PROJECT DOCUMENT
Fiji, Palau, Vanuatu

Project Title: The Project for Strengthening Border Control Capacity for the COVID-19 Crisis
Project Number: Project Number 00134671
Implementing Partner: United Nations Development Programme Fiji Office
Start Date: November 2021   **End Date:** November 2024   **PAC Meeting date:**

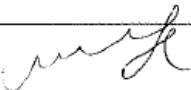| Brief Description |
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| The World Health Organisation (WHO) declared a COVID-19 pandemic on March 11, 2020. More than 18 months later, the world is slowly accepting that the COVID-19 virus will be endemic – meaning that the virus will be permanently circulating. With regional vaccination rates climbing, considerations around travel corridors and risk-management to enable cross-border movements within the region have resumed and countries are now considering options for easing border restrictions to restore related social and economic benefits and supply-chain security which have been severely affected.

 Often small border agencies have been tasked with managing COVID-19 and related policies at the border. Budgetary, infrastructure and capability constraints have limited the ability to respond, develop policies and procedures, and to adopt and implement regional and international arrangements and standards which streamline processes, identify and manage risk, and maximise the health and safety of agency staff, travellers, and the public.

 UNDP proposes, with the assistance of key partners IOM and UNCTAD, to deliver capability and support over the 3-year span of this project to participating border management agencies, along with key airport and port authorities, assisting them to adopt and implement the practices and standards, and acquire the systems, equipment and infrastructure and capacity to effectively implement COVID-19 public health protocols.

 Measures to support standards-based health documentation and paperless border management documentation for travellers and cargo will be supported, further strengthening the drive among participating countries for the expansion of e-Government services and the access and equity this facilitates.

 Regional collaboration and knowledge sharing among and between participating border agencies will be facilitated to encourage the adoption of regional across-border standards, agreements and governance mechanisms to reduce red-tape and maximise the benefits of cross-border trade and travel whilst managing risk and addressing community concern around border management and the transmission of COVID-19. |

Contributing Outcomes: **UNDP Signature solution 2:** Strengthen effective, inclusive and accountable governance **Signature solution 3**: Enhance national prevention and recovery capacities for resilient societies. **SRPD Outcome 3 -** Sustainable and Inclusive Economic Empowerment **SRPD - Outcome 5 –** Effective Governance for Service Delivery **Indicative Outcome:** Border Agencies have the systems, infrastructure and capacity to effectively implement public health protocols while maintaining border services and otherwise supporting implementation of COVID-19 measures	**Total resources required:**	USD 4,238,306	
	Total resources allocated:		
		UNDP TRAC:	
		Donor: Japan	USD 4,238,306
		Government:	
		In-Kind:	
	Unfunded:		

Agreed by: UNDP-Regional Project with governments endorsements

UNDP
Signature:
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Date: 26 August 2021

Contents

I.   DEVELOPMENT CHALLENGE

The World Health Organisation (WHO) declared a COVID-19 pandemic on March 11, 2020. More than 18 months later, the world is slowly accepting that the COVID-19 virus will be endemic – meaning that the virus will be permanently circulating. This has resulted in recent discussions as to how governments globally adjust their public health measures to manage the virus, as compared to pursuing policies of suppression or elimination.[1]

To contain COVID 19, a number of measures were introduced by Pacific Governments ranging from broader closures, lockdowns, travel restrictions along with other national policy and fiscal measures to address the socio-economic impacts of the COVID-19 response. While the impacts of COVID 19 in the Pacific have not been through direct health effects[2] , the impacts instead have been caused by measures put in place to mitigate (health effects of) COVID-19 and through impacts on the economies of major trade partners. Generally, the main pathways of impact[3] experienced by the Pacific from the COVID-19 pandemic have been:

1. Border closures, which have affected tourism industry-related activities in particular.
2. Shift in demand for commodity exports;
3. Supply chain disruptions and
4. Disruptions to remittances, especially where lockdowns and restrictions have affected employment in countries where migrants are located.

While the Pacific Island Countries and Territories (PICTs)4 have overall been praised for their efforts to supress the spread of the COVID-19 virus within their jurisdictions[5] there is also clear evidence that the economic impact of such measures will have a long-term impact on government revenue, economic growth, businesses, jobs, employment and income, all of which have had a severe social and political impact.

COVID 19 and its impact on Tourism in the Pacific Islands
Tourism is a key pillar of economic development for many Pacific Island Countries and Territories. In 2018, 3.16 million tourists arrived in the Pacific islands, of which 2.14 million arrived by air (a 1.6 per cent increase from 2017) and 1.02 million by sea (predominantly on cruise ships). Across the region, US$3.8 billion or 11.1 per cent of Gross Domestic Product and more than 130,000 jobs were generated by the tourism sector. These figures firmly place the sector as a core economic activity and creator of employment for the region.

This tourism activity is however not evenly distributed across the region—Fiji (33.1 per cent) and New Caledonia (18.1 per cent) account for more than 50 per cent of all (air and sea) visitor arrivals. Other major destinations, all accounting for at least 5 per cent of air arrivals include Vanuatu (5.4 per cent) and Palau (5.0 per cent) and others.[6] In terms of economic activity, Palau and Fiji are the most affected. For Fiji and Palau, nearly 40 per cent of GDP was generated through tourism pre the onset of the pandemic. Compounding these issues is the financial difficulty faced by national airlines. Despite large investments made in new aircraft, fuelled by pre-pandemic growth projections for visitor arrivals, national airlines throughout the Pacific are now financially vulnerable as many planes

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[1] See: https://theconversation.com/COVID-19-will-probably-become-endemic-heres-what-that-means-146435 & https://www.ctvnews.ca/health/coronavirus/what-if-the-novel-coronavirus-can-never-be-eradicated-1.5305285
[2] So far there have been a very limited number of cases of COVID-19 recorded in Vanuatu and Solomon Islands at quarantine facilities. Fiji has had community transmission. Other Pacific Countries have remained COVID 19 free.
[3] Rapid Policy Appraisal Assessments undertaken by UNDP for 10 Pacific Island Countries: Internal Document.
[4] The term does not include Australia and New Zealand
[5] https://www.dlprog.org/opinions/pacific-islands-leadership-responses-and-lessons-from-the-COVID-19-pandemic
[6] PTO, Regional tourism sector achieves 3.16 million visitor arrivals in 2018, https://corporate.southpacificislands.travel/regional-tourism-sector-achieves-3-16-million-visitor-arrivals-2018/

remain on the ground. In May 2020, Fiji Airways, the national carrier for Fiji terminated contracts for 758 employees.

COVID 19 and its impact on maritime connectivity in the Pacific

For the Pacific, shipping represents the doorway to the global economy and for some, shipping is a lifeline linking local communities to regional and global markets and sustaining local social and economic development. The Pacific already struggles from low level of maritime connectivity and the COVID 19 pandemic further amplified the instability of shipping services in the Pacific due to strict quarantine procedures and other COVID 19 measures in place[7]. The shipping services in the Pacific plays a key role in the global supply chain, transporting all goods, quarantine supplies, daily necessities and industrial products. In addition, based on 2018 tourism data by SPTO, 1.02 million tourists arrived by sea predominantly through cruise liners and others arrived by other passenger ships, leisure boats and yachts. The measures in place to restrict travel brought maritime tourism to a halt in the pacific.

COVID-19 and gender-based impacts

IOM reports that the COVID-19 outbreak has affected women, men, transgender people, people with diverse gender and identity expression, and children differently. Early data indicates higher mortality rates for men, for example, while social and economic consequences may be more severe for women and girls. Women health care workers and support staff are at the frontline in the case of an outbreak, as health care professionals but also cleaners and carers. In the Pacific, overloaded and under resourced health systems will increase the dangers for health care workers if they are exposed to the disease. Given the widespread social consequences of infectious disease, the COVID-19 pandemic has significantly exacerbated pre-existing gender inequalities and stigmas alongside new areas of concern.

The underrepresentation of gender-based needs in border control processes, health care services, public and political decision-making processes, and crisis response serves as an example of the uneven impact of COVID-19. Instances of domestic violence appear to be increasing drastically during periods of national lockdown, while movement restrictions and redistribution of resources to prioritize treatment and responses to COVID-19 further limit access to protection and medical services, including sexual and rep0
roductive health, as well as economic autonomy.[8]

Border Agencies and Border Management Measures

At air and seaports of entry a number of measures were put in place by Border Agencies in response to COVID 19, including: quarantine of travellers for 14 days, compulsory health certificates and proof of COVID 19 tests prior to departures, additional safety measures for seafarers and cabin crew who have travelled from affected countries, prohibitions affecting changes of sea and air crew, strict quarantine measures for sea and air crew where disembarkation is allowed, and opening of exclusive counters and green lanes to ensure fast clearances in the ports for imported supplies.

Face to face and paper-based business processes have been challenged by the pandemic and associated health risks. Pre-travel COVID testing and other related health clearances have, until now, been mainly manual, email-based processes, with clearances often considered and granted on an

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[7] Covid-19 and its Impact on Shipping and Port Sector in Asia and the Pacific:
https://www.unescap.org/sites/default/d8files/knowledge-products/ShippingPoliyBrief-16Oct2020-FINAL.pdf
[8] This section is closely adapted from IOMs **Standard Operating Procedures (SOP) for Front-line Border Officials at the Point of Entry (PoE) in Response to COVID-19 Outbreak**, January 2021, pages 25 & 26, "Mainstreaming gender in COVID-19 responses at points of entry". The IOM document also references UN Women on "COVID-19 and ending violence against women and girls" at https://www.unwomen.org/en/digital-library/publications/2020/04/issue-brief-covid-19-and-ending-violence-against-women-and-girls

individual basis. These processes are unlikely to suit any increase in traveller numbers with border re-opening.

Experience elsewhere indicating that cargo and document handling can facilitate virus transmission across borders and this has resulted in Governments in the Pacific exploring digital services to minimise logistics disruptions, streamline business processes and improve communication with other stakeholders. Development and implementation in this area has, however, been constrained by budgetary, infrastructure, and capability hurdles.

Quarantine rules imposed in most Pacific Countries and Territories and the decline in demand for export from Pacific Countries has led to instability in Pacific shipping routes and a decrease in port calls.[9] Moreover, temporary suspension of some shipping services has affected imports of essential goods such as energy, medical products and food as well as export cargo of raw materials. In Fiji, the total lockdown of Lautoka for more than two weeks, a key transhipment port, affected cargo destined for other pacific Islands. This resulted in one island nation not receiving a ship call for a period of almost 3 months causing shortages in the supply of goods[10]. The introduction of these measures in some instances has also led to delays on customs and port clearances.

Immigration officials have found themselves directly involved in the reception and coordination of pre-travel health clearances, collection of paperwork relevant to contact-tracing, and along with Customs and Biosecurity officials, have also had to manage their traditional mandates including checks of identity and intent of traveller along with their documents at the border, exposing them to risk and imposing new health and safety procedures. Quarantine of travellers has also brought logistical and public health challenges, both in terms of establishing and maintaining the facilities, but also in safely managing the interface between airports and ports, and places of quarantine.

Issues for consideration in the Opening of Borders

As the economic and social impacts of the COVID-19 pandemic have become more acute, and as vaccines are being delivered, governments in the Pacific have been considering options for reopening their borders. As debt levels grow in the region, there are significant pressures to reopen borders quickly particularly for countries with a greater reliance on tourism and whereby governments have provided significant financial support for tourism businesses.

A paper developed by the Word Bank[11] suggests that a phased approach to the opening of Borders would be beneficial for the Pacific. Three distinct phases have specifically been defined: Phase 1. Establishing international travel for cohorts of specific types of travellers; Phase 2. COVID-19 safe travel corridors; Phase 3. A 'new normal' – which could involve some combination of: (i) widely available vaccine(s) or treatment; (ii) accurate, rapid diagnostic and antibody testing; and (iii) fit-for-purpose tracing and health-surveillance capacity.

With regional vaccination rates climbing, discussions around travel corridors to enable cross-border movements within the region have resumed and countries are now considering options for easing travel restrictions. Australia and New Zealand are also moving to implement simplified entry and quarantine arrangements under their Pacific Labour Mobility Schemes for seasonal workers. Some Pacific countries have announced a phased approach to opening of borders, and Fiji has announced plans to begin reopening the border to tourists by November 2021[12].

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[9] Ibid.

[10] Ibid.

[11] https://documents.worldbank.org/en/publication/documents-reports/documentdetail/303971611070755211/how-could-the-pacific-restore-international-travel

[12] Fiji: https://www.abc.net.au/news/2021-09-13/fiji-plans-to-open-borders-to-tourists-by-november/100451938 ;
Palau: https://www.rnz.co.nz/international/pacific-news/422988/palau-takes-a-step-to-safely-re-open-borders; Vanuatu: https://corporate.southpacificislands.travel/vanuatu-government-begins-implementation-of-tamtam-travel-bubble/

The region is not uniform in its approach, however, and the three countries participating in this project have taken different approaches, partly due to their different experiences. These will shape their approach into the future, with key differences being:[13]

- Vaccination rates (Fiji = 80% fully vaccinated, Palau = 91% fully vaccinated, Vanuatu = 29% with at least a 1st vaccination)
- Current active cases (Fiji = 2,864, Palau = 0, Vanuatu = 0)
- Current hospitalised cases (Fiji = 63, Palau = 0, Vanuatu = 0)
- Total prior cases (Fiji = 51,258) Palau = 5, Vanuatu = 3)
- Deaths (Fiji = 647, Palau = 0, Vanuatu = 0)

The prevalence of the virus in the country, deaths thus far, and vaccination rates will drive attitudes among populations and political decision-making with respect to re-opening of borders. The perception across countries will vary depending upon the experience to date with success or otherwise of total suppression and prevention policies which may have hitherto been followed.

The decision to ease international travel restrictions will also need take into consideration a high level of underlying vulnerability of the Pacific to COVID 19; i.e., relatively weak health systems and high rates of pre-existing health conditions among Pacific populations. Plans to reopen could be adjusted to tie closely to health metrics and the expansion of testing, treatment and tracing procedures—both to control the virus and reassure citizens.

> "*A nation's capacity to perform the 3Ts (Testing, Treatment and Tracing) is critical to decision-making regarding the speed and breadth of opening up to international travel.*"[14]

To progress these initiatives, Pacific Countries and Territories have established multi-sectoral taskforces that have been leading the thinking and discussions around staged re-opening of the national borders and include representatives from health, trade, sea and airports regulatory bodies, defence including police/military, customs, immigrations, biosecurity and others. These have to varying degrees also been informed by the relevant policy guidance developed by WHO, IATA[15], ICAO[16], ACI[17], IMO, IOM, UNDP & WCO, although implementation across border agencies continues to be affected by resource and capability constraints.

Importantly, the pandemic has also become an impetus for countries to streamline their border procedures and invest in digital infrastructure to ensure the smooth flow of people and goods and services across the borders.

These considerations include:

- the introduction of standards-based, secure digital vaccination certificates,
- other COVID-status applications such as digital pre-travel PCR test certificates
- single-window, paperless cargo documentation,
- online portals for uploading pre-travel health requirements by travellers to aid in processing travel authorisations and contact-tracing,
- online payment mechanisms, and

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[13] Data sourced online from Government websites as at 8 October 2021
[14] World Bank – "How Could the Pacific Restore International Travel?", January 2021 - https://documents.worldbank.org/en/publication/documents-reports/documentdetail/303971611070755211/how-could-the-pacific-restore-international-travel
[15] IATA's resources are at https://www.iata.org/en/programs/covid-19-resources-guidelines/
[16] See ICAO's Council Aviation Recovery Taskforce (CART) https://www.icao.int/covid/cart/Pages/default.aspx
[17] Airports Council International - https://aci.aero/news/2021/09/27/aci-world-launches-sustainable-recovery-guidance-for-airports/

- paperless arrival and departure declarations.

These lead also to consideration as to the extent of eventual integration of these initiatives with existing Immigration and Customs systems.

As borders reopen, specific attention will need to be paid to seaports of entry as in the Pacific, they often lack the infrastructure and resources to effectively carry out screening in a systematic way such as the funnelling of travellers though a controlled pathway to enforce screening compliance.[18]

As Pacific Countries and Territories look towards a phased opening of their borders, the relaxing of certain travel restrictions and the boosting of maritime transport connectivity and maritime tourism, there remains a number of challenges to be addressed: the lack of standardised protocols and operating procedures, the fragmented digital infrastructure, the lack of relevant legal frameworks and lack of streamlined trade and transport facilitation[19] and the lack of shared understanding, mutual recognition, information sharing of each other's public health measures to safeguard travel between two countries.

Similar to approaches taken elsewhere, border agencies along with front line workers have highlighted the need to have dedicated quarantine facilities for arriving symptomatic travellers, and for frontline workers who are at a high risk of exposure to the COVID 19 virus due to the nature of their work to enable them to safely quarantine or self-isolate away from the public and also from their families.

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[18] Covid-19 and its Impact on Shipping and Port Sector in Asia and the Pacific:
https://www.unescap.org/sites/default/d8files/knowledge-products/ShippingPoliyBrief-16Oct2020-FINAL.pdf
[19] Ibid.

II. STRATEGY

To assist Pacific countries in their development and implementation of border re-opening strategies and safe travel corridors, UNDP, working closely with IOM and UNCTAD, will support Fiji, Palau and Vanuatu, their respective border agencies, and COVID 19 sectoral task forces with:

- measures to support business continuity and front-line border agencies,
- measures to facilitate safe cross-border travel and trade through enhanced use of risk management in the reception and processing of travellers and goods,
- measures to increase internal and external border agency collaboration and
- measures to facilitate regional cooperation and shared understanding of protocols and procedures in coordinating public health measures and smooth operation of global supply chains.

Relationship to SDGs & UNDP Strategic Plan

The project falls directly under the **UNDP Strategic Plan (SP) 2018-2021 and 2022-2025** and responds to:

- **Signature solution 2**: Strengthen effective, inclusive and accountable governance
- **Signature solution 3**: Enhance national prevention and recovery capacities for resilient societies.

The project also falls directly under the **Sub regional programme document for the Pacific Island Countries and Territories (SRPD) (2018-2022)**,

- **Outcome 3**: Sustainable and Inclusive Economic Empowerment
- **Outcome 5** – "Effective Governance for Service Delivery".

Applicable Sustainable Development Goals

- **SDG 8**: Decent Work and Economic Growth,
- **SDG 9**: Industry, Innovation and Infrastructure,
- **SDG 16**: Peace, Justice and Strong Institutions,
- **SDG 17**: Partnerships for the Goals.

Integrated Border Management

Integrated Border Management has been described by the European Commission as the *"National and international coordination and cooperation among all relevant authorities and agencies involved in border security and trade facilitation to establish effective, efficient and coordinated border management at the external … borders, in order to reach the objective of open, but well controlled and secure borders."* [20]

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[20] From https://ec.europa.eu/home-affairs/content/european-integrated-border-management_en

Integrated Border Management (IBM) is a fundamental development in management theory around migration and border management. Emerging from the World Bank and WCO [21], supported by ICAO and IOM, the value proposition lies in the fact that a properly integrated approach shares the systems, resources and skills of agencies, stakeholders, countries and regions to manage ever increasing complexity and volumes more effectively and at reduced cost per traveller.
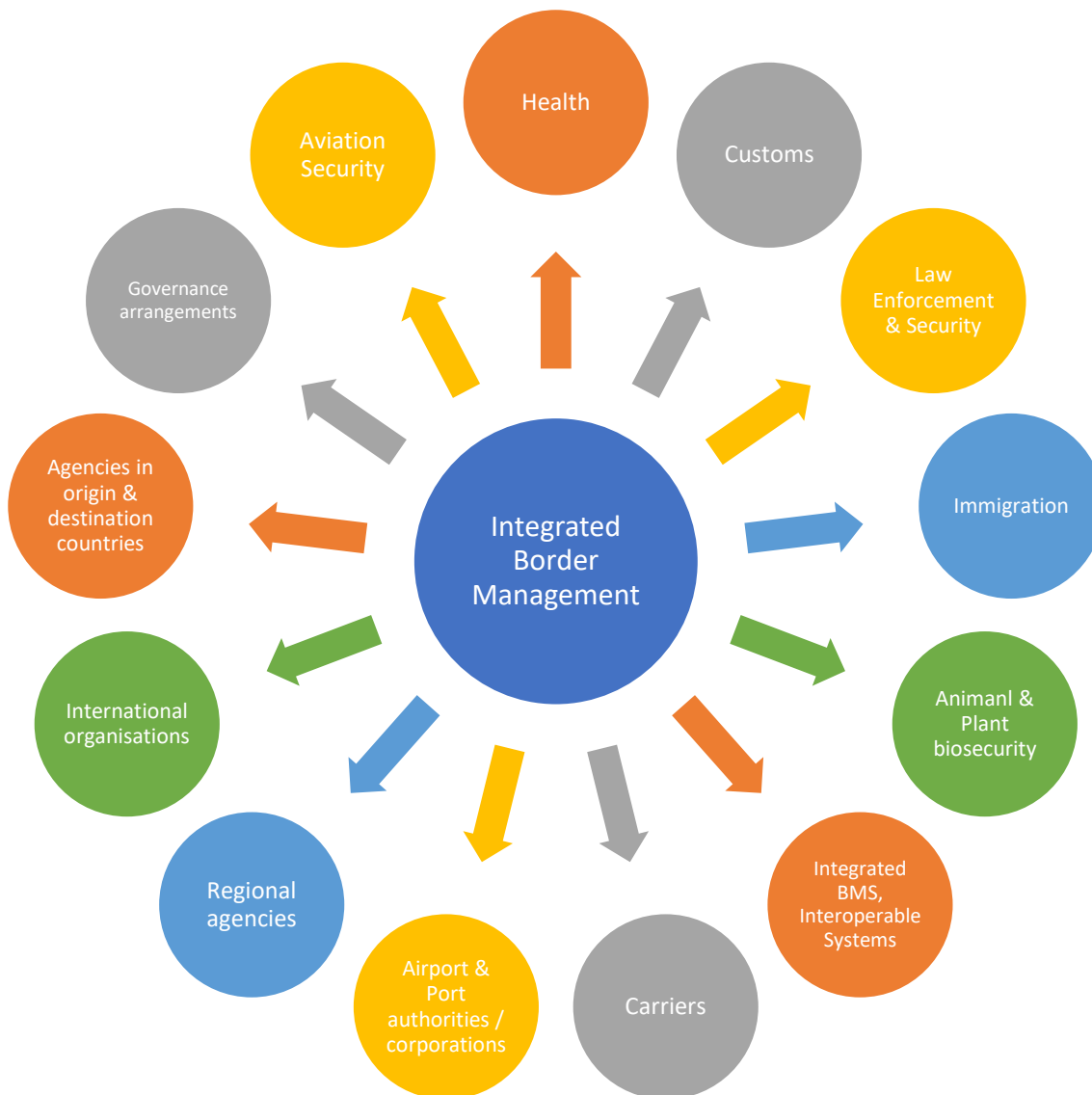
The concept has been described via several different names, including "Coordinated Border Management" (CBM), a term used by the World Customs Organisation (WCO), "Collaborative Border Management" (a term used by the World Bank), and the Organisation for Security and Cooperation in Europe (OSCE)'s term "Comprehensive Border Management". The International Organization for Migration (IOM) also commonly uses the term "Integrated Border Management", which is the term that has been adopted throughout this Project Document.

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[21] See "Coordinated border management: from theory to practice" by Mariya Polner, World Customs Journal, 2011, Vol 5, No. 2, pages 49-64, http://www.wcoomd.org/en/topics/facilitation/activities-and-programmes/coordinated-border-management.aspx; World Customs Organisation, Coordinated Border Management Compendium, 2015, available at http://www.wcoomd.org/-/media/wco/public/global/pdf/topics/facilitation/instruments-and-tools/tools/safe-package/cbm-compendium.pdf?la=en; Tom Doyle, "The Future of Border Management", Chapter 2, World Bank – Border Management Modernisation, 2011, available at
http://documents.worldbank.org/curated/en/986291468192549495/pdf/588450PUB0Bord101public10BOX353816B.pdf ;
McLinden, Gerard, "Collaborative border management : a new approach to an old problem", 2012, World Bank, available at http://documents.worldbank.org/curated/en/693361468331207794/Collaborative-border-management-a-new-approach-to-an-old-problem

Integrated Border Management (IBM) brings change to management structures within agencies, arrangements between agencies and carriers, and IT system or Border Management System design, all based upon principles of interoperability and information and burden-sharing within defined governance mechanisms. It recognises there is a multiplicity of agencies and stakeholders at the border, and instead of regarding this as a problem, treats it as an opportunity.

Properly implemented, IBM enhances the chances of early risk or threat identification, meaning scarce resources can be diverted to areas of need, with the vast majority of legitimate travellers and trade managed as "low risk" and accorded a "light touch" approach at the border or during related processing.

This project will foster the principles of IBM throughout its implementation.

A standards-based approach

The project will encourage the practical implementation of global and regional standards relevant to border re-opening and public health risk management, along with assistance to develop and implement inter-agency, bilateral and regional agreements and governance mechanisms to enhance and support these.

Building upon the work done in this area by ICAO and WHO, this will include technical, infrastructure and equipment support to assist with, taking into account the national context, the implementation of secure standards-based COVID-19 certificates for citizens and residents to better facilitate outbound travel, and capability to receive and verify those issued by other countries.

Current and emerging standards around pre-travel testing and documentation along with online submission modalities will be re-examined and where necessary, assistance provided to implement and harmonize these between participating countries, and/or with major third countries of embarkation and disembarkation.

Support will be provided to implement recommendations of the IMO and WCO around crew changes, and disaster management and supply chain continuity, taking into account agency capabilities and needs, identified supply chain vulnerabilities, and regional arrangements.

Standards and recommendations around the safe implementation and management of travel corridors and cargo facilitation will guide the identification of gaps in provision of critical equipment and infrastructure, as well as in standard operating procedures guiding carriers, ports/airports and border agencies. This cannot take place as a single environmental scan at the outset – it is recognized that this will be a cyclical process over the life of the project as equipment needs change, and standards and practices emerge or are amended as the approach evolves from pandemic crisis management to management of an endemic public health matter.

Service Delivery

COVID-19 has fundamentally changed the approach to work, travel, and business or administrative interactions. Restrictions on even local movements in some jurisdictions have seen a shift to working from home, virtual meetings, and a shift away from face-to-face and paper-based transactions of all kinds.

This has come at a time where Pacific Island Countries and Territories (PICTs) were already variously considering changes to government administration in general, including border management.

- Fiji is considering replacing its Integrated Border Management System, used to manage the entry and stay of people by Fiji Immigration and Fiji Customs, and replacing it with a system capable of online applications and payments. This is occurring alongside a broader Fiji Government Digital Transformation policy, and Australian Government support to build the electronic document management capability of Fiji Immigration.

- Vanuatu recently introduced the first pilot version of UNCTAD's ASYPX traveler management module at the Port Vila airport.

- Both Fiji and Vanuatu operate the ASYCUDA World Customs software provided by UNCTAD, which is electronic trade single-window capable. Palau operates a Taiwanese system for its Customs and Immigration border management, PC Trade.

Fiji, Palau and Vanuatu may be at different stages in this transformation, but COVID-19 has added impetus to this already identified trajectory.

Whilst the project is not aimed at delivering full digital government and service outcomes for border management (such as online visas, payments, or online cargo documentation), a significant contribution will come from support to streamline pre-travel COVID Health declarations and other related document submission online, and also to assist with implementing paperless arrival and departure declarations.

The current manual processes in place in various forms in each country are unlikely to satisfactorily deliver efficient and effective service should tourist and other traveler numbers increase in any substantial way. Countries will test and pilot the solutions, and learn from the practice, share the lessons with others and adapt to the new challenges.

Online submission, assessment and communication portals which are form-based are relatively straightforward and are expected to be able to be deployed relatively quickly in the format desired by each country. Integration of these processes, and/or their data with mainstream border management systems is also possible in the longer-term and is a consideration for the project if requested by participant countries.

Apart from streamlining border processing and further encouraging digital government services, an expected additional outcome would be that COVID-19 contact tracing of travelers would prove more effective given the relevant information would be available in electronic form.

As part of the strategy, the project will support enhanced regional collaboration to facilitate ease of travel and cargo movement between the countries through standardization of SOPs and protocols.

Gender Considerations

The Project recognises that, when making decisions and developing COVID-19 response plans at borders, it is important to take a comprehensive approach that considers the impact of the pandemic on different genders and the effectiveness of the decisions taken on behalf of or affecting these groups. By including and considering all gender groups in the decision-making process, all action taken at borders will be more representative and result in more effective, inclusive, and sustainable interventions. This approach will guide the project activities and in particular those around engagement with partner agencies and developing and implementing COVID-19 procedures and policies, and client engagement arrangements. [22]

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[22] This section follows IOMs **Standard Operating Procedures (SOP) for Front-line Border Officials at the Point of**

Theory of Change

The theory of change underpinning the project and addressing the development challenge in 3 target countries of the region (Fiji, Palau and Vanuatu) proposes:

If
- Border agencies are able to develop and implement standards-based policies and practices for the management of COVID-19 risk and its impacts on officials, travelers, cargo and trade at the border, and
- Border agencies are able to share experiences and standards to develop an integrated cross-border collaborative approach consistent with global standards, and
- Border agencies and stakeholders have sufficient applicable equipment and PPE, and
- Border agencies have the relevant infrastructure and capability to transition to paperless and contactless travel and cargo documentation and declarations, and
- Border agency staff are sufficiently capacitated in these policies, processes, equipment and PPE, and
- Border agency staff are well supported with dedicated quarantine, health and counselling services;

and if
- Formal oversight bodies such as Auditors and Parliaments are assisted to ensure the accountable, effective and efficient delivery of the COVID-19 response and related risk management arrangements, and
- Civil society is capacitated to monitor and report on implementation of COVID-19 public health and border protocols;

Then
- Independent institutions and civil society will be able to effectively monitor the implementation of COVID-19 public health and border protocols to ensure efficiency, transparency and accountability, strengthening public confidence in the measures, and

Then

Border Agencies will have the systems, infrastructure and capacity to effectively implement public health protocols while maintaining border services and supporting implementation of COVID-19 measures ensuring business continuity as borders gradually reopen

Stakeholder engagement, detailed in Section III below, has confirmed the related gaps, with national variances as may be expected, along with a recognition that the interventions proposed will materially assist in national and regional policy coordination and management as borders transition towards reopening.

The theory of change foresees implementation of an identified range of capability, cross-border and regional collaboration and knowledge sharing, policy, equipment and client service improvements which *then* ensures border management is properly calibrated to identified risk and delivered efficiently to facilitate greater ease of travel.

The approach recognizes that project activities need to be cognizant of the varying scale and capabilities of recipient agencies within each participating country, as well as the risk appetite among the governments and public of each. This will entail a rapid validation of capabilities, needs, and sustainability of projected outcomes based upon the engagement and observations made in this document, with interventions calibrated for each participating country accordingly.

The approach will include:

- A standards-based approach to change
- A human rights and gender rights-based approach incorporated into changes, including standard operating procedures
- Deliberate assessment and assurance of the financial sustainability of project legacy services and infrastructure
- Train-the-trainer approach to embedding new or changes operating procedures and policies
- Developing sustainable governance mechanisms between agencies, and within the region to foster an integrated border management approach

As detailed in Chapter VIII below, the Project Board governance arrangement will ensure full elaboration and calibration of the annual workplan against evolving national requirements through a regular review process.
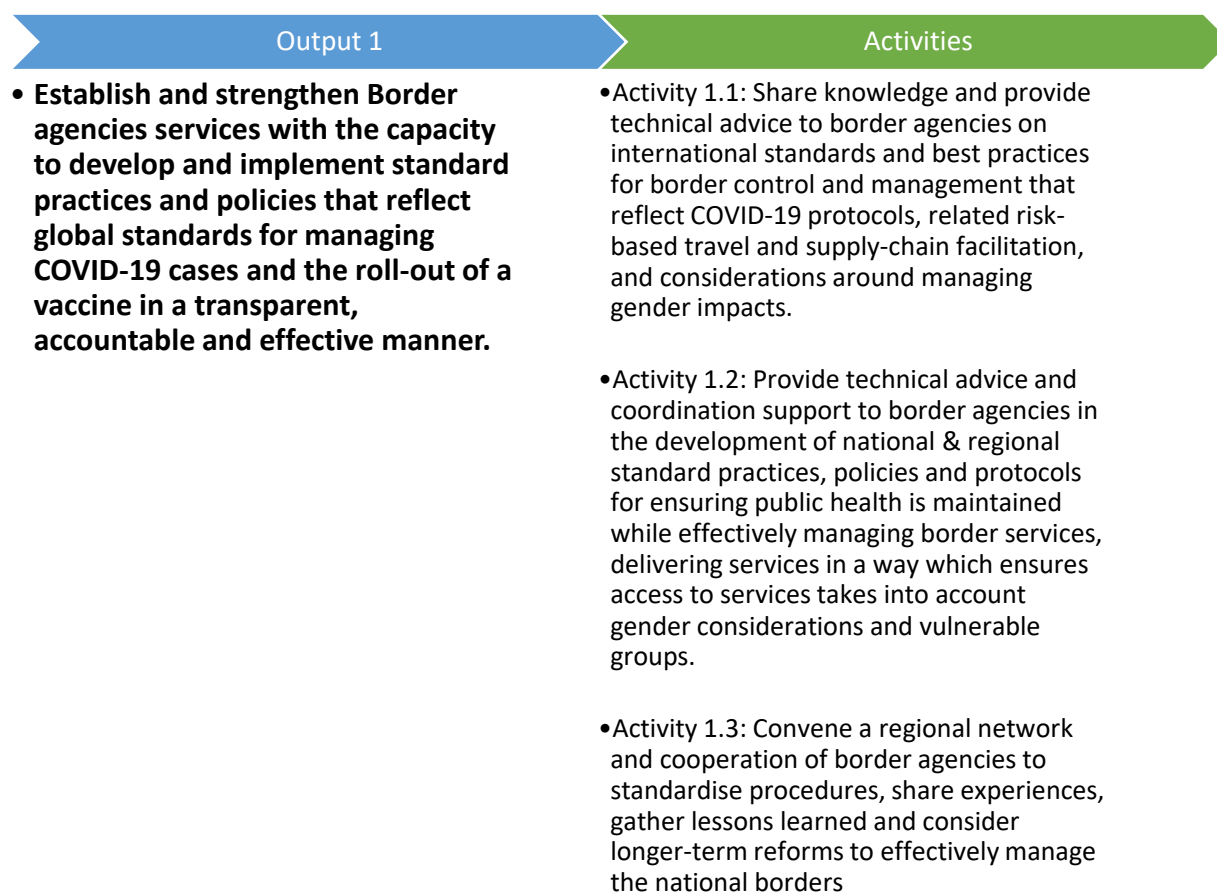
III. RESULTS AND PARTNERSHIPS

Expected Results

The intended outcome of the project is that border control with respect to COVID-19 will be strengthened and streamlined in the three recipient countries as they gradually reopen international borders. The expected results will be delivered according to the Results Framework shown in Chapter V. The change we expect to see that will be attributable to the project is identified in the outputs with specified targets aligned to the identified indicators. The achievements of these outputs will contribute towards the achievement of the outcomes.

Emerging from the theory of change, the overall project outcome has been identified as follows:

> **Border Agencies will have the systems, infrastructure and capacity to effectively implement public health protocols while maintaining border services and supporting implementation of COVID-19 measures ensuring business continuity as borders gradually reopen**

This outcome will be delivered through three outputs:

Output 1	Activities
• **Establish and strengthen Border agencies services with the capacity to develop and implement standard practices and policies that reflect global standards for managing COVID-19 cases and the roll-out of a vaccine in a transparent, accountable and effective manner.**	• Activity 1.1: Share knowledge and provide technical advice to border agencies on international standards and best practices for border control and management that reflect COVID-19 protocols, related risk-based travel and supply-chain facilitation, and considerations around managing gender impacts. • Activity 1.2: Provide technical advice and coordination support to border agencies in the development of national & regional standard practices, policies and protocols for ensuring public health is maintained while effectively managing border services, delivering services in a way which ensures access to services takes into account gender considerations and vulnerable groups. • Activity 1.3: Convene a regional network and cooperation of border agencies to standardise procedures, share experiences, gather lessons learned and consider longer-term reforms to effectively manage the national borders

Output 2	Activities
• **Procurement, installation and maintenance of critical equipment and infrastructure is supported to implement COVID-19 public health protocols and standards while managing border services.**	•Activity 2.1: Identify, procure and deliver the equipment, systems and infrastructure, including that required for paperless travel processing and online pre-travel health declarations, trade and cargo documentation, PPE for agency staff, and support services including dedicated quarantine, medical and counselling service support required by each participating border agency/airport, including considerations around gender impacts. •Activity 2.2: Procure and deliver personal protective equipment (PPE) effective to manage COVID-19 for Border agencies services/Airports. •Activity 2.3: Procure and install critical infrastructure to enable border security services/airports to ensure staff are able to manage border services and community exposure to COVID-19 •Activity 2.4: Support and train Border agencies/airports personnel in maintaining critical equipment and infrastructure to ensure COVID-19 public health protocols are maintained while managing a COVID-19 endemic within their respective country

Output 3	Activities
• **Establish support services for national border agencies implementing COVID-19 public health protocols.**	•Activity 3.1: Provide support for dedicated qurantine facilities for border agencies/airports in the 3 focus countries.

Output 4	Activities
• **Establish capacity within independent institutions and civil society to monitor the implementation of COVID-19 public health and border protocols to ensure efficiency, transparency and accountability.**	•Activity 4.1: Provide technical advice and support to independent oversight commissions, including Auditors-General and parliaments, to routinely conduct monitoring of national health and border agencies and their implementation of COVID-19 public health protocols, including considerations around treatment of vulnerable groups and gender considerations. •Activity 4.2: Build capacity of civil society to monitor and report on implementation of COVID-19 public health and border protocols, including considerations around treatment of vulnerable groups and gender considerations.

Partnerships

UNDP has a clear advantage to implement this project based on global expertise in the area of inclusive and effective democratic governance, combined with an existing presence in the partner countries and an existing relationship with them in the implementation of a range of activities and projects that contribute towards effective governance. In addition, UNDP has experience of implementing and supporting integrated border management projects in Eastern Europe and Africa

The project also involves key partnerships with IOM & UNCTAD, both of which have a presence in Fiji. IOM also has a presence in Palau and Vanuatu.

These agencies bring, among other things:

IOM	UNCTAD
• UN Lead agency on Migration and Sustainable Development • Key agency in development and implementation of the Global Compact on Migration • Expertise in Integrated Border Management policy, standards, and implementation, including COVID-19 Standard Operating Procedures for Border officials, and inclusion of women and girls in migration management outcomes • Migration and Border Management Systems (MIDAS) and online service delivery • Integration of Health Declarations into border management processes and systems	• UN Lead agency on Trade and Development • Key partner agency in international trade policy, standards, and implementation, including key customs systems (ASYCUDA World) • Expertise in Trade and Cargo facilitation policy • Implementation of single-window trade facilitation portals and online service delivery (e-Government) • Expertise in the impact and management of COVID-19 on trade and ports

UNDP will engage the expertise of IOM and UNCTAD in the implementation and monitoring and evaluation processes, along with other areas on the UN including WHO and ICAO as necessary.

In order to achieve its expected outcomes and results, the Project will benefit from the existing and long-term partnerships, established by UNDP at the **national levels**, the Project will maintain partnerships with:

- National Immigration Agencies/Departments
- National Revenue and Customs Services
- National Health Ministry/Agencies/Departments
- National Ministries and Agencies on Tourism, Trade and Commerce
- National Ministries of Defence, National Security (and Biosecurity) and Policing
- National Ministries and Agencies on Communications
- National Agencies on Maritime
- National Parliaments
- National Airports and Ports (Fiji Airports and Ports, Vanuatu Airports and Ports and Palau Airport and Ports)
- Carriers, Shipping agents

UNDP will engage the above-mentioned Ministries, Agencies, Departments, Airports and Ports as the project implementing partners and/or responsible parties for certain activities when required and appropriate.

UNDP will also coordinate with regional organisations where appropriate, including the Pacific Islands Forum (PIF), Pacific Immigration Development Community (PIDC), and the Oceania Customs Organisation (OCO).

UNDP has an established relationship with key civil society organisations working in the Pacific Island Countries with the main interlocutor being the Pacific Islands Association of Non-Governmental Organisations (PIANGO). In addition, through other effective governance projects, there are established relationships with parliaments and Supreme audit institutions across the pacific which play a significant role on exercising oversight on executive actions and functions.

Risks and Assumptions
The full risk log is included in Annex III.

Stakeholder Engagement

During the formulation of this project, meetings took place between UNDP and key members of the stakeholder group in each country to consult, inform and update them on the progress of the project development. Additionally, consultations were held with key international organisations (notably IOM, ADB and UNCTAD), as part of the design process as the project seeks to be as inclusive in its design and outreach as possible. Stakeholder engagement will continue during the implementation of the project, with the Project Board providing a more formal process for engagement.

UNDP will coordinate with the three participant Governments to ensure the identification of a lead agency and lead point of contact within that agency, along with points of contact in other national agencies to ensure clarity and coordination throughout the life of the project. It is anticipated that the lead agency in each country will join the Project Board.

The project's target groups include the general population of the three participant countries, with an emphasis on implementing agencies, carriers, the tourism and hospitality sectors, and outbound citizens and residents. A specific focus of gender will be part of all outputs.

During project inception, the project will look to identify the best stakeholder strategy for targeted groups, noting that in particular, details of equipment and infrastructure requirements will need to be confirmed via an initial needs assessment.

Given current travel and border restrictions, it is anticipated that, at least for the initial year of the project, much of the engagement will continue to be virtual, via online meetings, however both UNDP, IOM and UNCTAD resources will be engaged to ensure on-the-ground technical inputs, liaison, communication, and monitoring and evaluation outcomes are progressed effectively.

South-South and Triangular Cooperation (SSC/TrC)

Both UNDP's global strategic plan and sub-regional programme document for the Pacific Island Countries and Territories (2018-2022) call for using SSC/TrC to facilitate knowledge exchange on policy reforms and innovations that have been applied in other contexts and to support peer-to-peer learning. Under the sub-regional program UNDP undertakes regional programming to help countries take collective action or seek shared solutions to common challenges through South-South cooperation and knowledge sharing. By design the project inherently facilitates strong south-south cooperation among the three countries, Fiji, Vanuatu and Palau. This approach will underpin the support provided to the three partner countries, with South-South triangular peer-to-peer learning facilitated at every opportunity, particularly Output 1.1, within the group and among similarly mandated agencies across them, and also with other regional partners wherever possible. There will be regional collaborative activities and learning across the countries will be integral part of implementation of the project. In addition, triangular exchange with the developed integrated boarder management systems in Australia and New Zealand provides opportunity to benchmark the development processes of the three countries and to exchange lessons and best practices.

Knowledge

A considerable number of knowledge products, including manuals, guidance notes and handbooks for border agencies will be produced during the course of implementation of the project. The project will support the production of knowledge products by the primary institutional stakeholders and partners. As the re-opening of border will give rise of best practices, lessons learnt and opportunities for the individual countries and the region as a whole, the documentation and sharing of knowledge will be an integral part of the project.

Research papers and guidance notes will be produced across selected areas of focus in the project. The exact research and policy agenda will remain flexible and responsive, but will be planned annually, under the oversight of the project board.

Various means of dissemination of knowledge and media products will be used to increase visibility and to engage stakeholders, including, policy discussions and coordination forums to facilitate increased interaction between and among border agencies and the countries in the project. Press releases about public events will inform and invite local media. Visibility of the project will be increased further by the communication activities of project partners and donors. The project team will include a Communications Officer who will coordinate the activities related to the visibility of the project.

The project will also use UNDP and partners' global reach to channel learning, case-studies, research papers and innovations generated into global governance practice networks for use by development practitioners in the wider international community.

Sustainability and Scaling Up

UNDP anticipates that the Project Board, which includes lead agencies from the three participant countries, will take ownership of the project design and the activities to be carried out in order to

fulfil the outcomes of the project. This high level of ongoing national ownership will be ensured throughout the implementation of the project during the conduct of activities, coordination meetings and the Project Board.

The project has a focus to strengthen the capacity of stakeholders with a view to enhancing service delivery and public health risk management practices at the borders. In relation to capacity assessments, the development challenge identifies key institutional data to indicate current institutional capacity in relation to service delivery. The Results Framework includes output indicators linked to institutional capacity and also provides for the regular collection of data and monitoring in relation to strengthened national capacity.

National systems will be utilised as much as possible. The project will link closely with participant Government processes of reporting on border management and public health development results and against SDG indicators.

On completion of the project, the Project Board will consider policy and capability sustainment strategy and a plan will be developed with key stakeholders in order to sustain or scale up results.

IV.   PROJECT MANAGEMENT

Cost Efficiency and Effectiveness

Cost efficiency and effectiveness in the project management will be achieved through adherence to the UNDP Programme and Operations Policies and Procedures (POPP) and reviewed regularly through the governance mechanism of the United Nations Pacific Strategy (UNPS) in the Pacific Annual Review and the Project Board. In addition, there are specific measures for ensuring cost-efficient use of resources through using a portfolio management approach. This approach by the UNDP Pacific Office leverages activities and partnerships among a number of initiatives and projects in the three participant countries.

The project is designed to deliver maximum project results with the available resources through ensuring the design is based on good practices and lessons learned, that activities are specific and clearly linked to the expected outputs, and that there is a sound results management and monitoring framework in place with indicators linked to the Theory of Change. The project aims to balance cost efficient implementation and best value for money with quality delivery and effectiveness of activities. For its capacity building activities, the project will utilise externally contracted technical experts, internal experts from UNDP, IOM, UNCTAD, and other UN agencies as required, and in-kind contributions from stakeholders including border agencies of the three participant countries, and Australia, New Zealand.

Through successful project delivery in the region anchored in strong partnerships UNDP and partner UN Agencies have established a solid reputation for being able to establish and effectively deliver large projects in challenging, complex, and politically sensitive environments. UNDP develops and implements 'signature solutions', programming developed based on global evidence for effective democratic governance programming, tailored appropriately to the context.

The Project Board will oversight the project, and all reports will be produced in time to ensure the smooth flow of communications between project partners. The project will contain an effective monitoring and evaluation framework aligned to donor requirements and following evaluations, the results will be shared with project partners to allow for the incorporation of alterations to project activities where required.

Project Management

The Project is expected to be delivered through a Direct Implementation Modality (DIM). Under DIM, UNDP will bear full responsibility and accountability to manage the project, achieve project outputs and ensure the efficient use of funds. UNDP will be accountable to the funding partners for the disbursement of funds and the achievement of the project objective and outcomes, according to the approved work plan. UNDP will be responsible for the following functions: (i) coordinating activities to ensure the delivery of agreed outcomes; (ii) certifying expenditures in line with approved budgets and work-plans; (iii) facilitating, monitoring and reporting on the procurement of inputs including technical inputs and delivery of outputs; (iv) approval of Terms of Reference for consultants and tender documents for sub-contracted inputs; and (vi) reporting to the Project Board on project delivery and impact.

The Project will operate under a Project Board Governance arrangement. Operationally, the project will be based out of the offices of the UNDP Pacific Office in Fiji, and will work closely with stakeholders in Fiji, Palau, and Vanuatu.

Project staff:

- 1 International Programme Manager (full time)
- IOM and UNCTAD technical partnership (partial)
- 1 M&E and Knowledge Management Specialist (partial)
- 1 Communication Officer (partial)
- 1 Procurement Associate (partial)
- 1 Finance Associate (partial)

UNDP works across the Pacific region on diverse projects, retaining a country presence, and therefore footprint, across the Pacific. Additionally, UNDP provides operations support agency for other UN agencies, and operates a regional Joint-Operations Centre in Suva, ensuring full administrative, logistical, procurement, and programming support to UNDP and many other UN agencies operating in the Pacific region. UNDP offers value for money through cooperation and cost-sharing with other UNDP projects and UN agencies, for example cost-sharing of staff, overhead, expenses, and implementation of activities. This not only decreases project implementation costs, but also amplifies the reach and effects of project activities. This approach has already been proven in the UNDP Pacific Office in Fiji. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.

Through work on these programmes, UNDP has established a rock-solid reputation across the Pacific for being able to establish and effectively deliver large sectoral project programming in challenging, complex and politically sensitive environments.

The project will be managed effectively and in accordance with UNDP Programme and Operations Policies and Procedures to ensure as far as practicable, progress towards the project outcome. The Project Board will be updated, and all reports produced on time to ensure the smooth flow of communications between project partners. Additionally, a Communications and Visibility Plan will be implemented in line with the new revised UNDP branding, editing, social media and video standard guidelines. The project will contain an effective monitoring and evaluation framework and following the mid-term evaluation, the results will be shared with project partners so as to allow for the incorporation of alterations to project activities where required.

V.   RESULTS FRAMEWORK[23]

Intended Outcome as stated in the United Nations Pacific Strategy (UNPS) 2018-2022:

<u>Outcome 5:</u> Governance and Community Engagement- By 2022, people and communities in the Pacific will contribute to and benefit from inclusive, informed and transparent decision-making processes; accountable and responsive institutions; and improved access to justice.
<u>Outcome 2:</u> Gender Equality: By 2022, gender equality is advanced in the Pacific, where more women and girls are empowered and enjoy equal opportunities and treatment in social, economic and political spheres, contribute to and benefit from national development and live a life free from violence and discrimination.
<u>Outcome 3</u> – By 2022, people in the Pacific in particular youth, women and vulnerable groups benefit from inclusive and sustainable economic development that creates decent jobs, reduces multi-dimensional poverty and inequalities and promotes economic empowerment

UNDP SRPD Output 5.1: Increased voice and more inclusive participation by women, youth and marginalized groups in national and sub-national decision-making bodies that are more representative.
UNDP SRPD Output 5.2: Increased transparency and accountability in governance institutions and formal and informal decision-making bodies.

Applicable Output(s) from the UNDP Strategic Plan (SP) 2018-2021 & 2022-2025:

Outcome 1: Structural transformation accelerated, particularly green, inclusive and digital transitions.
Outcome 2: No one left behind, centring on equitable access to opportunities and a rights-based approach to human agency and human development. • Outcome 3: Resilience built to respond to systemic uncertainty and risk.
Signature solution 2: Strengthen effective, inclusive and accountable governance
Signature solution 3: Enhance national prevention and recovery capacities for resilient societies.
Signature Solution 6- Gender Equality

Applicable Sustainable Development Goals
- **SDG 5:** Gender Equality
- **SDG 8:** Decent Work and Economic Growth,
- **SDG 9:** Industry, Innovation and Infrastructure,
- **SDG 16:** Peace, Justice and Strong Institutions,
- **SDG 17:** Partnerships for the Goals.

Project title and Atlas Project Number: The Project for Strengthening Border Control Capacity for the COVID-19 Crisis, Project Number 00134671

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[23] UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project.

EXPECTED OUTPUTS	OUTPUT INDICATORS	DATA SOURCE	BASELINE		TARGETS			Data collection methods and risks
			VALUE	YEAR	Y1	Y2	Y3 (FINAL)	
Output 1: Establish and strengthen Border agencies services with the capacity to develop and implement standard practices and policies that reflect global standards for managing COVID-19 cases and the roll-out of a vaccine in a transparent, accountable and effective manner	**Indicator 1.1: Number of Standard Operating Procedures (SOPs),protocols and policies adopted in each of the focus countries for i**mproved border agency implementation of international standards and best practices for border control and management that reflect COVID-19 protocols, and related risk-based travel and supply-chain facilitation.	Border Agencies reports, Administrative data and reports, implementing partners reports, Media Reports	No baseline	0	0	1	1 (Final 2)	Stakeholder consultations, Project monitoring missions, Quarterly & Annual Reporting
	Indicator 1.2: Number of border agencies personnel with improved knowledge and capacity development on implementation of national & regional standard practices, policies and protocols for ensuring public health is maintained while effectively managing border services.	Border Agencies reports, Administrative data and reports implementing partners reports, Media Reports	No Baseline	0	30	30	30 (Final 90)	Stakeholder consultations, Project monitoring missions, Quarterly & Annual Reporting, pre and post training surveys
	Indicator 1.3: Number of regional convenings held among border agencies to improve regional networking between participating countries/agencies and sharing of information, policies, procedures, standards, governance mechanisms and lessons learned in ensuring public health is maintained while effectively managing border services.	Border Agencies reports, Administrative data and reports implementing partners reports, Media Reports, Workshop/meeting reports/minutes	No Baseline	0	2	2	2 (Final 6)	Stakeholder consultations, Project monitoring missions, Quarterly & Annual Reporting,
Output 2: Procurement, installation and maintenance of critical equipment and infrastructure is supported to implement COVID-19 public health	**Indicator 2.1:** Equipment, systems, support and infrastructure to ensure the COVID-19 safe border management procured, installed and	Border Agencies reports, Administrative data and reports	Existing equipment, systems and infrastructure	0	2	3	1 (Final 6)	Stakeholder consultations, Project

protocols and standards while managing border services.	launched for at least 6 sites across the 3 focus countries.	implementing partners reports, Media Reports						monitoring missions, Quarterly & Annual Reporting, surveys
	Indicator 2.2: At least 75 Border Agencies/Airports/Ports personnel supported and trained in operating maintaining project equipment and infrastructure to ensure COVID-19 public health protocols are satisfied whilst also maintaining the capability to deliver their mandated border services.	Border Agencies reports, Administrative data and reports implementing partners reports, Media Reports	0	0	25	25	25 (Final 75)	Stakeholder consultations, Project monitoring missions, Quarterly & Annual Reporting, Participants surveys
Output 3: Establish support services for national border agencies implementing COVID-19 public health protocols.	**Indicator 3.1: 3 Dedicated quarantine facility** identified for 3 target countries and contract negotiated	Border Agencies reports, Administrative data and reports implementing partners reports,	TBD	0	1	1	0(Final 2)	Stakeholder consultations, Project monitoring missions
	Indicator 3.2: At least 3 Prefabricated containers purchased, installed & launched	Border Agencies reports, Administrative data and reports implementing partners reports,	TBD	0	1	1	0(Final 2)	Stakeholder consultations, Project monitoring missions
	Indicator 3.2: At least 75 border agencies/airports/ports personnel trained on safety protocols and quarantine facilities usage and protocols (disaggregated by sex)	Border Agencies reports, Administrative data and reports implementing partners reports,	0	0	25	25	25(Final 75	Stakeholder consultations, Project monitoring missions, Participants surveys
Output 4: Establish capacity within independent institutions and civil society to monitor the implementation of COVID-19 public health and border protocols to ensure efficiency, transparency and accountability	**Project Indicator 4.1: At least 3 oversight** and monitoring reports produced by oversight institutions on monitoring of national health and border agencies and their implementation of COVID-19 public health protocols and related border management policies and procedures.	Independent institutions report, implementing partners reports, Audit and Parliamentary Reporting	0	0	0	2	1 (Final 3)	Stakeholder consultations, Project monitoring missions

	Project Indicator 4.2: At least 4 CSO interventions and reports on COVID-19 protocols implementation produced	Civil Society / NGOs reports	0	0	0	2	1 (Final 3)	Stakeholder consultations, Project monitoring missions

VI.   MONITORING AND EVALUATION

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans:

Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action
Track results progress	Progress data against the results indicators in the Results Framework will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly, or as required for each indicator.	Slower than expected progress will be addressed by project management.
Monitor and Manage Risk	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	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	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	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.	Every year	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.

Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.
Project Report	A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period.	Annually (calendar year), and at the end of the project (final report)	
Project Review (Project Board)	The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	Annually (with option to meet more regularly as agreed)	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.

VII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

Governance of the project is undertaken through a Project Board, comprising representatives from the nominated lead agencies from the Governments of Fiji, Palau, and Vanuatu, Representatives of the Government of Japan and UNDP and IOM and UNCTAD. The Project Board would initially meet annually, with potential to meet more frequently if agreed by the Project Board.

The Project Board will hold responsibility for project quality assurance and making project management decisions when guidance is required by the UNDP's Project Manager, including approving project plans and revisions. In addition, the Project Board plays a critical role in UNDP commissioned project evaluations through quality assurance oversight and ensuring findings are integrated into the project for continuous quality improvement.

While quality assurance would be the responsibility of each Project Board member, the Project Board will receive dedicated support in this area from the UNDP's Integrated Results Management Team. Additionally, representatives of other stakeholders, non-governmental organisations implementing in related areas may be invited to the Project Board meetings with the agreement of the Project Board membership.

The Project Manager has the authority to run the project on a day-to-day basis on behalf of UNDP within the constraints laid down by the Board and in accordance with the UNDP Programme and Operations Policies and Procedures. The Project Manager's prime responsibility is to ensure that the project produces the results (outputs) specified in the project document to the required standard of quality and within the specified constraints of time and cost. UNDP appoints the Project Manager, who is different from the UNDP representative on the Project Board.

The terms of reference for the Project Board will be developed and agreed between the voting members in advance of the launch of the Activity.
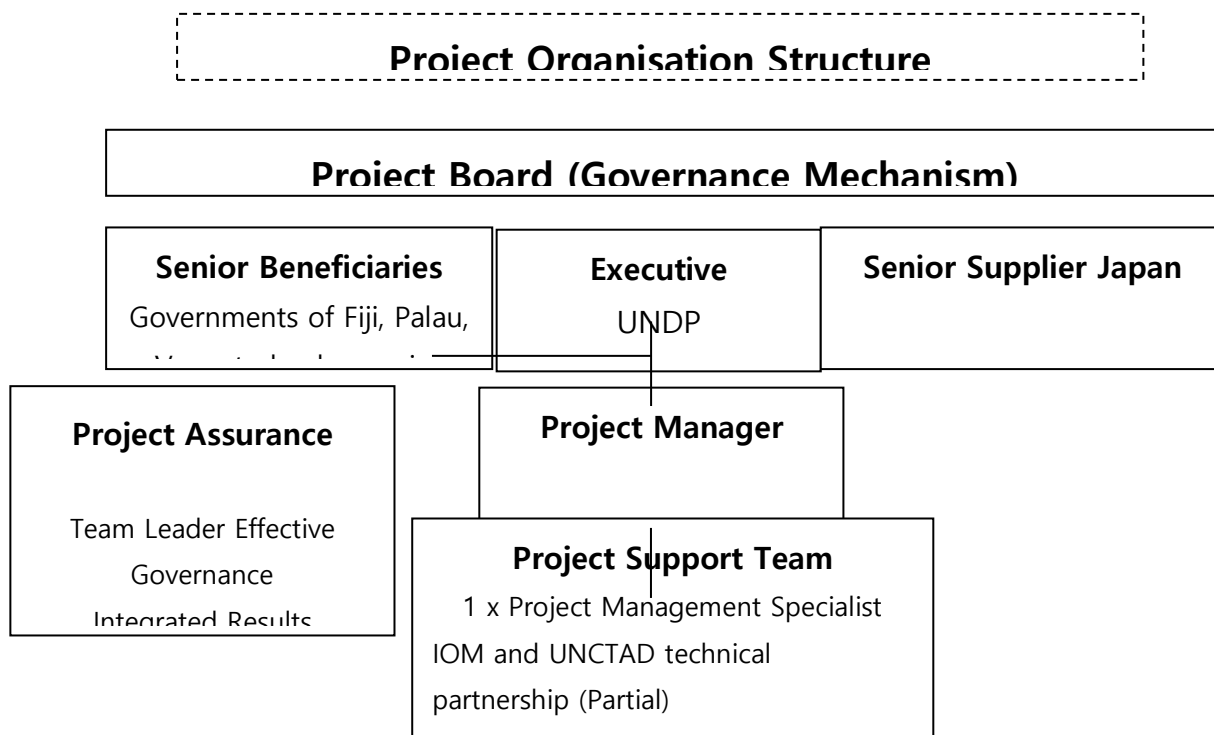
Specific Roles and Responsibilities of the Project Board:

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
- Review the Quarterly Project Progress Report and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans;
- Review Annual financial and narrative reports;
- Appraise the Project Annual Review Report, make recommendations for the next AWP, and inform the Outcome Board about the results of the review;
- Provide guidance and agree on possible countermeasures/management actions to address specific risks;
- Provide ad-hoc direction and advice for exception situations when project manager's tolerances are exceeded;
- Assess and decide on project changes through revisions.
- From time to time approve terms of reference for studies and evaluations
- Address project issues as raised by the Project Manager;
- Agree on Project Manager's tolerances as required.

Frequency of Board Meetings: Annually

Chair: UNDP

The composition of the Project Board is indicated in the diagram below.

Project Organisation Structure

Project Board (Governance Mechanism)

Senior Beneficiaries	Executive	Senior Supplier Japan
Governments of Fiji, Palau,	UNDP	

Project Assurance

Team Leader Effective Governance
Integrated Results

Project Manager

Project Support Team

1 x Project Management Specialist
IOM and UNCTAD technical
partnership (Partial)

VIII. LEGAL CONTEXT

This project document shall be the instrument referred to as such in Article 1 of the **Standard Basic Assistance Agreement (SBAA)** between the Government of (country) and UNDP, signed on (date).   All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

This project will be implemented by [name of entity] ("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.

IX. RISK MANAGEMENT

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)

2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the project funds 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. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

3. 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).

4. UNDP as the Implementing Partner will: (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.

5. In the implementation of the activities under this Project Document, UNDP as the Implementing Partner will handle any sexual exploitation and abuse ("SEA") and sexual harassment ("SH") allegations in accordance with its regulations, rules, policies and procedures.

6. 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.

7. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient:

   a. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP's property in such responsible party's, subcontractor's and sub-recipient's custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
      i. 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;
      ii. assume all risks and liabilities related to such responsible party's, subcontractor's and sub-recipient's security, and the full implementation of the security plan.

   b. 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 responsible party's, subcontractor's and sub-recipient's obligations under this Project Document.

   c. In the performance of the activities under this Project, UNDP as the Implementing Partner shall ensure, with respect to the activities of any of its responsible parties, sub-recipients and other entities engaged under the Project, either as contractors or subcontractors, their

personnel and any individuals performing services for them, that those entities have in place adequate and proper procedures, processes and policies to prevent and/or address SEA and SH.

d. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It 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.

e. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient 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.

f. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', 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 it to find a solution.

g. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

h. Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

i. UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient 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 this Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail any responsible party's, subcontractor's or sub-recipient's obligations under this Project Document.

Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient 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 such responsible party, subcontractor or sub-recipient 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.

j. Each contract issued by the responsible party, subcontractor or sub-recipient 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 it shall cooperate with any and all investigations and post-payment audits.

k. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, 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.

l. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled "Risk Management Standard Clauses" are adequately reflected, mutatis mutandis, in all its sub-contracts or sub-agreements entered into further to this Project Document.

ANNEXES

1. **Project Quality Assurance Report**

2. **Social and Environmental Screening Template** [English], including additional Social and Environmental Assessments or Management Plans as relevant. *(NOTE: The SES Screening is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences, preparation of communication materials, strengthening capacities of partners to participate in international negotiations and conferences, partnership coordination and management of networks, or global/regional projects with no country level activities).*

3. **Risk Analysis**. Use the standard Risk Register template. Please refer to the Deliverable Description of the Risk Register for instructions

ANNEX I: PROJECT QUALITY ASSURANCE REPORT

PROJECT QA ASSESSMENT: DESIGN				
OVERALL PROJECT				
Exemplary (5)	**Highly Satisfactory (4)**	**Satisfactory (3)**	**Needs Improvement (2)**	**Inadequate (1)**
At least four criteria are rated Exemplary, and all criteria are rated High or Exemplary.	All criteria are rated Satisfactory or higher, and at least four criteria are rated High or Exemplary.	At least six criteria are rated Satisfactory or higher, and only one may be rated Needs Improvement. The Principled criterion must be rated Satisfactory or above.	At least three criteria are rated Satisfactory or higher, and only four criteria may be rated Needs Improvement.	One or more criteria are rated Inadequate, or five or more criteria are rated Needs Improvement.
DECISION				
APPROVE – the project is of sufficient quality to be approved in its current form**.** Any management actions must be addressed in a timely manner. **APPROVE WITH QUALIFICATIONS –** the project has issues that must be addressed before the project document can be approved. Any management actions must be addressed in a timely manner. **DISAPPROVE** – the project has significant issues that should prevent the project from being approved as drafted.				
RATING CRITERIA **Select the option that best reflects the project**				
STRATEGIC				
1. Does the project specify how it will contribute to higher level change through linkage to the programme's Theory of Change? 3: The project is clearly linked to the programme's theory of change. It has an explicit change pathway that explains how the project will contribute to outcome level change and why the project's strategy will likely lead to this change. This analysis is backed by credible evidence and/or validation of what works effectively in this context and includes assumptions and risks. 2: The project is clearly linked to the programme's theory of change. It has a change pathway that explains how the project will contribute to outcome-level change and why the project strategy will likely lead to this change. 1: The project document may describe in generic terms how the project will contribute to development results, without an explicit link to the				

programme's theory of change.

*Note: Projects not contributing to a programme must have a project-specific Theory of Change. See alternative question under the lightbulb for these cases.

3	**Evidence:**
2	Yes, the document clearly outlines the project-specific Theory of Change (Page 10).
1	

2. Is the project aligned with the UNDP Strategic Plan?

3: The project responds to at least one of the development settings as specified in the Strategic Plan and adapts at least one Signature Solution. The project's RRF includes all the relevant SP output indicators. (all must be true)

2: The project responds to at least one of the development settings as specified in the Strategic Plan. The project's RRF includes at least one SP output indicator, if relevant. (both must be true)

1: The project responds to a partner's identified need, but this need falls outside of the UNDP Strategic Plan. Also select this option if none of the relevant SP indicators are included in the RRF.

3	**Evidence:** The project explicitly responds to recipient countries identified needs.
2	Yes the project fully responds to one of the development settings in the SP 2022-2025 and corresponds to at least two signature
1	solutions Pages 9, p 22 of prodoc
	• Direction of Change: Structural transformation, including green, inclusive and digital transitions
	• The project responds to Signature solution 2: "Strengthen effective, inclusive and accountable governance" and Signature solution 3: "Enhance national prevention and recovery capacities for resilient societies."
	• Enabler "Digitalisation"

3. Is the project linked to the programme outputs? (i.e., UNPS Results Group Workplan/CPD, RPD or Strategic Plan IRRF for global projects/strategic interventions not part of a programme)

Yes (3)	
No (1)	

RELEVANT

4. Does the project target groups left furthest behind?

3: The target groups are clearly specified, prioritising discriminated, and marginalized groups left furthest behind, identified through a rigorous process based on evidence.

2: The target groups are clearly specified, prioritizing groups left furthest behind.	
1: The target groups are not clearly specified.	
*Note: Management Action must be taken for a score of 1. Projects that build institutional capacity should still identify targeted groups to justify support	
3	**Evidence:**
2	The project primarily targets Border and partner agency capacity in managing border reopening following the COVID-19 pandemic.
1	The mandate and effectiveness of these agencies is directly linked to public health outcomes, supply chain security, and both incoming and outgoing traveller movements contributing to the economic and social well-being of populations in partner countries and their diasporas which in turn empowers and supports employment and gender/inclusiveness outcomes.

5. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design?

3: Knowledge and lessons learned backed by credible evidence from sources such as evaluation, corporate policies/strategies, and/or monitoring have been explicitly used, with appropriate referencing, to justify the approach used by the project.

2: The project design mentions knowledge and lessons learned backed by evidence/sources, but have not been used to justify the approach selected.

1: There is little or no mention of knowledge and lessons learned informing the project design. Any references made are anecdotal and not backed by evidence.

*Note: Management Action or strong management justification must be given for a score of 1

3	**Evidence:**
2	The purpose of this project is to implement and/or scale up the initiatives based upon global standards and lesson-learned in terms of
1	approaches to border management and the COVID-19 response, including but not limited to WHO, IOM, and ICAO CART guidance, operating procedures and policies.

PRINCIPLED

6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national/regional/global partners and other actors?

3: An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project, including identification of potential funding partners. It is clear how results achieved by partners will complement the project's intended results and a communication strategy is in place to communicate results and raise visibility vis-à-vis key partners. Options for south-south and triangular cooperation have been considered, as appropriate. (all must be true)

2: Some analysis has been conducted on the role of other partners in the area where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project, with unclear funding and communications strategies or plans.

1: No clear analysis has been conducted on the role of other partners in the area that the project intends to work. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance.

*Note: Management Action or strong management justification must be given for a score of 1

3	**Evidence:** Yes UNDP has a clear advantage and the role of other partners is analysed in the partnerships and stakeholders section of the project document
2	
1	

7. Does the project apply a human rights-based approach?

3: The project is guided by human rights and incorporates the principles of accountability, meaningful participation, and non-discrimination in the project's strategy. The project upholds the relevant international and national laws and standards. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. (all must be true)

2: The project is guided by human rights by prioritizing accountability, meaningful participation and non-discrimination. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget. (both must be true)

1: No evidence that the project is guided by human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered.

*Note: Management action or strong management justification must be given for a score of 1

3	**Evidence:**
2	The project adopts a human rights-based approach. This project specifically includes provision to strengthen the oversight of independent monitors such as Audit Offices and Parliaments, as well as Civils society to ensure the proper end effective implementation of COVID-19 related policies and procedures by partner agencies. The project also explicitly identifies UN policy guidance and incorporates model standard operating procedures which incorporate human rights and gender considerations into their design.
1	

8. Does the project use gender analysis in the project design?

3: A participatory gender analysis has been conducted and results from this gender analysis inform the development challenge, strategy and expected results sections of the project document. Outputs and indicators of the results framework include explicit references to gender equality, and specific indicators measure and monitor results to ensure women are fully benefitting from the project. (all must be true)

2: A basic gender analysis has been carried out and results from this analysis are scattered (i.e., fragmented and not consistent) across the development challenge and strategy sections of the project document. The results framework may include some gender sensitive outputs and/or activities but gender inequalities are not consistently integrated across each output. (all must be true)

1: The project design may or may not mention information and/or data on the differential impact of the project's development situation on gender relations, women and men, but the gender inequalities have not been clearly identified and reflected in the project document.

*Note: Management Action or strong management justification must be given for a score of 1

3	**Evidence:** The Development challenge section of the Project Document outlines the gender impact of the responses to COVID-19, and gender considerations are explicitly enunciated in Part II (Strategy) of this Project Document. In addition the outputs emphasis gender equality considerations
2	
1	

9. Did the project support the resilience and sustainability of societies and/or ecosystems?

3: Credible evidence that the project addresses sustainability and resilience dimensions of development challenges, which are integrated in the project strategy and design. The project reflects the interconnections between the social, economic and environmental dimensions of sustainable development. Relevant shocks, hazards and adverse social and environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. (all must be true).

2: The project design integrates sustainability and resilience dimensions of development challenges. Relevant shocks, hazards and adverse social and environmental impacts have been identified and assessed, and relevant management and mitigation measures incorporated into project design and budget. (both must be true)

1: Sustainability and resilience dimensions and impacts were not adequately considered.

*Note: Management action or strong management justification must be given for a score of 1

3	**Evidence:**
2	The project design inherently integrated sustainability starting with high level government ownership of the project and high level and technical level consultations with each of the focus countries to support identify and define the challenges and gaps in capacity to be supported by the project partner agencies, in conjunction with the other key stakeholders, will take ownership of the design and the activities to be carried out in order to fulfil the outcome of the project. For sustainability of intervention, the budget incorporates
1	

	intense capacity building for the border agencies throughout the duration. This is further bolstered by development of systems including SOPs and protocols for long term support and implementation beyond the duration of the project.

10. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks? The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences and/or communication materials and information dissemination. [if yes, upload the completed checklist. If SESP is not required, provide the reason for the exemption in the evidence section.]

Yes (3)	**Evidence:** SESP is attached.
No (1)	

MANAGEMENT & MONITORING

11. Does the project have a strong results framework?

3: The project's selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators that measure the key expected development changes, each with credible data sources and populated baselines and targets, including gender sensitive, target group focused, sex-disaggregated indicators where appropriate. (all must be true)

2: The project's selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of target group focused, sex-disaggregated indicators, as appropriate. (all must be true)

1: The project's selection of outputs and activities are not at an appropriate level; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators. (if any is true)

*Note: Management Action or strong management justification must be given for a score of 1

3	**Evidence:**
2	Yes. Refer to the Results Framework at Part V of this Project Document.
1	

12. Is the project's governance mechanism clearly defined in the project document, including composition of the project board?

3: The project's governance mechanism is fully defined. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. (all must be true).

2: The project's governance mechanism is defined; specific institutions are noted as holding key governance roles, but individuals may not have been

specified yet. The project document lists the most important responsibilities of the project board, project director/manager and quality assurance roles. (all must be true)

1: The project's governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided.

*Note: Management Action or strong management justification must be given for a score of 1

3	**Evidence:**
2	Yes. Refer to Part VIII of the Project Document.
1	

13. Have the project risks been identified with clear plans stated to manage and mitigate each risk?

3: Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the programme's theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis such as funding potential and reputational risk. Risks have been identified through a consultative process with key internal and external stakeholders, including consultation with the UNDP Security Office as required. Clear and complete plan in place to manage and mitigate each risk, including security risks, reflected in project budgeting and monitoring plans. (both must be true)

2: Project risks related to the achievement of results are identified in the initial project risk log based on a minimum level of analysis and consultation, with mitigation measures identified for each risk.

1: Some risks may be identified in the initial project risk log, but no evidence of consultation or analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified, no initial risk log is included with the project document and/or no security risk management process has taken place for the project.

*Note: Management Action must be taken for a score of 1

3	**Evidence:**
2	Please refer to the Risk Log in Annex III
1	

EFFICIENT

14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design?

This can include, for example: i) using the theory of change analysis to explore different options of achieving the maximum results with the resources available; ii) using a portfolio management approach to improve cost effectiveness through synergies with other interventions; iii) through joint

operations (e.g., monitoring or procurement) with other partners; iv) sharing resources or coordinating delivery with other projects, v) using innovative approaches and technologies to reduce the cost of service delivery or other types of interventions.

Yes (3)	Evidence: Part IV of this Project Document – "Management Arrangements"
No (1)	

15. Is the budget justified and supported with valid estimates?

3: The project's budget is at the activity level with funding sources and is specified for the duration of the project period in a multi-year budget. Realistic resource mobilisation plans are in place to fill unfunded components. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget. Adequate costs for monitoring, evaluation, communications and security have been incorporated.

2: The project's budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget, but no funding plan is in place. Costs are supported with valid estimates based on prevailing rates.

1: The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget.

3	**Evidence:**
2	Refer to the Multi-year Workplan and budget at Part VII of this Project Document. The budgets have been estimated. Fluctuations in
1	foreign exchange exposure have been incorporated into the budget estimates. Resources and funding for the project have been confirmed by the Government of Japan

16. Is the Country Office/Regional Hub/Global Project fully recovering the costs involved with project implementation?

3: The budget fully covers all project costs that are attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.)

2: The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant.

1: The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project.

*Note: Management Action must be given for a score of 1. The budget must be revised to fully reflect the costs of implementation before the project commences.

3	**Evidence:**
2	The full project budget of $4.2million over a period of 3 years is fully funded by the government of Japan. All programmatic
1	operational aspects are fully covered. Refer to the Multi-year Workplan at Part VII of this Project Document. The budget has been set

	up to account for the Direct Project Costing using UPL and LPL, mandatory corporate levies (GMS and Coordination Levy) have also been accounted for.

EFFECTIVE

17. Have targeted groups been engaged in the design of the project?

3: Credible evidence that all targeted groups, prioritising discriminated and marginalized populations that will be involved in or affected by the project, have been actively engaged in the design of the project. The project has an explicit strategy to identify, engage and ensure the meaningful participation of target groups as stakeholders throughout the project, including through monitoring and decision-making (e.g., representation on the project board, inclusion in samples for evaluations, etc.)

2: Some evidence that key targeted groups have been consulted in the design of the project.

1: No evidence of engagement with targeted groups during project design.

3	Evidence: Please refer to the development challenge section of the project document and the strategy section where all key target
2	groups which are the border agencies, oversight bodies and CSOs have been identified
1	

18. Does the project plan for adaptation and course correction if regular monitoring activities, evaluation, and lesson learned demonstrate there are better approaches to achieve the intended results and/or circumstances change during implementation?

Yes (3)	Evidence:
No (1)	Yes. Refer to Part VI of this Project Document – "Monitoring and evaluation".

19. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.

*Note: Management Action or strong management justification must be given for a score of "no"

Yes (3)	Evidence: The Development challenge section of the Project Document outlines the gender impact of the responses to COVID-19, and
No (1)	gender considerations are explicitly enunciated in Part II (Strategy) of this Project Document.

SUSTAINABILITY & NATIONAL OWNERSHIP

20. Have national/regional/global partners led, or proactively engaged in, the design of the project?

3: National partners (or regional/global partners for regional and global projects) have full ownership of the project and led the process of the development of the project jointly with UNDP.

2: The project has been developed by UNDP in close consultation with national/regional/global partners.

1: The project has been developed by UNDP with limited or no engagement with national partners.

3	Evidence: Refer to "Stakeholder Engagement" in Part III, and "Governance and Management Arrangements" at Part VIII of this Project
2	Document.
1	

21. Are key institutions and systems identified, and is there a strategy for strengthening specific/ comprehensive capacities based on capacity assessments conducted?

3: The project has a strategy for strengthening specific capacities of national institutions and/or actors based on a completed capacity assessment. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly.

2: A capacity assessment has been completed. There are plans to develop a strategy to strengthen specific capacities of national institutions and/or actors based on the results of the capacity assessment.

1: Capacity assessments have not been carried out.

3	**Evidence:**
2	Evidence: Refer to the Development Challenge, Strategy and "Stakeholder Engagement sections of the Project Document.
1	

22. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.,) to the extent possible?

Yes (3)	Evidence: Refer to Part III of this Project Document – "Sustainability and Scaling up", Part VI - "Monitoring and evaluation", and
No (1)	"Governance and Management Arrangements" at Part VIII.

23. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation and communications strategy)?

Yes (3)	**Evidence:** Refer to Part III of this Project Document – "Sustainability and Scaling up".
No (1)	

ANNEX II: SOCIAL AND ENVIRONMENTAL SCREENING TEMPLATE (2021 SESP TEMPLATE, VERSION 1)

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document at the design stage. Note: this template will be converted into an online tool. The online version will guide users through the process and will embed relevant guidance.

Project Information

Project Information	
1. Project Title	The Project for Strengthening Border Control Capacity for the COVID-19 Crisis
2. Project Number (i.e. Atlas project ID, PIMS+)	Project Number 00134671
3. Location (Global/Region/Country)	UNDP Pacific Office- Fiji, Vanuatu, Palau
4. Project stage (Design or Implementation)	Design
5. Date	July 2021

Part A. Integrating Programming Principles to Strengthen Social and Environmental Sustainability

QUESTION 1: How Does the Project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?
Briefly describe in the space below how the project mainstreams the human rights-based approach
Human rights are an integral part of the project as the project is focused on supporting three Pacific governments and border agencies to safely re-open borders in the context of covid-19. This is critical essential from a right to health perspective but also from the perspective of free dome of movement within and across borders and
Briefly describe in the space below how the project is likely to improve gender equality and women's empowerment
COVID-19 outbreak has affected women, men, transgender people, people with diverse gender and identity expression, and children differently. Early data indicates higher mortality rates for men, for example, while social and economic consequences may be more severe for women and girls. Given the widespread social consequences of infectious disease, the COVID-19 pandemic has significantly exacerbated pre-existing gender inequalities and stigmas alongside new areas of concern. The underrepresentation of gender-based needs in border control processes, health care services, public and political decision-making processes, and crisis response serves as an example of the uneven impact of COVID-19. This is an aspect that will be addressed by the project

Briefly describe in the space below how the project mainstreams sustainability and resilience
The project design inherently integrated sustainability starting with high level government ownership of the project and high level and technical level consultations with each of the focus countries to support identify and define the challenges and gaps in capacity to be supported by the project partner agencies, in conjunction with the other key stakeholders, will take ownership of the design and the activities to be carried out in order to fulfil the outcome of the project. For sustainability of intervention, the budget incorporates intense capacity building for the border agencies throughout the duration. This is further bolstered by development of systems including SOPs and protocols for long term support and implementation beyond the duration of the project. The projects aims to bolstering and strengthening border management institutions so they are resilient to the COVID-19 pandemic shocks and impact and are able to facilitate continuity of open borders linking the countries regionally and globally.
Briefly describe in the space below how the project strengthens accountability to stakeholders
The projects Strengthen accountability through provision of technical advice and support to independent oversight commissions, including Auditors-General and parliaments and civil society, to routinely conduct monitoring of national health and border agencies and their implementation of COVID-19 public health protocols, including considerations around treatment of vulnerable groups and gender considerations.

Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? *Note: Complete SESP Attachment 1 before responding to Question 2.*	QUESTION 3: What is the level of significance of the potential social and environmental risks? *Note: Respond to Questions 4 and 5below before proceeding to Question 5*			QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High
Risk Description (broken down by event, cause, impact)	*Impact and Likelihood (1-5)*	*Significance (Low, Moderate Substantial, High)*	*Comments (optional)*	*Description of assessment and management measures for risks rated as Moderate, Substantial or High*
Risk 1: ….N/A	I = L =			
Risk 2 …./NA	I = L =			
[add additional rows as needed]				

	QUESTION 4: What is the overall project risk categorization?		
	Low Risk	X	
	Moderate Risk	☐	
	Substantial Risk	☐	
	High Risk	☐	

	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (check all that apply)			
	Question only required for Moderate, Substantial and High Risk projects			
	Is assessment required? (check if "yes")	☐		*Status? (completed, planned)*
	if yes, indicate overall type and status		☐ Targeted assessment(s)	
			☐ ESIA (Environmental and Social Impact Assessment)	
			☐ SESA (Strategic Environmental and Social Assessment)	
	Are management plans required? (check if "yes)	☐		
	If yes, indicate overall type		☐ Targeted management plans (e.g. Gender Action Plan, Emergency Response Plan, Waste Management Plan, others)	
			☐ ESMP (Environmental and Social Management Plan which may include range of targeted plans)	
			☐ ESMF (Environmental and Social Management Framework)	

	Based on identified <u>risks</u>, which Principles/Project-level Standards triggered?		**Comments (not required)**
	Overarching Principle: Leave No One Behind		
	Human Rights	☐	
	Gender Equality and Women's Empowerment	☐	
	Accountability	☐	
	1. Biodiversity Conservation and Sustainable Natural Resource Management	☐	
	2. Climate Change and Disaster Risks	☐	
	3. Community Health, Safety and Security	☐	
	4. Cultural Heritage	☐	
	5. Displacement and Resettlement	☐	
	6. Indigenous Peoples	☐	
	7. Labour and Working Conditions	☐	
	8. Pollution Prevention and Resource Efficiency	☐	

Final Sign Off

Final Screening at the design-stage is not complete until the following signatures are included

Signature	Date	Description
QA Assessor	July 2021	UNDP staff member responsible for the project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver	July 2021	UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.

PAC Chair	July 2021	UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks	
INSTRUCTIONS: The risk screening checklist will assist in answering Questions 2-6 of the Screening Template. Answers to the checklist questions help to (1) identify potential risks, (2) determine the overall risk categorization of the project, and (3) determine required level of assessment and management measures. Refer to the SES toolkit for further guidance on addressing screening questions.	
Overarching Principle: Leave No One Behind **Human Rights**	**Answer (Yes/No)**
P.1 Have local communities or individuals raised human rights concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?	NO
P.2 Is there a risk that duty-bearers (e.g. government agencies) do not have the capacity to meet their obligations in the project?	NO
P.3 Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?	NO
Would the project potentially involve or lead to:	
P.4 adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	NO
P.5 inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities? 24	NO
P.6 restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities?	NO
P.7 exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?	NO
Gender Equality and Women's Empowerment	
P.8 Have women's groups/leaders raised gender equality concerns regarding the project, (e.g. during the stakeholder engagement process, grievance processes, public statements)?	NO
Would the project potentially involve or lead to:	

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24 Prohibited grounds of discrimination include race, ethnicity, sex, age, language, disability, sexual orientation, gender identity, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender and transsexual people.

P.9	adverse impacts on gender equality and/or the situation of women and girls?	NO
P.10	reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	NO
P.11	limitations on women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? *For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being*	NO
P.12	exacerbation of risks of gender-based violence? *For example, through the influx of workers to a community, changes in community and household power dynamics, increased exposure to unsafe public places and/or transport, etc.*	NO
Sustainability and Resilience: Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard-specific questions below		
Accountability		
Would the project potentially involve or lead to:		
P.13	exclusion of any potentially affected stakeholders, in particular marginalized groups and excluded individuals (including persons with disabilities), from fully participating in decisions that may affect them?	NO
P.14	grievances or objections from potentially affected stakeholders?	NO
P.15	risks of retaliation or reprisals against stakeholders who express concerns or grievances, or who seek to participate in or to obtain information on the project?	NO
Project-Level Standards		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
Would the project potentially involve or lead to:		
1.1	adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? *For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes*	NO
1.2	activities within or adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	NO
1.3	changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	NO
1.4	risks to endangered species (e.g. reduction, encroachment on habitat)?	NO
1.5	exacerbation of illegal wildlife trade?	NO
1.6	introduction of invasive alien species?	NO

1.7	adverse impacts on soils?	NO
1.8	harvesting of natural forests, plantation development, or reforestation?	NO
1.9	significant agricultural production?	NO
1.10	animal husbandry or harvesting of fish populations or other aquatic species?	NO
1.11	significant extraction, diversion or containment of surface or ground water? *For example, construction of dams, reservoirs, river basin developments, groundwater extraction*	NO
1.12	handling or utilization of genetically modified organisms/living modified organisms?25	NO
1.13	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)26	NO
1.14	adverse transboundary or global environmental concerns?	NO
Standard 2: Climate Change and Disaster Risks		
Would the project potentially involve or lead to:		NO
2.1	areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?	NO
2.2	outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters? *For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes*	NO
2.3	increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping practices)? *For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding*	NO
2.4	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	NO
Standard 3: Community Health, Safety and Security		
Would the project potentially involve or lead to:		
3.1	construction and/or infrastructure development (e.g. roads, buildings, dams)? (Note: the GEF does not finance projects that would involve the construction or rehabilitation of large or complex dams)	NO
3.2	air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation?	NO
3.3	harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)?	NO
3.4	risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?	NO

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25 See the Convention on Biological Diversity and its Cartagena Protocol on Biosafety.
26 See the Convention on Biological Diversity and its Nagoya Protocol on access and benefit sharing from use of genetic resources.

3.5	transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	NO
3.6	adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g. food, surface water purification, natural buffers from flooding)?	NO
3.7	influx of project workers to project areas?	NO
3.8	engagement of security personnel to protect facilities and property or to support project activities?	NO
Standard 4: Cultural Heritage		
Would the project potentially involve or lead to:		NO
4.1	activities adjacent to or within a Cultural Heritage site?	NO
4.2	significant excavations, demolitions, movement of earth, flooding or other environmental changes?	NO
4.3	adverse impacts to sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	NO
4.4	alterations to landscapes and natural features with cultural significance?	NO
4.5	utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes?	NO
Standard 5: Displacement and Resettlement		
Would the project potentially involve or lead to:		NO
5.1	temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)?	NO
5.2	economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	NO
5.3	risk of forced evictions?27	NO
5.4	impacts on or changes to land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	NO
Standard 6: Indigenous Peoples		
Would the project potentially involve or lead to:		
6.1	areas where indigenous peoples are present (including project area of influence)?	NO
6.2	activities located on lands and territories claimed by indigenous peoples?	NO
6.3	impacts (positive or negative) to the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the project is located within or outside of the lands and territories inhabited by the	NO

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27 Forced eviction is defined here as the permanent or temporary removal against their will of individuals, families or communities from the homes and/or land which they occupy, without the provision of, and access to, appropriate forms of legal or other protection. Forced evictions constitute gross violations of a range of internationally recognized human rights.

	affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?	
	If the answer to screening question 6.3 is "yes", then the potential risk impacts are considered significant and the project would be categorized as either Substantial Risk or High Risk	
6.4	the absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	NO
6.5	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	NO
6.6	forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	NO
	Consider, and where appropriate ensure, consistency with the answers under Standard 5 above	
6.7	adverse impacts on the development priorities of indigenous peoples as defined by them?	NO
6.8	risks to the physical and cultural survival of indigenous peoples?	NO
6.9	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	NO
	Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.	
Standard 7: Labour and Working Conditions		
Would the project potentially involve or lead to: (note: applies to project and contractor workers)		NO
7.1	working conditions that do not meet national labour laws and international commitments?	NO
7.2	working conditions that may deny freedom of association and collective bargaining?	NO
7.3	use of child labour?	NO
7.4	use of forced labour?	NO
7.5	discriminatory working conditions and/or lack of equal opportunity?	NO
7.6	occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?	NO
Standard 8: Pollution Prevention and Resource Efficiency		
Would the project potentially involve or lead to:		NO
8.1	the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	NO
8.2	the generation of waste (both hazardous and non-hazardous)?	NO

8.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	NO
8.4	the use of chemicals or materials subject to international bans or phase-outs? *For example, DDT, PCBs and other chemicals listed in international conventions such as the Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Convention*	NO
8.5	the application of pesticides that may have a negative effect on the environment or human health?	NO
8.6	significant consumption of raw materials, energy, and/or water?	NO

ANNEX III: RISK ANALYSIS

#	Description	Risk Category	Risk Level	Risk Treatment / Management Measures	Risk Owner
1	Inconsistent national policy-making and lack of high-level national and regional coordination may adversely affect project activities and outcomes	Political	Impact=3 Likelihood=2 Risk level = Moderate	• Work closely with the partner agencies to ensure activities are being guided by senior-level leadership. • Maintain a close and good relationship with project focal points and partner agency leadership to understand and respond to decisions affecting project work. • Work closely with other stakeholder institutions.	Project manager Agency leadership Partner Country Board representatives UN/UNDP leadership
2	Regulatory framework does not support project activities or outcomes	Regulatory	I=2 L=2 Risk level = Low	• Provide technical support to re-draft or institute key legislation, governance arrangements, policies, procedures	Project manager Agency leadership
3	Activities are conducted, and agency capacities increased, but with no meaningful impact on the border agency service or COVID-19 management outcomes.	Operational	I=3 L=1 Risk level = Low	• Work closely with agency leadership to ensure the right officers are selected for the right capacity development programmes, to deliver skills in the right places • Work closely with agency management to validate and prioritise support for equipment, infrastructure and technical support	Project manager

4	Equipment, systems and infrastructure deliverables do not satisfy policy, business and/or functional requirements	Organisational	I=3 L=2 Risk level = Low	• Validation and documentation of requirements with partner agencies is conducted at project inception and annually thereafter. • Work with development agencies, international partners and donors to identify opportunities to provide additional support to the project and agencies if necessary.	Project manager Agency leadership Development partners
5	Insufficient coordination with development partners.	Strategic	I=2 L=2 Risk level = Low	• Hold regular coordination meetings with development partners to address policy and emerging issues and identify methods of redress. • Work with Project Board and agency leadership to ensure consistency of approach.	Project manager Agency leadership Development partners