

## COMMUNICATION AND PARTICIPATION PLAN

### A. BACKGROUND

1. The purpose of this plan is to outline the stakeholders and affected peoples of the Tuvalu Outer Island Maritime Infrastructure Project, their potential, perceived, and actual areas of interest, impact, and concern, outline how information addressing these areas will be communicated, and how participation will be facilitated to support the empowerment of communities and stakeholders in the project process.

2. A summary of this plan is integrated into the Project Administration Manual (PAM). The principle-based *ADB Access to Information Policy (ATIP)* replaced the rule-based Public Communications Policy (2011) in 2019, setting out a commitment to the provision of relevant information to project affected people and other stakeholders “in a timely manner, form, and languages understandable to them and in an accessible place... start[ing] early in the project preparation phase to support consultations and allow stakeholders’ views to be adequately considered in the project design.”<sup>1</sup>

3. **Project Description.** The Tuvalu Outer Island Maritime Infrastructure Project (the full over-arching project including all phases of works under the ADB funding arrangements) will assist the government’s efforts to rehabilitate and improve the maritime infrastructure on remote outer islands of Tuvalu. The Nui Boat Harbor project, under Additional Financing, comprises the design and construction of a workboat harbor/small scale maritime facilities in Nui including channel widening, and the construction of a passenger terminal and cargo shed, accessway, wharf, fishing boat hard stand, foreshore reclamation, access roads, and landscaping at the workboat harbor site.

4. **ADB Safeguards Categorization.** The Nui Boat Harbor project has been assessed as:

- (i) Category B for Environment Safeguards under the ADB SPS
- (ii) Category C for Involuntary Resettlement under the ADB SPS
- (iii) Category C for Indigenous Peoples under the ADB SPS.

5. **Applicability.** The principles outlined in this Communication and Participation Plan (CPP) will inform and/or guide communications and engagement activities with affected people and stakeholders carried out by the Asian Development Bank (ADB), Project Management Unit (PMU), Construction Supervision Consultant (CSC), other consultants, and the Construction Contractor. This CPP will apply for the duration of the project design and construction phases, although it may be updated intermittently if required to reflect changing circumstances.

6. **Monitoring and Reporting.** The outcomes of the CPP will be monitored through remote communication by the PMU, CSC National Safeguard Specialist and International Safeguard Specialist site visits, and semi-annual reporting to correspond with the CPP outlined in Table 2. The Contractor’s communication and participation activities will be reported in weekly and monthly reports to the CSC, and the CSC will report on these matters in the Quarterly Reports, Semi-annual Safeguard Monitoring Reports, and elsewhere as required by the PAM.

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<sup>1</sup> ADB. 2019. [Access to Information Policy](#). Manila.

## B. STAKEHOLDER ANALYSIS

7. A CCP should consider stakeholder groups and their perceptions of issues through a participatory process. The Project Stakeholder Analysis presented below in Table 1 is based on existing knowledge of the project, understanding of Tuvaluan, and Nui-specific culture and society.

**Table 1: Stakeholder Analysis Table**

Stakeholder Group	Stakeholder Interest	Potential Concerns and Impacts and Perception	Resources	Mandate
Ministries and State-Owned Enterprises (SoEs) involved or affected	Responsible for key infrastructure and services that may be affected	Infrastructure and service delivery impacts (e.g. electricity, telecoms, water & sanitation) Use of funds, delivery standards, project progress and successful implementation	Refusal / withdrawal of service Political influence on implementing agency	Governance of Tuvalu and fulfilment of duties under Constitution and legislation
Nui Kaupule	Island local government and ultimate co-owner and caretaker of project Will be co-responsible for operations and maintenance (with Ministry of Public Works, Infrastructure, Environment, Labor, Meteorology and Disaster)	Infrastructure and service delivery impacts (e.g. electricity, telecoms, water & sanitation) Use of funds, delivery standards, project progress and successful implementation Community wellbeing and equitable distribution of benefits Responsible resource use Impacts to community and environment	Political influence Influence over lands, access, resources including water, labor Ability to influence public	Governance of Nui Island and fulfilment of duties under Constitution and legislation Custodian of island land and waters
Fale Kaupule	Assembly of Elders, key leadership group of Island community	Community wellbeing Equitable distribution of benefits Responsible resource use Impacts to community and environment	Political influence (over lands and labor) Public pressure	Governance of Nui Island, customary custodians of clans Leadership and guidance of community
Women's Group	Beneficiaries of project, different needs to main population	Community wellbeing Equitable distribution of benefits and risk of exclusion of women from decision making or benefit sharing Responsible resource use Impacts to community and environment	Public pressure Grievance redress mechanism	The advancement and consideration of women's issues in male dominated systems of governance
Affected Residents (including small business owners, fishers, boat users etc.)	Residents who will/may be directly impacted by construction impacts	Community wellbeing Equitable distribution of benefits Responsible resource use Impacts to community and environment	Public pressure Grievance redress mechanism and assertion of human rights	Fulfilment of pursuit of family and work commitments

Stakeholder Group	Stakeholder Interest	Potential Concerns and Impacts and Perception	Resources	Mandate
- largely the broader community as interested	Project will affect whole Island community's access to inter-island transport and day-to-day impacts	environment		
Affected Landowners	Project beneficiaries, lands will be directly and physically impacted	Community wellbeing Equitable distribution of benefits Responsible resource use Impacts to lands, condition of returned land Prompt payment of leases	Labor, political influence, volunteers, votes, strikes, public pressure control of land Grievance redress mechanism and assertion of human rights	Fulfilment of pursuit of family, income, and community commitments Custodian of land
Vulnerable Subgroups (disabled, carers, aged/elderly, other)	Project beneficiaries with particular needs	Community wellbeing Equitable distribution of benefits Continued access to care, services, resources Responsible resource use Impacts to community and environment	Grievance redress mechanism and assertion of human rights	Fulfilment of pursuit of family, income, and community commitments
Civil Society Organizations (CSOs)	Represent needs of particular interests such as health (Tuvalu Red Cross)	Achievement of mandate	Refusal of service provision	The advancement of organizational mandate (e.g. health education and behavior change, natural disasters, climate change)
Employees of Construction Contractor	Undertaking Construction, non-residents that will reside within community for duration of project	Labor standards Pay and conditions consistent with legislation at minimum Equal treatment and pay	Labor, strikes, public pressure, grievance redress mechanism and assertion of labor rights	Pursuit of income Safe and reasonable work conditions

8. Activities to undertake ongoing stakeholder analysis will be carried out at consultation focus groups at scheduled Gender and Community Development / Social Safeguard Specialist site visits to ensure understanding of emerging and ongoing issues, and reported in Project Quarterly Reports and Semi-annual Safeguard Monitoring Reports.

### C. Strategy

9. The strategy is presented overleaf. The indicated approaches and depth of consultation and engagement categorizations are valid for all the phases the group participates in unless

otherwise specified. The strategy outlines the activities that will be undertaken for the project through design (including procurement) and construction phases. Key participation points for an infrastructure project include the following.

10. **Design.** At the beginning of the design process, stakeholder groups will be provided with information on the project scope, project site options, advantages and disadvantages i.e. technical, environmental, social, and have input and influence (at various levels) of siting of infrastructure, the design and siting of the land infrastructure, and siting of access roads and construction camp. During the detailed design phase, consultation, technical studies, safeguards documentation will be completed, documenting what has been decided to date, including the way stakeholders had input into, and influence over, the outcomes.

11. Public disclosure of all project documents will be carried out through island community meetings prior to project implementation, when feasible<sup>2</sup>, and a copy of technical design, environmental studies, the social safeguards due diligence reports and related documents will be presented to various groups in workshops. They will also be made available at the Island Council (Kaupule) offices and at the Ministry of Public Works, Infrastructure, Environment, Labor, Meteorology and Disaster (MPWIELMD) office in Funafuti and the ADB website.

12. **Construction.** A Stakeholder Reference Committee (SRC) will be formed through representatives of various stakeholder groups to ensure decision making is participatory and inclusive, and will hold regular meetings with the Contractor regarding progress and emerging issues. CSC safeguard specialist visits will be made regularly and include participatory processes to ensure the appropriate management of the project and its impacts. The Construction Contractor Community Liaison Officer (CLO) will undertake regular meetings with the Stakeholder Reference Committee and the Kaupule to present updates and to present progress of grievance resolution for transparency (while protecting confidentiality wherever appropriate).

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<sup>2</sup> As at March 2020, COVID-19 has led to the Government of Tuvalu preventing the travel of consultants and other non-residents to Tuvalu.

Table 2: Strategy

Stakeholder Group	Govt./Civil Society/ Private / Vulnerable	Design	Construction	Objective of their Participation	Approach to Participation (Depth)	Participation Methods		Timeline		Budget
				Why included		Activity & Method	Who is Responsible	Start Date	End Date	
Ministries and SoEs involved or affected	G	D		Responsible for key infrastructure and services that may be affected	Consultation (Low-Medium)	<p><b>Design:</b> Introduction &amp; feedback workshops with iterations. Where site visits not permitted, Design Consultant will prepare materials and facilitate remote decision making process where possible.</p> <p><b>Pre-Construction/Planning:</b> Online communications and intermittent meetings for service and issue identification, drafting agreements and other planning tasks; Interviews regarding Health Policy, Gender Policy, Environmental and Social Concerns</p> <p><b>Monitoring:</b> Online/written consultation for input on progress and resolution of impacts or complaints</p>	Design Consultant/ CSC	D: M1 C: M1	End DPh End CPh	No additional budget required, included in Technical Specification
Nui Kaupule	G	D	C	Island local government and ultimate co-owner and caretaker of project Will be co-responsible for operations and maintenance (with Ministry of Public Works, Infrastructure, Environment, Labor, Meteorology and Disaster)	Partnership (Low) on items within sphere of influence Collaboration (High) on all other matters	<p><b>Design:</b> Introduction &amp; design workshops with iterations, project siting options workshops and determination of preference. Where site visits not permitted, Design Consultant will prepare materials and some capacity building for facilitation and remote decision making process by Kaupule, supported by PMU and National Safeguard Specialist</p> <p><b>Disclosure:</b> Present findings of Safeguards documentation and final design and seek input for MPs. Where site visits not permitted, Design Consultant will prepare summary presentation for Kaupule to share with community, supported by PMU and National Safeguard Specialist</p> <p><b>Land Lease process:</b> As lease signatory, present in all consultations about lands</p> <p><b>Construction Planning:</b> For identification and finetuning of actions and mitigation strategies, interviews and FCD to provide inputs on barriers to women in non-</p>	Design Consultant/ CSC / Contractor	D: M1 C: M1	End DPh End CPh	No additional budget required, included in Technical Specification

Stakeholder Group	Govt./Civil Society/ Private / Vulnerable	Design	Construction	Objective of their Participation	Approach to Participation (Depth)	Participation Methods		Timeline		Budget
				Why included		Activity & Method	Who is Responsible	Start Date	End Date	
						traditional jobs, participatory workshops on ADB Gender Policy and women in non-traditional roles, information sessions about types of work to be available for local labor; Workshop to determine process of rotating staff to ensure benefit sharing <b>Construction:</b> Representation on Stakeholder Committee; Weekly/Fortnightly meetings; Safeguards Focus Groups; GRM Meetings with CLO <b>Monitoring:</b> Online/written consultation for input on progress and impacts, Safeguard interviews/focus groups				
Fale Kaupule	CS	D	C	Assembly of Elders, key leadership group of Island community, has influence	Collaboration (High)	<b>Design:</b> Introduction & design workshops with iterations <b>Disclosure:</b> Present findings of Safeguards documentation and final design and seek input for MPs <b>Land Lease process:</b> As lease signatory, present in all consultations about lands <b>Construction Planning Workshops:</b> For identification and finetuning of actions and mitigation strategies, interviews and FCD re barriers to non-traditional employment, participatory workshops on ADB Gender Policy and women in non-traditional roles <b>Construction:</b> Representation on Stakeholder Committee; Weekly/Fortnightly meetings; Safeguards Focus Groups; GRM Meetings with CLO <b>Monitoring:</b> Online/written consultation for input on progress and impacts, Safeguard interviews/focus groups	CSC / Contractor	D: M1 C: M1	End DPh End CPh	No additional budget required, included in Technical Specification
Women's Group	CS	D	C	Beneficiaries of project, different needs to	Consultation (High)	<b>Design:</b> Introduction & design workshops with iterations for gender inclusive design. <b>Disclosure:</b> Present findings of Safeguards documentation and final design and seek	CSC / Contractor	D: M1	End DPh	No additional budget required, included in

Stakeholder Group	Govt./Civil Society/ Private / Vulnerable	Design	Construction	Objective of their Participation	Approach to Participation (Depth)	Participation Methods		Timeline		Budget
				Why included		Activity & Method	Who is Responsible	Start Date	End Date	
				main population		<p>input for MPs. Where site visits not permitted, Design Consultant will prepare materials and some capacity building for facilitation and remote decision making process by Kaupule, supported by PMU and National Safeguard Specialist</p> <p><b>Pre Construction:</b> Ongoing f2f meetings &amp; consultation on construction procurement and mobilization processes</p> <p><b>Land Lease process:</b> Focus group consultations regarding tree-cutting/clearing, use of resources, focus group consultations regarding tree-cutting/clearing, use of resources, and other matters including equitable benefit sharing mechanisms for women</p> <p><b>Construction Planning:</b> Workshops re. gender specific impacts, interviews and FCD re barriers to non-traditional employment, on ADB Gender Policy and women in non-traditional roles and other mitigations and management strategies</p> <p><b>Construction:</b> Representation on Stakeholder Committee; Safeguards &amp; Gender FCDs, Regular GRM Meetings with CLO for input on appropriate resolutions</p> <p><b>Monitoring:</b> Online/written consultation for input on progress and impacts, Safeguard interviews/focus groups</p>		C: M1	End CPh	Technical Specification
Affected Residents (including small business owners, fishers, boat users)	CS		C	Residents who will/may be directly impacted by construction impacts	Consultation (Medium)	<p><b>Design:</b> Introduction &amp; design workshops with iterations</p> <p><b>Disclosure:</b> Present findings of Safeguards documentation and final design and seek input for MPs through public meetings</p> <p><b>Land Lease process:</b> General information sharing during public meetings</p> <p><b>Construction Planning Workshops:</b> For</p>	CSC / Contractor	D: M1 C: M1	End DPh End CPh	No additional budget required, included in Technical Specification

Stakeholder Group	Govt./Civil Society/ Private / Vulnerable	Design	Construction	Objective of their Participation	Approach to Participation (Depth)	Participation Methods		Timeline		Budget
				Why included		Activity & Method	Who is Responsible	Start Date	End Date	
etc.) - largely the broader community as interested				Project will affect whole Island community's access to inter-island transport and day-to-day impacts		<p>identification and finetuning of management plan actions and mitigation strategies including on roads usage and alternative routes; construction and road safety workshops; election of Stakeholder Committee Representatives: workshop to consider and determine process of rotating staff to ensure benefit sharing across families/clans and resulting information sessions on job process in conjunction with Kaupule</p> <p><b>Construction:</b> FCD on Code of Conduct for Construction Contractor; Representation on Stakeholder Committee; Monthly Bi-monthly Safeguards Progress Public Meetings; HIV/AIDS/STI Prevention workshops for community</p> <p><b>Monitoring:</b> Through GRM</p>				
Affected Landowners	CS	D	C	Project beneficiaries, lands will be directly and physically impacted	Consultation (Medium)	<p><b>Design:</b> Introduction &amp; design workshops with iterations</p> <p><b>Disclosure:</b> Present findings of Safeguards documentation and final design . Where site visits not permitted, Design Consultant will prepare materials and some capacity building for facilitation and remote decision making process by Kaupule, supported by PMU and National Safeguard Specialist</p> <p><b>Land Lease process:</b> As lease signatory, present in all consultations about lands, determination of lands condition/rehabilitation requests/requirements following construction completion.</p> <p><b>Construction Planning Workshops:</b> For identification and finetuning of actions and mitigation strategies specific to affected lands (construction camp), election of</p>	CSC	D: M1 C: M1	End DPh End CPh	No additional budget required, included in Technical Specification

Stakeholder Group	Govt./Civil Society/ Private / Vulnerable	Design	Construction	Objective of their Participation	Approach to Participation (Depth)	Participation Methods		Timeline		Budget
				Why included		Activity & Method	Who is Responsible	Start Date	End Date	
						Stakeholder Committee Representatives, <b>Construction:</b> Representation on Stakeholder Committee; Monthly Progress presentations & Q&A <b>Monitoring:</b> Through GRM				
Vulnerable Subgroups (disabled, carers, aged/elderly, other)	V, CS	D	C	Project beneficiaries with particular needs	Consultation (High)	<b>Design:</b> Introduction & design workshops with iterations for inclusive design of infrastructure and consultation plan. <b>Disclosure:</b> Present findings of Safeguards documentation and final design and seek input for MPs <b>Land Lease process:</b> Focus group consultations regarding tree-cutting/clearing, use of resources, and other matters including equitable formal/informal benefit sharing mechanisms for vulnerable or disadvantaged groups <b>Pre Construction Planning:</b> Information on project progress and identification of challenges of proposed Contractor approaches for vulnerable subgroups <b>Construction:</b> Representation on Stakeholder Committee; Regular Safeguards & Gender FCDs, Regular GRM Meetings with CLO for input on appropriate resolutions <b>Monitoring:</b> Regular Safeguard interviews/focus groups (dependent on numbers and sensitivity)	CSC	D: M1  C: M1	End DPh  End CPh	No additional budget required, included in Technical Specification
CSOs	CS	D	C	Represent needs of particular interests such as health (Tuvalu Red Cross)	Information Generation and Sharing (Medium)	<b>Consultation meetings</b> on capabilities and requirements for fulfilment of training. <b>HIV/AIDS/STI Prevention workshops:</b> Service Provision by CSO	Contractor	C: M1	End CPh	No additional budget required, included in Technical Specification

Stakeholder Group	Govt./Civil Society/ Private / Vulnerable	Design	Construction	Objective of their Participation	Approach to Participation (Depth)	Participation Methods		Timeline		Budget
				Why included		Activity & Method	Who is Responsible	Start Date	End Date	
Employees of Construction Contractor	CS		C	Undertaking Construction, non-residents that will reside within community for duration of project	Consultation (Medium)	<b>Construction:</b> Representation on Stakeholder Committee; Fortnightly meetings with CLO; Safeguards Focus Groups <b>Monitoring:</b> Safeguard interviews/focus groups, GRM	CSC/ Contractor	C: M1	End CPh	No additional budget required, included in Technical Specification

ADB = Asian Development Bank, C = construction, D = design, CLO = community liaison officer, CS = civil society, CSC = construction supervision consultant, F2F = face to face, FCD = focus group discussion, G = government, GRM = grievance redress mechanism, M = month, MPs = management plans, P = private, Ph = phase, PMU = project management unit, Q&A = questions and answers, V = vulnerable.