**First Assembly of SIDS DOCK**

**Paris, France**

**10 December 2015**

**Agenda item 6**

**Report on the activities of the**

**SIDS DOCK Steering Committee**

The present report has been submitted to Members of SIDS DOCK at the first session of the Assembly pursuant to the *Declaration of the Heads of State and Government, and High Representatives of Small Island Developing States on the Work Programme of the SIDS DOCK Steering Committee in Preparation of the Convening of the First Assembly of the SIDS DOCK,* which requested the Steering Committee to develop a work programme to prepare the pertinent operational documents and arrangements for the convening of the first Assembly, within one year following the entry into force of the Statute. The report provides an overview of the implementation of the Steering Committee’s mandate during its existence.

**I INTRODUCTION**

1. **The SIDS DOCK Support Programme & Partnerships**
2. The SIDS DOCK, established in 2009, during climate talks in Copenhagen, Denmark, is funded by the Government of Denmark with a USD 14.5 million grant in 2010, in Cancun, Mexico. In 2011, in Durban, South Africa, SIDS DOCK received additional support from the Government of Japan, with a pledge of USD 15 million in grant funding over two years, providing additional support for the SIDS DOCK Project Pipeline and other activities. The Denmark SIDS DOCK Support Program had an implementation period of 18 months, beginning 1 July 2011, through 31 December 2012.
3. SIDS DOCK, the Federal Ministry for European and International Affairs of the Republic of Austria, and the United Nations Industrial Development Organization (UNIDO), announced a historic partnership in March 2014, worth millions of Euros, to establish a network of regional Centres for Renewable Energy and Energy Efficiency in SIDS. The Government of Austria, through the Austrian Development Agency (ADA), has committed to fund the establishment and first operational phase for Renewable Energy and Energy Efficiency Centres in the Caribbean (CCREEE), Indian Ocean (IOCREEE), and the Pacific (PCREEE), and to provide support to the African islands at the ECOWAS Centre for Renewable Energy and Energy Efficiency (ECREEE).
4. Twenty-two SIDS have signed a historic Memorandum of Understanding (MoU) establishing a long-term partnership with the Clinton Climate Initiative (CCI) that will see the Partners working together to speed up innovative renewable energy projects and solutions that would significantly transform the SIDS energy sector to the benefit the population. In 2012, President Clinton established a Diesel Replacement Project in small island developing states, a decision that grew from his expressed concerns about the high cost of electricity for imported diesel fuel for small island developing states as well as the adverse impact on climate change from the use of fossil fuels.
5. **About the SIDS DOCK Steering Committee**
6. The Memorandum of Agreement (MOA) for Establishing the SIDS DOCK was formally signed by ten (10) member governments of the Alliance of Small Island States (AOSIS) at the United Nations Framework Convention on Climate Change (UNFCCC) 15th Meeting of the Conference of Parties (COP 15), in Copenhagen, Denmark, on 18 December 2009, formally endorsing the work necessary to establish an international organisation – SIDS DOCK – to facilitate the transformation of their national energy sectors into ones minimally dependent on high carbon and imported petroleum fuels, thereby assisting the national economies to generate additional financial resources to help meet the challenges of adapting to the adverse consequences of human-induced climate change. The Founding Member Governments of the SIDS DOCK are: The Commonwealth of the Bahamas, Belize, Republic of Cabo Verde, Dominican Republic, Jamaica, Republic of Mauritius, Republic of Palau, St. Lucia, Republic of the Seychelles, and the Solomon Islands.
7. In particular, the SIDS DOCK Steering Committee was established for the purposes of advising AOSIS and the broader climate change community on the need to promote transformation of the SIDS energy sector as the best option for reducing GHG, which can be done through a combination of continual improvements in energy efficiency and development of renewable energy resources. The Steering Committee will review existing/similar institutional mechanisms in the international arena to provide recommendations on the implementation of SIDS DOCK. The Steering Committee will recommend criteria for selection of SIDS DOCK Board Members, National Coordinators, and drafting of the SIDS DOCK Charter and by-laws.
8. Under the guidance of the Chairman, the Steering Committee will carry out the series of activities outlined below. The steering committee is intended as the forerunner of the SIDS DOCK Assembly. Upon on formation of the Assembly the Steering Committee functions will change. Initial responsibilities of the Steering Committee will be to:

1. Work in collaboration with the Regional Organizations – the Caribbean Community Climate Change Centre and the Secretariat of the South Pacific Regional Environment Programme (5Cs and SPREP) - provide guidance for the further development of the SIDS DOCK.
2. Provide linkages with Capital, to ensure efficient development of the initiative and identification of national focal points and national priorities.
3. Assistance with preparation of the criteria for the Assembly and Executive Council, and in identification of same.
4. Advocate and promote SIDS DOCK to the international donor community and private sector.
5. Preparation of the draft Statue Establishing the SIDS DOCK.
6. Assist with resources mobilization to support project implementation.
7. Oversee the planning and launch of SIDS DOCK.
8. **Structure of the report**
9. The report is divided into four main parts.
10. The Steering Committee itself, its existence, membership, meetings, legal framework and status, as well as budgetary and financial matters.
11. The Interim SIDS DOCK Secretariat (“Secretariat”), its structure, staff and offices.
12. The Ratification of the SIDS DOCK Statute and the Work Programmes that were adopted by the Committee, as well as their implementation.
13. The preparations for the transition from the Committee to the SIDS DOCK Assembly at the first session of the Assembly 10 December 2015, in Paris, France, at the COP 21.

**II The SIDS DOCK Steering Committee**

**A. Existence**

1. The Steering Committee was established on 12 March 2010, at the Permanent Mission of Grenada to the United Nations, in New York.
2. The Committee was to remain in existence until the Statute came into force and thereafter until the conclusion of the first session of the Assembly and the election of the Council in accordance with the Terms of Reference of the Committee.
3. The work of the Committee commenced on 12 March 2010, and the Committee will cease to exist on 10 December 2015.
4. The Committee designated the Caribbean Community (CARICOM) Climate Change Centre as the Interim SIDS DOCK Secretariat on 12 March 2010.
5. **Legal status**
6. The Steering Committee has no legal capacity as may be necessary for the exercise of its functions and the fulfilment of its purposes. Currently, the SIDS DOCK Steering Committee is the main decision-making body until the first meeting of the SIDS DOCK Assembly is convened, at which time the Assembly members are expected to approve the Host Country Agreement and other legal documents relevant to the start-up of SIDS DOCK.
7. The status of the Committee is set out in its Terms of Reference. On 30 September 2015, SIDS DOCK Members directed the Committee to take all possible measures to ensure the rapid and effective establishment of the SIDS DOCK in accordance with its terms of reference.
8. **Development of membership**
9. The Committee’s membership is composed of one representative of each of the Signatories of the Memorandum of Agreement Establishing the SIDS DOCK.
10. The following 32 countries have signed the Memorandum Establishing the SIDS DOCK: Antigua & Barbuda, Barbados, Belize, Bahamas (Commonwealth of the), Cabo Verde (Republic of), Cook Islands, Dominica (Commonwealth of), Dominican Republic, Grenada, Jamaica, Fiji (Republic of), Guinea Bissau, Kiribati (Republic of), Maldives (Republic of the), Marshall Islands (Republic of the), Mauritius (Republic of), Micronesia (Federated States of), Nauru (Republic of), Niue, Palau (Republic of), Samoa (Independent State of), Seychelles (Republic of the), Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, São Tomé and Príncipe (Democratic Republic of), Solomon Islands, Suriname (Republic of), Tonga (Kingdom of), Trinidad and Tobago (Republic of), Tuvalu, Vanuatu (Republic of).
11. Subsequently, 20 states signed the SIDS DOCK Statute in Apia, Samoa, between 1 to 5 September 2014, until its entry into force on 27 September 2015, following the required thirty (30) days after the receipt of the ninth Instrument of Ratification by the Depositary (Belize). The following 13 countries have ratified and accede to the Statute Establishing SIDS DOCK: Bahamas (Commonwealth of the), Barbados, Belize, Cook Islands, Dominica (Commonwealth of), Grenada, Samoa (Independent State of), Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Seychelles (Republic of), Tonga (Kingdom of), Tuvalu.
12. **Steering Committee meetings**
13. The Committee’s held 19 meetings:

1st Meeting: 12 March 2010, in New York. Chair of AOSIS: Grenada (Dessima Williams, Permanent Representative of Grenada to the United Nations).

2nd Meeting: 1-2 November 2010, in St. George’s, Grenada. Chair of AOSIS: Grenada (Dessima Williams, Permanent Representative of Grenada to the United Nations).

3rd Meeting: 31 May 2011, in New York. Chair of AOSIS: Grenada (Dessima Williams, Permanent Representative of Grenada to the United Nations). The Chair of AOSIS formally handed over responsibilities for development of SIDS DOCK to the Commonwealth of Dominica, which was voted Chair of the SIDS DOCK Steering Committee, represented by Vince Henderson, the Permanent Representative of the Commonwealth of Dominica to the UN.

4th Meeting: 18 August 2011, in New York. Chair of the SIDS DOCK Steering Committee: Dominica (Vince Henderson, Permanent Representative of the Commonwealth of Dominica to the UN).

5th (Special) Meeting: 9 December 2011, in New York. Chair: Dominica (Vince Henderson, Permanent Representative of the Commonwealth of Dominica to the UN).

6th Meeting: 13 February 2012, in New York. Chair: Dominica (Vince Henderson, Permanent Representative of the Commonwealth of Dominica to the UN).

7th Meeting: 13 December 2012, in New York. Chair: Dominica (Vince Henderson, Permanent Representative of the Commonwealth of Dominica to the UN).

8th Meeting: 25 February 2013, in New York. Chair: Dominica (Vince Henderson, Permanent Representative of the Commonwealth of Dominica to the UN).

9th Meeting: 6 August 2013, in New York. Chair: Dominica (Vince Henderson, Permanent Representative of the Commonwealth of Dominica to the UN).

10th Meeting: 3 September 2013, in New York. Chair: Dominica (Vince Henderson, Permanent Representative of the Commonwealth of Dominica to the UN).

11th Meeting: 16 December 2013, in New York. Chair: Dominica (Vince Henderson, Permanent Representative of the Commonwealth of Dominica to the UN).

12th Meeting: 28 February 2014, in New York. Chair: Dominica (Vince Henderson, Permanent Representative of the Commonwealth of Dominica to the UN).

13th (Special) Meeting: 9 July 2014, in New York. Chair: Dominica (Vince Henderson, Permanent Representative of the Commonwealth of Dominica to the UN).

14th (Special) Meeting: 31 August 2014, in Apia, Samoa. Chair: St. Vincent and the Grenadines (I. Rhonda King, Permanent Representative of St. Vincent and the Grenadines to the UN).

15th Meeting: 19 September 2014, in New York. Chair: Samoa (Ali’ioaiga Feturi Elisaia, Permanent Representative of the Independent State of Samoa to the UN).

16th Meeting: 7 April 2015, in New York. Chair: Dominica (Vince Henderson, Permanent Representative of the Commonwealth of Dominica to the UN).

17th Meeting: 24 July 2015, in New York. Chair: Dominica (Vince Henderson, Permanent Representative of the Commonwealth of Dominica to the UN).

18th Meeting: 22 September 2015, in New York. Chair: Dominica (Vince Henderson, Permanent Representative of the Commonwealth of Dominica to the UN).

19th Meeting: 20 November 2015, in New York. Chair: Dominica (Vince Henderson, Permanent Representative of the Commonwealth of Dominica to the UN).

1. **The SIDS DOCK Treaty Working Group**
2. The Committee established the SIDS DOCK Treaty Working Group at its eight meeting. The main purpose of the Working Group was to draft the Instrument Establishing SIDS DOCK.
3. The first meeting of the working group took place on 10 April 2013, comprising Permanent Representatives to the UN, and Chaired by Belize, the SIDS DOCK Host Country, and assisted by the SIDS DOCK Attorney, who was the first elected Chair of AOSIS. The following countries are members of the working group: Belize (Chair), Dominica, Maldives, Mauritius, Micronesia, Nauru, Samoa, Seychelles, Tuvalu, CCCCC, SPREP, Mr. Robert van Lierop, Attorney and former Chair of AOSIS. Membership in the Working Group was open to all Members of the Steering Committee.
4. The conduct of business of the Working Group was defined in the Terms of Reference for the SIDS DOCK Treaty Working Group, which was drafted by the Working Group and subsequently agreed on by the Committee.
5. The legal advisor was responsible for providing the Committee with counsel and legal advice consistent with the goals and objectives of SIDS DOCK and to undertake and complete *Activities 2.6. – Start-up Costs of Institution*, *(a)* *Prepare and finalize legal documentation, and register SIDS DOCK as a legal entity based in Belize; and (b) Finalise the host country agreement between SIDS DOCK and the Government of Belize*. The work of the legal advisor was completed in August 2013, upon delivery of the first draft of the Statute and the Host Agreement to the Treaty Working Group, which had been working along with the legal advisor.
6. In October 2013, the final draft of the Statute was completed, and the Chair requested all members of the Steering Committee to transmit the document to Capitals for approval. This Statute will allow SIDS DOCK to be registered and to form, subject to approval of its members, two companies: (1) The SIDS DOCK Not-For-Profit (managing donor funds and focused on capacity building and pilot sustainable energy funds) and (b) The SIDS DOCK Investment

Corporation (managing investment funds for developing commercial scale projects). Both will be able to operate anywhere in the small island developing states, to conduct business on behalf of our members, and to continue working with our partners and donors. This Statute shall be registered with the Secretariat of the United Nations, in accordance with Article 102 of the Charter of the United Nations, with Belize as the Designated Depository.

1. At its 28 February 2014 meeting, the SIDS DOCK Steering Committee reviewed the comments received and in May 2014, a Clean Final Draft of the Statute with recommendations from the United Nations Office of Legal Affairs Treaty Section (UN Treaty Section), along with comments and changes from members, and small edits made at the SIDS DOCK Samoa Planning Committee Meeting of 24 April 2014, was sent to the Steering Committee for review. A Briefing Note (Annex T) was also prepared, summarizing Unofficial Engagement with United Nations Office of Legal Affairs Treaty Section, on Wednesday, 30 April 2014.  The Treaty Office made a number of recommendations on how to improve the Statute so it is consistent and easily registered. For the record, the legal guidance from the UN Treaty Office, is unofficial assistance, since the UN Secretary-General is not the Depository of the Treaty (Statute).
2. To aid this process, in May 2014, the CCCCC on behalf of the SIDS DOCK Secretariat, retained the services of a consultant to act as the SIDS DOCK Diplomatic Liaison with first-hand knowledge of the origins and development of SIDS DOCK, and who can provide technical support for the drafting and registration of the Statute establishing the SIDS DOCK with the UN Treaty Office, and for the signing of the document at the SIDS DOCK Samoa 2014 Forum, as a major outcome of the Third Conference on SIDS
3. Based on the UN Treaty Section’s recommendation, on 3 June 2014, members were advised of the convening of a Special Meeting of the SIDS DOCK Steering Committee on 9 July 2014, with the specific purpose to adopt the draft Statute Establishing the SIDS DOCK, in an effort to have it ready for signature in Apia, Samoa, during the Third Conference on SIDS.
4. On 2 July 2014, the SIDS DOCK Steering Committee established a Credentials Committee to verify the robustness of the documentation and to ensure inclusiveness, transparency and credibility to the process. Belize, Maldives, Samoa, and the SIDS DOCK Secretariat are represented on the Credential Committee, with support from Grenada and the SIDS DOCK Legal Advisor. The Statute was adopted with minor amendments at the Special Meeting of the Steering Committee held on 9 July 2014, at the Permanent Mission of Barbados to the United Nations, concluding the work of the Working Group.
5. **Budgetary and financial matters**
6. The SIDS DOCK Steering Committee has no role other than representation through its Chairman on the SIDS DOCK Support Program Coordination Group (PCG). The Member States of the Committee receives no resources from, and the Committee itself has no financial or other reporting obligations and or responsibilities under, the Denmark SIDS DOCK Support Program. Day-to-day project management for the SIDS DOCK Support Program is the responsibility of the United Nations Development Programme (UNDP) and the World Bank Energy Sector Management Assistance Program (ESMAP).
7. Under the SIDS DOCK Support Programme supported by the Government of Denmark, USD 1.385 million was allocated for developing the SIDS DOCK Platform in 2012, and included funding for *Supporting Technical Assistance Services SIDS DOCK* and *Institutional Design and Strengthening*. These items are listed as Activities 2.1-2.6 in the Program proposal
8. Due to major delays in implementation of the platform building activities under the SIDS DOCK Support Program, the Caribbean Community Climate Change Centre (CCCCC) on behalf of the SIDS DOCK Secretariat, entered into two Agreements with the UNDP in June 2012, and in October 2013. It was in this context that in March 2013, the Chair of the SIDS DOCK Steering Committee instructed the SIDS DOCK Secretariat to take up the challenge and finalize the platform documents and develop by 30 June 2013, a proposal for the funding of the SIDS DOCK Secretariat and the SIDS DOCK Regional Office in the Pacific.
9. The CCCCC received USD 300,000 to implement Platform building Activities 2.1, 2.2, and 2.6, and in October 2013, to complete Activities 2.1, 2.2, and 2.6. Activity 2.3 was added to the October Agreement. Implementation started in March 2014, subsequent to receipt of the first tranche of funds in February 2014. Activities were completed in December 2014, with the exception of Activity 2.3 (2015):
10. Activity 2.1: Country energy planning capacities strengthened, focus on policy-makers
11. Activity 2.2: National financing mechanisms for RE/EE designed and capacitated (legally, operationally, institutionally), including support for carbon market access
12. Activity 2.3: Country pre-feasibility studies - later changed to: Projects Development and Management Activity
13. Activity 2.6: Start-up of the SIDS DOCK Institution

**III The Interim SIDS DOCK Secretariat**

**A. Structure of the Secretariat**

1. In order to promote coordination and partnership and to ensure the delivery of identified outcomes and the achievement of the goals and objectives the SIDS DOCK, it was agreed to establish the SIDS DOCK Secretariat. The SIDS DOCK Secretariat is one of three principal organs of SIDS DOCK, the other two being the Assembly and the Executive Council.
2. The goal of the Secretariat is to support and promote the achievement of the SIDS DOCK Goals and the Objectives under the SIDS DOCK Business Plan and Strategy of *25-50-25 by 2033*, through effective utilization of a national, regional and global coordination mechanism.
3. 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.
4. The Interim Secretariat is hosted by the Caribbean Community Climate Change Centre in Belmopan, Belize. The Secretariat does not receive any funding and is operated by volunteers, led by the Chair and members of the Steering Committee which includes the Executive Director of the CCCCC.

**B. Principles and Formal Agreement**

1. The SIDS DOCK Secretariat under the Statue has a legal status and shall be the contracting body on behalf of the SIDS DOCK.
2. The SIDS DOCK Secretariat shall be hosted for a period of time by a SIDS DOCK Member (Host Country). The term for hosting shall be defined in full calendar years (3 to 8 years) starting on 1 January. Host Country to provide affordable office space, inclusive of utilities and communication, for three (3) full-time staff in Years 1 and 2; and up to eight (8) full-time staff in Year 3 and beyond.
3. The costs for hosting the SIDS DOCK Secretariat will be borne by the Host Country.
4. The SIDS DOCK Assembly, the Host Country, and the SIDS DOCK Secretariat shall enter into a Host Country Agreement in which all responsibilities, duties and arrangements are laid down.
5. **Roles and Responsibilities**
6. To provide support and other necessary assistance to the SIDS DOCK Assembly, Executive Council, and National and Regional Coordinators in facilitating and providing services for:
7. The coordination of work plans and agendas for the areas of operation:
8. Interpretation and translation of documents
9. Arrangements for printing and dissemination of documents
10. Support to meetings (meeting schedules and agendas preparation, invitation distribution, minute taking, and recording)
11. Retaining and updating database of members, development partners and stakeholders
12. To assist preparation. monitoring and implement the:
13. The SIDS DOCK Organization Business Plan - Enables the Membership to collectively and transparently plan, coordinate, implement, monitor and evaluate projects/activities in the agreed plans. The Business plan outlines the strategic directions of the organisation and focuses on the broad mandate of the Secretariat to provide effective leadership and support to the Members for the strategic management of resources within the organisation. The Business Plan, reviewed and updated every three years, will address at least two to three strategic issues, with the aim of developing strategies, programmes and other support that enhances the Secretariat’s ability to deliver essential programmes and services to the Members.
14. SIDS DOCK National Financing Mechanism - To finance the transition to a low carbon economy,
15. SIDS DOCK Virtual Knowledge Network (VKN) - To facilitate meetings and conferences, project execution and implementation, and exchange, learning and sharing of relevant knowledge is a critical component for the SIDS DOCK endeavour. 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.
16. SIDS-Wide Policy Harmonisation - Aggregate purchasing to get better prices, collective approaches to technology developers, collective approaches to seeking investment financing, and in research, development, and demonstration of new technologies
17. Transfer and Deployment of SIDS-Appropriate Technologies - Prioritization and allocation of collective resources and efforts in the timely deployment or development of such technologies in SIDS, considered suitable to address the energy needs
18. Capacity Building and Human Resource Development - Putting in place the required capacity necessary to facilitate the transformation to a low carbon economy, developing the necessary human resources with the technical capacity in SIDS, for the purpose of better stewardship of natural resources and management of the transformed low carbon energy sector, and developing Training Programmes/Short Courses to build national capacity in SIDS.
19. SIDS DOCK Public Education and Awareness Plan (SIDS DOCK PEP) - To promote, publicize, and facilitate awareness 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.

**IV Preliminary Implementation of the Statute’s Objectives**

1. **Work Programme of the Committee**
2. In fulfilling its mandate to carry out the necessary activities to ensure the effective preliminary implementation of the objectives of the Statute as soon as possible, the SIDS DOCK Members adopted the Programme of Work of the SIDS DOCK Steering Committee in Preparation of the Convening of the First Assembly of the SIDS DOCK at the Ceremony Establishing the SIDS DOCK, on 30 September 2015, in New York. The Work Programme served the dual purpose of establishing the institutional structures of a trans-regional international organization, vested with the legal personality of an international organization, and with the full rights, privileges, and immunities of an international organization while at the same time detailing the first renewable energy related activities to be implemented by the Secretariat.
3. **Implementation of the Work Programme**
4. The Steering Committee, in collaboration with the Interim SIDS DOCK Secretariat, prepared the following operational documents and arrangements for the convening of the first Assembly:
5. Rules of procedure and other governance issues including preparation for election and functioning of the Executive Council, and the process for the appointment of the Secretary-General. To be completed no later than 15 November 2015;
6. Role of the Secretariat and procedure for selecting and/or establishing the secretariat. To be completed no later than 30 November 2015;
7. Mechanisms to ensure contribution and participation, by members and partners. To be completed no later than 30 November 2015;
8. Host country Headquarters Agreement. To be completed no later than 30 November 2015;
9. Role of the Audit Committee so as to ensure financial accountability and to evaluate performance of activities in order to ensure application of environmental and social safeguards as well as internationally accepted fiduciary standards and sound financial management of activities. To be completed no later than 15 December 2015;
10. Budget for the first operational phase of the organization 2016-2019. To be completed no later than 15 December 2015;
11. Such reports, studies and recommendations as it deems relevant in order to ensure the effective and early start of the organization’s activities. To be completed no later than 30 December 2015;

**V. Transition from the Steering Committee to SIDS DOCK Assembly**

1. After the Statute entered into force on 27 September 2015, the SIDS DOCK Members agreed at its 18th meeting in September 2015 that the 19th and last meeting of the Committee would take place on 22 November 2015, in New York. It was decided that the first meeting of the SIDS DOCK Assembly would take place on 10 December 2015, in Paris, France, at the COP 21.