culturally sensitive issue. Gender differentiated access to land needs to be considered in developing a gender sensitive land use policy. National actors, and community stakeholders may be reluctant to develop a gender-sensitive land-use policy	Commitment for promoting gender equality and social inclusion is expressed in the JNAP. MEIDECC and Department of Climate change is keen on supporting gender-sensitive land use policy. The project team will build on the commitment of government, and raise awareness on the importance of gender-sensitive land-use for long-term adaptation through the national awareness campaign (1.1.2). capacity development trainings (output 2) will also highlight the importance of gender mainstreaming and

Impact	Gender responsive and participatory adaptation solutions enhances immediate and medium-term resilience, and long-term transformative adaptation capacities of women and girls in Tonga .							
Outcome	**Improved capacities and participatory spaces for women and girls promote gender-responsive transformative adaption solutions.**							
Project outputs	**Gender Targets and Activities**	**Baseline**	**Timeline**	**Budget**	**Responsibility**	**Means of Verifying the achievement of targets**	**Potential risk and barriers in the delivery of targets**	**Risk mitigating measures**
								developing gender-responsive policies.
	1.2.1. Gender-responsive guidelines developed for participatory village and district spatial plans, and target 50 percent of female participation Target: 1 gender-responsive spatial planning guidelines developed 50 percent of men and women engaged in 1 village level and at least 30 percent of men and women of the district engaged in 1 district level participatory spatial planning	0	Year 3-5	10,000 (for consultant) 10,000 (for 1 village level, and 1 district level participatory process)	UNDP, MEIDECC, Ministry of Lands, NGOs/CSOs, Women's Affairs Division	1 guideline (final document), and sex disaggregated data of participants included in the semi-annual GAP progress report	Community stakeholder may discourage women's participation as gender is not considered a priority in spatial planning due to traditional gender norms related to land access	The project team will sensitize and raise awareness on the importance of women's participation in defining the spatial plans for long-term adaptation. The project team may involve key stakeholders such as NGOs/CSOs and Women's Affair Division to lead community awareness campaigns
	1.3.1 Updated gender- and climate-responsive CDP guidelines developed. Target: 1 gender-responsive CDP guideline	0	Year 3-5	10,000 (for consultant)	UNDP, MEIDECC, Women's Affairs Division, Department of Local Governments	1 gender-responsive CDP guideline (final document)		No issue anticipated as previous CDPs were developed through participatory process that involved women in local communities, but any discrepancy will be reported
	1.3.2 Develop gender-responsive capacity building package on the new gender and climate-responsive CDP guideline.	0	Year 2-6	10,000 (for gender consultant or women's organization to work with the consultant developing the overall	UNDP, Department of Local Government, Women's Affairs Division	Final capacity development package (training materials, guidelines and other documents)		No issue anticipated but any discrepancy will be reported

Impact	**Gender responsive and participatory adaptation solutions enhances immediate and medium-term resilience, and long-term transformative adaptation capacities of women and girls in Tonga .**							
Outcome	**Improved capacities and participatory spaces for women and girls promote gender-responsive transformative adaption solutions.**							
Project outputs	**Gender Targets and Activities**	**Baseline**	**Timeline**	**Budget**	**Responsibility**	**Means of Verifying the achievement of targets**	**Potential risk and barriers in the delivery of targets**	**Risk mitigating measures**
	Target: 1 gender-responsive capacity development package			capacity development package)				
	1.3.3. support equitable participation of decision makers and officials (men and women) in the capacity development trainings* Target: Equitable participation of men and women decision makers* *see note below	0	Year 2-6	-	UNDP	Sex disaggregated data of training attendees included in the semi-annual GAP report		No issue anticipated but any discrepancy will be reported
	1.3.4 Voices of and women's specific issues highlighted in the national event on climate responsive CDPs Target: 1 session on women and climate and gender responsive CDPs held at the national event	0	Year 6-7	15,000	UNDP	Meeting agenda, Presentations and other media materials from the event highlighting women's voice and issues		No issue anticipated but any discrepancy will be reported
Output 2 Mechanisms for collecting and analyzing data and information for better-informed climate risk monitoring and coastal adaptation planning	2.1.1 Develop and implement gender-responsive capacity development strategy and plan for coastal data management and use. ** Target: 1 gender responsive capacity development strategy and plan	0	Year 1-3	10,000	UNDP	Final strategy and plan documents		No issue anticipated but any discrepancy will be reported

Impact	**Gender responsive and participatory adaptation solutions enhances immediate and medium-term resilience, and long-term transformative adaptation capacities of women and girls in Tonga .**							
Outcome	**Improved capacities and participatory spaces for women and girls promote gender-responsive transformative adaption solutions.**							
Project outputs	**Gender Targets and Activities**	**Baseline**	**Timeline**	**Budget**	**Responsibility**	**Means of Verifying the achievement of targets**	**Potential risk and barriers in the delivery of targets**	**Risk mitigating measures**
	2.1.2 develop knowledge materials on climate risks and impact on women living in coastal areas. Target: 1 knowledge product	0	Year 3-6	10,000 (for consultant)	UNDP	Final Knowledge product		No issue anticipated but any discrepancy will be reported
	2.1.3. Support inclusion of gender and disability considerations as part of the multi-stakeholder coordination and collaboration on coastal adaptation. Target: 1 guidance on integrating gender considerations developed for the coordination body/committee	0	year 4	10,000 (for consultant)	UNDP	Final guidance note		No issue anticipated but any discrepancy will be reported
	2.2.1. Integrate gender considerations in the assessment on trade offs between adaptation solution and current land-use considering food-security, water security and livelihoods of women. Target: gender-responsive assessment developed	0	Year 3-6	10,000 (for consultant)	UNDP	Final assessment		No issue anticipated but any discrepancy will be reported
5Output 3: Vulnerabilities of coastal communities in Hahake to climate hazards reduced through	3.1.1 50 percent of participation of women in the consultations and/or awareness workshops held on the design of the	0	Year 2-6	10,000 (for consultations)	UNDP, MEIDECC, Ministry of Lands	Sex disaggregated attendees list included in the semi-annual report of the GAP		No issue anticipated on women's participation related to coastal protection measures, but any discrepancy will be reported

Impact	**Gender responsive and participatory adaptation solutions enhances immediate and medium-term resilience, and long-term transformative adaptation capacities of women and girls in Tonga .**							
Outcome	**Improved capacities and participatory spaces for women and girls promote gender-responsive transformative adaption solutions.**							
Project outputs	**Gender Targets and Activities**	**Baseline**	**Timeline**	**Budget**	**Responsibility**	**Means of Verifying the achievement of targets**	**Potential risk and barriers in the delivery of targets**	**Risk mitigating measures**
coastal protection measures	coastal protection measure. Target: 50 percent of women in Hakake engaged in the design of the coastal protection measure.							
	3.1.2 (a) Requirements for contractors to hire at least 20 percent women in both technical and non-technical work and ensure equal pay for equal work. Target: 20 percent of work force are women	0	Year 2-6	Contractor's budget	Contractor	Sex disaggregated pay sheet		No issue anticipated but any discrepancy will be reported
	3.1.2 (b) Provide safety gear, and women-friendly toilet and sanitation facilities. Target: all workers (men and women) have safety and protection gear and access to proper toilet and sanitation facilities	0	Year 2-6	Contractor's budget	Contractor	Site visits and inspection reports		No issue anticipated but any discrepancy will be reported
	3.1.2 (c) Establish grievance redressal mechanisms accessible to all (women, men, youth, elderly, people with disability) to voice complaints during the design and construction phase as part of the ESMF implementation strategy. (also linked to 1.1.2, and 1.2.1)	0	Year 2-6	Contractor's budget (at construction site) 10,000 UNDP (for grievance redressal related to 1.1.2, and 1.2.1)	Contract UNDP	GAP progress report highlighting complaints received	Potential reluctance to report grievances, especially if Sexual exploitation, abuse, and/or harassment	UNDP will stipulate contractors, as part of the contract, to follow UNDP policies on SES, prevention of SEAH and the project ESMF. The project will share information on its zero-tolerance policy against SEAH, and on how to report grievance, including dedicated phone numbers, on UNDP website, on

Impact	Gender responsive and participatory adaptation solutions enhances immediate and medium-term resilience, and long-term transformative adaptation capacities of women and girls in Tonga .							
Outcome	**Improved capacities and participatory spaces for women and girls promote gender-responsive transformative adaption solutions.**							
Project outputs	**Gender Targets and Activities**	**Baseline**	**Timeline**	**Budget**	**Responsibility**	**Means of Verifying the achievement of targets**	**Potential risk and barriers in the delivery of targets**	**Risk mitigating measures**
	Target: Two grievance redressal mechanisms established (one at construction site, and one for UNDP activities as indicted in the ESMF)							partner websites (MEIDECC) and social media as well as at the project locations.
	3.2.2 Highlight any gender-specific lessons learned in the final report and share lessons at international/regional conference. Target: gender-specific lessons learned identified and included in the report	0	Year 7	25,000 For consultant	UNDP	Final lessons learned report, and gender specific lessons also highlighted in the semi-annual, and final GAP reports		No issue anticipated.
				670,000				
	*Note on activity 1.3.3. Given the high number of women officials in the government of Tonga, rather than indicating 30 or 50 percent of participants should be women, the focus should on the participation of relevant decision makers in capacity development trainings to strengthen their capacity to mainstream gender and gender-responsive decision making.							
	**Note on activity 2.1.1. Use of LiDAR and satellite imagery is technical and there is no scope for mainstreaming gender. However, in the analysis of potential impact of climate change risks, it is important to mainstream gender to understand gender specific impacts.							

Impact	Gender responsive and participatory adaptation solutions enhances immediate and medium-term resilience, and long-term transformative adaptation capacities of women and girls in Tonga .							
Outcome	**Improved capacities and participatory spaces for women and girls promote gender-responsive transformative adaption solutions.**							
Project outputs	**Gender Targets and Activities**	**Baseline**	**Timeline**	**Budget**	**Responsibility**	**Means of Verifying the achievement of targets**	**Potential risk and barriers in the delivery of targets**	**Risk mitigating measures**
Output 1: Knowledge, capacity and engagement for incorporating climate risks into long-term adaptation planning strengthened and supported through multi-	1.1.1. The engagement plan and guidelines for bottom-up national engagement process will include specific guidance on engaging women, girls and other	0	Year 2-6	10,000 (for consultant to assist the drafting of the stakeholder engagement plan)	UNDP, MEIDECC	Gender responsive stakeholder engagement plan (final document)	Low risk level. however, capacities to translate the policy ambition of gender and social inclusion (JNAP target 17) into plans	The project will build on JNAP's commitment to promote gender and social inclusion and hire an expert to support development of a gender

Impact	**Gender responsive and participatory adaptation solutions enhances immediate and medium-term resilience, and long-term transformative adaptation capacities of women and girls in Tonga .**							
Outcome	**Improved capacities and participatory spaces for women and girls promote gender-responsive transformative adaption solutions.**							
Project outputs	**Gender Targets and Activities**	**Baseline**	**Timeline**	**Budget**	**Responsibility**	**Means of Verifying the achievement of targets**	**Potential risk and barriers in the delivery of targets**	**Risk mitigating measures**
sectoral, multi-stakeholder engagement and dialogue platform	vulnerable groups. Target: one gender responsive stakeholder engagement plan						may be limited among government ministries.	responsive stakeholder engagement plan
	1.1.2. National awareness campaign will include specific campaigns and workshops targeting women and girls to co-create solutions. Target: at least 3 campaign activities (women-led talk shows, or women's forum or media advertisements targeting women and their role in shaping national adaption strategies) 3 design thinking workshops held for women/women leaders/ women organizations targeting at least 75 women	0 0	Year 2-6	500,000 (100,000x 5 years for campaigns and workshops)	UNDP, MEIDECC, NGOs/ CSOs	Sex disaggregated data of national awareness campaign and workshop attendees in semi-annual GAP progress reports	Community stakeholder may not see women's participation as a priority and discourage women's participation	The project will work with women leaders, women officials, and women's organizations to raise awareness, and organize consultations. The project will also raise awareness of men and male leaders on the importance and effectiveness of gender equality and women's participation in decision making through targeted messaging.
	1.1.3. Terms of reference for national adaptation planning engagement platform will be gender-responsive.	0	Year 2	-	UNDP, MEIDECC, Women's Affairs Division (Ministry of Internal Affairs)	Gender responsive ToR (final document)		No issue anticipated. The project will support Women's Affairs Division role in the National

Impact	Gender responsive and participatory adaptation solutions enhances immediate and medium-term resilience, and long-term transformative adaptation capacities of women and girls in Tonga .							
Outcome	Improved capacities and participatory spaces for women and girls promote gender-responsive transformative adaption solutions.							
Project outputs	**Gender Targets and Activities**	**Baseline**	**Timeline**	**Budget**	**Responsibility**	**Means of Verifying the achievement of targets**	**Potential risk and barriers in the delivery of targets**	**Risk mitigating measures**
	Target: 1 gender-responsive ToR developed							Adaptation Planning engagement platform
	1.1.4. participation of women's affair division supported as per the ToR for the national adaption planning engagement platform Target: 1 meeting (as per the ToR) attended	0	Year 2-6	-	UNDP, Women's Affairs Division (Ministry of Internal Affairs), Women's organizations	Meeting attendee lists, GAP semi annual progress reports		No issue anticipated but any discrepancies will be reported
	1.1.5. gender-responsive policy options to incorporate climate resilience and land use principles into national frameworks Target: 1 gender-responsive guidance note, and 1 gender sensitive land use policy developed	0	Year 3-6	20,000 (for consultants)	UNDP, MEIDECC, Women's Affairs Division (Ministry of Internal Affairs), Women's organizations	Guidance note and policy document (final document)	Land use is a politically and culturally sensitive issue. Gender differentiated access to land needs to be considered in developing a gender sensitive land use policy. National actors, and community stakeholders may be reluctant to develop a gender-sensitive land-use policy	Commitment for promoting gender equality and social inclusion is expressed in the JNAP. MEIDECC and Department of Climate change is keen on supporting gender-sensitive land use policy. The project team will build on the commitment of government, and raise awareness on the importance of gender-sensitive land-use for

Impact	Gender responsive and participatory adaptation solutions enhances immediate and medium-term resilience, and long-term transformative adaptation capacities of women and girls in Tonga .							
Outcome	Improved capacities and participatory spaces for women and girls promote gender-responsive transformative adaption solutions.							
Project outputs	**Gender Targets and Activities**	**Baseline**	**Timeline**	**Budget**	**Responsibility**	**Means of Verifying the achievement of targets**	**Potential risk and barriers in the delivery of targets**	**Risk mitigating measures**
								long-term adaptation through the national awareness campaign (1.1.2). capacity development trainings (output 2) will also highlight the importance of gender mainstreaming and developing gender-responsive policies.
	1.2.1. Gender-responsive guidelines developed for participatory village and district spatial plans, and target 50 percent of female participation Target: 1 gender-responsive spatial planning guidelines developed 50 percent of men and women engaged in 1 village level and at least 30 percent of men and women of the district engaged in 1 district level participatory spatial planning	0	Year 3-5	10,000 (for consultant) 10,000 (for 1 village level, and 1 district level participatory process)	UNDP, MEIDECC, Ministry of Lands, NGOs/CSOs, Women's Affairs Division	1 guideline (final document), and sex disaggregated data of participants included in the semi-annual GAP progress report	Community stakeholder may discourage women's participation as gender is not considered a priority in spatial planning due to traditional gender norms related to land access	The project team will sensitize and raise awareness on the importance of women's participation in defining the spatial plans for long-term adaptation. The project team may involve key stakeholders such as NGOs/CSOs and Women's Affair Division to lead community awareness campaigns

Impact	**Gender responsive and participatory adaptation solutions enhances immediate and medium-term resilience, and long-term transformative adaptation capacities of women and girls in Tonga .**							
Outcome	**Improved capacities and participatory spaces for women and girls promote gender-responsive transformative adaption solutions.**							
Project outputs	**Gender Targets and Activities**	**Baseline**	**Timeline**	**Budget**	**Responsibility**	**Means of Verifying the achievement of targets**	**Potential risk and barriers in the delivery of targets**	**Risk mitigating measures**
	1.3.1 Updated gender-and climate-responsive CDP guidelines developed. Target: 1 gender-responsive CDP guideline	0	Year 3-5	10,000 (for consultant)	UNDP, MEIDECC, Women's Affairs Division, Department of Local Governments	1 gender-responsive CDP guideline (final document)		No issue anticipated as previous CDPs were developed through participatory process that involved women in local communities, but any discrepancy will be reported
	1.3.2 Develop gender-responsive capacity building package on the new gender and climate-responsive CDP guideline. Target: 1 gender-responsive capacity development package	0	Year 2-6	10,000 (for gender consultant or women's organization to work with the consultant developing the overall capacity development package)	UNDP, Department of Local Government, Women's Affairs Division	Final capacity development package (training materials, guidelines and other documents)		No issue anticipated but any discrepancy will be reported
	1.3.3. support equitable participation of decision makers and officials (men and women) in the capacity development trainings* Target: Equitable participation of men and women	0	Year 2-6	-	UNDP	Sex disaggregated data of training attendees included in the semi-annual GAP report		No issue anticipated but any discrepancy will be reported

Impact	Gender responsive and participatory adaptation solutions enhances immediate and medium-term resilience, and long-term transformative adaptation capacities of women and girls in Tonga .							
Outcome	Improved capacities and participatory spaces for women and girls promote gender-responsive transformative adaption solutions.							
Project outputs	**Gender Targets and Activities**	**Baseline**	**Timeline**	**Budget**	**Responsibility**	**Means of Verifying the achievement of targets**	**Potential risk and barriers in the delivery of targets**	**Risk mitigating measures**
	decision makers* *see note below							
	1.3.4 Voices of and women's specific issues highlighted in the national event on climate responsive CDPs Target: 1 session on women and climate and gender responsive CDPs held at the national event	0	Year 6-7	15,000	UNDP	Meeting agenda, Presentations and other media materials from the event highlighting women's voice and issues		No issue anticipated but any discrepancy will be reported
Output 2 Mechanisms for collecting and analyzing data and information for better-informed climate risk monitoring and coastal adaptation planning	2.1.1 Develop and implement gender-responsive capacity development strategy and plan for coastal data management and use. ** Target: 1 gender responsive capacity development strategy and plan	0	Year 1-3	10,000	UNDP	Final strategy and plan documents		No issue anticipated but any discrepancy will be reported
	2.1.2 develop knowledge materials on climate risks and impact on women living in coastal areas. Target: 1 knowledge product	0	Year 3-6	10,000 (for consultant)	UNDP	Final Knowledge product		No issue anticipated but any discrepancy will be reported

Impact	Gender responsive and participatory adaptation solutions enhances immediate and medium-term resilience, and long-term transformative adaptation capacities of women and girls in Tonga .							
Outcome	Improved capacities and participatory spaces for women and girls promote gender-responsive transformative adaption solutions.							
Project outputs	**Gender Targets and Activities**	**Baseline**	**Timeline**	**Budget**	**Responsibility**	**Means of Verifying the achievement of targets**	**Potential risk and barriers in the delivery of targets**	**Risk mitigating measures**
	2.1.3. Support inclusion of gender and disability considerations as part of the multi-stakeholder coordination and collaboration on coastal adaptation. Target: 1 guidance on integrating gender considerations developed for the coordination body/committee	0	year 4	10,000 (for consultant)	UNDP	Final guidance note		No issue anticipated but any discrepancy will be reported
	2.2.1. Integrate gender considerations in the assessment on trade offs between adaptation solution and current land-use considering food-security, water security and livelihoods of women. Target: gender-responsive assessment developed	0	Year 3-6	10,000 (for consultant)	UNDP	Final assessment		No issue anticipated but any discrepancy will be reported
5Output 3: Vulnerabilities of coastal communities in Hahake to climate hazards reduced through coastal	3.1.1 50 percent of participation of women in the consultations and/or awareness workshops held on the design of	0	Year 2-6	10,000 (for consultations)	UNDP, MEIDECC, Ministry of Lands	Sex disaggregated attendees list included in the semi-annual report of the GAP		No issue anticipated on women's participation related to coastal protection measures, but any

Impact	Gender responsive and participatory adaptation solutions enhances immediate and medium-term resilience, and long-term transformative adaptation capacities of women and girls in Tonga .							
Outcome	**Improved capacities and participatory spaces for women and girls promote gender-responsive transformative adaption solutions.**							
Project outputs	**Gender Targets and Activities**	**Baseline**	**Timeline**	**Budget**	**Responsibility**	**Means of Verifying the achievement of targets**	**Potential risk and barriers in the delivery of targets**	**Risk mitigating measures**
protection measures	the coastal protection measure. Target: 50 percent of women in Hakake engaged in the design of the coastal protection measure.							discrepancy will be reported
	3.1.2 (a) Requirements for contractors to hire at least 20 percent women in both technical and non-technical work and ensure equal pay for equal work. Target: 20 percent of work force are women	0	Year 2-6	Contractor's budget	Contractor	Sex disaggregated pay sheet		No issue anticipated but any discrepancy will be reported
	3.1.2 (b) Provide safety gear, and women-friendly toilet and sanitation facilities. Target: all workers (men and women) have safety and protection gear and access to proper toilet and sanitation facilities	0	Year 2-6	Contractor's budget	Contractor	Site visits and inspection reports		No issue anticipated but any discrepancy will be reported
	3.1.2 (c) Establish grievance redressal mechanisms accessible to all (women, men,	0	Year 2-6	Contractor's budget (at construction site) 10,000	Contract	GAP progress report highlighting complaints received	Potential reluctance to report grievances, especially if Sexual exploitation	UNDP will stipulate contractors, as part of the contract, to follow UNDP policies on

Impact	**Gender responsive and participatory adaptation solutions enhances immediate and medium-term resilience, and long-term transformative adaptation capacities of women and girls in Tonga .**							
Outcome	**Improved capacities and participatory spaces for women and girls promote gender-responsive transformative adaption solutions.**							
Project outputs	**Gender Targets and Activities**	**Baseline**	**Timeline**	**Budget**	**Responsibility**	**Means of Verifying the achievement of targets**	**Potential risk and barriers in the delivery of targets**	**Risk mitigating measures**
	youth, elderly, people with disability) to voice complaints during the design and construction phase as part of the ESMF implementation strategy. (also linked to 1.1.2, and 1.2.1) Target: Two grievance redressal mechanisms established (one at construction site, and one for UNDP activities as indicted in the ESMF)			UNDP (for grievance redressal related to 1.1.2, and 1.2.1)	UNDP		, abuse, and/or harassment	SES, prevention of SEAH and the project ESMF. The project will share information on its zero-tolerance policy against SEAH, and on how to report grievance, including dedicated phone numbers, on UNDP website, on partner websites (MEIDECC) and social media as well as at the project locations.
	3.2.2 Highlight any gender-specific lessons learned in the final report and share lessons at international/regional conference. Target: gender-specific lessons learned identified and included in the report	0	Year 7	25,000 For consultant	UNDP	Final lessons learned report, and gender specific lessons also highlighted in the semi-annual, and final GAP reports		No issue anticipated.
				670,000				
	*Note on activity 1.3.3. Given the high number of women officials in the government of Tonga, rather than indicating 30 or 50 percent of participants should be women, the focus should on the participation of relevant decision makers in capacity development trainings to strengthen their capacity to mainstream gender and gender-responsive decision making.							

Impact	**Gender responsive and participatory adaptation solutions enhances immediate and medium-term resilience, and long-term transformative adaptation capacities of women and girls in Tonga .**							
Outcome	**Improved capacities and participatory spaces for women and girls promote gender-responsive transformative adaption solutions.**							
Project outputs	**Gender Targets and Activities**	**Baseline**	**Timeline**	**Budget**	**Responsibility**	**Means of Verifying the achievement of targets**	**Potential risk and barriers in the delivery of targets**	**Risk mitigating measures**
	**Note on activity 2.1.1. Use of LiDAR and satellite imagery is technical and there is no scope for mainstreaming gender. However, in the analysis of potential impact of climate change risks, it is important to mainstream gender to understand gender specific impacts.							

Annex K: UNDP Risk Register

#	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	Risk Treatment and Treatment Owner
1	There is a risk that project activities could be delayed	As a result of limited human resources in government ministries, agencies and contractors.	Which will impact on delivery being delayed	**3. OPERATIONAL (3.8. Capacities of the partners) - 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-Jun-25 To: 27-Aug-31	UNDP PMU	Risk Treatment 1.1: Detailed consultations have taken place between MEIDECC and other government agencies, and UNDP to identify operational capacity limitation in implementing the project of this scale. Through the adoption of a DIM delivery, UNDP can ensure that the project team is sufficient to provide the additional resources, engagement and mentoring required to prevent delays to the project. Accordingly, the decision to use the DIM modality was selected to overcome any operational capacity limitations for the scale of the project. As a DIM project, being under the direct management of UNDP, project delivery will be closely monitored and necessary resources deployed. Risk Treatment Owner: The PMU will monitor project progress as well as emerging risks and if necessary adopt adaptive management strategies to address any issues. The Project Management Unit which will support day-to-day execution of project activities will also be established with adequate resources and human capacity to fulfill operational and technical capacities needs. Furthermore, the Project Board will also oversee monitoring of the risk and ensure that risk mitigation measures are adhered to continuously throughout the project.

#	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	Risk Treatment and Treatment Owner
2	There is a risk that community commitment for engaging in project activities and post-project monitoring and actions is not sustained benefits of adaptation measures and project interventions are not immediately evident	As a result of a lack of community commitment and engagement with the project	Which will impact in limited sustainability of project interventions and adaptation measures.	**1. SOCIAL AND ENVIRONMENTAL (1.5. Climate change and disaster risks) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **2 - Low likelihood** Impact: **3 - Intermediate** Risk level: **LOW (equates to a risk appetite of CAUTIOUS)**	From: 01-Jan-26 To: 27-Aug-31	Gender and Safeguards Officer	Risk Treatment 2.1: The greatest benefits of the project will become apparent if and when there is a significant climate event, such as cyclone or tsunami, until the benefits of the project may not be as apparent to the community and the need for post-project monitoring not as urgently felt. Coastal protection needs are identified as a priority action in consultations and in Community Development Plans. Furthermore, community commitments are reiterated in the rounds of consultations that took place for the preparation of this proposal. Therefore, the probability of this risk materializing is considered low. Risk Treatment Owner: However, the engagement of NGOs is thought to be critical as they play an important role in mobilizing and supporting community members, and the project has dedicated elements that are specifically building NGO capacity so that they will continue to play a role in community engagement. Participatory impact assessment is scheduled towards the end of the project to present evidence-based impact of the project to maintain communities' continued interests and commitment in project participation.
3	There is a risk that Project interventions are not implemented in a gender- and culturally-sensitive manner, undermining the overall effectiveness of the project.	As a result of gender outcomes not being properly reflected in the project implementation and outcomes.	Which will impact in limitations on the effectiveness of long term sustainable land planning interventions of the project outcomes.	**1. SOCIAL AND ENVIRONMENTAL (1.2. Gender equality and women's empowerment) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **2 - Low likelihood** Impact: **2 - Minor** Risk level: **LOW (equates to a risk appetite of CAUTIOUS)**	From: 01-Jun-26 To: 27-Aug-31	Gender officer	Risk Treatment 3.1: Poor gender outcomes, particularly in terms of SEAH, could result in the project's sustainability and potential upscaling to be reduced. For long-term sustainable land planning to be accepted, gender and cultural needs must be recognized and reflected in the project implementation and its outcomes. Risk Treatment Owner: The Government has therefore taken a leadership in making sure that the proposed project has been designed in a gender-responsive manner. Community consultations have been carried out in such a way to ensure that different needs of men and women are captured and reflected in the design. A Gender

#	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	Risk Treatment and Treatment Owner
								Assessment and Action Plan (Annex XIII) is one of the outputs of the gender-responsive project design. Members of the Project Management Unit will be sensitized, at the beginning of the project, about the Action Plan and general gender-responsive approach to project implementation.
4	Competing mandates and weak institutional coordination to implement an integrated cross-sectoral approach to coastline resilience	Competing mandates and weak institutional coordination …	Which will impact in…	**3. OPERATIONAL (3.5. Partners' engagement) - UNDP Risk Appetite: EXPLORATORY TO OPEN**	Likelihood: **2 - Low likelihood** Impact: **2 - Minor** Risk level: **LOW (equates to a risk appetite of CAUTIOUS)**	From: 01-Jun-25 To: 27-Aug-31	Project team stakeholder engagement roles	Risk Treatment 4.1 The project has been designed specifically to remove this barrier. Because multi-sectoral responses to coastline management is a new area for the Government of Tonga, this existing risk is being targeted specifically in the project design. As such, the mitigation measures to this risk are the full implementation of Activity 2.1 and 2.2. While the CCD in MEIDECC has been tasked with multi-sectoral coordination in the implementation of JNAP, and they have received a positive review for their performance in this regard, multi-ministerial information sharing for the purpose of coastal resilience building is a new area. To facilitate inter-ministerial coordination, an SOP will be established, under Activity 2.1, for data and information sharing about coastal processes. Risk Treatment Owner: Engagement of community, NGOs and local and national government in coastal resilience building will be promoted through, inter alia, Activity 2.2 where a capacity building package specifically for improving community-level adaptation planning process will be implemented. The project will also utilize the JNAP Taskforce as the primary mechanism for multi-ministerial coordination and information sharing for the project, and it has been working well in the last 8 years of JNAP implementation. Project-financed staff members, especially the Project Manager, will be specifically responsible for ensuring continued information sharing in a transparent manner as per the Term of Reference of the position.

#	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	Risk Treatment and Treatment Owner
5	There is a risk that the national dialogue on climate-informed land use does not yield any agreements, especially from landowners, for the revision of the national land use plan.	This risk is recognised due to the lack of tangible change arising from past efforts in changing the land ownership architecture.	Which will impact on the decision-making outcomes of the National Platform.	**3. OPERATIONAL (3.5. Partners' engagement) - UNDP Risk Appetite: EXPLORATORY TO OPEN**	Likelihood: **4 - Highly likely** Impact: **3 - Intermediate** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 01-Jan-27 To: 27-Aug-31	PMU	Risk Treatment 5.1 The national dialogue will increase awareness of climate change and the various options available to Tonga, but there is no guarantee that the actions, particularly those that involve voluntary relocation ie leaving currently owned land, will be wholly accepted – particularly during the reasonably short time frame of the project. Land tenure is complex in Tonga and past efforts in changing the land ownership architecture, though very limited in number, did not result in a tangible change. None the less, even if agreements are not reached within the project timeframe, the national dialogue will set the groundwork and create the framework for the inevitably required actions. For a country like Tonga where there is a significant concentration of populations in highly exposed areas, many of which will face a significant risk of inundation and damages from coastal hazards in the future, facilitating a carefully planned, evidence-based dialogue to gradually open the possibility of voluntary retreat is the only long-term adaptation option. Risk Treatment Owner: To maximize the probability of success, the project will put in place a range of measures including the use of various visual materials (videos, 3D images, flyers), social mobilization tools (radio and TV programs), engagement of NGOs/CSOs in the activities, and a nation-wide campaign.

#	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	Risk Treatment and Treatment Owner
6	Financial risks may impact the implementation of project activities (for example, foreign exchange risk through currency fluctuation).	As a result of inflation rates (forecasting for 2024+), current commodity rates, exchange rate fluctuations	Which will impact in financial risks that may impact the implementation of project activities.	**2. FINANCIAL (2.4. Fluctuation in credit rate, market, currency) - UNDP Risk Appetite: MINIMAL TO CAUTIOUS**	Likelihood: **2 - Low likelihood** Impact: **4 - Extensive** Risk level: **HIGH RISK (equates to a risk appetite of SEEK)**	From: 01-Jan-25 To: 27-Aug-31	UNDP, PMU	Risk Treatment 6.1: All standard procurement and financial risks have been considered in the design of the project and UNDP delivers oversight and quality assurance services for procurement and financial management of the project guided by UNDP financial rules and regulations. Risk Treatment Owner: Project financing and budget has been designed in consideration of inflation rates (forecasting for 2024+), current commodity rates, exchange rate fluctuations with contingencies in place to mitigate the financial risks that may impact the implementation of project activities, and will be monitored by the PMU.
7	There is a risk that extreme events, including cyclones, earthquakes and tsunamis may impact costal protection efforts under activity 3.1 that could delay the implementation of the project through delays or damage during construction.	As a result of earthquakes, incidence of flood inundation, cyclones, and tsunamis.	Which will impact on coastal resilience structures and construction.	**8. SAFETY AND SECURITY (8.6. Natural hazards) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **2 - Low likelihood** Impact: **4 - Extensive** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 01-Jan-26 To: 27-Aug-31	Construction design and contracting firm	Risk Treatment 7.1: Given the regular seismic events affecting Tonga (earthquakes, volcanos, and tsunamis) and cyclones, there is a potential risk that these may occur during the project's implementation, including during the construction periods. Tonga's early warning systems allow for measures to be taken to evacuate workers in the incidence of flood inundation, cyclones, and tsunamis. In the incidence of disaster and climate change hazards, the rock materials (for the rock revetment and road raising) are considered durable and robust, and potential damage during the construction phase is minimal. Risk Treatment Owner: The Contracted Party undertaking construction is obliged to undertake construction in a way that leaves the works least vulnerable to such events or disturbances during construction. The Contracted Party is also obliged to respond to weather warnings (e.g. cyclone) by securing the worksite, assets and materials accordingly.
8	Limited workforce/labour, equipment and construction	As a result of the finite/limited resources available on a small island,	Which will impact on construction works timeline.	**2. FINANCIAL (2.5. Delivery) - UNDP Risk Appetite:**	Likelihood: **1 - Not likely** Impact:	From: 01-Jan-26	…	Risk Treatment 7.1: … There is a limited amount of workforce/labour, equipment and construction material (rocks for revetment) available in Tonga for the type of

#	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	Risk Treatment and Treatment Owner
	material (rocks for revetment) available for construction in Hahake coast	and logistical issues to import these resources.		**MINIMAL TO CAUTIOUS**	**4 - Extensive** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	To: 27-Aug-31		construction work required in Hahake coast, however, the project is expected to rely on local capacities/companies to be involved in the construction works. This is based on past similar work undertaken in the country by local companies under ADB's CRSP project and the lessons learnt there. Preliminary assessments have been undertaken in terms of availability and quality of construction material (rocks) in the main quarry in Tonga and close monitoring of the availability will continue during project approval and implementation phases. The construction timeline allows for staggering of construction between the two areas in Hahake coast to allow for the shortage of workforce/labour and equipment due to competing demands in the country. Risk Treatment Owner: The Government ownership and coordination will be enhanced through the Project Board in aligning the timelines for construction and other large scale construction projects that may be undertaken in the country.
9	There is a risk that that the project will engage with entities or individuals listed on UN sanctions	As a result of inadvertently engaging with entities or individuals listed on UN sanctions.	Which will impact jeopardization of the UN principles on countering the financing of terrorism.	**5. REPUTATIONAL (5.3. Code of conduct and ethics) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **1 - Not likely** Impact: **2 - Minor** Risk level: **LOW (equates to a risk appetite of MINIMAL)**	From: 01-Dec-24 To: 27-Aug-31	UNDP, PMU	Risk Treatment 7.1: This project is implemented by UNDP under the Direct Implementation Modality (DIM) and will be guided by UNDP's policy framework. UNDP, by virtue of being an organ of the United Nations and therefore being part of the same entity, is also beholden to the principles on countering the financing of terrorism. UNDP systematically screens all entities being considered to be contracted by or partner with UNDP against the Consolidated UN Security Council Sanctions List (https://www.un.org/securitycouncil/content/un-sc-consolidated-list). As part of its due-diligence, UNDP Pacific Multi Country Office in Suva will ensure to screen all entities (private sector, NGOs, CSOs) or individuals against the Consolidated UN Security Council Sanctions List before engaging with them for the project.

#	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	Risk Treatment and Treatment Owner
								Bidding documents will also require individuals and legal entities for self-declaration for not being in the UN Security Council Sanctions List. While selecting partners and private sector entities, Capacity Assessments tools are also used to identify if these entities appear in the Consolidated UN Security Council Sanctions List. Risk Treatment Owner: UNDP PMU
10	Money laundering and terrorist financing risks	As a result of inadvertently engaging with entities or individuals listed on UN sanctions.	Which will impact jeopardization of the UN principles on countering the financing of terrorism.	**5. REPUTATIONAL (5.6. Exposure to entities involved in money laundering and terrorism financing) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **1 - Not likely** Impact: **3 - Intermediate** Risk level: **LOW (equates to a risk appetite of CAUTIOUS)**	From: 01-Dec-24 To: 27-Aug-31	UNDP, PMU	Risk Treatment 7.1: This project is implemented by UNDP under the Direct Implementation Modality (DIM) and will be guided by UNDP's policy framework. UNDP, by virtue of being an organ of the United Nations and therefore being part of the same entity, is also beholden to the principles on countering the financing of terrorism. UNDP systematically screens all entities being considered to be contracted by or partner with UNDP against the Consolidated UN Security Council Sanctions List. Please refer to the UN Security Council Consolidated Sanctions List available at https://www.un.org/securitycouncil/content/un-sc-consolidated-list for the latest information on sanctions. Risk Treatment Owner: UNDP, through LexisNexis system, screens potential partners/vendors (including consultants) against anti-money laundering and countering of Terror Finance. In cases, where there is Positive Match, UNDP escalate such instances to Regional Bureau or HQ for decision making. UNDP also monitors and track such risks as part of CO integrated Programme Risk register as well as Project Risk Register where status of risk treatment actions is regularly monitored, updated and reported.
11	There is a risk of Prohibited Practices Risks	As a result of fraud and corruption.	Which will impact activities and operations of UNDP and including the project.	**6. REGULATORY (6.3. Deviation from UNDP internal rules and regulations)**	Likelihood: **2 - Low likelihood** Impact:	From: 01-Jan-25 To: 27-Aug-31	UNDP	Risk Treatment 7.1: UNDP applies a zero tolerance policy in relation to fraud and corruption. The guiding principles of UNDP's commitment to prevent, identify and address all acts of fraud and corruption have been laid out in the UNDP Policy against Fraud and Corrupt Practices (the "FCP Policy"), which applies

#	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	Risk Treatment and Treatment Owner
				- UNDP Risk Appetite: CAUTIOUS	**3 - Intermediate** Risk level: **LOW (equates to a risk appetite of CAUTIOUS)**			to all activities and operations of UNDP, including projects and programmes. The fundamental principles of UNDP's FCP Policy serve as the basis for and are integrated in UNDP's policy frameworks in relation to procurement, financial management, internal control and accountability and staff rules and regulations. Under the terms of the FCP Policy and related policies, UNDP has a commitment, when developing a new programme or project, to ensure that risks related to fraud and corrupt practices are fully identified and considered in the programme/project design and processes and that adequate and effective measures to mitigate such risks are put in place. In this light, the processes and requirements for UNDP's partnership capacity assessment (PCAT) require UNDP to carry out a thorough due diligence of the risks in relation to the programme/project it intends to engage in, as well as in relation to the potential partners who will be involved in the implementation of such programmes/projects. Such capacity assessments include, among other things, a screening of all entities being considered to be contracted by or partner with UNDP against the Consolidated UN Security Council Sanctions List (to which UNDP, by virtue of being an organ of the United Nations and therefore being part of the same entity, is also beholden), an assessment of any history of fraud, corruption or other fraudulent practices and/or potential conflicts of interest. Based on this capacity assessment, UNDP then builds an internal control component into the design of the project and ensures that the financial management of the programme/project contains adequate safeguards to prevent, monitor and address any risks and acts of fraud, corruption or AML/CFT that may be identified. Risk Treatment Owner: UNDP's internal Partner Capacity Assessment Tool (PCAT)

#	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	Risk Treatment and Treatment Owner
								was applied to assess the capacities of MEIDECC, MLNR and MoI, the Government agencies that are planned to to be engaged in the project. The assessment includes a question regarding a history of fraud, corruption, money laundering, financing terrorism and the like. For all three partners, the assessment did not find evidence for such past practices. Further, a Harmonized Approach to Cash Transfers (HACT) assessment was conducted for MEIDECC, the lead government agency for this project, and they were assessed for the existence of policies against fraud and corruption, policies for reporting wrongdoing including misuse of funds. After assessing the PCAT and HACT results, as well as the size of the proposed project, the Government and UNDP agreed to execute this project under UNDP's DIM modality, and hence, UNDP's Enterprise Risk Management (ERM) Policy framework, which includes the AML/CFT policies and the Policy Against Fraud and Corrupt Practices, will be applied during the implementation. As part of its incident management procedures, UNDP also establishes project-level grievance redress mechanism; where a stakeholder response mechanism allows grievances from direct/in-direct beneficiaries are duly reported and efforts are made to resolve the concerns. Communities / beneficiaries are also informed about OAI helpline to report incidences of fraud, corruption, prohibited practices and any wrong-doing for direct reporting.
12	Sediment movement during the installation of coastal protection infrastructure in Hahake could enter important marine	Sediment movement during the installation of coastal protection infrastructure	Which will impact activities and operations of UNDP	**1. SOCIAL AND ENVIRONMENTAL (1.11. Pollution prevention and resource efficiency) - UNDP Risk**	Likelihood: **2 - Low likelihood** Impact: **3 - Intermediate**	From: 01-Jan-25 To: 27-Aug-31	UNDP/Gender and Safeguards Officer	• The Environmental and Social Management Framework (ESMF) outlines steps required in order to ensure full compliance with SES requirement during project implementation. In accordance with the ESMF, an environmental and social impact assessment (ESIA) will be carried out at project inception to assess this and all other environmental and social risks. The ESIA will be immediately followed by an ESMP, including targeted

#	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	Risk Treatment and Treatment Owner
	habitats, including in the catchment of the Fanga'uta lagoon. Standard 1 : 1.1; 1.2; 1.3; 1.4			**Appetite: CAUTIOUS**	Risk level: **LOW (equates to a risk appetite of CAUTIOUS)**			management plans. The ESIA process will draw upon the ESMF to assess the associated impacts, and to inform the specific management measures outlined in the ensuing Management Plans. • A Feasibility study has already been carried out during project design. This feasibility study has been commissioned to provide background information and guidance for the elaboration of the first Tongan submission to the Green Climate Fund. The feasibility study treats the current and expected climate change impacts and examines the technical feasibility of each of the proposed solutions while assessing the feasibility of implementing these solutions within a single project framework. Simultaneously, considerations for gender responsiveness, impact potentials, sustainability potentials, and the possibility for transformational change have been examined carefully. This feasibility study will feed into the ESIA. The ESMF precises the areas / standards which have already been covered and the ones that will require additional impact assessment. • As noted by the feasibility study, the environmental effects of building the revetment works are 'acceptable, given that the construction will take place in the footprint of previous coastal works, while also providing benefits through improved protection and drainage management. Similarly, the mixed adaptation approach along the northern coast is considered to enhance environmental benefits through activities focussing on revegetation, road raising, and behaviour change. The installation of patch revetments on a very localised scale is considered to involve minimal adverse effects. However, because of the vulnerability of this ecosystem, the risk has been rated as Moderate. • Collaboration with the protected area management institutions will be needed during the ESIA, throughout the construction work and operation and maintenance. . The Protected Areas are

#	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	Risk Treatment and Treatment Owner
								managed by the project Implementation Partner, the MEIDECC, which will facilitate this coordination. • To ensure that sediment is not mobilised through current movement that will result in any significant impacts, it will be necessary to prepare a Biodiversity Action Plan (developed in close collaboration with relevant protected area management institutions if possible) including erosion control sediment measures to restrict sediment movement within the marine environment. Further, any earthworks should be undertaken at low tide to reduce sediment movement. These impacts will be spatially and temporally restricted to construction periods. • A sloping rock revetment has been proposed, which enhances the likelihood of sand accumulation at the toe of the structures.
13	The construction of coastal protection infrastructure may lead to loss of habitat, changes in hydrodynamic processes, potential increases in erosion, included in the catchment of the Fanga'uta lagoon Standard 1: 1.1;	construction of coastal protection infrastructure may lead to loss of habitat, changes in hydrodynamic processes	Which will impact on project activities and operations of UNDP	**1. SOCIAL AND ENVIRONMENTAL (1.4. Biodiversity conservation and sustainable natural resource management) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **3 - Moderately likely** Impact: **3 - Intermediate** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 01-Jan-26 To: 27-Aug-31	UNDP/Gender and Safeguards Officer	Prior to final design of the coastal protection infrastructure project, the ESIA conducted should include: • Chemical, ecological and physical assessments (and associated modelling) that consider the adjacent marine ecosystems including but not limited to, marine water quality within the areas of influence, potential contamination from marine sediments that may currently be contaminated, disturbance to habitats through the placement of infrastructure, noise, and vibration impacts, impact on benthic, planktonic and pelagic biota, and entrainment and entrapment of marine organisms. All these studies should consider spatial and temporal characteristics; • Hydrodynamic modelling to ensure the coastal protection infrastructure does not result in the change to coastal processes within natural variables respectively. The study should evaluate various coastal infrastructure types and design; • Hydrological modelling to ensure that the appropriate structures are designed that

#	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	Risk Treatment and Treatment Owner
	1.2 ; 1.3 ; 1.4 ; 1.11							will not result in changes to the wetland ecosystems through hypersaline environment and ensuring sediment loads do not enter the marine environment. The information from the ESIA will be used to inform the ESMP for the project along with providing fine scale information for the design of the coastal protection infrastructure. The plan should include: • Water quality monitoring in the short term • A Biodiversity Action Plan to be discussed in consultation with the two neighboring Protected Areas' Management units. The objective is to avoid any negative impact of the construction in the protected areas and other important marine habitats. To mitigate environmental impacts, it is critical to ensure that the proposed coastal protection infrastructure is away from sensitive habitats and is designed to minimize entrapment and entrainment of marine species although this is unlikely given the types of infrastructure being constructed. Further, the infrastructure should avoid impacts on marine species and specifically important habitats such as coral reefs. • Close collaboration to be established with the FSP steering committee.
14	The construction of coastal protection infrastructure (activity 3.1) could lead to sediment movement and may also expose acid sulphate soils within the mangrove areas	Potential acid sulfate soils occur in mangrove areas, in which case construction work (activity 3) would risk exposing them.	Which will impact on project activities and operations of UNDP	**1. SOCIAL AND ENVIRONMENTAL (1.11. Pollution prevention and resource efficiency) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **1 - Not likely** Impact: **4 - Extensive** Risk level: **LOW (equates to a risk appetite of CAUTIOUS)**	From: 01-Jan-25 To: 27-Aug-31	UNDP/Gender and Safeguards Officer	Potential acid sulfate soils occur in mangrove areas, in which case construction work (activity 3) would risk exposing them. However, the occurrence of mangoves in proximity to the project footprint is very limited. The composition of the soils (sand) at the project sites is also analogous to an atoll, in that it is comprised almost entirely of course carbonate very permeable sands and rubble and little igneous material is present. It is highly unlikely any acid sulfate soils exist at the project infrastructure work site. Excavation and earthworks will occur over the footing of an existing riprap revetment or adjacent to an existing road on a shore that is geologically very young (hundreds of years) Thus neither the chemistry or

#	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	Risk Treatment and Treatment Owner
								physical conditions conducive to ASS formation exists and the likelihood of presence is very low.
15	Entrainment, impingement and or entrapment of marine organisms could happen as the result of the construction of coastal protection infrastructures (activity 3.1)	Due to the construction of coastal protection infrastructures. During the construction of the coastal protection infrastructure and opening of drainage paths to for example, the wetlands, marine organisms could be entrained, impinged, and or entrapped. This could result in the death of the specific marine organisms such as phytoplankton, zooplankton and marine invertebrates. They can also impact on juvenile fishes if placed in an inappropriate location.	Which will impact on the site of project activities	**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: **LOW (equates to a risk appetite of CAUTIOUS)**	From: 01-Jan-25 To: 27-Aug-31	UNDP/Gender and Safeguards Officer	• To avoid impacts, the placement of the coastal protection infrastructure will rely on the studies identified above and those undertaken during the first year of the project. Further, observers should be used during construction to mitigate the risk of capture of important species thus reducing potential impacts on vertebrate fauna
16	The project will offer climate smart solutions to protect the island coast	Though there is no specific indigenous peoples status in Tongan	Which will impact on cultural identity/social-	**1. SOCIAL AND ENVIRONMENTAL (1.9. Indigenous peoples) -**	Likelihood: **2 - Low likelihood** Impact:	From: 01-Jan-25	UNDP/Gender and Safeguards	• The project - especially coastal protection - responds directly to the needs identified by GoT and local population, as expressed during project design phase • The project has planned to integrate extensive consultations, including FPIC,

#	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	Risk Treatment and Treatment Owner
	and adapt its landscape This may change Tongans' relationship to their landscape, hence affecting their cultural heritage and traditional knowledge on coastal land management	national political and legal framework, Tongans (a homogeneous group throughout the country constituting the vast majority of inhabitants) are considered under UNDP standards as an "indigenous people", in the sense of a distinct collective which has pursued its own concept and way of human development in a given socio-economic, political and historical context; has tried to maintain its distinct group identity, languages, traditional beliefs, customs, laws and institutions, worldviews and ways of life; has exercised control and management	environmental safeguards	**UNDP Risk Appetite: CAUTIOUS**	**3 - Intermediate** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	To: 27-Aug-31	Officer	as part of its design and to work on the basis of local development plans and to work on long-term solutions on the basis of community dialogue (Activity 1.1) • Traditional knowledge on coastal management, which is deeply embedded in Tongans livelihood, housing, and overall culture, has not been well documented and such documentation should be part of the community dialogues and documentation of the village and district participatory informed climate risk undertaken as part of Output 1. Tongan cultural practices and knowledge, specific to Tongan people, should thus be preserved through the project. The promotion and protection of the rights of indigenous peoples, especially concerning their lands, territories, resources, traditional livelihoods, tangible and intangible Cultural Heritage, are necessary to achieve UNDP's goals of advancing human rights, respecting indigenous peoples' identities and improving their well-being. • As Standard 6 applies to almost all of the population, it is considered that a separate Indigenous Peoples Plan is not required, rather the requirements of the standard can be integrated into the ESMP and Stakeholder Engagement Plan (SEP). • The SEP, which includes a Grievance Redress Mechanism, will provide the mechanism for achieving Free Prior Informed Consent (FPIC), that is, the population of Tonga, and particularly those directly affected, will continue to be consulted and involved in providing consent for the ongoing delivery of the project. • The ESMP and the SEP, along with other project processes and documentation can enable the project to meet the objectives of Standard 6, that is: o Recognize and fostering full respect for indigenous peoples' human rights o Support Tonga in their promotion and protection of indigenous peoples' rights

#	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	Risk Treatment and Treatment Owner
		of the lands, territories and natural resources that it has historically used and occupied, with which it has a special connection, and upon which its physical and cultural survival as indigenous peoples typically depends; and pre-dates those who colonized the lands in Oceania – although Tonga itself was never colonized. The indigenous peoples of Oceania indeed include Pacific Islanders, among which Polynesians (one-sixth), of which Tongans are part[82]. The special relationship that Tongans[83] have with						○ 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. • Any change to the landscape (Activity 3.1) will be dependent on the community's FPIC to the construction

[82] SEARAC, Southeast Asian American Statistical Profile, 2004; https://www.empoweredpi.org/; https://www.api-gbv.org/resources/census-data-api-identities/

[83] https://minorityrights.org/minorities/pacific-islanders/

#	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	Risk Treatment and Treatment Owner
		their lands, territories, resources means that their landscape and land management practices are embedded within their cultural heritage. Although Western influence has somewhat altered traditions and culture in Tonga, certain Tongan rituals and art forms survive[84]. The project has assessed that "Traditional Knowledge" solutions to marine hazard mitigation is unsuited to contemporary modes of living in Tonga's urban / peri-urban settings and that it cannot account for climate change stress. The problems of met-ocean hazards that are faced by contemporary						

[84] *American Indian Quarterly*
Vol. 30, No. 1/2, Special Issue: Indigenous Languages and Indigenous Literatures (Winter - Spring, 2006), pp. 11-27 (17 pages)

#	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	Risk Treatment and Treatment Owner
		Tongan communities and their built environments require additional solutions (output 1) which will tend to replace or modify traditional knowledge and practices. The outcomes of the project (through changed long-term landuse plans) are likely to affect both tangible cultural heritage (immovable objects, sites, structures, groups of structures, human settlements and natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance) and intangible Cultural Heritage, also referred to as living						

#	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	Risk Treatment and Treatment Owner
		heritage, including practices, representations, expressions, knowledge, skills—such as traditional knowledge on coastal erosion management—. While this knowledge appears not to be suited to the changing climate conditions anymore, its loss/modification may affect Tongans' cultural identity.						
17	The national land use strategy could lead to the physical and economic displacement as a result of changes to traditional practices.	The land use plan for Tonga based on climate risks and projections (Activity 1.2) could lead to restrictions of access and/or displacement (physical/economic) if not sufficiently based on community dialogue, including appropriate representation of vulnerable	May impact on community access to areas	**1. SOCIAL AND ENVIRONMENTAL (1.8. Displacement and resettlement) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **4 - Highly likely** Impact: **3 - Intermediate** Risk level: **SUBSTANTIAL (equates to a risk appetite of OPEN)**	From: 01-Jan-25 To: 27-Aug-41	UNDP/Gender and Safeguards Officer	• This is an upstream risk which requires a SESA. The SESA will assess the impact of the national land use strategy and its potential for physical &/or economic displacement . The additional consultations during SESA will help ensure that indigenous peoples' livelihoods are accounted for and that indigenous peoples can share their concerns in regard to the national policy. • Activity 1.2.4 provides a basis for national consultations with government ministries, nobles, landowners and businesses • A Process Framework will be designed if any unavoidable risk remains after the SESA and threatens communities' livelihoods or in the event that the national land use strategy determines that large scale population relocation is required for long-term sustainable

#	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	Risk Treatment and Treatment Owner
		people such as women, youth and the disabled.						land use, then a resettlement action plan will need to be prepared to support such a strategy. • The Gender Action Plan ensures that women's activities, needs and interests are being integrated into the land use policy • The Stakeholder Engagement Plan, including a Free Prior Informed Consent protocol to be implemented during the community dialogues (Activity 1.1). It will be crucial to capitalize on and use, where relevant, traditional modes of communication and meeting protocols. Faith-based institutions will also be important in this space to ensure the best possible reach, participation and outcomes. • During PPG, there was an agreement from community members that such discussion will continue about long-term adaptation options. It was also suggested that for such dialogues to be effective, meetings need to take place regularly. Existing mechanisms such as village or district committees were suggested as a possible platform for any dialogue on temporary relocation: • Physical coastal works will be limited to Tongatapu
18	The construction of coastal protection infrastructure (Activity 3.1) could impact access shorelines, including for fishing and other livelihood activities.. This could impact people's livelihoods, including	Consultation with the communities revealed that access the coastal area is very frequent and that there are concerns regarding potential restrictions of access. The communities are using the sea daily for fishing, swimming, and to process fau	It is possible that the access to fishing grounds could be impacted as a result of ill-informed positioning of the coastal protection infrastructure (3.1). Currently, no important fishing grounds are known to occur in any	**1. SOCIAL AND ENVIRONMENTAL (1.8. Displacement and resettlement) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **3 - Moderately likely** Impact: **3 - Intermediate** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 01-Jan-25 To: 27-Aug-41	UNDP/Gender and Safeguards Officer	• Physical cooastal works will be limited to Tongatapu • As outlined in the ProDoc, the project works towards facilitating long-term community engagement in coastal resilience building in Tonga. It relies on community consultations and local development plans, which will define the location and uses of the boat ramps. • The livelihood, gender and stakeholder engagement plans will consider each group's activities in relation to the sea and provide adequate measures to secure their access. • A Grievance Redress Mechanism will be set up and made accessible to all community members. The different groups will then be able to alert the PMU

#	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	Risk Treatment and Treatment Owner
	women's and indigenous peoples', and create conflicts over limited access.	and panadanus for weaving. Different fishing activities are conducted there such as collecting shellfishes, fish traps (pa ika), collecting sea urchins etc. This means any restriction of access to the sea could have a major impact on people's livelihood and way of life. Access to boat ramps is crucial for local communities. Last, some light traffic obstruction is likely to occur during the construction, which could affect communities' ability to go in and out the villages for their livelihood activities.	of the project areas. By contrast, the project is likely to improve fishing grounds and fishing productivity through the improvement of ecosystems and connectivity.					if ever access is restricted, and their livelihoods are negatively impacted. • Local Development Plans will include conflict resolution mechanisms
19	Terrestrial and marine noise could happen	Terrestrial and marine noise including	Environmental impact	**1. SOCIAL AND ENVIRONMENTAL (1.4.**	Likelihood: **3 - Moderately likely**	From: 01-Jan-25	UNDP/ and Safeg	• An assessment of the terrestrial habitat where the coastal protection infrastructure is to be located should consider any sensitive receptors

#	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	Risk Treatment and Treatment Owner
	because of the use of construction equipment and rock dumping.	through the use of construction equipment and rock dumping will occur as a result of the projects. This can impact on local communities and marine and terrestrial fauna using the adjacent area. The noise will predominantly relate to the dumping of rock, which will have very limited temporal scales.		**Biodiversity conservation and sustainable natural resource management) - UNDP Risk Appetite: CAUTIOUS**	Impact: **3 - Intermediate** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	To: 27-Aug-30	uards Officer	including communities. Further, noise shields should be constructed to reduce the potential for noise to reach these communities if an impact occurs. The noise will predominantly relate to the dumping of rock, which will have very limited temporal scales. • 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. • 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 if an impact occurs. The noise will predominantly relate to the dumping of rock, which will have very limited temporal scales. • 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. •
20	Damages to the environment and risks related to the safety of workers could be associated with the quarries from where the stones will be sourced. This secondary risk on the project's area of influence	Stones will come from local quarries located on the island. Quarries in Tonga are small and often left dormant for years and then occasionally re-activated according to needs.	Environmental impact	**1. SOCIAL AND ENVIRONMENTAL (1.4. Biodiversity conservation and sustainable natural resource management) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **1 - Not likely** Impact: **1 - Negligible** Risk level: **LOW (equates to a risk appetite of MINIMAL)**	From: 01-Jan-25 To: 27-Aug-30	UNDP/ and Safeguards Officer	•

#	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	Risk Treatment and Treatment Owner
	includes deforestation due to the exploitation of the quarries, creation of waste and pollution from the quarry, and negative impact on the workers' health and safety	Because there is little if any natural forest left on Tongatapu and because the forests tend to be associated with lowlands which is not where better quality limestone can be sourced, it is unlikely that the quarries will cause any harm to the forest. The work will be conducted on the short-term, and involve few local workers.						
21	The coastal constructions, though aiming at protecting the coast from the effects of climate change, are themselves inherently vulnerable to Climate Change and could be destroyed by natural disasters	Tonga has a semitropical climate **T**here is more than a 20% chance of potentially-damaging earthquake shaking the project area in the next 50 years. There is more than a 40% chance of a potentially-damaging tsunami occurring in the next 50 years. The areas at risk of tsunami	Will impact construction activities of the project	**1. SOCIAL AND ENVIRONMENTAL (1.5. Climate change and disaster risks) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **3 - Moderately likely** Impact: **4 - Extensive** Risk level: **SUBSTANTIAL (equates to a risk appetite of OPEN)**	From: 01-Jan-25 To: 27-Aug-31	UNDP/r and Safeguards Officer	• The ESIA will detail further information to adequately account for the level of hazard and to determine the effect that the destruction or serious damage to infrastructure associated with the planned project could have on the local communities and environment. Information about secondary hazards (fires, landslides, liquefaction, tsunami in coastal areas) that have affected the project area in the past and the effects these caused will be collected. Community memory and historical accounts of hazard can provide useful information to supplement scientific studies. Sectoral ministries will be asked to provide information support, and constructions will be designed in line with national regulations. • Similar design revetements as what is proposed in the project have proved to be particularly performant during 2022 eruption/tsunami

#	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	Risk Treatment and Treatment Owner
		will increase as global mean sea level rises. According to the IPCC (2013), global mean sea level rise depends on a variety of factors, and estimates for 2100 range from ~20 cm to nearly 1 m. However, regional changes in sea level are difficult to predict. There is also more than a 20% chance of potentially-damaging coastal flood waves occurring in the next 10 years. [85]						• Based on this information, appropriate measures will be integrated in all phases of the project, in particular during design and construction (output 3) but also in the land-use plan (output 1). **Project planning decisions, project design, and construction methods will take into account the level of earthquake hazard,** of tsunami, and of coastal flood hazard for any activities located near the coast. The constructions will be designed to be robust to projected increases in global sea level. • The ESMP will detail additional measures related to emergency contingencies in the planning and construction. A clear emergency management plan should be drafted and practiced to prepare staff for crisis mitigation. Some communities (Manuka, Talafo'ou and Nukuleka) have carried out training and an exercise to develop a Disaster Management Plan, following NEMOs direction, but many community members are not aware of this. Some of the communities also carry out drills to keep people in communities aware and alert. In the drills the Town officer announces the evacuation procedure for those who need special assistance, including the elderly, disabled and children and they proceed first. This requires ongoing reinforcement in the communities. •
22	Better coastal governance and management, as a result of both activity 1.2 (land use policy) and 1.3 (construction of infrastructur	About 75% of Tonga's population lives in rural areas, with agriculture and fisheries as their main source of livelihoods. Tonga has one of the highest rates of subsistence	Impact on community	**1. SOCIAL AND ENVIRONMENTAL (1.8. Displacement and resettlement) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **4 - Highly likely** Impact: **3 - Intermediate** Risk level: **SUBSTANTIAL**	From: 01-Jan-25 To: 27-Aug-41	UNDP/Gender and Safeguards Officer	• The project will monitor the access to coastal and adjacent agricultural lands as part of its Monitoring measures. This project will empower and train local and national authorities to monitor and use climate risk data for coastal adaptation planning (activity 2.2) but also build the capacity of local government, village committees and NGOs to integrate climate risks and adaptation needs into community development plans (CDP) (activity 2.3)

[85] https://thinkhazard.org/en/report/245-tonga

#	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	Risk Treatment and Treatment Owner
	es) and could lead to an increase in the demand for agricultural lands, habitation and other uses, in an area where communities depend on these lands for their livelihoods and where many are dependent on leases. This could particularly affect rural women, whose access is generally lower.	food production amongst Pacific Island Countries. Agricultural land use is dominated by crop cultivation, followed by livestock activities, however about half of the agricultural land in Tonga is fallow. Most land in Tonga belongs to the nobles. Most land holdings are small – eight acres or about 3.24 hectares, but most farmers are dependent on leases. Land can be leased from for T$80 per year, which is cheap, but the land cannot be owned. Some bushland is being sold for new housing, although selling land is not legal, so it is done covertly by pretending that it is being			**(equates to a risk appetite of OPEN)**			• The Gender Action Plan will propose adequate measures to secure women's access to land • A Grievance Redress Mechanism will be set up and made accessible to all community members. The different groups will then be able to alert the PMU if ever access is restricted and their livelihoods are negatively impacted. • Local Development Plans will include conflict resolution mechanisms

#	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	Risk Treatment and Treatment Owner
		gifted to a relative. Every male Tongan is entitled to access a town allotment and a bush allotment for farming when they reach the age of 16. Men can "rent" land from a noble, and only a man can inherit land use rights. Tongan women do not have any tenure rights over land, are not entitled to own land and can only have temporary access to land. Women can legally lease land, although it is difficult for them to do so.						
23	Outcome 1 may exacerbate existing discriminations against women and youth and potentially other minorities such as LGBTI, as	Political will for mainstreaming gender is generally low in Tonga. There is lack of recognition of the ways in which gender shapes diverse roles, needs and	Social impact	**1. SOCIAL AND ENVIRONMENTAL (1.2. Gender equality and women's empowerment) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **4 - Highly likely** Impact: **3 - Intermediate** Risk level: **MODERATE (equates to**	From: 01-Jan-25 To: 27-Aug-31	UNDP/Gender and Safeguards Officer	• Project consultations have been conducting through focus groups, including a specific women's group in each location. This will continue and ensure women's ability to participate. A specific young women's group could be added (3 focus groups are usually conducted – one with men, one with women and the third with the young men) • The Gender Action Plan will design appropriate measures to be included in the design of the community dialogue

#	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	Risk Treatment and Treatment Owner
	they do not participate effectively in decision-making arena at the national nor local level, leading to maladapted governance decisions, especially in regard to land-use planning. The project also involves regular interactions with project actors (e.g., information/training sessions, construction workers), which could create opportunities for SEAH.	constraints of rural women and men and lack of acknowledgment that gender is a factor directly affecting people's agency. Tonga has not yet ratified the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW), which obstructs the overall work of governmental institutions on the promotion of gender equality in agriculture and rural women's empowerment at all levels. Moreover, in a community-setting, women may be underrepresented or silent during consultations.			**a risk appetite of EXPLORATORY)**			platform (Activity 1.1), the development of the land use plan (1.2). As part of implementation and mainstreaming gender aspects, relevant laws, policies and strategies against GBV/SEAH are to be implemented. • In addition, the GAP is reinforced by the Stakeholder Engagement Plan (SEP). The SEP highlights the engagement of women and women stakeholder groups and consideration of specific communication needs that they may have. • The GRM includes specific actions for dealing with SEAH. • The training of local government, village committees and NGOs to integrate climate risks and adaptation needs into community development plans (2.3) will integrate gender-responsive modules to build authorities' capacities to mainstream gender in land-uses and coastal policies • The project will rely on existing groups such as women development committees for ensuring sustainability of results • The project will adhere to UNDP's policies for protection against Harassment, Sexual Harassment, Discrimination and abuse of Authority, as well as special measures for protection from sexual exploitation and sexual abuse. • **UNDP will request that contractors, suppliers, and partners adhere to zero tolerance for SEAH conduct and commit to taking adequate action if faced with SEAH allegations, in the absence of which, contractual arrangements can be terminated.** •

#	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	Risk Treatment and Treatment Owner
24	The duty bearers of this project, in particular the contractors, may have low capacities through consultations with the general communities with specific understanding on the different risks that may be imposed with regards to gender, women, indigenous, people living with disabilities, elderly, youth and the community at large.	During the consultations leading to design of the project, issues were raised in regarding the potential lack of coordination and communication between the contractors and communities. Some communities expressed that such issue has already happened in the past: during the construction of a wharf in Hafeeva island for instance, the residents of the island recommended that the wharf is built on the other side, because the current was too strong the other side. However, the engineer did not follow the advice and the wharf was destroyed in less than a month.	Impact on communities	**1. SOCIAL AND ENVIRONMENTAL (1.3. Grievances (Accountability to stakeholders)) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **3 - Moderately likely** Impact: **3 - Intermediate** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 01-Jan-25 To: 27-Aug-31	UNDP/ and Safeguards Officer	• The community will take direct ownership of the project and will be directly involved in each phase of the project, especially through the community dialogues (1.1), the elaboration of community development plans (2.3), and the community consultations linked to the constructions (3.1.3). • Technical feasibility studies will directly integrate, and highlight as such, communities' recommendations (3.1.3) in order to build a long-standing collaboration between local authorities and communities • All project activities impacting communities' lands will follow the FPIC guidelines as defined by the IPP • The project will continuously build local and national capacities (2.2) and share lessons learnt (3.2) in order to promote good governance and accountability. •

#	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	Risk Treatment and Treatment Owner
		It is important for the communities to directly engage in the project and to be part of every component, and engineers/contractors should be capacitated to integrate communities' recommendations.						
25	The project activities could lead to work-related accidents involving local workers during the construction of coastal infrastructure; if the infrastructure are damaged, they could also affect the safety of local communities	The project will build infrastructure that will require the use of local workforce. Accidents may arise on the construction sites. Vehicles and machines used for transporting people and construction materials can also cause traffic accidents. Last, potential destruction / damage to the infrastructure due to weather conditions		**1. SOCIAL AND ENVIRONMENTAL (1.8. Displacement and resettlement) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **4 - Highly likely** Impact: **3 - Intermediate** Risk level: **SUBSTANTIAL (equates to a risk appetite of OPEN)**	From: 01-Jan-25 To: 27-Aug-30	UNDP/Gender and Safeguards Officer	• The project will require compliance with the Code of Conduct and safety standards by Project companies and personnel • Specific measures will be specified in the ESMP and the associated Health & Security Plan • An Emergency Fund may be considered within the HSP to deal with possible situations of this kind – this will be determined during ESIA

#	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	Risk Treatment and Treatment Owner
		could lead to further incidents						
26	The rather small-scale influx of workers (30-40 persons max) into the area generated by the project to work on the coastal protection infrastructure has raised concerns regarding gender-based violence and young women's safety.	Tonga has no domestic violence, sexual harassment, human trafficking, sex tourism or family legislation in place and has neither signed nor ratified the Convention on the Elimination of all forms of Discrimination Against Women (CEDAW). Tonga has no minimum age of sexual consent, so statutory rape is not a crime. The legal definition of rape is limited to acts amounting to sexual intercourse, and the common law rules requiring proof of physical resistance in order to establish lack of consent is still applied. The defence of the	Social impacts	**1. SOCIAL AND ENVIRONMENTAL (1.13. Sexual exploitation and abuse) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **3 - Moderately likely** Impact: **2 - Minor** Risk level: **MODERATE (equates to a risk appetite of EXPLORATORY)**	From: 01-Jan-25 To: 27-Aug-30	UNDP/Gender and Safeguards Officer	• During the construction side, a team of engineers will be appointed by the Government, but once the structure is in place, the communities and local authorities will be in charge of monitoring and data collection (output 2) • The GAP will be revised on project inception in order to integrate one targeted and concerted measure to prevent any Gender-Based-Violence • The GRM includes specific actions for dealing with SEAH. • UNDP will request that contractors, suppliers, and partners adhere to zero tolerance for SEAH conduct and commit to taking adequate action if faced with SEAH allegations, in the absence of which, contractual arrangements can be terminated.

#	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	Risk Treatment and Treatment Owner
		reasonable belief that a victim was of legal age of consent is also still allowed. Communities, during the consultations, have expressed very clearly their wish to see their members employed by the project, linked their concerns with potential risks of gender-based violence by incoming workers on women and girls. While the project will mostly work with local workforce, some external expertise will be needed. Expatriate workers from overseas will also be on site during this Project. There will be 3 senior / technical level of ongoing expatriate management and						

#	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	Risk Treatment and Treatment Owner
		coordination based in Tongatapu for the duration of the Project and various technical tasks along the way that require overseas team's and individuals (up to 20-30) to visit and undertake short-term work. 3 local staff based in Tongatapu will also undertake routine travel and work on the outer islands too						
27	The construction of coastal protection measures could lead to temporary relocation measures of neighboring communities.	Construction work at this scale may in some cases lead to temporary physical relocation around the construction sites. SIDS countries, in their climate change adaptation strategies, have sometimes sponsored periodic	Social-environmental impacts	**1. SOCIAL AND ENVIRONMENTAL (1.8. Displacement and resettlement) - UNDP Risk Appetite: CAUTIOUS**	Likelihood: **2 - Low likelihood** Impact: **2 - Minor** Risk level: **LOW (equates to a risk appetite of CAUTIOUS)**	From: 01-Jan-25 To: 27-Aug-41	UNDP/Gender and Safeguards Officer	Construction work at this scale may in some cases lead to temporary physical relocation around the construction sites. SIDS countries, in their climate change adaptation strategies, have sometimes sponsored periodic relocations to other islands and countries[87]. However recent catastrophic events have highlighted key challenges linked to the emotional attachment to lands, and the financial costs of relocations. The present project, as it is designed, takes into consideration of the nearest homes and other buildings to the possible construction sites so that no relocation will be needed. The preliminary conclusion is that such relocation would not be required. Any temporary relocation deemed necessary at a later stage would trigger a revision of the SESP, and to follow the FPIC guidelines as per the IPP.

[87] Climate Change Adaptation and Disaster Risk Reduction: Issues and Challenges, Rajib Shaw, Juan Pulhin, Joy Pereira, Emerald Group Publishing, 2010

#	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	Risk Treatment and Treatment Owner
		relocations to other islands and countries[86]. However recent catastrophic events have highlighted key challenges linked to the emotional attachment to lands, and the financial costs of relocations. The present project, as it is designed, takes into consideration of the nearest homes and other buildings to the possible construction sites so that no relocation will be needed. The preliminary conclusion is that such relocation would not be required. Any temporary relocation deemed necessary at a later stage would trigger a revision of the SESP, and to follow the						

[86] Climate Change Adaptation and Disaster Risk Reduction: Issues and Challenges, Rajib Shaw, Juan Pulhin, Joy Pereira, Emerald Group Publishing, 2010

#	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	Risk Treatment and Treatment Owner
		FPIC guidelines as per the IPP.						
28	The main infrastructures (revetments, activity 3.1) will be completed with some mixed approaches, including planting. This activity could lead to the introduction of alien and/or invasive species if non-local species used.	Activity 1.3 plans a mixed-approach to coastal protection. While the construction of infrastructures is the main objective, it will be complemented by small-scale local measures, that currently do not have detailed design. These may include reforestation activities, which may lead to the introduction of alien and potentially invasive species. The Global Register of Introduced and Invasive Species – Tonga identifies 383 alien species introduced so far in Tonga[88]. The Pacific Island Ecosystems at	Impact on the local environment - invasive species could be introduced via the use of materials in construction	**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-25 To: 27-Aug-31	UNDP/Gender and Safeguards Officer	• The ESIA will assess further what those mixed approaches will entail and how the plantation activities are planned. • Reforestation is to prioritise native species. Where non-native species are proposed, it must be demonstrated that they do not pose a threat as an invasive species.

[88] https://www.gbif.org/dataset/828f8713-6462-465c-b35f-25e4800e3881#taxonomicCoverages

#	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	Risk Treatment and Treatment Owner
		Risk (PIER) project listed the species of particular concerns[89]. It is possible that some replantation could inadvertently lead to either the introduction of alien species or the spread of invasive species.						

Annex L: Letter of Agreement with the government in case UNDP Support Service Costs are applied

[89] http://www.hear.org/pier/reports/tappendix3.htm

Annex M: Additional agreements

Annex N: UNDP Project Quality Assurance Report

ASM10383 - QualityAssuranceDesign

Procedure Year: 2024

Overall Project Risk Categorization:

Satisfactory **Procedure Status:** Identify Risk Treatments

Procedure Name: ASM-10383

ProcedureDepartment:CO - Tonga - Cty Pgmm

ProcedureType: Design

RecordOwner: Rusiate Ratuniata

Createdby: Rusiate Ratuniata,8/19/2024, 9:18 PM

Last Modified by: Rusiate Ratuniata,8/20/2024, 2:05 AM

Decision:

QASummary/ProjectBoardComments:

RELATED PROJECTS(1)					
NAME	DEPARTMENT	STATUS	ATLAS PROJECT NUMBER	START DATE	END DATE
01003036	CO - Pacific Centre - Fiji	Draft		8/28/2024	8/28/2031

IdentifiedRisks&Treatments

Category: 1. Social and Environmental

RiskSignificance: Substantial

RiskSignificance: Substantial

Sub-Category: 1.5. Climate change and disaster risks

Event:

Damage to coastal protection infrastructure

Causes:

20 percent chance of potentially damaging earthquake, 40 percent of occurring in the next 50 years, and 20 percent chance of coastal flood waves in the next 10 years that could damage the coastal protection infrastructure.

Impact:

Increase the disaster risk and vulnerability of local communities.

RELATED TREATMENTS(1)

ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	C
An environmental and social impact assessment (ESIA) will highlight the level of hazard and determine the effect of destruction and damage of coastal protection infrastructure. Appropriate measures will be integrated in all phases of project to increase the robustness of coastal infrastructure. The ESMP will also include emergency contingencies An emergency management plan will be developed to prepare staff for crisis mitigation. Support to training and exercise of Disaster Management Plan	Increased robustness of the coastal protection infrastructure and increased preparedness of coastal communities and project staff	8/31/2031	Not Started	

Category: 1. Social and Environmental **Risk**

Significance: Substantial

RiskSignificance: Substantial

Sub-Category: 1.8. Displacement and resettlement

Event:

There is a risk of potential restrictions of access and/or displacement (physical and economic)

Causes:

As a result of community dialogues that are not sufficiently representative of vulnerable people such as women, youth and disabled

Impact:

Which may result in the physical and economic displacement of people results in increased vulnerability of people of Tonga to climate change risks

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	C
SESA will be conducted to assess the impact of the national land use strategy and its potential and/or economic displacement. The additional consultations, during SESA, will will help ensure that local people' livelihoods are accounted for and that all sections of the population can share their concerns related to land use strategy.	Minimize the vulnerabilities from the implementation of national land use strategy.	8/31/2031	Not Started	

RiskSignificance: Moderate

Sub-Category: 1.8. Displacement and resettlement

Event:

There is a risk of loss of livelihoods and the creation of conflicts over limited access to resources

Causes:

As a result of the construction phase that may impede access to fishing and other livelihood activities and

Impact:

Which may result in the loss of livelihoods (including women's) and create conflicts over limited access

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	C
The livelihood, gender and stakeholder engagement plans will consider each group's activities in relation to the sea and provide adequate measures to secure their access. A Grievance Redress Mechanism will be set up and made accessible to all community members. The different groups will then be able to alert the PMU if ever	Minimize adverse impact on livelihood and social activities of communities directly impacted by the construction of coastal protection infrastructure.	8/31/2031	Not Started	

RELATED TREATMENTS(1)

ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	C
access is restricted, and their livelihoods are negatively impacted				
Local Development Plans will include conflict resolution mechanisms				
Community consultations will define the location for construction of boat ramps along the coastal protection infrastructure				

Risk Significance: Moderate

Sub-Category: 1.8. Displacement and resettlement

Event:

Increased demand for land can lead to local grievances and reduced local communities access to land

Causes:

Better coastal governance and management leading due to coastal protection infrastructure, increased demand for land

Impact:

Local communities, especially those who lease land, and particularly women could face challenges to access land

RELATED TREATMENTS(1)

ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	C
Monitor access to coastal and adjacent agricultural lands. Empower and train local and national authorities to monitor and use climate risk data for coastal adaptation planning, and local government and local stakeholders to integrate climate risks and vulnerabilities in community development plans	Ensure access to land	8/31/2031	Not Started	

RELATED TREATMENTS(1)

ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	C
The Gender Action Plan will propose adequate measures to secure women's access to land. A Grievance Redress Mechanism will be set up and made accessible to all community members. The different groups will then be able to alert the PMU if ever access is restricted and their livelihoods are negatively impacted *Local Development Plans will include conflict resolution mechanisms*				

Category: 3. Operational

Risk Significance: Moderate **Risk**

Significance: Moderate

Sub-Category: 3.7. Occupational safety, health and well-being

Event:

Accidents during construction and from vehicular movement and use of machines and/or damage from weather conditions

Causes:

Lack of appropriate occupational safety measures and standards

Impact:

Potential loss of life or disability from accident

RELATED TREATMENTS(1)

ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	C
Code of Conduct and safety standards by Project companies and personnel Specific measures will be specified in the ESMP and the associated Health & Security Plan An Emergency Fund may be	Improved working conditions.	8/31/2028	Not Started	

RELATED TREATMENTS(1)

ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	C
considered within the health and safety plan to deal with possible situations of this kind i this will be determined during ESIA				

Category: 1. Social and Environmental **Risk**

Significance: Moderate

RiskSignificance: Moderate

Sub-Category: 1.4. Biodiversity conservation and sustainable natural resource management

Event:

Reforestation activities may lead to introduction of alien and or invasive species

Causes:

Use of non-local species used in mixed approaches to coastal protection

Impact:

Loss of local species and introduction of alien and or invasive species

RELATED TREATMENTS(1)

ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	C
The Environmental and social impact assessment (ESIA) will determine the mixed approaches (including plantation activities) Reforestation is to prioritise native species. Where non- native species are proposed, it must be demonstrated that they do not pose a threat as an invasive species.	Protection of local ecosystem.	8/31/2031	Not Started	

RiskSignificance: Moderate

Sub-Category: 1.4. Biodiversity conservation and sustainable natural resource management

Event:

There is a risk of sediment movement during construction phase impacting marine habitats

Causes:

As a result of mobilisation of beach material (corals and) and from rock placement activities

Impact:

Which may result in one significant marine protected area in the general vicinity of the site affected

RELATED TREATMENTS(1)

ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	C
An environmental and social impact assessment (ESIA) will be carried out at project inception to assess this and all other environmental and social risks. The ESIA will be immediately followed by an ESMP, including targeted management plans. A biodiversity Action plan will also developed to include erosion control to restrict mobilization of sediment. The plan will developed in close collaboration with relevant protected area management institutions, if possible.	Promote erosion control and restrict sediment movement during construction phase.	8/31/2031	Not Started	

RiskSignificance: Moderate

Sub-Category: 1.4. Biodiversity conservation and sustainable natural resource management

Event:

There is a risk that the construction phase is likely to lead to habitat loss and change hydrodynamic process and potential erosion in the project area, and the adjacent protected area

Causes:

As a result of issues arising from the construction phase, mainly through mobilisation of beach material (corals and), from rock placement activities

Impact:

Which may affect one significant marine protected area in the general vicinity of the adaptation works.

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	C
An environmental and social impact assessment (ESIA) will be conducted and will include chemical, ecological and physical assessments and associated modelling; hydrodynamic modelling and hydrological modelling. The findings and recommendations from ESIA will inform ESMP for the project, which would also include water quality monitoring in the short term, and the biodiversity action plan.	Minimize habitat loss, and inform design of the coastal protection infrastructure to limit changes to wetland ecosystems and restrict sediment movement.	1/31/2025	Not Started	

RiskSignificance: Moderate

Sub-Category: 1.4. Biodiversity conservation and sustainable natural resource management

Event:

There is a risk of entrainment, impingement or entrapment of marine organisms during construction

Causes:

As a result of marine life loss during the construction phase and opening of drainage paths

Impact:

Which may result in the loss/capture of important species, including vertebrate fauna

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	C
An environmental and social impact assessment (ESIA) will be conducted, and a biodiversity action plan will be	Reduce adverse impact on marine life.	8/31/2031	Not Started	

RELATED TREATMENTS(1)

ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	C
developed to address adverse impact on marine life. Additionally observers will be used during construction to mitigate the risk of capture of important species and reduce impacts on invertebrate fauna.				

Category: 1. Social and Environmental **Risk**

Significance: Moderate

RiskSignificance: Moderate

Sub-Category: 1.1. Human rights

Event:

Limited participation of vulnerable and minorities in decision making

Causes:

Lack of political will to mainstream gender and existing constraints for youth and other monitories

Impact:

Maladapted governance decisions, especially related to land use planning

RELATED TREATMENTS(1)

ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	C
The gender action plan and the stakeholder engagement plan include appropriate measures to enhance women's engagement in the national dialogue process and in community development planning. Similar measures will also be used to enhance youth and minorities participation The grievance redressal mechanisms will include specific measures to address Sexual Exploitation, Abuse and Harassment.	An enabling environment for women, youth and minorities participation in decision making process.	8/31/2031	Not Started	

RELATED TREATMENTS(1)

ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	C
Capacity development support to local governments, village communities and NGOs will integrate gender responsive and youth led models				

Category: 3. Operational

Risk Significance: Moderate **Risk**

Significance: Moderate

Sub-Category: 3.8. Capacities of the partners

Event:

There is a risk of delay in the implementation of project activities

Causes:

As a result of limited human resources in government agencies and contractors

Impact:

Which may result in the delay in implementation of coastal resilience activities

RELATED TREATMENTS(1)

ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	C
As a DIM project, UNDP will work with the Ministry of Meteorology, Energy, Information, Disaster Management, Environment, Climate Change and Communications (MEIDECC), and other government agencies to analyse capacity gaps at institutional and individual level, and develop clear capacity development plan for each output, with an emphasis on output 2 which is on strengthened national and local capacities for monitoring and assessment of climate risks	Capacity development of key ministries and agencies enhanced to respond to climate change risks is enhanced.	12/31/2025	Not Started	

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	C
Management capacity development will be developed for output 2. The project will work closely with MEIDECC, Ministry of Planning, and Ministry of Lands, Survey and Natural Resources (MLSNR) to integrate climate change consideration in planning processes, and in the national dialogue process to set the transformative agenda *Capacities of the key national institutions to respond to the recommendation from the national dialogue process will be developed*				
RiskSignificance: Moderate				

Sub-Category: 3.8. Capacities of the partners

Event:

There is a risk that the institution/stakeholders lack capacity

Causes:

As a result in the absence of a specific or comprehensive strategy to assess with to build capacity

Impact:

Which may result in implementation delay

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	C
Build capacity for the relevant institutions beginning at the inception workshop.	Well coordinated implementation of project activities.	9/30/2027	Not Started	

Category: 1. Social and Environmental **Risk**

Significance: Moderate

RiskSignificance: Moderate

Sub-Category: 1.10. Labour and working conditions

Event:

There is a risk of terrestrial and marine noise during construction phase

Causes:

As a result of the use of construction equipment and rock dumping could cause noise during construction phase

Impact:

Which may lead to construction noise

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	C
Use of noise shields during construction ESIA and various modelling studies will provide recommendations to limit the impact on marine organisms and sensitive receptors.	Reduce impact of noise on local communities and marine organisms.	8/31/2031	Not Started	

RiskSignificance: Moderate

Sub-Category: 1.10. Labour and working conditions

Event:

Lack of communication and coordination between contractors and communities

Causes:

Limited consideration given to local knowledge and recommendations and advice

Impact:

Maladaptive coastal protection infrastructure

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	C
Community engagement will be supported in each phase of the project. Technical feasibility studies will integrate community recommendations, and the project activities will follow the FPIC guidelines.	Coastal protection infrastructure that responds to community needs.	8/31/2031	Not Started	

Category: 1. Social and Environmental **Risk**

Significance: Moderate

RiskSignificance: Moderate

Sub-Category: 1.2. Gender equality and women's empowerment

Event:

Higher risk of gender based violence impacting women and youth's safety

Causes:

Influx of workers (though very small) increases the risks of GBV

Impact:

Decreased safety and security of women and youth

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	C

The Gender Action plan includes measures to promote women's safety and security – including grievance mechanism to address sexual exploitation abuse and harassment. It will be updated during project inception to include targeted measures to prevent GBV UNDP will request that contractors, suppliers, and partners adhere to zero	Improved safety and security for women and young people.	8/31/2031	Not Started

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	C
tolerance for SEAH conduct and commit to taking adequate action if faced with SEAH allegations, in the absence of which, contractual arrangements can be terminated				

Category: 3. Operational

Risk Significance: Moderate **Risk**

Significance: Moderate

Sub-Category: 3.5. Partners' engagement

Event:

There is a risk of a lack in agreements on long term transformational adaptation strategies

Causes:

As a result of preference for traditional land ownership practices that lacks agreement formal and tenure for land

Impact:

Which may result in the absence of long-term transformational adaptation agenda, including voluntary retreat may affect and could increase the vulnerability of people of Tonga to climate risks

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	C
The activities highlighted under risk is also relevant for this risk. Management: stakeholder engagement plan will be updated and communication strategy will be developed to raise awareness of all sections of the population on climate risks and vulnerabilities. Both the plans will also include components to support participation of different sections of the population in	Minimize the risk of not reaching agreement on long-term adaptation strategies.	8/31/2031	Not Started	

RELATED TREATMENTS(1)				
ACTIVITIES FOR TREATMENT	EXPECTED EFFECT	TIME PLAN FOR COMPLETE	STATUS	C
the national dialogue process. In addition, the gender assessment and action plan developed as part of the project proposal will also inform specific measures to be taken to ensure full participation of women in setting the long-term adaptation strategies. To ensure that participation translates into agreement on long-term strategies, the project will also include media campaigns (including talk shows) that provide evidence- based options for long-term adaptation and resilience.				

QA Questionnaire:

Strategic *Status* Complete *Quality Rating* Satisfactory

1. Does the project specify how it will contribute to higher level change through linkage to the programme's Theory of Change?

3: The project is clearly linked to the programme's theory of change. It has an explicit change pathway that explains how the project will contribute to outcome level change and why the project's strategy will likely lead to this change. This analysis is backed by credible evidence of what works effectively in this context and includes assumptions and risks.

2: The project is clearly linked to the programme's theory of change. It has a change pathway that explains how the project will contribute to outcome-level change and why the project strategy will likely lead to this change.

1: The project document may describe in generic terms how the project will contribute to development results, without an explicit link to the programme's theory of change.

**Note: Projects not contributing to a programme must have a project-specific Theory of Change. See alternative question under the information icon for these cases*

**Note: Risk management must be done for criteria with score of 1.*

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

The project is fully aligned to UNDP Strategic Plan 2022 – 2025 (Outcome 3) and UNDP MCO CPD (outcome 4: Planet) which focus on enhancing resilience to respond to systemic uncertainty and risks. The project has a clear theory of change in the project project document section on theory of change

2. Is the project aligned with the UNDP Strategic Plan?

3: The project responds to at least one of the development settings as specified in the Strategic Plan and adapts at least one Signature Solution. The project's RRF includes all the relevant SP output indicators. (all must be true)

2: The project responds to at least one of the development settings as specified in the Strategic Plan. The project's RRF includes at least one SP output indicator, if relevant. (both must be true)

1: The project responds to a partner's identified need, but this need falls outside of the UNDP Strategic Plan. Also select this option if none of the relevant SP indicators are included in the RRF.

*Note: Risk management must be done for criteria with score of 1.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

Output 3.1. Institutional systems to manage climate risks and shocks strengthened at national and sub-national levels
Indicator 3.1.1 Number of risk-informed development strategies and plans implemented at national level

3. Is the project linked to the programme outputs? (i.e., UNSDCF/CPD, RPD or Strategic Plan IRRF for strategic interventions not part of a programme)

YES NO

*Note: Project QA cannot be approved by Project QA Approver when the response is "No".

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

Cooperation Framework outcome 1: 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

UNDP strategic plan outcome 3: Resilience built to respond to systemic uncertainty and risk

Relevant *Status: Complete* *Quality Rating: Satisfactory*

4. Does the project identify target groups, and particularly those marginalized, vulnerable and left further behind (LNOB)

3: The LNOB target groups are clearly specified, prioritising discriminated, and marginalized groups left furthest behind, identified through a rigorous process based on evidence.

2: The LNOB target groups are clearly specified, prioritizing groups left furthest behind. 1: The LNOB target groups are not clearly specified.

Note: Risk management must be done for criteria with score of 1. Projects that build institutional capacity should still identify targeted groups to justify support

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

The project was developed after extensive consultations with relevant ministries, agencies, government representatives, civil society organizations. Specifically, UNDP also consulted with direct beneficiaries of the coastal protection infrastructure development in Hahake during design phase. During implementation, the stakeholder engagement plan will be updated. Additionally, a communication strategy will be developed to raise awareness and ensure participation of all sections of the population to engage in the national dialogue process for setting long-term transformational adaptation agenda.

See output 1 in project document

5. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design?

3: Knowledge and lessons learned backed by credible evidence from sources such as evaluation, corporate policies/strategies, and/or monitoring have been explicitly used, with appropriate referencing, to justify the approach used by the project.

2: The project design mentions knowledge and lessons learned backed by evidence/sources but have not been used to justify the approach selected.

1: There is little, or no mention of knowledge and lessons learned informing the project design. Any references made are anecdotal and not backed by evidence.

**Note: Risk management must be done for criteria with score of 1.*

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

The project design is informed by knowledge and lessons learned from previous efforts (including of UNDP. The project takes into consideration the complexity of land tenure system and challenges in reaching an agreement to reform land use for long-term resilience of the people and country to climate change. The national dialogue process included in output 1 is a response to address this challenge and take steps towards reaching a long-term agreement between all sections of the population. Additionally, the coastal protection infrastructure development in Hahake (output 3) builds on the designs of ADB supported coastal protection revetments in the same area. In addition, the project will ensure close linkages with existing and past national and regional projects to build on experience, learning and best practices and seek efforts for sharing of knowledge management products and expertise

6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national / regional / global partners and other actors?

3: An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project, including identification of potential funding partners. It is clear how results achieved by partners will complement the project's intended results and a communication strategy is in place to communicate results and raise visibility vis-à-vis key partners. Options for south-south and triangular cooperation have been considered, as appropriate. (all must be true)

2: Some analysis has been conducted on the role of other partners in the area where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project, with unclear funding and communications strategies or plans.

1: No clear analysis has been conducted on the role of other partners in the area that the project intends to work. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance.

**Note: Risk management must be done for criteria with score of 1.*

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

The project has identified the role of all partners that will be involved in the project implementation. This analysis will be updated during the inception phase of the project to identify specific civil society organizations that will support awareness raising and media campaigns included under output 1.

Additionally, a communication strategy will be developed as part of implementation of output 1. lessons from the project (particularly development of coastal protection infrastructure) will also be shared with relevant stakeholders including across the pacific and beyond

Principled *Status: Complete* *Quality Rating: Highly Satisfactory*

7. Does the project apply a human rights-based approach?

3: The project is guided by human rights and incorporates the principles of accountability, meaningful participation, and non-discrimination in the project's strategy. The project upholds the relevant international

and national laws and standards. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. (all must be true)

2: The project is guided by human rights by prioritizing accountability, meaningful participation and non- discrimination. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget. (both must be true)

1: No evidence that the project is guided by human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered

*Note: Risk management must be done for criteria with score of 1.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

As indicated in the SES of this project, the human rights-based approach informs the project design & its implementation. Specifically, principles of accountability and rule of law, participation and non-discrimination & equality. The project recognizes the importance of deliberative transformative adaptation to address climate change threats and risks in Tonga. To support transformative adaptation agenda setting, the project will prioritize participatory processes to build consensus on short & long-term adaptation measures. The national dialogue process will be supported by extensive awareness raising & social mobilization activities in order to ensure that all sections of the population are aware of climate change risks and the type of measures to be taken for long-term adaption. The dialogue process will also include a series of workshops (including design workshops) to develop potential solutions and deliberate on appropriate measures to enhance resilience of Tonga. Thus, the dialogue process will create the space for inclusive participation and improve social accountability for long-term adaptation.

Additionally, the project will also strengthen integration of climate change risks and adaptation measures in sectoral plans (i.e. community development plans, spatial plans, land use plans etc.,) and support capacity development of key institutions including MEIDECC & MoLSNR to strengthen technical capacity (especially on climate risk data collection and management) and coordination between key institutions in order to select long-term and medium-term adaptation interventions by prioritizing high risk areas. In short, capacity development interventions allow for institutions to become more responsive and accountable to enhance the resilience of coastal communities. Lastly, the 4.3 km of coastline in Hahake will support engagement of local communities during the design, construction & maintenance phases.

8. Does the project use gender analysis in the project design?

3: A participatory gender analysis has been conducted and results from this gender analysis inform the development challenge, strategy and expected results sections of the project document. Outputs and indicators of the results framework include explicit references to gender equality, and specific indicators measure and monitor results to ensure women are fully benefitting from the project. (all must be true)

2: A basic gender analysis has been carried out and results from this analysis are scattered (i.e., fragmented and not consistent) across the development challenge and strategy sections of the project document. The results framework may include some gender sensitive outputs and/or activities but gender inequalities are not consistently integrated across each output. (all must be true)

1: The project design may or may not mention information and/or data on the differential impact of the project's development situation on gender relations, women and men, but the gender inequalities have not been clearly identified and reflected in the project document.

*Note: Risk management must be done for criteria with score of 1.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

The project design incorporates gender assessment and action plan to minimize gender gaps, address structural issues that impact women's participation and enhance resilience of women and girls in the country. The action plan also includes activities to improve the enabling framework for gender responsive and climate resilient planning, particularly development of community development planning process. Capacity development of institutions in climate risk assessment and monitoring will

also ensure targeted capacity development of women officials At the same time, considering the high number of women officials in the government of Tonga, rather than indicating 30 or 50 percent of participants in capacity development activities should be women, the action plan emphasizes the participation of relevant decision makers in capacity development trainings to strengthen their capacity to mainstream gender and gender responsive decision making The action plan also prioritizes mainstreaming of gender in the analysis of data from LiDAR and climate change risks to understand gender specific impacts and support development of gender responsive measures

9. Did the project support the resilience and sustainability of societies and/or ecosystems?

3: Credible evidence that the project addresses sustainability and resilience dimensions of development challenges, which are integrated in the project strategy and design. The project reflects the interconnections between the social, economic and environmental dimensions of sustainable development. Relevant shocks, hazards and adverse social and environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. (all must be true)

2: The project design integrates sustainability and resilience dimensions of development challenges.

Relevant shocks, hazards and adverse social and environmental impacts have been identified and assessed, and relevant management and mitigation measures incorporated into project design and budget. (both must be true)

1: Sustainability and resilience dimensions and impacts were not adequately considered.

**Note: Risk management must be done for criteria with score of 1.*

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

The main objective of this project is to enhance climate resilience of people of Tonga, including through setting the long term transformative adaptation agenda The national dialogue process is a key to provide policy consensus on long term adaptation and minimize exclusion and conflict risks The dialogue process provides a facilitated space & a framework for discussing different medium and long term adaptation options & their merits Though the project recognizes that the dialogue process may not result in consensus building within the project timeframe, it provides a platform for continued discussions beyond the project & thus ensure sustainability of a process for transformative adaptation agenda setting The coastal protection infrastructure development will also improve resilience of the Tonga to the impacts of climate change risks in planning processes means that budget will be allocated to support implementation of climate resilient activities at the local level also aims to identify and address capacity gaps and bottlenecks in integrating climate risks in planning process, as well as technical capacities and institutional coordination for climate risk data collection and management, & informed decision making on adaptation Furthermore, the project other aspects of sustainability such as financial sustainability The project will conduct technical feasibility studies, in agreement with UNDP as SES, prior to the commencement of any works This will include hydrological & hydrodynamic modelling studies The results of these assessments will factor into mitigation measures that will be integrated into the final The design activities will increase the generation and use of information on coastal processes, oceans and climate in decision making by strengthening institutional capacity, human resources, awareness & and knowledge for resilient coastal management

10. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks? The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of the preparation and dissemination of reports and communication materials; organization of events, workshops, or training; strengthening capacities of partners to participate in international negotiations and conferences; partnership coordination (including UN coordination) and management of networks; and global/regional projects with no country-level activities as well as Development Effectiveness projects and Institutional Effectiveness projects. [If yes, upload the completed checklist. If SESP is not required, Select all exemption criteria that apply.]

Yes

No

SESP not required because project consists solely of (Select all exemption criteria that apply)

***Applicable only to option "SESP not required"**

1: Preparation and dissemination of reports, documents and communication materials 2: Organization of an event, workshop, training

3: Strengthening capacities of partners to participate in international negotiations and conferences 4: Partnership coordination (including UN coordination) and management of networks

5: Global/regional projects with no country level activities (e.g. knowledge management, inter- governmental processes)

6: UNDP acting as Administrative Agent

7: Development Effectiveness projects and Institutional Effectiveness projects

**Note: Project QA cannot be approved by Project QA Approver when the response is "No".*

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

See Annex 2 SESP.

Management & Monitoring *Status Complete* *Quality Rating Satisfactory*

11. Does the project have a strong results framework?

3: The project's selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators that measure the key expected development changes, each with credible data sources and populated baselines and targets, including gender sensitive, target group focused, sex- disaggregated indicators where appropriate. (all must be true)

2: The project's selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified.

Some use of target group focused, sex-disaggregated indicators, as appropriate. (all must be true)

1: The project's selection of outputs and activities are not at an appropriate level; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex- disaggregation of indicators. (if any is true)

**Note: Risk management must be done for criteria with score of 1.*

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

See project results framework

12. Is the project's governance mechanism clearly defined in the project document, including composition of the project board?

3: The project's governance mechanism is fully defined. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. (all must be true)

2: The project's governance mechanism is defined; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The project document lists the most important responsibilities of the project board, project director/manager and quality assurance roles. (all must be true)

1: The project's governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided.

**Note: Risk management must be done for criteria with score of 1.*

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

See annex 4 of the prodoc

13. Have the project risks been identified using the risk assessment tools (Project Quality Assurance, Social and Environmental Screening Procedure, Partner Capacity Assessment Tool, Harmonized Approach to Cash Transfer, Private Sector Due Diligence, etc., if applicable), with clear plans stated to manage and mitigate each risk?

3: Project risks related to the achievement of results are fully described in the project risk register, based on comprehensive analysis drawing on the programme's theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis such as funding potential and reputational risk. Risks have been identified through a consultative process with key internal and external stakeholders, including consultation with the UNDP Security Office as required. Clear and complete plan in place to manage and mitigate each risk, including security risks, reflected in project budgeting and monitoring plans. (both must be true)

2: Project risks related to the achievement of results are identified in the initial project risk register based on a minimum level of analysis and consultation, with mitigation measures identified for each risk.

1: Some risks may be identified in the initial project risk register, but no evidence of consultation or analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified, no initial risk log is included with the project document and/or no security risk management process has taken place for the project.

*Note: Risk management must be done for criteria with score of 1.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

See project risk log Social and Environmental Standards and screening and also ESMP

Efficient | Status: Complete | Quality Rating: Highly Satisfactory

14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design?

Yes
No

*Note: Risk management must be done when the response is "No".

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

Cost efficiency is a key aspect of the project design. The best value for money and feasibility analysis were conducted to identify the best option for coastal protection infrastructure development based on previous experiences from ADB in supporting similar developments. Additionally the project includes a clear theory of change that shows pathways for achieving maximum results within the available resources. The Government of Tonga also contributes about 5 percent of the project budget to maximize achievement of the results.

15. Is the budget justified and supported with valid estimates?

3: The project's budget is at the activity level with funding sources, and is specified for the duration of the project period in a multi-year budget. Realistic resource mobilisation plans are in place to fill unfunded components. Costs are supported with valid estimates using benchmarks from similar projects or activities.

Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget. Adequate costs for monitoring, evaluation, communications and security have been incorporated.

2: The project's budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget, but no funding plan is in place. Costs are supported with valid estimates based on prevailing rates.

1: The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget.

*Note: Risk management must be done for criteria with score of 1.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

Budget covers all costs. A multi-year activity level budget was developed. However, during the inception workshop, AWP for the first year will be revised in consultation with all relevant stakeholders in which again there will be thorough assessment of whether to change any cost or estimation due to fluctuations in the market

16. Is the Country Office/ Regional/ Global Project fully recovering the costs involved with project implementation?

3: The budget fully covers all project costs that are attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.)

2: The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant.

1: The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project.

**Note: Risk management must be done for criteria with score of 1. The budget must be revised to fully reflect the costs of implementation before the project commences*

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

Project budget covers all project costs

Effective *Status: Complete* *Quality Rating: Highly Satisfactory*

17. Have targeted groups, and particularly those marginalized, vulnerable, and left further behind (LNOB), been engaged in the design of the project?

3: Credible evidence that all targeted groups, prioritising discriminated, vulnerable and marginalized populations that will be involved in or affected by the project, have been actively engaged in the design of the project. The project has an explicit strategy to identify, engage and ensure the meaningful participation of target groups as stakeholders throughout the project, including through monitoring and decision-making (e.g., representation on the project board, inclusion in samples for evaluations, etc.)

2: Some evidence that key targeted groups have been consulted in the design of the project. 1: No evidence of engagement with targeted groups during project design.

Not Applicable

**Note: Risk management must be done for criteria with score of 1.*

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

Yes, relevant ministries and government agencies, along with CSOs and direct beneficiaries were consulted in the development of the project. The project has included a preliminary stakeholder engagement plan as part of the funding proposal development to the GCF which will be updated. Additionally, a communication strategy will be developed during project implementation, phase which includes use of social mobilization tools to raise awareness and support engagement of all sections of the population in shaping long term adaptation strategies

18. Does the project plan for adaptation and course correction if regular monitoring activities, evaluation, and lesson learned demonstrate there are better approaches to achieve the intended results and/or circumstances change during implementation?

Yes
No

*Note: Risk Management must be done when the response is "No".

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

Yes, the project recognizes the importance of an adaptive management strategy, particularly post-COVID. UNDP will work closely with the Government of Tonga to monitor and evaluate achievement of project results and where necessary adapt project activities to achieve the overall objective of the project, which is to enhance coastal resilience in Tonga.

19. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.

Yes
No

*Note: Risk management must be done when the response is "No".

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

GEN2 project. Refer results framework and gender action plan.

20. Have societal digital risks and opportunities been taken into account when designing the project's approach and have digital or data technology solutions been considered to enhance the efficiency, effectiveness and scalability of project results?

3: To the extent possible, societal digital risks and opportunities have been investigated when designing the strategy and Theory of Change, and the potential use of digital or data technologies in project activities has been considered in line with UNDP's digital standards and data principles. (All must be true)

2: Only the potential use of digital or data solutions in project activities has been considered in line with UNDP's digital standards and data principles, but there is no or limited evidence that aspects of inclusive digital societies have been considered in the design of the strategy or Theory of Change.

1: Neither societal digital risks and opportunities, nor digital or data technology solutions were specifically considered in the project design or, UNDP's digital standards and data principles are not taken into account when intending to use digital or data technology solutions in project activities.

Digital considerations are not relevant to this project.

***Applicable only to option "Digital considerations are not relevant"**

1: Societal digital transformation is not a government or contextual priority 2: A non-digital approach yields higher effectiveness and efficiency

3: Other (specify in the "Evidence" section)

*Note: Risk management must be done for criteria with score of 1.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

The project will enhance the capacities of national institutions in the use of LiDAR (satellite imagery) and other technical solutions for monitoring and assessing climate change. These digital data solutions were also considered. See output 2 of the project (prodoc).

Sustainability & National Ownership *Status Complete* *Quality Rating Satisfactory*

21. Have national / regional / global partners led, or proactively engaged in, the design of the country / regional / global project, respectively?

3: National / regional / global partners have full ownership of the country / regional / global project and led the process of the development of the project jointly with UNDP.

2: The project has been developed by UNDP in close consultation with national / regional / global partners. 1: The project has been developed by UNDP with limited or no engagement with national partners.

*Note: Risk management must be done for criteria with score of 1.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

The project was developed in close collaboration with the MEIDECC and after extensive consultations with relevant agencies, NGOs, CSOs and local communities. The Government has full ownership of the project and is contributing about 1.2. million USD or about 5 percent of the project budget as co- financing

22. Are key institutions and systems identified, and is there a strategy for strengthening specific/ comprehensive capacities based on capacity assessments conducted?

3: The project has a strategy for strengthening specific capacities of national institutions and/or actors based on a completed capacity assessment. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly.

2: A capacity assessment has been completed. There are plans to develop a strategy to strengthen specific capacities of national institutions and/or actors based on the results of the capacity assessment.

1: Capacity assessments have not been carried out Not Applicable

*Note: Risk management must be done for criteria with score of 1.

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

Capacity development is a cross-cutting priority across all three outputs of the project. At the same time, Output 2 is related to strengthening institutional capacities. A capacity assessment is planned during the implementation phase

23. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.,) to the extent possible?

Yes

No

Not Applicable

*Note: Risk management must be done when the response is "No".

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

Though the project is a DIM project, it will use national systems to monitor achievement of results, including coastal protection construction

24. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation and communications strategy)?

Yes

No

*Note: Risk management must be done when the response is "No".

Evidence (Enter a short explanation or upload a document that provides evidence for your response)

The project will handover coastal protection infrastructure maintenance to the government and communities. Additionally, the integration of climate change in national and local planning processes, and the national dialogue process along with the capacity development of key institutions paves the way for the government to play a leading role in enhancing climate resilience of the country

Annex O: Monitoring Activity Table

Monitoring Activity	*Indicator*	*Targets*	*Description of indicators and targets*	*Data Source/Collection Tool*	*Frequency*	*Responsible for data collection*
Fund level impact ARA 1 Most vulnerable people and communities – direct and indirect beneficiaries reached	*Number of beneficiaries (disaggregated by gender) whose vulnerability to coastal hazards is reduced*	*By mid-term:* *350 direct beneficiaries*[90] *40,071 indirect beneficiaries*[91] *By end of project:* *beneficiaries (of which 1,804 are women)*[92] *96,871 indirect beneficiaries expected (of which 48436 are women)*[93]	*Project interventions reach direct beneficiaries (of which 1,804 are women)*[94] *96,871 indirect beneficiaries expected (of which 48436 are women)*[95] *By reducing the vulnerability to climate change impacts*	*Minutes of trainings and consultations with communities* *Beneficiaries feedback surveys* *Lists of attendees (disaggregated by gender)* *Training/mentoring materials available for government staff to integrate climate change risks in planning and budgeting*	*Last year of project*	*M&E Officer*

[90] By the mid-term, 300 people (community members) will have benefited from some training activities in climate-risk and adaptation for updating/developing the CDPs/ ISPs, and 25 government staff will have benefited from some training in incorporating climate change risks in planning and budgeting, supporting development planning; while a further 25 government staff will have benefited from some technical training on climate risk monitoring and data.

[91] The 40,071 population is expected to benefit from by the project mid-term from the piloting of a climate-risk-informed Tongatapu Island Development Plan, which brings together the Island's population, omitting those already benefiting from climate-risk-informed planning under urban resilience planning for the greater Nuku'alofa area. The figure of 40,071 is the total population of Tongatapu 74,320 (2021 Census), excluding the population within Nuku'alofa (greater region/urban agglomeration) 34,249 (2021 Census), or around 6,134 households (ADB, 2023); where disaster and climate risk planning, including disaster risk management plans, are already addressed within urban master planning (Climate and Disaster Resilient Urban Development Strategy and Investment Plan for Greater Nuku'alofa)[1].

[92] After construction work under Output 3 is completed, 3,258 people will benefit from increased resilience to coastal climate change impacts from coastal protection measures, and 350 people will have benefited from training. This includes 300 people trained in climate-risk and adaptation for updating/developing the CDPs/ ISPs (from project indicator under Output 2) and 50 Government agency staff trained or receiving technical capacity building support under Outputs 1 and 2.

[93] Indirect beneficiaries are the population of Tonga's island groups of Tongatapu, Ha'apai, Niua, 'Eua, and Vava'u given that they will benefit indirectly from the adaptation planning and strategies of the island-level spatial plans developed following piloting in Tongatapu, as well as indirectly benefiting from the outcomes developed through the multistakeholder engagement platform. In addition to the Strategic Development Plan for Tongatapu, the project supports other district plans to incorporate climate risk. In addition to renewing the Island Strategic Development Plans – for Ha'apai (2017-2023), Niua (2015-2018), 'Eua (2015-2018), and Vava'u (2017-2023) the island spatial planning will be supported by the collection, interpretation, and use of data on climate risks for coastal adaptation planning to produce scenario-based coastal risk maps and knowledge material for use. These will also be supported through the development of materials for developing village and district spatial plans (e.g. graphic reports developed from Output 2, visual aids to demonstrate climate change impacts) and a graphic report package", with visual aids to demonstrate climate change impacts, as well as the participatory process workshops/consultations for developing village and district spatial plans for each of 6 islands and 6 Island-level graphical reports related to settlement patterns and climate risk for strategic long-term coastal adaptation planning developed. This will include consultations determining adaptation needs, gender needs, participatory vulnerability assessment and planning. The Island Plans incorporate the community development plans and district development plans.

[94] After construction work under Output 3 is completed, 3,258 people will benefit from increased resilience to coastal climate change impacts from coastal protection measures, and 350 people will have benefited from training. This includes 300 people trained in climate-risk and adaptation for updating/developing the CDPs/ ISPs (from project indicator under Output 2) and 50 Government agency staff trained or receiving technical capacity building support under Outputs 1 and 2.

[95] Indirect beneficiaries are the population of Tonga's island groups of Tongatapu, Ha'apai, Niua, 'Eua, and Vava'u given that they will benefit indirectly from the adaptation planning and strategies of the island-level spatial plans developed following piloting in Tongatapu, as well as indirectly benefiting from

				Availability of district adaptation plans developed. *Available Island Strategic Development Plans – for Ha'apai (2017-2023), Niua (2015-2018), 'Eua (2015-2018), and Vava'u (2017-2023) and Tongatapu that integrate climate change and adaptation concerns.* *MTE and TE* *Census data (update changes)*		
Fund level impact ARA 2 Infrastructure and built environment	*Value of physical assets made more resilient to the effects of climate change*	*The value for this indicator will be determined by mid-term. -*	*The value for this indicator will be determined by mid-term. -*	*Independent evaluations (Interim Evaluation and Terminal Evaluation)* *Project progress reports (including Annual Progress Report)* *Site visits*	*Mid term and end of project*	
Co-benefit 1 *Improved gender parity in representation of females engaged in adaptation decision-making*	*Increase in adaptation solutions that respond to women's priorities in local planning tools or through*	*By mid-term:* *A minimum of 10 percent of adaptation actions as per the local planning tools responds to priorities*	*There is a 40 percent increase in adaptation solutions that respond to women's priorities in local planning tools or through*	*Meeting notes* *Planning documents (CDPs, ISPs etc)*	*Mid term and end of project*	*M&E Officer and Gender Officer*

the outcomes developed through the multistakeholder engagement platform. In addition to the Strategic Development Plan for Tongatapu, the project supports other district plans to incorporate climate risk. In addition to renewing the Island Strategic Development Plans – for Ha'apai (2017-2023), Niua (2015-2018), 'Eua (2015-2018), and Vava'u (2017-2023) the island spatial planning will be supported by the collection, interpretation, and use of data on climate risks for coastal adaptation planning to produce scenario-based coastal risk maps and knowledge material for use. These will also be supported through the development of materials for developing village and district spatial plans (e.g. graphic reports developed from Output 2, visual aids to demonstrate climate change impacts) and a graphic report package", with visual aids to demonstrate climate change impacts, as well as the participatory process workshops/consultations for developing village and district spatial plans for each of 6 islands and 6 Island-level graphical reports related to settlement patterns and climate risk for strategic long-term coastal adaptation planning developed. This will include consultations determining adaptation needs, gender needs, participatory vulnerability assessment and planning. The Island Plans incorporate the community development plans and district development plans.

	design thinking workshops.	*expressed by women* *By end of project:* *30 to 40 percent of adaptation actions as per the local planning tools responds to priorities expressed by women*	*the project's promotion of women's participation and engagement in climate resilience - including developing long-term adaptation solutions through design thinking workshops, enhancing the capacity of women to shape local development and spatial planning*			
Co-benefit 2 Improved resilience to multi-hazards	*Number of plans considering coastal inundation events developed that improve the resilience of Tonga's population to multiple hazards and the number of kilometers of coastal protection to multi-hazards (e.g. tsunami impacts) in Hahake*	*By mid term* *0 Island-level graphical profiles related to settlement patterns and coastal inundation risk for strategic long-term coastal adaptation planning developed.* *2km of coastal revetment in Nukuleka* *By end of project* *5 Island-level graphical profiles related to settlement patterns and climate risk incorporating coastal inundation for strategic long-term coastal adaptation planning developed* *6.3km of revetment constructed along NE Tongatapu in*	*Climate change adaptation and climate-risk informed planning related activities, also have a co-benfit of improving the resilience to multiple hazards, including tsunami risk.*	*Island graphical reports on settlement patterns and climate risk for long-term coastal adaptation planning available* *Site survey*	*Mid term and end of project*	*M&E Officer*

		total comprising of: *2.3kms of rock revetment built between Nukuleka and Talafo'ou* *2kms of coastal protection measures constructed Manuka to Kolonga*				
Project Outcome 1 Strengthened knowledge, capacity and engagement for incorporating climate risks into long-term adaptation planning supported through multi-sectoral, multi-stakeholder engagement and dialogue platform	*Extent of community representation as key stakeholders (CSOs, government agencies) in climate change related decision-making participation in the multi-sector national dialogue platform on long-term climate change adaptation strategies and solutions*	*MTR:* *At least 40% of villages in Tonga participate in the national awareness campaign or sub-national level consultations on the multi-sector national dialogue platform* *End of Project* *At least 80% of villages in Tonga participate in the national awareness campaign or sub-national level consultations on the multi-sector national dialogue platform*	*Society-wide engagement includes community, CSO and government agency representation in consultation and in climate change related decision-making participation in the multi-sector national dialogue platform on long-term climate change adaptation strategies and solutions*	*Stakeholder map* *Minutes of meetings* *Attendees list* *Workshop reports* *Progress/Evaluation Reports (Annual Progress Report, Interim Evaluation, Terminal Evaluation)*	*Annually*	*M&E Officer*
Project Outcome 1 Strengthened knowledge, capacity and engagement for incorporating climate risks into long-term adaptation planning supported through multi-sectoral, multi-stakeholder	*Number of national multi-sectoral, multi-stakeholder engagement and dialogue platform meetings held*	*At least 1 meeting per year for last 2 years of the project lifetime (or as indicated in the final TOR for the national dialogue platform)*	*At least 2 regular meetings held for the multistakeholder platform for dialogue (according to the agreed schedule/at least 1 meeting per year for last 2 years of the project lifetime)*	*ToR of platform members* *Minutes of meetings* *Attendee lists*	*Once by end of project*	*M&E Officer*

engagement and dialogue platform						
Project Outcome 2 Strengthened national and local capacities for effective monitoring and assessment of climate risks	*Number of plans that integrate climate change risk and adaptation concerns (including climate-risk informed CDPs, DPs and ISPs)*	*Availability of gender-sensitive spatial planning guideline considering climate risk and adaptation strategies developed* *And* *Availability of Community and Island development plans that integrate and address climate change, gender, and adaptation concerns* *by end of project*	*Climate change risk information is utilized for planning and adaptation in spatial and strategic plans at community (village), district and island levels*	*Document review*	*Mid-term and last year of project*	*M&E Officer*
Project Outcome 2 Strengthened national and local capacities for effective monitoring and assessment of climate risks	*Number of individuals who are trained (disaggregated by gender) in climate risks and adaptation for updating/developing the CDPs /ISPs*	*MTR* *100 community members are trained on updating CDPs and accessing finance for CCA priority actions* *End of Project* *At least 300 people trained in climate-risk and adaptation for updating/developing the CDPs/ ISPs*	*Community members are trained on making climate-risk informed decisions and planning for climate change adaptation to effectively contribute in updating CDPs and accessing finance for CCA priority actions*	*Consultation minutes and attendee lists for training undertaken* *Feedback analysis of trained individuals Survey/questionnaire*	*Annually from 2nd year of project*	*M&E Officer*
Project Outcome 2 Strengthened national and local capacities for effective monitoring and assessment of climate risks	*Number of technical officers and local government officers trained in incorporating climate change risks in planning and budgeting, supporting development planning*	*25 technical officers and local government officers trained in incorporating climate change planning and budgeting by end of project*	*At least 25 technical officers and local government officers trained in incorporating climate change risks in planning and budgeting, supporting development planning*	*Key informant interviews*	*1st year of the project, 3rd /4th year and last year of project*	*M&E Officer*

Project Outcome 2 Strengthened national and local capacities for effective monitoring and assessment of climate risks	*Number of technical officers and local government officers trained on coastal zone management, coastal processes, coastal planning and hazards management, and climate down-scaling*	*25 technical officers and local government officers trained in coastal zone management, coastal processes, coastal planning and hazards management, and climate down-scaling by end of project*	*At least 25 technical officers and local government officers trained on coastal zone management, coastal processes, coastal planning and hazards management, and climate down-scaling*	*Key informant interviews*	*1st year of the project, 3rd /4th year and last year of project*	*M&E Officer*
Project Outcome 2 Strengthened national and local capacities for effective monitoring and assessment of climate risks	*Guidelines and guidance materials available to support government staff to integrate climate change risks in planning and budgeting*	*Availability of a guideline for local planning that incorporates climate risks and adaptation*	*A draft guideline available and piloted for local planning by Y5 and adopted by end of project Island graphical reports on settlement patterns and climate risk for long-term coastal adaptation planning available*	*Project and government data/records - number of and availability of plans and policies*	*Annually from 2nd year of project*	*M&E Officer*
Project Outcome 2 Strengthened national and local capacities for effective monitoring and assessment of climate risks	*Number of Island development plans that integrate and address climate change, gender, and adaptation concerns*	*By mid-term: 0 Island-level graphical profiles related to settlement patterns and climate risk for strategic long-term coastal adaptation planning developed.* *By end of project: 5 Island-level graphical profiles related to settlement patterns and climate risk for strategic long-term coastal adaptation planning developed*	*Island-level graphical profiles related to settlement patterns and climate risk for strategic long-term coastal adaptation planning developed are available for island planning decisions and use.*	*Island graphical reports on settlement patterns and climate risk for long-term coastal adaptation planning available* *Minutes of coordinating body/committee established for multi-stakeholder coordination and collaboration on coastal adaptation and planning integrating climate change*	*Mid term and end of project*	*M&E Officer*
Project Outcome 2 Strengthened national and local	*LiDAR baseline % coverage of Tonga*	*By year 4 of project:*	*LiDAR coverage for Tonga is available to*	*LiDAR data mapping/coverage*	*Year 3*	*M&E Officer*

capacities for effective monitoring and assessment of climate risks		*LiDAR coverage is available for all areas of Toonga (that are unaffected at the time of LiDAR capture, by weather/clouds)*	*inform decision-making and land use planning for climate change adaptation*			
Project Outcome 3 Reduced vulnerabilities of coastal communities in Hahake to climate hazards through coastal protection measures	*Length of coastal protection measures developed for Nukuleka to Talafo'ou and Manuka to Kolonga shoreline*	*By end of project:* *2.3kms of rock revetment built between Nukuleka and Talafo'ou* *2kms of coastal protection measures constructed Manuka to Kolonga*	*2.3kms of rock revetment built between Nukuleka and Talafo'ou* *2kms of coastal protection measures constructed Manuka to Kolonga*	*Field observation visits* *Progress and Evaluation Reports:* *i) Technical design evaluation report and* *ii) Implementation report by assessment/ construction vendor* *iii) Annual progress report*	*Year 2 and end of project*	*M&E Officer*
Project Outcome 3 Reduced vulnerabilities of coastal communities in Hahake to climate hazards through coastal protection measures	*Number of publications shared*	*By end of project:* *1 published report on lessons learned (on coastal protection measures and effectiveness) available*	*Availability of published report on lessons learned in Government of Tonga's climate change website*	*Availability of published report on lessons learned in Government of Tonga's climate change website*	*Annually from 2nd year of project*	*M&E Officer*
Project Outcome 3 Reduced vulnerabilities of coastal communities in Hahake to climate hazards through coastal protection measures	*Number of conferences organized for sharing lessons and best practices in climate resilient coastal protection measures*	*By end of project:* *1 conference organized (inclusive of 1 conference report) on best practices in climate resilient coastal protection measures*	*Sharing of lessons learned on coastal protection measures and effectiveness relevant to Pacific SIDS*	*Conference attendees list and conference report on lessons sharing conference*	*Last year of project*	*M&E Officer*

Annex P: Other annexes included in the Funding Proposal annex package approved by the GCF Board

i. FAA
ii. Project Feasibility Study