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Brief Description
Samoa, like many other Small Island Developing States (SIDS), has a negligible carbon footprint, but is disproportionately vulnerable to and affected by the impacts of climate change, including more frequent and extreme rainfall, unpredictable storms, droughts, and sea level rise. About 70-75% of Samoa’s population reside in low-lying coastal areas, highlighting their strong reliance on marine resources for subsistence and commerce. Infrastructure and utility services are also located in the coastal zones and thus at risk of extreme climate events. Despite contributing little to climate change, Samoa’s vulnerability is heightened by its small land area, fragile economy and lack of resources for climate adaptation. The country’s primary industries, such as agriculture and fishing, have been particularly impacted by changing weather patterns and natural disasters, and the tourism sector is highly vulnerable¹. The level of climate change resilience of communities depends on their socio-economic status, socio-cultural norms, and access to resources. Climate change does not affect everyone equally: it tends to amplify existing inequalities. Gender, age, and health status are important factors, as women, children, older persons, persons with disabilities and households living in rural areas are among the groups most at risk. In Samoa, environment-based activities make up the largest share of income for women more than for men, highlighting women’s disproportionate vulnerability to environmental degradation². While men are more employed in the agricultural sector³, women are also overrepresented in sectors that are affected by climate change and biodiversity loss, such as shallow marine harvesting. Environmental degradation caused by the climate crisis can amplify poverty and exacerbate vulnerability factors including on food and water insecurity, livelihoods, effective and timely access to quality health services, as well as governance and decision-making dynamics.⁴ These same groups are often sidelined from climate-related decision-making processes and leadership roles. While people and communities on the frontlines of climate change are often the most active and innovative in developing localized adaptation solutions, they lack access to the financial resources, technical capacity and support needed to implement them effectively. There is hence an important need for predictable locally-led and community-based adaptation (LLA/CBA) programming and investments with simple access modalities to unlock and catalyse the potential of communities to develop and implement people-centric, climate-smart development solutions that are effective, equitable, and transparent, to build resilience across Samoa.

¹ Samoa’s NDC Implementation Roadmap and Investment Plan, June 2021
² UN Women, Samoa Gender and [Environment Survey 2023 Report](#), published in 2024
³ Samoa Bureau of Statistics, [Samoa Labour Force and Child Labour Survey 2022](#), published in 2024
⁴ https://climateknowledgeportal.worldbank.org/sites/default/files/country-profiles/15821-WB_Samoa%20Country%20Profile-WEB.pdf

Through the *Samoa CARES: Building Sustainable Resilient Communities Together* Project, financially supported by the Australia Department of Foreign Affairs and Trade (DFAT) through direct bilateral grant via a Contribution Agreement with the UNDP, and under the leadership of Samoa’s Ministry of Natural Resources and the Environment, local communities in Samoa will be empowered to design and implement sustainable climate adaptation solutions. Building on the global momentum towards locally led adaptation, the main goal of CBA Phase 3 funding is to further enhance the capacities of local communities across priority landscapes/seascapes by building their social and ecological resilience to climate change, in line with the priorities of the Government of Samoa as set out in the National Pathway for the Development of Samoa 2021/22 – 2025/26 and the National Environment Sector Plan 2023 – 2027 emphasizing community empowerment, capacity building and effective climate action.

The Project will leverage the existing UNDP/Global Environment Facility (GEF) Small Grants Programme (SGP) modality to support the Ministry of Natural Resources and the Environment deliver on national climate and environment priorities. It will provide grants directly to community-based organizations, and local non-government and civil society organizations, contributing to the agreed outcomes of CBA Phase 3:

Outcome 1. Socio-economic and climate resilience is enhanced in select landscapes/seascapes through implementation of locally driven CBA solutions.

Outcome 2. Local communities and CSOs are capacitated for effective CBA and LLA implementation, knowledge-sharing, and policy representation at national levels.

Outcome 3. CBA solutions and innovations are replicated, scaled up and mainstreamed at the local and national levels.

Outcome 4. CBA and LLA approaches integrate principles of 'leaving no one behind' with an emphasis on vulnerable communities ensuring the inclusion of women and girls, the elderly, youth and persons with disabilities (PwDs).

Contributing Outcome: UNSDCF/MCPD 2023-2027 Outcome 1: By 2027, people, communities and institutions are more empowered and resilient to face diverse shocks and stresses, especially related to climate variability impacts, and ecosystems and biodiversity are better protected, managed and restored. Gender marker⁵: GEN2	Total resources required:	USD 1,277,139.36
	Total resources allocated:	DFAT: USD 1,277,139.36 (AUD 2,000,000 ⁶)
		Government: TBC
		Grantee In-Kind: TBC

⁵ The Gender Marker measures how much a project invests in gender equality and women’s empowerment. Select one for each output: GEN3 (Gender equality as a principal objective); GEN2 (Gender equality as a significant objective); GEN1 (Limited contribution to gender equality); GEN0 (No contribution to gender quality)

⁶ The applicable UN Operational Rate of Exchange for the month of May 2025 was used.

United Nations Development Programme
Project Document

Agreed by (signatures):

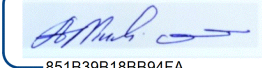
UNDP	Ministry of Natural Resources and Environment
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List of Acronyms

CBA	Community-Based Adaptation
CBO	Community-Based Organisation
CIMP	Community Integrated Management Plan
CSEP	Community and Stakeholder Engagement Plan
CSO	Civil Society Organisation
DDP	District Development Plan
DFAT	Australia Department of Foreign Affairs and Trade
GDP	Gross Domestic Product
GEF	Global Environment Facility
GEN	UNDP Gender Equality Marker
LLA	Locally-Led Adaptation
M&E	Monitoring and Evaluation
MCPD	Multi-Country Programme Document for the Pacific Islands Countries and Territories ⁷
NGO	Non-Governmental Organisation
PDS	Pathway for the Development of Samoa
PL-GRM	Project Level Grievance Redress Mechanism
PMU	Project Management Unit
SDG	Sustainable Development Goal
SECU	Social and Environmental Compliance Unit
SES	Social and Environmental Safeguards
SESP	Social and Environmental Screening Procedure
SGP	GEF Small Grants Programme
SIDS	Small Islands Developing State(s)
SRM	Stakeholder Redress Mechanism
UNSDCF	United Nations Sustainable Development Cooperation Framework
MCO	Multi-Country Office

⁷ Multi-Country Programme Document for the Cook Islands, Federated States of Micronesia, Fiji, Kiribati, Nauru, Niue, Palau, Republic of the Marshall Islands, Samoa, Solomon Islands, Tokelau, Tonga, Tuvalu, and Vanuatu (2023-2027)

I. DEVELOPMENT CHALLENGE

Climate change continues to be one of the greatest challenges facing our planet and humanity today and could drive an additional 100 million people into poverty by 2030. Local communities across Small Island Developing States (SIDS), including Samoa, are least responsible for climate change, yet are the most vulnerable and suffer the most from its impacts.

Like many SIDS, Samoa faces a multitude of environmental and socio-economic impacts exacerbated by climate change. These challenges include droughts, rising temperatures, extreme weather events such as excessive precipitation and unpredictable storms, sea level rise leading to saltwater intrusion and coastal erosion, and the degradation of coral reefs due to bleaching. For example, Samoa has experienced devastating socioeconomic impacts because of climate change related disasters in the last 30 years. The tropical cyclones of the early 1990s, mid 2000s, 2012, 2016 and 2018 impacted over 40% of the population of Samoa with an average economic loss of 46% of the nation's total gross domestic product (GDP). For instance, Cyclones Ofa (1990) and Val (1991), which are listed amongst the top five most destructive cyclones in the South Pacific region during the last 50 years, caused damage ranging from destruction of infrastructure, disruption of critical services such as communications, and reduction of agricultural production to loss of livelihoods, worth USD 440 million and USD 605 million respectively.⁸ Additionally, in 2012, Tropical Cyclone Evan destroyed over 600 homes and displacing more than 7,500 people. The storm also damaged critical infrastructure including the international airport, main roads, bridges, and ports, whilst decimating crops and farms and consequently, disrupting the livelihoods of thousands of farmers and fishers in Samoa. The total economic damage was estimated to exceed USD 210 million, equivalent to about 30% of the country's gross domestic product (GDP) in 2011.⁹

Such climate-induced disasters not only threaten natural ecosystems but also ripple through every facet of society, often disproportionately impacting the most vulnerable. In Samoa, new vulnerabilities are emerging from the transition to a cash economy, urbanization and changing societal norms with the main six vulnerable groups identified being women, youth, children, the elderly, persons with disabilities (PwDs) and households in rural areas. Individuals belonging to these groups are more likely to be living below the poverty line and to have restricted access to basic social services, especially since vulnerability in Samoa is linked to a person's limited ability to participate in income-generating activities. Consequently, they are more susceptible to, and less easily able to recover from, adverse shocks and natural disasters.¹⁰

The vulnerabilities of SIDS like Samoa are compounded by their small land area and fragile economies. These factors amplify the urgency for climate adaptation efforts, yet communities often lack necessary resources and capacities, both financial and technical, to combat climate change. This consequence leads to inadequate adaptation at the local level, exacerbating vulnerabilities which include heightened poverty, food insecurity, and increased economic and social disparities, potentially reversing recent gains in human development. The COVID-19 pandemic in 2020-22 further strained Samoa's resilience, disrupting tourism-dependent economic sectors and supply chains, exacerbating food security issues, and undermining livelihoods at the local level. This compounding of crises underscores the critical need for holistic and bottom-up approaches to resilience-building in Samoa.

Despite the international momentum for climate action, a significant gap remains in funding for Locally Led Adaptation (LLA) solutions. Less than 10% of international climate funds are directed towards local actions¹¹, highlighting the need for increased support and enabling environments for community-driven initiatives, including in Samoa. Additionally, women's rights organizations and movements tend to be sidelined from

⁸ UNDP. (2014). EWACC Project Document.

⁹ World Bank. (2014). [Resilient Recovery in Samoa after Cyclone Evan](#).

¹⁰ USAID Adapt Asia-Pacific. (2014). [EWACC Socio-cultural Gender Considerations](#).

¹¹ International Institute for Environment and Development. (2019). <https://www.iied.org/climate-finance-not-reaching-local-level>

Official Development Assistance (ODA) of which they access less than 1% of global flows, despite often being frontliners of community response in development and humanitarian efforts¹². Mainstreaming Community-Based Adaptation (CBA) not just into national strategies and policies but local governance frameworks remain fragmented across Samoan communities, reducing the enabling environment for local resilience. Whilst Community Integrated Management Plans (CIMPs) and District Development Plans (DDPs) exist, in Samoa ensuring the priorities identified are translated into local actions that foster resilience at all levels of the community continues to remain a challenge.

Building the resilience of local communities to climate shocks and disasters is not only an ethical imperative but can also have positive impacts on the environment, the economy, and well-being, as well as reduce inequalities and contribute to the Sustainable Development Goals (SDGs). Not only are climate resilient communities better able to cope with climate change impacts, but this improved resiliency is also applicable to other shocks and stressors, such as current and future pandemics, and economic and social crises. This enhanced resilience is particularly vital for vulnerable and marginalized communities.

Ensuring that there is a critical mass of small-scale strategic funding with appropriate access modalities made available to local communities will be essential in enabling developing countries including Samoa to implement Agenda 2030 and the Paris Agreement. Local-level action makes it easier to integrate the development and climate agendas, increasing effectiveness, efficiency, and sustainability. Local institutions, by virtue of being closer to the ground, are more transparent and accountable to communities and build trust between government, donors and local communities. They can also better understand trade-offs between groups due to being better connected to local realities. Critically, through action based at the level of their own communities, women, PwDs, young people and the socially excluded can gain a greater voice and ensure their needs are better considered and addressed in adaptation efforts.¹³

II. STRATEGY

Community-Based and Locally Led Adaptation Approach

The [Global Commission on Adaptation](#) has found that when decision making and finance are directed to local actors, adaptation actions are more successful and sustainable in the long term. LLA was a central theme at the Climate Adaptation Summit 2021 and at COP26 and [eight principles](#) were developed to ensure that local communities and actors are at the core of future climate change adaptation efforts. The principles aim to deliver a climate-resilient future that is guided by inclusive engagement and participation, equity, and social justice. They recommend recognizing and addressing inequalities that act as root causes of vulnerability, while encouraging marginalized individuals to meaningfully participate in and lead adaptation decisions. The impetus for locally led and community-based adaptation is increasing, and the international community has already committed support to this renewed focus on locally led adaptation.

The [Pathway for Development of Samoa \(PDS\) 2021/22-2025/26](#) emphasizes the importance of empowering communities in resilience-building efforts through enhancing access to social, economic, political and environmental opportunities to be productive whilst protecting themselves against shocks. Samoan communities, deeply rooted in traditional knowledge and cultural practices, already play a pivotal role in conservation, resource management, climate adaptation, and disaster risk reduction initiatives. Therefore, it is essential that CBA and LLA is mainstreamed into overarching climate change adaptation strategies, programming, policies and interventions at the local level, and community stakeholders must be given platforms to exercise their agency, voice their opinions and share their experiences, traditional and cultural knowledge, solutions, and learnings to do so. The PDS similarly emphasises the critical importance of building capacities and capabilities of communities to ensure local actors are equipped and sufficiently resourced to implement effective LLA and CBA interventions, in turn enhancing climate change resilience, environmental

¹² OECD DAC Network on Gender Equality, Latest data on ODA for gender equality and women's empowerment, 2024.

¹³ International Institute for Environment and Development. (2019). <https://www.iied.org/climate-finance-not-reaching-local-level>

protection and management, conservation and sustainable use of natural resources at the grassroots level. Finally, the PDS acknowledges the role of digital technologies and the transformative opportunities they present to build socio-economic and community resilience in the face of climate change, for example through improving access to information that can facilitate disaster response, management and reconstruction efforts, promoting risk reduction and preparedness, and improving capacities to withstand and adapt to the impact of climate change. The National Environment Sector Plan 2023 – 2027 (NESP) focuses on sustainable resource management, climate change and disaster resilience, and robust environmental governance. These further advances the goals of the Samoa CARES Village Charter Initiative to strengthen local resilience and also provides the government with a powerful tool to leverage development funding, showcasing a community-driven approach that attracts support from both local and international sources. The development and implementation of the national Community Integrated Management Plans (CIMP) and District Development Plans (DDP) have also made significant strides in promoting community-based sustainable environment and resources management as well as climate change and disaster resilience actions. For Samoa, this means a future where villages are hubs of sustainability – resilient to climate shocks, economically secure and deeply connected to their environment and heritage.

UNDP has endorsed the principles for LLA and made commitments reflected in the [UNDP Strategic Plan 2022-2025](#) to pursue increased financing to local actors and assist civil society and local communities to improve the processes and capacities required to access funds and technical assistance. [UNDP's Local Action practice area and service offer](#) aims to enhance and scale up support to local communities, Indigenous Peoples, and civil society by building on the extensive and tested operational experience, national presence, and organizational framework of UNDP's largest, most widespread, and longest-running community-focused initiative, the GEF Small Grants Programme (SGP), among other UNDP community-based initiatives.

The SGP's model of change (see Figure 1) empowers local civil society and Community-Based Organizations (CBOs), including women, Indigenous Peoples, youth and PwDs, to design and lead actions to address global environmental issues, while improving livelihoods and reducing poverty. It is based on the active promotion of civic space and shared governance arrangements with national and local governments, combined with a progressive shift towards longer term programmatic approaches that channel development finance to local actors through demand-driven, experimental, and adaptive techniques, rather than through short-term, rigid, and fragmented project-driven timeframes. UNDP focuses its support to local actors on three essential solution pathways:

- 1) **Civil Society empowerment:** strengthen civil society agency through collective action that empowers communities to strengthen governance, agency, and advocacy;
- 2) **Resilience:** support communities in building the socio-ecological resilience of their land/seascapes through nature-based solutions; and
- 3) **Investment:** transform financial and funding flows to communities to accelerate and sustain local collective action.

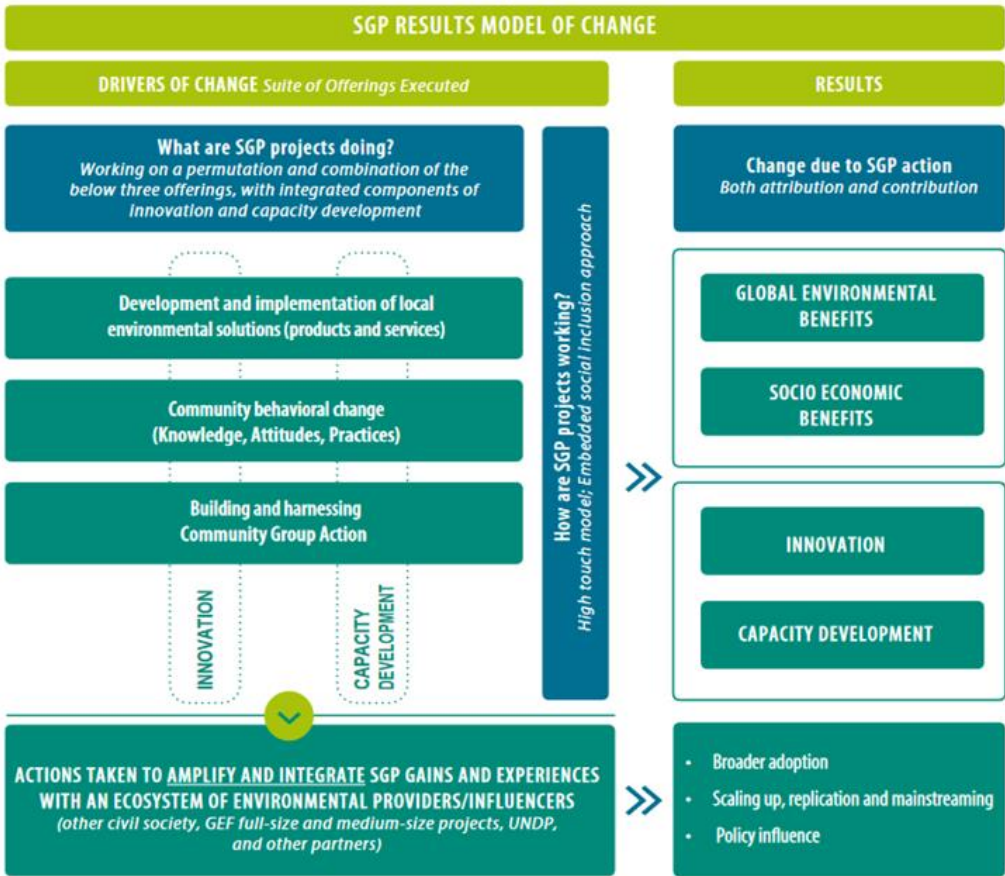


Figure 1: SGP Results Model of Change

Australia-UNDP Community-Based Adaptation Programme in Asia and Pacific Phase 3

The Government of Australia has maintained a long-standing strong focus on funding climate adaptation and resilience efforts as part of its contribution to global climate financing. Over 70% of Australia’s climate finance targets adaptation and resilience building challenges. Recognizing our shared commitment, DFAT has partnered with UNDP at the global level since 2009 under the **Community-Based Adaptation (CBA) Programme in Asia and Pacific** – implemented through the Mekong-Asia-Pacific (MAP CBA) and SIDS Community Based Adaptation (SIDS CBA) Programmes¹⁴ in 2009-20, and the new [CBA Phase 3 \(2022-26\)](#) (see Figure 2).

CBA Phase 3 aims to directly contribute to the second pillar of UNDP Local Action framework, strengthening socio-ecological resilience of targeted land/seascapes and local communities via a systemic approach. As such, CBA Phase 3 provides the entry points for many community-based organizations to integrate their efforts on resilience building and adaptation knowledge with UNDP’s range of development offers, including its [Nature Pledge](#) and [Climate Promise](#), in support of national commitments aligned to the Paris Agreement and Global Biodiversity Framework.

The activities supported under CBA Phase 3 will complement the GEF-SGP Operational Phase (OP) 7 activities, and leverage the existing SGP modality, providing grants directly to community-based organizations, and local Non-Governmental Organizations (NGOs) and Civil Society Organizations (CSOs).

¹⁴ The MAP CBA and SIDS CBA programmes supported 237 projects in 41 countries (including 37 SIDS), with a total funding volume of AUD 12 million.

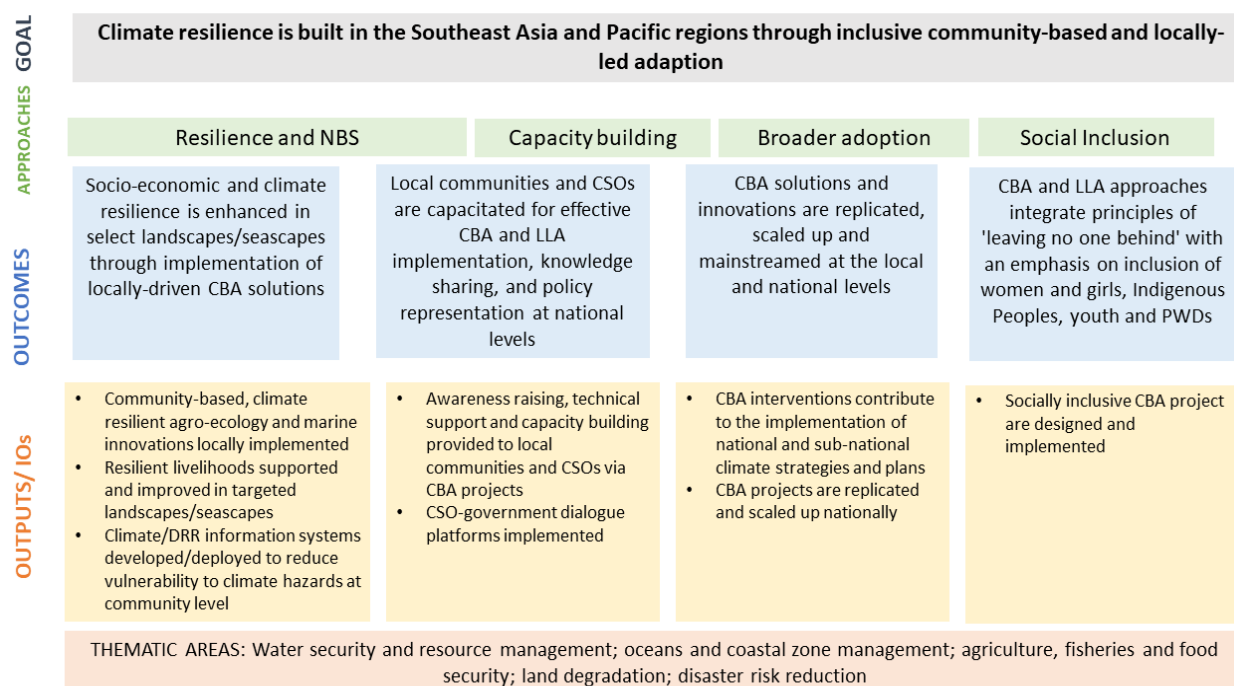


Figure 1: CBA Phase 3 Theory of Change

Building on the lessons learned from past SGP projects will be important for implementation of CBA Phase 3 in Samoa. There is a wealth of experience since the inception of the SGP in Samoa¹⁵ in 2003 - until the end of OP-6, UNDP supported 215 small grant LLA/CBA projects implemented by NGOs/CSOs/CBOs with a total volume of USD 3.9 million. OP-7 is currently under implementation.

SGP results story 1: Conservation. Four SGP project grantees in Samoa have formed a network to conserve mangrove ecosystems within five marine protected areas (MPAs), including the demarcation of 'no take' zones. Since many people in Samoa do not fully understand the ecological and economic value of mangroves, a series of mangrove biodiversity audits (BDAs) were conducted by SGP partners, working with the Samoa Ministry of Natural Resources and Environment and external experts. In the process of preparing the BDAs, community members were asked to take part in surveys to ensure that traditional knowledge was adequately captured. The biodiversity records revealed that 28 associated plant varieties (with some used for medicinal purposes), 14 avian species, and 14 invertebrates were present in the mangrove ecosystems. Twelve different fish species were also recorded at different stages in their life cycle, indicating a relatively constant figure in all of the four villages surveyed. The awareness and buy-in of villagers to conserve the coastal ecosystems were increased through the BDAs. With the scientific knowledge gained from the BDAs, the villages developed a set of management plans to restore the natural state of the mangrove ecosystems. Given that mangroves in Samoa are often used as dumping grounds, the degraded areas were targeted for rehabilitation work, such as replanting and cleaning up of plastic, solids, and all types of waste dumped into the areas. As Samoans' diet is heavily reliant on fish protein, and coastal erosion and over-fishing have negatively impacted coral reefs, MPAs have become increasingly in demand at community levels. Through the mangrove network, five communities which conducted the BDAs decided to subsequently implement 'no take' zones with village by-laws to ban various forms of illegal fishing. As a cumulative result of the SGP interventions in Samoa, at least 16.2 hectares of MPAs have been designated in the five communities, and 51.8 hectares of mangroves areas protected in four communities. (Source: SGP Annual Monitoring Report 2017-2018)

¹⁵ Of note, the SGP Samoa Programme is a sub-regional programme that covers Samoa, Cook Islands and Niue. The number of projects indicated is for the three countries, although the projects implemented in Samoa represent the largest share.

SGP results story 2: Waste management. SGP supported the Savai'i Samoa Tourism Association (SSTA) to improve waste management of local communities. In some rural communities, people discarded rubbish in the forests and in key landscapes such as the Salelologa district where the endangered national bird of Samoa, Manumea, was last seen. This posed an increasing threat to the local environment, particularly the water system as well as community health, and negatively impacted on the local tourism experience. SSTA worked with five Savai'i districts setting up 250 waste stands for household waste collection and educated residents to separate "light" from "heavy" waste. Organic waste was also separated and used for feeding animals. As most houses were located close to the shoreline, increased awareness and improved waste collection infrastructure resulted in a significant reduction of waste entering the marine environment. In addition, Satupaitea village amended its by-laws to ensure proper management of waste throughout its sub-villages. Near 2,000 people benefitted from the project, including 900 children. As a result of this, there is now only minimal waste being dumped in the environment in the village, and no more open burning of solid waste emitting POPs. (*Source: SGP Annual Monitoring Report 2020-2021*)

While there are no country-specific evaluations of the SGP, lessons learned, conclusions and recommendations have been captured in three independent joint GEF-UNDP SGP global evaluations¹⁶ and a [2021 10-year review of the CBA programme](#).

The most recent global GEF-UNDP independent evaluation of the SGP concluded that:

1. The SGP is highly relevant to evolving environmental priorities at all levels as a result of both the type of activities and the way in which activities are implemented with SGP support, and the combination of environmental, social and economic benefits contributes to maintaining local relevance and boosting effectiveness.
2. Throughout its consecutive OPs, the SGP has been consistent in its delivery of environmental results at local, national, and global levels and in generating economic and social benefits. The SGP's inclusiveness, demand-driven nature and innovativeness all contribute to its effectiveness at the local level. Importantly, the SGP benefits from high levels of ownership, visibility, and credibility as a form of social capital that can be built upon.
3. As a unique mechanism that channels funds to CSOs, many of which are new to development work, the SGP promotes new ways of working that are flexible enough to adapt to local circumstances. Because it is demand-driven, and because it allows for controlled risk-taking by organizations who have little capacity or who have been excluded for other reasons, the SGP is uniquely placed to act as a promoter of technical, institutional, and social innovation. The SGP's M&E system, however, does not provide sufficient granularity in the tracking of grants and grantees to support targeting of beneficiaries and to measure CSOs' capacity and maturity.
4. The measurement of sustainability in the SGP is not sufficiently nuanced to capture the nature of the work. In the cases where the SGP is offering first proof-of-concept financing, or working with newly constituted organizations, sustainability expressed in the strict terms of continued project outcomes is insufficient. Sustainability in the SGP requires an additional layer related to its intangible benefits. The nature of interventions supported by the SGP entails that the pathways to sustainability of results of individual grants require additional investment. This could be leveraged to design strategies for identifying promising projects as well as for incentivizing sustainability. The innovativeness of the SGP lies in the way it works with local partners, more than in the technologies or approaches it promotes. By building trust, reducing the risk in testing innovations, and fostering collaboration and dialogue, the SGP creates new conditions upon which the future of the sustainable development and

¹⁶ The most recent SGP Global Programme Evaluation was conducted in 2021:

<https://erc.undp.org/evaluation/documents/download/18857>

conservation movement can take root. The SGP should test new ways to track and aggregate the intangible results generated by countries benefiting from SGP inputs such as the benefits received from its capacity-building activities, monitoring and evaluation, communications, and knowledge management.

The 10-year review of the CBA programme noted the following key lessons learned:

1. Education, awareness, and capacity building: Despite a significant increase in general awareness regarding climate change, many local communities and stakeholders are still largely unfamiliar with the technical terms and concepts. It is thus important to explain climate change using locally relevant terms, techniques and examples when implementing community-based initiatives.

To empower people by developing new competencies and skills, capacity building should not just be one-off trainings but should be integrated throughout the project cycle and continue even after the project ends. Trainings and workshops should be adapted and customized based on the local context. Capacity building should not only focus on local communities but should also extend to other local actors and national stakeholders to help create linkages and strengthen relationships among all stakeholders and partners. Increased knowledge and capacity help to substantially improve community support, active participation, dialogue and the sustainability of CBA projects.

2. Local culture and traditional knowledge: Rural and natural resource-dependent communities usually have in-depth knowledge and understanding of their local environment, as they have relied on it to support their livelihoods for generations. They are often keen observers of environmental changes, and many have been adapting and adjusting to changes in their environment for decades. As such they possess detailed knowledge, memories and experiences in these areas that should be utilized in climate change adaptation work to complement and enhance scientific approaches to project design and policy implementation. Local culture, traditional practices and customs, and local governance systems also play important roles in ensuring community cohesion, mobilization and adoption of new practices. When these traditional governance systems are integrated into CBA project design, implementation and monitoring, then community leadership, participation and ownership can improve the success and sustainability of the initiatives.
3. Recognizing community diversity and cultural sensitivities: Communities are diverse and dynamic, and there are often as many similarities as there are differences. Wealth and resources, education, age, gender, etc., can create unequal distributions of power and rank within a community. It is important that these differences and nuances are identified and understood to ensure inclusive and participatory adaptation that is truly locally informed and –led, and results in successful locally relevant interventions. This means ensuring that the most vulnerable, whose opinions many times do not count, are proactively brought into the management and decision-making process early on. Women, youth, PwDs, the elderly, and other marginalized groups must have a strong voice and play an active role.
4. Time, patience, flexibility: Adaptation is process-driven and requires long-term engagement along a range of actions, including planning, implementation, monitoring, evaluation, and learning. Investments and tangible results are often not immediate, but they require dedication and persistence by all stakeholders. CBA involves observation and continuous M&E to determine if strategies are working, and strategies may need to be adjusted based on learnings and on-going climate challenges. Therefore, project proposals, workplans, budget and timelines need to be practical and flexible and contingency measures should always be considered. A one- or two-year project may not be realistic or feasible for achieving desired community adaptation outcomes. The elements of risk, delays, and failure must always be carefully considered when designing CBA interventions, especially in countries that are fragile and disaster-prone. Community engagement is crucial to CBA project success but takes time, and necessitates significant capacity building, training and understanding of local contexts. CBA may also require adjustments to longstanding behaviour and traditional or cultural practices.

These types of transitions require respect for local culture and understanding that people may be hesitant to make changes. While this requires patience and flexibility, active community engagement is crucial to success since it ensures community ownership in the long-term. Working with government agencies, national partners and other stakeholders can often be and time-consuming and is often a major challenge for civil society and community groups with limited capacity and experience. However, nurturing these relationships and partnerships is crucial to ensuring the sustainability of interventions and broader adoption of CBA practices.

5. Multi-stakeholder partnerships: Durable partnerships with government officials, the private sector, civil society, other UN agencies and international organizations, established at the outset and expanded throughout the projects, ensure that interventions will be sustained even after project activities are completed. There must be a clear logical plan to incorporate the benefits of the projects into the longer-term vision and activities of all partners, especially the government. Mainstreaming CBA and influencing policy are unlikely to have systemic impacts unless they are linked to national adaptation efforts and take place in a positive enabling environment. CBA projects can be vital for informing effective national adaptation policies: community project successes, challenges and learnings can help to strengthen the approach and design of national projects. Thus, to be truly effective CBA projects need to be aligned to national policy, and national adaptation strategies must actively consider community-level needs and perspectives. Policy dialogues and advocacy should also begin from the early design stages of CBA projects. The earlier technical experts, policymakers, and government agencies are brought into the project, the easier it will be to influence decision making and secure support for specific policy measures. Connecting, and pursuing synergies among, projects implemented in a particular geographic area with similar climate change challenges can amplify collective project results and benefits to achieve greater impact and facilitate better sharing of knowledge and learning.
6. Project monitoring: Project monitoring should continue even after the end of CBA projects to ensure that adaptation measures are being sustained. Often there are insufficient funds and capacity to do this after small-scale projects end, but this aspect of M&E can be taken up by local agencies, government partners and even academic institutions. This will also help to continue relationship building after project implementation.

Samoa CARES: Building Sustainable, Resilient Communities Together Project

In Samoa, CBA Phase 3 funding will be implemented through a dedicated new Project set up for this purpose, **Samoa CARES: Building Sustainable, Resilient Communities Together**. The Project seeks to further enhance the capacities of local communities across priority landscapes/seascapes by building social and ecological resilience to climate change. It focuses on green and blue recovery, 'building forward better' initiatives, building resilient livelihoods, and mainstreaming, scaling up and replicating CBA best practices to national processes and policies. The Samo CARES Project will align with the strategic priorities and initiatives, identified priority landscapes/seascapes and approach outlined in the [SGP OP7 Country Programme Strategy for Samoa](#), with CBA and LLA approaches integrating principles of 'leaving no one behind' with an emphasis on inclusion of women and girls, the elderly, youth, and PwDs, and be aligned with CIMP and DDPs to the maximum extent possible.

The Samoa CARES Project aims to build community climate resilience in Samoa through an inclusive, community-based, and locally led adaptation approach, focusing on four key areas: Resilience and Nature-Based Solutions (NBS), Capacity Development, Broader Adoption, and Social Inclusion, and thematic areas include water security and resource management, oceans and coastal zone management, agriculture, fisheries and food security, land degradation, and disaster risk reduction (DRR). By focusing on these areas, which are aligned with the SGP OP7 Country Programme Strategy, the Project aims to create a comprehensive and integrated approach to building climate resilience that is both inclusive and sustainable.

The Samoa CARES Project is therefore premised on the core theory of change that:

IF (1) capacities amongst Samoan local communities and NGOs/CSOs/CBOs for effective CBA and LLA are enhanced; (2) financial and technical support is channeled to the community level to implement effective CBA and LLA; (3) climate and DRR information systems are developed for and with local communities; **AND** (4) the "leaving no one behind" approach with an emphasis on including women and girls, the elderly, youth, and PWDs is mainstreamed throughout interventions;

THEN socio-economic and climate resilience of communities and the environment in select landscapes and seascapes will be enhanced;

THUS reducing the vulnerabilities of these communities to climate-induced disasters and socio-economic shocks, whilst leading to improved livelihoods and sustainable development. Communities will be better equipped to manage and adapt to climate risks, ensuring a resilient and inclusive future, particularly the most vulnerable groups. The overall resilience of both human and natural systems will be strengthened, contributing to long-term sustainability and stability in the face of ongoing and future climate challenges.

Resilience and Nature-Based Solutions: The Project will seek to enhance socio-economic and climate resilience in select landscapes and seascapes by implementing locally driven CBA solutions. Key outputs include the application of community-based, climate-resilient agro-ecology, and marine innovations. Additionally, resilient livelihoods will be supported and improved in targeted areas. Climate and DRR information systems will be developed to reduce vulnerability to hazards at the community level.¹⁷

Capacity Development: The Project will seek to capacitate local communities and NGOs/CSOs/CBOs for effective CBA and LLA implementation. Outputs include providing awareness-raising, on-demand technical assistance, and capacity building for local communities and NGOs/CSOs/CBOs via CBA projects. Knowledge exchanges between grantees and South-South exchanges with other SGP country programmes will be facilitated. The Project will also implement civil society-government dialogue platforms to enhance knowledge sharing and policy representation at national level.

Broader Adoption: The Project will seek to replicate, scale up, and mainstream CBA solutions and innovations at both local and national levels. Outputs include CBA interventions contributing to the implementation of national and sub-national climate strategies and plans. Successful CBA projects will be promoted for replication and scaling up nationally to ensure broader impact. Close partnership with Samoa's Ministry of Natural Resources and the Environment will be crucial in this regard.

Social Inclusion: CBA and LLA approaches will integrate principles of "leaving no one behind," with an emphasis on including women and girls, the elderly, youth, and PWDs. The Project will design and implement socially inclusive CBA projects to ensure equitable participation and benefits, and actively promote initiatives led by women, the elderly, youth and PWDs as agents of change in their communities.

Design and implementation of the Samoa CARES Project and the award of Low-Value Grants will be informed by the lessons learned and findings from the SGP global evaluation and the CBA review as relevant to the context of Samoa and practically feasible.

Given the absence of a dedicated evaluation of the SGP Samoa programme, and in order to contribute to building a robust body of evidence and ensure that systematic learning from the past informs the design of future small grants programmes in the country, an evaluation of past SGP OPs in Samoa will be undertaken through the Project.

Effective partnerships with the Samoan Government, NGOs/CSOs, the private sector, and international and regional development partners are crucial in achieving the outcomes of CBA Phase 3. As such, the Project will leverage local knowledge exchange platforms as well as sub-regional, regional and international networking opportunities. Through these avenues, the Project will seek to learn from experts and peers and share knowledge in communities of practice. These global exchanges in the past have helped to identify improved

¹⁷ These are soft and cost effective solutions that mainly involve design and installation of signages for evacuation routes/sites, hazard information boards, vulnerability and risk information that are then adopted to online platforms including social media apps being used by communities. This was demonstrated recently by the village of Vailele with the assistance of the FAIVA consultancy (i.e. grantees can identify the specific consultancies that will support them with system development).

approaches and innovations to ensure a systemic and comprehensive response that will be both substantive and targeted in building resilience of local communities.

III. RESULTS AND PARTNERSHIPS

Expected Results

Project Outcome 1: *Socio-economic and climate resilience is enhanced in select landscapes/seascapes through implementation of locally driven CBA solutions. [Gender Marker GEN-2]*

The implementation of locally driven CBA solutions is expected to enhance socio-economic and climate resilience in select landscapes and seascapes. This approach prioritizes the empowerment of local communities to develop and execute adaptation strategies and interventions tailored to their specific needs and contexts, thereby ensuring sustainability and relevance. By supporting resilient livelihoods and improving agricultural practices, the small grant projects will bolster food security and provide stable income sources for local communities. This includes the adoption of climate-resilient agro-ecological practices and sustainable green-blue economy practices that mitigate the impacts of climate variability and extreme weather events.

The Project will also promote the development and deployment of climate and DRR information systems to anticipate and respond to natural hazards effectively. This proactive approach will minimize infrastructure damage, protect critical services, and maintain the health of vital ecosystems such as coral reefs and mangroves.

Project Outcome 2: *Local communities and CSOs are capacitated for effective CBA and LLA implementation, knowledge sharing, and policy representation at national levels. [Gender Marker GEN-2]*

Capacity development initiatives will equip local communities, NGOs/CSOs/CBOs with the knowledge and skills required to implement effective CBA solutions. This will include training on climate risk assessment, resource management, and sustainable practices, fostering a culture of resilience and proactive adaptation. The Samoa SGP Technical Advisory Group (TAG), which is co-chaired by the Ministry of Natural Resources and Environment (MNRE) and the Ministry of Agriculture and Fisheries (MAF) will develop the training component of the project under the leadership of the SGP National Steering Committee (NSC). Technical capacity building will be first provided during the call for proposals workshop to support eligible applicants with the information and knowledge to complete a strong application. Throughout project implementation, on-demand on-site technical assistance will be provided by the TAG and the relevant government agencies.

Project Outcome 3: *CBA solutions and innovations are replicated, scaled up and mainstreamed at the local and national levels. [Gender Marker GEN-2]*

Successful CBA interventions will be documented, shared, and promoted to be replicated across Samoa and beyond. This process will ensure that good practices are adopted widely, amplifying the Project's impact and contributing to national climate resilience strategies. By facilitating platforms for community-government-CSO dialogues, the project will strengthen governance structures and enhance policy representation at local and national levels. This collaborative approach will ensure that community voices are heard and integrated into broader climate adaptation policies and plans. South-South exchanges with SGP country programmes in other countries will also be facilitated through UNDP's global knowledge network.

Project Outcome 4: *CBA and LLA approaches integrate principles of 'leaving no one behind' with an emphasis on vulnerable communities ensuring the inclusion of women and girls, youth and PwDs. [Gender Marker GEN-3]*

The Project will ensure that the principle of "leaving no one behind" is integral to all interventions. Emphasis will be placed on the inclusion of women, youth, and PwDs, ensuring that adaptation strategies are equitable and benefit all community members. This approach aims to help address social inequalities and promote cohesive community development. Through prioritizing social inclusion and emphasizing traditional

knowledge, the Project will ensure that interventions are socially inclusive and gender responsive, with women, youth and PwDs not only considered as potential beneficiaries but as key agents of climate adaptation efforts.

The Project has integrated proactive measures to promote gender equality, disability, and social inclusion (GEDSI), in line with the latest recommendations on community-based adaptation in Asia and the Pacific ¹⁸. GEDSI will be advanced through two main entry points: programmatic focus and inclusive participation. All grant proposals will be assessed using the NSC's Social and Environmental Standards (SES) checklist, and specific GEDSI activities will be encouraged in the project designs. In parallel, clear targets have been established to ensure the meaningful involvement of women-led and youth-led organizations, and organizations of persons with disabilities (OPDs) in both the design and implementation of projects.

To operationalize these commitments, several measures will be undertaken:

- Inclusive governance: A gender focal point will be included as a member of the NSC.
- Targeted outreach: Calls for proposals will be widely disseminated through women's networks, youth organizations, and OPDs, with explicit reference to inclusive selection criteria.
- Capacity building: Targeted training sessions will be delivered to grantees on integrating GEDSI into climate adaptation initiatives.
- Selection methodology: Inclusive criteria will be embedded in the NSC's selection guidelines. The PMU will regularly monitor implementation to ensure that GEDSI targets are met.

Resources required to achieve these results

The Results and Resources Framework in Section V shows the resources required for implementation along with the human resources and financial contributions from different stakeholders involved.

The Samoa CARES Project will receive a contribution of USD 1,277,139.36 (AUD 2,000,000) from DFAT. The grantee NGOs/CSOs/CBOs will provide in-kind co-financing to each project on the ground by mobilizing local partners including government ministries, academic institutions, local communities, private sector entities and other partners.

A dedicated Project Management Unit (PMU) will be put in place to manage the Project. The PMU will work closely with the UNDP GEF SGP country programme, which will provide capacity development and NGOs/CSOs/CBOs networking and facilitate civil society-government dialogue in key focal areas. In line with the applicable UNDP policies, the UNDP Samoa Multi-Country Office (MCO) will be responsible to undertake the project assurance and oversight function for the Project. In parallel, the MCO will provide operational, communications, M&E and other implementation support to the Project, charging the related direct costs to the Project budget while ensuring clear segregation of roles between implementation support and oversight.

Partnerships

Mirroring the complexity, interdependencies and multi-dimensional nature of climate change, the Project will adopt a multi-stakeholder and systems approach to jointly address context-specific bottlenecks hindering the climate resilience of Samoa's communities and civil society sector.

The implementation mechanism of the project reflects the emphasis of the Government of Samoa on leveraging effective partnerships that foster and support beneficial and constructive multistakeholder collaborations at all levels. As such leading the implementation of the Samoa CARES project through utilising existing partnership mechanisms that have proven successful in working closely with communities to build their capacity and enhance climate change and disaster resilience as well as promotes country ownership of the project. In alignment with the UNDP/GEF SGP strategy, the project intends to foster action at the local level by engaging civil society and CBOs, including women groups, the elderly, youth, and PwDs. Multi-

¹⁸ Australian Aid, GEF, SGP, UNDP, CBA Phase 3: Community Based Adaptation [in Asia and the Pacific](#)

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stakeholder alliances are essential to deliver global environmental benefits and contribute to national priorities to achieve the SDGs. The Project will identify good practices and innovative solutions in partnership with a network of strong and well-established NGOs/CSOs/CBOs. It will also build human and institutional capacities within civil society, of local organizations, and among communities.

National and international development partners are supporting the Government of Samoa in implementing the PDS and national Sectoral Plans including the Environment Sector Plan. To maximize impact, UNDP will actively seek to achieve synergies by partnering with other organizations and entities working on LLA/CBA and in support of CIMP/DDPs, and also closely coordinate its activities under the Project with those of other UNDP Projects including the GEF-7 Project on Invasive Alien Species (under implementation since 2023) and new GEF-8 on Coastal Resilience (Blue and Green Islands Integrated Programme), which will start implementation in January 2025.

Risks and assumptions

The theory of change of the Project is premised on a number of key assumptions and risks that could have an impact on achievements of its outcomes.

Assumptions:

- Low capacity of NGOs/CSOs/CBOs to implement grant projects can be overcome, improved and sustained.
- Project outreach and documentation will be conducted/translated in Samoan to ensure comprehension, if and where needed.
- Local stakeholders actively engage in the work of the multi-stakeholder platforms.
- A critical mass of local NGOs/CSOs/CBOs will propose eligible projects.
- There is sufficient interest and engagement from local stakeholders to implement eligible small grant projects, including women, the elderly, youth and PwDs.
- Local and national level government officials will participate in discussions and analyses of lessons learned and potential policy applications.

Risks:

- Low awareness of NGOs/CSOs/CBOs on how to address global environmental problems in selected landscapes/seascapes.
- Low capacity of NGOs/CSOs/CBOs in financial management of grants.
- Conflict of interest between environmental protection objectives and economic development imperatives in target communities.
- Lack of interest and commitment by Government to actively engage with the NGOs/CSOs/CBOs in the Project.
- Project activities and approaches might not fully incorporate or reflect views of women and girls, the elderly, youth, and PwDs, and ensure equitable opportunities for their involvement and benefit.
- Poorly designed or implemented project activities could damage critical ecosystems, for instance but not limited to the introduction of invasive alien species (IAS) during landscape rehabilitation or restoration.
- Activities could affect the lands, resources, or cultural practices of local communities without adequate engagement and informed consent.
- Activities implemented could exacerbate existing social tensions or create new ones if communities perceive that it benefits some groups over others or lack transparency.

- There could be potential construction and operational works that may result in habitat disruption, pollution and resource depletion through improper consideration of the occupational health and safety of works as well appropriate management measures being undertaken.

The overall risk rating of the Social and Environmental Screening Procedure (SESP) for this Project is Moderate (the full SESP report is included in Annex 2). As per UNDP requirements, the Project Manager will ensure the risks are recorded and regularly reviewed in UNDP's Enterprise Resource Planning system Quantum, as well appropriately monitor and manage the risk treatments. Project risk quality will comply with UNDP's Enterprise Risk Management Policy 2018.¹⁹ Project risks will be monitored and reported on a quarterly basis by the PMU. For details, refer to the Project Risk Log in Annex 3 of this Project Document.

Stakeholder engagement, grievance management and information disclosure

In line with its [Social and Environmental Standards \(SES\)](#), UNDP is committed to ensuring meaningful, effective and informed stakeholder engagement in the design and implementation of all UNDP projects, including the Project.

UNDP's commitment to stakeholder engagement arises from internal policies, procedures and strategy documents as well as key international human rights instruments, principles and numerous decisions of international bodies, particularly as they relate to the protection of citizens' rights related to freedom of expression and participation. Stakeholder engagement supports the development of strong, constructive, and responsive relationships that are critical for sound project design and implementation. Effective stakeholder engagement enhances project acceptance and ownership and strengthens the social and environmental sustainability and benefits of supported interventions. The objectives of stakeholder engagement therefore include the following:

- strengthening development results through effective partnerships;
- identifying stakeholder priorities to better tailor project activities, opportunities and benefits;
- identifying potential constraints and conflicts that could affect project effectiveness;
- learning from and incorporating local knowledge to improve project design in order to avoid and mitigate project-related risks and impacts;
- providing a feedback and monitoring mechanism to ensure the project is achieving its intended results, and identifies potential unintended consequences; and,
- providing meaningful access to dialogue and decision-making in development processes.

To ensure that the stakeholder engagement objectives and process are embedded within Project implementation, a Community and Stakeholder Engagement Plan (CSEP) will be developed based on the Project's Stakeholder Analysis. The expected users of the CSEP includes the NSC, the TAG, PMU staff, and the UNDP MCO's Project Support and Oversight Team (PSOT) together with UNDP Assistant Resident Representative. The community and stakeholder engagements will be informed by the SGP Operational Guidelines and Standard Operating Procedures and the UNDP SES Policy 2021. To ensure the inclusion of national protocols and channels of engagement, the CSEP will be complemented by the Government of Samoa's engagement strategies and plans.²⁰ This is essential to ensure adherence to Samoan cultural protocols, customs and practices regarding the existing rules, by-laws and mechanisms established at district, village, church and household levels. In the event the stakeholder engagement process triggers SES 6 on Indigenous Peoples, obtaining the affected persons' consent will follow the Free Prior and Informed Consent (FPIC) process.

In accordance with UNDP's Accountability Mechanism, the Project will put in place its Project-level Grievance Redress Mechanism (PL-GRM) for transparency, fairness, confidentiality and open access for all/any affected

¹⁹ See [Enterprise Risk Management | United Nations Development Programme \(undp.org\)](#)

²⁰ Ministry of Women, Community and Social Development, Community Sector Plan 2021-2026; and National Environment Sector Communications Strategy 2022-26

persons and stakeholders during implementation. The PL-GRM will be managed by the NSC and monitored closely by the PMU, with support and oversight by UNDP MCO Risk and Safeguards Specialist. The PL-GRM operational procedure is provided in the Terms of Reference (ToR) under Annex 4.

Consistent with UNDP's Information Disclosure Policy²¹, UNDP is committed to ensuring that relevant information about UNDP programmes and projects is disclosed to help affected communities and other stakeholders understand the opportunities, risks and impacts of the proposed activities. UNDP ensures that information on a programmes and/or project's purpose, nature and scale, and duration, and its risks and potential impacts, is made available in a timely manner, in an accessible place, and in a form and language understandable to affected persons and other stakeholders, including the general public, so they can provide meaningful input into programme and/or project design and implementation. Such disclosure considers any special needs of groups that may be disproportionately affected, disadvantaged or groups with specific information needs, such as due to disability, literacy, gender, mobility, language, and accessibility. Such disclosure occurs early in the programme and/or project development process in a timeframe that allows for meaningful effective consultation and on an ongoing basis. Among other disclosures specified by UNDP's policies and procedures, UNDP ensures that:

- A public record of stakeholder engagement throughout the project cycle is maintained and disclosed. In cases where it may be necessary to safeguard the identities of stakeholders, statistical information is recorded and disclosed.
- Stakeholder engagement plans are disclosed early in project development and summary reports of stakeholder consultations are disclosed in an accessible manner.
- Social and environmental screening reports are disclosed with programme and project documentation.
- Draft social and environmental assessments, including any draft management plans, are disclosed whenever possible before project appraisal formally begins and in all cases before any activities are undertaken that may cause adverse social and environmental impacts.
- Final social and environmental assessments and associated management plans are disclosed upon completion.
- Any required social and environmental monitoring reports are disclosed upon completion.

South-south cooperation (SSC)

The 2030 Agenda for Sustainable Development is an action plan for people, the planet, and our collective prosperity. SDG 17 (Partnerships for the Goals) calls for strengthening the means of implementation and revitalizing global partnerships for sustainable development, including enhancement of SSC and improvement of developing countries' access to innovative technology to empower them to implement the SDGs in a manner that suits their context. SSC is rooted in the principles of equality and trust and supports countries in similar development contexts, and facing similar challenges, to find and share solutions that are easier to adapt to their priorities and needs at the global, national and local levels.

For many years, the GEF SGP has been supporting exchanges and partnerships across its country programmes to encourage SSC and sharing of experiences among project grantees in countries that face similar challenges and operate in similar development contexts, to increase self-reliance and share solutions and technologies to overcome these challenges. SSC supports the wider replication and scaling up of good practices in efforts towards conserving the global environment and achieving the SDGs rooted in the notion of leaving no one behind. It is an effective modality for reaching those furthest behind first, by actively facilitating and supporting peer-to-peer knowledge exchange and technology transfer of good practices including among remote and hard-to-reach communities. Instruments to facilitate South-South learning include the [GEF-SGP Innovation Library](#) and the [UNDP Spark Blue South-South and Triangular Cooperation Community of Practice](#).

²¹ See [Information Disclosure Policy | United Nations Development Programme \(undp.org\)](#).

Digital solutions

Climate change affects everyone, but their impacts are not evenly distributed. Vulnerable groups, such as women, the elderly, youth, rural farmers, Indigenous communities and people with disabilities are often hit hardest by climate change and environmental degradation while benefiting the least from digital advancements. Digital solutions can empower local communities: as the cost of technology is reducing, local communities, Indigenous Peoples, and rural farmers are increasingly using remote sensing-powered apps, drones, sensors and digital finance to enhance nature-based solutions. UNDP suggests channelling the power of digital to change the way we understand and interact with nature, empowering local communities, the people who are impacted the most by climate change and nature degradation. The power of digital technology lies in its ability to transform the way we think, act and create value. When directed appropriately, digitalization has huge potential to contribute to climate action and the blue-green transition at the level of local communities such as by enhancing the transparency, monitoring and management of nature through data collection using a citizen science approach; promoting sustainable behaviours on smart agriculture or energy; adopting circular economy approaches; or enhancing the resilience of water resource systems and conduct risk-informed infrastructure development in climate-vulnerable regions.

UNDP will promote embedding digital solutions into the grants supported by the Project as appropriate and where they add value for the local communities. Technical assistance to the PMU and the grantees on designing and implementing digital solutions will be provided by the UNDP Digital Expert in the MCO.

Knowledge

Drawing on grantee's progress and final reports as well as the independent end-of-project evaluation, UNDP will compile and publish a knowledge document synthesizing the lessons learned and good practices from the grant projects supported through the Project. Key findings and recommendations on LLA will be presented as part of a dedicated Policy Dialogue during the final month of project implementation.

UNDP will feature regular updates on implementation progress and results achieved in the Project through its regular quarterly newsletters and through its social media platforms, ensuring the high visibility of DFAT.

Furthermore, the Project will also invest in completing an evaluation of past SGP OPs in Samoa in order to contribute to building a robust body of knowledge and ensure that systematic learning from the past informs the design of future small grants programmes in the country.

Sustainability

To create sustainability and impact beyond the grants supported through the Project, UNDP will ensure that they combine demonstration, capacity development, network building, awareness raising, and dissemination of lessons learned as integral components, with strong emphasis on gender equality and social inclusion across all activities. Achieving local acceptance, ownership, and extensive stakeholder engagement is essential to the sustainability of the Project.

IV. PROJECT MANAGEMENT

Cost efficiency and effectiveness

To ensure cost efficiency and effectiveness, the DFAT CBA 3 programme including the Samoa CARES Project leverages the existing UNDP-GEF SGP modality and utilizes the SGP as the delivery mechanism to channel funding directly to NGOs/CSOs/CBOs at the local community level. It will be delivered through the SGP's existing governance systems and mechanisms outlined in the SGP Operational Guidelines and Standard Operating Procedures.

The global Nature, Climate and Energy (NCE) Team at UNDP Headquarters in New York provides strategic, technical and fiduciary oversight for all GEF activities, including the SGP. Within the NCE Team, the Local

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Action Cluster Coordination team, through the SGP Central Programme Management Team, provides the overall global management of the SGP, including strategic, thematic, and operational guidance and support to the Country Programmes including the one in Samoa.

SGP Country Programmes operate in a decentralized and country-driven manner through a SGP Country Programme Team (National Coordinator and Programme Assistant) and NSC in each participating country, with oversight support provided by the UNDP Country Office.

UNDP will use its existing **Low Value Grant (LVG) mechanism** in line with the applicable policy and operational guide to implement the main component of the Project, the disbursement of small grants for selected NGOs/CSOs/CBOs. The small grants managed through this Project will utilize the same call for proposal, selection and disbursement processes followed by the GEF SGP under the direction and guidance of the NSC:

1. **Total amount of the project budget that will be allocated to LVGs:** AUD 1,246,500
2. **Maximum amount per LVG:** USD 50,000²². Under SGP guidelines, a grantee cannot receive more than USD 50,000 per regular grant project. They may, however, apply for a strategic grant of USD 150,000 at the maximum.
3. **Intended purpose of the LVGs that will be awarded through the project:** To build the capacities of Samoan NGOs/CSOs/CBOs by providing financial and technical support to projects that conserve, manage and restore the environment and promote climate adaptation to enhance local communities' resilience, wellbeing and livelihoods.
4. **Types of entities that will be eligible to be awarded a LVG through the project:** NGOs, CSOs, and CBOs.
5. **Process for soliciting and reviewing grant proposals, and selection of grantees:** The Project will follow the standard process established for the GEF SGP Samoa Country Programme.
6. **Key criteria for assessment of grant proposals:** Relevance of the proposed action, design of the action, sustainability of the action, compliance of the action with the UNDP SES, financial and operational management capacity of the proposed grantee, and budget and cost-effectiveness of the action.

The Project will be directly implemented by the UNDP Samoa MCO, under the leadership of the Ministry of Natural Resources and Environment. A dedicated PMU will be responsible for the overall coordination, resource management, and the management of day-to-day operations, including grant-making. The PMU will be comprised of a Project Coordinator (NPSA-10) and a Project Associate (NPSA-6). The PMU will implement project activities in line with UNDP Financial Regulations and Rules, and policies and procedures, ensuring best value for money, fairness, integrity and transparency. The PMU reports to the NSC on project implementation progress and resource utilization.

²² Regular SGP grants have a ceiling of USD 50,000 per grant, but based on global SGP data actual grants average USD 25,000 per project.

V. RESULTS FRAMEWORK²³

Intended Outcome as stated in the UNSDCF/UNDP Multi-Country Programme Results and Resources Framework: UNSDCF/MCPD Outcome 1: By 2027, people, communities and institutions are more empowered and resilient to face diverse shocks and stresses, especially related to climate variability impacts, and ecosystems and biodiversity are better protected, managed and restored.									
Outcome indicators as stated in the UNSDCF/UNDP Multi-Country Programme Results and Resources Framework, including baseline and targets: Indicator 1.1: Number of PICTs with increased forest area as a proportion of total land area; Baseline (2021): 5, Target (2027): 10. Indicator 1.2: Number of PICTs with increased population accessing electricity; Baseline (2021): 11, Target (2027): 14. Indicator 1.3: Number of PICTs with reduced GHG emissions per capita; Baseline (2021): 3, Target (2027): 7									
Applicable Output(s) from the UNDP Strategic Plan: - Signature Solution 4: Environment, Result 4.1: Natural resources protected and managed to enhance sustainable productivity and livelihoods - Signature Solution 5: Energy, Result 5.1: Energy gap closed - Signature Solution 6: Gender Equality, Result 6.2: Women's leadership and participation advanced through implementing affirmative measures, strengthening institutions and civil society, and addressing structural barriers, in order to advance gender equality, including in crisis contexts									
Project title and Quantum Project Number: Samoa CARES: Building Sustainable and Resilient Communities, Quantum Project ID: 01002867									
	INDICATOR	Responsible	Baseline	Baseline Year	Year 1	Year 2	Year 3	Final Target	Verification
Outcome 1: Socio-economic and climate resilience is enhanced in select landscapes/seascapes through implementation of locally driven CBA solutions									
Output 1.1: Low value grants awarded to NGOs/CSOs/ CBOs and locally implemented for	1.1.1: Number of target landscapes/seascapes positively influenced	PMU M&E	4	2023	0	4	6	6 ²⁵	-Grantee reports -Project monitoring reports

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.

²⁵ Indicative target. The result may differ, however, depending on the type and volume of projects approved.

improved management of natural resources in seascapes and landscapes.	with improved land and water management practices ²⁴								-Project annual progress and final reports -Project Final Evaluation Report
	1.1.2 Number of acres ²⁶ brought under improved land and water management practices	PMU M&E	20	2023	0	0.5	1	1	
	1.1.3 Number of community members demonstrating improved agricultural, land and water management practices (disaggregated by gender, disability and age)	PMU M&E	500	2023	0	500	1000	1,500 (≥50%F ; ≥5% PwDs; ≥20% 60 yrs+; ≥20% 30 yrs and below)	
	1.1.4 Number of direct beneficiaries (disaggregated by gender, disability and age)	PMU M&E	934	2023	0	2,000	3,000	3,000 (≥50%F ; ≥5% PwDs; ≥20% 60 yrs+; ≥20% 30 yrs)	

²⁴ Project to follow the GEF SGP OP8 Samoa Country Programme Strategy to describe the achievement of the indicator ‘positively influence’]

²⁶ While the Global SGP guide indicates hectares as the measure, for appropriate local context of the indicator, acres is used due to size of the country.

								and below)	
Output 1.2: Low value grants awarded to NGOs/CSOs/ CBOs for climate-resilient agro-ecology, water security and resilient livelihoods	1.2.1 Number of projects approved that improve the livelihoods of community members ²⁷	NSC	4	2023	0	5	8	8 ²⁸	-NSC meeting report -Project annual progress and final reports -Project Final Evaluation Report
	1.2.2 Number/type of implementation strategies used to improve livelihoods/quality of life for example: access to markets, access to finance, diversification of income, improved infrastructure, access to health services, access to education, increased food security, access to technology	PMU M&E	1	2023	0	4	10	10	
	1.2.3 Number of persons with improved access to clean water	PMU M&E	2172 (Sataoa IWS)	2023	0	500	500	1,000 (≥50%F ; ≥5%	

²⁷ Project to follow the SGP OP8 Samoa Country Programme Strategy to describe the achievement of the indicator 'positively influence']

²⁸ Indicative target. The end result may differ, however, depending on the type and volume of projects approved.

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	and sanitation services (disaggregated by gender, disability and age)							PwDs; ≥20% 60 yrs+; ≥20% 30 yrs and below)	
Output 1.3: Low value grants awarded to NGOs/CSOs/CBOs for development/deployment of disaster information systems to reduce vulnerability to climate hazards.	1.3.1 Number of projects approved that develop/deploy disaster information systems to reduce vulnerability to climate hazards	PMU M&E	1	2023	0	1	1	2	
	1.3.2 Number of information system developed and available to communities and the public	PMU M&E	1		0	1	1	2	
Outcome 2: Local communities and CSOs are capacitated for effective CBA and LLA implementation, knowledge sharing, and policy representation at national levels.									
	INDICATOR	Responsible	Baseline	Baseline Year	Year 1	Year 2	Year 3	Final Target	Verification
Output 2.1: Awareness-raising, technical support and capacity building provided to local communities and NGOs/CSOs/CBOs through CBA projects	2.1.1 Number of trainings conducted for NGOs/CSOs/ CBOs on CBA (to improve knowledge, skills, and project implementation)	Project Management Unit	3	2023	0	3	9	9	-Training reports and attendance lists -Project monitoring reports -Project annual progress and final reports

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	including women-led such as Village Women's Councils								
	2.1.2 Number of strategies used to facilitate knowledge sharing for example: peer-to-peer knowledge exchanges, grantees connected to government services, grantees connected to other CSOs, grantees connected to academic/research orgs., connected to development practitioners	Project Management Unit	1	2023	0	2	2	4	
	2.1.3 Number of direct beneficiaries (disaggregated by gender, disability and age)	PMU M&E	500	2023	0	1,000	3,000	3,000 (≥50%F ; ≥5% PwDs; ≥20% 60 yrs+; ≥20% 30 yrs and below)	
Outcome 3: CBA solutions and innovations are replicated, scaled up and mainstreamed at the local and national levels									

	INDICATOR	Responsible	Baseline	Baseline Year	Year 1	Year 2	Year 3	Final Target	Verification
Output 3.1: CBA interventions contribute to the implementation of national and district climate strategies and plans	3.1.1: Number of dialogues initiated by Samoa CARES Project	Project Management Unit	3	2023	0	1	4	4	-Project annual progress and final reports -Project Final Evaluation Report
	3.1.2 Number of CSO-government dialogues conducted with participation from SGP/Samoa CARES	Project Management Unit	2	2023	2	4	6	6	-Project annual progress and final reports -Project Final Evaluation Report
Output 3.2: CBA small grants projects are replicated and scaled up nationally	3.2.1 Number of projects replicated and scaled up nationally (additional hectares conserved, additional beneficiaries, additional socio-economic benefits and environmental benefits)	Environment Sector, Water and Sanitation Sector, Agriculture Sector Annual Reports	8 (SGP: Home Biogas Systems 7, Mangrove 1)	2022	0	0	2	2	-Project annual progress and final reports -Project Final Evaluation Report
	3.2.2 Number of national or districts initiatives or plans that CBA projects contribute/align to	Environment Sector, Water and Sanitation Sector, Agriculture Sector Annual Reports	1 (Sataoa IWS)	2023	0	4	12	12	-Grantee reports -Project monitoring reports -Project annual progress and final reports -Project Final Evaluation Report
Outcome 4: CBA and LLA approaches integrate principles of 'leaving no one behind' with an emphasis on inclusion of women and girls, indigenous peoples, youth and PwDs									

	INDICATOR	Responsible	Baseline	Baseline Year	Year 1	Year 2	Year 3	Final Target	Verification
Output 4.1: Socially inclusive CBA project designed and implemented	4.1 Proportion of approved projects with gender-specific or disability-specific activities, outputs, outcomes, and disaggregated indicators	NSC	0	2023	0%	45%	70%	70%	-NSC meeting report -Verification by PMU - Project annual progress and final reports -Project Final Evaluation Report
	4.2 Number of gender mainstreaming trainings for grantees conducted	PMU M&E	0	2023	1	2	1	4	
	4.3 Proportion of grant proposals assessed using the NSC SES Checklist	NSC	0 (No SES Checklist)	2023	100%	100%	100%	100%	
	4.4 Proportion of projects completed by women-led organizations (e.g., women's cooperative, women's group or village women's council)	PMU M&E	0	2023	0	≥40%	≥40%	≥40%	
	4.5 Number of organizations led by PwDs participating in design and/or	PMU M&E	0	2023	1	1	1	3	

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	implementation of CBA projects								
	4.6 Number of projects completed by youth-led organizations	PMU M&E	0	2023	1	1	1	3	

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	Partners (if joint)	Cost (if any)
Track results progress	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	As required for each indicator	Challenges affecting progress will be addressed by project management.		n/a
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.	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. Updates to the risk log are reported to the NSC regularly.		n/a
	Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Subject to UNDP audit policy			
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.		n/a
Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to	Subject to UNDP PQA policy (Design, Implementation and Closure QA to be done as they are due)	Areas of strength and weakness will be reviewed by project management and		n/a

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Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
	inform management decision making to improve the project.		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 NSC and used to make course corrections.		n/a
Project Progress Report	A progress report will be presented to the NSC, DFAT 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, and at the end of the project (final report)	Assessment and analysis of progress, adaptive management, lessons learned, and good practices is captured and documented.		n/a
Project Review (NSC)	The project's governance mechanism (NSC) 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 NSC 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.	At least annually	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.		n/a

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Evaluation Plan²⁹

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNSDCF/MCPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
Final Project Report	N/A		Outcome 1	30 May 2027	Government, PMU, NSC, Grantees, DFAT	nil

²⁹ Optional, if needed

VII. MULTI-YEAR WORK PLAN ^{30 31}

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year			RESPONSIBLE PARTY	PLANNED BUDGET		
		Y1 (2024)	Y2 (2025)	Y3 (2026)			Funding Source	Budget Description
Outcome 1: Socio-economic and climate resilience is enhanced in select landscapes/seascapes through implementation of locally driven CBA solutions								
Output 1.1: Low Value Grants awarded to NGOs/CSOs/ CBOs and locally implemented for improved management of natural resources in seascapes and landscapes. Gender marker: GEN2	Activity 1.1.1: Sign and implement LVG agreements with selected NGOs/CSOs/CBOs for improved land and water management practices in target landscapes/seascapes	0	182,897	118,738	UNDP	DFAT	72600 Grants	301,635
	Activity 1.1.2: Monitor LVGs	0	11,494	5,747	UNDP (in collaboration with NSC)	DFAT	71600 Travel	17,241
	Sub-Total for Output 1.1							318,876
Output 1.2: Low value grants awarded to NGOs/CSOs/ CBOs for climate-resilient agro-ecology, water security and resilient livelihoods.	Activity 1.2.1: Sign and implement LVG agreements with selected NGOs/CSOs/CBOs for agro-ecology, water security and resilient livelihoods initiatives	3,193	224,404	204,945	UNDP	DFAT	72600 Grants	432,542

³⁰ Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

³¹ Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

<i>Gender marker: GEN2</i>	Activity 1.2.2: Monitor LVGs	0	14,049	7,344	UNDP (in collaboration with NSC)	DFAT	71600 Travel	21,392
Sub-Total for Output 1.2								453,934
Output 1.3: Low value grants awarded to NGOs/CSOs/CBOs for development/deployment of disaster information systems to reduce vulnerability to climate hazards.	Activity 1.3.1: Sign and implement LVG agreements with selected NGOs/CSOs/CBOs for establishing community DRR information systems	0	40,000	40,000	UNDP	DFAT	72600 Grants	80,000
	<i>Gender marker: GEN2</i> Activity 1.3.2: Monitor LVGs	0	11,494	5,747	UNDP (in collaboration with NSC)	DFAT	71600 Travel	17,241
Sub-Total for Output 1.3								97,241
TOTAL FOR OUTCOME 1								870,051
Outcome 2: Local communities and CSOs are capacitated for effective CBA and LLA implementation, knowledge sharing, and policy representation at national levels.								
Output 2.1: Awareness-raising, technical support and capacity building provided to local communities and NGOs/CSOs/CBOs through CBA projects	Activity 2.1.1: Conduct trainings and workshops for NGOs/CSOs/CBOs to build capacity on implementation of CBA/LLA	0	19,157	19,157	UNDP	DFAT	75700 Workshop and Training	38,314
	<i>Gender marker: GEN2</i> Activity 2.1.2: Conduct review of past SGP OPs in Samoa and disseminate lessons learned and good practices	12,771	0	0	UNDP	DFAT	71300 Local Consultant	12,771
TOTAL FOR OUTCOME 2								51,086
Outcome 3: CBA solutions and innovations are replicated, scaled up and mainstreamed at the local and national levels.								

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Output 3.1: CBA interventions contribute to the implementation of national and district climate strategies and plans <i>Gender marker: GEN2</i>	Activity 3.1.1: Conduct assessment of how Samoa CARES LVG projects contribute to the implementation of selected national and district climate strategies and plans, such as the Samoa Climate Change Policy and Community Integrated Management (CIM) Plans	0	0	9,579	UNDP	DFAT	71300 Local Consultant	9,579
Output 3.2: CBA small grants projects are replicated and scaled up nationally <i>Gender marker: GEN2</i>	Activity 3.2.1: Compile and publish a knowledge document synthesizing the lessons learned and good practices from the grant projects supported through the Project, and present key findings and recommendations on LLA as part of a dedicated Policy Dialogue	0	0	19,157	UNDP	DFAT	71200 /71300 International/Local Consultant	11,157
							74200 Audio Visual and Print Prod Costs	3,000
							75700 Workshop and Training	5,000
	Activity 3.2.2: Support and facilitate seminars to showcase results and advocate for CBA/LLA and replicating/scaling up successful small grants projects with government and development partners	0	0	19,157	UNDP	DFAT	75700 Workshop and Training	19,157
TOTAL FOR OUTCOME 3								47,893
Outcome 4: CBA and LLA approaches integrate principles of 'leaving no one behind' with an emphasis on inclusion of women and girls, Indigenous Peoples, youth and persons with disabilities.								

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Output 4.1: Socially inclusive CBA projects designed and implemented <i>Gender marker: GEN3</i>	Activity 4.1.1: Develop NSC SES Checklist for project assessment, analysis and training for partners	0	0	0	UNDP	DFAT		0
	Activity 4.1.2: Organize training on mainstreaming Gender Equality and Social Inclusion (GESI) in project design and implementation for grantees, and support them in developing GESI action plans	25,543	6,386	0	UNDP	DFAT	71300 Local Consultant	31,928
							75700 Workshop and Training	
TOTAL FOR OUTCOME 4								31,928
Project Management Costs								
	Project Coordinator	8,301	24,904	26,181	UNDP	DFAT	71400 Labour Cost NPSA	59,387
	Project Associate	4,470	12,771	13,410	UNDP	DFAT	71400 Labour Cost NPSA	30,651
	Delivery Enabling Services (Staff Labour Cost for Direct Project Support)	7,663	22,350	22,350	UNDP	DFAT	74500/64300 Labour Cost - Project expense recovery	52,363
	Communication Support	1,916	3,193	3,193	UNDP	DFAT	64100 Labour cost – NO staff	8,301
	Travel/Transport	3,193	3,193	3,193	UNDP	DFAT	71600 Travel	9,579
	IT Equipment	4,470			UNDP	DFAT	72800 ICT Equipment	4,470
	Premise and Utilities	639	2,554	1,916	UNDP	DFAT	73100 Rent and Maintenance	5,109
	TOTAL PMC							169,860
TOTAL								1,170,818
GMS 8%								93,665

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TOTAL								1,264,483
Levy 1%³²								12,656
GRAND TOTAL								1,277,139.36

32 1% levy does not constitute a part of the programme budget as per UNDP financial policy, rules and regulations

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The CBA programme, implemented through the Samoa CARES Project, will utilise the SGP as a delivery mechanism to channel funding directly to local communities via NGOs/CSOs/CBOs.

It will be directly implemented by UNDP under the direction and guidance of the SGP NSC, which is generally composed of voluntary members from NGOs/CSOs, academic and scientific, institutions, other civil society organizations, the UNDP CO, and government. The Samoa NSC is comprised of the following members:

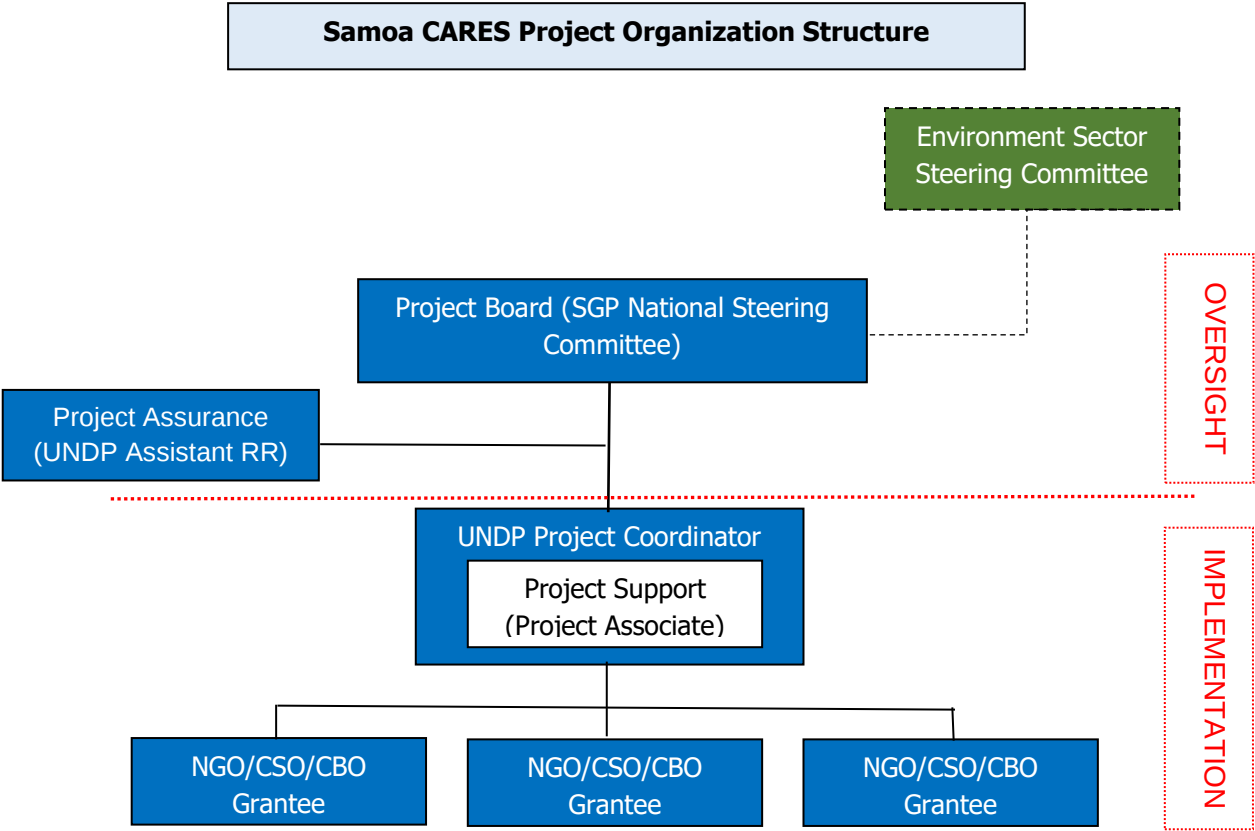
1. UNDP
2. Ministry of Natural Resources and Environment
3. Ministry of Agriculture and Fisheries
4. Ministry of Women, Community and Social Development
5. Samoa Business Hub
6. Samoa Umbrella of Non-Government Organizations
7. Australian Department of Foreign Affairs and Trade

The NSC is responsible for the review, selection and approval of projects, and for ensuring their technical and substantive quality as regards the strategic objectives of the SGP. In collaboration with the SGP National Coordinator, the NSC contributes to the development of the Country Programme Strategy for each GEF SGP OP and oversees its implementation. NSC members are expected to support the Country Programme in resource mobilization and in mainstreaming SGP lessons learned and successes in national development planning and policymaking. NSC members are encouraged to participate in pre-selection project site visits and in project monitoring and evaluation.

The NSC will function as the Project Board of the Project. It will guide and direct the solicitation, selection and approval of grant project proposals, monitor implementation, provide oversight and manage risks. The NSC will meet on quarterly basis. The SGP National Coordinator serves as the ex-officio secretariat for the NSC. The Project Coordinator will report to the National Environment Sector Steering Committee on project progress and resource utilisation.

The Project Coordinator is responsible for ensuring day to day project management, including sound monitoring and evaluation, and laying the foundation for its upscaling and sustainability. In grant project development, the Project Coordinator may work directly to assist the proponent NGO/CSO/CBO to access needed support. Jointly with the UNDP Samoa MCO, s/he bears direct responsibility for all local programme expenditures and is expected to carefully monitor and supervise these expenditures under the overall supervision of UNDP and to ensure accountability and transparency. The Project Coordinator is supported by a Project Associate.

The governance and management structure of the Project is reflected below:



IX. 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 Samoa and UNDP, signed on 5 September 2008. All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

This project will be implemented by UNDP ("Implementing Partner") in accordance with its financial regulations, rules, practices and procedures.

X. RISK MANAGEMENT
UNDP (DIM)

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, that the recipients of any amounts provided by UNDP hereunder do not appear on the United Nations Security Council Consolidated Sanctions List, and that no UNDP funds received pursuant to the Project Document are used for money laundering activities. The United Nations Security Council Consolidated Sanctions List can be accessed via <https://www.un.org/securitycouncil/content/un-sc-consolidated-list>. 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, 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. Each responsible party, subcontractor and sub-recipient (each a "sub-party" and together "sub-parties") acknowledges and agrees that UNDP will not tolerate sexual harassment and sexual exploitation and abuse of anyone by the sub-parties, and other entities involved in Project implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Document.
 - (a) In the implementation of the activities under this Project Document, each sub-party shall comply with the standards of conduct set forth in the Secretary General's Bulletin ST/SGB/2003/13 of 9 October 2003, concerning "Special measures for protection from sexual exploitation and sexual abuse" ("SEA").
 - (b) Moreover, and without limitation to the application of other regulations, rules, policies and procedures bearing upon the performance of the activities under this Project Document, in the implementation of activities, each sub-party, shall not engage in any form of sexual harassment ("SH"). SH is defined as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment. SH may occur in the workplace or in connection with work. While typically involving a pattern of conduct, SH may take the form of a single incident. In assessing the reasonableness of expectations or perceptions, the perspective of the person who is the target of the conduct shall be considered.
- d. In the performance of the activities under this Project Document, each sub-party shall (with respect to its own activities), and shall require from its sub-parties (with respect to their activities) that they, have minimum standards and procedures in place, or a plan to develop and/or improve such standards and procedures in order to be able to take effective preventive and investigative action. These should include: policies on sexual harassment and sexual exploitation and abuse; policies on whistleblowing/protection against retaliation; and complaints, disciplinary and investigative mechanisms. In line with this, sub-parties will and will require that their respective sub-parties will take all appropriate measures to:
 - (i) Prevent its employees, agents or any other persons engaged to perform any services under this Project Document, from engaging in SH or SEA;
 - (ii) Offer employees and associated personnel training on prevention and response to SH and SEA, where sub-parties have not put in place its own training regarding the prevention of SH and SEA, sub-parties may use the training material available at UNDP;
 - (iii) Report and monitor allegations of SH and SEA of which any of the sub-parties have been informed or have otherwise become aware, and status thereof;
 - (iv) Refer victims/survivors of SH and SEA to safe and confidential victim assistance; and
 - (v) Promptly and confidentially record and investigate any allegations credible enough to warrant an investigation of SH or SEA. Each sub-party shall advise UNDP of any such allegations received and investigations being conducted by itself or any of its sub-parties with respect to their activities under the Project Document, and shall keep UNDP informed during the investigation by it or any of such sub-parties, to the extent that such notification (i) does not jeopardize the conduct of the investigation, including but not limited to the safety or security of persons, and/or (ii) is not in contravention of any laws applicable to it. Following the investigation, the relevant sub-party shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.
- e. Each sub-party shall establish that it has complied with the foregoing, to the satisfaction of UNDP, when requested by UNDP or any party acting on its behalf to provide such confirmation. Failure of

the relevant sub-party to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.

- f. Each responsible party, subcontractor and sub-recipient will ensure that any project activities undertaken by them will be implemented in a manner consistent with the UNDP Social and Environmental Standards and shall ensure that any incidents or issues of non-compliance shall be reported to UNDP in accordance with UNDP Social and Environmental Standards.
- g. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud, corruption or other financial irregularities, 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, anti-fraud and anti money laundering and countering the financing of terrorism policies are in place and enforced for all funding received from or through UNDP.
- h. 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 (b) UNDP Anti-Money Laundering and Countering the Financing of Terrorism Policy; and (c) 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.
- i. 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.
- j. 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, corruption other financial irregularities with due confidentiality.

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.

- k. 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 corruption, other financial irregularities 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 parties, 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, corruption or other financial irregularities, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

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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.

- l. 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.
- m. 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.
- n. 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.

XI. ANNEXES

1. Project Quality Assurance Report

2. Social and Environmental Screening Procedure, including additional Social and Environmental Assessments or Management Plans as relevant.

3. Risk Log.

Risk Analysis. Use the standard [Risk Register template](#). Please refer to the [Deliverable Description of the Risk Register](#) for instructions

Risks	Impact	Likelihood	Mitigation Measures
Low awareness of NGOs/CSOs/CBOs how to address global environmental problems in selected landscapes/seascapes Event: Low capacity of NGOs, CSOs, and CBOs to address environmental challenges in selected landscapes/seascapes. Cause: Limited awareness and access to technical knowledge to implement projects contributing to landscapes/seascapes. Impact: Poor integration of environmental priorities reducing effectiveness of community-led solutions.	Medium	Medium	The project team will work closely with all grantees to help build capacities by learning from each other (peer-to-peer) and working in a flexible manner that responds to the strengths and comparative advantages of grantees. The SGP NSC and TAG, with representation from key government ministries and civil society, will provide technical support.
Low capacity of NGOs/CSOs/CBOs in financial management of grants Event: Low capacity of NGOs, CSOs, and CBOs in managing project grants effectively. Cause: Lack of financial management skills, systems, and experience with donor compliance and reporting requirements. Impact: Risk of fund mismanagement, delayed implementation, and	Medium	Medium	The selection criteria of grantees includes prudent and sound financial management practices. To help build their capacity, grantees will be provided with training including in financial management of their grants through the Project.

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reduced accountability, potentially undermining project credibility and sustainability.			
Conflict of interest between environmental protection objectives and economic development imperatives in target communities Event: Conflict between environmental protection goals and economic development needs in target communities. Cause: Communities may prioritize short-term income-generating activities (e.g., resource extraction or land conversion) over long-term environmental sustainability. Impact: Reduced community buy-in for conservation efforts, potential degradation of ecosystems, and challenges in achieving lasting project outcomes.	Medium	Low	The Project will prepare a communication plan advocating that investing in environmental protection will promote economic development and improve the livelihoods/quality of life of local communities.
Lack of interest and commitment by Government to actively engage with the NGOs/CSOs/CBOs in the Project Event: Lack of government interest and commitment to engage with NGOs, CSOs, and CBOs in the project. Cause: Limited recognition of the value of community-led approaches, competing policy priorities, or weak coordination frameworks. Impact: Reduced collaboration, limited alignment with national strategies, and diminished	Low	Low	UNDP engages Government of Samoa partners closely during the design/implementation of the Project through the SGP NSC and TAG, which key ministries are members of.

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impact and sustainability of community-based initiatives.			
Project activities and approaches might not fully incorporate or reflect views of women and girls, youth, or PwDs, and ensure equitable opportunities for their involvement and benefit	High	Low	Women and youth groups as well as PwDs will be targeted during project implementation for equitable participation and benefit. The project decision-making structures, including at the governance level (NSC) and the envisaged multi-stakeholder dialogue platforms, will have equitable representation by women, youth and PwDs. The UNDP MCO will offer the technical assistance and support of the UNDP Gender Specialist to the grantees in planning and implementing their activities.
Poorly designed or implemented project activities could damage critical ecosystems, including through the introduction of invasive alien species (IAS) during land or forest rehabilitation or restoration	Medium	Low	LLA/CBA grant proposals will be developed with close technical support from the SGP Country Programme and reviewed and validated by the TAG and NSC, which includes technical experts from MNRE, MAF, and the UNDP Environment and Climate Change and Resilience Unit. No IAS will be used as part of land restoration-rehabilitation interventions, with preference given to native species. Any climate change mitigation interventions will be vetted to ensure there are no unintended consequences on critical ecosystems. During implementation, activities will be monitored regularly by the Project Management Team, SGP and the NSC/TAG.
Activities could affect the lands, resources, or cultural practices of indigenous communities without adequate engagement and informed consent.	Medium	Low	Grant projects are proposed and/or endorsed by the local communities themselves and have been vetted by village governance mechanisms. The UNDP SES apply, which include the principle of wide stakeholder engagement and FPIC.
Activities implemented could exacerbate existing social tensions or create new ones if communities perceive that it benefits some groups over others or lack transparency.	Medium	Low	Grant projects are proposed and/or endorsed by the local communities themselves and have been vetted by village governance mechanisms. The Project will seek the advice and leadership of MWCSO, which will be included in the NSC, if there is a risk or indication of social tensions. Nevertheless, the UNDP SES apply, which include the principle of wide

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			stakeholder engagement. Appropriate mitigation actions will be taken if there is a risk or indication of social tensions.
Potential construction/civil works that could result in habitat disruption, pollution and resource depletion through improper consideration of the occupational, health and safety of works .as well appropriate management measures being undertaken.	Medium	Medium	The UNDP SES apply, and all necessary assessments and management plans will be developed and implemented. This also covers construction/civil works.

- 4. Project Board Terms of Reference and TOR of Project Coordinator.** The standard Project Board TOR can be found [here](#) and Annexed.