

# **Joint Programme Document**

## **Samoa SGD Fund Component 1**

## A. COVER PAGE

**1. Fund Name:** Joint SDG Fund

**2. MPTFO Project Reference Number:**

**3. Joint programme title:** *Sustainable financing for the 2030 Agenda through viable INFF in Cook Islands, Niue and Samoa*

**4. Short title:** *Developing INFFs for SDGs in Cook Islands, Niue and Samoa*

**5. Country and region:** UN Samoa Multi-Country Office, Asia Pacific Region

**6. Resident Coordinator:** Ms. Simona Marinescu; [simona.marinescu@un.org](mailto:simona.marinescu@un.org);  
+685 753 1007

**7. UN Joint programme focal points** – Klem Ryan, Head of RCO, [ryank@un.org](mailto:ryank@un.org);

**PUNO Focal Point:** Ms. Christina Mualia-Lima, UNDP Samoa MCO, [christina.mualia-lima@undp.org](mailto:christina.mualia-lima@undp.org);

**8. Government Joint Programme focal point –**

Ms Peresitene Kirifi, ACEO Aid and Debt Management, Ministry of Finance, Samoa

Mr Mani Mate, Ministry of Finance and Economic Management, Cook Islands

Ms Doreen Siataga, Central Agency for Finance and Planning, Niue

**9. Short description:**

The proposed Joint Programme will build on developing financing strategies and operationalizing the Integrated National Financing Framework (INFFs) for Cook Islands, Niue and Samoa to provide these countries with opportunities to greatly improve the management of financial flows and mobilize new, diverse and innovative/catalytic financial instruments to accelerate progress of the 2030 Agenda for Sustainable Development. Linking budget allocations with national priorities and Sustainable Development Goals (SDGs) will contribute towards performing evidence-based financial management which will allow the Government and its partners to make strategic investments that advance sustainable development at lower transaction costs. The success of the Joint Programme is contingent on strong partnerships and collaboration first and foremost between the Participating UN Organizations (PUNOs), and secondly with the programme country governments and other development partners, especially the International Financial Institutions (World Bank, IMF and ADB), which are implementing complementary initiatives, the private sector, and civil society. The PUNOs will collaborate and combine their specialized expertise and tools to work in partnership with the three governments (Cook Islands, Niue and Samoa) to strengthen the capacity of existing government financing mechanisms and institutions, and to ensure that the SDGs are integrated into the National Development Plans (NDPs) and linked to Financing Strategies. This will also attract and unlock additional financing for SDGs.

The Addis Ababa Action Agenda (AAAA) calls for countries to establish INFFs to support the implementation of the 2030 Agenda. The INFF brings together financing policies in an integrated manner by aligning financing policies with national development strategies through consultation and participation of consortia of actors from the public, private sector and civil society thus promoting and strengthen coherence. The provision of an enabling environment through the INFF is catalytic in enlarging the scope and scale of investments in sustainable development.

The Joint Programme's Theory of Change provides that the development of a viable development finance strategy and architecture, aligned with the national development priorities and the SDGs through the INFF, will increase efficiency and effectiveness of all investments in the acceleration of SDG attainment (through public, private, blended, international and/or regional vertical instruments) in Cook Islands, Niue and Samoa. Devising a full range of financing sources and non-financial means of implementation that are potentially available to the three countries, and laying out a financing strategy to enhance the public-private interface, raise resources, strengthen coordination and the governance of financing, manage risks, and increase the alignment of financing with sustainable development priorities, will significantly enhance each country's capabilities to advance the sustainable development agenda.

Aligning annual budgets and SDG-related expenditure with medium term revenue strategies and expenditure frameworks, and deepening engagement between policy makers and private sector within the planning process through the INFF will lead to the availability of new development finance and increased reach and impact of SDG investments. Monitoring of financing policies and results as well as evidence-based course adjustment in the pursuit of the 2030 Agenda will enable more strategic and effective utilization of resources to accelerate progress. This will cause a virtuous spiral, whereby success draws increased investment of resources into human wellbeing and capabilities, which further underpins the social contract and accelerates sustainable development.

**10. Keywords:** Integrated, Financing, Framework, Public, Private, Partnerships, Mobilization Inclusive Sustainable Development, Innovative, Catalytic

## 11. Overview of budget

<b>Joint SDG Fund contribution</b>	<b>USD 979,462.00</b>
Co-funding (Agency Contributions)	57,250.00
<b>TOTAL</b>	<b>USD 1,036,712.00</b>

## 12. Timeframe:

<b>Start date</b>	<b>End date</b>	<b>Duration (in months)</b>
<u>June 2020</u>	<u>June 2022</u>	<u>24</u>

## 13. Gender Marker:

The Gender Marker score of the Joint Programme is '2'.

## 14. Participating UN Organizations (PUNO) and Partners:

UNDP, UN Women, UNESCAP,

### 14.1 PUNO

Convening agency:

- UNDP [lead], RR Jorn Sorensen; [jorn.sorensen@undp.org](mailto:jorn.sorensen@undp.org)

Other PUNO:

- UNESCAP, Head of the Pacific Office, Iosefa Maiava, [maiavai@un.org](mailto:maiavai@un.org)
- UN Women, Country Representative, Sandra Bernklau, [sandra.bernklau@unwomen.org](mailto:sandra.bernklau@unwomen.org)

### 14.2 Partners

#### Samoa National authorities:

- Ministry of Foreign Affairs and Trade, Samoa – Peseta Noumea Simi - [noumea@mfat.gov.ws](mailto:noumea@mfat.gov.ws)
- Ministry of Finance, Samoa – Leasiosiofa'asisina Oscar Malielegaoi - [Oscar.malielegaoi@mof.gov.ws](mailto:Oscar.malielegaoi@mof.gov.ws)
- Samoa Bureau of Statistics – Aliimuamua Malaefono Taua - [malaefono.taua@sbs.gov.ws](mailto:malaefono.taua@sbs.gov.ws)
- Ministry of Commerce, Industry and Labour, Samoa – Pulotu Lyndon Chu Ling [lyndoncl@mcil.gov.ws](mailto:lyndoncl@mcil.gov.ws)
- Ministry of Women Community and Social Development, Samoa – Afamasaga Faauiga Palepua Mulitalo; [fmulitalo@mwcsd.gov.ws](mailto:fmulitalo@mwcsd.gov.ws)

#### Samoa Civil Society Organizations:

- Samoa Umbrella of NGOs (SUNGO) -Peseta Afoa Arasi - [pesetaafoa@gmail.com](mailto:pesetaafoa@gmail.com)
- NOLA Samoa Organization for Persons living with Disabilities - Faatino Utumapu - [tino.mutumapu@gmail.com](mailto:tino.mutumapu@gmail.com)

#### Samoa Private Sector entities:

- Samoa Chamber of Commerce – Lemauga Hobart Vaai - [ceo@samoachamber.ws](mailto:ceo@samoachamber.ws)
- Samoa Association of Manufacturers and Exporters (SAME); President Tagaloa Eddie Wilson; [wilex@ipasifika.net](mailto:wilex@ipasifika.net); [eddie.wilexsamoa@gmail.com](mailto:eddie.wilexsamoa@gmail.com)

#### Samoa-based International Financial Institutions (IFIs)

- World Bank – Maeva Betham Vaai - [mvaai@worldbank.org](mailto:mvaai@worldbank.org)

#### Cook Islands National authorities

- Ministry of Foreign Affairs and Immigration – Tepaeru Herrmann [Tepaeru.herrmann@cookislands.gov.ck](mailto:Tepaeru.herrmann@cookislands.gov.ck)
- Cook Islands Superannuation Fund - Damien Beddoes [enquiry@superfund.gov.ck](mailto:enquiry@superfund.gov.ck)
- Ministry of Internal Affairs – Anne Herman - [anne.herman@cookislands.gov.ck](mailto:anne.herman@cookislands.gov.ck); [intaff@cookislands.gov.ck](mailto:intaff@cookislands.gov.ck); Mani Mate [mani.mate@cookislands.gov.ck](mailto:mani.mate@cookislands.gov.ck)

- Statistics Office - Taggy Tangimetua [statsinfo@cookislands.gov.ck](mailto:statsinfo@cookislands.gov.ck)
- Ministry of Finance and Economic Management – – Mani Mate  
[mani.mate@cookislands.gov.ck](mailto:mani.mate@cookislands.gov.ck)
- Central Policy and Planning Office | Office of the Prime Minister – Ben Ponia -  
Chief of Staff - [ben.ponia@cookislands.gov.ck](mailto:ben.ponia@cookislands.gov.ck)

### **Cook Islands Civil Society Organizations**

- National Cook Islands Civil Society Organizations – Lydia Sijp -  
[lydia.sijp@cookislands.gov.ck](mailto:lydia.sijp@cookislands.gov.ck)

### **Cook Islands Private Sector entities**

- Cook Islands Chamber of Commerce - Fletcher Melvin -  
[chamber@commerce.co.ck](mailto:chamber@commerce.co.ck)

### **Niue National authorities**

- Secretary of Government – Peleni Talagi – [peleni.talagi@mail.gov.nu](mailto:peleni.talagi@mail.gov.nu)
- Project Management Committee – Felicia Pihigia - [felicia.pihigia@mail.gov.nu](mailto:felicia.pihigia@mail.gov.nu)
- Ministry of Social Services – Gaylene Tasmania -  
[gaylene.tasmania@mail.gov.nu](mailto:gaylene.tasmania@mail.gov.nu)
- Central Agency for Finance and Planning – Doreen Siataga -  
[Doreen.Siataga@mail.gov.nu](mailto:Doreen.Siataga@mail.gov.nu)

### **Niue Civil Society Organizations**



- NIUANGO (Niue Umbrella of NGOs) – Sione Leolahi/  
[charlene.tukiuha@mail.gov.nu](mailto:charlene.tukiuha@mail.gov.nu)
- Niue Farmers Association – Charlene Tukiuha [charlene.tukiuha@mail.gov.nu](mailto:charlene.tukiuha@mail.gov.nu)

### **Niue Private Sector entities**

- Niue Chamber of Commerce - Catherine Papani; [catherine@niuechamber.com](mailto:catherine@niuechamber.com)

## SIGNATURE PAGE

<p><b>Resident Coordinator</b>  <i>Simona Marinescu <a href="mailto:simona.marinescu@un.org">simona.marinescu@un.org</a></i></p> <p><i>Date 31 March 2020</i></p> <div style="display: flex; align-items: center;"> <div style="background-color: black; width: 150px; height: 50px; margin-right: 20px;"></div>  </div>	<p><b>National Coordinating Authority (Samoa)</b></p> <p><u>Ministry for Foreign Affairs and Trade:</u>  <u>CEO :</u>          Ms. Peseta Noumea Simi</p> <p><i>Note a supporting letter was provided</i></p> <p><u>Date:</u></p> <p><u>Signature and seal</u></p>
<p><b>Participating UN Organization</b>          (lead/convening)  <i>United Nations Development Programme (UNDP)</i>  <i>Jorn Sorensen, Resident Representative</i></p> <p><i>Date 31 March 2020</i></p> <p><i>Signature and seal</i></p> <div style="display: flex; align-items: center;"> <div style="background-color: black; width: 100px; height: 50px; margin-right: 20px;"></div>  </div>	<p><b>National Coordinating Authority (Cook Islands)</b></p> <p>Ministry of Foreign Affairs and Immigration, Tepaeru Herrmann</p> <p>Date:</p> <p>Signature and seal:</p>
<p><b>Participating UN Organization</b>  <i>United Nations Economic &amp; Social Commission for Asia and the Pacific</i>  <i>Iosefa Maiava, Head of the Pacific Office</i></p> <p><i>Date</i></p> <div style="display: flex; align-items: center;"> <div style="background-color: black; width: 100px; height: 30px; margin-right: 20px;"></div>  </div> <p><i>Signature and seal</i></p>	<p><b>National Coordinating Authority (Niue)</b></p> <p>Secretary of Government, Peleni Talagi</p> <p><i>Date: 17/06/20</i></p> <p><i>Signature and seal</i></p> <div style="display: flex; align-items: center;"> <div style="background-color: black; width: 60px; height: 50px; margin-right: 20px;"></div>  </div>

<p><b>Participating UN Organization</b> UN Women</p> <p>Sandra Bernklau, Country Representative</p> <p><i>Date</i>      31/03/20</p> <p><i>Signature and seal</i></p>  	
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## ACRONYMS

<b>AA</b>	Administrative Agent
<b>AAAA</b>	Addis Ababa Action Agenda
<b>ACEO</b>	Assistant Chief Executive Officer
<b>ADB</b>	Asian Development Bank
<b>CBOs</b>	Community-based Organisations
<b>CBS</b>	Central Bank of Samoa
<b>CDC</b>	Cabinet Decision Committee
<b>CDRF</b>	Climate Disaster Risk Financing
<b>CEO</b>	Chief Executive Officer
<b>COFOG</b>	Codes for Functions of Government
<b>CROP</b>	Council of Regional Organizations of the Pacific
<b>CSO</b>	Civil Society Organizations
<b>DBS</b>	Development Bank of Samoa
<b>DFA</b>	Development Finance Assessment
<b>DFAT</b>	Department of Foreign Affairs and Trade (Australian Government)
<b>EEZ</b>	Exclusive Economic Zone
<b>ESG</b>	Environmental, Social and Governance
<b>EU</b>	European Union
<b>F2F</b>	Funding to Financing
<b>FDI</b>	Foreign Direct Investment
<b>GDP</b>	Gross Domestic Product
<b>GFS</b>	Government Finance Statistics
<b>GNI</b>	Gross National Income
<b>GoS</b>	Government of Samoa
<b>IFIs</b>	International Financial Institutions
<b>ILO</b>	International Labour Organization
<b>IMF</b>	International Monetary Fund
<b>INFF</b>	Integrated National Financing Frameworks
<b>JCAP</b>	Joint Country Action Plan
<b>JP</b>	Joint Programme
<b>LDCs</b>	Least Developed Countries
<b>LNOB</b>	Leave No One Behind
<b>M&amp;E</b>	Monitoring and Evaluation
<b>MCIL</b>	Ministry of Commerce, Industry and Labour (GoS)
<b>MCR</b>	Ministry of Customs and Revenue (GoS)
<b>MFAT</b>	Ministry of Foreign Affairs and Trade (GoS)
<b>MOF</b>	Ministry of Finance (GoS)
<b>MWCSD</b>	Ministry of Women, Community and Social Development (GoS)
<b>NDP</b>	National Development Plan(s)
<b>NIUANGO</b>	Niue Island Umbrella Association of Non-Governmental Organizations
<b>NOLA</b>	Nuanua O Le Alofa / Samoa Organization for Persons with Disabilities
<b>NSDP</b>	National Sustainable Development Plan



<b>NUS</b>	National University of Samoa
<b>ODA</b>	Official Development Assistance
<b>OECD</b>	Organization for Economic Cooperation and Development
<b>OOF</b>	Other Official Flows
<b>OT</b>	Oversight Team
<b>PEFAs</b>	Public Expenditure Financial Accountability Assessment
<b>PERs</b>	Public Expenditure Reviews
<b>PFM</b>	Public Finance Management
<b>PFTAC</b>	Pacific Financial Technical Assistance Centre
<b>PICAP</b>	Pacific Insurance and Climate Adaptation Programme
<b>PICTs</b>	Pacific Island Countries and Territories
<b>PPP</b>	Public-Private Partnership(s)
<b>PUNO</b>	Partnering United Nations Organizations
<b>QCPR</b>	Quadrennial Comprehensive Policy Review
<b>RC</b>	Resident Coordinator
<b>SAME</b>	Samoa Association of Manufacturers and Exporters
<b>SBAA</b>	Standard Basic Assistance Agreement
<b>SBS</b>	Samoa Bureau of Statistics
<b>SDG</b>	Sustainable Development Goal(s)
<b>SDS</b>	Strategy for the Development of Samoa
<b>SIDS</b>	Small Island Developing States
<b>SOEs</b>	State Owned Enterprises
<b>SP</b>	Sector Plan
<b>SUNGO</b>	Samoa Umbrella of Non-Government Organizations
<b>TA</b>	Technical Assistant
<b>TOR</b>	Terms of Reference
<b>UN</b>	United Nations
<b>UNCDF</b>	United Nations Capital Development Fund
<b>UNCT</b>	United Nations Country Team
<b>UNDAF</b>	United Nations Development Assistance Framework
<b>UNDP</b>	United Nations Development Programme
<b>UNDS</b>	United Nations Development System
<b>UNEG</b>	United Nations Evaluation Group
<b>UNESCAP</b>	United Nations Economic and Social Commission for Asia and the Pacific
<b>UNPS</b>	United Nations Pacific Strategy
<b>UNRCO</b>	United Nations Resident Coordinator's Office
<b>UNU-EHS</b>	United Nations University - Institute for Environment and Human Security
<b>USD</b>	United States dollar
<b>USP</b>	University of the South Pacific
<b>VNR</b>	Voluntary National Review
<b>WBG</b>	World Bank Group

## B. STRATEGIC FRAMEWORK

### 1. Call for Concept Notes: SDG Financing (2/2019) – Component 1

### 2. Programme Outcome [pre-selected]

Outcome 2: Additional financing leveraged to accelerate SDG achievement

### 3. UNDAF Outcomes and Outputs

The United Nations Development Assistance Framework (UNDAF), now called the UN Sustainable Development Cooperation Framework, reflects the UN System's new reforms to embrace collective action and partnerships to respond to challenges in key Sustainable Development Goal (SDG) priorities and gaps at the country level. The Cooperation Framework strategically aligns its targets and indicators to relevant targets and indicators in national development plans and associated SDGs.

In the Pacific, the UNDAF/Cooperation Framework is called the UN Pacific Strategy (UNPS), and it spans a total of 14 Pacific Islands Countries and Territories including Cook Islands, Niue and Samoa. The current UNPS is for the programme cycle 2018-2022.

#### 3.1 UNDAF Outcomes

The relevant UNPS 2018-2022 outcomes to the joint programme on INFF development are:

- OUTCOME 2 – Gender Equality (SDG 5)
- OUTCOME 3 – Sustainable and Inclusive Economic Empowerment
- OUTCOME 5 – Governance and Community Development (SDG 11)

The UNPS 2018-2022 does not have outputs. Therefore the UN Joint Country Action Plan (JCAP) Outputs will be used instead.

#### 3.2 UNDAF Outputs

1. UNPS Outcome 2: 'By 2022, there is improved, equitable access, availability and utilization of quality basic social services for all people, particularly for vulnerable people'.

JCAP Output: By 2022, there is improved, equitable access, availability and utilization of quality basic social services for all people, particularly for vulnerable people.

2. UNPS Outcome 3: By 2022, people in the Pacific in particular youth, women, and vulnerable groups, benefit from inclusive and sustainable economic development that creates decent jobs, reduces multi-dimensional poverty and inequalities, and promotes economic empowerment.

JCAP Output: By 2022, impoverished, especially economically vulnerable, unemployed and under-employed and vulnerable people have increased access to sustainable livelihoods, safe and decent employment, and income opportunities.

3. UNPS Outcome 5: By 2022, people and communities in the Pacific will contribute to and benefit from inclusive, informed and transparent decision-making processes; accountable and responsive institutions; and improved access to justice.

JCAP Output: By 2022, inclusive, democratic, accountable and transparent institutions are further strengthened towards ensuring rule of law, social justice and human rights for all particularly for vulnerable people.

#### **4. SDG Targets directly addressed by the Joint Programme**

**SEE BELOW IN SECTION 1.2 page 5**

##### **4.1 List of goals and targets**

The relevant SDG goals and targets are those with a financing component that aim to improve equal access to financial services as well as to strengthen resource mobilization and management of financial resources. Below is a list of goals and targets:

##### **Goal 1** *End poverty in all its forms everywhere*

**Target 1. - (1.4)** By 2030, ensure that all men and women, in particular the poor and the vulnerable, have equal rights to economic resources, as well as access to basic services, ownership and control over land and other forms of property, inheritance, natural resources, appropriate new technology and financial services, including microfinance.

##### **Goal 5** *Achieve gender equality and empower all women and girls*

**Target 1 (5.a)** - Undertake reforms to give women equal rights to economic resources, as well as access to ownership and control over land and other forms of property, financial services

##### **Goal 8** *Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all.*

**Target 1 - (8.3)** Promote development-oriented policies that support productive activities, decent job creation, entrepreneurship, creativity and innovation, and encourage the formalization and growth of micro-small- and medium-sized enterprises, including through access to financial services.

**Target 2 (8.10)** Strengthen the capacity of domestic financial institutions to encourage and expand access to banking, insurance and financial services for all.

##### **Goal 9** *Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation*

**Target 1 - (9.3)** Increase the access of small-scale industrial and other enterprises, in particular in developing countries, to financial services, including affordable credit, and their integration into value chains and markets

**Goal 10** *Reduce inequality within and among countries*

**Target 1 - (10.b)** Encourage official development assistance and financial flows, including foreign direct investment, to States where the need is greatest, in particular least developed countries, African countries, Small Island Developing States and landlocked developing countries, in accordance with their national plans and programmes.

**Goal 17** *Strengthen the means of implementation and revitalize the Global Partnership for Sustainable Development*

**Target 1 - (17.1)** Strengthen domestic resource mobilization, including through international support to developing countries, to improve domestic capacity for tax and other revenue collection.

**Target 2 - (17.2)** Developed countries to implement fully their official development assistance commitments, including the commitment by many developed countries to achieve the target of 0.7 per cent of gross national income for official development assistance (ODA/GNI) to developing countries and 0.15 to 0.20 per cent of ODA/GNI to least developed countries; ODA providers are encouraged to consider setting a target to provide at least 0.20 per cent of ODA/GNI to least developed countries.

**Target 3 - (17.3)** Mobilize additional financial resources for developing countries from multiple sources.

**Target 4 - (17.14)** Enhance policy coherence for sustainable development.

**Target 5 - (17.16)** Enhance Global Partnership for Sustainable Development, complemented by multi-stakeholder partnerships that mobilize and share knowledge, expertise, technology and financial resources, to support the achievement of the Sustainable Development Goals in all countries, in particular developing countries

**4.2 Expected SDG impact**

In this Joint Programme, UN Agencies, Governments and other partners adopt a strategic integrated approach to respond to highly complex and multidimensional development challenges, mainstreaming the SDGs into national, regional and sub-regional development plans. Through ensuring financial support, progress on the implementation and achievement of the SDGs is accelerated, whilst also supporting the theme of “doing more together”.

The expected SDG impact in Cook Islands, Niue and Samoa is two-fold:

- 1) The first expected impact will be felt in Goal 17 (17.14, 17.16) where the foundations for partnerships for sustainable development are developed and strengthened. Existing governance structures and mechanisms will be strengthened in Cook Island, Niue and Samoa to establish oversight committees and multi-stakeholder platforms not only to get political buy in to lead implementation of joint programme but also to ensure participation of a broad range of actors in policy dialogue.
- 2) Samoa to build on the findings of the UNDP 2018 Development Finance Assessment (DFA) report. At the end of the joint programme gender responsive financing strategies are developed. Samoa will be equipped with the tools, capacities and know-how to design and prioritize financing towards government core national priorities and sectors to meet localized

SDG targets. This will have direct impact on Goal 17.1, 17.3 and 17.4. Due to interlinkages between goals it will trigger impact on the other identified SDGs – Goal 1,5, 8,9.

## 5. Relevant objective(s) from the national SDG framework

The [Strategy for the Development of Samoa \(SDS\) 2016/17 - 2019/2020](#)'s priority Area 1 of the Economic sector is relevant to the INFF work. Key Outcome 1 is *Macroeconomic Resilience Increased and Sustained* focuses on achieving 'A stronger and more stable financial sector macroeconomic framework that sustains economic growth'.

The SDS Targets include:

1. Fiscal sustainability: - Public Finance Management strengthened to ensure total current expenditures are fully funded from ordinary revenue, with fiscal deficit to be no more than 2.0% of GDP;
2. Accommodative Monetary Policy established: - Underlying inflation will be less than 4.0% average per annum;
3. External position enhanced: - Public Debt level not to exceed the current level of 55% of GDP; - Import cover maintained at 4.0 to 6.0 months; and Real GDP growth will average between 3.0 – 4.0%.

Economic growth, led by private sector investment and development initiatives, will be more inclusive of vulnerable groups in the community, employment opportunities will be expanded and economic resilience sustained. These outcomes support the following SDGs:

1. *Sustainable Development Goal 1: End poverty in all its forms everywhere;*
2. *Sustainable Development Goal 8: Promote inclusive and sustainable economic growth, employment and decent work for all;*
3. *Sustainable Development Goal 17: Strengthen the means of implementation and revitalize the global partnership for sustainable development.*

(Source: *Strategy for the Development of Samoa 2016/17 - 2019/2020*.)

### [Cook Islands 'Te Kaveinga Nui' National Sustainable Development Plan 2016 - 2020](#)

Goal 1: Improve welfare, reduce inequality and economic hardships (SDG 1, SDG 10)

Goal 2: Expand opportunities for decent work for all (SDG 8)

Goal 9: Gender equality (SDG 5)

Goal 15: Development for Cook Islands by Cook Islanders

### [Niue National Strategic Plan \(2015-2020\)](#) – A prosperous Niue Vision Statement:

Working together to protect the people & the environment

Pillar 1: Finance and Economic Development (SDG 8, SDG 16, SDG 17)

Pillar 2: Governance (SDG 16)

Pillar 7: Private sector

## 6. Brief overview of the Theory of Change (ToC) of the Joint Programme

### 6.1 Summary

The development of a viable development finance strategy and architecture, aligned with the SDGs in the form of an Integrated National Financing Framework (INFF), will increase returns on all investments for the acceleration of SDG attainment (public, private, blended, international and/or regional vertical instruments) in Cook Islands, Niue and Samoa. Devising a full range of financing sources and non-financial means of implementation that are potentially available to Cook Islands, Niue and Samoa and laying out a financing strategy to raise resources, manage risks, and achieve sustainable development priorities will significantly enhance each country's capabilities to advance their sustainable development agenda. With a budget structure, including domestic and external revenues and SDG-related expenditure aligned with the multi-year INFF, financial monitoring and evidence-based course adjustment in the pursuit of the 2030 Agenda will enable more strategic and effective utilization and mobilization of funds to accelerate progress. The development finance strategy and INFF for Samoa will draw on the Development Finance Assessment that UNDP conducted in 2018.

### **6.2 List of main ToC assumptions to be monitored:**

The Joint Programme aims to build sustainable, inclusive SDG financing frameworks and systems by ensuring that:

- High quality evidence and data exist to guide choices and gain political and social consensus
- Institutional coordination and delivery mechanisms are efficient
- Financing strategies are equitable and robust
- Strong partnerships and inclusive participation are encouraged
- A strong commitment for advocacy and outreach exists

Towards this end, the ToC relies on the following assumptions:

- Based on their ongoing political commitment to the AAAA and because they recognize the value added, governments will continue using INFFs after the end of the Joint Programme to enhance financing for the SDGs
- National development strategies and budgets are centred on poverty reduction and resilience and strive to implement the 2030 Agenda
- Civil Society remains engaged in addressing gender and social inclusion issues, promoting human rights and equitable development

## **7. Trans-boundary and/or regional issues**

Most issues in this Joint Programme will mainly be specific to the individual countries and the Pacific region.

The Pacific Small Island Developing States (SIDS) like Cook Islands, Niue and Samoa are recognized as a distinct group of developing countries and therefore face similar social, economic and environmental vulnerabilities. SIDS tend to confront similar constraints in their sustainable development efforts - narrow resource base, small domestic markets and heavy dependence on a few external and remote markets; high costs for energy, infrastructure, transportation, communication and servicing; long distances from export markets and import

resources; vulnerability to natural disasters; limited opportunities for the private sector and a disproportionately large reliance of their economies on their public sector, to name a few.

This means that these economies face common public finance challenges. The cost of providing public goods is higher than in larger economies in most cases due to economies of scale and therefore there is a gap between revenue available and cost of delivery, which will be addressed in this SDG Fund joint programme proposal.

In addition, there are other transboundary issues and regional priorities relevant to this joint programme: (a) Climate change and disaster risk reduction; (b) Sustainable management and use of oceans; (c) Regional integration on Trade, ICT and Renewable Energy; (c) Social Protection, inclusion and poverty alleviation; and (d) Integrated assessment and review of SDG progress (e.g. Voluntary National Reviews) and the SAMOA Pathway with an emphasis on enhancing data and statistics.

## C. JOINT PROGRAMME DESCRIPTION

### 1. Baseline and Situation Analysis

#### 1.1 Problem statement

The Samoa MCO works closely with the Governments of Cook Islands, Niue and Samoa on development programmes in the key thematic areas of Governance, Poverty Reduction, Gender, Environment and Energy, and Disaster Prevention and Recovery.

The 17 SDGs, which were adopted by all UN member states in 2015, represent an integrated action plan to bring an end to poverty, fight inequalities and reduce climate change impacts while leaving no one behind, by 2030. Financing the 2030 Agenda for Sustainable Development, however, remains a challenge. There is large gap at the global and regional level, which continues to widen at the national level, to fund the SDGs. Research indicates that investment is not being directed to where it is most needed. And most governments cannot fund their SDG priorities with public capital and Official Development Assistance (ODA) alone. There is underinvestment in the SDGs across Least Developed Countries (LDCs) and SIDS, and their achievement hinges on bringing in the private sector to financing the SDGs and the 2030 Agenda.

The outbreak of COVID-19 is more than a health epidemic, and it is compounding the existing vulnerabilities of the Pacific SIDS. It has affected almost every area of society from governments' operations to the business community's trading activities and right down to the livelihoods of households, in particular the most vulnerable. COVID-19 is at the top of the global priority list of challenges, as the world works together to prevent and mitigate the negative effects of the pandemic. This will put pressure on the world's financing systems, as nations start to offer relief and stimulus packages for their countries. The Pacific SIDS will be among the most affected, as their vulnerable health and economic systems struggle to cope. The private sector and business community will be hit most deeply: the tourism industry in Cook Islands, Niue and Samoa, in particular the small to medium size operators, have seen their incomes collapse. Most workers have been laid-off, affecting income streams of most families, especially the poorest and most vulnerable.

SDG financing challenges common to Pacific Island Countries are the following:

- Weak public finance systems
- Misalignment between national development plans and budget processes
- Misalignment between public planning and SDG aligned strategies
- Mismatch between private sector investment and Sustainable Development
- Lack of capacity and understanding in developing innovative financial instruments for mobilising public and private sector investment around SDG financing
- Inadequate capacity to collaborate across public and private actors to jointly implement SDG priorities
- Planning and Budget process are not fully gender responsive



The AAAA therefore calls for countries to establish INFFs to support implementation of the 2030 Agenda. Many countries in the Pacific have already aligned their NDPs and Strategies with the SDG indicators. The challenge is to ensure that the plans and strategies are supported by a financing strategy, which articulates how these aspirations would be financed.

The objective of this Joint Programme is to provide and support Cook Islands, Niue and Samoa to enable and strengthen existing policies and institutional structures for the development and implementation of integrated financing strategies. This will bring together the three governments' plans and policies by engaging across the broad spectrum of actors in the economy to influence the way public and private resources are invested, and direct investment towards sustainable development priorities.

## **Overview**

Countries in general have in place Public Finance Management (PFM) systems, which articulate how financial resources are managed effectively to deliver and implement public services. Most Pacific Island countries do not have financing strategies in place, whilst others have developed medium term expenditure frameworks with forward estimates of a period of three years. Furthermore, most Pacific Island countries rely on public finance and development aid flows to finance their development priorities. The contribution of private sector investment towards financing the national development plan agendas is very low.

## **Samoa**

### **Need for better linking Public Planning and SDG-aligned Strategies to Financing and Budgeting**

There is a need for better policy and institutional coherence in the government planning and budgeting systems. The Government of Samoa (GoS) produces several planning and strategy documents to reflect its policy and strategic goals. This includes a multi-year framework that guide different government entities on which areas to allocate resources to, in order to deliver their national targets. At the highest level, the GoS formulates their SDS reflecting national and sector targets at an aggregate level, the latest referring to the periods 2016/17 – 2019/20.

Line ministries formulate sector development plans that are consistent with the SDS and set disaggregated targets and details of programme and project activities to deliver on specific commitments. For some sectors, like education, the Sector Plan also serves as a programme framework guiding development partners in their sector budget support and aligning programme targets to serve as triggers for their financial disbursements to the implementation of the plan.

As an additional planning and management tool, the line ministries formulate corporate plans (in other countries often labelled "Management Plans") that are aligned with their respective sector plans and details activities to be undertaken, by which unit within a ministry and in what timeframe, acting as a workplan to guide their implementation. The Government Budget details Foreign Aid, Cash Grants and Loans appropriated by Sector. The Line Ministry budget

estimates are appropriated by Output and shows what is domestic funding and what is from donor assistance.

All the above serve as strategic documents and plans reflecting GoS policy in general and sector levels. While strategies, plans and programmes are in place, it is through the annual budgets that the various ministries, agencies and service providers are allocated the resources to deliver on the general and sector targets as stated in these documents. Accordingly, the focus of this Joint Programme is to analyse the extent to which the annual budgets serve to enable budget entities to deliver on their targets and strengthen consistency between planning and budgeting for an effective implementation of the SDGs. The development finance strategy and the INFF will provide access to information to all stakeholders and allow close monitoring of public expenditure in relation to the GoS's SDG commitments.

### **Need for further strengthening of Public Finance Management System**

Second, the annual budget document presents a Performance Framework for each ministry with the overall logical framework and allocations made to "Outputs". For each "Output" there is a subsequent description of what specific sub-outputs are to be delivered, targets to be achieved and activities to be implemented. Furthermore, a summary of allocations is made along with broad "economic codes" for each "Output" (Personnel, Operating Expenses, Capital Costs, Overheads).

The budget allocation tables also make a split between domestic-funded expenditure and externally-funded "Outputs". For the former, the allocation is distributed between the "economic codes", whilst for the latter, it is allocated as a lump sum to the output without a split between the economic codes. This is because donor assisted projects are not necessarily following the GoS budget classification in the project budgets and thus the distribution between the GoS economic classification cannot easily be made – i.e. external finance is not fully integrated into the budget presentation. This was reflected in the Third Monitoring round of the Global Partnership for Effective Development Cooperation conducted in 2018 and released in 2019, according to which aid on budget declined from 100% in 2013-2015 to 86%.

Subsequently, at the aggregate level, the GoS presents its budget as "Recurrent Expenditures" (Current Payments) and "Development Expenditures" (Development Payments) rather than the conventional Government Finance Statistics (GFS) classification of Recurrent and Capital Expenditures.

The challenges with the current format and structure of the budget documents as observed in the 2018 Development Finance Assessment (DFA) include:

1. There are budget classification codes for types of expenditures (economic codes, see above), however, the chart of accounts does not fully comply with GFS classification codes, among others, to clearly distinguish between recurrent and capital expenditures. The latter is, among others, important for a forward-looking perspective to assess the impact of the current level of capital expenditure (investments) on future recurrent cost requirements to maintain them.

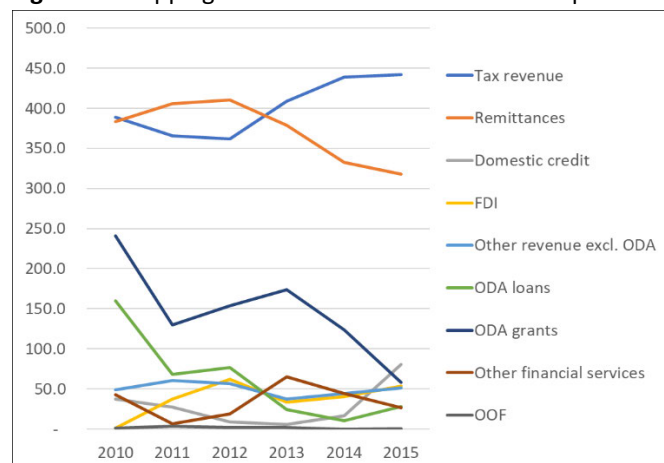
2. There are budget classification codes for administrative units (ministries/divisions/ departments) and “Outputs” defined for each of them. However, the services they provide are not fully reflected in the way “Outputs” have been presented and would likely have benefitted from definitions closer to the Codes for Functions of Government or similar classifications showing targets and allocations by type of government service provisions. The detailed Performance Framework for each entity shows a mix of final and intermediary outputs as well as activities at different levels, and many are not directly linked to the overall strategy and sector plan. This makes it difficult to see the link between the Output/service to be delivered and budget allocation to assess the justification for the proposed allocation.
3. While the budget presents budget allocation by source of funding (domestic revenue and external assistance), the latter is provided predominantly as project-tied aid, which is not distributed in compliance with the GoS system for classification of expenditures as development partners budgeting systems are not aligned with the GFS classification, i.e. the actual total level by type of expenditure (economic codes) and purposes (“outputs”) is not presented to allow assessment of total resources allocated to a particular output/service as external assistance is not included in this classification of expenditure, only at aggregate level labelled as “Development Payments/Expenditures”.

### **Need to step up Private Sector Investment to match the ambitions for Sustainable Development**

Thirdly, domestic private funds represent the smallest share of the financing flows in Samoa. Samoa’s private sector’s access to credit (cost of credit) is one of the main obstacles to private sector growth. Therefore, the capacity of private sector to invest in sustainable development activities is limited. Introducing and operationalizing a Financing Framework will allow Samoa to conduct further studies on the private sector opportunities for unlocking additional financial resources as identified in its 2018 DFA.

The trends are presented in the charts below. Figure 1 depicts Samoa’s sources of financial flows for development from 2010 to 2015.

**Figure 1** Mapping Samoa financial flows for development



In million Samoan Tala constant 2016 prices

**Figure 2** Samoa Public Sector: External finance

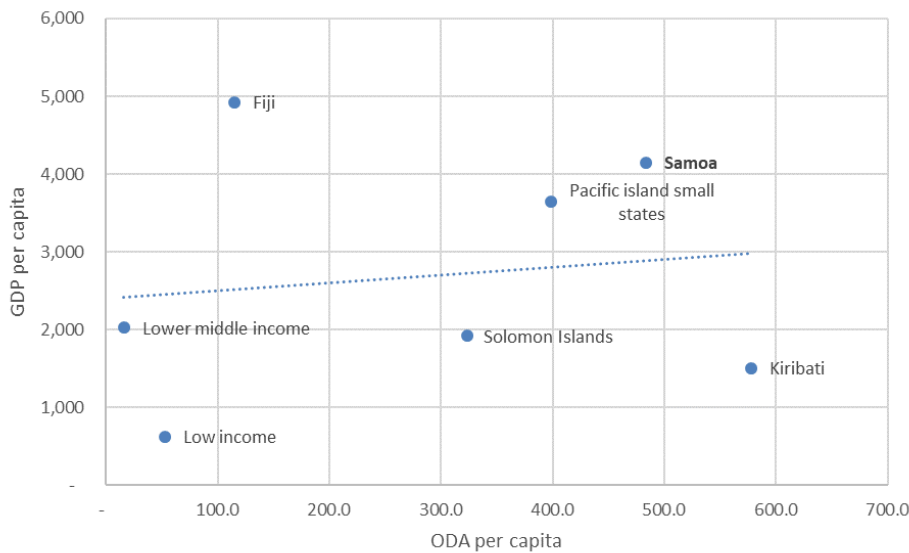


Figure 2 shows that Samoa's public sector has access to high ODA, which is provided on highly concessional terms. The challenge is not access to, but the management of, financial flows. In terms of domestic revenue, Samoa is doing well compared to its Pacific neighbours, although there is potential to increase domestic revenues through broadening the tax base and reducing discretionary tax exemptions. Domestic credit to the private sector has improved over the years, but the cost of accessing credit is still high when compared to other countries in the Pacific region. The DFA recommended Business Development Services and equity and investment instruments to support expansion and growth of Small and Medium-Sized Enterprises. Samoa has a low level of Foreign Direct Investment (FDI) compared to the average of Pacific Island Countries, which could be a reflection of limited investment opportunities in Samoa.

### **Cook Islands**

The Cook Islands is a unique SIDS in the Pacific. It is a self-governing country in free association with New Zealand. Under this arrangement, the New Zealand Government, in consultation with the Government of the Cook Islands, retains responsibility for external affairs. The country comprises 15 islands, which cover a total land area of 240 sq. km, scattered across an Exclusive Economic Zone of 2 million sq. km. Its economy is characterized by its small size, isolation from main trading routes and lack of natural resources. The tourism industry is the main driver of the economy supported by minor exports of tropical fruits.

The Cook Islands is in the process of developing its new Development Strategy with the current National Sustainable Development Plan (NSDP) 2015-2020 set to expire by the end of this year. The national plan has 16 goals to guide the aspirations of the people. Each year the Budget Policy Statement selects which of these goals will be the priorities for new and additional expenditure for that respective financial year. The National Strategies are reflected

in the strategic plans of government agencies which then filters down to their annual business plans and the annual budgets. This means that the annual budgets are directly linked to government agency plans and budgets.

### **Niue**

Niue is the world's largest single coral atoll with a land area of 259 sq. km. There are 14 villages scattered around the island's coastline. Niue is also a self-governing country in free association with New Zealand.

The Niue National Strategic Plan 2016-2020 outlines the roadmap of the Government's direction and priorities to achieve its vision for Niue. It provides broad goals and strategies that provide a strategic pathway towards prosperity. The detailed these strategies are contained in sector and subsidiary policies and delivery plans. The government ministries each have a corporate plan that aligns to the pillars and strategies.

The Niue strategic plan is funded through the recurrent budget and external sources from development partners. The allocation of resources is based on the prioritized initiatives, activities, targets of Niue's strategic plan and delivery plans. The government agency corporate plans have a budget where the sources of funds are identified, for both the recurrent budget and external funds.

There is a disconnect between the national strategic plan and the budget process, since the allocation of funds to implement the strategic plan is channelled through the corporate plans of government agencies. The government's budget screening process is directly connected to the government agency corporate plans. The annual reports and the national budget process are the mechanism through which progress of the strategic plan is measured.

### **Niue and Cook Islands INFF Inception and Diagnostic Phase**

Niue and the Cook Islands both have similar budgeting processes, as both countries' national strategic plans are linked to the national budgets through the government agencies' budgets. Their national development plans are funded from public funds. In the case of the Cook Islands, the Budget Policy Statement identifies the development goals which will be targeted for implementation for that year.

There is misalignment between the national budgets and the main national strategic plans of Niue and the Cook Islands. Therefore, the INFF process will help address financing gaps in their strategic development plans. It will also align their planning process with the budgetary process, as well as strengthen their management of current financial resources.

## **1.2 SDGs and targets**

The Joint Programme for Cook Islands, Niue and Samoa will specifically focus on SDGs with a financing component, which relate to strengthening partnerships and institutional/ individual capacities and enhance access to financial services to promote the principles of inclusiveness and Leaving No One Behind. The following targets are expected to be impacted and achieved at the end of the joint programme:

**SDG targets on which the progress will be accelerated (includes targets from a range of SDGs and development pillars):**

Goals	Targets	
<b>SDS Samoa</b>  Outcome 1: Samoa's Macroeconomic Resilience Increased and Sustained	Targets:  1. Fiscal deficit no more than 2.0% of GDP  2. Public Debt < 55% of GDP	
<b>Goal 1</b>	<b>1.4 By 2030, ensure that all men and women, in particular the poor and the vulnerable, have equal rights to financial services, including microfinance</b>	1.4.2 Proportion of total adult population by sex and type of business having access to credit
<b>Goal 5</b>	5.a - Undertake reforms to give women equal rights to economic resources, as well as access to ownership and control over land and other forms of property, financial service	5.a.1 Increase in % of women having access to financial services due to Reforms
	<b>5.c Adopt and strengthen sound policies and enforceable legislation for the promotion of gender equality and the empowerment of all women and girls at all levels</b>	5.c.1 Proportion of countries with systems to track and make public allocations for gender equality and women's empowerment
<b>Goal 8</b>	<b>8.3 Promote development-oriented policies that support productive activities, decent job creation, entrepreneurship, creativity and innovation, and encourage the formalization and growth of micro-, small- and medium-sized enterprises, including through access to financial services</b>	8.3.1 Proportion of informal employment in non-agriculture employment, by sex
	8.10 - Strengthen the capacity of domestic financial institutions to encourage and expand access to banking, insurance and financial services for all.	8.10.2 Proportion of adults (15 years and older) with an account at a bank or other financial institution or with a mobile-money-service provider.

Goal 9	9.3 Increase the access of small-scale industrial and other enterprises, in particular in developing countries, to financial services, including affordable credit, and their integration into value chains and markets	9.3.1 Proportion of small-scale industries in total industry value added  9.3.2 Proportion of small-scale industries with a loan or line of credit
Goal 10	10.b Encourage official development assistance and financial flows, including foreign direct investment, to States where the need is greatest, in particular least developed countries, African countries, small island developing States and landlocked developing countries, in accordance with their national plans and programmes.	10.b.1 Total resource flows for development, by recipient and donor countries and type of flow (e.g. official development assistance, foreign direct investment and other flows)
Goal 17	<b>17.1 Strengthen domestic resource mobilization, including through international support to developing countries, to improve domestic capacity for tax and other revenue collection.</b>	17.1.1 Total government revenue as a proportion of GDP, by source  17.1.2 Proportion of domestic budget funded by domestic taxes
	17.2 Developed countries to implement fully their official development assistance commitments, including the commitment by many developed countries to achieve the target of 0.7 per cent of gross national income for official development assistance (ODA/GNI) to developing countries and 0.15 to 0.20 per cent of ODA/GNI to least developed countries; ODA providers are encouraged to consider setting a target to provide at least 0.20 per cent of ODA/GNI to least developed countries.	17.2.1 Net official development assistance, total and to least developed countries, as a proportion of the Organization for Economic Cooperation and Development (OECD)

	<b>17.3 Mobilize additional financial resources for developing countries from multiple sources</b>	17.3.1 Foreign direct investment (FDI), official development assistance and South-South cooperation as a proportion of total domestic budget  17.3.2 Volume of remittances (in United States dollars) as a proportion of total GDP.
	<b>17.14 Enhance policy coherence for sustainable development.</b>	17.14.1 Number of countries with mechanisms in place to enhance policy coherence of sustainable development
	<b>17.16 Enhance the Global Partnership for Sustainable Development, complemented by multi-stakeholder partnerships that mobilize and share knowledge, expertise, technology and financial resources, to support the achievement of the Sustainable Development Goals in all countries, in particular developing countries.</b>	<b>17.16.1 Number of countries reporting progress in multi-stakeholder development effectiveness monitoring frameworks that support the achievement of the sustainable development goals</b>

**(Note: Bold entries indicate direct or main streamed impact, non-bold entries indicate synergetic impact.)**

The target baselines will be determined at the project inception with the selection of 2019 or 2020 as the base year determined by the availability of key M&E indicators. The methodology for measuring progress will depend on the nature of the selected indicators. The trends will be obtained from traditional administrative data from relevant government ministry databases or the Statistics Bureau of each country. Alternatively, the Joint Programme will use statistical publications from UNESCAP or conduct mini surveys, if data is not readily available.

In addition to the Joint Programme monitoring and tracking the identified SDG targets, we can also cross check with SDG Monitoring and Evaluation Frameworks that Governments have put in place while preparing their Voluntary National Review (VNR) reports to the High-Level Political Forum.

Access to financial flows and services plays a critical role in the implementation and achievement of the SDGs 2030. There are strong synergies noted between the SDG Goals and targets identified for this Joint Programme, however, their integrated and interlinked nature means that the progress made to one will have multiplied effects and feedback on the other targets, placing a demand on available resources to implement them.

In this Joint Programme, it is possible that there will be more SDG targets impacted than the ones identified in Table above. The INFFs for each country may pinpoint or prioritize a particular sector(s), for example if one country was to focus on education and health, then SDG3 and 4 will be impacted and added to the Table above.



The immediate impact of INFF implementation will be noted on improved capacity of national systems and policy makers to design and implement financing strategies that will respond to national development plans – systemic change. Secondly, there will be a multiplier effect on SDG targets, for example improving private sector profitability as a result of improvement of systems and policies will affect job creation, lower unemployment, increase incomes and contribute to reducing the poverty goal SDG1, SDG8 etc. This may be referred to as creating a win-win situation.

### **1.3 Stakeholder mapping and target groups**

The Joint Programme is a collaboration of UN agencies and governments, drawing on consultations with key partners including the World Bank, IMF and ADB, to address national-level financing gaps for sustainable development through the INFFs. The main stakeholders will be the central government ministries, private sector organizations, civil societies, academic institutions, UN agencies and donor partners. This section provides an outline of key relationships between the stakeholders and target groups.

The success of the INFFs is contingent upon the quality of the national consultations and the participation of a wide range of stakeholders in the design of this initiative, developing a sense of ownership, participating in monitoring its performance and ensuring its sustainability. Government needs to engage and consult with private sector to create an enabling environment, with civil society around social services and other stakeholders at the community level to ensure that everyone is included in policy decisions. This is to promote inclusiveness and transparency and ensure that the vulnerable are not left out, in line with the principle of Leaving No One Behind.

#### **Central Government Ministries, Members of Parliament and Parliamentary Committees**

The main key stakeholders for the Joint Programme are the central government ministries/agencies<sup>1</sup>, members of Parliament and Parliamentary committees. Ministries/central agencies for Finance and Economic Management, Finance and Planning, Central/Reserve Banks, Revenue ministries will be the technical lead entities for implementation of the Joint Programme. They are usually responsible for setting fiscal policy and the prudent management of government's financial position, national planning, developing national development agenda, collection and allocation of resources. The involvement of lawmakers will be important to ensure the integration of the SDGs into the domestic public finance through budget reforms.

#### **International Financial Institutions**

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<sup>1</sup> Cook Islands – Ministry of Finance and Economic Management, Financial Services Authority, Financial Supervision Commission, Cook Islands Investment Cooperation; Niue – Central Agency for Finance and Planning, Ministry for Social Services; Samoa – Ministry of Finance, Central Bank of Samoa, Samoa Bureau of Statistics, Ministry Customs & Revenue, Ministry Commerce, Industry and Labour

The World Bank, ADB and IMF are key stakeholders in the areas of public finance in the Pacific Island nations. There are World Bank PFM projects currently being undertaken in Samoa, Niue and Cook Islands. ADB conducted an assessment of the Cook Islands private sector to assist its Government to identify key issues to address and develop a more conducive environment for private sector growth.

## Private Sector

Chambers of Commerce, Samoa Association of Manufacturers and Exporters, Commercial and Development Banks.

## Other partners

Civil Society Organizations, Village councils and community, Academia, Faith based organization, and Community Based Organizations.

The matrix below identifies key stakeholder relationships in Cook Islands, Niue and Samoa to support the implementation and coordination of the Joint Programme. This analysis informs the approach to partnerships within the implementation of the Joint Programme drawing on institutional mandates, areas of influence and assigned responsibilities.

Countries	Lead Government Ministry	Other line ministries	Statistics	Development partners	IFI's	Private Sector	Academics	NGO	Community
Samoa	Ministry of Finance	MCIL, MCR, CBS and sectors	Samoa Bureau of Statistics		World Bank; PFTAC	Chamber of Commerce ; Commercial Banks and Samoa Development Bank; Samoa Association of Manufacturers and Exporters; Samoa Business Hub (SBEC)	National University of Samoa; University of South Pacific Alafua campus	Samoa Umbrella of Non Governmental Organizations;	Churches/Women's Group/ Youth groups and councils ; Village councils
Cook Islands	Ministry of Finance and Economy	Financial Services Authority; Financial Supervision Commission; Cook Islands	Cook Island Statistics Office	NZ DFAT	IMF-PFTAC; World Bank; Asian Development Bank	Chamber of Commerce ; Commercial Banks and Development Bank;		Civil society groups	Churches/Women's Group/ Youth groups and councils

		Invest ment Cooper ation							
<b>Niue</b>	Central Agencie s – Finance & Plannin g	Key social, econom ic and infrastr ucture; ministr y of foreign affairs of niue	Statist c s Niue	DFAT	IMF- PFTAC; World Bank; Asian Develop ment Bank	Chamber of Commerce ; Commerci al Banks and Developm ent Bank;		SUNGO	Church es/Wo men's Group/ Youth groups and councils

To ensure that the Joint Programme is a success, the INFF project must be country led and country owned. The establishment of INFF National Oversight Committees, which bring together the key stakeholders at country level, is critical in this regard.

## 2. Programme Strategy

### 2.1. Overall strategy

The NDPs of Cook Islands, Niue and Samoa have been aligned with the 2030 Agenda for Sustainable Development as well as other regional priorities. However, these development plans require a funding component and framework to guide financing options, to help countries complement national budgets and available ODA with additional financing so that the prioritized goals of their development plans can be realized.

Recognizing the achievements already made by the three countries in regard to their national development strategies and results frameworks as well as their PFM systems, the Joint Programme proposes to build on and add further value to these by introducing and implementing INFFs in Cook Islands, Niue and Samoa, which will put the SDGs at the heart of the financing system. This will strengthen the way resources are allocated and invested, while at the same time enhancing alignment with national development priorities and the SDGs. The Joint Programme will use countries' existing multi-sectoral stakeholder platforms and fora – such as the SDG Task Force and the emerging SDG Network in Samoa – to broaden constituencies for reform and generate a national dialogue around development financing priorities. The approach ensures that financing is inclusive and consultative to reach the unreached, helps develop capacity and skills, and enables knowledge transfers to accelerate public financial reforms and create a conducive policy environment for private sector investments.

Depending on their context, the three countries may opt for specific reforms to build momentum towards achieving the scale of finance required for the SDGs, including the following:

- Formulation of SDG and national plan-aligned financing strategies;
- Costing of SDG-related strategies;
- Budgeting for SDGs aimed at integrating planning, PFM, policymaking, and oversight to achieve the SDGs;
- SDG public budget tagging systems to track expenditure and improve medium term expenditure planning;
- Reforms and strategies for domestic revenue mobilization; and
- SDG-related expenditure reviews and assessments, for example through support to specific tools such as PERs, and PEFAs.

The Joint Programme draws together specialized technical expertise from the respective UN agencies to help bring the SDGs to the heart of finance reforms and enhance the quality of public-private dialogue around SDG related investment opportunities. It will provide the framework for the UN system to come together with the World Bank, IMF, ADB and other development partners to align tools and services to implement the recommendations of the AAAA, including INFF, DFAs and PEFAs, ensuring effective and efficient service delivery to the national stakeholders.

Under this Joint Programme, Cook Islands and Niue will undertake DFAs as the inception stage of operationalizing INFFs. Samoa, which already has conducted its DFA in 2018, will update this assessment and build on its recommendations to develop a gender-responsive financing strategy that is directly linked to planning.

The Joint Programme will promote South-South knowledge exchange and peer learning between Cook Islands and Niue, which are at the INFF inception stage, and Samoa, which will be developing its full INFF, to enhance effectiveness and the sustainability of results. It will further coordinate with existing Pacific regional platforms for regional policy dialogue and knowledge sharing on SDG financing.

### **Measuring SDG progress**

The alignment of planning, policies and processes with financing frameworks in a way that is integrated, coherent and inclusive and putting the SDGs at the heart of the financing system will accelerate the progress on achieving the 2030 Agenda and the Global Goals.

The results of the Joint Programme are expected to make a measurable contribution to the selected SDG targets. To track progress, the Joint Programme will consider several steps as follows:

- Step 1: Create baselines through innovative and extensive data collection and participatory analyses.
- Step 2: Identify an indicator framework through public and inclusive consultations to calibrate progress.
- Step 3: Implement M&E systems (quantitative & qualitative) to report on and evaluate outcomes as well as implementation processes for Step 2.
- Step 4: Deploy state of the art data sciences to inform decisions and Leave No One Behind, including data analytics drawing on non-traditional sources such as big data as part of the UN Global Pulse Pacific Lab area of expertise.

### **2.2 Theory of Change**

The development of a viable development finance strategy and architecture, aligned with the SDGs in the form of Integrated National Financing Framework (INFF), will increase returns on all investments for the acceleration of SDG attainment (public, private, blended, international and/or regional vertical instruments in Cook Islands, Niue and Samoa). Devising a full range of financing sources and non-financial means of implementation that are potentially available to Cook Islands, Niue and Samoa and laying out a financing strategy to raise resources, manage risks, and achieve sustainable development priorities will significantly enhance each country's capabilities to advance their sustainable development agenda. With a budget structure, including domestic and external revenues and SDG-related expenditure aligned with the multi-year INFF, financial monitoring and evidence-based course adjustment in the pursuit of the 2030 Agenda will enable more strategic and effective utilization and mobilization of funds to accelerate progress. The development finance strategy and INFF will draw on the Development Finance Assessment that UNDP conducted in 2018.

### **The Pathway of Change**

The objective of the Joint Programme is to operationalize INFFs in Cook Islands, Niue and Samoa to strengthen governments' existing policies and institutional structures for the development and implementation of integrated financing strategies for sustainable development. The INFFs will help create synergies among the governments' plans and policies by engaging development actors across the board to influence the way public and private resources are invested and direct investment towards sustainable development priorities. Involving all development actors in the three countries in the policy dialogue on SDG financing will maximize outreach and rapidly scale up resource mobilization for sustainable development.

This will meet the conditions required to achieve the SDG Joint Fund programme long term goal of '*Additional Financing Leveraged to Accelerate SDG achievement*'.

The Table below summarizes the key SDG financing challenges faced by Cook Islands, Niue and Samoa and the corresponding interventions to address them. The interventions are two-fold in nature – i) Reforms made to governing and institutional structures, policies & mechanisms for inclusive participation and financing dialogue to be country led and owned, and ii) Provide policy framework to unlock public and private financing to respond to SDG aligned national development and sector plans.

#### Summary of Challenges and Interventions:

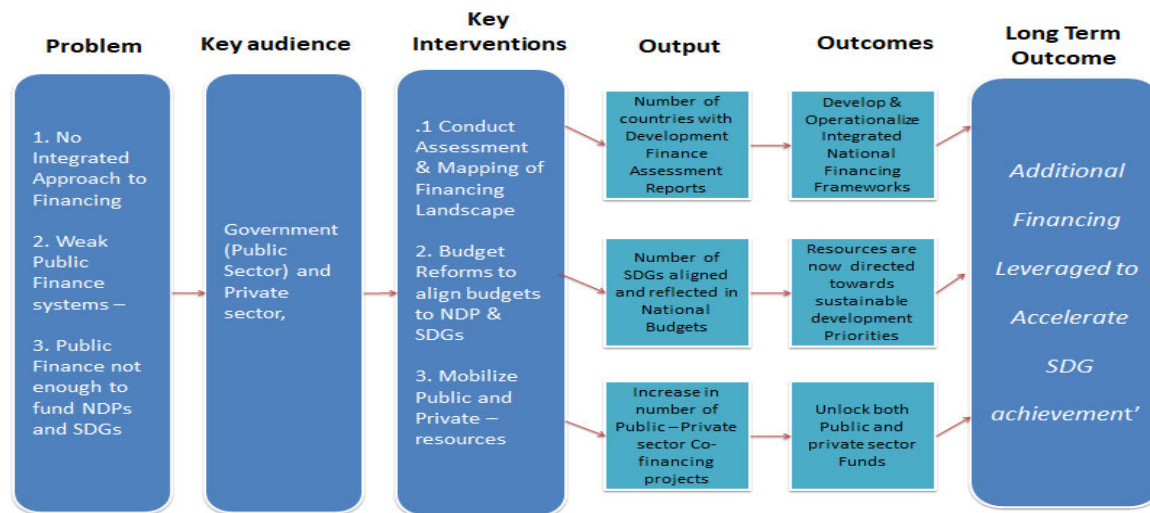
<b>Problems and challenges</b>	<b>Interventions</b>
1.No Integrated Approach to Financing:  <ul style="list-style-type: none"> <li>- Misaligned National Development Planning &amp; Budget Processes</li> <li>- Misaligned Planning Policies &amp; SDG strategies</li> </ul>	DFAs developed & updated, core institutional components developed.  Oversight Committees & Multi-stakeholder Dialogue forums are country led and owned  Budgetary processes Reformed to align with NDP & SDG strategies.  NDPs & Sector Plans costed
2. Public Finance Systems in need of strengthening; Planning & Budget process not gender responsive.  <ul style="list-style-type: none"> <li>- it is assumed that resources do not always flow towards sustainable development</li> </ul>	Budgetary processes reformed to align with NDP & SDG strategies.  NDPs & Sector Plans costed.  Gender responsive Financing Strategies developed.
3. Public Sector cannot finance NDPs and SDGs alone: need to attract Private Sector finance.	National Strategy for Public/Private Sector Investment co-financing developed to strengthen private sector SDG investment capacity.

<ul style="list-style-type: none"> <li>- Capacity to collaborate across public &amp; private actors to implement jointly SDG priorities is low</li> <li>- Private Sector entities are not fully aware of SDGs investment opportunities including innovative finance mechanisms &amp; potential returns;</li> <li>- Underinvestment in SDGs in LDCs and SIDS according to 2019 Financing for Sustainable Development Report.</li> <li>- Capacity to develop/understand innovative finance instruments is low</li> </ul>	<p>Training on new policies and processes as well as knowledge-sharing on SDG Financing strategies and financing instruments among key stakeholders.</p>
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By the end of the development assessment phase, Cook Islands, Niue and Samoa will have enhanced capacity of institutions (public and private) and key policy makers to assess and manage current finance flows. Having governing structures, mechanisms and capacity in place will create an enabling environment for accountability and dialogue, ensuring the universal participation and contribution of public sector institutions, private sector entities, civil society, development partners and other actors in financing NDPs and SDGs. Engaging the full spectrum of actors in the development sphere puts the SDGs at the heart of the Financing Dialogue.

The interventions in operationalizing INFFs in Cook Islands, Niue and Samoa by conducting DFAs, developing gender responsive Finance Strategies, improving and aligning budget processes with national development plans, SDG strategies and enabling public-private sector contribution towards realizing the sustainable development agenda will overcome the problems summarized in the table above. In addition, the countries' ability to respond to global/national crises like the COVID-19 pandemic will be strengthened by mainstreaming risk management in financial strategies and government budgets, and using financial planning to protect investments in sustainable development, focusing on those left furthest behind first. Influencing and directing government expenditure patterns towards sustainable development whilst adopting a multi-stakeholder approach to unlock new financial resources will be catalytic for achievement of the SDGs. The increased mobilization of resources for sustainable development in itself will contribute to progress against SDG targets 17.1, 17.13, 17.14 and 17.16.

## Graphical Representation of Theory of Change:



## Key Assumptions Underlying the Theory of Change:

1. The combination of integrated policies and leveraging of resources from a variety of partners will help national governments develop sustainable solutions that go beyond the scale and scope of their own interventions in achieving the SDGs.
2. The UN, through its ongoing Development System reform, which equips UN Country Teams with a more strategic, flexible and results- and action-oriented joint planning and coordination instrument (UN Sustainable Development Framework, UNSDF), and provides for a more coherent, tailored and relevant country presence, will be better positioned to support governments and other key development partners in meeting the needs of the 2030 Agenda.

## 2.3 Expected results by outcome and outputs

The overarching outcome for the Joint Programme corresponds to Output 2 of the SDG Joint Fund for the 2030 Agenda, “*Additional Financing leveraged to accelerate SDG achievement*”. The outcome will be achieved through the interventions made under the following interconnected outputs:

- 1.1 Integrated Financing Strategies for Accelerating SDG Progress Implemented
- 1.2. SDS, Sector Plans Costed and Gender Responsive Financing Frameworks
- 1.3. Evidence-Based Financing Mechanisms available to Mobilize Public and Private – resources to Respond to Samoa’s National Development Plan (NDP)

## JP Output 1.1 Integrated Financing Strategies for Accelerating SDG Progress Implemented (Cook Islands, Niue, Samoa).



Under this output, DFAs for Cook Islands and Niue will be completed, to map development finance flows and identify financing challenges to be addressed within country context. Multi-sectoral dialogue platforms will be established at country level to make financing policies on public and private finance accessible to a wide range of actors. The DFA reports will lay out roadmaps for Cook Islands and Niue to develop financing strategies to enhance public-private dialogue for effective resource mobilization and management.

Samoa's 2018 DFA report will be updated to reflect any changes in financing flows and the country's public financial management system.

UNDP will be the lead UN agency responsible for implementing JP Output 1.1, and work closely with the Cook Islands Ministry of Finance and Economy, Niue Central Agency for Finance and Planning, and Samoa Ministry of Finance.

### **JP Output 1.2. SDS, Sector Plans Costed and Gender Responsive Financing Frameworks (Samoa)**

Output 1.2 aims to develop Samoa's INFF to integrate the SDGs into the PFM system through budget reforms; cost the SDS and sector plans; and ensure that they are gender responsive. The UN agencies responsible for delivering Output 1.2 are UNESCAP, UN Women and UNDP. The Samoa Ministry of Finance (MOF) will lead the implementation of activities under this output in collaboration with the Ministry for Women, Community and Social Development (MWCSO).

Activity 1.2.1 will be led by UNESCAP. Samoa's development strategic plan and at least two sector plans will be costed. For the selected sectors, UNESCAP will support the government in assessing the degree to which SDGs have been mainstreamed into the budget process and the sector strategies have been aligned with SDS. UNESCAP will leverage appropriate elements and adopt lessons from its ongoing policy and fintech work on catalysing women's entrepreneurship in Samoa.

Under Activity 1.2.2, UN Women will provide technical support to the MOF and MWCSO to conduct a gender assessment of the 2020 national budget. Furthermore, UN Women will work with MOF and MWCSO to identify two line ministries, for which they will (i) analyse what percentage of the budget has been allocated for projects with gender impact; (ii) assess the ministries' current gender mainstreaming capacity; and (iii) review the budget process to make recommendations on entry points for gender responsive budgeting in the future. Gender responsive budgeting will be instrumental in effectively tracking national commitments to gender equality, empowerment of women and girls.

Activity 1.2.3 focuses specifically on integrating SDGs into the domestic public finance through reforms to the budget. UNDP together with MOF will review budgetary processes to improve alignment between planning policies and budgets by conducting a financing gap analysis; integrating financing frameworks into medium term budget frameworks; and develop new budget templates to directly link the budget process to sector plans, the SDS and SDGs. The

new budget system will be tested in at least one sector before being fully rolled out. As part of this activity, MOF will be provided with technical assistance for capacity development and institutional strengthening for a period of 4-6 months. Activity 1.2.3 will contribute to increasing the transparency of how financial resources are allocated and spent for development purposes, and improving accountability.

The three activities will be closely coordinated and mutually reinforcing.

### **JP Output 1.3. Evidence-Based Financing Mechanisms available to Mobilize Public and Private Resources to respond to Samoa's National Development Plan**

Private sector is an engine of growth. When businesses thrive and grow, they create opportunities for decent jobs and improve public resource mobilization through improved tax revenue collection, which enables the provision of basic public services like health and education. The share of the domestic private sector in Samoa's development finance flows, however, is currently the smallest. Joint Programme Output 1.3 hence focuses on increasing private sector contributions to financing Samoa's national development agenda. Developing the private sector's SDG investment capacity requires strategic partnerships for co-financing with the public sector. Exploring and testing innovative financing and investment solutions like blue bonds, green funds, etc., will help to ensure that resource mobilization opportunities identified in the 2018 DFA report are pursued. Additional resources from both the public and private sectors will be generated by addressing current weaknesses in investment policies, processes and procedures. Wherever possible, investments will be directed to advancing gender equality and women's and girls' empowerment.

UNDP (Activities 1.3.1, 1.3.2 and 1.3.2) and UNESCAP (Activity 1.3.4) will implement this Output.

Activity 1.3.1 aims to develop a national strategy for public and private sector co-financing. UNDP will review the current strategies including investment policies to identify gaps and challenges to private sector investment. Under Activity 1.3.2, UNDP will support the government in developing a special financing mechanism for SDS and SDG investments. The financing mechanism will provide incentives (such as tax breaks) to attract private sector investments to the SDGs and SDS development initiatives. Activity 1.3.3 provides for capacity development to build the knowledge base of key stakeholders on definitions, functions and characteristics of SDG financing strategies and new financing instruments and how they are managed; and to create a common understanding for public and private sector actors of budgetary definitions and processes.

Under Activity 1.3.4, UNESCAP will conduct a stock-take of relevant financing instruments and undertake a feasibility study on improving existing instruments and/or introducing new innovative instruments to help businesses grow and direct investments towards sustainable development. It is expected that at least one innovative impact investment solution for sustainable development will be proposed.

The Joint Programme will help develop the capacity of the Governments of Cook Islands, Niue and Samoa governments to establish and operationalize financing frameworks that have the SDG at the core. They can use this knowledge to ensure that future financing flows are directed towards sustainable development.

### **Expected progress on the selected SDG targets**

The Joint Programme is expected to help advance the following SDG targets: SDG 1.1, 1.2, 1a, 1b; SDG 5; SDG 8.3; and SDG 17.1, 17.3, 17.14 and 17.16.

Building partnerships in the form of PPPs with private sector and businesses to finance national priorities and the SDGs will result in increasing mobilization of resources for sustainable development. This will contribute to progress against SDGs 17.1, 17.3, 17.14, 17.16.

Private sector has the potential to transform the lives of poor people because of its ability to create jobs, increase trade, provide goods and services to the poor, and generate tax revenue to fund basic public services such as health and education. This will accelerate progress on SDG 1.1, 1.2, 1.4; SDG 8.3; and SDGs 3 and 4

Gender responsive budgeting will ensure that national commitments to gender equality and empowerment of women are implemented. The access of women to land ownership, economic assets, financial services, etc., will be enhanced. This will accelerate the progress towards achieving, SDG 1.1, 1.2, 1.4.; SDG 5a, 5c.; and SDG 8.3.

After the end of the Joint Programme, the three countries are expected to continue making progress towards SDG 17.1 and 17.3, 17.14 and 17.5 through improved mobilization and leveraging of scarce resources to achieving the 2030 Agenda.

The interlinked nature of the SDGs can result in multiplier effects on other SDG targets not identified in this Joint Programme document. Building national dialogue forums can be extended to include the regional forums, as a stepping stone to accessing global dialogue forums.

### **2.4 Value for Money**

The implementation of the proposed programme in Cook Islands, Niue and Samoa is estimated to cost USD 1,000,000 inclusive of indirect costs, i.e. less than USD 5 per capita, considering their combined total population of about 216,000. The funds will be spread among the three countries to support institutional policy reforms and capacity development of key policy makers and stakeholders on SDG Financing.

The Joint Programme represents excellent Value for Money due to the following reasons:

- Joint Programme resources will be shared, and peer learning promoted among the three countries.
- It creates strong synergies: rather than juxtaposing individual agency interventions, the Joint Programme provides for pooling the UN system's expertise in implementing series of interwoven activities to build nation-wide capacity to develop and implement an approach to SDG financing that has a multiplier effect, is inclusive and leaves no

one behind. The proposed initiative complements the work of other key development partners including IMF, the World Bank and ADB, thus breaking silos.

- The Joint Programme will strengthen the efficiency and effectiveness of national financing systems in managing existing flows, and mobilizing and leveraging new private sector resources to accelerate SDG progress, i.e. it helps to grow the pie.
- The Joint Programme is timely, as most of the three countries' current national plans are set to expire in 2020. Implementing reforms now will thus have a positive impact on the next generation of national plans from the outset.
- The Joint Programme will increase the Cook Islands, Niue and Samoa's capacity to respond to sudden shocks by aligning financing strategies with immediate mitigating measures reflecting government response to economic, financial and health crises. This is particularly relevant to the current context of the global COVID-19 pandemic.

### **Long Term Financial Sustainability**

The Joint Programme will complement existing initiatives executed by other development partners such as the World Bank public expenditure reviews. Such existing initiatives will in turn enable continued monitoring of the impact of UNDP's interventions after the end of the Joint Programme, and provide for ongoing strengthening of financing frameworks and systems.

The Joint Programme also provides for achieving one of the objectives of the AAAA to operationalize a "new global framework for financing sustainable development that aligns all financing flows and policies with economic, social and environmental priorities and ensures that financing is stable and sustainable" at the national/country level. Indeed, by providing the link of medium term revenue strategies, medium term expenditure frameworks and annual budgeting with long-term planning, INFFs are keys to raising public and private resources and spending them effectively for forward-looking sustainable development that produces inter-generational benefits. A virtuous spiral results from this, whereby success draws generation and investment of increased private and public resources into human wellbeing and capabilities, which further underpins the social contract and boosts sustainability.

### **Gender Component**

The Joint Programme has an explicit focus on achieving greater transparency and accountability in financing gender equality and women's and girls' empowerment in line with the AAAA core commitment, through introducing gender responsive budgeting and tracking in Samoa. The DFAs that will be conducted for Cook Islands and Niue will identify ways to strengthen national systems for collecting data on financing and outcomes to enable tracking of public expenditure on gender equality.

### **Leveraging Co-financing**

For the implementation of this Joint Programme, 100% of the total amount is requested from the Joint SDG Fund. The three countries have limited budgets and are highly dependent on external resources and remittances, while also currently re-focusing their small resources available on COVID-19 preparedness and response.

Important to note, the Joint Programme is complementary to existing initiatives led by other development partners. It is expected that this will provide an entry point for expanded partnerships in pursuit of the common goal of achieving the 2030 Agenda, especially between the UN Development System and the International Financial Institutions as well as the Pacific regional organizations, including potential opportunities for leveraging co-financing down the road, in the future.

## **2.5 Partnerships and stakeholder engagement**

The Governments of Cook Islands, Niue and Samoa will provide overall governance and leadership to implement the Joint Programme, with different government entities driving the activities depending on the country. UNDP, with support from the other PUNOs, will lead the technical engagement with the relevant government entities. The contributions of the private sector and civil society will be critical for the success of the Joint Programme. Key representatives from the private sector and civil society, listed in Section 1.3. of the Joint Programme document, will be brought into the dialogue about the development financing agenda through consultative mechanisms and processes.

The Joint Programme will draw on the resources and expertise of the PUNOs, both locally available and through their global and regional networks. It will engage UN Women's expertise in creating gender responsive budgets, ESCAP on costing SDG goals and national priorities, and UNDP on providing technical advice on financing strategies while leveraging its Finance Sector Hub and Global Policy Network. The Joint Programme will seek strategic contributions and technical inputs from other partners. In the area of PFM, for example, the World Bank, ADB, IMF, Australia and New Zealand fund complementary initiatives which the Joint Programme will capitalize on.

### **3. Programme implementation**

#### **3.1 Governance and implementation arrangements**

Government ownership and leadership of the Joint Programme is critical to its sustainability. The Governments of Cook Islands, Niue and Samoa will provide overall leadership in guiding PUNOs in implementation of the Joint Programme at country level. The three governments are already strongly committed to the 2030 Agenda. This is evidenced by the alignment of their national development plans to the SDGs, and Samoa is currently preparing its second VNR of SDG implementation for presentation to the UN High Level Political Forum in 2020.

##### **National High-level Panels**

The Joint Programme will utilize the existing national coordinating committees in the three countries for coordination with the programme governments. For example, in the case of Samoa, an SDG Task Force coordinates and monitors progress of the SDGs at national level. This committee is chaired by the CEO of Ministry for Foreign Affairs. Cook Islands and Niue have similar existing government structures in place, which the Joint Programme will utilize. The UN Resident Coordinator will lead the high-level political engagement for the Joint Programme in the three countries, and co-chair the National High-Level Panel. The Panel is responsible for oversight of, and guidance to the PUNOs. This includes approving annual country work plans and validating progress reports and results.

##### **National Oversight Technical Committees**

An Oversight Technical (OT) Committee will coordinate implementation of the Joint Programme in each country, and provide technical advice to the National High-Level Panel. The OT will be co-chaired by the respective government technical lead entity in each country and UNDP. Representation on the OT Committee includes the PUNOs, core government agencies and ministries, civil society – with particular attention to including CSOs focusing on women’s empowerment and gender equality –, Chambers of Commerce, private sector, and key development partners involved in the area of public financial management – the World Bank, ADB, IMF, Australia and New Zealand will be invited to join. The European Union, while not having a physical presence in either of the three countries, will be kept informed and consulted.

The OT Committee will review Joint Programme annual workplans, participate in M&E for the programme, and review progress reports. The OT Committee leads the consultation process with a wide range of stakeholders including lawmakers on assessing development finance systems and flows, SDG financing strategies and instruments, and budget policies, frameworks and templates, with particular focus on gender equality and women’s empowerment. Detailed Terms of Reference for the Committee are attached in annex.

##### **UN coordination**

The Joint Programme will be implemented by UNDP, UNESCAP and UN Women under the leadership of the UN Resident Coordinator. The PUNOs will coordinate internally through the UN Joint Programme Committee chaired by the Resident Coordinator.

### 3.2 Monitoring, reporting, and evaluation

Reporting on the Joint SDG Fund will be results-oriented, and evidence based. Each PUNO will provide the Convening/Lead Agent with the following narrative reports prepared in accordance with instructions and templates developed by the Joint SDG Fund Secretariat:

- *Annual narrative progress reports*, to be provided no later than one (1) month (31 January) after the end of the calendar year, and must include the result matrix, updated risk log, and anticipated expenditures and results for the next 12-month funding period;
- *Mid-term progress review report* to be submitted halfway through the implementation of Joint Programme<sup>2</sup>; and
- *Final consolidated narrative report*, after the completion of the joint programme, to be provided no later than two (2) months after the operational closure of the activities of the joint programme.

The Convening/Lead Agent will compile the narrative reports of PUNOs and submit a consolidated report to the Joint SDG Fund Secretariat, through the Resident Coordinator. **The Resident Coordinator will review the narrative reports, validate the results reported and provide quality assurance prior to submission of reports to the Joint SDG Fund Secretariat.**

The Resident Coordinator will be required to monitor the implementation of the joint programme, with the involvement of Joint SDG Fund Secretariat to which it must submit data and information when requested. As a minimum, joint programmes will prepare, and submit to the Joint SDG Fund Secretariat, 6-month monitoring updates. Additional insights (such as policy papers, value for money analysis, case studies, infographics, blogs) might need to be provided, per request of the Joint SDG Fund Secretariat. Joint programme will allocate resources for monitoring and evaluation in the budget.

Data for all indicators of the results framework will be shared with the Fund Secretariat on a regular basis, in order to allow the Fund Secretariat to aggregate results at the global level and integrate findings into reporting on progress of the Joint SDG Fund.

PUNOs will be required to include information on complementary funding received from other sources (both UN cost sharing, and external sources of funding) for the activities supported by the Fund, including in kind contributions and/or South-South Cooperation initiatives, in the reporting done throughout the year.

PUNOs at Headquarters level shall provide the Administrative Agent with the following statements and reports prepared in accordance with its accounting and reporting procedures, consolidate the financial reports, as follows:

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<sup>2</sup> This will be the basis for release of funding for the second year of implementation.



- Annual financial reports as of 31st December each year with respect to the funds disbursed to it from the Joint SDG Fund Account, to be provided no later than four months after the end of the applicable reporting period; and
- A final financial report, after the completion of the activities financed by the Joint SDG Fund and including the final year of the activities, to be provided no later than 30 April of the year following the operational closing of the project activities.

In addition, regular updates on financial delivery might need to be provided, per request of the Fund Secretariat.

After competition of the joint programme, a final, *independent and gender-responsive*<sup>3</sup> *evaluation* will be organized by the Resident Coordinator. The cost needs to be budgeted, and in case there are no remaining funds at the end of the joint programme, it will be the responsibility of PUNOs to pay for the final, independent evaluation from their own resources.

The joint programme will be subjected to a joint final independent evaluation. It will be managed jointly by PUNOs as per established process for independent evaluations, including the use of a joint evaluation steering group and dedicated evaluation managers not involved in the implementation of the joint programme. The evaluations will follow the United Nations Evaluation Group's (UNEG) Norms and Standards for Evaluation in the UN System, using the guidance on Joint Evaluation and relevant UNDG guidance on evaluations. The management and implementation of the joint evaluation will have due regard to the evaluation policies of PUNOs to ensure the requirements of those policies are met and the evaluation is conducted with use of appropriate guidance from PUNOs on joint evaluation. The evaluation process will be participative and will involve all relevant programme's stakeholders and partners. Evaluation results will be disseminated amongst government, development partners, civil society, and other stakeholders. A joint management response will be produced upon completion of the evaluation process and made publicly available on the evaluation platforms or similar of PUNOs.

### **3.3 Accountability, financial management, and public disclosure**

The Joint Programme will be using a pass-through fund management modality where UNDP Multi-Partner Trust Fund Office will act as the Administrative Agent (AA) under which the funds will be channelled for the Joint Programme through the AA. Each Participating UN Organization receiving funds through the pass-through has signed a standard Memorandum of Understanding with the AA.

Each PUNO shall assume full programmatic and financial accountability for the funds disbursed to it by the Administrative Agent of the Joint SDG Fund (Multi-Partner Trust Fund Office). Such funds will be administered by each UN Agency, Fund, and Programme in accordance with its own regulations, rules, directives and procedures. Each PUNO shall establish a separate ledger account for the receipt and administration of the funds disbursed to it by the Administrative Agent.

<sup>3</sup> [How to manage a gender responsive evaluation, Evaluation handbook](#), UN Women, 2015



Indirect costs of the Participating Organizations recovered through programme support costs will be 7%. All other costs incurred by each PUNO in carrying out the activities for which it is responsible under the Fund will be recovered as direct costs.

Funding by the Joint SDG Fund will be provided on annual basis, upon successful performance of the joint programme.

Procedures on financial transfers, extensions, financial and operational closure, and related administrative issues are stipulated in the Operational Guidance of the Joint SDG Fund.

PUNOs and partners must comply with Joint SDG Fund brand guidelines, which includes information on donor visibility requirements.

Each PUNO will take appropriate measures to publicize the Joint SDG Fund and give due credit to the other PUNOs. All related publicity material, official notices, reports and publications, provided to the press or Fund beneficiaries, will acknowledge the role of the host Government, donors, PUNOs, the Administrative Agent, and any other relevant entities. In particular, the Administrative Agent will include and ensure due recognition of the role of each Participating Organization and partners in all external communications related to the Joint SDG Fund.

### 3.4 Legal context

Country	UNDP	UN Women	UNESCAP
Cook Islands	Standard Basic Assistance Agreement (SBAA), 28 June 1963	N/A	N/A
Niue	Standard Basic Assistance Agreement (SBAA), 28 June 1963	N/A	N/A
Samoa	Standard Basic Assistance Agreement (SBAA), 05 September 2008	N/A	N/A

## D. ANNEXES

### Annex 1. List of related initiatives

Name of initiative/project	Key expected results	Links to the joint programme	Lead organization	Other partners	Budget and funding source	Contract person (name and email)
INFF Initiative	SDG financing strategy	The strategy itself, the partners involved and the key pillars of the strategy are the outcomes of the JP	UNDESA, UNDP technical EU		SDG Fund	Emily Davis <emily.davis@undp.org>
European Fund for Strategic Investments	The creation of a low-carbon, climate resilient and circular economy	Shifting investment towards funding innovative technologies and businesses to contribute sustainable development	EU Commission	UN Agencies, World Bank, IMF and governments	EU Funds	
The Business Partnerships Platform	The Australian Government's engagement with the private sector, where business can deliver sustainable social impact in developing countries while also achieving commercial returns.	Partnership with Private sector to deliver DFAT development programme	DFAT Australia		DFAT	
PICAP - Pacific Insurance & Climate Adaptation Programme	Improve the financial preparedness of Pacific households, communities, small businesses, organisations and governments towards climate change and natural hazards through a combination of stakeholder engagement, co-creation of solutions, awareness and capacity building, innovative financing options and digital linkages with a robust interface to the SDGs.	Strategy for integrated Climate Disaster Risk Financing (CDRF)	UNCDF	UNDP, UNU-EHS, Government, Private sector		Krishnan Narasimhan <krishnan.narasimhan@uncdf.org>

Social Protection	Public investments for human rights, jobs, and social protection; expand fiscal space to promote national socio-economic development and the SDGs.	Financing for Social Protection services	UNDP	UN Women, ILO		Christina Mualia-Lima christina.mualia-lima@und.org
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## Annex 2. Results Framework

### 2.1. Targets for Joint SDG Fund Results Framework

**Joint SDG Fund Outcome 2:** Additional financing leveraged to accelerate SDG achievement

Indicators	Targets	
	2020	2021
2.1: Ratio of financing for integrated multi-sectoral solutions leveraged in terms of scope <sup>4</sup>	1	1:1
2.2: Ratio of financing for integrated multi-sectoral solutions leveraged in terms of scale <sup>5</sup>	1	1:1

**Joint SDG Fund Output 4:** Integrated financing strategies for accelerating SDG progress implemented

Indicators	Targets	
	2020	2021
4.1: #of integrated financing strategies that were tested (disaggregated by % successful / unsuccessful)	1	2
4.2: #of integrated financing strategies that have been implemented with partners in lead <sup>6</sup>	1	2
4.3: # of functioning partnership frameworks for integrated financing strategies to accelerate progress on SDGs made operational	1	2

### Joint SDG Fund Operational Performance Indicators

- Level of coherence of UN in implementing programme country<sup>7</sup>

<sup>4</sup>Additional resources mobilized for other/ additional sector /s or through new sources/means

<sup>5</sup>Additional resources mobilized for the same multi-sectoral solution.

<sup>6</sup> This will be disaggregated by (1) government/public partners (2) civil society partners and (3) private sector partners

<sup>7</sup> Annual survey will provide qualitative information towards this indicator.

- Reduced transaction costs for the participating UN agencies in interaction with national/regional and local authorities and/or public entities compared to other joint programmes in the country in question
- Annual % of financial delivery
- Joint programme operationally closed within original end date
- Joint programme financially closed 18 months after their operational closure
- Joint programme facilitated engagement with diverse stakeholders (e.g. parliamentarians, civil society, IFIs, bilateral/multilateral actor, private sector)
- Joint programme included addressing inequalities (QCPR) and the principle of "Leaving No One Behind"
- Joint programme featured gender results at the outcome level
- Joint programme undertook or draw upon relevant human rights analysis, and have developed or implemented a strategy to address human rights issues
- Joint programme planned for and can demonstrate positive results/effects for youth
- Joint programme considered the needs of persons with disabilities
- Joint programme made use of risk analysis in programme planning
- Joint programme conducted do-no-harm / due diligence and were designed to take into consideration opportunities in the areas of the environment and climate change

## 2.2. Joint Programme Results Framework

Result / Indicators	Baseline	2020 Target	2021 Target	Means Verification of	Responsible partner
<b>JP Outcome 1</b> Additional Financing leveraged to accelerate SDG Achievement  Relevant UNPS Outcomes #2 #3 #5 Relevant SDG Targets (#1.4 #5.1a #8.3 #8.10 #9.3 #10b #17.1 #17.2 #17.3 #17.14 #17.16)					
Outcome 1 Indicator Amount of resources leveraged	0	\$1m	\$5m	Budget Report	MOF
Outcome 1 indicator: % change or Amount of SDGs	0	15%	30%	Budget Report	MOF

reflected in Budget allocation					
<b>Output 1.1 Integrated financing strategies for accelerating SDG progress implemented</b>					
Output 1.1 Indicator 1.1.1 Number of Development Finance Assessments (DFA) developed	1	2 out of 3 countries: Cook Islands - No, Niue – Yes, Samoa - Yes	3 out of 3 countries: Cook Islands - Yes	DFA Reports for Cook Islands, Niue	Ministries of Finance, Economic Planning and Policy.
Output 1.1 Indicator 1.1.2: Number of Stakeholders disaggregated by sex in gender responsive INFF Oversight Committee	1	1	2	TORs for committees established/Number of meetings held	Ministries of Finance, Economic Planning and Policy/Other line ministries
Output 1.1 Indicator 1.1.3. Number of Active National Meetings convened with Multiple stakeholders on SDG Financing	0	2	3	National Dialogue Forums reports/Sector Coordination meetings	Ministries of Finance, Economic Planning and Policy.
<b>Output 1.2 SDS, Sector Plans Costed and Gender-responsive Financing Frameworks developed in Samoa.</b>					
Output 1.2 Indicator 1.2.1 Number of relevant elements of National and Sectoral Plan costed	0	1 –SDS costed 2- sectors costed	complete	NDP and Sector Plan of costed reports	Ministry of Finance/Relevant Ministries/Sector coordinators
Output 1.2 Indicator 1.2.2. SDS Gender responsive Financing Strategy Developed for at least 2 sectors	0	2 sector strategies gender responsive	complete	TA Evaluation Final Report & Findings	Ministries of Finance, Economic Planning and Policy/Other relevant ministries/Private Sector Orgs/SOEs
Output 1.2 Indicator 1.2.3: Number of gender responsive Budget policies,	No	1- Yes reviewed	Yes - approved	TA Consultations reports/New PFM gender responsive policies developed	Ministries of Finance, Economic Planning and Policy/Other

frameworks and templates developed					relevant ministries/Private Sector Orgs/SOEs
<b>Output 1.3. Evidence-based financing mechanisms available to mobilize - Public and Private- resources to respond to Samoa's National Development Plan</b>					
Output 1.3 Indicator 1.3.1 National Strategy for public and private sector co-financing developed	0	0	1	National Strategy for investment approved by SDG Task Force/ Minutes of SDG Task Force	Ministries of Finance, Economic Planning and Policy/Other relevant ministries/Private Sector Orgs/SOEs
Output 1.3 Indicator 1.3.2 Number of Tools - systems and processes for managing the special funding mechanism for SDS and SDGs related spending developed	0	1	2	At least 2 tools developed./ TA Findings and Recommendation Report	Ministries of Finance, Economic Planning and Policy/Other relevant ministries/Private Sector Orgs/SOEs
Output 1.3 Indicator 1.3.3: % Number of Trainees (disaggregated by sex public and private sector) confirmed increased knowledge on Budgetary definitions and processes	0	0	Complete Trainings – 7	TA Workshop reports/Participants Lists	Ministries of Finance, Economic Planning and Policy/Other relevant ministries/Private Sector Orgs/SOEs
Output 1.3 Indicator 1.3.4: Number of Trainees (disaggregated by sex public and private sector) confirmed increased knowledge on Innovative	0	0	Complete Trainings – 7	Workshop reports/Participants Lists	Ministries of Finance, Economic Planning and Policy/Other relevant ministries/Private Sector Orgs/SOEs

SDG Financing mechanisms/Processes					
Output 1.3 Indicator 1.3.5. Developed at least 1 innovative financial instrument	0	1 x Instrument developed	1 instrument tested & functional	Dialogue Forums reports/Sector Coordination meetings/Consultant Report & Findings	Ministries of Finance, Economic Planning and Policy/Other relevant ministries/Private Sector Orgs/SOEs

### Annex 3. Gender marker matrix

Indicator		Score	Findings and Explanation	Evidence or Means of Verification
N°	Formulation			
1.1	Context analysis integrate gender analysis	1	The context analysis makes one reference to gender-responsiveness of national budgets, but there is no dedicated gender analysis.	See section on baselines and situation analysis
1.2	Gender Equality mainstreamed in proposed outputs	2	Gender equality has been mainstreamed in the proposed outputs.	See JP Results Framework
1.3	Programme output indicators measure changes on gender equality	2	Programme output indicators 1.1.2, 1.2.2, 1.2.3, 1.3.3 and 1.3.4 measure changes on gender equality.	See JP Results Framework
2.1	PUNOs collaborate and engage with Government on gender equality and the empowerment of women	2	PUNOs will engage with the governments on developing gender sensitive DFAs and gender responsive INFFs.	See section 2.3 on expected results by outcome and outputs
2.2	PUNOs collaborate and engage with women's/gender equality CSOs	2	PUNOs will engage with women's/gender equality CSOs through the National Oversight Technical Committees in the three countries.	See section 3.1 on governance and implementation arrangements
3.1	Programme proposes a gender-responsive budget	2	The programme proposes a gender-responsive budget. More than half of the total JP budget is dedicated to Output 1.2, which by itself has a gender marker score of 3.	See section 4.3 on work plan.
<b>Total scoring</b>		<b>2</b>		



## Annex 4. Budget and Work Plan

### 4.1 Budget per UNSDG categories

UNDG BUDGET CATEGORIES	PUNO 1 -UNDP		PUNO 2- ESCAP		PUNO 3 - UN WOMEN		TOTAL		GRAND
	Joint SDG Fund (USD)	PUNO Contribution (USD)	Joint SDG Fund (USD)	PUNO Contribution (USD)	Joint SDG Fund (USD)	PUNO Contribution (USD)	Joint SDG Fund (USD)	PUNO Contribution (USD)	SDG + PUNO
1. Staff and other personnel	50,000	27,250	0	30,000	0	0	50,000	57,250	
2. Supplies, Commodities, Materials	20,000		8,000		22,000		50,000		
3. Trainings, Workshops and Conference	31,500		10,000		10,000		51,500		
4. Contractual services	229,000		127,500		100,000		456,500		
5.Travel	35,000		20,000		20,000		75,000		
6. Transfers and Grants to Counterparts - MOF	150,000		0		0		150,000		
7. General Operating and other Direct Costs (incl. 7% M&E and Communications)	54,275		17,470		10,640		82,385		
<b>Total Direct Costs</b>	<b>569,775</b>		<b>182,970</b>		<b>162,640</b>		<b>915,385</b>		
8. Indirect Support Costs (Max. 7%)	39,884		12,808		11,385		64,077		
<b>TOTAL Costs</b>	<b>609,659</b>	<b>27,250</b>	<b>195,778</b>	<b>30,000</b>	<b>174,025</b>	<b>-</b>	<b>979,462</b>	<b>57,250</b>	<b>1,036,712</b>
<b>1st year</b>	<b>119,642</b>		<b>195,778</b>		<b>174,025</b>		<b>489,445</b>	<b>47,250</b>	
<b>2nd Year</b>	<b>490,017</b>		<b>0</b>		<b>0</b>		<b>490,017</b>	<b>10,000</b>	

### 4.2 Budget per SDG targets

In line with the Theory of Change and the Work Plan that PUNOs developed together, the largest effort in this Joint Programme is the establishment of core institutional elements, systemic changes in policies and processes towards strengthening and building capacity to managing and mobilizing additional resources for accelerating SDG achievement in Cook Islands, Niue and Samoa. The core theory of change is about changing and affecting how decisions on public private financing are made through a multi-sectoral approach, integrated coherent manner putting financing dialogue and Financing of the SDGs at the budget and financing frameworks in the three countries.



SDG TARGETS		%	USD
Goal 1	Target 1.4 By 2030, ensure that all men and women, in particular the poor and the vulnerable, have equal rights to financial services, including microfinance	10	97,946
Goal 5	5.c Adopt and strengthen sound policies and enforceable legislation for the promotion of gender equality and the empowerment of all women and girls at all levels	15	146,919
Goal 8	8.3 Promote development-oriented policies that support productive activities, decent job creation, entrepreneurship, creativity and innovation, and encourage the formalization and growth of micro-,small- and medium-sized enterprises, including through access to financial services	5	48,973
Goal 10	(10.b) Encourage official development assistance and financial flows, including foreign direct investment, to States where the need is greatest, in particular least developed countries, African countries, small island developing States and landlocked developing countries, in accordance with their national plans and programmes.	10	97,946
Goal 17	(17.1) Strengthen domestic resource mobilization, including through international support to developing countries, to improve domestic capacity for tax and other revenue collection.	15	146,919
	17.3) Mobilize additional financial resources for developing countries from multiple sources	10	97,946
	(17.14) Enhance policy coherence for sustainable development.	15	146,919
	17.16 Enhance the Global Partnership for Sustainable Development, complemented by multi-stakeholder partnerships that mobilize and share knowledge, expertise, technology and financial resources, to support the achievement of the Sustainable Development Goals in all countries, in particular developing countries	20	195,892
TOTAL		100	\$ 979,462

### 4.3 Work plan

Output	List of activities	PLANNED BUDGET					PUNO/s involved	Responsible partner/s involved
		Overall budget description	Joint SDG Fund (USD)	PUNO Contributions (USD)	Total Cost (USD)			
JP Outcome	Additional financing leveraged to accelerate SDG achievement							
Year			Year 1	Year 2				
Output 1.1: Integrated Financing Strategies for Accelerating SDG Progress Implemented	Scoping Mission to Cook Islands & Niue to Establish/Coordinate technical committees AND Develop DFAs; Update Samoa's DFA	Staff and other personnel	25,000	25,000	15,250	65,250	UNDP	Ministry for Finance and Economic Planning , Relevant government agencies, Private sector, Other Relevant Development Partners
		Supplies, commodities materials	4,000	11,000	0	15,000		
		Training, workshop, conference	6,000	13,500	0	19,500		
		Contractual Services	16,000	92,000	0	108,000		
		Travel	5,000	15,000	0	20,000		
		Transfers and Grants to Counterparts	0	0	0	0		
		General operating & other direct costs	1,500	5,500	0	7,000		
		7% M&E and Communications	4,025	11,340	0	15,365		

<b>Output 1.2 : SDS, Sector Plan Costed and Gender Responsive Financing Frameworks</b>	Costing Samoa's National Strategic Plan and 2 sectors	Staff and other personnel	0	0	20,000	20,000	ESCAP	MOF, Line ministries MFAT, MCIL, MCR, SBS, World Bank and Other relevant partners
		Supplies, commodities materials	5,000	0	0	5,000		
		Training, workshop, conference	7,000	0	0	7,000		
		Contractual Services	103,500	0	0	103,500		
		Travel	20,000	0	0	20,000		
		Transfers and Grants to Counterparts	0	0	0	0		
		General operating & other direct costs	5,500	0	0	5,500		
		7% M&E and Communications	9,870	0	0	9,870		
	Conduct a gender gap analysis	Staff and other personnel	0	0	0	0	UN WOMEN	MOF, MWCSD, Relevant Line Ministries and Development partners, Sector Coordinators
		Supplies, commodities materials	22,000	0	0	22,000		
		Training, workshop, conference	10,000	0	0	10,000		
		Contractual Services	100,000	0	0	100,000		
		Travel	20,000	0	0	20,000		
		Transfers and Grants to Counterparts	0	0	0	0		
		General operating & other direct costs	0	0	0	0		
		7% M&E and Communications	10,640	0	0	10,640		
	Review of Budgetary Process to improve alignment between policies and annual	Staff and other personnel	0	0	12,000	12,000	UNDP	MOF, Line Ministries MFAT, MCIL, MCR, SBS
		Supplies, commodities materials	0	3000	0	3,000		

	budgets ; Develop new budget templates	Training, workshop, conference	0	5000	0	5,000		
		Contractual Services	44,000		0	44,000		
		Travel	0	5,000	0	5,000		
		Transfers and Grants to Counterparts (MOF)	0	150,000	0	150,000		
		General operating & other direct costs	3,000	0	0	3,000		
		7% M&E and Communications	3,290	11,410	0	14,700		
<b>Output 1.3 Evidence-based financing mechanisms available to mobilize - Public and Private- resources to respond to Samoa's National Development Plan</b>	Develop a National Strategy for Public Private co-financing including incentives in terms of taxation etc.	Staff and other personnel	0	0	0	0	UNDP	MOF, MCIL, MFAT, MCR, SBS, Private sector organisations, SUNGO, Other development partners
	Develop a special funding instrument including Systems and Processes for management to finance SDS and SDGs related spending.	Supplies, commodities materials	0	2,000	0.00	2,000		
	Develop a Training Framework include funding for capacity building within public and private sector on a common understanding of budgetary definitions and processes	Training, workshop, conference	0	7,000	0	7,000		
	Develop a Training Framework for capacity building within public and private sector on definition/characteristics of SDG financing strategies and proposed new financing instruments	Contractual Services	0	77,000	0	77,000		
		travel	0	10,000	0	10,000		
		Transfers and Grants to Counterparts	0	0	0	0		

		General operating & other direct costs	0	7,000	0	7,000		
		7% M&E and Communications	-	7,210	0	7,210		
	New and/or deepened financing instruments to respond to key SDG oriented goals (SDG, green, orange, blue bonds) are developed	Staff and other personnel	0	0	10,000	10,000	ESCAP	MOF, MCIL, MFAT, MCR, SBS, Private sector organisations, SUNGO, Other development partners
		Supplies, commodities materials	3000		0	3,000		
		Training, workshop, conference	3000		0	3,000		
		Contractual Services	24000		0	24,000		
		travel	0	0	0	0		
		Transfers and Grants to Counterparts	0	0	0	0		
		General operating & other direct costs	0	0	0	0		
		7% M&E and Communications	2,100	-	0	2,100		
		Indirect costs 7%	32,020	32,057	0	64,077		
		<b>Year 1</b>	489,445		47,250			
		<b>Year 2</b>		490,017	10,000	1,036,712		
		<b>GRAND TOTAL</b>	489,445	490,017	57,250	<b>1,036,712</b>		

## **Annex 5. Risk Management Plan**

The following potential risks faced by this Joint Programme have been identified as the following:

- Global or domestic climate, economic and / or fiscal shocks that will divert government and PUNO attention and priority away from the Joint Programme (context risk).
- Opposition or manipulation of the programme by vested interest groups. For example, religious or faith based organizations may perceive a threat to their power and financial base, local village councils may perceive they have a right to a share of transfers to households, dilution of benefits to non-recipient family members or non-recipient families, vendors and other supply side dealers raising prices, implementing agencies may perceive an increase in costs and/or work load (Programmatic risk)
- Political opposition, coordination gaps and overlaps in mandates and programs. Risks could arise from fiscal austerity drives proposed by IFIs (programmatic risk).
- Unintended effects on costs and prices, project cost over-runs, misutilization of funds or resource capture at national or sub-national levels (fiduciary risk)

The contextual risk of a global or domestic climate, economic or fiscal shock is calculated to be a high risk as a result of COVID 19. It should be noted that whilst the potential impacts of COVID-19 are not yet fully understood in Cook Islands, Niue and Samoa, the Joint Programme will maintain flexibility to ensure that the priorities for financing the SDGs are articulated with a fuller understanding of the implications of COVID-19 as this develops. In addition risk management will be integrated into the finance strategy to ensure that the future risks of pandemics and other exogenous shocks are better mitigated. The impact of the risk is PUNOs and governments' attention is more likely to be diverted away from the implementation of the Joint Programme. Mitigation measures will be activated and this will include discussions and negotiations with government and implementing partners on flexibility of implementation, and an assessment and potential revisions to the programme to respond to rapid changes in the implementing environment.

The programmatic risks are deemed to be low level risks and mitigating measures have been integrated into the implementation of the programme in two main ways. The first is that to reduce the risk of opposition or manipulation of the programme by vested interest groups, and as a way to ensure political commitment to the programme, numerous stakeholders will be involved in the consultations during programme implementation which will encourage diverse views and opinions to be integrated into the design of the inclusive social protection policy framework. Second, the diverse sets of stakeholders will be informed about the programme and its development as the government will be supported to develop a local, regional and international partnership strategy and an effective communication and advocacy campaign which will clearly articulate objectives, roles and responsibilities.

In addition, to further mitigate against the risk of limited political opposition and to improve coordination, the JP will directly address institutional coordination and capacity through one of its core interventions in output 1.1, and the JP will be reviewed at particular points in time in light of what it can feasibly achieve (for example, taking stock through a review after the participatory consultations).

The potential fiduciary risk relates to unintended effects on costs and prices, project cost over-runs, misutilization of funds or resource capture at national or sub-national levels (fiduciary risk). This is deemed to be a low risk. This will be mitigated by the development and implementation of careful financial planning, milestones and reporting in order to ensure financial accountability and accurate expenditure throughout the programme.

To reduce the programmatic and fiduciary risks, there will be a dedicated JP manager to manage and coordinate the project. The Joint Programme manager will be accountable to the National High-Level Committee through the National Oversight Technical Committees.

The programme will be implemented in line with UN principles related to human rights, labour standards, environmental sustainability and anti-corruption. UN principles related to responsible investment will be adhered to by incorporating environmental, social and governance issues in decision making. Additionally, PUNOs will ensure that the Joint Programme integrates Social and Environmental Standards throughout its implementation.

The programme will assess and document the levels of risk throughout the programme implementation, with a dedicated review at the end of Year 1, in order to evaluate and revise the risks and mitigation strategy as appropriate.

Risks	Risk Level:  (Likelihood x Impact)	Likelihood:	Impact:	Mitigating measures	Responsible Org./Person
		Certain - 5	Essential - 5		
		Likely - 4	Major - 4		
		Possible - 3	Moderate - 3		
		Unlikely - 2	Minor - 2		
		Rare - 1	Insignificant - 1		
Contextual risks					

Global or domestic health pandemics, climate, economic and/or fiscal shocks that will divert government and PUNO attention and priority away from the Joint Programme.	High	4	4	<p>Risk Management will be integrated into Finance Strategy to mitigate any negative impacts.</p> <p>Discussions and negotiations with government and partners on flexibility for online/virtual implementation.</p> <p>Assessment and revisions of the Joint Programme in response to any relevant changes in the implementing environment.</p>	PUNOS
<b>Programmatic risks</b>					
Political opposition, coordination gaps and overlaps in mandates and programmes. Risks could arise from fiscal austerity drives proposed by IFIs.	Low	2	2	<p>Working in partnership with government and invest in coordination mechanisms, such as the establishment of a national steering committee, a local, regional and international partnership strategy and a communication strategy, to better understand the short- and long-term benefits to the country.</p> <p>Continuous review of Joint Programme in light of what can be achieved with ongoing revision of realistic objectives</p>	RC/RCO, UNDP



				under its timeframe and resources.	
Opposition or manipulation by vested interest groups, data gaps and/or delays in service delivery due to a combination of remoteness, capacity limitations and infrastructure gaps.	Medium	3	3	Multi-stakeholder approach for collective and diverse engagement to promote ownership and buy-in. Training & Knowledge sharing is encouraged with stakeholders	PUNOs
<b>Institutional risks</b>					
Flawed and/or limited management, coordination and technical capacity.	Low	2	4	Procure a Programme Manager for this project to manage and coordinate the JP.	UNDP
<b>Fiduciary risks</b>					
Unintended effects on costs and prices, project cost over-runs, misutilization of funds or resource capture at national or sub-national levels.	Low	3	3	Development of realistic financial planning milestones and reporting strategies to ensure financial accountability and accurate expenditure throughout the JP.  Procurement of a Programme Manager to oversee the smooth operationalization of the Joint Programme.	PUNOs

## **Annex 6. Generic TOR for INFF Oversight Technical (OT) Team**

## Objectives and Main Activities of the Oversight Technical Team

The Oversight Team will play the overall governance and leadership role in the INFF process. The main objectives of the Oversight Team are proposed as follows:

- **Support the INFF fieldwork.** Facilitating the work of the research team by (i) leads the consultation process with a wide range of stakeholders including lawmakers on assessing development finance ensuring access to key decision makers and government documents and (ii) removing any obstacles that may delay the INFF process,
- **Oversee quality and accuracy of the assessment.** The OT will supervise and guide the Consultant/research team by (i) review Joint Programme annual workplans, participate in M&E for the programme, and review progress reports (ii) Reviewing and endorsing the INFF intermediary and final outputs produced by the consultant/team (iii) ensuring that the assessment is accurate and provides the necessary depth to be useful for government decision-making
- **Ensure government buy-in.** The OT will lead the discussion with government, development partners and other relevant stakeholders about the INFF purpose and findings, as well as on implementation of the recommendations and next steps.

The Oversight Team will formally meet at agreed milestones of the INFF process, and its members may informally engage to support specific tasks of the INFF team. The primary duties of the OT are proposed as follows:

- Support the INFF customization and determination of specific areas to be addressed, to ensure it addresses the Government of xxx's strategic interests and objectives
- Approve objectives, scope, expected outputs and methodology of the INFF
- Approve and supervise the INFF work plan and key milestones
- Provide strategic directions and feedback, especially if the INFF team faces significant challenges
- Review the documents presented by the INFF team and provide comments within the agreed timeframe
- Endorse the outcomes of the INFF and the resulting Implementation Roadmap
- Facilitate in-depth discussion within the Government of xxx on the outcomes of the INFF and the recommendations expressed in the Roadmap
- Support follow-up to the assessment and the implementation of the Roadmap
- Support the dissemination of the INFF to wider audiences (parliament, development partners, Business and Civil Society Organisations, etc).