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UNITED NATIONS DEVELOPMENT PROGRAMME

PROJECT DOCUMENT
INDONESIA

Project Title	:	AIS Forum Support Facility Project
Project Number	:	00115025
Implementing Partner	:	UNDP Indonesia
Start Date	:	1 November 2021
End Date	:	31 December 2022
PAC Meeting Date	:	23 April 2021 (IPAC), 22 September 2021 (LPAC)

Brief Description

Archipelagic and Island States (AIS) around the globe face common development challenges that inhibit their ability to live prosperously and grow sustainably. Many are facing existential threats that include climate change, natural disasters, marine pollution, marine plastic debris, unsustainable fisheries, and ocean (un)sustainability. Failing to protect our oceans and address climate change will have catastrophic social and economic effects for people around the world.

This project aims to establish the Archipelagic and Island States (AIS) Forum's Support Facility ("AISF-SF"), ensure its ability to operate effectively and enable effective implementation of its key services. Serving multiple stakeholders, the AISF-SF will be responsible for directing the Forum's programs, managing the AIS Fund Facility and other finances, maintaining relationships with Participants, and developing stakeholder networks. Throughout the project, Gender Mainstreaming considerations will be incorporated in all aspects of the project.

The Forum is designed to include all island states and archipelagic countries regardless of their location, size, and level of development. There are regional initiatives that allow island states to connect with and aid one another. However, a global initiative that brings together all Archipelagic and Island States is yet to exist. By the end of the project, we hope that the AIS Forum will create a unique grouping of nations to address the challenges of sustainable ocean resource use, climate change resilience, ocean pollution, emergency management and sustainable fisheries.

PIP funding: USD 678.053

Contributing Outcome (UNDAF/CPD, RPD or GPD):

- UNSDCF/CPD 2021-2025 Outcome 4. Stakeholders adopt innovative and integrated development solutions to accelerate advancement towards the Sustainable Development Goals.
- CPD 2021-2025 Indicative Outputs:
  - Project Output 1 (GEN 2) attribute to CPD Output 4.4. Partnerships strengthened for innovative and inclusive South-South and triangular cooperation (SP Output 1.1.1)
  - Project Output 2 (GEN 2) attribute to CPD Output 4.3. Innovative technology solutions adopted for improved public service delivery (SP Output 3.1.1)
  - Project Output 3 (GEN 2) attribute to CPD Output 4.4. Partnerships strengthened for innovative and inclusive South-South and triangular cooperation (SP Output 1.1.1)
  - Project Output 4 (GEN 2) attribute to CPD Output 4.4. Partnerships strengthened for innovative and inclusive South-South and triangular cooperation (SP Output 1.1.1)

Total resources required:	USD 263,000	
Total resources allocated:	USD 164,000	
	UNDP TRAC:	14,000
	Donor:	
	Government of Indonesia:	USD 150,000
	In-Kind:	
Unfunded:	99,000	

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UNDP

Norimasa Shimomura
UNDP Resident Representative

Norimasa Shimomura

Date: 02-Nov-2021

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I. DEVELOPMENT CHALLENGE

Archipelagic and Island States (AIS), with their vast ocean territory, face common development challenges that inhibit their ability to live prosperously and grow sustainably. Many of them are facing existential threats that include climate change, natural disasters, marine plastic debris, and unsustainable marine activities. Failing to protect the ocean ecosystem and address climate change will have catastrophic social and economic effects on these countries.

Around 70% of the earth's surface is covered by oceans, which account for 97% of all water on the planet.[1] It provides humanity with numerous ecosystem services including nutrition, shipping and trade routes, and cultural services (e.g. recreation, education and traditional cultural practices). These ecosystem services greatly contribute to the global economy, with approximately three billion people, women and men, relying on the ocean and coastal regions for their livelihoods, generating around USD 3 trillion annually. This has led to a high population concentration in coastal regions, with 40% of the global population (~2.4 billion individuals) residing within 100 km of the coastline.[2]

The range of coastal and maritime industries that enable the ocean economy to thrive have also begun to compromise their present and future life, as irreversible changes to the marine ecosystem are triggered by anthropogenic impacts on the marine environment.[3] Some of these impacts include changes caused by climate change, such as the increased occurrence of extreme weather events, ocean acidification, rise in sea level, and loss of important coastal and marine ecosystems. These rapid changes to coastal and marine areas have innumerable negative effects on society, even more so on women and children. According to several UN organizations, women and children are 14 times more likely to die or get injured in natural disasters because of unequal access to resources. Women also account for half of the workforce in the aquaculture sector but only earn 64% of what men earn. It is why achieving the 2030 Agenda for Sustainable Development is very important for archipelagic and island states.

The pathway towards inclusive and environmentally sustainable development must be built upon Science, Technology, and Innovation (STI).[4] It is considered a central element to achieving sustainable development goals as it has the ability to trigger transformative actions by reshaping production, promoting equality and inclusion, and providing environmental benefits.[5] Some archipelagic and island states are in a better position than others to respond to the climate change and environmental challenges while many others do not have access to technologies that will allow them to adapt to the changing environment and implement sustainable practices to preserve their marine and coastal ecosystems. Therefore, it is important not only to have the required technologies but also to ensure its wide adoption. Without technology transfer and capacity building, many emerging archipelagic and island countries will experience difficulties in implementing sustainable practices.[6]

There are two further reasons why combating climate change and ocean ecosystems degradation require cooperation between all archipelagic and island states. First, some of the technologies that are required to decarbonize the economy are still not commercially viable for the market. Therefore, it is important to reach scale by having a wide adoption and reaching critical mass. Technology transfer and capacity building present an avenue to develop a close collaboration between archipelagic and island states, developed and developing. The collaboration in research and development and entrepreneurship are enabling the transfer of technology while at the same time creating trading opportunities between them. Secondly, climate change and ocean ecosystems degradation are transboundary, countries cannot solve the problems solely by actions within their own border, and it is almost impossible for a single country to have enough resources, financial and non-financial, to deal with them alone.

It is why after the 5th of June 2017 at the Ocean Conference in New York City, a follow-up Conference on the Archipelagic and Island States (AIS) Forum was held in Jakarta on the 21st–

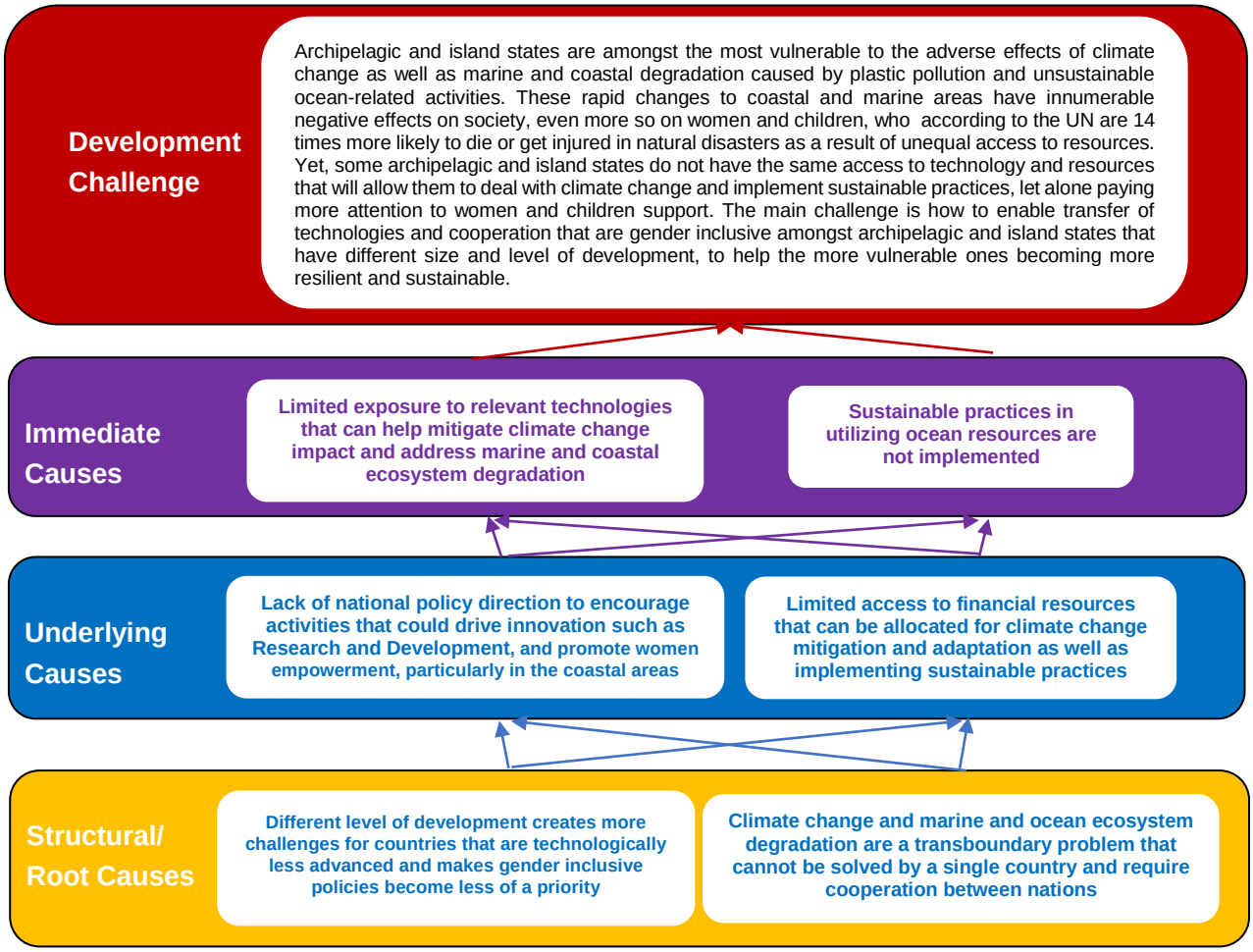
[1] BEDI Framework
[2] BEDI Framework
[3] BEDI Framework
[4] https://doi.org/10.1016/j.techfore.2020.119957
[5] idem
[6] https://doi.org/10.1016/j.marpol.2020.104158

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22nd of November 2017. This resulted in a common understanding among participating countries that a forum could be an innovative vehicle for effectively addressing climate change and marine issues. In line with the 2030 Agenda and the Small Island Developing States Accelerated Modalities of Action (SAMOA) Pathway, the AIS Forum seeks to address the common challenges faced by archipelagic and island states, particularly the small developing ones that suffer the most from climate change even though they emit the least carbon into the atmosphere.

The Forum is designed to include all island states and archipelagic countries regardless of their location, size, and level of development. According to the OECD, co-operation between developed and developing countries will create a synergy as they often possess different types of expertise/knowledge, data, and other resources that are valuable for discovering the solutions and for dealing with multiple challenges. There are regional initiatives that allow island states to connect with and aid one another. However, a global initiative that brings together all archipelagic and island states is yet to exist.

Diagram 1. Problem Tree



UNDP's policy brief on **Gender** and Climate Change in Asia and the Pacific stated that women and children are 14 times more likely to die or get injured in natural disasters as a result of unequal access to resources. There is a direct relationship between women's risk of being killed during disasters and their socio-economic status (defined as access to information, economic resources and ability to exercise personal freedom of choice). There are also situations where men are disproportionately vulnerable because they took fewer precautions when facing risks. The resilience to environment, ocean and climate challenges must depend on gender-sensitive actions.

Women also account for half of the workforce in the aquaculture sector but only earn 64% of what men earn. Such inequality can be found in many sectors under blue economy. When developing strategies to boost blue economy, there is a need to address such gender inequality so that both genders can equally benefit from blue economy development.

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The AIS Forum will create a unique grouping of nations to address the challenges of sustainable ocean resource use, climate change resilience, ocean pollution, emergency management and sustainable fisheries. Through the AIS Forum Secretariat that resides under the UNDP Indonesia Country Office, it implements programs around Research and Development, Entrepreneurship Support and International Collaboration, all of which are intended to accelerate structural transformation for sustainable development (SP Outcome 2) and strengthen resilience to shocks and crises (SP Outcome 3). Furthermore, the programs seek to promote economic diversification and green growth through low emission and climate resilient measures (SP Output 2.1.1) and to discover innovative nature-based and gender-responsive solutions for sustainable recovery (SP Output 3.4.1). The AIS Forum Secretariat will act as a platform to meet the following objectives:

- Strengthen the commitment of archipelagic and island states to be part of a collaborative action to address the common challenges in the areas of climate change mitigation and adaptation, sustainable blue economy, marine plastic debris, and good maritime governance
- Identify and work towards actionable, concrete collaboration and partnerships with all relevant stakeholders, including academics, private sector, government authorities, and international
- Encourage the development of an integrated approach to maritime and ocean governance
- Establish as an open-ended, complementary, integrated, and inclusive developmental forum to create a synergy with other initiatives

II. STRATEGY

The AIS Forum Support Facility (AISF-SF) was established during the Project Initiation Plan (PIP) stage to operationalize its strategic directions and implement key activities. The AISF-SF will continue to be responsible for directing the Forum's program of events, managing the AIS Fund Facility and other finances, maintaining relationships with participating countries, and developing stakeholder networks. The UNDP AIS Support Facility will have key services to facilitate:

- Provision of substantial and technical inputs from UNDP Indonesia's in-house expert and global network, to ensure activities implemented by the AIS Forum Support Facility and achieve its expected outputs
- Mobilizing new resources to support AIS Forum related activities
- Facilitating operations by recruiting qualified staff and procuring relevant goods and services to be handed over to the AIS Forum Secretariat
- Providing a provision of institutional capacity building for the AIS Forum Secretariat

There are 3 key activities of the AIS Forum Support Facility that will be conducted to achieve the Forum's missions:

1. Facilitate Research and Development and Human Capital Development initiatives with academic institutions. The AIS Forum Secretariat will allocate resources to support not only research and development but also a demonstration of solution prototypes that could potentially be scaled up. The areas of R&D will be centred around the 4 thematic areas of the Forum: Climate Change Mitigation and Adaptation, Blue Economy, Marine Plastic Debris, and Good Maritime Governance. The Secretariat will build public-private partnerships with universities and research institutions to conduct thematic research that looks to enhance the adaptation and resilience of archipelagic and island states, with gender-sensitive approaches. The academic communities play a critical role in advancing research and development to solve today's most pressing issues.

   Meanwhile, the Global Innovation Index (GII) puts "Human Capital" as one of the key components of a country's innovation capacity. The 2019 GII report shows that most top-ranking countries in innovation demonstrate a high score in human capital development. Recognizing the importance of human development in fostering innovation, the AIS Forum intends to facilitate the collaboration between AIS countries in developing their human capital through its Scholarship program.

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2. Support entrepreneurial endeavours through a startup incubation program and the development of innovative financing for sustainable businesses. The focus of the initiatives around entrepreneurship will be to support the establishment of the blue economy in AIS participating countries. The AIS Forum Secretariat aims to achieve this objective by building startup ecosystems, introducing blue financing mechanisms, and empowering the archipelagic and island communities with digital access and technologies, with consideration to reduce gender inequality. The startup ecosystem will play a unique role in discovering startups that promotes sustainable practices in the marine and ocean-related industry. When a niche is in place, it will discover and grow entrepreneurial talents in the blue economy sector. On the other hand, to have a well-established startup ecosystem, an archipelagic or island state needs to have access to digital connectivity. The AIS Forum Secretariat will continue to facilitate collaboration in sharing and implementing best practices to increase network access and communication in AIS participating countries. In addition to access to digital connectivity, access to capital, particularly for women, is also important to grow startups and business communities. The AIS Forum Secretariat and its partners will introduce the blue financing mechanisms that have been developed and explore opportunities to facilitate project selection with government authorities or private enterprises.
3. Establish a partnership with relevant stakeholders and facilitate cross-nation collaboration between these entities in the four areas of cooperation. The AIS Forum Secretariat will develop partnerships with relevant parties including private enterprises, government authorities, universities, NGOs, media, and global or regional organizations particularly those that encourage women empowerment. The idea of this approach is to create a network of experts, researchers, and policymakers who are able to provide their insights and services to help the AIS Forum in achieving its missions. Addressing those challenges faced by archipelagic and island states will require smart and innovative solutions, which will be the implementation approach of AIS Forum programs. Data integrity, state-of-the-art technology, a wide range of financial sources and non-traditional partnerships are tools that can produce smart and innovative solutions—translating challenges into opportunities.

During the PIP stage, the impacted regions of AIS Forum's key activities were Southeast Asia, South Asia and the Pacific. Considering the global nature of the AIS Forum, the AIS Forum Secretariat will further build its influence in the Mediterranean and Caribbean. The COVID-19 Pandemic prevented many offline partnership activities planned during PIP, but the wider acceptance of digital tools also enabled the Secretariat to reach more audience. Learning from this, the AIS Forum project will continue to build its online programs and constantly improve its communications strategy including the website, social media, e-newsletters as well as exploring new digital tools to increase its impact.

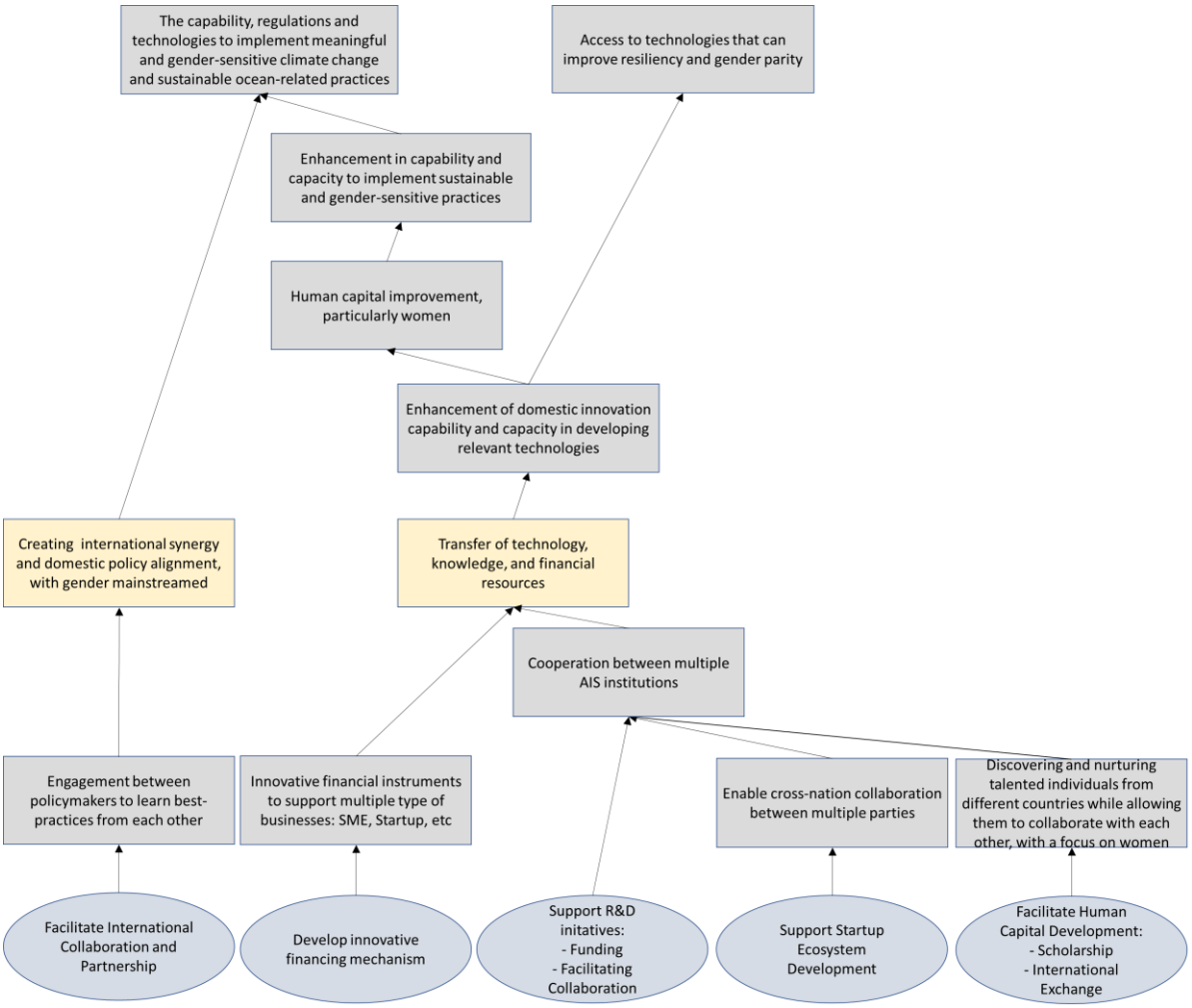
Gender and Social Inclusion Strategy

To address the gender inequality in AIS Forum's 4 areas of focus: climate change, blue economy, marine plastics and good maritime governance, the project will undertake following strategies:

1. mainstreaming gender in AIS partnership activities. In partnership building activities, AIS Forum will aim to promote the common recognition and understanding of women empowerment and leaving no one behind, thereby ensuring their integration in the cooperation among AIS participating countries on climate change mitigation and adaptation, blue economy, marine plastic debris, and good maritime governance
2. Women Entrepreneur program. When developing the startup system, the project will introduce support programs for women entrepreneurs around coastal areas so they will be able to have a sustainable business that is more financeable.
3. Gender-sensitive policy studies and research. The Blue Economy Development Index will be analysed through the gender lens. Joint-research, and Student Exchange programs will encourage women participating, and promote a women-friendly research environment with universities and research institutions partners.

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Diagram 2. Theory of Change



III. RESULTS AND PARTNERSHIPS

3.1. Expected Results

The AIS Forum Support Facility is established to facilitate the collaboration and cooperation between relevant stakeholders from archipelagic and island states. This cooperation will ensure that transfer of technology, knowledge, and financial resources amongst these countries will occur, which eventually lead to the enhancement of human capital and technology as well as women empowerment particularly in developing archipelagic and island states. A number of project outputs have been identified such as:

1. AIS Support Facility operations

   The AIS Forum Secretariat fully operates, covering a wide range of activities including finance, talent management, and administration.

2. Foundation activities

   Foundation Activities that will establish the framework for the Forum and its primary partnerships are conducted. They include 1) AIS Support Secretariat Roundtable Discussion with Partners and Embassies (thematic Discussions); 2) Startup Hub and Women entrepreneurs Program; 3) Blue Economy Development Index, 4) Joint-research, and 5) Student exchange

3. Partnership activities

   Partnership Activities to enhance the cooperation between AIS countries involving various stakeholders including academics, civil society, the private sector, international organizations, philanthropists, and governments are conducted.

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4. Regional and global meetings which will enable a more active and productive forum.

   AIS Forum participates in a number of regional and global meetings and holds its global meeting such as Senior Official Meeting (SOM), Ministerial Meeting, and AIS High-Level Meeting. These meetings will provide the opportunity for the AIS Forum Secretariat to engage other organizations by conducting side events.

3.2. Resources Required to Achieve the Expected Results

UNDP will provide a Support Facility that facilitates operation, financial administration, monitoring and provision of technical inputs from UNDP Indonesia in-house-expert and global network, to ensure activities implemented by the AIS Forum Secretariat achieve the expected outputs. The support includes the recruitment of staff, procurement mechanism, and recruitment of experts.

Of all the resources required, the Government of Indonesia transferred USD 150,000, UNDP will provide USD 14,000 from Target for Resource Assignment from the Core (TRAC). The unfunded USD 99,000 was included in the Financing Agreement (Q3 2019 - Q4 2021) but has not been transferred to UNDP by September 2021.

Furthermore, the project is subject to revisions if potential new funding agreement with the Government of Indonesia is settled.

3.3. Partnerships

The AIS Forum was designed as an open-ended platform with a variety of functions, including the creation of a space for inclusive dialogue, the formation of collaborative partnerships, the development of smart and innovative solutions, and the effective use of global communication and knowledge resource platforms. The Support Facility set up by UNDP Indonesia and support funding from the Government of Indonesia through the Coordinating Ministry of Maritime Affairs and Investment will conduct both substantive and administrative support to achieve the Forum's mission. The AIS Forum Secretariat is therefore the right approach to carry out the tasks as it will be equipped and have the capacity to provide the following services:

- Fostering competitive research and development initiatives between universities or research institutions from multiple AIS participating countries in cooperative working relationships to create new or further develop existing sustainable and inclusive market-oriented technologies, products, or services
- Identifying and integrating activities and expertise of AIS participating countries within the framework of international cooperation—with an emphasis on the 4 AIS thematic areas, with increasing acknowledgement and consideration of human rights and gender equality. Establishing academic networks between AIS participating countries through stakeholders such as universities, think tanks, civil society organizations, and other relevant institutions
- Discovering talented individuals, particularly women and people with disabilities, with innovative breakthroughs and solutions and provide the opportunity for them to collaborate with their like-minded peers from other countries through exchange scholarship
- Facilitating knowledge and ideas sharing to inspire entrepreneurs or start-up founders in AIS participating countries to work together with each other and create an ecosystem where they could support one another, with particular focus to encourage women participation.
- Increasing public awareness of real issues about the impacts of climate change and how start-ups and society can help tackle the issue.
- Finding innovative ideas and breakthroughs that can help societies, vulnerable groups, and businesses be more resilient and adaptive during crises.
- Open capital markets for investment in sustainable ocean-based and ocean-related economic activities, particularly in countries that need financial support
- Facilitating bilateral or multilateral meetings or discussions between archipelagic and island states or other regional/global initiatives to allow policymakers to learn effective and inclusive practices from other countries
- Facilitating the delivery of technical aids from one archipelagic or island state to another in the form of smart, inclusive, and innovative solutions

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3.4. Risks and Assumptions

The work of the AIS Forum Support Facility could potentially face the following risks:

- AIS project highly depends on the GoI commitment to the project. Considering the significant influence of GoI as the donor, the commitment, agenda, political instability and the changing of the political figures in the respective ministries will affect the overall direction and stability project. The risk will be mitigated by promoting the more involvement of AIS participating countries, therefore it is expected that the project could sustain themselves
- Insufficient coordination among donor, participating countries and implementing partners in the necessary multi-stakeholder coordination mechanism. Considering the very multilateral nature of the project, the engagement of a multitude of stakeholders is required. There is a real risk that coordination will be challenging. The risk will be mitigated by encouraging all parties including AIS secretariat and GoI, AIS secretariat and participating countries, AIS and implementing partner to coordinate closely through continuous communication and meetings.
- Lacking capacity of staffs in the decision making and influences during crucial times and understanding the desire from the donor. The risk will be mitigated by having a specific and solid program planning to be approved by the donor at the beginning of every quarter year.
- Restrictions on travel and mass gathering. Considering AIS Forum is a multi-national Forum, ownership to countries other than Indonesia will be diminished if the secretariat can only organize events in Indonesia. However, the risk will be mitigated by having online events and gatherings. The new practice where more people is get used to have an online meetings also bring a benefit to AIS forum where we can reach out to more stakeholders in AIS countries from Caribbean to Pacific.

3.5. Stakeholder Engagement

The AIS Forum has several key stakeholders that are considered as the intended beneficiaries or contributors of the project:

- Ministries and bilateral donors

  The Coordinating Ministry for Maritime Affairs and Investment as the initiator of the AIS Forum becomes the focal point of the project with the Government of Indonesia as the main donor. The Coordinating Ministry reviews and approves the annual work programs and budget of the Secretariat. The AIS Forum Secretariat also seeks advice and direction from other Indonesian Ministries including Ministry of Foreign Affairs and Ministry of Finance. Meanwhile, the Secretariat also engages the Embassy of AIS Participating Countries in Jakarta to gather their inputs and seek their support for the AIS Forum work strategic direction, resource mobilization, and work programs. In addition to the advisory role provided by AIS Participating Countries, the AIS Forum Secretariat also seeks to get support from bilateral donors.

- Entrepreneurs (Startup Founders)

  As a way to establish startup ecosystems in several archipelagic and island states, the AIS Forum Secretariat tries to nurture and grow entrepreneurial talents by conducting business competitions and incubation programs. Through a startup hub, developed for the purpose of providing a platform for early-entrepreneurs, investors, and incubators to collaborate with each other, the AIS Forum Secretariat intends to discover business founders and create a safe space for them to learn from each other. The hub's development model will be replicated in several regions, particularly those that do not have an established startup ecosystem. The hub will also promote women leaders and entrepreneurs to connect with investors and incubators.

- Researchers and Academics

  As the entities that produce innovation, universities and research institutions will play a central role in the AIS Forum's effort to achieve its missions. Through a research funding program, the AIS Forum Secretariat will support research, development, and deployment of prototypes that could potentially address the issues pertaining to archipelagic and island states. Through these programs as well, the AIS Forum Secretariat intends to foster

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collaboration between multiple institutions from different countries to ensure the transfer of technology can occur.

- Students

  University students, or young women and men, are one of the key assets a country can have. Future business founders, innovators, and leaders will arise from this particular group. Hence, it becomes the AIS Forum Secretariat key strategic activity to discover potential talents, nurture them, and create a network of AIS Scholars, a group of highly talented individuals, women and men, that is expected to be responsible for the transfer of technology and implement sustainable practices.

- Government Authorities

  Through technical aid programs, the AIS Forum Secretariat is committed to ensure that sharing best practices between government authorities from different archipelagic and island states will occur. Well-designed, gender-sensitive policies and effective and inclusive governance are essential elements that will determine the process of technology transfer and knowledge can actually lead to an enhancement in a country's capability and capacity to implement sustainable practices and climate change mitigation and adaptation. The program allows authorities to provide assistance for their counterparts from different countries.

- Marine and Coastal Communities

  People who are living in coastal areas and or earn their livelihood from marine activities are the ones who are directly affected by climate change and environmental degradation, women are particularly vulnerable to those challenges. The AIS Forum will first identify the areas that should be prioritized and receive support and assistance. It will include the of use gender lens. Through its training and other entrepreneurial related programs, the AIS Forum Secretariat aims to empower the marine and coastal communities, particularly women

  People who are living in coastal areas and or earn their livelihood from marine activities are the ones who are directly affected by climate change and environmental degradation, women are particularly vulnerable to those challenges. The AIS Forum will first identify the areas that should be prioritized and receive support and assistance, applying gender lens. Through its training and other entrepreneurial related programs, the AIS Forum Secretariat aims to empower the marine and coastal communities, particularly women.

- Women and Children

  The AIS Forum Support Facility will promote gender equality and ensure it plays into the decision-making process of the organization. One of the efforts includes promoting UNDP's value and standards on Gender Equality, including in gender equal composition of project personnel. Foundation activities will establish the framework for the forum and its primary partnership will incorporate gender approach on its implementation. The establishment of the forum will enable the potential opportunities for the development gender-sensitive policy for the blue economy platform and the promotion of women's economic empowerment and women's leadership.

3.6. South-South and Triangular Cooperation (SSC/TrC)

Cooperation between multiple countries, in particular developing archipelagic and island states, is at the heart of what the AIS Forum and its Secretariat are trying to achieve. The main objectives of ensuring the transfer of technology, as well as knowledge and financial resources, and creating synergy in tackling global challenges such as climate change and environmental degradation, can only be achieved through cooperation and collaboration between multiple nations. The unique grouping that the AIS Forum creates allows archipelagic and island states with different size and level of development to work together in accelerating the discovery of solutions that could potentially address the common challenges.

The AIS Forum will facilitate the cooperation and partnership between relevant stakeholders including private enterprises, academic institutions, civil society organizations, NGOs from every developing and developed archipelagic and island states. This cooperation is intended to become

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the channel for the technology transfer between these countries and at the same time ensure the enhancement of human resources capability and capacity.

3.7. Knowledge

The AIS Forum Secretariat through its programs will produce knowledge that will be valuable for its stakeholders and society at large. The Forum itself can act as a platform for exchange of knowledge and lessons-learnt among member states:

- Innovations

  The AIS Forum Secretariat will hold several innovation challenge initiatives that could potentially produce prototypes or policy proposals that can be scaled up or implemented and used for the benefit of the society at large.

- Data

  The AIS Forum Secretariat plans to develop several databases including countries' blue economy indicators, companies (startups and SMEs), and human resources, and they can be accessed through its online platforms. The sex-disaggregated database will be arranged and well documented.

- Training Materials

  The AIS Forum Secretariat's programs consist of workshops, training (e-learning), and webinars that will produce learning and development materials that can be accessed through its online platforms.

- Research and Policy Papers

  The AIS Forum Secretariat will facilitate meetings and discussions between government authorities and other stakeholders from archipelagic and island states to share best practices in managing ocean resources and maritime governance. Moreover, the support that will be provided by the AIS Forum for research and development activities will potentially generate outputs in a form of research and policy paper.

3.8. Sustainability and Scaling Up

The AIS Forum Support Facility aims to establish a Secretariat that will operationalize the Forum's missions and strategic directions into programs. The first phase of the project focuses on establishing the foundation of the Secretariat such as creating roles and responsibilities, developing internal procedures, and building networks and partnerships. In this phase, the support from the Government of Indonesia, as the initiator and main contributor to the project, is highly essential. The AIS Forum Secretariat will closely coordinate and leverage the resources provided by the Government of Indonesia through the Coordinating Ministry of Maritime Affairs and Investment to gain traction from other archipelagic and island states and all the relevant stakeholders.

The second phase of the project focuses on expanding the Forum's programs and initiatives. The expansion means more involvement and increase in contribution from other archipelagic and island states. The strategy to conduct the expansion is by creating programs that are tailored to the needs of the local beneficiaries and having on the ground presence through the deployment of a representative of the Secretariat in the region. This can be done by recruiting local staff who represents each of the regions of interest of the AIS Forum Secretariat.

The next phase of the project seeks to transform the AIS Forum into a more established organization with member states that commit to the long-term objectives of the Forum.

IV. PROJECT MANAGEMENT

4.1 Cost Efficiency and Effectiveness

The main objective of the AIS project is to create a smart and innovative solution as well as to promote cooperation between its participating countries in the areas of climate change mitigation and adaptation, marine plastic debris, good maritime governance and blue economy. Considering the very wide range of AIS participating countries, the available resources will be used to engage

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and explore the potential collaboration as well as the transfer of knowledge between one country to another.

In ensuring cost efficiency and effectiveness, AIS will follow all UNDP procedures in procurement, finance and all related operational matters. In addition to that, the AIS project will mainly utilize the online platform to engage with our beneficiaries from the Pacific to the Caribbean with some additional missions if necessary. It includes the technical assistance and training, transfer of knowledge through workshop and webinar, as well as program promotions. In terms of stakeholder's engagement, AIS project's main strategy is to coordinate closely with the Coordinating Ministry of Maritime Affairs and the Investment Republic of Indonesia and optimize government to government channel to engage other AIS participating countries. It includes coordination with AIS participating countries' embassies in Jakarta, Indonesian Embassies located in AIS countries and some high-level engagements through Senior Official Meetings, Ministerial Meetings, and High-Level Meetings.

In the end, by having comprehensive cooperation and collaboration between its participating countries the exchange of knowledge will be created and the AIS project would result in smart and innovative solutions in its core thematic areas.

4.2. Project Management

The project will be implemented under the framework of the UNDP Country Programme Document (CPD) 2021 – 2025 applying the Direct Implementation (DIM) modality, where UNDP will act as the Implementing Partner.

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V. RESULTS FRAMEWORK[7]

Intended Outcome as stated in the UNPDF/Country [or Global/Regional] Programme Results and Resource Framework:

- UNSDCF/CPD 2021-2025 Outcome 4. Stakeholders adopt innovative and integrated development solutions to accelerate advancement towards the Sustainable Development Goals.

Outcome indicators as stated in the Country Programme [or Global/Regional] Results and Resources Framework, including baseline and targets:

- Indicator 2.2. (Goal 8.10.1(b)) Proportion of MSMEs that have access to financial services; Baseline: 24.7% (2019); Target: 30.8 (2025)
- Indicator 3.3. (Goal 14.5.1*) Total area of marine conservation (million hectares); Baseline: 22.7 (2019); Target: 26.9 (2025)
- Indicator 4.3. (Goal 17.9.1) Value of financial and technical assistance through South- South and triangular cooperation (in trillions of rupiah); Baseline: 112 (2019); Target: 190 (2025)

Applicable Output(s) from the UNDP Strategic Plan:

- Project Output 1 attribute to CPD Output 4.4. Partnerships strengthened for innovative and inclusive South-South and triangular cooperation (SP Output 1.1.1)
- Project Output 2 attribute to CPD Output 4.4. Partnerships strengthened for innovative and inclusive South-South and triangular cooperation (SP Output 1.1.1)
- Project Output 3 attribute to CPD Output 4.4. Partnerships strengthened for innovative and inclusive South-South and triangular cooperation (SP Output 1.1.1)
- Project Output 4 attribute to CPD Output 4.4. Partnerships strengthened for innovative and inclusive South-South and triangular cooperation (SP Output 1.1.1)

Project title and Atlas Project Number: AIS Forum Support Facility Project 00115025

EXPECTED OUTPUTS	OUTPUT INDICATORS[9]	DATA SOURCE	BASELINE	Year	TARGETS (by frequency of data collection)		DATA COLLECTION METHODS & RISKS
					Year		
					2020	2021	
1. AIS Forum Secretariate is fully operated	1.1. The management and technical operations of the Secretariat are available and implemented	UNDP Project Report	Limited	2020	3 = Partially	4= Largely	Desk review, Data base analysis

[7] 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.

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2. The AIS' Framework and Partnership is developed	2.1 Extend to which the partners (Government of AIS Countries) and Embassies are facilitated under the AIS Forum	UNDP Project's report	Limited	2020	3 = Partially	4= Largely	Program Review
	2.2 Start-up Hub and Women Entrepreneurs programmes are developed and engaged AIS countries	UNDP Project's report	Only one program conducted	2020	3 programmes	4 programmes	Program Review
	2.3 The Blue Economy Index of AIS Countries is developed	UNDP Project's report	Early development	2020	3 countries	4 countries	Program Review
	2.4 Joint research and student exchange is implemented by AIS Forum	UNDP Project's report	Only 2 Joint research programs conducted with no student exchange	2020	3 research and/or student exchanges	5 research and/or student exchanges	Program Review
3. Strengthened partnership of AIS Members Countries	3.1 Numbers of technical Assistance given by AIS Secretariate to strengthen the partnership between AIS Countries	UNDP UNDP / Coordinating Ministry for Maritime and Investment Affairs	4 technical assistances conducted	2020	2 technical assistances	5 technical assistances	Program review
	3.2 Numbers of partnership between AIS countries established under the AIS Support Facility	UNDP UNDP / Coordinating Ministry for Maritime and Investment Affairs	Limited	2020	3 partnership activities	5 partnership activities	Program review
4 Strengthened roles of AIS Forum in International Fora.	4.1 Numbers of AISF participation in Regional and Global Meetings	UNDP / Coordinating Ministry for Maritime and Investment Affairs	1 SOM and 1 MM were conducted	2020	1 global meeting	3 global meetings	Desk review

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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:

6.1. *Monitoring Plan*

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress (Project Assurance Report)	Progress data against the results indicators will be collected and analysed to assess the progress of the project in achieving the agreed outputs through internal Project Assurance Report.	twice a year, or in the frequency required for each indicator First week of December 2021 First Week of July 2022	Slower than expected progress will be addressed by project management.	Coordinating Ministry for Maritime and Investment Affairs	n/a
Monitor and Manage Risk	Identify specific risks that may threaten the achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	First week of December 2021 First Week of July 2022	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.	Coordinating Ministry for Maritime and Investment Affairs	n/a
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.	First week of December 2021 First Week of December 2022	Relevant lessons are captured by the project team and used to inform management decisions.	Coordinating Ministry for Maritime and Investment Affairs	n/a

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Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	First week of November 2021 First Week of November 2022	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.	Coordinating Ministry for Maritime and Investment Affairs	n/a
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making	First week of December 2021 First week of December 2021	Performance data, risks, lessons, and quality will be discussed by the project board and used to make course corrections.	Coordinating Ministry for Maritime and Investment Affairs	n/a
Project Report	A progress report will be presented to the key stakeholder, 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 report prepared over the period.	First week of November 2021 First week of November 2022	Provide annual progress report that consists of information regarding the update of AIS achievements in a particular year.	Coordinating Ministry for Maritime and Investment Affairs	n/a
Project Review (Project Board)	The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	First Week of February 2022	Any quality concern or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified	Coordinating Ministry for Maritime and Investment Affairs	n/a

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VII. MULTI-YEAR WORK PLAN [89]

All anticipated programmatic and operational costs to support the project, including development effectiveness and implementation support arrangements, need to be identified, estimated and fully costed in the project budget under the relevant output(s). This includes activities that directly support the project, such as communication, human resources, procurement, finance, audit, policy advisory, quality assurance, reporting, management, etc. All services which are directly related to the project need to be disclosed transparently in the project document.

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year		RESPONSIBLE PARTY	PLANNED BUDGET		
		Y1	Y2		Funding Source	Budget Description	Amount
Output 1: AIS Forum Secretariate is fully operated *Gender marker:2*	**1.1 Activity: AIS Support Facility Operational**						
	Personnel Costs	$25.000	$50.000	UNDP	GOI	71400 - Contractual Services - Individual	$75.000
	Operation Costs	$1.000	$10,000	UNDP	GOI	73100 - Rental & Maintenance-Premises	$11.000
	Communication and Knowledge Management	$880	$6.000	UNDP	GOI	75100 - Facilities & Administration	$6.880
	MONITORING	n/a		UNDP			n/a
		Sub-Total for Output 1					$92.880
Output 2: The AIS' Framework and Partnership is developed *Gender marker:2*	**2.1 Activity: Foundation Activities**						
	AIS Support Secretariat Roundtable Discussion with Partners and Embassies		$4.000	UNDP	GOI	63400 - Learning cost	$36.000
	Startup Hub	$1.000	$15.000	UNDP	GOI	71300 - Local Consultants	$10.000
	Blue Economy Development Index	$740	$15.000	UNDP	GOI	71600 - Travel	$10.000
	Joint Research		$15.000	UNDP	GOI	72800 - Information Technology Equipmt	$2.000
	University Network		$10.000	UNDP	GOI	74200 - Audio Visual&Print Prod Costs	$5.000
	Blue Financing	$1.500	$5.800	UNDP	GOI	75100 - Facilities & Administration	$5.040
	MONITORING	n/a		UNDP			n/a

[8] 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

[9] 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.

		Sub-Total for Output 2					$68.040
Output 3: Strengthened partnership of AIS Participating Countries *Gender marker:2*	**3.1 Activity: Partnership Activities**						
	Visit to Sri Lanka		$7.500	UNDP	GOI	71600 - Travel	$15.000
	Visit to Fiji		$8.500	UNDP			
	Wheather Modeling Prediction Training patnering with BMKG		$2.850	UNDP	GOI	74200 - Audio Visual&Print Prod Costs	$1.500
	International conference on Archipelagic Geography & Development		$3.000	UNDP	GOI	75700 - Training, Workshops and Confer	$5.500
	SAR Training patnering with BASARNAS	5000		UNDP			
	Sea Mapping Training patnering with Pushidros	$500		UNDP	GOI	63400 - Learning cost	$5.500
	Disaster Management Training patnering with BNPB	$500		UNDP			
	Coral Restoration Training patnering with LIPI	$5.120		UNDP	GOI	75100 - Facilities & Administration	$1.000
	MONITORING	n/a		UNDP			n/a
		Sub-Total for Output 3					$28.500
Output 4: Strengthened roles of AIS Forum in International Fora *Gender marker:2*	**4.1: Regional and Global Meetings and Conference**						
	AIS Strategic Discussion: Key Messages to COP	$5.000		UNDP UNDP	GOI	74200 - Audio Visual&Print Prod Costs	$9.167
	The Senior Official Meeting	$10,000	$5.000	UNDP	GOI	75700 - Training, Workshops and Conference,	$46.000
	The Ministerial Meeting	$13.260	$11.320	UNDP			
	AIS High Level Meeting		$15.000	UNDP	GOI	75100 - Facilities & Administration	$4413
	MONITORING	n/a		UNDP			n/a
		Sub-Total for Output 4					$59.580
Evaluation *(as relevant)*	EVALUATION	n/a					n/a
General Management Support [10]		$17.333					

[10] This amount indicates the total of budget code 75100 (Facilities and Administration) in each activities.

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Direct Project Cost (DPC)		**$14.000**			**UNDP CO TRAC**		**$14.000**
TOTAL		**$50.000**	**$149.000**				**$249.000**

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VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The project will be implemented under Direct Implementation Modality (DIM) by UNDP Indonesia, in consultation with donors and other partners. The implementation arrangements will follow the standard UNDP project management guidelines.

Project Board

The Project Board provides direction and management for the project. The board will be chaired by representatives from the Government of Indonesia (the Coordinating Ministry of Maritime and Investment Affairs of the Republic of Indonesia) and/or other ministries, UNDP, representatives from other AIS participating countries, and development partners. The PB is responsible for making, by consensus, management decisions including recommendations for approval of the country-level Annual Work Plans (AWPs) and revisions and addressing any project-level grievances and critical risks. Project Board decisions should be made in accordance with standards that ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. This board meets at least once a year and can be called upon any time to meet on a need basis.

Project Assurance

UNDP Indonesia (Environment Unit) will play the role of Project Assurance (PA). The PA will carry out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. The PA process will be biannual.

Archipelagic and Island States Forum Support Facility

The Support Facility is responsible for developing and delivering its programs and initiatives around the areas of cooperation, building partnerships with international and local communities, and conducting bilateral meetings with regional/global initiatives.

The full-time posts are as follows:

A National Project Coordinator. S/he will manage the operations of the AIS Forum Support Facility. The Project Coordinator will report to the UNDP Program Manager and will cooperate closely with the Government of Indonesia (the Coordinating Ministry of Maritime Affairs of the Republic of Indonesia). His/her role will include developing stakeholder networks in Indonesia and overseas, managing stakeholders, developing tools and strategies to mobilize resources for the Forum, and building support for the Forum in the host country.

A Project Assistant. Under the supervision of the Project Coordinator, s/he will support the daily operations and program of the AIS Forum Support Facility by performing daily support operational functions, programs and assisting in annual plan, progress reports and M&E.

A Communication Clerk. Under supervision of the National Project Coordinator, s/he will promote the work of the Forum; develop outreach tools to attract stakeholder interest. S/he will ensure that Forum communications are timely, effective, and well-presented.

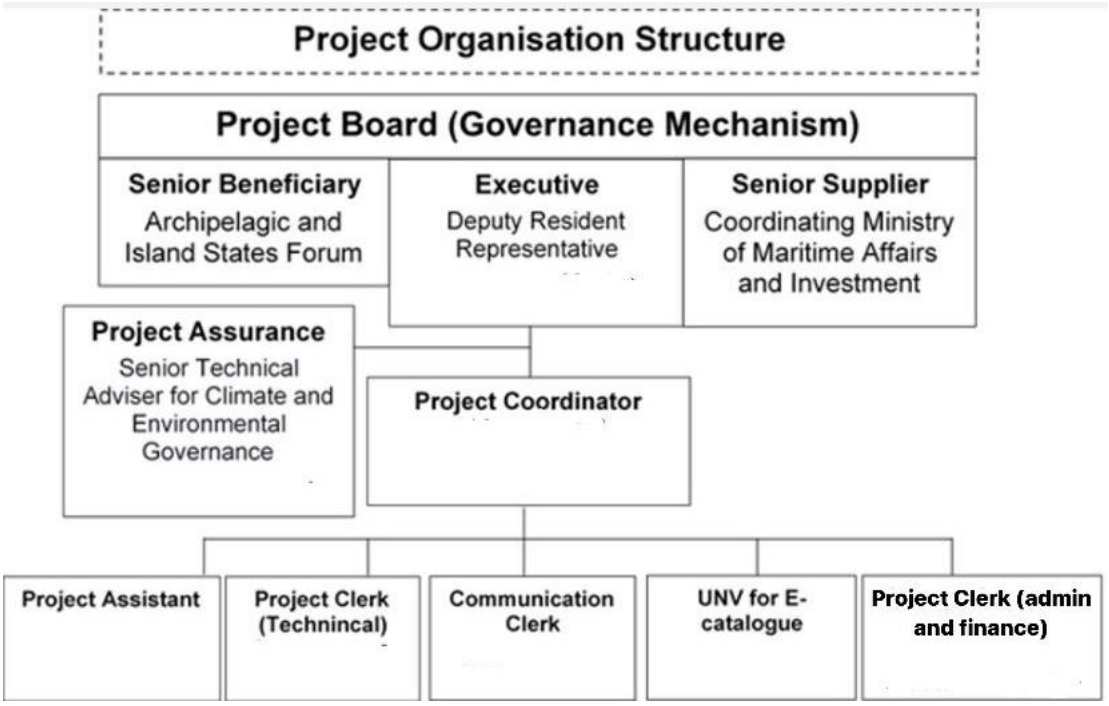
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Project Clerk (Technical). Under supervision of the Project Coordinator, s/he will support in the implementation of the programs of AIS Form Support Facility especially in related to the engagement with governments, embassies and private sectors.

A UNV for E-catalogue. Under the supervision of the Project Coordinator, s/he will work on specific assignments including the startup hub and regional/global meeting preparation.

Project Clerk for Admin and Finance. Under the supervision of the National Project Coordinator, s/he will provide administrative and logistical assistance and assist in recruitment of personnel, procurement of goods and services; keep records of project funds and expenditures; review annual budgets and project expenditures, ensure that project funds are used in compliance with the Project Document and GoI financial rules and procedures; provide support to matters related to M&E and knowledge resources management.

AIS Forum Support Facility may hire local or international consultants and interns to assist in various aspects of the programs.



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IX. LEGAL CONTEXT

The project document shall be the instrument envisaged and defined in the Supplemental Provisions to the Project Document, attached hereto and forming an integral part hereof, as "the Project Document".

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

X. RISK MANAGEMENT

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[11] is used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

3. Social and environmental sustainability will be enhanced through the 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 Supplemental Provisions to the Project Document*, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP's property in such responsible party's, subcontractor's and sub-recipients 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;

[11] To be used where UNDP is the Implementing Partner

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ii. assume all risks and liabilities related to such responsible party's, subcontractor's and sub-recipients 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-recipients obligations under this Project Document.

c. In the performance of the activities under this Project, UNDP as the Implementing Partner shall ensure, with respect to the activities of any of its responsible parties, sub-recipients and other entities engaged under the Project, either as contractors or subcontractors, their personnel and any individuals performing services for them, that those entities have in place adequate and proper procedures, processes and policies to prevent and/or address SEA and SH.

d. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.

e. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.

f. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.

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

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.

h. UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the 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.

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

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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.

i. 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.

j. 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.

k. 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.

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XI. ANNEXES

- **Annex 1. Project Quality Assurance Report**
- **Annex 2. Social and Environmental Screening Template**
- **Annex 3. Offline Project Risk Register.**
- **Annex 4. Project Board Terms of Reference and TORs of key management positions**
- **Annex 5. Supplemental Provisions to the Project Document: The Legal Context**

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Annex 1. Project Quality Assurance Report

https://intranet-apps.undp.org/ProjectQA/Forms/Design?fid=6835&year=2020&ou=IDN&pid=00115025&fltr=PROJECT

Design & Appraisal Stage Quality Assurance Report

Form Status: Approved

Overall Rating:	Highly Satisfactory
Decision:	Approve: The project is of sufficient quality to continue as planned. Any management actions must be addressed in a timely manner.
Portfolio/Project Number:	00115025
Portfolio/Project Title:	PIP - Est.of the Archipelagic & Island State (AIS) Forum
Portfolio/Project Date:	2019-01-01 / 2021-12-31

Strategic **Quality Rating: Exemplary**

1. Does the project specify how it will contribute to higher level change through linkage to the programme's Theory of Change?

- *3: The project is clearly linked to the programme's theory of change. It has an explicit change pathway that explains how the project will contribute to outcome level change and why the project's strategy will likely lead to this change. This analysis is backed by credible evidence of what works effectively in this context and includes assumptions and risks.*
- 2: The project is clearly linked to the programme's theory of change. It has a change pathway that explains how the project will contribute to outcome-level change and why the project strategy will likely lead to this change.
- 1: The project document may describe in generic terms how the project will contribute to development results, without an explicit link to the programme's theory of change.

Evidence:

AIS is fostering collaboration and enabling innovatio n among Archipelagic and Island countries through a series of programmes designed to bring together e ntrepreneurs, academia, government and wilder soci ety together, to tackle the issue of Climate Change, maritime governance, blue economy, and marine pla stics (4 thematic areas). This contributes to the CPD output: Stakeholders adopt innovative and integrate d development solutions to accelerate advancement towards the Sustainable Development Goals.

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List of Uploaded Documents

#	File Name	Modified By	Modified On
1	Prodocstrategy_6835_101 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Prodocstrategy_6835_101.pdf)	xiaoyang.tian@undp.org	4/7/2021 3:11:00 PM

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

- *3: The project responds to at least one of the development settings as specified in the Strategic Plan[1] and adapts at least one Signature Solution[2]. The project's RRF includes all the relevant SP output indicators. (all must be true)*
- 2: The project responds to at least one of the development settings as specified in the Strategic Plan[4]. The project's RRF includes at least one SP output indicator, if relevant. (both must be true)
- 1: The project responds to a partner's identified need, but this need falls outside of the UNDP Strategic Plan. Also select this option if none of the relevant SP indicators are included in the RRF.

Evidence:

For the Strategic Plan, AIS Forum activities, based on the Manado Joint Declaration and the Ministerial Meetings' decisions, respond to the structural transformations for sustainable development(SP Outcome 2), especially sustainable ocean development, also resilience building to shocks and crises (SP Outcome 3), especially climate crisis. The Signature Solutions "Promote nature based solutions for a sustainable planet" and "Strengthen effective, inclusive and accountable governance" are adopted, as the activities are designed to promote ocean-based solution to climate change, and effective, inclusive and accountable maritime governance. Indicators have been included in monitoring progress made in sustainable structure and resilience.

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	Prodoc_withSP_6835_102 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Prodoc_withSP_6835_102.pdf)	xiaoyang.tian@undp.org	4/7/2021 3:02:00 PM

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

- *Yes*
- No

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Evidence:

UNPDF/CPD 2021-2025
Outcome 4: Stakeholders adopt innovative and integrated development solutions to accelerate advancement towards the Sustainable Development Goals.
- Output 4.4 Partnerships strengthened for innovative and inclusive South-South and triangular cooperation (Strategic Plan Output 1.1.1)

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	Prodocstrategy_6835_103 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Prodocstrategy_6835_103.pdf)	xiaoyang.tian@undp.org	4/7/2021 3:04:00 PM

Relevant **Quality Rating: Satisfactory**

4. Do the project target groups leave furthest behind?

- ○ 3: The target groups are clearly specified, prioritising discriminated, and marginalized groups left furthest behind, identified through a rigorous process based on evidence.
- ◉ *2: The target groups are clearly specified, prioritizing groups left furthest behind.*
- ○ 1: The target groups are not clearly specified.

Evidence:

The project is utilizing its network to facilitate knowledge and technology exchange and promoting innovative solutions among AIS countries at different levels of development, so that people of those countries previously without access to resources and technology can now be introduced to and then access them. Coastal communities who are especially vulnerable to climate change and consequences of unsustainable ocean exploitation, yet currently with poor access or knowledge of solutions, are the prioritized group.

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#	File Name	Modified By	Modified On
1	Prodoc_coastalcommunity_6835_104 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Prodoc_coastalcommunity_6835_104.pdf)	xiaoyang.tian@undp.org	4/7/2021 3:09:00 PM
2	Prodoc_problemtree_6835_104 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Prodoc_problemtree_6835_104.pdf)	xiaoyang.tian@undp.org	4/7/2021 3:09:00 PM

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

- ○ 3: Knowledge and lessons learned backed by credible evidence from sources such as evaluation, corporate policies/strategies, and/or monitoring have been explicitly used, with appropriate referencing, to justify the approach used by the project.
- ◉ *2: The project design mentions knowledge and lessons learned backed by evidence/sources but have not been used to justify the approach selected.*
- ○ 1: There is little, or no mention of knowledge and lessons learned informing the project design. Any references made are anecdotal and not backed by evidence.

Evidence:

The Forum originated from the 2017 Ocean Conference in New York City, 21 participating countries subsequently agreed to the foundation activities that became the framework of this project. It was mentioned why Science, Technology, and Innovation were chosen as the centre of each activity design, as well as why cooperation and tech/knowledge transfer were included in activities.

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#	File Name	Modified By	Modified On
1	Prodoc_developmentchallenge_6835_105 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Prodoc_developmentchallenge_6835_105.pdf)	xiaoyang.tian@undp.org	4/7/2021 3:28:00 PM

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

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- 3: An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project, including identification of potential funding partners. It is clear how results achieved by partners will complement the project's intended results and a communication strategy is in place to communicate results and raise visibility vis-à-vis key partners. Options for south-south and triangular cooperation have been considered, as appropriate. (all must be true)
- *2: Some analysis has been conducted on the role of other partners in the area where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project, with unclear funding and communications strategies or plans.*
- 1: No clear analysis has been conducted on the role of other partners in the area that the project intends to work. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance.

Evidence:

The Government of Indonesia chose to fund UNDP t o carry out this project, with UNDP's long time supp ort related to the 4 thematic areas of the Forum, and its global experience and network in mind. Roundtab le Discussion with Partners and Embassies was incl uded as one of the project activities, there has been ongoing discussion to engage partners (such as PIf, SIDS, embassies) to communicate priorities and res ults.

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#	File Name	Modified By	Modified On
1	ProgressReport2020_Annex1events_6835_1 06 (https://intranet.undp.org/apps/ProjectQA/ QAFormDocuments/ProgressReport2020_A nnex1events_6835_106.pdf)	xiaoyang.tian@undp.org	2/19/2021 5:53:00 AM
2	Prodoc_partnership_6835_106 (https://intran et.undp.org/apps/ProjectQA/QAFormDocum ents/Prodoc_partnership_6835_106.pdf)	xiaoyang.tian@undp.org	4/7/2021 3:31:00 PM

Principled **Quality Rating: Highly Satisfactory**

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

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- *3: The project is guided by human rights and incorporates the principles of accountability, meaningful participation, and non-discrimination in the project's strategy. The project upholds the relevant international and national laws and standards. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. (all must be true)*
- 2: The project is guided by human rights by prioritizing accountability, meaningful participation and non-discrimination. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget. (both must be true)
- 1: No evidence that the project is guided by human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered.

Evidence:

For archipelagic and island states, the adverse impacts of climate change and unsustainable ocean exploitation that the people suffer are disproportionate because of the geographical and socio-economic characteristics of these countries. The activities the Support Facility designed aim to strengthen the exchange and the cooperation among archipelagic and island states to address those common challenges, so that people from countries with different degrees of development can have the same availability and accessibility to solutions and resources, in line with human rights principles. The thematic Roundtable Discussions with partners and embassies will seek to form inclusive partnerships that mitigate the inequality; the Startup Hub will promote business that advance SDGs and advocate dignified jobs; Blue Economy Development Index will help to make sure the ocean resources will be sustained and distributed fairly; joint-research and student exchange will offer the opportunity for ideas and technology to develop, and the benefits of such development will be available to all member states.

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#	File Name	Modified By	Modified On
1	Prodocstrategy_6835_107 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Prodocstrategy_6835_107.pdf)	xiaoyang.tian@undp.org	4/8/2021 4:11:00 AM

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

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- 3: A participatory gender analysis has been conducted and results from this gender analysis inform the development challenge, strategy and expected results sections of the project document. Outputs and indicators of the results framework include explicit references to gender equality, and specific indicators measure and monitor results to ensure women are fully benefitting from the project. (all must be true)
- *2: A basic gender analysis has been carried out and results from this analysis are scattered (i.e., fragmented and not consistent) across the development challenge and strategy sections of the project document. The results framework may include some gender sensitive outputs and/or activities but gender inequalities are not consistently integrated across each output. (all must be true)*
- 1: The project design may or may not mention information and/or data on the differential impact of the project's development situation on gender relations, women and men, but the gender inequalities have not been clearly identified and reflected in the project document.

Evidence:

Among the 4 areas of focus of the AIS Forum, it is w idely acknowledged that women are susceptible to cl imate and ocean related nature disasters, the dispari ty of income in blue economy between genders is al so significant. Therefore, gender equality and equity are critical to maximize the impact of AIS Forum acti vities. Activities include gender-sensitive policy for th e blue economy platform and the promotion of wom en's economic empowerment and women's leadersh ip. In all activities, age and sex-disaggregated data will be collected and monitored.

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#	File Name	Modified By	Modified On
1	Prodoc_women_6835_108 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Prodoc_women_6835_108.pdf)	xiaoyang.tian@undp.org	4/8/2021 4:15:00 AM

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

- *3: Credible evidence that the project addresses sustainability and resilience dimensions of development challenges, which are integrated in the project strategy and design. The project reflects the interconnections between the social, economic and environmental dimensions of sustainable development. Relevant shocks, hazards and adverse social and environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. (all must be true)*
- 2: The project design integrates sustainability and resilience dimensions of development challenges. Relevant shocks, hazards and adverse social and environmental impacts have been identified and assessed, and relevant management and mitigation measures incorporated into project design and budget. (both must be true)
- 1: Sustainability and resilience dimensions and impacts were not adequately considered.

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Evidence:

The four areas that this forum focuses on are climat e change mitigation and adaptation, sustainable blu e economy, marine plastic debris, and good maritim e governance, all project activities are for addressin g sustainability and resilience of development challe nges especially in ocean and climate. For example, t he BEDI development is looking at social, economic and environmental interaction in blue economy and will provide a quantitative tool for planning and asse ssment. No apparent shocks, hazards and adverse social and environmental impacts have been identifi ed in the design stage.

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#	File Name	Modified By	Modified On
1	BEDIpreliminaryresults_6835_109 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/BEDIpreliminaryresults_6835_109.pdf)	xiaoyang.tian@undp.org	2/19/2021 10:52:00 AM
2	Prodocresults_6835_109 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Prodocresults_6835_109.pdf)	xiaoyang.tian@undp.org	4/8/2021 4:16:00 AM

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

- (●) *Yes*
- ( ) No
- ( ) SESP not required because project consists solely of (Select all exemption criteria that apply)
  - [ ] 1: Preparation and dissemination of reports, documents and communication materials
  - [ ] 2: Organization of an event, workshop, training
  - [ ] 3: Strengthening capacities of partners to participate in international negotiations and conferences
  - [ ] 4: Partnership coordination (including UN coordination) and management of networks
  - [ ] 5: Global/regional projects with no country level activities (e.g. knowledge management, inter-governmental processes)
  - [ ] 6: UNDP acting as Administrative Agent

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Evidence:

SESP has been conducted. The majority of activities are preparation and dissemination of reports, documents and communication materials; organization of an event, workshop, training; partnership coordination (including UN coordination) and management of networks. For the few activities on the ground through Innovation Challenges and Joint Research, the selection will be proposal-based, so experts and staff can exclude risky proposals. Therefore no SESP risk identified.

List of Uploaded Documents

#	File Name	Risk Category	Risk Requirements	Document Status	Modified By	Modified On
1	Prodoc_Annex2 SESP_6835_110 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Prodoc_Annex2SESP_6835_110.pdf)	Low		Final	xiaoyang.tian@undp.org	4/8/2021 4:23:00 AM

Management & Monitoring **Quality Rating: Highly Satisfactory**

11. Does the project have a strong results framework?

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- 3: The project's selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators that measure the key expected development changes, each with credible data sources and populated baselines and targets, including gender sensitive, target group focused, sex-disaggregated indicators where appropriate. (all must be true)
- *2: The project's selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of target group focused, sex-disaggregated indicators, as appropriate. (all must be true)*
- 1: The project's selection of outputs and activities are not at an appropriate level; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators. (if any is true)

Evidence:

The result framework consists of Secretariat establis hment, 4 foundation programs, Partnership activitie s,Regional and global meetings. SMART indicators exist. There is an indicator for Women Entrepreneur s programme.

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#	File Name	Modified By	Modified On
1	Prodoc_resultsframework_6835_111 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Prodoc_resultsframework_6835_111.pdf)	xiaoyang.tian@undp.org	4/13/2021 6:43:00 AM

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

- *3: The project's governance mechanism is fully defined. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. (all must be true)*
- 2: The project's governance mechanism is defined; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The project document lists the most important responsibilities of the project board, project director/manager and quality assurance roles. (all must be true)
- 1: The project's governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided.

Evidence:

The board will be chaired by representatives from th e Government of Indonesia (the Coordinating Ministr y of Maritime and Investment Affairs of the Republic of Indonesia) and/or other ministries, UNDP, represe ntatives from other AIS participating countries, and d evelopment partners.

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#	File Name	Modified By	Modified On
1	Prodoc_governance_6835_112 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Prodoc_governance_6835_112.pdf)	xiaoyang.tian@undp.org	4/8/2021 4:33:00 AM
2	Prodoc_managementToRs_6835_112 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Prodoc_managementToRs_6835_112.pdf)	xiaoyang.tian@undp.org	4/8/2021 4:33:00 AM

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

- (●) *3: Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the programme's theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis such as funding potential and reputational risk. Risks have been identified through a consultative process with key internal and external stakeholders, including consultation with the UNDP Security Office as required. Clear and complete plan in place to manage and mitigate each risk, including security risks, reflected in project budgeting and monitoring plans. (both must be true)*
- ( ) 2: Project risks related to the achievement of results are identified in the initial project risk log based on a minimum level of analysis and consultation, with mitigation measures identified for each risk.
- ( ) 1: Some risks may be identified in the initial project risk log, but no evidence of consultation or analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified, no initial risk log is included with the project document and/or no security risk management process has taken place for the project.

Evidence:

The project team consulted with internal and external parties to determine the risks and mitigation measures. As AIS does not have a specific project site, project site-specific risks were not identified. The main risks are government commitment; coordination among donor, participating countries, and implementing partners; capacity of staff in crucial settings; and COVID-19 Pandemic. Most can be mitigated through effective communications and constructive plannings. Coordinating cost has been included in the budget and there is a monitoring plan.

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#	File Name	Modified By	Modified On
1	Prodoc_risk_6835_113 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Prodoc_risk_6835_113.pdf)	xiaoyang.tian@undp.org	4/8/2021 4:45:00 AM

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Efficient **Quality Rating: Satisfactory**

14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include, for example:
i) Using the theory of change analysis to explore different options of achieving the maximum results with the resources available.
ii) Using a portfolio management approach to improve cost effectiveness through synergies with other interventions.
iii) Through joint operations (e.g., monitoring or procurement) with other partners.
iv) Sharing resources or coordinating delivery with other projects.
v) Using innovative approaches and technologies to reduce the cost of service delivery or other types of interventions.

- *Yes*
- No

Evidence:

Online platform and established government channels will be extensively utilized to save cost. The theory of change put emphasis on scalable and repeatable solutions.

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#	File Name	Modified By	Modified On
1	Prodoc_costefficiency_6835_114 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Prodoc_costefficiency_6835_114.pdf)	xiaoyang.tian@undp.org	4/8/2021 4:48:00 AM

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

- 3: The project's budget is at the activity level with funding sources, and is specified for the duration of the project period in a multi-year budget. Realistic resource mobilisation plans are in place to fill unfunded components. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget. Adequate costs for monitoring, evaluation, communications and security have been incorporated.
- *2: The project's budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget, but no funding plan is in place. Costs are supported with valid estimates based on prevailing rates.*
- 1: The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget.

Evidence:

There is an activity-level budget plan. The 3rd payment from the government (donor) is not yet received at the time of QA process. The 2021 AWP provided an activity-level budget plan based on already received funding. The estimation comes from similar projects or activities during the preparation phase.

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#	File Name	Modified By	Modified On
1	SignedAWP2021_6835_115 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/SignedAWP2021_6835_115.pdf)	xiaoyang.tian@undp.org	2/19/2021 10:55:00 AM
2	Prodoc_budget_6835_115 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Prodoc_budget_6835_115.pdf)	xiaoyang.tian@undp.org	4/14/2021 7:53:00 AM

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

- 3: The budget fully covers all project costs that are attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.)
- *2: The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant.*
- 1: The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project.

Evidence:

The Financing Agreement between the Government of Indonesia and UNDP committed a 3-phase paym ent, the last payment is not received at the time of th is QA process.

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#	File Name	Modified By	Modified On
1	FinancingAgreementCopyKemenko_6835_116 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/FinancingAgreementCopyKemenko_6835_116.pdf)	xiaoyang.tian@undp.org	4/12/2021 9:22:00 AM

Effective **Quality Rating: Highly Satisfactory**

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

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- 3: Credible evidence that all targeted groups, prioritising discriminated and marginalized populations that will be involved in or affected by the project, have been actively engaged in the design of the project. The project has an explicit strategy to identify, engage and ensure the meaningful participation of target groups as stakeholders throughout the project, including through monitoring and decision-making (e.g., representation on the project board, inclusion in samples for evaluations, etc.)
- *2: Some evidence that key targeted groups have been consulted in the design of the project.*
- 1: No evidence of engagement with targeted groups during project design.
- Not Applicable

Evidence:

The target groups include AIS citizens facing climate or ocean-related challenges in general, with a focus on innovative entrepreneur or research and develop ment groups, the engagement was achieved throug h 5 Senior Official Meetings, 3 Ministerial Meetings, as well as smaller discussions.

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	FinalOutcome3rdMinisterialMeeting_2020_6835_117 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/FinalOutcome3rdMinisterialMeeting_2020_6835_117.pdf)	xiaoyang.tian@undp.org	2/24/2021 5:31:00 AM
2	ConceptNoteSOMMM3AISForum02102020_6835_117 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/ConceptNoteSOMMM3AISForum02102020_6835_117.pdf)	xiaoyang.tian@undp.org	2/24/2021 5:33:00 AM
3	ChairsConclusionSOM-5-Final_6835_117 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/ChairsConclusionSOM-5-Final_6835_117.pdf)	xiaoyang.tian@undp.org	2/24/2021 5:45:00 AM

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

- *Yes*
- No

Evidence:

The meetings with AIS participating countries, and fr equent consultations with ministries as well as stake holders, decided the themes and framework of activi ties, the roundtable discussions are an important wa y to adapt according to needs and lessons.

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No documents available.			

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

- (●) *Yes*
- ( ) No

Evidence:

The main approach will be gender-sensitivity in activ ity implementing, and gender-sensitive policy analysi s for blue economy platform.

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#	File Name	Modified By	Modified On
1	Prodoc_women_6835_119 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Prodoc_women_6835_119.pdf)	xiaoyang.tian@undp.org	4/8/2021 4:47:00 AM

Sustainability & National Ownership **Quality Rating: Satisfactory**

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

- (●) *3: National partners (or regional/global partners for regional and global projects) have full ownership of the project and led the process of the development of the project jointly with UNDP.*
- ( ) 2: The project has been developed by UNDP in close consultation with national / regional / global partners.
- ( ) 1: The project has been developed by UNDP with limited or no engagement with national partners.

Evidence:

The project is designed and planned together with s everal AIS participating countries, most notably Indo nesia. Senior Official Meetings, Ministrial Meetings, as well as other coordinating meetings contributed t o the design of the project.

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

- 3: The project has a strategy for strengthening specific capacities of national institutions and/or actors based on a completed capacity assessment. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly.
- *2: A capacity assessment has been completed. There are plans to develop a strategy to strengthen specific capacities of national institutions and/or actors based on the results of the capacity assessment.*
- 1: Capacity assessments have not been carried out.
- Not Applicable

Evidence:

Blue Financing Assessment and Blue Economy Dev elopment Index are looking at institutional, technical and financing gaps and are looking to close the gap s.

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#	File Name	Modified By	Modified On
1	BEDIpreliminaryresults_6835_121 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/BEDIpreliminaryresults_6835_121.pdf)	xiaoyang.tian@undp.org	2/24/2021 7:13:00 AM
2	BLUEFINANCINGSTRATEGICDOCUMENT_6835_121 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/BLUEFINANCINGSTRATEGICDOCUMENT_6835_121.pdf)	xiaoyang.tian@undp.org	2/24/2021 7:14:00 AM

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

- Yes
- *No*
- Not Applicable

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Evidence:

The project is Indonesia-based, but the main purpose is to reach to other countries. While local data might contribute to some R&D activities, national systems are not foreseen to be directly involved.

List of Uploaded Documents

#	File Name	Modified By	Modified On
No documents available.			

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

- (●) *Yes*
- ( ) No

Evidence:

The focus of the transition period will be to have other AIS countries lead in implementing activities in the future. AIS is currently creating roles and responsibilities, developing internal procedures, and building networks and partnerships. The next phase is about closely coordinating with the Government of Indonesia and governments and stakeholders in other AIS countries for potential local presence in other AIS countries, as well as possible co-organizing events, so that AIS results can be sustained through other resources. This is included in project plan.

List of Uploaded Documents

#	File Name	Modified By	Modified On
1	Prodoc_sustainability_6835_123 (https://intranet.undp.org/apps/ProjectQA/QAFormDocuments/Prodoc_sustainability_6835_123.pdf)	xiaoyang.tian@undp.org	4/8/2021 4:50:00 AM

QA Summary/LPAC Comments

The AIS project is designed in a way that is in line with national priority and will contribute to UNDP's programme outcome. The design process incorporated stakeholders' inputs and should be able to promote equality, contribute to gender inequality, build resilience to climate change and achieve a sustainable ocean economy. As detailed activities are still evolving, there must be effective monitoring and evaluation to make sure project outputs are maximised.

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Annex 2. Social and Environmental Screening

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

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

Project Information

Project Information	
1. Project Title	AIS Forum Support Facility Project
2. Project Number (i.e. Atlas project ID, PIMS+)	00115025
3. Location (Global/Region/Country)	Indonesia
4. Project stage (Design or Implementation)	Implementation
5. Date	April 23 2021

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

QUESTION 1: How Does the Project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?
Briefly describe in the space below how the project mainstreams the human rights-based approach
The four areas that this forum focuses on are climate change mitigation and adaptation, sustainable blue economy, marine plastic debris, and good maritime governance. For archipelagic and island states, the adverse impacts of climate change and unsustainable ocean exploitation that the people suffer are disproportionate because of the geographical and socio-economic characteristics of these countries. The activities the project designed aim to strengthen the exchange and the cooperation among archipelagic and island states to address those common challenges, so that people from countries with different degrees of development can have the same availability and accessibility to solutions and resources, in line with human rights principles. The thematic Roundtable Discussions with partners and embassies will seek to form inclusive partnerships that mitigate the inequality; the Startup Hub will promote business that advance SDGs and advocate dignified jobs; Blue Economy Development Index will help to make sure the ocean resources will be sustained and distributed fairly; joint-research and student exchange will offer the opportunity for ideas and technology to develop,

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and the benefits of such development will be available to all member states. Non-discriminatory approach is applies to people's engagement and consultation during all the process regardless of their gender, age, colours of the skins and so on.
Briefly describe in the space below how the project is likely to improve gender equality and women's empowerment
Among the areas of focus, it is widely acknowledged that women are susceptible to climate and ocean related nature disasters, the disparity of income in blue economy between genders is also significant. Therefore, gender equality and equity are critical to maximize the impact of AIS Forum activities. For roundtable discussions, gender equality will be promoted by the project team and incorporate the inputs from stakeholders into project activities. Startup hub will promote and encourage participation women's entrepreneurs, both starters and veterans, and facilitate the knowledge and experience exchange between them. Blue economy analyses will have a gender component. Joint-research and student exchange will strive for a balanced participation from male and female applicants. In all activities, age and sex-disaggregated data will be collected and monitored. Thus the activities can contribute to women's empowerment through support in entrepreneurship, research, and gender-sensitive social-economic analysis.
Briefly describe in the space below how the project mainstreams sustainability and resilience
Environmental sustainability is the core of this project. The AIS Forum has chosen the thematic areas to be climate change mitigation and adaptation, sustainable blue economy, marine plastic debris, and good maritime governance. The activities afflicted with climate change mitigation and adaptation will look to reduce vulnerabilities and strengthen resilience of AIS communities to climate change, through innovation, knowledge exchange and sharing of lessons learnt. Sustainable blue economy and maritime governance analyses, research and business will support the transformation of the utilization of ocean resources, while strengthened maritime governance will ensure longer term sustainable maritime development. Marine plastic debris mitigation will form partnerships and strengthen the capacities of managing marine waste through innovation. Through the establishment of the Support Facility and the implementation of activities, AIS Forum will act as the sharing mechanism of technology, knowledge, and financial resources related to environmental sustainability among AIS Forum participating countries.
Briefly describe in the space below how the project strengthens accountability to stakeholders
The project has a set of disclosure plans including report publishing, webinars, social media to communicate the plans and results, ensuring performance accountability. Each year the progress report will be reviewed and approved in AIS Forum senior official meetings and ministerial meetings, attended by at least 20 countries, suggestions and feedback from them will be incorporated in the next year's plan. Formal and informal consultation and communication with ministries and embassies will happen all year round. Financial accountability will be safeguarded by UNDP regulations. Therefore, accountability to the donor, to AIS beneficiaries and to UNDP internally should always be under watch.

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Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? *Note: Complete SESP Attachment 1 before responding to Question 2.*	**QUESTION 3: What is the level of significance of the potential social and environmental risks?** *Note: Respond to Questions 4 and 5below before proceeding to Question 5*			**QUESTION 6: Describe the assessment and management measures for each risk rated Moderate, Substantial or High**
Risk Description (broken down by event, cause, impact)	***Impact and Likelihood (1-5)***	***Significance (Low, Moderate Substantial, High)***	***Comments (optional)***	***Description of assessment and management measures for risks rated as Moderate, Substantial or High***
No Risks Identified	I = L =			

QUESTION 4: What is the overall project risk categorization?		
Low Risk	**X**	Though the Blue Economy component of the project inevitably involves the utilization of ocean resources, including fishery, aquaculture, mining etc, the goal is to provide a tool for evaluation and assessment, and a platform to exchange good practices, so that sustainable development plans can be formulated and implemented, therefore the social environmental risk is low. The project will also support field actions by academia, startups or other participants, but because the selections are proposal-based, a social and environmental risk screening can be done in advance to exclude candidates with apparent risks.
Moderate Risk	☐	
Substantial Risk	☐	

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	High Risk	☐			
	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are triggered? (check all that apply)				
	Question only required for Moderate, Substantial and High Risk projects				
	Is assessment required? (check if "yes")	☐			***Status? (completed, planned)***
	if yes, indicate overall type and status		☐	Targeted assessment(s)	
			☐	ESIA (Environmental and Social Impact Assessment)	
			☐	SESA (Strategic Environmental and Social Assessment)	
	Are management plans required? (check if "yes)	☐			
	If yes, indicate overall type		☐	Targeted management plans (e.g. Gender Action Plan, Emergency Response Plan, Waste Management Plan, others)	
			☐	ESMP (Environmental and Social Management Plan which may include range of targeted plans)	
			☐	ESMF (Environmental and Social Management Framework)	
	Based on identified risks, which Principles/Project-level Standards triggered?		**Comments (not required)**		
	Overarching Principle: Leave No One Behind				
	Human Rights	☐			
	Gender Equality and Women's Empowerment	☐			

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	Accountability	☐	
	1. Biodiversity Conservation and Sustainable Natural Resource Management	☐	
	2. Climate Change and Disaster Risks	☐	
	3. Community Health, Safety and Security	☐	
	4. Cultural Heritage	☐	
	5. Displacement and Resettlement	☐	
	6. Indigenous Peoples	☐	
	7. Labour and Working Conditions	☐	
	8. Pollution Prevention and Resource Efficiency	☐	

Final Sign Off

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

Signature	***Date***	***Description***
QA Assessor	Abdul Situmorang	Abdul Situmorang, Programme Manager/Officer
QA Approver		Sophie Kemkhadze, Deputy Resident Representative (DRR)
PAC Chair	Sophie Kemkhadze	Sophie Kemkhadze, Deputy Resident Representative (DRR)

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SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks	
INSTRUCTIONS: The risk screening checklist will assist in answering Questions 2-6 of the Screening Template. Answers to the checklist questions help to (1) identify potential risks, (2) determine the overall risk categorization of the project, and (3) determine required level of assessment and management measures. Refer to the SES toolkit for further guidance on addressing screening questions.	
Overarching Principle: Leave No One Behind **Human Rights**	**Answer (Yes/No)**
P.1 Have local communities or individuals raised human rights concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?	*No*
P.2 Is there a risk that duty-bearers (e.g. government agencies) do not have the capacity to meet their obligations in the project?	*No*
P.3 Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?	*No*
Would the project potentially involve or lead to:	
P.4 adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
P.5 inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities? [12]	No
P.6 restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons with disabilities?	No
P.7 exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Gender Equality and Women's Empowerment	
P.8 Have women's groups/leaders raised gender equality concerns regarding the project, (e.g. during the stakeholder engagement process, grievance processes, public statements)?	No
Would the project potentially involve or lead to:	
P.9 adverse impacts on gender equality and/or the situation of women and girls?	*No*
P.10 reproducing discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	*No*

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

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

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	For example, construction of dams, reservoirs, river basin developments, groundwater extraction	
1.12	handling or utilization of genetically modified organisms/living modified organisms?[13]	*No*
1.13	utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)[14]	*No*
1.14	adverse transboundary or global environmental concerns?	*No*
Standard 2: Climate Change and Disaster Risks		
Would the project potentially involve or lead to:		
2.1	areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?	*No*
2.2	outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters? *For example, through increased precipitation, drought, temperature, salinity, extreme events, earthquakes*	*No*
2.3	increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping practices)? *For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding*	*No*
2.4	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	*No*
Standard 3: Community Health, Safety and Security		
Would the project potentially involve or lead to:		
3.1	construction and/or infrastructure development (e.g. roads, buildings, dams)? (Note: the GEF does not finance projects that would involve the construction or rehabilitation of large or complex dams)	*No*
3.2	air pollution, noise, vibration, traffic, injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation?	*No*
3.3	harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)?	*No*
3.4	risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?	*No*
3.5	transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	*No*
3.6	adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g. food, surface water purification, natural buffers from flooding)?	*No*
3.7	influx of project workers to project areas?	*No*
3.8	engagement of security personnel to protect facilities and property or to support project activities?	*No*

[13] See the Convention on Biological Diversity and its Cartagena Protocol on Biosafety.

[14] See the Convention on Biological Diversity and its Nagoya Protocol on access and benefit sharing from use of genetic resources.

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Standard 4: Cultural Heritage		
Would the project potentially involve or lead to:		
4.1	activities adjacent to or within a Cultural Heritage site?	*No*
4.2	significant excavations, demolitions, movement of earth, flooding or other environmental changes?	*No*
4.3	adverse impacts to sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	*No*
4.4	alterations to landscapes and natural features with cultural significance?	*No*
4.5	utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes?	*No*
Standard 5: Displacement and Resettlement		
Would the project potentially involve or lead to:		
5.1	temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)?	*No*
5.2	economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	*No*
5.3	risk of forced evictions?[15]	*No*
5.4	impacts on or changes to land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	*No*
Standard 6: Indigenous Peoples		
Would the project potentially involve or lead to:		
6.1	areas where indigenous peoples are present (including project area of influence)?	*No*
6.2	activities located on lands and territories claimed by indigenous peoples?	*No*
6.3	impacts (positive or negative) to the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? *If the answer to screening question 6.3 is "yes", then the potential risk impacts are considered significant and the project would be categorized as either Substantial Risk or High Risk*	*No*
6.4	the absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	*No*
6.5	the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	*No*

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

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6.6	forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources? *Consider, and where appropriate ensure, consistency with the answers under Standard 5 above*	*No*
6.7	adverse impacts on the development priorities of indigenous peoples as defined by them?	*No*
6.8	risks to the physical and cultural survival of indigenous peoples?	*No*
6.9	impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices? *Consider, and where appropriate ensure, consistency with the answers under Standard 4 above.*	*No*
Standard 7: Labour and Working Conditions		
Would the project potentially involve or lead to: (note: applies to project and contractor workers)		
7.1	working conditions that do not meet national labour laws and international commitments?	*No*
7.2	working conditions that may deny freedom of association and collective bargaining?	*No*
7.3	use of child labour?	*No*
7.4	use of forced labour?	*No*
7.5	discriminatory working conditions and/or lack of equal opportunity?	*No*
7.6	occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?	*No*
Standard 8: Pollution Prevention and Resource Efficiency		
Would the project potentially involve or lead to:		
8.1	the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	*No*
8.2	the generation of waste (both hazardous and non-hazardous)?	*No*
8.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	*No*
8.4	the use of chemicals or materials subject to international bans or phase-outs? *For example, DDT, PCBs and other chemicals listed in international conventions such as the Montreal Protocol, Minamata Convention, Basel Convention, Rotterdam Convention, Stockholm Convention*	*No*
8.5	the application of pesticides that may have a negative effect on the environment or human health?	*No*
8.6	significant consumption of raw materials, energy, and/or water?	*No*

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Annex 3. Offline Project Risk Register

(see Risk Register template and Deliverable Description of the Risk Register for the Risk Log regarding its purpose and use) for instructions

Project Title: AIS Forum Support Facility Project	**Project/Award ID: 00115025**	**Date:** September 2021

#	Description	Type	Impact & Likelihood = Risk Level	Risk Treatment / Management Measures	Risk Owner
1	AIS project highly depends on the GoI commitment to the project. Considering the significant influence of GoI as donor, the commitment, agenda, political instability and the changing of the political figures in the respective ministries will affect the overall direction and stability project.	*5.1. POLITICAL: Government commitment*	Likelihood = 3 Impact = 4 Risk level = Substantial	The risk will be mitigated by promoting the more involvement of AIS participating countries, therefore it is expected that the project could sustain themselves.	Project Coordinator
2	Insufficient coordination among donor, participating countries and implementing partners in the necessary multi-stakeholder coordination mechanism. Considering the very multilateral nature of the project, engagement of a multitude of stakeholders is required. There is a real risk that coordination will be challenging.	*3.7. OPERATIONAL: Partnership*	Likelihood = 5 Impact = 3 Risk level = Substantial	The risk will be mitigated by encouraging all parties including AIS secretariat and GoI, AIS secretariat and participating countries, AIS and implementing partner to coordinate closely through continuous communication and meetings.	Project Coordinator
3	Low capacity of staffs in the decision making and influences during crucial times and understanding the desire from donor	*4.7. ORGANIZATIONAL: Human Resources*	Likelihood = 5 Impact = 3 Risk level = Substantial	The risk will be mitigated by having a specific and solid program planning to be approved by donor in the beginning of every quarter year.	Project Coordinator
4	Restrictions on travel and mass gathering. Considering AIS Forum is a multi-national Forum, ownership to countries other than Indonesia will be diminished if the secretariat can only organize events in Indonesia.	*8.5. SAFETY AND SECURITY: Natural Hazards*	Likelihood = 5 Impact = 3 Risk level = Substantial	The risk will be mitigated by having online events and gatherings. The online platform can help reach out to wider audience than offline events.	Project Coordinator

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Note: * Based on Likelihood and Impact, use the Risk Matrix to identify the **Risk Level**:

- Low (L)
- Moderate (M)
- Substantial (S), or
- High (H)

UNDP ERM – Risk Matrix

IMPACT					
5	M	S	S	H	H
4	L	M	S	S	H
3	L	M	M	M	S
2	L	L	L	M	M
1	L	L	L	L	L
	1	2	3	4	5

LIKELIHOOD

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Annex 4. Project Board Terms of Reference and TORs of key management positions

PROJECT BOARD

Overall responsibilities: The Project Board is the group responsible for making by consensus management decisions for a project when guidance is required by the Project Manager, including recommendation for UNDP/Implementing Partner approval of project plans and revisions. In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance to standards[16] that shall ensure best value to money, fairness, integrity transparency and effective international competition. In case a consensus cannot be reached, final decision shall rest with the UNDP Programme Manager. Project reviews by this group are made at designated decision points during the running of a project, or as necessary when raised by the Project Manager. This group is consulted by the Project Manager for decisions when PM tolerances (normally in terms of time and budget) have been exceeded.

Based on the approved annual work plan (AWP), the Project Board may review and approve project quarterly plans when required and authorizes any major deviation from these agreed quarterly plans. It is the authority that signs off the completion of each quarterly plan as well as authorizes the start of the next quarterly plan. It ensures that required resources are committed and arbitrates on any conflicts within the project or negotiates a solution to any problems between the project and external bodies. In addition, it approves the appointment and responsibilities of the Project Manager and any delegation of its Project Assurance responsibilities.

Composition and organization: This group contains three roles, including:

1) An Executive: individual representing the project ownership to chair the group.
2) Senior Supplier: individual or group representing the interests of the parties concerned which provide funding and/or technical expertise to the project. The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project.
3) Senior Beneficiary: individual or group of individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board is to ensure the realization of project results from the perspective of project beneficiaries.

Potential members of the Project Board are reviewed and recommended for approval during the PAC meeting. For example, the Executive role can be held by a representative from the Government Cooperating Agency or UNDP, the Senior Supplier role is held by a representative of the Implementing Partner and/or UNDP, and the Senior Beneficiary role is held by a representative of the government or civil society. Representative of other stakeholders can be included in the Board as appropriate.

Specific responsibilities:

Running a project

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
- Address project issues as raised by the Project Manager;

[16] UNDP Financial Rules and Regulations: Chapter E, Regulation 16.05: a) The administration by executing entities or, under the harmonized operational modalities, implementing partners, of resources obtained from or through UNDP shall be carried out under their respective financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. b) Where the financial governance of an executing entity or, under the harmonized operational modalities, implementing partner, does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, that of UNDP shall apply.

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- Provide guidance and agree on possible countermeasures/management actions to address specific risks;
- Agree on Project Manager's tolerances in the Annual Work Plan and quarterly plans when required;
- Conduct regular meetings to review the Project Quarterly Progress Report and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans.
- Review Combined Delivery Reports (CDR) prior to certification by the Implementing Partner;
- Appraise the Project Annual Review Report, make recommendations for the next AWP, and inform the Outcome Board about the results of the review.
- Review and approve end project report, make recommendations for follow-on actions;
- Provide ad-hoc direction and advice for exception situations when project manager's tolerances are exceeded;
- Assess and decide on project changes through revisions;
- Address complaints made by individuals, peoples, and communities that are affected by the UNDP projects through the UNDP Stakeholder Response Mechanism (SRM) and/or the UNDP Social and environmental Compliance unit (SECU)[17].

Closing a project

- Assure that all Project deliverables have been produced satisfactorily;
- Review and approve the Final Project Review Report, including Lessons-learned;
- Make recommendations for follow-on actions to be submitted to the Outcome Board;
- Commission project evaluation (only when required by partnership agreement)
- Notify operational completion of the project to the Outcome Board.

EXECUTIVE

The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher level outcomes. The Executive has to ensure that the project gives value for money, ensuring a cost-conscious approach to the project, balancing the demands of beneficiary and supplier.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Ensure that there is a coherent project organisation structure and logical set of plans
- Set tolerances in the AWP and other plans as required for the Project Manager
- Monitor and control the progress of the project at a strategic level
- Ensure that risks are being tracked and mitigated as effectively as possible
- Brief Outcome Board and relevant stakeholders about project progress
- Organise and chair Project Board meetings

The Executive is responsible for overall assurance of the project as described below. If the project warrants it, the Executive may delegate some responsibility for the project assurance functions.

SENIOR BENEFICIARY

The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. The role represents the interests of all

[17] http://www.undp.org/content/undp/en/home/operations/accountability/secu-srm.html

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those who will benefit from the project, or those for whom the deliverables resulting from activities will achieve specific output targets. The Senior Beneficiary role monitors progress against targets and quality criteria. This role may require more than one person to cover all the beneficiary interests. For the sake of effectiveness the role should not be split between too many people.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Ensure the expected output(s) and related activities of the project are well defined
- Make sure that progress towards the outputs required by the beneficiaries remains consistent from the beneficiary perspective
- Promote and maintain focus on the expected project output(s)
- Prioritise and contribute beneficiaries' opinions on Project Board decisions on whether to implement recommendations on proposed changes
- Resolve priority conflicts

The assurance responsibilities of the Senior Beneficiary are to check that:

- Specification of the Beneficiary's needs is accurate, complete and unambiguous
- Implementation of activities at all stages is monitored to ensure that they will meet the beneficiary's needs and are progressing towards that target
- Impact of potential changes is evaluated from the beneficiary point of view
- Risks to the beneficiaries are frequently monitored

Where the project's size, complexity or importance warrants it, the Senior Beneficiary may delegate the responsibility and authority for some of the assurance responsibilities.

SENIOR SUPPLIER

The Senior Supplier represents the interests of the parties which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project. The Senior Supplier role must have the authority to commit or acquire supplier resources required. If necessary, more than one person may be required for this role. Typically, the implementing partner, UNDP and/or donor(s) would be represented under this role.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Make sure that progress towards the outputs remains consistent from the supplier perspective
- Promote and maintain focus on the expected project output(s) from the point of view of supplier management
- Ensure that the supplier resources required for the project are made available
- Contribute supplier opinions on Project Board decisions on whether to implement recommendations on proposed changes
- Arbitrate on, and ensure resolution of, any supplier priority or resource conflicts

The supplier assurance role responsibilities are to:

- Advise on the selection of strategy, design and methods to carry out project activities
- Ensure that any standards defined for the project are met and used to good effect
- Monitor potential changes and their impact on the quality of deliverables from a supplier perspective
- Monitor any risks in the implementation aspects of the project

PROJECT MANAGER

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Overall responsibilities: The Project Manager has the authority to run the project on a day-to-day basis on behalf of the Project Board within the constraints laid down by the Board. The Project Manager is responsible for day-to-day management and decision-making for the project. The Project Manager's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost.

The Implementing Partner appoints the Project Manager, who should be different from the Implementing Partner's representative in the Outcome Board. Prior to the approval of the project, the Project Developer role is the UNDP staff member responsible for project management functions during formulation until the Project Manager from the Implementing Partner is in place.

Specific responsibilities would include:

Overall project management:

- Manage the realization of project outputs through activities;
- Provide direction and guidance to project team(s)/ responsible party(ies);
- Liaise with the Project Board or its appointed Project Assurance roles to assure the overall direction and integrity of the project;
- Identify and obtain any support and advice required for the management, planning and control of the project;
- Responsible for project administration;
- Liaise with any suppliers;
- May also perform Team Manager and Project Support roles;

Running a project

- Plan the activities of the project and monitor progress against the initial quality criteria.
- Mobilize goods and services to initiative activities, including drafting TORs and work specifications;
- Monitor events as determined in the Monitoring & Communication Plan, and update the plan as required;
- Manage requests for the provision of financial resources by UNDP, using advance of funds, direct payments, or reimbursement using the FACE (Fund Authorization and Certificate of Expenditures);
- Monitor financial resources and accounting to ensure accuracy and reliability of financial reports;
- Manage and monitor the project risks as initially identified in the Project Brief appraised by the LPAC, submit new risks to the Project Board for consideration and decision on possible actions if required; update the status of these risks by maintaining the Project Risks Log;
- Be responsible for managing issues and requests for change by maintaining an Issues Log.
- Prepare the Project Quarterly Progress Report (progress against planned activities, update on Risks and Issues, expenditures) and submit the report to the Project Board and Project Assurance;
- Prepare the Annual review Report, and submit the report to the Project Board and the Outcome Board;
- Based on the review, prepare the AWP for the following year, as well as Quarterly Plans if required.

Closing a Project

- Prepare Final Project Review Reports to be submitted to the Project Board and the Outcome Board;
- Identify follow-on actions and submit them for consideration to the Project Board;
- Manage the transfer of project deliverables, documents, files, equipment and materials to national beneficiaries;

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- Prepare final CDR/FACE for signature by UNDP and the Implementing Partner.

PROJECT ASSURANCE

Overall responsibility: Project Assurance is the responsibility of each Project Board member, however the role can be delegated. The Project Assurance role supports the Project Board by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed.

Project Assurance has to be independent of the Project Manager; therefore the Project Board cannot delegate any of its assurance responsibilities to the Project Manager. A UNDP Programme Officer typically holds the Project Assurance role.

The implementation of the assurance responsibilities needs to answer the question "What is to be assured?". The following list includes the key suggested aspects that need to be checked by the Project Assurance throughout the project as part of ensuring that it remains relevant, follows the approved plans and continues to meet the planned targets with quality.

- Maintenance of thorough liaison throughout the project between the members of the Project Board.
- Beneficiary needs and expectations are being met or managed
- Risks are being controlled
- Adherence to the Project Justification (Business Case)
- Projects fit with the overall Country Programme
- The right people are being involved
- An acceptable solution is being developed
- The project remains viable
- The scope of the project is not "creeping upwards" unnoticed
- Internal and external communications are working
- Applicable UNDP rules and regulations are being observed
- Any legislative constraints are being observed
- Adherence to RMG monitoring and reporting requirements and standards
- Quality management procedures are properly followed
- Project Board's decisions are followed and revisions are managed in line with the required procedures

Specific responsibilities would include:

Initiating a project

- Ensure that project outputs definitions and activity definition including description and quality criteria have been properly recorded in the Atlas Project Management module to facilitate monitoring and reporting;
- Ensure that people concerned are fully informed about the project
- Ensure that all preparatory activities, including training for project staff, logistic supports are timely carried out

Running a project

- Ensure that funds are made available to the project;
- Ensure that risks and issues are properly managed, and that the logs in Atlas are regularly updated;
- Ensure that critical project information is monitored and updated in Atlas, using the Activity Quality log in particular;
- Ensure that Project Quarterly Progress Reports are prepared and submitted on time, and according to standards in terms of format and content quality;

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- Ensure that CDRs and FACE are prepared and submitted to the Project Board and Outcome Board;
- Perform oversight activities, such as periodic monitoring visits and “spot checks”.
- Ensure that the Project Data Quality Dashboard remains “green”

Closing a project

- Ensure that the project is operationally closed in Atlas;
- Ensure that all financial transactions are in Atlas based on final accounting of expenditures;
- Ensure that project accounts are closed and status set in Atlas accordingly.

PROJECT SUPPORT

Overall responsibilities: The Project Support role provides project administration, management and technical support to the Project Manager as required by the needs of the individual project or Project Manager. The provision of any Project Support on a formal basis is optional. It is necessary to keep Project Support and Project Assurance roles separate in order to maintain the independence of Project Assurance.

Specific responsibilities: Some specific tasks of the Project Support would include:

Provision of administrative services:

- Set up and maintain project files
- Collect project related information data
- Update plans
- Administer the quality review process
- Administer Project Board meetings

Project documentation management:

- Administer project revision control
- Establish document control procedures
- Compile, copy and distribute all project reports

Financial Management, Monitoring and reporting

- Assist in the financial management tasks under the responsibility of the Project Manager
- Provide support in the use of Atlas for monitoring and reporting

Provision of technical support services

- Provide technical advices
- Review technical reports
- Monitor technical activities carried out by responsible parties

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Annex 5. Supplemental Provisions to the Project Document[18]: The Legal Context

General responsibilities of the Government, UNDP and the executing agency

1. All phases and aspects of UNDP assistance to this project shall be governed by and carried out in accordance with the relevant and applicable resolutions and decisions of the competent United Nations organs and in accordance with UNDP's policies and procedures for such projects, and subject to the requirements of the UNDP Monitoring, Evaluation and Reporting System.

2. The Government shall remain responsible for this UNDP-assisted development project and the realization of its objectives as described in this Project Document.

3. Assistance under this Project Document being provided for the benefit of the Government and the people of Indonesia, the Government shall bear all risks of operations in respect of this project.

4. The Government shall provide to the project the national counterpart personnel, training facilities, land, buildings, equipment and other required services and facilities. It shall designate the Government Co-operating Agency named in the cover page of this document (hereinafter referred to as the "Co-operating Agency"), which shall be directly responsible for the implementation of the Government contribution to the project.

5. The UNDP undertakes to complement and supplement the Government participation and will provide through the Executing Agency the required expert services, training, equipment and other services within the funds available to the project.

6. Upon commencement of the project the Executing Agency shall assume primary responsibility for project execution and shall have the status of an independent contractor for this purpose. However, that primary responsibility shall be exercised in consultation with UNDP and in agreement with the Co-operating Agency. Arrangements to this effect shall be stipulated in the Project Document as well as for the transfer of this responsibility to the Government or to an entity designated by the Government during the execution of the project.

7. Part of the Government's participation may take the form of a cash contribution to UNDP. In such cases, the Executing Agency will provide the related services and facilities and will account annually to the UNDP and to the Government for the expenditure incurred.

(a) Participation of the Government

1. The Government shall provide to the project the services, equipment and facilities in the quantities and at the time specified in the Project Document. Budgetary provision, either in kind or in cash, for the Government's participation so specified shall be set forth in the Project Budgets.

2. The Co-operating Agency shall, as appropriate and in consultation with the Executing Agency, assign a director for the project on a full-time basis. He shall carry out such responsibilities in the project as are assigned to him by the Co-operating Agency.

3. The estimated cost of items included in the Government contribution, as detailed in the Project Budget, shall be based on the best information available at the time of drafting the project proposal. It is understood that price fluctuations during the period of execution of the project may necessitate an adjustment of said contribution in monetary terms; the latter shall at all times be determined by the value of the services, equipment and facilities required for the proper execution of the project.

4. Within the given number of man-months of personnel services described in the Project Document, minor adjustments of individual assignments of project personnel provided by the Government may be made by the Government in consultation with the Executing Agency, if this is found to be in the best interest of the project. UNDP shall be so informed in all instances where such minor adjustments involve financial implications.

[18] Standard annex to project documents for use in countries which are not parties to the Standard Basic Assistance Agreement (SBAA).

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5. The Government shall continue to pay the local salaries and appropriate allowances of national counterpart personnel during the period of their absence from the project while on UNDP fellowships.

6. The Government shall defray any customs duties and other charges related to the clearance of project equipment, its transportation, handling, storage and related expenses within the country. It shall be responsible for its installation and maintenance, insurance, and replacement, if necessary, after delivery to the project site.

7. The Government shall make available to the project - subject to existing security provisions - any published and unpublished reports, maps, records and other data which are considered necessary to the implementation of the project.

8. Patent rights, copyright rights and other similar rights to any discoveries or work resulting from UNDP assistance in respect of this project shall belong to the UNDP. Unless otherwise agreed by the Parties in each case, however, the Government shall have the right to use any such discoveries or work within the country free of royalty and any charge of similar nature.

9. The Government shall assist all project personnel in finding suitable housing accommodation at reasonable rents.

10. The services and facilities specified in the Project Document which are to be provided to the project by the Government by means of a contribution in cash shall be set forth in the Project Budget. Payment of this amount shall be made to the UNDP in accordance with the Schedule of Payments by the Government.

11. Payment of the above-mentioned contribution to the UNDP on or before the dates specified in the Schedule of Payments by the Government is a prerequisite to commencement or continuation of project operations.

(b) Participation of the UNDP and the executing agency

1. The UNDP shall provide to the project through the Executing Agency the services, equipment and facilities described in the Project Document. Budgetary provision for the UNDP contribution as specified shall be set forth in the Project Budget.

2. The Executing Agency shall consult with the Government and UNDP on the candidature of the Project Manager[19] who, under the direction of the Executing Agency, will be responsible in the country for the Executing Agency's participation in the project. The Project Manager shall supervise the experts and other agency personnel assigned to the project, and the on-the-job training of national counterpart personnel. He shall be responsible for the management and efficient utilization of all UNDP-financed inputs, including equipment provided to the project.

3. The Executing Agency, in consultation with the Government and UNDP, shall assign international staff and other personnel to the project as specified in the Project Document, select candidates for fellowships and determine standards for the training of national counterpart personnel.

4. Fellowships shall be administered in accordance with the fellowships regulations of the Executing Agency.

5. The Executing Agency may, in agreement with the Government and UNDP, execute part or all of the project by subcontract. The selection of subcontractors shall be made, after consultation with the Government and UNDP, in accordance with the Executing Agency's procedures.

6. All material, equipment and supplies which are purchased from UNDP resources will be used exclusively for the execution of the project, and will remain the property of the UNDP in whose name it will be held by the Executing Agency. Equipment supplied by the UNDP shall be marked with the

[19] May also be designated Project Co-ordinator or Chief Technical Adviser, as appropriate.

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insignia of the UNDP and of the Executing Agency.

7. Arrangements may be made, if necessary, for a temporary transfer of custody of equipment to local authorities during the life of the project, without prejudice to the final transfer.

8. Prior to completion of UNDP assistance to the project, the Government, the UNDP and the Executing Agency shall consult as to the disposition of all project equipment provided by the UNDP. Title to such equipment shall normally be transferred to the Government, or to an entity nominated by the Government, when it is required for continued operation of the project or for activities following directly therefrom. The UNDP may, however, at its discretion, retain title to part or all of such equipment.

9. At an agreed time after the completion of UNDP assistance to the project, the Government and the UNDP, and if necessary the Executing Agency, shall review the activities continuing from or consequent upon the project with a view to evaluating its results.

10. UNDP may release information relating to any investment oriented project to potential investors, unless and until the Government has requested the UNDP in writing to restrict the release of information relating to such project.

Rights, Facilities, Privileges and Immunities

1. In accordance with the Agreement concluded by the United Nations (UNDP) and the Government concerning the provision of assistance by UNDP, the personnel of UNDP and other United Nations organizations associated with the project shall be accorded rights, facilities, privileges and immunities specified in said Agreement.

2. The Government shall grant UN volunteers, if such services are requested by the Government, the same rights, facilities, privileges and immunities as are granted to the personnel of UNDP.

3. The Executing Agency's contractors and their personnel (except nationals of the host country employed locally) shall:

(a) Be immune from legal process in respect of all acts performed by them in their official capacity in the execution of the project;

(b) Be immune from national service obligations;

(c) Be immune together with their spouses and relatives dependent on them from immigration restrictions;

(d) Be accorded the privileges of bringing into the country reasonable amounts of foreign currency for the purposes of the project or for personal use of such personnel, and of withdrawing any such amounts brought into the country, or in accordance with the relevant foreign exchange regulations, such amounts as may be earned therein by such personnel in the execution of the project;

(e) Be accorded together with their spouses and relatives dependent on them the same repatriation facilities in the event of international crisis as diplomatic envoys.

4. All personnel of the Executing Agency's contractors shall enjoy inviolability for all papers and documents relating to the project.

5. The Government shall either exempt from or bear the cost of any taxes, duties, fees or levies which it may impose on any firm or organization which may be retained by the Executing Agency and on the personnel of any such firm or organization, except for nationals of the host country employed locally, in respect of:

(a) The salaries or wages earned by such personnel in the execution of the project;

(b) Any equipment, materials and supplies brought into the country for the purposes of the project or which, after having been brought into the country, may be subsequently

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withdrawn therefrom;

(c) Any substantial quantities of equipment, materials and supplies obtained locally for the execution of the project, such as, for example, petrol and spare parts for the operation and maintenance of equipment mentioned under (b), above, with the provision that the types and approximate quantities to be exempted and relevant procedures to be followed shall be agreed upon with the Government and, as appropriate, recorded in the Project Document; and

(d) As in the case of concessions currently granted to UNDP and Executing Agency's personnel, any property brought, including one privately owned automobile per employee, by the firm or organization or its personnel for their personal use or consumption or which after having been brought into the country, may subsequently be withdrawn therefrom upon departure of such personnel.

6. The Government shall ensure:

(a) prompt clearance of experts and other persons performing services in respect of this project; and

(b) the prompt release from customs of:

(i) equipment, materials and supplies required in connection with this project; and

(ii) property belonging to and intended for the personal use or consumption of the personnel of the UNDP, its Executing Agencies, or other persons performing services on their behalf in respect of this project, except for locally recruited personnel.

7. The privileges and immunities referred to in the paragraphs above, to which such firm or organization and its personnel may be entitled, may be waived by the Executing Agency where, in its opinion or in the opinion of the UNDP, the immunity would impede the course of justice and can be waived without prejudice to the successful completion of the project or to the interest of the UNDP or the Executing Agency.

8. The Executing Agency shall provide the Government through the resident representative with the list of personnel to whom the privileges and immunities enumerated above shall apply.

9. Nothing in this Project Document or Annex shall be construed to limit the rights, facilities, privileges or immunities conferred in any other instrument upon any person, natural or juridical, referred to hereunder.

Suspension or termination of assistance

1. The UNDP may by written notice to the Government and to the Executing Agency concerned suspend its assistance to any project if in the judgement of the UNDP any circumstance arises which interferes with or threatens to interfere with the successful completion of the project or the accomplishment of its purposes. The UNDP may, in the same or a subsequent written notice, indicate the conditions under which it is prepared to resume its assistance to the project. Any such suspension shall continue until such time as such conditions are accepted by the Government and as the UNDP shall give written notice to the Government and the Executing Agency that it is prepared to resume its assistance.

2. If any situation referred to in paragraph 1, above, shall continue for a period of fourteen days after notice thereof and of suspension shall have been given by the UNDP to the Government and the Executing Agency, then at any time thereafter during the continuance thereof, the UNDP may by written notice to the Government and the Executing Agency terminate the project.

3. The provisions of this paragraph shall be without prejudice to any other rights or remedies the UNDP may have in the circumstances, whether under general principles of law or otherwise.