



Distribution: General  
4 April 2019

*United Nations Decade of Sustainable Energy For All (2014-2024)*  
*"Island Energy For Island Life"*

Fourth Assembly of the SIDS DOCK  
UN Headquarters, ECOSOC Chamber  
New York, New York  
29 September 2018

## REPORT OF THE FOURTH SESSION OF THE ASSEMBLY OF THE SMALL ISLAND DEVELOPING STATES DOCK [SIDS DOCK]

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## Report of the fourth session of the Assembly of the SIDS DOCK

The fourth session of the Assembly of SIDS DOCK was convened pursuant to Article VI (1). The meeting was held in the Economic and Social Council (ECOSOC) Chamber at the United Nations Headquarters in New York, on 29 September 2018.

### Agenda item 1: Opening of the session

1. His Excellency Mr. Ronald Jumeau, Permanent Representative of the Republic of Seychelles to the United Nations, serving as acting President of the third Assembly of SIDS DOCK, called to order the fourth session of the Assembly of SIDS DOCK.
2. The Acting President delivered a statement on behalf of the President of the third Assembly of the SIDS DOCK, Honourable Danny Faure, President of the Republic of Seychelles, who was unable to attend this year's Assembly. The Acting President apologized on behalf of the President, and noted that all plans for the President's participation were in place, when Seychelles found out that the President was carded to speak on the first morning of the UNGA (Tuesday, 24 September). The Acting President pointed to a situation most SIDS face, i.e., SIDS Leaders must justify why they spend so long in New York City, after delivering remarks. Nevertheless, the Acting President said he was pleased and honored to address the Assembly on behalf of the President.
3. Through his statement, President Faure noted that the world is slowly coming to realize that renewable energy (RE) and talk about a sustainable energy future means more than just electricity, solar panels, wind turbines, thermal energy and ocean energy, and pointed the Assembly's attention to the agenda, which clearly showed this, in particular, Item 7 of the Work Programme. The list of activities in the Work Programme as noted on the agenda, addresses the Sustainable Development Goals (SDGs) in a wholistic way, e.g., through Ocean programmes, Electric Vehicles, and an Energy-Focused Captive Insurance Facility.
4. The Acting President pointed to Agenda Item 7 (Work Programme), where in addition to seeing what is expected, as you go down the list we see that the SDGs are addressed in a holistic way...from oceans, to electric vehicles and the energy focused captive insurance, mainstreaming gender and of course, children, where SIDS children have a special place and role to play in promoting climate resilience. He said one reason why Seychelles' reputation in biodiversity and climate action are world renowned, is because children are targeted, and they embrace the issues - they are the ones who best influence the families and teaches. Concluding the President's remarks, the Acting President said that as the Seychelles hands over to Grenada, he reminded that renewable energy is more than energy, it is more a sustainable way of life and transcends energy as how we know it.

5. The Acting President introduced the United Nations Under-Secretary-General and High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States (UN-OHRLLS), Her Excellency Ms. Fekitamoeloa Katoa 'Utoikamanu, and invited her to deliver brief opening remarks to the Assembly. In his introduction, the Acting President lauded the Under-Secretary-General as a true champion of SIDS, and the first female to head the UN-OHRLLS, not just any female, but a proud Island Woman.
6. The Under-Secretary-General congratulated SIDS for establishing SIDS DOCK, over three years ago, in helping countries transform their energy sectors and acting as a catalyst for sustainable development and addressing climate change; SIDS DOCK, she said, was a shining example of SIDS leadership in addressing global efforts concerning sustainable development and building climate resilience, to important exploratory work on energy. She said it was clear that the work of SIDS DOCK is inextricably linked to her office, especially as it relates to ensuring full implementation of the SAMOA Pathway and the 2030 Agenda and the Sustainable Development Goals (SDGs) that recognizes the critical role of sustainable energy and access to modern energies, energy efficiency and new of technologies play in enabling SIDS to achieve sustainable development.
7. She added that as the upcoming SAMOA Pathway Mid-Term Review will provide SIDS with the opportunity to identify priorities; three successful regional preparatory meeting have been held in the Pacific, Caribbean and AIS, where sustainable energy received considerable focus. It is the hope that the Mid-Term Review will provide new momentum for strengthening partnerships in the sustainable energy sector in SIDS, and this can be an ideal opportunity for SIDS DOCK to assist our countries with the formulating and implementing of national renewable energy strategies and projects, building enabling environments, scaling up existing successful initiatives, establishing new partnerships, adopting new technologies and gaining better access to financings, which are all critically important to SIDS advancement.
8. She added that she sees the work of SIDS DOCK as inextricably linked to that of her Office, particularly as it relates to ensuring the full implementation of the SAMOA Pathway, 2030 Agenda and the SDGs, and therefore she looks forward to strengthening the working relationship with SIDS DOCK and forging stronger partnerships on sustainable energy. She also indicated that she has an open-door policy and encouraged Members to call on her and her Office at any time.
9. The Acting President thanked the Under-Secretary-General for remarks and kind words for the organization, its members and the President, and said the SIDS are elated to have one of our own serving in such a position, and noted her tremendous efforts to have the OHRLLS become more engaged in SIDS, look forward our strengthening our ties and with her office.
10. Before moving to the second agenda item, the Acting President noted the reference to AIS (pronounced "ACE") by the Under-Secretary-General in her remarks, and clarified that the three sub-regions of SIDS mentioned – the Pacific, Caribbean and AIS, is what AIMS used

to be. AIMS was represented by the Mediterranean and South China Sea, however, with Cyprus and Malta joining the EU, the AIMS countries decided at the Samoa Pathway Mid-Term Review Meeting to change to AIS.

## **Agenda Item 2: Organization of work**

### *(a) Election of Officers of the Assembly – President and Vice-Presidents*

11. In accordance with Article VI (4) of the Statute of the SIDS DOCK, the Assembly elected Dr. the Right Honourable Keith C. Mitchell, Prime Minister of Grenada, to the post of President of the fourth session of the Assembly, for a one-year term. Regrettably, the Prime Minister was unable to attend, therefore, Her Excellency Ms. Keisha McGuire, Ambassador and Permanent Representative of Grenada to the United Nations, was invited to make a statement on his behalf.
12. In her remarks Ambassador McGuire expressed her Prime Minister's regrets for not being able to attend. She expressed Prime Minister Mitchell's profound gratitude of confidence bestowed on him to lead the Organization as President of its fourth Assembly. Through his statement, Prime Minister Mitchell highly commended his predecessor, colleague and dear friend, for the tremendous work during his tenure, and also thanked the Government of Belize, for its important role as the Depository and as host of the SIDS DOCK Organization.
13. The new President said that President Faure and his team contributed significantly to the work of the Organization, not only through the superb execution of the tasks of the presidency but also demonstrating leadership in the areas of renewable energy and the Blue Economy. Indeed, the Seychelles has championed the SIDS DOCK Blue Guardians Programme, which is like the toolbox for sustainable development of the Blue Economy.
14. He also indicated that there is a richness of good practices and expertise among us SIDS which we must utilize to its fullest extent, and further indicated that he and his Government have collaborated on several events and projects with SIDS DOCK and that he looks forward to this presidency in order to advance further the work of the organization. He also indicated interest in furthering the IWON work as he believes women involvement in the renewable energy sector is critically important to gaining long term sustainability and success.
15. The Assembly further elected by acclamation His Excellency Mr. Ronald Jumeau, Ambassador and Permanent Representative of the Republic of Seychelles to the United Nations, and His Excellency Mr. Mahe 'Uli'uli Sandhurst Tupouniua, Permanent Representative of the Kingdom of Tonga to the United Nations, as the Vice-Presidents of the fourth Assembly of SIDS DOCK, term to expire September 2019.

16. In the absence of the President of the fourth Assembly, and without prejudice to the future sessions, Her Excellency Ms. Keisha McGuire, Ambassador and Permanent Representative of Grenada to the United Nations, was invited to preside over the session.

*(b) Adoption of the Agenda*

17. The Acting President introduced the Provisional Agenda contained in document A/4/1/Rev.1.
18. The Secretary-General requested to add an item to the Agenda on behalf of the SIDS DOCK IWON Small Island Kids, in order for the fourth Assembly to consider a Draft Resolution for a Small Island Kids SIDS Day.
19. **The Assembly adopted the orally revised Agenda of the Assembly as document A/4/1/Rev.2.**

*(c) Appointment of a Credentials Committee*

20. The Acting President informed the Assembly that the Secretariat has informed that Belize, Jamaica, Saint Vincent and the Grenadines, Seychelles and Tuvalu, are desirous of serving on the Credentials Committee.
21. The Assembly was then invited to approve the appointment of Mr. Andrew Smith of Belize, Ms. Nicola Barker-Murphy of Jamaica, Ms. Marsena Ballantyne of Saint Vincent and the Grenadines, Ms. Deborah Cholmondeley of Seychelles, and Mr. Fakasoa Tealei of Tuvalu, to the Credentials Committee.
22. **The Assembly approved by acclamation the appointment of the five aforementioned Members to the Credentials Committee.**

*(d) Participation of observers*

23. In accordance with Article VI (8) of the Statute, in which the Assembly can provide observer status to intergovernmental and non-governmental organizations active in the field of adaptation to climate change and renewable energy, and Signatories that have not ratified the Statute, with the understanding that Observers may participate, without the right to vote, in the public sessions of the Assembly and its subsidiary organs. Consideration is also being granted to Members of the Alliance of Small Island Developing States (AOSIS) who are not signatories or members of SIDS DOCK.
24. In accordance with Rule 13 of the Provisional Rules of Procedure of the Assembly, the Assembly approved the requests of countries and organizations as contained in document A/4/2 to participate as Observers in the third session of the SIDS DOCK Assembly.

25. **The Assembly agreed to amend document A/4/2 to duly reflect the meeting's participation and approved the participation of the countries and organizations contained in document A/4/2/Rev.1 to participate as Observers in the fourth session of the SIDS DOCK Assembly.**

*(e) Adoption of the report of the third session of the Assembly*

26. The Acting President introduced the report of the third session of the Assembly and invited the Assembly to consider and approve the report as contained in document A/3/SR/1.
27. **The Assembly adopted the Report of the third session of the Assembly of SIDS DOCK, as contained in document A/3/SR/1.**

**Agenda Item 3 – Report of the Chair of the Executive Council**

28. The Acting President in her presentation of the Report of the Chair of the Executive Council (A/4/3) indicated that from the Report before the Assembly and the Assembly's packed Agenda duly reflects the tremendous work that the Council has executed over the past year.
29. Noting that this will be the last Assembly under which the Chair, His Excellency Vince Henderson, Ambassador of the Commonwealth of Dominica to the United States of America, would be serving in this capacity, she took the opportunity to thank him for his tremendous contribution to the Council, as well as to the Organization as a whole.
30. She also took the opportunity to welcome the newly elected Chair of the Executive Council, His Excellency Mr. Ronald Jumeau, Ambassador and Permanent Representative of the Republic of Seychelles to the United Nations and committed her Government's full support to his chairmanship.
31. **The Assembly noted with appreciation the report of the Chair of the Executive council, as contained in document A/4/3**

**Agenda Item 4 - Report of the Secretariat on the implementation of the Work Programme and Budget for the period January 2017 to December 2017**

32. Secretary-General Binger introduced his Annual Report on the Implementation of the Work Programme and Budget for the period January to December 2017. He thanked the Executive Council, and in particular, its outgoing Chair for the support to the work of the Secretariat. Since the signing of the Host Country Agreement with the Government of Belize, during the third Assembly of SIDS DOCK, much progress has been made in terms of establishing a physical presence and identifying staff.

33. The Secretary-General noted that two of the highlights during the reporting year, included the inauguration ceremony of the Pacific Centre for Renewable Energy and Energy Efficiency (PCREEE), on 26 April 2017, in conjunction with the regional meeting of the Pacific Ministers for Energy and Transport, in Nuku'alofa, Kingdom of Tonga. The PCREEE is the second UNIDO-supported SIDS Regional Centres, funded by the Austrian Development Agency (ADA), the first being the Caribbean Centre for Renewable Energy and Energy Efficiency (CCREEE), inaugurated in 2015, in Barbados.
34. The other important event took place in June 2017, where SIDS DOCK participated at the UN Ocean Conference, held in New York, at the UN Headquarters, where the Secretary-General was a special guest speaker. The event announced SIDS-specific Voluntary Commitments which are a direct contribution to the outcome of the Ocean Conference, on behalf of SIDS and their partners.
35. The Secretary-General noted that the devastating aftermath of Hurricanes Irma and Maria in September 2017 showed how vulnerable our economies are and our economies will not be able to withstand the now, and future climate. SIDS need to urgently and collectively set about the task of building an economy that has at its focus, the development and deployment of technologies that convert the vast renewable resources of the oceans and seas, and the high value of its biodiversity as the foundation for the future economy to take the place of tourism and agriculture.
36. He added that there is even more urgency to the work of the Secretariat in fast-tracking the development of the Captive Insurance, the Risk Financing Facility, the Blue Guardians Programme, and the development of SIDS Ocean resources. The Secretary-General said a major challenge is the management of waste, and this is being addressed in partnership with the SIDS Regional Centres and UNIDO.
37. The Acting President expressed gratitude to the Secretary-General, his small team for their hard work and dedication to advancing the work of the Organization.
38. **The Assembly noted with appreciation the report of the Secretary-General on the implementation of the Work Programme and Budget for the period January 2017 to December 2017, as contained in document A/4/4.**

## **Agenda Item 5 - Election of the members of the Executive Council**

### ***(a) Election of three members for the term 2019-2021***

39. The Acting President informed the Assembly that the Secretariat received two nominations for the three vacancies, which are to occur on 31 December 2018, as the terms of Office of Dr. Kenrick Leslie (Belize), Mr. Sione Foliaki (Samoa), and Dr. Tevita Tukunga (Tonga) expires.

40. The nominated candidates are as follows: Mr. Sione Foliaki (Samoa), and Dr. Tevita Tukunga (Tonga) for re-election to the Executive Council.
41. Noting that the individuals nominated met all the criteria as suitable candidates for re-election to the Executive Council, the Assembly elected by acclamation Mr. Sione Foliaki (Samoa), and Dr. Tevita Tukunga (Tonga) to the Executive Council for the term 2019-2021, beginning 1 January 2019 and expiring 31 December 2021.
42. The Assembly took note that there remains one vacancy to the Executive Council for the period 2019 to 2021.
43. The Acting President, on behalf of the Assembly, congratulated the re-elected Members of the Executive Council and thanked them for their service thus far to the Executive Council and expressed the wish that they would continue their hard work. She reiterated that they were elected to serve in their personal capacities, and therefore their active participation and commitment to the Council is highly appreciated.

***(b) Election of members to replace Grenada's and Tuvalu's representatives to the Executive Council***

44. The Assembly was informed that the Secretariat was in receipt of correspondence from the Governments of Grenada and Tuvalu indicating their desire to change their representatives on the Executive Council, with immediate effect.
45. **The Assembly elected by acclamation Her Excellency Ms. Keisha McGuire, Ambassador and Permanent Representative of Grenada to the United Nations, and His Excellency Samuelu Laloni, Ambassador and Permanent Representative of Tuvalu to the United Nations, to the Executive Council, for the remaining term of Mr. Fitzroy James and His Excellency Mr. Aunese Makoi Simati, respectively, which expires 31 December 2019.**
46. The Acting President conveyed, before closing the Agenda Item, the Assembly's profound thanks and gratitude to the Mr. Fitzroy James and Ambassador Aunese Makoi Simati for their outstanding contribution and service to the Executive Council and to the SIDS DOCK Organization as a whole. She also welcomed the newly elected members and reminded all members of their obligations to the Council in their personal capacities.

**Agenda Item 7 - Institutional and Administrative Matters**

***(a) Report of the Depositary***

47. The Acting President introduced the Report of the Depositary, as contained in document A/4/5, and took the opportunity to express the Assembly's gratitude to the Government of Belize for the excellent work it has been doing as Depositary to the SIDS DOCK Statute.

48. **The Assembly took note with appreciation of the report of the Depositary, as contained in document number A/4/5.**

*(b) Report on Host Country Agreement*

49. Secretary-General Binger informed the Assembly that since the signing of the Agreement during the last Assembly, he has been working diligently with the Ministry of Foreign Affairs of Belize to finalize all arrangements for the establishment of the Secretariat in Belize. He added that during his last consultations in August, he was told that the particulars of the arrangements were being finalized and would be forthcoming.
50. He continued that once this is received it would allow the Secretariat to move forth with its arrangements to formally set up the Secretariat, and for the Secretariat to begin to institutionalize itself in Belize, including opening bank accounts, etc.
51. **The Assembly took note with appreciation of the oral update on the Host Country Agreement.**

*(c) Report of the Credentials Committee*

52. The Chair of the Credentials Committee, Mrs. Nicola Barker (Jamaica), introduced the “Report of the Credentials Committee” as contained in document A/4/6. She reported that the Committee met on Wednesday, 26 September 2018, and on its examination of the credentials received, the Committee determined that seven (7) Members had submitted credentials in the form required. The Committee recommended that these Members be entitled to participate in the fourth session of the Assembly. The Chair also noted that a number of the delegations attending the session had not submitted any credentials and invited these delegations to conform to this requirement.
53. The Secretariat informed that in addition to the list contained in the report of the Credentials Committee that it was in receipt of Letter of Credentials from the Independent State of Samoa.
54. **The Assembly approved the report of the Credentials Committee as orally corrected and agreed to amend the document accordingly and reissue as A/4/6/Rev.1.**

*(d) Report of the establishment of the SIDS DOCK Foundation, including SIDS DOCK Not-For-Profit Status*

55. The Secretary-General introduced the Report on the establishment of the SIDS DOCK Foundation, including the SIDS DOCK Not-For-Profit Status, USA, as contained in documents A/4/7, informing the Assembly that the Executive Council approved this document at its last meeting held on 21 July 2018, and it is now recommending, for the Assembly’s consideration and adoption, Decision A/4/DC/1, which mandates the

Secretariat under the guidance of the Executive Council to proceed with the *pro bono* law firm of Squire Patton Boggs, to submit the appropriate documents to the appropriate USA authorities in an effort to move forward with the full establishment of the SIDS DOCK Foundation and its Not-For-Profit status.

56. He added that the establishment of the Foundation, including its rights to function as a Not-For-Profit entity would afford the SIDS DOCK Organization the opportunity to be able to broaden its funding base, as well as widen its image on the international stage.
57. He thanked the Law Firm of Squire Patton Boggs, and in particular, Mr. Michael Driver and Mr. John Sharp, for their service and commitment to assisting SIDS. He added that their unselfish contribution to SIDS DOCK is nothing short of the sort of genuine and durable partnerships we as SIDS yearn for, noting that this sort of partnership aids our Organization to become more competitive, relevant and professional.
58. **The Assembly took note of the oral status update by the Secretary-General, and adopted Decision A/4/DC/1, which in turn approved the Report on the establishment of the SIDS DOCK Foundation, including the SIDS DOCK Not-For-Profit Status, USA, as contained in documents A/4/7.**

**(e) Accreditation of SIDS DOCK to the United Nations General Assembly**

59. Secretary-General Binger informed that the Executive Council at its fifth meeting held on 21 July 2018, decided to recommend for the consideration and approval of the Assembly the matter of the Organization's submission for accreditation to the UN General Assembly (UNGA).
60. He added that the Executive Council was of the opinion that being accredited to the UNGA will not only expand the Organizations visibility but provide it with a unique opportunity to interact more closely with all Members of the UNGA and its subsidiary bodies.
61. He continued that the Executive Council also recommended that Belize in its capacity as Depositary and Host Country for the Organization was best suited to lead this initiative, and in this regard, has already through the Secretariat conveyed this request to the Government of Belize.
62. **The Assembly took note of the recommendation and approved the proposal to have Belize submit to the appropriate UN authorities the relevant documents to have the SIDS DOCK Organization accreditation request considered and approved by the UN General Assembly at its 74<sup>th</sup> session.**

**Agenda Item 7 - Work Programme*****(a) SIDS DOCK Renewable Energy Finance PlatForm (REFF): Risk Financial Facility for Projects***

63. The Acting President in her introduction of this sub-item indicated that this Platform is being developed as a risk mitigation, co-financing and technical assistance facility to address sustainable energy and climate change challenges, and to mobilize private investment for renewable energy and efficiency projects.
64. She added that that the initial phase will be conducted among Caribbean SIDS, and in that regard, the Secretariat has informed that it is in receipt of endorsement letters from Grenada and the Commonwealth of the Bahamas, and that the Commonwealth of Dominica and Belize, have expressed interest and it awaits their letters of endorsement. She continued that interested countries from the Pacific and AIS (formally AIMS) regions should indicate their desire to be pilot countries, as the Secretariat will soon begin preparations to expand the initiative in those sub-regions.
65. **The Assembly took note of the update on the SIDS DOCK Renewable Energy Finance PlatForm (REFF): Risk Financial Facility for Projects, and adopted the proposal contained in document A/4/9, recommending to the Secretariat to continue its engagement with Member States regarding their participation in the Platform.**

***(b) SIDS DOCK Blue Guardians Green Climate Fund (GCF) Proposal – Partnering for Development of Climate-Resilient Blue Economies and Protecting the Oceans***

66. The Acting President in her introduction of this sub-item indicated that the Assembly had at its last session adopted this proposal and had requested the Secretariat to proceed with its implementation. She added that the matter is again before the Assembly on the request of the Executive Council in order for its approval to reopen the proposal to accommodate two additional countries, namely Barbados and Grenada, whose request for inclusion came post adoption last year.
67. She added that the Executive Council has examined the matter and has determined that the proposal can accommodate the inclusion of the two countries.
68. **The Assembly took note of the proposal contained in document A/4/10, and through Decision A/4/DC/2 mandated the Secretariat to include Barbados and Grenada in the Proposal and to duly adjust the document to reflect this decision, and to proceed with implementation of the proposal.**

***(c) Pilot Project for Fleet Electric Mobility Vehicles in SIDS DOCK***

69. The Acting President in her introduction of document A/4/CRP/1, indicated that the Fleet Mobility Vehicles project under consideration goes to the heart of one of SIDS most fundamental objectives for the establishment of SIDS DOCK - to abate the high cost of importing fossil fuel and reduce greenhouse emissions.
70. She added that the transportation sector is the highest utilizer of our islands imported fuel, and with SIDS commitment to reduce its demand for imported transportation fuel by a minimum of 25 percent of demand by 2033, the proposed project aims to gradually begin the process of transitioning from gasoline to electric in SIDS by first targeting the public sector fleets and slowly progressing to the general public.
71. She continued that the transition will have high upfront costs, and would require changes to policies, infrastructure and heightened awareness and training. The Project is also hoping to bridge the gap between possible financiers, automobile companies, local car dealerships and governments.
72. She indicated that the Executive Council at its fourth meeting reviewed and approved the proposal and has forwarded to the Assembly for its consideration and adoption.
73. **The Assembly took note of the presentation and approved the Conference Room Paper (A/4/CRP/1), and through Decision A/4/DC/3 directs the Secretariat to begin its engagements with Governments to implement the pilot project.**

*(d) Energy-Focused Captive Insurance Multi-Window Facility for SIDS*

74. Secretary-General Binger provided a brief presentation on the initiative indicating the high importance of this matter to SIDS, as any are bombarded on an annual basis with more severe and frequent devastating natural disasters and other environmental events, and pointed to the trail of death and destruction caused recently across the Caribbean region by Hurricane Maria, and damage caused by Cyclone Gita in the Pacific region, especially on the Island of Tonga.
75. Noting that the very high economic costs associated with these types of devastation, and the fact that many of the citizens properties and businesses are either underinsured or not insured at all, continues to be of grave concern. He added that since SIDS continue to have an upward battle advocating for the UNFCCC to keep "Loss and Damage" on its agenda, it is important that in the interim SIDS move forward with other SIDS-appropriate mechanisms to assist with this matter.
76. He noted further that the multi-million-dollar losses suffered as a result of the devastating 2017 Hurricane and Cyclone season highlights once again the inadequacies and/or lack of proper catastrophe insurance coverage in several SIDS. Recognizing that there already exist mechanisms, this proposal will seek to fill gaps not addressed in those mechanisms and to establish a mechanism where there is none.

77. He added that the Executive Council is recommending to the Assembly to adopt the proposal for an Energy-Focused Captive Insurance Multi-Window Facility for SIDS, as contained in document A/4/CRP/2, and to mandate the Secretariat to continue its consultations with the AOSIS Climate Change Team and other representatives of other existing mechanisms in an effort to further close the gaps.
78. **The Assembly approved the proposal for an Energy-Focused Captive Insurance Multi-Window Facility for SIDS (A/4/CRP/2) and adopted Decision A/4/DC/4.**

*(e) SIDS DOCK Island Women Open Network (IWON)*

79. The Acting President introduced the Agenda Item 7 (e) and noted that there were three items to be addressed under this Agenda Item. She then invited the Secretary-General to introduce the items to the Assembly.

*i) Appointment of new Chair of the SIDS DOCK IWON Committee*

80. Secretary-General Binger informed that the Chair of the IWON Committee, Her Excellency Ms. I. Rhonda King, tendered a letter of resignation citing unforeseen additional responsibilities at her Mission to the UN. He added that the Committee and subsequently the Executive Council accepted the resignation and the proposal to have Her Excellency Ms. Keisha McGuire, Ambassador and Permanent Representative of Grenada to the UN, serve as the new Chair for the duration of Ambassador King's term which expires 31 December 2019.
81. He then indicated that the Executive Council recommends that the Assembly consider and approve the Appointment of Ambassador McGuire, as the Chair of the IWON Committee with effect from 1 January 2019 to 31 December 2019.
82. He took the opportunity to thank Ambassador King for her outstanding work and sterling leadership in the establishment and launching of the SIDS DOCK IWON, noting that she first served as the Chair of the SIDS DOCK Steering Committee to lead SIDS DOCK's participation at the SIDS Conference in Samoa in 2014, which included the historic signing of the SIDS DOCK Statute and the launch the SIDS DOCK IWON. This was done in collaboration with our Partners – the Governments of Denmark and Austria, and the UN Industrial Development Organization (UNIDO).
83. He continued that Ambassador King also contributed in shining a spotlight on the plight of women in SIDS, especially our most vulnerable women on the frontlines of climate change and sea level rise.
84. He extended congratulations to Ambassador McGuire on her appointment and assured her of his and the Secretariat's fullest support.

85. **The Assembly considered the recommendation and approved by acclamation the appointment of Ambassador McGuire to the post of Chair of the IWON Committee for the period 1 January 2019 to 31 December 2019.**
- ii) *Pilot Initiative for the Development of a Global Sustainable Botanical/Herbal Supplier Market from SIDS dock Member States – Developing a Successful Natural Products Industry: Quality, Claims, Cyber and Intellectual Property (A/4/8)*
86. Secretary-General Binger in his introduction of the Pilot Initiative for the Development of a Global Sustainable Botanical/Herbal Supplier Market for SIDS indicated that this was the signature project of the IWON with vast potential for the SIDS. The activity, he noted, is symbolic of the Samoa partnership mantra and noted what was more important was that the partnership is with the private sector. Secretary-General Binger went on to commend the private sector partners from the law firm, Rivkin Radler, Ullman Shapiro Ullman of Counsel; and EAS Consulting Group for their interest and support of the initiative.
87. He then noted special thanks to the law firm and the partners for highlighting the importance of data protection not just as it relates to SIDS Intellectual Property but to cybersecurity. Secretary-General Binger continued to explain that the General Data Protection Regulation, GDPR, is the new EU (European Union) law which is regulation under the EU for data protection and privacy. He noted that this was critical as breaches of this regulation comes with severe penalties and multi-million-dollar fines. Members will be hearing more about this from the Secretariat as to how to put in place compliant cybersecurity measures.
88. Secretary-General Binger then gave a special welcome to the new partners, the consulting firm, EAS Consulting Group, who recently collaborated with SIDS DOCK to sponsor one of the SIDS DOCK Member States to participate in a major Dietary Supplement seminar in Dallas, Texas. This was an important seminar for good manufacturing.
89. **The Assembly adopted the Pilot Initiative for the Development of a Global Sustainable Botanical/Herbal Supplier Market for SIDS (A/4/8) and through Decision A/4/DC/5, mandated the SIDS DOCK Secretariat and the IWON to begin its implementation of the initiative, in close consultation with the Executive Council and to report back to the Assembly at its fifth session.**
- iii) *SIDS DOCK children’s Programme: Video Presentation – “SIDS Day in The Seychelles: How Can You Champion Girl’s or Women’s Rights in SIDS?” and Declaration for a “SIDS Day”*
90. Secretary-General Binger invited the Assembly to view a video presentation from The Seychelles Small Island Kids/Young Eco-warriors from schools around the Islands of the Seychelles, passionately telling the story of *The Seychelles Blue Economy*, and how their

91. very survival depends on how the world and SIDS care and protect their largest resources – the oceans. The video is available at: <https://sidsdock.org/>.
92. He praised Ms. Jeanette Larue for the excellent service to the children all over the SIDS. Ms. Larue serves as the coordinator and organizer of the SIDS Day in the Seychelles, and responsible for SIDS education and awareness in the Ministry of Environment, Energy and Climate Change. She also serves as a Vice-Chair of the SIDS DOCK IWON Committee and is responsible leading the development of and coordinating the SIDS DOCK Children’s Programme.
93. Secretary-General Binger then introduced the Seychelles lead initiative to submit a proposal to the United Nations General Assembly at its 74<sup>th</sup> session to designate the second Monday, in the month of September, on the UNGA Calendar, as “SIDS Day”.
94. He added that this is an initiative of the children of Seychelles, on behalf of the children in SIDS, in an effort to showcase and highlight within the International Community, the continued challenges and high vulnerability the people of SIDS face on a daily basis and the devastating effects of climate change and sea level rise, which undermines SIDS achievement to successfully implement the 2030 Agenda for Sustainable Development. Children are more vulnerable to climate-related disasters, adverse exposures, and impacts are more severe than for adults.
95. He continued that this is critically important, especially in the current environment when the vulnerability of SIDS is being challenged and the international communities support to SIDS are wavering and diminishing. He urged the Assembly to approve the Declaration and to rally behind The Seychelles to have the UN General Assembly approve the proposal for a “SIDS Day”.
96. Several Delegations indicated that they were highly impressed by the video and that they were supportive of having a day designated as a “SIDS Day”. They also encouraged the IWON, Ms. Larue and The Seychelles to begin sharing this format as a good practice in an effort to assist other SIDS organize their youth in preparation for “SIDS Day”.
97. **The Assembly took note with thanks and appreciation of the video and the presentation for declaring a “SIDS DAY”, and approved the proposal for a UN Declaration on the International Day of the World’s Small Island Peoples and Celebration of Small Island Kids (A/4/11) .**

#### **Agenda Item 8 - SIDS DOCK IWON 2018 Excellency in Leadership Award**

98. Her Excellency Ms. I. Rhonda King, in her capacity as Chair of the IWON Committee, presented the 2018 Excellency in Leadership Award to His Excellency Mr. Ronald Jumeau of The Seychelles. In her presentation, she indicated that the IWON has dedicated this annual award to recognize the work and contribution of outstanding persons in our community, and that this year the Committee chose Ambassador Jumeau, whom she

99. deemed “*the Ocean Whisper from The Seychelles*” for his outstanding work in SIDS, including making deep and fundamental contributions to the development of the SIDS DOCK Organization, for helping to create unlimited space for women through the SIDS DOCK IWON, and for exemplary leadership and insight that have changed the understanding about being island-resilient, and most of all, for his unquestioned commitment and dedication to furthering SIDS DOCK’s Mission.
100. Ambassador Jumeau expressed his total surprise, as he humbly and graciously accepted the prestigious award. He added that his journey has been made easy over the years, because he enjoys what he does and that he has been surrounded and supported by some equally dedicated and likeminded people who live and breathe to ensure the advancement and development of SIDS.
101. The Acting President congratulated Ambassador Jumeau on his Award. She indicated that knowing him personally as one of her dearest colleagues and office neighbour, she is confident that he will continue his hard work and dedication to the SIDS community, as he has been doing so effortlessly, and she looks forward to working with him and his Team on establishing “SIDS Day”.

#### **Agenda Item 9 – Remarks by Member States and Observers**

102. Mr. Rishy Bukoree, Second Secretary of the Permanent Mission of Mauritius to the UN, spoke on behalf of the Permanent Representative of the Government of Mauritius who was unavoidably absent. He congratulated the new Chair of the Executive Council and the Chair of the IWON in their new roles. He also thanked Ambassador King for her contribution as the first IWON Chair, and expressed thanks to the Secretariat for the admirable work and preparation of documents and plans for the fourth Assembly of SIDS DOCK. Mr. Bukoree then commented on the *SIDS DOCK Foundation Strategic Plan 2018-2028*”, and stated that the delegation wished to highlight and approve the core strategies defining the Plan, in particular strategies one, two and three - all related to the promotion of sustainable energy.
103. He reiterated that it was important to point out in the strategies that ocean energy is the largest renewable energy resource common to all SIDS, and have that the SIDS countries have an important role to play as custodians of the oceans and seas, especially with such large Exclusive Economic Zones (EEZ). It is therefore crucial that appropriate capacity building and transfer of technology is effected to enable SIDS to take the leap forward whilst mobilizing financial and technical resources for the implementation of projects.
104. He then shared that with regards to strategy two, about the Blue-Green Economy in SIDS, Mauritius subscribes to the Strategic Plan’s ambitions to go beyond a “*business as usual*” approach to development in SIDS, because the transformation of the SIDS energy sector is crucial given that climate change is an energy-related issue with an estimated 60% of greenhouse gas emission generated by the energy sector, primarily from combustion of fossil fuels.

105. Mr. Bukoree then went on to share about the renewable energy project that the Republic of Mauritius had launched last year, which was supported by the Green Climate Fund (GCF) and the UN Development Programme (UNDP). He stated the project aims to reduce fossil fuel imports and accelerate the nation's shift to a low carbon economy over a period of 20 years. He then went on to also highlight other projects which would support national goals such as the Home Solar Project and the Green Energy Scheme, which would increase their renewable energy goals by the year 2030, and their contribution to the overall renewable energy mix.
106. He concluded that the Foundation's Strategy encompasses institutional strengthening developing the necessary regulatory framework and encouraging investment in renewable energy. He indicated that Mauritius sees the strategy as a dynamic roadmap that points to their targets and describes where they want to be in ten years; and it is now essential to capture enough resources and build reliable partnerships to move forward.
107. He then submitted a request for inclusion in the next Assembly Agenda as an item, that SIDS DOCK, a growing docking station that connects the energy sectors in the SIDS with the global markets, to obtain Observer status in the next session of the General Assembly. Mr. Bukoree then expressed his thanks again to Ambassador McGuire and the Secretariat and Secretary-General Dr. Binger.
108. Her Excellency Ambassador Desiree Schueitzer, Vice-Minister for Development Cooperation of Austria, firstly congratulated both Ambassador McGuire on her appointment and Ambassador Jumeau for his award. Speaking on behalf of the Government of Austria, Ambassador Schueitzer expressed the honor of being an Observer to the session which she stated proves to be a successful model of cooperation and partnership. She noted that Austria has always paid special attention to the needs and development challenges of the world's most vulnerable countries, including the SIDS. She expressed the commitment of Austria to supporting the SIDS in their efforts to address economic challenges and adapt to climate change with a special focus on the development of a reliable, affordable and sustainable energy sources.
109. Ambassador Schueitzer went on to state that energy is a key enabler for development and therefore critical to the achievement of the Sustainable Development Goals and the 2030 Agenda. Access to clean, sustainable, reliable, modern and affordable energy for all including for communities that are most vulnerable, is of paramount importance. Without it there can be no sustainable economic and social development. Renewable energy and energy efficiency solutions can greatly contribute to the reduction of dependency on expensive fossil fuel imports and is best developed in the framework of regional corporation aimed at both building renewable energy industries and fostering the emergence of energy efficient markets.
110. As part of the priority partnerships of the SAMOA Pathway, Austria together with SIDS DOCK and UNIDO, has provided technical and financial support for the establishment of a network of regionally sustainable centers for SIDS in Africa, the Caribbean, Pacific and

111. Indian Ocean. She went on to share that the network of regional sustainable energy centers for SIDS is now operating in Barbados, Tonga and Cape Verde.
112. Ambassador Schueitzer also took the opportunity to further mention that Austria supported a project on rural electrification in Vanuatu with one million Euros through the NAMA Initiative. The overall target of this project is to provide access to electricity to all households in Vanuatu while reducing greenhouse gas emissions through the replacement of fossil fuels with renewable energies. The aim is to improve the lives of those with specific vulnerabilities, mainly the women and the poor. She explained the significant emission reduction of CO<sub>2</sub> that would result over the fifteen-year lifetime of the NAMA.
113. Ambassador Schueitzer once again emphasized Austria's support for the SIDS and for the opportunity to address the Assembly.
114. Dr. Meghan Lau, First Secretary (Economic & Environmental Affairs) of the Permanent Mission of Canada to the UN, made brief remarks on behalf of the Government of Canada. She initially thanked the Assembly for allowing her to attend as an Observer and commended and thanked the Seychelles for their leadership this past year. She also extended congratulations to Ambassador McGuire on her election and to Ambassador Jumeau for his award.
115. Dr. Lau expressed that Canada shares the concerns of the SIDS, which is why Canada under the auspices of their G7 Presidency convened a meeting of the G7 Ministers of Environment, Oceans and Energy, last week in Halifax. They were joined there by leaders and Ministers from SIDS. They met under the theme of "Healthy Oceans, Seas and Resilient Coastal Communities".
116. She explained that at this G7 meeting, the Ministers emphasized the particular vulnerability of SIDS to the impacts of extreme weather events, slow onset events and climate change, as well as the importance of the ocean economy to livelihoods. They reiterated the importance of enhanced efforts to build resilience while stimulating innovation and economic growth, including through enhanced regional cooperation.
117. She further shared that there, Ministers also agreed that clean and resilient energy technologies and systems as well as nature-based solutions are an essential part of increasing the overall resiliency of coastal communities. Clean and resilient energy systems support critical operations and infrastructure in the context of emergency response and recovery efforts. The G7 Ministers also emphasized the leadership role played by SIDS in the transition towards cleaner and more resilient energy systems that are decentralized and are based on renewable and diverse energy sources.
118. In her closing remarks, Dr. Lau stated, in looking forward, she wished to underline that Canada is committed to the promotion and development of a sustainable Blue Economy. She expressed that it is for this reason that Canada and Kenya will co-host the first global conference on the sustainable blue economy in Nairobi from November 26<sup>th</sup> to 28<sup>th</sup>, 2018.

119. She indicated that they would be pleased to share more information about the conference with any interested delegations.
120. She concluded that Canada has a longstanding partnership with the SIDS, and looks forward to the continued close cooperation in the coming year. She thanked the Assembly again for the opportunity to address them.
121. Mr. Dane McQueen, Senior Advisor and Fund Manager of the United Arab Emirates Ministry of Foreign Affairs and International Cooperation, made an intervention on behalf of the Government of the UAE, announcing that the UAE is currently engaging in renewable energy projects with over 30 SIDS, in cooperation with SIDS DOCK on project pipelines.
122. He added that there is also currently a new gender procurement standard implemented under the UAE-Caribbean Renewable Energy Fund. This is to bring special focus to raising the profile of women in the area of renewable energy, and that he was happy to hear of the work the SIDS DOCK IWON is undertaking. He continued that another area of focus is the rolling out of a new resilience standard under the same fund, requiring building to Category 5 hurricane specifications and out of vulnerable zones. He added that these standards will be rolled out globally for all UAE foreign aid.
123. He highlighted the importance of official development assistance (ODA) eligibility for higher income SIDS recovering from disasters or at risk of disaster and suggested that the UAE would be delighted to raise the issue directly with the Chair of the Development Assistance Committee of the Organization for Economic Co-operation and Development (OECD DAC).
124. Ms. Heather Fairman, Technical Advisor to SIDS DOCK and SIDS DOCK IWON, opened the intervention on the SIDS DOCK IWON Herbal/Botanical Project. In her opening remarks, on behalf of the Organization, expressed gratitude to the SIDS partners - the Government of Austria and UNIDO for supporting this initiative. She went on to share about coordinating this project in collaboration with the SIDS Regional Centres, the PCREEE and the CCREEE, the ECREEE.
125. Ms. Fairman explained that since 2017, the Secretariat has been working with the partners, laying the ground work for the development of a comprehensive SIDS-wide proposal that will see the women and men empowered as entrepreneurs and maintaining sustainable livelihoods. She expressed that by 2019, the intention is to directly engage the pilot countries so that work can begin with the national focal points in getting consensus on the draft proposal which was previously shared with the membership.
126. She explained that in 2017, a partnership was developed with the law firm of Rivkin Radler, Ullman, Shapiro and Ullman, Of Counsel, specialists in the areas of food and drug legal and regulatory matters and cybersecurity. The work done with this group, thus far, has helped identify the unique potential of the biodiversity of SIDS, and also revealed major weaknesses that are allowing the bio-pirates to not only “reap and run with our resources” but to claim SIDS intellectual properties.

127. Ms. Fairman continued to explain that the SIDS are heavily dependent upon use of their nation's biodiversity for sustainable development. Therefore, making every effort to ensure the conservation and sustainability of these resources is critical. The ability to identify and protect these herbal and botanical resources from bio-pirates and growing climate change conditions through innovative and strategic technology and science approaches will be a key accomplishment.
128. An additional main focus is the concurrent drive to Educate, Equip and Empower (3E's©) Island Women with the necessary agricultural skillsets and manufacturing and production experience, to help create a profitable and sustainable botanical/herbal business. Through small-scale/community-based production, the SIDS will be able to provide select quantities of plant derived raw materials with high value to the global market primarily through transactions that accrue limited economic value to producer and country.
129. Through expanse education and increased awareness of the value of botanical and herbal supplements within SIDS, and the need to increase protection of plant biodiversity, these goals will collectively strengthen this initiative, consequently providing an opportunity for SIDS to have significant presence within the global industry as a consistent supplier of high value components into the global botanical/herbal market and welcoming the initiative to develop a successful natural products industry.
130. Another very key factor to this initiative not to be overlooked is the particular emphasis on critical product claims integrity accompanied by vital cyber and intellectual property protection.
131. Ms. Fairman finally noted that while, nurturing, preserving and building these herbal resources, the cycle of safeguarding through creation of a sustainable industry will in turn provide resources to develop and expand innovative ideas to guard against climate change and other threatening factors.
132. Mr. Dean Cirotta of EAS Consulting Group, LLC, the new SIDS DOCK Partner, thanked the Secretary-General for inviting the group to share with the Assembly the capacity his firm provided and explained EAS's role in the industry where it specializes in Food and Drug Administration (FDA) compliance, quality systems and resolutions for FDA matters as well as technical and Good Manufacturing Practices (GMP) training.
133. He went on to summarize the firm's capabilities in supporting and strengthening the SIDS with compliance to the applicable US FDA laws and rules. He further shared that EAS is staffed with former FDA compliance and inspection officials and industry executives equipped to assist the SIDS. Through their vast knowledge and expertise concerning FDA export and sales requirements of herbal/botanical ingredients and products into the US and other global regions, they would work closely with the SIDS to successfully provide consumers with safe and compliant products.
134. Mr. David Bissell, President and Chief Executive Officer of Kaua'i Island Utility Cooperative (KIUC), thanked the Secretary General for inviting KIUC to the meeting. He noted that about one year ago, KIUC was invited to join SIDS DOCK in collaborating on

135. renewable efforts. He explained that Hawaiian island's unique global land mass isolation has resulted in an expensive business structure. Since 2005, KIUC's goal was to go to 50% renewable; back in 2005, they were at 8%, and today, they are at 42% renewable through a mixture of biomass, hydro, solar, and solar with storage. They have the distinction of having the highest renewable penetration of solar anywhere in the world, at about 97% renewable, on sunny days. He explained the growing renewable penetration of energy they accomplished from 2005 to date and shared that KIUC is working on two energy projects that will move them to 70% renewable and their energy companies are working toward 100% renewable by the year 2040. Mr. Bissell shared that their experience of advanced success with these goals could be shared with the other SIDS nations, in an effort to assist with their renewable energy goals.
136. Ms. Shari Lewis, Attorney at Law and a member of the Rivkin Radler's Complex Torts & Product Liability; Privacy, Data & Cyber Law; and Professional Liability Practice Groups. She has focused her practice on the intersection of law and technology. Mrs. Lewis thanked Her Excellency Ambassador McGuire, the Secretary-General and the Assembly. She then spoke on the General Data Protection Regulation (GDPR) and Cybers Security in general. She expressed that Rivkin Radler believes that in the global marketplace, every business is an e-businesses and with the GDPR goal of privacy and security by design, SIDS has the unique opportunity to get cyber security and privacy right, from the beginning.
137. She went on to explain concisely what was entailed with the GDPR requirements which became effective on 25 May 2018, after a 2-year roll out period. Mrs. Lewis explained that despite its implementation, there are many counties and entities still not in compliance. She went on to define the GDPR relative to the European Union (EU) and to countries that participate in trade with any European country. The GDPR applies to countries that process – i.e. use, collect, store or transfer data from any EU resident no matter where located; to EU entities, or other intermediary or subsidiary representatives of EU entities.
138. She continued to expound on the three key facets of the GDPR relative to privacy, security, and enforcement, relative to the transparency to the data subjects who have control over their data (i.e. the individuals from whom data is collected). Mrs. Lewis went on to clearly explain the monetary penalties applied to entities that do not have proper cyber security for breaches of subjects' data. Examples of such situations were presented to the Assembly, demonstrating the consequences of violation of the GDPR and Cyber Security. She also noted the US's recent National Security Regulation which is similar to the GDPR. She indicated that Rivkin Radler looks forward to assisting and supporting the SIDS and SIDS DOCK IWON with their support and experience in these areas.
139. Marc Ullman of Rivkin Radler, Of Counsel, works on matters relating to all aspects of Food and Drug Administration regulatory issues with a focus on the Dietary Supplement/Natural Products Industry; Federal Trade Commission proceedings and litigation concerning consumer protection compliance and response to enforcement actions, concerning advertising practices, privacy and cyber security. Mr. Ullman thanked Her Excellency Ambassador McGuire, the Secretary-General and the Assembly.

140. Mr. Ullman shared the experience of this arm of his firm in which he works along with his colleague Mr. Steven Shapiro. He indicated that both himself and Mr. Shapiro have worked with the Natural Products Industry for over 20 years, advising various herbal industry clients on legal and policy matters. He explained they are prepared to work with the SIDS DOCK IWON with a regulatory and legal framework that will aid in entering the global herbal market. Key to entering the herbal market is the legal assurance of a robust quality system and compliance, inclusive of appropriate label and health claims and legal ingredients.
141. Mr. Ullman emphasized that with regards to the protection of Intellectual Property and the important role of early formalization of legal rights relative to trademarks, trade secrets, inventions, formulas and original works of authorship, Ms. Del Pizzo, another Partner in the firm, will provided this specific support. He expressed continued support with working with the SIDS DOCK IWON.
142. The Acting President thanked the Delegates and participants for their interventions and indicated SIDS DOCK's pleasure having them participate in the Assembly and for their continued assistance to SIDS. She indicated that her country looks forward to engaging with each of them during its Presidency, to further strengthen relations and solidify plans for the further development of SIDS DOCK.

#### **Agenda Item 10: Organization and arrangements for the fifth session of the Assembly**

##### **(a) *Designation of the date***

143. The Acting President proposed that the fifth session of the Assembly be convened in September 2019, on the margins of the General Debate of the seventy-fourth session of the United Nations General Assembly. She indicated that the United Nations has a very heavily packed schedule of high-level meetings during the early part of its seventy-fourth session and proposed that the Secretariat takes this into consideration when scheduling the fifth session of the SIDS DOCK Assembly.
144. The Delegate of Samoa requested that the Secretariat try to schedule the fifth session of the Assembly earlier in the week, in an effort to ensure participation at the highest level, as several of the high level delegates speak early in the first week of the UN General Debate and are unable to stay in New York, to attend the SIDS DOCK Assembly when it is scheduled for the Saturday.
145. **The Assembly took note of the discussion and agreed that the fifth session of the SIDS DOCK Assembly will be scheduled in New York, in September 2019, on the margins of the General Debate of the seventy-fourth session of the United Nations General Assembly, and that the Secretariat in collaboration with the President of the Assembly would determine the exact date.**

*(b) Designation of the members of the Bureau*

146. The Acting President invited States Parties to indicate their desire to serve on the Bureau of the fifth session of the Assembly to the SIDS DOCK, as soon as possible and no later than 1 July 2019, in order to facilitate a smooth transition in September 2019.
147. In keeping with the principle of equitable regional rotation of the post of the Presidency among the three sub-regions, the President of the fifth session of the SIDS DOCK Assembly should come from the Pacific sub-region, and the Vice-Presidents from the AIS (formally AIMS) and Caribbean sub-regions, respectively.
148. **The Assembly hereby agreed that interested States Parties would communicate to the SIDS DOCK Secretariat no later than 1 July 2019, their desire to serve on the Bureau of the fifth session of the Assembly, and that the President of the fifth session be from the Pacific sub-region.**

**Agenda Item 11: Any Other Business**

149. There were no matters discussed under this agenda item.

**Agenda Item 11: Closure of the session**

150. The Acting President thanked the Assembly for allowing her to preside over the session and thanked the representatives for participating in the fourth session of the Assembly of SIDS DOCK. She especially thanked the government, institutional and private sector partners for participating and contributing to the success of the session.
151. She encouraged Members to continue to work together to advance the objectives of SIDS and SIDS DOCK, calling on them to participate in the upcoming Inter-regional meeting in the preparation for the Mid-Term Review of the SAMOA Pathway, which is scheduled to be held in SAMOA in October, and the Mid-Terms which is scheduled on the margins of the 74<sup>th</sup> UNGA in 2019.
152. She added that Prime Minister Mitchell, in his capacity as President of the fourth Assembly of SIDS DOCK is committed to working diligently to fulfill the approved work programme and mandates of this session and looks forward to working closely with the President of The Seychelles to advance the “Blue Economy” and to enhance the visibility of SIDS globally.
153. She urged Members to remain committed and dedicated to securing a better, more climate resilient economy for the citizenry of SIDS and called on the members of AOSIS who have neither ratified nor acceded to the SIDS DOCK Statute to do so, as it is vitally important that SIDS make this journey together speaking with one voice.

154. She concluded the fourth session of the Assembly by bidding everyone a successful and productive UNGA and a safe journey back to those who were visiting New York.
155. **The fourth session of the Assembly of SIDS DOCK was adjourned at 12:46 p.m.**



Distribution: General  
2 October 2018

*United Nations Decade of Sustainable Energy For All (2014-2024)*

Fourth Session of the Assembly of SIDS DOCK  
ECOSOC Chamber  
United Nations Headquarters  
New York, New York  
29 September 2018

## **DRAFT PROVISIONAL AGENDA**

1. Opening of the session
  - Brief Remarks by Her Excellency Ms. Fekitamoeloa Katoa 'Utoikamanu, Under-Secretary-General and High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States
2. Organization of work
  - a. Election of Officers - President of the Assembly and Vice-Presidents
  - b. Adoption of the Agenda
  - c. Appointment of a Credentials Committee
  - d. Participation of Observers
  - e. Adoption of the Report of the Third session of the Assembly
3. Report of the Chair of the Executive Council
4. Report of the Secretariat on the implementation of the Work Programme and Budget for the period January 2017 to December 2017
5. Elections
  - a. Three members to the Executive Council for the term 2018-2020
  - b. Two members to replace Grenada and Tuvalu representatives to the Executive Council
6. Institutional and Administrative Matters
  - a. Report of the Depositary
  - b. Report on Host Country Agreement, including the status of the SIDS DOCK Secretariat
  - c. Report of the Credentials Committee
  - d. Report on the establishment of the SIDS DOCK Foundation, including SIDS DOCK Not-For-Profit Status, USA
  - e. Accreditation to the United Nations General Assembly

7. Work Programme

- a. SIDS DOCK Renewable Energy Finance Platform (REFF): Risk Financial Facility for Projects
- b. SIDS DOCK Blue Guardians Green Climate Fund (GCF) Proposal - Partnering for Development of Climate-Resilient Blue Economies and Protecting the Oceans
- c. Draft Concept Paper - Pilot Project for Fleet Electric Mobility Vehicles in SIDS
- d. Draft Concept Paper - Proposal for An Energy-Focused Captive Insurance Multi-Window Facility For Small Island Developing States (SIDS): Adapting To Climate Change By Creating Affordable Insurance-Related Solutions
- e. SIDS DOCK Island Women Open Network (IWON):
  - (i) Appointment of new Chair of the SIDS DOCK IWON Committee
  - (ii) Pilot Initiative for the Development of a Global Sustainable Botanical/Herbal Supplier Market from SIDS DOCK Member States - Developing a Successful Natural Products Industry: Quality, Claims, Cyber and Intellectual Property
  - (iii) SIDS DOCK Children's Programme: Video Presentation - "SIDS Day In The Seychelles: "How Can You Champion Girl's Or Women's Rights In SIDS?"

8. SIDS DOCK IWON 2018 Excellency in Leadership Award

9. Brief Remarks by Member States

10. Organization and arrangements for the Fifth session of the Assembly

- a. Designation of the date
- b. Designation of the members of the Bureau

11. Any Other Business

12. Closure of the session



Distribution: General  
2 October 2018

**United Nations Decade of Sustainable Energy For All (2014-2024)**  
*"Island Energy For Island Life"*

Fourth Session of the Assembly of SIDS DOCK  
UN Headquarters, ECOSOC Chamber  
New York, New York  
29 September 2018

### List of Participants

<b>COUNTRY</b>	<b>PARTICIPANT'S NAME</b>	<b>DEPARTMENT/INSTITUTION</b>	<b>POSITION/TITLE</b>
Antigua & Barbuda	Hon. E. P. Chet Greene	Ministry of Foreign Affairs	Minister
	H.E. Mr. Walton Webson	Permanent Mission to the United Nations	Ambassador Permanent Representative
Bahamas	Ms. Charmaine Williams	Permanent Mission to the United Nations	First Secretary
Barbados	Ms. Kereeta Whyte	Permanent Mission to the United Nations	First Secretary
Belize	Mrs. Tasha Cain	Ministry of Foreign Affairs	Head of Protocol and Consular Unit
	Mr. Andrew Smith	Permanent Mission to the United Nations	First Secretary
Dominica	H.E. Dr. Vince Henderson	Embassy to the United States of America	Ambassador
Grenada	H.E. Ms. Keisha McGuire	Permanent Mission to the United Nations	Ambassador Permanent Representative
	Ms. Nerissa Williams	Permanent Mission to the United Nations	First Secretary
Jamaica	Mrs. Nicola Barker-Murphy	Permanent Mission to the United Nations	Counsellor
Mauritius	Mr. Rishy Bukoree	Permanent Mission to the United Nations	Second Secretary

Samoa	H.E. Mr. Ali'ioaiga Feturi Elisaia	Permanent Mission to the United Nations	Ambassador Permanent Representative
Saint Vincent & the Grenadines	H.E. Ms. I. Rhonda King	Permanent Mission to the United Nations	Ambassador Permanent Representative
Seychelles	H.E. Mr. Ronald Jumeau	Permanent Mission to the United Nations	Ambassador Permanent Representative
	Mr. Andre Butler-Payette	Permanent Mission to the United Nations	Minister Counsellor
	Ms. Deborah Cholmondeley Ms. Jeanette Larue	Permanent Mission to the United Nations Ministry of Environment, Energy and Climate Change	Attaché Coordinator, Environmental Education
Tuvalu	H.E. Samuelu Laloni	Permanent Mission to the United Nations	Ambassador Permanent Representative



Distribution: General  
2 October 2018

***United Nations Decade of Sustainable Energy For All (2014-2024)***  
*"Island Energy For Island Life"*

Fourth Session of the Assembly of SIDS DOCK  
UN Headquarters, ECOSOC Chamber  
New York, New York  
29 September 2018

**List of Observers to the fourth session of the Assembly**

**AOSIS Members Non-Signatories**

1. Guyana

**UN Member States: Non-AOSIS Members**

1. Austria
2. Canada
3. United Arab Emirates

**Others**

1. EAS Consulting Group, LLC
2. GRID-Arendal
3. Inter-American Development Bank (IDB)
4. International Renewable Energy Agency (IRENA)
5. Kauai Island Utility Cooperation
6. Rivkin Radler LLP (USA)
7. United Nations Office of the High-Representative for Least Developed Countries, Landlocked Developing Countries and Small Island Developing States (UN-OHRLLS)



Distribution: General  
21 December 2017

*United Nations Decade of Sustainable Energy For All (2014-2024)*

Third Assembly of the SIDS DOCK  
UN Headquarters, ECOSOC  
Chamber New York, New York  
23 September 2017

**REPORT OF THE THIRD SESSION OF THE ASSEMBLY OF THE SMALL  
ISLAND DEVELOPING STATES DOCK [SIDSDOCK]**

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## Report of the third session of the Assembly of the SIDS DOCK

The third session of the Assembly of SIDS DOCK was convened pursuant to Article VI (1). The meeting was held in the Economic and Social Council (ECOSOC) Chamber at the United Nations Headquarters, New York, on 23 September 2017.

### Agenda item 1: Opening of the session

1. H.E. Mr. Samuelu Laloni, Permanent Representative of Tuvalu to the United Nations, serving as acting President of the second Assembly of SIDS DOCK, called to order the third session of the Assembly of SIDS DOCK.
2. The Assembly observed a minute silence for the victims of Hurricanes Irma, Jose, and Maria, which caused significant devastation to the Caribbean region.
3. The Acting President delivered a statement on behalf of the President of the second Assembly of the SIDS DOCK, His Excellency Mr. Enele Sosene Sopoaga, OBE, Prime Minister and Minister for Public Utilities of Tuvalu, who was unable to attend this year's Assembly.
4. On behalf of the President of the second Assembly, Ambassador Laloni expressed his gratitude to Dr. Kenrick Leslie and his team at the Caribbean Community Climate Change Centre (5Cs), who served as the Interim Secretariat. He shared achievements concluded this past year, such as attending three meetings (Tonga, Austria, and Thailand), two in May 2017, including a Forum on renewable energy in Bangkok, and the Fifth Vienna Energy Forum (VEF), where a negotiated agreement was concluded with Austria and UNIDO, to establish a liaison office hosted by UNIDO, in Austria. He expressed gratitude to the government of Austria, who has been a loyal supporter of SIDS, and thanked UNIDO for its continued support and commitment on SIDS issues.

### Agenda Item 2: Organization of work

#### (a) Election of Officers of the Assembly – President and Vice-Presidents

5. In accordance with Article VI (4) of the Statute of the SIDS DOCK, the Assembly elected Honourable Danny Faure, President of the Republic of Seychelles, to the post of President of the third session of the Assembly.
6. H.E. Ambassador Ronald Jumeau, Permanent Representative of the Republic of Seychelles to the United Nations, expressed his President's regrets for not being able to attend. He expressed the profound gratitude of the President and the Republic of

7. Seychelles for the confidence bestowed on him to lead the Organization as President of its second Assembly.
8. Through his statement, President Faure expressed his condolences and thoughts to the Caribbean islands devastated by the recent Hurricanes. He noted that these were important reminders of the need to strengthen work for the resilience of SIDS. President Faure and the Republic of Seychelles pledged to serve SIDS DOCK in its best ability.
9. The Assembly further elected by acclamation Her Excellency Ms. Inga Rhonda King, Permanent Representative of St. Vincent and the Grenadines to the UN, and His Excellency Mr. Mahe 'Uli'uli Sandhurst Tupouniua, Permanent Representative of the Kingdom of Tonga to the UN, as the Vice-Presidents of the third Assembly of SIDS DOCK, term to expire September 2018.
10. In the absence of the President of the third Assembly, and without prejudice to the future sessions, Vice President H.E. Ms. I. Rhonda King was invited to serve as Acting President of the session.

**(b) Adoption of the Agenda**

- 11. The Assembly adopted the Agenda of the Assembly, as contained in document A/3/1/Rev.1.**

**(c) Appointment of a Credentials Committee**

12. The Acting President informed the Assembly that the Secretariat has informed that Belize, Saint Vincent and the Grenadines, Seychelles and Tuvalu, are desirous of serving on the Credentials Committee.
13. The Acting President invited the Assembly to approve the appointment of Mrs. Tasha Cain of Belize, Mr. Sehon Marshall of Saint Vincent and the Grenadines, Ms. Deborah Cholmondeley of the Republic of Seychelles, and Mr. Zach Hsu of Tuvalu, to the Credentials Committee.
14. The Assembly approved by acclamation the appointment of the four aforementioned Members to the Credentials Committee.

**(d) Participation of observers**

15. In accordance with Article VI (8) of the Statute, in which the Assembly can provide observer status to intergovernmental and non-governmental organizations active in the field of adaptation to climate change and renewable energy, and Signatories that have not ratified the Statute, with the understanding that Observers may participate, without the right to vote, in the public sessions of the Assembly and its subsidiary organs. Consideration is also being granted to Members of the Alliance of Small Island Developing States (AOSIS) who are not signatories or members of SIDS DOCK.

16. In accordance with Rule 13 of the Provisional Rules of Procedure of the Assembly, the Assembly approved the requests of countries and organizations as contained in document A/3/2 to participate as Observers in the third session of the SIDS DOCK Assembly.
17. The Assembly agreed to amend document A/3/2 to duly reflect the meeting's participation, and approved the participation of the countries and organizations contained in document A/3/2/Rev.1 to participate as Observers in the third session of the SIDS DOCK Assembly.

**(e) Adoption of the report of the second session of the Assembly and Its Addendum**

18. The Acting President informed that the Addendum to the Report of the second session of the Assembly, as contained in document A/2/SR/1/Add.1, reports on all follow-up activities of the Assembly post the adjournment of the second session held on 24 September 2016, which resulted in the appointment of the Secretary-General of the Organization.
19. The Acting President thanked the Assembly for its kind cooperation in the matter and also thanked the President of the second Assembly and his Vice Presidents, the Chair and members of the Executive Council and also the Chair and members of the Subcommittee on the election of the SIDS DOCK Secretary-General for their hard work and dedication.
20. The Assembly adopted the Report of the second Assembly of SIDS DOCK, as contained in document A/2/SR/1, and its Addendum as contained in document A/2/SR/1/Add.1, respectively.

**Agenda Item 3 - Official appointment of the SIDS DOCK Secretary-General**

21. The Acting President informed that in accordance with the criteria and process for the selection of a Secretary-General (A/2/9/Rev.1), the Executive Council through its Subcommittee on the selection of a Secretary-General, submitted to the second Assembly its recommendations as set out in document EC/3/DC/1.
22. She added that the Bureau of the second Assembly on the recommendation of the Executive Council, and noting that the process was duly in keeping with the criteria and process as set out in document A/2/9/Rev.1, agreed to expedite the selection process and transmitted to the Assembly under silence procedure Decision A/2/DC/4 for its consideration and approval.
23. She invited the Assembly to refer to document A/2/SR/1/Add.1 Addendum to the Report of the second Assembly, for more details on the process.
24. In accordance with Article VI (7) of the SIDS DOCK Statute, the President of the second Assembly on 28 April 2017, communicated that since the silence procedure was not

broken that the Assembly was in agreement to appoint Dr. Albert Binger as the Secretary-General of SIDS DOCK with effect from 1 May 2017, with the objective to have this appointment officially reconfirmed at the third session of the Assembly.

25. The Assembly reconfirmed by acclamation the appointment of Dr. Albert Binger as the Secretary-General of SIDS DOCK.
26. The Acting President congratulated Dr. Binger on this appointment.
27. The Permanent Representative of the Republic of Seychelles congratulated Dr. Binger on his appointment and pledged Seychelles' full support to the Secretary-General.
28. The Representative of Jamaica congratulated Dr. Binger on his appointment and further expressed their support to Dr. Binger and SIDS DOCK.
29. Secretary General, Dr. Al Binger, expressed his sincere gratitude for the confidence and trust to lead SIDS DOCK. He emotionally reflected on the utter devastation caused by the recent hurricanes in the Caribbean, which were stark reminders of the uncertain future that lies ahead for the people of the SIDS. As ocean people dependent on environmental services for survival and prosperity, the rise in average temperature is causing and will continue to cause utter destruction, loss of multiple lives and livelihoods, and growing likelihood of large displaced populations. As the former scientific adviser for AOSIS, Dr Binger further expressed his grave concern that the average temperature across the Caribbean last month was only 1.45 degrees F above average and that the situation was to worsen.
30. He further deplored that despite the recent events, some leaders still feel that 2 degrees average increase is, "OK". He lamented that there was no accountability for the continued generation of greenhouse gas (GHG) emissions from the planet's 70-plus Trillion-dollar economy. The recent events are another reminder that we must by all means rethink our development plans and systematically redesign our economy. This is what the work of SIDS DOCK entails.
31. With that in mind, the Executive Council has developed a work programme to contribute to the reduction of SIDS energy dependence on fuel imports, reduce of economic vulnerabilities and build climate resilience.
32. Secretary General Dr. Al Binger expressed his gratitude to SIDS DOCK's partners, especially the people and governments of Denmark, Japan, Austria and Sweden.

#### **Agenda Item 4 - Report on the activities of the Executive Council**

33. The Acting President informed that the Chair of the Executive Council, His Excellency Dr. Vince Henderson, was unable to attend as he was unavoidably delayed in Dominica,

because of Hurricane Maria. She added that he is physically fine, but his property was damaged. She extended best wishes to him on behalf of the Assembly.

34. The Acting President proposed that the Assembly close this Agenda Item, with the understanding that the report on the activities of the Executive Council will be disseminated electronically as document A/3/3, at a further date.
35. The Assembly agreed to the proposal of the Acting President.

### **Agenda Item 5 - Report of the Interim Secretariat on the implementation of the Work Programme and Budget for the period December 2015 to December 2016**

36. Secretary-General Binger provided a report on the work of the Interim Secretariat. He thanked the team from the 5C's, and his very small support team for their hard work and dedication.
37. Progress was made to contribute to decreasing reliance and dependency on fossil fuels. However, he stressed that much work is still needed.
38. The Acting President expressed gratitude for the interim secretariat and noted the willingness of the 5Cs to continue its support to SIDS DOCK.
39. The Assembly noted with appreciation the report of the Interim Secretariat on the implementation of the Work Programme and Budget for the period December 2015 to December 2016, as contained in document A/3/4.

### **Agenda Item 6 - Election of the members of the Executive Council**

#### **(a) Election of three members for the term 2017-2019**

40. The Acting President informed the Assembly that the Secretariat received three nominations for the three vacancies, which are to occur on 31 December 2017, as the terms of Office of Dr. Rhianna Neely (The Bahamas), His Excellency Dr. Vince Henderson (Dominica) and His Excellency Mr. Ronald Jumeau (Seychelles) expires.
41. The nominated candidates are as follows: Dr. Rhianna Neely (The Bahamas), His Excellency Dr. Vince Henderson (Dominica) and His Excellency Mr. Ronald Jumeau (Seychelles) for re-election to the Executive Council.
42. Noting that the individuals nominated met all the criteria as suitable candidates for re-election to the Executive Council, the Assembly elected by acclamation Dr. Rhianna Neely (The Bahamas), His Excellency Dr. Vince Henderson (Dominica) and His Excellency Mr. Ronald Jumeau (Seychelles) to the Executive Council for the term 2018-

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2020, beginning 1 January 2018 and expiring 31 December 2020.

43. **The Acting President, on behalf of the Assembly, congratulated the re-elected Members of the Executive Council** and thanked them for their service thus far to the Executive Council and expressed the wish that they would continue their hard work. She reiterated that they were elected to serve in their personal capacities, and therefore their active participation and commitment to the Council is highly appreciated.

#### **Agenda Item 7 - Institutional and Administrative Matters**

##### **(a) Report of the Depositary**

44. The Acting President took the opportunity to express the Assembly's gratitude to the Government of Belize for the excellent work it has been doing as Depositary to the SIDS DOCK Statute.
45. The Assembly took note with appreciation of the report of the Depositary, as contained in document number A/3/5.

##### **(b) Report on Host Country Agreement**

46. The Foreign Minister of Belize expressed his appreciation to participate in the meeting. He indicated that his Government was pleased to be serving in the capacity as Host Country to this first SIDS Organization, and that today's signing of the Agreement is another testimony of the Government and people of Belize's commitment to SIDS.
47. The Agreement was signed during the meeting by Honourable Wilfred Peter Elrington, LLB. CLE.SC., Minister of Foreign Affairs of Belize, and Dr. Albert Binger, Secretary-General of SIDS DOCK, on behalf of the Government of Belize and SIDS DOCK, respectively.
48. The Assembly took note with appreciation of the report on the Host Country Agreement.

##### **(c) Report of the Credentials Committee**

49. The Credentials Committee met Thursday, 21 September 2017, to examine and verify the Letters of Credentials submitted. During its meeting the Committee elected Ms. Tasha Cain of Belize, to serve as the Chair of the Committee.
50. The Chair of the Credentials Committee introduced the "Report of the Credentials Committee" as contained in document A/3/6. She reported that on its examination of the credentials received, the Committee determined that ten (10) Members had submitted credentials in the form required.

51. The Committee recommended that these Members be entitled to participate in the third session of the Assembly. The Chair also noted that a number of the delegations attending the session had not submitted any credentials and invited these delegations to conform to this requirement.
52. The Assembly approved the report of the Credentials Committee as contained in document A/3/6.

**(d) Establishment of SIDS DOCK Liaison Offices**

53. Secretary-General Binger in his presentation of the proposal of establishing a Liaison Office in Vienna, as contained in document A/3/7, indicated that there were discussions during the Fifth Energy Forum in Vienna, for a full-time presence of SIDS DOCK in Vienna, which is an international energy hub. The Government of Austria and UNIDO have generously offered to host the presence of SIDS DOCK in Vienna. This is a unique opportunity afforded to SIDS DOCK that would support the development of programmes and partnerships.
54. Secretary-General Binger in his presentation of the proposal to establish a Liaison Office in New York, as contained in document A/3/8, indicated that the presence in New York is another great opportunity to facilitate the work of the Organization noting that it is the only location where there is a majority presence of SIDS DOCK Member States and potential members, as well as access to other non-SIDS Member States at the United Nations. He added that there was still some more work to be done to finalize the New York Office, such as the establishment of the SIDS DOCK Foundation.
55. The Representative from Antigua and Barbuda conveyed his congratulations to Secretary-General Binger on his election. He indicated that while he understood the relevance to establish representation offices, he questioned the level of staffing, which seemed to be too high, including for the New York office.
56. Secretary-General Binger indicated that staffing levels in Vienna reflects technical capacity. Technical staff will be required to conduct technical work in Vienna, as well as to support other SIDS DOCK technical work to support members, which will include inter alia preparation of proposals, interventions at meeting, and identifying opportunities to develop. There is also an administrative position to support the Deputy Secretary-General who will run this Office.
57. As for New York, it is important to have an upper level staff, who would be able to conduct business at the Ambassadorial and higher level. The SIDS DOCK Foundation will provide more staff support for the Liaison Office and the two Offices will most likely share space, in order to minimize operational costs.
58. He added that the staff at the Headquarters of SIDS DOCK would be small. Each office will have less staff. Overall, he proposes SIDS DOCK would have about 9 staff in total.

59. The Representative of Mauritius congratulated the newly-elected Vice President for chairing the meeting; Seychelles on its election as President of the third session of the Assembly; Tuvalu on Presiding over the second session of the Assembly; and Dr. Binger on the assumption of his Post as Secretary-general. He requested to rectify page 4 of the report contained in Document A/3/7, as Mauritius is listed as having a Permanent Mission in Vienna and it doesn't.
60. The Assembly agreed with the establishment of the liaison offices in Vienna and New York as contained in documents A/3/7 (to be revised accordingly) and A/3/8, respectively.
61. **The Assembly further mandated the Executive Council in collaboration with the SIDS DOCK Secretariat to begin the process of setting up the aforementioned offices, and to provide the next Assembly with updates on the Offices.**

**(e) SIDS DOCK Foundation**

62. Secretary-General Binger introduced the Item as contained in document A/3/14, A/3/L.1 and A/3/L.2, respectively.
63. The Secretary-General indicated that SIDS are among the most indebted countries in the world. In this context, it is proposed to establish a SIDS DOCK Foundation that would be able to facilitate financial support and contribution from private entities, and mobilise resources to address climate change. This way, the contributions would be tax-deductible.
64. He added that the Foundation would have assets available in times of need to support islanders in times of distress, noting that this will be critical.
65. He continued that once the proposal is approved by the Assembly, it is his intent to commit fully to the establishment of the Foundation at the soonest possible time, and called on partners to support and contribute to an endowment fund once the Foundation is established.
66. The Assembly agreed with the proposals as contained in the documents A/3/14, A/3/L.1 and A/3/L.2, and requested the Secretariat to continue to pursue the matter with the relevant authorities, and report back to the fourth session of the Assembly.

**Agenda Item 8 - Work Programme**

**(a) Island Women Open Network (IWON) Biodiversity and Livelihoods Project**

67. SIDS DOCK Project Director, Ms. Christine Neves Duncan, provided an update on IWON. She presented a Pilot Initiative for the Development of a Global Sustainable Botanical/Herbal Supplier Market from Member States, contained in document A/3/9.

68. She indicated that the project identified the following countries as potential pilot countries, namely Belize, Cook Islands, Dominica, Grenada, Jamaica, Mauritius, Saint Vincent and the Grenadines, Samoa, Seychelles, Tonga and Tuvalu. She indicated that any other SIDS DOCK country desiring to join this initiative are welcomed.
69. She listed the goals as follows:
- i. Educate, Equip and Empower (3E's) aims to provide Island Women with the necessary agricultural skillsets and manufacturing and production experience, to help create a profitable and sustainable herbal/botanical business.
  - ii. Training and Certification Program cGMP (current Good Manufacturing Practices)
  - iii. HAARP (Hazard Analysis, and Risk-Based Preventive Controls for Human Food)
  - iv. HACCP (Hazard Analysis, and Critical Control Points)
  - v. ISO Certification
  - vi. Foster "Farm to Fork" awareness. A term commonly used in reference to the supply chain processes from agricultural production to consumption.
70. She expressed gratitude to Her Excellency I. Ronda King of St. Vincent and the Grenadines for Chairing of the first meeting of the SIDS DOCK IWON Committee, which was held on 22 September 2017.
71. The Delegate of Jamaica congratulated the officers elected today to guide the work of the SIDS DOCK Executive Council. She welcomed the presence of the Prime Minister of the Commonwealth of Dominica and congratulated him on his statement delivered earlier at the UN General Assembly debate. She extended her sympathies to him and the people of Dominica on the recent devastation caused by Hurricane Maria. She congratulated the work programme of SIDS DOCK, and that of IWON. She pledged Jamaica's full support to Secretary-General Binger. She indicated that Jamaica is excited to fully engage in the activities of the Organization and remains fully committed to seeing the Organization deliver for SIDS in the area of renewable energy.
72. The Assembly took note of the discussion and presentation on the matter, and approved document A/3/9.

**(b) SIDS DOCK Heads of State and Government OTEC Initiative 2023**

73. Secretary-General Binger introduced the programme, as contained in document A/3/10, and indicated that this would be to form partnerships with the French and Japanese governments to implement projects on ocean energy.
74. He indicated that the aim is to have an initial five (5) SIDS DOCK countries (countries must indicate their desire to participate) to participate in this initiative. The Secretariat

will then assess the 5 countries to ensure that they are suitable to collaborate with the partners to have this technology transferred to them.

75. The Representative of Mauritius congratulated the officers on their election, in particular the President of Seychelles. He informed that his country sees Ocean Thermal Energy Conversion (OTEC) as a favourable technology. He added that he realized it is a costly investment, which is why it has discouraged many islands from investing in it. He indicated that Mauritius expresses interest in pursuing, and sees this pilot project as one possible way of pursuing this type of project.
76. Secretary-General Binger recognized that the issue for non-support for an OTEC proposal is always based on high initial cost of the investment and the only income stream being electricity. Noting that the technology is not solely for energy, it also produces costly co-products such as desalinated water, cooling and air-conditioning, and Mari-culture, etc. He made reference to a small OTEC demonstration facility in Kumijima, Japan, on one of the most southern islands in Japan, that is fitted with Mari-culture, greenhouses cooled by the sea water and cosmetic plants that use deep desalinated ocean water. This small facility, on about 10 hectares of land, employs some 200 people, and generates about 20 percent of the island's GDP. He added that it was important to ensure when advocating for OTEC that the value of these co-products, are including in the analysis.
77. He indicated that there are a number of other products that could be developed through public-private-partnerships (PPPs) that would produce even high value products such as Lithium, Hydrogen. He concluded his presentation by indicating that collectively, we have a responsibility to move this technology to the SIDS.

**(c) Waste-to-Energy Programme: Energy Services from Organic Waste**

78. Secretary-General Binger presented the initiative, which could help improve coastal environment, and protect the tourism industry. He highlighted that there were many synergies that needed to be exploited, depending on the nature of the waste effluent or municipal solid waste (MSW). The conversion of waste into energy generates employment, reduces environmental pollution and avoids threats to public health and protects the coastal environment, the foundation of the tourism industry, as well as positively impacting food security.
79. The Assembly took note of the discussion and presentation on the matter, and approved the initiative as contained in document A/3/11.

**(d) SIDS DOCK Renewable Energy Finance PlatForm (REFF): Risk Financial Facility for Projects**

80. Secretary-General Binger provided a brief presentation on the initiative. He noted that SIDS are still not maximizing the opportunities and resources SIDS have in terms of renewable energy.

81. He indicated that the Platform will be built on three pillars:

- **Risk Mitigation Facility:** providing credit enhancement and risk mitigation instruments to enable bankability of renewable energy and efficiency projects;
- **Co-Financing Facility:** providing co-financing of project equity and debt to support small standalone projects and the participation of local developers;
- **Technical Assistance Facility:** providing technical assistance to address regulatory and legal bottlenecks, institutional capacity deficits and the shortage of risk capital.

82. The Platform is a public-private partnership (PPP) that will leverage international donor, multilateral and climate-focused stakeholders to crowd-in direct private investment. By helping nations to overcome financial, technological and regulatory obstacles, the Platform will play a critical role in facilitating the transition to a sustainable energy economy.

83. The Assembly took note of the discussion and presentation on the matter, and approved this Waste to Energy Programme as contained in document A/3/12.

**(e) Energy-Focused Captive Insurance Multi-Window Facility for SIDS**

84. Secretary-General Binger introduced the initiative, indicating that this insurance is intended to set up SIDS own insurance, noting that there will be an increase in premiums from external insurance providers as a result of the recent disasters.

85. He added that through this captive insurance, all SIDS would eventually have an opportunity to participate and be members of this insurance. It is part of the overall strategy to minimize dependence on imported petroleum and not face increasing annual premiums. SIDS DOCK will be working with consultants and partners to see how to elaborate the model.

86. He called on interested countries to indicate their interest to be part of the pilot programme.

87. The Assembly took note of presentation on the matter, and approved the initiative as contained in document A/3/13.

**(f) SIDS DOCK IWON 2017 Excellency in Leadership Award**

88. The Acting President indicated that before turning the attention of the Assembly to the final sub-item under this Agenda Item, she would like to recognize the service and dedication of Mr. Solomon Fifita, a stalwart and champion of SIDS issues, especially in the area of renewable energy. She indicated that the IWON has dedicated an annual award to recognize the work and contribution of outstanding persons in our community

for their unselfish contribution to our community. Mr. Fifita has worked for 32 years in the energy sector and has been a significant player in the SIDS movement to better energy practices, and has been a valued member of the SIDS DOCK establishment team.

89. The 2017 IWON Award was presented to Mr. Solomon Fifita. This is the third year this award has been given. The first award in 2015 was presented to Mrs. Marguerite St. John-Sebastian of Grenada, and the 2016 Award to His Excellency Dr. Vince Henderson of the Commonwealth of Dominica.
90. Mr. Fifita in his acceptance speech indicated that this was a humbling experience and that he was grateful to be considered and awarded this prestigious award. He added that he was honored to have worked with dedicated people in SIDS to make SIDS DOCK a reality. He dedicated his award to his wife and children and those who helped him throughout the years in his mission.
91. The Acting President congratulated Mr. Fifita on his Award and encouraged him to continue his hard work and dedication to the SIDS community, as we journey to make a difference in our Community.

**(g) Interventions from the Governments of Austria and the United Arab Emirates (UAE)**

92. His Excellency Alexander Marschik, Austria's Vice-Minister for Europe, Integration and Foreign Affairs, speaking on behalf of the Government of Austria, congratulated officials on their elections. He recognized the special challenges faced by SIDS, and expressed heartfelt condolences on the devastation caused by the recent hurricanes in the Caribbean region.
93. He stated that it is useful to make use of expertise, and welcomed the establishment of SIDS DOCK. He further welcomed the establishment of the SIDS DOCK Liaison office in Vienna. He highlighted the excellent partnership between Vienna, UNIDO, and some SIDS; he pointed to the establishment of the SIDS Energy Centers: the Caribbean Centre for Renewable Energy and Energy Efficiency (CCREEE), 2015 in Barbados; and the Pacific Centre for Renewable Energy and Energy Efficiency (PCREEE) under the umbrella framework of energy security in April 2017, in Tonga.
94. He continued that the Government of Austria greatly looks forward to strengthening its relationship with SIDS DOCK, and reiterated its solidarity and support to SIDS DOCK.
95. The Acting President thanked Vice Minister Marschik for his address and through him conveyed to the Government of Austria, the Assembly's heartfelt thanks and appreciation for their continued cooperation with SIDS.
96. The Acting President then invited H.E. Mr. Ali Al Shafar, Permanent Representative of the United Arab Emirates to IRENA, to address the Assembly.

97. Ambassador Al Shafar conveyed sympathy and condolences to affected countries due to the recent devastating storms. He stated that at the 71<sup>st</sup> session of the United Nations General Assembly his country announced the following:
- US\$30M for Caribbean SIDS of which the first 5 projects have already been announced - solar in Barbuda (redesigned following the recent hurricane); solar plant with electrical vehicle chargers in Bahamas; Dominica (will be redesigned); and St Vincent and the
  - Grenadines (solar panel). He added that his country is in touch with countries to prepare to move forward on the initiatives, and with the goal to complete one project per country before close of its fund period.
  - US\$3.5M annually for some 11 Pacific SIDS, including some joint projects in Federated States of Micronesia and Republic of Marshall Islands to name a few.
98. Ambassador Al Shafar indicated that they are also implementing projects in Seychelles and Maldives. He added that it was an honour to stand by friends, and indicated that his Government announced another US\$10M relief for reconstruction from hurricanes.
99. The Acting President thanked Ambassador Al Shafar for the briefing and through him conveyed to the Government of the United Arab Emirates, the Assembly's heartfelt thanks for their interest in SIDS and for their expressions of expanding its cooperation with SIDS, especially recognizing its role as host of IRENA.
100. The Acting President then invited the Prime Minister of the Commonwealth of Dominica, the Honourable Roosevelt Skerrit, to address the Assembly.
101. Prime Minister Skerrit expressed his gratitude to the Assembly for allowing him to give a brief update on his country in the aftermath of the recent destruction caused by hurricane Maria. He indicated that it was with a heavy heart that he left his country to come to New York, but thought it important to do this.
102. He lamented that over the past three years, more than 60 people have died by unimaginable climate-related events, which he stressed was mindboggling for an island with a population of only 70,000, noting that this is the unfortunate reality that SIDS have been warning about since Rio in 1992.
103. Indicating that as the Founding President of SIDS DOCK in 2015, Dominica has invested in SIDS DOCK because of the conviction that if SIDS were going to survive the only way to do so, was collectively. As recent disasters in the Caribbean has shown, islands will have to take additional responsibility to deal with the impacts of climate change, something which none of the SIDS are responsible for as their GHG emissions are less than their sequestration.

104. He further stated that the time has come for all tropical small islands to become members of SIDS DOCK. Adding that there should be no separation as “we have similar challenges and our best chance of survival is a collective voice and collective pressure”. He continued that the science reports have proven that all SIDS are at risk and that none are safe despite best efforts to prepare, as the ferocity is beyond human comprehension.
105. He noted that the SIDS DOCK Work Programme was a proactive approach to dealing with climate change and positioning SIDS to deal with the greater future challenges as global temperatures continue to increase, in response to the continued increases in GHG emissions.
106. He further noted that the SIDS DOCK Work Programme was island-focused and supported the priorities that the members and Executive Council were advancing. He highlighted the relevance of the programme for climate resilience, the establishment of the Blue Guardians Programme and significantly, the Captive Insurance Mechanism as important activities that can position SIDS to better cope with the challenges ahead. He further urged all members to take these initiatives seriously especially on the matter of insurance, because the current system of insurance for SIDS provides little investment and most of the premiums are exported. He endorsed the idea of having islands owning their own insurance mechanism, allowing premiums to be reinvested in their countries in projects that reduce dependency on importation, and provide greater return, and new resources for needed investments in building resilience.
107. He strongly endorsed and urged SIDS development partners to support SIDS DOCK’s work programme, especially the proposed SIDS DOCK Foundation – “we will be looking to you, our friends, our development partners to support the development of the Foundation and ask your help in identifying patrons who can lend legitimacy as well as help to build the endowment fund that will allow it to support our efforts at building climate resilience as well as the focal point for supporting disaster relief mobilization, so there is greater accountability for the resources that have been mobilized to assist in the recovery. The need is so great that we need to make sure every dollar mobilized finds its way to people suffering and not in large overhead and management fees.
108. He further highlighted Dominica’s progress in developing renewable energy resources and improving energy efficiency. With gratitude, he recognized the support of development partners and SIDS DOCK in that endeavor. He indicated that Dominica would shortly make significant reduction in GHG emissions with the commission of the island’s geothermal plant, indicating that part of the savings from the reduced oil imports would go towards the establishment of a climate resilience fund for the recovery from future natural disasters.
109. He made a plea to development partners who do not already support SIDS or who provide limited assistance, to give serious consideration to the plight of small islands. He urged them to disabuse their minds of the unsubstantiated reports from vested interests who continue to resist SIDS-SIDS to transform their energy so as to generate financial resources that are needed to build SIDS’ resilience to the impacts of climate

change and pursuit of sustainable development, in climate change speak, through adaptation and through mitigation. He asked them to do so in the spirit of the Samoa partnership. He recollected the SIDS DOCK Partnership Core Value Statement: “United in Implementing Project Activities,” which is something SIDS hold steadfast and true as evidenced by the new partnerships formed.

110. He expressed his gratitude to Ambassador Henderson, who could not attend the meeting of the Assembly, as he was in Dominica helping to coordinate in the aftermath, as well as dealing with his own personal losses. He further thanked the Secretary-General, the Secretariat, the Dominican Mission to the United Nations, and Dr. Kenrick Leslie, Executive Director of the Caribbean Community Climate Change Centre and his staff, and asked the development partners to consider directly supporting SIDS through SIDS DOCK. In closing, he asked to keep his people and country in prayers.
111. The Assembly was then shown a slide show of video and photographs of the aftermath of the Hurricane in Dominica.
112. The Acting President thanked Prime Minister Skerrit for his presentation and reiterated the Assembly’s sympathies and solidarity with the people and Government of Dominica.
113. The Representative from Antigua and Barbuda expressed sympathies and solidarity with the Government and people of Dominica, and conveyed his Government’s thanks and appreciation to the Assembly for the outpouring of solidarity and support from their respective countries in the aftermath of the devastation in Barbuda caused by Hurricane Maria.
114. He called for a “Marshall Plan for Recovery”, as well as for the future to help for resilience against the annihilation of the islands’ future. He indicated that with the evacuation of Barbuda, Antigua saw a 3% increase in population, which is a significant pressure and burden to the small economy.
115. He called for development partners and regional organizations to improve response forces as soon as possible in aftermath of such events.

## **Agenda Item 9: Organization and arrangements for the fourth session of the Assembly**

### **(a) Designation of the date**

116. **The Assembly agreed that the fourth session of the SIDS DOCK Assembly will be scheduled in New York, in September 2018, on the margins of the General Debate of the seventy-third session of the United Nations General Assembly, and that the Secretariat in collaboration with the President of the Assembly would determine the exact date.**

**(b) Designation of the members of the Bureau**

117. States Parties were requested to forward their desire to serve on the Bureau of the fourth session of the Assembly to the SIDS DOCK Secretariat, as soon as possible and no later than 1 July 2018, in order to facilitate a smooth transition in September 2018.
118. In keeping with the principle of equitable regional rotation of the post of the Presidency among the three sub-regions, the President of the fourth session of the SIDS DOCK Assembly should come from the Caribbean sub-region, and the Vice-Presidents from the AIMS and Pacific sub-regions, respectively.
119. The Assembly hereby agreed that interested States Parties would communicate to the SIDS DOCK Secretariat no later than 1 July 2018, their desire to serve on the Bureau of the fourth session of the Assembly, and that the President of the fourth session be from the Caribbean sub-region.

**Agenda Item 10: Any Other Business**

120. There were no matters to discuss under this agenda item.

**Agenda Item 11: Closure of the session**

121. The Acting President thanked the Assembly for allowing her to preside over the session and thanked the representatives for participating in the third session of the Assembly of SIDS DOCK.
122. She urged Members to remain committed and dedicated to securing a better, more climate resilient economy for the citizenry of SIDS.
123. She further urged members of AOSIS who have neither ratified nor acceded to the SIDS DOCK Statute to do so, as it is vitally important that SIDS speak with one voice.
124. The Acting President concluded the third session of the Assembly of SIDS DOCK at 1:16 p.m.



Distribution: General 15  
September 2017

*United Nations Decade of Sustainable Energy For All (2014-2024)*

Third Session of the Assembly of SIDS DOCK  
UN Headquarters, ECOSOC Chamber  
New York, New York  
23 September 2017

### **DRAFT PROVISIONAL AGENDA**

1. Opening of the session
2. Organization of work
  - a. Election of Officers - President of the Assembly and Vice-Presidents
  - b. Adoption of the agenda
  - c. Appointment of a Credentials Committee
  - d. Participation of observers
  - e. Adoption of the report of the second session of the Assembly and its Addendum
3. Official appointment of the SIDS DOCK Secretary-General
4. Report of the Chair of the Executive Council
5. Report of the Interim Secretariat on the implementation of the Work Programme and Budget for the period December 2015 to December 2016
6. Election of three members to the Executive Council for the term 2018-2020
7. Institutional and Administrative Matters
  - a. Report of the Depositary
  - b. Report on Host Country Agreement
  - c. Report of the Credentials Committee
  - d. Establishment of SIDS DOCK Liaison Offices in Vienna and New York
  - e. SIDS DOCK Foundation
8. Work Programme
  - a. Island Women Open Network (IWON) Botanical & Herbal Raw Material Supplier Market Initiative
  - b. Ocean Thermal Energy Conversion (OTEC)
  - c. Waste to Energy (WtE)
  - d. SIDS DOCK Renewable Energy Finance PlatForm (REFF): Risk Financial Facility for Projects
  - e. Energy-focused Captive Insurance Multi-Window Facility for SIDS

- f. Brief remarks by the Government of Austria and United Arab Emirates, respectively
- 9. Organization and arrangements for the fourth session of the Assembly
  - a. Designation of the date
  - b. Designation of the members of the Bureau
- 10. Any Other Business
- 11. Closure of the session



Distribution: General 2  
October 2017

*United Nations Decade of Sustainable Energy For All (2014-2024)*

Third Session of the Assembly of SIDS DOCK  
UN Headquarters, ECOSOC Chamber  
New York, New York  
23 September 2017

### List of participants

<b>COUNTRY</b>	<b>PARTICIPANT'S NAME</b>	<b>DEPARTMENT/INSTITUTION</b>	<b>POSITION/TITLE</b>
Antigua and Barbuda	Hon. H. Charles Fernandez	Ministry of Foreign Affairs, International Trade and Immigration	Minister
	H.E. Mr. Walton Webson	Permanent Mission to the United Nations	Ambassador Permanent Representative
	H.E. Mr. Conrad Hunte	Permanent Mission to the United Nations	Ambassador to IRENA
Bahamas	Ms. Tishka Fraser- Francis	Permanent Mission to the United Nations	Deputy Permanent Representative
	Ms. Deandra Cartwright	Ministry of Foreign Affairs	Foreign Service Officer
Barbados	Ms. Keereta Whyte	Permanent Mission to the United Nations	First Secretary
Belize	Hon. Wilfred P. Elrington	Ministry of Foreign Affairs	Minister
	H.E. Mr. Patrick Andrews	Ministry of Foreign Affairs	Chief Executive Officer
	Ms. Ayesha Borland	Ministry of Foreign Affairs	Director of International Affairs
	Mrs. Tasha Young-Cain	Permanent Mission to the United Nations	First Secretary

<b>COUNTRY</b>	<b>PARTICIPANT'S NAME</b>	<b>DEPARTMENT/INSTITUTION</b>	<b>POSITION/TITLE</b>
Dominica	Dr. the Hon. Roosevelt Skerrit	Prime Minister	Prime Minister
	H.E. Mrs. Loreen Bannis Roberts	Permanent Mission to the United Nations	Ambassador Permanent Representative
	H.E. Mrs. Barbara Dailey	Permanent Mission to the United Nations	Deputy Permanent Representative
	Mr. Julien LeBlanc	Permanent Mission to the United Nations	Alternate Representative
	Ms. Keisha Lewis	Permanent Mission to the United Nations	Alternate Representative
Jamaica	Senator the Hon. Kamina Johnson Smith	Ministry of Foreign Affairs	Minister
	H.E. Mr. E. Courtenay Rattray	Permanent Mission to the United Nations	Ambassador Permanent Representative
	H.E. Ms. Sheila Sealey Monteith	Ministry of Foreign Affairs	Under-Secretary, Multilateral Affairs Division
	Mrs. Nicola Barker- Murphy	Permanent Mission to the United Nations	Counsellor
Mauritius	H.E. Mr. Jagdish Koonjul	Permanent Mission to the United Nations	Ambassador Permanent Representative
	Mr. Mohammed Naguib Soomaaroo	Permanent Mission to the United Nations	Minister Counsellor
	Ms. Nundini Pertaub	Permanent Mission to the United Nations	Minister Counsellor
	Ms. Sheikha Bundhoo	Prime Minister's Office	Senior Information Officer
	Mr. Vishal Anand Lunchoomun	Permanent Mission to the United Nations	Second Secretary
	Mr. Rishy Bukoree	Permanent Mission to the United Nations	Second Secretary
Saint Vincent & the Grenadines	H.E. Ms. I. Rhonda King	Permanent Mission to the United Nations	Ambassador Permanent Representative

Seychelles	H.E. Mr. Ronald Jumeau	Permanent Mission to the United Nations	Ambassador Permanent Representative
	H.E. Ms. Beryl Samson	Permanent Mission to the United Nations	Deputy Permanent Representative
	Ms. Jeanette Larue	Ministry of Environment, Energy and Climate Change	Coordinator, Environmental Education
Tuvalu	H.E. Samuelu Laloni	Permanent Mission to the United Nations	Ambassador Permanent Representative
	Mr. Zack Hsu	Permanent Mission to the United Nations	Second Secretary



Distribution: General  
24 September 2017

*United Nations Decade of Sustainable Energy For All (2014-2024)*

Third Session of the Assembly of SIDS DOCK UN  
Headquarters, ECOSOC Chamber  
New York, New York  
23 September 2017

**List of Observers to the third session of the Assembly**

**SIDS DOCK Signatories**

1. Cabo Verde
2. Fiji

**AOSIS Members Non-Signatories**

1. Cuba
2. Maldives
3. Suriname

**UN Member States: Non-AOSIS Members**

1. Austria
2. Canada
3. Denmark
4. Norway
5. United Arab Emirates

**Others**

1. American Renewable Energy Institute
2. Camco
3. Caribbean Community (CARICOM)
4. Caribbean Community Climate Change Centre (5Cs)
5. Clinton Climate Initiative
6. Commonwealth Secretariat
7. Earth Council
8. ESRI
9. Global Mana
10. Green Climate Fund (GCF)
11. GRID-Arendal
12. IRENA
13. Law Office of R.F. Van Lierop
14. Ministry of Science & Innovation/CIEMAT, Government of Spain
15. Pacific Centre for Renewable Energy & Energy Efficiency (PCREEE)
16. Rivkin Radler LLP (USA)



Distribution: General  
24 September 2017

*United Nations Decade of Sustainable Energy For All (2014-2024)*

Third Session of the Assembly of SIDS DOCK  
UN Headquarters, ECOSOC Chamber  
New York, New York  
23 September 2017

## **Report on the Activities of the Executive Council for the Period September 2016 – August 2017**

### **INTRODUCTION**

1. This report is submitted pursuant to Article VIII, paragraph 2, of the SIDS DOCK Statute. It provides an account of the progress made in the development of the Work Programme, the operationalization of the Organization, including the preparation of the pertinent operational documents and arrangements.
2. The SIDS DOCK Executive Council is responsible for overall policy and direction and for providing oversight and advice for the development of the institution. The Executive Council delegates responsibility for day-to-day operations to the Secretary-General and committees. States Parties of the SIDS DOCK, who have either ratified or acceded, will be invited to nominate members for the Executive Committee. Nominations shall be submitted through the State Party's United Nations Permanent Mission or other relevant Government Authority, where applicable (for Countries not having UN Permanent Missions).
3. Election and membership on the Executive Council shall reflect a range of professional expertise with individuals having multiple years of experience, and must have gender balance and equitable regional representation with no fewer than one (1) member from each regional group as established by UN-DESA (AIMS, Caribbean and Pacific). In addition, no two (2) members may be nationals of the same State.
4. The election of members of the Executive Council takes place annually during the Assembly. The first election of Members to the Executive Council was held during the inaugural session of the Assembly of SIDS DOCK, in Paris, France, in the margin of the UNFCCC COP 21, on 10 December 2015. Terms of Members of the Council will begin on 1 January and expire on 31 December. The following is a list of current and past members:

<b>Name of Member</b>	<b>Country</b>	<b>Term of Office</b>
Dr. Rhianna Neely-Murphy [ <b>Rapporteur</b> ]	Bahamas	2015 – 2017
Dr. Kenrick Leslie	Belize	2015 – 2018
H. E. Dr. Vince Henderson [ <b>Chair</b> ]	Dominica	2015 – 2017
Mr. Fitzroy James	Grenada	2015 – 2016; 2017 - 2019
H.E. Mr. Jagdish Dharamchand Koonjul	Mauritius	2017 – 2019
Mr. Sylvester Clauzel	Saint Lucia	2015 - 2016
Mr. Ellsworth Dacon	Saint Vincent & the Grenadines	2015 - 2016
Mr. Sione Foliaki [ <b>Vice Chair</b> ]	Samoa	2015 – 2018
H. E. Mr. Ronny Jumeau [ <b>Vice Chair</b> ]	Seychelles	2015 – 2017; 2017 - 2019
H.E. Mr. Aunese Makoi Simati	Tuvalu	2017 – 2019
Dr. Tevita Tukunga	Tonga	2015 – 2-18

5. The Executive Council held two meetings:

(a) 30 November 2016, remotely, via Telephone Conferencing (GoToMeeting)  
[Document EC/3/SR/1]

(b) 24 July 2017, Commonwealth Joint Offices, 685 Third Avenue, 11th Floor, New York, New York 10017, United States of America [Document EC/4/SR/1]

## **II THIRD MEETING OF THE SIDS DOCK EXECUTIVE COUNCIL**

6. The third meeting of the Executive Council was held via Telephone Conferencing on 30 November 2016. Participating in the Meeting were H.E. Dr. Vince Henderson (Dominica - Chair), Dr. Kenrick Leslie (Belize), Mr. Fitzroy James (Grenada), Mr. Sione Foliaki (Samoa), Mr. Ellsworth Dacon (St. Vincent & the Grenadines), H.E. Mr. Ronald Jumeau (Seychelles) and Dr. Tevita Tukunga (Tonga).
7. The third meeting of the Executive Council had to be prematurely adjourned during the third item for discussion due to connectivity issues. [See Document EC/3/SR/1]

### **III FOLLOW-UP ACTIVITIES OF THE THIRD MEETING OF THE SIDS DOCK EXECUTIVE COUNCIL**

8. On the recommendation of the Chair and Bureau, the Executive Council decided through silence procedure to: 1) mandate the Interim Secretariat to continue its work on the matters contained under Agenda Item 4 of the Agenda of the third Meeting of the Executive Council (EC/3/1); and 2) for the Committee for the Selection of a Secretary- General to continue its process and conclude its work as soon as possible, and report back to the Executive Council. [See Document EC/3/SR/1/Add.1]
9. The Executive Council approved and agreed to the sending of a letter to the Permanent Representative of Japan to the United Nations concerning the funds for the SIDS DOCK being administered through the World Bank, as it was a contribution by the Government of Japan to the SIDS DOCK.
10. On 31 December 2016, the Bureau of the Executive Council disseminated the Report of the Committee for the selection of the Secretary-General, as contained in document EC/3/CR/1, and through silence procedure requested the Council to approve the Committee's Report and its recommendations.
11. On 12 January 2017, the Executive Council, on the recommendation of the Committee for the selection of the Secretary-General agreed to transmit Decision EC/3/DC/1 to the President of the second Assembly of SIDS DOCK.
12. On 13 January 2017, the Chair of the Executive Council transmitted Decision EC/3/DC/1 to the President of the second Assembly of SIDS DOCK [EC/2017/1] regarding the selection of a Secretary-general to the SIDS DOCK.

### **IV FOURTH MEETING OF THE SIDS DOCK EXECUTIVE COUNCIL**

13. The Executive Council held its fourth Meeting in New York at the Commonwealth Joint Offices on 24 July 2017. The meeting was attended by the following Members - H.E. Dr. Vince Henderson (Dominica - Chair), Dr. Rhianna Neeley-Murphy (Bahamas), Dr. Kenrick Leslie (Belize) and Mr. Fitzroy James (Grenada); and two alternates - Mr. Rishy Bukoree (Mauritius/Observer) and Dr. Tevita Tukunga (Tonga).
14. In accordance with Article VII, paragraph 3, of the SIDS DOCK Statute, the Council re- elected by acclamation Ambassador Vince Henderson (Dominica) as Chair, Ambassador Ronald Jumeau (Seychelles) and Mr. Sione Foliaki (Samoa) as Vice Chairs, and Dr. Rhianna M. Neely-Murphy (Bahamas) as Rapporteur. The Bureau will serve for a one- year term, which will end on 23 July 2018, and would not be illegible to serve another consecutive term thereafter.

15. The Council took note, approved and requested that the following proposals be forwarded to the third session of the SIDS DOCK Assembly for its consideration and approval:

- (a) The Report of the Interim Secretariat on the implementation of the Work Programme and Budget for the period December 2015 to December 2016, as contained in document EC/4/2.
- (b) SIDS DOCK not-for-profit Status USA, as contained in Document EC/4/CRP/1 – This status will afford the Organization through its Foundation to solicit finances and raise funds in the USA.
- (c) Establishment of Liaison Offices in Vienna and New York, as contained in Documents EC/4/CRP/2 and EC/4/CRP/3, respectively. The Vienna Office will be hosted and funded by the Austrian Government and will be housed at the UNIDO facility. It will afford SIDS an opportunity to be present and participate in activities at this renewable energy hub. On the other hand, the New York Office will serve a crucial role of coordinating with the SIDS DOCK UN Member States, Other Member States of the UN, Development Partners, and the UN Entities and Secretariat. In addition to supporting the Permanent Mission of the President of the SIDS DOCK Assembly, and support public outreach and resource mobilization.
- (d) Ocean Thermal Energy Conversion (OTEC) proposal highlights how ocean-based energy technologies can propel SIDS to the development of a low carbon economy, with emphasis on generating sustainable blue-green gender-equality employment to replace those that will be lost due to the negative impacts of climate change. The proposal is to have at least five (5) interested SIDS to participate and to source funding through the Green Climate Fund (GCF) for this SIDS DOCK initiative, as outlined in Document EC/4/CRP/4.
- (e) Waste-to-Energy (WtE) proposal is promoting energy services from organic waste: integrated waste management solutions for coastal, marine and freshwater protection in SIDS as contained in document EC/4/3. It was noted that among SIDS there are varying degrees of coastal areas being contaminated by poor waste management practices from sewage plants, breweries and distilleries, agro-processors, and intensive livestock production, run-off from agriculture.
- (f) Proposal for the engaging of an expert in the area of climate change and natural disaster risk management with in depth knowledge of the SIDS energy sector to begin preparation of the funding proposal to provide seed funding to get the activity on the way for the SIDS DOCK Captive Insurance [Document EC/4/CRP/5]

## **V ADDITIONAL ACTIVITIES**

The Chair of the Executive Committee chaired a side event as part of the UN Ocean Conference, held in June 2017, at the United Nations Headquarters in New York. The side event focused on the challenges facing Small Island Developing States in managing the varied sources of high effluent liquid waste for sources such as (sewage treatment facilities, breweries, abattoirs, and

distilleries, and agro-processors. These liquid wastes contain high concentration of nutrients including phosphorus, which adversely impact coastal environmental quality and degradation of coral reefs. Presentations from SIDS scientists highlighted unique technology that were developed to address removal of nutrient from waste and the use for the production of energy, and fertilizers, that provide local employment and a economic options for waste management. The Side event was co-Sponsored by SIDS DOCK, the Caribbean Centre for Renewable Energy and Energy Efficiency (CCREEE) and UNIDO.

The Executive Council Chair worked with the Permanent Mission of the United Arab Emirates to finalize a USD 50 Million grant to the Caribbean SIDS, following up on an earlier grant of similar amount for the Pacific SIDS, to support renewable energy projects.

The Chair is a member of the CCREEE which was established under an MOU with UNIDO for establishing regional sustainable energy Centers in the Caribbean and Pacific.

Geothermal development support from the World Bank –The Chair negotiated funding for the development of the first geothermal commercial facility to be developed in the Eastern Caribbean states.

## **VI NEXT STEPS FOR THE EXECUTIVE COUNCIL**

1. Preparation and finalizing of the list of documents for the third Assembly of SIDS DOCK scheduled to be held in New York, on 23 September 2017.
2. Begin the process of getting the SIDS DOCK accredited to the United Nations General Assembly and other major entities of the UN.
3. Preparations to establishing the Headquarters and Liaison Offices:
  - (a) Staff Regulations and Rules
  - (b) Financial Procedure for the SIDS DOCK
  - (c) External Audit
  - (d) Policy on ethics and conflict of interest
  - (e) Agreement on Privileges and Immunities



Distribution: General

24 September 2017

*United Nations Decade of Sustainable Energy For All (2014-2024)*

Third Session of the Assembly of SIDS DOCK  
UN Headquarters, ECOSOC Chamber  
New York, New York  
23 September 2017

**Report of Belize as Depositary of the Statute Establishing the Small Island Developing States Dock (SIDS DOCK)**

**15<sup>th</sup> September 2017, New York, The SIDS DOCK Statute**

1. The instrument establishing the Small Island Developing States DOCK, (SIDS DOCK Statute) was opened for signature at the Third International Conference on Small Island States in Apia, Samoa from 1<sup>st</sup> to 5<sup>th</sup> September 2014. It remained open for signature at the Permanent Mission of Belize to the United Nations in New York acting on behalf of the Government of Belize as Depositary of the Statute until its entry into force.
2. The SIDS DOCK entered into force on 27<sup>th</sup> September 2015 being the thirtieth day after the date of deposit of the ninth instrument of ratification.
3. Accordingly, on 29<sup>th</sup> September 2015, Belize submitted the SIDS DOCK Statute to the United Nations Treaty Section in New York for registration pursuant to Article 102 of the Charter of the United Nations. A certificate confirming registration as of 1 February 2016 was issued on 3 June 2016 and is attached hereto as Annex 1.
4. The SIDS DOCK Statute remains open for ratification or accession at the Permanent Mission of Belize to the United Nations in New York. The Statute currently has 20 signatories and a total of 16 state parties. A table of the status of the Statute is attached hereto as Annex 2.

## ANNEX 1

No. 66672

**Certificate of registration**

The Secretary-General of the United Nations

hereby certifies that the following international agreement has been registered with the Secretariat, in accordance with Article 102 of the Charter of the United Nations:

No. 53471. **Multilateral**

Statute establishing the Small Island Developing States Dock (SIDS DOCK). New York, 9 July 2014

Registration with the Secretariat of the United Nations: Belize, 1 February 2016

Done at New York on 3 June 2016

For the Secretary-General

**Certificat d'enregistrement**

Le Secrétaire général de l'Organisation des Nations Unies

certifie par la présente que l'accord international indiqué ci-après a été enregistré au Secrétariat, conformément à l'Article 102 de la Charte des Nations Unies :

No. 53471. **Multilatéral**

Statut portant établissement de la Station d'accueil de l'initiative des petits États insulaires en développement (SIDS DOCK). New York, 9 juillet 2014

Enregistrement auprès du Secrétariat des Nations Unies : Belize, 1<sup>er</sup> février 2016

Fait à New York le 3 juin 2016

Pour le Secrétaire général



## ANNEX 2

## Statute of the Establishment of Small Island Developing States Dock (SIDS DOCK)

Entry into force: 27 September 2015, in accordance with Article XIX  
 Registration: United Nations 1 February 2016  
 Status: Signatories 20; Parties 16  
 Text: Permanent Mission of Belize to the United Nations  
 Note: The Instrument was opened for signature on 1 September 2014

	<b>PARTICIPANT</b>	<b>SIGNATURE</b>	<b>Ratification(R) , Accession (a), Acceptance (A), Approval (AA), Succession (d)</b>
1	Antigua and Barbuda		07 June 2016 a
2	Bahamas (Commonwealth of the)	1 September 2014	24 September 2015 R
3	Barbados	1 September 2014	06 July 2015 R
4	Belize	1 September 2014	31 March 2015 R
5	Cabo Verde	1 September 2014	
6	Cook Islands	1 September 2014	27 April 2015 R
7	Dominica (Commonwealth of )	4 September 2014	16 September 2014 R
8	Dominica Republic	1 September 2014	
9	Fiji (Republic of)	1 September 2014	
10	Grenada	1 September 2014	17 August 2015 R
11	Guinea Bissau	1 September 2014	
12	Jamaica		10 February 2017 a
13	Kiribati	1 September 2014	
14	Mauritius		07 March 2016 a
15	Micronesia (Federated States of)	4 September 2014	
16	Nauru (Republic of)	3 September 2014	
17	Niue	1 September 2014	
18	Palau (Republic of)	1 September 2014	

19	Saint Kitts and Nevis	1 September 2014	28 August 2015	R
20	Saint Lucia		02 October 2015	a
21	Saint Vincent and the Grenadines	1 September 2014	25 September 2014	R
22	Samoa (Independent State of)	1 September 2014	13 August 2015	R
23	Seychelles (Republic of)	1 September 2014	25 September 2015	R
24	Tonga (Kingdom of)		15 December 2015	a
25	Tuvalu	1 September 2014	1 September 2014	R



Distribution: General  
21 December 2017

*United Nations Decade of Sustainable Energy For All (2014-2024)*

Fourth Session of the Assembly of SIDS DOCK  
UN Headquarters, ECOSOC Chamber  
New York, New York  
29 September 2018

## Report on the Activities of the Executive Council for the Period September 2017 – August 2018

### INTRODUCTION

1. This report is submitted pursuant to Article VIII, paragraph 2, of the SIDS DOCK Statute. It provides an account of the progress made in the development of the Work Programme, the operationalization of the Organization, including the preparation of the pertinent operational documents and arrangements.
2. The SIDS DOCK Executive Council is responsible for overall policy and direction and for providing oversight and advice for the development of the institution. The Executive Council delegates responsibility for day-to-day operations to the Secretary-General and committees. States Parties of the SIDS DOCK, who have either ratified or acceded, will be invited to nominate members for the Executive Committee. Nominations shall be submitted through the State Party's United Nations Permanent Mission or other relevant Government Authority, where applicable (for Countries not having UN Permanent Missions).
3. Election and membership on the Executive Council shall reflect a range of professional expertise with individuals having multiple years of experience, and must have gender balance and equitable regional representation with no fewer than one (1) member from each regional group as established by UN-DESA (AIMS, Caribbean and Pacific). In addition, no two (2) members may be nationals of the same State.
4. The election of members of the Executive Council takes place annually during the Assembly. The first election of Members to the Executive Council was held during the inaugural session of the Assembly of SIDS DOCK, in Paris, France, in the margin of the UNFCCC COP 21, on 10 December 2015. Terms of Members of the Council will begin on 1 January and expire on 31 December. The following is a list of current and past members:

<b>Name of Member</b>	<b>Country</b>	<b>Term of Office</b>
Dr. Rhianna Neely-Murphy [Rapporteur]	Bahamas	2015 – 2017; 2018-2019
Dr. Kenrick Leslie	Belize	2015 – 2018
H. E. Dr. Vince Henderson [Chair]	Dominica	2015 – 2017; 2018 - 2019
Mr. Fitzroy James	Grenada	2015 – 2016; 2017 - 2019

H.E. Mr. Jagdish Dharamchand Koonjul	Mauritius	2017 – 2019
Mr. Sylvester Clauzel	Saint Lucia	2015 - 2016
Mr. Ellsworth Dacon	Saint Vincent & the Grenadines	2015 - 2016
Mr. Sione Foliaki	Samoa	2015 – 2018
H. E. Mr. Ronny Jumeau [Vice Chair]	Seychelles	2015 – 2017; 2017 - 2019
H.E. Mr. Aunese Makoi Simati	Tuvalu	2017 – 2019
Dr. Tevita Tukunga [Vice Chair]	Tonga	2015 – 2018

## II FIFTH MEETING OF THE SIDS DOCK EXECUTIVE COUNCIL

5. The fifth meeting of the Executive Council of SIDS DOCK was held in New York, on Saturday, 21 July 2018. The Meeting was attended by the following Members of the Council: H.E. Dr. Vince Henderson (Dominica); Dr. Rhianna Neeley-Murphy (Bahamas); Mr. Sione Foliaki (Samoa); H.E. Mr. Ronald Jumeau (Seychelles); Dr. Tevita Tukunga (Tonga). In addition, H.E. Ms. Keisha McGuire (Grenada); and Mr. Rishy Bukoree (Mauritius) were in attendance as observers.
6. Noting that in accordance with Article VII, paragraph 3, of the Statute of the SIDS DOCK, the Executive Council is to elect at its annual meeting, a Chair and two Vice Chairs, and further noting that the current Bureau has served its maximum term, without setting a precedence, the current Bureau's term will end on 31 December 2018. The Council elected by acclamation, H.E. Mr. Ronald Jumeau (Seychelles) as Chair, Dr. Rhianna Neeley-Murphy (Bahamas) and Dr. Tevita Tukunga (Tonga) as Vice Chairs. The Bureau will serve for a one-year term, which will end on 31 December 2019, and would not be eligible to serve another consecutive term thereafter.
7. The Secretariat informed that it has begun the research and initial consultations into the SIDS DOCK being accredited to the UN General Assembly (UNGA), and that it was informed that a UN Member State would have to be the one to submit the request to the UNGA for its consideration and approval. The Council agreed that Belize, as the Host Country of the SIDS DOCK, should take the lead in this matter, and approved the draft documents and mandated the Secretary-General to communicate to the Ministry of Foreign Affairs of Belize, the desires of the Council to have the SIDS DOCK accredited to the UNGA, during its 73<sup>rd</sup> session.
8. Update on the Host Country Agreement – the Secretariat has been closely working with the Ministry of Foreign Affairs in Belize on the matter, along with the 5Cs regarding preparations to house the SIDS DOCK Secretariat. Preparations are in the final stages.
9. SIDS DOCK not-for-profit Status, USA, and the SIDS DOCK Foundation (EC/5/CRP/2) - the process is in the final stages of trying to meet all the requirements of the United States of America (USA) Internal Revenue Service (IRS), due to the unique nature of the Foundation. The Council approved the SIDS DOCK Foundation Strategy 2018-2028, and further decided that the Trustees would not receive salaries, and recommended the Secretariat continue its consultations with the lawyer firm and to provide written responses regarding the questions on honorarium and tax liability for non-USA citizens/non-green card holders and those not authorized to work in the USA.
10. SIDS DOCK Renewable Energy Finance Platform (REFF) - Risk Financial Facility for Projects [EC/4/CRP/6]: The Secretariat is in receipt of two letters of endorsement from Grenada and the Commonwealth of the Bahamas and is awaiting a letter from the Commonwealth of Dominica

and Belize. The Secretariat advised it is looking to include Pilot countries from the Pacific and the AIMS regions, and will recirculate the document to allow them to consider and indicate their interest.

11. SIDS DOCK Blue Guardians Green Climate Fund (GCF) Proposal – Partnering for Development of Climate-Resilient Blue Economies and Protecting the Oceans (EC/5/CRP/4) - The Secretary-General requested the Executive Council to reopen the proposal so that the two additional countries may be included - the current proposal would be able to accommodate this inclusion. The Secretariat is working with UN Environment, in addition to its initial partners such as GRID-Arendal, in an effort to finalize the funding proposal to the GCF. The Executive Council agreed to reopen the proposal on the Blue Guardians to include Barbados and Grenada.
12. Pilot Project for Electric Mobility Vehicles in SIDS (EC/5/CRP/4) - The Secretariat has been consulting with representatives from various automobile companies, including Tesla, Nissan, BMW, and Toyota, and the response to an aggregated procurement by government to introduce electric fleet vehicles is considered viable at a level of 250 vehicles, per year - savings realized is reduction of 20%-40% in operational costs. The Executive Council agreed to moving forward with the proposal of electric vehicles for government fleets. It recommended to the Secretariat that it begins consultations with countries as well as to look into how this initiative can be expanded to the general public as there may be a roll off benefit to this.
13. SIDS DOCK Island Women Open Network (IWON) Presentation: Pilot Initiative for the Development of a Global Sustainable Botanical/Herbal Supplier Market from SIDS DOCK Member States (EC/5/CRP/5) - This initiative was launched last year, on the margins of the SIDS DOCK Assembly, and a Memorandum of Understanding (MoU) was signed with the Rivkin Radler (RR) law firm and Ullman, Shapiro Ullman of Counsel to RR, who will be providing legal support to the Initiative. The Executive Council recommended that the Secretariat continue their engagements with Rivkin Radler, Ullman Shapiro Ullman, in an effort to solidify this project initiative and to complete the identification of SIDS DOCK member countries with interest to begin preparation of the programme document and the project proposals, and to continue to engage the Really Interesting Picture Company, on SIDS DOCK communication efforts.
14. SIDS DOCK Captive Insurance, EC/5/CRP/1 - The Executive Council recommend that the Secretariat discuss with the paper with the new AOSIS Chair, with the aim to have this included in the boarder discussion on “Loss and Damage under the UNFCCC Negotiations”. In addition, it recommended that the Secretariat continue to work on the initiative bringing more awareness to SIDS, especially governments and the private sector, with the aim of further addressing the current insurance problems and gaps, how to improve the insurance and the importance of resilient building, and this being a part of the insurance.
15. Other matters discussed at the meeting under, “Any Other Business,” included:
  - (a) Her Excellency Ms. I. Rhonda King, Ambassador and Permanent Representative of St. Vincent and the Grenadines to the UN, reluctantly tendered her resignation as Chair of the IWON, due to her heavily packed scheduled and Mission activities. Ambassador King recommended H.E. Ms. Keisha McGuire, Ambassador and Permanent Representative of Grenada to the UN, as a possible replacement as Chair. The Secretariat consulted with IWON members on the recommendation and the members agreed to having Ambassador McGuire complete the term of Ambassador King which expires 31 December 2019. The Council appointed by acclamation, with immediate effect, H.E. Ms. Keisha McGuire (Grenada) as Chair of the IWON Committee for the duration of Ambassador King’s term, which expires 31 December 2019.

- (b) Update on the SIDS DOCK Children’s and Mentorship Programmes – These two programmes are aimed at nurturing and fostering a cadre of children and young professionals who will provide the future leadership in SIDS, and to develop cross-cultural relationships among young people outside of SIDS. Two activities were proposed (a) Presentation of a 3-minute video at the fourth Assembly, promoting “SIDS Day In The Seychelles: “How Can You Champion Girl’s Or Women’s Rights In SIDS?” and (b) Visits to the Japan and Israel UN Missions by two young girls, based in New York, who are interested in working with the Seychelles to foster relationships with children in SIDS, working with their native missions. Japan and Israel are good friends of the SIDS DOCK. The Executive Council agreed to the showing of the Children’s video during the fourth Assembly, and the Secretariat facilitating the visits to the Japan and Israel UN Missions.

16. The Executive Council agreed to await further information from the Secretariat regarding the convening of the sixth meeting

## **V ADDITIONAL ACTIVITIES**

The Chair is a member of the CCREEE which was established under an MOU with UNIDO for establishing regional sustainable energy Centers in the Caribbean and Pacific. The Chair was appointed Chair of the CCREEE at the first meeting of its Executive Committee in July 2018.

Geothermal development support from the World Bank –The Chair negotiated funding for the development of the first geothermal commercial facility to be developed in the Eastern Caribbean states.

## **VI NEXT STEPS FOR THE EXECUTIVE COUNCIL**

1. Preparation and finalizing of the list of documents for the fourth Assembly of SIDS DOCK scheduled to be held in New York, on 29 September 2018.
2. Submission of Resolution for Observer status for the Small Island Developing States Dock (SIDS DOCK) accreditation to the United Nations General Assembly (UNGA) and other major entities of the UN, during its 73rd session.
3. Continue to work with Belize and the CCCCC to finalize establishment of the Headquarters.
4. Finalize documentation for the SIDS DOCK not-for-profit Status, USA, and the SIDS DOCK Foundation, including the SIDS DOCK Foundation Strategic Plan 2018-2028. The Secretariat to transmit a revised version of the document to the Assembly for its consideration, subject to comments received by the Council on the revised text as soon as possible. The Secretariat will also recirculate the by-laws, which were submitted to the IRS.
5. SIDS DOCK Renewable Energy Finance Platform (REFF): Risk Financial Facility for Projects - the Secretariat to recirculate the document to allow the AIMS and the PSIDS to reconsider and indicate their interest.
6. The Secretariat to reopen the proposal on the Blue Guardians, to include Barbados and Grenada.
7. Electric vehicles – The Secretariat to begin consultations with countries, as well as to look into how this initiative can be expanded to the general public as there may be a roll off benefit to this.



Distribution: General  
18 September 2018

*United Nations Decade of Sustainable Energy For All (2014-2024)*

Fourth Session of the Assembly of SIDS DOCK  
UN Headquarters  
New York, New York  
29 September 2018

**REPORT OF THE SECRETARIAT  
ON THE WORK OF SIDS DOCK  
JANUARY 2017 TO DECEMBER 2017**

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## I. INTRODUCTION

1. The period January 2017 to December 2017, brought the SIDS DOCK Organization closer to its goal of establishing its physical presence in Belize, and identifying staff, beginning with the appointment of the first SIDS DOCK Secretary-General, Dr. Albert Binger, in May 2017, and the signing of the Host Country Agreement by Belize, during the third session of the Assembly of SIDS DOCK, on 23 September 2017.
2. The Secretariat supported the convening of one session of the Assembly and the first official meeting of the SIDS DOCK Island Women Open Network (IWON) Committee (September 2017), and one Executive Council meeting (July 2017) that adopted decisions, reviewed and made recommendations for further work on the Work Programme, especially in the areas of: waste-to-energy, ocean energy, developing a risk mitigation platform, gender and energy, resource mobilisation, and public education and awareness.
3. These important organizational achievements were overshadowed by the devastating impacts of Hurricanes Irma and Maria, in September 2017, that rendered the island of Barbuda inhabitable, and destroyed 90% of the building stock in Dominica - where over 30 deaths were reported and there are still persons reported missing. The graphic images of Barbuda's and Dominica's destruction in the aftermath of Hurricanes Irma and Maria, stunned Member States, and a moment of silence was observed during the third session of the Assembly of SIDS DOCK.
4. Subsequent to the devastation in Dominica, the Secretariat was requested to provide technical support to Dominica, in terms of drafting of a, "*Proposed Roadmap For Building A Climate Resilience Economy For The Commonwealth Of Dominica: Critical Priority Actions & Plans For Implementation,*" articulating the need for the establishment of a Climate Adaptation and Resilience Agency (CARA), which was adopted by Dominica, in November 2017, as the Climate Resilient Execution Agency of Dominica (CREAD), with the Government committed to establishing an executive agency that will rebuild Dominica as a climate resilient nation.
5. The inauguration ceremony of the Pacific Centre for Renewable Energy and Energy Efficiency (PCREEE) took place on 26 April 2017, in conjunction with the regional meeting of the Pacific Ministers for Energy and Transport schedule and to take place between 24 to 28 April 2017 in Nuku'alofa, Kingdom of Tonga. The PCREEE is the second UNIDO-supported SIDS Regional Centres, funded by the Austrian Development Agency (ADA), the first being the Caribbean Centre for Renewable Energy and Energy Efficiency (CCREEE), inaugurated in 2015, in Barbados.
6. In May 2017, the Secretary-General, who also serves as the Interim Executive Director for the Caribbean Centre for Renewable Energy & Energy Efficiency (CCREEE), delivered a presentation to the Caribbean Electric Utility Services Corporation (CARILEC) Chief Executive Officers and Finance Conference, held in St. Lucia, from 16-19 May 2017, on, "*A Unique Role for Natural Gas Products in Substituting Liquid Petroleum Fuels and Building Climate Resilience in the New Utility Energy Services Model.*"
7. In June 2017, SIDS DOCK participated at the UN Ocean Conference, held in New York, at the UN Headquarters, from 5-9 June 2017, where the Secretary-General was a special guest speaker. The event announced SIDS-specific Voluntary Commitments which are a direct contribution to the outcome of the Ocean Conference, on behalf of SIDS and their partners.
8. In July 2017, meetings and communication were held with the Inter-American Development Bank (IDB) and the Ministry of Finance, Development Policy Division, International Bureau of Japan,

to discuss ways to collaborate on financing, risk mitigation and technical support; and to update the Government of Japan on SIDS DOCK's new governance structure, respectively.

9. **The Host Country Agreement** was signed in September 2017, during the third session of the Assembly, by Honourable Wilfred Peter Elrington, LLB. CLE.SC., Minister of Foreign Affairs of Belize, and Dr. Albert Binger, Secretary-General of SIDS DOCK, on behalf of the Government of Belize and SIDS DOCK, respectively.
10. **SIDS DOCK Foundation and Trust Fund** in support of capacity building and project implementation the Assembly requested the Secretariat to continue to pursue the matter with the relevant authorities, and to move forward with the establishment of the Foundation. Between October 2017 to December 2017, the Foundation's initial directors were appointed; the Bylaws of and for the Foundation were adopted; the principal executive office of the Foundation was registered, and the Secretary of the Foundation was authorized and directed to apply to the United States Internal Revenue Service for Recognition of Exemption Under Section 501(c)(3) of the Internal Revenue Code.
11. **Strong and Genuine Partnerships** has been forged with new partners. In December 2017, SIDS DOCK started discussions with Kaua'i Island Utility Cooperative (KIUC), a Hawaii based not-for-profit generation, transmission and distribution cooperative owned by the members it serves on the island of Kauai, to facilitate KIUC and SIDS DOCK working together. Discussions also began with Rivkin Radler LLP ("RR"), Ullman, Shapiro and Ullman, LLP ("USU) to facilitate cooperation to for development of a "Pilot Initiative for the Development of a Global Sustainable Botanical / Herbal Supplier Market from SIDS DOCK Member States".
12. **Work on the Blue Guardians Programme** continued, in partnership with GRID-Arendal and other partners, developing the proposal piloting the development and strengthening of national capacities to better utilise science resources, information, and technology tools to build climate resilience of coastal communities and economies with an emphasis on oceans.
13. **Climate Resilience work** A draft concept for a Captive Insurance Mechanism was circulated to members of the Executive Council; it's a self-owned and managed insurance mechanism that would provide SIDS DOCK members with insurance against climate change impacts for economic assets in countries where such risk instruments are becoming increasingly costly as a result of the more frequent occurrence of weather-related disasters, or in countries where the market is too small and consequently there is no availability.
14. **Support of the SIDS DOCK Mission** came from: UNIDO, Austria, Spain, Sweden, Ludvik Energy, and Earth Council. For the reporting period, more than USD 180,000 was raised in support of start-up activities, convening of statutory meetings, and participation at key SIDS DOCK events.
15. **Membership has remained the same, to date:** sixteen (16) countries are now members of SIDS DOCK: Antigua & Barbuda, Bahamas, Barbados, Belize, Cook Islands, Dominica, Grenada, Jamaica (2017), Mauritius, Samoa, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, Seychelles, Tonga and Tuvalu. There are nine (9) signatories who have not yet ratified.

## II. ASSEMBLY

16. The Assembly held one session during the reporting period.

### *Third Session*

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17. The third session of the Assembly of SIDS DOCK was held on 23 September 2017, in New York, at the UN Headquarters, ECOSOC Chamber, on the margins of the 72nd UN General Assembly. Honourable Danny Faure, President of the Republic of Seychelles, was elected as President of the third Assembly.

18. H.E. Ambassador Ronald Jumeau, Permanent Representative of the Republic of Seychelles to the United Nations, expressed his President's regrets for not being able to attend. He expressed the profound gratitude of the President and the Republic of Seychelles for the confidence bestowed on him to lead the Organization as President of its second Assembly. Through his statement, President Faure expressed his condolences and thoughts to the Caribbean islands devastated by the recent Hurricanes. He noted that these were important reminders of the need to strengthen work for the resilience of SIDS. President Faure and Republic of Seychelles pledged to serve SIDS DOCK in its best ability.
19. The Assembly further elected by acclamation, Her Excellency Ms. Inga Rhonda King, Permanent Representative of St. Vincent and the Grenadines to the UN, and His Excellency Mr. Mahe 'Uli'uli Sandhurst Tupouniua, Permanent Representative of the Kingdom of Tonga to the UN, as the Vice-Presidents of the third Assembly of SIDS DOCK, term to expire September 2018.
20. The session was attended by ten (10) SIDS DOCK Member States, two (2) signatories, two (2) AOSIS Members who are non-Signatories, and three (3) Organizations and Agencies.
21. At this session, the Assembly adopted two decisions; one appointing the Secretary-General of SIDS DOCK with effect from 1 May 2017; and secondly, the appointment of three (3) of nine (9) members to the Executive Council. The Assembly further mandated the Executive Council in collaboration with the SIDS DOCK Secretariat and the SIDS DOCK *pro bono* lawyers, requested the Secretariat to continue to pursue the matter with the relevant authorities, and to move forward with the establishment of the Foundation, and to provide the next Assembly with updates.
22. After consultations with the membership of the Executive Council, it was decided that the current Bureau would be re-elected to serve one more term. The Council re-elected by acclamation H.E. Ambassador Vince Henderson (Dominica) as Chair, H.E. Ambassador Ronald Jumeau (Seychelles) and Mr. Sione Foliaki (Samoa) as Vice Chairs, and Dr. Rhianna M. Neely-Murphy (Bahamas) as Rapporteur. The Bureau will serve for a one-year term, which will end on 23 July 2018, and would not be illegible to serve another consecutive term thereafter.

### **III. EXECUTIVE COUNCIL**

23. The Executive Council held one meeting under this reporting period.

#### ***Fourth Meeting***

24. The fourth meeting of the Executive Council of SIDS DOCK was held in New York, on 24 July 2017. The Meeting was attended by the following Members of the Council: H.E. Dr. Vince Henderson of Dominica; Dr. Rhianna Neeley-Murphy of The Bahamas; Dr. Kenrick Leslie of Belize; Mr. Fitzroy James of Grenada; and Dr. Tevita Tukunga of Tonga. In addition, to one Alternate Mr. Rishy Bukoree of Mauritius. Six (6) of the eight (9) members of the Executive Council was in attendance.

### **IV. DEPOSITARY**

25. The Government of Belize, in its capacity as Depositary to the SIDS DOCK Statute has continuously updated the Assembly, the Executive Council and the Membership on the status of the Statute. To date the depositary has confirmed the receipt of sixteen (16) instruments - eleven (11) instruments of ratification, four (4) instruments of accessions and two (2) instrument of acceptance. There are nine (9) signatories who have not yet ratified.

## V. HOST COUNTRY

26. **The Host Country Agreement** was signed in September 2017, during the third session of the Assembly, by Honourable Wilfred Peter Elrington, LLB. CLE.SC., Minister of Foreign Affairs of Belize, and Dr. Albert Binger, Secretary-General of SIDS DOCK, on behalf of the Government of Belize and SIDS DOCK, respectively. The establishment of the Secretariat has been approved by the appropriate Government officials and it is now going through the administrative process to release the funds.

## VI. SECRETARIAT

### *Institutional Arrangements*

27. Establishment of a tax exemption US-based organization is in progress. Its establishment will facilitate the mobilizing of resources from foundations, corporations, philanthropists and individuals in the US and elsewhere, to support SIDS DOCK. In October 2017, Certificate of Incorporation of the Foundation was ratified and affirmed and filed with the Delaware Secretary of State.
28. In December 2017, through, “Action by Unanimous Written Consent in Lieu of the Organizational Meeting of the Board of Directors of the SIDS DOCK Foundation,” the Foundation’s initial directors were appointed; the Bylaws of and for the Foundation were adopted; the principal executive office of the Foundation was registered, and the Secretary of the Foundation was authorized and directed to apply to the United States Internal Revenue Service for Recognition of Exemption Under Section 501(c)(3) of the Internal Revenue Code. The following were elected as officers of the Foundation, to serve until the next annual meeting or until their successors are duly elected and have qualified:

Chairman of the Board:	Vince Henderson
President:	Albert Binger
Vice President:	Ali'ioaiga Feturi Elisaia
Vice President:	Ronald Jumeau

### *Staffing*

29. The organization staffing during the period consisted of part-time and volunteer staff: SIDS DOCK Secretary-General, Projects Coordinator, IWON Advisor, and a Liaison Coordinator supported by a *pro bono* Legal Counsel from the Washington DC, USA-based law firm, Squire Patton Boggs.
30. The SIDS DOCK Secretary-General is responsible for organizational development, resource mobilisation and assistance to members states.
31. The Projects Coordinator manages information and communication with members and assists the Secretary-General with organizational and partnership development.
32. The IWON Advisor is based in New York, and assists with coordination of the IWON Project Pipeline, in particular, the IWON Livelihoods Programmes.
33. The Liaison Coordinator is based in New York, supporting relationships with the members and organizing meetings of the Assembly and Executive Council.

## VII. IMPLEMENTATION OF THE WORK PROGRAMME AND BUDGET

### A. THEMATIC PROGRAMME AREAS

34. The thematic areas are based on the Objectives in the Statute, Article II.

## **ADVOCACY FOR RENEWABLE ENERGY DEVELOPMENT**

35. Ocean energy is the largest renewable energy resource common to all SIDS. Technological progress in Japan and France, driven by clean energy concerns have seen increased levels in investment in ocean energy technologies. Beginning with the SIDS technology fair in Mauritius, as part of the Second UN International Conference on Sustainable Development of Small Island Developing States, ocean energy technologies have been identified as a priority for SIDS.

36. To advance this segment of the organization's work programme as set out in the Statute, the Secretariat pursued the following activities:

37. In June 2017, SIDS DOCK participated at the UN Ocean Conference, held in New York, at the UN Headquarters, from 5-9 June 2017, where the Secretary-General was a special guest speaker. A major highlight was the SIDS DOCK Side Event on 8 June - "*Energy services from organic waste for productive uses – integrated waste management solutions for coastal, marine and freshwater protection in Small Island Developing States (SIDS)*," in partnership with the United Nations Industrial Development Organization (UNIDO), the Caribbean Community (CARICOM) Energy Programme and the Caribbean Centre for Renewable Energy and Energy Efficiency (CCREEE), where over 100 people were in attendance. The Secretariat also participated in the, "*High Level Dialogue: Oceans and Small Island States*", on 5 June, co-organized with the UN-HROLLS, and AOSIS. The event announced SIDS-specific Voluntary Commitments which are a direct contribution to the outcome of the Ocean Conference, on behalf of SIDS and their partners.

38. Development, in November 2017, of Terms of References for an OTEC Intergovernmental Expert Team to provide advice and guidance in keeping with the approved Draft Concept Note – SIDS DOCK Heads of State & Government OTEC Initiative 2023: Bring Dominique Home [EC/4/CRP/4]. The 2023 Strategy for the Commercial-scale Deployment of Ocean-based SIDS-Appropriate Energy Technologies: Ocean Thermal Energy Conversion (OTEC). To facilitate development of a proposal, the Secretariat began drafting a Green Climate Fund (GCF) Concept Note: *Establishment of Feasibility Study Revolving Fund for the Development of Ocean Resources to provide energy services, and Water and Food Security – The Uehara Project*, involving eleven (11) member countries: Antigua and Barbuda, Belize, Bahamas, Grenada, Jamaica, Fiji, Seychelles, Mauritius, Samoa, Tonga, Tuvalu.

## **MOBILIZING FINANCIAL AND TECHNICAL RESOURCES**

39. The Secretariat utilizes two primary means for mobilizing financial and technical resources in support of member governments in two areas, sustainable energy and building climate resilience. Partnerships with research organization, academia, private sector and consultants represent the dominant means through which the Secretariat has provided technical assistance to member countries, and the preparation of concept paper and proposals to identify potential funding sources. The main area of activities where technical and financial resources mobilized in the period was in the areas of:

### ***Sustainable Energy***

- (a) Energy Efficiency: In partnership with the CCCCC, and with funding from the GEF, a Pilot Energy Efficiency Project for buildings is being implemented in five (5) Caribbean Member states – the *UNEP-GEF Energy for Sustainable Development in Caribbean Buildings*. The Secretariat provides technical assistance to the CCCCC as the implementing agency, additional technical assistance is being provided by US Department of Energy, National Renewable Energy Lab (NREL). The Secretariat has been supporting the CCREEE leadership in reaching

Agreement with the Austrian Development Agency for the provision of an energy efficiency expert to support development of the regional energy efficiency programme and building on the lessons learned during the pilot.

- (b) Preparation of a Concept Paper for a potential Green Climate Fund (GCF) project to co-finance a “*Conditionally Recoverable Grant Mechanism to support EE Activities.*” The draft concept paper is with the CCCCC for review and for submission to the GCF. The CCCCC is an accredited regional implementing entity of the GCF. The level of support being sought is USD 25 million to provide co-financing of seed capital.
- (c) The Blue Guardians Programme Proposal, being developed in partnership with GRID-Arendal from Norway, and IT and private sector partners from the project, is focused on piloting the development and strengthening of national capacities to better utilize science, information and technology to build national and climate resilience of coastal communities and economies. A Draft Concept Note and Proposal for submission to development partners and the GCF is under preparation.

### ***Bilateral Partnerships***

40. The Executive Council has identified bilateral partnerships as a priority for the mobilization of technical and financial resources. Below is a brief summary of the current partnerships:

- (a) Jamaica Waste-to-Energy Project Concept Paper: Based on the request from the Jamaican government, a draft concept paper for an integrated project to minimize air and coastal pollution as well as protecting coastal ecosystems was prepared by the Interim Secretariat. The proposed project would manage solid waste and wastewater generated in the Kingston Metropolitan Area (KMA), to produce some 50 MW of baseload power and some 50 million gallons, per day, of nutrient rich irrigation water, and a hundred of tons, per day, of organic fertilizer. The Government is now planning on issuance of a Request for Proposal to implement the project.
- (b) In partnership with ACCIONE, a Spanish Sustainable Energy Company, projects are being evaluated in: (i) Jamaica, for a 2 MW PV project for the University of the West Indies, Mona Campus, including a Training facility, (ii) a 10 MW wind farm in Antigua and Barbuda, is also being examined. Discussions are ongoing.
- (c) Waste Characterization Studies in Antigua and Barbuda and Dominica to determine best economic options for use. The Antigua study has been completed. Hurricane Maria has delayed the study in Dominica.
- (d) As part of the resource mobilization efforts the Secretariat submitted proposals to the following governments and organizations for the provision of grant funding for institutional development: Rockefeller Foundation, and the Governments of Spain and Italy. Follow-up discussions began in November 2017.

### **PROMOTION OF SUSTAINABLE USE OF NEW AND RENEWABLE ENERGY**

41. ***Belize Biomass Research and Development Project:*** Developed in partnership with the Government of Belize, Clinton Foundation, and the Belize Sugar Company, the research project is to provide information on the feasibility of establishing a biomass plantation that would produce an estimated 250,000 tons of biomass as fuel for the sugarcane factory co-generation plant to facilitate year-round generation of baseload power for export to the national grid. The research is to determine the agricultural practices for growing *Arundo donax*, a fast-growing grass found in Belize, on lands that are not viable for food production. The project would reduce the need for the importation of fossil fuel generated power from Mexico, and provide new employment in rural communities. Assistance is being provided by NREL in addressing issues related to biodiversity. This project is directly linked to the SIDS DOCK goals for increased green electricity generation,

and transportation fuels substitution as the biomass produced can also be converted to substitute fuel for compression ignition engines (diesel).

## **B. ACTIVITY AND BUDGET PROJECTIONS FOR THE SIDS DOCK SECRETARIAT**

42. The principal sources of funding for SIDS DOCK activities in the member states came from the funds from Denmark (US \$14.5 million) and Japan (US \$15 million) administered by the UNDP and World Bank ESMAP, and World Bank, respectively. No funding from these sources go through or is accessed by the Secretariat. The funding to support the Secretariat activities are mobilized as needed by the Secretariat staff, from partners and foundations.
43. The activities that required financing during the period were the third Assembly, in September 2017, in New York USA. Funding was also raised to help cover the preparation, travel and convening of the Fourth Meeting of the Executive Council Meeting in New York, USA, in July 2017, and the first meeting of the SIDS DOCK IWON Committee, in September 2017; and travel for the SIDS DOCK Secretary-General. Contributions to financing these events came from UNIDO, Austria, Spain and the Earth Council.
44. It is to be noted that the CCCCC continues to provide significant administrative support.

## **VIII. PROGRAMMES**

### **SIDS REGIONAL CENTRES**

45. With support of UNIDO, the Pacific Centre for Renewable Energy and Energy Efficiency (PCREEE) was established in Nuku'alofa, Tonga, in April 2017, and the Pacific Centre for Renewable Energy and Energy Efficiency is scheduled to be inaugurated in 2017,

### **SIDS DOCK ISLAND WOMEN OPEN NETWORK**

46. The First Meeting of the SIDS DOCK Island Women Open Network (IWON) Committee was convened pursuant to Section K, Items 1 and 2 of the Terms of Reference establishing the IWON as a Committee of the Executive Council. The meeting was held in the Commonwealth Joint Offices, New York on 22 September 2017, and was chaired by H.E. Ms. I Rhonda King, Permanent Representative of St. Vincent and the Grenadines to the United Nations. Ms. Jeanette Larue (Seychelles) was appointed Vice Chair (AIMS). Hurricanes Irma and Maria restricted participation. The meeting was sponsored by UNIDO, Spain and Austria.
47. The committee adopted three decisions; one, to continue working with Rivkin Radler on the Herbal Project and to continue developing the SIDS DOCK Children's Programme under the SIDS DOCK PEP (Public Education Programme); and to pursue development of a partnership with CIEMAT - Centro de Investigaciones Energéticas, Medioambientales y Tecnológicas - the Spanish Energy, Environment and Technology Research Centre reporting to the Ministry of Science and Innovation for training and capacity building in RE&EE.
48. The IWON launched the first issue of its newsletter, IWONDER! The newsletter will be published annually.

49. Mr. Solomone Fifita, Manager, Pacific Centre for Renewable Energy and Energy Efficiency (PCREEE) and SIDS DOCK Pacific Regional Coordinator was presented with the 2017 SIDS DOCK Island Women Open Network (IWON) Excellency in Leadership Award
50. The SIDS DOCK IWON is being supported by the UNIDO, under a Memorandum of Understanding (MoU). The UNIDO Energy Branch is providing technical support to facilitate the start-up activities of the SIDS DOCK IWON.

## **IX. INSTITUTIONAL & PUBLIC-PRIVATE PARTNERSHIPS**

51. For the Third Conference on SIDS, leaders aimed to have **Partnerships** as the cornerstone of the conference, and called for the “strengthening of collaborative partnerships between SIDS and the international community” as one of the important ways and means to address new and emerging challenges and opportunities for the sustainable development of Small Island Developing States.
52. In December 2017, SIDS DOCK began discussions with Kaua’i Island Utility Cooperative (KIUC), Hawaii based not-for-profit generation, transmission and distribution cooperative owned by the members it serves on the island of Kauai since 2002. The partnership is designed to facilitate KIUC and SIDS DOCK working together, as appropriate, to disseminate information on the development and use of alternative energy options for the SIDS based upon the experience of KIUC, which may include utility scale power generation, distributed energy generation, demand management and energy efficiency programs.
53. In December 2017, discussions began with Rivkin Radler LLP (“RR”), Ullman, Shapiro and Ullman, LLP (“USU) to provide the general framework for cooperation between the Parties for development of a “Pilot Initiative for the Development of a Global Sustainable Botanical / Herbal Supplier Market from SIDS DOCK Member States” – a Regional Capacity Building Programme Focused on Biodiversity Protection and Conservation and to also increase the Institutional Strength and Technical and Entrepreneurship Capabilities of non-government and government organisations operating in the energy, water, waste management, agriculture, and tourism sectors, engaged in project implementation activities that contribute to resilience building. The aim of the partnership is (i) work toward the development of a regulatory infrastructure to support the development of a sustainable botanical/herbal supplier market for SIDS DOCK member states (“Herbal Initiative”); (ii) assist SIDS DOCK in the protection of its intellectual property interest and creation of general protocols and policies to be followed so as to protect any intellectual property created as part of the Herbal Initiative; and (iii) advise and assist in the development of general protocols and policies addressing the risk of cyber or other data breach and appropriate legal response should a cyber security incident occur.

## **X. CONCLUSION**

54. The devastating aftermath of Hurricanes Irma and Maria showed how vulnerable our economies are and our economies will not be able to withstand the now, and future climate. SIDS need to urgently and collectively set about the task of building an economy that has at its focus, the development and deployment of technologies that convert the vast renewable resources of the oceans and seas, and the high value of its biodiversity as the foundation for the future economy to take the place of tourism and agriculture.
55. There is even more urgency to the work of the Secretariat in fast-tracking the development of the Captive Insurance, the Risk Financing Facility, the Blue Guardians Programme, and the development of SIDS Ocean resources. These areas of the Work Programme go to the heart of the SIDS DOCK goals and addresses the question, “How do we finance adaptation, and how do we make our economies and islands more climate resilient?” One of our major challenges is the management of waste, and this is being addressed in partnership with the SIDS Regional

Centres and UNIDO. The longer we take to address waste management, the greater risk is upon the SIDS tourism industry which accounts for a significant amount of foreign exchange used to pay debt and finance social services.



Distribution: General  
24 September 2018

*United Nations Decade of Sustainable Energy For All (2014-2024)*

Fourth Session of the Assembly of SIDS DOCK  
UN Headquarters  
New York, New York  
29 September 2018

Report of Belize as Depositary of the Statute Establishing the Small Island  
Developing States Dock (SIDS DOCK)

29<sup>th</sup> September, 2018  
New York

1. The instrument establishing the Small Island Developing States DOCK, (SIDS DOCK Statute) was opened for signature at the Third International Conference on Small Island States in Apia, Samoa from 1<sup>st</sup> to 5<sup>th</sup> September 2014. It remained open for signature at the Permanent Mission of Belize to the United Nations in New York acting on behalf of the Government of Belize as Depositary of the Statute until its entry into force.
2. The SIDS Dock entered into force on 27<sup>th</sup> September 2015 being the thirtieth day after the date of deposit of the ninth instrument of ratification.
3. Accordingly, on 29<sup>th</sup> September 2015, Belize submitted the SIDS DOCK Statute to the United Nations Treaty Section in New York for registration pursuant to Article 102 of the Charter of the United Nations. A certificate confirming registration as of 1 February 2016 was issued on 3 June 2016 and is attached hereto as Annex 1.
4. The SIDS DOCK Statute remains open for ratification or accession at the Permanent Mission of Belize to the United Nations in New York. The Statute currently has 20 signatories and a total of 16 state Parties. A table of the status of the Statute is attached hereto as Annex 2.

No. 66672

**Certificate of registration**

The Secretary-General of the United Nations

hereby certifies that the following international agreement has been registered with the Secretariat, in accordance with Article 102 of the Charter of the United Nations:

No. 53471. **Multilateral**

Statute establishing the Small Island Developing States Dock (SIDS DOCK). New York, 9 July 2014

Registration with the Secretariat of the United Nations: Belize, 1 February 2016

Done at New York on 3 June 2016

For the Secretary-General



**Certificat d'enregistrement**

Le Secrétaire général de l'Organisation des Nations Unies

certifie par la présente que l'accord international indiqué ci-après a été enregistré au Secrétariat, conformément à l'Article 102 de la Charte des Nations Unies :

No. 53471. **Multilatéral**

Statut portant établissement de la Station d'accueil de l'initiative des petits États insulaires en développement (SIDS DOCK). New York, 9 juillet 2014

Enregistrement auprès du Secrétariat des Nations Unies : Belize, 1<sup>er</sup> février 2016

Fait à New York le 3 juin 2016

Pour le Secrétaire général

**STATUTE ESTABLISHING  
THE SMALL ISLAND DEVELOPING STATES DOCK  
(SIDS DOCK)**

*New York, 9 July 2014*

**ENTRY INTO FORCE:** 27 September 2015

**REGISTRATION:** 1 February 2016

**STATUS:** Signatories: 20. Parties: 16.

**TEXT:** Permanent Mission of Belize to the United Nations.

*Note: The Instrument was opened for signature at the Third International Conference on Small Island Developing States in Apia, Samoa from 1 to 5 September 2014.*

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Participant	Signature	Ratification (R) Acceptance (A) Approval (AA) Accession (a) Succession (d)	
1. Antigua and Barbuda		7 June 2016	a
2. Bahamas (Commonwealth of the)	1 September 2014	24 September 2015	R
3. Barbados	1 September 2014	06 July 2015	R
4. Belize	1 September 2014	31 March 2015	R
5. Cabo Verde	1 September 2014		
6. Commonwealth of Dominica	4 September 2014	16 September 2014	R
7. Cook Islands	1 September 2014	27 April 2015	R
8. Dominican Republic	1 September 2014		
9. Fiji (Republic of)	1 September 2014		
10. Grenada	1 September 2014	17 August 2015	R
11. Guinea Bissau	1 September 2014		

Annex 2

	<b>Participant</b>	<b>Signature</b>	<b>Ratification (R) Acceptance (A) Approval (AA) Accession (a) Succession (d)</b>	
12.	Jamaica		10 February 2017	a
13.	Kiribati	1 September 2014		
14.	Mauritius (Republic of)		07 March 2016	a
15.	Micronesia (Federated States of)	4 September 2014		
16.	Nauru (Republic of)	3 September 2014		
17.	Niue	1 September 2014		
18.	Palau (Republic of)	1 September 2014		
19.	Saint Kitts and Nevis	1 September 2014	28 August 2015	R
20.	Saint Lucia		02 October 2015	a
21.	Saint Vincent and the Grenadines	1 September 2014	25 September 2014	R
22.	Samoa (Independent State of)	1 September 2014	13 August 2015	R
23.	Seychelles (Republic of)	1 September 2014	25 September 2015	R
24.	Tonga (Kingdom of)		15 December 2015	a
25.	Tuvalu	1 September 2014	01 September 2014	R

As of 25 September 2018

Annex 2



Distribution: General  
24 September 2018

*United Nations Decade of Sustainable Energy For All (2014-2024)*

Fourth Session of the Assembly of SIDS DOCK  
UN Headquarters  
New York, New York  
29 September 2018

### **Report of the Credentials Committee**

1. In accordance with Rule 14 of the Rules of Procedure of the Assembly, the Assembly appointed a Credentials Committee consisting of the following four members:
  - Belize – Mr. Andrew Smith
  - Jamaica – Ms. Nicola Barker Murphy
  - Saint Vincent and the Grenadines – Ms. Marsena Ballantyne
  - Seychelles - Ms. Deborah Cholmondeley
  - Tuvalu - Mr. Fakaso Tealei
2. The Credentials Committee met on Wednesday, 26 September 2018 and elected Ms. Nicola Barker Murphy of Jamaica as Chairperson.
3. The Committee examined the credentials submitted to the SIDS DOCK Secretariat in accordance with Rule 14 of the Rules of Procedure of the Assembly in respect of the representatives attending the third session of the Assembly. The Credentials Committee had before it the information provided by the Interim Secretariat on the status of the credentials received as of that date.
4. The Committee determined that, as of 26 September 2018, the Members listed below had submitted credentials in the form required by Rule 14 of the Rules of Procedure of the Assembly. Those delegations that did not submit credentials but are represented by the competent authority were deemed to conform to the requirement.

The Committee recommends to the Assembly that the following Members are entitled to participate in its fourth session:

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1. Antigua and Barbuda
2. Bahamas
3. Barbados
4. Belize

5. Dominica
6. Grenada
7. Jamaica
8. Mauritius
9. Samoa
10. Saint Vincent and the Grenadines
11. Seychelles
12. Tuvalu

5. The Credentials Committee noted that a number of delegations attending the fourth session of the Assembly had not submitted any credentials. The Committee recalled the importance of submitting credentials in accordance with the Rules of Procedure of the Assembly and called on delegations to conform to this requirement at forthcoming sessions of the Assembly.
6. The Committee authorised the Chair to update its report orally when presenting it to the Assembly so as to reflect any additional credentials received by the Interim Secretariat subsequent to the meeting of the Credentials Committee.

Fourth Session of the Assembly of SIDS DOCK  
ECOSOC Chamber  
United Nations Headquarters  
New York, New York  
29 September 2018

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**THE SIDS DOCK FOUNDATION**  
*ISLAND ENERGY FOR ISLAND LIFE*

# **STRATEGIC PLAN 2018-2028**

**Approved by  
The SIDS DOCK Executive Council  
21 July 2018**

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**THE STRATEGIC PLAN**

**OUR WAY INTO THE FUTURE: “LEAVE NO ONE BEHIND”**

## **OBJECTIVES OF THE PLAN**

*The SIDS DOCK Foundation Strategic Plan 2018-2028* articulates the mission and vision of the Foundation and gives a succinct overview of the organisation's strategic framework for action. The Strategic Plan is not meant to be a blueprint; it is a living document which is regularly updated to take into account sustainable energy and climate resilience developments at the national, regional and international levels, and to reflect the Foundation's progress in implementing its strategic plans. It gives an indication of the challenges and changes facing SIDS DOCK Members, and efforts the Foundation is making to address them.

## **MISSION STATEMENT**

*“Our mission is to support the SIDS DOCK Organization’s Goal of **Island Energy For Island Life: 25-50-25 by 2033**, by identifying and implementing the needs for sustainable energy and climate resilience building in Small Island Developing States (SIDS) in the areas of investment financing, technical capacity, transfer of SIDS-Appropriate Technologies, carbon trading, and education. The appropriate programmes will then be funded by grants from our strategic investments and with our alliance partners.”*

### **SIDS DOCK FOUNDATION VISION**

*“Our vision for the future is one in which the SIDS DOCK Foundation is a recognised leader in promoting **Island Energy For Island Life**. We embrace the challenge of strengthening the capabilities of the SIDS DOCK Foundation and seizing strategic opportunities and forging partnerships to achieve this vision. In creating this Plan, we feel that we have developed strategies that are focused on assisting Islands Nations faced with growing climate threats to their future survival; forward-thinking yet realistic with detailed specific and measurable actions to achieve our goals. These strategies and actions are the key elements of this Strategic Plan.”*

## **CORE STRATEGIES**

1. Become the leading SIDS Strategic Organisation in promoting sustainable energy and climate resilience in small islands.
2. Promote *Island Energy For Island Life: 25-50-25 by 2033*, and work to help transform the SIDS to low carbon, “Blue-Green Economies.”
3. Increase the capacity of SIDS to become less vulnerable and more capable to respond and recover from the disruptions and destruction associated with increasing GHG atmospheric concentrations.
4. Build the Foundation’s organisational capacity to accomplish its mission.
5. Build the SIDS DOCK Foundation’s capacity to increase contributions, generate investment returns with a triple bottom line – social, environment and economic - and build an administrative endowment.

**SIDS DOCK PARTNERSHIP CORE VALUE STATEMENT:  
UNITED IN IMPLEMENTING PROJECT ACTIVITIES**

The Importance of Partnership – A Core Value of The SIDS DOCK Foundation  
We Recognise that The SIDS DOCK Foundation’s Effectiveness Relies on the  
Strength of our Partners

# OVERVIEW OF THE STRATEGIC PLAN

## Background

The SIDS DOCK Foundation is a unique trust that focuses on sustainable energy and climate resilience issues in small islands and low-lying developing states, working actively promoting the transformation of the energy sectors of the various Small Island Developing States (SIDS) to be low-carbon, energy efficient, and primarily based on renewable energy sources. The Foundation was formed in 2017, is in start-up mode and currently relies heavily on volunteers to do its work, including a part-time administrator and then in 2019, growing that position to Development Director, and hiring a Programme Officer to do outreach, education, and SIDS stewardship of the Oceans. The SIDS DOCK Foundation would be overseen by the SIDS DOCK Membership Organization: its Assembly, Executive Council, Secretary-General and Secretariat.

SIDS DOCK, considered “*an organisation with great potential*” that was created by Small Island Developing States (SIDS) to help finance climate change adaptation, has been described by international development organisations and donor agencies as, “innovative,” “radical,” and “transformative,” whereas for small islands, it is all that and much more - it is a survival mechanism intended to help avoid *following a path that will in all likelihood be worse than the worst case scenario for climate change generated by the Intergovernmental Panel on Climate Change (IPCC)*. SIDS DOCK Goals are to increase energy efficiency by 25 percent (2005 baseline) and to generate a minimum of 50 percent of electric power from renewable sources and a 25 percent decrease in conventional transportation fuel use: ***Island Energy for Island Life 25-50-25 by 2033***.

The purpose of this strategic plan is to articulate the long-range direction and priorities for the SIDS DOCK Foundation. The objectives and strategies described in this document **have been approved by our board of Directors on (DATE)** and will guide the Foundation’s efforts and investments over the coming ten (10) years. It provides the Foundation with a 10-year roadmap for support, services and organisation development. The Board of Directors and staff will review progress bi-annually, and will review and update the plan annually, as needed. This is the first version of a strategic plan ever developed by the Foundation.

The strategy addresses one of the biggest questions facing SIDS DOCK, the Sustainable Energy and Climate Resilience Organization, “How do we make ***Island Energy For Island Life: 25-50-25 by 2033*** an attractive investment? The Strategic Plan provides attractive investments for the private sector and non-governmental institutions, but the principle applies, with minor modification, in the public sector, where Public-Private Partnerships (PPPs) are promoted – the strategy is based upon Partnerships, an outcome of the United Nations Third International Conference on Small Island Developing States, in Samoa, in September 2014 - the S.A.M.O.A. Pathway<sup>1</sup>. The Foundation’s strategy will relate directly to the *SIDS DOCK Work Programme 2016-2022 (A/2/7)* and will assist SIDS DOCK to promote education and awareness of SIDS DOCK’s mission of promoting the development of renewable energy technology for SIDS and to mobilize financial and technical resources to support SIDS DOCK’s mission.

The SIDS DOCK Members identified some of the most important development challenges facing the SIDS community, recognizing that a serious and severe environmental, social, economic, political, and cultural challenge in the form of human-induced global climate change, and its adverse consequences,

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<sup>1</sup> SIDS Accelerated Modalities of Action [S.A.M.O.A.] Pathway. Outcome of the Third International Conference on Small Island Developing States (SIDS Conference), 1-4 September 2014, Samoa. Document. A/CONF.223/10. Available at: <<http://www.sids2014.org/index.php?menu=1537>>

confronts small islands and low lying coastal developing states. These challenges fall into four broad categories listed below<sup>2</sup>:

1. Adverse consequences of human-induced global climate change are likely to be accelerated and aggravated by globalization and increasing demand for fossil fuels.
2. Aggressive and excessive coastal zone development and inadequate safeguards.
3. Limited/inadequate measures to mitigate the harmful emissions of greenhouse gases.
4. Inadequate measures and extremely limited resources for highly vulnerable SIDS to adapt to the adverse consequences of human-induced global climate change, including rising sea levels, increased temperatures and carbon dioxide concentrations in the oceans and seas leading to the destruction of ecologically fragile and valuable marine ecosystems critical to population livelihoods and national economy.

Hundreds of leading climate scientists warned that the increasing concentration of greenhouse gases resulting in global warming is accelerating beyond the worst predictions and there is a significant probability that many of the trends will accelerate, leading to an increasing risk of abrupt or irreversible climatic shifts with catastrophic consequences for small islands. The SIDS are convinced that a *business as usual* approach to global warming will not provide the level of assistance SIDS will need to deal with these impacts. The relentless long-term dynamics of the greenhouse gases already in the atmosphere inevitably make adaptation to climate change an imperative to all societies. The fact that past emissions of carbon dioxide and other gases reside in the atmosphere for a long time, creates an unavoidable momentum, which implies that despite future emissions reductions, the physical impacts of anthropogenic climate change that we already observe, will continue, and likely become more severe, for decades to come. We now have dramatic examples of the serious disruptions that the impacts of climate change are having on states, regions and populations, as well as how they are trying to cope with them. This is what we mean by adaptation to climate change. Therefore, adaptation constitutes a key pillar of the dual, long-term objectives of creating low carbon, climate resilient societies.

In this plan, we present five compelling objectives to be achieved by 2028. Informing all of these objectives is The SIDS DOCK Foundation's commitment to focus on serving the SIDS DOCK Members to increase their quality of life and build resilience to the negative and devastating impacts of a changing climate by helping them increase energy security, reduce greenhouse gas emissions (GHG), and generate resources for investment in adaptation to climate change. The 10-year time horizon reflects our belief that the complex and interrelated issues facing SIDS can only be addressed through a long-range effort and sustained commitment. At the same time, we recognise the need to pursue these objectives with alertness and adaptability to new challenges, opportunities, and lessons, as they emerge.

This plan is the product of a three-year process led by the SIDS DOCK Executive Council, SIDS DOCK Secretariat and board members of The SIDS DOCK Foundation<sup>3</sup>. A central focus of the strategic planning effort was to solicit and listen to the diverse voices of the SIDS community. This was achieved through establishment of four Interregional Working Groups in 2013/2014 that involved nearly 1,200 individuals, including members of the public, donors, and leaders from the non-profit, business, and public sectors. Additionally, there were discussions involving hundreds of individuals attending the SIDS DOCK Side Events: *Critical Role of the Energy Sector In Climate Resilience, Climate Change Adaptation and Sustainable Development in Small Island Developing States (SIDS)*, 1-4 September 2014, at the Third SIDS Conference in Apia, Samoa.

We know that the Foundation will only exist because of public support. We take very seriously our obligation to earn the public's trust. The SIDS DOCK Foundation will be accountable to the public for our operations. To that end, we reaffirm our belief in the core values, which can provide assurance to our

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<sup>2</sup> Statute Establishing the SIDS DOCK, signed in Apia, Samoa, between the 1st and 5th September 2014, and in Belmopan City, Belize from 6th September 2014 onwards.

<sup>33</sup> Third Meeting of the SIDS DOCK Executive Council, 30 November 2016. *SIDS DOCK Work Programme Briefing Note - SIDS DOCK Institutional Structure*

donors, SIDS DOCK Members and the SIDS community that we will protect the assets entrusted to our care, make fair and unbiased, intentional decisions, and be a trusted organisation for philanthropic endeavours aimed at achieving *Island Energy For Island Life*.

In addition, as a newly-established foundation, like most strategic plans, this one does not address implementation, budgeting, and detailed tactics. In the months immediately following board approval of this plan, our staff, working closely with our board, SIDS DOCK members and development partners, will develop an aligned implementation roadmap and budget for the Foundation.

## INTRODUCTION – THE PLANNING PROCESS

The SIDS DOCK Foundation (SDF) was established on October 3, 2017, by members of the SIDS DOCK Foundation Board of Trustees and SIDS DOCK Members who wanted an independent organisation which would be able to help finance adaptation through the transformation of Small Island Developing States (SIDS) to low carbon economies, thereby generating significant savings from avoided imports of petroleum which in some countries require more than 100 percent of export earnings. During the evolution of the SIDS DOCK Organization throughout the last decade, the organization operated according to a profound core value, a core value that underpins the work of the Foundation - *United in Implementing Project Activities*. The Foundation is focused on meeting the needs of its beneficiaries and changes within the sustainable energy and climate change fields, as well as ensuring the continued strength of the SIDS DOCK Foundation in years to come.

*The SIDS DOCK Foundation Strategic Plan 2018-2028* provides direction and a planned pursuit of the vision and mission of the organization for the next 10 years. In October 2017, the SIDS DOCK Foundation embarked on a strategic planning process. In (DATE), SIDS DOCK Board members reviewed the draft of the *Strategic Plan*. A final version of the plan was approved by **unanimous consent** by the Board of at its (DATE) meeting.

The plan contains a vision and mission, values statement, and five goal areas that are critical to the SIDS DOCK Foundation exceeding beneficiaries' expectations. This plan represents the direction and focus of the organization from 2018 to 2028. It provides the organization with the ability to channel resources in a direction that yields the greatest benefit to SIDS. The strategic planning processes will enable the Foundation to plan and execute continuous organisational improvements. Furthermore, another desired goal is to achieve competitive advantage in order to generate sufficient revenue to support our programmes. The benefits of strategic planning include:

- Focuses the Foundation's resources on the programmes and activities that are essential to increasing SIDS satisfaction, lowering costs, and increasing donor value.
- Creates a planning and implementation system that is responsive, flexible, and disciplined.
- Facilitates cooperation among all SIDS DOCK Foundation staff.
- Reinforces the continuous improvement environment of the organization.
- Empowers managers and employees by providing them with the authority to carry out the planned activities.
- Promotes the efficient use of resources which minimises duplication, unnecessary and wasteful activities.
- Provides a "picture" of SIDS DOCK Foundation's strategies - as a result, employees and beneficiaries and donors know where the organization is headed.

SIDS DOCK goals are to assist the small island member states mobilize financing (grants, debt, and loans) in excess of USD 20 Billion, by 2033, to invest in the transformation of the Small Island Developing States (SIDS) Energy Sector to achieve a 25 percent (2005 baseline) increase in energy efficiency, generation of a minimum of 50 percent of electric power from renewable sources, and achieve a 25 percent decrease in conventional transportation fuel use in order to increase availability of financial resources to invest in building climate resilience in SIDS. SIDS account for less than one percent of the world's population. On average, in every small island developing state there is almost 30 percent of the population living below 5 metres above sea level. With the exception of two island nations, all countries are more than 90 percent dependent on the importation of fossil fuels. With rising oil prices, fuel import bills now represent up to 20 percent of annual imports of 34 island nations and between 5 to 20 percent of their Gross Domestic Product (GDP). Small islands are haemorrhaging precious foreign exchange, as each year, they import over 220 million barrels of petroleum fuels which cost more than USD 40 billion.

Our strategies are guided by the scientific research which projects that the people of SIDS will be among the first and most adversely affected by the impacts of a changing climate and sea level rise, as they are small in size, and the most dependent on environmental services for their livelihoods. Some

islands are faced with almost total destruction and loss of multiple lives and livelihoods, others with the growing likelihood of large displaced populations due to global temperature increases beyond 1.5 degrees Celsius – the threshold for survival in many SIDS. The cruel irony of this situation is that SIDS emit the lowest amounts of greenhouse gases – much less than one percent of global emissions, and there are high levels of carbon sequestration from their forest and marine areas - the majority of SIDS are carbon negative societies.

An uncertain future lies ahead for the population of small island states. Climate change is a clear and present danger to Small Island Developing States (SIDS) and Low-Lying Developing States. Even the oil companies, like Exxon and Shell, after decades of denial, have now publicly accepted the science of climate change and the need for international action to address the issue. There now exists more reasonable grounds to fear that projections of more frequent, ferocious and intense hydro-metrological events like never seen before in humanity will impact SIDS, first, and the worst. Through our programmes we will promote ***Island Energy For Island Life: 25-50-25 by 2033***. Planned projects will address sustainable energy and climate resilience issues in SIDS; promotion of the SIDS DOCK Indicative Project Pipeline; development of capacity building and training programmes in renewable energy and energy efficiency and conservation (RE&EEC); a knowledge platform for information sharing and exchange; gender mainstreaming through support to the Island Women Open Network (IWON); resource mobilisation; and public education and awareness on the SIDS DOCK Organisation.

The SIDS DOCK Foundation thanks the Board of Trustees, the Executive Council, SIDS DOCK Members, the SIDS DOCK *pro bono* attorneys, Squire Patton Boggs, members of the SIDS community, the private sector and development partners, who participated in the long process to develop the plan. Many people were involved in developing the organisation's future. All of these people have played a part in setting a foundation and sustainable path for our operational excellence.

# **SUSTAINABLE ENERGY AND CLIMATE CHANGE ADAPTATION CHALLENGES: SIDS DOCK FOUNDATION'S ARENA**

Small Island Developing States (SIDS) are among the most petroleum-dependent nations in the world, spending more than 30 percent of annual foreign exchange earnings on hydrocarbons, reducing energy security, increasing macroeconomic vulnerability and leading to exorbitant electricity tariffs. At the same time, SIDS are at the leading edge of climate change, suffering disproportionately from rising sea levels and weather-related disasters.

SIDS are facing acute challenges in the power sector. Energy tariffs are among the highest in the world due, primarily, to a reliance on expensive imported petroleum products. This constrains economic growth, increases external debt and contributes to high levels of greenhouse gas emissions. Further, although access to electricity is generally high (>90%, with the exception of Haiti), off-grid back-up systems are commonly used due to frequent black-outs and low reliability of grid networks. Renewable energy is particularly suited to SIDS as it offers a practical solution: it fits utility and small-scale projects, costs are competitive with traditional sources of energy and it is specifically adapted for decentralised power networks, such as that of small islands.

There is significant technical potential for renewable energy across the SIDS which has been recognised by national governments and reflected in their NDCs. Realising this potential would result in a significant reduction in expenditure on petroleum products, alleviating constraints on GDP growth and improving trade balances. It would also advance “true” electricity access (i.e. availability of electricity, not just a connection). However, this potential is far from being achieved. Investment in new renewable energy capacity requires significant upfront capital expenditure, which many national utilities and governments cannot currently afford. Private sector involvement is therefore crucial but, with few exceptions, there has been relatively little private investment to date in the Caribbean renewable energy sector. This is due to a number of factors including:

- A shortage of local development capital for renewable energy project developers;
- Limited access to long-term debt, equity and risk mitigation instruments due to high perceived risk and transaction costs;
- Institutional capacity constraints to develop enabling environments for private sector participation.

## **SIDS DOCK Foundation's Unique Strengths and Assets**

SIDS DOCK is unique in that it is the only United Nations (UN)-recognized international platform with all the rights and privileges representing SIDS. SIDS DOCK is a unique mechanism, as its leadership is represented by high-level officials - Heads of Government and State and UN Ambassadors, with the SIDS DOCK Portfolio primarily coming under the Ministry of Foreign Affairs. Like the UN-System, and now that SIDS DOCK is part of that system, it is expected that in any given year, the Foundation will deal with representatives of all 32+ SIDS DOCK countries, including Heads of State and Government, as well as others who will interface with the Foundation in an official capacity. Establishment of The SIDS DOCK Foundation was also in response to a situation where SIDS Embassies and High Commissions and Permanent Missions to the United Nations are seeing a marked increase in enquiries from foreign companies and institutional, sovereign and private funds seeking to invest in RE&EE projects in SIDS.

The Foundation's expertise in addressing SIDS vulnerabilities and aspirations for achieving the SIDS Barbados Programme of Action, the Mauritius Strategy, the S.A.M.O.A. Pathway and the UN Sustainable Development Goals (SDGs), relies on years of research conducted by the SIDS DOCK Secretariat and its partner island organizations the Caribbean Community Climate Change Centre (CCCC/5Cs) and the Secretariat of the Pacific Regional Environment Programme (SPREP). SIDS

are typically small enough that they can be considered micro-economies and are severely limited by their size in the range of activities that their economies can support. SIDS rely heavily on environmental services and trade to drive growth, hence the volatility of their growth. Promoting diversification and innovation in SIDS economies is relevant as the majority of SIDS depend heavily on the tourism sector, which accounts for 25 percent of gross domestic product (GDP) and upwards of 70 percent of foreign exchange earnings used to purchase petroleum fuels. Climate change is projected to have a devastating impact on coastal environments and freshwater resources in SIDS, substantially impairing the tourism sector's ability to generate foreign exchange. Promoting diversification in SIDS economies into new sustainable energy-related industries, as well as encouraging greater education and understating of the critical role of the energy sector in helping to address issues of waste management, freshwater resources, employment generation, agricultural diversification, sustainable land use, and high energy inputs into tourism, will help to offset the predicted negative impacts on tourism and other economic sectors.

In 2012, the SIDS DOCK Secretariat developed criteria for the identification, assessment, and categorization of both supply and end-use energy technologies as SIDS-Appropriate to be deployed in SIDS to achieve sustainable development. This required the creation of a new methodology to properly assess and categorize energy technologies as suitable to SIDS<sup>4</sup>. Building on this research, in 2015, the SIDS DOCK Secretariat, along with the Swedish Energy Agency (SEA) and the Costa Rica-based Tropical Agricultural Research and Higher Education Center (CAITE), using four pilot countries in the Caribbean, developed a new process-based, participative methodology (PBM) and applied it in participating countries to help local stakeholders make decisions about building resilience to climate change through the use of sustainable energy (energy efficiency and renewable energy), attempting to identify solutions and rank them according to certain criteria that include energy and economic viability, as well those areas where synergistic solutions that lead to greater co-benefits. The methodology includes an analysis of interactions between the productive and service sectors (energy, water, agriculture, tourism, waste management and transportation) and specific identification of co-benefits for each alternative considered<sup>5</sup>.

These SIDS-specific centred research has allowed intimate understanding of the SIDS economies, ascribing a unique and organic strength to the Foundation like no other organisation. For example, the Foundation would oversee promoting diversification, innovation and sector synergy in SIDS through the coordination of technology capacity building, and promotion of and support for small and medium enterprises (SMEs) in SIDS. Micro and small enterprise growth in SIDS suffer from perennial undercapitalization. The key overall research question revolves around gaining an understanding of the most pressing needs that micro and small enterprises face in SIDS. Targeted assistance in meeting these needs could better the rate of success for these businesses – we already know that on average, energy costs account for 30 percent of overall operations, making SIDS one of the most uncompetitive groups of countries.

The SIDS DOCK Foundation's greatest strength lies in the Foundation's database of consultants which includes scientists, energy, climate change and environmental specialists, lawyers, finance, economic and education specialists, social and community specialists, other key sector professionals and members of community interest groups. This network enables us to work as credible, global activists for the transformation of the SIDS energy sector and helping to build climate resilience. Our efforts are aimed at local, national, regional and international levels. With our ability to mobilise SIDS action through our network, and our focus on sustainable energy and climate resilience, we intend to promote a number of significant projects intended to strengthen people's livelihoods and increase awareness of sustainable energy and climate resilience issues through educational programmes aimed at the public

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<sup>4</sup> *The SIDS DOCK Platform: Policy Harmonization, Technology Assessment & Capacity Building*. Presented at the First SIDS DOCK AIMS Regional Meeting, July 24-27, 2013, Hotel Oásis Atlântico Porto Grande, São Vicente, Cabo Verde

<sup>5</sup> *Adaptation to Climate Change and Building Resilience in Small Islands: A SIDS/DOCK-SEA Process-Oriented Methodology and Case Studies to Assess Critical Challenges to Build Resilience to Climate Change*, SIDS DOCK Secretariat, October 2017.

and private sectors, schools and communities, and the general public. Our urgent mission, our diverse network, our unique management team, our national and regional presence, and international notoriety all add up to make us much more than a sustainable energy and climate resilience group.

The SIDS DOCK Island Women Open Network (IWON) is also an important asset with a 500-strong network of women committed to assisting women in SIDS who are on the frontlines of climate change and who are being left behind in the drive for sustainable energy for all. Due to SIDS vulnerabilities and its special case, there was disappointment in the limited reporting level on Island Women in major UN gender-focused publications, in general, and even more limited when it comes to sustainable energy. The UN system and the international development community currently plan around regions: Africa, Americas, Asia and the Pacific, Europe and Central Asia, and the Middle East. However, despite sub-regional reporting, general regional analysis usually does not include references to Pacific Island Women, who are lumped with countries such as China and India; nor Caribbean Island Women, who are also an appendage to the Spanish-speaking Americas region; while African Island Women's energy needs are quite different from African Women on the mainland, for example, Sub-Sahara Africa. This has led to major reporting gaps, unequal reporting which does not accurately convey the sustainable energy needs for Island Women, and language barriers that prevent women from accessing information and resources.

## **SIDS DOCK Foundation's Challenges and Opportunities**

While we are proud of the history and accomplishments of the SIDS DOCK Organization, we recognise that we face a number of challenges in starting up and operationalizing the SIDS DOCK Foundation. We view these challenges as opportunities for growth and improvement. Our successes to date, and indeed the very reasons for our inception, have been based upon reactive responses to the climate-related disasters which represent a major source of risk for the poor in SIDS, and the losses caused are seen as a major threat to the achievement of the United Nations (UN) Sustainable Development Goals (SDGs) and SIDS' efforts to fulfil ambitions under their Nationally Determined Commitments (NDCs), which are at the heart of the 2015 Paris Agreement. Immediate adaptation action is required, as the economic costs of climate-related disasters are high and continuing to rise.

There were 330 natural catastrophe events in 2017, that generated economic losses of USD 353 billion, of which 97 percent (USD 344 billion) was due to weather-related events, including Hurricanes Harvey, Irma and Maria in the United States (US) and the Caribbean, plus Typhoon Hato in China and Cyclone Debbie in Australia. The people of the Caribbean experienced two Category 5 storms in just over two weeks - damages in the region estimated are over USD 10 billion. SIDS infrastructure is also a major source of vulnerability; one of the few studies done on costing of climate impacts in the Caribbean, estimated that from a one-meter sea level rise, infrastructure damages would be in the region of USD 100 billion. Another study on the costs of climate inaction, by Tufts University, shows that the Caribbean's annual cost of inaction is projected to total USD 22 billion annually by 2050 and USD 46 billion by 2100. These costs represented 10 percent and 22 percent, respectively, of the Caribbean economy in 2008<sup>6</sup>.

In order to address the growing threats to our natural resources and livelihoods, as well as the increased frequency and ferocity of natural catastrophe events, we feel that we must become more proactive. Since we recognize that our effectiveness will rely on the strength of the SIDS DOCK Secretariat, it is critical that we improve our partner support by providing them with the appropriate tools that are easy to implement on the national and regional levels. We must also enable the SIDS DOCK Secretariat to become more effective in maintaining existing programmes, as well as identifying the need for new or improved interventions for sustainable energy and climate resilience, by helping the Secretariat to identify appropriate resources and partnerships Page 36 of 34 within the communities where we work.

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<sup>6</sup> SIDS DOCK Work Programme Briefing Note: *Concept Paper - Proposal for an Energy-Focused Captive Insurance Multi-Window Facility for Small Island Developing States (SIDS): Adapting to Climate Change by Creating Affordable Insurance-Related Solutions*

The SIDS DOCK Foundation will set goals and provide greater leadership and direction to the SIDS DOCK Secretariat and its partners to ensure that our programmes and education efforts are grounded in sound policies and science. We will strive to communicate our achievements so that victories and accomplishments are recognised and can be replicated in other areas. With these efforts, we hope to become an effective force for promoting *Island Energy For Island Life*, while continuing to explore opportunities to bring our methods and message to the national, regional and international arena.

# THE STRATEGIC PLAN

## Strategic Planning Process

In October 2017, the SIDS DOCK Foundation Board of Trustees and staff realised the need to critically evaluate the Foundation's organisational focus and to establish a clear direction for the future with the formulation of this first strategic plan. In the process of developing this plan, interviews were conducted with the Board of Trustees, SIDS DOCK Members, partners, staff of other not-for-profit organisations, energy, climate change, economics, environment and education professionals, specialists, and others who were knowledgeable about Small Island Developing States and the SIDS DOCK Organisation. We sought to gain as much insight and perspective as possible about our strengths and weaknesses and areas of opportunity. We also reviewed the SIDS DOCK's history to gain a deeper understanding of our roots, and to more clearly articulate our role and the uniqueness of our culture among energy, climate change and environmental organisations. The SIDS DOCK Foundation Strategic Plan (2018-2028) that resulted from this process provides a living document for action over the next 10 years, to ensure progress in fulfilling the SDF's mission.

The strategic planning process began in October 2017. At that time strategic planning meetings to develop preliminary key strategies for the Foundation were held. A series of discussions were also held to receive feedback from stakeholders, partners and donors. Key questions included:

- What are the three most important issues you believe the Foundation should address?
- What three things do you believe the Foundation is capable of does well or can provide?
- Do you believe that the SIDS DOCK Foundation can meet your expectations? Why? What would it take to exceed your expectations?
- Ten years from now, what programmes/services should the SIDS DOCK Foundation provide?
- Any other comment that would help the SIDS DOCK Foundation prepare for the future.

Subsequent to gathering feedback from the community, the Foundation's management team met to refine the key strategies that addressed the following factors:

- Beneficiary and market needs, expectations and opportunities;
- Competitive environment (for donor funding) and capabilities relative to other NGOs;
- Strengths and weaknesses;
- Opportunities to redirect resources to higher priority programmes, services, or areas;
- Financial, societal and ethical, regulatory, and other potential risks;
- Changes in the SIDS economy;
- Factors unique to the Foundation.

The management team then refined FIVE key strategies and associated goals. The purpose of the key strategies is to establish direction and to continue to build on the legacy that led to the creation of the SIDS DOCK Organisation, years ago. The strategies include:

1. Become the leading SIDS Strategic Organisation in promoting sustainable energy and climate resilience in small islands.
2. Promote *Island Energy For Island Life: 25-50-25 by 2033*, and work to help transform the SIDS to low carbon, "Blue-Green Economies."
3. Increase the ability of SIDS to become less vulnerable and more capable to respond and recover from the disruptions and destruction associated with increasing GHG atmospheric concentrations.
4. Build the Foundation's organisational capacity to accomplish its mission.

5. Build the SIDS DOCK Foundation’s capacity to increase contributions, generate investment returns with a triple bottom line – social, environment and economic - and build an administrative endowment.

Between January to March 2018, meetings were held to brainstorm ideas about objectives in support of the organisational strategies. Several objectives were developed. The management team then prioritised the list to the manageable few. Over the next 10 years, the SIDS DOCK Foundation will implement five main strategies, which are described below. To the extent that a strategic plan is a “road map,” our objectives describe the desired “destination” – *where we want to be in 2028*. Our strategic objectives translate our long-range vision into a more focused, actionable set of outcomes. Our long-range aspirations are organized into three main categories: Programmes, Public Education and Awareness and Partnerships.

## **Programmes**

To strengthen and build on our interventions and sustainable energy and climate resilience focus, the Foundation will facilitate the dissemination of up-to-date information at the national, regional and international levels. The Foundation can accomplish this most effectively through the development of programmes for implementation that are closely aligned with the *SIDS DOCK Organization Work Programme 2016-2022*. The Foundation’s programmes will work because they will be used at the national and regional levels and support adaptation, resilience building, enterprise and sustainable livelihoods. The programmes and the data they generate educate SIDS DOCK Members, the public, and sustainable energy and climate change/environmental management agencies about local, national and global sustainable energy and climate change issues and problems, while giving them lessons, data and tools they can apply in their own islands.

The Foundation’s programmes are linked to the Thematic Programme Areas of the SIDS DOCK organization Work Programme 2016-2022. The thematic areas are based on the Objectives in the SIDS DOCK Statute, Article II. We will allocate one-half to two-thirds of the Foundation’s discretionary non-capital dollars annually, to address critical SIDS issues. Projects must meet specific criteria (TBD).

## **Public Education and Awareness Programme (PEP)**

Citizen participation is an important element for a successful transition to a low carbon economy in SIDS. The low carbon economy message has been delivered to many SIDS in the Caribbean, Pacific, Atlantic and Indian Ocean regions. In order to achieve our strategic goals, we will use the media and internet technology to carry the Foundation’s message to the donors, SIDS DOCK Members and the public at large. We will endeavour to make our actions effective by better communicating our activities and accomplishments using a variety of media. The objective of the *PEP* is to promote, publicize, and facilitate education of the benefits of a low carbon economy in SIDS - 25-50-25 by 2033, for the purpose of encouraging the public to reduce the use of fossil fuels, increase the use of alternative energy sources and increase energy efficiency and conservation. A public education and awareness effort will be required to help educate key public and private sector officials and the general public about transforming the current SIDS economy to a low carbon economy.

## **Partnerships**

For the 2014 Third United Nations International Conference on SIDS, leaders, in recognition of the vast challenge to sustainable development posed by a changing climate, established Partnerships as the cornerstone of the conference and called for the “strengthening of collaborative partnerships between SIDS and the international community”. SIDS leaders were emphatic in their support for “genuine and enduring partnerships” as critical to successfully addressing new and emerging challenges and

opportunities for the sustainable development of Small Island Developing States. Creative SIDS government leaders have developed partnerships with the private sector to provide essential services, with clear agreement on shared objectives for delivery of public infrastructure and/ or public services. Also, governments realise that the combined capital and intellectual resources of the public and private sectors can result in better, more efficient services.

The SIDS DOCK Executive Council has identified bilateral partnerships as a priority for the mobilization of technical and financial resources. Recognizing the increasing nature of the challenge facing SIDS, as GHG emissions continue at record pace despite the UNFCCC best efforts, the SIDS DOCK Secretariat has continued the work started under the former SIDS DOCK Steering Committee<sup>7</sup> to identify and develop partnerships with the private sector in order to make possible the formation of public-private partnerships (PPPs) for the transfer of technology and support for project development and implementation.

The SIDS DOCK Foundation will magnify the effectiveness in achieving our goals by providing an expanded platform for development of more genuine and lasting partnerships with other national, regional and international organisations. By joining our efforts with those other sustainable energy, climate change and environmental organisations and stakeholders, philanthropic organisations and those who have similar commitments to combating climate change, we can provide standardised, high-quality data to inform the decision-making process for achieving *Island Energy For Island Life*.

## Strategies & Programmes

<b>STRATEGY 1:</b>	<b>BECOME THE LEADING SIDS STRATEGIC ORGANISATION IN PROMOTING SUSTAINABLE ENERGY AND CLIMATE RESILIENCE IN SMALL ISLANDS</b>
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To excel in our leadership role, we will need to focus the Foundation’s resources (staff and Board time and grant dollars) cultivating donors, sovereigns and foundations as co-investors, convene key stakeholders frequently around SIDS issues, periodically advocate for improved public policies and programmes and publicise the Foundation’s leadership efforts more effectively with our key constituencies. Success would be measured by the effectiveness and impact of the SIDS DOCK Organization Work Programme and efforts we support, growth in the number of internal and external donors participating as co-investors, our ability to leverage significant dollars from Foundation donors, sovereigns and other funding sources and our ability to foster, with our partners, the necessary changes in public policies and programmes.

The Foundation attaches special importance to information, communication and the projection of its institutional image, in order to position itself as an international foundation that is recognised and respected as a strategic partner, one that is capable of making a key contribution to helping SIDS adapt to climate change through the transformation of the SIDS energy sector. In this regard, the strategy is intended to make the Foundation the preeminent organisation assisting SIDS with the transfer and deployment of RE&EE technologies to address energy needs of the SIDS, and contribute to societal progress, especially for women and those living in rural areas. This element of the strategy defines the organisation’s goals and objectives and provides the basis for systematic and continuous improvement. The Foundation will employ good management practices, defining its mission and setting measurable objectives.

<b>Goal 1:</b>	<b>Advocate for Renewable Energy Development in SIDS</b>
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Ocean energy is the largest renewable energy resource common to all SIDS. Technological progress in Japan and France, driven by clean energy concerns have seen increased levels in investment in ocean

<sup>7</sup> The SIDS DOCK Steering Committee, established in 2010, was the forerunner to the SIDS DOCK Executive Council, established in 2016 with the coming into force of the SIDS DOCK Treaty

energy technologies. Beginning with the SIDS technology fair in Mauritius, as part of the Second UN International Conference on Sustainable Development of Small Island Developing States, ocean energy technologies have been identified as a priority for SIDS.

**Objective 1: Support and allocate funding for a Proposal for the Development & Establishment of a Small Island Ocean Energy Feasibility Facility.** The proposal is in response to a mandate from SIDS DOCK Members desirous of undertaking detailed business planning for ocean energy projects and thereby advance the commercialization of ocean energy technologies and low carbon business models. The ocean is SIDS largest renewable resource and SIDS play major roles as custodians of the oceans and seas. While relatively small in landmass, SIDS govern over and serve as the “Blue Guardians” of their Exclusive Economic Zones (EEZs), vast ocean territories extending up to 200 nautical miles from their coastlines. As such, oceans and coasts play a disproportionately large role in the lives and livelihoods of island populations. Together, the SIDS have rights to govern ocean areas more than 15 times the size of the European Union land mass and represents their largest natural resource endowment.

**Objective 2: Promote the SIDS DOCK Heads of State & Government OTEC Initiative 2023: *Bring Dominique Home*.** Ocean Thermal Energy Conversion (OTEC) technology is uniquely fitted to addressing challenges in SIDS, as it is a multi-product technology with potentially economic viable income streams. OTEC uses the thermal and biological resources of the ocean to generate energy, desalinated water, mari-culture products (abalone, lobsters, crabs, fish and high value seaweed), as well as the recovery of Lithium. OTEC plant produces electricity all the time and that we can rely on. That’s baseload power. Based on classification as a renewable energy technology, OTEC is the most unique system and the one most suited to developing the vast potential of SIDS’ oceans and seas in a sustainable manner.

**Objective 3: Support the Blue Guardians Programme.** Being developed in partnership with GRID-Arendal Foundation from Norway, and private sector partners the project, is focused on piloting the development and strengthening of national capacities to better utilize science, information and technology to build national climate resilience of coastal communities and economies and to provide improved stewardship for the management of tropical oceans which represent the largest natural resource endowment of islands nations.

**Objective 4: Expand the current list of potential Oceans Programme Partners.** Currently, partners include the Japanese Government, Japanese Private Sector, and the Japan Export Bank, UNIDO, IASA, Government of France, and the Inter-American Development Bank, and other private sector partners.

## **Goal 2: Member Support to Benefit from Evolution of Renewable Energy**

The coastal waters of the SIDS are critical to its tourism and food security. Failures or inadequate capacity for management of waste (solid and liquid) are degrading the coastal environment, putting at risk livelihoods and the future of the critical tourism industry. SIDS DOCK Secretariat in partnership with the Governments of Antigua and Barbuda, Dominica, Grenada, and St Vincent ad Grenadines, with assistance from the Government of Sweden, implemented a pilot project to identify and develop a pipeline of potential waste-to-energy projects which could be further assessed for feasibility. Work by the Secretariat in these countries confirm that improper disposal of waste and in particular organic effluent waste and plastics, are resulting in degradation of the coastal ecosystems critical to tourism, food security, and protection from coastal erosion. Conversion of the existing organic waste streams

to energy sources, energy products and agricultural inputs provide a feasible option for significant improvements in managing nutrient rich waste streams.

**Objective 1: Support the Development of a Regional Organic Waste Conversion Sub-Sector to Increase Coastal Resilience and Climate Change Impacts and Protect Freshwater Resources in SIDS.** Resulting from the First Caribbean Regional Waste-to-Energy Technology Expo and Conference, in 2016, in Grenada, a number of potential projects have been identified and support continues from the SIDS DOCK Secretariat to further develop these possible projects as well as identify new ones. Solid Waste Characterization Studies have been completed in Antigua and Barbuda, and ongoing in Dominica. The work is proceeding in partnership with UNIDO, Swedish Energy Agency, CARICOM Energy Unit, and the CCCCC. It is planned to have similar activities in the Pacific in partnership with the regional organizations to develop a regional programme in collaboration with the Pacific Centre for Renewable Energy and Energy Efficiency (PCREEE), established in 2017, in Tonga, as a partnership between the SIDS DOCK and the United Nations Industrial Development Organization (UNIDO), with funding from the Government of Austria. Support includes development of projects and feasibility studies to access commercial financing for implementation.

**Objective 2: Support the organisation of the First Pacific Waste-to-Energy (WtE) Technology Expo and Conference.** Although waste management was one of the priority areas of the Barbados Programme of Action (BPOA), no elaborated strategy was developed to help guide Small Island Developing States (SIDS) in the implementation of sustainable waste management systems. Consequently, waste management is now emerging as a major concern for SIDS as the consequences become manifested in areas such as declining coastal environment quality, high level of nutrient accelerating the growth of algae on coral reefs, pollution of coastal aquifers, and reduced fisheries habitat, and threats to tourism. It is therefore an urgent necessity for SIDS' waste management experience to be studied, in order to identify approaches that are more socially equitable, less costly to operate, more environmentally friendly and less demanding on the limited land resources. Furthermore, it must be done in manner that will help the islands protect coastal biodiversity and help coastal communities minimize their vulnerability to water stress.

## **Goal 6: Mobilizing Financial and Technical Resources**

**Objective 1: Develop capital campaign to help meet the cost - in excess of USD 20 billion - to achieve the SIDS DOCK goals by 2033.** Small islands are hemorrhaging precious foreign exchange, as each year they import over 220 million barrels of petroleum fuels which cost more than USD 40 billion.

**Objective 2: Support Energy Efficiency Programmes to increase energy efficiency by 25 percent (2005 baseline) increase energy efficiency by 25 percent (2005 baseline) in SIDS.** In partnership with the CCCCC, and with funding from the GEF, a Pilot Energy Efficiency Project for buildings is being implemented in five (5) Caribbean Member states – the *UNEP-GEF Energy for Sustainable Development in Caribbean Buildings*. The SIDS DOCK Secretariat provides technical assistance to the CCCCC as the implementing agency; additional technical assistance is being provided by US Department of Energy, National Renewable Energy Lab (NREL). The SIDS DOCK Secretariat has been supporting Page 42 of 34 leadership in reaching Agreement with the Austrian Development Agency (ADA) for the provision of an energy efficiency expert to support development of the regional energy efficiency programme and building on the lessons learned during the pilot.

**Objective 3: Support and promote Geothermal development in five SIDS DOCK Member countries - Dominica, Grenada, St Kitts and Nevis, St Lucia, and St Vincent and the Grenadines.** The Caribbean Development Bank (CDB) and the European Union entered into an agreement in 2017, to kickstart the development of geothermal energy production in the Eastern Caribbean. The EU has granted the Geothermal Risk Mitigation Programme for the Eastern Caribbean the amount of €12 million, to be administered through the CDB. The project will facilitate the development of up to 60MW of geothermal energy capacity in the five countries. Dominica, St. Kitts and Nevis and St. Vincent and the Grenadines have received technical assistance from the SIDS DOCK in the form legal and financial support, provided primarily through SIDS DOCK's pro bono Legal Counsel, Squire Patton Boggs.

**Goal 4: Promotion of Sustainable Use of New and Renewable Energy and Energy Efficiency**

The transportation sector is by far the biggest users of imported fuels in the SIDS, about seventy percent of imported fuel is used for transportation. Gasoline and diesel oil used primarily for land transport represent the largest share followed by maritime transportation and aviation. SIDS account for less than one percent of the world's population. On average, in every small island developing state there is almost thirty percent (30%) of the population living below 5 metres above sea level. With the exception of two island nations, all countries are ninety percent (90%) dependent on the importation of fossil fuels. Collectively, all island states spend over USD \$67 million, each day, for more than 900,000 barrels of oil (price of USD \$75 per barrel) and the majority spends in excess of thirty percent (30%) of their foreign exchange earnings annually to buy fossil fuels. With volatile and rising oil prices, fuel import bills now represent up to twenty percent (20%) of annual imports on 34 island nations and between five and twenty percent (5-20%) of their Gross Domestic Product (GDP). Each year, SIDS spend in excess of USD \$20 billion importing fossil fuels.

Promoting the sustainable use of new and renewable energy and energy efficiency technologies is linked to the SIDS DOCK goals for increased green electricity generation, and transportation fuels substitution as the biomass produced can also be converted to substitute fuel for compression ignition engines (diesel). The land base transport sector is comprised of private, commercial, public passenger, and in some countries rail. Private transportation consists mainly of passenger cars, SUV and pick-up trucks. Retiring internal combustion engine vehicles, especially among fleet operators, will significantly reduce the importation of gasoline and diesel fuels, and will contribute to improving balance of trade and foreign exchange reserves in addition to reducing GHG emissions and improving local air quality.

**Objective 1: Support the Belize Biomass Research and Development Project. Support the Belize Biomass Research and Development Project.** Developed by the SIDS DOCK Secretariat in partnership with the Government of Belize, the CCCCC, and private sector partners with support from the Green Climate Fund (GCF) and the Government of Italy. The research is to determine the agricultural practices for growing indigenous, fast-growing grasses found in Belize, on lands that are not viable for food production. The project would reduce the need for the importation of fossil fuel generated power from, and provide new employment in rural communities. Assistance is being provided by U.S. Department of Energy, National Renewable Energy Lab (NREL) in addressing issues related to biodiversity. This project is directly linked to the SIDS DOCK goals for increased green electricity generation, and transportation fuels substitution as the biomass produced can also be converted to substitute fuel for compression ignition engines (diesel), and future projects are in planning for the production of liquid fuel substitute.

**Objective 3: Support the Development of a Renewable Energy Finance Platform (REFF): Risk Financial Facility for Projects.** The proposed project was developed in partnership with regional development banks, the Caribbean Community Climate Change Centre (CCCCC/5Cs), the Secretariat of the Pacific Environment Programme (SPREP), and the private sector to support a cross-cutting risk mitigation project initially focused on the Caribbean Community (CARICOM). This facility is intended to provide resources and services to promote investment by both local and foreign entities through provision of services and products to address the identified bottle necks including limited availability of: Development capital and expertise by renewable energy project developers; Expertise in financial structuring and lack of access to long-term debt, equity and risk mitigation instruments (due to high perceived risk and high transaction costs); Requisite institutional capacity to develop supportive policy environments for private sector participation in renewable energy project development; Existing private sector with medium- to large-scale service industry track record.

**Objective 4: Support the Development of a Captive Insurance Facility.** A self-owned and managed insurance mechanism that would provide SIDS DOCK members with insurance against climate change impacts for economic assets in countries where risk instruments are becoming increasingly costly as a result of the more frequent occurrence of weather related disasters; or, in countries where the market is too small and consequently there is no availability.

**Objective 5: Support the Development of and Electric Vehicle (EV) Transportation Partnership for Small Islands (EV PPP - Public-Private Partnership).** The aim is to reduce importation of petroleum fuels by accelerating EV deployment across the SIDS in the Caribbean, Pacific, Atlantic and Indian Ocean, through development of a Pilot Project that would focus on aggregated procurement, by SIDS governments, of fleet vehicles (taxis, public sector transportation, and corporate entities including car/bike rental agencies operating in the tourism industry). The SIDS DOCK organization wishes to develop an EV Transportation Partnership for Small Islands (EV PPP - Public-Private Partnership), to reduce importation of petroleum fuels by accelerating EV deployment across the SIDS in the Caribbean, Pacific, Atlantic and Indian Ocean, through development of a Pilot Project that would focus on aggregated procurement, by SIDS governments, of fleet vehicles (taxis, public sector transportation, and corporate entities including car/bike rental agencies operating in the tourism industry). The proposal is based on the following economic realities: SIDS governments have very limited financial resources, 10 of the 14 most indebted economies per capita, in the world, are SIDS, and they have major trade imbalances relative to their GDP, which is aggravated by the volatility in petroleum prices; Reducing capital expenditures, recurrent foreign exchange demands, such as payment for imported fuels, and providing new jobs is critical for each country; severe trade imbalances in several SIDS.

**Goal 5: Promotion of Conservation & Sustainable Consumption and Production Efforts**

**Objective 1: Support the Development of an Energy Efficiency and Renewable Energy Financing Facility (EEREFF).** SIDS DOCK wishes to eliminate as far as possible, barriers that currently reduce the attractiveness of Energy Efficiency (EE), Energy Conservation (EC) and Demand-side Management (DSM) projects to investors and project financiers in the small island states. To assist in doing this, it wishes to examine the concept of establishing a sustainable financing facility that would be used to finance studies and prepare projects seeking project financing based on, *inter alia*, a revolving contingently recoverable loan mechanism. This facility would re-cycle the funding repaid from resources which were able to attract commercial financing after they had been properly defined to benefit other projects.

**Objective 2: Promote and Support the Development of a Caribbean Energy Service Companies (ESCOs) Association.** To promote energy efficiency project development in SIDS, a program is being developed, in partnership with the CARICOM Energy Unit and the UNEP-GEF Energy for Sustainable Development in Caribbean Buildings Project, with assistance from the NREL, to enhance opportunities for Energy Services Companies (ESCOs). The objective of this effort is to support ESCOs across the Caribbean region to encourage business partnerships that develop energy conservation and renewable energy projects in the Caribbean. This is accomplished by fostering strategic alliances among Caribbean and international ESCOs to promote regional and international cooperation, and technology transfer, and leverage financial resources from international lending institutions in an effort to ensure that ESCO partners are successful in developing energy efficiency projects. The benefit of these partnerships is that the partners can combine their talents and strengths to offer clients and financiers attractive turnkey projects with reduced risk and transaction costs.

**Goal 6: Reduction of Greenhouse Gases (GHG)**

**Objective 1: Support the SIDS DOCK Secretariat in exploring low carbon options that could be readily implemented and have significantly lower capital costs.**

The multiple activities in pursuit of attaining the objectives contained in the Statute, are intended to contribute to the reduction of GHG. The current Indicative SIDS DOCK Project Pipeline which is currently being updated, represents investment opportunities in excess of USD 5 billion and mobilizing partnerships and co-financing will require significant effort on the part of the Foundation and the SIDS DOCK Secretariat. The SIDS DOCK Secretariat, in addition to working on the development of RE and EE projects and programmes, has also explored low carbon options that could be readily implemented and have significantly lower capital costs. The SIDS DOCK Secretariat is currently working on a report on low carbon options to bring about significant reduction in GHG emissions and reduce and provide long-term stable prices for energy services.

**STRATEGY 2: PROMOTE ISLAND ENERGY FOR ISLAND LIFE: 25-50-25 BY 2033, AND WORK TO HELP TRANSFORM THE SIDS TO LOW CARBON, “BLUE-GREEN ECONOMIES.”**

The literature review clearly shows that a *blue-green economy in SIDS* is possible, but it will require significant deviation from the *business-as-usual* approach to development in SIDS. It will present many challenges, some well-known, others like climate change, the magnitude is yet to be fully understood, as are the real magnitude of its threats to the current economy in the vast majority of SIDS. The largest single common renewable energy resource for all SIDS is ocean energy in its various forms (wave, tidal, current, and thermal). SIDS ocean energy potential exceeds total global energy consumption by orders of magnitude. It could be argued that given sustainable energy is the foundation of sustainable development then ocean energy should be a priority energy source in the development of a blue-green economy, yet ocean energy technologies attract very low levels of investment and consequently is the least mature of the sustainable energy technologies.

The analysis of the literature concludes that for SIDS to successfully make this transition and place themselves on the path to sustainable development will require collective action of an unprecedented manner, as individual actions by countries has little chances of success based on the nature of the challenges. For SIDS, adapting to climate change and developing a blue-green economy will require significant additional resources and investments, given the low level of investments in SIDS, compared to other group of countries and the increased risk posed to SIDS by climate change. The technologies

that would provide a foundation for a blue-green economy in SIDS are at a disadvantage due to relatively high initial costs which have served to slow the rate of commercialization.

Transformation of the SIDS energy sector is crucial, as climate change is an energy-related issue, as an estimated 60 per cent of greenhouse gas (GHG) is generated by the energy sector, primarily from combustion of fossil fuels. The Intergovernmental Panel on Climate Change (IPCC) noted that GHG emissions resulting from the provision of energy services have contributed significantly to the historic increase in atmospheric GHG concentrations<sup>8</sup>. In the face of growing scientific evidence on the climate change impacts and the vulnerability of SIDS, these countries need to act as the catalyst to prompt decisive actions at the global level to reduce GHG emissions. Climate change is listed as the major challenge to the sustainable development of SIDS, thus, transformation of the energy sector will help in addressing energy and climate change challenges, as well as the promotion of economic development in an uncertain and unpredictable global economic environment. Transitioning from a primarily fossil fuel-based economy to a low carbon economy is in keeping with some of the tenets of the “green economy,” as proposed by the United Nations Environment Programme (UNEP). UNEP developed a working definition of a “green economy” as one that results in, *improved human well-being and social equity, while significantly reducing environmental risks and ecological scarcities*. While there is no consensus on the concept of a green economy, for SIDS, transitioning to a low-carbon economy is directly linked to the critical importance placed on marine and ocean resources.

<b>Goal 1: Promote and Support the SIDS DOCK Public Education and Awareness Programme (SIDS DOCK PEP)</b>
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**Objective 1: Promotion of the use of cleaner and more efficient energy technologies and alternative energy sources.** Educating the general public about the benefits of a low carbon economy is intended to help them make wise consumer choices and provide the political environment to bring about needed policies and key interventions on the part of government, and this is critical to the success of the effort as a whole.

**Objective 2: Promote and support Consultations on the People’s Energy Vision for SIDS.** Necessary to inform the public of the direction that the SIDS DOCK Members has arrived at in association with development partners, which is identifying the most appropriate energy future for the SIDS, which is transition to a low carbon economy. Key objectives of the consultations are: To provide citizens with both access to information and opportunities to participate in the process. To encourage public participation outside of formal government procedures.

**Objective 3: Support for the SIDS DOCK Web Platforms.** To provide a platform for all country activities, create an operational on-line platform for SIDS DOCK National Coordinators, create a network to facilitate meetings and conferences, project execution and implementation, and exchange, learning and sharing of relevant knowledge. Relevant information in this context means knowledge about technologies and best practices related to renewable energy (RE) and energy efficiency and conservation (EEC), applicable in the member countries;

**Objective 4: Support for the SIDS DOCK Children’s Programme.** Saving energy in schools and making energy efficiency a lesson for students is fundamental in shaping a new generation of energy efficiency leaders. We want to teach management of resources and conservation of energy at public school facilities by using education and the implementation of energy saving devices, renewable energy sources, and the exploration of new practices and technologies in order to increase environmentally sustainable actions and behaviours among students, staff and school community, to

<sup>8</sup>Intergovernmental Panel on Climate Change (IPCC), 2007, *Fourth Assessment Report, Climate Change 2007: Synthesis Report, An Assessment of the Intergovernmental Panel on Climate Change*. Available at: <[http://www.ipcc.ch/pdf/assessment-report/ar4/syr/ar4\\_syr.pdf](http://www.ipcc.ch/pdf/assessment-report/ar4/syr/ar4_syr.pdf)>

manage and conserve energy and resources at Primary/Elementary Public School facilities by using education and the implementation of energy saving devices, renewable energy sources, and the exploration of new practices and technologies in order to reduce energy use among participating schools, and to publicise energy costs and savings - when people know how much it costs to power their school, they can see why it's worth some extra effort to avoid waste. Schools spend more on energy than any other expense except personnel.

**Objective 5: Support the SIDS DOCK Island Women Open Network (IWON).** Women make up one-half of the world's human capital. Worldwide, women are expected to outnumber men within the next fifty years. And every issue women face is one that affects us all. Establishment of the IWON, a SIDS DOCK Women's Sustainable Energy and Climate Resilience Network, is intended to help build the capacity of women at the community and grassroots levels in small islands and low lying developing states to participate in the transformation of the SIDS energy sector to achieve the SIDS DOCK goal of 25-50-25 by 2033. The objective is to ensure that gender equality issues are integrated in the concept, design, implementation and evaluation of sustainable energy and climate change-related projects in the SIDS DOCK Indicative Project Pipeline, by establishing a SIDS association that provides networking opportunities that promote empowerment of women to help build community resilience to a changing climate and sea level rise through capacity building, education and awareness, demonstration of SIDS-Appropriate Technologies, and financing for sustainable energy projects.

**Objective 6: Support the development, production and dissemination of SIDS DOCK PEP Public Education and Marketing Collateral.** These materials will stimulate awareness among the general public, and provide introductory information on the practical relevance of climate change, SIDS DOCK and its objectives. The Foundation will informational materials and promotional merchandise which will be produced and disseminated regularly throughout the SIDS DOCK PEP.

**STRATEGY 3: INCREASE THE ABILITY OF SIDS TO BECOME LESS VULNERABLE AND MORE CAPABLE TO RESPOND AND RECOVER FROM THE DISRUPTIONS AND DESTRUCTION ASSOCIATED WITH INCREASING GHG ATMOSPHERIC CONCENTRATIONS**

The SIDS DOCK-Swedish Energy Agency Project, *“Building Resilience To Climate Change In Islands Through The Energy Sector: North-South Cooperation For Sustainable Energy Development In Island States,”* is a partnership among the SIDS DOCK, the Caribbean Community Climate Change Centre (CCCCC/5Cs) and the Swedish Energy Agency (SEA), where the partners entered into a cooperative agreement in 2015, to develop a methodology – *Process-Based Methodology (PBM)* that identifies the role of Renewable Energy and Energy Efficiency and Conservation (RE and EE&C) through the development of three inter-related components that can define the role and those of the various actors at the individual, institutional and systemic levels. In 2016, in continuation of testing the PBM, four pilot countries identified several national sustainable energy projects, a priority outcome of the deliberations of the established Working Groups. The project has several components, with multiple activities, including capacity building at the tertiary level. The aim of the SIDS DOCK-SEA Regional Sustainable Energy and Climate Resilience Initiative is to provide an appropriate methodology that can assist countries to undertake sustainable energy option comparisons that will inform decision making, including a definition of climate resilience for island communities and national economies.

**Working Definition of Resilience Building in Island States:** *The ability of a small island to become less vulnerable and more capable to respond and recover from the*

*disruptions and destruction associated with increasing greenhouse gas concentrations, including more ferocious and frequent hydro-metrological events, severe impacts from sea-level rise, and increasing ocean temperature and acidity, by development and efficient use of the natural resource endowment. The ability to respond and recover is linked to national capacity which determines the ability to extract and efficiently utilize energy, food and water from the natural resource base.*

**Goal 1: Support the SIDS DOCK Programme for Building Resilience to Climate Change in Islands through the Energy Sector: North-South Cooperation for Sustainable Energy Development in SIDS**

**Objective 1: Support the SIDS DOCK Secretariat to continue testing the Process-Based Methodology (PBM).** Developed in partnership with the CCCCC, the Swedish Energy Agency, and CAITE, Costa Rica, it was designed to help provide answers and assist decision-makers identify the concrete steps needed to allow for countries to improve their climate resilience through the use of renewable energy and energy end-use efficiency. This requires creating market conditions that allow for competition, a system that promotes a level playing field in the evaluation of renewable sources, and proper analysis of potential co-benefits of the different options to maximize climate resilience. The critical output of this Process-Based Methodology is to identify the key decisions that need to be made, when they need to be made and by whom, in order to achieve the desired scenario. Decision-makers require a set of instruments or tools to evaluate and prioritize among sustainable energy measures in small island states, targeting climate resilience, both social and environmental co-benefits. As defined here, measures can range from individual projects, to programmes, policies and national strategies.

**STRATEGY 4: BUILD THE FOUNDATION ORGANISATIONAL CAPACITY TO ACCOMPLISH ITS MISSION**

Our mission statement can be a powerful force to clearly define the Foundation's purpose for existence. In the beginning, the Foundation was formed to accomplish something that did not exist in the philanthropic arena, and to do a better job than existing organisations. What was that special purpose? To find a unique solution to financing adaptation to climate change and to build resilience – and this was found possible through the transformation of the SIDS Energy Sector to achieve low carbon economies. Our staff understand our “call to action,” and each day are committed to transferring this into individual action every day. Above all, our mission is driven by the overarching mission of the SIDS DOCK Organization and this to achieve *Island Energy For Island Life: 25-50-25 by 2033*.

**Goal 1: The SIDS DOCK Foundation will need to ensure that it has the institutional capacity to sustain and support sustainable energy and climate resilience activities that lead to achievement of Island Energy For Island Life and the Sustainable Development Goals (SDGs), particularly Goal 7: Affordable and Clean Energy**

**Objective 1: Formalise our efforts to train project officers in strategic planning, project management, and leadership skills.** Determine the sufficient number of individuals needed with the required capacity in energy management and policy. Effective planning, management and development of RE and EE systems require a critical capacity of skilled personnel to competently perform RE and EE technologies assessment and evaluation programmes. Necessary in order to provide our project officers with the tools necessary to effect proactive, sustainable management.

**Objective 2: Formalize the Foundation's operations to create a proactive, well-organized and focused work plan; an efficient working environment; and facilitate improved staff and beneficiary relationships with the Foundation.** Consistent with the Strategic Plan, Foundation staff will conduct annual planning to identify staff priorities

and management objectives; identify gaps in staff expertise; and develop staffing and fundraising plans.

**Objective 3: Determine the necessary increase in capacity that is needed in order to achieve the SIDS DOCK Goals of 25-50-25.** Provide recommendations targeted at eliminating the gaps and establishing a critical path moving forward.

**Objective 4: Identify critical SIDS issues where the Foundation’s leadership can make a measurable difference.** We will identify where we can work with strong partners and leverage support. This will include commissioning research on selected SIDS issues to help foster an informed discussion of public policy choices.

**Objective 5: Allocate grant dollars to support the day-to-day management and operation of the SIDS DOCK Secretariat and its affiliated services.** The objective of the SIDS DOCK Secretariat is to provide essential administrative and logistic support for the Assembly, Executive Council, and National and Regional Coordinators, both in the Policy Level and in the Operational Level, and different Technical Working Groups of the SIDS DOCK, in order to facilitate the achievement of their objectives and specific tasks in close collaboration between the energy and other sectors, and its development partners. The SIDS DOCK Secretariat serves as a hub for information sharing for the various levels of the SIDS DOCK.

**STRATEGY 5: BUILD THE SIDS DOCK FOUNDATION’S CAPACITY TO INCREASE CONTRIBUTIONS, GENERATE INVESTMENT RETURNS WITH TRIPLE BOTTOM LINE – SOCIAL, ENVIRONMENT AND ECONOMIC - AND BUILD AN ADMINISTRATIVE ENDOWMENT**

The Foundation will be proactive, as it relies on grants and a small number of major donors which can be particularly vulnerable because of the inherent unpredictability and variability of such revenue sources. Therefore, the financial sustainability of the Foundation is a major priority of its leadership team and board. That’s why financial sustainability is incorporated into both our ongoing management decisions as well as our longer-term strategic planning. Strategic plans are often the foundation for how a non-profit performs. A recent report in Forbes Magazine<sup>9</sup> noted that one in five of the largest non-profits (those over USD 5 million) are running without a written plan. More than half of those who do have plans, note that their plans are not reviewed or checked at least quarterly. So, even those organizations who have a plan, may not actually use the plan to make adjustments and stay on course during the year. This increases the chance that the organization will go adrift and fail to meet its objectives.

We are always reminded that non-profits are businesses. The term “Non-profit” is a tax status - not a business model. Research shows that those organisations that invest in technology, talent, and professional development end up making greater gains. Mobile access, mobile devices and the experience on the internet has changed user expectations and has also provided non-profits with a more level playing field. We will have to be innovative and “disruptive” or at least very different from doing “*business as usual*.” We will have to learn to leverage technology to deliver on our mission - today’s technology allows any sized organisation the ability to communicate, educate, and engage on a greater scale than ever before, at a reduced cost.

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<sup>9</sup> *Half Of Nonprofits Are Set Up To Fail -- How About Your Favorite?* <  
<https://www.forbes.com/sites/ianaltman/2016/03/20/half-of-nonprofits-are-setup-to-fail-how-about-your-favorite/#69026fe24619>>

**Goal 1: Build the sustainability of the Foundation to support the SIDS DOCK Secretariat's activities in support of low carbon economic growth and to help generate financial resources to support adaptation to climate change in SIDS**

- Objective 1: Establish donor-based activities to support capacity building, non-commercial initiatives and SIDS DOCK Secretariat support activities.** A proposed operating model, in line with much of the foundation field, will be predicated on the continued viability and growth of donor-advised funds. The Foundation will support its operations by assessing a fee (e.g., average 1-2 percent per year) on the funds it administers. Changes in tax regulations, increased competition for donor-advised funds, or unforeseen factors could render this assumption less valid with limited advance notice.
- Objective 2: Work to strengthen our funding base by diversifying income resources.** Foundation staff will engage and develop relationships with potential benefactors including international donors, foundations, individuals, government agencies and the private sector, in order to achieve our mission and goals.
- Objective 3: Create a for-profit entity in order to provide financial sustainability for the Foundation so that the organisation can help increase the capabilities of the SIDS DOCK Secretariat to support its members.** The objectives are to: Improve the financial sustainability of the Foundation by developing business partnerships with the private sector that support enterprise development programming; Promote micro-enterprise development where individuals and communities can make a living in a competitive market place which factors in considerations of economic activities that are “viable, restorative and protect ecological integrity”; Promote SIDS-Appropriate Technologies for alternative income generating activities; Conduct training, education and skills programme in entrepreneurship. As the changing climate becomes more ferocious and frequent, it becomes even more important for organisations like the SIDS DOCK Foundation to experiment with new asset-based strategies to support the development of “climate-proof” sustainable livelihoods.

## OUR WAY INTO THE FUTURE: “LEAVE NO ONE BEHIND<sup>10</sup>”

The SIDS DOCK Members have entrusted The SIDS DOCK Foundation to be a responsive and agile servant to the Island Nations. This strategic plan embodies our commitment to listen to the diverse voices of the SIDS community, deepen our partnerships in every sector, and share the lessons and benefits that emerge from our work. As we look to the future, accelerating change, increasing complexity, and continued uncertainty define the strategic landscape. In the midst of these challenges, our intent is clear: The SIDS DOCK Foundation will learn and adapt in order to achieve *Island Energy For Island Life* for our people. This plan sets us on a trajectory for deepening our impact and building every aspect of our new operation. As we carry out this plan, we anticipate seeing a number of important benefits.

As the new millennium speeds towards the SIDS DOCK 25-50-25 by 2033 goal, it will bring increasing pressures on the fragile SIDS environment, as well as unimaginable challenges, and based on recent history, challenges that some Island Nations might not be able to overcome. Effective activism toward *Island Energy For Island Life* for Small Island Developing States is needed now, more than ever. In this strategic plan, we have examined the critical sustainable energy and climate resilience issues that we face, set goals for the SIDS DOCK Foundation, and outlined strategies to achieve those goals. This plan sets us on a course to be a successful organisation and represents our best understanding of the challenges and circumstances we currently face. The SIDS DOCK Foundation will work to implement this plan over the next 10 years, and will strive to be skilful in seizing new opportunities to further our goals and achieve our mission.

We see this plan as a dynamic road map – one that describes where we want to be in 10 years, but also will continue to evolve as the landscape changes. As we develop the specific tactics and actions in the coming months to implement this strategic plan, we will invite input from our members, staff, the SIDS DOCK Secretariat, donors, and other key partners in ways that significantly shape what implementation looks like. Additionally, as we encounter the challenges and paradoxes inherent in philanthropy and social change, we are committed to remaining connected to our mission and core values – those enduring ideals that serve as a compass for our staff and trustees as we navigate our way into the future, a future where Small Island Developing States need a threshold of less than *1.5 To Stay Alive!* Members of SIDS DOCK are likely to be the largest economic losers with large displaced populations if average global temperatures go beyond 1.5 degrees Celsius, corresponding to 350 ppm, which is considered the threshold for the continued survival of ecosystems essential to livelihoods in Small Island Developing States and low-lying coastal States.

Mankind has already surpassed that threshold of *1.5 To Stay Alive!*

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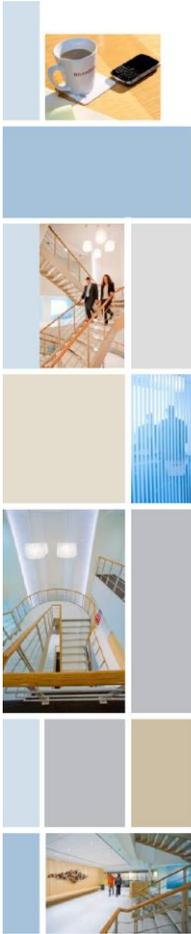
<sup>10</sup> The rallying call of the post-2015 UN Sustainable Development Goals (SDGs).



Distribution: General  
28 August 2018

*United Nations Decade of Sustainable Energy For All (2014-2024)*

Fourth Session of the Assembly of SIDS DOCK  
UN Headquarters  
New York, New York  
29 September 2018



Prepared for



A/4/8

## Developing a Successful Natural Products Industry: Quality, Claims, Cyber and Intellectual property

*Presented by*  
**Shari Claire Lewis, Esq.**  
**Marc Ullman, Esq.**



July 21, 2018

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## Quality/Good Manufacturing Practices

- The Food and Drug Administration was given the authority to protect and promote public health under the U.S. Federal Food, Drug, and Cosmetic (FD&C) Act.
- The FD&C Act is a set of laws that were passed by the US Congress in 1938 to ensure the safety of food, drugs, and cosmetics.
- Herbs are generally regulated as food/dietary supplements



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## Quality/Good Manufacturing Practices

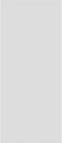
- FDA issues regulations to implement the FDCA
- GMPs are a set of regulations requiring that companies have procedures relating to the documentation of the proper design, monitoring, and control of manufacturing processes and facilities to ensure product has the identity, strength, quality, and purity which it is represented to possess.
- The “c” in cGMP means Current and requires the use of modern technologies, up-to-date systems, and innovative approaches to comply with the regulations but also achieve higher quality through continual improvement.





## Quality/Good Manufacturing Practices

- Ensure product quality, purity, consistency and safety
- Consumers get accurately labeled and unadulterated (pure/safe) dietary supplements by requiring all consistent quality controls be in place at all facilities that manufacture, package or hold supplements
  - Important for consumer confidence which had been undermined in the US by poor quality/unreliable products





## Quality/Good Manufacturing Practices

- Covers everything from the receipt and identification of raw materials, the exact manufacturing procedures used (nature of process and equipment) to the bottling and storage of finished product
- Critical component is record keeping
  - Get More Paper, Giant Mountains of Paper
- Registration and inspection of all domestic and foreign facilities
- USFDA memorandum of Understanding/Training





## Quality/Food Safety Modernization Act

- January 4, 2001 - The most sweeping reform of US food safety laws in more than 70 years. Ensure the U.S. food supply is safe by focusing on preventing rather than responding to contamination
- Key components
  - Require all facilities to implement Hazard Analysis and Risk Based Preventative Control
    - Understand the inherent risks in food processing and handling and take affirmative steps to control/minimize them
  - Every facility holding food must have a written food safety plan
  - Supply chain control
    - Farm to table traceability
    - Foreign vendor verification and qualification
      - Can lead to equivalent of “global entry” at point of import
- USFDA registration and inspection of all domestic and foreign facilities
- FDA Memorandum of Understanding/training



## Structure / Function Claims Drug Claims

- Conventional Foods /Dietary Supplements
  - Intended to affect the structure or function of the body of man (Support Heart Health)
- Drug / Disease Claims (government approval)
  - intended to diagnosis, cure, mitigate, treat or prevent disease. (Prevent Cardio-Vascular Disease)
- Health Claims – (government approval)
  - describes a relationship between food or dietary supplement and reduced risk of disease (Calcium Reduces the Risk of Osteoporosis)



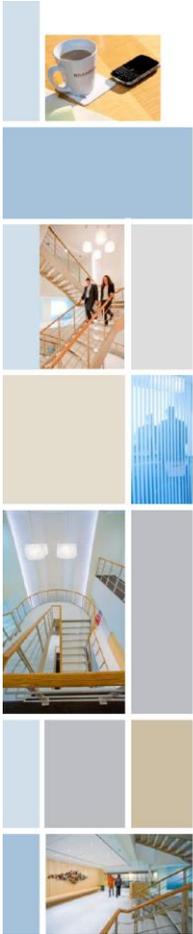
## Substantiation / Evidence Structure / Function Claims

- Dual Enforcement
  - FDA and US Federal Trade Commission
- What would experts in the relevant area of study generally consider to be adequate
- All forms of scientific research are considered
- Well-controlled human clinical studies are the best
  - Required for drugs
- Animal and in vitro studies also considered
- When a clinical trial is not possible epidemiologic evidence may be acceptable



## Traditional Use Claims

- Claims based on historical or traditional use should be substantiated by scientific evidence
- If a traditional claim is not supported by science, it may require a disclaimer that the claim has not been scientifically verified
- Is the form of the product consistent with the traditional use?
  - Whole herb vs. extract



# Intellectual Property

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## Definition of Intellectual Property

- Intellectual property (IP) refers to creations of the mind. Examples include music, literature, and other artistic works; discoveries and inventions; and words, phrases, symbols, and designs.
- IP Owners granted certain exclusive intellectual or industrial property rights, such as copyrights, patents, and industrial design rights; trademarks, trade dress, and in some jurisdictions trade secrets protections.
- Intellectual property rights are themselves a form of property, called intangible property





## Forms of Intellectual Property

Copyright is a form of intellectual property that encompasses original works of authorship fixed in a tangible medium of expression.

A Trademark is any word, name, symbol, or device, or any combination thereof, used to identify and distinguish goods or services from those of another and to indicate the source of the goods or services, even if that source is unknown.





## Internet Issues

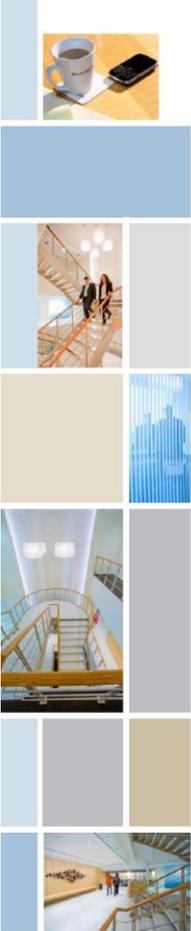
Cybersquatting - registering, trafficking in, or using an Internet domain name with bad faith intent to profit from the goodwill of a trademark belonging to someone else. The cybersquatter then offers to sell the domain to the person or company who owns a trademark contained within the name at an inflated price.

- U.S. Anticybersquatting Consumer Protection Act (ACPA) of 1999.
- World Intellectual Property Association
  - Self-funding agency of the United Nations, with 191 member states. International IP dispute resolution services
  - In 2017 trademark owners filed an all-time high of 3,074 WIPO cases under the Uniform Domain Name Dispute Resolution Policy (UDRP).



## Internet Issues

- Social Media – Establishing and maintaining control of your social media presence, such as on Facebook, Instagram, Twitter, Blogs, etc.
- Potential Issues:
  - False ID or Counterfeit
  - Unauthorized control of page or content
  - Misbranded content or passing off
  - Trolling, disparagement, anti-competitive action
  - Offensive, insensitive or discriminatory language





# Privacy and Cybersecurity

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## Scary Statistics

- 90% of world data created in past 2 years
- 3.8 plus billion Internet users
- More data created in 2017 than in previous **5,000** years
- Greater cyber insecurity in disadvantaged countries\*
  - More often targeted
  - May be used as conduit or soft opening
  - Greater impact on vital communications systems (even if generally less dependent on online network) leads to greater dysfunction and slower recovery

\* (Ellada Gamrekidze (2014) Cyber security in developing countries, a digital divide issue, *The Journal of International Communication*, 20-2, 200-217, DOI: 10.1080/13216597.2014.954593)



## Data Breach in a Global Economy\*

- 2017 data breach statistics:
  - Global cost increased 6.4%
  - Per capita cost increased 4.8%
  - Number of records lost increased 2.2%
- Data breach response most costly in U.S., Canada and Middle East; Least costly in India and Brazil
- Fast response to data breach leads to lower costs
- Hackers and criminal insiders cause most data breaches and cost more per record than human or computer error

\* Ponemon Institute Report 2017

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## Privacy

- The right/interest in controlling personal or confidential information about one's self
  - What information is collected
  - How information is collected
  - Who can see/use information
  - How the information is used
  - Accuracy of information
  - Disposal and security of information
- Personal or private information is defined differently around the world





## Proprietary Information

- Entities may not have a “privacy” interest
- Right to protect “proprietary” information
  - Business methods
  - Business plans
  - Formulas and recipes
  - Contract terms
  - Employee information
  - Intellectual property





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- Entities may not have a “privacy” interest
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  - Formulas and recipes
  - Contract terms
  - Employee information
  - Intellectual property





## Cybersecurity

Protection of private or proprietary information

- Unauthorized access, intrusion or control
- Attacks on integrity or accuracy
- Policies and procedures designed to limit access, dissemination, misuse, disposal
- Response and recovery to data breach incident



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## Small Island Developing States Cybersecurity Laws\*

- Legislation – 9 countries (31%)
- Draft Legislation – 4 countries (14%)
  - (at least 2 passed since UN published)
- No Legislation – 10 countries (34%)
- No data/unknown – 6 countries (21%)

\*\*Data Protection and Privacy Legislation Worldwide" [http://unctad.org/en/Pages/DTL/STI\\_and\\_ICTs/ICT4D-Legislation/eCom-Data-Protection-Laws.aspx](http://unctad.org/en/Pages/DTL/STI_and_ICTs/ICT4D-Legislation/eCom-Data-Protection-Laws.aspx)

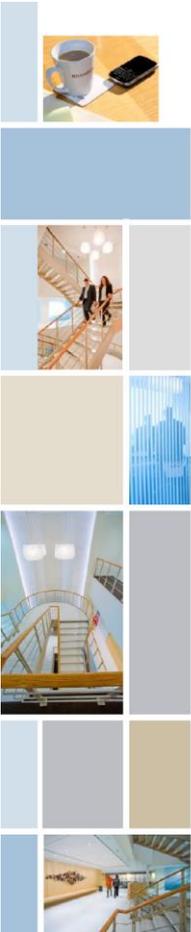
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## SIDS Dock Member Legislation

- Both privacy and cybersecurity laws – 11 Members
- Solely privacy law – 1 Members
- Solely cybersecurity law – 5 Members
- No Legislation – 8 Members
- Some SIDS Dock Members may adopt or follow cybersecurity/privacy legislation of other nations





# World Models of Privacy Protection

International Association of Privacy Professionals

World Models of Privacy Protection	Brief Description	Example Governing Body
Comprehensive Model	All-inclusive general law that governs personal information collection and usage in both the public and private sectors. An oversight body ensures compliance with the law.	European Union
Co-Regulatory Model	Specific industries develop rules for privacy protection. Enforced by the industry, overseen by a privacy agency.	Australia, Canada, New Zealand
Sectoral Model	Sector specific laws. Various regulatory bodies act as enforcement. State or regional enforcement	Japan, United States
Self-Regulatory Model	Industry associations create and enforce rules and regulations.	Payment Card Industry Data Security Standard, Online Privacy Alliance



## Potentially Relevant National Laws

COUNTRY	LAW	RESPONSIBLE AUTHORITY
China	<p><b>The Cybersecurity Law of the People's Republic of China</b> (Eff. June 1, 2017)</p> <p>* Earlier laws include The Decision on Strengthening Online Information Protection; and The National Standard of Information Security Technology – Guidelines for Personal Information Protection with Information System for Public and Commercial Services. (Both rules are collectively referred to as the "General Data Protection Law")</p>	Cyberspace Administration of China (CAC)
Australia	<p><b>Data Breach Notification Law (DBN)</b> (Eff. February 22, 2018)</p> <p><b>Privacy Act of 1988</b></p>	The Office of the Australian Information Commissioner (OAIC)
New Zealand	<p><b>Privacy Act 1993</b></p> <p><b>Intelligence and Security Act 2017</b></p> <p><b>2015 NZ Cyber Security Strategy</b></p>	The Privacy Commissioner's Office National Cyber Security Centre
Canada	<p><b>The Personal Information Protection and Electronic Documents Act (PIPEDA)</b></p> <p><b>Canada's Anti-Spam Law ("CASL")</b></p> <p><b>Various Provincial Statutes and Regulations</b></p>	The Privacy Commissioner of Canada And provincial officials



## USA Privacy and Security

- Federal regulations by industry, e.g.
  - HIPPA (Private health information)
  - Gramm-Leach-Bliley Act (Private financial information)
  - Food and Drug Administration
  - Federal Trade Commission
  - Federal Bureau of Investigation, etc.
- State by state regulation, 50 states plus
  - Data breach legislation
  - Statutory or common law rules
- Private industry standards, e.g., PCI (credit card)



## General Data Protection Regulation “GDPR”

- Effective May 25, 2018 (but regulations still not finalized)
- EU resident’s personal information (per EU definition)
- Applies to EU entities, non-EU entities:
  - EU subsidiary,
  - regularly provide goods or services to EU residents, or
  - “collect and process” data concerning EU residents
- Shift control from Data Collectors to Data Subjects and enhanced cybersecurity and accountability



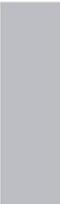
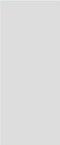
## GDPR “Privacy Principles”

1. Data processed “lawfully, fairly and transparently”
  - Legally permissible purpose
  - Opt-in, not opt-out
2. Data collection limited to what is “adequate, relevant and necessary...” for the purpose of collection
3. Data used for “specified, explicit and legitimate manner” and not further processed inconsistently with that purpose



## GDPR “Privacy Principles”

4. Data accurate, up to date, and corrected without delay
5. Data’s “integrity” and “confidentiality” must be protected including appropriate “technical...or “organizational methods” (cybersecurity)
6. Non-anonymized data must be kept for only so long as needed for the purpose for which subject consented and disposed of in secure fashion.





## GDPR Cybersecurity

- Collectors must “demonstrate” compliance with GDPR principles
  - what personal data is held
  - who has access
  - with whom it is shared
  - how is it protected
- Update privacy notices to provide full and clear disclosure, clear opt-in provisions and options to update subject’s preferences
- Analysis and upgrade the security of how data is collected, stored, and disposed



## GDPR Cybersecurity - Data Breach

- Establish procedures to detect, report and investigate data breach
- Establish “rapid response plan”
- Provide notice to all affected subjects **within 72 hours**
- May be required to appoint “Designated Privacy Officer” under some circumstances
- Privacy by design in systems going forward



## GDPR Enforcement

- Supervisory Authorities (SA) may:
  - Audit or demand supporting documentation (burden on data collector or processor)
  - Issue warnings, orders of remediation or erasure of data
  - Suspend transfer of data to non-EU country
- Fines
  - Violation of GDPR obligations – greater of 2% of annual global turnover or € 10 million
  - Violation of Data Subjects rights – greater of 4% of annual global turnover or € 20 million



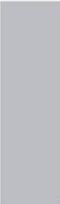
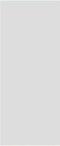
## SIDS Dock Opportunity – Privacy By Design

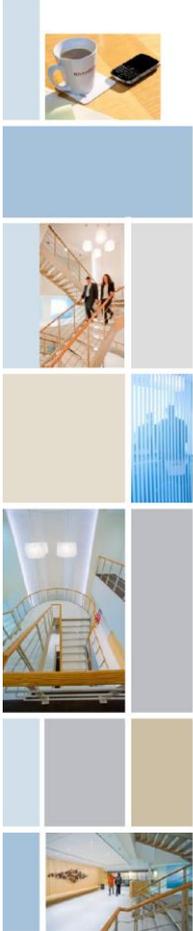
- Data protection and privacy integrated into technology
- Part of the culture and processes
- Technical and organizational measures at the planning stage
- Know who is responsible to do what
- Protect against intrusion, but plan for the inevitable



## What Next?

- Practical steps at the planning stage
- Create cybersecurity/privacy protocol (revisit as technology evolves)
- Robust technical and physical security practices
- Complete vetting of vendors
- Employee handbooks, job guidelines and training
- Website Terms of Use/ Privacy Policies
- Non-disclosure (Confidentiality) Agreements
- Rapid Response Plan
- Document Retention and Destruction Policy
- Insurance





## What Next?

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## We Are Here To Help!

### Resource For Education And Action



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Distribution: General  
19 September 2018

**United Nations Decade of Sustainable Energy For All (2014-2024)**  
*"Island Energy For Island Life"*

Fourth Session of the Assembly of SIDS DOCK  
ECOSOC Chamber  
UN Headquarters  
New York, NY 10017  
29 September 2018

## SIDS DOCK WORK PROGRAMME

### **SIDS DOCK Renewable Energy Finance PlatForm (REFF): Risk Financial Facility for Projects**

SIDS DOCK, in partnership with regional development banks and the Caribbean Community Climate Change Centre (CCCCC/5Cs) and the Secretariat of the Pacific Environment Programme (SPREP), is preparing a funding proposal for the Green Climate Fund (GCF), to support a cross-cutting risk mitigation project initially focused on the Caribbean Community (CARICOM). In this connection, SIDS DOCK intends to seek a grant from the GCF's Project Preparation Facility.

As a catalyst for sustainable development, SIDS DOCK is developing a Risk Mitigation Platform to address sustainable energy and climate change challenges and mobilize private investment for renewable energy and efficiency projects in CARICOM. The Platform will be built on three pillars:

- **Risk Mitigation Facility:** providing credit enhancement and risk mitigation instruments to enable bankability of renewable energy and efficiency projects;
- **Co-Financing Facility:** providing co-financing of project equity and debt to support small standalone projects and the participation of local developers;
- **Technical Assistance Facility:** providing technical assistance to address regulatory and legal bottlenecks, institutional capacity deficits and the shortage of risk capital.

The Platform is a public-private partnership (PPP) that will leverage international donor, multilateral and climate-focused stakeholders to crowd-in direct private investment. By helping CARICOM Member States to overcome financial, technological and regulatory obstacles, the Platform will play a critical role in facilitating the transition to a sustainable energy economy.

The Platform is both scalable and replicable. Although the initial geographic focus will be on the Caribbean region, the Pacific and Atlantic Ocean and Indian Ocean regions will be considered in subsequent phases of work. Further, as a SIDS-owned project that takes a risk mitigation approach, the Platform represents a paradigmatic shift from existing financing for climate mitigation in SIDS.

SIDS DOCK is preparing a funding proposal for the GCF to support the Platform with anchor equity. To this end, SIDS DOCK proposes to submit a [USD 500,000] grant from the GCF's Project Preparation Facility, to finalize the project design and structuring and complete due diligence.

Background and problem definition

Small Island Developing States (SIDS) are among the most petroleum-dependent nations in the world, spending more than 30 percent of annual foreign exchange earnings on hydrocarbons, reducing energy security, increasing macroeconomic vulnerability and leading to exorbitant electricity tariffs. At the same time, SIDS are at the leading edge of climate change, suffering disproportionately from rising sea levels and weather-related disasters.

SIDS are facing acute challenges in the power sector. Energy tariffs are among the highest in the world due, primarily, to a reliance on expensive imported petroleum products. This constrains economic growth, increases external debt and contributes to high levels of greenhouse gas emissions. Further, although access to electricity is generally high (>90%, with the exception of Haiti), off-grid back-up systems are commonly used due to frequent black-outs and low reliability of grid networks.

Renewable energy is particularly suited to SIDS as it offers a practical solution: it fits utility and small-scale projects, costs are competitive with traditional sources of energy and it is specifically adapted for decentralised power networks, such as that of small islands.

There is significant technical potential for renewable energy across the region which has been recognised by national governments and reflected in their NDCs. Realising this potential would result in a significant reduction in expenditure on petroleum products, alleviating constraints on GDP growth and improving trade balances. It would also advance "true" electricity access (i.e. availability of electricity, not just a connection).

However, this potential is far from being achieved. Investment in new renewable energy capacity requires significant upfront capital expenditure, which many national utilities and governments cannot currently afford. Private sector involvement is therefore crucial but, with few exceptions, there has been relatively little private investment to date in the Caribbean renewable energy sector. This is due to a number of factors including:

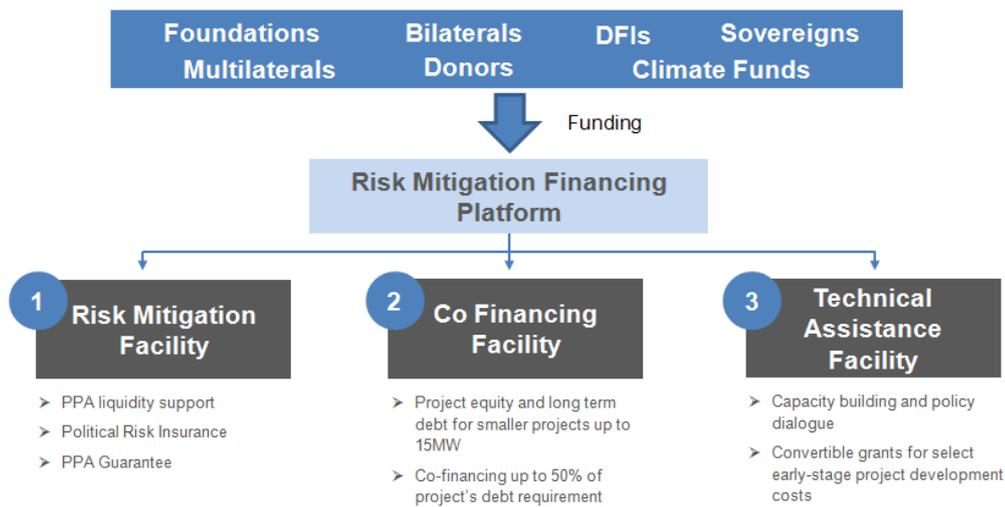
- A shortage of local development capital for renewable energy project developers;
- Limited access to long-term debt, equity and risk mitigation instruments due to high perceived risk and transaction costs;
- Institutional capacity constraints to develop enabling environments for private sector participation.

Proposed solution

The SIDS DOCK Renewable Energy Finance Platform (REFF) would provide a targeted suite of products to support the development of renewable energy projects in SIDS and encourage local economic development by overcoming the barriers identified above and mobilising private sector finance. The Platform will be built on three pillars:

- **Risk Mitigation Facility:** providing access to credit enhancement and risk mitigation instruments to enable bankability of renewable energy and efficiency projects. These include: liquidity support to cover non-payment and payment delays under project PPAs; PPA guarantees to cover breach of contract and changes to RE legislation and tariff structure; and political risk insurance.
- **Co-Financing Facility:** providing co-financing of project equity and debt to support small standalone projects and to encourage the participation of local developers.
- **Technical Assistance Facility:** providing technical assistance to address regulatory and legal bottlenecks, institutional capacity constraints and the shortage of risk capital. The facility will support public sector institutional capacity building whilst at a project level provide finance for third party development costs (e.g. ESIA's, feasibility studies).

*Platform Overview:*



Organisations Involved

REFF is a public-private-partnership and will be led by SIDS DOCK and Camco Clean Energy.

SIDS DOCK is an international organisation established to encourage sustainable energy in Small Island Developing States by connecting the energy sectors with the global markets for finance and sustainable energy technology.

SIDS DOCK was established by Statute on 1 September 2014, signed initially by 20 states, during the United Nations Third International Meeting on Small Island Developing States, held in Apia, Samoa. The Statute came into force on 27 September 2015, and members convened at the 70th United Nations General Assembly in New York, on 30 September, to commemorate the formal recognition of SIDS DOCK as an intergovernmental organisation vested with the full powers of the United Nations.

Camco is a fund advisory business specialised, and with over 25 years' experience in, renewable energy development, finance and policy in emerging markets. Camco currently provides fund management, technical assistance and advisory services to donors, governments, local developers, industry, multinational companies, investment banks and regulatory bodies across the globe. Camco is FCA regulated and is a subsidiary of redT energy plc, which is listed in London.

SIDS DOCK will work with Camco to develop REFF, drawing on Camco's current experience of implementing and managing the £48m Renewable Energy Performance Platform (REPP)<sup>11</sup>. REPP was developed by the United Nations Environment Programme and the European Investment Bank to deliver the UN SE4All objectives in sub-Saharan Africa by supporting small and medium scale renewable energy projects in countries throughout the region.

Support needed

Development of the REFF has to date been undertaken by SIDS DOCK. Additional funding is now needed to further develop the concept to operationalise REFF and undertake pilot projects.

#### Project Design Finalisation

- 1) Market Study and development of Business case
- 2) Financial Model and Business plan
- 3) Operating Policies and Procedures
- 4) Platform Operations Manual
- 5) Product Development
- 6) Indicators to track progress of the Platform and initial targets.
- 7) Initial outreach and marketing plan. This activity will include development of an initial pipeline of projects seeking support.
- 8) Recruitment of Management Board and Investment Committee members
- 9) Timetable for implementation and next steps, including fund raising and Platform launch
- 10) Development of a pipeline

<sup>11</sup> [www.repp-africa.org](http://www.repp-africa.org)

### **Risk Assessment**

- 1) Risk assessment matrix (risk factors, risk contributors, mitigation & contingencies) for Platform implementation and operation

### **Advisory Services / Due Diligence**

- 1) Legal assessment of different options for the structure of the Platform and establishment of legal entity and associated documentation.
- 2) Financial and tax assessment of different options for the structure of the Platform.

### **Pilot Projects**

Support is also needed for pilot projects to ‘road test’ the products developed. The team will originate 1-3 projects based on their need for products in each of the three Facilities included in CREFF. The pilot project will be taken through the project support process to ensure the suitability and usability of the templates designed. It will also test the appropriateness of the products to be offered through the Platform and the likely up-take of them by developers. Following the pilot phase, the pilots and products will be refined where necessary based on feedback from the stakeholders.

### **CREFF Benefits**

A fully funded and operational REFF, it is anticipated, could support development of up to 250MW of new renewable energy capacity over 5 years. This is expected to lead to:

- Avoided CO<sub>2</sub> emissions of over 500 000 tonnes each year
- Creation of over 4000 new jobs during construction and operation phase
- Reduction in cost of debt of over \$150 million US for developers
- Cost savings for host country governments through reduced expenditure on new thermal power plants and fossil fuel imports

### **REFF:**

- Is scalable and replicable;
- Takes a risk mitigation approach, providing for a greater leveraging of private sector finance and a paradigmatic shift from existing financing for climate mitigation in SIDS;
- Helps SIDS to overcome financial, technological and regulatory obstacles, creating an enabling environment for low emissions development;
- Is a public-private-partnership with strong SIDS ownership;
- Will play a key role in facilitating the transition to a sustainable energy economy, supporting regional growth, poverty alleviation, private sector expansion and increased resilience to climate change.



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**SIDS DOCK Blue Guardians Green Climate Fund (GCF) Proposal - Partnering for  
Development of Climate-Resilient Blue Economies and Protecting the Oceans**

**Small Island Developing States (SIDS) Blue Guardians:**  
Project/Programme Title: *Partnering for Development of Climate-Resilient Blue Economies and  
Protecting the Oceans*

Country/Region: Regions: Caribbean, Pacific, Atlantic Ocean and Indian Ocean  
(AIMS)  
Countries: Mauritius, Saint Vincent and the Grenadines, Samoa,  
Seychelles, Tonga, Tuvalu

Accredited Entity: United Nations Environment Programme (UN Environment)

National Designated Authority: **Mauritius** Ministry of Finance and Economic Development; **Saint  
Vincent and the Grenadines** Ministry of Finance and Economic  
Planning; **Samoa** Ministry of Finance; **Seychelles** Sustainable  
Development Strategy Inter-Sectoral Steering Committee; **Tonga**  
Ministry For Meteorology, Energy, Information, Disaster  
Management, Environment, Climate Change And Communications,  
**Tuvalu** Ministry of Public Utilities

A. Project / Programme Information	
A.1. Project / programme title	<b>Small Island Developing States (SIDS) Blue Guardians: <i>Partnering for Development of Climate-Resilient Blue Economies and Protecting the Ocean</i></b>
A.2. Project or programme	Programme
A.3. Country (ies) / region	Caribbean, Pacific, Atlantic Ocean and Indian Ocean SIDS: Mauritius, , St. Vincent and the Grenadines, Samoa, Seychelles, Tonga, Tuvalu
A.4. National designated authority(ies)	<b>Mauritius:</b> Ministry of Finance and Economic Development <b>Saint Vincent and the Grenadines:</b> Ministry of Finance and Economic Planning <b>Samoa:</b> Ministry of Finance <b>Seychelles:</b> Seychelles Sustainable Development Strategy Inter-sectoral Steering Committee <b>Tonga:</b> For Meteorology, Energy, Information, Disaster Management, Environment, Climate Change And Communications <b>Tuvalu</b> Ministry of Public Utilities
A.5. Accredited entity	United Nations Environment Programme (UN Environment)
A.6. Executing entity / beneficiary	Executing Entity: SIDS DOCK and GRID-Arendal Beneficiary: Mauritius, Saint Vincent and the Grenadines, Samoa, Seychelles, Tonga, Tuvalu
A.7. Access modality	Direct <input type="checkbox"/> International <input checked="" type="checkbox"/>
A.8. Project size category (total investment, million USD)	Micro ( $\leq 10$ ) <input type="checkbox"/> Small ( $10 < x \leq 50$ ) <input checked="" type="checkbox"/> Medium ( $50 < x \leq 250$ ) <input type="checkbox"/> Large ( $> 250$ ) <input type="checkbox"/>
A.9. Mitigation / adaptation focus	Mitigation <input type="checkbox"/> Adaptation <input type="checkbox"/> Cross-cutting <input checked="" type="checkbox"/>
A.10. Public or private	PPP
A.11. Results areas (mark all that apply)	<p><i>Which of the following targeted results areas does the proposed project/programme address?</i></p> <p>Reduced emissions from:</p> <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Energy access and power generation (E.g. on-grid, micro-grid or off-grid solar, wind, geothermal, etc.)</li> <li><input type="checkbox"/> Low emission transport (E.g. high-speed rail, rapid bus system, etc.)</li> <li><input type="checkbox"/> Buildings, cities, industries and appliances (E.g. new and retrofitted energy-efficient buildings, energy-efficient equipment for companies and supply chain management, etc.)</li> <li><input checked="" type="checkbox"/> Forestry and land use (E.g. forest conservation and management, agroforestry, agricultural irrigation, water treatment and management, etc.)</li> </ul>

<sup>12</sup> Please use the following naming convention for the file name: “[CN]-[Agency short name]-[Date]-[Serial number]” (e.g. CN-ABC-20150101-1).

**SIDS DOCK Secretariat**  
C/o Caribbean Community Climate Change Centre

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[www.sidsdock.org](http://www.sidsdock.org)  
[secretariat@sidsdock.org](mailto:secretariat@sidsdock.org)

	<p>Increased resilience of:</p> <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Most vulnerable people and communities (E.g. mitigation of operational risk associated with climate change – diversification of supply sources and supply chain management, relocation of manufacturing facilities and warehouses, etc.)</li> <li><input checked="" type="checkbox"/> Health and well-being, and food and water security (E.g. climate-resilient crops, efficient irrigation systems, fresh water etc.)</li> <li><input checked="" type="checkbox"/> Infrastructure and built environment (E.g. sea walls, resilient road networks, etc.)</li> <li><input checked="" type="checkbox"/> Ecosystems and ecosystem services (E.g. ecosystem conservation and management, ecotourism, etc.)</li> </ul>
A.12. Project / programme life span	.....5..... years
A.13. Estimated implementation start and end date	Start: .....2017..... End: .....2021.....

B. Project/Programme Details	
The Fund requires the following preliminary information in order to promptly assess the eligibility of project/programme investment. These requirements may vary depending on the nature of the project/programme.	
B.1. Project / programme description (including objectives)	<p>An uncertain future lies ahead for the populations of small island states. The people of SIDS will be among the first and most adversely affected by climate change and sea level rise, as they are the most dependent on environmental services for their livelihoods. Some are faced with utter destruction and loss of multiple lives and livelihoods, others with the growing likelihood of large displaced populations due to global temperature increases beyond 1.5 degrees Celsius – the threshold for survival in many SIDS. The cruel irony of this situation is that SIDS emit the lowest amounts of greenhouse gases – much less than one percent of global emissions. SIDS are also where coastal communities face the highest degree of vulnerability to the impacts of changing climate and capacity to address this most limited.</p> <p>For many generations, the millions of people living on small island states have tried to be responsible stewards of their environment, due to their high dependency on environmental services for survival and economic development. SIDS have acted as custodians of almost 25 percent of the world’s oceans, a responsibility SIDS take very seriously. Natural resources play major roles in SIDS economies and livelihoods. The evolution of the global maritime and tourism industries - accounting for between 45 and 80 percent of gross domestic product (GDP) in most SIDS today - are based on the oceans. As emissions increase, it changes the global climate triggering rises in sea levels, changes in rainfall causing famine and floods, bleaching of corals, shoreline erosion, and reduced fisheries, threatening hundreds of millions with food insecurity, making SIDS survival uncertain.</p> <p>While relatively small in landmass, SIDS govern over and serve as the “Blue Guardians” of their Exclusive Economic Zones (EEZs), vast ocean territories extending up to 200 nautical miles from their coastlines. As such, oceans and coasts play a disproportionately large role in the lives and livelihoods of island populations. Managing, monitoring and protecting these vast oceanic territories and ecosystems, however, especially from the increasing threats related to climate change, have proven financially and technically challenging for SIDS. The impacts of climate change exacerbate the existing socio-economic and environmental vulnerabilities in these countries. International assistance and partnerships are urgently required to overcome the financial, technical capacity and institutional barriers that currently exist (see Section D for more detailed information).</p>

There is an urgent need to develop effective climate change adaptation and mitigation programs that will support resilient ecosystems and foster climate-resilient sustainable development. Understanding the effects of climate change and associated impacts is critical for climate adaptation and resilience of SIDS. These include sea level rise, storm surges, saline intrusion into water systems, habitat and biodiversity loss, coral bleaching and ocean acidification. Such impacts can effect food security for SIDS through the disruption of agriculture and reduction in fish catch.

Building national capacity that allows vulnerable communities to implement nature-based<sup>13</sup> climate mitigation and adaptation activities that derive sustainable benefits from coastal and marine ecosystems can help SIDS to effectively address and manage the impacts of changing climate on coastal communities and the development of blue-green economies. Enhanced adaptation capacity of vulnerable communities supported by access to technical information and data infrastructure capacity building, will allow SIDS to adapt and build resilience to climate change and sustainably manage their interconnected ‘Ridge-to-Reef’ terrestrial, coastal and marine ecosystems which are the fundamental requirement of a blue-green economy and ocean protection.

Financing the development of the SIDS “blue economy” is a major challenge for SIDS leaders who must be creative in managing their “drowning countries.” This “blue economy” reaffirms the oceans’ ecosystems services and its role in all aspects of the economy. “Growth” in a majority of SIDS is represented by resource-seeking Foreign Direct Investment (FDI) - most notably tourism, due to the natural resources (sun, sea and sand, and some eco-tourism) and relatively low-skilled labour, inflation, and debt-fuelled consumer spending. With climate change and sea level rise posing one of the greatest threats to the tourism sector, SIDS need to focus efforts on attracting FDI in adaptation. A recent study shows that if no action is taken to reduce the impacts of climate change in Caribbean SIDS, the average economic cost to the region will be 14 percent (14%) of its GDP, increasing to 39 percent (39%) by 2050, 45 percent (45%) by 2075, and 63 percent (63%) by 2100<sup>14</sup>. Climate change is projected to have a devastating impact on coastal environments and freshwater resources in SIDS, substantially impairing the tourism sector’s ability to generate foreign exchange.

Currently, in more than 15 SIDS, more than 50 percent (50%) of foreign exchange earnings are used for debt servicing, energy and food imports. SIDS progress is determined by how much is consumed and how much is produced – increased consumption means increased progress. However, while economic and political forces are fixated on growing GDP, in reality, beneath the statistics, SIDS are facing massive social, economic and environmental challenges and are still reeling from the recent floods, food, fuel and financial crises. The impacts have been so great that SIDS collectively have progressed (or even regressed) less than most other groupings in meeting the Millennium Development Goals (MDGs), in terms of economic growth and poverty reduction, and in terms of debt sustainability, and must now transition to meeting the new Sustainable Development Goals (SDGs).

Unlike Least Developed Countries (LDCs) and certain other groups of countries, SIDS that are not LDCs do not qualify for debt relief assistance and are increasingly considered ineligible for development aid, despite a large number of SIDS recording high debt. External debt levels have exceeded sustainability standards in many SIDS. During the past 10-12 years, there has been no clear trend toward reducing external debt levels. On the contrary, in 2015, 12 out of 21 SIDS for which data are available showed external debt stocks that exceeded 50 percent (50%) of their GNI<sup>15</sup>. Fourteen (14) SIDS registered public debt-to -GDP ratios in excess of 60 percent (60%) (the broadly accepted threshold for sustainable levels of public debt). Eight SIDS, mostly in the Caribbean, registered debt-to-GDP levels of more than 100 percent (100%): Antigua and Barbuda, Barbados, Grenada, Guinea-Bissau, Guyana, Jamaica, St. Kitts and Nevis, and the Seychelles<sup>16</sup>. Several more are approaching the 100 percent (100%)

<sup>13</sup> Nature-based Solutions (NbS) are actions to protect, sustainably manage, and restore natural or modified ecosystems, that address societal challenges effectively and adaptively, simultaneously providing human well-being and biodiversity benefits...[They] are designed to address major societal challenges, such as food security, climate change, water security, human health, disaster risk, social and economic development.”

<https://www.iucn.org/commissions/commission-ecosystem-management/our-work/nature-based-solutions>

<sup>14</sup> CCCCC (NEED FULL REF)

<sup>15</sup> UN DESA (NEED FULL REF)

<sup>16</sup> UN DESA (NEED FULL REF)

mark (the Maldives, for example). Debt levels in SIDS also increased markedly in the recent food-fuel-financial crises<sup>17</sup>.

The **objective** of the Blue Guardians Program (the “Program”) is to work with SIDS across three overarching activity areas to directly increase climate resilience and achieve Nationally Determined Contributions (NDCs) in the countries:

1. Developing national climate resilience institutional infrastructure
2. Building national and community climate resilience
3. Establishing SIDS climate resilience knowledge exchange

These activities will be provided through six (6) Blue Guardians Climate Resilience Centers located on SIDS member nations: **Samoa, Tonga and Tuvalu** (Pacific); **St. Vincent and the Grenadines** (Caribbean); and **Mauritius and Seychelles** (AIMS). They will be supported through regional services provided by the Caribbean Community Climate Change Centre (CCCCC/5Cs) and the Secretariat for the Pacific Regional Environment Programme (SPREP). The UN Environment Programme (UNEP) will be the Accredited Entity - with SIDS DOCK and GRID-Arendal serving as Executing Entities for the Green Climate Fund Program. Blue Guardians technical resource partners include: Clinton Climate Initiative, DigitalGlobe, Esri, Geographic Planning Collaborative, Google Ocean, QLIK and The Nature Conservancy - who are collectively contributing USD \$3 million in co-financing for the USD \$50 million, SIDS Blue Guardians GCF program. The Blue Guardians GCF Program will serve as a replicable model for all SIDS worldwide.

The SIDS Blue Guardians Program integrates the mandates from the S.A.M.O.A. Pathway’s call for a “broad alliance of people, governments, civil society and the private sector all working together to achieve the future we want for present and future generations;” the UN Oceans Conference call for “Partnering for the Implementation of Sustainable Development Goal 14 (Conserve and sustainably use the oceans, seas and marine resources for sustainable development)”, as well as the UNFCCC Paris Agreement which cites “Increasing the ability to adapt to the adverse impacts of climate change and foster climate resilience...” as a priority for strengthening the global response to the threat of climate change.

One of the Blue Guardians Program’s key focal areas is assisting six SIDS develop and achieve ambitious NDCs to the UNFCCC. Without the GCF support, meeting the Paris Agreement could be impossible for these nations. According to the United Nations, Mauritius ranks 128 in a global list of Gross domestic product (GDP), Seychelles ranks 180<sup>18</sup>, with the rest of the Blue Guardians partner countries following. Tuvalu has an estimated GDP of USD 38 million and is the lowest ranking nation on the planet in terms of GDP. It is also a Least Developed Country.

The Blue Guardians Program is designed to build on and complement existing or planned climate adaptation and mitigation programs within each SIDS country and regionally, including through SIDS DOCK, the Caribbean Community Climate Change Centre, SPREP, and the SIDS DOCK Island Women Open Network (IWON). The Program will also leverage existing efforts by regional and national mapping and statistical organizations to provide accurate, timely, authoritative information to support decision and policy-making. Supported work for each of the six SIDS countries will be designed as a replicable model that can be adapted for other SIDS throughout the Caribbean, Pacific and AIMS ocean regions.

<sup>17</sup> The International Policy Centre for Inclusive Growth-United Nations Development Programme (UNDP), 2011. *Addressing Unsustainable Debt in Small Island Developing States*, On Pager, No. 123, January 2011, by Gail Hurley, Poverty Group, Bureau for Development Policy, UNDP. The International Policy Centre for Inclusive Growth is jointly supported by the Poverty Practice, Bureau for Development Policy, UNDP and the Government of Brazil. Available at: <[www.ipc-undp.org/pub/IPCOnePager123.pdf](http://www.ipc-undp.org/pub/IPCOnePager123.pdf)>

<sup>18</sup> According to World Bank, 1 July 2017 report: <https://data.worldbank.org/data-catalog/GDP-ranking-table>

The Blue Guardians Program will be carried out in three Phases with eleven key steps:

- Phase I: Program Design and Launch (18 months)
  - Step 1. Identification of national entity responsible for climate resilience
  - Step 2. Partners critical to operational success of national entity identified and engaged
  - Step 3. Capacity of the national entity assessed and enhanced
  - Step 4. Capacity of national entity partners assessed and enhanced
  - Step 5. Coastal vulnerabilities identified
  - Step 6. Programme design and partnership framework developed
  - Step 7. Design of programme launch and publicity campaign
- Phase II: Program Implementation (30 months)
  - Step 8. Implementation of the Blue Guardians Community Grant Fund
  - Step 9. Implementation community pilot projects, institutional and community capacity building, and the establishment of the knowledge exchange
- Phase III: Scaling-up of Pilot Activities and expansion of programme to other SIDS (12+ months)
  - Step 10. Programme evaluation
  - Step 11. Assessment of long-term sustainability and global replication

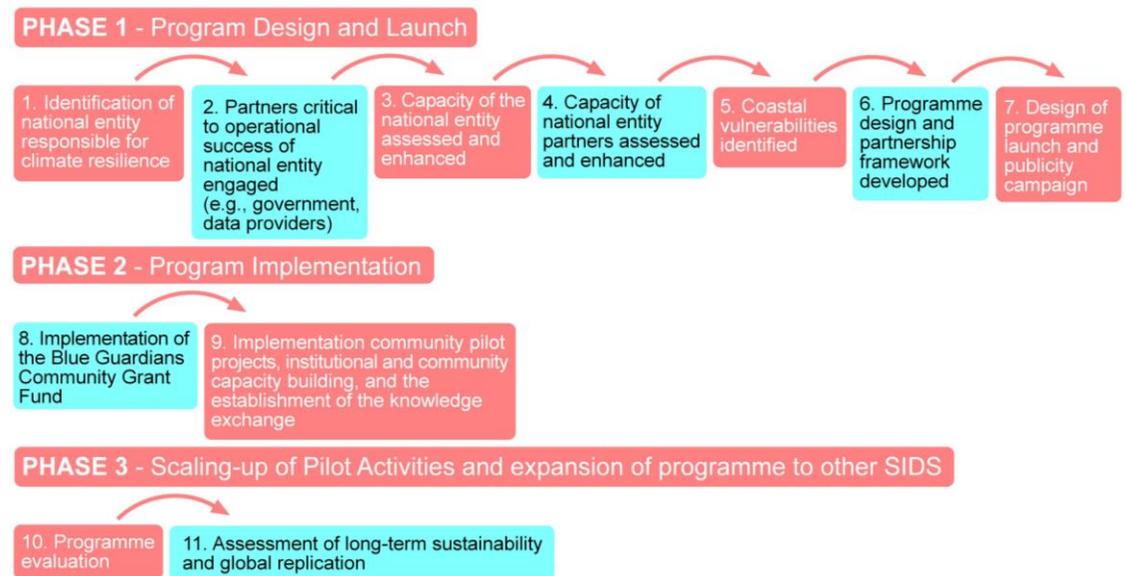


Figure 1. Key steps of Blue Guardians Program development.

## BLUE GUARDIANS PROGRAM ACTIVITIES

### Program Activity 1 - Developing national climate resilience institutional infrastructure

#### Sub-Activity 1.1 - National Blue Guardians Climate Resilience Centres

At program implementation, each participating country will identify an existing agency that will act as a National Climate Resilience Centre for the Blue Guardians program. These Centres will serve as the focal point for Blue Guardians activities occurring within the country, with the responsibility for coordinating activities with appropriate partner agencies, providing technical assistance to on-the-ground pilot projects, and coordinating data and information management services.

Terms of Reference for the National Climate Resilience Centres include:

- 1.1.1 Specialized Technical Assistance - With support from the Blue Guardians Technical Partners, the Centres will coordinate with SIDS DOCK and other existing regional centers to provide specialized technical assistance, training, and capacity building for SIDS government ministries of finance, environment, energy, tourism, disaster preparedness and response. This includes expertise in information technology, socio-economic and environmental assessment and data management, and legal services.
- 1.1.2 Data Innovation Hubs - The Centres will serve as SIDS data hubs in order to coordinate cross-governmental spatial data infrastructure and manage satellite and remote sensing data.
- 1.1.3 Technical Assistance for Pilot Activities - The Centres will oversee on-the-ground pilot projects to help build climate resilience, including coordinating with appropriate agencies and experts.

- **1.1.4 Community Education** - The Centres will coordinate education and capacity building activities on climate resilience for local communities. This will include producing a multimedia *Blue Guardians* Communication Network (BGCN) that will enable greater sharing of lessons learned, success stories and project information among SIDS and with the international community and the GCF.
- **1.1.5 Gender Equality** - In its planning, implementation, and execution the Centres will incorporate a visible gender-sensitive approach in all its activities, including in design, planning, leadership, and capacity building activities.

**Sub-Activity 1.2 - Capacity needs assessment of the National Climate Resilience Centres**

To support the building of climate resilient economies, a capacity needs assessment of the National Climate Resilience Centres must be undertaken. The assessments will help determine existing capacity in terms of skills and technology, and identify the new or strengthening needs.

**Sub-Activity 1.3 - Identification of National Climate Resilience Centre Partners**

The National Climate Resilience Centres are supported by other institutions and agencies that provide data and information related to climate resilience. These include institutions and agencies responsible for national meteorological services, water resources, fisheries, transport, agricultural research and development, and others.

**Sub-Activity 1.4 - Capacity needs assessment of National Climate Resilience Centre Partners**

To support the National Climate Resilience Centres, capacity needs assessments will be undertaken of the Centres' partners to determine their requirements with respect to supporting climate-resilient economies and, in particular, building coastal zone resilience. These partner organizations include various scientific, and technical arms of the national governments as shown in Figure 2.

In the case of weather forecasting and disaster management, for example, it is anticipated that the strengthened institutional capacity would provide the capacity for improved weather forecasting such as weather condition and forecasting information as online GIS layers for use with other information. The packaging of weather information from various sources for use with other information provided through the Blue Guardians Communication Network will be helpful for many applications and distributed online and shared through social media. This information can be used for farmer and fishery bulletins, community flood warning and other emergency bulletins, hazard and vulnerability mapping for input to planning and policy making processes, site suitability analysis for tourism development and other applications.

**Sub-Activity 1.5 - Institutional capacity building for National Climate Resilience Centres and their Partners**

To help design, plan and implement effective climate change adaptation and mitigation programs, SIDS have identified an urgent need for technical information and data infrastructure capacity building, as well as for the demonstration of technologies and nature-based solutions to address vulnerability of coastal communities to the impacts of changing climate.

The capacity building provided by the Blue Guardians Program will provide SIDS with both a cross-government spatial data infrastructure (SDI) platform as well as specialized software tools, methods, technical support and capacity building for addressing climate-smart planning and climate adaptation and mitigation project preparation. Capacity building activities include access to, and capacity training in state-of-the-art Geographic Information Systems (GIS), Information and Communications Technology (ICT) and satellite remote sensing data and information. These capacity building and technical resources are required by SIDS to understand the effects of climate change and sustainably manage their interconnected 'Ridge-to-Reef' terrestrial, coastal and marine ecosystems.

The Blue Guardians public-private partnership model brings the resources from leading private sector technical partners directly in support of building capacity and financial resources for SIDS.

The Blue Guardians Partnership incorporates the principles and practices of SDI focused on the specific methods, data and tools needed to address climate-smart development as identified by SIDS in their NDCs and National Adaptation Plans (where applicable).

The capacity building dimension of the Partnership will look to build on, strengthen and support alignment with existing national and regional SDI and equivalent information and sharing initiatives that already exist, thus avoiding redundancy and leveraging existing data, computing infrastructure, human and institutional capacities and programs, where available.

The program will link national SDI systems to a cloud-based global hub, thus providing a framework for sharing knowledge and resources, and supporting backup infrastructure in the case of emergencies. With the addition of appropriate technological tools, SIDS will be able to cost-effectively plan, design, de-risk and implement climate adaptation and mitigation targets identified as priorities with their NDCs.

While focused on building national institutional capacity for addressing climate change adaptation and mitigation priorities under the Paris Agreement, the Blue Guardians Partnership will also build community capacity through implementation of pilot projects supported by the national institutions and linked into foundational technology and data capacity across SIDS that can be extended to support other Sustainable Development Goals (SDGs) in line with the 2030 Agenda.

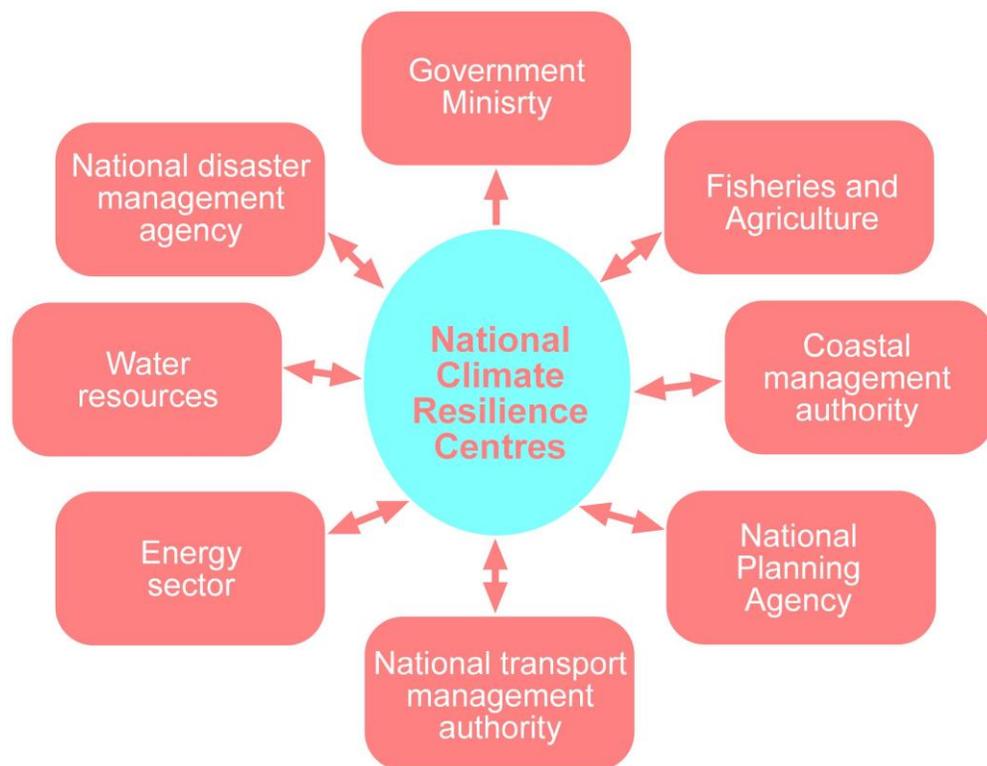


Figure 2. the relationship between the National Climate Resilience Centers and related national authorities.

**Program Activity 2 - Building National and Community Climate Resilience**

**Sub-activity 2.1 - Coastal Vulnerability Assessment and Gap Analysis**

All Non-Annex I countries provide National Communications to the UNFCCC on activities undertaken to implement the Convention which includes assessments of coastal vulnerability. The National Climate Resilience Centres will undertake reviews of these assessments to determine the gaps in these analyses and how they can be addressed through the Blue Guardians program.

2.1.1 - Assessing the Adaptation and Mitigation Landscape - An assessment of the coastal and marine adaptation and mitigation landscape for each participating SIDS is a critical first step in the planning, capacity building and implementation of pilot project activities, and will include the following activities:

- Assessing the coastal vulnerabilities of each SIDS and the development of options for meeting national adaptation and mitigation goals.
- Assessing the major anthropogenic stressors affecting coastal and marine ecosystem resiliency and developing strategies or action plans to address the priority stressors.
- Identifying coastal and marine ecosystems at greatest risk from the impacts of climate change (e.g., coral reefs) and identifying interventions for enhancing ecosystem resilience.

**Sub-activity 2.2 - Coastal and Marine Climate Resilience Pilot Projects (planning and implementation)**

The Coastal and Marine Climate Resilience Pilot Projects activity is an enhanced marine and coastal “ridge-to-reef” approach focused on climate adaptation and mitigation by protecting the benefits these healthy ecosystems can naturally provide. It is expected that each participating SIDS will develop and implement climate resilience projects with specific climate adaptation and mitigation goals. Implementing these projects will require capacity enhancement for the effective use of data and technology to support a sustainable and integrated nature-based approach. The pilot projects are intended to address the ongoing causes of degradation of SIDS natural ecosystems caused by climate change impacts. The goals of these activities are to restore the ‘ridge to reef’ ecosystems to a significantly higher yet sustainable production capacity while also building greater climate resilience of the multiple ecosystem service benefits that SIDS depend on. Such benefits make significant contribution to the transition to the Blue Economy. The projects are designed to support multiple levels of SIDS targets towards their NDCs under the Paris Agreement.

Each of the six SIDS will implement coastal and marine climate resilience pilot projects, which will be designed in collaboration with local partners at each of the Blue Guardians Climate Resilience Centres with appropriate technical assistance, as needed, and based on the natural setting of each SIDS. Each country will be able to seek co-financing from the Blue Guardians Community Grant Fund. Each of the six countries will be eligible for US\$ 250,000 per year, to implement pilot projects. It is anticipated that a significant portion of these funds available will go to support scale up of successful pilots that the communities have confidence in.

The activities at the national level outlined below will be incorporated into NDC reporting:

2.2.1 - Achieving Climate Resilience - On-the-ground pilot projects in coastal and marine adaptation and mitigation would follow target development and capacity enhancement. This would include activities such as the following examples:

- The conservation and/or reforestation of mangrove forests or other blue carbon ecosystems to meet targets in mitigation and buffer against wave-induced erosion and to filter water from excess nutrients and pollutants in the coastal zone, supporting fisheries and marine-based tourism (this option is described further in Example 1 below).
- The restoration of coral reefs using a combination of policy and proven scientific techniques and encouraging research outcomes, ranging from removal of pollutants, to low current in situ stimulation of coral growth to restore healthy near shore reefs, which would help buffer against wave induced erosion, and support fisheries and coral reef related tourism (this option is described further in Example 2 below). Policy actions based on the local situation would include focus on issues surrounding enforcement of protected areas and governance (e.g., for overfishing, destructive practices or unsustainable infrastructure), supporting human and material resources for coral reef management, and spatial planning.
- With strong community involvement, establishing strategic MPAs and improving management of other stressors (habitat degradation, pollution, over-fishing) to mitigate the impacts of climate change.
- Supporting healthy coasts through eco-friendly wastewater treatment, through the development and implementation of an eco-friendly sanitation system with reduced nutrient discharge to the

coastal environment.

- Ocean thermal energy conversion, through the undertaking of comprehensive feasibility assessments for SIDS Ocean Thermal Energy enterprises and the development of financial investment plans leveraging private funds (this option is described further in Example 3 below).
- Identification of coastal and marine carbon reservoirs for each SIDS, including for national reporting to the UNFCCC. It is expected that all Blue Guardians SIDS will be able to fulfil some of the commitments under the Ramsar Convention on Wetlands.

### **Examples of Blue Guardians Climate Resilience Pilot Projects**

The specific activities that the Program will support will be determined through a country and technical expert-led consultation process. The following are a few examples of potential on-the-ground projects:

#### **1. Restoring Mangrove Forests to Build Coastal Community Resilience**

Mangrove forests are among the most carbon rich ecosystems on the planet, storing and sequestering up to ten times more carbon than terrestrial forests. They also support many other ecosystem services invaluable for island life, including the protection of shorelines from storms and providing nursery habitat for recreational and commercial fisheries.

The goal of this pilot project option is to restore mangrove forests through a community-based approach with maximum climate and community benefits. This activity will include capacity building in community-led mangrove restoration techniques and the valuation of blue carbon and other ecosystem services, with satellite information systems supporting the appropriate planning in the restoration locations, all leading to enhanced national reporting to the UNFCCC for SIDS.

#### **2. Protecting Coastlines and Enhancing Fisheries through Coral Reef Restoration**

Coral reefs have experienced significant declines over the past several decade, threatening the well-being of islands worldwide. Coral decline has been driven by direct anthropogenic impact, disease and other stressors, including climate change related bleaching events. The decline and loss of reefs is a major threat to the development of a sustainable blue-green economy and protecting the ocean in SIDS coastlines. High nutrient runoff from land based sources ranging from sewage plants, breweries, distilleries, and agro-industry are negatively impacting coastal environment quality and productivity of fisheries and growth of near shore reefs. Scientists have long been concerned that climate change will make extreme ocean temperatures more common, resulting in more coral bleaching. The health of coral reefs is critically tied to island resilience, as they protect shorelines by reducing wave energy by 97 percent (97%), and support local fisheries and tourism-based economies, and are critical to a sustainable blue-green economy in SIDS.

The restoration of coral reefs is necessary for strengthening the resilience of coastal communities. It is anticipated that a number of pilot projects will focus on coral reefs restoration. The goal of this pilot project option is to develop and implement a number of pilot coral reef nursery and restoration projects in coastal communities, which can support the protection of shorelines and the provisioning of the many other invaluable coral reef ecosystem services. This activity will include the establishment of nurseries of corals and the restoration of reefs supported by capacity building in coral science and reef restoration techniques and state of the art data and information planning.

#### **3. Ocean Thermal Energy Feasibility**

Ocean energy, both kinetic energy (tidal, wave and current) and thermal energy, represent the largest source of available renewable energy for SIDS, worldwide. Ocean thermal energy conversion (OTEC), which is based on converting incoming solar radiation into electricity, is continuously available in almost all ocean locations between the tropics, and therefore represents an unlimited source of baseload electricity for the blue-green economy. In this system, the tropical ocean acts as a giant solar energy collector for the estimated 25,000 to 35,000 barrels of oil equivalent that contacts the surface of the ocean.

The overall objectives of this pilot are to build on work already undertaken by the SIDS regional institutions, SIDS DOCK and its OTEC partners, to provide a methodology to capture and quantify the various potential co-benefits OTEC can provide for SIDS. This will provide valuable and credible

information to validate earlier pre-feasibility studies, to undertake comprehensive feasibility assessment for SIDS Ocean Thermal Energy enterprises in one pilot country, designed to be replicable on other SIDS, and to develop a financial investment plan leveraging private funds.

### **Sub-activity 2.3 - Capacity Building for Coastal Communities**

2.3.1 - Enhancing Adaptation and Mitigation Capacity - Once pilot projects have been identified for this sub-activity and needs assessed, the National Climate Resilience Centres and the affiliated institutions would provide the necessary capacity building for the communities as well as technical support for implementation. This would include activities such as:

- The further development of capacity in the restoration of coastal habitats with maximal adaptation and mitigation benefits, including marine spatial planning, suitable and effective reforestation/restoration techniques, and what kinds of pilot projects to undertake.
- Training in and the establishment of nurseries of thermally tolerant corals, in partnership with local marine research institutions, which could act as natural banks for the restoration of corals following extreme climate events.
- Training in the development of community-based blue carbon projects, including in establishing agreements between coastal communities and forestry management authorities regarding the potential financial flow of revenue from carbon offsetting, which will support local coastal management and restoration activities with community co-benefit.
- Training in the assessment and monitoring of national blue carbon stocks (e.g., measurements of mangrove carbon, seagrass carbon, etc.), to monitor the results of the pilot projects and other related coastal management activities, meet national goals in climate change and input into NDC reporting.
- Improving understanding of oceanic carbon function related to the management of marine vertebrates and other marine life within SIDS exclusive economic zones (EEZs) and its potential impacts on climate change.

### **Program Activity 3 - Establishing SIDS Climate Resilience Knowledge Network**

The National Blue Guardians Climate Resilience Centres are designed to collaborate in the development and sharing of data standards, software applications, methods, experience and lessons-learned for climate-smart planning and development among SIDS in the Caribbean, Pacific and AIMS regions. This network will include access to cloud-based computing resources, thus supporting a flexible, highly cost-effective, replicable and resilient computing infrastructure and technical resources that will allow each Center to take advantage of national, regional and global facilities, technical resources and experience when needed.

At a regional level, six National Blue Guardians Climate Resilience Centres will coordinate with existing regional climate facilities, facilitated by the SIDS DOCK IT platform, as follows:

Pacific Climate Resilience Centres - In the Pacific region, SIDS DOCK and the National Blue Guardians Climate Resilience Centres will coordinate with the new Pacific Climate Change Centre (PCCC) located at the Secretariat of the Pacific Regional Environment Programme (SPREP) in Samoa, the Pacific Centre for Renewable Energy and Energy Efficiency (PCREEE) in Tonga, among other regional bodies.

Caribbean Climate Resilience Centres - In the Caribbean region, SIDS DOCK and the National Blue Guardians Climate Resilience Centres will coordinate with the newly-established Caribbean Centre for Renewable Energy and Energy Efficiency (CCREEE) in Barbados, the Caribbean Community Climate Change Centre (5C's) in Belize.

AIMS Climate Resilience Centres - For the AIMS region, SIDS DOCK and the National Blue Guardians Climate Resilience Centres will coordinate with the Indian Ocean Commission (IOC) in Mauritius and the Blue Economy Research Institute at the University of Seychelles and the ECOWAS Centre for Renewable Energy and Energy Efficiency (ECREEE) SIDS Unit in Cabo Verde. The National Blue Guardians Climate Resilience Centres for Mauritius and Seychelles will likewise be considered to co-locate with these existing institutions to further increase their capacities.

### **Sub-activity 3.1 – SIDS-SIDS Resilience Learning and Cooperation Community**

This activity will facilitate information access and sharing for SIDS, the creation of an information repository and the building of a SIDS network connecting people who want to offer expertise and knowledge exchange. This will include the hosting of international and regional workshops, IT enabled sharing of experience between SIDS, production of multimedia communications materials and distribution through social media networks. An example of a product of this activity follows:

3.1.1 - Data Sharing through Cloud-Based Computing - The National Blue Guardians Climate Resilience Centers will serve as the data innovation hubs for each of the six countries, and the appropriate data will be shared through the SIDS DOCK cloud-based computing infrastructure. The establishment of cloud-based computing technology supported by the Blue Guardians Program will provide multiple opportunities for SIDS-SIDS experience sharing and cross-training.

This knowledge sharing role and service provision will facilitate collaborative learning through peer-level expertise and information resource exchange between SIDS governments, NGOs, and local, national, and regional private and public organizations via the Blue Guardians Communications Network - a multimedia web-based platform developed and maintained by the SIDS DOCK. The lessons learnt and the successful interventions from the Blue Guardians Program will also be shared with the other SIDS DOCK members as well as a greater number of small islands, with the aim to foster global replication and upscaling, and growth of the global community.

### **Sub-activity 3.2 - Project Pipeline Development and Financing**

The pilot activities implemented will provide the basis for the development of a pipeline of projects that are uniquely focused on building climate resilience for coastal communities and by extension the new national blue-green economy.

The Blue Guardians Program will provide a comprehensive repository of information and data that can be used to more effectively plan, prioritize and manage investments in the proposed climate adaptation and mitigation actions, including debt-for-nature swaps, “blue” and “green” bonds, carbon market offset projects, eco-tourism and other programs and projects in an integrated, efficient and defensible manner. Utilization of this service as a vital component for development of project investment decision making and attracting diversified investment sources is critical to the longer-term financial viability and sustainability of the program.

This Sub-Activity will build or strengthen SIDS capabilities through providing the tools to effectively plan, assess, design and implement development investment projects in a manner that is more integrated and aligned across all sectors, to maximize investment synergy and to achieve measurable results with the NDCs of each SIDS. It will also provide the geospatial platform that can be used for recording and tracking project locations and characteristics through all stages of development and for the historical record.

### **Sub-activity 3.3 - Renewable Energy**

The SDI information and data infrastructure that will be developed under Program Activity #2 will be used to identify and quantify potential sources of renewable energy, assess the energy needs of communities and facilities, and support project design and feasibility assessment. This capacity will help countries decisions makers do relative comparison between energy projects, as to the degree of impacts on climate resilience buildings. Government could then decide how much weight it wishes to allocate to co-benefits when deciding between project options. Currently, energy project decisions are made based predominately on least cost of energy, which fails to capture and value co-benefits. Sub-activity 3.3 will build and strengthen the countries’ capabilities in the following areas:

- 3.3.1 Renewable Energy Resource Inventory and Assessment - Program data and tools can be used to help determine the optimal location, quality and quantity of various energy resources, ranging from solar, wind, hydro, geothermal, waste, ocean thermal energy, tide and wave energy. The results of these analyses can be used to determine the full range of available potential energy sources and the requisite technology as the basis for the development of a national, diversified renewable energy plan, or a single project to meet a particular need.

- 3.3.2 Demand Assessment - The Blue Guardians Program will provide the data and tools to enhance understanding of the location, extent and magnitude of current and potential future energy demand nationally in each SIDS, inclusive of residential, commercial, agricultural and industrial uses.
- 3.3.3 Energy System Planning and Design - Planning national energy strategy that, as a matter of policy, incorporates a heavy emphasis on building climate resilience will be dependent upon the outputs of the two previous assessments.

**Sub-Activity 3.4 - Green Infrastructure Planning**

The SDI information and data infrastructure that will be developed under Program Activity #2 will be used to identify and quantify the infrastructure required to make coastal communities more climate resilient, provide qualified and defensible projects for investment, support infrastructure construction management, operations, maintenance, monitoring and evaluation. Sub-activity 3.4 will build or strengthen national capabilities in the following areas: Green Infrastructure Planning and Design - The Program will provide the data and tools that can be used to support the development of “green infrastructure”, emphasizing the utilization and enhancement of natural systems to manage storm runoff, surface water quality management, groundwater infiltration, sanitary sewer water treatment, erosion and sediment management, slope stabilization and other applications.

Gender-Sensitive Approach in Infrastructure Planning and Design - Recognizing the importance of gender equality in terms of access to climate-resilient infrastructure, the Blue Guardians program with guidance from its member organization, the SIDS DOCK Island Women Open Network (IWON), will adopt a gender-sensitive approach in order to build resilience to climate change equally for men and women. Incorporating a gender-sensitive approach in infrastructure planning and design will create accountability for gender and climate change results. Commitment to gender equality is necessary in Infrastructure Design and Planning as it will reduce the gender gap of social, economic and environmental vulnerabilities exacerbated by climate change, as well as foster participation of women in this area by entering the labour force and helping them become entrepreneurs/creating new businesses.

**Sub-activity 3.5 - Disaster Contingency Planning and Management**

This Sub-Activity will help to further strengthen SIDS capabilities through the provision of information and tools needed to support climate-related hazard and vulnerability assessment, contingency planning, early warning, disaster response and recovery logistics support and ultimately the planning and design of disaster resistant communities and infrastructure. This sub-activity also integrates the Blue Guardians cross-cutting gender-sensitive approach with the following:

- 3.5.1 - Hazard analysis - Enhancing capacity to determine where natural hazards are likely to occur.
- 3.5.2 - Vulnerability assessment - The location and characteristics of a hazard can be overlaid to other resources at risk such as people, buildings, infrastructure, facilities, and anything else that may be damaged from a given hazard. This capability will provide a more comprehensive assessment of the hazards and vulnerabilities of communities.
- 3.5.3 - Contingency planning - Once the hazards and vulnerabilities have been identified, then various pre-planned scenarios for how to respond to them most effectively can be devised. The capacity developed by the Program will make it possible for the generation and testing of scenarios for communities.
- 3.5.4 - Response support - Enhanced capacity to support the mobilization of contingency plans for an effective response effort during an event. Such support could be connected to regional and global centres ensuring strategic redundancy of critical data that be used in case local systems are compromised or otherwise rendered inaccessible by any emergency situation.
- 3.5.5 - Recovery support - Enhanced capacity to provide important information to assist in carrying out recovery efforts following a major disaster.
- 3.5.6 - Disaster resistant community planning and design - The best way to avoid catastrophic impacts of major disasters is to plan communities and landscapes to avoid problem areas and build sustainability and resilience into planning and development processes across all sectors. The national information management capacity developed will improve planning and design of community disaster prevention.

	<p><b><u>Sub-activity 3.6 Upscaling and Replication</u></b></p> <p>SIDS DOCK is uniquely positioned to work with SIDS Leaders to mainstreaming the findings of the pilots, and identifying opportunities for further technology deployment and upscaling. The SIDS DOCK IT platform provides institutional infrastructure for long-term knowledge sharing at an institutional level which catalyses the impact of this Program beyond its scope creating a paradigm shift from destructive utilization of ecosystems to sustainable management. The results from the pilot projects are expected to contribute to the creation of a significantly enhanced enabling environment within the SIDS community in the six participating countries, and through the Network to the larger SIDS community. The national capacity built through the Program and the technologies and methodologies that were deployed in the pilot projects, and new practices learned can now be transferred and imbedded in other communities, making for replications, expanding and going to scale, nationally, and guiding other SIDS, globally.</p>
<p>eB.2. Background information on project/programme sponsor</p>	<p>Describe project/programme sponsor’s operating experience in the host country or other developing countries.</p> <p>The Blue Guardians program sponsors are SIDS DOCK and GRID-Arendal, working closely with UN Environment.</p> <p><b>SIDS DOCK</b>, <a href="http://sidsdock.org/">http://sidsdock.org/</a></p> <p>SIDS DOCK is the first global intergovernmental member organisation of islands launched two years ago, which has transitioned to a UN-recognized international platform with all the rights and privileges for addressing climate change, resilience, and energy security in SIDS, that comprise more than one-fifth of the total membership of the UN, and who have responsibility for more than 20 percent (20%) of the world’s ocean. SIDS DOCK functions as a mechanism: (a) So members can access investment financing from the global markets and from entities such as pension funds, etc., and social responsible investment funds wanting to support sustainable energy development; (b) For coordinating the development of technical capacity, sharing of technical expertise and the provision of technical support; (c) To assist SIDS transition to a sustainable energy sector through the acquisition and transfer of sustainable energy technologies and by increasing energy efficiency and conservation and development of renewable energy; (d) For participating in the global carbon market and to conduct advocacy and develop cooperative agreements with parties who wish to assist with financial resources. SIDS DOCK has already spearheaded the mobilization of more than USD \$30 million from development partners to support renewable energy and capacity building activities in more than 20 island nations. The six countries selected for this project are all SIDS DOCK Member States and all are part of the governance structure.</p> <p><b>GRID-Arendal</b>, <a href="http://www.grida.no">www.grida.no</a></p> <p>GRID-Arendal was established in 1989 to support environmentally sustainable development by working with UN Environment and other partners. GRID-Arendal has extensive experience in developing and managing large-scale, multi-stakeholder projects in developing countries and SIDS, including through the UN Shelf Programme and its Blue Carbon Programme.</p> <p>Currently under its Blue Carbon Programme, GRID-Arendal manages the GEF Blue Forests Project, which is presently the world’s largest blue carbon initiative, with sites in Dominican Republic, Ecuador, Indonesia, Kenya, Madagascar, Mozambique, Thailand, United States of America, and United Arab Emirates. This project is focused on harnessing the values associated with coastal carbon and related ecosystem services to achieve climate resilient and sustainable communities. For example, the GEF project also includes a site in Kenya, the Mikoko Pamoja project, which is the world’s first working community-based mangrove carbon finance project where payments for mangrove carbon are being used by the local community for reforestation and management of mangrove forests and for community benefit activities. The GEF Blue Forests Project will also provide experience and tools for greater global application (such as in the Blue Guardians project).</p> <p>GRID-Arendal developed and managed the Abu Dhabi Blue Carbon Demonstration Project, which “provided decision-makers with a stronger understanding of the carbon sequestration potential in the Emirate of Abu Dhabi,” according to the NDC submission by the UAE. This project was expanded to</p>

	<p>cover the entire country and the UAE is currently assessing its blue carbon reservoir for reporting to the UNFCCC.</p> <p>Additionally, GRID-Arendal coordinated the UN Environment Continental Shelf Programme, which was established to assist developing States and SIDS to complete the activities required to delineate the outer limits of their continental shelf. In addition to in addition to providing support in identifying, collecting or analyzing existing data, technical support was directly offered to assistance related to enhance capacity for the submission process and in the identifying and accessing potential sources of funding to support the work process. The Continental Shelf Programme actively engaged with over 60 States worldwide.</p> <p><b>United Nations Environment Programme</b> <a href="http://web.unep.org/">http://web.unep.org/</a></p> <p>[This section to be updated by UN Environment]</p> <p>The United Nations Environment Programme (UNEP) is the leading global environmental authority that sets the global environmental agenda, promotes the coherent implementation of the environmental dimension of sustainable development within the United Nations system and serves as an authoritative advocate for the global environment. UN Environment’s work encompasses:</p> <ul style="list-style-type: none"> <li>● Assessing global, regional and national environmental conditions and trends</li> <li>● Developing international and national environmental instruments</li> <li>● Strengthening institutions for the wise management of the environment</li> </ul> <p>UN Environment’s priority areas include climate change, disasters and conflicts, resource efficiency, and ecosystem management.</p> <p>Describe financial status and how the project/programme sponsor will support the project/programme in terms of equity, management, operations, production and marketing.</p> <p>The Co-sponsors of the activity have recruited a number of partners from the private sector and also partners from Philanthropic organizations who have already committed in excess of USD \$2.3 million. Significant in-kind contributions will be forthcoming from the participating countries which will defer implementation costs. The Co-Sponsors also intend to mobilize additional resources from philanthropic sources linked to interest in energy technologies, SDI, or issues of gender and energy, Information Infrastructure development, and public education and awareness.</p>
<p>B.3. Market overview</p>	<p>Describe the market for the product(s) or services including the historical data and forecasts.</p> <p>Provide the key competitors with market shares and customer base (if applicable).</p> <p>The capacity that the Blue Guardians Program is seeking to provide and services it will be able to deliver is not a competitive market environment for SIDS. It is therefore a function of government to provide the institutional capacity.</p> <p>Provide pricing structures, price controls, subsidies available and government involvement (if any).</p> <p>This will be determined on a country by country basis and will be described in detail in the Project Document</p>
<p>B.4. Regulation, taxation and insurance</p>	<p>Provide details of government licenses, or permits required for implementing and operating the project/programme, the issuing authority, and the date of issue or expected date of issue.</p>

	<p>The focus of the Blue Guardians Program is on capacity building and demonstration of the capacities in pilot projects that build resilience in coastal communities and protect the environment, correspondingly, very limited import of hardware are anticipated. The national government coordinating agency will be responsible for managing all documentation with the government necessary for efficient implementation.</p> <p>Describe applicable taxes and foreign exchange regulations.</p> <p>Provide details on insurance policies related to project/programme.</p>
<p><b>B.5. Implementation arrangements</b></p>	<p>Describe construction and supervision methodology with key contractual agreements. The support provided by the PPP will provide the resources to undertake the necessary planning to provide the required information in this section</p> <p>Describe operational arrangements with key contractual agreements following the completion of construction.</p> <p>Provide a timetable showing major scheduled achievements and completion for each of the major components of the project/programme.</p>

<b>C. Financing / Cost Information</b>						
<p><b>C.1. Description of financial elements of the project / programme</b></p>	<p>Please provide:</p> <ul style="list-style-type: none"> <li>• a breakdown of cost estimates analysed according to major cost categories.</li> <li>• a financial model that includes projection covering the period from financial closing through final maturity of the proposed GCF financing with detailed assumptions and rationale;</li> <li>• a description of how the choice of financial instrument(s) will overcome barriers and achieve project objectives, and leverage public and/or private finance.</li> </ul>					
<p><b>C.2. Project financing information</b></p>		<p><b>Financial Instrument</b></p>	<p><b>Amount</b></p>	<p><b>Currency</b></p>	<p><b>Tenor</b></p>	<p><b>Pricing</b></p>
	<p><b>Total project financing</b> <b>(a) = (b) + (c)</b></p>		<p>.....</p>	<p><u>Options</u></p>		

	(b) Requested GCF amount	(i) Senior Loans	.....	<u>Options</u>	( ) years	( ) %
		(ii) Subordinated Loans	.....	<u>Options</u>		( ) %
		(iii) Equity	.....	<u>Options</u>		( ) %
	(iv) Guarantees	.....	<u>Options</u>	IRR		
	(v) Reimbursable grants *	.....	<u>Options</u>			
	(vi) Grants *	.....	<u>Options</u>			
* Please provide detailed economic and financial justification in the case of grants.						
<b>Total Requested (i+ii+iii+iv+v+vi)</b>		.....	<u>Options</u>			
(c) Co-financing	<b>Financial Instrument</b>	<b>Amount</b>	<b>Currency</b>	<b>Name of Institution</b>	<b>Seniority</b>	
	<u>Options</u>	.....	<u>Options</u>	.....	<u>Options</u>	
	<u>Options</u>	.....	<u>Options</u>	.....	<u>Options</u>	
	<u>Options</u>	.....	<u>Options</u>	.....	<u>Options</u>	
	<u>Options</u>	.....	<u>Options</u>	.....	<u>Options</u>	
Lead financing institution: .....						
(d) Covenants						
(e) Conditions precedent to disbursement						

### D. Expected Performance against Investment Criteria

Please explain the potential of the Project/Programme to achieve the Fund's six investment criteria as listed below.

D.1. Climate impact potential  
[Potential to achieve the GCF's objectives and results]

Specify the climate mitigation and/or adaptation impact. Provide specific values for the below indicators and any other relevant indicators and values, including those from the Fund's [Performance Measurement Frameworks](#).

- Total tonnes of CO<sub>2</sub> eq to be avoided or reduced per annum
- Expected total number of direct and indirect beneficiaries and number of beneficiaries relative to total population (e.g. total lives to be saved from disruption due to climate-related disasters)

D.2. Paradigm shift potential  
*[Potential to catalyze impact beyond a one-off project or programme investment]*

Provide the estimates and details of the below and specify other relevant factors.

- Potential for scaling-up and replication (e.g. multiples of initial impact size)
- Potential for knowledge and learning
- Contribution to the creation of an enabling environment
- Contribution to the regulatory framework and policies

D.3. Sustainable development potential  
*[Potential to provide wider development co-benefits]*

Provide the estimates of economic, social and environmental co-benefits. Examples include the following:

- Economic co-benefits
  - Total number of jobs created
  - Amount of foreign currency savings
  - Amount of government's budget deficits reduced
- Social co-benefits
  - Improved access to education
  - Improved regulation or cultural preservation
  - Improved health and safety
- Environmental co-benefits
  - Improved air quality
  - Improved soil quality
  - Improved biodiversity
- Gender-sensitive development impact
  - Proportion of men and women in jobs created

D.4. Needs of recipient  
*[Vulnerability to climate change and financing needs of the recipients]*

Describe the scale and intensity of vulnerability of the country and beneficiary groups and elaborate how the project/programme addresses the issues. Examples of the issues include the following:

- Level of exposure to climate risks for beneficiary country and groups
- Does the country have a fiscal or balance of payment gap that prevents from addressing the needs?
- Does the local capital market lack depth or history?
- Needs for strengthening institutions and implementation capacity

D.5. Country ownership  
*[Beneficiary country ownership of project or programme and capacity to implement the proposed activities]*

Provide details of the below and specify other relevant factors.

- Coherence and alignment with the country's national climate strategy and priorities in mitigation or adaptation
- Brief description of executing entities (e.g. local developers, partners and service providers) along with the roles they will play
- Stakeholder engagement process and feedback received from civil society organizations and other relevant stakeholders

D.6. Effectiveness and efficiency  
*[Economic and financial soundness and effectiveness of the proposed activities]*

Provide details of the below and specify other relevant factors (i.e. debt service coverage ratio), if available.

- Estimated cost per t CO2 eq (total investment cost/expected lifetime emission reductions)
- Co-financing ratio (total amount of the Fund's investment as percentage of project)
- Economic and financial rate of return
  - With the Fund's support
  - Without the Fund's support

Preparation of the required information is to be developed as an output of the PPP grant

### E. Brief Rationale for GCF Involvement and Exit Strategy

*Please specify why the GCF contribution is critical for the project/programme.*

*Please explain how the project/programme sustainability will be ensured in the long run, after the project/programme is implemented with support from the GCF and other sources.*

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**F. Risk Analysis**

*Please describe the financial and operational risks and discuss mitigating measures.*

Please briefly specify the substantial environmental and social risks that the project/programme may face and the proposed risk mitigating measures.

**G. Multi-Stakeholder Engagement**

*Please specify the plan for multi-stakeholder engagement, and what has been done so far in this regard.*

**H. Status of Project/Programme**

Project preparation has not advanced to this stage

- 1) A pre-feasibility study is expected to be completed at this stage. Please provide the report in section J.
- 2) Please indicate whether a feasibility study and/or environmental and social impact assessment has been conducted for the proposed project/programme: Yes  No   
*(If 'Yes', please provide them in section J.)*
- 3) Will the proposed project/programme be developed as an extension of a previous project (e.g. subsequent phase), or based on a previous project/programme (e.g. scale up or replication)? Yes  No   
*(If yes, please provide an evaluation report of the previous project in section J, if available.)*

**I. Remarks**

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**J. SUPPORTING DOCUMENTS FOR CONCEPT NOTE**

- Map indicating the location of the project/programme
- Financial Model
- Pre-feasibility Study
- Feasibility Study (if applicable)
- Environmental and Social Impact Assessment (if applicable)
- Evaluation Report (if applicable)

### Supporting Document 1: Financial Model

ACTIVITY AREA	Executing Entities (SIDS DOCK and GRID- Arendal)	National Nodes						Activity Sub-Totals
		Samoa	Tonga	Tuvalu	St Vincent & Grenadines	Mauritius	Seychelles	
Consortium Coordination and Common Activities	\$420,000	\$110,000	\$110,000	\$110,000	\$110,000	\$110,000	\$110,000	<b>\$1,080,000</b>
Situation Assessment & Program Design	\$470,000	\$300,000	\$300,000	\$300,000	\$300,000	\$300,000	\$300,000	<b>\$2,270,000</b>
Program Activity #1 - Developing national climate resilience institutional infrastructure	\$650,000	\$1,000,000	\$1,000,000	\$1,000,000	\$1,000,000	\$1,000,000	\$1,000,000	<b>\$6,650,000</b>
Program Activity #2 - Building National and Community Climate Resilience	\$2,000,000	\$3,000,000	\$3,000,000	\$3,000,000	\$3,000,000	\$3,000,000	\$3,000,000	<b>\$20,000,000</b>
Community Grant Fund	--	\$1,000,000	\$1,000,000	\$1,000,000	\$1,000,000	\$1,000,000	\$1,000,000	<b>\$6,000,000</b>
Program Activity #3 - Establishing SIDS climate resilience knowledge Network	\$1,000,000	\$1,500,000	\$1,500,000	\$1,500,000	\$1,500,000	\$1,500,000	\$1,500,000	<b>\$10,000,000</b>
<i>Consortium Participant Subtotals</i>	<b>\$4,540,000</b>	<b>\$6,910,000</b>	<b>\$6,910,000</b>	<b>\$6,910,000</b>	<b>\$6,910,000</b>	<b>\$6,910,000</b>	<b>\$6,910,000</b>	<b>\$46,000,000</b>
<b>BUDGET ALLOCATION BY YEAR</b>								<i>Sub-Totals by Year</i>
YEAR 1	\$575,000	\$862,500	\$862,500	\$862,500	\$862,500	\$862,500	\$862,500	<b>\$5,750,000</b>
YEAR 2	\$1,150,000	\$1,725,000	\$1,725,000	\$1,725,000	\$1,725,000	\$1,725,000	\$1,725,000	<b>11,500,000</b>
YEAR 3	\$1,150,000	\$1,725,000	\$1,725,000	\$1,725,000	\$1,725,000	\$1,725,000	\$1,725,000	<b>11,500,000</b>
YEAR 4	\$1,150,000	\$1,725,000	\$1,725,000	\$1,725,000	\$1,725,000	\$1,725,000	\$1,725,000	<b>11,500,000</b>
YEAR 5	\$575,000	\$862,500	\$862,500	\$862,500	\$862,500	\$862,500	\$862,500	<b>\$5,750,000</b>
<i>subtotals</i>	<b>\$4,600,000</b>	<b>\$6,900,000</b>	<b>\$6,900,000</b>	<b>\$6,900,000</b>	<b>\$6,900,000</b>	<b>\$6,900,000</b>	<b>\$6,900,000</b>	<b>\$46,000,000</b>
<b>GRAND TOTAL</b>								<b>\$46,000,000</b>



**United Nations Decade of Sustainable Energy For All (2014-2024)**  
*"Island Energy For Island Life"*

*Draft for consideration by the fourth Assembly of SIDS DOCK and presentation during the Assembly. Agenda Item 7 (e) (iii): "SIDS Day in the Seychelles: "How Can You Champion Girl's or Women's Rights In SIDS?" to be held at the margins of the 73<sup>rd</sup> UN General Assembly, 29 September 2018*

**UNITED NATIONS DECLARATION ON THE INTERNATIONAL DAY OF THE  
 WORLD'S SMALL ISLAND PEOPLES & CELEBRATION OF SMALL ISLAND KIDS**

We, the Members of the SIDS DOCK Island Women Open Network (IWON), the gender and youth arm of the Small Island Developing States (SIDS), Sustainable Energy and Climate Resilience organization,

EXPRESS our profound gratitude to the fourth Assembly of SIDS DOCK, for emphasizing the special place and role Small Island Kids play in promoting the energy and climate resilience needs of Small Island Developing States in the context of the SIDS DOCK Goals of 25-50-25 by 2033, the Sustainable Development Goals (SDGs), and the United Nations Framework Convention on Climate Change (UNFCCC) Paris Agreement,

NOTE that SIDS DOCK is a critical vehicle through which technical and financial support, capacity building, and preparation of investment opportunities are delivered to our members in order to achieve the objectives of the SEforALL Initiative and the core purposes of SIDS DOCK, as stated in the *2012 Barbados Declaration on Achieving Sustainable Energy for All in Small Island Developing States*,

REAFFIRM the urgent need to address energy security, energy affordability and climate change resilience in SIDS, simultaneously and in an integrated way. We confirm the important mandate of SIDS DOCK, to contribute to the cross-cutting areas of SDG Goal 5 on gender equality, Goal 6 on clean water and sanitation, Goal 7 on sustainable energy, Goal 13 on climate action, and Goal 14 on life below water.

RECALL in 2000, the eight (8) Millennium Development Goals (MDGs), which was the forerunner to the SDGs, where there were SIDS-specific targets addressed in MDG 8, "Develop a global partnership for development - Address the special needs of landlocked and small island developing States," and this was further reaffirmed in the Rio+20 outcome document, "The future we want," of the United Nations Conference on Sustainable Development, held in Rio de Janeiro,

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 C/o Caribbean Community Climate Change Centre

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Brazil, from 20 to 22 June 2012, which reaffirmed that SIDS remain a special case for sustainable development given their unique and particular vulnerabilities,

FURTHER RECALL that our basis for action lies in “Agenda 21, 17.123. Small island developing States, and islands supporting small communities are a special case both for environment and development. They are ecologically fragile and vulnerable. Their small size, limited resources, geographic dispersion and isolation from markets, place them at a disadvantage economically and prevent economies of scale. For small island developing States the ocean and coastal environment is of strategic importance and constitutes a valuable development resource,”

CALL FOR a United Nations Declaration on the “International Day of the World’s Small Island Peoples and Celebration of Small Island Kids,” to re-highlight the loss of MDG 8 that openly addressed SIDS Special Case, and to support our Small Island Kids who want to develop and advocate for partnerships to implement the “SIDS Accelerated Modalities of Action (SAMOA) Pathway” which was adopted at the Third International Conference on Small Island Developing States (SIDS), held from 1-4 September 2014 in Apia, Samoa. The conference called for innovative partnerships to strengthen SIDS-SIDS cooperation,

WELCOME the continued support and express our profound gratitude to the Government of Austria and the United Nations Industrial Development Organization (UNIDO), in helping to facilitate the launch of the SIDS DOCK IWON and the SIDS DOCK Children’s Programme in Samoa, in 2014, and for the kind and generous support of Austria, for providing millions of euros in financial support for the establishment of a network of regional sustainable energy centres for SIDS in the Caribbean (Caribbean Centre for Renewable Energy and Energy Efficiency – CCREEE), Pacific (Pacific Centre for Renewable Energy and Energy Efficiency - PCREEE), and the Atlantic Ocean and the Indian Ocean (SIDS Unit in the Economic Community of West African States [ECOWAS], Centre for Renewable Energy and Energy Efficiency – ECREEE),

ACKNOWLEDGE the key role of the centres to mobilize resources for integrated SIDS-SIDS sustainable energy and climate resilience programmes. The centres will strengthen the capacities to implement the SIDS DOCK project pipeline with an estimated value of USD 1.6 billion, as well as to coordinate implementation of the SEforALL Initiative. The centers complement and strengthen ongoing national activities in the areas of policy and capacity development, knowledge management and awareness raising, as well as investment and business promotion. They will strengthen SIDS-SIDS cooperation and capacities to promote sustainable energy investments, markets and industries in SIDS, and in building climate resilience,

HIGHLIGHT the important role of the network of centres to mainstream gender into SIDS energy policies, decision-making processes, programmes and projects, and that Island Women are disproportionately under-represented in reporting on gender within the United Nations system and there are limited or no specific reference to SIDS or Island Women in major UN reports on women, within the context of Agenda 21, Chapter 17, Section G, that acknowledges that “*small island developing states are a special case both for environment and development...and are considered extremely vulnerable to global warming and sea level rise.*”

EMPHASIZE that SIDS DOCK is the only United Nations (UN)-recognized international platform with all the rights and privileges for addressing climate change, resilience, and energy security in SIDS, that comprise more than one-fifth of the total membership of the UN, and who have responsibility and stewardship for more than 20 percent of the world’s oceans, and that the United



Nations has an important and continuing role to play in helping SIDS build their resilience to climate change and sea level rise, and to promoting the Special Case of SIDS, and protecting the rights of small island peoples,

FURTHER REAFFIRM the words that makes us all equally human, and which are enshrined in the Universal Declaration of Human Rights (UDHR), the world's universalizing document, and we recognize the important contribution of a Champion Small Island Woman, Minerva Bernadino of the Dominican Republic, one of the signers of the UDHR in 1948, for pushing for the inclusion of the phrase, "equality of men and women" in the preamble,

EXPRESS ALARM for the future of our Small Island Kids, and are deeply concerned that no other group of peoples are more vulnerable to the devastating effects of climate change and sea level rise, and that Small Islands face extreme sustainable development challenges, including high communication, energy and transportation costs, irregular international transport volumes, disproportionately expensive public administration and infrastructure due to their small size, and little to no opportunity to create economies of scale,

CALL UPON all relevant bodies, agencies, funds and programmes to support the establishment of a "Drafting Committee for the UN Declaration on The International Day of the World's Small Island Peoples and Celebration of Small Island Kids," under the auspices of the Permanent Mission of the Republic of the Seychelles and the UN Office of the High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States (UN-OHRLLS). In this context, we welcome the UN General Assembly's (UNGA's) recognition of SIDS in 2012, where 2014 was Declared the International Year of Small Island Developing States, celebrating the contributions that this group of countries has made to the world,

FURTHER CALL UPON all relevant bodies, agencies, funds and programmes to support the launch of the "UN International Day of the World's Small Island Peoples and Celebration of Small Island Kids," at the 74th session of UNGA, designating the second Monday, in the month of September, on the UNGA Calendar, as "SIDS Day".

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Distribution: General  
19 September 2018

***United Nations Decade of Sustainable Energy For All (2014-2024)***  
*"Island Energy For Island Life"*

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Fourth session of the Assembly of SIDS DOCK  
ECOSOC Chamber  
United Nations Headquarters  
New York, NY 10017  
29 September 2018

**DRAFT CONCEPT PAPER**

**PROPOSAL FOR AN ENERGY-FOCUSED CAPTIVE INSURANCE MULTI-WINDOW  
FACILITY FOR SMALL ISLAND DEVELOPING STATES (SIDS):**

**ADAPTING TO CLIMATE CHANGE BY CREATING AFFORDABLE INSURANCE-  
RELATED SOLUTIONS**

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**Executive Summary**

There now exists more reasonable grounds to fear that projections of more frequent, ferocious and intense hydro-metrological events like never seen before in humanity will impact Small Island Developing States (SIDS), first, and the worst. Paying for the massive damages is now a major preoccupation of the SIDS Leadership, who grappled with unprecedented losses in 2017, due to exceptional weather-related events that caused devastation and destruction right across the SIDS in the Caribbean, Pacific and Indian Ocean regions. Forecasters expect a slightly above-average 2018 Atlantic and Central Pacific hurricane season and nervous and worried local authorities across the SIDS are already warning citizens to prepare ahead of time.

The multi-billion-dollar losses suffered as a result of the devastating 2017 Hurricane and Cyclone season once again highlighted the inadequate and/or lack of catastrophe insurance coverage in several Small Island Developing States. Estimates from the Association of Trinidad and Tobago Insurance Companies (ATTIC)<sup>19</sup> are that damages from the hurricanes in the Caribbean are in excess of USD 50 billion; so far, initial regional feedback suggests a high percent of policyholders' property and valuable assets in islands devastated by hurricanes were "uninsured or underinsured".

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<sup>19</sup> The Association of Trinidad and Tobago Insurance Companies (ATTIC)

In the case of the Caribbean, the eleven-year-old Caribbean Catastrophic Risk Insurance Facility (CCRIF) paid out USD 55 million to nine (9) member governments after the 2017 Hurricanes Maria and Irma. The CCRIF has been providing parametric catastrophe insurance coverage since 2007 for hurricanes and earthquakes and since 2013, for excess rainfall in the Caribbean extending into Central America in 2015. Pay-outs up to December 2017 have amounted to approximately USD 130.5 million,<sup>20</sup>. Within this context, the facility is exploring scaling up to better serve the countries in the region.

The CCRIF was formed in the aftermath of Hurricane Ivan in 2004, which caused billions of dollars of losses across the Caribbean. In Grenada and the Cayman Islands, losses were close to 200 percent of the national annual gross domestic product (GDP). But much more than the CCRIF is needed at this time. Collectively, SIDS have the opportunity to develop their own mechanism aimed at managing and transferring risks associated with climate change.

When the SIDS Leadership decided to create SIDS DOCK in 2009, it was with the realization that small islands would have to seek ways in which to finance adaptation as the promised level of support was not forthcoming. It was truly innovative on the part of the SIDS Leadership to develop the idea that financing adaptation was possible through the transformation of the SIDS energy sector to achieve low carbon economies. Similarly, the annual debate at the United Nations Framework Convention on Climate Change (UNFCCC) Conference of Parties (COP) meetings on Loss and Damages is equally long-suffering, extending back to the same time period when SIDS DOCK was formed. In this instance, the SIDS Leadership are now exploring SIDS-centred innovative financial tools in climate change risk management, and ownership, by SIDS, is at the heart of the proposed new mechanism.

SIDS DOCK, working with insurance and finance professionals and development partners, has identified two synergistic programmes that could potentially reduce insurance premiums by up to fifteen percent (15%), stimulate the use of sustainable energy and building through insurance credits, decrease the outflow of premium dollars to foreign countries, and increase the affordability of insurance for homeowners. These innovative financial mechanisms have the potential to provide a meaningful risk-transfer option for small islands.

The mechanisms described include both insurance mechanisms and other forms of risk spreading and sharing, referred to as non-insurance mechanisms. SIDS need a comprehensive solution that does not propose implementation of a particular financial instrument exclusively, as what pertains. SIDS need a mechanism that has a multi-window orientation in the way of mitigation strategies, prevention and adaptation, as well as the use of risk transfer instruments such as insurance, at different scales, i.e., for individuals or small communities or pools of countries, and governments; a model that can also provide cover for slow-onset events such as sea-level rise. Finally, it should also differentiate among frequent events and disasters of lower probability.

Two programmes are proposed with collective action and SIDS-ownership as the mutually defining characteristic:

1. Owner Controlled Insurance Programme (OCIP)
2. Captive Insurance Facility (CIF)

### ***Owner Controlled Insurance Programme (OCIP)***

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<sup>20</sup> <http://www.ccrif.org/news/scaling-ccrif-spc-meet-region-needs-stakeholders-gather-chart-ccrif-strategic-direction>

Anecdotal references and a scoping exercise indicated that behind a number of contracts related to infrastructure works, SIDS pay enormous sums in hidden fees, bank charges, administrative overheads and various transactional charges that grossly inflate bid packages. The insurance cost component of a typical construction project is normally between 2-4 percent of hard construction costs. As an example, a \$100 million project will include insurance costs of between \$1.4 million and \$2.8 million. By requiring that contractors exclude insurance from their bids and, instead, insuring each project, or, group of projects with project-specific insurance, SIDS can reduce insurance costs by as much as 15 percent. The procurement mechanism used for accomplishing this is known as an Owner Controlled Insurance Programme (“OCIP”). An OCIP is an insurance programme effected by the sponsoring organization (SIDS DOCK) on behalf of all contractual participants which is normally structured to meet the key asset, legal liability and financial risks associated with a Sponsor’s construction projects.

OCIPs have tremendous advantages for SIDS, in that all insurance costs are collected into a single policy premium, rather than embedded inside the bids of dozens of contractors and sub-contractors to cover multiple projects. In addition to lowering premiums, the purchase of liability insurance on a project-specific basis, through an OCIP, will give SIDS and their insurance advisors advantages in negotiating insurance policy terms and conditions.

#### ***Captive Insurance Facility (CIF)***

SIDS need a strategy based on several financial instruments, all of them supported by a cornerstone in the way of a trust fund that facilitates the development of a captive insurance entity. A captive is an ideal financial vehicle to transfer, transparently, risk to the global reinsurance and capital markets and an equally ideal solution for specific risks and complexities as those risks that uniquely characterizes small islands. Captive Insurance structures, a form of self -insurance, can be a favourable alternative to traditional commercial insurance markets. Captive entities can benefit from profit from their investment from insurance activities and any underwriting profit after losses and expenses. Unlike traditional risk transfer to a commercial market counter-party, if there are any excess funds left after payment of all liabilities, a profitable Captive Insurance Company can become a catalyst for generating financial resources for sustainable economic development.

A captive provides opportunities to more easily structure insurance programmes since the captive is not subject to the same constraints and conventions normally evident with traditional insurers. The group captive insurance premium is typically lower, often substantially, than the cost of traditional insurance. This is because the premiums are based on actual loss experience and projected losses rather than the general rating scale of a traditional insurer. Also, the commercial insurance market has high administrative costs which are passed on to their clients within the premiums charged. A captive can reduce the overall cost of an insurance programme by retaining the premium for the expected losses, thereby avoiding the premium loading for a commercial insurer’s overheads and profits.

Like all programmes, both the OCIP and the CIF have potential constraints, including meeting capital commitments, risk of adverse results, operating costs and the amount of expenses and fees, but both would still give SIDS an option under their control that they can collectively reduce costs, insure difficult risks, gain direct access to reinsurance markets, and increase cash flow for economic development, or, other priorities in the SIDS such as building resilience to

climate change. Based on the decision at the 3<sup>rd</sup> Meeting of the SIDS DOCK Assembly, held September 23, 2017 in New York, at the United Nations, and the work by the SIDS DOCK Secretariat and members of the Executive Council, SIDS should consider hiring a professional consulting firm to perform a feasibility study to determine whether a SIDS owner-controlled insurance programme and captive insurance facility is feasible for the organisation. This financial and risk management analysis should provide the justification for transferring retained risk to a captive, rather than financing risk using commercial insurance or a self-financing programme. If the legitimacy or wisdom of the risk financing programme is subsequently challenged, a well-written feasibility study can be invaluable in defending the captive programme.

## **1.0 CLIMATE CHANGE – THE CLEAR AND PRESENT DANGER: THE URGENT NEED FOR INSURANCE-RELATED SOLUTIONS FOR SMALL ISLANDS**

*“Over nine countries of the region have been impacted by three hurricanes including Dominica, Antigua, the Bahamas, British Virgin Islands, Sint Maarten, Puerto Rico, and others. Damages in the region estimated are over \$10 billion. The 100-year storm, colleagues, is now the new norm. We are entering into a new and unprecedented era of climate change and its grievous effects upon us all”.* Dr. The Rt. Hon. Keith Mitchell, Prime Minister of Grenada, Chairman of CARICOM, October 13, 2017<sup>21</sup>

The people of the Caribbean experienced two Category 5 storms in just over two weeks. The devastating 2017 hurricane season can provide the Caribbean Community (CARICOM) with an opportunity to review its adaptation strategy in terms of exploring innovative and affordable insurance-related solutions in order to achieve its stated ambition of making the Caribbean the first climate-resilient zone in the world. For small islands, building climate resilience is much more than the ability to become less vulnerable and more about the capability to respond and recover. The ability to respond and recover is linked to national capacity which determines the ability to extract and efficiently utilize energy, food and water from the natural resource base.

Climate change is a clear and present danger to Small Island Developing States (SIDS) and Low-Lying Developing States. Even the oil companies, like Exxon and Shell, have now publicly accepted the science of climate change and the need for international action to address the issue. There now exists more reasonable grounds to fear that projections of more frequent, ferocious and intense hydro-metrological events like never seen before in humanity will impact SIDS, first, and the worst. With the ever-expanding access to the global communication highway and the Internet, people across the world were able to see and hear about the non-stop, multi-billion-dollar hydro-metrological assault on the small islands of Dominica, Antigua, Tonga, Mauritius, Seychelles, and Fiji, from September 2017 to March 2018.

The result: a giant step backwards to a primitive life highlighted by loss of lives – we know that women and children are 14 times more likely to die from a disaster, and we know that women and girls are more likely to suffer sexual and gender-based violence in post disaster situations, and with each event the numbers increase; homelessness and displacement, broken lives and broken infrastructure, lack of or reduced social services, virtual standstill and slow recovery of the all-important tourism sector, and threats to national security due to dislocation of the security forces. Climate-related disasters represent a major source of risk for the poor in developing countries, and the losses caused are seen as a major threat to the achievement of the United Nations (UN) Sustainable Development Goals (SDGs) and Caribbean countries’ efforts to fulfil ambitions under their Nationally Determined Commitments (NDCs), which are at the heart of the 2015 Paris Agreement. Immediate adaptation action is required, as the economic costs of climate-related disasters are high and continuing to rise.

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<sup>21</sup> <http://www.worldbank.org/en/news/speech/2017/10/13/after-the-storm-recovery-and-resilience-in-the-caribbean>

There were 330 natural catastrophe events in 2017, that generated economic losses of USD 353 billion, of which 97 percent (USD 344 billion) was due to weather-related events, including Hurricanes Harvey, Irma and Maria in the United States (US) and the Caribbean, plus Typhoon Hato in China and Cyclone Debbie in Australia. The United States made up about 50 percent of global insured losses in 2017, compared with just over 30 percent on average. For historical context, 2017's natural catastrophe losses were 93 percent higher versus the 2000-2016 average, making 2017 the costliest year on record for weather disasters. It was also an expensive year for the insurance industry, the reinsurance market had an estimated USD 600 billion in available capital to withstand the high volume of payouts; 2017 was also the third warmest year on record since 1880, for combined land and ocean temperatures<sup>22</sup>.

Costs totaled USD 1 trillion worldwide from 1980 through 2003, compared to USD 154 billion in 2015. The estimates of natural disaster economic damages place 2015 as the fifth costliest since 2006, 12 percent above the 2006-2015 annual average. Insured losses to the private sector and government-sponsored programmes were among the costliest ever incurred, reaching USD 134 billion in 2017 – just behind the record USD 137 billion in 2011. This is 139 percent higher than the USD 56 billion in 2016, primarily due to high insurance penetration in the US that suffered a very active Atlantic hurricane season, severe weather events (convective storms) and wildfires<sup>23</sup>.

In the case of the Caribbean, the eleven-year-old Caribbean Catastrophic Risk Insurance Facility (CCRIF) paid out USD 55 million to nine (9) member governments after the 2017 Hurricanes Maria and Irma. The CCRIF has been providing parametric catastrophe insurance coverage since 2007 for hurricanes and earthquakes and since 2013, for excess rainfall in the Caribbean extending into Central America in 2015. Payouts up to December 2017 have amounted to approximately USD 130.5 million,<sup>24</sup>. Within this context, the facility is exploring scaling up to better serve the countries in the region. The CCRIF was formed in the aftermath of Hurricane Ivan in 2004, which caused billions of dollars of losses across the Caribbean. In Grenada and the Cayman Islands, losses were close to 200 percent of the national annual gross domestic product (GDP).

## **2.0 THE NEED: ADAPTING TO CLIMATE CHANGE BY CREATING AFFORDABLE INSURANCE-RELATED SOLUTIONS**

Governments in the Caribbean advocated for the establishment of the CCRIF - the world's first regional risk-pooling fund issuing parametric insurance - launched in 2007, the same year the Intergovernmental Panel on Climate Change (IPCC) issued a devastating report that included the projected negative impacts facing SIDS. At the same time, the UN Framework Convention on Climate Change (UNFCCC) Secretariat also released a new report from a 2007 SIDS regional meeting which spelled out further actions that can facilitate adaptation to climate change for such countries. The report noted that SIDS are a good example of countries where insurance rates continue to increase from year to year. But in these countries, insurance-related action on the part of governments also provides a unique opportunity to provide incentives for risk reduction, as a tool for adaptation, while at the same time engaging the private sector in climate change response

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<sup>22</sup> <http://thoughtleadership.aonbenfield.com/Documents/20180124-ab-if-annual-report-weather-climate-2017.pdf>

<sup>23</sup> <http://thoughtleadership.aonbenfield.com/Documents/20180124-ab-if-annual-report-weather-climate-2017.pdf>

<sup>24</sup> <http://www.ccrif.org/news/scaling-ccrif-spc-meet-region-needs-stakeholders-gather-chart-ccrif-strategic-direction>

action<sup>25</sup>. The CCRIF provides an important mechanism for Caribbean countries; 2017 payouts were all settled within 14 days of the hazard event and have been critical for immediate response and recovery activities following these devastating events.

The CCRIF is also looking to scaling up, as it is believed that it could include providing increased CCRIF coverage for existing members, adding new members to CCRIF – in both the Caribbean and Central America and maybe even beyond, and introducing new products such as a drought product as well as providing coverage for the agriculture and fisheries sectors and public utilities (e.g. water and wastewater; energy, including renewables; and telecommunications) and possibly other economic industries such as tourism. CCRIF in collaboration with the Munich Climate Insurance Initiative will be focusing on increasing the number of low-income persons in the region who have access to climate risk insurance through a micro insurance product known as the livelihood protection policy (LPP) and increase the number of companies in the region offering this micro insurance to the most vulnerable in our societies.

But much more is needed. Risk management techniques, particularly from a financial perspective, have become an important tool for analysis and design of adaptation proposals. Currently, within the international scientific community there is discussion about the accurate size of losses, while at the Government level there are calls for implementing adaptation actions now, that are of a win-win nature. Nevertheless, a common point among several scenarios of losses is that all of them imply large amounts of losses for the global economy. Hence, many experts have started to apply financial technology, currently successfully applied to the financial industry, to propose solutions for climate change risk management.

SIDS need a comprehensive solution that does not propose implementation of a particular financial instrument exclusively, as what pertains. In fact, SIDS need a strategy based on several financial instruments, all of them supported by a cornerstone in the way of a trust fund that facilitates the development of a captive insurance entity. SIDS need a mechanism that has a multi-window orientation in the way of mitigation strategies, prevention and adaptation, as well as the use of risk transfer instruments such as insurance, at different scales, i.e., for individuals or small communities or pools of countries, and governments; a model than can also provide cover for slow-onset events such as sea-level rise. Finally, it should also differentiate among frequent events and disasters of lower probability.

Due to the level of devastation in the CARICOM Member countries that had hurricane impacts during the 2017 season, there is not much detailed information available for Dominica and Antigua and Barbuda beyond the loss of life, extent of shelter destruction and estimated economic damages. Having stated that, information from US territories that experienced lower intensity impacts helps to show the challenges facing these islands. According to the New York Federal Reserve President William Dudley, the US territories of Puerto Rico and the Virgin Islands will need to take painful actions to restore their economies amid the hurricane devastation. In the storms, Puerto Rico suffered “by far” the most severe power outage in US history in terms of total customer hours lost.

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The situation in CARICOM member countries is quite likely to be the same if not worst given the reality of Dominica, if they experience a similar event in the near future. Several Caribbean countries, notably Dominica, Antigua and Barbuda, the British Virgin Islands and Anguilla, were severely damaged when Hurricanes Irma and Maria made their way through the Lesser Antilles, as were Cuba, Puerto Rico, the Dominican Republic, US Virgin Islands, the Turks and Caicos Islands, Guadeloupe, the Bahamas, and St Martin. Estimates from the Association of Trinidad and Tobago Insurance Companies (ATTIC)<sup>26</sup> are that damages from the hurricanes are in excess of USD 50 billion so far, initial regional feedback suggests a high percent of policyholders' property and valuable assets in islands devastated by hurricanes were "underinsured".

For CARICOM countries that suffered billions of dollars in damage, the CCRIF paid out USD 55 million in 2017. World Bank preliminary estimates indicated that Irma caused damages of about 14 percent of gross domestic product (GDP) for Antigua and Barbuda, for Dominica earlier estimates indicate that the total damage could reach 200 percent of GDP. The whole population of Barbuda has been evacuated to Antigua. In Dominica, housing, schools and hospitals have been severely damaged, if not completely destroyed, and 100 percent of agricultural land was uprooted<sup>27</sup>.

As suggested in the UN Framework Convention and the Kyoto Protocol, there has long been a realization that insurance solutions play an important role in adaptation to climate change. There is also the need to create financial risk-sharing and risk-management approaches and mechanisms that can help developing countries, especially LDCs, SIDS and countries in Africa, to reduce their vulnerability to the impacts of climate change. With that in mind, SIDS DOCK has been consulting with leading insurance experts, development partners and stakeholders to identify insurance-related strategies to climate-driven extreme weather events that will help achieve the following objectives:

- To create affordable insurance-related solutions that share responsibility to help manage the impacts of climate change, by combining the resources of the public and private sectors.
- To conduct and support pilot projects for the application of insurance-related solutions in partnerships and through existing organizations and programs. These activities focus on developing countries but at the same time involve evaluating insurance solutions.
- To promote insurance-related approaches in cooperation with other organizations and initiatives within existing frameworks such as the United Nations system, international financial institutions, international donors, and the private sector.

### **3.0 OVERVIEW OF INSURANCE INDUSTRY-RELATED CHALLENGES FACING SIDS AND SOLUTIONS TO ADDRESSING THE CHALLENGES FROM A CHANGING CLIMATE**

The Caribbean is one of the most vulnerable regions in the world to natural disasters and in particular, to disasters caused by tropical cyclones; 15 Caribbean islands are in the top-25 positions of most tropical cyclone disasters per km<sup>2</sup>, and another 7, rank in the top-50. According to the International Monetary Fund (IMF), the total damages experienced in the Caribbean over the past 40 decades amount to USD 20 billion for the more than 200 major storms, which killed

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<sup>26</sup> The Association of Trinidad and Tobago Insurance Companies (ATTIC)

<sup>27</sup> <http://www.worldbank.org/en/news/speech/2017/10/13/after-the-storm-recovery-and-resilience-in-the-caribbean>

more than 12,000 people. About 1 percent of the Caribbean's gross domestic product is wiped out every year<sup>28</sup>.

As extreme weather events such as droughts, floods, hurricanes and storms increase in frequency and intensity, they place significant stress on societies and natural systems. As a result, there is a growing need to explore meaningful options for managing and transferring risks associated with climate change. Braced with the understanding that extreme weather events and disaster losses are expected to increase in the future, the 32 SIDS DOCK countries must continue to explore strategies that can be undertaken collectively to reduce the catastrophic impact of disasters, enable a timely recovery and contribute to sustainable, climate resilient development.

Countries in the Caribbean recurrently use public debt to absorb the impact of external shocks and natural disasters. In turn, higher levels of public debt constrain capacity to effectively address vulnerabilities. As a result, each new wave of shocks and disasters simultaneously amplifies vulnerabilities and weakens domestic response capacity. For example, were Hurricane Gilbert (1988) to hit today, the cost to Jamaica would be around USD 1.3 billion, more funds than the Government holds for its budgeted disaster response<sup>29</sup>. In this regard, insurance provides reliable and timely financial relief for recovery of livelihoods and reconstruction, thus providing security in the post-disaster period. The CCRIF operates as a mutual insurance company for 16 countries in the Caribbean, whereby each country pays an annual premium directly related to the risks faced and, in return, receives insurance coverage of up to USD 100 million for each hazard, namely tropical storms, earthquakes and excess rainfall events<sup>30</sup>. Contextually, the largest payout ever made by CCRIF was USD 20 million to Haiti in 2016.

The Caribbean insurance market obtained its own identity in the 1970s, with the passage legislation governing the establishment of local insurance companies. Most companies then established had hitherto operated under general agency or branch structures of foreign (mainly UK) insurers. For the most part, these local operations continue today as insurance units of trading and financial companies whose profit strategies centre on their roles as agents for a wide range of products and services. Caribbean insurance companies have not been motivated to generate and expose significant capital for underwriting catastrophe perils. Furthermore, foreign insurers and reinsurers, with longer and broader expertise, remain willing to shoulder the major risk via reinsurance. Local insurance companies cede up to 80 percent of risks to foreign insurers and reinsurers. Consequently, the level of in-country investment by insurance companies is significantly less than in other locations where there is a much lower percentage of offshore reinsurance. In general, underwriters consider SIDS as high-risk and therefore assign a higher risk premium on investment financing.

The issue is complicated by low insurance penetration in the private market. Insurers say the penetration for non-life insurance is just 2.2 percent, and that the low coverage is due in part to 20 percent of the population living below the poverty line; reinsurer risk due to hurricanes; and

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<sup>28</sup> <https://www.imf.org/en/Publications/WP/Issues/2016/12/31/Gone-with-the-Wind-Estimating-Hurricane-and-Climate-Change-Costs-in-the-Caribbean-44333>

<sup>29</sup> Government of Jamaica Fiscal Policy Report for the 2017-18 fiscal year

<sup>30</sup> Caribbean Catastrophe Risk Insurance Facility, 2015, Understanding Caribbean Catastrophe Risk Insurance Facility: A collection of questions and answers, available at [http://www.ccrif.org/sites/default/files/publications/Understanding\\_CCRIF\\_March\\_2015.pdf](http://www.ccrif.org/sites/default/files/publications/Understanding_CCRIF_March_2015.pdf)

limited alternative risk-transfer mechanisms. The damages resulting from the 2017 hurricane season, considered as the most active since the 2004 season according to ATTIC, are expected to “wipe out” more than 15 to 20 years of profits of reinsurers and insurers who do business within affected islands. Insurers who are still underwriting in the Caribbean have been issuing advisories to the regional insurance industry to plan significant rate increases during the upcoming reinsurance renewals.

According to ATTIC, one major reinsurer forecasted that insurance premium rates increases across the region from 20 percent to more than 200 percent. It was further noted that increases will not only be seen within islands affected by a windstorm event this season, but all islands. The anticipated increase in each island also being dependent on how underpriced the particular island’s premium rates are at this point in time. As noted in Table 1, total gross written premium (GWP) for SIDS Caribbean member countries is USD 4,796 million<sup>31</sup>.

**Table 1: Gross Written Premium (GWP) for SIDS Caribbean Member Countries (Year)**

Country	Currency	GWP (Local Currency, Million)	FX Rate (Local to USD), 3/23/2018	GWP (USD)	Market Size Ranking
Antigua and Barbuda	XCD	\$190.20	0.37037	\$70	151st
Barbados	BBD	\$923.41	0.5	\$462	99th
Cuba	CUC	\$556.30	1	\$556	93rd
Dominica	XCD	\$63.06	0.37037	\$23	171st
Dominican Republic	DOP	\$40,735.87	0.02008	\$818	79th
Grenada	XCD	\$112.73	0.37037	\$42	160th
Haiti	HTG	\$2,700.97	0.01527	\$41	159th
Jamaica	JMD	\$77,530.20	0.00786	\$609	90th
Saint Kitts and Nevis	NA	NA	NA	NA	NA
Saint Lucia	XCD	\$193.80	0.37037	\$72	150th
Saint Vincent and the Grenadines	XCD	\$70.25	0.37037	\$26	167th
Trinidad and Tobago	TTD	\$8,448.30	0.14748	\$1,246	70th
Lucayan Archipelago	NA	NA	NA	NA	NA
The Bahamas	USD	\$795.54	1	\$796	83rd
Turks and Caicos Islands	USD	\$34.53	1	\$35	NA

Based on initial regional feedback, a high percent of policyholders’ property and valuable assets in islands devastated by hurricanes were ‘underinsured’ and, therefore, will be subjected to ‘average’. The degree of underinsurance and the anticipated increases in premiums raised red flags for the countries prone to hurricane impacts across the region, as the likely scenario is that even more assets will be uninsured going forward under a *business as usual* scenario in the face of increasing hurricane intensity and damages. If insurers demand that property owners insure for full value, a significant number of property will likely join the trend of self-insurance and owners taking the risk as there is no other affordable risk sharing options. As expected, the cost

<sup>31</sup> Source?

on insurance for 2018 coverage in the Caribbean has been significantly increased, not so much due to the damages in the islands but rather on the mainland US.

### **3.1 Solutions to Addressing the Challenges from a Changing Climate: A SIDS-Owner Controlled Insurance Programme**

As noted above, SIDS governments and businesses faced with billions of dollars in (re)construction costs because of the historic losses of 2017, will also be asked by construction contractors to pick-up the bill for their increasing insurance costs. Contractors pass on their respective insurance costs to their customers in their final bid packages. This method of accepting each contractor's insurance fees is wasteful and costly. By accepting each contractor's insurance (hidden) costs, SIDS is indirectly paying for the administrative overhead at dozens of separate insurance brokers and insurance companies. Contractors also frequently hide profit margin into the insurance cost portions of their bid packages. The insurance cost component of a typical construction project is normally between 2-4 percent of hard construction costs. As an example, a \$100 million project will include insurance costs of between \$1.4 million and \$2.8 million.

#### **3.1.1 Owner Controlled Insurance Programme ("OCIP")**

By requiring that contractors exclude insurance from their bids and, instead, insuring each project, or, group of projects with project-specific insurance, SIDS can reduce insurance costs by as much as 15 percent. The procurement mechanism used for accomplishing this is known as an Owner Controlled Insurance Programme ("OCIP"). An OCIP is an insurance programme effected by the sponsoring organization (SIDS DOCK) on behalf of all contractual participants which is normally structured to meet the key asset, legal liability and financial risks associated with a Sponsor's construction projects.

##### ***Financial Advantages:***

- **Establish a single rate structure** - SIDS will benefit from OCIP in that all insurance costs are collected into a single policy premium, rather than embedded inside the bids of dozens of contractors and sub-contractors to cover multiple projects.
- **Eliminate redundant premiums** - Eliminate gaps in or duplication of key insurances.
- **Remove the need to verify overlapping insurance arrangements** - Eliminate the need to check the scope and currency of most of the insurance arrangements of other project participants.
- **Provide coordinated claims process** - Provide a coordinated, claims reporting and handling facility which will not only ensure that the Employer has greater control over repair and reinstatement of damaged property but will also assist in the expeditious settlement of claims.
- **Reduce administrative costs** - SIDS will have direct control over administrative costs by dealing with a single broker and insurer.

Insuring infrastructure and other important construction projects in this manner will greatly heighten SIDS understanding of risk management and insurance principles and strategies and, importantly, improve SIDS leverage with insurance carriers. In addition to lowering premiums,

the purchase of liability insurance on a project-specific basis, through an OCIP, will give SIDS and their insurance advisors advantages in negotiating insurance policy terms and conditions.

### 3.1.2 Captive Insurance Facility

Captive Insurance structures, a form of self-insurance, can be a favorable alternative to traditional commercial insurance markets. Captive entities can benefit from profit from their investment from insurance activities and any underwriting profit after losses and expenses. Unlike traditional risk transfer to a commercial market counter-party, if there are any excess funds left after payment of all liabilities, a profitable Captive Insurance Company can become a catalyst for generating financial resources for sustainable economic development. The major benefits that the establishment of a captive bring to its parent can be divided into two main categories: financial and insurance.

#### *Financial Advantages:*

**Reduced Insurance Costs** - The group captive insurance premium is typically lower, often substantially, than the cost of traditional insurance. This is because the premiums are based on actual loss experience and projected losses rather than the general rating scale of a traditional insurer. Also, the commercial insurance market has high administrative costs which are passed on to their clients within the premiums charged. A captive can reduce the overall cost of an insurance programme by retaining the premium for the expected losses, thereby avoiding the premium loading for a commercial insurer's overheads and profits.

- **Protected Cash Flow** - Reserves for unpaid claims and unearned premium, otherwise kept by a commercial insurer, can be held by a captive and invested. This takes advantage of the captive's ability to establish such reserves from pre-tax income that is not possible for a non-insurance entity.
- **Source of Additional Revenue** - A captive can expand its book of business by offering insurance to related third parties thereby generating an additional revenue stream for its parent. Some captives also write coverage for unrelated third parties through participation in various reinsurance pools or treaties.

#### *Insurance Advantages*

- **Reduced Need for Commercial Insurance** - As a captive matures and its net worth grows, it becomes capable of retaining a greater proportion of its owner's risks. The increased use of a captive diminishes the owner's dependence on commercial insurance.
- **Improved Negotiating Position** - As the captive's ability to absorb risk grows, it improves the owner's negotiating position with insurance and reinsurance markets.
- **Flexibility in Programme Design** - A captive provides opportunities to more easily structure insurance programs since the captive is not subject to the same constraints and conventions normally evident with traditional insurers.
- **Broader and Simpler Insurance Contracts** - A captive is usually domiciled where there is little, if any, regulation concerning policy wording, thereby allowing specifically tailored insurance and reinsurance contracts.
- **Better Risk Management Programme** - A captive facilitates the design of allocation systems to distribute costs more equitably among profit centres, the implementation of uniform accounting procedures, the accumulation of actuarial information, the design of

more effective claims-handling, loss-control and engineering programs, and the unification of the application of risk management throughout

### ***Captive Disadvantages***

While there are many potential benefits in forming a captive, several disadvantages exist. Before deciding to establish a captive, an organisation should thoroughly assess the following potential disadvantages:

- **Capital Commitments** - The owner(s) must contribute the capital required to support the captive's business plan, as determined by the insurance regulator in the captive's chosen domicile. While these funds remain within the parent group, they may not realise the same return as they would have if invested in the parent's operations.
- **Risk of Adverse Results** - The captive's capital could be eroded by adverse operating results. Although it is normal to build into any captive programme a degree of protection against adverse underwriting results, it is only possible to minimise the risk to the captive, never eliminate it.
- **Operating Costs** - In its formation and operation a captive may incur various expenses including:
  - Implementation costs.
  - Management fees.
  - Legal and auditing fees.
  - Local taxes.
  - Regulatory/licensing fees.
- **The amount of expenses and fees** will vary depending on the domicile chosen for the captive.
  - Time Commitment - In addition, a captive will require some commitment of the parent company's management time and precipitate some travel costs. Generally, these costs will be more than offset by the financial benefits of the captive program.

## **4.0 THE WAY FORWARD & NEXT STEPS**

By forming a SIDS DOCK Captive Insurance Company, the sixteen members (16) of the SIDS DOCK organization and the fourteen (14) others in the process of joining would have an option under their control that they can collectively reduce costs, insure difficult risks, gain direct access to reinsurance markets, and increase cash flow for economic development, or, other priorities in the SIDS such as building resilience to climate change. Based on the decision at the 3<sup>rd</sup> Meeting of the SIDS DOCK Assembly, held September 23, 2017 in New York, at the United Nations, and the work by the Secretariat and members of the Executive Council, SIDS should consider hiring a professional consulting firm to perform a feasibility study to determine whether a SIDS owner-controlled insurance programme and captive insurance facility is feasible for the organisation. This financial and risk management analysis should provide the justification for transferring retained risk to a captive, rather than financing risk using commercial insurance or a self-financing program. If the legitimacy or wisdom of the risk financing program is subsequently challenged, a well-written feasibility study can be invaluable in defending the captive program.

### **4.1 Next Steps**

***OPIC:***

- OCIP is a construction contractor procurement strategy. Organizing around the use of OCIP does not require that any member country satisfy any particular regulatory requirement (that we are aware of). As a first step, member countries who decide to implement an OCIP need to hire an insurance broker to administer the programme.
- Following the engagement of an OCIP Administrator (“broker”), participating countries merely have to modify contract requirements to require that contractors submit bids with and without insurance. Requiring bids with and without insurance will force contractors to identify their respective insurance costs and allow us to compare the various insurances as submitted against a program-specific OCIP insurance package.
- The OCIP Administrator will manage the bulk of the process.

***Captive:***

- The establishment and execution of a captive insurance strategy is a much more involved process. In most cases, standing up a captive is a six-month process. As noted in the timeline (Figure 1), there are several steps involved in the establishment of a captive. We estimate that the initial stage of strategy development - which includes the collection and review of basic underwriting data - will take between 30-60 days.
- Following the review of basic underwriting data, and once all participating countries agree to move forward, they will need to engage a professional insurance advisor to conduct a formal Captive Feasibility Study. The Captive Feasibility Study will take between 30-60 days to complete.
- Assuming that the results of the feasibility study are favorable to all participants, we estimate that another three months will be required before the captive will be operational.

## **Figure 1: Proposed Captive Formation Timeline**

### **Proposed Captive Formation Timeline**

#### **SIDS-DOCK**

Action	Timeline		Notes
	From Inception	Responsible Parties	
1. Preliminary discussion of program structure, strategy	Day 0	Con, SIDS-DOCK	Call with Integro, participating ministries to define project and objectives
2. Provide data request (loss/exposure info, financial assumptions, etc.)	Day 1	Con	
3. Prepare document outlining strategy	Day 7	Con	Proposed captive structure, coverages, risk sharing arrangement, preliminary thoughts on capitalization, exit strategies, etc.
4. Data gathering	Day 21	SIDS-DOCK	
5. Construct business case	Day 42	Con	
- Outline anticipated program structure		Con	
- Develop loss forecasts / market based premiums		Con	
- Create five-year financial pro formas		Con	
- Estimate captive expenses, capitalization		Con	
- Outline advantages/disadvantages of captive, tax considerations, risk financing alternatives, captive options		Con	
- Domicile analysis		Con	
6. Captive 101, SIDS educational session	Day 60	Con, SIDS-DOCK	Introductory meeting to outline captive plan for key SIDS-DOCK stakeholders (risk management, legal counsel, tax, accounting, finance, etc.)
7. Determination of need for actuarial services, captive tax counsel	TBD	Con, SIDS-DOCK	Actuarial and tax consulting services, as needed, will be concurrent with the remainder of the timeline but will need to be finalized prior to
8. Determine excess/reinsurance needs, begin marketing program		Con	
9. Conduct interviews for third party administrators	Day 60-90	Con, SIDS-DOCK	
10. Document rationale for captive formation, write business plan	Day 60-90	Con	Formal feasibility study, to be used in captive application, memorialize objectives for captive
11. Present findings to ministries (if necessary)	TBD	Con	Construct business case, Powerpoint presentation to ministries
12. Authorization to proceed with captive implementation	Day 110	SIDS-DOCK	
Draft participation agreements		Con, Leg	
13. Select potential name(s) for captive	Day 120	SIDS-DOCK	
14. Visit domicile and select vendor partners (captive manager, legal, auditor, bank, etc.)	Day 130	Con, SIDSDOCK	
15. Meet with captive regulator in chosen domicile	Day 130	Con, SIDS-DOCK, CM	Outline intentions, receive feedback on structure, capital, etc.
16. Identify directors and officers, complete biographical affidavits	Day 135	SIDS-DOCK	
17. Draft organizational and governance documents	Day 135	Leg	
18. Draft manuscript captive policies	Day 135	Con	
19. Finalize financial pro formas, complete application package	Day 135	Con, CM	Selected captive manager will control remainder of process
20. File captive application, petition for certificate of public good, pay fee	Day 135	CM, Leg, SIDS-DOCK	
21. Captive application formally approved by Insurance Commissioner	Day 155	Reg	
22. File incorporation documents	Day 160	CM, Leg	
23. Receive approved incorporation documents	Day 179	CM, SIDS-DOCK	
24. Open checking account, deposit original capital as approved by insurance commissioner	Day 179	SIDS-DOCK	
25. Petition for Certificate of Authority, file Statement of Oath of Financial Condition, pay license fee	Day 179	CM, SIDS-DOCK	
26. Commissioner issues captive license, begin operations	Day 180	Reg	

#### **Responsible Parties**

**SIDS-DOCK**

**Con** Captive consultant (Integro)

**CM** Captive manager

**Leg** Local legal counsel

**Reg** Regulator in captive domicile

This document outlines the typical process for a single parent captive formation; group captive efforts tend to more prolonged as consensus is built and unique issues specific to each party are addressed.



Distribution: General  
25 September 2018

**United Nations Decade of Sustainable Energy For All (2014-2024)**  
*"Island Energy For Island Life"*

Fourth session of the Assembly of SIDS DOCK  
ECOSOC Chamber  
United Nations Headquarters  
New York, NY 10017  
29 September 2018

**Decision on the  
Establishment of the SIDS DOCK Foundation**

*The Assembly,*

*Recognizing* the continued decrease in funding for SIDS issues from traditional sources;

*Recognizing further* international cooperation and partnerships of various kinds and across a wide variety of stakeholders are critical to SIDS to meet their sustainable energy goals and adaptation to the projected impacts of climate change, and their broader sustainable development goals and commitments;

*Noting* the need to broaden the donor base to include foreign companies, institutions, sovereign and private funds;

*Noting further* the shifting trend to a more complex system to access funds and financing for projects;

*Reiterating* the call of the S.A.M.O.A. Pathway to develop partnerships that are genuine and durable in an effort to support sustainable development of SIDS;

*Recognizing* the limited capacities of SIDS to effectively access new funding mechanisms individually;

*Welcoming* the establishment of a SIDS DOCK Foundation to support the SIDS DOCK Organization's goals of *Island Energy For Island Life: 25-50-25 by 2033*, by *inter alia* facilitating investment financing, technical capacity, transfer of SIDS-Appropriate Technologies, carbon trading, and public education and awareness.

*Acting within its authority, decides to:*

1. Adopt the SIDS DOCK Foundation Strategic Plan for 2018-2028, as contained in Document number A/4/7, and mandate the operationalization of the Foundation;
2. Mandate the Secretary-General to convey to the Board of Directors the decision of the Assembly.



Distribution: General  
25 September 2018

**United Nations Decade of Sustainable Energy For All (2014-2024)**  
"Island Energy For Island Life"

Fourth Session of the Assembly of SIDS DOCK  
ECOSOC Chamber  
United Nations Headquarters  
New York, NY 10017  
29 September 2018  
Agenda Item: 7b.

**Decision on the  
SIDS DOCK Blue Guardians Green Climate Fund (GCF) Proposal:  
Partnering for Development of Climate-Resilient Blue Economies  
and Protecting the Oceans**

*The Assembly,*

*Recalling* Article II of the Statute on the objectives of the Organization;

*Reaffirming* the commitment to build national capacities and facilitate opportunities for SIDS in the areas of renewable energy and climate-resilient development;

*Noting* with grave concern that the people of SIDS will be among the first and most adversely affected by climate change and sea level rise, as, among many other concerns, they are the most dependent on environmental services for their livelihoods;

*Stressing* the urgency to develop effective climate change adaptation and mitigation programs that will support resilient ecosystems and foster climate-resilient development of coastal communities;

*Further stressing* the importance of understanding the impacts of a changing climate which is critical for climate adaptation and building resilience of SIDS;

*Recognizing* the need to help SIDS whose coastal communities are already being adversely affected by climate change and sea level rise to effectively address and manage the impacts of a changing climate on coastal communities and the development of blue-green economies;

*Further recognizing* the need to build national capacity to allow vulnerable SIDS communities to implement nature-based climate mitigation and adaptation activities that derive sustainable benefits from coastal and marine ecosystems;

*Welcoming* the initiative to establish a SIDS Blue Guardians Programme, “The Programme,” and taking note of the SIDS DOCK Blue Guardians Programme as contained in document number A/4/10;

*Recognizing* that “The Programme” integrates the mandates of the S.A.M.O.A. Pathway, the Sustainable Development Agenda, particularly Goal 14, as well as those of the UNFCCC Paris Agreement;

*Acting within its authority, decides to:*

1. Adopt the SIDS Blue Guardians Programme, as contained in Document number A/4/10, and to accept the Executive Council’s recommendation to reopen the proposal to include Barbados and Grenada in the list of pilot countries;
2. Mandate the Secretariat to make the appropriate changes to the proposal to add these members and to reissue the document as A/4/10/Rev.1, and;
3. Further mandates the Secretariat to begin the process of implementation of “The Programme” in close consultation with the Executive Council, and to update the Assembly at its fifth session.



Distribution: General  
25 September 2018

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Fourth Session of the Assembly of SIDS DOCK  
ECOSOC Chamber  
United Nations Headquarters  
New York, NY 10017  
29 September 2018  
Agenda Item: 7c.

**Decision on the  
Pilot Programme for Fleet Electric Mobility Vehicles in SIDS**

*The Assembly,*

*Recalling* one of the three programme goals of the Small Island Developing States – Sustainable Energy and Climate Resilience Organization – SIDS DOCK - is to reduce the demand for imported transportation fuel by a minimum of 25 percent (25 %) of demand, in 2033;

*Recalling further* that SIDS reiterated this commitment in the Paris Agreement, as well as to several of the Sustainable Development Goals of the 2030 Agenda for Sustainable Development;

*Recognizing* that SIDS overall contribution to the global greenhouse gas emissions is miniscule;

*Noting* with grave concern that each year, SIDS spend in excess of USD 20 billion importing fossil fuels and that the transportation sector is by far the biggest user of imported fuels in the SIDS, accounting for seventy percent (70%) of imported fuel;

*Noting further* the urgency to reduce the steady increase in the importation of gasoline fueled engine vehicles in SIDS;

*Stressing* the need to transition from gasoline fueled engine vehicles to electric vehicles in SIDS;

*Noting* the need for awareness, maintenance and training, emergency measures, policy changes and infrastructure development to facilitate access to electric vehicles in SIDS;

*Recognizing* challenges for significant reduction in fuel imports, including high initial capital investment in electric vehicles, and weakness of existing market forces to introduce new mobility technology at a rate that would help SIDS;

*Acting within its authority, decides to:*

1. Adopt the proposed pilot project for Fleet Electric Mobility Vehicles in SIDS, as contained in Document number A/4/CRP/1;
2. Mandate the Secretariat to move forward with its consultations with interested Governments and Automobile Companies and Dealerships, in an effort to facilitate partnerships, and;
3. Further mandate the Secretariat to begin the process of implementation of the pilot project in close consultation with the Executive Council, and to update the Assembly at its fifth session.



Distribution: General  
25 September 2018

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Fourth Session of the Assembly of SIDS DOCK  
ECOSOC Chamber  
United Nations Headquarters  
New York, NY 10017  
29 September 2018  
Agenda Item: 7d.

**Decision on the  
Proposal for An Energy-Focused Captive Insurance  
Multi-Window Facility for Small Island Developing States (SIDS)**

*The Assembly,*

*Reaffirming that* climate change is a clear and present danger to Small Island Developing States (SIDS) and Low-Lying Developing States;

*Noting with grave concern* projections of more frequent and intense hydro-metrological events that will disproportionately impact Small Island Developing States (SIDS);

*Noting further with grave concern* the high economic costs associated with the devastation and destruction measured in percentage of gross domestic product (GDP), and years of lost development;

*Noting further* high costs of property insurance and premium rates for property owners resulting in a growing percentage of uninsured or underinsured valuable assets;

*Noting with greatest regret* the inability of the United Nations Framework Convention on Climate Change (UNFCCC) Conference of Parties (COP) meetings on Loss and Damages to find a solution for SIDS, despite more than two decades of efforts by SIDS;

*Recognizing* the urgency to develop a new mechanism to explore SIDS-centred innovative financial tools in climate change risk management, with SIDS ownership as its priority;

*Welcoming* the initiative to establish an energy-focused captive insurance multi-window facility with the aim of adapting to climate change by creating affordable insurance-related solutions, and promoting investments in sustainable energy;

*Recognizing* the efforts and contributions of the existing arrangements, such as the World Bank and the Caribbean Catastrophic Risk Insurance Facility (CCRIF);

*Acting within its authority, decides to:*

1. Adopt the proposal for An Energy-Focused Captive Insurance Multi-Window Facility for SIDS, as contained in Document number A/4/CRP/2;
2. Mandate the Secretariat to work closely with the Alliance of Small Island States (AOSIS) climate team and other existing mechanisms in an effort to further close the gaps, and;
3. Further mandates the Secretariat to continue to consult with, and seek guidance from the Executive Council, and to update the Assembly at its fifth session.



Distribution: General  
25 September 2018

**United Nations Decade of Sustainable Energy For All (2014-2024)**  
*"Island Energy For Island Life"*

Fourth Session of the Assembly of SIDS DOCK  
ECOSOC Chamber  
United Nations Headquarters  
New York, NY 10017  
29 September 2018  
Agenda Item: 7e.ii.

**Decision on the  
SIDS DOCK IWON Pilot Initiative for the Development of a  
Global Sustainable Botanical/Herbal Supplier Market  
from SIDS DOCK Member States**

*The Assembly,*

*Reaffirming* the objective of the SIDS DOCK Island Women Open Network (IWON) to promote the advancement and empowerment of women and girls of SIDS at the community and grassroot levels in the area of renewable energy and sustainable development through capacity building, education and awareness and entrepreneurships;

*Noting* that women comprise roughly half of the world's population, and slightly over half of the SIDS population, and their full inclusion is vital to ensuring that the new energy economy is based on the largest pool of talent, knowledge, and skills;

*Noting further* with concern that women and girls are disproportionately affected by the adverse effects of climate change, sea level rise, natural disasters, and other weather-related events;

*Recognizing* the adverse impacts of climate change on agriculture, fisheries and availability of fresh water, which are key sectors for women's employment and livelihoods, and the urgent need for alternatives;

*Recognizing further* that SIDS, due to geography, are endowed with rich biodiversity which represents a vast untapped renewable natural resource that can provide new opportunities for rural employment and livelihoods;

*Noting* the estimated global market for plant derived dietary supplements is expected to reach some USD 300 Billion, by 2024;

*Noting further* that SIDS, through small-scale/community-based production, provides small quantities of plant derived raw products with high value to the global market primarily through transactions that accrue limited economic value to producer and country;

*Stressing* the need to urgently heighten the awareness of the value of botanical and herbal supplements within SIDS, and the need to increase protection of plant biodiversity;

*Recognizing* the opportunity for SIDS to have significant presence as a reliable supplier of high value components into the global botanical/herbal market;

*Welcoming* the initiative to develop a successful natural products industry, with particular emphasis on high value, quality, accompanied by claims, cyber and intellectual property protection;

*Acting within its authority, decides to:*

1. Adopt the proposal for *A SIDS DOCK IWON Pilot Initiative on Developing a Successful Natural Products Industry: Quality, Claims, Cyber and Intellectual Property*, as contained in Document Number A/4/8;
2. Mandate the Secretariat to work closely with the IWON to solidify its partnership with the Law Firm of Rivkin Radler LLP, Ullman, Shapiro and Ullman, LLP, and to begin the implementation of the initiative, and;
3. Further mandates the IWON to continue to consult with, and seek guidance from the Executive Council, and through the Secretary-General update the Assembly at its fifth session.