PROJECT DOCUMENT

General Information

Fund	Digital Cooperation Fund									
Project title	Advisory Body	on Artificial Intelligence								
Contacts [one contact per PUNO; add	, ,	Ü								
rows if required]	Contact Type	Name	e-mail	Position						
	Focal point	Quintin Chou-Lambert	quintin.chou-lambert@un.org	Senior Programme Office	er, OSET					
	Focal point	Sabine Becker-Thierry	sabine.becker@unu.edu	Executive Officer, UNU						
	Focal point	Niels Guenther	guenther@un.org	Senior Portfolio Manager,	, UNOPS					
contains a summary of all sections with emphasis on: (1) The rationale and relevance of the project; (2) The expected results and their contribution to the CF outcome(s), country priorities, and related SDG targets; (3) Intended beneficiaries with emphasis on vulnerable groups Universal Markers	The Body's final report By supporting of pressing	first report (December 2023) will pro (July 2024) will provide further analy ng this project, donors will strengthe	ovide options on multilateral governa rsis of risks and recommendations on n stakeholder cooperation on govern y contribute to better-governed Al g the UN Charter.	on international AI governance. ning artificial intelligence (AI)	in the face					
	Gender Equality	Marker	Risk [underline]							
	• GEMO		• Low / Medium / High							
Fund Specific Markers										
Geographical Scope	Global									

Participating Organizations									
[List all PUNO and indicate the lead	Participating Organizations								
agency]	OSET (Lead agency)								
	• UNU								
	• UNOPS								
Programme and Project Cost									
Add additional rows as required for each individual PUNO and/or other		Participating Organization							
sources of fund		Budget Requested							
	OSET		\$93,317						
	UNU								
	UNOPS		\$264,263						
		Total Budget Requested	\$357,581						
		Other Sources (Parallel Funding)							
	N/A		N/A						
		Total	\$357,581						
Thematic Keywords [indicate key words that can be used to identify the project proposal in a word search	Artificial intelligence, AI, AI govern	ance, Al policy, Al ethics, Al legislation, Al regulation, Al standards, Al safety,	Al for development						
Programme Duration									
	Anticipated Start Date	1 November 2023							
	Duration (In months)	12							
	Anticipated End Date	31 October 2024							

Narratives

Title

Situation Analysis [max xxx characters with spaces]

This section provides a brief, evidence-based summary of the development challenges to be addressed.

It outlines the economic, social, political, environmental, and institutional context for the project. It an open Internet, and scale up rapidly. includes a gender analysis that, along with the other considerations (theory of change, results framework), is consistent with the selected Gender Equality Marker code. It identifies the development or human To foster such a global approach, the UN Secretary-General is convening major underlying and root causes, and the key capacity gaps. According to guidance for the CCA, the the multistakeholder Advisory Body on Artificial Intelligence to undertake situation summary:

- the different ways that women and girls and men and boys experience the identified problems, and respond to gaps in fundamental rights, including discrimination, and power-imbalances.
- on critical SDG-related data gaps and gender-sensitive and sex disaggregated statistics.
- transformation, social exclusion of identified vulnerable groups, environmental sustainability and climate change adaptation and mitigation, governance and rule of law, and humanitarian-development-peace security, human rights and sustainable development. collaboration.

Text

Background: A global approach to governing AI is the only way of ensuring effective AI governance, given that powerful AI models get connected to

analysis and advance recommendations for international governance of Al, Identifies the immediate, underlying and root causes of inequalities and vulnerability; including prior to the Summit of the Future in September 2024 (see attached Terms of Reference for the Body).

Offers evidence to justify the JP based upon high quality, disaggregated data, with emphasis is This is particularly important and timely given the risk that without a global approach to governing AI, its deployment will amplify the negative impacts Examines, as appropriate to the JP, normative and institutional gaps related to economic of misuse and missed use, and negatively impact international peace and

> A window of opportunity exists for the Body to bring together other initiatives on AI governance (G7, EU, ASEAN, AU, G20, WEF etc) in a networked fashion that enables interoperable governance aligned with UN values, and offer recommendations on possible institutional models for strengthening cooperation on AI governance.,

> OSET has been tasked by the Secretary-General to host the secretariat supporting the Body, under OSET's role in the frame of the Secretary-General's Roadmap on Digital Cooperation and Global Digital Compact.

> The Body's secretariat will amplify the Advisory Body's influence and impact through expert mobilisation, knowledge-pooling, thought leadership, public advocacy, raising visibility, partnerships, and logistical support, and ensuring a strong connection to the Global Digital Compact process.

Rationale and theory of change [max xxx characters with spaces]

This section offers a brief rationale and theory of change for the JP. . It explains the major changes expected from the JP and how people, and especially vulnerable groups, will benefit. It makes reference to the integrated results framework, work plan and budget (Annex A). It includes:

- A brief theory of change that is obtained from the CF. This defines the change pathway required to achieve the expected results, including major assumptions, risks and risk mitigation measures;
- Description of the expected JP results; normally, this is one or more CF outputs, sub-outputs (derived from the related CF JWP), contributing logically to a CF outcome, country priorities, and related SDG targets;
- Specific programme strategies and how they will address the major underlying and root causes (rights-holders);
- A brief description of the division of labour between PUNOs and partners, the comparative advantages and added value of each to achieve the expected results;
- Reference to any critical cross-cutting concerns, related to the guiding principles; and
- Analysis of how the IP strategy and results will complement the efforts of other development partners and programmes working on the same problems.

There are two sub-sections:

- (1) Lessons: A summary of major lessons from past programme experience, including how recommendations and observations from human rights mechanisms and other relevant supervisory mechanisms have been considered and used in the design of the IP.
- (2) Sustainability plan and exit strategy: A brief description about how expected JP results will be sustained beyond the timeline of the IP and CF with a focus on: (1) Community sustainability. (2) Financial sustainability, and (3) institutional sustainability. It describes expected roles and responsibilities of of three months after operational closure of the IP to offer advice, and support transition efforts and capacity development. The JP team will consider the use of UN Volunteers to carry-out sustainability and transition arrangements.

Strategic positioning: The Advisory Body is well positioned in time and space to make a significant contribution to global Al governance. Combining the UN's universal coverage with the principles of the UN Charter, human rights and sustainable development, the Body will report into a unique policy window of a prospective Global Digital Compact in the lead up to the Summit of the Future in September 2024.

Objective: This project aims to cement the Advisory Body's role as a key of the problems to be addressed, including the key capacity gaps of institutions (duty-bearers) and people global convenor on Al governance and establish the Advisory Body as a global resource, whose reports, recommendations and knowledge products harness the world's foremost geographically, gender and age-balanced expertise to foster cooperation among member state, private sector, civil society and other stakeholders on global governance of AI.

The overall impact of this project will be strengthened cooperation on global governance of AI. This will be achieved through the activities outlined in the project Results Framework (see below section), which will be carried out in ways that align ethical, safety and other regulatory government, donors, and IPs. As part of the plan, the JP SC and JP team remain operational for a minimum standards with universal human rights and rule of law frameworks and boost sustainable development, at a critical juncture for multilateral governance of artificial intelligence.

The project will engage with key partners, including stakeholders in:

- Existing AI governance initiatives: The Advisory Body will reach out to ongoing Al governance initiatives across stakeholder groups, including but not limited to the Partnership on AI (PAI), the G7 Hiroshima initiative, the WEF AI Governance Alliance, the AU-AI Continental strategy, the Frontier Model Forum etc.
- <u>UN System</u>: The Advisory Body secretariat will work closely with UN system organizations in its support to the Advisory Body, including UNESCO, ITU, OHCHR, UNU, UNDP, UNODA, and others. A Leaders Level Group chaired by the Tech Envoy will bring together leaders of these organisations on a regular basis.

Incorporation of UN values: in both process and outcomes, the project will ensure that the work of the Body is grounded in the **UN Charter**, **human rights** and the **sustainable development** agenda.

On **human rights**, thanks to an inclusive selection process jointly run with OHCHR, the AI Advisory Body includes notable human rights activists. The project team will work closely with OHCHR on incorporating human rights perspectives into preparatory materials. Engagement and messaging will give prominence to the human rights perspective, including in the ways in which AI poses risks and challenges, as well as in governance responses.

There is also a specific working group focusing on aligning international governance of AI with international norms, including human rights. These process features will ensure that the Advisory Body incorporates human rights perspectives in its analysis and recommendations, resulting in strengthened AI governance and accountability grounded in human-rights.

On **sustainable development**, the AI Advisory Body includes experts from developing countries and regions. All experts will also be supported with diverse analytical materials from authors around the world to promote a balanced perspective across all areas, and formulation of international AI governance that promotes AI for sustainable development in the developing world.

A particular focus is on opportunities and enablers through a separate Working Group for AI to turbocharge development, attenuate digital divides and accelerate progress on the Sustainable Development Goals. This Group will consider concrete recommendations to accelerate progress on the SDGs by leveraging data and AI.

On **gender**, UNWomen were invited to help the selection process, and the Al Advisory Body includes a gender balance of 20 female and 19 male members.

Gender is being addressed as a cross-cutting issue via a workstream that will critically analyse gender dimensions of Al governance, and drive consultations with various groups to ensure that a gender lens is applied throughout project implementation.

(1) Lessons: Lessons have been drawn from the work supporting the High-Level Panel on Digital Cooperation, and incorporated into the project design and execution.

(2) Sustainability: The Advisory Body has been convened for an initial period of one year, with the possibility of extension by the Secretary-General. The project will assess the outlook no less than 3 months prior to the end of the first year and plan for the next phase accordingly.

Steering and management arrangements [max xxx characters with spaces]

This section describes steering and management arrangements for the project. It does not substitute for organization-specific arrangements required by the respective internal policies of PUNOs.

Programming and financial decision making:

Project level (re-)programming and funding allocations will be determined by the Digital Cooperation MPTF Steering Committee / Secretariat, in line with the Terms of Reference for the overall MPTF.

Roles:

Personnel serving in roles funded by the project ('project personnel') will form the project team and serve under job titles as per their contract of employment.

Operational decision making and arrangements:

The project team will be led by OSET following an agile project management methodology, including via a shared working space, daily or weekly team meetings at the working level, and monthly meetings with the Tech Envoy. Project team location and working hours will be determined jointly between the PUNOs, with an expectation of weekly on-site presence in OSET premises in the UN Secretariat building during core hours, except in exceptional circumstances.

Communications:

Unless otherwise agreed in writing, all communications regarding work of the Al Advisory Body or its secretariat will be cleared by OSET as host of the secretariat of the Al Advisory Body.

Intellectual property:

Unless otherwise agreed in writing, all intellectual property and other proprietary rights over materials which were developed by PUNOs. including third parties engaged by PUNOs, as a result of the activities of the project will belong to the United Nations. PUNOs shall take all necessary steps to ensure that the ownership in such proprietary rights is vested in the United Nations and obtain appropriate perpetual and irrevocable licenses for the pre-existing intellectual property in favour of the United Nations

Project Advisory Group:

A Project Advisory Group will be established to include donors supporting Pillar 1 of the MPTF, meeting quarterly to receive updates and provide strategic and technical advice to help the project to better achieve its aims.

Monitoring, learning, and reporting [max xxx characters with spaces]

This section summarizes the arrangements for:

- (1) Monitoring and learning by the JP team (JP step 9): This is done under the coordination and programmatic leadership of the lead PUNO, and includes data collection, reviews or studies, and joint field visits. For PUNOs that apply HACT, this includes quality assurance, scheduled audit and HACT spot checks, as required. Some arrangements for monitoring depend upon the choice of FMM (See Annex D I Guidance Note on a New Generation of Joint Programmes- Annexes).
- that includes programmatic and financial elements. It provides evidence about progress toward JP results, based upon monitoring reports and field missions, along with updated data for indicators (as available). Relevant parts of the CF annual results report may be used, unless otherwise required by the donor or pooled fund mechanism. When a separate report is required, the standard report template is used.
- (3) Annual progress reviews¹ (IP step 12): Arrangements, roles and responsibilities for conducting annual progress reviews.

Evaluation [max xxx characters with spaces]

This section describes arrangements, responsibilities and timing for the JP joint evaluation (as required), including how evaluation findings and recommendations will be used by the IP partners and other stakeholders.

The MPTF Secretariat will monitor and evaluate the implementation of the project against the programmatic framework of the Fund, consolidate all reporting submitted by Participating UN Organizations, and send consolidated reports to the Steering Committee.

The monitoring and evaluation system for the project will serve two (2) Reporting and communications (JP Step 11): One consolidated, results-based annual report is produced functions: first, periodic assessment of project implementation and performance of projects (M&E of Project Performance), and second, evaluation of project results in terms of relevance, effectiveness and impact of the fund (M&E of fund Impact).

> The Steering Committee will decide on any mid-term or final evaluation. either as part of a joint evaluation or separately. The cost of any evaluation of the project is to be borne by the project.

¹ This may be timed to coincide with CF annual review

Risks

Event Description	Category	Level	Likelihood	Impact	Mitigating Measures	Risk Owne
Developments in Al technology or governance outpace efforts for a global approach	Social and Environmental	High	Very Likely	Moderate	Close monitoring of the AI technology / governance landscape and rapid response to changes	All PUNOS
Delayed or lack of visibility over financing	Financial	Medium	Possible	Moderate	Close engagement with prospective funders through intake process	OSET
Mismanagement of funds	Financial	Low	Unlikely	Major	Compliance with PUNO regulatory frameworks, as per MPTF MoU	All PUNOs
Project fails to implement budget at requisite pace	Operational	High	Likely	Major	Assignment of project activities to PUNOs per comparative advantages	All PUNOs
Initial project results fail to demonstrate impact in a timely manner	Operational	Medium	Possible	Major	Close monitoring of progress and rapid course correction	OSET
Low stakeholder interest or engagement in initiative	Organizational	Low	Unlikely	Major	Concerted outreach to and engagement of key stakeholders	OSET, UNU
Reputational risk from acceptance of funding from sources not aligned with UN values	Political	Very high	Possible	Extreme	Compliance with due diligence procedures for vetting of unknown prospective funders	MPTFO
Body's processes and outputs misrepresented in public discussions	Political	High	Possible	Major	Strong communications, engagement and outreach across multiple media channels, clarity regarding rights over intellectual property produced through the project and decision making around communications	OSET
Timely consensus not reached on key Al governance issues within the Body		High	Possible	Major	Provision of timely and impartial analytical and networking support for constructive framing of contentious dilemmas	OSET, UNU
Key global processes do not result in convergence regarding Al governance	Strategic	High	Possible	Major	Close engagement with relevant international processes and key stakeholders / networks	OSET

Budget Allotment by UNSDG Categories

Budget Allotment by UNSDG Categories

Budget Lines (USD)	Description (optional)	OSET	UNU	UNOPS	Total
1. Staff and other personnel		60,000		-	60,000
2. Supplies, Commodities, Materials		-		-	-
3. Equipment, Vehicles, and Furniture, incl. Depreciation		-		-	-
4. Contractual services		-		-	-
5. Travel		17,500		237,476	254,976
6. Transfers and Grants to Counterparts		-		-	-
7. General Operating and other Direct Costs		9,713		9,499	19,212
Project Costs Sub Total		87,213		246,975	334,188
8. Indirect Support Costs		6,105		17,288	23,393
Total		93,317		264,263	357,581

Allotment per Gender (GEWE)

	Participating Organization 1	Participating Organization2	Participating Organization2	Total \$
\$ Towards GEWE	0	0	0	0
% Towards GEWE		[Add % vs total budget]		0%

Allotment log

Allotment of 16 November 2023:

- Up to **USD264,263** to UNOPS for facilitating and organizing travel of the members of the Al Advisory Body to New York for the in-person meeting 7-8 December at UNHQ, such that participating individuals are travelled to arrive in New York the evening of 6 December ET, and leave UNHQ after 4pm on 8 December (with exceptions to be approved by OSET), including:
 - o Liaising with participants regarding travel times and itineraries
 - o Booking of and payment for flight tickets
 - o Handling alterations to planned itineraries
 - o Payment processing of terminals allowances and daily subsistence allowance
 - o Support identifying suitable accommodation locations for the participants
 - o Facilitation of visas for entry to the host country (where requested by OSET)
- Up to **USD63,317** to OSET for support in drafting the interim report, including:
 - o Engaging a consultant / consultants to conduct research and aid drafting of input and report materials

Integrated Work Plan, Budget

Project Work Plan and Budget

Implementation period: 1 November 2023 - 31 October 2024

						FUN	NIG	FRAMEV	VOR	K
Activities	Geographi cal	Timeline	(Quarter)	PUNO	Total Required (annual)		Avaîlable (annual)		To be mobîlîzed	
	focus	Start	End							
Expert Mobilisation and Convening	Global	Q4-23	Q3-24		\$	1,212,404	\$	264,263	\$	948,140
Convening and servicing Body meetings	Global	Q4-23	Q3-24	tbc	\$	260,572	\$	-	\$	260,572
1st in-person meeting (UNHQ, New York)	Global	15-Nov-28	1 4-Jan-24	UNOPS	\$	264,263	\$	264,26 3	\$	-
2nd in-person meeting (Europe)	Global	Q1-23	Q 1-2 3	tbc	\$	362,690	\$	-	\$	362,690
3rd in-person meeting (Asia)	Global	Q1-23	Q2-24	tbc	\$	324,879	\$	-	¢\$	324,879
2. Knowledge Pooling and Thought Leadership	Global	Q4-23	Q3-24		\$	1,143,843	\$	93,317	\$	1,050,526
Leading Research and Development	Global	Q4-23	Q3-24	tbc	\$	256,185	\$	-	¢	256,185
Injecting specialised expertise	Global	Q4-23	Q3-24	tbc	\$	186,635	\$	-	¢	186,685
Conducting research and strategic foresight rounds	Global	Q4-23	Q3-24	tbc	\$	186,635	\$	-	¢	186,685
Report drafting	Global	15-Nov-28	30-Jun-24	OSET	\$	93,3 1 7	\$	93,317	¢	-
Risk analysis and visualisation	Global	Q4-23	Q3-24	tbc	\$	421,072	\$	-	¢	421,072
3. Visibility and Partnerships	Global	Q4-23	Q3-24		\$	1,386,091	\$	-	¢	1,386,091
Public advocacy	Global	Q4-23	Q3-24	tbc	\$	93,317	\$	-	¢5	93,317
Communications	Global	Q4-23	Q3-24	tbc	\$	523,070	\$	-	¢5	523,070
Outreach and managing partnerships	Global	Q4-23	Q3-24	tbc	\$	641,305	\$	-	\$	641,305
Risk visualisation portal	Global	Q4-23	Q3-24	tbc	\$	128,400	\$	-	\$	128,400
4. Leadership of the secretariat and Administrative / Logistical Support to the Body	Global	Q4-23	Q3-24		\$	710,485	\$	-	\$	710,485
Senior oversight and orchestration	Global	Q4-23	Q3-24	tbc	\$	225,040	\$	-	\$	225,040
Body and secretariat management	Global	Q4-23	Q3-24	tbc	\$	172,444	\$	-	\$	172,444
Administrative support to the Body	Global	Q4-23	Q3-24	tbc	\$	270,202	\$	-	\$	270,202
Logistical support to the Body	Global	Q4-23	Q3-24	tbc	\$	42,800	\$	-	\$	42,800
Total (excluding indirect costs of MPTFO administrative fee @1% of contributions received)				•	\$	4,452,824	\$	357,581	\$	4,095,243

Results Framework

Impact: Strengthened cooperation on global governance of artificial intelligence

Activities		Outputs	Outcomes
1. Expert Mobilisation and Convening and servicing Body 2. Knowledge Pooling and Thought Leadership Leading Research and Develop injecting specialised expertise conducting research and strate foresight rounds, report drafting		Regular convening of a balanced Advisory Body • Balanced participation by top experts • Balanced meeting agendas • High quality and timely materials • Meeting facilitation, materials, minutes	The Body is a uniquely representative, credible and impartial global convenor on Al governance
	Dert Mobilisation and ening Convening and servicing Body meetings Regular cor Balanced High quali Meeting for Interima or Synthesis Visuals, ke Risk analysis and visualisation Dashboard including: Superfore: Foresight Dility and Partnerships Public advocacy Public advocacy Public advocacy Communications Public com Nebesites Speeches Outreach and managing partnerships Outreach and managing partnerships Regular cor Balanced Halanced Halance Halanced Halance Halanced Halanced Halanced Halanced Halanced Halance	Interim and Final Reports, incorporating: • Mappings of AI governance landscape • Analyses of AI governance models • Global crowdsourcing of frontier expert contributions • Synthesis of literature • Visuals, key exhibits and charts	The Body's reports, recommendations and knowledge products harness the world's foremost geographically, gender and age-balanced expertise
		Dashboard of collective expert assessments of Al risks, including: • Superforecasting process design • Foresight response analyses / syntheses	
3. Visibility and Partnerships	Public advocacy	Public advocacy materials spread, including: Opinion Editorials Position papers Key messages Speeches / video scripts	The Body is recognised as a leading global resource for Al global governance issues
	Communications	Public communications content spread, including: • Websites developed • Social media posts • Comms package (factsheet, videos, visuals)	
		Engagement campaigns and consultations with: • Other governance initiatives • Key external stakeholder groups • Key UN stakeholders	_
	Risk visualisation portal	Publication of regularly updated risk assessments	
4. Leadership of the secretariat and Administrative	Senior oversight and orchestration	Body's work is linked into the Global Digital Compact process	The Body and secretariat operate in an agile, efficient, results-oriented and sustainable way
/ Logistical Support to the Body	Body and secretariat management	Body & secretariat processes instituted and managed	
		Human resources Procurement / Contract management Monitoring and Evaluation Workshop arrangements, including: Travel / visas / venues / facilities / accommodations /	

Indicators and Targets

Indicator	Baselin e	Target (to 2024)	Means of verification
Outcome: The Body is a uniquely representative, credible and impartial global convenor on AI governance	n/a	Representation at Body meetings to include: 5 regional groups, 50%+ female, all stakeholder groups	Meeting records
Output: Regular convening of a balanced Advisory Body	0	7 meetings convened	Meeting records
Outcome: The Body's reports, recommendations and knowledge products harness the world's foremost geographically, gender and age-balanced expertise	n/a	5 stakeholder networks engaged, 10 multistakeholder networks mobilised, 1 cooperation framework developed and released	Internal records
Output: Interim and Final Reports produced	0	2 reports produced	Public records
Outcome: The Body is recognised as a leading global resource for Al global governance issues	n/a	Initiative mentioned in 20 media outlets and referenced in 10 policy documents	Public records
Output: Public advocacy materials spread	0	10 sets of materials spread	Public records
Output: Public communications content spread	0	50 content elements spread	Public records
Output: Engagement campaigns and consultations orchestrated	0	5 campaigns / consultations orchestrated	Public records
Outcome: The Body and secretariat operate in an agile, efficient, results-oriented and sustainable way	n/a	3 in-person meetings and 4 virtual meetings delivered on time	Meeting records
Output: Body & secretariat processes instituted and managed	0	1 set of Body and secretariat processes instituted and managed	Internal records
Output: Body supported administratively	0	1 Body supported administratively	Internal records
Output: Body supported logistically	0	1 Body supported logistically	Internal records

Timeline

Key Activities and Outputs		2023						2024				
Rey Activities and Outputs	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep
Expert Mobilisation and Convening		Convening and servicing Body meetings										
Knowledge Pooling and Thought		Leading	Research and	d Developme	nt, înjectîng s	pecialised ex	opertise, cond	ducting resea	rch and strat	tegic foresigh	t rounds	
Leadership		Report draftin Interim repor	-	Risk analysis and visualisation				Report drafting (Final report)			Risk analysis and visualisation	
3. Visibility and Partnerships	Exte	rnal consulta	tions	Public advocacy; Communications; Outreach and managing partnerships			Risk visualisation portal			h comms / engagement (Final report)		
Leadership of the secretariat and Administrative / Logistical Support to the Body		Senior	oversight and	d orchestratio	on; Body and s	secretariat m	anagement;	Administrativ	/e / logistical	support to the	ne Body	
Key milestones	1st meeting of the Body		2nd & 3rd meetings, Interim report of the Body		4th meeting	5th meeting		6th meeting	7th meeting	Final report of the Body		Summit of the Future

Signatures for PUNOs with commitments to deliver under the project

as at 13 Nov 2023

OSET (Office of the Secretary-General's Envoy on Technology)

Signature:

Name: Amandeep Singh Gill

Date: 21 November 2023

UNOPS (United Nations Office for Project Services)

Signature:

Name: Dionyssia Geka

Date: 21 November 2023