

Annex 6: Environmental and Social Impact Assessment and Management Plan

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This Environment and Social Impact Assessment and Management Plan have been prepared for The Pacific Community (SPC), to inform the project design of the Green Climate Fund (GCF) Funding Proposal titled: *Enhancing Adaptation and Community Resilience by Improving Water Security* in Vanuatu.

This project will deliver adaptation action for Vanuatu's water infrastructure and community users and will ensure gender mainstreaming in the paradigmatic shift being proposed.

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1. Executive Summary

Climate change is expected to severely threaten Vanuatu across all sectors through sea level rise, rainfall variability, severe weather events, coastal inundation and rising temperatures causing significant losses and damages to communities' lives and livelihoods. This project will improve water security and sanitation as well through investments in water infrastructure in rural communities and support an enabling environment for scaling up operation in the Department of Water Resources moving forward. The Project has three components:

- Component 1 - Evidence-based planning and decision-making for climate-resilient water management at the community level
- Component 2 - Climate-resilient rural water infrastructure
- Component 3 - Institutional strengthening at provincial and national level to better address climate risks associated with water security

This Annex provides an overview of the Vanuatu context for environmental and social risk assessment and details the specific environmental and social risks associated with the project activities. As this project is categorized as an Environmental and Social Safeguard category B project, this Annex describes the project level assessment and action plan as well as detailing the process for sub-project assessment and management.

2. Introduction

2.1 Background

This Annex provides an overview of the Vanuatu context for environmental and social risk assessment, details the specific environmental and social risks associated with the GCF programme “Enhancing Adaptation and Community Resilience by Improving Water Security”, and develops an Environmental and Social Action Plan for the overall programme and a review process for the Capital Assistance Programme (CAP) requests it will fund.

The project aims to achieve a paradigm shift towards climate resilient water security for rural communities across Vanuatu, by enhancing community-based planning and adaptation for climate-resilient water management, developing climate-resilient rural water infrastructure, and creating an enabling environment at provincial and national level to better address climate risks associated with water security.

This project is listed as the priority intervention in Vanuatu’s GCF Country Programme¹ and is being fully co-developed by the National Designated Authority (NDA), the Department of Water Resources (DOWR), Pacific Community (SPC) and United Nations Children’s Fund (UNICEF), alongside other stakeholders which guarantees full country ownership. By addressing increasing risks and impacts from climate change on water resource management, and by working directly with vulnerable rural communities (incl. community-based adaptation activities), the project is fully aligned with the Government of Vanuatu’s climate change strategies and policies, including the Climate Change and Disaster Risk Reduction Policy 2016-2030 (e.g. strategic priority 7.4.3) as well as the National Adaptation Programme of Action (NAPA) and the Nationally Determined Contributions (NDC) (which both make reference to water resource management as a top priority). In addition, the project is fully in line with “Vanuatu 2030: The People’s Plan” (National Sustainable Development Plan 2016 to 2030) and the Vanuatu National Water Policy 2017-2030 as well as the National Gender Equality Policy (NGEP) 2020-2030² and Provincial Gender Action Plans³, applying the Service Delivery Protocols to Respond to Gender based Violence and other decisions made by the Ending Violence Against Women and Girls Taskforce (to be established in late 2022).

¹ <https://www.greenclimate.fund/document/vanuatu-country-programme>

² <https://www.sistalibrary.com.vu/wp-content/uploads/2021/11/NGEP-1.pdf>.

³ <https://www.sistalibrary.com.vu/provincial-gender-action-plans-2020-2024/>.

2.2 Environmental and Social Context of Vanuatu

Climate and Environment

Vanuatu was ranked as being at the highest risk level in the 2019 World Risk Index for disaster exposure and has consistently featured among the top 10 most climate-impacted countries in the world. The 80-odd islands in the archipelago are highly heterogeneous in geographic, topographic and climatic conditions. For example, some of the larger, more mountainous islands have good ground- as well as surface water resources, whilst others have either ground or surface water or rely entirely on rainwater catchment. However, steep catchments and narrow coastal plains are ubiquitous in these islands and are vulnerable to flooding and sea-level rise. Water resources in the country, therefore, vary and are influenced by climatic and geographic factors. Concomitantly, the island nation is prone to multivariable water-related climate risks coupled with underlying social and economic vulnerabilities.

Since Vanuatu's population is also concentrated along the coasts, the balance of freshwater and saltwater (coastal) ecosystems also plays a vital role in the subsistence and commercial life of the population. The islands have uniquely fragile water resources due to its small scale, lack of storage and limited freshwater reserves - which are increasingly exposed to climate impacts. Climate impacts particularly destabilize natural resource-dependent livelihoods of rural communities (pegged at 75% of the population), who continue to rely on subsistence farming in the different islands.

Vanuatu's climate varies from wet tropical in the north to subtropical in the south. From May through September, south easterly winds support fine sunny days and cooler nights. November to April is the wet season with higher temperatures, heavy rain and occasional cyclones. The wettest months are from January through March. Average temperatures range in Port Vila from 27 degrees Celsius in February to 22 degrees Celsius in July.

Rainfall is also affected by latitude and altitude. The northern higher islands in the Banks and Torres groups receive an annual average of 4,000 mm rainfall, while the southern and lower islands may receive only half of such figures, showing regional disparity in the water sources available.

The hot or wet season in Vanuatu, which typically extends from November to April of the following year, is the tropical cyclone season. The geographical location of the archipelago in the southwest Pacific means that tropical cyclones occasionally traverse the country with wind speeds of at least 62 km/hr. According to the Vanuatu Meteorological and Geo-Hazard Department statistics, the area of Vanuatu (land and sea) receives about two to three cyclones per season. The most significant frequency of these events is in January and February. On average, Vanuatu, and its marine economic zone experience 20 to 30 cyclones per decade, between three and five causing severe damage. Tropical cyclones can affect any island of Vanuatu, with several impacts: heavy rainfall, flash flooding, flooding of low-lying areas, coastal flooding, riverine flooding, storm surge, landslides, and very rough seas. These events regularly cause damage to life, infrastructure and public goods, as well as property in the islands - and also have direct and indirect impacts on water security and WASH infrastructure in the country.

Water Sanitation and Hygiene (WASH)

The primary challenge for water safety and security in Vanuatu is that: while access to a proximate source of drinking water is high (94% access to an improved drinking water source and 86% access on the premises), the UNICEF/World Health Organization (WHO) Joint Monitoring Programme (JMP) reports that only 44% of the population has access to safely managed drinking water. This has short- and long-term health impacts on the ni-Vanuatu: unsafe drinking water can lead to diarrhoea and other water-borne sicknesses, while (in the longer-term) inhibiting the ability of the body to absorb nutrients and contributing to chronic undernutrition.

Water plays an important role in ensuring equitable, sustainable and productive rural economies globally and in Vanuatu. In addition to being an essential element for agricultural production, nutrition and human health, water enables economic opportunities in numerous key sectors across the rural landscape in Vanuatu. In rural settings, water is a public good - although climatic and environmental conditions as well as resilience of infrastructure largely determine access to this essential utility. The DoWR recognizes that, particularly in these rural (often remote) areas, the absence of market signals (such as prices and permits), as well as inadequate planning and incentive structure can impact upon water security. The Drinking Water Safety and Security Plan (DWSSP) process has been designed to address this issue by: establishing a planning and prioritization structure to improve water supply management, to identify infrastructure needs (and delivery, if the DWSSP is funded for implementation) and ensure overall maintenance.

Rural communities in Vanuatu use a combination of groundwater, surface water and rainwater, depending on availability and accessibility. Out of these, rainwater systems were most common, as reflected through the 2014 - 2016 data, as over 66% of all surveyed water supplies drew from such infrastructure, and made up over 75% of water supplies in Malampa and Penama islands. Additionally, significant portion of the population is reliant on rainwater as either primary or secondary supply - while the national average is around 36% of households, in rural areas this figure rises to 44%.

Groundwater-based water points are less common, comprising only 13% of surveyed systems. Likewise, piped systems made up just 11% of the surveyed water systems - of these 54% were fed by springs, 32% by surface water, and 14% by groundwater from boreholes and wells. The assessments finds that only 1/3rd of households have access to water 24 hours per day, every day of the year. In more remote areas, using water from unprotected sources is common: while the national average hovers around 12%, in certain area councils (such as Erromango and Tanna), this indicator is as high as 70%.

The Vanuatu Water Resources Management Act mandates that a full water resources inventory be conducted every five years: in preparation for the 2020/2021 inventory, an assessment on more than 4,700 water sources across 44 islands, with the following findings:⁴

- Approximately a 3rd of piped supplies were not providing a 24-hour supply
- 52% of water systems were not providing a year-round supply;

⁴ Foster, T., Kohlitz, J., Rand, E. (2018) Rural water supply in Vanuatu: assessment of coverage and service levels. UNICEF: Port Vila

- Fewer than a 3rd of water committee members were women, but those with female members saw increased functioning and reliability of water services;
- Sanitary inspections indicate spring-fed systems and rainwater collection systems were at risk of microbial contamination;
- Water testing carried out by the government and research partners have revealed that about 60% of sources have bacterial contamination in the immediate aftermath of climate and weather events.⁵

In terms of sanitation, the household living (dwelling) conditions analysis of the 2020 Census reveals that outside urban centres and provincial hubs (where flush toilets are available), people rely on shared or private pit latrines or have no toilets at all. This is particularly true in Penama - where between 83 - 100% of ni-Vanuatu living in Pentecost, Maewo and Ambae rely on these types of sanitation infrastructure.⁶ Water rationing, both for household use and sanitation, and water shortages are common during the dry season within families. The Department of Water Resources (DoWR) Water Resources Inventory (WRI) indicates that many of the water sources are not available or have inadequate yields during the dry season. Meanwhile, rainfall patterns have been affected by climate change, and can often manifest as intense periods of extreme rainfall, leading to floods - which further exacerbate the WASH baseline.

The direct effects of limited water supply and water security, drinking contaminated water, and inadequate WASH infrastructure are well known: increased morbidity (diarrhea, stunting and other illnesses) and increased mortality, among both children and adults. Significant improvements in the management, operation and maintenance of rural water systems are needed to ensure water services are managed safely.

Safely managed WASH services are critical for preventing diseases and protecting human health during infectious outbreaks, including the current COVID-19 pandemic. Water insecurity also has secondary impacts on food security, as most ni-Vanuatu peoples rely on rain-fed, subsistence agriculture in the different islands. Food insecurity and increased stress, and poor health can lead to reduced performance on socioeconomic indicators (explored in the next section) such as economic opportunities, poor school attendance and reduced educational achievement.

Socioeconomic

The country is highly homogeneous - 99% of its population are the indigenous, Melanesian ni-Vanuatu peoples. Around three-quarters of the people live in rural areas, although Port Vila - and the surrounding capital region - account for about 21% of the total population. There are over 100 languages and dialects, of which approximately 80 are actively spoken, making it one of the one of the most linguistically diverse countries in the world. There are three official languages: Bislama, English and French.

Vanuatu's limited WASH service delivery and infrastructure affect women and men differently. Traditionally, gender roles typically involve women and girls putting in more labour and spending

⁵ UNICEF (2020). Rural water supplies in Vanuatu in need of significant improvements. (WASH Technical Paper/13/2020).

⁶ Vanuatu National Statistical Office; World Bank. 2014. Vanuatu : Socio-Economic Atlas, available at: <https://openknowledge.worldbank.org/handle/10986/18669>

more time than men and boys in managing the household's water, sanitation and hygiene.⁷ Increased walking times during dry seasons or climate-induced emergencies to source water can increase instances where women and children are further exposed to gender-based violence (GbV). Vanuatu is an endemic region (with the broader Pacific SIDS) for high-GbV levels in the world. Adaptive capacity to external shocks, including climate change, in the WASH sector, therefore, crosscut with existing gender vulnerabilities. These are explored in the Gender Assessment and Action Plan (Annex 8 of the Funding Proposal). WASH-related gender and socioeconomic issues must be mainstreamed to ensure the project benefits are inclusive and accrue to all members of communities, who risk being left further exposed to climate and weather events, which have occurred in the islands with more intensity in recent times.

Vanuatu's economy is still primarily based on subsistence or small-scale agriculture, which provides a living for more than 70% of the population.⁸ Since the early 2000s, tourism, land sales and high commodity prices for copra and coffee, and donor funding have driven the economy.⁹ Major impediments to the economy include: undiversified economic base, constraints from poor transport infrastructure and a small domestic market.

Despite this, Vanuatu exhibits a relatively high per-capita income. This combines with reasonably widespread land access for subsistence agriculture, and informal, community-based social safety nets to keep the incidence of extreme poverty low. However, these high per-capita incomes overshadow the fact that Vanuatu (along with the Federated States of Micronesia, Kiribati and Marshall Islands) has higher than 10% extreme poverty (the regional average for the Pacific is around 3%). Vanuatu (along with the FSM, Kiribati and Marshall Islands) collectively hosts over 90% of people in poverty in the southern Pacific.

The education system of Vanuatu is atypical in that it represents an amalgamation of two disparate systems, the British and the French, that co-existed within the country. Additionally, the church plays an important role in the establishment and functioning of schools. Government expenditure on education (as a percentage of total government expenditure) is 12.6% and the sector is the largest government service deliverer and employer.

Overall, there is no statistically significant difference between the performance of boys and girls, from available data. However, the Vanuatu Education and Training Sector Strategic Plan 2020 - 2030 identifies the importance of developing the capacities to identify further gender inequalities and address them through the Ministry of Education and Training (MoET). Particularly, a module on GbV has been developed by the Vanuatu Education Sector Program (VESP) in collaboration with the MoET as an awareness-raising exercise and for broader use in the education sector.

The NGEP states "Inequalities between women and men in Vanuatu exist against these multifaceted layers of social, political, economic, cultural and environmental factors." Women face many barriers to participating in decision making from the national to community level and they are largely left

⁷ Halcrow G, Rowland C, Willetts J, Crawford J and Carrard N (2010), Resource Guide: Working effectively with women and men in water, sanitation and hygiene programs, International Women's Development Agency and Institute for Sustainable Futures, University of Technology Sydney, Australia, available at: <http://www.genderinpacificwash.info/system/resources/BAhbBIsHOgZmlj4yMDExLzAxLzI0LzE5LzA0LzI3LzlwMi9XQVNIX1JFU09VUkNFX0dVSURFX2ZpbmFsNHdly5wZGY/WASH%2520RESOURCE%2520GUIDE-final4web.pdf>

⁸ ILO (undated). The ILO in Vanuatu, available at: https://www.ilo.org/wcmsp5/groups/public/---asia/---ro-bangkok/---ilo-suva/documents/publication/wcms_366547.pdf

⁹ ILO - ibid.

out of the chief system of informal governance. Vanuatu has one of the highest rates of gender-based violence in the world and is at the bottom of global rankings for women's political participation in parliament, with special measures introduced at municipal level for gender quotas partially applied.

The Water Resource Management Act was amended in 2016 to require a minimum 40% representation of women on rural water committees. As a result of amendments to the Decentralisation Act#16 (2013), Area Councils' sectoral representatives include women. The Sub-national Development Planning framework includes elements of gender sensitive disaster risk reduction and disaster risk management.

With a large proportion of the population (more than 75%) live in rural areas, a large percentage of women depend largely on natural resources to earn an income. Particular groups of women such as widows, women with children separated from their husbands, and single mothers have limited access to earn income, with a key factor being lack of land ownership.

3. Project Description

The project will increase the adaptive capacity of rural communities to better cope with the additional burden of climate change on water security and safety, by improving climate-resilient water management, community-based planning, providing explicit capacity building, and fostering adaptation actions through improved local management practices and resilient infrastructures. Water safety and security is indeed particularly vital for community long-term resilience and in the immediate aftermath of climate-induced disasters.

The project is designed to provide the community with drinking water in the face of increasing droughts. Consideration of the risk of storm surge is also being incorporated into the design to enhance water security in extreme events.

600 communities will be direct beneficiaries as part of Component 1 (through which communities will be empowered to plan and manage climate-resilient water resources), of which 220 will also benefit from improved climate-resilient water infrastructure as part of Component 2 (through which communities will have enhanced climate-resilient infrastructure). An additional 50 communities with existing Drinking Water Safety and Security Plans (DWSSPs) will be identified during the first year of the project and targeted under component 2. This makes a total of 650 communities directly benefiting from component 1 and 2. A preliminary estimate of direct beneficiaries is 74,230 (including 50% of women, i.e. 37,115), that is around 24% of the total population in Vanuatu. Indirect beneficiaries include the entire rural population in Vanuatu (228,400 individuals - 75% of the total population), mostly through enhanced institutional capacities and processes toward climate-resilient water security for rural communities (Component 3 - provincial and national institutions are strengthened to address climate risks associated with water security).

The project is comprised of three main components, which are presented below alongside their associated outputs and activities.

Component 1 – Evidence-based planning and decision-making for climate-resilient water management at the community level

This component will deliver on two aspects of community resilience towards climate change: firstly, through increasing the number and quality of DWSSPs, while also introducing climate adaptation measures in these plans. It will also aid in retrofitting existing DWSSPs with a climate change perspective. Additionally, this component will focus on building the institutional capacity for CR-WASH at area and community levels.

This component has been designed to create a paradigm-shift towards implementing CR-WASH in a scalable and sustainable way at the community level, building on UNICEF research that this can only be achieved by providing tailored and required assistance to communities. The Technical Assistance Programme (TAP) process, for example, which is implemented through the DWSSP

process, provides a risk-based training method to communities in order to aid them in managing their systems and understanding required infrastructure to meet defined WASH targets. Using these plans to both manage community systems and apply for capital assistance provides both the management capacity and infrastructure - and importantly, ownership - to rural communities. The expected outputs, along with activities, are listed below:

(a) Output 1.1: New and existing DWSSPs incorporate incremental improvements to mainstream adaptation solutions

The DWSSP methodology has been updated recently with significant overhaul towards climate mainstreaming. It is expected that the methodology will be further updated - with annual improvements through this output.

In the new DWSSPs developed with communities, the updated methodology will be used to ensure climate risks are mainstreamed. For the existing DWSSPs - workshops and technical assistance will be provided to ensure these plans are retrofitted to better reflect climate risks and adaptation solutions.

As part of DWSSP development with communities, hazards to water supply systems are identified and assessed. Hazards are assessed at the water source, storage tank, distribution points and at the household level and include for biological (e.g. toilets upstream of water source) and chemical (e.g. agricultural use of pesticides near the water source). Once the hazards are assessed the community comes up with a plan for how to remove or mitigate the risk that the hazard poses (e.g. creation of a water protection zone, fencing of a water source).

The importance of this Output stems from the reality that although Vanuatu has seen official development assistance- (ODA-) driven investments in the WASH sector, these are often ad-hoc in nature and have not been made in a climate-resilient way. The updated, existing DWSSPs and the new DWSSPs, will therefore provide a framework for incoming investments.

The activities identified under Output 1.1 are:

- 1.1.1: Review uptake and delivery of updated methodologies, making incremental improvements annually
- 1.1.2: Integrate updated methodology into DWSSP processes triggered during the project
- 1.1.3: Update existing DWSSPs, when appropriate

Throughout the project cycle, the PMU with DoWR will conduct an annual review and stocktaking of the DWSSPs being updated and formulated, tabulating the progression in climate-resilient planning through this important process.

(b) Output 1.2: Awareness, capacities and skills of communities and area administrators on climate-resilient water management improved

Resilience at the community level is key for ensuring beneficiaries receive sustainable water and sanitation services that can adapt to shocks and processes of change. The national/sub-national-level processes support coordination and service provision to the WASH sector, but it is the capacity of communities to manage their system that delivers the needed health impacts in Pacific communities. Awareness and empowerment, as well as capacity- and skill-building will improve the climate-resilience and sustainability of community WASH services and infrastructure in rural Vanuatu.

The activities identified under Output 1.2 are:

- 1.2.1: Conduct training targeting area administrators on climate vulnerability and risks and updated DWSSP methodology
- 1.2.2: Conduct training targeting communities on DWSSP processes, with interactive content and WASH advocacy materials
- 1.2.3: Organize community and area knowledge sharing events

These activities will include formative research to identify the target audience in the different communities, adhering to frameworks of gender inclusion and inclusion of marginalized communities, as well as map their capacity/knowledge gaps in terms of water safety and security (as well as climate-resilience). For Activity 1.2.1, targeted trainings will be provided through technical assistance. Area administrators, if relevant, can be paired with DWSSP facilitators to ensure that trainings are contextually appropriate, considerate of broader area council infrastructure and plans, and not duplicated (this activity will tie in with 1.2.1). For Activity 1.2.2, interactive training material and learning notes will be developed. This could be done in partnership with UNICEF which already has tried and tested community-led efforts in Vanuatu. Activity 1.2.3 will bring together communities, area administrators for peer-to-peer learning and knowledge-sharing events and provide a platform for greater collaboration at the grassroots CR-WASH management and service delivery levels.

The AE will develop two completion reports for this Output: one, consolidating the evaluations of the trainings provided to area administrators and communities on CR-WASH using the following indicators (number of participants - gender disaggregated; number and mapping of training courses delivered). The other report will consolidate interactive training material and learning notes for knowledge management purposes.

(c) Output 1.3: Vulnerable communities are supported to develop and implement their DWSSPs (600 DWSSPs by the end of the project cycle)

The majority of WASH systems in the Pacific are isolated from government service provision and are managed by community committees, according to UNICEF research. This is also the case for Vanuatu - therefore, establishing strong governance structures that are grassroots and accountable, with decision-making mandates and have community participation are key to managing water resources safely in the country. The DWSSPs will provide a framework through which community-owned WASH infrastructure (new and/or improved) can be sustainably managed, localizing both priorities and interests. Through this output, the project will deliver the 600 targeted DWSSPs, identified and delivered through the country-owned (DoWR-mediated) National Implementation Plan (NIP) process.

The activities identified under Output 1.3 are:

- 1.3.1: Recruit and train DWSSP facilitators
- 1.3.2: Establish and register local water committees
- 1.3.3: Undertake climate vulnerability assessments for 600 DWSSPs
- 1.3.4: Implement no and low-cost measures in communities

Activity 1.3.1 will involve Provincial Water Resource Advisory Committees (PWRACs) identifying vulnerable communities who request DWSSPs through the NIP process, followed by recruitment of new DWSSP facilitators.

For the new DWSSP facilitators - and existing staff - training will be provided on the updated DWSSP methodology (with focus on CR-WASH and climate change adaptation through local water governance bodies). This will focus on climate risks and how these can be adapted to through the DWSSPs. Local water committees will be established through the DWSSPs (which is the following Activity 1.3.2) - with a mandatory quota of 40% women, ensuring equitable gender participation. Climate vulnerability assessments and community engagement will be undertaken to ensure 600 DWSSPs developed during the project cycle are informed by the observed climate impacts and are able to withstand impacts, particularly, of fast-onset disasters (such as extreme precipitation and flooding, or tropical cyclone and storm surges).

The AE will develop one annual review (so 5, in total) for this Output: this annual review will review and stocktake of the DWSSP process, particularly tabulating and mapping new and updated DWSSPs in specific communities achieved per year. Processes and success stories around women's participation is expected to be documented through these annual reviews as well.

Component 2 – Climate-resilient rural water infrastructure

This component represents the core investment envisioned for a paradigmatic shift towards CR-WASH infrastructure in rural contexts of Vanuatu. The objective of this component is to strengthen water systems in prioritized rural communities (through the DWSSP process) and to address climate variability and change risks and impacts through the existing capital assistance programme (CAP). Investments in rural water supply infrastructure (whether new or improved), such as improved rainwater harvesting, will be at once a private good (providing water supply to households), but when used correctly and consistently, also a wider, public good key to achieving SDG 6 targets.

At least 200 prioritized communities, schools or healthcare facilities are expected to be targeted as part of Component 2. GCF funding and co-financing will be mobilized to support climate-resilient infrastructures that will be developed based on needs identified in the DWSSPs and through DoWR's expanded and improved capacity (delivered through Component 1). It is widely recognized that every drop of water pumped, moved or treated to meet health and food needs requires energy - the Component, therefore, will aim to deliver technology options that ensures effective co-management of water and energy, to ensure systems are reliable and climate-resilient (see Table 1 below). The expected outputs, along with activities, are listed below:

(d) Output 2.1: 270 vulnerable communities supported to construct, operate, and maintain climate-resilient water infrastructure

This Output will focus on delivering climate-resilient water infrastructure to 270 communities in Vanuatu. Provision of this WASH infrastructure will include: rehabilitation, upgrading, and/or expansion of rural drinking water supply systems to serve at least 270 communities. Collaboration with provincial governments, and target communities will ensure reliable and sustainable potable water services. To ensure improvements are sustained, the project will aim to achieve two mutually reinforcing intermediate results, through this Output:

- Increase access to safely managed drinking water in rural Vanuatu through the rehabilitation or construction of small-scale infrastructure, identified through the country-owned DWSSP and NIP processes
- Increase engagement of communities in management, oversight and accountability of drinking water service points and infrastructure (through, particularly, the rural water communities).

The activities identified under Output 2.1 are:

2.1.1: Update the multi-criteria analysis to prioritize CAP requests to identify sites for infrastructure planning

2.1.2: Conduct gender, environment and social safeguards screening and impact assessments in chosen sites

2.1.3: Construct and upgrade infrastructure for climate resilient water sources, distribution and storage

2.1.4: Train local water committees on operation and maintenance

Despite being a single output component (tasked with infrastructure delivery), four activities have been identified as a part of Output 2.1 (Component 2). These activities will establish climate-resilient drinking water infrastructure and build capacity among vulnerable communities to maintain and operate these, thus ensuring a paradigm shift from build-neglect-rebuild approach.

Activity 2.1.1 will focus on updating the existing multi-criteria analysis to ensure that CAP requests being processed are more equitable and focus on remote areas. This will ensure that sustainable drinking water services, which are provided through climate-resilient infrastructure, are available to under-served rural areas. This activity will complement Component 1 (which will invest in improved community governance of the infrastructure introduced through Component 2).

Activity 2.1.2 will mimic funding prioritization processes, and ensure baseline and exploratory assessments (covering gender, environment and social safeguards, impact and risk analysis) are conducted before investments are directed towards targeted communities. This will ensure investments in WASH infrastructure have equitable and gender-responsive outcomes.

Activities 2.1.3 and 2.1.4 will build on the groundwork established by Activities 2.1.1 and 2.1.2 to deliver the climate-resilient WASH infrastructure, while ensuring adequate training is delivered for operationalizing and maintaining these improved and new systems.

The AE will develop two completion reports for this Output: one report on communities supported and infrastructure delivered (with mapping of what was delivered where, which will show how DWSSPs help in prioritizing community-based needs). This deliverable will be merged with the deliverable for 3.1 to ensure consolidated and contextualized reporting. Further, the AE will deliver a consolidated report on operation and maintenance capacity in communities, how and what levels of engagement was ensured during infrastructure delivery, and whether equitable and meaningful gender participation was reflected.

Adaptation solutions package

As the sites have not been identified yet, a package of adaption solutions has been identified based on consultation, professional experience, literature review, country capacity assessment, environmental considerations and applicability to resources available in Vanuatu. The proposed list of technologies are broad adoption practices to guide the development of DWSSP, design of water supply intervention and subsequent implementation.

The recommendations provided in this report are for overview guidance only. They should not be applied without site-specific analysis of data including water source patterns, quality, primary and secondary sources, and population and water demand. Further considerations may include environmental and social impacts of system development, system complexity and reliability, maintenance, and on-going costs. An adaptation package may include one or more of these solutions.

To summarise, the following interventions are recommended for this programme:

- Groundwater infrastructure development/upgrades/rehabilitation
- Replacing spring capture/surface water diesel pumps with solar pumps
- Rainwater harvesting systems, including small individual household and large community scale
- Direct gravity fed spring capture systems
- Indirect gravity fed spring capture systems, using solar or hydro power only
- Desalination using hydro power only

Table 1 presents the recommended options, along with design, operation and maintenance recommendations.

Table 1: Technology Options with Design Recommendations

Technology Option	Water Source	Recommendation
Wells and bores	Groundwater	<p>To be considered throughout Vanuatu as a reliable and secure solution which has good resilience to climate change and natural disasters. They should be considered in conjunction with other technology solutions.</p> <p>To be located away from shorelines, latrines and storm surge areas.</p> <p>A minimum distance of 50m is to be between a well and any latrine.</p> <p>Excellent quality hand pumps or solar pumps to be installed, include a well-drained apron (hand pump) and protections.</p> <p>Shallow wells should be installed with protections:</p> <ul style="list-style-type: none"> - Hand pump or solar pump for extraction, and to separate users from the water source - Raised wellhead to protect against surface contamination - Good fitting lid to minimise surface contamination. - Lid should be removeable to allow manual bucket extraction as a redundancy against pump failure. - Concrete apron draining the surface away from the well <p>Wells to be constructed with quality circular culverts or well plastered concrete blocks</p> <p>Bores to be drilled and fitted by well trained and qualified service professionals.</p> <p>See solar pump recommendations below</p>
Replacing diesel pumps with solar pump	Any	<p>Solar arrays to be sized and installed to required pump specifications.</p> <p>Battery array to be considered to extend daytime operation</p>

		<p>Solar power should be used for secondary uses - lighting, charging, purification, etc.</p> <p>High quality materials and devices to be used throughout.</p> <p>Frequent cleaning and inspection of system required.</p> <p>Specialised training for installation, operation and maintenance required.</p>
<p>Rainwater harvesting systems (RWH)</p> <p>Including Small Individual Household and large community scale</p>	Rainwater	<p>Use wide guttering >150mm, with sufficient supports to ensure improved performance, capture rates and holding capacity.</p> <p>High quality gutters, droppers, downpipes and fittings should be used for increased resilience and longer lifespan.</p> <p>UV stabilised plastics to be used throughout.</p> <p>First flush devices to be installed on all downpipes that fill drinking water tanks.</p> <p>Mesh should be at tank inlets to filter particles and prevent insect entry.</p> <p>Pipes should always be at grade to minimise ponding.</p> <p>Tanks should be positioned as close to downpipes as possible.</p> <p>If pipes need to pass trafficable areas, they should be buried at sufficient depth to prevent damage and protect against high winds and flying debris.</p> <p>Bracing or strapping to be installed on all new and existing tanks.</p> <p>Guttering and downpipes to allow for quick disconnection in the event of volcanic eruption, and removal in case of cyclone.</p>

		<p>Catchment superstructures to be inspected and upgraded to best practice for the support of water catchments. This includes households, community buildings and shelters.</p> <p>Training and awareness of correct construction, operation and maintenance.</p> <p>Inspections should be done periodically, with major maintenance performed after cyclone season has finished.</p> <p>Support widespread installation of RWH to promote community awareness and ownership, enable private industry, and provide training opportunities.</p>
<p>Gravity Fed Systems</p> <ul style="list-style-type: none"> - Direct - Indirect 	<p>Spring Water</p> <p>River Water</p>	<p>Spring water to be considered due to general high quality and reliability. River water to be only considered as emergency backup source during dry periods/drought or if there is no alternative water source, due to poor water quality.</p> <p>Direct systems to be prioritised since they do not require pumping. Indirect systems to be considered where otherwise inaccessible source can be exploited and improve water security to communities.</p> <p>Indirect systems to be solar power or hydram pumped only.</p> <p>Springs should be well protected from animal and insect access, and from contamination from chemicals and latrines.</p> <p>Spring capture tanks to fully enclose the spring eye to prevent contamination of the spring but with the overflow to be positioned below the spring eye to eliminate changes to the hydrographic pressure of the spring.</p> <p>Spring capture, pressure relief tanks, airlock devices and tanks should be designed, constructed and maintained to prevent animal and insect access.</p> <p>Construction and alignment to be according to DoWR standards.</p>

		<p>Tanks to have bracing, strapping and adequate anchoring</p> <p>Pipes to be buried in trafficable areas, they should be protected or buried at sufficient depth to prevent crushing.</p> <p>Regular monitoring and maintenance to be conducted. Training to support Rural Water Committee to undertake inspection and maintenance where possible.</p>
Desalination: Reverse Osmosis units - Solar Powered	Sea water or brackish groundwater	<p>To be considered for larger community use, evacuation centres, health care facilities and schools to support relocated communities during dry periods, and/or reduce demand on unreliable water sources.</p> <p>Only solar powered desalination plants are considered. Solar power should be used for broader power needs, and can be battery augmented.</p> <p>Considered wider regional Integrated Water Management Practices. i.e. not as a primary source, and potentially as a co-funded/operated device with MoH/MoET.</p> <p>Technical training and skills are reported for optimal operation.</p> <p>Communities will require ongoing external support to fund on-going operations</p> <p>Selection of a unit should have a low recovery rate to minimise waste brine salt concentration</p> <p>Membranes should be chosen so that essential minerals are allowed into the treated water</p>

Specific considerations

Boreholes and Wells

Exploiting a groundwater source requires careful consideration and study to target appropriate, sustainable sources. This requires appropriate groundwater survey data. Fresh groundwater resources can be difficult to identify and understand correctly, as reported during community consultation in Vanuatu's provinces, which claim many boreholes drilled reached saline water, or have become saline overtime.

New wells and boreholes will be supported by this project where sufficient data and a supporting water balance can illustrate the sustainability of abstraction from a particular groundwater source. Groundwater will be regularly monitored to demonstrate that pumping is not diminishing water tables.

Existing wells and boreholes will be an essential component supporting a large demand centre, such as a school or community which otherwise lacks a reliable water source. This project will seek opportunities to rehabilitate wells and boreholes where technically and environmentally justified, and develop alternatives such as RWH or spring source, where appropriate, whilst also replace fossil fuelled powered pumps with solar powered pumps.

Pumps

Only non-fossil fuel powered pumps are to be considered for this project, namely hydro- or solar-powered electric pumps, and hydram pumps. Hydro power is available in Maewo and Santo, with another hydroscheme under redevelopment in Malekula. Solar pumps are readily available in a range of sizes and can be used to provide power for other uses. Their operational hours can be extended beyond daylight through battery augmentation - however water storage design can offset the need for additional battery.

Hydram pumps are mechanical, water hammer driven devices which can elevate water above the input source. They have had long history of use throughout the world with existing applications in Vanuatu.

Non-fossil fuel powered pumps should be considered where:

- they are a direct replacement of diesel-powered pumps
- their use enables rehabilitation of existing cement tanks
- their use enables use of otherwise inaccessible water sources
- they will only be installed where ground water levels are unlikely to be exhausted and regular monitoring plans are in place

Desalination

Technological advancements have seen small solar powered reverse osmosis desalination units being increasingly adopted around the world due to their ability to provide excellent quality water, reliably with no greenhouse gas emissions. Small, community scaled reverse osmosis units have been proven to provide reliable water and returned to operation quickly after a cyclone. For instance, Moerk Water supplied and installed a 250 l/h unit in

the 800-person community of Uripiv in Malekula¹⁰. The unit reduced the small island's reliance on groundwater and therefore reduced the risk of saltwater intrusion. The unit became operational again soon after the passing of TC Harold. It is expected that small desalination units similar to this one will be installed as part of this project.

Reverse osmosis desalination units require periodic replacement of filters, maintenance, and skilled operation and maintenance which could make them prohibitive to some communities. Therefore, for this project it is suggested that desalination units should be considered a reliable source of safe and secure water for the following uses:

- Populations without suitable, safe or sustainable water sources.
- At multi-use evacuation centres, such as schools or healthcare facilities, for everyday use as well as emergency supply for evacuation and post-natural disaster supply.
- Support communities' temporary relocation during dry periods, drought and La Nina periods.
- Very small island communities.
- Reduce demand on unreliable water sources by relocated persons.
- Communities where sufficient cost recovery or fee collection is possible.

Natural minerals found in water are essential for humans, which the desalination process removes. Prolonged consumption of only desalinated water is not advised for water produced by certain types of desalination processes. This health concern can be eliminated by selecting membranes with pores at a size which allows essential minerals to pass through.

Waste produces from large municipal desalination plants are thought to cause environmental damage due to the large volume and hypersaline concentrations. The desalination unit in Perth Australia discharges 176ML of waste at 62 g/L salt concentration. Sea water typically has approximately 35 g/L salt concentration. The aquatic life at the Perth desalination plant waste diffusers is reportedly in good condition¹¹. For small units a low recovery rate can be applied so that the concentration in the waste brine is very low. For the unit in Uripiv, 1750 L/h waste brine is produced with a salt concentration of 41g/L.

Adoption of desalination has been largely outside the scope set in the National Implementation Plan **for Safe and Secure Community Drinking Water** (NIP) and DWSSP. A Santo stakeholder workshop session identified local community wanted to see DWSSP extend beyond community level and service regional and emergency responses. Desalination plants at centralised areas such as large population centres and/or evacuation centres could support emergency response, whether post-natural disaster, drought, or for augmentation to primary unreliable water sources.

Using existing wells with saline water should be considered as a desalination abstraction point. Existing wells would provide protection for pumps, have filtered water and minimise impact to marine environment. However, site-specific studies will be required to ensure that the yield of the source is sufficient, pumping does not cause significant drawdown and does

¹⁰ [How Moerk Water is Supporting this Pacific Island to Become Resilient to Climate Change – Moerk Water](#)

¹¹ [Perth Seawater Desalination Plant \(watercorporation.com.au\)](http://watercorporation.com.au)

not exacerbate current saltwater intrusion. Further, the onward use or disposal of resulting brine needs be considered and addressed. Beach wells would be a suitable abstraction point.

For subprojects funded through the component that are estimated to pose potential or minimal environment or social risk impacts, an ESIA (following protocols in Annex 3) may be followed and a ESMP put in place, at the discretion of the ESS officer. For sub-projects estimated to pose category B environmental or social risk impacts, the ESIA and ESMP will be developed. Annex 5 shows example recommendations for ESMP risk and monitoring parameters related to each of the above-mentioned installations.

Component 3 – Institutional strengthening at provincial and national level to better address climate risks associated with water security

A key barrier identified in the process of adapting to climate-related water risks in Vanuatu stem from constraints at the institutional level - both provincial and national. Water security is simultaneously impacted by and contributes to climate change - and institutional strengthening is a key aspect in addressing these multifaceted risks effectively. Component 3, therefore, focuses on improving provincial and national institutions in Vanuatu by increasing capacity of governance staff and WASH sector partners, while also provisioning for **knowledge management, data sharing mechanisms and M&E framework**.

The Government of Vanuatu recognizes that essential to the effective delivery of the national DWSSP are standardised support tools and processes, the foundation being community-level DWSSP. Additionally, it also recognizes that essential to efficient delivery of the National DWSSP is reaching as many communities as possible by devolving responsibility and support to provincial government, coupled with national oversight and coordination of the many government agencies, implementing partners, technical support agencies. Keeping this mandate as context, Component 3 will work towards gearing institutional capacity at provincial and national level to ensure the effective and efficient delivery of the DWSSP and other related water management processes to manage the adverse effects of climate change. The expected outputs, along with activities, are listed below:

(e) Output 3.1: National and provincial-level staff and WASH sector partners trained on climate-resilient water management

This output will focus on providing training to different levels of staff within the water governance structure, as well as to WASH sector partners, to ensure climate change and management of climate risks are mainstreamed within existing processes of water safety and security. In doing so, it will deploy different types of training - from the provincial and key line ministry level, to WASH sector partners - ensuring stakeholders across the board (and in the WASH industry) are better able to deliver on Vanuatu's emerging and ongoing needs related to climate-resilient water management.

The activities identified under Output 3.1 are:

3.1.1: Train Provincial Water Resources Advisory Committee (PWRAC) and DoWR staff on updated DWSSP, climate risks and water management

3.1.2: Host 2 engineers (1 male, 1 female) each in 6 provinces through humanitarian engineering assistance

3.1.3: Update engineering standards and deploy in provinces for new infrastructure

3.1.4: Workshops with WASH sector partners (incl. MoH, Med., and CSOs) on updated DWSSP, climate risks, and water management

Activity 3.1.1 will focus on PWRAC and DoWR and provide national level training on updated DWSSP (which will be done through Component 1). At the same time, Activity 3.1.2. will attempt to expand the skill set available to the DoWR through external technical support. This will ensure that the DoWR can quickly access specialized knowledge and training on an ad-hoc basis and takes into context the current levels of understaffing in the key government body.

Activity 3.1.3 will draw from the previous Activity 3.1.2 and ensure that engineering standards are upgraded to provide WASH infrastructure (new and improved) the best possible resilience (given current resources and technology) to climate risks (particularly, fast-onset events). Lastly, the concluding activity of this output is focused on delivering targeted workshops with different WASH sector partners, conveying the need for CR-WASH in Vanuatu and building capacity for climate- and water-related risk and impact management.

The AE will develop one completion report for this Output and will ensure the different types of trainings provided are reflected in separate sections of the report. Additionally, the AE will map the trainings conducted in the different provinces, and manage information collected on stakeholders, interest and influence levels, as well as gender participation.

(f) Output 3.2: Knowledge management, data sharing mechanisms and M&E framework established for climate-resilient water management

This output will focus on knowledge management and monitoring and evaluation of the project, and improve the knowledge management and data sharing mechanisms available to the different stakeholders of the water and climate change sectors. Support, particularly, will be provided to WASH sector partners to be able to employ data for decision-making. One of GCF's paradigm shifting pathways for water security is creating and sharing knowledge to harmonise valuation methodologies with climate risks built into financial decisions for sustainable development - this Output will contribute towards this pathway and indeed pioneer a robust, climate-water- specific KM and M&E system for Vanuatu.

The activities identified under Output 3.2 are:

3.2.1: Integrate data collected through DWSSPs into government knowledge management platforms

3.2.2: Implement knowledge-sharing mechanisms to support effective utilization of data for decision-making by WASH sector partners

3.2.3: Review and update, and train WASH sector partners on, M&E through the NIP

3.2.4: Report project results through M&E framework, with focus on lessons learnt and best practices

These activities are a step-by-step process for setting up a robust knowledge management system through the project, as well as M&E framework for the project. Firstly, through Activity 3.2.1, data will be collected and harmonized through existing platforms. Focus, through this activity, will be on presenting the data in a usable format and to inform decision-making by WASH sector partners. The remaining two activities (3.2.3 and 3.2.4) will focus on assessing the operational efficiency and monitoring performance available through the NIP process. In case of updates, WASH partners will be trained and brought up to speed on the need to track indicators for improved water safety and climate resilience. Uniquely, this system will also be used to track the progress of this project (keeping in line with the government-led approach) for accountability, as well as for creating opportunities to disseminate lessons learnt and best practices.

The AE will develop one report on the KM mechanism developed, as well as periodical M&E report for tracking the progress of the project (as agreed with the AE, NDA and the DoWR). These progress reports will also be made publicly available through the KM mechanism.

4. Policy/Legal Frameworks

4.1 Vanuatu Environmental Policy Context

Environmental Protection and Conservation Act (EPCA) and EIA Regulations 2011

Under the EPCA, the Department of Environmental Protection and Conservation (DEPC) requires an environmental permit for any activity that is likely to impact on the environment and any activity that requires any license, permit or approval under any law (e.g. a Quarry Permit or Foreshore Development Consent). This applies to applications under the DoWR Capital Assistance Programme as per below Section 5.

The process requires the completion and submission of an environmental permit application form to the DEPC, accompanied by plans, other supporting information, and a fee. Applications must include an identification of impacts and mitigation measures. The DEPC will review the application form, and, if necessary, undertake a Preliminary Environmental Assessment (PEA).

Three outcomes occur from the application process:

- For projects listed on the minor project schedule, an environmental permit will be issued without a full PEA. The permit may or may not have conditions.
- For projects listed on the PEA schedule, or otherwise has potentially significant impacts, a full PEA will be produced by the DEPC. As a result:
 - for projects with minor or readily mitigatable impacts, an environmental permit will be issued, with conditions; or
 - for projects likely to cause significant environmental, social and / or custom impacts an Environmental Impact Assessment (EIA) and accompanying Environmental Management and Monitoring Plan (EMMP) are required and will be assessed before an environmental permit is issued.
- In the development of a EIA and EMMP the project proponent must conduct public consultation of the documents and provide notice in advance of said consultations.

Potential sub-projects funded under this Project that may require a PEA include:

- Any quarrying, excavations and extractions for construction or installation works.
- Any activity impacting a water source.

4.2 SPC Social and Environmental Responsibility

SPC's [Social and Environmental Responsibility Policy \(SER Policy\)](#) provides the framework, including guiding principles, for SPC to ethically and sustainably manage social and environmental risks and impacts of all its activities. This will be done in an inclusive manner, so as to maximise whole-of-society benefits. The intent of this policy is to help SPC:

- to promote and drive continuous improvement of SPC's social and environmental performance by:
 - identifying, assessing and managing social and environmental risks, impacts or opportunities in all SPC activities and projects;
 - improving existing practices in the implementation of other relevant SPC policies.
- to strengthen the involvement of staff and all stakeholders' in defining and implementing social and environmental performance standards; and
- to meet the International Finance Corporation's Environmental and Social Performance Standards. This policy will be implemented through an SER action plan and integrated coherently with all other relevant SPC policies, including its human resources, financial, and monitoring and evaluation policies.

SPC is committed to improving its social and environmental responsibility along three pillars: people, operations and programmes.

- **People.** SPC is committed to providing its staff with a workplace that promotes diversity and inclusion, guarantees equal rights, and provides for a safe, healthy and dynamic working environment. SPC is committed to the prevention of abuse and to the well-being of members, children, vulnerable adults and their families.
- **Operations.** SPC is committed to being a responsible organisation in the fight against climate change and biodiversity loss and in the protection of the environment. SPC will endeavour to reduce its own environmental and carbon footprint with the ultimate goal of achieving carbon neutrality and zero waste. To this end, SPC will implement a robust in-house climate and environmental responsibility framework and ensure that relevant policies are adapted to reflect this approach, including the greening of its procurement and travel policies.
- **Programmes.** SPC is committed to supporting programmes and projects to deliver activities that maximise social benefits and minimize environmental degradation. SPC aims to prevent or, where not possible, mitigate any significant or unjustified impacts on the environment, or negative social impacts, such as those that affect gender equality or human rights.

To this end, SPC has a robust environmental and social management system (ESMS) to screen and appraise its activities through a dynamic and continuous process supported by management. The ESMS includes tools, methodologies and guidelines that are applied in a consistent and supportive manner with SPC's integrated programmatic approach. Overall, SPC is committed to achieving the following outcomes:

- All activities, programmes and projects are subject to a risk categorisation exercise through a screening process, which is operationalised through the SER action plan.
- Where risks are identified in the light of the SER screening process, activities, programmes and projects are assessed for the magnitude of potential social and environmental risks.
- Against these risks and potential impacts, social and environmental mitigation measures are proposed and included in the formulation of the project and its activities and monitored throughout the life of the project.
- Staff are trained in the identification and assessment of social and environmental risks and impacts, as well as in the implementation of mitigation measures.
- Openness and transparency are maintained with affected communities or stakeholders who are engaged in the identification of risks and impacts and who can express their concerns through a grievance mechanism.

All of this is designed to be compliant with GCF's Environmental and social management system (as per GCF/B.19/06). This comprises the following elements as they relate to the GCF:

- The GCF environmental and social policy;
- The GCF environmental and social safeguards (ESS) standards, including the relevant ESS standards;
- The ESMS manual containing the rules and procedures for the implementation of the ESMS;
- The guidance and tools, consisting of references and best practices, to guide the implementation of the ESMS;
- The stakeholder engagement consisting of guidance and related policies of GCF promoting multi-stakeholder engagement; and
- Related policies and practices of GCF relevant to, and complementing and supporting, the ESMS

As the AE, SPC shall undertake all necessary measures to ensure that activities are implemented in such a manner that:

- Ensures that environmental and social management plans, and all measures to mitigate and manage environmental and social risks and impacts and to improve outcomes are implemented, monitored and continuously improved; and
- Ensures that the progress and performance are monitored and reported to GCF and its stakeholders throughout the implementation of the GCF-financed activities, in accordance with the monitoring and accountability framework and allowing GCF or GCF-authorized third-party verification of such reports.

In relation to environmental safeguards, SPC as the AE will:

- confirm that the measures to manage environmental and social risks and impacts, including, as relevant, information disclosure, stakeholder engagement, and grievance redress, are incorporated in the agreements with implementing partners including tendering documents and contracts;
- take all necessary measures to ensure the compliance with all applicable laws, including the laws, regulations, and standards of the country in which the activities

are located, and/or obligations of the country or countries directly applicable to the activities under relevant international treaties and agreements (all of these will be reflected in the agreements with the executing entities);

- undertake all necessary measures to ensure that the communities affected or potentially affected by the activities (including vulnerable populations, local communities, groups and individuals including women, children, people with disabilities, people marginalized by virtue of their sexual orientation and gender identity, indigenous peoples and other marginalized groups of people and individuals) are properly consulted in a manner that facilitates the inclusion of local knowledge in the design of the activities, provides them with opportunities to express their views on risks, impacts and mitigation measures related to the activities, and allows the accredited entities to consider and respond to their concerns. In ensuring the meaningful and effective consultation and participation of the affected communities and vulnerable populations, the AE will align their stakeholder engagement processes to best practices and standards and will make publicly available the relevant information on the activities according to the requirements of the Information Disclosure Policies of GCF and SPC.

4.3 GCF Environmental and Social Safeguard Requirements

The objectives of the [GCF Environmental and Social Policy](#) (ESP) are to:

- Avoid, and where avoidance is impossible, mitigate adverse impacts to people and the environment;
- Enhance equitable access to development benefits; and
- Give due consideration to vulnerable and marginalised populations, groups, and individuals, local communities, indigenous peoples, and other marginalised groups of people and individuals that are affected or potentially affected by GCF-financed activities.

The ESP requires that all projects be screened for their environmental and social impacts, that those impacts be identified, and that the proposed project be categorized according to its potential environmental and social impacts. Regardless in which category a project is screened, all environmental and social risks shall be adequately identified and assessed by the in an open and transparent manner with appropriate consultation.

The scope of the environmental and social assessment shall be commensurate with the scope and severity of potential risks. The assessment should assess all potential environmental and social risks and include a proposed risk management plan in the case that risk are identified.

All projects supported by the GCF shall be designed and implemented to meet the GCF ESP Performance Standards (PS), although it is recognized that depending on the nature and scale of a project not all PS will be relevant to every project.

4.4 Gap Analysis of Relevant Environmental Policies

On assessment of the EPCA of Vanuatu against the GCF and SPC ESPs, there are certain similarities and appropriate processes in place to ensure assessment of proposed projects against ESS risks. These processes and principles ensure safeguarding against environmental and social harm. In all policies, an initial screening of ESS risks must be carried out against the proposed project activities. In the case that risks are identified, the proponent will have to conduct a further full ESIA and develop an appropriate ESMP to ensure appropriate implementation of environmentally and socially safe practices. This is embodied across all three policies. Under Government of Vanuatu regulations, it is essential for this to be carried out in order to receive the requisite permits to implement a project. This process proactively regulates activities in an environmentally and socially safe manner and is in alignment with international practices to safeguard development and to ensure that projects cause no harm.

Despite the processes of the EPCA being in place and aligned with good practice, the level of assessment included within the screening and assessment criteria lacks detail regarding social risks. In particular, the EPCA does not specify that assessments must be carried out against the IFC Performance standards. Further, the EPCA states that only those project that are categorised as posing significant environmental risk are triggered to require ESIA and ESMP development. This differs from GCF and SPC ESPs that indicate that projects that pose minimal or potential ESS risks may require further assessment and development of an ESMP.

In light of the above - and given SPC's accreditation with GCF - this Project will ensure a robust ESS framework is in place that is aligned with and further strengthens those environmental and social protection measures already in place within ECPA in Vanuatu. This will ensure that all sub-projects are assessed against a common and uniform set of standards that meet GCF's criteria in terms of rigour and substance with a view to identifying and mitigating any potentially negative environmental and social impacts that may result from these sub-projects. This will be in alignment with, but strengthen, the processes compliant with the ECPA. As such, the ESS processes outlined in this document set out the framework within which sub-project assessments will be carried out in alignment with ECPA requirements and in compliance with GCF's policies and standards concerning environmental and social safeguards.

5. Environmental and Social Assessment Process

5.1 Project level process

Following the initial screen of the project at concept note stage additional ESS assessments have been carried out to ensure full due diligence of ESS risks in compliance with SPC and GCF policies. This was carried out by SPC as the AE in conjunction with the consulting firm hired through GCF Project Preparation Facility resources. Detailed risk assessments were carried out for all proposed project activities against the IFC Performance Standards and a ESS Action Plan developed (see sections 5 and 6). Further to the project level assessment, a detailed process for sub-project screening, ESIA and ESMP development have been defined to ensure Project funded activities apply robust ESS due diligence and are in compliance with the project level ESS assessment and action plan as well as the GCF ESP. Throughout implementation the projects ESS Officer will ensure that the implementation is carried out in accordance with the ESS assessment and action plan defined in the document. Further, they will work with the MEL officer throughout implementation to ensure monitoring against the action plan and reporting is in alignment with obligations under the GCF ESP and are carried out robustly and within appropriate timeframes.

5.2 Sub-project process

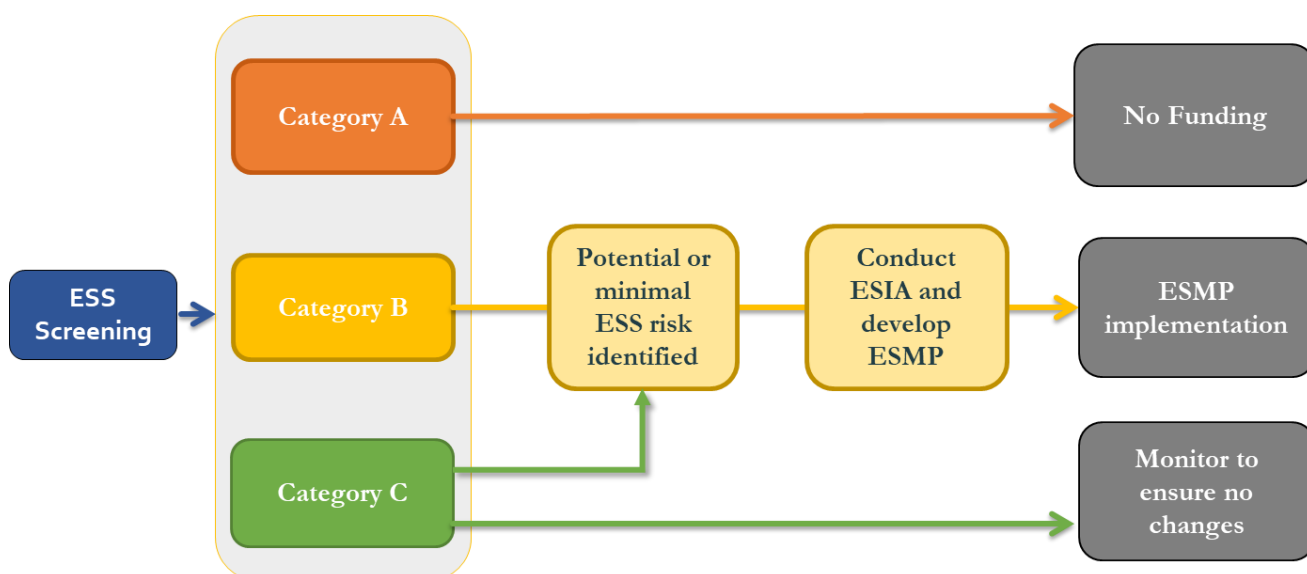
In outcome 1 of the Project, the ESS Officer within the PMU will support the update of DWSSP and Capital Assistance Programme (CAP) processes and guidelines to enhance ESS assessment within their respective systems. This will include updating the ESS assessment standards to be compliant with the IFC performance Standards and updating the ESS screening form in compliance with that presented in Annex 1. Consequently, all requests for sub-projects under the CAP will include an environmental and social safeguard screening to avoid, minimize and mitigate any harm to people and ecosystems and to incorporate environmental and social concerns as an intrinsic part of project cycle management.

At the initial CAP request, applicants will provide an indication of the ESS risk level. Only CAP requests categorized as no risks, in line with Vanuatu's ESIA requirements, SPC's SER policy and the GCF's ESP, will be cleared for development directly. Initial screening will be carried out by CAP facilitators and quality assessed by the ESS Officer within the PMU and validated. As per the PEA process this will be submitted to the DEPC to follow the PEA [process](#) for acquisition of environmental permits.

For projects highlighting moderate (medium risk/B) or minimal (low risk/C) ESS risks, the project proponents will be required to develop an environment and social impact assessment (ESIA) and an associated environmental and social management plan (ESMP) in line with Vanuatu's ESIA requirements (Annex 3), SPC's SER policy, and SPC's ESIA process (Annex 2).

Out of potentially 270 CAP requests it is estimated that <10% will have potential or minimal ESS risks. Annex 5 provides indicative ESMP risk and monitoring parameters for subprojects and a ESMP template. Noting that each sub-project will need to tailor their own ESMP to the local context in alignment with required national and SPC standards. Figure 1 outlines the process for E&S Assessment. Support for undertaking ESIA's and ESMP's will be provided to the selected proponents through the project in the form of ESS Officer providing technical assistance, provision of technical support from consultants on a needs basis and quality assurance conducted by the ESS Officer.

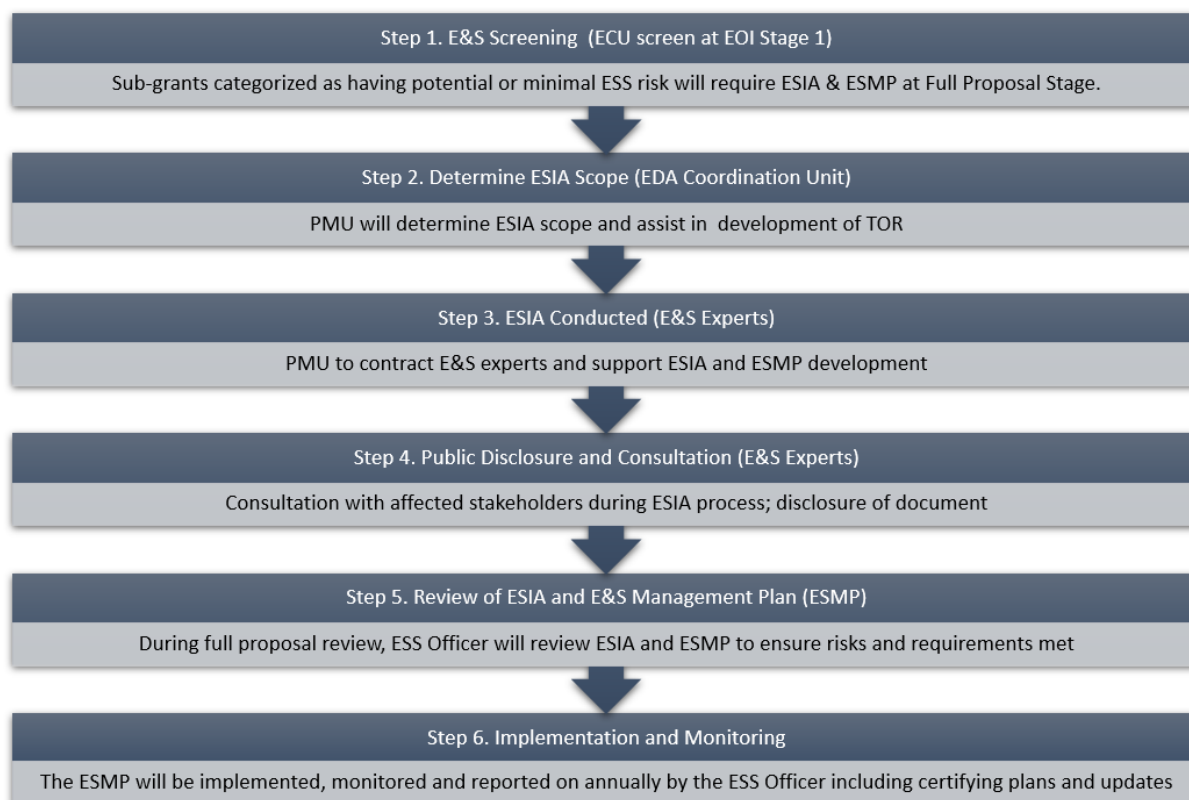
Figure 1: E&S Assessment Framework



As detailed in the implementation arrangements section below, the initial screening at the CAP request stage will be undertaken by the RWC with support from ESS trained facilitators. If a CAP request is identified as a potentially or minimally harmful then a ESIA and ESMP must be developed. Figure 2, details the steps for these requests will undertake to initiate an ESIA, develop an ESMP, and monitor the identified risks through the ESMP.

In summary, the ESS Officer will participate in the CAP process and oversee the ESS assessment framework described in this section. SPC GEM (as an EE) and other WASH sector partners will support and advise the PMU. The EEs will provide support, through technical assistance as required, any sub-projects with potential or minimal ESS risks.

Figure 2: Summary of the Environmental and Social Impact Assessment process for CAP requests



6. Project level Environmental and Social Assessment

The project components are categorized based on the SPC SER policy that is compliant with the International Finance Cooperation (IFC)/GCF risk categorization as follows (Table 2):

- **High risk / Category A.** Activities with potential significant adverse environmental and/or social risks and impacts that, individually or cumulatively, are diverse, irreversible, or unprecedented.
- **Medium risk / Category B.** Activities with potential limited adverse environmental and/or social risks and impacts that individually or cumulatively, are few, generally site-specific, largely reversible, and readily addressed through mitigation measures; and
- **Low risk / Category C.** Activities with minimal or no adverse environmental and/or social risks and/or impacts.

Table 2: Risk Categorization for Project Components

Component/Sub-Component	Risk Categorization
Component 1 - Evidence-based planning and decision-making for climate-resilient water management at the community level	<p>The objective of this component is to improve and scale up the existing technical assistance programme (TAP) in water resource management at the community level to make it more climate resilient. The current TAP primarily includes facilitating communities to create Drinking Water Safety and Security Plans (DWSSPs) that outlines key actions to manage or minimize all the possible threats to water safety and security, including no to low-costs behaviour changes and management activities.</p> <p>This component will improve the DWSSP process to better account for climate change, gender and social inclusion and target 600 additional most vulnerable communities through enhanced planning and community-based adaptation activities. DWSSP is deemed the best vehicle for integrating climate change and water considerations at the community level given its well-proven methodology, its legal status in Vanuatu, and its current successful implementation by DoWR.</p> <p>This component focuses on knowledge sharing, awareness raising, capacity building and training and therefore no adverse Environmental, Social and Gender impacts are expected to result from this component.</p>

<p>Component 2 - Climate-resilient rural water infrastructure</p>	<p>Component 2 aims to support water systems in prioritized rural communities to address climate variability through the CAP. GCF funding and co-financing will be mobilized to support climate-resilient infrastructures that will be developed, based on the needs identified in DWSSPs.</p> <p>The list of water systems infrastructures eligible for CAP requests are indicative (see Table 1). Most of the CAP requests are likely to be Category C, but some may be classified as Category B. All CAP requests will conduct risk-screening according to Annex 1. For CAP requests with Category B, individual ESIs will be conducted (Following Annexes 2 and 3 process), along with associated environmental and social management plan (ESMP). For CAP requests that pose potential or minimal environmental or social risk impacts, individual ESIs and ESPMs may be conducted, at the discretion of the ESS officer. These will be submitted to the DEPC for their approval and relevant permit provision as per the Environmental Protection and Conservation Act. Details on the process for individual CAP request is provided in the sections below.</p>
<p>Component 3 - Institutional strengthening at provincial and national level to better address climate risks associated with water security</p>	<p>The objective of this component is to strengthen the institutional capacities, knowledge, processes and coordination mechanisms to better address climate change in integrated water management across rural communities in Vanuatu.</p> <p>This component focuses on capacity building and training, knowledge management, Monitoring, Evaluation and Learning and therefore no adverse Environmental, Social and Gender impacts are expected to result from this component.</p>

Most of the CAP requests are expected to be Category C and have no or minimal / negligible environmental and social risks, however some projects may be Category B and have some potential impacts. The specific potential risk will depend on the specific CAP request, but an indicative list of potential impacts/risks and some general mitigation strategies are included in Table 3 below.

Table 3: Indicative List of Potential Risks for Sub-projects Funded

Environmental risks/impacts	Possible mitigation measures
<p>Indicative environmental risks/impacts from sub-projects include</p>	<p>While most of the CAP requests will be Category C and carry negligible E+S risks, E+S screening will highlight projects that will need to plan and deploy more focused mitigation strategies for E+S risks. These mitigation strategies will be tailored to the individual projects, but below are some general strategies.</p> <ul style="list-style-type: none"> • If project screening (see Annex 1) indicates a CAP request is likely to have potential or minimal risk levels, SPC will work with the selected DWSSPs community proponents to develop a specific ESMP and submit the ESIA (annex 3) • SPC will provide technical assistance to support effective E+S risk identification and mitigation
<p>Groundwater - Groundwater flow regimes can be complex and difficult to understand, especially where data is limited, non-existent or of poor quality - as is the case in Vanuatu. To determine if a groundwater source is suitable requires site specific data and understanding of its recharge rate, depth and thickness, geology surrounding, and interaction with saltwater.</p>	<p>Exploiting a groundwater source requires careful consideration and study to target appropriate, sustainable sources. This requires appropriate data, matching the complexity of the technical solution: for hand-dug wells practice shows that suitable sustainable options may be available. Fresh groundwater resources can be difficult to identify and understand correctly, as exemplified by reports gathered from recent community consultation in Vanuatu's provinces, which claim many boreholes drilled reached saline water, or have become saline overtime.</p> <p>New wells and boreholes will only be considered for this project where appropriate data and supporting water balance can illustrate the sustainability of abstraction from a particular groundwater source. When wells or boreholes are created as part of CAP, an ESMP will be developed that will ensure long term monitoring of the water table to ensure extraction is not beyond the provisioning ability of the catchment where the well or borehole is placed.</p> <p>Existing wells and boreholes can be an essential component supporting a large demand centre, such as a school or community which otherwise lacks a reliable water sources.</p>
<p>Surface water - Pumping projects for surface water could also cause shifting impacts to surface water resources if not managed properly. Biodiversity impacts could also occur if surface water is extracted from freshwater natural systems which could deplete</p>	<p>The project will only consider pumping projects that include non-fossil fuel powered pumps, namely hydro- or solar-powered electric pumps, and hydram pumps. Existing surface water diesel pumps should be replaced by solar powered pumps.</p> <p>New pumps will not be considered for this project, unless sufficient data and a supporting water balance can illustrate the sustainability</p>

water levels and threaten fauna and flora.	of abstraction from a particular source. No activities should result in water availability being depleted to the extent of endangering water supply to communities or that could have adverse impacts on freshwater biodiversity e.g. indirect impact through surface water harvesting during cases of low ground water recharge.
Water quality - The project aims to strengthen the resilience to climate change of vulnerable rural communities by sustainably enhancing their access to safe water in the face of observed and projected climate change impacts (through enhanced planning and capacities incl. on operation & maintenance, climate-resilient infrastructure, and institutional strengthening).	The project will increase access to water whilst simultaneously reducing exposure of the community to water-borne disease via protection measures. All efforts will be undertaken to manage any pest or vector species. Water drainage, storage and sources will be improved, reducing stagnant water. Tanks will be designed to be enclosed (also prevents other contaminants entering) and have mosquito mesh over potential access points. Spring capture boxes will be protected from animals with fences and from mosquito using well sealing lids and mesh over ventilation points. Vanuatu already has an active community program regarding mosquito and other disease vectors run by the Ministry of Health and supported by NGOs. The project can build on these precautions when and where appropriate. Vulnerability of communities and selection of water sources are considered through design and NIP prioritisation ranking.
Cumulative impacts - Although the projects activities will target water systems that are not covered by other projects, there remains a risk that cumulative impact of sub-projects could have negative impacts on water levels and downstream impacts. Whilst there is a risk, this is deemed to be low as there is no direct overlap of project activities in geographic areas with additional water provisioning activities.	<p>Through the project, only indirect and direct gravity systems will utilise ground or surface water sources for provisioning services. In the case of these technologies, the project will ensure appropriate ESS screening to ensure that there is no additional extractions ongoing in the area or that increased extraction by new technologies will deplete ground or surface water levels against a baseline or reference level. In the case that a new groundwater source has been identified for extraction, a baseline assessment will be conducted on water quantity and quality at the site. Standing Water Level should be marked for the site and where possible, pumping using a mobile pump, carried out on a short-term basis to assess water loss and recharge rates. This will establish whether the proposed infrastructure's pumping capacity would lead to over extraction of the source. If planned infrastructure is determined to lead to over extraction, the project will not be funded.</p> <p>Further, to acquire funding, the RWC must have a viable and financially sustainable operations and maintenance plan in place, as well as a site specific ESMP. This will include a detailed monitoring plan that will describe monitoring protocols to regularly assess water levels against the baseline, and include a clause that extraction cease in the case that extraction exceeds a baseline level defined as being harmful.</p>
Biodiversity - Desal units create brine which requires discharge, increased	Siting of desalination units will consider discharge impacts with brine being discharged to sea with preference given to discharge to ocean

<p>salinity can have adverse impacts on areas with limited circulation.</p> <p>Spillage and drainage of diesel and oils into natural systems can have a negative impact on local biodiversity surrounding pump sites through chemical poisoning. If this is near freshwater systems, this can negatively impact aquatic species.</p> <p>If rare cases surface, water sources may be utilised. This can result in the reduction of water provisioning in downstream ecosystems and a loss of biodiversity.</p>	<p>side of islands where wave and current energy is high. Units will be selected and designed to have a low recovery rate so that the increase in salt concentration is minimal. The desalination unit installed at Uripiv which is similar to the types of systems that will be installed for this project produces 1750 L/h of waste brine at a salt concentration of 41g/L for every 250 L/h of fresh water. Sea water typically has approx 35g/L salt concentration. The large desalination unit in Perth Australia discharges 176ML of waste at 62 g/L salt concentration. The aquatic life at the Perth desalination plant waste diffusers is reportedly in good condition¹².</p> <p>The project will specifically target the phase out of diesel fuelled pumps, avoiding the risk of spillage and drainage into ecosystems. In rare cases if diesel pumps are to be continued in a DWWSP then regular maintenance programmes for the pumps will be employed to mitigate the risks of spillage from faulty units.</p> <p>The use of surface water will be avoided to maximum extent possible in projects. In the case that surface water is utilised, adequate monitoring programmes will be put in place to ensure that they are not depleting natural freshwater systems. This will be established through the ESMPs. Further no construction of will occur in Protected Areas to ensure protection of local species.</p>
<p>Erosion and soil degradation - Projects that have new construction or retrofitting can cause soil erosion and degradation. Rehabilitation of concrete tanks will require construction materials and the source of materials such as sand needs to be carefully considered so that it does not damage reefs and lead to potential increased erosion.</p>	<p>For any water security intervention such as RWH (rainwater harvesting), DGFS (direct gravity fed systems), IG (indirect gravity) - there is a small level of resource extraction for concrete related works but this is minimal (low volume).</p> <p>The source of construction materials (for instance to rehabilitate concrete tanks) needs to be carefully considered as it is not uncommon for sand and aggregate to come from mining fringing reefs, which both damages reefs and leads to potential increased erosion. Volcanic sands would be preferred over beach/ocean mined sands.</p> <p>Aggregate quarry sites will be scoped as part of the engineering assessment for the water supply systems. These will include site assessments that evaluate impact on the environment and will be assessed by the ESS Officer through site level ESMP and ESIA's conducted for any activities that may have minimal or potential harm on the environment. Sites will be located close to the water supply system to decrease the transport cost in terms of emissions and monetary cost. If there are no appropriate local quarry sites sourced that have a minimal environmental impact on Vanuatu reefs or</p>

¹² [Perth Seawater Desalination Plant \(watercorporation.com.au\)](http://Perth Seawater Desalination Plant (watercorporation.com.au))

	<p>sensitive ecosystems as assessed by the ESS Officer aggregate will be sourced from nationally recognised aggregate suppliers in the two major urban centres of Port Vila and Luganville and shipped and/or trucked to site. This will include imported crushed rock as domestically produced blocks may utilise materials sourced from the reefs around Vanuatu.</p> <p>The projects procurement officer will closely monitor the procurement of relevant building materials and ensure that materials sources do not originate from harmful practices. For this to be implemented, this condition will be included as a criteria for selecting a supplier during the procurement process.</p>
<p>Noise/Air Quality - Some projects may include specific construction, retrofitting, and installation activities which can create temporary noise impacts for local communities. Further construction related impacts from dust and vehicle emissions can also temporarily increase due to project activities. In addition, noise will occur due to the use of construction equipment during the project implementation. This can impact on local communities using the adjacent area.</p>	<p>The proposed construction activities are unlikely to have significant impacts. Only the intervention of drilling is associated with significant noise. Standard drilling times apply per Standard operating Procedures (SOPs). This can impact on local communities using the adjacent area. The project will promote best practice in terms of construction, safety and waste management. Best practice construction practices to be adopted include: An assessment should consider any sensitive receptors ; construction activities to occur during daylight hours only; sediment and erosion control, fuel management, waste minimisation, etc.</p> <p>Construction is expected to be undertaken only during daylight hours, to avoid night-time noise disturbances and the requirement for flood lighting which will eliminate light pollution and GHG emissions. Projects that are expected to have higher impacts will develop specific ESIAs with tailored mitigation measures, but in general projects will work to target activities to minimize environmental impact. The project will ensure any impact is identified and tracked over time.</p> <p>The timing and location of construction will also account for migratory and breeding patterns for fauna in adjacent areas. In the case of coastal construction seasonal timing will be considered so as not to coincide with bird or turtle nesting seasons that may negatively impact fecundity of associated species. E.g. drilling near turtle nesting sites during nesting season will be avoided and postponed.</p>
<p>Waste - Some waste will be generated during climate-resilient infrastructure construction work under Component 2. Plastic tanks and solar panels used at end of useful life will need to be disposed of.</p>	<p>Improved capture and storage of water will result in less reliance on bottled water, hence reducing plastic waste generation overall. The project will operate fully in line with Vanuatu's waste management Act N°24 of 2014 and the pollution control Act N°10 of 2013 and promote best practices in terms of waste and pollution management. A guideline for safe disposal of batteries and solar panels is currently being drafted by the Vanuatu Department of Energy and should be finalised by the end of this year. This will be based off of the Department of Energies Environmental Code of Practice for the</p>

	<p>Solar Home systems and Solare Micro-grids system that was established for the Vanuatu Resilient Energy Project. The project will follow these guidelines in the case the national guidelines are not finalised by inception. As such disposal of batteries and solar panels will be in line with this guideline with adequate training provided to communities during the operation and maintenance training which forms part of the water committee management training to ensure communities can safely dispose of batteries and solar panels as required. Disposal of waste (incl. plastics) will be done accordingly during the project implementation and once the project ends (through a disposal plan) to avoid environmental impacts. Consideration of recycling options will be incorporated into the project.</p>
<p>GHG Emissions - The project will involve both international and local travels, transport by road or boat of construction materials, and concrete construction, all of which will generate greenhouse gas (GHG) emissions. Some negligible risk of increased GHG emissions can occur from construction/transportation activities.</p>	<p>Whenever possible, travels and transportation will be avoided, for instance by promoting virtual consultations or discussions over the phone, purchasing materials close to the areas of interventions, and through capacity building and leveraging provincial staff and trades. When not avoidable, greenhouse gas emissions would be reduced to the extent possible. Along with SPC travel policy, all residual emissions from travel will be offset through SPC carbon neutrality funds.</p> <p>Works will be undertaken during daylight hours, eliminating the need for flood lighting and its GHG emission.</p> <p>Local community members will be hired to do manual labour, where possible, over hiring large firms with mechanical equipment.</p>
<p>Fire / Building Hazards - Construction of shelters, stands, pipe laying have inherent physical risks.</p> <p>CAP requests deploying solar systems will carry some increased risk of fire given the electrical systems being utilized.</p>	<p>Construction will be performed under direction of trained and qualified supervision. Safety protocols should be trained and adhered to.</p> <p>For solar deployments, the project will ensure that appropriate training for operations, maintenance, and safety are incorporated into project design, and further that all project deployments utilize high-quality devices and are installed according to relevant safety codes and procedures.</p> <p>Safety switches will be installed on circuitry of all electrical components and comply with ILO standards for safety. .</p>
Social risks/impacts	Possible Mitigation Measures
<p>Limited community ownership of sub-projects - There is a risk that some community members may not be consulted sufficiently in the Drinking Water Safety and Security Plans (DWSSPs) development process, in the</p>	<p>Standard (Climate change and Disaster risk reduction (CC&DRR) practice and processes¹³ follow a bottom-up approach where consultations at the community/beneficiary level are conducted to define issues and interventions as well as solicit community engagement and ownership. For DoWR, the DWSSP process is the</p>

¹³ Link to the DWSSP guide that ensures a bottom-up approach that facilitates community involvement - https://mol.gov.vu/images/News-Photo/water/DoWR_File/Monitoring_Evaluation/190529_-_DWSSP_Facilitators_Guide.pdf

<p>no- and low-costs improvements or the infrastructure implementation and construction. Such community members could then perceive they did not receive enough opportunities to raise any concerns they have.</p>	<p>platform for engagement and decision making at the community level in terms of water related projects.</p> <p>The development of DWSSPs will be done following an already well-developed participatory and inclusive methodology. DWSSP development is led by the communities themselves (through a local water committee) with the help of trained facilitators. Facilitators will be trained to identify vulnerable groups (women, children, the elderly and people with disability) to ensure all views are heard. The project includes refresher training to facilitators, which will ensure the DWSSP methodology is correctly applied and that populations will be fully consulted and can express any concern. A role of the local water committees will be to hear and deal with any concerns from the populations. An appropriate grievance mechanism will also be set up during the project preparation stage to allow for any remaining concerns to be addressed through the SPC complaint and grievance redress mechanism. Access will be ensured to anyone in the community (through phone and internet) and a pro-active methodology such as Problem Wall / Solution Tree, or Community Scorecards will also be used. Again, gender and social inclusion will be taken into consideration as part of this grievance mechanism.</p> <p>As detailed below, if project screening indicates a CAP request is likely to have potential or minimal risk levels, SPC will work with the selected DWSSPs community proponents to develop a specific ESMP.</p> <p>SPC will provide technical assistance for project proposal development and sub-project implementation to support effective E+S risk identification and mitigation</p> <p>The architecture for the project grant mechanism has several checks in place as explained in the feasibility study to ensure that the priorities and needs of the local municipalities are reflected in the CAP request design included requirements for community consultations, community letters of support, and participatory governing bodies.</p>
<p>Community / tribe disputes - There is a risk that use of water supply is disputed between villages / communities / tribes, particularly when shared sources are considered to be 'owned' by a particular tribe.</p>	<p>The DWSSP and NIP processes include acknowledgement of previous disputes and intentional sabotage.</p> <p>The PMU will manage the GRM, utilizing formal, informal and traditional grievance procedures suitable to the Vanuatu context. Generally, complaints and disputes will be resolved at the community level as much as possible (through Discussions/ agreements/ mediations). Grievances may be firstly referred to customary conflict mediation arrangements where appropriate, so long as they are not directly affiliated with leaders who are party.</p>

	Through ESMP processes for the approval of CAP projects extensive consultations will be carried out at community levels and involve upstream and downstream parties to account for any disputes.
<p>Land disputes - ‘Custom (Kastom)’¹⁴ land’ disputes are long standing in Vanuatu. ‘Kastom land’ means land owned or occupied, or land in which an interest is held, by one or more persons in accordance with the rules of the Kastom (language and cultural norms/practices). Kastom owners means any lineage, family, clan, tribe, individual or other group who are regarded by the rules of Kastom in which the land is situated, as the perpetual owners of that land.</p> <p>There is a vast diversity in cultural beliefs across Vanuatu, with the population adhering to both Christian values and Kastom beliefs, and speaking over 100 local dialects. As such, there is often perceived grey areas over where land of one Kastom begins and another ends, resulting in land disputes between communities.</p> <p>Compounding this was the result of independence in 1980. The new Constitution restored the perpetual land rights of indigenous Kastom owners and their descendants, providing that the rules of Kastom form the basis of land ownership and use in Vanuatu. This directly overthrew long standing free hold agreements under the previous Constitution. As such, long term lease arrangements were made between Kastom owners and freeholders. However, a lot of leases since independence were made informally</p>	<p>As per the above the DWSSP and NIP processes account for community disputes, including land disputes. As such the nuances of all disputes will be reflected in the DWSSPs. Where there are significant disputes ongoing (between communities etc) these will be addressed through the Custom Land Management Act (2013 amendment 2021). In addition to this, the DWSSP process is bottom up and extensive community consultations will be carried out for each DWSSP design to account for all community member perspectives. In the case that there is any issue related to land dispute arises in relation to a DWSSP, The PMU will manage the GRM, utilizing formal, informal and traditional grievance procedures suitable to the Vanuatu context. Generally, complaints and disputes will be resolved at the community level as much as possible (through Discussions/ agreements/ mediations). Grievances may be firstly referred to customary conflict mediation arrangements where appropriate, so long as they are not directly affiliated with leaders who are party.</p> <p>In the case of CAP proposals developed under the project, it is noted that technologies to be included are largely focused on home and community centred systems that are located in or in the direct vicinity of community lands. As such, technologies are not envisioned to encounter issues related to land disputes. Further, all community constructions will be widely consulted to ensure there is no conflicts and a MoU will be signed between DoWR and the community leaders and land owners to secure the land that is used for the water supply system and to allow access for operation and maintenance purposes. Any conflict or land disputes includes any potential for economic displacement of persons or communities from the development of infrastructure. The proposed water system design will be posted for a no objection period to enable community members opportunity to object on the Water Infrastructure location before an MOU can be signed. In the case that a development may come under a land dispute, sub-project design processes have been designed to have extensive checks in place to ensure that land disputes in relation to selected development areas are 1) identified early and 2) procedures in place to prevent investment in any developments that would be subject to dispute or grievance.</p>

¹⁴ Kastom is the mixture of social structures, values, and practices perceived as traditional in Vanuatu

<p>or too quickly for full understanding of the Kastom owners. This has resulted in a second layer of complexity to land rights. Disputation processes are long standing and can last for many years as a result of these factors.</p> <p>Due to the complexity in ownership rights there is potential that some of the operations in this project could fall under areas of land dispute.</p>	<p>To identify land disputes early, the screening form presented in Annex 1 will carryout a first level assessment to identify any on-going or potential disputes. Following this, all sub-projects that may have social or environmental harm will follow GCF disclosure protocols and be posted for no objection in local areas in accessible language. If objection is received, proponents will need to act accordingly to settle the matter or relocate the proposed site to an undisputed site. As a secondary check, all proposals will go through both PWRAC and NWRAC review, who will assess any potential for land dispute and ensure appropriate due diligence was followed in the design process to avoid any potential disputed areas. Further, as above, all CAP proposals/sub-projects will be managed through the GRM process accordingly. In the case of any grievance received then all development will cease until the matter is resolved as according to relevant national and sub national policy/regulation.</p>
<p>Working conditions - Although planned interventions are not significant in scale or likely to require specialised equipment that is unusual to construction, some activities (infrastructure improvements or new infrastructure) under Outcome 2 may generate potential risk of injuries or health complications during construction work. Occupation health and safety concerns may be an issue for some projects under Outcome 2.</p> <p>Working under close quarters and inside offices in projects may increase the risk of infection by the COVID 19 virus.</p> <p>The national working age in Vanuatu is determined as 14, including for hazardous work. This is below the International Labour Organisation's (ILO) standard of 15. As such, there is a risk that children under 15 are employed by third party service providers. However, the work entailed under the project is not classified as dangerous work and therefore this risk</p>	<p>The programme will ensure that stakeholders and involved partners are not exposed to any health and safety risks. This will be further assessed and evaluated in particular for the CAP requests under Component 2 during the CAP request E&S screening process (See Annex 1). CAP requests (component 2) will be screened for their adequacy with ILO regulations. All contracting and labour conducted under the project will comply with the Vanuatu Employment Act that specifies legislation on working conditions including laws mitigating unhealthy or unsafe working conditions and forced or childe labour.</p> <p>The project will ensure adequate health and safety requirements are set out and adhered to during each step of the activity's implementation, and in particular for infrastructure-related work under Component 2. Safety equipment, if needed, will be procured.</p> <p>Remedial actions include: provide workers with personal protective equipment, ensure adequate training, abide by relevant laws, and have emergency plans.</p> <p>All project employees will abide by government endorsed COVID 19 safety measures, wear protective equipment (masks etc), and maintain social distancing in the office space in accordance with government regulations present at the time. The project coordinator will closely monitor the COVID 19 situation in country and amend COVID 19 operating procedures accordingly, in compliance with government regulations.</p>

is not deemed high.	Through the project, the AE will pass down its recruitment policy that is compliant with GCF and ILO standards through its Subsidiary Grant Agreement with the EE. As such the EE will be legally bound to ensure that no contracts are provided to service providers that are not compliant with GCF or ILO standards. This will be monitored by the Procurement Officer within the PMU through the procurement process.
Cultural heritage and indigenous identity - Under some unlikely circumstances, some activities such as building new climate-resilient infrastructure, if not conducted properly and without significant enough stakeholder engagement, could negatively affect cultural heritage sites or impact indigenous people's identity.	<p>A large proportion of activities will be community led and driven through the DWSSP process. By incorporating significant and iterative stakeholder engagement for climate-resilient infrastructure design and implementation, the project will be able to mitigate any risks of damaging cultural heritage and will work to support traditional cultural practices. By carrying out ESS screening and ESIA's in conjunction with stakeholder engagement cultural sites and sites of importance to indigenous peoples should be identified in a timely manner. If it is assessed there could be a risk to indigenous communities' identity or way of life, then GCF FPIC procedures will be employed.</p> <p>The project will acknowledge and adhere to any cultural heritage beneficial water uses.</p>
Gender mainstreaming - The project will be an entry point for gender inclusivity - building on the DWSSP and other processes and strengthening inclusion and gender sensitive outputs. The project aims for positive impacts on gender equality and improving the situation of women and girls with regard to access to safe drinking water in the face of climate change.	<p>Women in Vanuatu share a disproportionate burden from water shortages, given the critical roles they play in household for securing and utilizing safe and sufficient water for the family. The project will increase the security and accessibility of fresh water for households and communities, including for women and girls who will also spend less time collecting water for their families.</p> <p>Water committees will be increasingly empowered throughout the project, of whom a minimum 40% female membership is mandatory. The project will provide improved climate resilient water supply to communities, including women led households. Increased water security will increase food, water sanitation and hygiene, and income security of women and girls. It will bring water access points closer to the point of use which will facilitate the life of households.</p> <p>Gender separate plumbing training will enable women enhance their trade skills in a safe and enabling environment. It will also eliminate the risk of domestic violence resulting from mixed gender workshops.</p>
Sexual Exploitation, Abuse and Harassment (SEAH) - Project staff, consultants, facilitators and service providers will be required to stay in or near communities for prolonged training sessions or technical assistance. This can place them in a position of relative power with	<p>All staff conducting training and activities directly with communities will be trained on the Prevention of SEAH principles and Standards as in alignment with GCF policies. In addition to this, the ESS Officer will build SEAH protocols into the DWSSP processes and provide a training to DWSSP facilitators and consultants through scheduled trainings. They will then pass this down to trainings at community levels.</p> <p>Whilst the risk of SEAH is deemed to be low due to the trainings and</p>

regards to the distribution of project inputs and increases the risk of committing SEAH breaches or even Gender Based Violence (GBV) offences. In addition to this, community members may not be aware of the SEAH policies that project related employees or contractors are obliged to follow, or Grievance Redress Mechanisms (GRM) that are available to them.	policies imposed on the project, the ESS Officer will ensure that all communities engaged are made aware of the GRM systems presented in Section 8.3 below. The project will post a multi-level GRM mechanisms and include a specific SEAH protocol to ensure a survivor centred approach is in place. This will allow for survivors to select multiple avenues to file a grievance. Varied options for grievance redress enhances confidence in the survivor to come forward and log a formal complaint and be assured that the perpetrator should not be involved in a specific GRM process as well as ensuring them of protection and confidentiality.
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7. Environmental and Social Action Plan

Of the three components, only some activities under Component 2 have the potential for medium level risk of environmental and social impacts that will require risk mitigation. Risks under Component 2 will be primarily addressed during the individual CAP requests screenings and Environmental and Social Impact Assessments. The Environmental and Social Action Plan below summarizes the key risks for the project activities, mitigation measures for those risks and a monitoring plan to ensure risks are adequately monitored throughout implementation (Table 4).

Project risks have been identified and ranked by risk level according to SPC's SER procedures. This is classed into a three-level risk score that corresponds to the International Finance Cooperation (IFC) definitions on risk categorisation¹⁵.

- Low risk is equivalent to IFC Category C classification: "activities with **minimal** or no adverse environmental or social risks and/or impacts".
- Medium risk is equivalent to IFC Category B classification: "activities with **potential** limited adverse environmental or social risks and/or impacts that are few in number, generally site-specific, largely reversible, and readily addressed through mitigation measures".
- High risk is equivalent to IFC Category A classification: "activities with potential significant adverse environmental or social risks and/or impacts that are diverse, irreversible, or unprecedented".
 - Note that no activities under this project will be funded that fall into high-risk classification.

As per the SPC SER Policy, any project that has one or more identified risks that falls within the medium risk category will be classed a medium risk overall. As per table 4 this project is therefore classed as medium risk overall.

Despite this, medium risks are estimated to impact <10% of projects funded by the CAP. Every CAP funded project will have an ESS screening form that will provide an assessment of risk levels (as above) across all eight of the performance standards. If any of these assessments indicate a minimal ESS risk, it will trigger development of ESIA and ESMP documentation as described in Section 5.2 and annexes 2,3 and 5.

¹⁵ https://www.ifc.org/wps/wcm/connect/topics_ext_content/ifc_external_corporate_site/sustainability-at-ifc/policies-standards/es-categorization

Table 4: Project level Environmental and Social Action Plan.

IFC Performance Standard	Risk Identification	Mitigation Measures	Monitoring responsibilities and frequency	Risk classification
<p>PS 1: Environmental and Social Risks and Impacts</p> <p>Importance of (i) integrated assessment to identify the environmental and social impacts, risks, and opportunities of projects; (ii) effective community engagement through disclosure of project information</p>	<p>1. E+S capacity of local authorities and selected DWSSPs community proponents. National stakeholders developing projects have limited capacity to identify and manage E+S risks in their projects</p>	<p>1. Capacity to identify the environmental and social impacts, risks</p> <p>The current list of water system infrastructures eligible for CAP requests are indicative. Each CAP request may include one or more of these solutions. Each CAP nomination will undertake individual screenings (see Annex 1 below) and for requests that exhibit potential or minimal risks, ESIA's will be carried out to ensure that there is proper assessment and management of environmental and social risks and impacts.</p> <p>If project screening (see Annex 1) indicates a CAP request is likely to be have potential or minimal risks, the PMU will work with the selected DWSSPs community proponents to develop a specific ESMP and submit the ESIA (annex 3). Focused training and capacity building will be provided to the selected DWSSPs community proponents. In addition, the PMU will provide technical assistance to support effective E+S risk identification and mitigation.</p> <p>SPC's Social and Environmental Responsibility Policy (SER Policy) and Environmental and Social</p>	<p>Project Manager with assistance of the ESS Officer will assess CAP processes against SPC and GCF ESS standards.</p> <p>1X project inception report</p> <p>Annual assessment</p> <p>Project Manager with assistance of MEL Officer will carry out assessments that SEP has been followed</p>	<p>Medium (Likelihood - High; Consequence - Medium)</p> <p>After mitigation: Low</p>

IFC Performance Standard	Risk Identification	Mitigation Measures	Monitoring responsibilities and frequency	Risk classification
and consultation with local communities on matters that directly affect them; and (iii) management of environmental and social performance throughout the life of the project.		Management System as well as Vanuatu's regulations on Environmental Impact Assessments (Annex 3) will underpin each of the CAP requests to ensure effective management. Overall, with these policies, the project isn't likely to have any significant risks against this standard.	1X project inception, Annual assessment	
	2. Community engagement. Lack of effective community engagement through disclosure of project information and consultation with local communities on matters that directly affect them	2. Effective community engagement will be employed over the project. A stakeholder assessment and mapping were conducted in design, and a specific stakeholder engagement plan has been undertaken as part of the feasibility study and are included as Annex 7 of the Full Proposal and added as Annex 6 to this document.	Project Manager with assistance of MEL Officer will carry out assessments that SEP has been followed Annual assessment	Low (Likelihood - Low; Consequence - Low) After mitigation: Low
	3. People's access to natural resources and their means of livelihoods. The project will support vulnerable communities to	3. The project will only implement activities that have been identified in DWSSPs and endorsed by the communities. Technical assistance will be made available through the DWSSP process for activities such as facilitating resolution of conflicts around water catchment protection or land-use issues. Technical guidance and materials for small-scale	Project Manager with assistance of the ESS Officer	Medium (Likelihood - Medium; Consequence - Medium)

IFC Performance Standard	Risk Identification	Mitigation Measures	Monitoring responsibilities and frequency	Risk classification
	implement no and low-cost activities identified in their DWSSPs (see output 1.4). Some of these activities may be about preventing degradation of water catchments to limit erosion (e.g. fencing and passing local protection by-laws) or protecting water sources from contamination (e.g. livestock and latrines), thereby possibly limiting access to such areas (for instance by prohibiting cattle grazing nearby).	ecological restoration/ rehabilitation or fencing will be provided, as well as the organization of workshops and practical training to improve land use and coastal management practices to enhance the resilience of water safety and security, and the adaptation of water system designs to cater for the needs of fringe communities, where applicable. In some cases, new water extraction systems may be sought by communities. In the case of that access restrictions are placed on the community through DWSSPs (e.g. grazing rights or seasonal closures on certain water sources) the DWSSP will include a monitoring protocol and an appeal process to ensure the needs of the community are weighed against the impact of the access restrictions. This provision of additional information will enable RWCs to adapt implementation of DWSSPs to account for community needs if access is contested.	Annual assessment	After mitigation: Low
	4. Unsustainable exploitation of	4. New wells and boreholes will not be considered for this project unless sufficient data and a supporting	Project Manager with assistance	Medium (Likelihood -

IFC Performance Standard	Risk Identification	Mitigation Measures	Monitoring responsibilities and frequency	Risk classification
	resources. All programme activities will aim at improving the sustainable use of water resources. The construction of new boreholes (as part of component 2) could bring the risk that groundwater abstraction might not be sustainable.	<p>water balance can illustrate the sustainability of abstraction from a particular groundwater source. Therefore, no activities should result in water tables being depleted that could have adverse impacts on freshwater sources.</p> <p>Communities will be provided with training to monitor groundwater levels as part of the operation and maintenance training within the Water Committee Management training. They will be shown how to enter data into an online form that will be linked to the DoWR information management system which will assist DoWR to give assistance and technical advice to communities regarding sustainable water management especially during drought conditions. This will ensure groundwater resources are not depleted beyond unsustainable levels and provide the opportunity to manage or mitigate the risks as they arise.</p>	of the ESS Officer Annual assessment	Medium; Consequence - Medium) After mitigation: Low
PS 2: Labour and Working Conditions Employment creation and	1. Poor labour and working conditions. Construction phase: Although planned interventions are not significant in	1. The project will ensure that stakeholders and involved partners are not exposed to any health and safety risks. This will be further assessed and evaluated in CAP requests under Component 2 during the CAP request E&S screening process (See Annex 1). CAP requests (component 2) will be screened for	Project Manager with assistance of ESS Officer will assess that ILO regulations are followed in	Low (Likelihood - Medium; Consequence - Low)

IFC Performance Standard	Risk Identification	Mitigation Measures	Monitoring responsibilities and frequency	Risk classification
income generation should be accompanied by protection of the fundamental rights of workers (as guided by the International Labour Organization (ILO) Conventions)	scale or likely to require specialised equipment that is unusual to construction, some activities (infrastructure improvements or new infrastructure) under Component 2 may generate potential risk of injuries during construction work. Occupation health and safety concerns may be an issue for some projects under Component 2.	<p>their adequacy with ILO regulations. All contracting and labour conducted under the project will comply with the Vanuatu Employment Act that specifies legislation on working conditions including laws mitigating unhealthy or unsafe working conditions and forced or child labour</p> <p>The project will ensure adequate health and safety requirements are in place during each step of the activity's implementation, and in particular for infrastructure-related work under Component 2. Safety equipment, if needed, will be procured. In addition, barricades will be in place during construction phases to protect against accidents of either constructions workers or with community members.</p> <p>Remedial actions include: provide workers with personal protective equipment, ensure adequate training, abide by relevant laws, and have emergency plans. This includes the use of COVID safe protocols and protective measures (use of face masks, provisional of hand sanitiser and employment of social distancing wherever possible).</p>	<p>all project funded works</p> <p>Annual assessment</p>	After mitigation: Low
	2. Discriminatory hiring practices for	2. Any contracting and employment will be done in line with SPC's procurement standards in order to	Procurement and Finance	Low (Likelihood - Medium;

IFC Performance Standard	Risk Identification	Mitigation Measures	Monitoring responsibilities and frequency	Risk classification
	programme activities. As in any projects, the procurement and implementation of some activities may respectively be biased or hampered with adverse discriminatory practices thereby undermining the goals of the project to promote sustainable and equitable resilience to climate change in the water sector.	<p>avoid any averse discriminatory practices. The project as a whole will seek to leverage its works and services contracts to actively promote non-discrimination and equal opportunity hiring practices aligned with relevant policies in Vanuatu. Whenever appropriate, specific requirements for local hiring and gender equality considerations will be used for the terms of reference. Any potential risk of discrimination through labour and employment conditions will be mitigated and dealt with accordingly.</p> <p>None of the project activities could cause negative impacts on human rights and will avoid any use of forced or child labour.</p>	<p>Officer will assess all contracting throughout the project.</p> <p>Assessment of the contracting processes against SPC standards at MTR stage.</p>	<p>Consequence - Low)</p> <p>After mitigation: Low</p>
	3. SEAH and GBV risks associated with trainers, facilitators and service providers being based in communities under	3. The project, through the ESS Officer, will ensure that SEAH and GBV risk mitigation factors are included into the new DWSSP processes. Additionally, through training of facilitators, consultants, and service providers the ESS Officer will provide a brief on the SEAH policy of the GCF for all funded	Project Manager with assistance of ESS Officer will assess that GCF SEAH Policies are followed in all	<p>Low (Likelihood - Low; Consequence - medium)</p> <p>After mitigation: Low</p>

IFC Performance Standard	Risk Identification	Mitigation Measures	Monitoring responsibilities and frequency	Risk classification
	a position of power in relation to project outputs.	<p>activities and highlight that this is passed down to any actors involved in project activities.</p> <p>The project will provide a multi-avenue GRM that will enable any survivors of SEAH and GBV to raise any grievance in a manner they feel most comfortable and protected. A specific SEAH GRM protocol is established under this document to ensure confidentiality and consensus of GRM processes is obtained at each step of the grievance process.</p>	<p>project funded works and will continually monitor and assess any grievance cases to provide full duty of care to survivors and ensure that confidentiality and consensus is maintained.</p> <p>Annual assessment, supervision support missions and continual project monitoring.</p>	
	4. The national working age in	4. Through the project, the AE will pass down its recruitment policy that is compliant with GCF and	Procurement and Finance	Low (Likelihood - Low;

IFC Performance Standard	Risk Identification	Mitigation Measures	Monitoring responsibilities and frequency	Risk classification
	Vanuatu is determined as 14, including for hazardous work. This is below the International Labour Organisation's (ILO) standard for hazardous work which is set at 15. As such, there is a risk that children under 15 are employed by third party service providers for hazardous work outside of international standards. However, the work entailed under the project is not classified as hazardous and therefore this risk is deemed to be low.	ILO standards through its Subsidiary Grant Agreement with the EE. As such the EE will be legally bound to ensure that no contracts are provided to service providers that are not compliant with GCF or ILO standards. This will be monitored by the Procurement Officer within the PMU through the procurement process.	Officer will assess all contracting throughout the project. Annual of the contracting processes against SPC standards.	Consequence - medium) After mitigation: Low

IFC Performance Standard	Risk Identification	Mitigation Measures	Monitoring responsibilities and frequency	Risk classification
	This includes activities across the value chain for the procurement of goods.			
<p>PS 3: Resource Efficiency and Pollution Prevention</p> <p>With any potential impacts of pollution to air, water, and land, the sub-project and its activities should identify resource efficiency and pollution prevention and</p>	<p>1. Pollution to waterways and land during construction phase of certain activities. All constructions have some impacts (e.g. noise, dust, erosion, spread of weeds, potential to discover contamination).</p>	<p>1. The proposed construction activities are unlikely to have significant impacts. Noise will occur through the use of construction equipment. This can impact on local communities using the adjacent area. The project will promote best practice in terms of construction, safety and waste management. Best practice construction practices to be adopted include:</p> <ul style="list-style-type: none"> • An assessment should consider any sensitive receptors; • construction activities to occur during daylight hours only; • sediment and erosion control; and • fuel management, waste minimisation, etc. <p>The project will use a mitigation hierarchy approach to anticipate, avoid, or mitigate any identified potential pollution pathways. In general, there is</p>	<p>Project Manager with assistance of MEL Officer and Procurement and Finance Officer will assess that DoWR and SPC standards are met throughout implementation. Continual with annual assessment</p>	<p>Low (Likelihood - Low; Consequence - medium)</p> <p>After mitigation: Low</p>

IFC Performance Standard	Risk Identification	Mitigation Measures	Monitoring responsibilities and frequency	Risk classification
control measures.		expected to be no to low pollution caused by project activities, and CAP projects will prioritise activities that minimize or avoid environmental impact such as pollution. However, where projects are identified to have potential higher impacts, specific ESIs with dedicated ESMPs will be generated with tailored mitigation measures. The project will ensure any impact is identified and assessed and that progress through implementation is tracked over time.		
	2. Generation of waste. Some waste will be generated during climate-resilient infrastructure construction work under Component 2. Plastic tanks, solar panels and batteries used at end of useful life will need to be disposed of.	<p>2. Improved capture and storage of safe drinking water will result in less reliance on bottled water, hence reducing plastic waste generation.</p> <p>The project will operate fully in line with Vanuatu's Waste Management Act N°24 of 2014 and promote best practices in terms of waste management (the act will be updated in 2022/23 and will apply to the project). Disposal of waste (incl. plastics and construction materials) will be done accordingly during the project implementation and once the project ends (through a disposal plan) to avoid environmental impacts. Consideration of recycling options will be incorporated into the project.</p> <p>Plastic tanks and liners have a lifespan of 10-30 years, depending upon the material composition and</p>	<p>Project Manager with assistance of MEL Officer and Procurement and Finance Officer will assess that DoWR and SPC standards are met throughout implementation.</p> <p>Continual with annual assessment</p>	<p>Low (Likelihood - Medium; Consequence - Low)</p> <p>After mitigation: Low</p>

IFC Performance Standard	Risk Identification	Mitigation Measures	Monitoring responsibilities and frequency	Risk classification
		<p>the degree of exposure to UV. Measures to protect plastic tanks/bladders from UV will be considered prior to set up.</p> <p>Solar panels have a lifespan of 20+ years if maintained appropriately. Auxiliary equipment (controllers, inverters, pumps) have a lifespan of approximately 10 years. The disposal or recycling of solar components will be carried out in alignment with the ‘Environmental Code of Practice for Solar Home Systems and Solar Micro-Grid Systems’¹⁶ established by the Government of Vanuatu’s Department of Energy. This accounts for the safe removal, transport, and disposal/recycling of solar components, and batteries which have potential to be a hazardous waste. These practices and processes will be embedded in the updated Vanuatu’s Waste Management Act over 2022/23 and will apply to all Government operations including this project. The ESS Officer will ensure that all operations incorporating solar panels are compliant with these procedures and the Waste Management Act.</p>		

¹⁶ <https://doe.gov.vu/images/docs/publications/Environmental%20Code%20of%20Practice%20for%20Solar%20Home%20Systems.pdf>

IFC Performance Standard	Risk Identification	Mitigation Measures	Monitoring responsibilities and frequency	Risk classification
	3. No pollutants or chemicals are expected to be released or used during the project. However, there is minimal risk that oil spills from machinery may occur during construction.	3. No harmful chemicals or materials will be used in construction. Machinery selected for construction should be selected on highest standards and safeguards (use of machinery in safe conditions, halting operations if a leak/or mechanical fault is identified, clean-up procedures) put in place in case of the occurrence of a spill. The greenhouse gas contributions of solar powered water pumping and desalination systems will be significantly lower than the conventional alternatives using diesel power and therefore the project contributes to the avoidance of pollution by combustion.	Project Manager with assistance of MEL Officer and Procurement and Finance Officer will assess that DoWR and SPC standards are met throughout implementation. Continual with annual assessment	Low (Likelihood - Low; Consequence - Low) After mitigation: Low
PS 4: Community Health, Safety, and Security Project-level actions to avoid or minimize the	1. Emergency preparedness and response. Given Vanuatu's climate risk profile, project activities will face elevated risks for	1. All activities will be designed to be responsive to Vanuatu's climate risk profile paying particular attention to flooding and other vulnerabilities when selecting geographies, practices, and technologies. The prioritized communities will identify climate-resilient infrastructures based on their needs in DWSSP, which will be then prioritized and ranked by PWRAC. The CAP request will be designed and	The Project Manager with support from the ESS Officer and Engineer will assess that DWSSPs are designed in alignment with	

IFC Performance Standard	Risk Identification	Mitigation Measures	Monitoring responsibilities and frequency	Risk classification
risks and impacts to community health, safety, and security that may arise from sub-project related-activities, with particular attention to vulnerable groups.	emergencies and natural disasters.	<p>implemented to optimally respond to specific local vulnerabilities and localized adaptation priorities to improve the health, safety, and security of local communities.</p> <p>This project enhances Ni-Vanuatu's access to water which support the right to water specifically for vulnerable and rural communities. It aligns to the social policy objective 4 of Vanuatu National Development Plan (NSDP) which states "An inclusive society which upholds human dignity and where the rights of all Ni-Vanuatu including women, youth, the elderly and vulnerable groups are supported, protected and promoted" and Environmental policy 4 of the NSDPA nation which calls for "utilisation and sustainable management of land, water and natural resources".</p> <p>The project will improve the existing Drinking Water Safety and Security Plans (DWSSP) process to better account for climate change, gender and social inclusion. This project targets the vulnerable rural communities across Vanuatu and aims to address the current disadvantages they are facing by addressing the issue of water insecurity. It aims to provide equitable water security outcomes. Through this approach, the project will actively improve water</p>	<p>the strengthened ESS processes and approved design standards under the project.</p> <p>Monitoring will occur through individual DWSSP development and annual assessment of compliance across portfolio made annually</p>	

IFC Performance Standard	Risk Identification	Mitigation Measures	Monitoring responsibilities and frequency	Risk classification
		<p>systems to avoid utilisation of unsafe water and increase provisioning of water to communities. This directly contributes to improved community health, safety and security.</p> <p>Further, as above, ESMP and or ESIAs will be conducted for each CAP project prior to implementation. The process will therefore anticipate any potential harm to health or communities and ensure that this is avoided through implementation.</p>		
	2. Community conflict. Most of the activities will not create or exacerbate conflicts with or within affected populations. However, some no and low costs activities identified in DWSSPs (see output 1.4) include	2. The project will only implement activities that have been identified in DWSSPs and endorsed by the communities through appropriate consultation. The project will take an Integrated Water Resources Management (IWRM) approach that considers issues of traditional ownership and stewardship roles, as well as gender considerations and the needs and participation of vulnerable groups. The consultation and participative approaches contained in Government's DWSSP process will help resolving conflicts around water catchment protection or land-use. Potential perceived favouritism will be	The Project Manager with support from the ESS Officer and Engineer will assess that DWSSPs are designed in alignment with the strengthened ESS processes and approved	<p>Low (Likelihood - Low; Consequence - Low)</p> <p>After mitigation: Low</p>

IFC Performance Standard	Risk Identification	Mitigation Measures	Monitoring responsibilities and frequency	Risk classification
	land-use change to prevent degradation of water catchment and limit erosion (e.g. fencing and passing local protection by-laws) or protecting water sources from contamination (e.g. livestock or latrines). This action may limit access to specific areas or place constraints on some specific land uses for the good of the community (for instance by prohibiting cattle grazing nearby). Conflict may also result from perceived favouritism	mitigated by transparent and objective risk ranking and capital provision process.	design standards under the project. Monitoring will occur through individual DWSSP development and annual assessment of compliance across portfolio made annually	

IFC Performance Standard	Risk Identification	Mitigation Measures	Monitoring responsibilities and frequency	Risk classification
	regarding funding allocations.			
	3. Increased community exposure to disease. The creation of water bodies (storages) can provide potential breeding grounds for mosquitoes. This can also occur in construction sites with impounded water. Vector borne diseases such as malaria or dengue are already known in Vanuatu	<p>3. The project will increase access to water whilst simultaneously reducing exposure of the community to water-borne disease via protection measures. All efforts will be undertaken to manage any pest or vector species. Water drainage, storage and sources will be improved, reducing stagnant water. Tanks will be designed to be enclosed (also prevents other contaminants entering) and have mosquito mesh over potential access points. Vanuatu already has an active community program regarding mosquito and other disease vectors run by the Ministry of Health and supported by NGOs. The project can build on these precautions when and where appropriate.</p> <p>Suggestions that came up during the consultations included the need to ensure wastewater or drains are incorporated into designs to avoid standing water from pooling around communal tap stands, showers etc creating additional WASH issues. DoWR standard drawings / designs already include drainage and other protections for tank stands and tap stands - this project will ensure that these standards are followed, and the sufficient drainage constructed.</p>	<p>The Project Manager with support from the ESS Officer and Engineer will assess that DWSSPs are designed in alignment with the strengthened ESS processes and approved design standards under the project.</p> <p>Monitoring will occur through individual DWSSP</p>	<p>Low (Likelihood - Low; Consequence - Medium)</p> <p>After mitigation: Low</p>

IFC Performance Standard	Risk Identification	Mitigation Measures	Monitoring responsibilities and frequency	Risk classification
		The Project will also ensure that all national construction regulations are followed and that no standing water is left at construction sites. This will be incorporated in to service provider contracts to pass on obligations and ensure that correct regulation and protocol is followed. This will be monitored through implementation, where site checks are carried out. In the case any standing water is identified the service provider will be contractually bound to drain the area and carry out works to ensure that no standing water can remain at the site.	development and annual assessment of compliance across portfolio made annually	
PS 5: Land Acquisition and Involuntary Resettlement Project-related land acquisition and restrictions on land use can	1. Physical or economic involuntary resettlement/displacement. The project will not involve the physical relocation of people. It might however support already relocated communities to sustainably access	The programme categorically excludes any activity that results in involuntary resettlement /land displacement or economic displacement. Indeed, it may assist communities return to traditional areas / abandoned villages. It will ensure that no activity is carried out that could result in physical or economic displacement. An ESS screening will be carried out for any proposed water system design. Where applicable, full ESIA and ESMP (projects with minimal or potential impacts) will be posted for a no objection period to enable community members	The Project Manager and ESS Officer will continually monitor project grievances and report in APRs accordingly	Low (Likelihood - N/A; Consequence - Medium) After mitigation: Low

IFC Performance Standard	Risk Identification	Mitigation Measures	Monitoring responsibilities and frequency	Risk classification
have adverse impacts on communities and persons that use this land	safe and reliable water. Further, interventions implemented in this programme may enable relocated persons to return to abandoned villages.	<p>opportunity to object on the Water Infrastructure location before an MOU can be signed.</p> <p>In the case that a development may come under a land dispute, sub-project design processes have been designed to have extensive checks in place to ensure that land disputes in relation to selected development areas are 1) identified early and 2) procedures are in place to prevent investment in any developments that would be subject to dispute or grievance. As such, it is improbable that a case of physical displacement will occur.</p> <p>However, in the event of displacement, the project will offer the victim choice of a replacement property of equal or higher value, security of tenure, equivalent or better characteristics, and advantages of location or cash compensation where appropriate. In the case of economic displacement, the business owner that is victim to displacement, will be compensated for the cost of re-establishing commercial activities elsewhere, for lost net income during the period of transition, and for the costs of the transfer and reinstallation of the any equipment.</p>		

IFC Performance Standard	Risk Identification	Mitigation Measures	Monitoring responsibilities and frequency	Risk classification
	2. Peoples rights and tenure. Most of land in Vanuatu is owned by communities (limited government owned land). As a result, there is a risk for any project activity affecting a given area (e.g. infrastructure, land-use change) to negatively affect the landowner(s) if no prior discussions have been held and if no agreement has been obtained.	<p>2. The project will not require the relocation of people from their homes or lands. Community-led management framework will be created through DWSSPs so that access is equitable, transparent, and agreed by all. New infrastructure will generally be provided adjacent to existing community facilities where there is both space and existing agreements, and there is no issue of land dispute. All selected sites will be through community no-objection and carried out by wide consultation. All sub-project CAP proposals will be subject to ESS screening (including on land issues) and subjected to further assessment if required under the findings and relevant if found to have any potential Environmental or social harm. Each of these identified sites will require a site specific ESIA and ESMP. In each case the ESIA will include a conflict sensitivity assesses/analysis to ensure there are no land disputes or conflicts at proposed implementation sites. Disclosure of findings will be made according to GCF disclosure procedures to allow for objection.</p> <p>As part of the gender action plan, a gender component will be considered for community led frameworks to ensure the power relations within groups are considered.</p>	<p>Project Manager with assistance of MEL Officer will carry out assessments that SEP has been followed</p> <p>1X project inception,</p> <p>Annual assessment</p>	<p>Low (Likelihood - N/A; Consequence - High)</p> <p>After mitigation: Low</p>

IFC Performance Standard	Risk Identification	Mitigation Measures	Monitoring responsibilities and frequency	Risk classification
		<p>The project activities will not involve large infrastructural works in disputed community areas and therefore there will be no need for land acquisitions.</p> <p>In total, the provisioning of cleaner water, improved provisioning and storage and reduction of diesel-powered pumps will all increase the standard of livelihoods in target areas.</p>		
<p>PS 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources</p> <p>Protecting and conserving biodiversity, maintaining ecosystem</p>	<p>1. Impacts on biodiversity or natural habitat. Physical structures will be built but will generally have minor footprint. New wells and bores will be avoided.</p> <p>Desalination units create brine which requires discharge, increased salinity can have adverse impacts on areas</p>	<p>1. Most of the CAP requests are not expected to have significant adverse impacts on biodiversity and conservation. CAP requests that are expected to have higher impacts will develop specific ESIs that account for biodiversity impacts with tailored mitigation measures, but in general CAP requests will work to target activities that minimize environmental impact.</p> <p>Construction activities proposed are unlikely to have significant impacts. Best practice construction practices will be adopted e.g. fuel management, waste minimisation, etc. where needed.</p> <p>Siting of desalination units will consider discharge impacts - preference will be given to discharge to ocean side of islands where wave and current energy is high. Discharge sites will not be in or close to</p>	<p>Project Manager with support from the ESS Officer and Engineer will assess that DWSSPs and CAPs are designed in alignment with the strengthened ESS processes and ESS approved design</p>	<p>Low (Likelihood - Low; Consequence - Medium)</p> <p>After mitigation: Low</p>

IFC Performance Standard	Risk Identification	Mitigation Measures	Monitoring responsibilities and frequency	Risk classification
services, and sustainably managing living natural resources are fundamental to sustainable development	with limited circulation.	<p>protected areas of sensitive ecosystems such as seagrass. Desalination units will be selected for a low recovery rate to minimise an increase of salt concentration in the waste brine. Intakes will be in existing wells or new beach wells, which will eliminate risk to aquatic life. Due to the lack of national standards for brine effluent discharge, the Australian and New Zealand Guidelines for Fresh and Marine Water Quality (GFMWQ)¹⁷ will apply to the project. All sites selected for desalination will have ESIA's and site specific ESMPs quality assessed and monitored by the ESS Officer through implementation. This will include ensuring compliance with the GFMWQ standards and guidelines to ensure that all measures are taken to ensure no negative impact on the biodiversity or local ecosystems.</p> <p>Under the ESMPs, brine from the desalination units will be disposed of in accordance with these standards and effluent dispersed to areas with good flushing and fast ocean currents to assist with saline dispersal. Brine will also not be disposed of in or close to sensitive coastal environments, especially where</p>	standards under the project.	

¹⁷ <https://www.waterquality.gov.au/anz-guidelines>

IFC Performance Standard	Risk Identification	Mitigation Measures	Monitoring responsibilities and frequency	Risk classification
		<p>seagrass or sensitive reefs are present, or within protected areas.</p> <p>In the vast majority of cases, water infrastructure such as pipes and tanks will be constructed in locations where there are pre-existing inadequately designed or damaged facilities and therefore no additional footprint will occur. Rehabilitation of existing infrastructure, i.e. disused cement tanks, will be prioritised. Construction designs that minimize impact will be given priority. Opportunities to source aggregate through reusing of old structures will be investigated. No materials sourced from Vanuatu reefs or sensitive ecosystems shall be used.</p>		
	2. Impact on protected areas. None of the activities will be conducted within protected areas.	2. Works in protected areas will not be undertaken.	<p>Project Manager with support from the ESS Officer</p> <p>Continual monitoring and annual assessment</p>	<p>Low (Likelihood - N/A; Consequence - Medium)</p> <p>After mitigation: Low</p>

IFC Performance Standard	Risk Identification	Mitigation Measures	Monitoring responsibilities and frequency	Risk classification
	3. Introduce invasive alien species to the project area. When importing construction materials from abroad, transporting materials from an island, and implementing some ecological rehabilitation activities, there is a risk for the project to introduce invasive species if no mitigation measures are taken.	3. The project will operate fully in line with all biosecurity requirements that are currently in place in Vanuatu (e.g. in case of imported construction materials) and will operate with best practices in that regard (e.g. awareness-raising and materials inspection). The project activities will not be involving and/or promoting any use of invasive species. Any replanting or rehabilitation activities will be done with native plants species.	Procurement Officer will ensure all practices and standards will be assessed at MTR	Low (Likelihood - Low; Consequence - Medium) After mitigation: Low
PS 7: Indigenous Peoples	1. Exclusion of the most marginalized and vulnerable groups. Indigenous	1. The great majority of the population of Vanuatu is Melanesian (known as ni-Vanuatu). Other smaller groups of indigenous peoples include Wallisians and Futunans and i-Kiribati. The project is specifically	Project Manager with assistance of MEL officer will carry out	Low (Likelihood - Low;

IFC Performance Standard	Risk Identification	Mitigation Measures	Monitoring responsibilities and frequency	Risk classification
Indigenous Peoples may be more vulnerable to the adverse impacts associated with project development than nonindigenous communities	Peoples may be more vulnerable to the adverse impacts associated with project development than nonindigenous communities	<p>designed to support these communities and provide funds directly to the most vulnerable. For the CAP requests, a comprehensive stakeholder engagement process will be carried out as part of the application process. The risk of adversely affecting these communities is low.</p> <p>The project primarily updates existing water infrastructure and is not envisioned to carry out substantial works that may infringe on indigenous resources or land. In the cases that plans are submitted for larger works (Cat B), an ESIA will be conducted. This will include an assessment on whether the works infringe on indigenous communities and whether it could trigger the need for Free, Prior and Informed Consent (FPIC) protocols. If this is the case, FPIC protocols will be followed in compliance with GCF policies. However, this is very unlikely.</p>	<p>assessments that SEP has been followed</p> <p>1X project inception, Annual assessments</p>	<p>Consequence - Low)</p> <p>After mitigation: Low</p>
PS 8: Cultural Heritage Ensures the protection of	1. Project practices could induce changes on traditional ways of life and cultural heritage. Cultural	1. A large proportion of activities will be community led and driven through the DWSSP process. By incorporating significant and iterative stakeholder engagement for climate-resilient infrastructure design and implementation, the project will be able to mitigate any risks of damaging cultural heritage	Project Manager with assistance of MEL Officer will carry out assessments	Low (Likelihood - Low; Consequence - Low)

IFC Performance Standard	Risk Identification	Mitigation Measures	Monitoring responsibilities and frequency	Risk classification
cultural heritage in the course of project activities	<p>heritage ranging from institutions, land, and practices can be at risk from specific activities, particularly because cultural resources are not always efficiently identified and integrated into local and national planning and policies.</p> <p>Under some unlikely circumstances, some activities such as building new climate-resilient infrastructure, if not conducted properly and without significant enough stakeholder engagement, could</p>	<p>and will actually work to support traditional cultural practices.</p> <p>The screening review includes specific criteria and questions for cultural resources. The project activities are unlikely to directly impact any areas of cultural heritage value. Stakeholder engagement for CAP design will be specifically tailored to integrate cultural considerations for sub-grant activities. Activities will be designed to align with traditional cultural practices through extensive stakeholder engagement</p> <p>None of the activities will take place in a legally protected cultural heritage area.</p> <p>Cultural heritage use of water will be acknowledged and protected.</p>	<p>that SEP has been followed</p> <p>1X project inception, Annual assessment</p>	<p>After mitigation: Low</p> <p>By incorporating significant and iterative stakeholder engagement for DWSSP design and implementation , the DWSSP and NIP processes will be able to mitigate any risks of damaging cultural heritage and will actually work to support traditional cultural practices.</p>

IFC Performance Standard	Risk Identification	Mitigation Measures	Monitoring responsibilities and frequency	Risk classification
	negatively affect cultural heritage sites.			
	2. During construction there is a risk that sites of cultural significance will be uncovered.	<p>2. If any person discovers a physical cultural resource, such as (but not limited to) archaeological sites, historical sites, remains and objects, or a cemetery and/or individual graves during excavation or construction, the following steps shall be taken:</p> <ul style="list-style-type: none"> i. Stop all works in the vicinity of the find, until a solution is found for the preservation of these artefacts, or advice from the relevant authorities is obtained. ii. Immediately notify a foreman. The foreman will then notify the Construction Manager or contracting party (project PMU). iii. The contracting party will then notify the Vanuatu National Cultural Council who will then trigger a Vanuatu National Heritage Registry response through its appropriate channels. 	<p>Project Manager with assistance of MEL Officer and ESS officer will carry out assessments that SEP has been followed and that the chance find procedures is followed</p> <p>1X project inception, Annual assessment</p>	<p>Low (Likelihood - Low; Consequence - Low)</p> <p>After mitigation: Low</p>

IFC Performance Standard	Risk Identification	Mitigation Measures	Monitoring responsibilities and frequency	Risk classification
		<ul style="list-style-type: none"> iv. At the site the foreman will Record details in Incident Report and take photos of the find and delineate the discovered site or area to secure the site and prevent any damage or loss of removable objects. In cases of removable antiquities or sensitive remains, a night guard shall be arranged until the responsible local authorities take over. v. 5. Construction works could resume only after permission is granted from the Vanuatu National Cultural Council as responsible authority on these matters. 		

7.1 ESMP Budget

Allocations are consistent with costs presented in Annex 4 detailed budget sheet. The cost presented are split into two categories for each activity.

- 1) Full costs - in which the total cost of the activity line will account for implementation of the ESMP
- 2) Partial costs - ESMP and ESS related factors are built into the wider training of trainers, training of RWCs, and implementation activities outside of those with full costs. These costs are estimated to contribute on average 10% of their budget to carrying out ESS and ESMP related trainings or implementation.

Table 5: Indicative budget for ESMP implementation and monitoring

Cost category	Activity	Total (USD)
Full cost	1.2.2 ESS + GESI officer support to knowledge sharing and development of community of practice	\$ 27,477
Full cost	1.3.1 ESS + GESI expert support to DWSSP implementation as needed	\$ 84,545
Full cost	1.3.1 ESS + GESI officer support to DWSSP implementation as needed	\$ 12,682
Full cost	1.3.1 ESS+GESI officer to support DWSSP design as needed	\$ 16,050
Full cost	1.3.1 Refresher training for DWSSP facilitators	\$ 105,000
Full cost	2.1.1 Conduct ESIA when cat. B (tentatively for 20 locations), with supporting technical studies as required	\$ 67,636
Full cost	2.1.1 ESS / GESI officer support ESIA and ESMP drafting	\$ 16,909
Full cost	2.1.1 ESS + Gender officer to support update of CAP risk ranking process	\$ 171,205
Full cost	2.1.1 ESS + Gender specialist to support survey, screening, and design work	\$ 11,100
Full cost	3.1.2 ESS + GESI officer to support updates to engineering designs to incorporate ESS factors and provide training	\$ 180,000
	Subtotal full cost	\$ 692,605

Partial	1.1.1 International consultant to update DWSSP methodology & provide training	\$ 1,200
Partial	1.1.1 Two one-week training sessions of DWSSP facilitators in Port Vila including venue hire, travel and DSA costs	\$ 3,210
Partial	1.3.1 DSA for Staff time to follow up and monitoring of implementation of no and low-cost measures, 3 days average per DWSSP	\$ 5,400
Partial	1.3.1 Local travel to support DWSSP implementation	\$ 21,636
Partial	1.3.1 Provincial engineers supporting DWSSP implementation	\$ 13,500
Partial	1.3.1 Travel for follow up and monitoring of implementation of no and low-cost measures	\$ 40,000
Partial	2.1.1 Training for facilitators based on updated CAP processes incl. plumber training, water management committee training	\$ 3,805
Partial	2.1.2 MEL officer supporting monitoring and learning from infrastructure work	\$ 465,750
Partial	2.1.2 Training workshop costs for each community prior to each project (plumber + water committee training), including community mobilisation and handover ceremony	\$ 3,000
Partial	2.1.2 Travel from national level to carry out support and monitoring	\$ 3,000
	Subtotal partial	\$ 560,500
	Total	\$ 1,253,105

7.2 Exclusionary Criteria

The project will focus on developing priority adaptation projects focused on water security, however there are a number of activities that the project will not fund. A set of exclusion criteria will be implemented to ensure that all project activities are supporting priority adaptation projects aligned with GCF investment criteria and GCF ESS Category B+C. Any project that is determined to be a Category A project will automatically be excluded.

The project will not be used to directly or indirectly fund activities that:

- Have potential significant adverse environmental or social risks and/or impacts that are diverse, irreversible, or unprecedented.
- Employs any children under the age of fifteen, in alignment with the ILO definitions.
- Conflict with adopted plans and established uses of the target community.
- Substantially affect a rare or endangered species of animal or plant or the habitat of such species.
- Interfere substantially with the movement of any resident or migratory fish or wildlife species.
- Substantially diminish habitat for fish, wildlife, or plants.
- Breach standards relating to solid waste or litter control.
- Substantially degrade water quality.
- Contaminate a public water supply.
- Substantially degrade or deplete ground water resources.
- Interfere substantially with ground water recharge.
- Extend a sewer line with capacity to serve new development.
- Encourage activities which result in the use of large amounts of fuel, water, or energy.
- Use fuel, water, or energy in a wasteful manner.
- Disrupt or adversely affect an archaeological site or a property of historic or cultural significance.
- Induce substantial growth or concentration of population.
- Cause an increase in traffic which is substantial in relation to the existing traffic load and capacity of the street system.
- Displace a large number of people over the long term.
- Increase substantially the ambient noise levels for adjoining areas over the long term.
- Cause substantial flooding, erosion or siltation.
- Expose people or structures to major geological hazards.
- Create a potential public health hazard or involve the use, production or disposal of materials which pose a hazard to people or animal or plant populations in the areas affected.
- Violate any ambient air quality standard, contribute substantially to an existing or projected air quality violation, or expose sensitive receptors to substantial pollutant concentrations.

- Convert prime agricultural land to non-agricultural use or impair the agricultural productivity of prime agricultural land.
- Interfere with emergency response plans.
- Relate to the extraction or depletion of non-renewable natural resources.
- Cause involuntary resettlement of people or the removal or alteration of any physical cultural assets and property;

8. Implementation Arrangements

8.1 Roles and Responsibilities

Various entities involved in the programme are all responsible for environmental and social risk management and the effective execution of the environmental and social action plan, but each have unique and complementary roles and responsibilities as summarized below (and visually represented in Figure 3):

- **Accredited Entity** - SPC CCES through the Climate Finance Unit (CFU) is responsible for overall compliance with the GCF Environmental and Social Policy and the monitoring/reporting to GCF. This will be ensured through regular supervision missions (minimum 1 per year) as well as reviewing the Annual Performance Reports (APR). Further, at inception SPC also supports the establishment of the National Project Steering Committee (NPSC) ensuring effective operating procedures, that support ESS risk management into decision-making processes. The AE will assess all APR documents for submissions to GCF and ensure that all necessary reporting obligations related to ESS are met and that the ESMP is being adhered to.
- **National Project Steering Committee** - As the decision-making authority for implementation, the NPSC will appraise annual progress and technical reports as well as assess implementation against the ESMP. Members will receive technical progress reports from the PMU prior to annual meetings, including on ESMP progress and recommendations to address any ESS risks in implementation. Co-chairs, as designated authority for the approval of annual Work Plans and Budgets (AWPB), will ensure that annual planning accounts for implementation of the ESMP and takes appropriate measures for robust ESS risk management, as identified in the technical reports and recommendations provided by the PMU and EE.
- **Executing Entities:**
 - GEM** - In their role as the EE, SPC's Geoscience, Energy and Maritime Division (GEM) will support the PMU in implementing the project in alignment with the parameters of the GCF agreements and the NPSC guidance. This includes following the GCF ESS policy requirements and implementing the ESMP, as described above. If needs are identified the EE will support recruitment of *ad hoc* technical support in supervision missions to the PMU to bolster ESS processes through implementation.
 - DoWR** - the Department houses the PMU and provides execution oversight on day-to-day implementation. Through this role, the DoWR will assist the PMU in carrying out any functions required to meet conditions as imposed by the NPSC, including on ESS risk management. Further to this, the National Water Resources Advisory Committee (NWRAC) assesses and approves applications to the CAP that is

administered by the DoWR. Through the projects Activity 2.1.1 the CAP prioritisation risk matrix will be enhanced, including on aspects to ensure robust ESS standards are applied to CAP requests.

- **PMU** - The PMU will execute project activities and ensure that the ESMP is adhered to at activity level throughout project implementation. The ESMP will govern all activities of the project. The Environmental and Social Safeguards (ESS) Officer will support project implementation through providing technical assistance to enhance ESS (including gender related topics) into the enhanced DWSSP and CAP design processes, supporting training of extension agents and service providers and RWC proponents on ESS (including Gender) integration into DWSSPs in alignment with the project ESMP. This includes use of the ESS screening form (Annex 1). They will also support the MEL Officer in conducting relevant monitoring and evaluation of project implementation against the ESMP and GAAP.

The ESS Officer will support the RWCs in the finalisation of DWSSPs and CAP requests by providing review of the ESS screening documentation that has been conducted and refining information or identifying critical gaps. On identification of any DWSSPs that include requests for infrastructure works that exhibit potential or minimal (identified through the screening form in Annex 1), the PMU will contract ESIA specialists (as service providers) to design an ESIA and ESMP for the sub-project. The ESS Officer will also review and assess all project activity implementation against the ESMP (as detailed in table 4 above) and incorporate findings into relevant reports as obligated under the project Funded Activity Agreement.

In the case that any issues are identified, the ESS Officer will draft technical recommendations to address these issues in implementation. These will be reviewed by the EE and where needed supported by technical assistance through supervision costs. If technical enhancements are required to address ESS related issues through implementation, these will be incorporated into the AWPBs for approval by the NPSC.

- **ESIA Service Providers** - In the case that an ESS screening form identifies that a sub-project requires an ESS assessment and ESMP to be put in place, the PMU will contract local ESIA service providers. They will support the RWC develop the full required documentation for the CAP approval processes. They will carry out site specific assessments and analyse all ESS risks and impacts that could occur and develop an appropriate ESMP for the specific sub project. The documentation will be reviewed by the ESS Officer for quality assurance, as highlighted above.
- **Rural Water Committees** - DWSSP and project proposals are developed and implemented at community level by RWCs. In compliance with this document each RWC will work closely with the each DWSSP facilitators and the ESS Officer, to accurately complete ESS screening forms. In the case that development of a full ESS Assessment and ESMP are required, the RWC will work together with the ESIA service providers to develop the required documentation for approval and support stakeholder consultations at the community level. The documentation will comply

with this project ESMP as described in Section 4 above and will include a monitoring plan that the RWC will implement over sub-project lifespan.

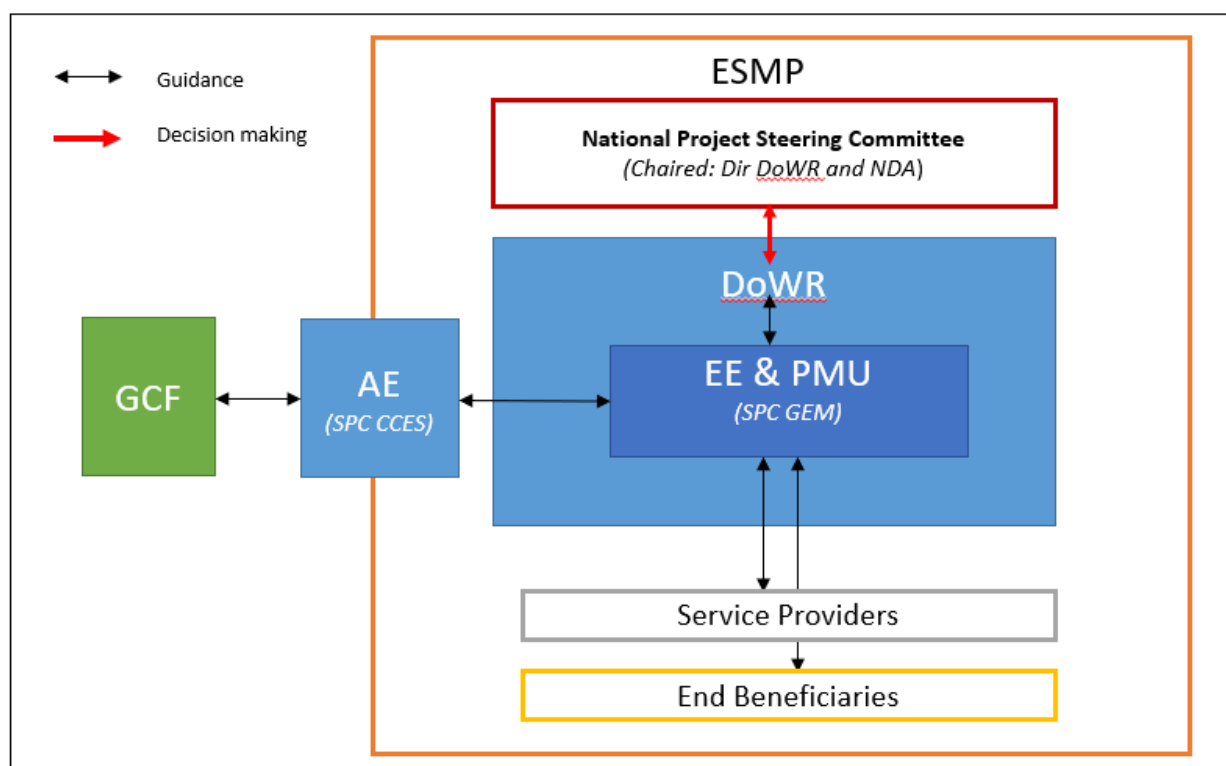


Figure 3 : Visual representation of the implementation arrangements related to Environmental and Social Safeguards Management. The diagram highlights that each institution is guided by the ESMP and that implementation of the activities should be in accordance with the plan. Further, it highlights that if there is a need to alter activities or budgets to strengthen implementation of the ESMP, decision-making authority is held with the NPSC and will be conducted through the AWPB process.

The Project ESMP compliance is funded through both activity level budgets as detailed in the project budget. This includes provisions for a relevant project officers and safeguards specialists that will engage at various levels of the institutional arrangements and project implementation processes, including the following:

- A ESS Officer is included within the project budget to:
 - support training of DWSSP and CAP facilitators in the ESMP procedures including the ESS risk screening questionnaire.
 - carry out quality assurance reviews on ESS documentation in DWSSP and CAP proposals
 - support the development and implementation of site level ESIA and ESMP by aiding recruitment of relevant ESS specialists to develop the documentation in line with the relevant requirements,
 - screen ESIA and ESMP documents provided for CAP requests that are identified to have potential or minimal risk

- in conjunction with the MEL Officer monitor sub-project implementation including compliance with the ESMP over implementation.
 - supervise implementation of site level ESMPs of CAP investments ensuring compliance of activities against individual site ESMPs
- Independent consultants will be sourced under relevant activity budgets for DWSSP and CAP proposal development to conduct ESS Screening and ESIA and ESMP development and necessary.
- A national Monitoring, Evaluation and Learning (MEL) Officer will monitor and review sub-project implementation, including support to the ESS/GESI expert to monitor sub-projects' compliance with ESS requirements and the project ESMP.
- SPC Climate Finance Unit staff to ensure overall compliance of project implementation and all sub-projects with the respective sub-project ESMPs.

8.2 Disclosure Procedures

In compliance with Section 15.2 of SPC's Social and Environmental Responsibility Policy and GCF's Information Disclosure Policies. In the case of Category B subprojects, the ESIA and an ESMP will be disclosed at least 30 days in advance of the approving authority's decision. The safeguard reports will be available in both English and the local language (if not English). The reports will be submitted to GCF and made available to GCF via electronic links in both the AE and the GCF's website as well as in locations convenient to affected peoples in consonance with requirements of GCF Information Disclosure Policy and Section 7.1 of (Information Disclosure) of GCF Environmental and Social Policy

8.3 Grievance Mechanism

A grievance is a concern or complaint raised by beneficiaries of affected communities and stakeholders related to the perceived or actual impacts of the project activities. The objectives of setting up an appropriate grievance redress mechanism (GRM) are to:

- provide stakeholders with a clear process for providing comment and raising grievances and concerns in an anonymous manner;
- structure and manage the handling of comments, responses, and grievances in a timely manner; and,
- ensure that comments, responses, and grievances are handled in a fair and transparent manner and in line with local and national policies.

The GRM can serve as an effective tool for early identification, assessment and resolution of grievances and therefore for strengthening accountability to beneficiaries. The GRM is an important feedback mechanism that can improve project impact and respond to concerns and grievances of project-affected parties (e.g. related to the environmental and social performance of the project) in a timely manner. With restrictions on movement, it is important that, where possible, staff managing grievances can access systems remotely to enable GCFM processes to be conducted effectively. The SEP will keep the local communities and other

stakeholders informed about the project's activities, to specifically address gender-based violence (GbV) and Sexual Exploitation, Abuse and Harassment (SEAH) as well as other cross-cutting issues.

The PMU and implementation partners will inform all stakeholders of available grievance mechanisms throughout project implementation (inception meetings, training and workshops related to DWSSPs, CAP requests, CR-WASH infrastructure O&M trainings, capacity trainings for water management etc.).

All grievances will be closely monitored by the Accredited Entity to assess the number and type of grievances and evaluate any trends over time. This will be conducted by the relevant responsible parties as highlighted under SPC's policies for accountability¹⁸. All monitoring and reporting will be carried out conforming to confidentiality and consent from aggrieved parties or survivors. This applied to all reporting obligations to the GCF as imposed through the Accreditation Master Agreement and Funded Activity Agreement.

8.3.1 GCF Grievance mechanism

Paragraph 69 of the Governing Instrument of the Green Climate Fund (GCF) requires the Board to establish an Independent Redress Mechanism (IRM) that will report to the Board. The Board established the IRM through the adoption of the Terms of Reference (TOR) of the IRM which sets out various matters, including the role and functions, governance and administrative arrangements of the IRM.

In accordance with its TOR, the IRM is mandated to carry out the following functions:

- (a) Review requests for reconsideration of a project or programme that has been denied funding by the Board and, as appropriate, make recommendations to the Board;
- (b) Address grievances or complaints by a person, group of persons or community who/which have been or may be adversely impacted by a GCF funded project or programme through problem solving and/or compliance review, as appropriate;
- (c) Initiate proceedings on its own to investigate grievances of a person, group of persons or community who/which have been or may be adversely impacted by a GCF funded project or programme;
- (d) Monitor whether decisions taken by the Board based on recommendations made by the IRM, or agreements reached in connection with grievances or complaints through problem solving, have been implemented, and report on that monitoring to the Board;

¹⁸ <https://www.spc.int/accountability>

- (e) Recommend to the Board the reconsideration of existing policies, procedures, guidelines and systems of the GCF based on lessons learned or good international practices;
- (f) Share best practices and give general guidance that can be helpful for the GCF's readiness activities and accreditation process and for supporting the strengthening of the capacities of accountability/redress mechanisms of the DAEs; and
- (g) Provide education and outreach to GCF staff, relevant stakeholders and the public.

A request may be submitted to the IRM, by sending it to the mailing address or email address of the IRM as published on its website (<https://irm.greenclimate.fund/case-register/file-complaint>). A request may be submitted in any of the six official languages of the United Nations (UN), provided that where a request is in a language other than English, it must be accompanied by an English translation. The English version will prevail in the event of a conflict.

8.3.2 Grievance related to Sexual Exploitation, Abuse and/or harassment

In all situations involving complaints related to gender-based violence (GBV) and sexual exploitation, abuse or harassment (SEAH), the relevant grievance redress mechanism (8.3.3-4) will take on a “survivor-centred approach”. This will apply to all grievance address mechanisms controlled by SPC or the PMU. In line with this approach, the following principles will be systemically applied through all steps and actions:

- The rights, needs, and wishes of the survivor is the foremost priority of everyone involved with the project.
- The survivor has a right to:
 - be treated with dignity and respect instead of being exposed to victim-blaming attitudes.
 - choose the course of action in dealing with the violence instead of feeling powerless.
 - privacy and confidentiality instead of exposure.
 - non-discrimination instead of discrimination based on gender, age, race/ethnicity, ability, sexual orientation, HIV status or any other characteristic.

- receive comprehensive information to help her or him make their own decision instead of being told what to do.
 - to a translator, for the language that the survivor feels more comfortable with in the case that further details are required.
- The safety of the survivor shall always be ensured. 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 of the Project, reasonable adjustments may be made to the survivor's work schedule and work environment to ensure their safety. Beyond ensuring their safety, the aggrieved party will b
- All actions should reflect the choices of the survivor.
- All information related to the case must be kept confidential and identities 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 consent. This applies to any documentation or reports related to the case. Identities will not be revealed unless explicit written consent is provided by the survivor.
- The survivor must provide informed consent to progress with each stage of the complaints process. Survivors may withdraw their consent at any time during the process.

In the case that a case of SEAH or GBV is submitted, SPC as the Accredited Entity will carry out duty of care to the survivor in line with its policies. This includes where relevant, support for the provision of medical services (including psychosocial support), legal counsel, community driven protection measures, and reintegration of the survivor.

These mechanisms are consistent with the national standard operating procedures for GBV service providers (counselling centres, police, health) as well as the Service Delivery Protocols to Respond to Gender based Violence

8.3.3 SPC's Grievance Redress Mechanism

SPC has a Grievance and Redress Mechanism (GRM) in place to ensure that complaints are being promptly reviewed and addressed by the responsible units.¹⁹ This process aims to address complaints from affected stakeholders, including communities, about the social

¹⁹ <https://www.spc.int/accountability>

and/or environmental performance of the project, and to take measures to redress the situation, where necessary. For the process to be efficient, project stakeholders have to be properly informed that SPC has such a mechanism established, and how they can access to it to settle their grievance, see section 7.2.

The SPC GRM is operated through a web-hosted page on SPC site for the expression of concerns or complaints, which can be posted by email with the information in using the complaints' template.²⁰ Concerns expressed shall be received by the legal team who will reach out internally, primarily to the division in charge of the project or to relevant division. Grievances will be sorted out through a conflict resolution process. In case this process is not functional, other process will be used, such as a compliance system, the overall objective being to address and redress project stakeholders' grievances in a simple and efficient manner.

8.3.4 Project-level Grievance Redress Mechanism

Through a project-level GRM, SPC will receive concerns or grievances from an affected community about the environmental and social plans or performance of the project. In that direction, communities and stakeholders will be sensitized about the existing grievance process and form early in stakeholder consultations in a relevant language. Both national level and provincial level government agencies will be responsible for supporting the communities with the information they need to properly submit a grievance letter. The national level and provincial level government agencies are taking part into the grievance and redress mechanism through documenting grievances and coordinating with SPC the process to settle the grievances. There are several processes to submit project related grievances:

1. Bring up the complaint during the meetings of the PWRAC or community awareness meetings. The complaint then must be directed to the project GCF focal point who will then forward to the SPC legal team.
2. Contact by email the Project Management Unit through the Project Manager or the Project MEL Officer.
3. Contact by email the key project institution (DoWR), which will then forward to SPC.
4. Email SPC through the online process: <https://www.spc.int/accountability>. Email address complaint@spc.org
5. In the case the aggrieved person or party does not have access to internet they can complete the [complaint form](#) and post it to the SPC Melanesia Office:
Port Vila
Melanesia Regional Office
P.O. Box 6248,
Port Vila, Republic of Vanuatu

²⁰ (Please see Annex IV of SPC's GRM see SPC website:

<https://www.spc.int/sites/default/files/documents/Application%20SPC%20Social%20and%20Environmental%20Responsibility%20Grievance%20Mechanism.pdf>).

Telephone: +678 22838

The Project Management Unit will receive and register grievances and will contact SPC legal team. He/she will provide an initial response within two business days to the person who submitted the grievance to acknowledge the grievance and explain that the grievance will be logged onto the SPC GRM. As a first timeframe, a response will be provided to the complainant within a two-month period, with indication of appropriate process to address the grievance. This duration should be sufficient to screen the complaint, outline how the grievance will be processed, screen for eligibility as well as assign organizational responsibility for proposing a response. This process will possibly involve engaging with other project stakeholders to resolve the issue.

SPC GRM is responsible to inform the complainant that he/she has the right to pursue other options to resolve the complaint if unsatisfied after the SPC GRM process, noting that the GRM may respond to questions from the complainant, but does not constitute an advisor or attorney for the complainant. All grievances will be recorded, and these records will be kept at a secure place for up to three years after the life of the project.

8.3.5 Community-level Grievance Redress Mechanism

At the community level in Vanuatu, concerns or grievances can be addressed through the traditional governance structures and processes managed by the chiefly systems of individual islands. The community-level GRM will mainly address issues related to utility access, conflicts among villagers, complaints from marginalized gender or vulnerable groups, issues related to water access points and GBV or SEAH. This level of the GRM will ensure that communities are able to resolve issues and conflicts with consensus, as a first level, and then escalate to the project-level GRM only if deemed appropriate. This will also ensure that, within the indigenous communities being targeted, the project benefits from active, traditional mechanisms of conflict resolution and decision-making structures.

The nakamal or Village Council is made up of chiefs and community leaders of a particular village. This authority is convened by the paramount chief or a designated customary leader and it deliberates and resolves matters at the specific village level which could include family matters, disputes/disagreements as well as land disputes.

The Ward Council of Chiefs sits above the Nakamal or Village Council and comprises chiefs and customary leaders from a number of different villages who all fall within a designated Ward Council. The Ward Council deals mostly with land ownership disputes.

Matters unresolved at the Ward Council are elevated to the Area Council of Chiefs or even higher to the Island Council of Chiefs if they are not resolved by the council below. In the event an individual or a group of individuals are aggrieved, their grievance can be raised for redress at the Nakamal or Village Council. If matters are not able to be resolved at this level, the paramount chief or head of the council may decide as follows:

1. elevate the grievance for redress at the Ward Council or with the Chief; or,
2. register the grievance directly with the representatives of the provincial authority for redress through the provincial institutional arrangements.

Matters raised with the representatives of the provincial authority are usually done through Area Administrators or Area Secretaries. These provincial officers then have the option to raise the issues for redress as follow;

- table the grievance for redress at the Provincial Area Council level through the Area-Technical Advisory Committee (Area-TAC);
- table the grievance for redress directly through the Provincial Technical Advisory Commission (PTAC); and,
- raise the grievance directly with the relevant national government representative present at the provincial level.

If and when the grievance is raised through the provincial institutional arrangements, the matter can then be elevated to the national government level for redress by the relevant government agency or ministry.

8.4 Monitoring and Evaluation

Per SPC's E+S screening policies, the overall project results shall be monitored by SPC to verify if the programme is effectively implemented as approved. Results and outcomes as a result of the programme are stipulated in SPC's PEARL policy ([See Annex 4](#)). The PEARL policy provides a framework for MEL. It is managed by the Strategy, Planning and Learning team who will support the EE in monitoring, evaluation and learning activities. Monitoring will enable the EE to recommend adjustments, through technical reports to NPSC, to respond to unexpected events during the implementation phases as well as to build trust and respond to stakeholders and affected communities. The scope, robustness, frequency of monitoring and reporting will vary depending on the type of activities and the significance of risks/impacts identified through the screening process and, eventually, assessed before project approval. In addition, monitoring requirements will take into consideration the circumstances in which the project takes place and is implemented.

For individual CAP processed sub-grants, ongoing M+E will be the responsibility of the Project Monitoring, Evaluation and Learning Officer in coordination with the selected DWSSPs community proponents. E&S issues will be incorporated into the monitoring, evaluation and reporting of projects and activities. For sub-project CAP requests with potential or minimal risks, an updated E&S management plan (ESMP) should be submitted annually and certified by the MEL Officer with support as needed from the EE to ensure identified risks have been mitigated and that the ESMP is being followed appropriately.

APRs, MTRs and end of project closure reports will include updated information on E&S risks identified through monitoring plan laid out in Table 4, and this information will be reported to SPC and GCF.

Annex 1: E+S Screening

SPC's ESS screening process will be used for the sub-grants in Component 2 is below.

SPC ESS Project Screening

The social and environmental assessment is a process that aims at reviewing a project to identify whether it is likely to cause adverse social and environmental risks and/or impacts.

What for? Make an initial assessment of risks and/or impacts based on criteria allowing to categorize them according to their significance (low - medium or high- risk project).

When? It is a desk assessment undertaken at the stage of project design, before project proposal approval, to determine if further assessment of the identified risks/impacts is necessary and if prevention or mitigation measures can be integrated within the project activities.

How? It is based on information made available for the project design and should be conducted in using the Social and Environmental assessment Questionnaire. It is the assessment Report that determines the risk category for each project on the basis of the identification and ranking of risks/potential impacts, in taking account of available information as well as comments from consulted stakeholders including affected populations.

By Whom? The Vanuatu's Department of Water (DoWR) will fill out the SER Questionnaire, determine the risk category, and make recommendations for the next steps.

Next Steps:

- if the project is ranked as “**low risk**” from the screening process, no further assessment is needed and the project can be approved after technical appraisal.
- if the project is ranked as “medium” or “**high risk**”, further assessment may be needed in order to determine if it can be implemented while not triggering the social and environmental safeguards of SPC SER Policy, and under what conditions or adjustments, including mitigation measures.

SER Screening Questionnaire: Sub-project E+S Screening

SER Screening Questionnaire		Risk Description		Risk assessment to be completed only if the answer is "Yes" under the risk description column	Score
		Yes, No, n/a, TBD	<p>If no answer, please shortly justify</p> <p>If Yes answer, describe potential issues, specify activities causing the risk identified.</p> <p>characterise the identified risk or impacts (likelihood, intensity, duration, reversibility)</p> <p>Indicate the risk localization (local/national/global)</p>	Where applicable, identify the remedial actions that would mitigate the identified risk	<p>Characterize the risk level:</p> <p>Low (L), Medium (M) high (H)</p>
1. Labour and Working Conditions	Will the project present unsafe, indecent or unhealthy working conditions for stakeholders involved?				

	Is there potential for the project to apply adverse discriminatory practices based on religious, racial, gender, disability or political considerations?				
2. Climate change	Could the project adversely contribute to climate change by generating greenhouse gas emissions including through deforestation or forest degradation?				
	Could the project negatively affect the resilience to climate change?				
3. Resource Efficiency and Pollution Prevention	Will the project generate hazardous waste? Is the project likely to lead to environmental damages due to an uncontrolled management of waste?				
	Is the project likely to lead to pollutants release? Are chemicals (including pesticides) likely to be used during the project?				
4. Human Rights	Is the project likely to negatively impact on the human rights of the affected populations? (e.g. their rights to water, work,				

	health, to a healthy environment, etc.)?				
	Is the project likely to create less favourable treatment of, or discrimination against, any person or group such as persons with disabilities?				
5. Impacts on Affected communities	Any risk that populations perceive they did not receive enough opportunities to raise their concerns regarding the project?				
	Is there a risk that the project would create or exacerbate conflicts with or within affected populations?				
	Is the project likely to increase community exposure to disease (water borne, water based, water related and vector borne diseases as well as communicable diseases)?				
6. Gender	Is there a likelihood that the project would have adverse impacts on gender equality, and/or the situation of women and girls?				
	Have community groups/leaders raised gender equality concerns regarding the project during the stakeholder engagement process?				

	Would the project potentially limit women's ability to access or use natural resources upon which they depend for a livelihood?				
7. Resettlement	Could the project involve the physical relocation of people? (encompassing displacement as well as planned relocation)				
8. Use of natural resources	Could the project lead to adverse impacts on biodiversity or natural habitat?				
	Is the project likely to negatively impact a protected area?				
	Is the project likely to introduce invasive alien species to the project area?				
	Is the project likely to restrict People's access to natural resources and their means of livelihoods?				
	is the project likely to favour unsustainable exploitation of a renewable resource				
9. Peoples right and tenure	Is the project likely to negatively affect Peoples or communities rights: rights of affected populations, including procedural rights such as the right to be				

	consulted or to have access to information, or substantive rights (real or personal) such as the right of access to natural resources or benefit-sharing related to these natural resources (carbon rights, benefits from access to genetic resources ...).				
	Could the project require the relocation of Peoples from their homes or lands subject to traditional ownership or customary use?				
10. Cultural heritage	Is the project likely to negatively affect cultural heritage?				
	Is the project likely to negatively affect a legally protected cultural heritage area?				
RISK CATEGORIZATION PROCESS		<ul style="list-style-type: none"> • If only L on the right-hand column, then the project is Low risk > no further assessment is required • If one or more M then the project is Medium risk > further assessment is required to formulate alternatives • If one of more H, > topic assessment is compulsory, including for the assessment of credible alternatives (NB: the project may have to be categorized as Medium or High risk depending on the outcome of the ESIA) 			

GCF Project Risk Categorisation

Please carefully consider the results of the rating above and determine the appropriate risk category of the project by a tick:

Risk Category	Tick	Explanation & Recommended Courses of Action
A		<p>Proposed project activities have potential significant adverse environmental and/or social risks and impacts that, individually or cumulatively, are diverse, irreversible, or unprecedented likely to cause significant adverse environmental and/or social risks/impacts that are diverse, irreversible or unprecedented. The Project does not finance projects in this risk category.</p> <p>Please Explain:</p>
B		<p>Proposed project activities have potential limited adverse environmental and/or social risks and impacts that individually or cumulatively, are few, generally site-specific, largely reversible, and readily addressed through mitigation measures;</p> <p>Please Explain (including planned mitigation measures):</p>
C		<p>Project activities have minimal or no adverse environmental and/or social risks and/or impacts.</p> <p>Please Explain:</p>

Recommendations for next steps:

- Is further assessment needed (Please specify if it is a topic or full Environmental and Social Impact Assessment, as well as in which areas or on which topic(s) any such further assessment should be conducted):

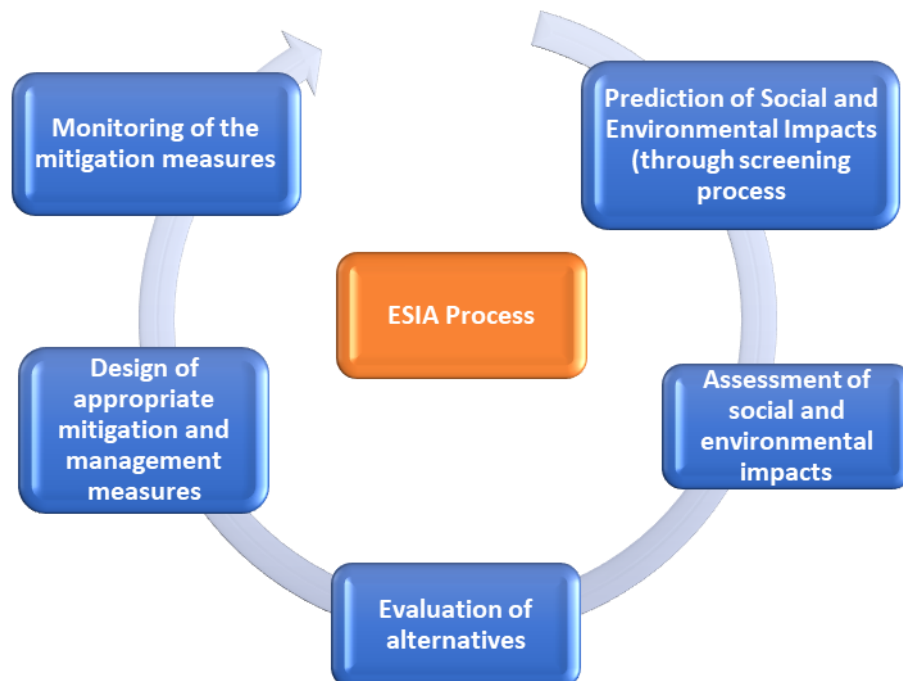
Topics/areas to be further assessed	Type of Assessment

I, undersigned, Mr/Ms XX, hereby certify that I have answered this Questionnaire truthfully and to the best of my knowledge.

Signature:

Annex 2: SPC detailed procedure for conducting an Environmental and Social Impact Assessment - *ESIA*

ESIA is a step-by-step process.



Before starting the assessment itself, it is important to define the ESIA Terms of Reference (ToRs) in order to ensure that identified risks will be further assessed while verifying how the assessment can be effectively carried out internally at SPC.

Step 1 - Elaborate the ToRs of the ESIA:

The following questions can help guide and structure the ToRs:

- To specify the scope of the ESIA: based on the SER assessment questionnaire reports, what are exactly the risks or impacts needed to be further assessed in a comprehensive manner?
- To identify additional information or analysis necessary to conduct the ESIA that should/could be requested from the selected DWSSPs communities proponent: is available information on the project sufficient to undertake the ESIA given its scope?

- To identify who should be involved in the assessment process: who are the stakeholders and communities that can be directly or indirectly affected by the project?
- To determine whether an external expertise may be needed to conduct the ESIA: is there the necessary technical expertise within SPC to coordinate/oversee the ESIA?

Step 2 - Project description:

- ✓ Notwithstanding the scope of the ESIA as defined by the ToRs, it is necessary to provide a description of the initiate state of the environment where the project will be located comprising information on environmental or social sensitivity of the geographical area likely to be affected, paying particular attention to protected areas, landscapes and sites of historical, cultural or archaeological significance.
- ✓ It is equally important to provide a detailed description of the project itself comprising information on the design, size and other relevant features of the project, including the socio-economic context, the use of natural resources, in particular land, soil, water and biodiversity; the production of waste; pollution and nuisances, including the generation of greenhouse gases; and the risks to human health (for example due to water contamination or air pollution).

Step 3 - Analysis of policy and legal framework:

- ✓ It is of crucial importance to ensure that the project can be in compliance with national statutory or international standards. In particular, the ESIA should provide answers to the following questions:
 - Is an EIA required by the national law of the country(ies) where the project is to be implemented?
 - Is the project subject to authorization in any of the country(ies) where the project is to be implemented?
 - Does available or additional information provide sufficient evidence that the project is in compliance with the applicable laws and other standards, including international social or environmental agreements?

Step 4 - Stakeholder consultation:

- ✓ When stakeholders or affected communities are subject to risks/impacts from the project during the risk assessment process, it is necessary to undertake a consultation process to provide them with an opportunity to express their views on the risks identified as well as on mitigation measures that are envisaged. This is a more focused and inclusive consultation process than for the screening phase which should target:
 - To review the comments made by stakeholders and affected communities about identified risks/impacts and check if they have been taken into account by the **selected DWSSP communities** proponent.
 - To ensure that relevant comments can be addressed through mitigation measures in a revised project proposal.

Step 5 - Impact assessment:

- ✓ It is necessary to provide a description of the likely direct and indirect effects of the project on the natural or social environment that are relevant with regard to the initial state of the social and environmental environment described under Step 1, in taking account of:
 - the magnitude and spatial extent of the impact (for example geographical area and size of the affected population likely to be affected);
 - the nature of the impacts;
 - the trans-frontier and/or global nature of the impact;
 - the magnitude intensity and complexity of the impact;
 - the probability of the impact;
 - the expected onset, duration, frequency and reversibility of the impact;
 - the cumulative effect of the impacts with the impact of other existing and/or approved projects;
 - the feasibility of effectively reducing or mitigating the impact.

Step 6 - Analysis of prevention, minimization, mitigation and compensation measures:

- ✓ For each significant impact, an appropriate mitigation strategy must be developed. It is necessary to analyse measures proposed for the project implementation to avoid, prevent or reduce and, where avoidance or minimization is not possible, to offset likely significant adverse effects on the natural and social environment, including compensation of affected communities for their losses.

Step 7 - Analysis of alternatives:

- ✓ If the assessment has identified very significant risks/impacts, it is then necessary to check if there are other options available to achieve the expected project objectives with lower risks/impacts. In that case, less adverse though reasonable alternatives (for example in terms of project design, technology, location, size and scale), which are relevant to the proposed project and its specific characteristics, should be studied as part of the ESIA process.

❖Step 8 - Establishment of a management and monitoring plan (ESMP):

- ✓ To require appropriate measures to prevent or minimize, or offset adverse social and environmental impacts identified through the ESIA process;
- ✓ To request information necessary for the monitoring of management measures;
- ✓ To facilitate the project management during the implementation phase, by indicating resources and costs, responsibilities, schedule for implementation and indicators for monitoring progress.

Annex 3: Vanuatu ESIA Requirements

Legislation for Environmental Assessment

The Environment Management and Conservation Act No.12 of 2002 is a piece of environment legislation that provides for the conservation, sustainable development and management of the environment of Vanuatu, and the regulation of related activities.

It covers four main areas:

- Administration
- Environment Impact Assessment (EIA) - An EIA consists of reports being made that always include an assessment on important plant and animal species that are found in the project area and recommend important measures to protect them in a project area of interest.
- Biodiversity
- Bioprospecting Laws and Community Conservation Areas (CCAs) - This gives direction to Vanuatu communities if they consider registering their conservation areas at the national level.

An Environmental Impact Assessment (EIA) is an assessment of the possible impacts, positive or negative, that a proposed project may have on the environment taking into consideration natural, social and economic aspects. The purpose of an Environmental Impact Assessment is to ensure the decision makers consider the environmental impacts to decide whether to proceed with the project. Developments that require EIA includes tourism developments close to coastal area, logging along river bank or village, livestock farming, and bioprospecting activities close to Community Conservation Area.

The EIA process is illustrated in Figure 2 below. A Preliminary Environmental Impact Assessment (PEA) is done by the DEPC for any application for any project, proposal or development activity (except projects listed as minor), to determine:

- Whether the project, proposal or development activity is likely to cause any environmental, social or cultural impact.
- The significance of any identified impact.
- Whether any proposed actions are likely to effectively mitigate, minimize, reduce or eliminate any identified significant impact.

Upon receiving information that a project needs full EIA report the DEPC Director then develop a Terms of Reference (TOR) that will direct the EIA study. The Director will make sure that the TOR covers all party concerned.

Upon the finalization of an EIA report, if the study does not address an important subject, the director may in writing notify the developer and request for full coverage of the study. If the report covers all important issues the director may in writing write to agree to the project.

Should the EIA report shows major damages to the environment the Director of Environment may decline the project in writing to notify the developer with clear details stating reasons for declining. Should the director agree to the report (s)he may in writing inform the Minister to sign for the development to proceed.

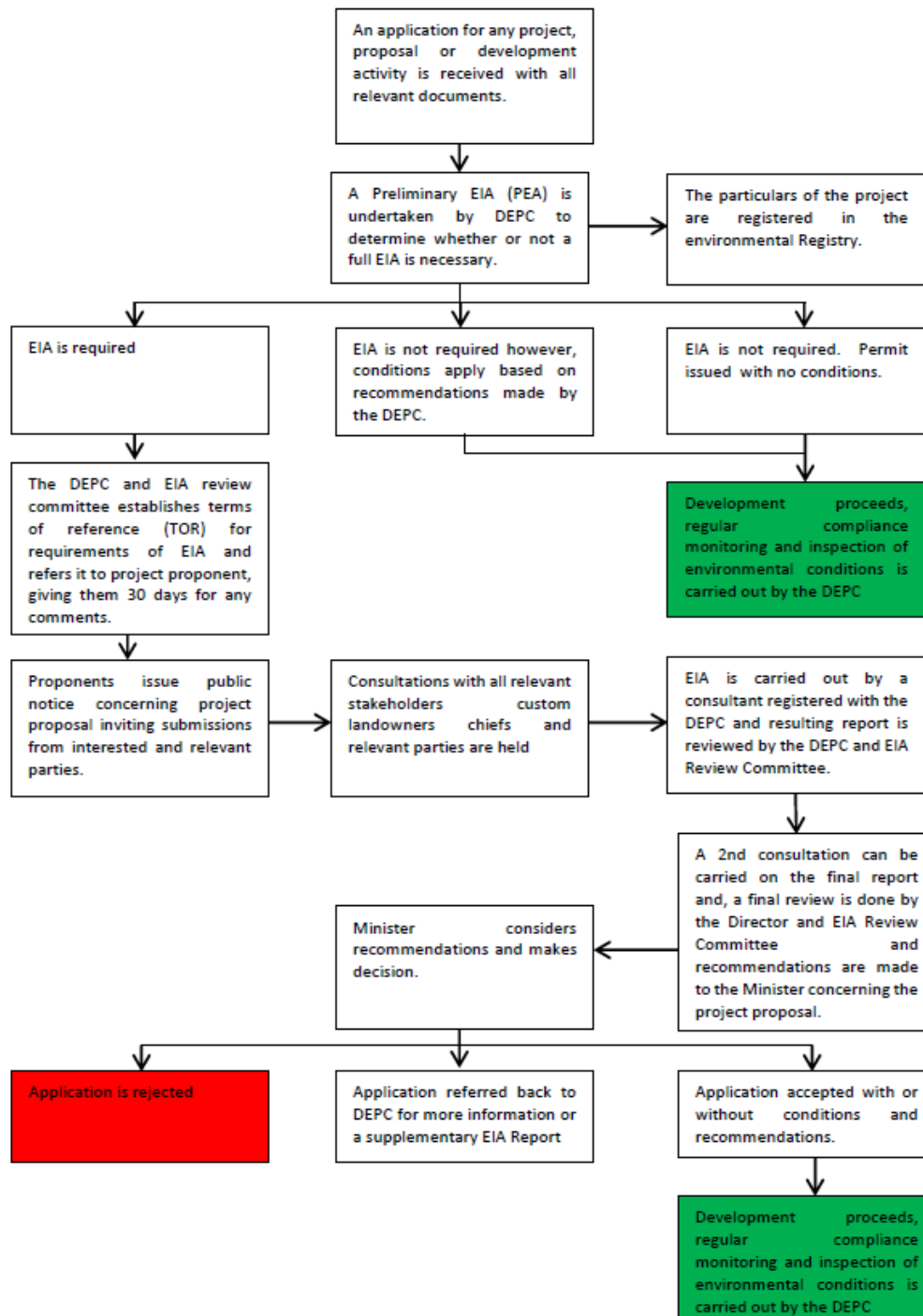


Figure 1: PEA and EIA Process in Vanuatu

Annex 4: SPC Planning, Evaluation, Accountability, Reflection and Learning (PEARL) Policy

Purpose

To provide the framework for planning, monitoring, evaluation, reporting, reflection and learning across SPC, so as to strengthen performance management and improve the way SPC measures the achievement of SPC's objectives.

Scope

This policy applies to all SPC projects and programmes.

Authority

This policy is issued under paragraph 21 of the Pacific Community Governance Arrangement.

Overview

The PEARL principles and processes provide the mechanisms for SPC to increase the effectiveness of SPC's work and strengthen engagement between the secretariat and its members and partners. It also strengthens alignment between planning, budgeting, evaluation and reporting at all levels of the organisation. In supporting development effectiveness, PEARL provides for learning from experiences so that SPC can apply these lessons to improve practice and services to members.

This policy provides the framework for four key areas:

- planning and programming
- monitoring and evaluation
- learning and reflection
- accountability.

It aims to:

- provide structure and coherence from SPC projects, programmes, business plans through the Pacific Community Strategic Plan and to international sustainable development measurement commitments
- clarify internal reporting and evaluation expectations
- demonstrate SPC's commitment to evidence based practice from design, through implementation, to completion and closure of our work
- compel a culture of learning and institutionalise acting on lessons through improvements, course corrections and looping learning back into new design
- encourage the use of Indigenous Knowledge Systems and draw on SPC's deep understanding of Pacific cultures

- set out minimum requirements, principles to be respected, roles, responsibilities and better practices for non-financial performance.

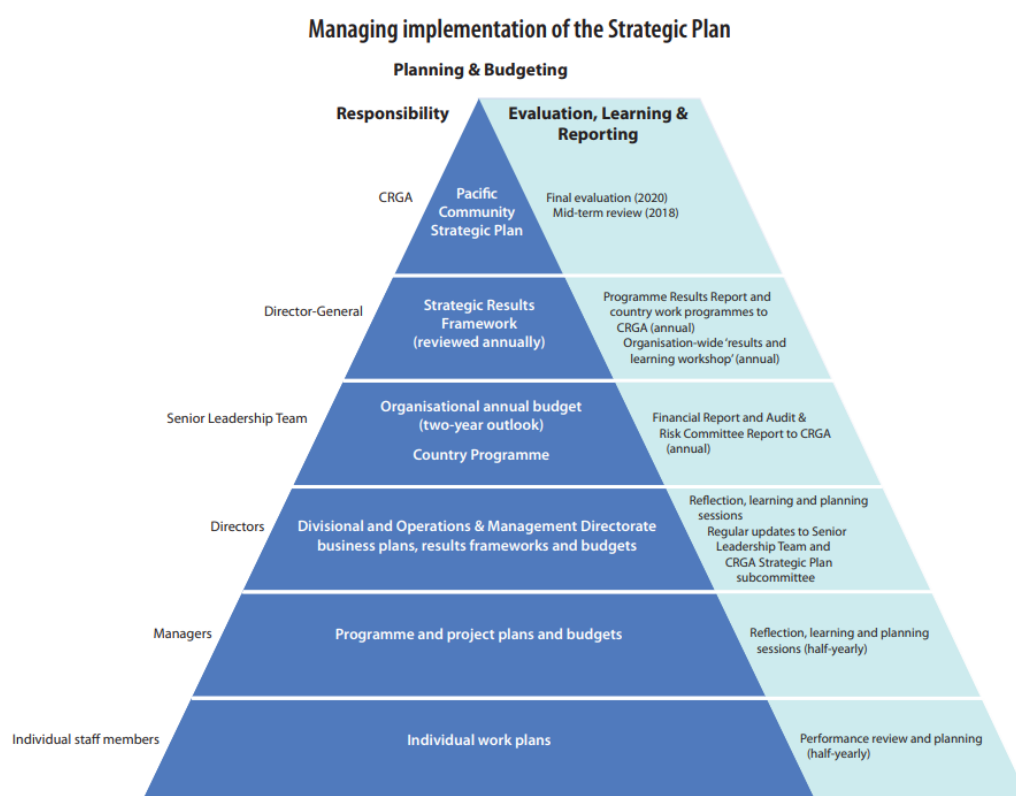
SPC's operating environment

SPC operates across all its member countries, has multiple development partners, complex funding and financial requirements, and unique and distinct reporting demands. In addition, SPC works in multiple-sectors, drives cross cutting issues, and is building more multi-sectoral responses.

The strategic direction of SPC is set by Conference of the Pacific Community in SPC's Strategic plan, which outlines key development and organisational objectives. The Director-General is responsible for the implementation of the Strategic Plan, which is overseen by the CRGA sub committee on the Implementation of the Strategic Plan. The roles of Conference and the subcommittee are set out in SPC's Governance Compendium.

The Director-General is required to report annually to the governing body on the secretariat's progress in implementing the Strategic Plan. The annual Results Report is first considered by the CRGA sub-committee, which provides also its opinion to the governing body on progress.

The Director-General is supported in implementing the Strategic Plan by SPC's divisions and programmes, which are responsible for developing and delivering valuable, effective and efficient projects and programmes. They are also supported in the annual reporting by the mechanisms set out in this PEARL policy and guided by support from the Director-General. Directors are expected to be champions for PEARL, while staff are expected to build PEARL practices into the project/program lifecycle to ensure they are aligned with SPC's organisational objectives and goals.



Key principles

The following key principles underpin and drive PEARL:

- **Aptitude:** evidence based and learning culture that encourages regular reflection of ‘is SPC doing the right thing, in the right place, at the right time, to make the most difference for Pacific Island communities’
- **Coherence:** connected organisational processes, procedures and practice that are consistent yet flexible
- **Alignment:** meaningful engagement with members to align SPC’s work to member national plans and priorities
- **Transparency:** clarity to realise a common understanding of agreed upon practices to sustain and improve SPC’s work, aligned with strategic objectives and goals, and to provide clarity to governing member countries and other stakeholders
- **Quality:** incentivising on-going improvements in quality in processes, policies and systems, systematically reviewed and adjusted to respond to new and changing member needs
- **Utility:** providing critical information to improve SPC activities, with a focus on relevance for staff and contributing to organisational development and informing decisions
- **Inclusivity and cultural competence:** value identity and diversity; practice respectful, inclusive communication and engagement; reciprocity and two way learning.

Planning and programming

Scope

To be a relevant and impactful development partner providing scientific and technical work in the Pacific, SPC’s strategy, planning, and programming needs to be guided by member needs and priorities, coherence with the regional frameworks and with line of sight to the global Sustainable Development Agenda 2030.

Improved planning and programming will help to achieve efficient and effective organisational results, aligning strategy, planning and programming assists with linking non-financial and financial performance management so that learning informs decisions to improve programme performance and financial allocation.

Within SPC there are several key planning documents, each of which is interlinked and has minimum expectations and requirements:

- SPC Strategic Plan
- Country programmes
- Division or Programme Business Plans and workplans
- Integrated programmes
- Project or activity plans

SPC Strategic Plan

The Pacific Community Strategic Plan mandates the direction for SPC as a whole and is approved by Conference of the Pacific Community. SPC new 2022 Strategic Plan has a 10 years horizon (2022-31) , defines the organisation’s strategic direction including its vision, mission, values, unique role and high-level development and organisational goals and

objectives. The Strategic Plan will include the Strategic Results Framework, which further articulates the results to be achieved to realise the objectives.

The strategic planning process is guided by principles set by the governing body, and is led by the Director-General. The process involves strong engagement with staff, members, partners and key stakeholders including civil society, youth and the private sector. It is intended to incorporate evidence-based reflection and futures practices including forecasting, modelling and scenario planning.

Country programmes

Country programming is a participatory prioritisation process with national governments to strengthen engagement and collaboration with members and partners. Country Programmes are informed by national priorities and national development policies, SPC's own Strategic Plan, and SPC capabilities. The aim is to support the shared objectives of SPC and its member country and to improve programmes and project designs that deliver measurable outcomes in line with country priorities. A strong focus is on multi-sectoral and multi-disciplinary approaches to provide solutions to complex problems and issues identified as priority for the member.

Country programmes are generally initiated at the request of members. The Director General will identify a senior staff member with responsibility for leading the development of the country programme, including its activities and results framework.

A successful country programme requires an internal SPC consultative process identifying priorities for inclusion, responsibility for the overarching country programme, setting and context, existing partnerships, and a summary of ongoing SPC works within the Member state as aligned to its national development policy strategies. The country programme is to be aligned to SPC's competencies and capabilities and the Member's national development policy strategies and regional commitments.

At a country level, discussions are expected to include SPC focal point from Foreign Affairs as well as key sector representatives from the identified country priorities and the office of national sector coordination (e.g. Ministry of Finance Aid/Sector Coordination Unit)

Where resources are not already available within SPC to implement the country programme, the member shall be committed to mobilize resources from other sources to be provided to SPC on a full cost recovery basis to enable SPC to begin implementation.

Division or Programme Business Plans

Division or Programme Business Plans capture how divisions and programmes will operationalise and contribute to the SPC Strategic Plan, respond to regional, sectoral and thematic requirements and partner with members, donors and partners. The process is led by the Director and involves consultation with internal and external stakeholders.

Each Division or Programme Business Plan contains a description of context, key stakeholders, budget and resource mobilisation plan, risk matrix, theory of change and results framework clearly linked to SPC's Strategic Results Framework, as well as a workplan linked to results.

Divisional and programme work plans are to be informed by the outcomes of country and or regional sector specific mechanisms for negotiating priorities aligned with SPC capabilities that best respond to member needs

Where possible, the horizon of the Business Plan is best to align with the time frame for the Strategic Plan. Any changes to the Strategic Plan will trigger a review of business plans to ensure coherence between strategic goals and results and divisional results.

Integrated Programmes

SPC addresses a broad range of sector and strategic priorities at the national and regional level. SPC's competitive advantage to addressing these complex cross-cutting development challenges lies in in-house expertise in both the socio-economic and scientific and technical fields. At its core, 'integration' refers to activities in which actors from different sectors deliberately coordinate their work to maximise impact and progress towards common or complementary goals.

Integrated programmes are designed and implemented through the deliberate coordination of different divisions, teams or sectors with different technical/scientific expertise. There are five key stages of development: concept development, technical appraisal, design phase, design appraisal, final approval.

Evidence from reflection and learning will be used to inform the five key stages of integrated programme development.

The Director-General will nominate staff members with responsibility for appraising new concepts as part of due diligence prior to committing to any new funding agreements.

Project or activity plans

Project or activity plans capture project level activities. These will be managed by each project manager. They should align with the development partner requirements, as well as SPC's Strategic Plan framework and Division or Programme Plans.

Monitoring and evaluation

Scope

SPC is committed to implementing monitoring and evaluation activities across the organisation, at the strategic, corporate, division, programme and project levels to improve its programme and project impact.

The overarching performance framework that supports SPC's monitoring and evaluation is the Strategic Results Framework. It is the primary tool for measuring progress towards the goals and objectives of the Strategic Plan, and explains the connections between SPC's work and the outcomes and impact it sets out to achieve. Country programmes, business plans, integrated programmes, programs and projects all have their own results frameworks that aligned to the Strategic Results Framework.

While monitoring and evaluations are distinct activities, they are highly interdependent and inseparable from each other. Monitoring allows SPC to track progress and performance for course correction and adaptation along the way; evaluation establishes the causes of results. Both are needed for SPC to learn from its successes and failures and improve our decision making towards better impact from programmes and projects.

Monitoring and evaluation activities are not the end goal, but rather the means by which SPC can achieve its development outcomes more effectively. SPC's thinking and approaches to monitoring and evaluation are continually maturing to better understand context, Pacific ways of knowing and being, contribute knowledge and build capacity in the Pacific, and to build strong relationships with those involved in the evaluation.

Responsibilities

SPC's monitoring and evaluation system is supported by staff across the organisation.

The Director-General has committed SPC to investing in monitoring, evaluation and learning capacity and embedding monitoring, evaluation and learning (MEL) practitioners across SPC. The Director-General nominee leads the monitoring and evaluation process facilitating strong engagement with staff, members, partners and key stakeholders including civil society, youth and the private sector.

Directors are champions of SPC's monitoring and evaluation systems and are expected to build in adequate resourcing to support the practice.

Managers ensure adherence to and compliance with appropriate monitoring and evaluation practices, processes and tools. They are also responsible for quality assurance of monitoring and evaluation activities.

The MEL practitioners across SPC are responsible for the planning, implementation and quality assurance of monitoring and evaluation activities. SPC's network of MEL practitioners (MELnet) and the Director-General's nominee are custodians of divisional and directorate monitoring and evaluation systems, responsible for the design of fit-for-purpose systems and for ensuring capacity, guidance and tools are built to support system implementation.

Minimum MEL requirements

Resourcing

To ensure that MEL is embedded across SPC, Directors are expected to build in adequate resourcing to allow for the monitoring and evaluation of business plans, programmes and projects. A baseline of 4% of the relevant budget is recommended for any monitoring and evaluation activities, though the actual cost of an evaluation will depend on the type of evaluation undertaken, and the effort considered to be proportionate. This will need to be determined on project-by-project basis.

Systems for programmes and projects

Directors with support from managers and their MEL practitioners, with support from SPL if/when required, will ensure that a results framework is designed for each business plan, programme or project plan, to enable tracking of expected results. The outcomes and key performance indicators in results frameworks are to be aligned to the Strategic Results Framework to enable tracking towards SPC's sustainable development goals. The results frameworks will include baseline and target information to enable tracking progress and performance over time.

Project and programme monitoring and evaluation systems are to be flexible to respond to the complex environment in which SPC operates, in particular changing needs and priorities from its members. Managers and MEL staff are responsible for regularly reviewing and adapting program theories and monitoring and evaluation plans and processes as required to adapt to context while maintaining line of sight to the desired outcomes.

Evaluations

Many development partners require SPC to conduct evaluations as a condition of their funding. In addition, SPC will conduct project, program or service delivery evaluations for:

- multi-year funded programmes

- projects that require proof of concept before possible scaling
- projects that aim to bring about particular changes for communities, and
- projects or thematic investments over 3 million Euros.

Where feasible and relevant, managers and MEL staff are to include a diverse group of experts (programme staff, national government, civil society, communities etc.) in the design, research, conduct, sense making and/or oversight of evaluations, to build evaluative capacity, and empower these stakeholders to co-drive evaluations and better 'own' findings and recommendations.

Where external or independent expertise is required to support or conduct evaluations, when choosing these experts, consideration needs to be given both to the technical capability to undertake the evaluation, but also to the expert's contextual and cultural competence.

Evidence

The sources of results evidence will be derived from both monitoring and evaluation activities. Methodologies for collecting results evidence are to be rigorous and include both quantitative and qualitative methods. MEL staff are to ensure that corporate, standardised monitoring and evaluation data collection tools are used where they exist.

Quality assurance of monitoring and evaluation data collected should be performed by MEL staff on a regular basis, and by Managers on an ad hoc basis.

For the annual evidence collection for the report against the Strategic Plan results framework, the Director-General's nominee will coordinate conversations on a sample of monitoring and evaluation evidence for verification by Regional Directors and member country counterparts to ensure the perception of results achieved is shared.

Publication of evaluations

SPC's Social and Environmental Responsibility Policy commits SPC to being open and transparent with its stakeholders. In addition, several development partners require the publication of evaluations.

SPC commits to publishing an executive summary of all project, programme and strategic evaluations on the SPC digital library and/or the Pacific Data Hub, unless confidentiality requirements prevents SPC from doing so.

Any evaluations conducted for Green Climate Fund projects must be published in full, on the Pacific Data Hub and be linked to from the SPC website.

Learning

Evidence and learning from Monitoring and evaluation activities are to be fed back to project or program participants and member governments for accountability and learning. In particular, adaptive processes are to be documented to monitor progress and facilitate learning.

Learning and reflection

Scope

SPC is committed to improve its work through reflection to develop and share learnings across teams, divisions and the organisation and to incorporate learnings into designs and management of projects and programs. Making the time and creating the space to pause and

reflect on work is important and useful to create shared understanding of how SPC is contributing to change, how it is responding to challenges and how work can be purposefully adapted to be more impactful. The value of group reflection helps incorporate different viewpoints and overcome bias.

To be a learning organisation is about advancing knowledge and understanding of what is working, what is not, and how to improve performance over time. It is about identifying lessons and about actioning these into learning and change.

Minimum requirements for learning and reflection

Directors and managers are responsible for building a culture of reflection and allowing space for reflection sessions. Reflections can occur at all stages of the programme or project, and can cover a wide arrange of questions: team culture, preferred ways of working, changing contexts, environments or stakeholders, reviewing work plans, results frameworks and budgets, most significant changes and challenges.

The Director-General will convene an annual learning and reflection workshop to consider the progress of the implementation of the Strategic Plan. The outcomes from the workshop will be used to inform the annual results report and planning for the following year. Ideally the workshop will be attend by the Executive, Directors, MELnet and a broad range of managers from across the organisation. Progress towards the development and organisational objectives will be convened using rigorous and contextually relevant methodologies.

Directors will convene division and team level reflection sessions twice a year, to gather and discuss evidence on progress of implementing business plans, programmes and projects. The outcomes from these workshops will be used to inform divisional contributions to the mid-year and annual results reporting.

Managers are encouraged to hold peer to peer reflection sessions as needed to consider shared themes, country perspectives, challenges or development partners.

During and after the reflection sessions, the learnings are to be documented and fed back into processes, project or team workings.

Learning arising from reflections, evaluations, research and reviews are to be shared, curated and made available by all teams in a user friendly format to all staff. The Director General is responsible for coordinating the learning efforts across the organisation.

Accountability

Annual results reporting

To be transparent and accountable to members and partners, the Director-General provides an annual Results Report to the governing body through the CRGA Subcommittee for the Implementation of the Strategic Plan. The results report provides analysis on SPC's progress against the Strategic Plan's development and organisational objectives based on quantitative and qualitative evidence for the reporting period (1 January to 31 December). The reporting will be informed by the reflection processes outlined above.

In addition, through the reporting intelligence, SPC will produce a series of reporting products to suit the needs of the CRGA members and Executive in formats that are easy to access and are useful for decision making.

The Annual Results Reporting series will be publicly accessible on the SPC website and the result frameworks through the Pacific Data Hub.

The results reporting products will be shared across the organisation through multiple communication channels to encourage the uptake and utilisation of findings and learning.

Mid-year reporting

1SPC produces a mid-year report for management purposes. The report documents reflection and learning processes and progress in implementing divisional and programme business plans. With an internal focus, the report has a learning posture and includes considerations on changes in context, execution rates, challenges and adaptations to work for improved performance and impact.

Mid-year reporting products will be developed to meet the internal management needs of the Secretariat for the first two quarters of the calendar year, and a synthesis may be provided to the governing body or one of its committees.

Programme and project reporting

Project level donor reporting requirements are negotiated between the development partner, project focal points and the SPC development partner focal points. Wherever possible, donor partners are encouraged to accept the Annual Results Report as sufficient evidence for accountability reporting. This is in an effort to harmonise reporting efforts across SPC and member countries.

Where the donor requires additional reporting, efforts are to be made to align the reporting to existing internal reflection and reporting mechanisms to minimise the burden on SPC.

Reporting processes should, where possible, include the sharing of draft reports with those whom have been consulted in the data collection processes. This process facilitates fact checking, interpretation and sense making between data providers, data collectors and analysers.

The dissemination of reports and knowledge products is encouraged across SPC, members, stakeholders and beneficiaries to support utilisation of findings.

Annex 5: Suggested Environmental and Social Management plan and parameters for sub projects

Potential environmental and social risks and impacts and potential mitigation measure and suggest monitoring parameters, frequencies and responsibilities associated with the sub-project prototype examples identified in Technical Study on Technology options and O&M as well as in the Annex 2 - Feasibility Study are provided in the table below.

Sub-Project Prototype	Potential E&S Risks/Impacts	Mitigation Measures	Monitoring Parameters	Monitoring Frequency	Monitoring Responsibility
<i>Solar water pumping</i>	Low productivity because of poor design, system failure, poor maintenance or lack of spare parts	Identification of sources of equipment and spares Site-appropriate design of system Training on user maintenance plans	Assessment of system design Confirmation of supply of equipment and spares	1 x prior to project initiation 1 x during project implementation	Rural Water Committees (with costs included in sub-project proposal to CAP), Technical support provide at request from the PMU as needed.
	Disposal of waste has harmful environmental impacts (particularly electrical and electronic waste)	Waste management plan as part of sub-project design Use of low-impact materials and equipment	Assessment of waste management plan Review of sub-project design	1 x prior to project initiation 1 x during project implementation	
	Hydrological flooding risk owing to location close to water sources	Location of sub-project outside of flood risk areas	Site assessments	1 x prior to project initiation 1 x during project implementation	
	Low adoption owing to high operations and	Sub-project proposals provide designs appropriate to local	Assessment of sub-project design	1 x prior to project initiation	

Sub-Project Prototype	Potential E&S Risks/Impacts	Mitigation Measures	Monitoring Parameters	Monitoring Frequency	Monitoring Responsibility
	maintenance costs (e.g. energetic requirements)	conditions (e.g. energy-efficient equipment)	vis-à-vis local conditions Community surveys	1 x during project implementation 1 x after project implementation	
<i>Rainwater harvesting</i>	Low productivity because of poor design, system failure, poor maintenance or lack of spare parts	Identification of sources of equipment and spares Site-appropriate design of system Training on user maintenance plans	Assessment of system design Confirmation of supply of equipment and spares	1 x prior to project initiation 1 x during project implementation	Rural Water Committees (with costs included in sub-project proposal to CAP), Technical support provide at request from the PMU as needed.
	Disposal of waste has harmful environmental impacts (particularly electrical and electronic waste)	Waste management plan as part of sub-project design Use of low-impact materials and equipment	Assessment of waste management plan Review of sub-project design	1 x prior to project initiation 1 x during project implementation	
<i>Groundwater extraction</i>	Contamination of groundwater from anthropogenic waste over implementation	Ensure robust construction of project fitting lid to minimize surface contamination. E.g., Raised wellhead to protect against surface contamination A minimum distance of 50m is to be between a well and any latrine. Excellent quality hand or solar pumps to be installed, include a	Assessment of system design at construction and through implementation Conduct regular monitoring of groundwater quality.	Monthly monitoring lifetime of infrastructure operation After every rainfall event over 100mm	Rural Water Committees (with costs included in sub-project proposal to CAP), Technical support provide at request from the PMU as needed.

Sub-Project Prototype	Potential E&S Risks/Impacts	Mitigation Measures	Monitoring Parameters	Monitoring Frequency	Monitoring Responsibility
		<p>well-drained apron and protections.</p> <p>Conduct regular groundwater quality monitoring in location where the groundwater is likely to be impacted, including assessing the changes to groundwater quality.</p>			
	Disposal of waste through construction and maintenance has harmful environmental impacts (particularly electrical and electronic waste)	<p>Waste management plan as part of sub-project design</p> <p>Use of low-impact materials and equipment</p>	<p>Assessment of waste management plan</p> <p>Review of sub-project design</p>	<p>1 x prior to project initiation</p> <p>1 x during project implementation</p>	
	Increased risk of groundwater contamination because of poor design, system failure, poor maintenance or lack of spare parts.	Bores to be drilled and fitted by well trained and qualified service professionals.	<p>Assessment of construction plan against DoWR standards</p> <p>Inspection of infrastructure carried out once a year.</p>	<p>1 x prior to project initiation</p> <p>Annual assessment of infrastructure condition</p>	
	Over exploitation of groundwater resources beyond	Regular assessment of water tables and ground water levels and monitoring against provisioning (rainfall) rates. Particularly	Conduct regular monitoring of ground water levels	<p>Semi-annual water table monitoring in standard times</p> <p>Monthly water table monitoring</p>	

Sub-Project Prototype	Potential E&S Risks/Impacts	Mitigation Measures	Monitoring Parameters	Monitoring Frequency	Monitoring Responsibility
	provisioning rates.	through dry seasons and drought		in drought events (determined by GoV)	
<i>Surface water</i>	Contamination of surface water from anthropogenic waste	Conduct regular surface quality monitoring in location where the groundwater is likely to be impacted including assessing the changes to groundwater quality.	Assessment of system design at construction and through implementation Conduct regular monitoring of groundwater quality.	Monthly monitoring After every rainfall event over 100mm	Rural Water Committees (with costs included in sub-project proposal to CAP), Technical support provide at request from the PMU as needed.
	Disposal of waste through construction and maintenance has harmful environmental impacts (particularly electrical and electronic waste)	Waste management plan as part of sub-project design Use of low-impact materials and equipment	Assessment of waste management plan Review of sub-project design	1 x prior to project initiation 1 x during project implementation	
	Increased sedimentation in surface waters can result in reduced outputs	Input drainage control, sediment and erosion controls Prevent stockpiling of materials including soil during construction of all components of the projects.	Assessment of infrastructure designs Site assessments	1 x prior to project initiation 1 x during project implementation	

Sub-Project Prototype	Potential E&S Risks/Impacts	Mitigation Measures	Monitoring Parameters	Monitoring Frequency	Monitoring Responsibility
	Construction of infrastructure has negative impact on surface water sources	<p>Construction materials will not be stockpiled in proximity to aquatic environment that may allow for release into the environment.</p> <p>Construction equipment will be removed from in proximity to the aquatic environment at the end of each working day or if heavy rainfall is predicted</p>	Site assessments	<p>1 x prior to project initiation</p> <p>1 x during project implementation</p>	
<i>Desalination</i>	Increased concentration of saline outflows in the immediate vicinity of the outlet	Selection of a units should have a low recovery rate to minimise waste brine salt concentration.	<p>Assessment of system design at construction</p> <p>Conduct regular monitoring of units through lifecycle</p>	<p>1 x prior to project initiation</p> <p>Annual monitoring through unit life cycle</p>	Rural Water Committees (with costs included in sub-project proposal to CAP), Technical support provide at request from the PMU as needed.
	Disposal of waste through construction and maintenance has harmful environmental impacts (particularly electrical and electronic waste)	<p>Waste management plan as part of sub-project design</p> <p>Use of low-impact materials and equipment</p>	<p>Assessment of waste management plan</p> <p>Review of sub-project design</p>	<p>1 x prior to project initiation</p> <p>1 x during project implementation</p>	
	Energy requirements are high and could result in	Only solar energy is used for the powering	Detailed assessment of applications to ensure renewable	1 x prior to project initiation	

Sub-Project Prototype	Potential E&S Risks/Impacts	Mitigation Measures	Monitoring Parameters	Monitoring Frequency	Monitoring Responsibility
	increased use of fossil fuel-based energy generation if solar power fails	<p>of reverse osmosis pumps.</p> <p>Monitoring and maintenance plans for technology is incorporated into the CAP application to ensure solar power can be provided for the lifespan of the desalination unit.</p>	<p>energy systems are used</p> <p>Monitor energy source efficiency</p>	Annual monitoring through unit life cycle	

Annex 6: Stakeholder Engagement Plan and Summary of Consultations

This Stakeholder Engagement Plan and Summary of Consultations has been prepared for The Pacific Community (SPC), by E Co. to inform the project design of the Green Climate Fund (GCF) Funding Proposal titled: *Enhancing Adaptation and Community Resilience by Improving Water Security* in Vanuatu. This project will focus on delivering adaptation action for Vanuatu's water infrastructure and community users.

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Glossary

Affected Communities - Refers to groups of people living in close proximity to a project that could potentially be impacted by a project (“Stakeholders,” in contrast, refers to the broader group of people and organizations with both interest and influence on the project).

Consultation - The process of gathering information or advice from stakeholders and taking these views into account when making project decisions and/or setting targets and defining strategies.

Engagement - A process in which a company builds and maintains constructive and sustainable relationships with stakeholders impacted over the life of a project. This is part of a broader “stakeholder engagement” strategy, which also encompasses governments, civil society, employees, suppliers, and others with an interest in the Project.

Environmental and Social Management Plan - An assessment comprising various social and environmental studies which aim to identify project impacts and design appropriate mitigation measures to manage negative impacts, and to enhance positive ones.

Grievance Redress Mechanism - A process for receiving, evaluating, and addressing project-related complaints from citizens, stakeholders and other affected communities.

Non-governmental Organizations - Private organizations, often not-for-profit, that facilitate community development, local capacity building, advocacy, and environmental protection.

Partnership - In the context of engagement, partnerships are defined as collaboration between people and organizations to achieve a common goal and often share resources and competencies, risks and benefits.

Stakeholders - Persons or groups who are directly or indirectly affected by a project, as well as those who may have interests in a project and/or the ability to influence its outcome, either positively or negatively (IFC’s Handbook on Stakeholder Engagement (2007)); workers, local communities directly affected by the project and other stakeholders not directly affected by the project but that have an interest in it, e.g. local authorities, neighbouring projects, and/or nongovernmental organizations, etc.

Stakeholder Engagement Plan - A plan which assists investors with effectively engaging with stakeholders throughout the life of the project and specifying activities that will be implemented to manage or enhance engagement.

1. Introduction to the study

This report consists of a Stakeholder Engagement Plan (SEP) and Summary of Consultations and has been developed to support a Green Climate Fund (GCF) full Funding Proposal (FP) package for the project titled: *Enhancing Adaptation and Community Resilience by Improving Water Security*²¹ in Vanuatu, for which E Co. is providing Project Preparation Framework (PPF) services to the Pacific Community (SPC). The expected GCF fund-level impacts are:

A2.0: Increased resilience of health and well-being, and food and water security.

A2.3 (indicator): Number of males, and females with year-round access to reliable and safe water supply despite climate shocks and stresses.

A3.0: Increased resilience of infrastructure and the built environment to climate change.

A3.1 (indicator): Number of physical assets made more resilient to climate variability and change, considering human benefits.

The expected fund-level outcomes are:

A7.0: Strengthened adaptive capacity and reduced exposure to climate risks

A7.1 (indicator): Use by vulnerable households communities, businesses and public-sector services of Fund-supported tools, instruments, strategies and activities to respond to climate change and variability.

The proposed project has three outcomes:

Outcome 1: Communities are empowered to plan and manage climate-resilient water resources;

Outcome 2: Communities have enhanced climate-resilient rural water infrastructure; and,

Outcome 3: Provincial and national institutions are strengthened to address climate risks associated with water security.

This project is listed as the number 1 priority in the Vanuatu's draft GCF country programme and is being fully co-developed with the Nationally Designated Authority (NDA), the Department of Water Resources (DoWR) and the United Nations Children's Fund (UNICEF), alongside other stakeholders detailed in the Implementation Arrangement (attached as an Annex D), which guarantees full country-ownership. By addressing increasing risks and impacts from climate change on water resource management, and by working directly with affected communities (through community-based adaptation activities), the project is fully aligned with the Government of Vanuatu's climate change strategies and policies: Climate Change and Disaster Risk Reduction Policy 2016-2030 (for example: Strategic Priority 7.4.3), the National Adaptation Programme of Action (NAPA) and the Nationally Determined Contributions (NDCs). In addition,

²¹ <https://www.greenclimate.fund/document/enhancing-adaptation-and-community-resilience-improving-water-security>

the project is fully in line with Vanuatu National Sustainable Development Plan 2016 (for example: Objective ECO2.2) and the Vanuatu National Water Policy 2017-2030.

2. Objective to the study

Given that the project will be co-developed with the national-level stakeholders, and will focus on delivering adaptation solutions geared for increased climate-resilience of communities and the WASH sector, stakeholder engagement has been prioritized in the preparation stage. This report captures the stakeholder consultations undertaken by national experts and the engagement process undertaken as part of the project preparation phase.

Given, also, Vanuatu's national institutional arrangement for climate change and disaster risk reduction through the National Advisory Board (NAB), the structure of the DoWR from national to community level (as well as the overall decentralized administration of the national government through Vanuatu's six provincial governments) - stakeholder engagement is necessary, using existing mechanisms, at national, provincial and community levels to ensure key players are consulted and committed throughout the life of the project without having to create new and additional mechanisms. Processes for stakeholder engagement through this project have been designed to be flexible, adapting and responding to national and provincial conditions and activity requirements pertaining to CR-WASH in Vanuatu.

This project will target the following number of communities through its different outcomes:

Outcome	Targeted communities	Indirect / direct beneficiaries
1	600	68,520 direct beneficiaries (including 34,260 women), which is 22.5% of the total population of Vanuatu.
2	270 (including 220 already targeted by component 1, and 50 additional ones)	30,834 direct beneficiaries (15,417 women) (including 25,124 from Component 1 and 5,710 additional ones); which is 8% of the total population in Vanuatu.
3	2,000	Indirect beneficiaries: the entire rural population in Vanuatu (around 228,400 individuals, including 114,200 women, which is 75% of the total population)

The project will have strong stakeholder engagement throughout the project cycle to ensure that stakeholders (and importantly, affected communities, as distributed above) are being informed and consulted both prior and during project implementation and are given the opportunity to influence project activities. This SEP has been prepared according to Social and Environment Responsibility Policy of SPC²², as well as the revised Environmental and Social Policy of the GCF.²³

²² <https://www.spc.int/updates/news/2018/04/a-first-social-and-environmental-responsibility-policy-at-the-pacific>

²³ <https://www.greenclimate.fund/sites/default/files/document/revised-environmental-and-social-policy.pdf>

The objectives of this report are:

- To detail the findings gathered at the Inception Workshop (the outset of the consultation processes) and validation workshop
- To identify all stakeholders involved directly or indirectly in the programme and assess the nature and extent of their interests and influence, based on the consultations at the provincial- and national-level;
- To identify relationships for effective information sharing and communication between stakeholders as well as ways to consult them in a meaningful manner throughout the implementation of the programme;
- To specify procedures and methodologies for stakeholder consultations and feedback in the implementation stage - this will form the Stakeholder Engagement Plan (SEP); and,
- To establish an accessible, transparent, and responsive grievance mechanism for the project.

3. Inception Workshop: June 2021

An inception workshop, convened on 30th June 2021, commenced the consultation and engagement process with stakeholder agencies. The workshop was conducted by SPC and involved the participation of key players including the Vanuatu GCF NDA, the NAB Secretariat, DoWR, Ministry of Agriculture, Vanuatu Meteorology & Geo-hazards Department, Department of Strategic Planning, Policy & Aid Coordination, UNICEF, ADB, IOM and the NZ High Commission. Please refer to Annexes A and B for workshop agenda and detailed list of participants. The workshop was facilitated by E Co - with two working groups on co-financing and stakeholder mapping.

The outcome of the Inception Workshop included:

- an initial formulation of the climate rationale;
- an initial identification and elaboration of co-financing opportunities; and,
- an initial mapping of stakeholders.

The key findings of the Inception Workshop were:

- This project has been prioritised in Vanuatu's draft GCF country programme, and will aid the DoWR in implementing the Vanuatu National Water Policy (2017 - 2030), which will have impact in both management of climate as well as water resources. Particularly, the Policy will be extending safe and secure drinking water access to different asset owners (public offices, communities, school, health facilities, remote households).
- The non-climatic stressors that are affecting water security in Vanuatu include: social challenges related to population increase and land disputes or conflicts. At the human activity level, deforestation and livestock herding, as well as agricultural activities, are key stressors affecting water security. Deforestation introduces imbalances in ecosystem goods and services (such as: decrease in soil infiltration of water)²⁴, while mismanaged agricultural practices and animal husbandry often reduce water provisioning by quickly depleting sources. At the institutional level, key issues are system design challenges, limited capacity at the island level to maintain systems, and limited community ownership of projects for guaranteed sustainability. Geographical limitations (terrain) and volcanic activity are key environmental challenges also affecting water security in certain islands of the archipelago.
- Key climate stressors linked to water security challenges include: enhanced ENSO events (prolonged periods of drought and unpredictable rainfall patterns), sea level rise causing salt water intrusion and inundation, high exposure to cyclones (which routinely cause contamination/damage to infrastructure), flooding and landslides (which also cause

²⁴ This study explores the effect of deforestation on drinking water: <https://www.pnas.org/content/116/17/8249>. While water yield increases due to deforestation (as there are less trees to consume water), access to clean drinking water actually reduces with higher rates of deforestation, according to data analysis conducted in Malawi.

contamination/damage to infrastructure), and increased temperatures (leading to calcium deposition along piping systems, and overall damage due to limited durability of materials).

- A high percentage of the ni-Vanuatu population have access to basic water services at home, but this does not mean that water services are safely managed, and water services are accessible every day of the year.
- In rural Vanuatu, 61% of the population rely on fragile water sources (rainwater, groundwater and surface water), with 44% of the rural population dependent on rainwater. More than 60% of water samples collected through a national water inventory exercise were contaminated at the water source or collection points.
- A National Implementation Plan (NIP) process has been established by the Government of Vanuatu (GoV) to address safe and secure drinking water. The process entails assessment and identification of required water security interventions at the community level, which are classified into “no cost” and “cost” options. Communities are required to address “no cost” interventions to qualify for funding to address the “cost” options through a Capital Assistance Programme (CAP). The CAP is a dedicated pool of funding established with donor support as a means of implementation for “cost” options identified in the NIP process. Communities are qualified for CAP on completion of “no cost” interventions identified in the NIP process.
- The preference of the GoV, through the DoWR, is for the NIP process to form the basis for the identification of project interventions for this GCF proposal - to ensure that the interventions are community-led and owned. This would work towards addressing the institutional challenge of limited sustainability and lack of ownership of projects.
- There is a rich pool of actors active in the water security and WASH space in Vanuatu, including government agencies, development partners, non-governmental organizations (NGOs), civil society organizations (CSOs) and the private sector. There are substantial opportunities for collaboration, and scaling up of project efforts - with avenues for co-financing - once the project activities are clearly defined at the preparation stage.

4. Stakeholder Consultations: July - September 2021

4.1 National-level consultations - 27 July - 1 September 2021

Following the Inception Workshop, one to one/face to face consultations, ranging from one to two persons at a time and in accordance to COVID-19 guidelines laid down by the Government of Vanuatu, were held with key government agencies and NGOs, who are actively working or involved in the national water safety and security processes and the improvement of WASH service delivery.

At the government level, key stakeholders consulted include the:

- Department of Water Resources
- Department Meteorology & Geo-hazards,
- National Disaster Management Office,
- Department of Strategic Planning, Policy & Aid Coordination
- National Recovery Committee,
- Department of Environment Protection & Conservation,
- Department of Forests
- Department of Livestock
- Department of Women's Affairs
- Utility Regulatory Authority

NGOs consulted include:

- Vanuatu Red Cross Society
- World Vision

International organizations consulted include:

- UNICEF
- Global Green Growth Institute (GGGI)

All the stakeholders engaged in the consultation process were identified through a stakeholder mapping exercise that was delivered as part of the Inception Workshop. The mapping exercise involved input from the DoWR, other government agencies, and development partners such as: UNICEF, International Organization for Migration, New Zealand Agency for International Development, and the Asian Development Bank. SPC - as the Accredited Entity to the GCF - led these discussions. Given the well-established institutional arrangements for the delivery of water security programmes in Vanuatu as well as existing partnerships and projects in the water security space, there were no challenges in identifying key players. Please refer to Annex C for detailed list.

The **DoWR**, under the Ministry of Lands and Natural Resources, is the national government agency responsible for water security in Vanuatu with functions provided for by the Water Supply Act and

also the Water Resource Management Act. With physical presence in all provinces of Vanuatu, the core activities of the department have always revolved around both urban water and rural water programmes with a strained staff capacity. However, institutional changes are being implemented to separate core functions, create new institutions and improve program focus while maintaining and strengthening staffing capacity. A new Urban Water Unit, a Project Management Unit (PMU) and a separate Rural Water Supplies Department are in the process of being established. These recent developments have also highlighted the need to consider establishing a National Water Authority. The DoWR expects all programmes, projects and funding for water security initiatives to be delivered through the NIP and CAP process in terms of site selection and financing, to ensure both ownership and sustainability of these interventions.

Other government agencies: The Ministry of Agriculture, Livestock, Forestry, Fisheries and Biosecurity highlighted the urgent need for greater horizontal collaboration across agencies to strengthen resource management functions, as well as mainstream key cross-cutting themes, such as gender. There is strong basis for collaboration through existing national processes as well as sector specific strategies and policy frameworks relevant to water security including the National Environment Policy, the National Climate Change & Disaster Risk Reduction Policy, the National Forest & Landscape Restoration Strategy, the National Agriculture Policy and the National Gender Policy.

NGOs or operators affirmed climatic and non-climatic water security challenges across Vanuatu and stressed the need for DoWR to improve engineering and design capacity so it is able to provide operators with technical backstopping. NGOs recommend a greater level of awareness at all levels, in particular the community level, on the NIP and CAP process as well as the need to streamline the process so that it is efficient - in its current form, the time between a Drinking Water Safety and Security Plan (DWSSP) and CAP is too long and needs to be shortened.

UNICEF and other WASH partners echoed the need to sensitize communities on the NIP and CAP process as well as the need to improve the engineering capacity of the DoWR. They recommended outsourcing engineering aspects of the DoWR functions in the interim, and also stressed the importance of establishing a dedicated PMU to facilitate the rollout of water security programmes and projects.

The Department of Women's Affairs highlighted that gender has been incorporated in some of the WASH processes over the years. However, mainstreaming remains a need across all WASH stakeholders that requires ongoing improvement. WASH design interventions and processes within government sectors and NGOs need to be more responsive to the needs of children, the elderly and LGBTQIA+. A gender responsive budgeting initiative trialled at the government ministry level by the Department of Women's Affairs aims to measure and strengthen gender policy commitments and investments across ministries. The recently launched 2021-2030 National Gender Policy provides a framework to guide future efforts into gender mainstreaming at national as well as provincial levels.

4.2 Provincial consultations - 20th - 29th September 2021

Given the reach of the proposed project down to community-level interventions, it was determined consultation at the provincial level was necessary to inform the design process. Accordingly, with guidance from DoWR, the provinces of Penama, Sanma and Torba were selected.

The Torba Province consists of the Torres and Banks group of islands in the north of Vanuatu. The Torres group is located in the extreme north of Vanuatu and comprises of 5 islands: Hiu, Metoma, Tegua, Loh and Toga. The Banks group include Mota Lava, Mota, Merik, Ureparapara, Vanua Lava and Gaua islands. The provincial centre or headquarters is located on the island of Vanua Lava. Penama encompasses the three islands of Pentecost, Ambae and Maewo with the provincial headquarters located on Ambae, while Sanma covers the islands of Espiritu Santo and Malo where the provincial headquarter is located in the northern town of Luganville on Santo.

The rationale for the focus consultations in the three provinces of Torba, Sanma and Penama include:

- A lower number of water security investments and WASH-related programmes in these provinces, due to commitments in other provinces brought about by previous extreme events such as Tropical Cyclone Pam.
- Annual challenges with water shortages in the cold and dry winter months due to large percentages of communities in these provinces relying on fragile sources of water, as compared to the national average.
- Most recent extreme events - Tropical Cyclone Harold, Lopenpen volcanic eruption and the aftermath of the Gaua volcano eruption - have highlighted urgent WASH and water security challenges in these island groups.
- The costs associated with delivering projects in the northern provinces are quite high, given their distance from main supply chains and administrative areas in the southern parts of the Vanuatu archipelago.
- All three provinces are among the provinces with the highest incidence of gender inequality and gender-based violence issues.

The provincial consultations were conducted in one field mission from 20th September to 29th September 2021. The mission, organized by the SPC, entailed travel initially from the capital Port Vila to Ambae island, the provincial headquarters for Penama province on the 20th September. The consultation on Ambae was then conducted on the 21st September 2021. A chartered flight to Vanua Lava island from Santo was arranged on the 24th September where a consultation was conducted the same day with the Torba provincial government. Consultation with the Sanma provincial government was undertaken on the 27th of September 2021 on the island of Santo.

The focal points of these provincial consultations were the Provincial Technical Advisory Commissions (PTACs) for each of the three local governments. The PTAC is a multi-sector entity established through the Decentralization Act that functions as the advisory and coordinating mechanism for all government services at the provincial level. The PTAC is chaired by the Secretary General and the membership of the commission comprises cross government agency representatives including the Departments of Water, Health, Agriculture, Livestock, Fisheries, Tourism, Justice, Infrastructure, Disaster Management, Police and others. The PTAC and the provincial governments are further connected down to communities via Area Administrators and Area Secretaries who are provincial government personnel placed at the Area Council level.

CSOs, NGOs and members of the Provincial Water Resource Advisory Committees (PWRAC) are also represented in the PTAC. Accordingly, participation at the workshops was mostly government and institutional representatives, Provincial Government representatives, NGOs, and for Torba Province in particular - members of the community including chiefs, youth and church representatives.

Documentation of participants attending the three different consultations was by way of the circulation of a registration template. The template requires participants to fill in their names, designation or institution and their contact details. Please refer to Annex D for detailed list.

Consultations at the provincial level followed a structured, workshop type approach where presentations were delivered initially on the baseline of water security in Vanuatu alongside the policy mechanisms of the NIP and the CAP processes. This was done to set the scene followed by a presentation on the proposed project and information required to assist its design process. The stakeholders engaged were provided ample time for questions and clarifications from after each presentation.

Group work then followed the presentations where the PTAC membership were divided into groups (reflecting gender balance, where possible) to tackle the:

- identification of climatic and non-climatic challenges to water security;
- identification of current, future projects and remaining gaps;
- gender needs; and,
- stakeholder mapping exercise.

The work of the individual working groups were documented in writing on butcher paper for ease of reporting back. Report back sessions followed the individual group exercises to allow for questions and input from the audience. The main outcome of the three consultation workshops are as follows:

Direct climate related challenges are and continue to be an impediment to water security in all three provinces. These climate stressors include prolonged droughts that trigger water shortages, saltwater intrusion into groundwater resources, cyclone impact on water infrastructure as well as source points, and discussions of fast-onset extreme events such as flooding and landslides (that bring about contamination of sources as well as damage WASH infrastructure).

Non-climatic water security challenges were also identified:

- 62% relate to institutional challenges at national, provincial and community levels;
- 19% relate to social issues at the community level (land disputes, conflicts, vandalism, population increase);
- 8% relate to natural challenges (volcanic eruption/ash fall, geographical limitations resulting in only fragile sources available and earthquake damage to infrastructure);
- 5% relate to development challenges (deforestation, agriculture/farming activities and lack of critical infrastructure such as roads/ports for deployment of drilling rigs); and,
- 1% of the challenges relate to cultural practices where water use for such practices/events takes priority over the needs of people even in water stressed areas.

The institutional challenges that were identified, at all levels, could be classified further as;

- 60% related to broad institutional, administrative management and planning issues: non-functional water committees, lack of provincial water plans or frameworks;
- 20% related to human resource capacity constraints (staffing/engineering expertise) and lack of awareness on key policy mechanisms (DWSSP, NIP & CAP, Water Act - Enforcement/Powers of Water Committees); and,
- 20% related to lack of enforcement (Water Act, Waste Management) and non-compliance (improper design, NGOs bypassing national/provincial processes and regulations).

The consultations also identified ongoing relevant water security work that are being implemented by government and NGOs in the provinces that provide a basis for future development opportunities in the sector. These ongoing works range from direct and indirect gravity fed systems to rainwater catchment systems. Participants also identified the key gender groups at the community level and articulated their different needs that should be incorporated into the design of new water security/WASH projects and programmes so that interventions are responsive to the needs and special circumstances of all beneficiaries. These gender groups and their specific gender needs were summarized well by a breakout group in Penama province below:

Gender Group	Needs
Elderly (60+)	<ul style="list-style-type: none"> ▪ Easy access/tap stands to be in close proximity ▪ Taps fitted at a lower level for accessibility ▪ Ball taps for ease of use ▪ Solar lighting in the tap use area
Disability/Disabled	<ul style="list-style-type: none"> ▪ Easy access ▪ Ramp for wheelchair/hand rail ▪ Solar lighting in the tap use area
Women (menstruating/lactating)	<ul style="list-style-type: none"> ▪ Separate shower facilities with dignity facilities ▪ Safe house for menstrual hygiene ▪ Separate individual tank with RWCs for menstrual hygiene / child-related water use ▪ Solar lighting for security / privacy
LGBTQI	<ul style="list-style-type: none"> ▪ Separate shower facilities ▪ Solar lighting for security / privacy
6-18 years (school students)	<ul style="list-style-type: none"> ▪ Separate water storage for: bathroom use and kitchen use (to reduce collection burdens)
0-5 years	<ul style="list-style-type: none"> ▪ Safety valves to be fixed before taps are installed
NB. There is an urgent need to install gender-responsive signs to specifically assigned facilities at the community level.	

Based on previous and ongoing projects and programme experiences, the workshops were quite clear in recommending the key stakeholders that need to be engaged in any future projects to guarantee success, ownership, responsiveness to needs and sustainability. In summary, the key stakeholders are:

- national-level and provincial-level authorities and coordination mechanisms;
- community leaders (chiefs, clergy & landowners);
- gender representatives from different areas;
- CSOs and NGOs, active in the area; and,
- different cooperatives and associations.²⁵

²⁵ Key stakeholders will be further described in section 5.3 below.

5. Validation Meeting: March 2022

A validation meeting, commenced on 23rd March 2022, was held to provide stakeholders with an update of the status of the project and present to the key sections of the drafted funding proposal for no objection to proceeding to submission. The meeting was entirely virtual due to COVID-19-related complications. Planned presentations centered on the project structure, implementation arrangements and budget, discussions of the different annex status. The workshop was conducted by SPC, alongside the DoWR, and involved the participation of key players including the Vanuatu GCF NDA and the NAB Secretariat.

Agenda: Recent consultations with UNICEF and the DoWR had indicated the need to refine the budget tailor identified gaps to country contexts. As such, further consultation was planned on the budget and the final draft will be sent to all meeting participants for validation on completion. The budget was not presented in this Validation Workshop but was validated over multiple meetings held with the consultants (E Co.) with SPC.

Presentation 1 - Project structure: SPC provided a quick presentation of the project structure and activities to participants. After each output was presented, the floor was opened for comments on the activities. Comments were as follows:

Component 1: no comments were fielded concerning the structure and activities presented

Component 2: UNICEF colleagues raised three comments on the activity structure.

- Multi-Criteria analysis under activity 2.1.1 should be carried out through the Provincial Water Rural Advisory Committee. SPC noted this and will ensure the narrative of the document reflects this.
- Training related to Operations and Maintenance should include training to plumbers as well as to Rural Water Committees to ensure holistic management and maintenance of infrastructure investments. SPC noted this and will ensure the narrative of the document and the budget reflects this.
- Community ownership is crucial and should be built into the processes and activities. SPC noted the comments and highlighted that DWSSP development under Component 1 will directly engage communities in the development of DWSSPs as per the NIP process. This is also embedded in the development of Capital Assistance Programme applications under Component 2. SPC will ensure the narrative of the project documents clearly articulates this.

Component 3: UNICEF raised the point that Monitoring Evaluation and Learning systems should build on DoWR's existing frameworks. SPC responded that as per activity 3.3.1 the project will conduct stocktakes of the existing MEL process and collate lessons learned and best practices to build and integrate more robust MEL protocols within the DoWR system.

Presentation 2 - Implementation Arrangements: SPC presented the overview of the project's intended implementation arrangements and the structure of the intended positions within the Project Management Unit (PMU).

There was no objection to either the overall project implementation structure or the PMU structure. However, a comment was raised by the Government of Vanuatu NAB secretariat on

the sustainability of positions post project. SPC indicated that the way the project was designed was that technical positions would be in place that could be sustained by the DoWR post-project, whilst other positions were project-specific e.g., project Manager, that would not be sustained. This was supported by the Director of the DoWR who indicated the staffing positions aligned with the DoWR restructuring and that the MEL officer, Procurement and Finance Officer, and the Provincial Engineers could be sustained by the DoWR post project.

An additional comment was made by the GoV that the Project Manager role should also have a role in reporting to the NDA and NAB office as required. SPC responded that this is built into the design with the National Project Steering Committee being co-chaired by the Director DoWR and the NDA, who will receive regular updates on the project and approve annual work plans and budgets.

No objection to proceeding: following the presentation of the structure and implementation arrangements a vote to obtain no objection to proceed to submission under the proposed proposal was held. No objection was recorded and the meeting was closed off with remarks from the Director General of the Department of Climate Change - Ms. Esline Garaebiti.

6. Stakeholder Engagement Plan (SEP)

This proposed SEP will cover the period from project inception right up to project closure.

The SEP recognizes and aligns with existing institutional arrangements at national, provincial and community levels to ensure that all key and potential stakeholders are engaged throughout the life of the project. The purpose of the SEP is to provide a framework for appropriate stakeholder consultation and information disclosure in the context of Vanuatu's water sector, which meets the requirements of the Government of Vanuatu, GCF and SPC. Particularly, the SEP will facilitate project decision-making by involving project-affected parties, citizens in the project locations, and other stakeholders in a timely manner so that these groups are provided enough opportunity to voice their opinions and concerns to shape both the design and implementation of the project to incorporate those concerns.

The overall objectives of SEP are to:

- Identify the roles and responsibilities of all stakeholders and ensure their meaningful participation in all stages of the project cycle;
- Establish a systematic approach to stakeholder and citizen engagements that will help to identify stakeholders and build and maintain a constructive relationship with them, in particular project-affected parties;
- Assess the level of stakeholder interest and support for the project and to enable stakeholders' views to be considered in project design and environmental and social performance;
- Promote and provide means for effective and inclusive engagement with project-affected parties throughout the project cycle on issues that could potentially affect them; and,
- Ensure sustainability and project ownership beyond and after the conclusion of the project.

To do so, the SEP presents:

- In-depth stakeholder mapping and analysis;
- Planning how the engagement with the stakeholders will take place in the implementation stage;
- The right to information and regular information disclosure;
- Grievance Redressal Mechanism (GRM); and,
- Steps towards monitoring and reporting on the SEP, during project implementation.

6.1 Current architecture of oversight

There are a number of important institutional, coordinating or implementation mechanisms that provide a strategic platform for consultation purposes at the national and provincial levels. In most cases, all the stakeholders critical to water security or WASH projects are represented in

these different platforms or mechanisms. These include government agencies, development partners, NGOs, CSOs and Academia. Strategically, for consultation and stakeholder engagement purposes, the process should ensure going through these mechanisms to benefit from their input as well as their linkages “top-down” and “bottom-up”. This has been clearly emphasized in the result of the provincial consultation stakeholder mapping exercises.

Institutional arrangements and or coordinating mechanisms that already exist and are critical for consultation and engagement purposes are expounded below:

National Advisory Board: At the overarching national level, the NAB is the supreme policy making and advisory body for all climate change and disaster risk reduction programmes and projects. It is an essential platform for the consultation and endorsement of all GCF projects prior to the NoL process of the NDA.

National Water Resource Advisory Committee (NWRAC): The NWRAC is the policy making and advisory body for all matters relating to water including programmes and projects. The NWRAC is linked to the PWRAC at the provincial government levels and the PWRAC is further linked to numerous Community Water Committees at the community level.

Provincial Technical Advisory Commissions: At the provincial level, the PTAC is the advisory and coordinating mechanism for all programmes and project processes. The PTAC is chaired by the Secretary General of each provincial government and comprises cross government agency representation, CSOs as well as NGOs. The PTAC is linked to Area Councils through Area Administrators and or Area Secretaries who are placed at the community level in various Area Councils as focal points for the Provincial governments.

6.2 Representation of indigenous people and diverse gender groups

SPC, in its SER policy, and in alignment with the GCF Indigenous Peoples’ Policy recognizes that indigenous peoples are unique and a distinct stakeholder of the GCF.

98.5% of the Vanuatu population is indigenous ni-Vanuatu of Melanesian ethnicity with the remaining 1.5% of the population being European, Asian, other Melanesian, Polynesian, Micronesian identities. The latter 1.5% portion of the population is mostly urban, and located in the Port Vila region.

Given that the project is designed to be implemented within rural communities, the beneficiaries will mostly be indigenous ni-Vanuatu.

In the provincial consultation process, the stakeholder engagement experts in collaboration with DoWR staff, ensured the interest of indigenous people and gender groups are represented through the participation of the following:

- Provincial Council representatives (SGs/Provincial Officers/local planning authorities)
- Provincial Area Secretaries and Area Administrators - placed at the area council/community level

- Custom Land Officers - placed at the area council/community level and working in the interest of land owners and land users
- Chiefs - Oversight of all people at village, area and island levels
- Discussions with communities at village council areas / nakamals, focused on introducing the project idea and gathering feedback on the preliminary design - with a particular focus on gender and other diverse needs
- Targeted sessions with women and youth groups, to ensure their needs are identified and reflected in the project design phase

The stakeholder mapping in Table 1 captures key institutions and coordination mechanisms at national, provincial and community levels that guarantee the representation of indigenous people during project implementation through the overarching mandate of the national government.

Additionally, the Community Grievance Mechanism discussed in Section 7 provides pathways for aggrieved indigenous individuals or groups to seek redress through traditional governance mechanisms and/or the provincial decentralized institutional arrangement.

6.3 Stakeholder mapping for climate-resilient WASH

The **primary stakeholders** for the project are the: GCF NDA, DoWR, WASH sector partners, NWRAC, PWRAC and PTACs/provincial authorities. Additional stakeholders that will play a role in the project are different CSOs, NGOs or operators, and beneficiaries from affected communities.

In the preparation stage of the project, a thorough **Gender Assessment and Action Plan** has also been developed to ensure women and other diverse gender groups are represented in the design of the project, as well as targeted as beneficiaries with equitable access during implementation of the project. Engaging these often marginalized groups will be key to the success of the project, and will be ensured through targeted workshops or meetings - particularly at the community level - during the implementation stage.

STAKEHOLDER TYPE	MAIN AGENCIES	DESCRIPTION	PROPOSED ROLE IN THE PROJECT
National Coordination Mechanisms	NAB NWRAC	Coordination and policy decision mechanisms that have legislative functions and are multi-sector in composition	The project will build upon these existing coordination mechanisms to reinforce alignment, ownership, and sustainability of project results.
Key Government Institution	Department of Water Resources	Lead project executing entity as well as the head of the project steering committee and PWRAC (see Implementation Arrangements) Responsible for the Water Resource Management Act Responsible for NIP/CAP and for the DWSSP Chair/Secretariat of the NWRAC Chair of the WASH Cluster	Focal government institution for this project co-chairing the Project Steering Committee, leading the PWRAC, and housing the PMU

STAKEHOLDER TYPE	MAIN AGENCIES	DESCRIPTION	PROPOSED ROLE IN THE PROJECT
National Government Institutions	Department of Lands Department of Local Authorities Department of Environment Department of Climate Change Department of Meteorology & Geo-hazards Department of Energy National Disaster Management Office Department of Forests Department of Agriculture Department of Livestock Department of Public Health/Environmental Health Department of Strategic Policy, Planning & Aid Coordination Department of Women's Affairs	National agencies and policymakers responsible for designing national policy and programmes, including those related to climate change adaptation and water security	Contribution to the National Project Steering Committee (NPSC) - Ministry of Local Authorities. Contribution to policy and practices related to climate resilient water services; Indirect beneficiaries
Provincial Level Coordination Mechanisms	Provincial Technical Advisory Commissions Provincial Water Advisory Committee	Provincial-level policy coordination and decision making bodies on matters relating to government services, programmes and projects	Strengthen and build upon mechanisms including PWRAC and Water Advisory Committees to ensure alignment, ownership and sustainability of results
Provincial Government Institutions	Department of Water Resources Department of Public Works National Disaster Management Office Department of Forests Department of Agriculture Department of Livestock Department of Public Health/Environmental Health Department of Education Department of Tourism Police	Responsible for delivering government services, provincial level policies, regulations and activities.	Participation in PWRAC, beneficiary of training and coordination activities. Support and facilitate local project implementation according to their mandates.
CSOs & NGOs (women's groups, environmental groups, youth groups, etc.)	World Vision Save the Children Oxfam Red Cross Society Vango Care International ADRA Hexagon Presbyterian Church of Vanuatu Vatu Mauri Consortium Vanuatu National Council of Women REDD+ CSO Platform Vanuatu Foresters Association	Non-profit organizations supporting communities through water security and climate change adaptation projects, resource management projects, awareness programs capacity building	Representation on National Project Steering Committee (representative from VANGO). They are major players in ensuring gender-responsive WASH practices among communities in Vanuatu - and could provide a supporting role in ensuring that these sections are represented during the implementation stage of the project. Consultation
Communities	Provincial Government Officers & Coordination Mechanisms ▪ Area Secretary		Main project beneficiaries who play implementation and coordination support roles at the

STAKEHOLDER TYPE	MAIN AGENCIES	DESCRIPTION	PROPOSED ROLE IN THE PROJECT
	<ul style="list-style-type: none"> Custom Lands Officer Area Technical Advisory Committee Area Admin Officer Water Committee Health workers Teacher/Schools Community Disaster & Climate Change Committee Provincial Counsellors Plumbers Community police <p>Community Leaders & Landowners</p> <ul style="list-style-type: none"> Chiefs Landowners Member of Parliament Church representatives <p>Gender Representatives</p> <ul style="list-style-type: none"> Youth leaders Women representatives Disability representatives LGBTQIA+ representatives <p>CSOs</p> <ul style="list-style-type: none"> Cooperatives Rural Training Centre representatives <p>NGOs</p> <ul style="list-style-type: none"> Red Cross GGGI World Vision 		community level. Participation in WASH coordination mechanisms, MEL and Knowledge Management activities. Consultation.
Development Partners	UNDP World Bank ADB IOM WHO UNICEF FAO MFAT/NZAID DFAT/AUSAID IsraAid JICA	Long term development partners in resource management, climate change and resilience space with ongoing portfolio of projects relevant to water resource management, critical for project development coordination and synergies	Participation in WASH partner coordination activities and support mechanisms. Alignment in supporting sustainable nationally owned policies and mechanisms, Co-financing. Consultation.
Private Sector & Authorities	UNELCO VUI Chamber of Commerce URA	Water concessionaires, businesses/firms and regulatory authorities with interests in water development and security	Beneficiaries of training, contractors to deliver improved water infrastructure.

6.4 Component-wise and phase-wise mapping for the project

Project outputs	Topic of consultation	Key stakeholders	Potential issues / Engagement strategy	Methods Used	Timeframe / Location
Preparation Phase					
All	Proposed project components	DoWR SPC UNICEF	<u>Issues</u> with the current situation (baseline) ; draft intervention strategy and proposed project improvements	Focus groups/interviews/inception and	Prior to project appraisal

		GCF NDA	accessibility and mobility in the project area <u>Engagement strategy:</u> Regular communication, meetings, workshops, document reviews	validation workshops.	
All	Stakeholder consultation on all draft documents: ESMP GA-GAP SEP & GRM	DoWR SPC	<u>Issues:</u> Quality of the analysis, suitability of the proposed measure to address potential risks <u>Engagement strategy:</u> Disclosure of the documents Enabling key stakeholders to provide their opinion, feedback, suggestions on the technical, environmental and social assessments Integrate and address raised suggestions, opinions and considerations in the assessments	Emails, letters to stakeholders with appropriate background information and SEP, posting on the Platform/website for feedback, focus groups	As soon as each individual deliverable is completed/ the documents are elaborated The documents will be available to the public (through the News and Media tab hosted by the Ministry of Lands and Natural Resources) ²⁶ for a period of 10 days to provide comments and suggestions

Project outputs	Key stakeholders	Potential issues / Engagement strategy	Methods Used	Timeframe / Location
Implementation Phase				
1.1 New and existing DWSSPs incorporate incremental improvements to mainstream adaptation solutions	DoWR WASH Cluster NDMO (other govt. institutions) SPC	<u>Issues:</u> necessary improvements of the current DWSSP methodology <u>Engagement strategy:</u> Implementation of improvements through consensus among water governance bodies	Meetings, workshops and trainings led by DoWR at different levels of government	This output will run the duration of the project (year 1 - year 5), as the process is expected to incrementally be updated. Updates to be made annually.
1.2 Awareness, capacities and skills of communities and area administrators on	PTACs DoWR - provincial	<u>Issues:</u> Limited sustainable management of water resources by communities	In the preparation phase, provincial	

²⁶ The documents will also be made available on the DoWR Water Quality Dashboard, as it is easily accessible. Accessibility to the document can be paralleled through the National Advisory Board, which maintains a list of climate change interventions: <https://www.nab.vu/climate-change-initiatives-and-activities-vanuatu>

climate-resilient water management improved	governance bodies and officers Area Administrators within communities Communities	Non-functioning water committees Provincial water governance issues (led by Provincial Water Supervisor and Community Water Development Officers) Lack of awareness of DWSSP processes in some communities <u>Engagement strategy:</u> A baseline analysis to inform provincial stakeholders of the project design Awareness raising and capacity building from the DoWR	consultations During project implementation, site visits, workshops and trainings	Training annually in years 1-4 (Q2 each year) Ten knowledge sharing events in Q1 / Q3 years 1-5 (on average twice per year). Events taking place in national and provincial locations
1.3 Vulnerable communities are supported to develop and implement their DWSSPs (600 by the end of the project cycle)	PTACs DoWR - provincial governance bodies and Water Officers Area Administrators within communities Communities	<u>Issue:</u> Limited knowledge of DWSSP/NIP/CAP <u>Engagement strategy:</u> On the ground consultation, awareness raising, training, support to community water committees	Meetings, workshops, assessments and trainings led by DoWR and WASH sector partners	Regular starting in Y1Q3 and continuing throughout community engagement to end of Y4Q4. At community level.
2.1 270 vulnerable communities supported to construct, operate, and maintain climate-resilient water infrastructure	DoWR Communities with selected DWSSPs	<u>Issues:</u> Climate stressors, Non-climate stressors, Limited finance Fragile water sources <u>Engagement strategy:</u> On the ground consultation, awareness raising, training and support to community water committees	Workshops, assessments and trainings	Starting in Y1Q4 and continuing to Y4Q4 At community level
3.1 National- and provincial-level staff and WASH sector partners trained on climate-resilient water management	DoWR Ministry of Agriculture, Livestock, Forestry,	<u>Issue:</u> Limited climate-resilient water management at national and provincial levels	Workshops and trainings	Starting Y1Q1 and continuing to end of Y2Q2 consisting of two trainings in each of the 6 provinces,

	Fisheries and Biosecurity Ministry of Climate Change Ministry of Education and Training Ministry of Health	<u>Engagement strategy:</u> 5 institutions will be strengthened nationally, alongside their provincial offices in each 6 provinces.		training for WASH sector partners.
3.2 Knowledge management through data sharing mechanism established for climate-resilient water management	DoWR SPC Communities	<u>Issue:</u> Lack of robust KM mechanisms <u>Engagement strategy:</u> Stakeholders will be trained on KM protocol and usage of data dashboard	Workshops and coordination	Consultations on KM processes will start in Y1Q3 and continue to Y4Q2 with rollout of mechanisms Y2Q2 to Y5Q4 National and provincial level supporting by community KM events (output 1.2)
3.3 Monitoring, learning and evaluation framework established for improved learning for climate-resilient water management	DoWR SPC Communities	<u>Issue:</u> Lack of robust M&E mechanisms <u>Engagement strategy:</u> Stakeholders will be trained on M&E mechanism	Training	Training for WASH sector partners on MEL in Year 1 and 3 at provincial / national level.

7. Monitoring and Evaluation of the SEP

Monitoring and evaluation of the SEP will be completed during the mid-term and terminal evaluation of the project. To aid the M&E of the SEP, the institutional arrangements for the delivery of the SEP will be finalized through the project steering committee, with regular coordination or progress meetings (at least annually) planned throughout the implementation timeframe to allow for the effective monitoring, evaluation, learning and adjustments of the SEP.

An initial evaluation, led by the PMU, will be conducted at the national and community levels prior to any major activities to take stock of the existing key stakeholders and the relevant coordinating mechanisms at the preparation stage.

During implementation, a mid-term evaluation should be undertaken to consider the quality and adequacy of the inputs of the stakeholders and the effectiveness of the institutional or coordinating mechanisms for stakeholder engagement.

A terminal evaluation should be conducted prior to project closure to evaluate achievements/outcomes and identify areas for improvement as well as long term sustainability and replicability.

M&E Timing	M&E Focus	M&E Key Questions
Preparatory phase Baseline phase Pre-delivery of the project components	<ul style="list-style-type: none"> Pre-determined vs existing stakeholders and coordination/engagement mechanisms at the national level Pre-determined vs existing stakeholders and coordination/engagement mechanisms at the provincial level Pre-determined vs existing stakeholders and coordination/engagement mechanisms at the community level 	<ul style="list-style-type: none"> Who are the stakeholders at the national, provincial and community levels and what is the level of their influence? What are the coordination/engagement mechanisms at the national level, provincial and community levels and what is the level of their influence?
Mid Term	<ul style="list-style-type: none"> Input of key stakeholders Effectiveness of engagement mechanisms 	<ul style="list-style-type: none"> What is the quality and adequacy of the input from key stakeholders? How effective has the implementation of the stakeholder engagement plan been? Have the objectives of the plan been met? What needs to be improved? How can

		improvements be brought about?
Terminal	<ul style="list-style-type: none">• Overall effectiveness of stakeholder inputs• Overall effectiveness of engagement mechanisms	<ul style="list-style-type: none">• Have the stakeholders achieved the outcomes of the plan and project?• Which stakeholder needs evolved and how were they been addressed?• What are the lessons learned?

8. Grievance Redress Mechanism

A grievance is a concern or complaint raised by beneficiaries of affected communities and stakeholders related to the perceived or actual impacts of the project activities. The objectives of setting up an appropriate grievance redress mechanism (GRM) are to:

- provide stakeholders with a clear process for providing comment and raising grievances and concerns in an anonymous manner;
- structure and manage the handling of comments, responses, and grievances in a timely manner; and,
- ensure that comments, responses, and grievances are handled in a fair and transparent manner and in line with local and national policies.

The GRM can serve as an effective tool for early identification, assessment and resolution of grievances and therefore for strengthening accountability to beneficiaries. The GRM is an important feedback mechanism that can improve project impact and respond to concerns and grievances of project-affected parties (e.g. related to the environmental and social performance of the project) in a timely manner. With restrictions on movement, it is important that, where possible, staff managing grievances can access systems remotely to enable GCFM processes to be conducted effectively. The SEP will keep the local communities and other stakeholders informed about the project's activities, to specifically address gender-based violence (GbV) and other cross-cutting issues.

8.1 GCF Grievance Redress Mechanism

Paragraph 69 of the Governing Instrument of the Green Climate Fund (GCF) requires the Board to establish an Independent Redress Mechanism (IRM) that will report to the Board. The Board established the IRM through the adoption of the Terms of Reference (TOR) of the IRM which sets out various matters, including the role and functions, governance and administrative arrangements of the IRM. In accordance with its TOR, the IRM is mandated to carry out the following functions:

- (a) Review requests for reconsideration of a project or programme that has been denied funding by the Board and, as appropriate, make recommendations to the Board;
- (b) Address grievances or complaints by a person, group of persons or community who/which have been or may be adversely impacted by a GCF funded project or programme through problem solving and/or compliance review, as appropriate;
- (c) Initiate proceedings on its own to investigate grievances of a person, group of persons or community who/which have been or may be adversely impacted by a GCF funded project or programme;
- (d) Monitor whether decisions taken by the Board based on recommendations made by the IRM, or agreements reached in connection with grievances or complaints through problem solving, have been implemented, and report on that monitoring to the Board;

- (e) Recommend to the Board the reconsideration of existing policies, procedures, guidelines and systems of the GCF based on lessons learned or good international practices;
- (f) Share best practices and give general guidance that can be helpful for the GCF's readiness activities and accreditation process and for supporting the strengthening of the capacities of accountability/redress mechanisms of the DAEs; and
- (g) Provide education and outreach to GCF staff, relevant stakeholders and the public.

A request may be submitted to the IRM, by sending it to the mailing address or email address of the IRM as published on its website (<https://irm.greenclimate.fund/case-register/file-complaint>). A request may be submitted in any of the six official languages of the United Nations (UN), provided that where a request is in a language other than English, it must be accompanied by an English translation. The English version will prevail in the event of a conflict.

8.2 SPC's Grievance Redress Mechanism

SPC has a Grievance and Redress Mechanism (GRM) in place to ensure that complaints are being promptly reviewed and addressed by the responsible units.²⁷ This process aims to address complaints from affected stakeholders, including communities, about the social and/or environmental performance of the project, and to take measures to redress the situation, where necessary. For the process to be efficient, project stakeholders have to be properly informed that SPC has such a mechanism established, and how they can access to it to settle their grievance, see section 7.2.

The SPC GRM is operated through a web-hosted page on SPC site for the expression of concerns or complaints, which can be posted by email with the information in using the complaints' template.²⁸ Concerns expressed shall be received by the legal team who will reach out internally, primarily to the division in charge of the project or to relevant division. Grievances will be sorted out through a conflict resolution process. In case this process is not functional, other process will be used, such as a compliance system, the overall objective being to address and redress project stakeholders' grievances in a simple and efficient manner.

8.3 Project-level Grievance Redress Mechanism

Through a project-level GRM, SPC will receive concerns or grievances from an affected community about the environmental and social plans or performance of the project. In that direction, communities and stakeholders will be sensitized about the existing

²⁷ <https://www.spc.int/accountability>

²⁸ (Please see Annex IV of SPC's GRM see SPC website: <https://www.spc.int/sites/default/files/documents/Application%20SPC%20Social%20and%20Environmental%20Responsibility%20Grievance%20Mechanism.pdf>).

grievance process and form. Both national level and provincial level government agencies will be responsible for supporting the communities with the information they need to properly submit a grievance letter. The national level and provincial level government agencies are taking part into the grievance and redress mechanism through documenting grievances and coordinating with SPC the process to settle the grievances. There are several processes to submit project related grievances:

6. Bring up the complaint during the meetings of the PWRAC or community awareness meetings. The complaint then must be directed to the project GCF focal point who will then forward to the SPC legal team.
7. Contact by email the Project Management Unit through the Project Manager or the Project MEL Officer.
8. Contact by email the key project institution (DoWR), which will then forward to SPC.
9. Email SPC through the online process: <https://www.spc.int/accountability>.

The Project Management Unit will receive and register grievances and will contact SPC legal team. He/she will provide an initial response within two business days to the person who submitted the grievance to acknowledge the grievance and explain that the grievance will be logged onto the SPC GRM. As a first timeframe, a response will be provided to the complainant within a two-month period, with indication of appropriate process to address the grievance. This duration should be sufficient to screen the complaint, outline how the grievance will be processed, screen for eligibility as well as assign organizational responsibility for proposing a response. This process will possibly involve engaging with other project stakeholders to resolve the issue.

SPC GRM is responsible to inform the complainant that he/she has the right to pursue other options to resolve the complaint if unsatisfied after the SPC GRM process, noting that the GRM may respond to questions from the complainant, but does not constitute an advisor or attorney for the complainant. All grievances will be recorded, and these records will be kept at a secure place for up to three years after the life of the project.

8.4Community-level Grievance Redress Mechanism

At the community level in Vanuatu, concerns or grievances can be addressed through the traditional governance structures and processes managed by the chiefly systems of individual islands. The community-level GRM will mainly address issues related to utility access, conflicts among villagers, complaints from marginalized gender or vulnerable groups, issues related to water access points and gender-based violence. This level of the GRM will ensure that communities are able to resolve issues and conflicts with consensus, as a first level, and then escalate to the project-level GRM only if deemed appropriate. This will also ensure that, within the indigenous communities being targeted, the project benefits from active, traditional mechanisms of conflict resolution and decision-making structures.

The nakamal or Village Council is made up of chiefs and community leaders of a particular village. This authority is convened by the paramount chief or a designated customary leader and it deliberates and resolves matters at the specific village level which could include family matters, disputes/disagreements as well as land disputes.

The Ward Council of Chiefs sits above the Nakamal or Village Council and comprises chiefs and customary leaders from a number of different villages who all fall within a designated Ward Council. The Ward Council deals mostly with land ownership disputes.

Matters unresolved at the Ward Council are elevated to the Area Council of Chiefs or even higher to the Island Council of Chiefs if they are not resolved by the council below. In the event an individual or a group of individuals are aggrieved, their grievance can be raised for redress at the Nakamal or Village Council. If matters are not able to be resolved at this level, the paramount chief or head of the council may decide as follows:

1. elevate the grievance for redress at the Ward Council or with the Chief; or,
2. register the grievance directly with the representatives of the provincial authority for redress through the provincial institutional arrangements.

Matters raised with the representatives of the provincial authority are usually done through Area Administrators or Area Secretaries. These provincial officers then have the option to raise the issues for redress as follow;

- table the grievance for redress at the Provincial Area Council level through the Area-Technical Advisory Committee (Area-TAC);
- table the grievance for redress directly through the Provincial Technical Advisory Commission (PTAC); and,
- raise the grievance directly with the relevant national government representative present at the provincial level.

If and when the grievance is raised through the provincial institutional arrangements, the matter can then be elevated to the national government level for redress by the relevant government agency or ministry.

8.5Grievance related to Sexual Exploitation, Abuse and/or harassment

In all situations involving complaints related to gender-based violence (GBV), sexual exploitation, abuse or harassment (SEAH), violence against children (VAC) and human trafficking (HT), the projects grievance redress mechanism will take on a “survivor-centred approach”. In line with this approach, the following principles will be systemically applied through all steps and actions:

- The rights, needs, and wishes of the survivor is the foremost priority of everyone involved with the project.
- The survivor has a right to:

- be treated with dignity and respect instead of being exposed to victim-blaming attitudes.
 - choose the course of action in dealing with the violence instead of feeling powerless.
 - privacy and confidentiality instead of exposure.
 - non-discrimination instead of discrimination based on gender, age, race/ethnicity, ability, sexual orientation, HIV status or any other characteristic.
 - receive comprehensive information to help her or him make their own decision instead of being told what to do.
- The safety of the survivor shall always be ensured. 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 of the Project, reasonable adjustments may be made to the survivor's work schedule and work environment to ensure their safety.
- All actions should reflect the choices of the survivor.
- All information related to the case must be kept confidential and identities 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 consent.
- The survivor must provide informed consent to progress with each stage of the complaints process. Survivors may withdraw their consent at any time during the process.

Annex A: Inception Workshop - Agenda



INCEPTION WORKSHOP

GCF PPF - Enhancing Adaptation and Community Resilience by Improving Water Security in Vanuatu

30 June 2021

Time	Agenda	Description
08h00–08h10	Registration	
08h10–08h40	Opening remarks	<input type="checkbox"/> Eslina Garaebiti, NDA / Director General MCCCAM, GoV <input type="checkbox"/> Mia Rimon, Regional Director for Melanesia, SPC
08h40–08h50	Introductions	Introduction of participating organisations Group photo
08h50–09h30	Project briefing	Project briefing by SPC and UNICEF <input type="checkbox"/> Dave Hebblethwaite, Water Security and Governance Coordinator, SPC <input type="checkbox"/> Emily Rand, Water and Sanitation Specialist, UNICEF Q&A
09h30–09h45	Tea break	
09h45–10h00	GCF funding proposal process	Explanation of proposal development process and next steps (SPC) <input type="checkbox"/> Pauline Siret, Climate Finance Officer <input type="checkbox"/> Dirk Snyman, Climate Finance Advisor Q&A
10h00–10h15	Presentation on the main challenges	Description of main issues to be addressed <input type="checkbox"/> Grant Ballard-Tremeer, E Co. <input type="checkbox"/> Debasmita Boral Rolland, E Co.
10h15–10h45	Working group	Group exercise on the climate rationale and potential co-financing, facilitated by E Co.
10h45–11h15	Feedback session	
11h15–11h45	Working group	Group exercise on stakeholder mapping and stakeholder engagement plan, facilitated by E Co.
11h45–12h00	Feedback session	
12h00–12h30	Closing	Closing remarks <input type="checkbox"/> Erickson Sammy, Director, Department of Water Resources, GoV <input type="checkbox"/> Aude Chenet, Acting Director, Climate Change and Environmental Sustainability programme, SPC
12h30–13h30	Lunch	

Annex B: Inception Workshop - Participant List

Inception Workshop participants:		
Name	Organization	Position
Isaac Savua	NZHC	Programme Manager
Hilson Toaliu	ADB	WASH Consultant
Erickson Sammy	DoWR	Director
Florence Iautu	NAB Secretariat	Strategic Manager
Steve Aru	DSPPAC	Sector Analyst
Paulo Malatu	DoWR	WASH Coordinator
Jonah Taviti	DoWR	VANKIRAP Sector Coordinator
Michelle Knappstern	UNICEF	WASH Engineer
Andrew Taribiti	DoWR	Projects Officer
Caroline Alick	MALFFB PMU	Area Manager
Hanson Stanley	MALFFB PMU	CC&DRR Officer
Jake Ward	SPC	Project Coordinator
Moirah Matou	VMGD	VANKIRAP Manager
Clifford Vusi	DoWR	Manager Technical Unit
Emily Rand	UNICEF	Advisor - DoWR
Erie Sammy	DoWR	Manager - Lab

Annex C: National Consultations - Participant List

Key Informant Interviews at the national level:		
Name	Organization	Position
Erickson Sammy	DoWR	Director
Emily Rand	UNICEF	DoWR Advisor
Paul Kaun	GGGI - Vanuatu	Country Manager
Eva Diaz Ugena	GGGI - Vanuatu	Program Lead
Trinison Tari	DEPC	Senior Information Officer
Goddfrey Bhome	DoF	Deputy Director
Jimmy Daniel	World Vision	Engineer
Kieth Vusi	URA	
Lindah Peter	Red Cross	Health & WASH Coordinator
Lonny Bong	Department of Livestock	Director
Antoine Ravo	DARD	Director
Lopanga Yerta	NDMO	Information Officer
Rossette Kalmet	DoWA	WASH Coordinator
Zoe Ayong	DSPPAC	NRC Secretariat

Annex D: Provincial Consultations - Participant List

Consultation list for different Provinces:	
TORBA	
Name	Organization/Position
John Robert	Torba Provincial Council
Christopher Mackenzie	Torba Provincial Council
Charles Elman	Community Member
Nelson SERET	Community Member
Roy Smith	Chief Representative
Smith Paul	Chief Representative
Edward Lorin	Community Member
Densly Atkin	Chief Representative
Godwin Jacob	Department of Justice
Mario Woleg	Torba Provincial Council
Cleton Sovan	CLO - Merelava
Albert Toa	Department of Livestock
Raymond Sipla	Chief Representative
Peter Tasi Komie	Vanuatu National Statistics Office
Steward Vores	DLA
Raynelel Genegle	Community Member
Johnny	Chief Representative
Charles Daton	Community Member
Stomeon males	PHA Torba
John Alick	Youth & Sports Department
Philimon Ling	Torba Education Department

Larissa Moffet	Community Member
Shilda Nava	DoWR Torba
Woleg Tigana	Torba Youth
Jimmy Willie	Fisheries Department
David Kieth	Red Cross Torba
Peter Maho	DARD
Coppage Lonstale	TOFA
George	Community Member
Wolten	Chief Representative
Fr Kieth Siplag	Anglican Church
Esrom E	Chief Representative
Graham Rovea	DoWR Torba

SANMA	
Name	Organization
Rensly Akaliliu	M&E Officer, Biosecurity Department
Tommy Warele Kalven	Provincial Planner, Sanma Province
Nicholas Liesle	?, Sanma Province
Natalia Hava	PLTA
Mary Andrew	Department of Industries
Dick Tomker	Department of Forestry
Bionga Hava	Department of Finance
Viragos Angelica	Department of Statistics
Keren Seth	DBKS
Charity Alick	DARD
Lesines Pierick	OPSC
Anaclet Philip	DEPC

Christina Taleo	DOWR
Samuel Keneth	Area Secretary, Sanma Province
Hendry Wells	Department of Public Works
Philip Meto	Disaster Management Office

PENAMA	
Name	Organization
George Tari	DARD
Nailyn Abel	Island Court
Andrew Butu	DARD
John Mark ROVO	Police
Amos Talu	University of the South Pacific
Markson Tabi	Health Department
Raymond Vuke	Provincial Council
William S Mala	Tourism Department
Douglass Williams	Livestock Department
Kelly Tabi	Provincial Council
Manson Tari	National Disaster Management Office
Willie Kalmatak	Provincial Council
Tony Alatoa	Public Works Department

Annex E: Validation Meeting - Agenda



VALIDATION MEETING
GCF PPF – Enhancing Adaptation and Community Resilience by
Improving Water Security in Vanuatu

23 March 2022 (Virtual/Online)

Time	Agenda	Description
08h00–08h10	Registration	
08h10–08h40	Opening remarks	<ul style="list-style-type: none"> Esline Garaebiti, NDA / Director General MCCCAM, <u>GoV</u> Mia Rimon, Regional Director for Melanesia, SPC
08h40–08h50	Introductions	Introduction of participating organisations Group photo
08h50–09h00	Status update and next steps	Update of project progress and next steps <ul style="list-style-type: none"> Pauline Siret – Climate Finance Officer, SPC
09h00–09h45	Presentation project structure	Project approach and structure briefing by SPC <ul style="list-style-type: none"> Dave Hebblethwaite, Water Security and Governance Coordinator, SPC <p style="text-align: center;">Q&A</p>
09h45–10h00	Tea break	
10h00–10h30	Presentation implementation Arrangements	Implementation arrangements and approach <ul style="list-style-type: none"> Jack Rossiter, Climate Finance Advisor, SPC <p style="text-align: center;">Q&A</p>
10h30–11h15	Presentation project budget	Description of the project budget <ul style="list-style-type: none"> ECO LTD <p style="text-align: center;">Q&A</p>
11h15–12h00	No-objection for submission <ul style="list-style-type: none"> - Activities (10 min) - Implementation arrangements (10 min) - Budget (10 min) - AOB (15 min) 	Open Q&A on the project documents presented.
12h00–12h30	Closing	Closing remarks <ul style="list-style-type: none"> Acting Director, Department of Water Resources, <u>GoV</u>

Annex F: Validation Meeting - Participant List

Validation Meeting participants:		
Name	Organization	Position
Esline Garaebiti (Director-General Department of Climate Change)	Department of Climate Change	Director General
Erickson Sammy (Director Department of Water Resources)	DoWR	Director
Florence Iautu	NAB Secretariat	Strategic Manager
Cynthy Hosea	NAB Secretariat	Strategic Manager
Debasmita Boral Rolland	E Co.	Consultant
Brian Philips	E Co.	National Expert
Ian Iercet	E Co.	National Expert
Michelle Knappstein	UNICEF	
Theingi Soe	UNICEF	
Jack Rossiter	SPC	
Mia Rimon	SPC	
Dirk Snyman	SPC	
Pauline Siret	SPC	
Dave Hebblethwaite	SPC	