



Project Document Revision Cover Page

Project Title: Alliance of Small Island States (AOSIS) United Nations Framework Convention on Climate Change (UNFCCC) Support Program

Project Number: 00084866

Implementing Partner: Permanent Mission of Samoa to the United Nations

Extension Start Date: 1 January 2023 **End Date:** 31 December 2024

PAC Meeting date: N/A

Brief Description

As the chairmanship of the Alliance of Small Island States (AOSIS) has been passed from Antigua and Barbuda to Samoa in 2023, the project is being extended to continue supporting and enhancing the institutional capacity of AOSIS. This project is particularly important as the vulnerabilities facing SIDS have been exacerbated by the COVID-19 pandemic; and many SIDS face heavy debt burdens and limited access to concessional finance to fund recovery and sustainable development. Amidst the pandemic, climate change remains the top priority for SIDS. Communities in these countries that are located in low-lying coastal areas stand to be impacted severely from sea-level rise, storm surges, extreme weather and flooding. Narrow and limited resource bases, geographic isolation, and susceptibility to natural hazards, low and poorly diversified economic growth, weak private sector, and uneven development, among other factors, present additional challenges to achieving sustainable development for SIDS. In response to their situation, SIDS, especially through the AOSIS, are playing an increasingly active role in the United Nations Framework Convention on Climate Change (UNFCCC) negotiations process and on sustainable development issues in the UN system more broadly. In terms of international cooperation for sustainable development, 2023 and 2024 will see the convening of a series of international forums. Given the need to agree and structure the post-COVID green recovery, these convenings take on special importance.

*The project document has not been revised since 2015 but has undergone several no-cost extensions. The purpose of this **extension/amendment** is to reflect -*

- (i) the current AOSIS Chair and elaborate the nature of the project as capacity building and technical support to the AOSIS - and specifically the needs of the Chair- to amplify their voice in international negotiations;*
- (ii) updated results framework;*
- (iii) updated financial status and 2023-2024 Annual Work Plan reflecting funds from the United Kingdom;*
- (iv) updated narrative on the board (equivalent) arrangements.*

With regard to (ii) and (iii), the number of project Outputs will remain as two, with Output 1 focusing on technical support and enhanced AOSIS coordination on Oceans and Blue Economy and Output 2 focusing on Access to Finance and Resilient Development. Output 1 aims at increasing AOSIS' capacity through technical support by Ocean Advisors (2), based at the UN Mission and Embassy in Brussels, and enhancing AOSIS coordination on the international plastic pollution negotiations through an in-person coordination meeting,

Output 2 aims at aims at greater engagement between SIDS and development partners in advance of SIDS 4 through Wadadli follow-up meeting in Samoa; technical support through Jr. Sustainable Development in the UN Mission, and production of the report on possible institutional options for AOSIS Chair.

Period		2012-2020	2021-2022	2023-2024
Total resources required:		7,398,812	1,063,245	
Total resources allocated:	UNDP TRAC:	-	-	
		10,443	-	
	Govt. of Australia	92,340	-	
	Govt. of Germany	1,531,945	-	
	Govt. of Norway	30,000	-	
	Govt. of Romania		206,061	1,4
	Govt. of UK	963,998	1,119,093-	575,100
	NORAD	235,101	-	
	SIDA	387,103	-	
	AusAID	37,257	-	

		Dept of Foreign Affairs/Canada European Commission	4,178,522		
	Government:		-	-	
	In-Kind:		-	-	
	TOTAL		7,466,709	1,325,154	575,100
Unfunded:			-	-	

Contributing Outcome SP Outcome: 1

SP Output: 1.1.1.

Indicative Output(s) with gender marker

Output 1 – Strengthened Technical Capacities within AOSIS: GEN1

Output 2 – Strengthened Strategy and Coordination Capacities within AOSIS: GEN1

Agreed by:

UNDP	Implementing Partner
<p>DocuSigned by:</p> <p><i>Francine Pickup</i></p> <p>Francine Pickup Deputy Director Bureau for Policy and Programme Support, UNDP</p>	<p><i>[Signature]</i></p> <p>H. E. Mr. Fatumanava-0-Upolu III Dr. Pa'olelei Luteru Permanent Representative of Samoa to the United Nations, Chair of AOSIS 2023-2024</p>
Date: 29-Sep-2023	Date: 09/29/2023

I. DEVELOPMENT CHALLENGE

Small Island Developing States (SIDS) are recognized by the international community as being a special case for development and highly vulnerable to the adverse impacts of global climate change. Communities in these countries that are in low-lying coastal areas stand to be impacted severely from sea-level rise, storm surges, extreme weather and flooding. Narrow and limited resource bases, geographic isolation, and susceptibility to natural hazards, low and poorly diversified economic growth, weak private sector, and uneven development, among other factors, present additional challenges to achieving sustainable development for SIDS. These vulnerabilities have been exacerbated by the COVID-19 pandemic, many SIDS face heavy debt burdens and limited access to concessional finance to fund recovery and sustainable development.

SIDS sit at the intersection of the triple planetary crisis—climate change, biodiversity and nature loss, and pollution. The impact of these overlapping challenges is particularly pronounced amongst the SIDS because their small economies are vulnerable to the external economic and environmental shocks to which they have contributed little.

SIDS tend to confront similar constraints in their sustainable development efforts, such as a narrow resource base depriving them of the benefits of economies of scale; small domestic markets and heavy dependence on a few external and remote markets; long distances from export markets and import resources; high debt ratios; high volatility of economic growth; and limited opportunities for the private sector. As COVID demonstrated, these economic and capacity limitations mean that when SIDS are confronted to multiple challenges simultaneously, they have little options for ways to respond—setting back their development and increasing their reliance on other states.

In response to their situation, SIDS, especially through the Alliance of Small Island States (AOSIS)¹, are playing an increasingly active role in the United Nations Framework Convention on Climate Change (UNFCCC) negotiations process and on sustainable development issues in the UN system more broadly. Following the Third International Conference on SIDS held in Samoa September 2014, AOSIS has also sought to increase its level of engagement in the post-2015 development agenda negotiations and related sustainable development forum (for example, the financing for sustainable development discussions). The commitment was solidified following the High-Level Midterm Review of the small island developing states (SIDS) Accelerated Modalities of Action (SAMOA) Pathway in 2019. Amidst AOSIS has been active advocating for ramping up efforts on global climate action ahead of the COP-28 negotiations.

SIDS are making strong efforts to secure their interests through inter-governmental processes and multilateral agreements. However, the SIDS Permanent Missions at the UN in New York are capacity constrained considering the breadth of issues that they engage in. As such, through the Alliance of Small Island States (AOSIS), these countries negotiate collectively on sustainable development, oceans, and climate change issues, both at UN headquarters and in international negotiations. To make sure that AOSIS remains responsive to the interests and needs of its member states, it operates without a permanent secretariat. Remaining nimble, each successive AOSIS Chair both coordinates the work of AOSIS and raises sufficient resources for negotiators and technical experts to deliver on the mandates given to the Chair. Without sufficient capacity within the AOSIS Chair, the group's effectiveness at representing the interests of the small islands is significantly diminished.

The Permanent Mission of Samoa assumed the role of AOSIS Chair on 1 January 2023. While the Permanent Mission of Samoa would be the implementing partner of the proposed project, the target group of countries are the 39 SIDS that are members of the UN. Samoa's vision for the AOSIS Chair

¹ **Members of AOSIS:** Antigua & Barbuda, Bahamas, Barbados, Belize, Cape Verde, Comoros, Cook Islands, Cuba, Dominica, Dominican Republic, Fiji, Grenada, Guinea-Bissau, Guyana, Haiti, Jamaica, Kiribati, Maldives, Marshall Islands, Federated States of Micronesia, Mauritius, Nauru, Niue, Palau, Papua New Guinea, Samoa, Sao Tome & Principe, Singapore, St. Kitts & Nevis, St. Lucia, St. Vincent & the Grenadines, Seychelles, Solomon Islands, Suriname, Timor-Leste, Tonga, Trinidad & Tobago, Tuvalu, and Vanuatu

at this critical point in the 'decade of action' is to advocate for greater ambition, bolster existing implementation, and concretize development gains.

Climate change, sustainable development and oceans processes are all undergoing stocktaking and review processes to accelerate action in this decade and achieve the targets set for 2030. At the same time, the Fourth SIDS Conference (SIDS 4) will adopt a decadal strategy in 2024 that will be negotiated starting in August 2023. In addition, Samoa will host the Commonwealth Heads of Government Meeting in 2024 and wishes to emphasise macroeconomic issues, the role of oceans in SIDS' economies and ensure coherence with the ongoing international process and SIDS 4. This makes the coming 12-months in this decade of action critical for the survival and prosperity of the SIDS.

Finally, over the past 5 years, the breadth of work of AOSIS has expanded exponentially. The team supporting the Chair has tripled in size and the annual budget has increased correspondingly. It is an opportune time to consider the institutional arrangements of the AOSIS Chair and whether the long-term sustainability of the organisation would benefit from a new institutional structure. Critical in this consideration is the present necessity to ensure that AOSIS continues to function at a high level through transitions of the AOSIS Chair.

Alliance of Small Island States (AOSIS)

The Chair of the Alliance of Small Island States (AOSIS) coordinates the 39 state Parties of the UNFCCC that are members of AOSIS. AOSIS includes some of the states that are most vulnerable to the effects of climate change and some of the most capacity constrained countries. For 30 years, the Chair of AOSIS has ensured that the voice of these countries is represented in the UNFCCC negotiations and more recently, within the negotiations of important resolutions and meetings within the broader United Nations system.

The AOSIS Chair rotates between the three regions of AOSIS (Caribbean, AIS and Pacific) on a 3-4-year cycle. On January 1, 2023, Samoa, represented by the Permanent Mission to the United Nations became the AOSIS Chair. Each Chair engages a team of negotiators and technical support staff to assist in the execution of its work. Successive Chairs work with each other to ensure that there is an adequate transition of the institutional knowledge of the chair. This institutional structure ensures that each Chair is fully able to execute their vision for the Chairmanship and be effective advocates for the interest of the AOSIS members.

II. STRATEGY

The objective of this project is to continue the work of developing and enhancing the institutional capacity of the member States of the Alliance of Small Island States (AOSIS) and its members to continue to engage effectively in the major global development processes currently underway within the UN System, including the continued implementation of the SAMOA Pathway and synergies with the 2030 Sustainable Development Agenda and the negotiations under the United Nations Framework Convention on Climate Change (UNFCCC), and in the lead-up to the next decade of action on SIDS (to be launched at the SIDS 4 conference in May 2024).

AOSIS Goals 2023-2024

The AOSIS Secretariat is undertaking a process to articulate a set of goals, activities, and timelines for 2023-2024. It has set three overarching goals for this period:

1. **Enhance Ambition and Action** – acknowledging that the multilateral system is not moving fast enough in this decade of action, and recognizing that multiple international environmental agreements are in periods of review (i.e. CBD, Paris Agreement) and others expected to be concluded (i.e. BBNJ, Plastic Pollution Agreement) during the next two years, the Chair will capitalize on these opportunities to push for greater ambition.
2. **Mainstream SIDS in Multilateral Agreements** – the Chair will use every forum possible to focus the discussion on the special circumstance of the small island developing states and

their unique vulnerabilities to environmental and external economic shocks, with this recognition being central to the Chair's work in the lead up and negotiation of the 4th SIDS Conference outcome document.

3. **Strengthen the Institutional Capacity of the AOSIS Chair** – the Chair will seek to solidify the hard-won successes of previous Chairs by ensuring ongoing support for future Chairs through a stable and reliable foundation of support, ensuring smooth transitions between Chairs, greater ability for our smallest island nation members to serve as Chair and allowing each new Chair to focus on the most substantive issues at hand.

AOSIS, and by extension SIDS, face challenges in securing long-term capacity to engage at a sufficiently substantive level in the multitude of international processes that have a critical impact on our development prospects. The proposed project is focused in two areas with multiple components in each:

This project has two main components:

1. Oceans and Blue Economy:

- a. Technical support through Oceans Advisors (2), based at the UN Mission and Brussels Embassy, respectively; and
- b. Enhanced AOSIS coordination on the international plastic pollution negotiations through an in-person coordination meeting.

2. Access to Finance and Resilient Development:

- a. Technical support through a Jr. Sustainable Development Advisor in the UN Mission;
- b. Engagement between SIDS and development partners in advance of SIDS 4 through a Wadadli follow-up meeting in Samoa; and
- c. A technical report on possible institutional strengthening options for the AOSIS Chair.

The outcomes of this project will be:

1. Integrated AOSIS advocacy on ocean issues at UN headquarters, international negotiations, CHOGM and their inclusion in the 4th SIDS Conference outcome document;
2. Increased preparation and comprehensive AOSIS positions for plastic pollution INC, resulting in an agreement that includes the interests of SIDS and recognizes the essential role that oceans play in small island economies;
3. Increased opportunities for engagement between SIDS and development partners to increase the applicability and effectiveness of the 4th SIDS outcome document and the resulting ability of SIDS to access funding to implement the outcomes; and
4. Enhanced sustainability and functioning of the AOSIS Chair so that it may be better able to advocate for the interests of SIDS.

While outcomes 1 and 2 are primarily for oceans and the blue economy, and 3 and 4 for access to finance and resilient development, there is coherence across the two areas. The overall objective is to enhance the development and sustainability of SIDS economies by addressing through international engagement and negotiations the barriers and risks to SIDS economies.

Description of Project Activities & Coherence with Larger AOSIS Strategy

A. Oceans and Blue Economy

That Small Island Developing States are often referred to as Large Ocean States underlines the centrality of the ocean to SIDS. An estimated 19.1% of the Exclusive Economic Zones and seas fall within the jurisdictions of SIDS, often outstripping the small land masses that SIDS populations inhabit. Characterised by small geographic territories and populations, narrow resource-base, strong relationship with the surrounding oceans and seas, and extreme vulnerabilities to environmental

threats, SIDS rely heavily on the marine environment for food security, livelihoods, jobs, cultural identity and, importantly, valuable ecosystem services. Unsustainable land- and marine-based practices - including plastic pollution - pose threats to the marine environment, affecting SIDS economies in a disproportionate manner.

Oceans Advisor – UN Mission (1.0 FTE)

The New York-based Oceans Advisor will be part of the AOSIS Oceans team (which includes the Lead Negotiator on Oceans, Legal Advisor, and Principal Adviser), and will focus on engagement in the following areas:

1. **Plastic Pollution Agreement:** Prepare the AOSIS membership for the negotiations including capacity building for AOSIS members, development of group positions, and negotiation of the instrument across the remaining 3 negotiation sessions and substantial intersessional work.
 - a. **Key deliverables:**
 - i. Concept notes for a Friends of Action Agenda group, and a Friends of Remediation group, including policy papers for both groups;
 - ii. Development of an AOSIS Zero Draft text document;
 - iii. Policy papers for AOSIS Coordination;
 - iv. Policy support to AOSIS thematic coordinators;
 - v. Draft speeches and interventions.
 - b. **Intended Outcomes:**
 - i. Timely analysis of negotiating documents before and during the negotiation sessions;
 - ii. Enable long-term stability in AOSIS Plastics negotiations across transition of the AOSIS chairmanship through development of AOSIS Plastics Coordinators; and,
 - iii. Technical and policy guidance provided to AOSIS members on key areas throughout the negotiation process, including during negotiation sessions and intersessional periods.
 - c. **Timeline:** Sept 2023-June 2024
2. **Sea-level Rise:** Continue the advocacy work for solutions to the legal issues caused by sea-level rise, including through engagement with the ITLOS and ICJ Advisory Opinions, the work of the International Law Commission, and with Sixth Committee at UN Headquarters.
 - a. **Key deliverables:**
 - i. Briefings to AOSIS members on progress of ITLOS and ICJ Advisory Opinions;
 - ii. Review, prepare report and provide briefing to AOSIS on new ILC Issues Paper; and
 - iii. Preparation of AOSIS strategy for bilateral engagement on baselines, and deployment of strategy.
 - b. **Intended Outcomes:**
 - i. Recognition of emerging customary rules on ambulation of baselines;

- ii. Recognition of permanence of SIDS maritime entitlements; and
 - iii. Political agreements to not challenge baselines in future.
- c. **Timeline:** Oct-Dec 2023
- 3. **The 4th International Conference on Small Island Developing States:** Undertake a dedicated stocktake on SIDS priorities for the ocean and blue economy to include in the Conference outcome document.
 - a. **Key deliverables:**
 - i. Stocktake of achievement of SAMOA Pathway oceans obligations; and
 - ii. Policy options for inclusion in outcome document
 - b. **Intended Outcomes:**
 - i. Comprehensive inclusion of SIDS oceans interests in outcome document; and
 - ii. Coherence between oceans obligations in outcome document and other oceans processes
 - c. **Timeline:** Oct 2023-May 2024

Oceans Advisor – Brussels Embassy (1.0 FTE)

The Brussels-based Oceans Advisor will be hired by AOSIS to support the Samoa Ambassador in Brussels primarily on preparatory work for Commonwealth Heads of Government Meeting (CHOGM), specifically, the comprehensive inclusion of oceans issues including the blue economy into the CHOGM outcome.

The Oceans Advisor will focus on engagement in the following area:

- 1. **Commonwealth Heads of Government Meeting:** prepare the AOSIS membership for the negotiations, including capacity building for AOSIS members, development of group positions and negotiation of the instrument across 4 negotiating sessions and significant intersessional work.
 - a. **Key deliverables:**
 - i. Concept note for CHOGM Theme;
 - ii. High level policy paper; draft Communique, liaising with other CHOGM contacts;
 - iii. Preparing meeting agenda, briefings and reports
 - b. **Intended Outcomes:**
 - i. Successful negotiation of CHOGM Communique;
 - ii. Comprehensive inclusion of oceans issues in CHOGM Communique, including specific language on sea level rise; and
 - iii. Ensure coherence of CHOGM Communique with other ongoing international processes.
 - c. **Timeline:** Oct-Oct - draft concept note & High Level Policy Paper; Oct-Dec - policy consultations; Jan - HL paper released; Apr - OWEG; May-Jun - ZD communique released

Coordination Meeting for Plastics INC

AOSIS' membership spans almost all time zones and so most coordination on negotiating positions is done virtually. However, for novel negotiating issues, it can be much more productive to have in-person coordination meetings. The Chair intends to hold coordination meetings in advance of each of the negotiating sessions (not all funded through this grant)

a. Key deliverables:

- i. Preparation of position papers as inputs to meeting;
- ii. Meeting successfully conducted; and
- iii. Preparation of meeting summary report.

b. Intended Outcomes:

- i. Facilitate the development of AOSIS positions ahead of the INC to increase effectiveness of AOSIS in the INC;
- ii. Build capacity and technical expertise; and
- iii. Address issues, challenges and matters of concern to the member states.

c. Timeline: Jan-Apr 2024

For ease of the membership, this would be planned as a 3-day workshop in New York for 1 funded participant from each AOSIS member state, along with an expert from each Mission.

B. Access to Finance and Resilient Development

Although SIDS have argued for a long time that there is insufficient funding to meet their development needs, and where it does exist, it is tightly wrapped in a cumbersome bureaucracy, little concrete action has been taken by the international community to firmly address both concerns. Recently, there seems to be a growing global concern, that SIDS are simultaneously on the frontline of the climate crisis and caught in a debt crisis, with little room to maneuver. There also seems to be a growing appetite to look critically at the way the international community responds to these multiple and layered threats to SIDS development, including by engaging more thoughtfully on vulnerability as a precursor to many of the SIDS challenges, as well as the foundation of the response mechanism. AOSIS has taken a frontal approach at building the consensus needed on how the range of actors in financing can engage and take meaningful action. The engagement thus far has been through the UN processes and systems, but this Chairmanship offers the opportunity for a more in-depth approach in the lead-up to SIDS 4. AOSIS will continue to engage wherever the conversations about access to finance, amplifying finance and more effective responses are held; the Alliance will continue to use these opportunities to bolster its messaging, and advocating for more concrete, SIDS-centred policy approaches

Jr. Sustainable Development Advisor – UN Mission (1.0 FTE)

The Sustainable Development Jr Advisor will be a member of the AOSIS Sustainable Development (SD) team, which has a staff complement of 2.5 FTE (including the lead negotiator, principal advisor and senior strategic advisor). The other members of the team are funded through other projects.

The Sustainable Development Advisor will focus on engagement in the following areas:

1. **UN General Assembly High-level meetings and Second Committee Resolutions:** given the importance of the High-level week for 78th UNGA and of the messaging and direction of annual General Assembly resolutions, specifically on finance and economic development, prepare the AOSIS positions for the negotiations, including research on new thought

processes in the thematic areas and issues that require concerted action by the Alliance, support to the development of group positions and assistance in covering some of the resolutions under negotiation.

- a. **Key deliverables:** AOSIS positions for the resolutions of interest to the Alliance; Briefing notes on key issues under consideration; technical support to the AOSIS Lead Negotiator; draft speeches and interventions.
 - b. **Intended Outcomes:**
 - i. Advanced AOSIS positions in the meetings for High-level week and in key areas under negotiations for SIDS, more comprehensive reflection in negotiating documents, for consistency and integration of ideas, and during the negotiations;
 - ii. Better AOSIS coordination and position development, more detailed and timely position development; and
 - iii. Critical areas advanced by the Alliance have a clear linkage to SIDS 4 .
 - c. **Timeline:** Oct 2023 - May 2024, key dates are 78th Session of UNGA and SIDS 4
2. **Preparations for SIDS 4:** support to the Alliance, through the SD team in the preparations for the Fourth International Conference, including at the Inter-regional meeting, negotiations of the Outcome Document in NY, and other preparations for SIDS 4.
- a. **Key deliverables:** Briefing notes on key issues under consideration; technical support to the SD team; Zero draft of the Inter-regional Outcome Document; Zero draft of the SIDS 4 Outcome Document; draft speeches and interventions.
 - b. **Intended Outcomes:**
 - i. Integrated approach at development planning and implementation based on a robust regional and inter-regional articulation of AOSIS vision for its next decadal development blueprint; and
 - ii. Improved focus on the critical areas for SIDS development by Alliance members and partners.
 - c. **Timeline:** Oct 2023 - May 2024, key dates are 78th Session of UNGA and SIDS 4

Apia Action Meeting

Despite almost reaching the end of the SAMOA Pathway, the main inhibiting factor across all SIDS remains the lack of sufficient means of implementation. Fiscal budgets are strained due to the ongoing global crises, and debt vulnerability has increased exponentially. At the same time systemic barriers, combined with the limited pool of available public funds, have further restricted mobilisation of resources to SIDS. Accessible, adequate, predictable and sustainable funding is urgently needed to overcome persistent and emerging challenges, and ensure equitable opportunities for sustainable development in SIDS.

- a. Building on the Placencia Forum in 2020 and the Wadadli Action Platform in 2022, the Apia Meeting in 2024 will bring together SIDS and development partners for serious dialogue on financing implementation in advance of the SIDS 4. It is intended to galvanise political actors during the negotiation of the SIDS 4 Outcome Document to ensure that the means of implementation are adequately considered in the document and to strengthen the delivery of finance.**Key deliverables:**
 - i. Execution of event;
 - ii. Briefing notes on key issues under consideration, summary report;

b. Intended Outcomes:

- i. Highlight gaps and secure enhanced commitments for implementation of priority areas for SIDS
- ii. Examine the current challenges and proposed solutions for SIDS in securing finance through international financial institutions
- iii. Enhance political engagement in advance of SIDS 4

c. Timeline: Oct 2023 - April 2024

Institutional Strengthening Report

While AOSIS's informal institutional structure has allowed it to expand its mandate and be rapidly responsive to new issues, the organisation has grown to a size where it would be prudent to continue means to formalise or institutionalise certain aspects of AOSIS operations. In particular, the biennial transition of the AOSIS Chair requires considerable energy to establish new funding arrangements and partnerships, transition institutional knowledge and deliver on the substantive mandates given

a. Key deliverables:

- i. Report on Institutional Options for AOSIS; and
- ii. Strategy for Consultations with Stakeholders.

b. Intended Outcomes:

- i. Increased stability of AOSIS Funding Arrangements;
- ii. Increased retention of staff;
- iii. Comprehensive approach to retention of institutional knowledge; and
- iv. Increased effectiveness of AOSIS.

c. Timeline: Oct-Dec 2023

Programme Administrator

The Programme Administrator, under the supervision of the Permanent Representative and the Legal Advisor, will have primary administrative responsibility for ensuring that expenditure by the AOSIS Chair is in conformity with budgeted parameters and that required reporting requirements to contributors and agencies are met in a proper and timely manner.

a. Key deliverables:

- i. Preparation of project budget and tracking of expenditures;
- ii. Preparation of quarterly reports to UNDP;
- iii. Management of AOSIS bank accounts; and
- iv. Completing of audit requirements.

b. Intended Outcomes:

- i. Effective management of AOSIS finances;
- ii. Increased stability of AOSIS Funding Arrangements;
- iii. Increased retention of staff; and

iv. Timely reporting to AOSIS funders.

c. **Timeline:** Oct 2023-Jun 2024

III. RESULTS AND PARTNERSHIPS

Expected Results

This project will develop and enhance the institutional capacity of the Chair of the Alliance of Small Island States (AOSIS) and its members to continue to engage effectively in the major sustainable development and oceans process within the UN System and in other multilateral for including CHOGM. The Chair will focus on the following issues: (1) Oceans and Blue Economy, including engaging on BBNJ, sea level rise and ocean plastic pollution; (2) Access to Finance and Resilient Development, including macroeconomic issues, the negotiation of the 4th SIDS Conference Outcome Document and synergies with the 2030 Sustainable Development Agenda.

Samoa, as Chair of AOSIS, will provide essential technical and negotiation support on oceans and sustainable development. The Permanent Mission of Samoa to the UN will employ two Oceans Advisors, a Junior Sustainable Development Advisor, organize an AOSIS coordination meeting in advance of the plastic pollution INC, organize a major workshop in Samoa to increase action before the 4th SIDS Conference, and engage an external expert to prepare a report on the institutional strengthening of AOSIS.

The project will bring an increased capacity to AOSIS in order to cover negotiation topics in the UNFCCC, SIDS 4 Conference, and other relevant international negotiations on sustainable development. This will allow AOSIS to be well represented and to effectively convene and coordinate their positions and negotiation strategies.

The results of this project will contribute to priority output 1.1.1 of the Strategic plan “*Capacities developed across the whole of government to integrate the 2030 Agenda, the Paris Agreement and other international agreements in development plans and budgets, and to analyse progress towards the SDGs, using innovative and data-driven solutions*” and contributes more specifically to Enabling Action 1.1.1.7 “*Establish UNDP as a key partner to advocate for and support countries to raise ambition, accelerate actions and mobilise society to meet the objectives of the Paris Agreement.*”

Resources Required to Achieve the Expected Results

The Government of the United Kingdom has already committed USD 522,500 to supporting the AOSIS chair through this project.

The project requires the regular engagement of the BPPS project manager with the Implementing Partner during the implementation phase. It will also require the BPPS manager to oversee the quality of Donor reports produced by the Implementing Partner.

Risks and Assumptions

It is deemed that there is low **physical risk** associated with the action. There is no major procurement of equipment or other materials which may be exposed to physical risk. Activities proposed and functions expected to be fulfilled by personnel associated with the action (ie. funded AOSIS staff positions) are in line with those activities expected in comparable professional international office environments. The normal physical risks associated with travel are likely the greatest physical/safety risks to personnel associated with this action. Travel in this activity will be restricted to locations which are deemed low security risk according to UNDP travel guidelines.

The main **political risk** associated with the action is the potential rotation of chairmanship of the Alliance of Small Island States (AOSIS) grouping during the action period (2023-2024). This is the main assumption associated with the implementation phase of the action. As of September 2023, this risk is deemed to be a low-likelihood and represents a medium-level of risk to the overall action.

Samoa took up the Chair of AOSIS and is expected to retain the post until at least end 2024. Recent experience with the rotation of the AOSIS Chair at the end of December 2022 (from the Republic of Antigua and Barbuda) provides recent examples of a transition of AOSIS leadership where there was a successful continuity of programmatic support to AOSIS managed via UNDP. During the aforementioned transition period in 2022, support provided to AOSIS via UNDP by the Government of Norway was transitioned to the incoming Chair through consultations with the relevant stakeholders. Related project experience and institutional memory has also been observed to be building up within the current cohort of AOSIS advisors associated with the project.

Environmental risks to this action are deemed to be low-likelihood, low-risk. The main environmental risks associated with this action are the possibility of environmental related disruptions to travel associated with activities related to the action. The primary means of mitigating these risks will be to situate, in time and place, the meetings associated with this action in locations which consider environmental factors (i.e., avoiding hurricane/cyclone prone locations and seasons for AOSIS meetings).

It is deemed that the **social risks** to this action are low. A potential source of social/cultural risk associated with the action could be cultural acclimatization challenges for any new AOSIS staff members to re-locate to New York City as part of this action. The Chair of AOSIS will address this potential source of risk to the program through training and the provision of a suitable working environment. The budget set out for the action will ensure that sufficient means are available to accommodate living standards commensurate with the post.

Economic risks associated with this action include the potential need for budget revisions as a result of changing prices and assumptions relating to project costs. This risk is assessed to be medium likelihood with a potential medium level of risk for the overall project. Measures to be taken to mitigate this risk include regular and robust monitoring of project expenses and frequent consultation between UNDP and AOSIS Chair regarding planned project expenses and activities. It is noted that donors do not generally cover costs relating to exchange rate losses and therefore any such losses would have to be covered by adjustments to the program budget. A specific economic risk relates to travel and potential volatility in airline ticket prices. These risks will be mitigated by making travel arrangements associated with the program activities as early as possible to reduce ticket prices at the time of purchase.

This risk analysis will be regularly updated by UNDP, in consultation with AOSIS Chair, through ongoing monitoring and review of the internal and external environment that may affect the project implementation.

Stakeholder Engagement

The main target group is the Alliance of Small Island States, consisting of 39 member states² across three regions (African, Indian, and South China Seas, the Caribbean, and the Pacific) as well as 5 observer states³. Through providing technical support to the current AOSIS Chair, all member states benefit from the increased capacity of the former to lead and further the agenda and interests of the AOSIS group.

² Cabo Verde, Comoros, Guinea-Bissau, Maldives, Mauritius, Sao Tome and Principe, Seychelles, Singapore, Antigua and Barbuda, Bahamas, Barbados, Belize, Cuba, Dominica, Dominican Republic, Grenada, Guyana, Haiti, Jamaica, St Kitts and Nevis, St Lucia, St Vincent and the Grenadines, Suriname, Trinidad and Tobago, Cook islands, Fiji, Kiribati, Marshall Islands, Micronesia, Nauru, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Timor-Leste, Tonga, Tuvalu, Vanuatu.

³ American Samoa, Guam, Netherland Antilles, Puerto Rico, US Virgin Islands

Sustainability and Scaling Up

There are no major financial sustainability requirements of this program post-action, due to the fact that there are no maintenance costs as a result of the action being human resource/policy focused instead of equipment/technology focused. Should there be a rotation of the Chair of AOSIS following this project, the incoming Chair of AOSIS would be responsible for assessing their resource mobilization needs, including staffing requirements.

Actions to ensure institutional sustainability from the program will include the identification of potential opportunities for building on the capacity development activities undertaken during the action as part of the final assessment report from the action.

Policy level sustainability issues will be the responsibility of the AOSIS Chair in consultation with the AOSIS membership. Where decisions are taken at AOSIS meetings (especially, Leaders and Ministerial level meetings) the AOSIS Chair will work with the membership so that the results/outcomes are disseminated and taken up by the group. The AOSIS Chair has the responsibility for maintaining institutional memory during periods of rotation of the leadership of the group.

IV. PROJECT MANAGEMENT

Cost Efficiency and Effectiveness

The project aim is to build the capacity of the implementing partner through i) the recruitment of staff and ii) financially support coordination meetings, as well as travel and per diem costs of AOSIS Chair representatives, staff, and experts as needed to participate in global negotiations.

- i) The implementing partner will recruit the most competent applicants, who will be remunerated in accordance with the living standards of New York City, where they will be based. The budget set out for the action will ensure that sufficient means are available to accommodate living standards commensurate with the post.
- ii) Regarding travel costs and coordination expenses, cost effectiveness will be ensured through regular and robust monitoring of project expenses coupled with frequent consultation between UNDP and AOSIS Chair regarding planned project expenses and activities. Travel cost will be cost effective by making travel arrangements associated with the program activities as early as possible to reduce ticket prices at the time of purchase. Per Diem costs will in accordance with United Nations rules set by the International Civil Service Commission.

Project Management

The AOSIS UNFCCC Support Program will be implemented by the Permanent Mission of Samoa to the United Nations under the National Implementation Modality (NIM). UNDP BPPS Inclusive Growth team (NY) team will maintain constant communication to support the Permanent Mission, it will provide quality assurance on donor reporting, as well as advice and guide on policy and advocacy issues to ensure successful implementation and effective representation. Operational and financial oversight will be provided by operational support of BPPS (NY).

V. RESULTS FRAMEWORK

Intended Outcome as stated in the UNDP Strategic Plan Results and Resource Framework: SP Outcome 1							
Output indicators as stated in the UNDP Strategic Plan Results and Resources Framework, including baseline and targets: 1.1.1. <i>Number of countries that have development plans and budgets that integrate intergovernmentally-agreed frameworks across the whole-of-government:</i> a) Paris Agreement; b) Samoa Pathway Baseline: To be confirmed							
Applicable Output(s) from the UNDP Strategic Plan: 1.1 “Capacities developed across the whole of government to integrate the 2030 Agenda, the Paris Agreement and other international agreements in development plans and budgets, and to analyse progress towards the SDGs, using innovative and data-driven solutions”							
Project title and Atlas Project Number: 00084866 - Alliance of Small Island States (AOSIS) United Nations Framework Convention on Climate Change (UNFCCC) Support Program							
EXPECTED OUTPUTS	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)		DATA COLLECTION METHODS & RISKS
			Value	Year	Year 2023	Year 2024	
Output 1: Technical Assistance on Oceans and Blue Economy provided	1.1 Strengthened capacity of AOSIS delegation to participate in and cover negotiation topics in the UNFCCC process, draft statements and advocate for SIDS agenda	Measured by recruitment of technical staff and negotiators, and organizing negotiations	Pre-project technical support available to the Members and Chair of AOSIS via Permanent Mission of Samoa to the UN	2022	3 staff members recruited	3 staff members contracts renewed	Staff contracts signed, staff performance

	1.2 effective AOSIS delegation management, presence and participation at UN System and international negotiations, including plastic pollution negotiations	Measured by number of statements and interventions during negotiations	Pre-project statements and interventions in previous COPs and relevant negotiations		<p><i>At least 5 statements, speeches of the AOSIS delegation and negotiating documents on the following:</i></p> <ul style="list-style-type: none"> - plastic pollution agreement (concept notes for Friends of Action Agenda, AOSIS zero draft document) - Sea-level rise (briefings on progress of ITLOS and ICJ Advisory Opinions, AOSIS strategy for bilateral engagement on baselines); - SIDS 4 (stocktake of achievement of SAMOA pathway oceans obligations); - Commonwealth Heads of Government meeting (Concept note for CHOGM Theme; high level policy paper) - meetings on plastic INC (papers to position AOSIS in the INC) 	<p><i>At least 5 statements, speeches of the AOSIS delegation and negotiating documents on the following:</i></p> <ul style="list-style-type: none"> - plastic pollution agreement (concept notes for Friends of Action Agenda, AOSIS zero draft document) - Sea-level rise (briefings on progress of ITLOS and ICJ Advisory Opinions, AOSIS strategy for bilateral engagement on baselines); - SIDS 4 (stocktake of achievement of SAMOA pathway oceans obligations); - Commonwealth Heads of Government meeting (Concept note for CHOGM Theme; high level policy paper) 	<p><i>Statements, speeches and interventions at COPs and other relevant negotiations gathered from official UN system websites of negotiation meetings and other relevant platforms</i></p>
Output 2 Awareness in favour of greater access to Finance and	2.1 Organisation of, and participation rate in high-level meetings, including those hosted by AOSIS	Meeting minutes and lists of participants	Pre-project levels of AOSIS engagement in UNFCCC and other relevant activities		<i>At least 10 AOSIS coordinators video conferences and/or strategy workshops</i>	<i>At least 10 AOSIS coordinators video conferences and/or strategy workshops</i>	<i>Minutes provided by AOSIS chair</i>

Resilient Development for SIDS increased	2.2 Qualitative assessments of the outcomes of high-level meetings (including Apia Action meeting and preparatory meetings for SIDS 4 Conference) with respect to the impact of joint-negotiation positions derived and areas for further collaboration between like-minded groups in the negotiations.	Meeting reports, joint statements and policy statements			<i>At least 3 coordinator's meeting reports. at least 3 joint statements from AOSIS and partners. at least 3 policy analysis statements from AOSIS</i>	<i>At least 3 coordinator's meeting reports. at least 3 joint statements from AOSIS and partners. at least 3 policy analysis statements from AOSIS</i>	<i>Meeting reports, joint statements and policy statements provided by AOSIS chair</i>
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VI. MONITORING AND EVALUATION

Program Quality and Project Assurance functions including monitoring and evaluation will be completed by UNDP BPPS in regular consultation with the current Chair of AOSIS. The project will be monitored through the following:

Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	Quality assessment comprising of a consultation with the AOSIS Chair shall record progress towards the completion of key results, based on expected outputs. Key management actions/events will be recorded and tracked throughout the action.	Quarterly	Slower than expected progress will be addressed by project management.		
Monitor and Manage Risk	An Issue Log shall be recorded and updated to facilitate tracking and resolution of potential problems or requests for change during the action period.	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.		
Learn	A project Lesson-learned log shall be recorded and regularly updated to ensure on-going learning and adaptation within the organization, and to facilitate the preparation of the Lessons-learned Report as part of the final report at the end of the action.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.		
Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.		
Project Report	An Annual Review Report and Annual Work Plan shall be prepared by the implementing partner with the support of a Programme	Annually, and at the end of the			

	Officer (UNDP BPPS) and presented to the Donor. The report shall be conducted during the fourth quarter of the year or soon after, to assess the performance of the project. In the last year, the Annual Review will be a final assessment. This review is driven by the Implanting Partner and may involve other stakeholders as required. It shall focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes.	project (final report)			
Project Review (Project Board)	The project is governed by a board equivalent involving weekly communication between BPPS (Project Manager) and the Implementing Partner, in addition to annual consultations with project Donors. These consultations will be documented through approved meeting minutes.	Annually	Any quality concerns or slower than expected progress should be discussed between the IP and BPPS and management actions agreed to address the issues identified.		

VII. MULTI-YEAR WORK PLAN ⁴⁵

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Responsible Party	Funding Source	Budget Description	Budget Amount (USD)				
					Total Amount	23 Q4	24 Q1	24 Q2	24 Q3
Activity 1a: Technical Assistance on Oceans	Provide strategic advice, monitoring and reporting on relevant processes and negotiations for the Group, and drafting statements and position papers. Provide any other related support and services, if appropriate, to the AOSIS Chair and Brussels Ambassador, such as including and organizing meetings, drafting communications, and the planning and execution of other relevant events.	Permanent Mission of Samoa	UK	71800 Contractual Svcs-indiv Imp Ptnr;					
				<i>Oceans Advisor - UN (1.0 FTE)</i>	97,500	24,375	24,375	24,375	24,375
				<i>Oceans Advisor - CHOGM (1.0 FTE)</i>	97,500	24,375	24,375	24,375	24,375
				<i>Programme Administrator (Cost-sharing)</i>	28,000	5,225	4,925	12,925	4,925
				72505 Stationary	800	200	200	200	200
				72805 Acquis of Computer Hardware	3,000	3,000			
				72810 Acquis of Computer Software	800	200	200	200	200
				74510 Bank Fees	400	100	100	100	100
				Activity Sub-Total	228,000	57,475	54,175	62,175	54,175

⁴ Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

⁵ Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

Activity 1b: Plastic Negotiation Coordination Activities	Conduct coordination meeting and fund participation in same			75705 Learning costs	5,000			5,000	
				75706 Learning - ticket costs	35,000			35,000	
				75707 Learning – subsistence allowan	40,000			40,000	
				Activity Sub-Total	80,000	-	-	80,000	-
Activity 1 (Oceans & Blue Economy) Total					308,000	57,475	54,175	142,175	54,175
Activity 2a: Technical Support on Sustainable Development	Provide strategic advice, monitoring and reporting on relevant processes and negotiations for the Group, and drafting statements and position papers. Provide an any other related support and services such as organizing meetings, drafting communications, and the planning and execution of other relevant events.	Permanent Mission of Samoa	UK	71800 Contractual Svcs-indiv Imp Ptnr;					
				Jr. SD Advisor (1.0 FTE)	97,500	24,375	24,375	24,375	24,375
				Programme Administrator (Cost-sharing)	19,500	3,613	6,463	6,963	2,463
				72405 Acquis of Comm Equip	1,500	1,500			
				72505 Stationary	400	100	100	100	100
				72810 Acquis of Computer Software	400	100	100	100	100
				74510 Bank Fees	200	50	50	50	50
				Activity Sub-Total	119,500	29,738	31,088	31,588	27,088
Activity 2b: Apia Action Meeting	Organize Apia Action Meeting and fund participation in same	Permanent Mission of Samoa	UK	75705 Learning costs	10,000			10,000	
				75706 Learning - ticket costs	40,000		40,000		
				75707 Learning – subsistence allowan	35,000			35,000	

				Activity Sub-Total	85,000	-	40,000	45,000	-
Activity 2c: Institutional Strengthening	AOSIS Institutional Strengthening	Permanent Mission of Samoa	UK	71210 Intl Consultants-Sht Term-Tech	10,000	10,000			
				Activity Sub-Total	10,000	10,000	-	-	-
Activity 2 (Access to Finance and Resilient Development) Total					214,500	39,738	71,088	76,588	27,088
Assurance Activities (UNDP)					10,000		5,000		5,000
Total Programmable					532,500	97,213	130,263	218,762	86,263
GMS (8%)					42,600				
Total					575,100				
Coordination Levy (1%)					5,751				
GRAND TOTAL					580,851				

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The AOSIS UNFCCC Support Program will be implemented by the Permanent Mission of Samoa to the United Nations under the National Implementation Modality (NIM).

The project is not governed by a conventional board, but rather, a board equivalent involving weekly communication between BPPS (Project Manager) and the Implementing Partner, in addition to annual consultations with project Donors. These consultations will be documented through approved meeting minutes.

The role of the BPPS Project Manager will consist of operational oversight and capacity building, quality assurance of reports and knowledge products and donor reporting.

The implementing partner maintains autonomy considering the nature of the project due to the proposed actions which require substantive involvement of internal political and decision-making processes within the AOSIS grouping of countries.

The beneficiaries of this project are the member states coalition making up the AOSIS group, represented by the IP in its role as chair of the Alliance.

AOSIS functions primarily as an ad hoc lobby and negotiating voice for SIDS through the United Nations (UN) system. It coordinates its decisions through three bodies: The Working group, the Plenary and the Bureau.

The AOSIS working group consist of lead AOSIS negotiators and relevant technical experts from the missions of the AOSIS Member States, identified from each mission according to the thematic areas of Climate Change, Sustainable Development and Oceans. This group discusses substantive issues and for matters requiring further political guidance, they refer to the plenary.

The AOSIS plenary is the main decision-making body, where the Chair updates Member states on ongoing work and seeks their guidance, as well as a space for member states to bring forth any issue of importance to the group. The agenda of the plenary is coordinated by the bureau.

The AOSIS Bureau consists of ambassadorial representatives of each of the SIDS regions – PSIDS, AIS and Caribbean constituencies – and coordinates plenary agenda, and acts as a facultative mechanism for consultations with regional grouping in lieu of plenary meetings and as an advisory board to the Chair for particular contentious issues as well as urgent matters that do not allow time for the plenary to convene.

Newly appointed as AOSIS Chair in 2020, the Antigua & Barbuda Mission is anticipated to hold the AOSIS Chair throughout the duration of the planned project duration. While unexpected, should the Chair of AOSIS rotate during this period UNDP will consult AOSIS and its incoming Chair to ensure a smooth transition in the action to support AOSIS.

Any challenges that arise during the implementation reported and any suggested changes to the agreed strategy and work plan suggested by the implementing partner will be discussed with the BPPS project manager and with the Donors. Any changes must be approved by all parties.

IX. LEGAL CONTEXT

This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the “Project Document” instrument referred to in: (i) the respective signed SBAA’s for the specific countries; or (ii) in the [Supplemental Provisions to the Project Document](#) attached to the Project Document in cases where the recipient country has not signed an SBAA with UNDP, attached hereto and forming an integral part hereof. All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by the Permanent Mission of Samoa to the United Nations (“Implementing Partner”) in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

X. RISK MANAGEMENT

Government Entity (NIM)

1. Consistent with the Article III of the SBAA, the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP’s property in the Implementing Partner’s custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:
 - a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
 - b) assume all risks and liabilities related to the Implementing Partner’s security, and the full implementation of the security plan.
2. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner’s obligations under this Project Document.
3. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml.
4. The Implementing Partner acknowledges and agrees that UNDP will not tolerate sexual harassment and sexual exploitation and abuse of anyone by the Implementing Partner, and each of its responsible parties, their respective sub-recipients and other entities involved in Project implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Document.

(a) In the implementation of the activities under this Project Document, the Implementing Partner, and each of its sub-parties referred to above, shall comply with the standards of conduct set forth in the Secretary General’s Bulletin ST/SGB/2003/13 of 9 October 2003, concerning “Special measures for protection from sexual exploitation and sexual abuse” (“SEA”).

(b) Moreover, and without limitation to the application of other regulations, rules, policies and procedures bearing upon the performance of the activities under this Project Document, in the implementation of activities, the Implementing Partner, and each of its sub-parties referred to above, shall not engage in any form of sexual harassment (“SH”). SH is defined as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment.

5. a) In the performance of the activities under this Project Document, the Implementing Partner shall (with respect to its own activities), and shall require from its sub-parties referred to in paragraph 4 (with respect to their activities) that they, have minimum standards and procedures in place, or a plan to develop and/or improve such standards and procedures in order to be able to take effective preventive and investigative action. These should include: policies on sexual harassment and sexual exploitation and abuse; policies on whistleblowing/protection against retaliation; and complaints, disciplinary and investigative mechanisms. In line with this, the Implementing Partner will and will require that such sub-parties will take all appropriate measures to:
 - i. Prevent its employees, agents or any other persons engaged to perform any services under this Project Document, from engaging in SH or SEA;
 - ii. Offer employees and associated personnel training on prevention and response to SH and SEA, where the Implementing Partner and its sub-parties referred to in paragraph 4 have not put in place its own training regarding the prevention of SH and SEA, the Implementing Partner and its sub-parties may use the training material available at UNDP;
 - iii. Report and monitor allegations of SH and SEA of which the Implementing Partner and its sub-parties referred to in paragraph 4 have been informed or have otherwise become aware, and status thereof;
 - iv. Refer victims/survivors of SH and SEA to safe and confidential victim assistance; and
 - v. Promptly and confidentially record and investigate any allegations credible enough to warrant an investigation of SH or SEA. The Implementing Partner shall advise UNDP of any such allegations received and investigations being conducted by itself or any of its sub-parties referred to in paragraph 4 with respect to their activities under the Project Document, and shall keep UNDP informed during the investigation by it or any of such sub-parties, to the extent that such notification (i) does not jeopardize the conduct of the investigation, including but not limited to the safety or security of persons, and/or (ii) is not in contravention of any laws applicable to it. Following the investigation, the Implementing Partner shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.
- b) The Implementing Partner shall establish that it has complied with the foregoing, to the satisfaction of UNDP, when requested by UNDP or any party acting on its behalf to provide such confirmation. Failure of the Implementing Partner, and each of its sub-parties referred to in paragraph 4, to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.
6. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
7. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
8. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
9. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using UNDP funds. The Implementing Partner will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
10. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner agrees

to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.

11. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes in accordance with UNDP's regulations, rules, policies and procedures. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', responsible parties', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with the Implementing Partner to find a solution.
12. The signatories to this Project Document will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

13. UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail the Implementing Partner's obligations under this Project Document.

Where such funds have not been refunded to UNDP, the Implementing Partner agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to the Implementing Partner for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

14. Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.
15. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
16. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled "Risk Management Standard Clauses" are included, *mutatis mutandis*, in all sub-contracts or sub-agreements entered into further to this Project Document.

XI. ANNEXES

ANNEX 1: RISK ANALYSIS



Project Title: Alliance of Small Island States (AOSIS) United Nations Framework Convention on Climate Change (UNFCCC) Support Program	Award ID: 00084866	Date: 09/2023
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#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
1	Potential rotation of chairmanship of the Alliance of Small Island States (AOSIS) grouping during the action period (2021-2022).	12/2020	Political	<p>This is the main assumption associated with the implementation phase of the action. As of March 2021, this risk is deemed to be a low-likelihood and represents a medium-level of risk to the overall action. The Republic of the Antigua and Barbuda took up the Chair of AOSIS and is expected to retain the post until at least end 2023.</p> <p>P = 1 I = 2</p>	<p>Recent experience with the rotation of the AOSIS Chair provides recent examples of a transition of AOSIS leadership where there was a successful continuity of programmatic support to AOSIS managed via UNDP.</p> <p>Related project experience and institutional memory has also been observed to be building up within the current cohort of AOSIS advisors associated with the project.</p>	<p>BPPS Project Manager</p> <p>AOSIS Chair</p>	<i>BPPS Project Manager</i>		
2	The possibility of environmental related disruptions to travel associated with coordination and negotiation activities.	12/2020	Environmental	<p>This is deemed to be low-likelihood, low-risk. The main environmental risks associated with this action are the possibility of environmental related disruptions to travel associated with coordination and negotiation activities</p> <p>P = 1 I = 1</p>	<p>The primary means of mitigating these risks will be to situate, in time and place, the meetings associated with this action in locations which consider environmental factors (i.e., avoiding hurricane/cyclone prone locations and seasons for AOSIS meetings).</p>	AOSIS Chair	BPPS Project Manager		

3	Cultural acclimatization challenges for any new AOSIS staff members to re-locate to New York City	12/2020	Other	<p>It is deemed that the social risks to this action are low.</p> <p>P = 1 I = 1</p>	The Chair of AOSIS will address this potential source of risk to the program through training and the provision of a suitable working environment. The budget set out for the action will ensure that sufficient means are available to accommodate living standards commensurate with the post.	AOSIS Chair	BPPS Project Manager		
4	The potential need for budget revisions as a result of changing prices and assumptions relating to project costs and travel costs.	12/2020	Financial	<p>This risk is assessed to be medium likelihood with a potential medium level of risk for the overall project. A specific economic risk relates to travel and potential volatility in airline ticket prices.</p> <p>P = 3 I = 3</p>	Measures to be taken to mitigate this risk include regular and robust monitoring of project expenses and frequent consultation between UNDP and AOSIS Chair regarding planned project expenses and activities. It is noted that donors do not generally cover costs relating to exchange rate losses and therefore any such losses would have to be covered by adjustments to the program budget. Travel cost-associated risks will be mitigated by making travel arrangements associated with the program activities as early as possible to reduce ticket prices at the time of purchase.	<p>BPPS Project Manager</p> <p>AOSIS Chair</p>	BPPS Project Manager		

ANNEX 2: FORECASTED DISBURSEMENT SCHEDULE:

Description of Inputs:

Description	Amount (USD)
Activity #1 – Oceans & Blue Economy	\$308,000
Activity #2 – Access to Finance & Resilient Development	\$214,500
Total	\$522,500

Date of Transfers from UNDP to the Permanent Mission of Samoa:

1 October 2023	\$222,475
1 January 2024	\$218,762
1 April 2024	\$81,263
Total	\$522,500

