

Annex 7: Stakeholder Engagement Plan & Summary of Consultations

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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*¹ 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, 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.

¹ <https://www.greenclimate.fund/document/enhancing-adaptation-and-community-resilience-improving-water-security>

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 SPC², as well as the revised Environmental and Social Policy of the GCF.³

² <https://www.spc.int/updates/news/2018/04/a-first-social-and-environmental-responsibility-policy-at-the-pacific>

³ <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)⁴, 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

⁴ 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.⁵

⁵ 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
National Government Institutions	Department of Lands Department of Local Authorities	National agencies and policymakers responsible for designing national policy and programmes, including those	Contribution to the National Project Steering Committee (NPSC) - Ministry of Local Authorities.

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STAKEHOLDER TYPE	MAIN AGENCIES	DESCRIPTION	PROPOSED ROLE IN THE PROJECT
	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	related to climate change adaptation and water security	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 <ul style="list-style-type: none"> Area Secretary Custom Lands Officer Area Technical Advisory Committee Area Admin Officer 		Main project beneficiaries who play implementation and coordination support roles at the community level. Participation in WASH coordination mechanisms,

STAKEHOLDER TYPE	MAIN AGENCIES	DESCRIPTION	PROPOSED ROLE IN THE PROJECT
	<ul style="list-style-type: none"> Water Committee Health workers Teacher/Schools Community Disaster & Climate Change Committee Provincial Counsellors Plumbers Community police Community Leaders & Landowners <ul style="list-style-type: none"> Chiefs Landowners Member of Parliament Church representatives Gender Representatives <ul style="list-style-type: none"> Youth leaders Women representatives Disability representatives LGBTQIA+ representatives CSOs <ul style="list-style-type: none"> Cooperatives Rural Training Centre representatives NGOs <ul style="list-style-type: none"> Red Cross GGGI World Vision 		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 GCF NDA	<i>Issues</i> with the current situation (baseline) ; draft intervention strategy and proposed project improvements accessibility and mobility in the project area	Focus groups/interviews/inception and validation workshops.	Prior to project appraisal

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			<u>Engagement strategy:</u> Regular communication, meetings, workshops, document reviews		
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) ⁶ 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 climate-resilient water management improved	PTACs DoWR - provincial governance	<u>Issues:</u> Limited sustainable management of water resources by communities Non-functioning water committees	In the preparation phase, provincial consultations	Training annually in years 1-4 (Q2 each year)

⁶ 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>

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

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	Ministry of Climate Change Ministry of Education and Training Ministry of Health	alongside their provincial offices in each 6 provinces.		
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.

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 accountability⁷. 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.

8.1 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;

⁷ <https://www.spc.int/accountability>

- (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 Grievance 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 relevant grievance redress mechanism (8.3.3-3) 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 (or victim) 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. 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. This will be conducted in a timely manner to ensure maximum safety and support is provided to the survivor.

8.3 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.⁸ 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

⁸ <https://www.spc.int/accountability>

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.⁹ 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.

8.4 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. 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.
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

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

⁹ (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>).

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.

8.5 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 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:

- elevate the grievance for redress at the Ward Council or with the Chief; or,
- 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.

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"/> Eslie 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="color: red;">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="color: red;">Q&A</p>
10h30–11h15	Presentation project budget	Description of the project budget <ul style="list-style-type: none"> ECO LTD <p style="color: red;">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	