

GRANT NUMBER TUV-RS-002

GRANT AGREEMENT

THIS GRANT AGREEMENT is made and entered into on this 6th day of December 2021,

BETWEEN

SECRETARIAT OF THE PACIFIC REGIONAL ENVIRONMENT PROGRAMME (SPREP), a non-profit intergovernmental organization, organized and existing under the laws of Samoa pursuant to the Agreement Establishing the South Pacific Regional Environment Programme, dated 16 June 1993, and having its registered office at Avele Road, Vailima, Apia, represented by Mr. Kosi Latu, Director General ("**Recipient**" or "**Delivery Partner**"); and

The **GREEN CLIMATE FUND**, established under the United Nations Framework Convention on Climate Change ("**Convention**") and designated as an operating entity of the financial mechanism under Article 11 of the Convention pursuant to the Governing Instrument for the Green Climate Fund ("**Governing Instrument**"), possessing juridical personality in order to operate effectively internationally, having such legal capacity as is necessary for the exercise of its functions and the protection of its interests and having its headquarters at Songdo, Incheon, Republic of Korea represented by Mr. Pa Ousman Jarju, Director of Country Programming (the "**Fund**").

WHEREAS

- (A) the Recipient has been selected by the national designated authority referred to in paragraph 46 of the Governing Instrument for the Green Climate Fund ("**NDA**"), represented by Ms. Pepetua Latasi, Director of Climate Change Office, Ministry of Finance to implement the Readiness Support; and
- (B) the Fund is willing to make a grant to the Recipient upon the terms and conditions set forth herein.

NOW THEREFORE the parties hereto agree as follows:

ARTICLE I

Standard Conditions and Policy on Prohibited Practices; Definitions

Section 1.01. (a) The Standard Conditions constitute an integral part of this Grant Agreement and are made hereto with the same force and effect as if they were fully set forth herein.

(b) Without limiting the foregoing, this Grant Agreement includes all schedules, appendices, attachments and annexes to this Grant Agreement.

(c) References to the Fund's Standards, rules, policies, principles, procedures and frameworks include such Standards, rules, policies, principles, procedures and frameworks as amended from time to time.

Section 1.02. Wherever used in this Grant Agreement, terms defined in the Standard Conditions shall have the respective meanings therein set forth unless modified herein or the context otherwise requires. Additional terms used in this Grant Agreement shall have the following meanings:

- (a) "**Board**" means the board of the Fund established pursuant to the provisions of the Governing Instrument;

- (b) "Budget" means the detailed budget agreed between the Fund and the Delivery Partner for the implementation of the Readiness Support, which budget will include a line item for the Delivery Partner Fee budgeted in connection with the implementation of the Readiness Support;
- (c) "Confidential Information" means information, however recorded or preserved, disclosed by either of the parties to the other, relating to the Readiness Support, which is described and/or marked as "confidential" at the time of disclosure;
- (d) "Delivery Partner Fee" shall have the meaning ascribed to it in Article 7 of this Grant Agreement;
- (e) "Disbursement Schedule" means the disbursement schedule or plan set out in the proposal for the Readiness Support approved on 18 January 2021 in Annexure 1 hereto;
- (f) "Focal Point" means the individual or authority designated by a developing country party to the convention to fulfil all functions of an NDA on a temporary basis, until it has designated an NDA;
- (g) "Grant Term" has the meaning ascribed thereto in Section 3.01 of this Grant Agreement;
- (h) "Information Disclosure Policy" means the information disclosure policy of the Fund adopted by Decision B.12/35, as amended from time to time, and any successor document thereto;
- (i) "NDA" has the meaning ascribed thereto in Recital (A) above;
- (j) "Procurement Plan" means the procurement plan for the Readiness Support set out in the proposal approved on 18 January 2021 in Annexure 1 hereto or which has been agreed to by the Fund subsequently and submitted with the disbursement requests by the Recipient;
- (k) "Readiness Support" means the readiness support described in the proposal approved on 18 January 2021 in Annexure 1 hereto; and
- (l) "Standard Conditions" means the Standard Conditions for Readiness and Preparatory Support Grants provided by the Green Climate Fund (February 2020).

ARTICLE II

The Grant

Section 2.01. Subject to the terms and conditions of this Grant Agreement, the Fund agrees to make available to the Recipient the amount not exceeding three million US Dollars (\$3,000,000).

ARTICLE III

Effective Date; Grant Term

Section 3.01. Except as the Fund and the Recipient may otherwise agree and as specified in writing by the Fund, (a) the Effective Date of this Grant Agreement shall be the date upon which the Fund dispatches to the Recipient notice of its acceptance of the evidence required by Section 14.01 of the Standard Conditions; and (b) the duration of the Grant Term shall be forty-two (42) months from the Effective Date. Notwithstanding the provisions of the Readiness Support in relation to the start date for project implementation, the start date for project implementation in relation to the Readiness Support shall be as of the Effective Date.

Section 3.02. Unless as the Fund may otherwise agree, a date ninety (90) days after the date of this Grant Agreement is specified for effectiveness of this Grant Agreement for the purposes of Section 14.03 of the Standard Conditions ("**Termination for Failure to Become Effective**").

Section 3.03. Notwithstanding the foregoing, Articles 3 and 9 of the Grant Agreement and Articles 10, 11, 12, 13, 15, 16, 17, 18, 19 and 21 of the Standard Conditions shall be effective from the date of this Grant Agreement.

Section 3.04. This Grant Agreement and all obligations of the parties hereunder shall terminate on the date three (3) years after the expiry of the Grant Term.

ARTICLE IV Use of Proceeds of the Grant

Section 4.01. (a) The Recipient shall (i) apply the proceeds of the Grant to the financing of Eligible Expenditures in respect of Goods and Services in accordance with the provisions of this Grant Agreement; (ii) ensure that the Grant proceeds are used for their intended purposes in accordance with the generally accepted principles of economy, efficiency, transparency and accountability; (iii) cause the Readiness Support to be carried out in conformity with sound administrative, technical, financial, business and development practices; and (iv) ensure that the Readiness Support activities are carried in accordance with the terms and conditions of this Grant Agreement, including the Standard Conditions and the Policy on Prohibited Practices.

(b) The proceeds of the Grant shall be allocated and applied as set forth in Annexure 1 to this Grant Agreement, which may be amended from time to time by agreement between the Recipient and the Fund.

Section 4.02. Except as the Fund may otherwise agree, the Recipient shall procure, or cause to be procured, all Goods and Services in accordance with the Procurement Plan.

ARTICLE V Payment of Grant Proceeds

Section 5.01. Notwithstanding any other provision of this Grant Agreement, payments to the Recipient shall be made only upon fulfillment by the Recipient of the requirements set forth in Section 6.01 of the Standard Conditions to the satisfaction of the Fund.

Section 5.02. Payment of the Grant proceeds shall be made in accordance with the indicative Disbursement Schedule included in the approved proposal as set forth in Annexure 1 to this Grant Agreement and upon submission by the Recipient of appropriate reports, along with Requests for Disbursement, in a form and substance acceptable to the Fund.

Section 5.03. All disbursements up to the amounts specified in the Disbursement Schedule shall be made by the Fund following the receipt of a written disbursement request submitted by the Recipient and provided the applicable requirements as regards reporting and information as to the date of request have been satisfied. Each disbursement request should include information on the Procurement Plan, the budget and list activities to be implemented for the requested amount.

Section 5.04 All payments of the Grant proceeds shall be made in US Dollars, to the following bank account:

Beneficiary Name	SPREP USD Working Account
Beneficiary Account Number	01-849599-07
Beneficiary Bank	Bank South Pacific (Samoa) Limited
Beneficiary Bank Address	Beach Road, P.O. Box 1860, Apia, Samoa
SWIFT CODE	BOSPWSWS
Intermediary Bank	Bank of America (BoA) New York, USA

ARTICLE VI
Audits; Other Covenants

Section 6.01. The Recipient shall (a) have Financial Statements to the Fund, as set out in the Disbursement Schedule in Annexure 1 hereto, audited by independent auditors whose qualifications, experience and terms of reference are acceptable to the Fund, in accordance with international standards for auditing or the national equivalent acceptable to the Fund; (b) as part of each such audit, have the auditors prepare a report (which includes the auditors' opinion on the Financial Statements; use of the Grant proceeds including with regard to confirming that the relevant Grant proceeds were applied and the activities were implemented in accordance with the Policy on Prohibited Practices and the principles of the AML/CFT Policy; and compliance with the covenants of this Grant Agreement); and (c) furnish to the Fund, **no later than three (3) months after completion of the Readiness Support**, copies of such audited Financial Statements and audit report, all in the English language, and such other information concerning these documents and the audit thereof as the Fund may from time to time reasonably request.

Section 6.02. For the purposes of Section 7.07 of the Standard Conditions, the Recipient shall submit, or cause to be submitted, to the Fund (a) Readiness Reports as follows: (i) an Interim Progress Report within seven (7) months from the Effective Date, within thirteen (13) months from the Effective Date, within nineteen (19) months from the Effective Date, within twenty-five (25) months from the Effective Date, within thirty-one (31) months from the Effective Date; and (ii) the Completion Report(s) no later than thirty-nine (39) months from the Effective Date.

Section 6.03. In addition to the reports and information set forth in Sections 7.07 and 7.08 of the Standard Conditions, the Recipient shall furnish, or cause to be furnished, to the Fund all such reports and information as the Fund shall reasonably request concerning the Readiness Support.

Section 6.04. In implementing the Readiness Support activities, the Recipient shall ensure that there are no adverse environmental and/or social risks and/or impacts within the meaning of the Environmental and Social Safeguards. If, during the course of implementation, such risks and/or impacts arise, the Recipient shall inform the Fund promptly, and comply forthwith with the requirements set forth in the Environmental and Social Safeguards.

Section 6.05. In implementing the Readiness Support activities, the Recipient shall ensure:

- (a) That the Readiness Support activities are implemented in compliance with the applicable objectives and principles of the Environmental and Social Policy; and
- (b) That the Readiness Support activities are implemented in compliance with the applicable objectives and principles of the Indigenous Peoples Policy.

Section 6.06. In implementing each Approved R&P Support Proposal, the Recipient shall ensure that it is in compliance with the principles and applicable requirements of the Gender Policy and the Updated Gender Policy.

Section 6.07. The Recipient shall use its best efforts to secure recognition of the Fund by the Host Country, through a bilateral agreement or other arrangement, as an international institution to which the privileges, immunities and exemptions normally granted to international organizations apply.

ARTICLE VII
Delivery Partner Fee

Section 7.01. The aggregate Delivery Partner Fee received and retained by the Delivery Partner, in relation to the Grant for the Readiness Support, shall not exceed eight point five per cent (8.5%)

of the total Grant used to finance the Eligible Expenditures, as specified in the detailed Budget of the Readiness Support, unless otherwise agreed by the Fund ("Delivery Partner Fee").

Section 7.02. The Delivery Partner Fee shall be disbursed to the Delivery Partner in accordance with the terms of this Article 7 and Articles 4 and 5 of the Grant Agreement.

Section 7.03 The Delivery Partner shall report on the usage of the Delivery Partner Fee in the Readiness Reports, Completion Report, Financial Statements or any other reports to be submitted by the Delivery Partner under this Agreement.

ARTICLE VIII Miscellaneous

Section 8.01. The Dr. Melanie King, Manager, Project Coordination Unit is designated as the Recipient's Representative for the purposes of Section 21.02 of the Standard Conditions.

Section 8.02. Any notice, requests including disbursement requests, documents, reports or other communication required or permitted to be given or made under the Grant Agreement, and any other agreement between any of the parties contemplated by this Grant Agreement, shall be in writing, and furthermore, shall be delivered by hand or by facsimile or email to the party to which it is required or permitted to be given or made to the following addresses:

For the Recipient

Dr. Melanie King
Manager, Project Coordination Unit
Secretariat of the Pacific Regional Environment Programme
P.O. Box 240, Apia, Samoa
Email: melaniek@sprep.org
Tel: +685 21929 ext 346

For the Fund

Director, Division of Country Programming
Green Climate Fund
175, Art Center-daero
Yeonsu-gu, Incheon 22004
Republic of Korea
Fax: +82 32 458 6094
Email: countries@gcfund.org

ARTICLE IX Confidentiality

Section 9.01. The Parties undertake that no party shall at any time disclose to any person any Confidential Information except as permitted by Section 9.02.

Section 9.02. Each Party may disclose the other Party's Confidential Information to its employees, officers, representatives, consultants or advisers, and in the case of the Fund, its Board members, alternate Board members and their advisers, who need to know such information for the purposes of exercising the Party's rights or carrying out its obligations under or in connection with this Grant Agreement. Each Party shall ensure that its employees, officers, representatives, consultants or advisers to whom it discloses the other Party's Confidential Information comply with this Article 9 and the Fund shall ensure that its Board members, alternate Board members

or their advisors shall also comply with this Article 9, provided, however, that the Recipient acknowledge and agree that Board members, alternate Board members and their advisors may provide Confidential Information to the governments of the countries in their respective constituencies in the course of their official duties for their respective home country pursuant to the policy on ethics and conflicts of interest for the Fund's Board, as may be amended from time to time.

Section 9.03. The provisions of this Article 9 shall not apply to any information, including Confidential Information, that:

- (a) Is or becomes generally available to the public (other than as a result of its disclosure by the receiving Party or its representatives in breach of this Article 9);
- (b) Was available to the receiving Party on a non-confidential basis before disclosure by the disclosing Party;
- (c) Was, is or becomes available to the receiving Party on a non-confidential basis from a person who, to the receiving Party's knowledge, is not bound by a confidentiality agreement with the disclosing party or otherwise prohibited from disclosing the information to the receiving Party;
- (d) The receiving Party is required to produce by any court, governmental or regulatory body or pursuant to any law, legal process, regulation, or governmental order, decree or rule, or which is necessary or desirable for the receiving Party to disclose in connection with any proceeding in any court or tribunal or before any regulatory authority in order to preserve its rights, provided that, prior to disclosing such information, the receiving Party provides prior written notice to the disclosing Party;
- (e) The Parties agree in writing is not confidential or may be disclosed; or
- (f) Is developed by or for the receiving party independently of the information disclosed by the disclosing party.

Section 9.04. No Party shall use the other Party's Confidential Information for any purpose other than to exercise its rights and perform its obligations under or in connection with this Grant Agreement, without obtaining the prior written consent of the other Party.

Section 9.05. Pursuant to the Information Disclosure Policy, the Fund may make publicly available certain information which is not marked confidential and update such information periodically as required by the Information Disclosure Policy.

Section 9.06. The obligations of confidentiality contained in this Article 9 shall continue for a period of two (2) years from the date of disclosure. If requested by the disclosing Party, the receiving Party shall return to the disclosing Party all Confidential Information in written form or destroy or (to the extent technically practicable) permanently erase all Confidential Information provided to the receiving Party in written or electronic form save to the extent that Confidential Information which the receiving Party is required to retain by applicable law, rule or regulation, or if such information is contained in any computer records or files which have been created pursuant to the receiving Party's automatic archiving and back-up procedures, in which case, the Confidential Information retained shall continue to be kept confidential in accordance with the terms of this Article 9 in which case the provision on expiration of the confidentiality obligation shall not apply.

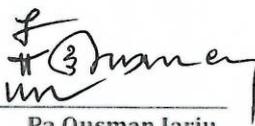
IN WITNESS WHEREOF the parties hereto, acting through their representatives thereunto duly authorized, have caused this Grant Agreement to be signed in their respective names as of the day and year first above written and to be delivered at the principal office of the Fund.

SECRETARIAT OF THE PACIFIC REGIONAL ENVIRONMENT PROGRAMME (SPREP)

By 
Mr. Kosi Latu
Director General

Date 23.11.2021

GREEN CLIMATE FUND

By 
Pa Ousman Jarju
Director of Country Programming

Date 6.12.2021

ANNEXURE 1

Approved Proposal for the Readiness Support

Readiness and Preparatory Support Proposal Template

Programme title: Development of Tuvalu's National Adaptation Plan (NAP) to advance medium and long-term adaptation planning

Country: Tuvalu

National designated authority: Hon. Seve Paeniu, Minister of Finance

Implementing Institution: Secretariat of the Pacific Regional Environment Programme (SPREP)

Date of first submission: 1 October 2019

Date of current submission / version number: 9 December 2020 V.03



GREEN
CLIMATE
FUND



1. SUMMARY	
Country submitting the proposal	<p>Country name: Tuvalu</p> <p>Name of institution representing NDA or Focal Point: Department of Climate Change, Ministry of Finance</p> <p>Name of contact person: Ms. Pepetua Latasi</p> <p>Contact person's position: Director</p> <p>Telephone number: (688) 201-79</p> <p>Email: pepetua@gmail.com</p> <p>Full office address: Private Mail Bag, Vaiaku, Funafuti</p> <p>Additional email addresses that need to be copied on correspondences:</p>
Date of initial submission	1 October 2019
Last date of resubmission	9 December 2020
	Version number V.03
Which institution will implement the Readiness and Preparatory Support project?	<p><input type="checkbox"/> National designated authority</p> <p><input checked="" type="checkbox"/> Accredited entity</p> <p><input type="checkbox"/> Delivery partner</p> <p>Please provide contact information if the implementing partner is not the NDA focal point</p> <p>Name of institution: Secretariat of the Pacific Regional Programme (SPREP)</p> <p>Name of official: Mr. Kosi Latu</p> <p>Position: Director General</p> <p>Telephone number: (685) 219-29</p> <p>Email: kosil@sprep.org</p> <p>Full office address: Vailima, Apia, Samoa</p> <p>Additional email addresses that need to be copied on correspondences: melaniek@sprep.org filomenan@sprep.org rupenim@sprep.org</p>
Title of the Readiness support proposal	Development of Tuvalu's National Adaptation Plan (NAP) to advance medium and long-term adaptation planning
Type of Readiness support sought	<p>Please select the relevant GCF Readiness activity area below (click on the box)</p> <p><input type="checkbox"/> I. Country capacity for engagement with GCF</p> <p><input type="checkbox"/> II. Country programming process</p> <p><input type="checkbox"/> III. Direct access to climate finance</p> <p><input type="checkbox"/> IV. Climate finance accessed</p> <p><input checked="" type="checkbox"/> V. Formulation of national adaptation planning and/or other adaptation planning processes</p>



<p>Brief summary of the request</p>	<p>Tuvalu is one of the world's most vulnerable countries to climate change due to its topography, size, geographical remoteness and access to resources. Despite these challenges, it has become a leading voice for enhanced climate mitigation regionally and globally. Tuvalu is now developing a national adaptation planning process (and NAP) that will form a sustainable platform for future adaptation investments. This request for funding will target the following outcomes:</p> <ul style="list-style-type: none"> • Enhanced capacity to deliver effective climate change adaptation planning through a strengthened institutional set-up (Outcome 1) • Adaptation planning and governance and institutional coordination strengthened (Outcome 2) • Evidence produced to design adaptation solutions for maximum impact (Outcome 3) • National adaptation plan developed and endorsed (Outcome 4) • Development of a Climate Change Adaptation financing strategy for mid and long-term CCA (Outcome 5) <p>These outcomes are interlinked and mutually reinforcing; this is reflected in the design and sequencing of activities which will help achieve them. For example, the identification and appraisal of adaptation options provide a sufficiently detailed basis for future climate finance.</p> <p>Our approach is underpinned by a recognition that adaptation will only be successful where it is developed with and by communities. As a result, effective, gender sensitive stakeholder engagement lies at the heart of this proposal, including involvement of NGOs (working closely with the Tuvalu Association of Non-Government Organizations (TANGO)) and the private sector. Emphasis will also be placed on young people whose future will be greatly impacted by the changes Tuvalu will now inevitably experience.</p> <p>This project will address the following barriers and gaps which currently inhibit effective adaptation planning and action in Tuvalu:</p> <ul style="list-style-type: none"> • Limited institutional capacity and the lack of an adequate coordination mechanism for CCA planning and action • Limited coordination of climate risk and climate vulnerability information and no tools to support risk assessment within key sectors • Low awareness of climate change and climate change adaptation response options at the community level • Adaptation planning, vulnerability and risk assessment and climate finance priorities not linked in a coherent manner • Limited capacity to appraise adaptation options that address identified risks and vulnerabilities <p>The Government of Tuvalu is making a single application for funds rather than a phased approach; however, we have built in mechanisms (e.g. a mid-term review of project progress) to ensure we account for the iterative nature of climate change adaptation planning. A full justification of this decision can be found in Annex 3.</p>		
	<p>Total requested amount and currency</p>	<p>USD 3,000,000</p>	<p>Anticipated duration</p>



	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<p>Has the country received or is expecting to receive other Readiness and Preparatory Support funding allocations (including adaptation planning) from GCF or other donors?</p>	<p>The Government of Tuvalu is currently implementing its first NDA Readiness project worth 618,534 USD to strengthen the capacity of the NDA, enhance engagement with the GCF, and develop an all-inclusive country programme and strategic framework that is reflective of Tuvalu's climate change priority needs. See Table 3 for further details of complementarity between the NDA Readiness project and the NAP Readiness Project.</p>

2. BACKGROUND

Tuvalu is the fourth smallest island nation in the world and comprises nine small islands, six of which are atoll islands. All of the islands are less than 5m above sea level with an average elevation of 1.83m. Tuvalu is home to a population of 10,782 people. The biggest island, Vaitupu comprises just 524 hectares. Funafuti atoll, where the national capital is located, is home to about half of the population. The low-lying nature of its islands, a high population density¹, reliance on imports² and limited economic opportunities^{3, 4} act exacerbate Tuvalu's vulnerability to climate change with very serious consequences for human health, food and water security, housing, infrastructure, land and marine biodiversity. Adaptation measures are therefore required to enhance community livelihood and promote sustainable development by reducing adverse effects of climate change, variability and extreme events.

Figure 1: Tuvalu, illustrating the distances between atolls
The northern-most atoll of Nanumea lies 460km north of the capital of Funafuti while Niulakita lies over 200km to the south.

The remote nature of Tuvalu and the large distances between atolls, accessible only by sea, make implementation of adaptation interventions challenging. It also increases the importance of a coherent and well-communicated approach to adaptation planning across all of the eight island groups. Tuvalu is highly vulnerable to a range of climate change impacts which are outlined in more detail below:

Climate risks	Impacts in Tuvalu
Cyclone-generated winds, storm surges and swells.	<p>The main extreme event affecting Tuvalu is tropical cyclones - between 1969/70 and 2006/07 a total of 33 tropical cyclones passed within approximately 400 km of Funafuti which is equivalent to an average of eight cyclones per decade⁵.</p> <p>In the future, tropical cyclones are projected to be less frequent but more intense⁶. Critically, future cyclone impacts will be strengthened by other climate change impacts such as sea level rise, saline intrusion and reduced coastal protection from degraded coral reefs.</p> <p>In March 2015, Tropical Cyclone Pam devastated the islands of Tuvalu, damaging houses, infrastructure, food gardens, graves and coastlines. Nearly half of the country's population was temporarily displaced. Several islets in Funafuti also disappeared as a result of the cyclone.</p>
Sea Level Rise	<p>Tuvalu's sea level rose by approximately 5mm per year since 1993, compared to the global average of 3.2 ± 0.4 mm per year⁷. Coastal inundation is a growing problem, leading to saltwater intrusion into water resources, soil and cultivation, damage to infrastructure and houses and loss of land. Under a medium emissions scenario, a 13–29cm rise is expected before 2050 and 28–67cm before 2090⁸. As models better account for ice-melt so SLR projections are tending to track towards the upper end of these</p>



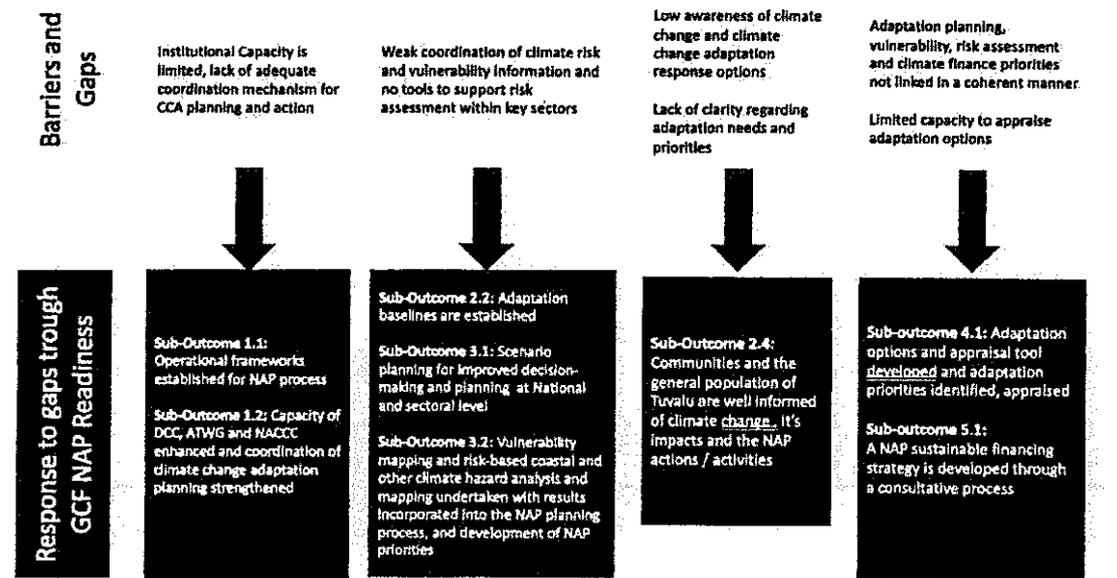
	estimates. The sea-level rise combined with natural year-to-year changes will increase the impact of storm surges and coastal flooding.
Temperature and extreme heat	Temperatures have increased and will continue to increase with more very hot days in the future. Projections show that by 2030, under a medium emission scenario, temperature may increase in the range of 0.4 – 1.0°C ⁹ . Extreme heat will have health implications with the increased burden of heat-related illness linked to climate change being borne by those least able to adapt including children, the elderly, people with chronic illnesses or disability ¹⁰ . In turn, this will place greater pressure on Tuvalu's limited medical facilities.
Ocean impacts (including Sea Surface Temperature and ocean acidification)	Climate change is projected to have profound effects on the physical environment in the tropical Pacific Ocean. In Tuvalu sea surface temperature has risen at approximately 0.13°C per decade since the 1970s ¹¹ , while ocean acidification has also increased leading to increased coral bleaching and reducing coral growth leading to reduced coastal protection, loss of biodiversity and fish stocks ¹² . In a 2016 study, Tuvalu was identified as one of the most vulnerable reef-dependent communities to the effects of ocean acidification ¹³ in the region. Changes in ocean circulation are also projected and are expected to alter the timing, location, and extent of the upwelling processes on which most oceanic primary productivity depends, with resultant impacts on fisheries ¹⁴ . Tuvalu is as one of a handful of 'fishery-dependent small island states' whose economy, livelihoods, food security and dietary health depend largely on marine resources. Seafood also a crucial source protein to Tuvaluans, especially in the outer islands, where fish consumption is five times the global average ¹⁵ . In 2013, revenue from fishing licenses totaled more than 45% of GDP ¹⁶ and are the primary source of non-aid revenue to the Government (SPC). Consequently, Tuvalu is highly exposed to climate change impacts which reduce near-shore subsistence fisheries and pelagic tuna fisheries. Current projections are that climate change may lead to an eastward shift in Tuna stocks.
Rainfall	It is not clear whether mean annual rainfall will increase or decrease, however the intensity and frequency of days of extreme rainfall ¹⁷ are projected to rise while the incidence of drought projections is inconsistent across Tuvalu. Limited water storage is extremely limited in Tuvalu that meaning that even short periods without rain can lead to water stress.

Addressing barriers and gaps

Tuvalu faces many barriers to adaptation planning. These relate to institutional capacity and governance, the availability and application of relevant information on impacts, vulnerabilities and risks (especially at sectoral level), and a limited capacity to appraise options and develop adaptation concept notes and proposals. These barriers are compounded by Tuvalu's size, remoteness and extreme exposure to climate change impacts as well as underlying socio-economic vulnerabilities. While it may not be possible to address all aspects of these barriers in a single project, we believe that GCF Readiness funding can make a significant contribution to overcoming these barriers and set the foundation for more effective adaptation planning for years to come. Figure 2 illustrates how this project has been designed to address the gaps and barriers identified in section 1 of this proposal and in the Theory of Change.



Figure 2 Addressing Barriers and Gaps in Adaptation Planning in Tuvalu



Building upon existing policies, institutions and adaptation investments

The Government of Tuvalu has been a vocal advocate and leader for placing climate resilience at the centre of their development policies and plans. A number of national policies and institutional structures are already in place which will underpin this project and provide a sound foundation for ensuring sustainability of project outcomes.

This project is in line with all of the key government strategies and policies. Te Kakeega III 2016-2020 is Tuvalu's national development strategy, which recognizes that climate change poses significant threats to the achievement of the national development goals. Te Kaniva, the Tuvalu Climate Change Policy, with its vision "To protect Tuvalu's status as a nation and its cultural identity and to build its capacity to ensure a safe, resilient and prosperous future" guides the country's efforts in both adaptation and mitigation. Tuvalu also launched its national gender and youth policy in 2013 and 2015, respectively, which aim to bolster participation of women and youth in decision-making and promote their economic empowerment, among others. The women and youth engagement approach adopted in this project is fully in alignment with these policies. The Department of Women Affairs, which sits under the Office of the Prime Minister, is responsible for the advocacy and coordination of gender issues from national to community level and lead the implementation of the National Gender Policy. The National Coordinating Committee (a network of ministries, agencies and NGOs) provides guidance and support, monitor, evaluate and report on implementation of the policy, mainstreaming gender and policy coherence.

A key principle of the NAP is to strengthen existing institutional structures and enhance and complement on-going activities. This proposal is specifically aligned to a number of critical national strategies, projects and institutions detailed in Tables 2-4.

<p><i>Te Kakeega III (TK3): National Strategy for Sustainable Development (2016-2020)</i></p>	<p>The overarching national framework for sustainable development. The first strategic area of the strategy is Climate Change and the goal for this strategic area is to protect Tuvalu from the impacts of climate change: resilience, mitigation, adaptation.</p> <p><i>Complementarity: work undertaken through this project will support the delivery of the TK3 Strategy, especially Chapter 1 – Climate Change; Protect Tuvalu from the impacts of climate change: resilience, mitigation, adaptation. Raising awareness of climate change and its impacts, detailed in the activities under Sub-Outcome 2.2, will directly support the delivery of TK3. The</i></p>
---	--



	<p>sector level vulnerability report and risk maps (Outcome 3) will be particularly applicable to the planning and growth of the private sector which is a focus of the TK3, Chapter 6.</p>
<p><i>Te Kaniva: Tuvalu Climate Change Policy (2012-2021) and Tuvalu National Strategic Action Plan for Climate Change and Disaster Risk Management (2012-2016) (NSAP)</i></p>	<p>The policy is currently under review. Te Kaniva is the guiding national climate change policy and is directly linked to the Tuvalu National Strategic Action Plan for Climate Change and Disaster Risk Management (2012-2016) (NSAP) which is the implementation side of the policy. The policy currently guides all climate change adaptation activities.</p> <p><i>Complementarity: This project, and the NAP, will build upon the NSAP including the findings of the review. The stocktake of past and current adaptation projects under Activity 2.2.1 will inform the new climate change policy as it will inform future approaches for adaptation in Tuvalu based on past successes. The NAP will draw on the adaptation options identified in the Te Kaniva and tested in the NSAP to effectively achieve Outcome 4 (identification and appraisal of adaptation options).</i></p>
<p><i>Tuvalu's National Adaptation Programme of Action (NAPA) 2007</i></p>	<p>Identified urgent and immediate climate change adaptation actions in Tuvalu. Seven priority sectors were identified and under each sector, priority projects were also identified.</p> <p><i>Complementarity: The NAP will consider progress made within the 7 key sectors and incorporate lessons from the NAPA process. While the NAPA addressed short-term adaptation needs, the NAP plans for Tuvalu's medium to long term adaptation. The prioritized projects will inform the development of adaptation options, and implementation lessons from the NAPA will help identify risks with proposed options (Activity 4.1.2). The NAPA considered the different impacts climate change will have on men and women in Tuvalu, and this research will be a part of the information used to inform the mainstreaming of gender considerations across the NAP project.</i></p>
<p><i>Tuvalu Gender (2014-2016) and Youth policies</i></p>	<p>Tuvalu Gender Policy Strategic Action Plan 2014-2019 which is currently under review, put more emphasis on gender mainstreaming across all sectors through the implementation of four key policy measures including institutional strengthening and capacity building, women's economic empowerment, women in decision making and ending violence against women. One of the key actions under the Environment sector is to ensure equitable access to capacity building in environment, climate change and disaster risk reduction</p> <p><i>Complementarity: The NAP Readiness Project will build on the lessons learnt and best practices in gender mainstreaming to guide mainstreaming of climate change across priority sectors and further enhance mainstreaming of gender and youth (Activity 2.3.1).</i></p>
<p><i>The Tuvalu Private Sector Development Plan (2018-2022)</i></p>	<p>The TPSD's focus is on improving access to sustainable finance, infrastructure and enabling mechanisms to support and sustain growth of businesses in Tuvalu which is recognized as the "engine for growth".</p> <p><i>Complementarity: The NAP Readiness Project will identify current and future climate risks in Tuvalu (Sub-Outcome 3.2) including the priority sectors (Coastal protection, Water, Agriculture, Fisheries, Health and Disaster), develop a NAP with adaptation actions in each of the sectors (Activity 4.2.1), and a sustainable financing strategy for adaptation (Activity 5.1.2). All these will contribute to strengthening the resilience of Tuvalu and its communities and its socio-economic infrastructure against future adverse impacts of climate change.</i></p>

Table 3: Complementarity with key projects

<p><i>Tuvalu Coastal Adaptation Project</i></p>	<p>This project was established in 2017 and is a 7-year project co-financed by GCF and the Tuvalu Government, and sits under the Department of Climate Change and Disaster. The Project has 3 key outputs including:</p> <ul style="list-style-type: none"> • Strengthened institutions, human resources, awareness & knowledge for resilient coastal management • Reduced vulnerability of key coastal infrastructure to wave induced damages, including homes, schools, hospitals • Establish a sustainable financing mechanism for long-term adaptation efforts. <p><i>Complementarity: Institutional strengthening efforts have been aligned with Outcome 1 to ensure complementarity and avoid duplication. Evidence gathered to inform risk assessments and options appraisal provide a starting point for Outcomes 3 and 4. The sustainable finance mechanism will fit within the proposed climate finance strategy (Outcome 5). M&E system from this project should feed into a national level M&E framework for the NAP (Activity 4.2.2).</i></p>
<p><i>Tuvalu Integrated Vulnerability Assessment (TIVA)</i></p>	<p>TIVA was carried out in 2018 through all the nine islands of Tuvalu and included in the assessment 7 priority sectors including Ecosystem Health, Water Security, Security of Place, Energy Security, Income Security, Community Health and Food Security. These sectors were assessed through 5 livelihood assets including Ecosystem, Infrastructure and Services, Finance, Human Resource and Institution and Governance. TIVA contributes to providing climate data for adaptation and mitigation measures for the whole of Tuvalu.</p> <p><i>Complementarity: TIVA outputs will play a key role in informing the climate change baseline established under Outcome 3. The TIVA results will inform the development of the sector-based vulnerability assessments and will be an important feature of the national risk and vulnerability report (Outcome 3, Activity 3.2.2).</i></p>



<p><i>Other projects and recent activities</i></p>	<ul style="list-style-type: none"> Enhancing local governance for outer island development capacities and partnerships through the Supporting Local Governance for Outer Island Development (SLG) Phase I and II projects Strengthening Kaupule's (The executive arm of the Falekaupule) capacity to mainstream climate change into the Island Strategic Plans supported through the Least Developed Country Fund (LDCF) Vulnerability and rapid assessments have been conducted in Nanumaga, Funafuti, and Nukulaelae through support from the Global Climate Change Alliance Initiative (GCCA) of the European Union Funding from GIZ for the insurance-related activities to be delivered in 2019/20 is likely to include outer-island consultations which will supplement the available baseline on impacts and vulnerability. <p><i>Complementarity: Project lessons will be taken into account, including making use of lessons and data from previous vulnerability assessments. Past projects will be analysed to determine adaptation progress and determine adaptation baselines in Tuvalu (Activity 2.2.1).</i></p>
<p><i>NAPA priorities are being tackled through three on-going and/or technically cleared LDCF projects</i></p>	<ul style="list-style-type: none"> Tuvalu: Increasing Resilience of Coastal Areas and Community Settlements to Climate Change (NAPA I) Project which focuses on the first 3 priorities of the NAPA Effective and Responsive Island-level Governance to secure and Diversify Climate Resilient Marine-based Coastal Livelihoods and Enhance Climate Hazard Response Capacity (NAPA II) The "Regional Building Resilience of Health Systems in Pacific Island LDCs to Climate Change" <p><i>Complementarity: The outputs from these projects will feed into the formulation of the NAP and the identification of adaptation options (Sub-Outcome 4.1) and a stocktake of these projects will be completed to determine adaptation baselines across Tuvalu (Activity 2.2.1). Further, these projects have built climate change awareness in the communities that they have been implemented. The potential increased climate change awareness as a result of these projects will be considered when drafting the awareness survey (Activity 2.4.3a) and designing information products and communication materials (Activity 2.4.2).</i></p>
<p><i>GCF Readiness funding</i></p>	<p>Tuvalu has submitted its proposal for funding to the GCF to implement an NDA Readiness project. The proposal is yet to be approved however this project will support the strengthening of the NDA Office by establishing in-country processes to deliver core functions including stakeholder stewardship, accreditation support and project approval processes; a "no objection" process to ensure country ownership of projects and stakeholder engagement processes on strategic priorities for engagement with the GCF through its country programme. The Readiness Project will focus on both mitigation and adaptation.</p> <p><i>Complementarity: The outputs from this project will feed into the adaptation planning process, stakeholder engagement and development of adaptation priorities and the NAP document. The GCF Readiness project will develop a stakeholder engagement strategy, which will be considered when developing the Communications and Engagement Strategy that will be used to guide stakeholder engagement of at various stages of the development and implementation of the NAP (Activity 2.4.1). Capacity development and coordination activities under the Readiness project are largely focussed on the NDA and its engagement with the GCF and stakeholders in Tuvalu in accessing resources from the GCF, whereas this project has a broader focus, including engaging sectors. Activities undertaken through the NAP Readiness Project will enhance the prioritisation process established under Readiness by generating specific adaptation priorities (Activity 4.1.2), which can inform Tuvalu's pipeline in the Country Programme. Both projects will contribute to the quality and timeliness of the project pipeline and link priorities to finance.</i></p>
<p><i>Pacific Islands Climate Change Insurance Facility (PICCIF) project</i></p>	<p>The Pacific Islands Climate Change Insurance Facility (PICCIF), funded by GIZ, is currently under development. The PICCIF will be a key route to access climate finance and in the long term will potentially enable people to 'build back better' if affected by climate change impacts. Tuvalu initiated the proposal for a climate insurance facility, which is now supported by a taskforce of Smaller Island States and development partners.</p> <p><i>Complementarity: One of the main areas of overlap between the PICCIF and the NAP project will be the development of risk assessments. Both the NAP and the PICCIF will rely on accurate and comprehensive risk assessments, including risk maps (Activity 3.2.2). These tools will be developed under the NAP project activities and will be used and enhanced collaboratively between the projects. The PICCIF will be considered as an avenue for innovative finance to support mid to long-term adaptation options (5.1.1).</i></p>
<p><i>GCF Proposal – UNEP: Enhancing Climate Information and Knowledge Services for resilience in 5 island countries of the Pacific Ocean</i></p>	<p>The UNEP Climate Information Service (CIS) project proposes to facilitate integrated climate and ocean information services and multi-hazard early warning services in Cook Islands, Niue, Palau, RMI and Tuvalu.</p> <p>This will be achieved through four project components:</p> <ol style="list-style-type: none"> Strengthened climate information services covering oceans and islands, supported by institutions, coordination mechanisms, policies and financial frameworks; Strengthened observations, monitoring, modelling and prediction of climate and its impacts on ocean areas and islands Improved community preparedness, response capabilities and resilience to climate risks Regional knowledge management and cooperation.



	<p><i>Complementarity: The work undertaken under the UNEP CIS project will be beneficial to the strengthening of climate risk assessments activities described under Outcome 3. The stocktake report to identify gaps in the risk and vulnerability assessments (Activity 3.2.1) in Tuvalu will be coordinated with the UNEP CIS project to ensure there is no duplication of effort. Additionally, the work of the UNEP CIS project under project component ii) will enhance Activity 3.1.1 (incorporation of current and future climate scenarios and trends into models to identify future risks and impacts) by providing strengthened modelling and prediction of climate change and its impacts.</i></p>
<p>Climate Ready; Tuvalu NAP Framework</p>	<p>Between June and October 2020, Climate Ready carried out a preliminary desk review to:</p> <ol style="list-style-type: none"> 1. Identify and assess climate change impacts, vulnerability, adaptive capacity and adaptation efforts undertaken so far based on a review of domestic legislation, policies, plans and projects relevant to climate change adaptation; 2. Identify gaps and needs of the current enabling environment for the NAP process, and suggest improvements and opportunities for enhancing the effectiveness of Tuvalu's NAP process; and 3. Identify and prioritise key national climate change adaptation issues. <p>The scope of the desk review included available information on relevant legislation, policies, plans and projects for the period covering 2010 to 2020. The findings from the desk review have been used to prepare a draft NAP Framework. The NAP Framework (due to be finalised in October/November 2020) will provide strategic guidance for the core elements of the NAP process, including institutional arrangements, gender and social inclusion, financing and resource mobilisation, information and knowledge management, monitoring, evaluation and learning, and branding and communication.</p> <p><i>Complementarity: The findings from the development of the NAP Framework is a useful foundation for the activities planned under the NAP process. The research from the framework will inform the establishment of the Adaptation Technical Working Group (Activity 1.2.1). The Framework forms a solid start point for the stocktake of past and current adaptation projects (Activity 2.1.1), the comprehensive assessment of current and future climate risks (Activity 3.4.1), and the development of a national-level M&E framework (Activity 4.3.1) and financing strategy for adaptation (Activity 5.2.1).</i></p>

Table 4: Complementarity with key institutions	
<p>The National Advisory Council on Climate Change (NACCC)</p>	<p>Established in 2013 to provide advice and guidance on climate change policy and actions to the Prime Minister as the National Designated Authority as well as Cabinet. It comprises of all line ministries and departments and representatives from the private sector, civil society organization (CSO) and non-government organizations (NGO).</p> <p><i>Complementarity: This project will support the work of the NACCC, including building its capacity to undertake adaptation planning and implementation of the NAP (Sub-Outcome 1.2). The NACCC will endorse key outputs ensuring complementarity with other adaptation activities. An Adaptation Technical Working Group (ATWG) will be established by this project, under the direction of the NACCC (Activity 1.2.1).</i></p>
<p>Department of Climate Change and Disaster, (DCC) Ministry of Finance</p>	<p>Directly oversees climate change initiatives in Tuvalu as well as coordinates the mainstreaming of climate change into national and sectoral policies and plans since its establishment in 2015. Provides of secretariat support to the NACCC and coordinating with other key ministries and departments.</p> <p><i>Complementarity: DCC will benefit from capacity building efforts (Sub-Outcome 1.2); the DCC Climate Change Portal will be used to disseminate project findings and as a repository of sector-specific prioritization of adaptation options (Deliverable 2.2.2).</i></p>
<p>The Tuvalu Survival Fund (TSF)</p>	<p>The TSF is governed by the Tuvalu Survival Fund Act 2015, was established by the Government of Tuvalu to finance recovery and rehabilitation from climate change impacts and disasters, and climate change investments in mitigation and adaptation projects.</p> <p><i>Complementarity: The TSF will be considered within the proposed climate finance strategy (Outcome 5). In particular the TSF will be used to inform innovative climate finance options for the NAP sustainable financing strategy (Activity 5.1.1).</i></p>

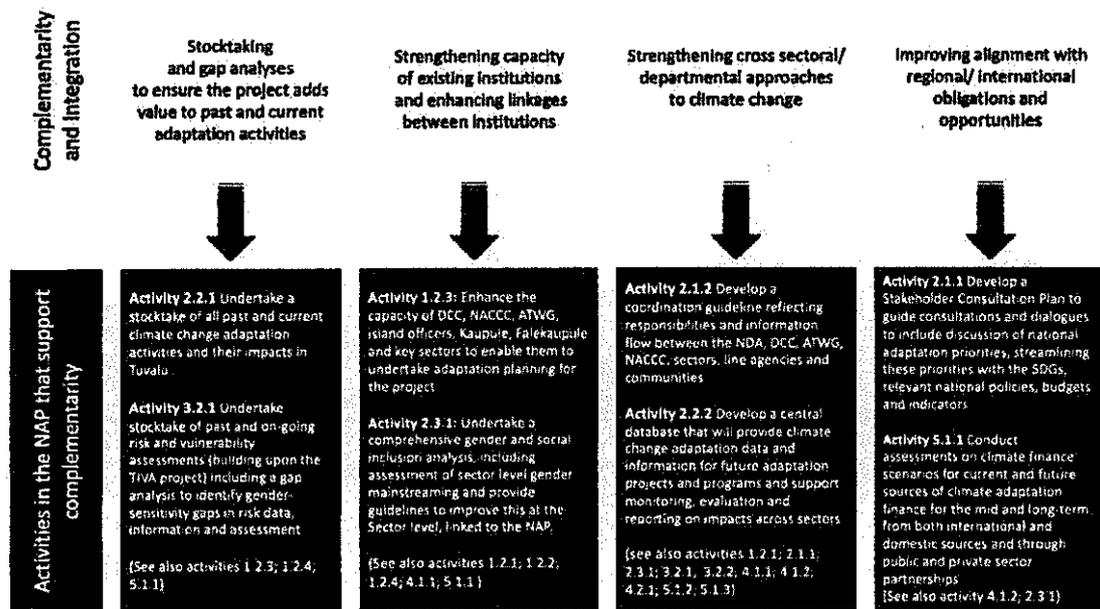
The proposed activities have been designed around specific practical approaches which will support integration with existing policies and plans and ensure complementarity with other investments, namely:

- Stocktaking and gap analyses to ensure the project adds value to past and current adaptation activities (e.g. activities 1.2.3; 1.2.4; 2.2.1; 3.2.1; 5.1.1)
- Strengthening capacity of existing institutions (e.g. activities 1.2.1; 1.2.2; 1.2.3; 1.2.4; 4.1.1; 5.1.1)
- Enhancing linkages between institutions to enhance delivery of climate adaptation action (e.g. activities 1.2.1; 2.1.1; 2.1.2; 3.2.2; 4.2.1; 5.1.3)
- Strengthening cross sectoral/departmental approaches to climate change (e.g. activities 1.2.1; 2.3.1; 3.2.1; 3.2.2; 4.1.1; 4.1.2; 4.2.1; 5.1.2)



- Improving alignment with regional/international obligations and opportunities (e.g. activities 2.1.1; 4.1.2; 2.3.1; 5.1.1)

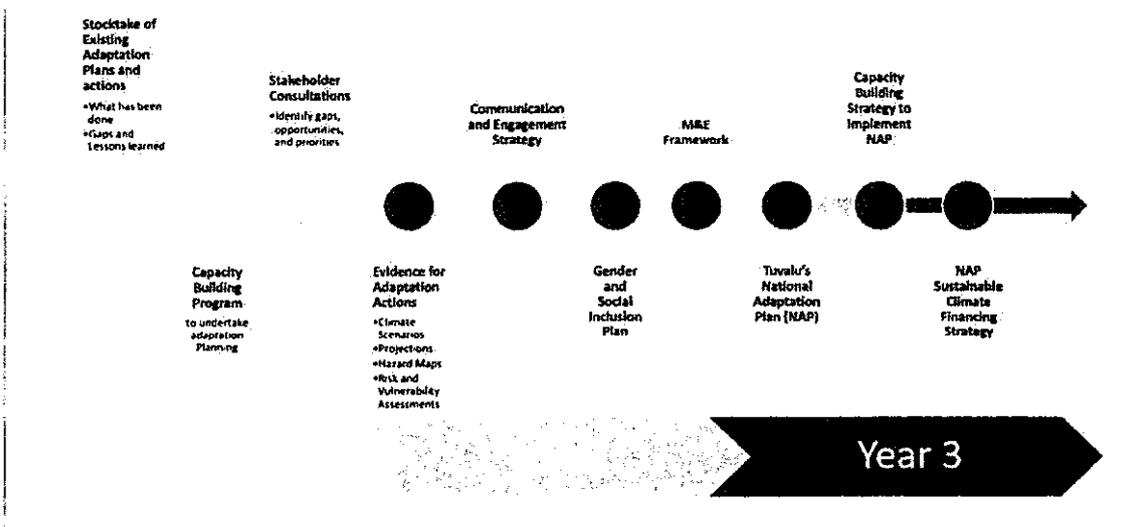
Figure 3. Integration and Complementarity of Activities



Major components and key elements of the NAP Process

The major components of the NAP process and the main elements that will be incorporated into the NAP document is set out below in Figure 4. It shows the sequencing of the major components and elements required to develop the NAP through the adaptation planning process. The latter part of the diagram shows the approach and next steps to the implementation of the NAP and on-going financing of climate change adaptation in Tuvalu. The Logframe in section three follows this sequence to ensure there is clear articulation of how each outcome flows and feed into the next set of outcomes.

Figure 4. Sequence of major components of the NAP process





<p>Sub-Outcome 1.2 Capacity of DCC, ATWG and NACCC enhanced and coordination of climate change adaptation planning strengthened</p>	<p>Limited staff with technical capacity within DCC and amongst NACCC membership to lead adaptation planning and implementation under the project. The Capacity Assessment Report completed under Readiness 1 project will provide clear detail of capacity gaps within the DCC. NACCC is a high-level Committee that provides advice to Cabinet. There is no technical working group providing technical guidance and support planning for the implementation of CC adaptation.</p>	<p>Adaptation Technical Working Group established and meeting every six months. <i>Note:</i> Membership will include technical representatives from relevant line ministries and sectors including the priority sectors under the project (Agriculture, Coastal protection, Water, Fisheries, Health and Disaster), private sector and civil society organisations (CSOs).</p>	<p>Activity 1.2.1 Establish an Adaptation Technical Working Group (ATWG) to strengthen coordination and implementation of climate change adaptation planning. Deliverables 1.2.1: a. Terms of Reference for Adaptation Technical Working Group developed by DCC, endorsed by NACCC. b. ATWG established, functioning as a review committee and meeting at least six-monthly. Demonstrated through meeting minutes.</p>	<p>a</p>	<p>b</p>	<p>b</p>	<p>a b</p>	<p>c</p>	<p>b</p>	<p>Activity 1.2.2: Develop a coordination guideline reflecting responsibilities and information flow between the NDA, DCC, ATWG, NACCC, sectors, line agencies and communities with clear guidance on communication of information with all stakeholders. Deliverable 1.2.2: a. Draft Coordination Guidelines produced b. Final Coordination Guidelines produced c. Guidelines endorsed by the NACCC</p>	<p>DCC is promoting the use of the Guidelines All Government Ministers, NGOs, private sectors and partners are utilising the Guidelines</p>	<p>DCC is promoting the use of the Guidelines All Government Ministers, NGOs, private sectors and partners are utilising the Guidelines</p>	<p>DCC is promoting the use of the Guidelines All Government Ministers, NGOs, private sectors and partners are utilising the Guidelines</p>	<p>DCC is promoting the use of the Guidelines All Government Ministers, NGOs, private sectors and partners are utilising the Guidelines</p>	<p>DCC is promoting the use of the Guidelines All Government Ministers, NGOs, private sectors and partners are utilising the Guidelines</p>	<p>DCC is promoting the use of the Guidelines All Government Ministers, NGOs, private sectors and partners are utilising the Guidelines</p>	<p>DCC is promoting the use of the Guidelines All Government Ministers, NGOs, private sectors and partners are utilising the Guidelines</p>	<p>DCC is promoting the use of the Guidelines All Government Ministers, NGOs, private sectors and partners are utilising the Guidelines</p>															
--	--	--	--	----------	----------	----------	------------	----------	----------	----------	----------	----------	----------	----------	----------	----------	----------	----------	----------	----------	----------	----------	----------	----------	--	---	---	---	---	---	---	---	---



<p>d. Evaluation of the effectiveness of the Coordination Guidelines and mechanisms and updated Guidelines as appropriate (findings to feed into the Terminal Evaluation Report)</p>	<p>Activity 1.2.3: Enhance the capacity of DCC, NACCC, ATWG, island officers, Kaupule, Falekaupule and key sectors to enable them to undertake adaptation planning for the project</p> <p>Deliverables 1.2.3: a. Gap analysis of expertise and skillsets of target groups b. Development and ongoing implementation of a capacity building programme including training materials c. Evaluation of the capacity building programme (findings will feed into Terminal Evaluation Report)</p> <p>Activity 1.2.4: Undertake a gap assessment and institutional analysis on DCC, NACCC, ATWG, island officers, Kaupule, Falekaupule and key sectors to determine gaps in capacity to implement the NAP (refer Outcome 4 & 5)</p>	
	<p>Capacity building needs of Tuvalu Government, sectors, CSOs/NGOs, private sector, Kaupule and Falekaupule identified and prioritised</p> <p>DCC staff, NACCC and ATWG members are capacitated to undertake adaptation planning under the project and beyond the life of the project</p>	<p>Strategy developed outlining gaps and funding required for implementation of the Climate Financing Strategy (Outcome 5)</p>
	<p>Some ad hoc trainings have been delivered using development partner support but did not specifically or systematically address training needs and gaps to upskill and strengthen knowledge of DCC, sectors. CSOs/NGOs, private sector and communities to undertake adaptation planning and implementation. An adaptation appraisal and prioritisation training was delivered in early 2019 under the NAP. GSP through UNEP.</p>	





	<p>Sub-Outcome 2.3 Gender considerations are mainstreamed in adaptation planning</p>	<p>Tuvalu has a Gender Policy and a Youth Policy which will be used as a starting point for the development of a mainstreaming guideline.</p>	<p>Gender considerations are mainstreamed into the stakeholder consultations and NAP</p>	<p>collated under Activity 2.3.1 for future adaptation projects and programs and support monitoring, evaluation and reporting on impacts</p> <p>Deliverable 2.2.2:</p> <p>a. A database developed and operationalized and report on database development</p> <p>b. Database is updated with new climate change adaptation information and data and maintained by trained staff of DCC/PCU and Meteorology. Updates, trainings and progress reported in six-monthly progress reports</p>																																		<p>Activity 2.3.1: Undertake a comprehensive gender and social inclusion analysis, and to develop a NAP gender and social inclusion action plan (linked to Outcome 4). The activity will include assessment at the Sector level of gender mainstreaming and provide guidelines to improve this at the Sector level, linked to the NAP.</p> <p>Deliverables 2.3.1:</p> <p>a. Report reflecting comprehensive review of existing sector plans/ strategies to identify entry points for mainstreaming gender and youth</p>				a	b	c	d	e																									
--	---	---	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--



		<p>Sub-Outcome 2.4 Communities and the general population of Tuvalu are well informed of climate change, its impacts and the NAP actions / activities</p>	<p>There is no communication and engagement strategy for climate change in general and specifically adaptation. Some ad hoc awareness programmes were conducted under various projects on climate change</p>	<p>A clear communication and engagement strategy is being implemented and monitored for effectiveness</p>	<p>issues into CCA, planning and programming b. Guideline to support integration of gender and youth issues into CCA planning and programming in the priority sectors (Agriculture, Coastal protection, Water, Fisheries, Health, Disaster) and piloted in Agriculture and Water sectors. c. Draft Gender and Social Inclusion Plan for incorporation into the NAP (Outcome 4) d. Final Gender and Social Inclusion Plan for incorporation into the NAP (Outcome 4)</p>	<p>a</p>	<p>b</p>	<p>c d</p>	<p>d</p>	<p>c e</p>			
				<p>Activity 2.4.1: Develop a Communication & Engagement Strategy and Action Plan to guide communication and awareness raising activities through: (i) the NAP planning process and to raise awareness of climate change impacts and adaptation actions, and; (ii) inform and familiarize stakeholders on the NAP, adaptation activities and ongoing awareness raising of climate change issues.</p>	<p>Deliverables 2.4.1: a. A session on Communication & Engagement conducted at the</p>								



<p>Sub-Outcome 3.2 A stocktake of risk and vulnerability assessments, vulnerability mapping and risk-based coastal and other climate hazard analysis and mapping undertaken with results incorporated into the NAP planning process, and development of NAP priorities</p>	<p>There are currently no climate-induced hazard zones and risk maps developed for Tuvalu. The Tuvalu Coastal Adaptation project is funding the use of LIDAR to map the topography and bathymetry and it is anticipated this will form the foundation for the vulnerability and risk assessments and modelling / mapping. Additionally, whilst various tools have been developed in the past (e.g. TIVA and Comprehensive Hazard and Risk Management (CHARM) tools), there is no sector-based risk assessment tool.</p> <p>Past projects have included: (a) Tuvalu Integrated Vulnerability Assessment (TIVA) project conducted community-based vulnerability assessment from the perspective of communities; (b) PACCSAP in 2014 produced projections for all Pacific Islands including Tuvalu, whilst other projects have some sort of vulnerability assessment as a rationale to support funding requests.</p>	<p>Updated vulnerability and risk assessments for at least two priority sectors</p>	<p>Activity 3.2.1: Undertake stocktake of past and on-going risk and vulnerability assessments (building upon the TIVA project) including a gap analysis to identify gender-sensitivity gaps in risk data, information and assessment and missing and out-of-date data/information.</p> <p>Deliverable 3.2.1: a. A stocktake report including a compiled list of risk and vulnerability assessments are shared on the Tuvalu climate change portal and used to update the database developed under Activity 2.1.2</p> <p>b. An action plan to address the gaps as highlighted in the stocktake report</p>	<p>Activity 3.2.2: Vulnerability and risk-based coastal and other climate hazard analysis and mapping</p> <p>Deliverable 3.2.2: a. Modelling framework developed and baseline data identified and integrated into model</p> <p>b. Risk assessments and maps developed for priority sectors (Agriculture, Water, Coastal protection, health, fisheries and disaster), stored in</p>	<p>a b</p>	<p>a</p>	<p>b d c d</p>	<p>b d c d</p>	<p>a</p>	<p></p>
---	---	--	---	--	------------	----------	----------------	----------------	----------	---------



<p>Sub-Outcome 4.2 A national adaptation plan developed and endorsed, encapsulating the findings from the consultative process, and vulnerability and risk assessment and mapping</p>	<p>NAPA was developed to address the immediate adaptation needs of Tuvalu. There is no plan for medium to long-term adaptation actions in place.</p>	<p>A Tuvalu NAP that is well consulted, accepted and endorsed by all Tuvaluans as the main guiding strategic plan to address the survival and resilience of Tuvalu as an atoll island in the changing climate</p>	<p>Activity 4.2.1: Develop the National Adaptation Plan using findings and deliverables from Outcomes 2-4, including a sustainability plan to consider future support for NAP processes (refer Outcome 5) Deliverable 4.2.1: a. National Adaptation Plan is developed and endorsed (refer Activity 4.2.3 for endorsement process) b. Final report outlining the NAP process and lessons learnt for future adaptation planning (Report will feed into the Terminal Evaluation Report) c. Stakeholder debriefing sessions including reports from sessions</p>	<p>Activity 4.2.2: Develop an M&E framework for tracking and reporting of: (i) development and implementation of CCA activities disaggregated by gender and social inclusion to identify adaptation activities by men and women and other groupings; and (ii) to inform adaptive learning and adjustments to the NAP activities as required</p>	<p>Deliverable 4.2.2:</p>
<p>There is no monitoring and evaluation framework for mid to long-term climate change adaptation actions in Tuvalu</p>	<p>An M&E Framework for the Tuvalu NAP that allow all Tuvaluans including Government, CSOs/NGOs, private sector and communities to monitor progress, evaluate success and impacts, enable reporting and learning</p>	<p>Activity 4.2.2: Develop an M&E framework for tracking and reporting of: (i) development and implementation of CCA activities disaggregated by gender and social inclusion to identify adaptation activities by men and women and other groupings; and (ii) to inform adaptive learning and adjustments to the NAP activities as required</p>	<p>Deliverable 4.2.2:</p>	<p>Deliverable 4.2.2:</p>	



<p>Outcome 5 Development of a Climate Change Adaptation financing strategy for mid- and long-term CCA</p>	<p>Sub-Outcome 5.1 A NAP sustainable financing strategy is developed through a consultative process</p>	<p>There is no assessment undertaken on current and future sources of climate finance. There is limited understanding of climate change funds across Government, sectors, CSOs, private sector and communities. There has been some assessments undertaken to set up the Tuvalu Survival Fund and to support Pacific Islands Climate Change Insurance Fund (PICCIF) and other disaster resilience funds at the regional level. Tuvalu Survival Fund is in place and PICCIF is under</p>	<p>Climate change funding sources that are currently available are well understood by the Government in particular the Ministry of Finance, sectors, CSOs, NGOs, private sector and communities and financing options identified based on the NAP</p>	<p>a. MAE Framework is developed and incorporated into the NAP</p>
	<p>No NAP validation meetings</p>		<p>ATWG and NACCC agree to the final NAP before submission to Cabinet for approval</p>	<p>Activity 4.2.3: Convene meetings of the ATWG and NACCC to validate the final version of the NAP and submit to Cabinet for approval</p> <p>Deliverables 4.2.3: a. NAP is validated and submission to Cabinet developed b. Minutes of the meetings (ATWG and NACCC) c. Documented Cabinet decision and endorsed NAP</p>
				<p>a b c</p>



	<p>development. The project will explore innovative climate finance that will work for Tuvalu such as establishing an adaptation window in the Tuvalu Survival Fund, eco-credit, etc. Awareness of innovative climate change finance is limited.</p>		<p>Identify south-south learning with opportunities for DCC, Ministry of Finance, private sector and NGOs to build their understanding and capacity on access and or establishment and operationalization of funding options.</p> <p>Deliverables 5.1.1: a. Climate finance options assessment report with clear recommendations on finance options endorsed by NACCC. b. South-South learning opportunities identified and implemented for DCC, Ministry of Finance, private sector and NGOs. c. South-South learning report with recommendations to strengthen NAP sustainable climate finance strategy (Activity 5.1.2).</p> <p>Activity 5.1.2: Based on deliverables of Activity 5.1.1, develop a NAP sustainable financing strategy that includes the private sector, CSOs, NGOs and FBOs.</p> <p>Deliverables 5.1.2: a. Draft NAP Sustainable Financing Strategy developed b. Consultation Reports</p>																																																																																																		
--	--	--	---	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--



		<p>Awareness of climate change finance is limited across Government, sectors, CSOs, NGOs, private sector and communities</p>	<p>Increased understanding and awareness of climate change financing sources and innovative ways to establish secure funding to support implementation of NAP and future adaptation planning and implementation.</p>	<p>c. Final NAP Sustainable Financing Strategy d. NACCC endorsement of the final NAP Sustainable Financing Strategy</p> <p>Activity 5.1.3: National dialogue to validate and raise awareness of the CCA finance strategy (using the Strategy developed under Activity 2.4.1 to guide engagement of stakeholders at the national dialogue)</p> <p>Deliverable 5.1.3: a. Dialogue report developed with clear recommendations on changes to the strategy.</p>	<p>a</p>					
<p>Sub-Outcome 5.2 Financing sought for adaptation projects</p>	<p>Tuvalu is currently implementing the Tuvalu Coastal Adaptation projects with funding from the GCF and a GCF NDA Readiness Support Programme. There are currently no new concept notes to the GCF for adaptation projects</p>	<p>At least two project concept notes developed in partnership with Accredited Entities for submission to climate financing funders as identified in Output 5.1</p>	<p>Activity 5.2.1: Project concept notes developed reflecting the priorities outlined in the NAP and Country Programme</p> <p>Deliverables 5.2.1: a. Project ideas identified and endorsed by the NACCC and NDA Accredited Entities (AES) identified and agree to partner Tuvalu</p> <p>b. At least two project concept notes developed with the AES</p> <p>c. Concept notes endorsed through Tuvalu NCI Process and</p>	<p>a</p> <p>b</p> <p>c</p>						



4. ADDITIONAL INFORMATION (ONLY FOR ADAPTATION PLANNING SUPPORT)

Addressing impacts

Tuvalu is expected to be affected severely from the impact of climate change, indeed the projected sea-level rise poses an existential threat to the country; it threatens lives and livelihoods in a nation already challenged by its geography and size. Vulnerability reduction is one of the most critical elements of climate change adaptation for Tuvalu especially where it can build upon the strong cultural identity and sense of community which characterises these atolls and islands. In addition to the direct impacts (Table 1) climate change is likely to contribute to increased internal and external migration and put greater pressure on already degraded marine ecosystems.

The Tuvalu Climate Change Policy argues that maintaining the sovereignty of Tuvalu is a critical policy objective and a nationwide relocation is not considered an official solution to climate change. Furthermore, with the highly limited land availability, neither is significant internal relocation. This means that vulnerability reduction in all of the inhabited islands is essential. The proposed activities will address these impacts and vulnerabilities by creating a sustainable platform for action. As highlighted in Table 1, the impacts faced by Tuvalu will generate mutually reinforcing pressures on communities and the broader economy. This project proposes a coordinated approach to adaptation planning based upon strengthened institutions; strengthened systems for climate change information and knowledge management; improved understanding of risks and vulnerabilities community and sector level; development of a coherent set of options aligned to a new National Adaptation Plan (and M&E framework which enables progress to be tracked and lessons to be learnt); and a Climate Change Adaptation financing strategy which will provide a practical pathway to address these impacts.

Inclusive and gender sensitive stakeholder engagement

The gender objective of this proposal is to mainstream gender-responsive adaptation planning in every stage of the NAP process, from stocktaking and stakeholder engagement through to evaluation and reporting. This proposal aligns with the Government of Tuvalu's approach to gender, which is to mainstream gender considerations across all government ministries, as outlined in the Tuvalu National Gender Policy. Further, we will incorporate international and regional good practice outlined in guidelines such as the GCF's Mainstreaming Gender in Green Climate Fund Projects Manual, the NAP Global Network's Gender-Responsive NAP Toolkit, and SPREP's Gender Policy to ensure that gender considerations are included in all aspects of the process.

It is well established that gender influences people's vulnerability to climate change²². In Tuvalu, following traditional roles, women do most of the caring work²³, looking after children and the elderly, cooking, cleaning and some gardening. This work is heavily reliant on access to and availability of clean fresh water and therefore sensitive to changes in rainfall patterns requiring water security adaptation interventions. Adaptation options need to consider the needs of all groups to ensure a fair distribution of benefits and take care to not disadvantage any groups.

The NACCC and the Women's Affairs Department have been sensitized to gender-responsive approaches for adaptation planning from previous projects, such as SPC's *Gender in Adaptation to Climate Change and Energy Projects* training²⁴, the Tuvalu Coastal Adaptation Project's *Gender Assessment and Gender Action Plan*, and through the planned GCF Country Programming work which will include training in a Gender Analysis Tool. A gap analysis of expertise and skillsets (Activity 1.2.3) will identify additional gaps in capacity in gender-responsive adaptation in the early stages of the NAP process, which could include training in sex-disaggregated data collection and analysis, and gender sensitive facilitation depending on the outcome of the



training needs analysis. This will ensure they have the technical capacity to carry out gender-responsive adaptation planning and that a gender lens is applied to all aspects of the project from the beginning.

Throughout the delivery of the project, we shall be taking a mainstreaming approach by undertaking a gender and social inclusion analysis and developing a NAP gender and social inclusion action plan to support integration of gender and youth issues into climate resilient development planning, programming and budgeting in the priority sectors and to minimise the inequalities of existing decision-making frameworks²⁵ (Activity 2.3.1). The Gender Affairs Department, which sits within the Prime Minister's Office, will be utilized in the development of these guidelines, and across the entire NAP process to ensure gender and environmental safeguards are effectively included. We believe that this is a sustainable approach and establishes standards which can form a foundation for future stakeholder engagement and adaptation planning processes. The project will also make full use of the *Falekaupule* (local government on each island) and civil society to ensure community-level commitment and involvement in project activities and, more importantly, in on-going adaptation planning processes.

Climate change risks manifest differently for men and women, and these different vulnerabilities will be quantified to develop more effective adaptation options. As men and women engage differently with the six priority sectors, a guideline to support integration of gender and youth issues into CCA planning and programming in the priority sectors will be developed (Activity 2.3.1). A Stakeholder Consultation Plan for the NAP process will be developed in the first 6 months of the project and this will guide all stakeholder consultations and exercises to ensure effective representation of women and youth perspectives (Activity 2.1.1). Finally, integrating gender in the NAP M&E Framework through the identification of indicators that track gender related impacts and the collection and analysis of sex-disaggregated data will highlight if any changes are required across the course of the project to enhance the inclusion of men and women in successful adaptation in Tuvalu (Activity 4.2.2).

The private sector in Tuvalu is relatively small and national GDP is dominated by licenses for commercial fisheries, overseas aid and remittances. However, the Te Kakeega III National Strategy for Sustainable Development (2016-2020) has identified the private sector as the 'engine of growth' for Tuvalu and efforts have been made to strengthen the private sector, including into export markets. Small-scale private enterprise can play an important role in enhancing household and community resilience but equally it can be adversely impacted by climate change. This project will therefore look to engage the private sector throughout, specifically engaging the Tuvalu National Private Sector Organisation (TNPSO) and the Tuvalu Non-Government Organisations (TANGO). These groups are represented in the NACCC and will therefore be included in capacity building (outcome 1), improving understanding of risks (outcome 2) and assessing options (outcome 4). Under outcome 3, we shall look to fill important gaps in our knowledge of risks to commercial and subsistence fisheries and communicate this to stakeholders.

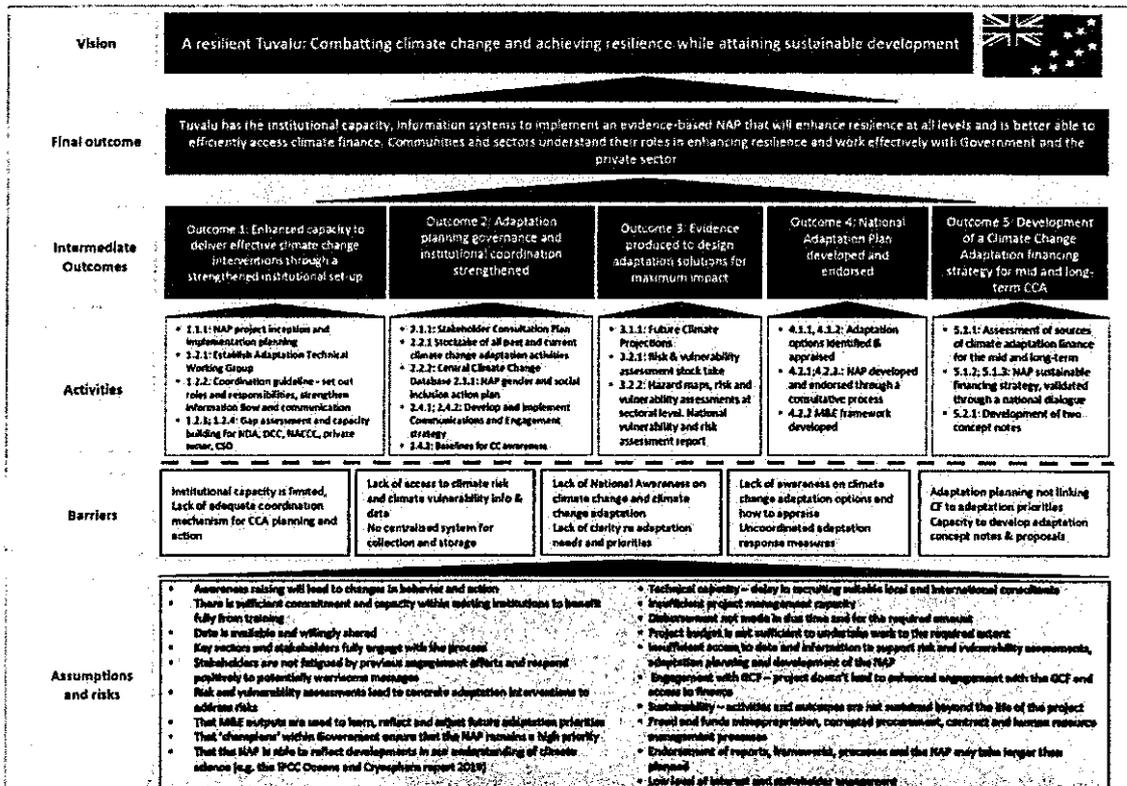


Figure 5: Theory of Change Diagram

Theory of Change

The Theory of Change (ToC) articulates the overarching change to achieve through this project; how this will be achieved (“the pathway of change”) and the connections between key outcomes and activities. It outlines barriers that will need to be overcome and assumptions underpin the ToC. We will use this diagram to articulate the project concept to stakeholders and to frame our approach to project monitoring and evaluation. By doing so, we will be able to make iterative adjustments to the project to ensure key outcomes are achieved even if there are changes to underlying conditions and assumptions.

How the selected outputs and outcomes address the barriers identified

The barriers, as well as the key outcomes, were determined by a review of past adaptation activities in Tuvalu and outputs from a stakeholder consultation event which focused specifically on this project. Barriers include; limited institutional capacity and coordination for adaptation planning, limited awareness of climate change impacts and adaptation options, and a lack of access to climate risk and vulnerability data, among others.

As the project concept was developed careful thought was given to how the outputs and desired outcomes will relate to key barriers. A worked example this is the risk assessment outcome. It was identified that to access to climate risk and vulnerability information and data is one barrier to effective adaptation planning, therefore the outcome 'strengthened climate risk assessments at community and sectoral level' was included with a series of activities designed to overcome this barrier. The first step is a stocktake of existing risk and vulnerability assessments to identify gaps in the data, followed by the development of sector-based risk tools and the completion of risk assessments to fill these gaps and update information, and finally the construction of a comprehensive database to provide access to this information for future adaptation projects. A similar process was undertaken until the horizontal and vertical logic of the project was fully explored and reflected in the ToC diagram. For further details of the interactions between the identified barriers and outcomes of the project see Figure 2.



The causal pathway and the sequencing of activities and outputs (i.e., which outputs are dependent on which activities?)

The vision of the ToC is to "combat climate change and achieve resilience while attaining sustainable development". The causal pathway to achieve this vision begins with smaller, achievable activities and associated outputs that sequentially build upon each other. Thus, the initial activities/sub-outcomes of the ToC are to increase the institutional capacity of Tuvalu and strengthening climate change coordination mechanisms to support adaptation planning and implementation; this provides a solid foundation for later activities. Other outputs are dependent on the successful completion of a number of activities beforehand. For example, Activity 4.1.2 (identify, appraise and prioritize adaptation options) must be preceded by a stocktake of past adaptation interventions (Activity 2.2.1), risk assessments (Activities 3.2.2) and development of a stakeholder consultation plan (Activity 2.1.1). We recognize that adaptation is an iterative process and we have allowed for some flexibility in the approach to delivering tasks sequenced later in order to reflect intermediate outcomes. This is also why we have taken the time to explore and understand assumptions which underpin the causal pathway. By monitoring these assumptions, we will be able to better understand what is working and why, making adjustments as required.

The identified risks and project assumptions

Articulating the underlying assumptions and identifying risks is key to creating an effective pathway to change. A number of assumptions underpin the ToC such as: awareness raising will lead to changes in behaviour and action, data is available and willingly shared, stakeholders are not fatigued by previous engagement efforts and respond positively to potentially worrisome messages etc. The risks are that these assumptions are incorrect, for example data is not available or willingly shared. After identifying these assumptions and risks mitigating measures have been integrated into the design of the activities and outcomes. To minimize the risk of data not being shared, for example, an inception workshop with officials will be conducted within the first 5 months of the project to communicate the importance of sharing data and supporting the NAP process (Activity 1.1.1). Risks and their specific mitigation measures have been listed comprehensively in Table 8. These risks include:

- Technical capacity – delay in recruiting suitable consultants both local and international
- Insufficient project management capacity
- Disbursement not made in due time and for the required amount
- Project budget is not sufficient to undertake work to the required extent
- Stakeholder engagement and low level of interest
- access to data and information to support risk and vulnerability assessments, adaptation planning and development of the NAP
- Engagement with GCF – project does not lead to enhanced engagement with the GCF and access to finance
- Sustainability – activities and outcomes are not sustained beyond the life of the project
- Fraud and funds misappropriation, corrupted procurement, contract and human resource management processes
- Endorsement of reports, frameworks, processes and the NAP may take longer than the planned timeline

Please see the ToC diagram in Figure 5 for further detail and refer to Table 8 in Section 6 for further articulation of the likelihood of these risks, as well as the mitigation measures that will be implemented.

5. BUDGET, PROCUREMENT, IMPLEMENTATION, AND DISBURSEMENT

5.1 Budget plan

Refer to the attached Budget Plan in Excel – Annex 2.

5.2 Procurement plan

Refer to the Procurement Plan which is a worksheet that is part of the Budget Plan, in Excel (Annex 2). Furthermore, below are additional information on Procurement of goods and services.

Procurement processes will be managed by SPREP, as is the role of the Delivery Partner, in accordance with SPREPs Procurement Policy. All procurement will be managed by and via the SPREP systems for ease of accounting and reporting.

SPREP Procurement Policy and Procedures

Project Procurement Thresholds - the following table shows the value thresholds apply to SPREP's procurement of goods, services and works:

Table 5: SPREP Procurement Policy- Value Thresholds

Maximum Total Estimated Value of the Contract over the whole of its life	Rule
<\$1000	Over the counter 'Direct' purchases can be authorised by the appropriate delegate. Seeking and comparisons of quotations is encouraged
USD 1001-10,000	Direct Source. Three competitive quotes for prices from known suppliers or a tender placed on the website for wider circulation; individual officer's evaluation submitted to the officer with delegated financial authority; in case of individual consultants, compare at least three CVs against the consultancy Terms of Reference (TOR) and select the one most qualified.
USD 10,001 - 50,000	Open Tender. Division Director to authorise based on recommendations of evaluation panel following international market tendering. Evaluation Panel to include: Senior Officer responsible for the Tender; a SPREP officer from a different program area; Finance representative; Human Resource representative; The Procurement Officer (2-4 weeks).
USD 50,001 – 100,000	Open Tender. Division Director to authorise based on recommendations of evaluation panel following international market tendering. Evaluation Panel to include: Senior Officer responsible for the Tender; a SPREP officer from a different program area; Finance representative; Human Resource representative; The Procurement Officer (4-6 weeks).
100,001 – 300,000	Open Tender. Deputy Director General to authorise based on recommendations of evaluation panel, following an international market tender, including: the Senior Officer responsible for the Tender; Director of the Division responsible for the Tender; a SPREP officer from a different program area; an external representative with knowledge of the procurement area; Finance representative; Human Resource representative; the Procurement Officer.

Permitted exceptions include:

1. Individual travel purchases: Procurement will be sourced by providing at least 3 quotes for prices and itineraries for each travel from known suppliers, with evaluations submitted to the officer with delegated authority for approval.



2. Donor-directed procurements: Where SPREP has a procurement role under a contract with a donor who requires certain donor procurement procedures to be followed; SPREP will follow the donor procedures in preference to its own. This procurement process will require endorsement by the Director General or Deputy Director General.
3. Project funding that specifies a preferred supplier: Where SPREP is obliged by a funding contract to procure services from a specified supplier; no additional procurement process is required. This procurement process will require endorsement by the Director General or Deputy Director General.
4. Partnership Agreements: Where there are pre-existing MOUs or similar association agreements between SPREP and its partners, and where SPREP agrees for the partner to carry out work under the terms of such existing agreements, including MOUs, no additional procurement process is required.
5. Retainer Agreements: Where SPREP has previously entered into a retainer agreement with a supplier using appropriate competitive procedures that have established, at the minimum, the qualifications and reputation of the supplier, price structure, general scope of services and terms of reference contemplated, and the ability and willingness of the supplier to respond to requests from SPREP, no additional procurement process is required so long as the services currently sought are consistent with the procedures and retainer agreement in place for that supplier. Authorized SPREP staff shall maintain appropriate records of the competitive process used to select a supplier from the list of suppliers with current retainer agreements in force at the time the selection is made.

SPREP is also able to sub-delegate activities to a vetted executing entity or partner. The basic rule is that the executing partner or sub-delegate should follow the appropriate policies, rules and procedures (equivalent to the procedures used by SPREP) in all material aspects for providing financing from the donor funds through procurement.

5.3 Disbursement schedule

Please specify the proposed schedule for requesting disbursements from the GCF. For periodicity, specify whether it's quarterly, bi-annually or annually only.

Please choose one option among the two below and delete the one that does not apply to you. Please fill in information under brackets.

Readiness Proposal that falls within a Framework Agreement with the GCF

Disbursements will be made in accordance to [Clause xx] "Disbursement of Grants" and [Clause xx] "Use of Grant Proceeds by the Delivery Partner" of the Framework Readiness and Preparatory Support Grant Agreement entered into between GCF and [Delivery partner name] on *Click or tap to enter a date*. The Delivery Partner is entitled to submit [number] request(s) for disbursement each year.

Readiness Proposal that requires a bilateral Grant Agreement to be signed with the GCF (please add more disbursement as needed)

- The first disbursement amounting USD 650,000 only will be transferred upon approval of the readiness request and effectiveness of the Grant Agreement;
- The second disbursement amounting USD 950,000 only will be transferred (provided that at least 70% of the 1st Tranche has been incurred) upon submission of an interim progress report and Certified Financial Report and also upon fulfilment of the disbursement conditions specified in the Grant Agreement and Standard Conditions;
- The third disbursement amounting USD 850,000 only, will be transferred (provided that 100% of the 1stTranche and at least 70% of the 2nd Tranche has been incurred) upon submission of an Annual Progress report and Audit Financial Report and also upon fulfilment of the disbursement conditions specified in the Grant Agreement and Standard Conditions;
- The fourth disbursement amounting USD 540,000 only, will be transferred (provided that 100% of the 2nd tranche and at least 70% of the 3rd Tranche has been incurred) upon submission of an



interim Progress report and Certified Financial Report and also upon fulfillment of the disbursement conditions specified in the Grant Agreement and Standard Conditions;

- **Final Tranche: USD 10,000** only, will be transferred upon submission of a project completion report and final Audit Report. Submission of a completion and audit report should be furnished no later than three (3) months after the completion of a Readiness Support and also upon fulfillment of the disbursement conditions specified in the Grant Agreement and Standard Conditions.

Please include an indicative disbursement table showing the expected amounts to be requested and kept to multiples of USD 5,000.

Table 6: Disbursement Schedule

First Tranche	Second Tranche	Third Tranche	Fourth Tranche	Final Tranche
0-12 months	12-18 months	18-24 months	24-36 months	
<i>Disbursement amounts (% of total funding request)</i>				
21.7%	31.7%	28.4%	18%	.004%
\$650,000	\$950,000	\$850,000	\$540,000	\$10,000
Overall Disbursement Total (USD)			\$3,000,000	

SPREP will open a separate bank account specifically for this grant.

6. IMPLEMENTATION ARRANGEMENTS AND OTHER INFORMATION

6.1 Implementation map

Please describe how funds will be managed by the NDA and/or the Readiness Delivery Partner.

NDA The Government of Tuvalu's NDA is the Ministry of Finance where the Department of Climate Change (DCC) currently sits. DCC, as the office representing the NDA, will be the lead agency in executing the NAP Project, and where the NAP Project Coordination Unit (PCU) will be based.

The Project Manager for the NAP PCU will report directly to the Director of the DCC and the NDA as well as to SPREP. SPREP will report to the GCF copying the NDA, Director for DCC and the Project Manager.

NACCC

The NACCC was established in 2013 to provide advice and guidance on climate change policy and actions to the Prime Minister as the National Designated Authority as well as Cabinet. The NACCC is chaired by the Secretary to Government and is made up of representatives from all the line ministries and departments and include representatives from the private sector, civil society organization (CSO) and non-government organization (NGO). Although the NDA role has been transferred to the Ministry of Finance, the NACCC remains operational. Under this project, the NACCC will be the body that will provide oversight to the implementation of the adaptation planning process, provide strategic direction for the project and endorsement of deliverables by the project before submission to Cabinet for final approval.

ATWG

The ATWG will be established through the project by the NACCC. It will be responsible for the provision of technical inputs into the activities of the project, supply of data and information and support the delivery of activities relevant to their line agencies and sectors and validation of deliverables. The members will include technical representatives from relevant line ministries and sectors including the priority sectors under the project, private sector and civil society organisations (CSOs).

NAP Project Coordination Unit (NAP PCU):

The NAP PCU will comprise of a Project Manager and a Project Finance and Administration Assistant. PCU will be responsible for the management of the project on a daily basis including support for the procurement of goods and services, coordination of tasks and activities of the project and liaison with all consultants, Government Ministries and sectors, private sector, NGOs, villages and community leaders in Tuvalu. The PCU is also responsible for logistics support for all activities including meetings, consultations, workshops and trainings, compilation of all reports on the progress of implementation, coordination of reviews of all reports, products, materials and the NAP document, and compilation of the NAP document using information that will be generated by the different activities of the project.

The PCU is designed to achieve efficiency and coordination in the management of the project. The PCU ensures that there is effective coordination when there are project activities that are inter-dependent for execution. As a Smaller Island State (SIS), Tuvalu's limited resources and technical capacity, staff turnover and lost institutional memory is one of the core risks to the successful implementation of projects. The PCU is a mitigation measure to overcome and minimize this risk. The PCU meets monthly with the Director of DCC and outcomes of projects are reported to the National Advisory Council on Climate Change (NACCC) in collaboration with the Adaptation Technical Working Group (ATWG).

The **Project Manager's (PM)** primary responsibility is to ensure that the project deliver the results and outcomes specified in the project document and that the project is being delivered in a manner that ensures compliance with the terms and conditions of the project execution agreement between the Government of Tuvalu and SPREP. The PM will be responsible for the day to day management of the project, coordination of inputs from Tuvalu stakeholders into the planning and delivery of activities of the project, coordination of short term consultants that the project will engage, liaison with SPREP from time to time on project management and implementation, monitoring the progress of the project, tracking of activities in accordance with the agreed timelines for delivery of outputs, and preparation of the necessary progress reports to the Director of DCC, ATWG, NACCC, NDA, SPREP and GCF. Progress reports will be reviewed by SPREP before endorsement



by the Director of DCC and NACCC. The PM role will end when the project terminal evaluation report and other documentation required by the GCF and SPREP are completed.

The Project Finance and Administrative Assistant (PFAA) will be responsible for administration and logistics tasks of the project including record keeping, project asset management, secretariat support for NACCC and ATWG and stakeholder meetings, workshops, consultations and trainings, sourcing quotes for goods and services required by the project.

NAP Project Team:

The project will also engage short term local and international consultants to deliver specific activities of the project. The core NAP Project Team includes Climate Change Adaptation (CCA) Specialist, Institutional Expert, Gender and Social Inclusion Specialist, Communication and Engagement specialist, M&E specialist and local counterpart experts. They will be engaged by the third month of the project effectiveness date. The CCA will undertake the team leader role to ensure the work of each team member is synchronised and aligned. They will work with and through the NAP PCU. Other international and local consultants that make up the NAP Project Team will be recruited based on the timing of their input under the specific activities (See Figure 4, Logframe and Procurement Plan). Draft terms of references are included in the budget and detailed terms of references will be developed once the project is approved.

Secretariat of the Pacific Regional Environment Programme (Delivery Partner)

As the Delivery Partner (DP) for this project, SPREP (a GCF Accredited Entity and a regional Direct Access Entity) will be responsible for the overall management and delivery of project activities as well as quality assurance and accountable to the GCF as per the NAP Readiness Grant Agreement. SPREP has successfully delivered a GCF NDA Readiness project in Vanuatu and implementing GCF NDA Readiness projects in the Republic of Marshall Islands and Niue - this experience will strengthen delivery of this project. This will be coordinated by SPREP at the Samoa campus, via the Project Coordination Unit (GCF focal point) and the Climate Change Resilience Programme. Project Management tasks to be undertaken by SPREP will include:

- The development of Terms of Reference in collaboration with the Tuvalu NAP PCU
- Receive financial disbursements from the GCF
- Support the organization and delivery of project inception and implementation planning
- Manage procurement through SPREP systems (advertise tenders, evaluation, awarding, contracting and monitoring of deliverables under each contract)
- Make project financial transaction through SPREP financial systems (processing of purchase orders and payments to suppliers of goods and services)
- Coordinate activity progress reports to the GCF
- Generate financial reports for the GCF
- Undertaking required project reviews
- Engaging an external auditor to conduct project audits as required
- In-country missions to provide in-person support
- Troubleshooting and technical backstopping

SPREP will pay directly to the suppliers of goods and non-consulting and consulting services as per the respective contracts. SPREP's Procurement Officer and the Task Manager for the Tuvalu NAP Project who is also the Climate Change Adaptation Adviser will be the responsible officers for the procurement of goods and services under this project in consultation with the SPREP PCU and the Government of Tuvalu's DCC/NAP PCU.

The DP will work with the NAP PCU to provide a consolidated financial and progress report to DCC/NDA, prepare periodic revisions to reflect changes in six monthly and annual expense category budgets, monitor, review project expenditure reports, communicate, and share with the NAP PCU, DCC, NDA and GCF Secretariat as required.

In close collaboration with the NDA (through the DCC Director), the DP and the NAP PCU will prepare project-closing documents including final project report and externally audited financial closure report and submit to the GCF. The DP will ensure that all funds are received from the GCF on a timely basis to minimize delays and



acquittal of funds are not delayed and all funds are accounted for and transparent. A Letter of Agreement on project implementation arrangements will be established between the DCC/NDA and the DP.

Figure 6: Institutional Arrangements for Implementation of the Project

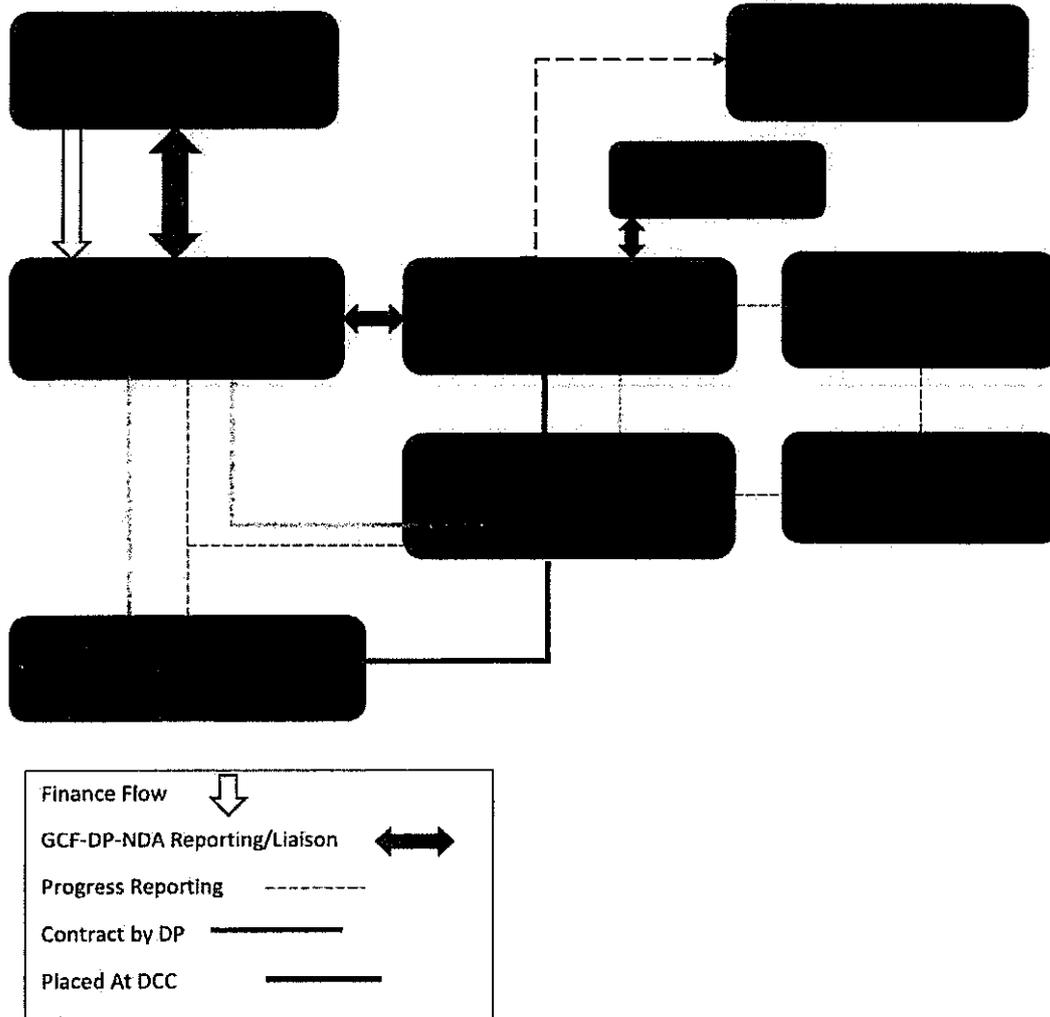


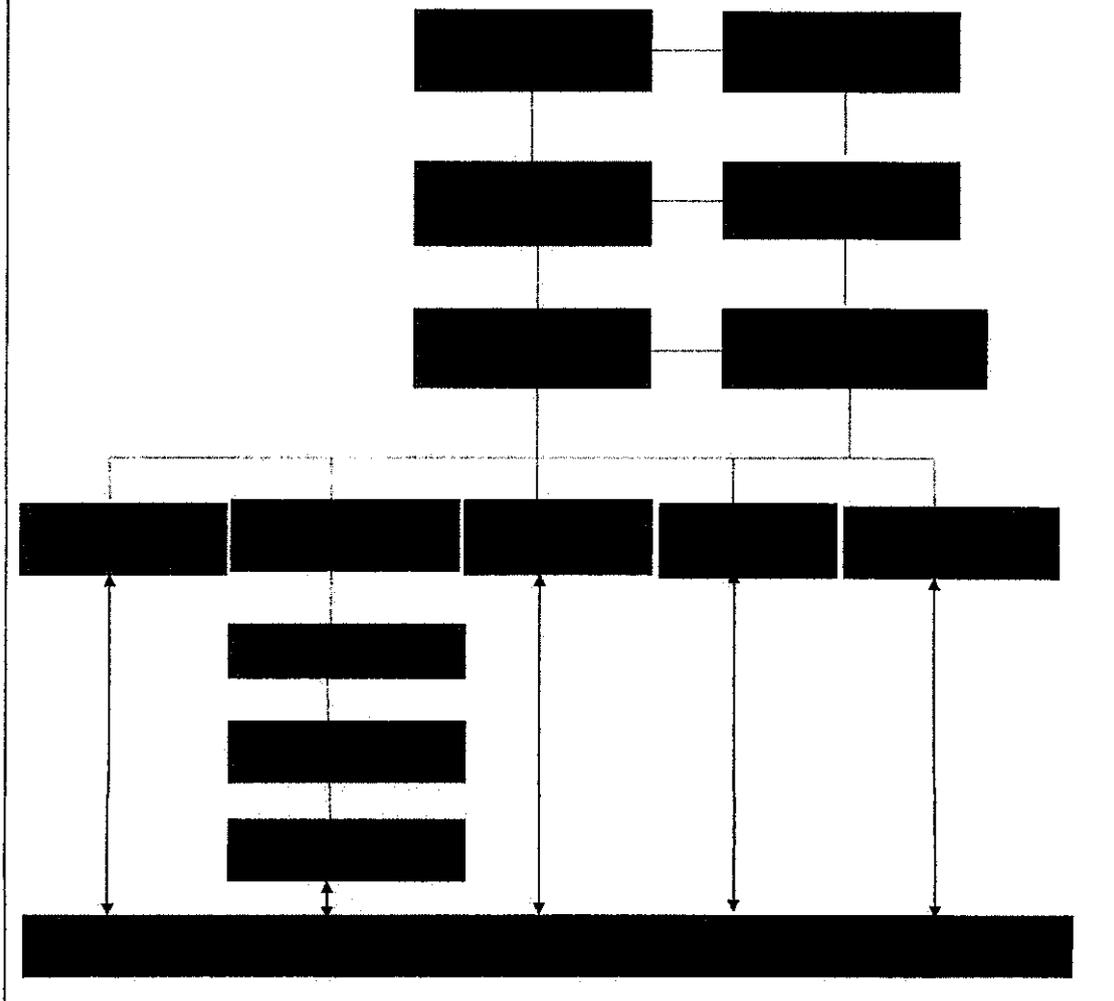
Table 7: Other Stakeholders who will be involved in the implementation of the project:

National and Community Groups:	Role in implementing the project
Other Government ministries and departments	Lead the implementation of relevant activities through their sectors and individual ministries and participate in adaptation planning including the development of the NAP
NGOs and Civil Based Organisations	TANGO: will coordinate participation of NGOs and CBOs in adaptation planning process including input into the development and implementation of the NAP and ensure alignment of the TANGO Climate Change Strategy and its priorities are aligned to and considered in the NAP.



	Individual NGOs and CBOs: participate in adaptation planning process and provide input and information to inform the development and support implementation of the NAP.
Private Sector Organisations	TNPSO: will coordinate participation by private sector in adaptation planning process including input into the development of the NAP and support for the implementation of the NAP. Individual private sector agencies: participate in adaptation planning process and provide input and information to inform the development of the NAP and support implementation of the NAP.
Church and Faith-based Organisations	Participate in adaptation planning process, provide information and input to inform the development of NAP and support the implementation of the NAP.
Individual representatives of atolls and communities of Tuvalu (men, women and youth)	Participate in adaptation planning, provide information and input to inform development of the NAP and support implementation of the NAP

Figure 7: Illustration of Climate Change coordination in Tuvalu.



6.2 Risks, monitoring and evaluation (M&E), and other relevant information

SPREP will work closely with the NDA and DCC (who will receive capacity building support on M&E through the NDA Readiness Project) to develop an M&E Framework for the project. It will enable monitoring of activities against the specifications in the agreed work plan and budget and efficient monitoring of project indicators and milestones, and the production of periodic monitoring reports. The M&E framework will be aligned to, and informed by, guidance in the GCF Readiness and Preparatory Support Guidebook as well as making use of SPREP's existing good practice in M&E, including ongoing Readiness projects elsewhere in the region. DCC is responsible for M&E and quarterly reporting on climate change priorities that are clearly articulated in the Te Kakeega III National Sustainable Development Strategy 2016-2020 therefore M&E processes are already in place which can be utilized in this project. Please note that the project monitoring and evaluation is a distinct activity from the "A NAP implementation plan and M&E framework" (Activity 4.2.2) which focusses on M&E for the NAP.

SPREP, as the Delivery Partner, will oversee the Terminal Evaluation at the end of the project which will be undertaken by the Evaluation Specialist.

Table 8: Risks identified through the programme life cycle including their mitigation measures:

Type of Risk	Impact Level	Likelihood	Responsible for monitoring	Mitigation Measures
1) Technical capacity – delay in recruiting suitable consultants both local and international	Medium	High	DCC and SPREP	Terms of reference for consultants to be prepared well in advance and consulted early. Advertisements will be done through local and SPREP networks. Recruitment of Project Manager, Assistant and Adaptation Specialist will commence immediately following the approval of the project. Sufficient time will be allocated to have these positions filled before project inception and implementation planning workshop.
2) Insufficient project management capacity	High	Low	SPREP and DCC	Experienced personnel will be employed. As part of a continued programme of increasing expertise and skills, the NAP Project Coordination Unit (PCU) staff will be trained, mentored and supported throughout the project by the SPREP Task Manager.



<p>3) Disbursement not made in due time and for the required amount</p>	<p>High</p>	<p>Medium</p>	<p>SPREP and DCC</p>	<p>SPREP will closely monitor project implementation, ensuring the timeliness of activities, and incorporate risk management strategies to mitigate against delays in activities being undertaken, to ensure effective expenditure of funds, leading to flow-on effects for the disbursement of funds.</p>
<p>4) Project budget is not sufficient to undertake work to the required extent</p>	<p>High</p>	<p>Medium</p>	<p>SPREP and DCC</p>	<p>Individual budget is based on conservative costing; however, the overall budget provides significant resourcing to achieve the overall project outcomes. In the event such is foreseen, SPREP as DP to rework the budget for each outcome and reallocate based on GCF guidelines and subject to approval by the GCF if its required.</p>
<p>5) Stakeholder engagement and low level of interest</p>	<p>Medium</p>	<p>Medium</p>	<p>DCC and SPREP</p>	<p>Regular communication using the guideline developed under Activity 1.1.3 and promotion of the project and how it links to and beneficial to all stakeholders (Stakeholder Engagement Strategy - Activity 2.2.1) to generate interest and therefore greater participation, involvement and ownership.</p>
<p>6) Insufficient access to data and information to support risk and vulnerability</p>	<p>High</p>	<p>Medium</p>	<p>DCC and SPREP</p>	<p>Data and information required for the activities are available in various institutions and will be</p>



<p>assessments, adaptation planning and development of the NAP</p>				<p>updated/supplemented with newly collected data and information. A feasible interlinking or integration/access to data and information will be facilitated through involvement of the institutions who are custodians of the required data and information and through the selection of agencies and staff for data gathering, analysis and monitoring.</p>
<p>7) Engagement with GCF – project does not lead to enhanced engagement with the GCF and access to finance</p>	<p>Medium</p>	<p>Low</p>	<p>SPREP, DCC</p>	<p>Project has a focus on ensuring delivery of practical outputs such as a NAP sustainable financing strategy which will in turn aid in strengthening engagement with GCF. The project is also strongly linked to the outputs of the GCF Readiness project, which will enhance Tuvalu's capacity to engage effectively with the GCF, specifically; the establishment of a 'No Objection' procedure for funding proposals and applications, and the Assessment Guidelines and procedures for assessing project concepts and full proposals. The conjunction of the NAP process, the country program and the Readiness outputs above will set Tuvalu up well for effective engagement with the GCF.</p>
<p>8) Sustainability – activities and outcomes are not</p>	<p>Medium</p>	<p>Low</p>	<p>DCC, SPREP</p>	<p>Project will focus on building institutional capacity, strengthening</p>



sustained beyond the life of the project				of coordination and embed new process into national government planning, development and budgeting processes.
9) Fraud and funds misappropriation, corrupted procurement, contract and human resource management processes	Low	Low	SPREP, DCC	<p>Tuvalu became an observer to the Asia-Pacific Group on Money Laundering in 2014 and is currently strengthen their anti-money laundering framework. The NAP project may be able to provide assistance strengthening for Tuvalu's AML/CFT framework.</p> <p>SPREP's Fraud Prevention & Whistleblower Protection Manual outlines SPREP's policy and procedural guidelines on fraud. The Internal Auditor is tasked with overseeing and coordinating all investigations and may obtain advice from the Legal Advisor. An Investigative Officer is appointed to undertake the investigation. Details on planning, conducting and reporting on the investigation are highlighted in Sections 12 – 14 of the Manual.</p> <p>Furthermore, SPREP has in place a number of policies and procedures which also reduce the risk of anti-money laundering and anti-terrorism financing breaches. These include: Financial Management system; Audit controls including both internal and external audits; Internal Control Framework Guidelines; Enterprise Risk Management system, and Procurement Manual.</p> <p>As part of its business operations SPREP conducts all financial transactions through financial institutions based in Samoa, in particular, the Bank of South Pacific (BSP).</p>



				<p>BSP is required to comply with the Government of Samoa's regulations relating to AML/CFT.</p> <p>As such, SPREP's risk on possible infractions for AML/CFT is substantially reduced. In addition, SPREP's internal controls (see above) contribute further towards reducing the risk of possible infractions and ensure protections are in place. For example, SPREP is audited annually by external independent audit firms (i.e. Betham Company (BDO), KPMG Fiji, Isitolo Leota Accounting firm). The audits ensure compliance with regulations and ensure the accountability of all financial transactions through the SPREP financial management system. Additionally, SPREP's internal audit division undertake regular audit checks on internal controls and processes.</p>
10) Endorsement of reports, frameworks, processes and the NAP may take longer than the planned timeline	Medium	Medium	DCC, SPREP	<p>The Tuvalu NAP PCU, all consultants, ATWG, and DCC will ensure that the quality of the reports, frameworks, processes and NAP are of high standard, clear and will not trigger any prolonged reviews by NACCC and Cabinet.</p>

¹ [https://pacific.unfpa.org/sites/default/files/pub-pdf/web_140414_UNFPA Population and Development Profiles-Pacific Sub-Region Extended v1 LRv2_0.pdf](https://pacific.unfpa.org/sites/default/files/pub-pdf/web_140414_UNFPA%20Population%20and%20Development%20Profiles-Pacific%20Sub-Region%20Extended%20LRv2_0.pdf)

² Nearly everything, including skilled services, is imported. Fuel and food constitute nearly half of total imports of goods.

³ GDP growth in the past was volatile and this is expected to continue into the future due to Tuvalu's dependence on fishing and internet domain licensing fees, remittances, and trust fund returns, all of which are dependent on exogenous factors beyond the government's control.

⁴ Tuvalu is a Least Developing Country with a per capita income of less than USD4000, and is the smallest of any kind of independent state. According to a World Bank (2013) report, Tuvalu's gross domestic product (GDP) was estimated at USD 39.7 million and was the smallest of any independent state.



⁵ Pacific-Australia Climate Change Science and Adaptation Planning Program: current and future climate of Tuvalu. https://www.pacificclimatechangescience.org/wp-content/uploads/2013/06/4_PACCSAP-Tuvalu-10pp_WEB.pdf

⁶ Thomas, A., Pringle, P., Pfeleiderer, P., Schleussner, C. (2017). Note on Tropical Cyclones: Impacts, the Link to Climate Change and Adaptation, Climate Analytics

⁷ Pacific-Australia Climate Change Science and Adaptation Planning Program: current and future climate of Tuvalu. https://www.pacificclimatechangescience.org/wp-content/uploads/2013/06/4_PACCSAP-Tuvalu-10pp_WEB.pdf

⁸ Pacific-Australia Climate Change Science and Adaptation Planning Program: current and future climate of Tuvalu. https://www.pacificclimatechangescience.org/wp-content/uploads/2013/06/4_PACCSAP-Tuvalu-10pp_WEB.pdf

⁹ Projected changes in the annual average surface air temperature for Tuvalu. Values represent 90% of the range of the models and are relative to the period 1986–2005.

https://www.pacificclimatechangescience.org/wp-content/uploads/2013/06/4_PACCSAP-Tuvalu-10pp_WEB.pdf

¹⁰ WHO (2015) Human health and climate change in Pacific Island countries.

¹¹ <https://www.pacificclimatechangescience.org/wp-content/uploads/2013/09/Tuvalu.pdf>

¹² CMEP (2018) Pacific Marine Climate Change Report Card 2018. (Eds. Bryony Townhill, Paul Buckley, Jeremy Hills, Tommy Moore, Sylvie Goyet, Awnesh Singh, Gillianne Brodie, Patrick Pringle, Sunny Seuseu, Tiffany Straza). Commonwealth Marine Economies Programme, 12pp.

¹³ Johnson, J., Bell, J., and Gupta, A. (2016) Pacific Islands ocean acidification vulnerability assessment. SPREP, Apia, Samoa.

¹⁴ Johnson et al (2017) Effects of Climate Change on Ocean Fisheries Relevant to the Pacific Islands PACIFIC MARINE CLIMATE CHANGE REPORT CARD Science Review 2018: pp 177-188.

¹⁵ Preston, G., Stuart, M., and Finikaso, S. (2016) Tuvalu Fisheries: Moving into the 21st century. SPC fisheries Newsletter, 2016.

¹⁶ CIA World Fact Book. Accessed 2019. <https://www.cia.gov/library/publications/the-world-factbook/geos/tv.html>

¹⁷ Extreme precipitation events have been found to scale with the moisture carrying capacity and such events are projected to intensify by about 6% per °C of warming. See Khanin V V., Zwiers F W, Zhang X and Wehner M (2013) Changes in temperature and precipitation extremes in the CMIP5 ensemble. *Clim. Change* 119 345–57.

¹⁸ For baselines rated at 1 or 2, please shortly elaborate on current baselines on which the proposed activities can be built on, processes that are in place that the current Readiness proposal can strengthen, or any gaps that the proposed activities would fill in. If more space is needed, please elaborate this in Section 2.

¹⁹ Please include tangible and specific deliverables for each activity proposed, and the timeframe (month number) in which it will be delivered to GCF. Please note that during implementation all deliverables should be included within the implementation reports for GCF consideration.

²⁰ If the duration of the proposal is longer than 24 months, please change the monthly columns to indicate 2 or 3 months each (e.g. change month "1" to month "1-2" or "1-3").

²¹ PICCIF seeks to create a regional resource to investigate and develop climate change risk transfer products tailored to suit the individual needs of Pacific Island countries.

²² NAP Global Network & UNFCCC. (2019). *Toolkit for a gender-responsive process to formulate and implement National Adaptation Plans (NAPs)*. Dazé, A., and Church, C. (lead authors). Winnipeg: International Institute for Sustainable Development.

²³ Women spend considerably more amount of time (about 5 times more) than men on caring household and household members – Tuvalu Coastal Adaptation Plan Gender Assessment, 2018

²⁴ http://prdrse4all.spc.int/system/files/11sp_tuvalu_national_gender_training_report.pdf (2011)

²⁵ GCF's *Mainstreaming Gender in Green Climate Fund Projects Manual* 2017 Pg 13

READINESS & PREPARATORY SUPPORT

BUDGET, PROCUREMENT & IMPLEMENTATION PLAN



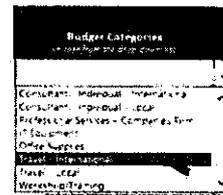
Readiness Grant Budget Preparation Guidelines

This file contains three specific planning tools to complete the supplementary information required when submitting a proposal for Readiness Programme support (including for NAP/adaptation planning):

- Budget plan and accompany Budget notes
- Procurement plan
- Implementation plan

The following considerations are important when completing the budget:

1. Before preparing the Readiness and budget, procurement, and implementation plans, please read the full guidance contained in the Readiness Programme Guidebook, specifically Part III Section 5
2. You can select the appropriate budget categories from the dropdown list in the budget plan:
3. To insert additional rows, right click on the row number below where you wish to insert the new row and choose INSERT.
4. Additional budget categories may be added by manually typing them on the Budget Category sheet. :
5. The Budget Notes sheet should be used to record explanations, further details or cost breakdowns for individual lines



Project Management Cost:

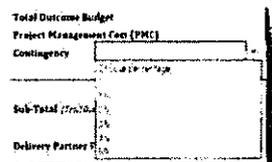
Project management costs (PMC) are the direct administrative costs incurred to execute a project. They should cover only incremental costs incurred due to the GCF contribution. In most cases, these costs are directly related to the support of a dedicated project management unit which manages the day to day execution related activities of the project.

General Principles for PMC costs:

1. The percentage of PMC financed by GCF should not be more than the percentage share of the overall budget financed by GCF
2. PMC budget thresholds: Up to 7.5 per cent of total activity budget.
 - > PMC exceeding 7.5 per cent for the readiness (including NAPs) proposals, and PPF proposals, up to \$ 3 million will require detailed documentation and justification supporting the entire PMC budget.
 - > The PMC should be shown as a separate component in the project budget. A detailed breakdown of PMC should be provided by budget category.
 - > Indicative list of eligible project management costs:
 - > Project staffing and consultants: Project manager, Project Assistant, Procurement personnel, Finance personnel & Support/admin. Personnel
 - > Other direct costs: Office equipment, Mission related travel cost of the PMU, Project management systems and information technology, Office supplies, Audit cost

Contingency :

1. Select the appropriate % of Contingency Budget from the dropdown list :
2. Contingency budget for unforeseen costs arising during the project implementation should not be included in the outcome budget separately.
3. Contingency budget must be used for any unforeseen programme (output level) cost that is unrelated to implementation/service fee.
4. Any use of contingency must be reported to and agreed by the GCF Secretariat in writing in advance provided with justifications that are acceptable to the GCF
5. If by the end of the grant implementation period, you have not spent Contingency, you may not increase the scope of the project or make any other expenditures using the Contingency.



If you are unsure about how to complete the budget template, please send your query to: countries@gcfund.org

3.1 Budget Plan

Outcomes / Sub-Outcomes	Budget Categories		Detailed Budget (in US\$)		Total Budget (in US\$)	Expenditure Plan					Budget Lines	
	Unit	# of Unit	Unit Cost	Total Budget (in US\$)		5m	12m	19m	24m	30m		35m
Outcome 1: Enhanced capacity to deliver effective climate change adaptation planning through a strengthened institutional set up	Sub-outcome 1.1 Operational frameworks established for NAP process	Consultant - Individual - International	20	400.00	8,000.00	3,000.00	3,000.00	2,000.00	3,000.00	3,000.00	A	
		Workshop/Training	Event	1	5,900.00	5,900.00	5,900.00					B
		Travel - Local	Trip	16	870.00	13,920.00	13,920.00					C
		Travel - International	Trip	5	5,100.00	25,500.00						D
		Committee Meetings	Meetings	6	550.00	3,300.00						E
		Consultant - Individual - International	WDY	40	600.00	24,000.00	24,000.00					F
		Consultant - Individual - Local	Meetings	2	2,900.00	5,800.00						G
		Consultant / Information Sessions	Items	1	30,000.00	30,000.00						H
		Desktop publishing & Printing	Package	30	500.00	15,000.00						I
		Desktop publishing & Printing	Package	1	3,000.00	3,000.00						J
		Consultant - Individual - International	WDY	80	600.00	48,000.00	24,000.00	12,000.00	12,000.00			K
		Travel - International	Trip	3	4,500.00	13,500.00	4,500.00	4,500.00	4,500.00			L
		Consultant / Information Sessions	Meetings	6	700.00	4,200.00	4,200.00					M
		Consultant - Individual - International	WDY	150	600.00	90,000.00	45,000.00	45,000.00				N
		Travel - International	Trip	5	4,500.00	22,500.00	13,500.00	9,000.00	9,000.00			O
Travel - Local	Trip	32	870.00	27,840.00	27,840.00					P		
Workshop/Training	Event	5	2,500.00	12,500.00	12,500.00					Q		
Desktop publishing & Printing	Item	1	10,000.00	10,000.00	10,000.00					R		
Consultant - Individual - International	WDY	30	600.00	18,000.00	18,000.00					S		
Consultant / Information Sessions	Meetings	4	2,500.00	11,000.00	5,500.00	5,500.00				T		
Field Costs	Trip	4	19,200.00	76,800.00	19,200.00	19,200.00	19,200.00	19,200.00		V		
Travel - Local	Trip	4	70,000.00	280,000.00	70,000.00	70,000.00	70,000.00	70,000.00		W		
Consultant - Individual - International	WDY	50	800.00	40,000.00	15,000.00	15,000.00	15,000.00	15,000.00		X		
Consultant - Individual - Local	WDY	40	300.00	12,000.00	6,000.00	6,000.00	6,000.00	6,000.00		Y		
Travel - International	Trip	1	4,500.00	4,500.00	4,500.00					Z		
Consultant - Individual - Local	WDY	60	300.00	18,000.00	9,000.00	9,000.00	9,000.00	9,000.00		AA		
Workshop/Training	Event	2	400.00	800.00	800.00					AB		
IT Equipment	Computer	2	4,200.00	8,400.00	8,400.00					AC		
IT Equipment	External Drive	2	400.00	800.00	800.00					AD		
Consultant - Individual - International	WDY	120	600.00	72,000.00	24,000.00	24,000.00	24,000.00	24,000.00		AE		
Consultant - Individual - Local	WDY	120	300.00	36,000.00	12,000.00	12,000.00	12,000.00	12,000.00		AF		
Travel - International	Trip	3	4,500.00	13,500.00	4,500.00	4,500.00	4,500.00	4,500.00		AG		
Workshop/Training	Event	8	1,850.00	14,800.00	4,500.00	4,500.00	4,500.00	4,500.00		AH		
Travel - Local	Trip	64	870.00	55,680.00	13,200.00	13,200.00	13,200.00	13,200.00		AI		
Consultant - Individual - International	WDY	150	600.00	90,000.00	36,000.00	36,000.00	36,000.00	36,000.00		AJ		
Travel - International	Trip	4	4,500.00	18,000.00	4,500.00	4,500.00	4,500.00	4,500.00		AK		
Consultant - Individual - Local	WDY	350	300.00	105,000.00	24,000.00	24,000.00	24,000.00	24,000.00		AL		
Desktop publishing & Printing	Package	1	105,000.00	105,000.00	24,000.00	24,000.00	24,000.00	24,000.00		AM		
Consultant / Information Sessions	Event	15	800.00	12,000.00	9,000.00	9,000.00	9,000.00	9,000.00		AN		
Professional Services - Computer/Firm	Package	1	60,000.00	60,000.00	20,000.00	20,000.00	20,000.00	20,000.00		AO		
IT Equipment	Tablet	8	500.00	4,000.00	4,000.00					AP		
Consultant - Individual - Local	WDY	480	200.00	96,000.00	24,000.00	24,000.00	24,000.00	24,000.00		AQ		
Consultant - Individual - International	WDY	30	600.00	18,000.00	5,000.00	5,000.00	5,000.00	5,000.00		AR		
Travel - International	Trip	1	4,500.00	4,500.00	4,500.00					AS		
Professional Services - Computer/Firm	Package	1	60,000.00	60,000.00	40,000.00	40,000.00	40,000.00	40,000.00		AT		
Travel - International	Trip	2	13,500.00	27,000.00	13,500.00	13,500.00	13,500.00	13,500.00		AU		
Workshop/Training	Event	6	700.00	4,200.00	4,200.00					AV		
Consultant - Individual - International	WDY	40	600.00	24,000.00	24,000.00					AW		
Travel - International	Trip	1	4,500.00	4,500.00	4,500.00					AX		
Consultant - Individual - Local	WDY	30	300.00	9,000.00	9,000.00					AY		
Professional Services - Computer/Firm	Package	1	350,000.00	350,000.00	100,000.00	100,000.00	100,000.00	100,000.00		AZ		
Travel - International	Trip	2	18,000.00	36,000.00	18,000.00	18,000.00	18,000.00	18,000.00		BA		
Workshop/Training	Event	6	700.00	4,200.00	4,200.00					BB		
Consultant - Individual - International	WDY	40	600.00	24,000.00	24,000.00					BC		
Travel - International	Trip	2	4,500.00	9,000.00	9,000.00					BD		
Consultant - Individual - International	WDY	40	600.00	24,000.00	24,000.00					BE		
Consultant - Individual - Local	WDY	35	300.00	10,500.00	10,500.00					BF		
Workshop/Training	Event	8	1,350.00	10,800.00	10,800.00					BG		
Consultant / Information Sessions	Event	8	800.00	6,400.00	6,400.00					BH		
Consultant - Individual - International	WDY	50	600.00	30,000.00	15,000.00	15,000.00	15,000.00	15,000.00		BI		
Outcome 2: Adaptation planning governance and institutional coordinator strengthened	Sub-outcome 2.1 Stakeholders are engaged in a consultative manner for the adaptation planning process	Consultant - Individual - International	50	800.00	40,000.00	368,400.00						
		Travel - Local	Trip	4	70,000.00	280,000.00						
		Consultant - Individual - International	WDY	50	800.00	40,000.00						
		Consultant - Individual - Local	WDY	40	300.00	12,000.00						
		Travel - International	Trip	1	4,500.00	4,500.00						
		Consultant - Individual - Local	WDY	60	300.00	18,000.00						
		Workshop/Training	Event	2	400.00	800.00						
		IT Equipment	Computer	2	4,200.00	8,400.00						
		IT Equipment	External Drive	2	400.00	800.00						
		Consultant - Individual - International	WDY	120	600.00	72,000.00						
		Consultant - Individual - Local	WDY	120	300.00	36,000.00						
		Travel - International	Trip	3	4,500.00	13,500.00						
		Workshop/Training	Event	8	1,850.00	14,800.00						
		Travel - Local	Trip	64	870.00	55,680.00						
		Outcome 3: Evidence produced to design adaptation solutions for maximum impact	Sub-outcome 3.1 Scenario planning for improved decision-making and planning	Consultant - Individual - International	150	600.00	90,000.00	517,900.00				
Travel - International	Trip			4	4,500.00	18,000.00						
Consultant - Individual - Local	WDY			350	300.00	105,000.00						
Desktop publishing & Printing	Package			1	105,000.00	105,000.00						
Consultant / Information Sessions	Event			15	800.00	12,000.00						
Professional Services - Computer/Firm	Package			1	60,000.00	60,000.00						
IT Equipment	Tablet			8	500.00	4,000.00						
Consultant - Individual - Local	WDY			480	200.00	96,000.00						
Consultant - Individual - International	WDY			30	600.00	18,000.00						
Travel - International	Trip			1	4,500.00	4,500.00						
Professional Services - Computer/Firm	Package			1	60,000.00	60,000.00						
Travel - International	Trip			2	13,500.00	27,000.00						
Workshop/Training	Event			6	700.00	4,200.00						
Consultant - Individual - International	WDY			40	600.00	24,000.00						
Travel - International	Trip			1	4,500.00	4,500.00						
Consultant - Individual - Local	WDY	30	300.00	9,000.00								
Professional Services - Computer/Firm	Package	1	350,000.00	350,000.00								
Travel - International	Trip	2	18,000.00	36,000.00								
Workshop/Training	Event	6	700.00	4,200.00								
Consultant - Individual - International	WDY	40	600.00	24,000.00								
Travel - International	Trip	2	4,500.00	9,000.00								
Consultant - Individual - International	WDY	40	600.00	24,000.00								
Consultant - Individual - Local	WDY	35	300.00	10,500.00								
Workshop/Training	Event	8	1,350.00	10,800.00								
Consultant / Information Sessions	Event	8	800.00	6,400.00								
Consultant - Individual - International	WDY	50	600.00	30,000.00								
Outcome 4: Adaptation options and appraisal tool developed, and adaptation priorities identified and appraised through a consultative process	Sub-outcome 4.1 Adaptation options and appraisal tool developed, and adaptation priorities identified and appraised through a consultative process	Consultant - Individual - International	50	800.00	40,000.00	93,000.00						
		Travel - Local	Trip	4	70,000.00	280,000.00						
		Consultant - Individual - International	WDY	50	800.00	40,000.00						
		Consultant - Individual - Local	WDY	40	300.00	12,000.00						
		Travel - International	Trip	1	4,500.00	4,500.00						
		Consultant - Individual - Local	WDY	60	300.00	18,000.00						
		Workshop/Training	Event	2	400.00	800.00						
		IT Equipment	Computer	2	4,200.00	8,400.00						
		IT Equipment	External Drive	2	400.00	800.00						
		Consultant - Individual - International	WDY	120	600.00	72,000.00						
		Consultant - Individual - Local	WDY	120	300.00	36,000.00						
		Travel - International	Trip	3	4,500.00	13,500.00						
		Workshop/Training	Event	8	1,850.00	14,800.00						
		Travel - Local	Trip	64	870.00	55,680.00						

Outcome 4 National Adaptation Plan developed and endorsed	Consultant - Individual - International	W/DAY	4U	600.00	28,000.00	24,000.00	24,000.00	BU
Sub-outcome 4.2 A national adaptation plan developed and endorsed encapsulating the findings from the consultative process, and accessibility and risk assessment and mitigation	Travel - International	W/DAY	3	4,500.00	13,500.00		4,500.00	BK
	Consultant - Individual - Local	Event	35	390.00	13,650.00		5,250.00	BL
	Workshop/Training	Event	1	3,570.00	3,570.00		3,570.00	BM
	Travel - Local	Event	32	870.00	27,840.00		27,840.00	BN
	Workshop/Training	Event	1	850.00	850.00		850.00	BO
	Consultant - Individual - International	W/DAY	50	600.00	30,000.00		15,000.00	BP
	Travel - International	W/DAY	2	4,500.00	9,000.00		4,500.00	BQ
	Committee Meetings	Meetings	2	650.00	1,300.00		1,300.00	BR
	Consultant - Individual - International	W/DAY	40	800.00	32,000.00		12,000.00	BS
	Travel - International	Event	3	5,400.00	16,200.00		16,200.00	BT
Sub-outcome 5.1 A NAP sustainable financing strategy is developed through a consultative process	Workshop/Training	Event	2	850.00	1,700.00		1,700.00	BU
	Travel - International	W/DAY	4	7,000.00	28,000.00		28,000.00	BV
	Consultant - Individual - International	Event	80	600.00	48,000.00		38,000.00	BW
	Committee Meetings	Meetings	2	650.00	1,300.00		1,300.00	BX
	Consultations / Information Sessions	Event	1	3,530.00	3,530.00		3,530.00	BY
	Travel - Local	Event	32	870.00	27,840.00		27,840.00	BZ
	Consultant - Individual - International	W/DAY	10	800.00	8,000.00		8,000.00	CA
	Travel - International	Event	4	4,500.00	18,000.00		18,000.00	CB
	Workshop/Training	Event	4	850.00	3,400.00		3,400.00	CC
	Sub-outcome 5.2 Financing sought for adaptation projects	Project Manager	Month	36	1,800.00	67,200.00		67,200.00
Project Finance and Administration		Month	36	800.00	28,800.00		28,800.00	CE
Office		Lumpsum	2	3,500.00	7,000.00		7,000.00	CF
IT Equipment		Lumpsum	3	3,000.00	9,000.00		9,000.00	CG
Office Supplies		Lumpsum	6	4,200.00	25,200.00		4,200.00	CH
Communication		Event	2	7,200.00	14,400.00		7,200.00	CI
Travel - International		Event	1	10,080.00	10,080.00		10,080.00	CJ
Travel - Local		Lumpsum	3	2,655.00	7,965.00		3,000.00	CK
Audio Visual & Printing		Lumpsum	3	4,000.00	12,000.00		4,000.00	CL
Audit Fee		Audit	3	4,000.00	12,000.00		4,000.00	CM
Project Management Cost (PMC) Up to 7.5% of Total Project Budget	Project Manager	Month	36	1,800.00	67,200.00		67,200.00	CD
	Project Finance and Administration	Month	36	800.00	28,800.00		28,800.00	CE
	Office	Lumpsum	2	3,500.00	7,000.00		7,000.00	CF
	IT Equipment	Lumpsum	3	3,000.00	9,000.00		9,000.00	CG
	Office Supplies	Lumpsum	6	4,200.00	25,200.00		4,200.00	CH
	Communication	Event	2	7,200.00	14,400.00		7,200.00	CI
	Travel - International	Event	1	10,080.00	10,080.00		10,080.00	CJ
	Travel - Local	Lumpsum	3	2,655.00	7,965.00		3,000.00	CK
	Audio Visual & Printing	Lumpsum	3	4,000.00	12,000.00		4,000.00	CL
	Audit Fee	Audit	3	4,000.00	12,000.00		4,000.00	CM
Total Outcome Budget	Project Manager	Month	36	1,800.00	67,200.00		67,200.00	CD
	Project Finance and Administration	Month	36	800.00	28,800.00		28,800.00	CE
	Office	Lumpsum	2	3,500.00	7,000.00		7,000.00	CF
	IT Equipment	Lumpsum	3	3,000.00	9,000.00		9,000.00	CG
	Office Supplies	Lumpsum	6	4,200.00	25,200.00		4,200.00	CH
	Communication	Event	2	7,200.00	14,400.00		7,200.00	CI
	Travel - International	Event	1	10,080.00	10,080.00		10,080.00	CJ
	Travel - Local	Lumpsum	3	2,655.00	7,965.00		3,000.00	CK
	Audio Visual & Printing	Lumpsum	3	4,000.00	12,000.00		4,000.00	CL
	Audit Fee	Audit	3	4,000.00	12,000.00		4,000.00	CM
Total PMC Budget	Project Manager	Month	36	1,800.00	67,200.00		67,200.00	CD
	Project Finance and Administration	Month	36	800.00	28,800.00		28,800.00	CE
	Office	Lumpsum	2	3,500.00	7,000.00		7,000.00	CF
	IT Equipment	Lumpsum	3	3,000.00	9,000.00		9,000.00	CG
	Office Supplies	Lumpsum	6	4,200.00	25,200.00		4,200.00	CH
	Communication	Event	2	7,200.00	14,400.00		7,200.00	CI
	Travel - International	Event	1	10,080.00	10,080.00		10,080.00	CJ
	Travel - Local	Lumpsum	3	2,655.00	7,965.00		3,000.00	CK
	Audio Visual & Printing	Lumpsum	3	4,000.00	12,000.00		4,000.00	CL
	Audit Fee	Audit	3	4,000.00	12,000.00		4,000.00	CM
TOTAL	Project Manager	Month	36	1,800.00	67,200.00		67,200.00	CD
	Project Finance and Administration	Month	36	800.00	28,800.00		28,800.00	CE
	Office	Lumpsum	2	3,500.00	7,000.00		7,000.00	CF
	IT Equipment	Lumpsum	3	3,000.00	9,000.00		9,000.00	CG
	Office Supplies	Lumpsum	6	4,200.00	25,200.00		4,200.00	CH
	Communication	Event	2	7,200.00	14,400.00		7,200.00	CI
	Travel - International	Event	1	10,080.00	10,080.00		10,080.00	CJ
	Travel - Local	Lumpsum	3	2,655.00	7,965.00		3,000.00	CK
	Audio Visual & Printing	Lumpsum	3	4,000.00	12,000.00		4,000.00	CL
	Audit Fee	Audit	3	4,000.00	12,000.00		4,000.00	CM

Maximum PMC Fee 7.5% of Total Project Budget

Actual amount paid % of PMC requested 6.71%

Project Manager Fee 192,337.75

7.5% of Total Project Budget 2,744,976.70

Sub-Total (Total Outcome Budget + Contingency + PMC) 2,744,976.70

Delivery Partner Fee (DP) - up to 6% of the Sub-Total 164,698.60

Total Project Budget (Total Activity Budget + Contingency + PMC + DP) 2,909,675.30

2,909,675.30

Category	Total (per Budget category)
Audio Visual & Printing	8,055.00
Audit Fee	12,000.00
Consultant - Individual - International	708,000.00
Consultant - Individual - Local	34,000.00
Professional Services - Companies/Firm	490,000.00
IT Equipment	20,200.00
Office Supplies	9,000.00
Travel - International	27,600.00
Travel - Local	443,200.00
Workshop/Training	58,200.00
Committee Meetings	6,500.00
Consultations / Information Sessions	45,930.00
Field Costs	76,800.00
Desktop Publishing & Printing	148,000.00
Project Manager	57,600.00
Project Finance and Administration Officer	28,800.00
Communication	25,200.00
Total Outcome Budget + PMC	2,744,976.70

2,744,976.70

164,698.60

2,909,675.30

2,909,675.30

Budget Categories

Audio Visual & Printing

Audit Fee

Consultant - Individual - International

Consultant - Individual - Local

Professional Services – Companies/Firm

IT Equipment

Office Supplies

Travel - International

Travel – Local

Workshop/Training

Committee Meetings

Consultations / Information Sessions

Field Costs

Desktop publishing & Printing

Project Manager

Project Finance and Administration Officer

Communication

*Indicate additional
budget categories*

Budget Note	Detailed Description
A	Activity 1.1.1: NAP Project Team: One international consultant (Climate Change Adaptation Consultant) to be engaged for 250 days to develop the NAP Plan and oversight the activities. Days are costed against each activity. This is for general Team Leader functions and duties based on 20 days @ USD600.
B	Activity 1.1.1: Inception Workshop: One national NAP Project Inception Workshop (x 3 days). Estimated total target number of participants = 40 including 16 representatives from 8 outer islands who will be on Funafuti for 7 days (2 representatives from each outer island). Catering = USD30 / pp / day x 40 x 3 days = USD3,600. Venue hire = USD600/day x 3 days = USD1,800. Stationeries, communication and miscellaneous = USD500. DCC, NAP PCU and SPREP to facilitate the Inception Workshop.
C	Activity 1.1.1: Inception Workshop: Local travel for 16 outer island participants to attend inception workshop on Funafuti. Visit will be for 7 days. Budget includes accommodation/day/pp = USD75 x 7 days = USD525/pp x 16pp = USD8,400; DSA /day /pp = USD45 x 7days = USD315 /pp x 16pp = USD5,040. Return boat /are = USD30 /pp x 16 = USD480.
D	Activity 1.1.1: International Travel - Inception Workshop & Initial Planning for NAP Project Team: x 5 International Consultants (Team Leader (CC Adaptation Specialist), Institutional Specialist, Communication & Engagement Specialist, M&E Specialist and Gender & Social Inclusion Specialist. Return airfare @ USD3,000 / trip x 5 trips = USD15,000. DSA = USD150 / day x 14 days / trip = USD2,100 x 5 trips = USD10,500.
E	Activity 1.2.1: ATWG 6 x six-monthly meetings. Catering = USD30 /pp /day x 15pp = USD450 / meeting x 6 meetings = USD2,700; Venue hire = USD150 x 1 day = USD150 x 6 meetings = USD900; Stationeries, communication and miscellaneous = USD50 / meeting x 6 meetings = USD300.
F	Activity 1.2.2: One international consultant (Institutional Expert) to be engaged for 40 days @ USD600/day to deliver this activity
G	Activity 1.2.2, 1.2.3 and 1.2.4: One national consultant (Institutional Strengthening) to be engaged for 80 days @ USD300 / day to support the Institutional Expert on developing the Coordination Guidelines, capacity assessments and development of materials etc
H	Activity 1.2.2: Two information sessions in Funafuti with Government stakeholders to develop and validate the Coordination Guidelines. Catering = USD30 /pp/day x 40 pp x two days = USD2,400 x 2 consultations = USD4,800; Venue hire = USD200 / day x two days = USD400 x 2 consultations = USD800; Stationeries, communication and miscellaneous = USD100 / consultation session.
I	Activity 1.2.2: Desktop publishing, printing and distribution of Guidelines (300 copies). Costing based on USD100 per copy = 100 x 300 = USD\$30,000
J	Activity 1.2.2: One international consultant (Monitoring & Evaluation Specialist) to be engaged for 30 days @ USD600/day to develop the survey, oversight implementation of the survey, analyse results and develop report and recommendations.
K	Activity 1.2.2: Evaluation costs (Package) to include desktop publishing and printing of the evaluation survey. The costs of developing the survey, undertaking the survey and analysing it will be included in the Monitoring & Evaluation Specialist role (Activity 4.1.2)
L	Activity 1.2.3: One international consultant (Institutional Expert) to be engaged for 80 days @ USD600 / day to assess capacity gaps and needs, develop the capacity development plan and evaluate the impact of the capacity development activities under Stage 1 - NAP planning and development. Activity 1.2.4: Assess capacity gaps and needs and develop the capacity development plan for the NAP implementation - to be incorporated into the Climate Financing Strategy
M	Activity 1.2.3 and Activity 1.2.4: International travel for Institutional Strengthening Consultant: Three return trips to enable consultant to consult sectors and key stakeholders on the ground. Airfare @ USD8,000 / trip x 3 trips = USD24,000; DSA USD150 / day x 10days /trip = USD1,500 x 3 trips = USD4,500
N	Activity 1.2.3: Consultations and information sessions with six priority sectors and key stakeholders to assess capacity gaps and identify needs and validate the capacity development plan. Six information sessions, each session will run per day and to be attended by up to 15 participants/session. Catering @ USD30 /pp /day x 15pp = USD450 /session x 6 sessions = USD2,700; Venue hire = USD200 / day x 6 sessions = USD1,200; stationeries, communication and miscellaneous = USD50 / session x 6 sessions = USD300
O	Activity 1.2.3: Consultants (training specialists) to develop appropriate training packages based on needs assessment and capacity development programme and deliver trainings for NACCC, ATWG, NDA, DCC, six priority sectors, Kaupule and Falekaupule. USD600/day for 150 days

P	Activity 1.2.3: International travel for consultants to develop and deliver trainings. Return airfares @ USD3000 /trip x five trips = USD15,000; DSA @ USD150 / day x 10 days = USD1,500 x 5 trips = USD7,500
Q	Activity 1.2.3: Local travel for outer island trainees. To be determined based on capacity needs assessment and capacity development plan. Based on 32 attendees from 8 outer islands. Each outer island will be represented by four representatives including their Falekaupule and Kapule. Return boat fare @ USD30 /pp x 32= USD480. Accommodation @USD75/pp/day x 7 days = USD525 x 32 representatives = USD8400. DSA @ USD45/pp/day x 7days = USD315 x 32 representatives = USD5,040.
R	Activity 1.2.3: Trainings as per the needs assessment and capacity development programme. Based on five training sessions. Each training session will be for 3 days each and will be attended by up to 20 trainees. Catering = USD30 /pp/day x 20pp = USD600 x 3 days = USD1,800 / training session x 5 sessions = USD9,000; Venue hire = USD200 /day x 3 days = USD600 x 5 training sessions = USD3,000; Stationeries, communication & miscellaneous = USD100/training session x 5 training sessions
S	Activity 1.2.3: Desktop publishing, printing and distribution of Training Materials etc (100 copies). Costing based on USD100 per copy = 100 x 100 = USD\$10,000
T	Activity 1.2.3: One International consultant (Monitoring & Evaluation Specialist) to be engaged for 30 days @ USD600/day to develop the survey, oversight implementation of the survey, analyse results and develop report and recommendations.
U	Activity 2.1.1: Consultations and Information sessions in Funafuti with stakeholders to undertake NAP planning and develop the NAP. Catering = USD30 /pp/day x 40 pp x two days = USD2,400 x 2 consultations = USD4,800; Venue hire = USD200 / day x two days = USD400 x 2 consultations = USD800; Stationeries, communication and miscellaneous = USD100 / consultation session. These consultations and information sessions will cover Activities 1.2.2, 1.2.3, 1.2.4, 2.2.1, 2.3.1, 2.4.1, 2.4.2, and 2.4.3.
V	Activity 2.1.1: Outer island field costs and stakeholder consultations to cover Activities 1.2.2, 1.2.3, 1.2.4, 2.1.1, 2.2.1, 2.3.1, 2.4.1, 2.4.2, 2.4.3 and 4.1.2: Stakeholder Consultations in 8 outer islands: USD30 /pp/day x 40 people x 2 days = USD2,400 / island. USD2,400 x 8 outer islands = USD19,200 x 4 trips = USD76,700. Field costs to cover any catering, venue hire, local transportation, fuel, cultural obligations etc.
W	Activity 2.1.1: Local Travel to cover Activities 1.2.2, 2.1.1, 2.4.1, 2.4.2, 2.4.3 and 4.1.2: NAP Project Team (Adaptation Expert (Team Leader), Institutional Expert, M&E Specialist, Communication & Engagement x 2, Gender x2, National Consultants x2 and Government representatives) and NGOs and Survey enumerators. It is costed on 2 trips for the NAP planning and 1 trip post planning with a contingency trip. The cost is for the charter boat (\$70,000 / charter) for 3 trips to the 8 outer islands. The cost for the 4th trip is for contingency to cover if the boat is unavailable for charter then it provides for cost of local travel for team on the island ferries; if the boat needs to come from Fiji then this covers additional costs. The cost of the charter covers accommodation and food (five-aboard). The hire of a charter boat is the most cost-effective, safe and reliable transportation method for the Tuvalu outer islands, particularly given the geographical remoteness, and the risks which are inherent with reliance on the local island ferry system (i.e. delays, inability to return from outer islands, time required etc).
X	Activity 2.2.1: NAP Project Team: One international consultant (Climate Change Adaptation Specialist - Team Lead) to be engaged for 50 days @ USD600 per day to undertake stocktake and develop analysis and report. Any travel required to the outer islands will be linked to the Stakeholder Consultations as per Activity 2.1.1.
Y	Activity 2.2.1: NAP Project Team: One local consultant (Climate Change Adaptation) to be engaged for 40 days @ USD300 per day to support the Team Leader (Adaptation Consultant) to undertake stocktake including collect policies and strategies, assist with analysis and report, confer with stakeholders in-country etc. Any travel required to the outer islands will be linked to the Stakeholder Consultations as per Activity 2.1.1.
Z	Activity 2.2.1: International travel for Team Lead (CC Adaptation Specialist) to undertake stocktake. Return airfares @ USD3,000 (1 trip); DSA @ USD150 / day x 10 days = USD1,500
AA	Activity 2.2.2: One local consultant (Database Consultant) to be engaged for 60 days @ USD300 / day to develop the database, deliver two trainings for DCC, NAP PCU and Meteorology Office staff and mentoring support to the trained staff.
AB	Activity 2.2.2: Two trainings for staff of DCC /PCU and Meteorology Office Staff on how to use and maintain the database. Each training session will be 1 full day for 10 participants. Catering = USD30 /pp /day x 10 = USD300 x 2 trainings = USD600; and venue hire @ USD100 /day x 2 trainings = USD200.
AC	Activity 2.2.2: Two desktop computers for servers (1 for DCC and 1 for Meteorology Office) for databases @ USD4,200 / desktop

AD	Activity 2.2.2: Two x 5 terabyte external storage drives (1 for DCC and 1 for Meteorology Office) to enhance data/information storage @ USD400 / external drive
AE	Activity 2.3.1: One international consultant (Gender and Social Inclusion) to be engaged for 120 days @ USD600 / day to develop the Gender & Social Inclusion Plan for the NAP and develop Sector Guidelines for gender mainstreaming
AF	Activity 2.3.1: One national consultant (Gender and Social Inclusion) to be engaged for 120 days @ USD300 / day to support the Gender Specialist to develop the Gender & Social Inclusion Plan for the NAP and develop Sector Guidelines for gender mainstreaming
AG	Activity 2.3.1: International travel for Gender and Social Inclusion Specialist to deliver on-ground tasks under this activity including consultations with stakeholders, undertake Sector consultations etc. Return trips airfare: USD3,000 / trip x 3 trips = USD9,000. DSA = USD150 / day x 10 days / trip = USD1,500 x 3 trips = USD4,500
AH	Activity 2.3.1: Eight sector workshops (one workshop/sector and two combined validation sector workshops). Each sector workshop will run for two days. A total of up to 20 participants per workshop including outer islands representatives of each of the sectors. Catering = USD30 / pp / day x 20pp / workshop = USD600/day x 2 days = USD1,200 x 8 workshops = USD9,600; Venue hire = USD200/day x 2 days = USD400 x 8 workshops = USD3,200; stationeries, communication and miscellaneous = USD50 /workshop = USD400
AI	Activity 2.3.1: Local travel for outer islands sector representatives = 4 representatives from each of the eight outer islands (total 32). Six sector workshops to be held back-to-back. Two validation workshops to be held later. Total trips for outer islands representatives = 64 trips. Return boat fare = USD30 /pp /trip x 64 trips = USD1,920; Accommodation = USD75/ pp/ day x 7 days / trip /pp = USD525 x 2 trips / pp = USD1,050 x 32pp = USD33,600; DSA = USD45 / pp / day x 7 days /trip = USD315 x 2 trips /pp = USD630 x 32pp = USD20,160
AJ	Activity 2.4.1: One international consultant (Communication & Engagement Specialist) to undertake Activity 2.4.1 and 2.4.3, and provide guidance and advice under Activity 2.4.2. Costed at USD600 / day x 150 days.
AK	Activity 2.4.1: International travel for Communication & Engagement Specialist to undertake stakeholder consultations, survey development and train team to undertake the survey, deliver on-ground tasks etc. Return trips airfare: USD3,000 / trip x 4 trips = USD12,000. DSA = USD150 / day x 10 days / trip = USD1,500 x 4 trips = USD6,000
AL	Activity 2.4.1: One national consultant (Communication & Engagement) to support the Communication & Engagement specialist and to be trained / mentored to deliver on Activity 2.4.2. Costed at USD300 / day x 360 days.
AM	Activity 2.4.2: Desktop publishing, printing, translation etc of products as outlined in the Strategy (will also include desktop publishing of reports from the NAP planning process). A lumpsum of USD105,000 has been allocated to cover the cost of production for communication tools and information (for example, brochures, posters, radio sessions etc)
AN	Activity 2.4.2: Information and awareness raising events on the outer islands and Funafuti. Costings are based on an average of 20 participants attending. Each session will be for one day. Catering @USD30 pp/ day x 20 pp = USD600 x 10 sessions (2 in Funafuti and two each in the 8 outer islands); Venue hire = USD200 / day = USD200 / day = USD200. Note during the NAP planning, information and awareness raising sessions will be linked to Activity 2.1.1 (Stakeholder Consultations).
AO	Activity 2.4.2: NGOs (e.g. Tuvalu Red Cross, NGO/CSSO/FBOs) to undertake the information and awareness events under the guidance of the Communication & Engagement Specialist and Communication Consultant (national) to ensure consistent messaging and use of information, products etc as per the Strategy. Justification: Tuvalu Red Cross Society has wider reach across all 9 islands of Tuvalu (offices and volunteers) and has experience in delivering similar work based on previous projects with SPREP under the FINPAC and more recently with the WMO-CREWS projects. Other NGOs/CSSOs/FBOs would be too small in terms of scope of work, and number of staff (average of around 2 to 3 people) compared to Tuvalu Red Cross, networks of volunteers is very small; experience in nation-wide roll out of information sessions and awareness events are limited. SPREP does have any working relationship with any of these organisations except for TRCS, SPREP Procurement Policy allows for direct source when (1) there are no suitable submissions were received in response to an open tender process; or (2) there is no competition for the particular service due to technical reasons; or (3) whereby there is an Agreement with a partner (e.g. MOU) which enables for direct contracting services. Given the nature of the activities, it is deemed direct procurement is the most effective to undertake the activities and achieve the results within the budget and required timeframes.
AP	Activity 2.4.3: 8 tablets @ USD500 each (2 per outer island - assumption of 2 enumerator teams of 4 people per island) for the training and collection of survey data. Use of tablets enables faster tabulation and analysis of the information to be integrated into the Communication & Engagement Strategy and NAP

AQ	<p>Activity 2.4.3: Local enumerators to be trained and undertake the baseline survey and final evaluation survey. Based on training days (x 64 = 4 days / island x 8 islands). Cost per enumerator = USD1,439.75. Justification: It is envisaged the partnership with the Red Cross will extend to the survey work and enable the NAP project team to utilise their network of volunteers across Tuvalu for the survey work. A call for enumerators will be issued through the networks, and an evaluation committee will be convened to review all applications and select those that meet the criteria which will include experience in conducting surveys in outer islands and use of technology (tablets) to record and capture responses, etc.). The use of partner networks in-country has many advantages including: understanding island and cultural context; already trained in stakeholder consultations and at times, in survey work; an understanding of the requirements of multiple projects; and quickly mobilised workforce. SPREP Procurement Policy allows for direct source when (1) there are no suitable submissions were received in response to an open tender process; or (2) there is no competition for the particular service due to technical reasons; or (3) whereby there is an Agreement with a partner (e.g. MOU) which enables for direct contracting services. Given the nature of the activities, it is deemed direct procurement is the most effective to undertake the activities and achieve the results within the budget and required timeframes.</p>
AR	<p>Activity 2.4.3: One international consultant (Monitoring & Evaluation Specialist) to be engaged for 30 days @ USD600/day to develop the survey, oversight implementation of the survey, analyse results and develop report and recommendations.</p>
AS	<p>Activity 2.4.3: International travel for Monitoring & Evaluation Specialist to train enumerators and oversight survey. Return trips airfare: USD3,000 / trip x 1 trips = USD3,000. DSA = USD150 / day x 10 days / trip = USD1,500 x 1 trips = USD1,500.</p>
AT	<p>Activity 3.1.1: Professional Services (CSIRO) to develop the climate projections and report. Justification: SPREP has a strong, long-standing working relationship with CSIRO through a number of projects and has in place an agreement with CSIRO to work in collaboration with the Secretariat in the areas of climate science to service e.g. developing climate projections tailored to sectors in Samoa focusing on cocoa farming, climate information services (Van KIRAP) and the Next Generation Project. In particular, CSIRO are the most appropriate partner on this activity due to: <ul style="list-style-type: none"> +CSIRO is specialized in climate service application which includes climate projections, impact scenarios, and using models to identify impact of projected climate compared to current climate, translating science to service at both national, local and sectoral levels etc. +CSIRO is currently providing the climate projection information at the community level within the TIVA project as outlined in the logframe. The NAP will use this as the baseline, and partner with CSIRO to scale up the projections for the whole-of-island across Tuvalu. The projections and the resulting vulnerability assessments and hazard maps will directly link into the NAP development. The use of CSIRO to undertake this work enables the project to maximise current information, reduce costs required to produce the projections as there is already a baseline at community level, and reduce the amount of time required to undertake the projections and resulting mapping due to baseline information already being available. This is important given the timeframes for the development of the NAP. +CSIRO has a long history and institutional knowledge of the Pacific region, individual countries, national meteorological and hydrological services in the region, etc. +CSIRO is also undertaking similar work under the VANIKIRAP project and the lessons learned, and synergies of information and methods across different countries and projects will be beneficial to the region in the longer-term. SPREP Procurement Policy allows for direct source when (1) there are no suitable submissions were received in response to an open tender process; or (2) there is no competition for the particular service due to technical reasons; or (3) whereby there is an Agreement with a partner (e.g. MOU) which enables for direct contracting services. Given the nature of the activities, it is deemed direct procurement is the most effective to undertake the activities and achieve the results within the budget and required timeframes. </p>
AU	<p>Activity 3.1.1: International travel for Professional Services company. Costed for three people. Return trips airfare: USD3,000 / trip x 2 trips = USD6,000 x 3 pp = USD18,000. DSA = USD150 / day x 10 days / trip = USD1,500 x 2 trips = USD3,000 x 3 pp = USD9,000.</p>
AV	<p>Activity 3.1.1: Workshops / training for six Sectors in the climate projections. Catering USD30 / ppl day x 15pp = USD450/session x 6 sessions = USD2,700; Venue hire = USD200/day x 6 sessions = USD1,200; stationeries, communication and miscellaneous = USD50/session x 6 sessions = USD300.</p>
AW	<p>Activity 3.2.1: One international consultant (CC Adaptation Specialist - Team Lead). Based on 40 days @ USD600 / day to undertake stocktake and assessment of risk and vulnerability assessments. Travel is incorporated into other visits and engagements with Sectors which will be individual meetings</p>
AX	<p>Activity 3.2.1: International travel (CC Adaptation Specialist). Return trips airfare: USD3,000 / trip x 1 trips = USD3,000. DSA = USD150 / day x 10 days / trip = USD1,500.</p>
AY	<p>Activity 3.2.1: One national consultant (climate change adaptation). Based on 30 days @ USD300 / day to support Team Lead to undertake stocktake and assessment of risk and vulnerability assessments</p>

AZ	<p>Activity 3.2.2: Professional services company (CSIRO) to produce vulnerability and risk assessment models and maps, and undertake trainings. This would include developing the model and user-interface, integrating the climate projections into the model for production of the maps and assessments, and develop the analysis report, and undertake training and mentoring of sectors. Justification: SPREP has a strong, long-standing working relationship with CSIRO through a number of projects and has in place an agreement with CSIRO to work in collaboration with the Secretariat in the areas of climate science to service e.g. developing climate projections tailored to sectors in Samoa focusing on cocoa farming, climate information services (Van KIRAP) and the Next Generation Project. In particular, CSIRO are the most appropriate partner on this activity due to:</p> <ul style="list-style-type: none"> -CSIRO is specialized in climate service application which includes climate projections, impact scenarios, and using models to identify impact of projected climate compared to current climate, transferring science to service at both national, local and sectoral levels etc. -CSIRO is currently providing the climate projection information at the community level within the TIVA project as outlined in the logframes. The NAP will use this as the baseline, and partner with CSIRO to scale up the projections for the whole-island across Tuvalu. The projections and the resulting vulnerability assessments and hazard maps will directly link into the NAP development. The use of CSIRO to undertake this work enables the project to maximise current information, reduce costs required to produce the projections as there is already a baseline at community level, and reduce the amount of time required to undertake the projections and resulting mapping due to baseline information already being available. This is important given the timeframes for the development of the NAP. -CSIRO has a long history and institutional knowledge of the Pacific region, individual countries, national meteorological and hydrological services in the region, etc. -CSIRO is also undertaking similar work under the VANIRAP project and the lessons learned, and synergies of information and methods across different countries and projects will be beneficial to the region in the longer-term. SPREP Procurement Policy allows for direct source when (1) there are no suitable submissions were received in response to an open tender process; or (2) there is no competition for the particular service due to technical reasons; or (3) whereby there is an Agreement with a partner (e.g. MOU) which enables for direct contracting services. Given the nature of the activities, it is deemed direct procurement is the most effective to undertake the activities and achieve the results within the budget and required timeframes.
BA	<p>Activity 3.2.2: International travel for team. Costed for four people (2 for vulnerability work and 2 for risk assessment work). Return trips airfare: USD3,000 / trip x 2 trips = USD6,000 x 4 pp = USD24,000. DSA = USD150 / day x 10 days / trip = USD1,500 x 2 trips = USD3,000 x 4 pp = USD12,000.</p>
BB	<p>Activity 3.2.2: Training for six sectors in results from the vulnerability and risk assessments and use of interface. Catering USD30 /pp/ day x 15pp = USD450/session x 6 sessions = USD2,700; Venue hire = USD200/day x 6 sessions = USD1,200; stationeries, communication and miscellaneous = USD50/session x 6 sessions = USD300.</p>
BC	<p>Activity 4.1.1: One international consultant (Climate Change Adaptation Specialist - Team Lead) to be engaged for 40 days @ USD600 /day to develop the adaptation options and appraisal tool.</p>
BD	<p>Activity 4.1.1 and 4.1.2: International travel for CC Adaptation Specialist. Return trips airfare: USD3,000 / trip x 2 trips = USD6,000. DSA = USD150 / day x 10 days / trip = USD1,500 x 2 trips = USD3,000. (Note: other travel required will be linked into Activity 2.1.1 (Stakeholder consultations) and other activities for the role.</p>
BE	<p>Activity 4.1.2: One international consultant (Climate Change Adaptation Specialist - Team Lead) to be engaged for 40 days @ USD600 /day to work with stakeholders to prioritise the options and develop the report from the outcomes of the stakeholder workshops.</p>
BF	<p>Activity 4.1.2: One local consultant (Climate Change Adaptation) to be engaged for 35 days @ USD300 /day supporting the CC Adaptation Specialist (Team Lead) to work stakeholders to prioritise the options and develop the report from the outcomes of the stakeholder workshops.</p>
BG	<p>Activity 4.1.2: Workshops / training for six Sectors to identify adaptation options and prioritise options (also includes training in the use of the tools and identification of options etc). Each workshop will be for 2 days. Catering USD30 /pp/ day x 15pp = USD450/session x 6 sessions x 2 days = USD5,400; Venue hire = USD200/day x 6 sessions x 2 days = USD2,400; stationeries, communication and miscellaneous = USD50 / session x 6 sessions = USD300.</p>
BH	<p>Activity 4.1.2: Consultations with 8 outer island communities. Costings are based on an average of 20 participants attending. Catering @ USD30 pp/ day x 20 pp = USD600 x 8 sessions = USD4,800; Venue hire = USD200 /day x 8 sessions = USD1,600.</p>
BI	<p>Activity 4.2.1: One international consultant (Climate Change Adaptation Specialist - Team Lead) to be engaged for 50 days @ USD600 /day to develop the draft and final NAP incorporating inputs from all activities and consultations.</p>
BJ	<p>Activity 4.2.1: One international consultant (Evaluation Specialist) to be engaged for 40 days @ USD600 /day to compile the terminal evaluation report outlining the NAP process, lessons learnt and best practices for future adaptation planning processes.</p>
BK	<p>Activity 4.2.1: International travel for the CC Adaptation Specialist (Team Lead) to work on developing and finalising the NAP. Return trips airfare: USD3,000 / trip x 2 trips = USD6,000. DSA = USD150 / day x 10 days / trip = USD1,500 x 2 trips = USD3,000. International travel (x1 trip) for the Terminal Evaluation Specialist = \$4,500</p>
BL	<p>Activity 4.2.1: One local consultant (Climate Change Adaptation) to be engaged for 35 days @ USD300 /day supporting the CC Adaptation Specialist (Team Lead) to develop the draft and final NAP.</p>

BM	Activity 4.2.1: Workshops / training to input into the draft NAP (including the M&E framework - Activity 4.2.2) with all Sectors including outer island representatives. Based on approximately 52 attendees (20 from Funafuti and 32 from 8 outer islands). The draft NAP workshop will be for 2 days Catering USD30 /pp/ day x 52pp = USD1,560 / day x 2 days = USD3,120. Venue hire = USD200 / day x 2 days = USD400; stationeries, communication and miscellaneous = USD50 / session = USD50. The intention is communities will also be kept informed through the ongoing stakeholder consultations.
BN	Activity 4.2.1: Local travel for outer island participants to attend the validation workshop on the draft NAP. Based on 32 attendees from 8 outer islands. Each outer island will be represented four representatives including their Falekaupule and Kapule. Return boat fare @ USD30 /pp x 32= USD960. Accommodation @USD75/pp/day x 7 days = USD525 x 32 representatives = USD16,800. DSA @ USD45/pp/day x 7days = USD315 x 32 representatives = USD10,080.
BO	Activity 4.2.1: Workshops / training to validate the final NAP with all Sectors. Based on approximately 20 attendees The workshop will be for 1 day. Catering USD30 /pp/ day x 20pp = USD600; Venue hire = USD200 / day = USD200; stationeries, communication and miscellaneous = USD50.
BP	Activity 4.2.2: One international consultant (M&E Specialist) to be engaged for 50 days @ USD600 /day to develop the Monitoring and Evaluation Framework for the NAP.
BQ	Activity 4.2.2: International travel for the M&E Specialist to work on developing and finalising the NAP and the M&E Framework. Based on 2 trips each. Return trips airfare: USD3,000 / trip x 2 trips = USD6,000. DSA = USD150 / day x 10 days / trip = USD1,500 x 2 trips = USD3,000.
BR	Activity 4.2.3: ATWG and NACCC meetings to validate the draft NAP and the final NAP before submission to Cabinet. Each meeting will be for one day. Catering = USD30 /pp/ day x 15pp = USD450 x 2 meetings = USD900; Venue hire = USD150 x 1day = USD150 x 2 meetings = USD300; Stationeries, communication and miscellaneous = USD50
BS	Activity 5.1.1: One international consultant (Climate Finance Consultant) to (i) assess and develop climate financing options assessment and report, (ii) develop NAP Climate Financing Strategy. Based on 40 days @ USD600 / day.
BT	Activity 5.1.1 and Activity 5.1.2: International travel for Climate Finance Consultant. Return ticket @USD3,000 x 3 trips = USD9,000. DSA @ USD150 / day x 16 days = USD2,400 x 3 trips = USD7,200
BU	Activity 5.1.1 and Activity 5.1.2: Workshop with Sectors, NGOs, FBOs and CSOs, and private sector to validate assessment findings before next steps in development of Climate Financing Strategy, and obtain inputs / findings from these stakeholders into the Climate Financing Strategy. Based on approximately 20 attendees The workshops will be for 1 day each. Catering USD30 /pp/ day x 20pp = USD600; Venue hire = USD200 / day = USD200; stationeries, communication and miscellaneous = USD50.
BV	Activity 5.1.1: International travel for four staff of Ministry of Finance - DCC and AidInvestment for south-south learnings. Return airfare @ USD3,500 / trip x 4 staff = USD14,000. DSA @ USD250 /pp /day x 14 days = USD3,500 x 4 staff = USD14,000.
BW	Activity 5.1.2: One international consultant (Climate Finance Consultant) to develop the draft NAP Climate Financing Strategy, undertake stakeholder consultant and finalise the strategy for endorsement. 60 days @ USD600 / day.
BX	Activity 5.1.2: Committee meeting of ATWG and NACCC to endorse the Climate Financing Strategy. 2 meetings. Catering USD30 /pp/day x 15pp = USD450 x 2 meetings = USD900. Venue hire @ USD150 / day x 2 meetings = USD300. Stationeries, communication & miscellaneous @ USD50 / meeting x 2 meetings = USD100
BY	Activity 5.1.3: Consultations with outer island community representatives (x 32 pp) including validation of Strategy. 3 day consultations. Catering @ USD30 /pp /day x 32 participants = USD960 x 3 days = USD2,880. Venue hire @USD200 / day x 3 days = USD600. Stationeries, communication and miscellaneous @ USD50 / event = USD50
BZ	Activity 5.1.3: Local travel cost for 32 representatives from eight outer islands. Each outer island will be represented four representatives including their Falekaupule and Kapule. Return boat fare @ USD 30/ pp x 32 = USD960. Accommodation @ USD75 /pp /day x 7 days = USD525 x 32 representatives = USD16,800. DSA @ USD45 /pp /day x 7 days = USD315 x 32 representatives = USD10,080
CA	Activity 5.2.1: International Consultants (x 2 - project development specialists in identified areas for the projects to develop the concept notes under the guidance of the identified Accredited Entities. Based on 60 days per consultant @ USD600 per day.
CB	Activity 5.2.1: International travel for the Project Development Consultants based on 2 trips each. Return airfare @ USD3,000 / trip x 4 trips = USD12,000. DSA @ USD150 /pp /day x 10 days = USD1,500 x 4 trips = USD6,000
CC	Activity 5.2.1: Workshops for consultations and inputs into the concept note development. Based on approximately 20 attendees for each CN workshop. The workshop will be for 1 day. Catering USD30 /pp/ day x 20 pp = USD600; Venue hire = USD200 / day = USD200; stationeries, communication and miscellaneous = USD50.
CD	Local consultant as a fulltime Project Manager for the project to be part of the NAP Project Team and support the consultants and activities. To be engaged for 36months @ USD1,600/month.

CE	Local consultant as a fulltime Project Finance and Administration Assistant to be engaged for 36months @USD800/month
CF	IT Equipment: Two laptop computers for use by the Project Manager and Project Finance and Administration Assistant.
CG	Office Supplies: for use by the NAP Project Coordination Unit
CH	Communication: Cost of communication (telephone/internet) for the NAP Project Coordination Unit
CI	Travel - International:For NAP Project Coordination Unit travel to attend project planning meetings with the Delivery Partner. Return airfare @USD3000/trip x 2 trips=USD6000. DSA@USD3000/day x 14 days=USD4200 x 2=USD8400
Cj	Local Travel: for the NAP Project Coordination Unit for follow-up monitoring and evaluation of project progress. Local travel to eight outer islands. One trip x 1 person = USD630 / island. Boat fare @ USD30 /pp / return trip. Accommodation @ USD75 /pp /day x 5 days / trip = USD375; DSA @ USD45 /pp/ day x 5 days = USD225. Cost for visits to 8 outer islands = USD5,040 per person x 2 people = USD10,080.
CK	Audio Visual & Printing: Printing of project reports and documents for meetings, workshops, etc, translation when required, hire of audio visual equipment for use during meetings, etc.
CL	Audit Fee: Three audits to be conducted during the project life. @USD400/audit

5.2 Procurement Plan

For goods, services, and consultants to be procured, please list the items, descriptions in relation to the activities in Section 3, estimated cost, procurement method, relevant threshold, and the estimated dates. Please include the procurement plan for at least the first tranche of disbursement requested below and provide a full procurement plan for the entire duration of the implementation period if available at this stage.

Item	Item Description	Estimated Cost (US\$)	Procurement Method	Thresholds		Projected Contracting Date
				(Min. Allowable monetary value for which a selected procurement method must be used)	Estimated Start Date	
Goods and Non-Consulting Services						
IT Equipment	2 computers (servers) and 2 external hardrives for database	9,200.00	Shopping	\$1,001 - \$10,000	6 mths after commencement	8 mths after commencement
IT Equipment	8 labels for survey activities	4,000.00	Shopping	\$1,001 - \$10,000	6 mths after commencement	7 mths after commencement
IT Equipment	2 laptops for PMU staff	7,000.00	Shopping	\$1,001 - \$10,000	Start of Project	2 mth after commencement
Office Supplies	Supplies, consumables (e.g. stationery) for PMU	9,000.00	Direct Procurement	<\$1,000	3 mths after commencement	Ongoing
Audio Visual & Printing	General printing of reports, documents for meetings etc	6,000.00	Direct Procurement	<\$1,000	3 mths after commencement	Ongoing
Audit Fee	External Audit (x 3)	12,000.00	Open Tender	\$10,001 - \$50,000	9 mths after commencement	12 mths after commencement
Local Travel	Outer island (8) visits to undertake consultations, awareness raising events and surveys. Outer island stakeholders to travel to Funafuti to participate in meetings, consultations etc	183,200.00	Direct Procurement	\$1,001 - \$10,000	5 mths after commencement	Ongoing
Local Travel	Boat charter for project team to visit outer islands. Boat charter includes boat, accommodation, food	280,000.00	Direct Procurement	Charter vessel will be restricted, therefore direct procurement is only method	5 mths after commencement	Ongoing
International Travel	International travel for consultants, South-South learnings and meetings	273,100.00	Shopping	\$1,001 - \$10,000	4 mths after commencement	Ongoing
Workshops / Training	Venue hire, catering and consumables	58,420.00	Shopping	\$1,001 - \$10,000	4 mths after commencement	Ongoing
Committee Meetings	Venue hire, catering and consumables	6,500.00	Shopping	\$1,001 - \$10,000	4 mths after commencement	Ongoing
Consultations / Information Sessions	Outer island consultations: venues, catering, communications	45,900.00	Direct Procurement	\$1,001 - \$10,000	10 mths after commencement	Ongoing
Field Costs	Outer island field costs, community discussion costs, transportation, fuel, cultural obligations	76,800.00	Direct Procurement	\$1,001 - \$10,000	5 mths after commencement	Ongoing
Desktop publishing & printing	Cost of production and printing for evaluation survey	3,000.00	Open Tender	\$1,001 - \$10,000	9 mths after commencement	10 mths after commencement
Desktop publishing & printing	Cost of production and printing of Coordination Guidelines	30,000.00	Open Tender	\$10,001 - \$50,000	11 mths after commencement	13 mths after commencement
Desktop publishing & printing	Cost of production and printing for training materials	10,000.00	Open Tender	\$10,001 - \$50,000	12 mths after commencement	14 mths after commencement
Desktop publishing & printing	Cost of production and printing of the NAP and for communication and awareness raising information and products	105,000.00	Open Tender	\$100,001 - \$300,000	6 mths after commencement	Ongoing
Communication	Telephones, internet charges etc	12,000.00	Direct Procurement	<\$1,000	3 mths after commencement	Ongoing
		\$	1,111,190.00			
Sub-Total (US\$)						
Consultancy Services						
International Consultant	Climate Change Adaptation Specialist	150,000.00	Open tender	\$100,001 - \$300,000	Start of Project	3 mths after commencement
International Consultant	Gender & Social Inclusion Specialist	72,000.00	Open tender	\$50,001 - \$100,000	Start of Project	3 mths after commencement
International Consultant	Monitoring & Evaluation Specialist	84,000.00	Open tender	\$50,001 - \$100,000	Start of Project	3 mths after commencement
International Consultant	Institutional Strengthening Specialist	72,000.00	Open tender	\$50,001 - \$100,000	Start of Project	3 mths after commencement
International Consultant	Communication & Engagement Specialist	90,000.00	Open tender	\$50,001 - \$100,000	Start of Project	3 mths after commencement
International Consultant	Climate Financing Specialist	60,000.00	Open tender	\$50,001 - \$100,000	17 mths after commencement	20 mths after commencement
International Consultant	Project Development Specialist	36,000.00	Open tender	\$10,001 - \$50,000	20 mths after commencement	22 mths after commencement
International Consultant	Project Development Specialist	36,000.00	Open tender	\$10,001 - \$50,000	20 mths after commencement	22 mths after commencement
International Consultant	Specialists to develop training packages and deliver training	90,000.00	Open tender	\$50,001 - \$100,000	7 mths after commencement	10 mths after commencement
International Consultant	Evaluation Specialist	24,000.00	Open tender	\$10,001 - \$50,000	30 mths after commencement	32 mths after commencement
Local Consultant	Climate Change Specialist	42,000.00	Open tender	\$10,001 - \$50,000	Start of Project	3 mths after commencement
Local Consultant	Institutional Strengthening Officer	24,000.00	Open tender	\$10,001 - \$50,000	Start of Project	3 mths after commencement
Local Consultant	Gender & Social Inclusion Specialist	36,000.00	Open tender	\$10,001 - \$50,000	Start of Project	3 mths after commencement

Local Consultant	Communication Officer	108,000.00	Open tender	\$100,001 - \$300,000	Start of Project	3 mths after commencement
Local Consultant	Database Developer	18,000.00	Open tender	\$10,001 - \$50,000	5 mths after commencement	7 mths after commencement
Local Consultant	Enumerators to conduct baseline & final evaluation surveys	86,000.00	Direct Procurement*	\$10,001 - \$50,000	5 mths after commencement	8 mths after commencement
Professional Services Company (CSIRO)	Climate Change Projections & Scenarios	80,000.00	Direct Procurement*	\$50,001 - \$100,000	3 mths after commencement	6 mths after commencement
Professional Services Company (CSIRO)	Vulnerability and Risk Assessments and modeling / mapping	350,000.00	Direct Procurement*	>\$300,000	3 mths after commencement	6 mths after commencement
Professional Services Company	Undertake Stakeholder information sessions / events	60,000.00	Direct Procurement	\$50,001 - \$100,000	6 mths after commencement	9 mths after commencement
Local Consultant	PMU Project Manager	57,600.00	Open tender	\$50,001 - \$100,000	Start of Project	3 mths after commencement
Local Consultant	PMU Project Finance & Administration Officer	28,800.00	Open tender	\$10,001 - \$50,000	Start of Project	3 mths after commencement
	Sub-Total (US\$)	\$ 1,614,400.00				

* Refer to justifications in the Budget Notes

Project Parameters	
Total Project Budget	US\$2,935,461
Three Years (36 months)	
DP Fee @ 8.5% = USD249,514	

2,764,977

235,023

DP Costs	Description	Budget Estimate	Responsibility	Year 1						Year 2			Year 3		
				6 months	12 months	18 months	24 months	30 months	36 months	6 months	12 months	18 months	24 months	30 months	36 months
Implementation and Supervision															
1	Pre-Inception: Finalise project implementation with DCC Mission travel - 3 x staff - return airfare @ USD3000 x 3 staff; DSA @ USD150 / day x 10 days x 3 staff	13,500	FCU, GCR	13,500											
2	Project Planning: Provision of advice, guidance and oversight of project plan and preparation of activities; preparation, guidance and oversight for inception Workshops; facilitate workshop.	10,000	PCU, GCR	10,000											
3	Mission travel: 3 x staff - return airfare @ USD3,000 x 3 elabif; DSA @ USD150 / day x 10 days x 3 staff	13,500	PCU, GCR	13,500											
4	Mission travel: Implementation support, supervisory and project closure missions Mission travel - 2 x staff / mission x 2 missions / year - return airfare @ USD3,000 x 2 staff; DSA @ USD150 / day x 10 days x 2 staff	45,000	CCR		18,000									9,000	
5	Project Implementation: Oversight of project implementation, project progress, completion, monitoring, review of project deliverables, preparation of reports and other documentation etc	71,023	PCU, GCR	10,000	20,000	20,000	10,000	10,000	6,023					5,000	
6	Financial Management: Overseas financial management, reporting and procurement	20,000	Finance	5,000	5,000			5,000						5,000	
7	Audits - Facilitation/discussions/coordination Audit oversight	12,000	Finance		4,000			4,000						4,000	
8	Core operating costs: Legal, procurement, systems support	25,000	Core		10,000			10,000						5,000	
	Sub-Total	210,023		52,000	57,000	20,000	47,000	6,023						28,000	
Completion and closure															
9	Preparation of the project completion report	5,000	CCR											5,000	
10	Oversight for the preparation of the terminal evaluation, and submit the report to the Secretariat.	5,000	PCU											5,000	
11	Prepare project closing documents for submission to the Secretariat.	10,000	PCU, GCR											10,000	
12	Prepare the financial closure of the project for submission to the Secretariat (Financial audited report)	5,000	Finance											5,000	
	Sub-Total	25,000												25,000	
	Total DP Fee	235,023		52,000	57,000	20,000	47,000	6,023						53,000	

235,023.02

0.00

2,764,976.70

235,023.02

Draft Terms of References for the NAP Project Coordination Unit and Consultants	
1 Climate Change Adaptation Specialist (International consultant)	CCA will undertake the team leader function and role including managing a team of experts (Institutional Expert, Gender and Social Inclusion Specialist, Communication and Engagement Specialist and M&E specialist). Ensure the work of each team member is synchronised and aligned; responsible for ensuring the deliverables of each of the team member are up to standard and meeting the requirements set out in contracts for engagement; responsible for consolidating reports on activities and deliverables. CCA will also undertake the adaptation specialist role which includes stocktake (Activity 2.2.1, 3.2.1), gap analysis, reviews and assessments on adaptation in Tuvalu, development of the adaptation appraisal and prioritisation tool (Activity 4.1.1), prioritise adaptation options with sectors/stakeholders (Activity 4.1.2); development of the NAP including incorporation of all relevant elements of the NAP (e.g. M&E, gender and social inclusion strategy, etc) (Activity 4.2.1); engagement with stakeholders throughout the adaptation planning process, etc. (Activity 1.1.1, 2.2.1, 3.2.1, 3.2.2). Responsible for: reviews, gap analysis and assessments to identify baselines for gender and social inclusion, development of guideline for mainstreaming gender and social inclusion into sector plans and gender and social inclusion plan for incorporation into the NAP; work with M&E on indicators, effectiveness surveys, etc. and the necessary reporting on the deliverables (Activity 2.3.1)
2 Gender & Social Inclusion Specialist (International Consultant)	Responsible for: development of survey to assess effectiveness of coordination guideline, capacity building programme, and communication and engagement for adaptation planning, oversight implementation of the surveys, analyse results and develop reports and recommendations (Activity 1.2.2, 1.2.3, 2.4.3); reviews, gap analysis and assessments to identify baselines, lessons and best practices in monitoring and evaluation; development of the monitoring and evaluation plan for the NAP for incorporation into the NAP and the necessary reporting on deliverables
3 Monitoring & Evaluation Specialist (International Consultant)	Responsible for: Development of coordination guideline (Activity 1.2.2); Assessment of capacity gaps and needs, develop the capacity development plan and evaluate the impact of the capacity development activities under Stage 1 - NAP planning and development (Activity 1.2.3); Assessment of capacity gaps and needs and develop the capacity development plan for the NAP implementation - to be incorporated into the Climate Financing Strategy (Activity 1.2.4); Responsible for the development of the communication and engagement strategy including stakeholder mapping, relevant information sessions and meetings (Activity 2.4.1), advise and guidance on implementation of the strategy (Activity 2.4.2), implementation of awareness baseline survey as well as mid and final effectiveness surveys (Activity 2.4.3) and develop required reports and deliverables.
4 Institutional Expert (International Consultant)	Responsible assessment of climate financing options and development of assessment report (Activity 5.1.1); development of NAP Climate Financing Strategy (Activity 5.1.2); and facilitation of relevant information sessions, consultations and meetings
5 Communication & Engagement Specialist (International Consultant)	Two project development specialists in identified areas for the projects. They will be responsible for the development of concept notes under the guidance of the identified Accredited Entities and DCC/NDA including facilitation of meetings, consultations and information sessions
6 Climate Financing Specialist (International Consultant)	Responsible for the development of appropriate training packages based on needs assessment and capacity development programme and deliver trainings for NACCC, ATWG, NDA, DCC, six priority sectors, Kaupule and Falekaupule. The number of training specialist to be engaged to be determined following the completion of hte needs assessment and capacity development programme. (Activity 1.2.3)
7 Project Development Specialist (Two x International Consultants)	The Specialist will be responsible for the terminal evaluation of the project and development of terminal evaluation report based on lessons learnt and best practices in particular from the adaptation planning process (Activity 4.2.1) and findings from the evaluation surveys under Activity 1.2.2, 1.2.3 and 2.3.4.
8 Training Specialists (International Consultants)	Support the Team Leader (Climate Change Adaptation Consultant) to undertake stocktake including collection of policies and strategies, assist with analysis and report, confer with stakeholders in-country etc. (Activity 2.2.1, 3.2.1), support risk and vulnerability assessments and completion of national and sectoral reports (Activity 3.2.2); support engagement with stakeholders to prioritise adaptation options and develop the report from the outcomes of the stakeholder workshops (Activity 4.1.2); support the development of the NAP and meetings/trainings to input into the draft NAP (Activity 4.2.1)
9 Evaluation Specialist	Support the Institutional Expert on developing the Coordination Guidelines, capacity assessments and development of materials etc. (Activity 1.2.2, 1.2.3.)
10 Climate Change Adaptation Consultant (Local Consultant - Tuvalu-based)	
11 Institutional Strengthening Consultant (Local Consultant - Tuvalu-based)	

12	Gender & Social Inclusion Consultant (Local Consultant - Tuvalu-based)	Support the Gender and Social Inclusion Specialist to develop the Gender & Social Inclusion Plan for the NAP and develop Sector Guidelines for gender and social inclusion mainstreaming (Activity 2.3.1)
13	Communication Consultant (Local Consultant - Tuvalu-based)	Support the Communication & Engagement Specialist and to be trained / mentored to implement the communication and engagement strategy (Activity 2.4.2).
14	Database Developer (Local Consultant - Tuvalu-based)	Responsible for the development of the database, deliver two trainings for DCC, NAP PCU and Meteorology Office staff and mentoring support to the trained staff. (Activity 2.2.2)
15	Enumerators (Local enumerators - Tuvalu-based)	To be trained to undertake the baseline survey and final evaluation survey (2.4.3)
16	Professional Firm - Climate Change Projections & Scenarios (International Firm)	Develop climate projections and impacts scenarios and reports (Activity 3.1.1)
17	Professional Firm - Vulnerability and Risk Assessments and modelling / mapping (International Firm - over seas-based)	Produce vulnerability and risk assessment models and maps, and undertake trainings. This would include developing the model and user-interface, integrating the climate projections into the model for production of the maps and assessments, and develop the analysis report, and undertake training and mentoring of sectors. (Activity 3.2.2)
18	NGOs (Tuvalu Red Cross/FBOs/CBOs etc) - based in Tuvalu	Will be engaged to undertake information and awareness events under the guidance of the Communication and Engagement Specialist and Communication Consultant (Activity 2.4.2)
19	PMU Project Manager (Local Consultant - based in Tuvalu - DCC)	Fulltime Project Manager for the project to be part of the NAP Project Team and support the consultants and activities; Day-to-day management of the project, coordination of inputs from Tuvalu stakeholders, coordination of consultants and firms, monitoring of progress of the project and preparation of progress and completion reports.
20	PMU Project Finance & Administration Officer (Local Consultant - based in Tuvalu - DCC)	Fulltime Project Finance and Administration Assistant who will be responsible for administration and logistics tasks of the project including record keeping, project asset management, secretariat support, sourcing of quotes from local suppliers of goods and services.