



*Al servicio  
de las personas  
y las naciones*

**United Nations Development Programme**  
**Country: Colombia**  
**PROJECT DOCUMENT<sup>1</sup>**

**Project Title:** **Colombia's First Biennial Update Report**

**UNDAF Outcome(s):** Strengthening of national, regional and local capacities for comprehensive management of the territory that guarantees sustainable development.

**Expected CP Outcome(s):**  
Consolidate of national capacities to promote environmental sustainability, the management of disaster risks and sustainable territorial planning.

**Expected CPAP Output (s)**  
Public institutions and civil society strengthen capacities to address and reduce the negative impact of climate change, the reduction of the ozone layer, solid waste management, integrated management of water resources, and persistent organic pollutants in accordance with international agreements.

**Executing Entity/Implementing Partner:** Institute of Hydrology, Meteorology and Environmental Studies (IDEAM)

**Implementing Entity/Responsible Partners:** Instituto de Hidrología, Meteorología y Estudios Ambientales IDEAM

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<sup>1</sup> For UNDP supported GEF funded projects as this includes GEF-specific requirements.

**Brief Description**

The immediate objective of the project hereby proposed is to assist Colombia in the preparation of its First Biennial Update Report (FBUR) for the fulfillment of its obligations under the United Nations Framework Convention on Climate Change (UNFCCC). Therefore, the project is in line with the GEF-5 climate change mitigation strategic objective: "Enabling Activities: Support enabling activities and capacity building under the Convention" (SO -6).

The project's objective will be achieved through a set of outcomes that are consistent with the guidelines for the preparation of BUR contained in Annex III of decision 2/CP.17 of the UNFCCC:

1. National green house gas (GHG) emission inventory for 2010.
2. Analysis of mitigation actions
3. National circumstances, constraints and gaps, and related financial, technical and capacity needs and other information considered relevant for the achievement of the objective of the convention.
4. Monitoring, learning, adaptive feedback & evaluation

Programme Period:	2014-2018
Award/Project ID:	00080750
Project/Output ID:	00090330
PIMS #	5291
Start date:	Julio 2014
End Date	Marzo 2015
Management Arrangements	NIM
PAC Meeting Date	14 Julio 2014

Total resources required	\$367,881
Total allocated resources:	\$367,881
• Regular	_____
• Other:	
○ GEF	\$352,000
○ IDEAM (In-kind)	\$15,881
○ Other	_____

Agreed by Institute of Hydrology, Meteorology and Environmental Studies IDEAM:

 \_\_\_\_\_  
 Date/Month/Year 06 AGO 2014

Agreed by (UNDP):

 \_\_\_\_\_  
 Date/Month/Year 06 AGO 2014

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## List of acronyms

Agriculture, Forestry and Other Land Use (AFOLU)  
Biennial Update Report (BUR)  
Clean Development Mechanism (CDM)  
Consejo Nacional de Política Económica y Social (CONPES)  
Greenhouse Gases (GHG)  
Initial National Communication (INC)  
Integrated National Adaptation Project (INAP)  
Institute of Hydrology, Meteorology and Environmental Studies (IDEAM)  
Intergovernmental Panel on Climate Change (IPCC)  
Project Progress Reports (PPR)  
Second National Communication (SNC)  
Technology Needs Assessment (TNA)  
Third National Communication (TNC)  
United Nations Framework Convention on Climate Change (UNFCCC)  
United Nations Development Programme – UNDP

## 1. SITUATION ANALYSIS

### *Context and global significance*

1. Colombia ratified the United Nations Framework Convention on Climate Change (UNFCCC) and the Kyoto Protocol through Acts 164 of 1994 and 629 of 2000 respectively. Colombia submitted its Initial National Communication (INC) in December 2001.
2. Evidence set forth in the INC regarding Colombia's high vulnerability to climate change played a key role in the implementation of the Integrated National Adaptation Project (INAP), an adaptation pilot which aimed at strengthening Colombia's capacity to adapt to climate change by addressing gaps and needs in key research areas, regions and ecosystems.
3. Colombia's Second National Communication (SNC) tapped on the results of INAP and other climate change projects and was submitted to the COP in 2010
4. National Communications to the UNFCCC served as a reference point to the issuance of a national climate change policy paper (CONPES 3700); which proposes an institutional arrangement to provide for the inclusion of climate considerations in decision-making and the articulation of climate change actions
5. Colombia is one of the participating countries of the Technology Needs Assessment (TNA) project since 2010. Through the TNA process, led by the Ministry of Environment and Sustainable Development, Colombia has been able to prioritize the transportation sector and coastal and marine areas for understanding and assessing technology needs for mitigation and adaptation, respectively.
6. To date, the country has a Clean Development Mechanism (CDM) portfolio of 190 projects, 42 of which are registered and 14 have already issued CERs. Eighty (80) more projects have been approved by the Ministry of Environment and Sustainable Development (Colombia's Designated National Authority).
7. In 2011, Colombia submitted a request for funds for the preparation of its Third National Communication (TNC) to the GEF (UNDP/GEF Project). The TNC will be submitted to the UNFCCC in late 2015 and will provide updated information on Colombia's national circumstances, mitigation actions and a GHG inventory based on the 2006 IPCC Guidelines for the years 2005, 2008 and 2012, an analysis on the country's vulnerability to climate change and the progress the country has attained with regards to adaptation.
8. The Conference of the Parties to the UNFCCC at its sixteenth session, decided that developing countries should submit biennial update reports containing updates on national greenhouse gas inventories, including a national inventory report and information on mitigation actions, needs and support received. Later on, the Conference of the Parties at its seventeenth session adopted guidelines for the preparation of biennial update reports by Parties not included in Annex I to the Convention (Annex III of decision 2/CP.17).
9. Colombia's first BUR will be submitted to the UNFCCC in December 2014 and it is expected that its outputs contribute to and complement the achievement of the objectives proposed in the Third National Communication Project.

## 2. STRATEGY

### *Project rationale and policy conformity*

10. Law 99 of 1993 established Colombia's National Environmental System; a set of agencies, policies, institutions and principles aimed at sustainably managing the country's environment and natural resources. Colombia's Ministry of Environment and Sustainable Development, created by the same Law, coordinates the System by dictating and implementing national-level policies, whilst specialized research institutes provide the Ministry with technical and scientific information for decision-making. Country-wide climate change policies and strategies are therefore promoted by the Ministry, and the production of climate change related information and knowledge, including National Communications to the UNFCCC, is led by Colombia's Institute of Hydrology, Meteorology and Environmental Studies (IDEAM).
11. CONPES 3700 proposes an institutional arrangement to provide for the inclusion of climate considerations in decision-making and the articulation of climate change actions; and to the design of a climate package with the following components: a) a National Climate Change Adaptation Plan, b) a Low Carbon Development Strategy, c) a National Strategy to Reduce Emissions from Deforestation and Degradation REDD+, and d) a Strategy for Financial Protection against Disasters. This package is part of Colombia's 2010-2014 National Development Plan, and the design of an implementation framework for each of its four components is underway.
12. As a country highly vulnerable to the adverse effects of climate change, Colombia has also come to recognize that information on climate issues is an essential input to targeted actions and to the inclusion of climate change considerations into territorial and sectoral projects and development plans. It is expected that the proposed project will add up to the efforts so far undertaken to enhance the institutional capacities to generate information that helps understanding the obstacles and development opportunities associated with climate change.

### *Project objective, outcomes and outputs/activities*

13. The immediate objective of the project hereby proposed is to assist Colombia in the preparation of its First Biennial Update Report (FBUR) for the fulfillment of its obligations under the United Nations Framework Convention on Climate Change (UNFCCC). Therefore, the project is in line with the GEF-5 climate change mitigation strategic objective: "Enabling Activities: Support enabling activities and capacity building under the Convention" (SO -6).
14. The project's objective will be achieved through a set of outcomes that are consistent with the guidelines for the preparation of BUR contained in Annex III of decision 2/CP.17 of the UNFCCC:
  1. National green house gas (GHG) emission inventory for 2010.
  2. Analysis of mitigation actions
  3. National circumstances, constraints and gaps, and related financial, technical and capacity needs and other information considered relevant for the achievement of the objective of the convention.
  4. Monitoring, learning, adaptive feedback & evaluation

#### **1. National GHG emission inventory for 2010**

Colombia's first BUR will present the national greenhouse inventory for the year 2010, based on the 2006 IPCC Guidelines. The inventory will include estimations of the greenhouse gases emitted in the energy, industrial processes and product use, AFOLU and waste sectors, covering the following gases: carbon dioxide, methane, nitrous oxide, HFCs, PFCs and sulphur hexafluoride.

The component will include a summary table with the results of GHG inventories previously submitted by Colombia to the UNFCCC. In addition, an inventory report that includes (i) a key category analysis for the year 2010 and (ii) a description of the methods and references used in developing GHG emission calculations.

The following outcome and its outputs comprise the work intended to be undertaken to develop this component:

### **Outcome 1.1: National GHG Inventory for the year 2010 prepared**

Output 1.1.1 Summary table of GHG inventories previously submitted to the UNFCCC

Output 1.1.2 National GHG inventory for the following sectors: a) energy, b) industrial processes and product use, c) AFOLU and d) waste for the year 2010, based on the revised 2006 IPCC Guidelines.

Output 1.1.3 Inventory report prepared, including: (i) a key category analysis and (ii) a description of the methods and references used.

## **2. Analysis of mitigation actions**

The mitigation component of the BUR will present a description of the policy framework for climate change mitigation in the country. This description will draw on the institutional aspects and activities performed under the National Strategy for REDD+ and Colombia's Low Carbon Development Strategy. Following the guidelines contained in Annex III of decision 2/CP.17, data and information will be collected in order to prepare a tabular description of Colombia's mitigation actions, to the extent possible and taking into consideration national circumstances, including: (i) name, nature and coverage of the action, by sectors and/or gases, (ii) objectives of the action, (iii) activities undertaken, (iv) the extent of mitigation achieved or projected to achieve, and (v) methodologies and assumptions used in estimating the mitigation potential of mitigation actions.

In addition, information will be provided on Colombia's participation in international market mechanisms. Acknowledging the diversity of mitigation actions and considering national circumstances and capabilities, the institutional arrangements so far implemented for monitoring, reporting and verification will be described, within the frame of Colombia's mitigation strategies.

The following outcome and its outputs comprise the work intended to be undertaken to develop this component:

### **Outcome 2.1: Mitigation policies and actions described**

Output 2.1.1 Document containing a description of the policy framework for mitigation at the national level

Output 2.1.2 Description of mitigation actions.

Output 2.1.3 Document containing a description of Colombia's participation in international market mechanisms

Output 2.1.4 Document containing information on institutional arrangements for domestic monitoring, reporting and verification of mitigation actions

## **3. National Circumstances, constraints and gaps, and related financial, technical and capacity needs and other information considered relevant for the achievement of the objective of the convention.**

The BUR will present updated information on Colombia's biophysical and socioeconomic characteristics, developmental objectives and political aspects that influence the ways in which Colombia seeks to address the adverse effects of climate change.

Biophysical information will include a brief presentation of the country's climate and its geographic and physiographic characteristics; and an updated description of ecosystems and natural resources (water, forests and biodiversity). Updated and, where possible, gender-disaggregated information on population, key development indicators and public health will be compiled in a section on Colombia's social aspects. The description of the country's economic circumstances will include a summary of the most recently produced macroeconomic indicators as well as information on the most relevant productive sectors. National development objectives will be presented in accordance with current policies and plans, and a description of the climate change policy framework will also be provided. The component will also include a description of the country's main concerns arising from climate change, taking into account existing evidences on climate variability and risks associated with extreme weather events.

In addition, the National Circumstances component will offer a description of the existing institutional arrangements that are relevant to the preparation of National Communications and Biennial Update Reports.

The following outcome and its outputs comprise the work intended to be undertaken to develop this component.

**Outcome 3.1: National circumstances updated, and institutional arrangements relevant to the preparation of BUR described.**

Output 3.1.1: Document containing updated information on Colombia's national circumstances, development objectives and concerns arising from the adverse effects of climate change

Output 3.1.2: Document containing a description of the institutional arrangements relevant to the preparation of the BUR.

This component of the BUR will also present updated information related to Colombia's financial, technical and capacity needs to address the adverse effects of climate change. Support provided by multilateral agencies, the GEF and Annex II Parties in the area of climate change will be described, included the technical and financial support received for the preparation of the First Biennial Update Report. Areas required enhanced support will be also described, according to Colombia's most pressing needs and national circumstances. The expected outcomes and outputs of this component are:

**Outcome 3.2: Constraints, gaps and related needs updated**

Output 3.2.1 Document with updated information on Colombia's main constraints, gaps and needs to cope with climate change

**Outcome 3.3: Support for climate change activities needed and received, identified**

Output 3.3.1 Document with an identification of the support received for climate change activities, including the preparation of the first BUR, and key areas requiring enhanced support

Other information that considered relevant for the achievement of the objective of the Convention includes, among others, updated information on capacity building activities implemented, climate research and systematic observation, activities to raise awareness on climate change, climate change education and steps undertaken by Colombia to promote the transfer of environmentally sound technologies will be included in this component of the BUR. The following results are expected:

**Outcome 3.4 Other information considered relevant to the achievement of the objective of the Convention updated**

Output 3.4.1: Document containign information on capacity building activities, climate research and systematic observation, activities to raise awareness on climate change, climate change education and steps undertaken to promote the transfer of environmentally sound technologies.

#### **4. Monitoring, learning, adaptive feedback and evaluation**

This component consists of all monitoring and evaluation activities (M&E) of the project according to the M&E plan resumed in a table on pages 19 and 20 of this document, to be confirmed and detailed in the initiation workshop. All M&E activities of the BUR project will be coordinated with the M&E activities of the Third National Communication project, as the two projects share a project management unit.

15. The project will finalize with the publication and submission of the final contents of the BUR to the COP. The guidelines established by the UNFCCC in Annex III of Decision 2/CP.17 will be followed, as well as other relevant formats and guidelines.
16. The BUR project has been designed with consideration of the lessons learnt of Colombia's National Communications, which permitted to select the most cost-effective options to develop each component. The implementing partner's experience, institutional networks and recognition amongst the general public will allow, firstly, for a more effective divulgation of the project results. Secondly, it will guarantee a more efficient use of



available resources, particularly in the GHG inventory component, whereby relevant stakeholders convoked by IDEAM engage in close and continuous interaction and technical cooperation so as to obtain the best possible results and avoid duplication of efforts. Further, the BUR project will help building the capacities and developing technical inputs that will be fed into the process of preparing Colombia's Third National Communication.

17. As they will be a temporal overlap in the implementation of the Third National Communication project and the First Biennial Update Report, both projects will share a single technical coordinator whose core task will be to ensure technical coherence and synergies between the two projects, with a view to maximizing cost-effectiveness.

#### *Identification of key stakeholders*

18. The Institute of Hydrology, Meteorology and Environmental Studies (IDEAM) - the executive partner of the proposed project - is the governmental agency that generates, compiles, stores and divulges countrywide environmental data, information and knowledge in Colombia. The main purpose of IDEAM is to provide authorities - particularly the Ministry of Environment and Sustainable Development -, other governmental agencies and economic sectors with technical and scientific inputs for decision-making.
19. IDEAM prepared Colombia's Initial and Second National Communications to the UNFCCC, submitted in 2001 and 2010 respectively and has been directly responsible for the development of national GHG inventories, climate change scenarios and climate vulnerability analyses. Throughout this processes, IDEAM has established a number of cooperation channels and agreements to facilitate data collection, validation and verification, as well as sectoral involvement and academic participation. The table below presents the key stakeholders that will be involved in the execution of the proposed project and briefly describes their respective roles.

Stakeholder	Description	Role in the project
United Nations Development Program (UNDP)	The UNDP in Colombia works to integrate environmental, energy and natural resource considerations into the poverty reduction strategies and sustainable development.	Provide conceptual guidance and technical orientation for the project formulation. It has the responsibility to supervise implementation, perform monitoring and evaluation, manage financial resources, etc.
Ministry of Environment and Sustainable Development	Head of the environmental policy in Colombia and on issues related to the environment and renewable natural resources. It executes environmental policy including climate change policy.	Technical and conceptual guidance for the project formulation. The Ministry will also participate through its climate change division in all actions regarding mitigation policies.
National Planning Department	Leads and guides the national development plan and the programming of investment directed to the attainment of long and short-term objectives.	Will provide information and expert participation for the calculations of the GHG inventory.
National Department of Statistics (DANE)	Its mission is to produce and publish statistical information which is strategic for decision making on economic and social development in the country.	Will provide information and expert participation for the calculations of the GHG inventory.
Ministry of Agriculture and Rural Development	The ministry formulates coordinates and adopts national policies on agriculture, fisheries, and issues related to rural development.	Will provide information and expert participation for the calculations of the GHG inventory.
Ministry of Transportation	Its mission is to formulate and adopt policies, plans, programs and projects on transportation.	Will provide information and expert participation for the calculations of the GHG inventory.
Biological Resources Research Institute, Alexander von Humboldt (IAvH)	Its mission is to promote, coordinate and perform research that contributes to knowledge on conservation, and sustainable use of biodiversity as a development factor and wellbeing of the national population.	Will contribute to the national circumstances component.
Environmental Research Institute for the Pacific, John von Neumann	This agency acts as a coordination instrument for the strengthening of research capacity in the Pacific region and for its social and institutional stakeholders.	Will provide information and expert participation for the calculations of the GHG inventory.
Colombian Agricultural Research Corporation (CORPOICA)	This public decentralized entity produces scientific knowledge and technical solutions through research, innovation, technology transfer and training for the agricultural sector.	Will provide information and expert participation for the calculations of the GHG inventory.
Mines and Energy Planning Unit (UPME)	Its mission is to plan in a permanent and indicative way, in conjunction with all the entities of the mines and energy sector, the development and use of mines and energy resources.	Will provide information and expert participation for the calculations of the GHG inventory.
National Disaster Risk Management Unit	Provides guidance and coordination for the National Prevention and Disaster Risk Attention System.	Supports the project with information on vulnerability and extreme weather events.
Sectoral guilds Asocaña, Fedearroz, Fedecafé, Fenalce, Fedepalma, Fedegan.	Represent the interests of economic groups and produce information on the development of their economic activity.	Will provide information and expert participation for the calculations of the GHG inventory.
Universities	Research	Provide cross-cutting information and expert participation.

20. The above mentioned agencies and organizations will be engaged in the project through workshops, worktables and coordination meetings as applicable, following IDEAM's procedures for the preparation of national communications and GHG inventories.
21. The project's first component (national circumstances) will draw on existing information to describe how climate change and climate variability impacts may and do affect the population differentially, employing gender considerations within the analysis.

### *Sustainability and Replicability*

22. As the project is executed by IDEAM, Governmental agency responsible for managing climate change related information in Colombia, sustainability will be ensured through national appropriation of the BUR development process. All relevant stakeholders in Colombia will be involved in the process, which further strengthens national appropriation.
23. Being the first BUR that Colombia elaborates, this project will be highly replicable for future BUR development in the country. Through this project, methodologies, information and best practices will be compiled to create a support for future BUR development processes. Also lessons learnt is a factor that supports replicability of this project.

3. PROJECT RESULTS FRAMEWORK:

This project will contribute to achieving the following Country Programme Outcome as defined in CPAP or CPD: Public institutions and civil society strengthen capacities to address and reduce the negative impact of climate change, the reduction of the ozone layer, solid waste management, integrated management of water resources, and persistent organic pollutants in accordance with international agreements.

Country Programme Outcome Indicators: Number of initiatives for the comprehensive management of biodiversity, the response to climate change and the management of contaminants formulated and/or implemented.

Primary applicable Key Environment and Sustainable Development Key Result Area (same as that on the cover page, circle one): **Mainstreaming environment and energy**

Applicable GEF Strategic Objective and Program: CC

Project Objective <sup>2</sup>	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
<b>Project Objective<sup>2</sup> TO ASSIST COLOMBIA IN THE PREPARATION OF ITS FIRST BIENNIAL UPDATE REPORT (FBUR) FOR THE FULFILMENT OF ITS OBLIGATIONS UNDER THE UNITED NATIONS FRAMEWORK CONVENTION ON CLIMATE CHANGE (UNFCCC).</b>	To prepare and to present the first Biennial Update Report (BUR) of Colombia to the UNFCCC, as well as to the country, with consistent, transparent, comparable and flexible information, taking into account specific national circumstances so that it will function as a reference for decision makers in the country.	First and Second National Communications developed to date have been developed to date.	Through this project Colombia as a non-Annex I country expects to share information about: GHG emissions for the year 2010; mitigation activities developed by the country; technical and financial gaps and constraints; other relevant information to achieve the UNFCCC's objectives.	A BUR document, published and submitted to the UNFCCC.	Political will of all participant institutions for project development is assumed. An identified risk is the lack of political will for meeting calls and required technical support.  It is assumed that there is information on climate, social, economic, and environmental issues for conducting the different analysis needed. Possible risks have been identified related to difficulties in accessing information and the tight timeframe for conducting the analysis for this BUR.
<b>Outcome 1' NATIONAL GREEN HOUSE GAS (GHG) EMISSION INVENTORY FOR 2010.</b>	A GHG national inventory of the year 2010.	The country has information of GHG inventories for the years 1990, 1994, 2000 and 2004 in the five modules established by the IPCC (1996): 1) Energy; 2) Industrial Processes; 3) Agriculture; 4) Land Use, Land and Use changes.	Assessment of Colombia's GHG emissions for the year 2010 following the IPCC guides, with calculation of uncertainties, assurance procedures and quality control.	GHG inventory report according to the UNFCCC's standards.	Political will of all participant institutions for project development is assumed. An identified risk is the lack of political will for meeting calls and required technical support.  It is assumed that there is information on climate, social, economic, and environmental issues for conducting the different analysis needed. Possible risks have been identified related to difficulties in accessing information and the tight timeframe for

<sup>2</sup> Objective (Atlas output) monitored quarterly ERBM and annually in APR/PIR

<sup>3</sup> All outcomes monitored annually in the APR/PIR. It is highly recommended not to have more than 4 outcomes.

<p><b>Outcome 2 ANALYSIS OF MITIGATION ACTIONS</b></p>	<p>A chapter with information related to policies and climate change mitigation activities in Colombia.</p>	<p>and Forestry; 5) Waste.</p> <p>The country has general information about national policies and plans related to climate change mitigation.</p>	<p>Information related to national policies and plans on climate change mitigation.</p>	<p>Document containing a description of the policy framework for mitigation at the national level</p> <p>Description of mitigation actions</p> <p>Document containing a description of Colombia's participation in international mechanisms</p> <p>Document containing information on institutional arrangements for domestic monitoring, reporting and verification of mitigation actions</p>	<p>conducting the analysis for this BUR.</p> <p>Political will of all participant institutions for project development is assumed. An identified risk is the lack of political will for meeting calls and required technical support.</p> <p>It is assumed that there is information on climate, social, economic, and environmental issues for conducting the different analysis needed. Possible risks have been identified related to difficulties in accessing information and the tight time frame for conducting the analysis for this BUR.</p>
<p><b>Outcome 3 NATIONAL CIRCUMSTANCES, CONSTRAINTS AND GAPS, AND RELATED FINANCIAL, TECHNICAL AND CAPACITY NEEDS AND OTHER INFORMATION CONSIDERED RELEVANT FOR THE ACHIEVEMENT OF THE OBJECTIVE OF THE CONVENTION.</b></p>	<p>Chapters on national circumstances, constraints and gaps, and related financial, technical and capacity needs and other information considered relevant to the achievement of the objective of the Convention.</p>	<p>In relation to national circumstances, the country has information about: a) geographical and political issues; b) environmental issues; c) social characteristics; d) economic characteristics; e) policies and planning activities related to climate change until 2010.</p> <p>It is necessary to identify information available on constraints and gaps, related financial, technical and capacity needs and other information.</p>	<p>Chapters on national circumstances, constraints and gaps, and related financial, technical and capacity needs and other information considered relevant to the achievement of the objective of the Convention elaborated.</p>	<p>Chapters published in final BUR document.</p>	<p>Political will of all participant institutions for project development is assumed. An identified risk is the lack of political will for meeting calls and required technical support.</p> <p>It is assumed that there is information on climate, social, economic, and environmental issues for conducting the different analysis needed. Possible risks have been identified related to difficulties in accessing information and the tight time frame for conducting the analysis for this BUR.</p>
<p><b>Outcome 4 MONITORING, LEARNING,</b></p>	<p>M&amp;E plan for project.</p>	<p>Project will follow standard guidelines of GEF to formulate its</p>	<p>M&amp;E plan for project implemented.</p>	<p>Quarterly monitoring meeting minutes; initiation workshop</p>	<p>All M&amp;E activities of the BUR project will be coordinated with the M&amp;E activities of the Third National Communication project.</p>

<p><b>ADAPTIVE FEEDBACK &amp; EVALUATION</b></p>		<p>M&amp;E plan.</p>		<p>report; final report of project.</p>	
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**TOTAL BUDGET AND WORKPLAN**

<b>Proposal ID:</b>	00080750	Output ID(s):	00090330
<b>Award Title:</b>	Colombia's First Biennial Update Report		
<b>Business Unit:</b>	COL10		
<b>Project Title:</b>	Colombia's First Biennial Update Report		
<b>PIMS no.</b>	5291		
<b>Implementing Partner (Executing Agency)</b>	Institute of Hydrology, Meteorology and Environmental Studies (IDEAM)		

GEF Outcome/Atlas Activity	Responsible Party/Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Total (USD)	See Budget Note:
<b>OUTCOME 1:</b> NATIONAL GREEN HOUSE GAS (GHG) EMISSION INVENTORY FOR 2010.	Institute of Hydrology, Meteorology and Environmental Studies (IDEAM) 000697	62000	GEF 10003	71200	International Consultants	33,000	33,000	1
				71300	Local Consultants	38,000	38,000	2
				71400	Contractual Services Individuals	28,000	28,000	3
				72100	Contractual services	50,000	50,000	4
				74200	Audio Visual and Printing Production Costs	16,000	16,000	5
					<b>Total Outcome 1</b>	<b>165,000</b>	<b>165,000</b>	
<b>OUTCOME 2:</b> ANALYSIS OF MITIGATION ACTIONS	Institute of Hydrology, Meteorology and Environmental Studies (IDEAM) 000697	62000	GEF 10003	71300	Local Consultants	50,000	50,000	6
				71600	Travel	7,000	7,000	7
				72100	Contractual services	7,000	7,000	8
					<b>Total Outcome 2</b>	<b>64,000</b>	<b>64,000</b>	

GEF Outcome/Atlas Activity	Responsible Party/Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Total (USD)	See Budget Note:
<b>OUTCOME 3:</b> NATIONAL CIRCUMSTANCES, CONSTRAINTS AND GAPS, AND RELATED FINANCIAL, TECHNICAL, AND CAPACITY NEEDS AND OTHER INFORMATION CONSIDERED RELEVANT TO THE ACHIEVEMENT OF THE OBJECTIVE OF THE CONVENTION.	Institute of Hydrology, Meteorology and Environmental Studies (IDEAM 000697)	62000	GEF 10003	71300	Local Consultants	24,000	24,000	9
				72100	Contractual services	73,500	73,500	10
					<b>Total Outcome 3</b>	<b>97,500</b>	<b>97,500</b>	
<b>OUTCOME 4:</b> MONITORING, & EVALUATION	Institute of Hydrology, Meteorology and Environmental Studies (IDEAM 000697)	62000	GEF 10003	74100	Professional Services	3,000	3,000	11
					<b>Total Outcome 4</b>	<b>3,000</b>	<b>3,000</b>	
<b>PROJECT MANAGEMENT UNIT</b>	Institute of Hydrology, Meteorology and Environmental Studies (IDEAM) 000697	62000	GEF 10003	71400	Contractual Services Individuals	22,000	22,000	12
				72500	Office Supplies	500	500	13
					<b>Total Management</b>	<b>22,500</b>	<b>22,500</b>	
<b>PROJECT TOTAL</b>						<b>352,000</b>	<b>352,000</b>	



Summary of Funds:<sup>4</sup>

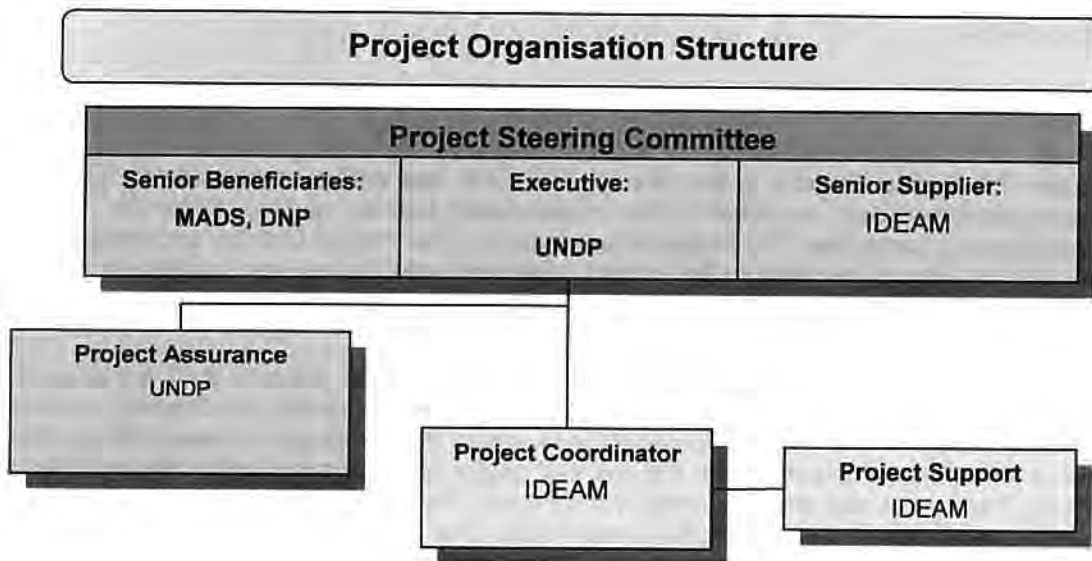
	Amount Year 1	Total
<b>GEF</b>	352,000	352,000
<b>IDEAM (in-kind)</b>	15,800	15,800
<b>TOTAL</b>	<b>367,800</b>	<b>367,800</b>

**Budget notes:**

1	International consultants for the territorialisation of the GHG inventories
2	Edition and infographics of BUR document in different formats; facilitators for sectorial workshops
3	Service Contract for technical support for the GHG inventory and other supporting activities, including monitoring of outcome and project progress
4	Consolidation of sectorial data, sectorial workshop logistics
5	Publishing of BUR document in different formats
6	Local consultants for information gathering on mitigation activities and MRV
7	Travel costs for international invitees for workshop MRV systems
8	MRV workshop logistics
9	Local consultant to develop the chapter on national circumstances
10	Consultancy on financial information
11	Audit
12	Technical assistant of project
13	Paper supplies

<sup>4</sup> Summary table should include all financing of all kinds: GEF financing, cofinancing, cash, in-kind, etc...

#### 4. MANAGEMENT ARRANGEMENTS



The project implementation will be carried out under the guidance of a Project Steering Committee, which will be responsible for the approval of key project management decisions and the assurance of technical quality, financial transparency, and the global development impact of the project. The Steering Committee will be in charge of decision-making, particularly when the guidance of the Project Director is required. The Steering Committee will play a critical role in the projects' monitoring and evaluation through the quality assurance of its processes and products, using performance evaluations for continual improvement, accountability and learning. The Steering Committee will also ensure that required funding is fully committed, arbitrate any conflicts that emerge during the project, or negotiate a solution to any problem with external parties. Additionally, the Steering Committee will approve the assignments and responsibilities of the Project Director and any delegation responsibilities related to the project. Based on the Annual Work Plan, the Steering Committee will also consider the approval of trimester plans (if required) and any deviation from the original plans.

In order to ensure the accountability of project results, the Steering Committee's decisions will be made following standards which guarantee the management of developments results, higher profitability, justice, integrity, transparency and effective international competition. If a consensus cannot be reached within the Steering Committee, the final decision will be made by UNDP.

In the case of this project, the Steering Committee is a joint committee for both the BUR project and the Third National Communication project, also implemented by IDEAM. The Steering Committee will be comprised of representatives from the following institutions:

- The Ministry of Environment and Sustainable Development (MADS), given their role as the GEF Operational Focal Point in Colombia and their function as rector of environmental policy;
- The Ministry of External Relations of Colombia, as the Focal Point to the UNFCCC;
- The IDEAM as the project's Implementing Agency;
- The Department of National Planning, with their mandate of contributing to the design, formulation, implementation, monitoring and evaluation of proposed public policies;
- The United Nations Development Programme (UNDP) as the Implementing Agency to the GEF.

The Steering Committee will have the following main functions: guiding the project implementation in accordance with national policies, and promoting the incorporation of climate change themes into sectoral policies. It is the highest decision-making authority and will be presided by the Director General of IDEAM as the Project Director.

In the following section, the different roles within the project's implementation are explained:

**Project Director:** The Project Director is the Director of IDEAM and will be responsible for guiding and advising project implementation, on behalf of the Implementing Agency, and will follow the restrictions defined by the Steering Committee. The primary responsibility of the Project Director is to ensure that the project generates the results identified in the project document, with the required quality standards and within the indicated time frame and costs.

**Project Coordinator:** The Project Coordinator will have authority over the project's daily implementation, on behalf of the Implementing Partner, and will follow the restrictions defined by the Steering Committee. The primary responsibility of the Project Coordinator is to ensure that the project achieves the results that are described in the project document, with the required quality standards and within the indicated time frame and costs. The coordinator will be guided by the Project Director, and will develop an Annual Work Plan which will include the project's activities and results that will be delivered with the Plan. The coordinator for this project will also coordinate the Third National Communication project, as a great amount of synergies between these two projects can be found. The coordinator is to be financed completely by the Third National Communication project.

**Project Support:** The role of the Project Support is to provide project administration as well as technical and management support to the Project Coordinator in accordance with their needs. For this project in particular, there are two assistants; one technical-administrative financed by the BUR project, and one administrative financed by the Third National Communication project. Furthermore, consultants are to be hired for specific technical issues of the project.

## **5. MONITORING FRAMEWORK AND EVALUATION**

The project will be monitored through the following M& E activities. The M& E budget is provided in the table below.

### **Project start:**

A Project Inception Workshop will be held within the first 2 months of project start with those with assigned roles in the project organization structure, UNDP country office and where appropriate/feasible regional technical policy and programme advisors as well as other stakeholders. The Inception Workshop is crucial to building ownership for the project results and to plan the first year annual work plan.

The Inception Workshop should address a number of key issues including:

- a) Assist all partners to fully understand and take ownership of the project. Detail the roles, support services and complementary responsibilities of UNDP CO and RCU staff vis à vis the project team. Discuss the roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms. The Terms of Reference for project staff will be discussed again as needed.
- b) Based on the project results framework and the relevant GEF Tracking Tool if appropriate, finalize the first annual work plan. Review and agree on the indicators, targets and their means of verification, and recheck assumptions and risks.
- c) Provide a detailed overview of reporting, monitoring and evaluation (M&E) requirements. The Monitoring and Evaluation work plan and budget should be agreed and scheduled.

- d) Discuss financial reporting procedures and obligations, and arrangements for annual audit.
- e) Plan and schedule Project Board meetings. Roles and responsibilities of all project organisation structures should be clarified and meetings planned. The first Project Board meeting should be held within the first 12 months following the inception workshop.

An Inception Workshop report is a key reference document and must be prepared and shared with participants to formalize various agreements and plans decided during the meeting.

#### **Quarterly:**

- Progress made shall be monitored in the UNDP Enhanced Results Based Management Platform.
- Based on the initial risk analysis submitted, the risk log shall be regularly updated in ATLAS. Risks become critical when the impact and probability are high. Note that for UNDP GEF projects, all financial risks associated with financial instruments such as revolving funds, microfinance schemes, or capitalization of ESCOs are automatically classified as critical on the basis of their innovative nature (high impact and uncertainty due to no previous experience justifies classification as critical).
- Based on the information recorded in Atlas, a Project Progress Reports (PPR) can be generated in the Executive Snapshot.
- Other ATLAS logs can be used to monitor issues, lessons learned etc... The use of these functions is a key indicator in the UNDP Executive Balanced Scorecard.

#### **Bi-annual progress:**

- Status Survey Questionnaires to indicate progress and identify bottlenecks as well as technical support needs will be carried out twice a year.

#### **Periodic Monitoring:**

A detailed schedule of project reviews meetings will be developed by the project management, in consultation with project implementation partners and stakeholder representatives and incorporated in the Project Inception Report. Such a schedule will include: (i) tentative time frames for Steering Committee Meetings, (or relevant advisory and/or coordination mechanisms) and (ii) project related Monitoring and Evaluation activities.

Day to day monitoring of implementation progress will be the responsibility of the Project Coordinator, based on the project's Annual Work plan and its indicators. The Project Team will inform the UNDP-CO of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely and remedial fashion.

Periodic monitoring of implementation progress will be undertaken by the UNDP-CO through quarterly meetings with the project proponent, or more frequently as deemed necessary. This will allow parties to take stock and to troubleshoot any problems pertaining to the project in a timely fashion to ensure smooth implementation of project activities.

#### **End of Project:**

During the last three months, the project team will prepare the Project Terminal Report. This comprehensive report will summarize the results achieved (objectives, outcomes, outputs), lessons learned, problems met and areas where results may not have been achieved. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project's results.

**Audit clause:**

The contribution shall be subject exclusively to the internal and external auditing procedures provided for in the financial regulations, rules, policies and procedures of UNDP.

**Learning and knowledge sharing:**

Results from the project will be disseminated within and beyond the project intervention zone through existing information sharing networks and forums.

The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation through lessons learned. The project will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects.

Finally, there will be a two-way flow of information between this project and other projects of a similar focus.

**Communications and visibility requirements:**

Full compliance is required with UNDP's Branding Guidelines. These can be accessed at <http://intra.undp.org/coa/branding.shtml>, and specific guidelines on UNDP logo use can be accessed at: <http://intra.undp.org/branding/useOfLogo.html>. Amongst other things, these guidelines describe when and how the UNDP logo needs to be used, as well as how the logos of donors to UNDP projects needs to be used. For the avoidance of any doubt, when logo use is required, the UNDP logo needs to be used alongside the GEF logo. The GEF logo can be accessed at: [http://www.thegef.org/gef/GEF\\_logo](http://www.thegef.org/gef/GEF_logo). The UNDP logo can be accessed at <http://intra.undp.org/coa/branding.shtml>.

Full compliance is also required with the GEF's Communication and Visibility Guidelines (the "GEF Guidelines"). The GEF Guidelines can be accessed at: [http://www.thegef.org/gef/sites/thegef.org/files/documents/C4008\\_Branding\\_the\\_GEF%20final\\_0.pdf](http://www.thegef.org/gef/sites/thegef.org/files/documents/C4008_Branding_the_GEF%20final_0.pdf). Amongst other things, the GEF Guidelines describe when and how the GEF logo needs to be used in project publications, vehicles, supplies and other project equipment. The GEF Guidelines also describe other GEF promotional requirements regarding press releases, press conferences, press visits, visits by Government officials, productions and other promotional items.

Where other agencies and project partners have provided support through co-financing, their branding policies and requirements should be similarly applied.

## M& E workplan and budget

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Time frame
Inception Workshop and Report	<ul style="list-style-type: none"> <li>▪ Project Manager</li> <li>▪ UNDP CO, UNDP GEF</li> </ul>	Indicative cost: 0 (Will be merged with TNC initiation workshop)	Within first two months of project start up
Measurement of Means of Verification of project results.	<ul style="list-style-type: none"> <li>▪ UNDP GEF RTA/Project Manager will oversee the hiring of specific studies and institutions, and delegate responsibilities to relevant team members.</li> </ul>	To be finalized in Inception Phase and Workshop.	Start, mid and end of project (during evaluation cycle) and annually when required.
Measurement of Means of Verification for Project Progress on <i>output and implementation</i>	<ul style="list-style-type: none"> <li>▪ Oversight by Project Manager</li> <li>▪ Project team</li> </ul>	To be determined as part of the Annual Work Plan's preparation.	Annually prior to ARR/PIR and to the definition of annual work plans
ARR/PIR	<ul style="list-style-type: none"> <li>▪ Project manager and team</li> <li>▪ UNDP CO</li> <li>▪ UNDP RTA</li> <li>▪ UNDP EEG</li> </ul>	None	Not applicable
Periodic status/ progress reports	<ul style="list-style-type: none"> <li>▪ Project manager and team</li> </ul>	None	Quarterly
Mid-term Evaluation	<ul style="list-style-type: none"> <li>▪ Project manager and team</li> <li>▪ UNDP CO</li> <li>▪ UNDP RCU</li> <li>▪ External Consultants (i.e. evaluation team)</li> </ul>	None	Not applicable for EA projects
Final Evaluation	<ul style="list-style-type: none"> <li>▪ Project manager and team,</li> <li>▪ UNDP CO</li> <li>▪ UNDP RCU</li> <li>▪ External Consultants (i.e. evaluation team)</li> </ul>	None	Not applicable for EA projects
Project Terminal Report	<ul style="list-style-type: none"> <li>▪ Project manager and team</li> <li>▪ UNDP CO</li> <li>▪ local consultant</li> </ul>	0	At least three months before the end of the project
Audit	<ul style="list-style-type: none"> <li>▪ UNDP CO</li> <li>▪ Project manager and team</li> </ul>	Indicative cost per year: 3,000	Yearly
Visits to field sites	<ul style="list-style-type: none"> <li>▪ UNDP CO</li> <li>▪ UNDP RCU (as appropriate)</li> <li>▪ Government representatives</li> </ul>	For GEF supported projects, paid from IA fees and operational budget	Yearly
<b>TOTAL indicative COST</b> Excluding project team staff time and UNDP staff and travel expenses		US\$ 3,000 (+/- 5% of total budget)	

## 6. LEGAL CONTEXT

This document together with the CPAP signed by the Government and UNDP which is incorporated by reference constitute together a Project Document as referred to in the SBAA [or other appropriate governing agreement] and all CPAP provisions apply to this document.

Consistent with the Article III of the Standard Basic Assistance Agreement, the responsibility for the safety and security of the implementing partner and its personnel and property, and of UNDP's property in the implementing partner's custody, rests with the implementing partner.

The implementing partner shall:

- a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
- b) assume all risks and liabilities related to the implementing partner's security, and the full implementation of the security plan.

UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

The implementing partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

### Special considerations

1. For UNDP to record accounting income of the cost-sharing contributions in the month in which they were deposited in the UNDP account, the contributing institution must send immediately to the UNDP office, formal communication stating that the deposit has been made, accompanying communication, bank deposit slip.
2. UNDP shall receive and administer the payment in accordance with the regulations, rules and directives of UNDP.
3. All financial accounts and statements shall be expressed in United States dollars.
6. Any interest income attributable to the contribution shall be credited to UNDP Account and shall be utilized in accordance with established UNDP procedures.
7. In accordance with the decisions and directives of UNDP's Executive Board, the contribution shall be charged with the cost recovery percentages for the provision of general management support (GMS) as stated in the UNDP Cost Recovery Policy in place since August 2007.
8. Ownership of equipment, supplies and other properties financed from the contribution shall vest in UNDP. Matters relating to the transfer of ownership by UNDP shall be determined in accordance with the relevant policies and procedures of UNDP.
9. The contribution shall be subject exclusively to the internal and external auditing procedures provided for in the financial regulations, rules and directives of UNDP.

**Rate of exchange**

The value of the total contribution, if made in a currency other than United States dollars, shall be determined by applying the United Nations operational rate of exchange in effect on the date of payment. Should there be a change in the United Nations operational rate of exchange prior to the full utilization by the UNDP of the payment, the value of the balance of funds still held at that time will be adjusted accordingly. If, in such a case, a loss in the value of the balance of funds is recorded, UNDP shall inform the Donor with a view to determining whether any further financing could be provided by the Donor. Should such further financing not be available, the assistance to be provided to the project may be reduced, suspended or terminated by UNDP.

**Equipment transfer**

The transfer to the beneficiaries of the equipment procured through this project is subject to formal commitment by the implementing agency that they will be for the service of the project and its purpose, until completion of project activities. The project director will be responsible for the location and use of these assets acquired through the project.

The equipment purchased as part of the implementation of this project will be delivered to the beneficiaries according to the selection criteria established for the project and meeting the provisions agreed by UNDP and the executing agency, considering in this process mechanisms to expedite the delivery and include the ongoing monitoring of the equipment use in accordance with project objectives.

**Publications**

The inclusion of promoting political, partisan, religious or commercial, or symbols, logos, brand logo in documents, publications and activities in the implementation of this project will not be permitted.

In order to guarantee the appropriate recognition to the Global Environment Fund (GEF) and UNDP for providing the resources, the logos of the Fund and UNDP will appear on all relevant project publications, among other items. Any citation on publications regarding projects funded by UNDP and the Fund must also comply with the appropriate recognition of both UNDP and the Fund.



**Annexes:**

**Risk Analysis.** Use the standard UNDP Atlas *Risk Log template*. For UNDP GEF projects in particular, please outline the risk management measures including improving resilience to climate change that the project proposes to undertake.

Description	Date identified	Type	Impact & Probability	Mgmt response
Weak political support to guarantee the information flow and required resources to achieve the objectives of the project	June 2014	Political	Impact:3 Probability: 2	Contacts and agreements will be ensured on a high level
There is not high quality information available for carrying out the inventory and preparing the other parts of the BUR document	June 2014	Other	Impact:4 Probability: 2	A technical roundtable is to be established in order to guarantee cooperation in terms of information exchange
Lack of political commitment by the institutions needed as information sources for the inventory calculations	June 2014	Political	Impact: 4 Probability: 2	Contacts and agreements will be ensured on a high level and the technical roundtable to be established facilitate dialogue and coordination with the different institutions.

**Agreements.** Any additional agreements, such as cost sharing agreements, project cooperation agreements signed with NGOs<sup>5</sup> (where the NGO is designated as the "executing entity", letters of financial commitments, GEF OFP letter, GEF PIFs and other templates for all project types) should be attached.

**Terms of Reference:** TOR for project assistant attached.

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<sup>5</sup> For GEF projects, the agreement with any NGO pre-selected to be the main contractor should include the rationale for having pre-selected that NGO.

## I. Información del Cargo

Título del cargo: **Asistente técnico de la unidad coordinadora del BUR**  
Tipo de contrato: SB-2  
Supervisor: Coordinador técnico BUR y TCN  
Lugar de trabajo: Bogotá – Colombia  
Duración: 10 meses

## II. Contexto

Colombia ratificó la Convención Marco de las Naciones Unidas sobre Cambio Climático- CMNUCC- (1992), mediante la expedición de la Ley 164 de 1995. La CMNUCC busca la estabilización de las concentraciones de gases de efecto invernadero en la atmósfera a un nivel que impida interferencias antrópicas peligrosas en el sistema climático. El párrafo 1 del artículo 4 de la CMNUCC describe los compromisos de todas las partes frente a la Convención, teniendo en cuenta sus responsabilidades comunes pero diferenciadas y sus prioridades de desarrollo nacional y regional específicas. Uno de esos compromisos es desarrollar, actualizar periódicamente, publicar y presentar a la Conferencia de las Partes de acuerdo con el artículo 12, inventarios de emisiones antropógenas por fuentes y sumideros de GEI no controlados por el Protocolo de Montreal, las medidas de mitigación y adaptación al cambio climático asumidas por el país y otra información relevante para el cumplimiento de la Convención.

En el Decreto 291 de 2004, se establece que la Subdirección de Estudios Ambientales del IDEAM, tiene entre otras funciones la de coordinar la elaboración de las Comunicaciones Nacionales sobre Cambio Climático (Artículo 15). Bajo el liderazgo de IDEAM y el apoyo del PNUD el país ha presentado ante la CMNUCC dos Comunicaciones Nacionales. La propuesta del Proyecto de la Tercera Comunicación Nacional (TCN), se ciñe a los lineamientos de la CMNUCC para Comunicaciones Nacionales y para su financiación se apoya en la Estrategia de Área Focal y Programación Estratégica para GEF 5, Objetivo 6 "continuar apoyando las actividades habilitantes y construcción de capacidades". Las actividades habilitantes son financiadas por el GEF, ya que las Comunicaciones Nacionales representan una obligación de las Partes no incluidas en el Anexo I bajo la CMNUCC.

Adicionalmente, la decisión 1/CP.16, de la Conferencia de las Partes de la CMNUCC estableció en su párrafo 60 que los países en desarrollo deberán, de acuerdo con sus capacidades y el nivel de apoyo suministrado, remitir Reportes Bienales de Actualización (en adelante BUR, por sus siglas en inglés) que contengan información sobre inventarios nacionales de gases de efecto invernadero, incluyendo un reporte nacional del inventario, e información sobre las acciones de mitigación, necesidades y apoyo recibido. De acuerdo con la decisión 2/CP.17, el primer BUR deberá ser remitido por los países en desarrollo en diciembre de 2014 y preparado de conformidad con los lineamientos establecidos en el Anexo IV de la precitada decisión.

El primer BUR de Colombia será financiado como una actividad habilitante dentro del marco de apoyo a proyectos del GEF y será elaborado de conformidad con lo establecido en el Anexo III de la decisión 2/CP.17 de la CMNUCC. El proyecto incluirá cinco (5) componentes técnicos, a saber: i) información sobre circunstancias nacionales y arreglos institucionales relevantes para la preparación del BUR; ii) inventario nacional de emisiones antropógenas, sumideros y remociones de todos los gases de efecto invernadero no controlados por el Protocolo de Montreal; iii)

información sobre acciones de mitigación, sus efectos y monitoreo, reporte y verificación domésticos; iv) limitaciones, vacíos y necesidades financieras, técnicas y de capacidad; incluyendo una descripción del apoyo requerido y recibido; y v) otra información relevante para el logro del objetivo de la Convención. El IDEAM, como entidad encargada de elaborar los reportes de Colombia ante la CMNUCC, desarrollara el proyecto de primer BUR de Colombia.

### **III. Objeto**

Apoyar las funciones técnicas y administrativas de la Unidad Coordinadora del proyecto Primer Informe de Actualización Bienal (BUR).

### **IV. Funciones / Principales resultados previstos**

#### **FUNCIONES:**

1. Apoyar la elaboración de los términos de referencia para las diferentes contrataciones que se realicen en el marco del proyecto.
2. Apoyar el seguimiento al cronograma y entrega de productos de las consultorías desarrolladas en el marco del proyecto.
3. Realizar seguimiento a las actividades de gestión de información técnica que realicen los consultores. Esto incluye llevar cronograma de los correos y cartas enviadas y de las respuestas recibidas y demás gestión documental.
4. Apoyar la generación del material técnico que se requiera para las mesas técnicas de trabajo, talleres de expertos y eventos de socialización, que se realicen en el marco del proyecto.
5. Mantener organizado y actualizado el archivo digital del material técnico del proyecto en sus diferentes componentes.
6. Apoyar el sistema de Gestión de Inventarios (plantillas EPA).
7. Apoyar la revisión de documentos técnicos que se generen en el marco del proyecto.
8. Participar en las reuniones de coordinación de los proyecto y efectuar las ayudas de memoria de las reuniones que tengan un objetivo técnico.
9. Todas las demás actividades de apoyo técnico que requiera la unidad coordinadora para la ejecución del proyecto.

### **V. Competencias y Habilidades**

- Excelentes relaciones interpersonales y de trabajo en grupo.
- Trabajar en equipo de manera proactiva y propositiva
- Excelente capacidad de redacción e interlocución.
- Destrezas para la gestión de información
- Credibilidad técnica
- Habilidad para elaborar informes y documentos técnicos
- Excelente capacidad de síntesis
- Utiliza las tecnologías de información efectivamente como herramienta y recurso, en particular Excel, Word y PowerPoint

## **VII. Formación Profesional y Experiencia**

Educación:	Tecnología o carrera técnica en áreas afines (deseable profesional).
Experiencia:	Mínimo dos (2) años de experiencia específica en temas de cambio climático.
Conocimientos adicionales:	Excelente manejo de ofimática, especialmente los programas de Word, Excel y Power Point.
Idiomas:	Fluidez en Español y deseable Inglés

## **VIII. Duración del Contrato**

Doce (12) meses

## **IX. Salario y forma de Pago**

NOTA: Durante todo el proceso de selección del equipo de programa se tendrá en cuenta la participación equitativa de hombres y mujeres y la diversidad cultural.



## Annual Work Plan

Colombia - Bogota

Project: 00080750  
 Project Title: BUR INFORME BIENAL  
 Year: 2014

Report Date: 17/7/2014

Output	Key Activities	Timeframe		Responsible Party	Planned Budget					
		Start	End		Fund	Donor	Budget Descr	Amount US\$		
00090330 BUR INFORME BIENAL ACTUALIZADO	1.GHG EMISSION			"COL-INSTITUTO DE HIDROLOG	62000	GEFTrustee	71400	Contractual Services - Individ	28,000.00	
				"COL-INSTITUTO DE HIDROLOG	62000	GEFTrustee	72100	Contractual Services-Companies	50,000.00	
				"COL-INSTITUTO DE HIDROLOG	62000	GEFTrustee	71200	International Consultants	33,000.00	
				"COL-INSTITUTO DE HIDROLOG	62000	GEFTrustee	71300	Local Consultants	38,000.00	
				"COL-INSTITUTO DE HIDROLOG	62000	GEFTrustee	74200	Audio Visual&Print Prod Costs	16,000.00	
		2.ANALISIS ACCION D MIT			"COL-INSTITUTO DE HIDROLOG	62000	GEFTrustee	71600	Travel	7,000.00
				"COL-INSTITUTO DE HIDROLOG	62000	GEFTrustee	72100	Contractual Services-Companies	7,000.00	
		3.CIRCUNSTNACIAS NACH			"COL-INSTITUTO DE HIDROLOG	62000	GEFTrustee	71300	Local Consultants	50,000.00
				"COL-INSTITUTO DE HIDROLOG	62000	GEFTrustee	71300	Local Consultants	24,000.00	
				"COL-INSTITUTO DE HIDROLOG	62000	GEFTrustee	72100	Contractual Services-Companies	73,500.00	
		4.MONITOREO Y EVALUAC			"COL-INSTITUTO DE HIDROLOG	62000	GEFTrustee	74100	Professional Services	3,000.00
		5.GESTION DE PROYECTO			"COL-INSTITUTO DE HIDROLOG	62000	GEFTrustee	71400	Contractual Services - Individ	22,000.00
					"COL-INSTITUTO DE HIDROLOG	62000	GEFTrustee	72500	Supplies	500.00
	<b>TOTAL</b>									<b>352,000.00</b>
	<b>GRAND TOTAL</b>									<b>352,000.00</b>



COMITÉ DE EVALUACIÓN DE PROYECTOS  
PAC

**Fecha de la Reunión: 14 de julio de 2014**

**Project ID :** 00080750

**Output ID:** 00090330

**Título:** Colombia's First Biennial Update Report

**Nombre de la Agencia de Ejecución:** IDEAM

**Duración del Proyecto:** 10 meses

**Modalidad de Ejecución:** NIM

**Indicador(es)/Resultado(s) UNDAF:** Capacidades nacionales, regionales y locales fortalecidas para la gestión integral del territorio que garantice el desarrollo sostenible

**Resultado(s)/Indicador(es) Esperado(s) - (Resultado CPAP):** *Fortalecimiento de capacidades, por parte de las instituciones públicas y de la sociedad civil, para enfrentar y reducir el impacto negativo del cambio climático, la reducción de la capa de ozono, el manejo de los residuos sólidos, el manejo integral de los recursos hídricos y de los contaminantes orgánicos persistentes, en concordancia con los acuerdos internacionales.*

**Producto(s) Esperados/Metas Anuales (Productos CPAP vinculados con el resultado CPAP mencionado arriba):** *Instituciones públicas y de la sociedad civil consolidan capacidades para enfrentar y reducir el impacto negativo del cambio climático, la reducción de la capa de ozono, el manejo de los residuos sólidos, el manejo integral del recurso agua, y de los contaminantes orgánicos persistentes, en concordancia con los acuerdos internacionales/Al menos 4 iniciativas nuevas en 2012*

**Presupuesto del Proyecto:**

Presupuesto total: \$367,881

- GEF: \$352,000
- IDEAM (especie): \$15,881

**Funcionario que solicita el análisis del PAC:** Jimena Puyana



**Antecedentes:**

Colombia ratificó la Convención Marco de las Naciones Unidas sobre Cambio Climático (CMNUCC) del 1992, mediante la expedición de la Ley 164 de 1995. La CMNUCC busca la estabilización de las concentraciones de gases de efecto invernadero en la atmósfera a un nivel que impida interferencias antrópicas peligrosas en el sistema climático.

Uno de los compromisos de los países en el marco de la CMNUCC es desarrollar, actualizar periódicamente, publicar y presentar a la Conferencia de las Partes de acuerdo con el artículo 12, inventarios de emisiones antropógenas por fuentes y sumideros de gases de efecto invernadero (GEI), las medidas de mitigación y adaptación al cambio climático asumidas por el país y otra información relevante para el cumplimiento de la Convención.

La Conferencia de las Partes de la CMNUCC estableció que los países en desarrollo deberán, de acuerdo con sus capacidades y el nivel de apoyo suministrado, remitir Reportes Bienales de Actualización (en adelante BUR, por sus siglas en inglés) que contengan información sobre inventarios nacionales de gases de efecto invernadero (GEI), incluyendo un reporte nacional del inventario, e información sobre las acciones de mitigación, necesidades y apoyo recibido. De acuerdo con la decisión 2/CP.17, el primer BUR deberá ser remitido por los países en desarrollo en diciembre de 2014 y preparado de conformidad con los lineamientos establecidos en el Anexo IV de la precitada decisión.

El objetivo de este proyecto es asistir a Colombia en la preparación de su primer BUR para cumplir con sus obligaciones bajo el CMNUCC. El proyecto es financiado como una actividad habilitante dentro del marco de apoyo a proyectos del GEF y será elaborado de conformidad con lo establecido en el Anexo III de la decisión 2/CP.17 de la CMNUCC.

El IDEAM, como entidad encargada de elaborar los reportes de Colombia ante la CMNUCC, será el socio en implementación de este proyecto.

El proyecto está en línea con el objetivo estratégico de mitigación de cambio climático del GEF-5 de "Actividades habilitantes: Apoyar actividades habilitantes y construcción de capacidades bajo la Convención Marco de las Naciones Unidas sobre Cambio Climático, y también con el CPAP y el UNDAF.



**Componentes del proyecto:**

El proyecto incluye cuatro (4) componentes técnicos, a saber:

- i) Inventario nacional de emisiones antropógenas, sumideros y remociones de todos los gases de efecto invernadero no controlados por el Protocolo de Montreal;
- ii) Análisis sobre acciones de mitigación, sus efectos y monitoreo, reporte y verificación domésticos;
- iii) Información sobre circunstancias nacionales y arreglos institucionales relevantes para la preparación del BUR; limitaciones, vacíos y necesidades financieras, técnicas y de capacidad incluyendo una descripción del apoyo requerido y recibido y otra información relevante para el logro del objetivo de la Convención.
- iv) Monitoreo, aprendizaje, retroalimentación adaptativa y evaluación.

**Enfoques Transversales del PNUD:**

Este proyecto apunta al enfoque transversal del PNUD de desarrollo de capacidades nacionales. Fortalecerá las capacidades del gobierno en la toma de decisiones de desarrollo relacionados con emisiones de gases de efecto invernadero. También fortalecerá las capacidades del gobierno en posicionarse en nivel internacional en las negociaciones de cambio climático ante el Convención Marco de las Naciones Unidas sobre Cambio Climático (CMNUCC). Por otro lado, este proyecto fortalecerá también las entidades nacionales y los sectores del país en producir información relevante sobre sus emisiones de gases de efecto invernadero.

El cambio climático y sus impactos negativos afectan toda la población colombiana, e inventarios como esta son importantes para conocer las fuentes más importantes de emisiones. Información de este tipo es relevante para la mitigación de las causas de cambio climático en el país y en nivel mundial. Por esta razón este proyecto tiene un impacto en el desarrollo humano de más largo plazo.

### Principales productos:

El producto principal de este proyecto es el inventario BUR desarrollado, publicado y presentado a la CMNUCC. El documento de BUR contemplará los siguientes componentes:

- Inventario nacional de emisiones antropógenas, sumideros y remociones de todos los gases de efecto invernadero no controlados por el Protocolo de Montreal;
- Análisis sobre acciones de mitigación, sus efectos y monitoreo, reporte y verificación domésticos;
- Información sobre circunstancias nacionales y arreglos institucionales relevantes para la preparación del BUR;
- Limitaciones, vacíos y necesidades financieras, técnicas y de capacidad incluyendo una descripción del apoyo requerido y recibido
- Otra información relevante para el logro del objetivo de la Convención.

**Objetivo de la Presentación:** Poner a consideración del Comité la aprobación este proyecto.

### Análisis de Riesgos:

Se han identificado tres riesgos principales para este proyecto:

1. *No se cuenta con información de calidad para la elaboración de inventario de GEI.* Acciones de mitigación: Se diseña una mesa técnica de trabajo que garantice colaboración y flujo de información. Se propone una entidad líder de la mesa que facilite el diálogo y la coordinación.
2. *Falta de compromiso político por parte de las entidades generadoras de información en el suministro oportuno de los datos requeridos para los cálculos.* Acciones de mitigación: Se diseña una mesa técnica de trabajo que garantice colaboración y flujo de información. Se propone una entidad líder de la mesa que facilite el diálogo y la coordinación. Se trabajará en nivel interinstitucional para crear una conciencia de que el BUR es una responsabilidad nacional encabezado por el IDEAM y que la colaboración es clave para el cumplimiento con este requisito de la CMNUCC.
3. *Disminuye el interés de las entidades nacionales para desarrollar investigación sobre factores de emisión propios.* Acciones de mitigación: Se genera la línea base como aporte a la investigación en factores de emisión propios.

Para hacer seguimiento a los avances del proyecto, se establecerá un comité técnico de seguimiento y un comité directivo con integrantes del IDEAM, el Ministerio de Ambiente y Desarrollo Sostenible, el PNUD, DNP y el Ministerio de Relaciones Exteriores. Estos comités harán seguimiento a los riesgos identificados para la implementación del proyecto y tomará decisiones para mitigar estos riesgos, y otros que se identifican durante la implementación.

**Comentarios y Recomendaciones del PAC:**

- Favor complementar la descripción del proyecto en ATLAS (Norma IATI), ya que no puede ser igual al título. OK
- Los recursos GEF son considerados otros recursos y no regulares. Los regulares son solo PNUD. Favor ajustar. OK
- Favor incluir en análisis de riesgo las medidas que se tiene pensadas para mejorar la resiliencia al cambio climático, ya que están manejando recursos GEF. Esta recomendación no es relevante para este proyecto ya que se trata de un proyecto de mitigación de cambio climático (no adaptación o resiliencia) y además un informe BUR está muy claramente enfocado solamente a un inventario de GEI y medidas de mitigación, y el tema de resiliencia al cambio climático no se puede considerar como un riesgo para este proyecto.
- Favor incluir la cláusula de auditorías establecida para los PRODOC. The contribution shall be subject exclusively to the internal and external auditing procedures provided for in the financial regulations, rules, policies and procedures of UNDP. Ok incluida en PRODOC
- Ajustar en acta PAC la agencia implementadora es IDEAM. OK
- Recomendación. El PAC considera que para futuras oportunidades y teniendo en cuenta que ya hay una iniciativa temática, se debería adicionar como producto adicional a la vigente, en lugar de crear nuevos proyectos.

**Miembros del PAC:**

Blanca Cardona, Fernando Herrera, Jimena Puyana, David Quijano. Invitados: Andres Franco, Diana Gutierrez, Maria Lizarazo, Johanna Zilliacus, Camilo Avendaño.

Blanca Cardona  
Presidente del PAC a.i.

Fecha: 17 JUL. 2014



**GLOBAL ENVIRONMENT FACILITY**  
INVESTING IN OUR PLANET

**Naoko Ishii**  
CEO and Chairperson

May 02, 2014

Ms. Adriana Dinu  
GEF Executive Coordinator  
United Nations Development Programme  
One United Nations Plaza  
304 East 45th St.  
FF Bldg., 10th floor  
New York, NY 10017

Dear Ms. Dinu:

I am pleased to inform you that I have approved the enabling activity detailed below:

Decision Sought:	Enabling Activity (EA) Approval
GEFSEC ID:	5791
Agency(ies):	UNDP
Agency ID:	5291 (UNDP)
Focal Area:	Climate Change
Project Type:	Enabling Activity
Country(ies):	Colombia
Name of Project:	Colombia's First Biennial Update Report
GEF Project Grant:	\$352,000
Agency Fee:	\$33,440
Funding Source:	GEF Trust Fund

This approval is subject to the comments made by the GEF Secretariat in the attached document. It is also based on the understanding that the project is in conformity with GEF focal areas strategies and in line with GEF policies and procedures.

Sincerely,

Naoko Ishii  
Chief Executive Officer and Chairperson

Attachment: GEFSEC Review Sheet  
Copy to: Country Operational Focal Point, GEF Agencies, STAP, Trustee



Empowered lives.  
Resilient nations.

4 August 2014

Dear Mr. Hochschild,

**Subject: Enabling Activities, Colombia: Colombia's First Biennial Update Report – PIMS No. 5291 - ATLAS  
BU: COL10 - Proposal No.: 00080750 - Project No.: 00090330**

I am pleased to delegate to you as the UNDP Resident Representative the authority to sign the project document on behalf of UNDP for the above-mentioned Enabling Activities project. The project, which amounts to a total of US\$ 352,000, has received its final approval in accordance with the established Global Environment Facility (GEF) procedures (CEO approval/endorsement attached as relevant at Annex 1).

I am also pleased to provide a summary of the next steps in the process and to outline, for your easy reference, the mandatory GEF-specific project financial and results management requirements. Please note that Annex 2 clarifies these in further detail. In addition, a number of Advisory Notes have been prepared to support the implementation of UNDP supported GEF funded projects, and these and further clarification on the GEF project cycle and other requirements can be found in the UNDP GEF Programming Manual at <http://intra.undp.org/gef>.

***Next steps and mandatory GEF-specific requirements:***

1. ***Project document signature:*** As the Resident Representative with the delegated authority for this project, we kindly request that you sign the above-mentioned Enabling Activities project document on behalf of UNDP. We would also appreciate your obtaining the signature of the representative of the Implementing Partner on the cover page (as well as signature by the representative of the Government of Colombia, if necessary).
2. ***Issuance of Authorized Spending Limit (ASL):*** To facilitate a quick start to the project, once the project document is signed, please kindly ensure that the Atlas-generated *Annual Work Plan (AWP)* based on the *Total Budget and Annual Work Plan* in the attached project document, along with a copy of the signed cover page, is sent to Ms. Maude Veyret-Picot, Regional Technical Advisor (RTA) in New York.

Any proposed budget revisions should be discussed with forwarded early to the UNDP RTA together with a clear explanation of the changes proposed as any significant changes require review and approval by the GEF Secretariat. In addition, please note that the UNDP-GEF Unit is not in a position to increase the project budget above the amount already approved by the GEF Council. Therefore, any over-expenditure on this project would have to be absorbed by other Country Office resources.

Mr. Fabrizio Hochschild  
UNDP Resident Representative  
UNDP Bogota  
Colombia

## United Nations Development Programme

3. *Fee:* As an Implementing Agency of the GEF, UNDP earns a fee upon approval of each project which is to be used to cover specific project assurance and oversight costs incurred by UNDP. For the Country Office, these services are related to the provision of project cycle management services, as detailed in Annex 2.

The total fee over the lifetime of the above mentioned project for these Country Office support services will be USD 12,320. This fee will be paid directly by the UNDP-GEF Unit to the XB account of the Country Office. Annex 3 summarizes the Country Office fee allocation and payment schedule. The first installment will be paid upon receipt of the signed main project document cover page by the UNDP Region-based Technical Advisor (RTA). The second and all subsequent annual fee installments will be paid based on cumulative delivery, audit compliance, and compliance with the GEF project management requirements outlined below. The amount to be received by your office includes the cost of services generated by the UNDP Initiation Plan using GEF project preparation grant resources.

As noted above, the GEF fee is provided to cover the project cycle management service indirect costs as detailed in Annex 2. At the Country Office level, project cycle management services performed by UNDP Country Offices are broadly analogous to General Management Support (GMS) and cover support to project development and implementation stages. The UNDP-GEF Unit will support the Country Office by providing a suite of specialized technical services as required by the GEF and detailed in Annex 2.

If the Implementing Partner requests UNDP to provide direct services specific to project inputs (i.e. Implementation Support Services (ISS) or Direct Project Services (DPS)), then UNDP's costs must be recovered in full accordance with GEF-specific Bureau of Management and UNDP-GEF guidance on Direct Project Costs (DPCs). This guidance is provided at Annex 4 for your reference, and it was drafted to recognize the specific GEF Council requirements for GEF agencies if and when providing direct project services. In summary, to comply with the guidance UNDP will need to ensure for each project that: (a) a Letter of Agreement (LOA) between UNDP and the Implementing Partner has been entered into clearly documenting the services requested and the associated costs; and (b) the DPCs are within the Project Management Cost (PMC) component of the project budget. If DPS are requested after the date of GEF CEO endorsement, prior approval of any DPCs will be needed from the GEF Secretariat. An appropriate separation between project oversight and direct project support is required in accordance with the UNDP Internal Control Framework.

All GEF-funded projects must be audited in accordance with UNDP Financial Regulations and Rules and Audit policies, and an appropriate separation between project oversight and direct project support is required in accordance with the UNDP Internal Control Framework.

4. *GEF-specific project management requirements:*

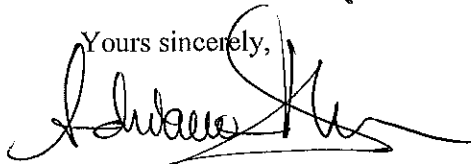
- Where possible, the inception workshop should be held within 3 months of project signature. To avoid any confusion during project implementation, we also recommend that the support activities to be undertaken by the Country Office, as listed in Annex 2, be confirmed at the inception workshop.
- The GEF Secretariat must be informed of any changes to the results framework of the project document. As such, should you wish to make any such changes to the project document and/or budget, please discuss this with the UNDP RTA, as minor changes may need to be reported to the GEF Secretariat and major changes will need prior approval. Project extension requests will need prior approval of the UNDP-GEF Principal Technical Advisor.
- As specified in the project document, a detailed annual project operational plan should be prepared by the Project Manager. It is strongly recommended that this plan for the first year of project implementation be reviewed at the inception workshop and subsequent years by the Project Board.
- All full-size and medium-sized projects are required to submit an annual **PIR** (Project Implementation Report). Template and detailed instructions will be provided on an annual basis by the RTA.

## United Nations Development Programme

- As outlined in the 2010 GEF Monitoring & Evaluation policy, full-size projects are required to undertake a **mid-term review and a terminal evaluation** with a corresponding management response. Medium-sized projects are required to undertake a terminal evaluation with a corresponding management response and a mid-term review is also recommended. Both mid-term reviews and terminal evaluations must be translated into English or they will not be accepted by the GEF. Terminal evaluations should also be included in the UNDP Country Office Evaluation Plan and should be posted to the UNDP Evaluation Resource Center when completed. The specific requirements are available at <http://erc.undp.org> and from the RTA.
- All full-size projects must also complete the **GEF Focal Area Tracking Tool** twice during project implementation: before the mid-term review mission takes place and again before the terminal evaluation mission takes place. Medium sized projects must complete the GEF Focal Area Tracking Tool once during project implementation before the terminal evaluation mission takes place. The GEF Focal Area Tracking Tools must be completed by the project team and provided to the review/evaluation team before their review/evaluation mission. The GEF Focal Area Tracking Tools are available at [www.thegef.org/tracking-tools](http://www.thegef.org/tracking-tools) and from the RTA.
- The UNDP Country Office must also retain all project M&E documents for this project for up to **five years** after financial closure. These records must be shared with the evaluation teams of either UNDP or the GEF should an ex-post evaluation or impact evaluation take place after the project closure. The UNDP Country Office is also required to facilitate access to project sites during UNDP and GEF evaluations.
- Annex 2 includes a number of key UNDP-GEF management performance indicators that aim to improve the efficiency and effectiveness in the oversight and supervision services provided. Performance against these indicators will be monitored on an annual basis.
- In order to accord proper acknowledgement to the GEF for providing funding, full compliance is needed with the GEF's Communication and Visibility Guidelines (the "GEF Guidelines"). The GEF Guidelines can be accessed at: [http://www.thegef.org/gef/GEF\\_logo](http://www.thegef.org/gef/GEF_logo). Full compliance is also required with UNDP's branding guidelines.

In concluding, I would like to assure you of the UNDP-GEF Unit's and my personal commitment to the successful implementation of the project. The RTA is at your disposal for advice and technical support. Should you have any concerns or questions, please do not hesitate to contact me.

Yours sincerely,



Adriana Dinu  
UNDP-GEF Executive Coordinator  
And Director a.i.

cc: Ms. Jessica Faieta, Assistant Administrator and Bureau Director RBLAC  
Ms. Maude Veyret-Picot, UNDP-GEF Regional Technical Advisor, New York, USA

Annex 1: CEO endorsement/approval



GLOBAL ENVIRONMENT FACILITY  
INVESTING IN OUR PLANET

**Nauko Ishii**  
**CEO and Chairperson**

May 02, 2014


Ms. Adriana Dicu  
GEF Executive Coordinator  
United Nations Development Programme  
One United Nations Plaza  
394 East 45th St.  
FF Bldg., 10th floor  
New York, NY 10017

Dear Ms. Dicu:

I am pleased to inform you that I have approved the enabling activity detailed below:

Decision Sought:	Enabling Activity (EA) Approval
GEFSEC ID:	5791
Agency(ies):	UNDP
Agency ID:	5291 (UNDP)
Focal Area:	Climate Change
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Funding Source:	GEF Trust Fund

This approval is subject to the comments made by the GEF Secretariat in the attached document. It is also based on the understanding that the project is in conformity with GEF focal areas strategies and in line with GEF policies and procedures.

Sincerely,  
  
Nauko Ishii  
Chief Executive Officer and Chairperson

Attachment: GEFSEC Review Sheet  
Copy to: Country Operational Focal Point, GEF Agencies, STAP, Trustee

1016 H Street, NW • Washington, DC 20433 • USA  
Tel: +1 (202) 473 1262 • Fax: +1 (202) 572 3240  
E-mail: [gefsand@gef.org](mailto:gefsand@gef.org)  
[www.thegef.org](http://www.thegef.org)



**Annex 2: UNDP Project Cycle Management Services**

Stage	Country Office <sup>1</sup>	UNDP/GEF at regional and global level
<b>Identification, Sourcing/Screening of Ideas, and Due Diligence</b>	Identify project ideas as part of country programme/CPAP and UNDAF/CCA.	RTA role: <ul style="list-style-type: none"> <li>• Technical input to CCA/UNDAFs and CPAPs where appropriate.</li> <li>• Input on policy alignment between projects and programmes.</li> <li>• Provide information on substantive issues and specialized funding opportunities (SOFs).</li> <li>• Policy advisory services including identifying, accessing, combining and sequencing financing.</li> <li>• Verify potential eligibility of identified idea.</li> </ul>
	Assist proponent to formulate project idea / prepare project idea paper (e.g. GEF PIF/PPG), and ensuring it is aligned with country outcomes and UNDP Strategic Plan key results, and included in Country Office Integrated Work Plan in the ERBM Platform.	RTA role: <ul style="list-style-type: none"> <li>• Research and development.</li> <li>• Provide up-front guidance.</li> <li>• Sourcing of technical expertise.</li> <li>• Verification of technical reports and project conceptualization.</li> <li>• Guidance on SOF expectations and requirements.</li> <li>• Undertake pre-screening of potential environmental and social opportunities and risks.</li> <li>• Training and capacity building for the Environmental Officers at the Country Offices, as part of annual Regional Community of Practice meeting or during the RTA's mission(s) in the country.</li> </ul>
	<i>Appraisal:</i> <ul style="list-style-type: none"> <li>• Review and appraise project idea.</li> <li>• Undertake capacity assessments of implementing partner as per UNDP POPP.</li> <li>• Monitor project cycle milestones.</li> </ul>	RTA and PTA role <ul style="list-style-type: none"> <li>• Provide detailed screening against technical, financial, and risk criteria.</li> <li>• Determine likely eligibility against identified SOF.</li> </ul>
	<i>Partners:</i> <ul style="list-style-type: none"> <li>• Assist proponent to identify and negotiate with relevant partners, cofinanciers, etc</li> </ul>	RTA role: <ul style="list-style-type: none"> <li>• Assist in identifying technical partners.</li> <li>• Validate partner technical abilities.</li> </ul>
	<i>Obtain clearances:</i> <ul style="list-style-type: none"> <li>• Government, UNDP, Implementing Partner, LPAC, cofinanciers, etc.</li> </ul>	RTA and PTA role: <ul style="list-style-type: none"> <li>• Obtain SOF clearances.</li> </ul>
<b>Project Development</b>	<i>Initiation Plan:</i> <ul style="list-style-type: none"> <li>• Coordination, management and financial oversight of UNDP Initiation Plan</li> <li>• Discuss management arrangements</li> </ul>	RTA and PA role: <ul style="list-style-type: none"> <li>• Assist in preparation of UNDP Initiation Plan</li> <li>• Technical support, backstopping and troubleshooting.</li> <li>• Support discussions on management arrangements</li> <li>• Facilitate issuance of DOA</li> </ul>

<sup>1</sup> As per UNDP POPP with additional SOF requirements where relevant.

United Nations Development Programme

Stage	Country Office <sup>1</sup>	UNDP/GEF at regional and global level
	<p><i>Project Document:</i></p> <ul style="list-style-type: none"> <li>• Support project development, assist proponent to identify and negotiate with relevant partners, cofinanciers, etc.</li> <li>• Undertake environmental and social screening of project before PAC. Ensure Environmental and Social Screening Procedure (ESSP) documentation is signed by the Resident Representative or Chair of PAC meeting and attached as Annex to the Project Document.</li> <li>• Review, appraise, finalize Project Document.</li> <li>• Negotiate and obtain clearances and signatures – Government, UNDP, Implementing Partner, cofinanciers, etc. Coordinate LPAC and document meeting decisions.</li> <li>• Respond to information requests, arrange revisions etc.</li> <li>• Prepare operational and financial reports on development stage as needed.</li> </ul>	<p>RTA role: Sourcing of technical expertise.</p> <ul style="list-style-type: none"> <li>• Verification of technical reports and project conceptualization.</li> <li>• Guidance on SOF expectations and requirements.</li> <li>• Negotiate and obtain clearances by SOF</li> <li>• Respond to information requests, arrange revisions etc.</li> <li>• Quality assurance and due diligence.</li> </ul>
<p><i>Key UNDP/GEF management performance indicators/targets for Project Development:</i></p> <ol style="list-style-type: none"> <li>1. Time between PIF approval to CEO endorsement for each project: <ul style="list-style-type: none"> <li>• Target for GEF trust fund project: FSP = 18 months or less, MSP 12 months or less.</li> <li>• Target for LDCF and SCCF FSP/MSP = 12 months or less.</li> </ul> </li> <li>2. Time between CEO endorsement to project document signature: <ul style="list-style-type: none"> <li>• Target = 4 months or less</li> </ul> </li> </ol>		
<p><b>Project Oversight</b></p>	<p><i>Management Oversight and support</i></p> <p><i>Project Launch/Inception Workshop</i></p> <ul style="list-style-type: none"> <li>• Preparation and coordination.</li> <li>• Participate in Inception Workshop</li> </ul> <p><i>Management arrangements:</i></p> <ul style="list-style-type: none"> <li>• Facilitate consolidation of the Project Management Unit, where relevant.</li> <li>• Facilitate and support Project Board meetings as outlined in project document and agreed with UNDP RTA.</li> <li>• Provide project assurance role if specified in project document.</li> <li>• Ensure completion of timesheets as required.</li> </ul> <p><i>Annual Work Plan:</i></p> <ul style="list-style-type: none"> <li>• Issuance of AWP.</li> <li>• Monitor implementation of the annual work plan and timetable.</li> </ul>	<p><i>Technical and SOF Oversight and support</i></p> <p>RTA role:</p> <ul style="list-style-type: none"> <li>• Technical support in preparing TOR and verifying expertise for technical positions.</li> <li>• Participate in recruitment process for Chief Technical Advisor and/or Project Manager, if RTA elects to do so.</li> <li>• Verification of technical validity / match with SOF expectations of inception report.</li> <li>• Participate in Inception Workshop</li> </ul> <p>RTA role:</p> <ul style="list-style-type: none"> <li>• Technical input and support to TOR development. Troubleshooting support.</li> <li>• Support in sourcing of potentially suitable candidates and subsequent review of CVs/recruitment process.</li> </ul> <p>RTA and PA role:</p> <ul style="list-style-type: none"> <li>• Advisory services as required</li> <li>• Review AWP, and clear for ASL where relevant.</li> </ul>

United Nations Development Programme

Stage	Country Office <sup>1</sup>	UNDP/GEF at regional and global level
	<p><i>Financial management:</i></p> <ul style="list-style-type: none"> <li>• Conduct budget revisions, verify expenditures, advance funds, issue combined delivery reports, and ensure no over-expenditure of budget.</li> <li>• Ensure necessary audits.</li> </ul>	<p>RTA, PA and Finance Unit roles:</p> <ul style="list-style-type: none"> <li>• Allocation of ASLs, based on cleared AWP</li> <li>• Return of unspent funds to donor</li> <li>• Monitor projects to ensure activities funded by donor comply with agreements and project document</li> <li>• Oversight and monitoring to ensure financial transparency and clear reporting to the donor</li> </ul>
	<p><i>Results Management:</i></p> <ul style="list-style-type: none"> <li>• Alignment: link project output to CPAP Outcome in project tree in Atlas, link CPAP outcome in project tree to UNDP Strategic Key Result Area as outlined in project document during UNDP work planning Gender: In ATLAS, rate each output on a scale of 0-3 for gender relevance.</li> <li>• UNDP monitoring requirements: Monitor progress on quarterly basis in , IWP, and monitor risks in Atlas.</li> <li>• Submit annual APR/PIR report.</li> <li>• Arrange mid-term review: prepare TOR, hire personnel, plan and facilitate mission / meetings / debriefing, circulate draft and final reports.</li> <li>• Submit GEF Focal Area Tracking Tool completed by Project Team to mid-term review team.</li> <li>• Ensure tracking of committed and actual co financing as part of mid-term review.</li> <li>• Ensure translation of mid-term review into English.</li> <li>• Prepare management response to mid-term review.</li> <li>• Annual site visits – at least one site visit per year, report to be circulated no later than 2 weeks after visit completion.</li> </ul>	<p>RTA role:</p> <ul style="list-style-type: none"> <li>• Advisory services as required.</li> <li>• Quality assurance.</li> <li>• Project visits – technical support visit during life of Project as required.</li> </ul>

United Nations Development Programme

Stage	Country Office <sup>1</sup>	UNDP/GEF at regional and global level
	<p><i>Evaluation:</i></p> <ul style="list-style-type: none"> <li>• Integrate project terminal evaluation into CO evaluation plan. Identify synergies with country outcome evaluations.</li> <li>• Arrange terminal evaluation: prepare TOR, hire personnel, plan and facilitate mission / meetings / debriefing, circulate draft and final reports.</li> <li>• Submit GEF Focal Area Tracking Tool completed by Project Team to evaluation team.</li> <li>• Ensure tracking of committed and actual co financing as part of terminal evaluation.</li> <li>• Ensure translation of terminal evaluation into English.</li> <li>• Prepare management response to terminal evaluation and post both terminal evaluation report and management response in UNDP ERC.</li> <li>• Facilitate and participate in other UNDP and GEF evaluations as necessary.</li> </ul>	<p>RTA, PA, RKS roles:</p> <ul style="list-style-type: none"> <li>• Technical support and analysis.</li> <li>• Quality assurance.</li> <li>• Compilation of lessons and consolidation of learning.</li> <li>• Dissemination of technical findings.</li> <li>• Participate as necessary in other SOF evaluations.</li> </ul>
	<p><i>Project Closure:</i></p> <ul style="list-style-type: none"> <li>• Final budget revision and financial closure (within 12 months after operational completion).</li> <li>• Final reports as required by donor and/or UNDP-GEF.</li> </ul>	<p>RTA, PA role:</p> <ul style="list-style-type: none"> <li>• Advisory services as required.</li> <li>• Technical input.</li> <li>• Quality assurance.</li> </ul>
<p><i>Key UNDP GEF management performance indicators/targets for Project Oversight:</i></p> <ol style="list-style-type: none"> <li>1. Each project aligned with country outcomes and UNDP Strategic Plan key results, and included in Country Office Integrated Work Plan in the ERBM: <ul style="list-style-type: none"> <li>• Target = 100%</li> </ul> </li> <li>2. Quality rating of annual APR/PIRs: Once completed and submitted, the quality of each project APR/PIR is rated by an external reviewer <ul style="list-style-type: none"> <li>• Target = Rating of Satisfactory or above</li> </ul> </li> <li>3. Quality rating of Terminal Evaluation report: Once completed, the quality of the terminal evaluation report is rated by the UNDP Evaluation Office <ul style="list-style-type: none"> <li>• Target = Rating of Satisfactory or above</li> </ul> </li> <li>4. Quality of results achieved by project as noted in terminal evaluation: the independent evaluator assigns an overall rating to the outcome achieved by the project and this rating is validated by the UNDP Evaluation Office <ul style="list-style-type: none"> <li>• Target = Satisfactory or above</li> </ul> </li> </ol>		

**Annex 3: Country Office Fee allocation and Payment schedule**

PIMS5291		Atlas Output project: 00090330		COL10	
				GEF fee (GMS) %	
				For allocation- based on total approved funding including PDF	For releasing based on final approved project budget excluding PDF
PPG					
EA/MSP/FSP		352,000			
Total PDF & EA/MSP/FSP Grant		352,000			
Total fee allocated to COs (Note 1)		12,320			
1st Release: Fee for formulation 40% (Note 2)		4,928		1.400%	1.400%
Following Releases: Fee for implementation 60% (Note 3)		7,392		2.100%	2.100%
Total fee		12,320		3.500%	3.500%

CO	Fee for Formulation (40%)	Fee for Implementation (60%)	Total Fee	Share % (fee for Implementation)	% fee based on delivery (Impl. Fee / Final PRJ (FSP/MSP/EA) budget)
Colombia	4,928	7,392	12,320	100%	2.100%
<b>Total</b>	<b>4,928</b>	<b>7,392</b>	<b>12,320</b>	<b>100%</b>	<b>2.100%</b>

**Example 1 for CO projection purpose - fee release to COs based on delivery**

CO	% fee based on delivery (Impl. Fee / Final PRJ (FSP/MSP/EA) budget)	Scenarios			
		2014 Delivery	Fee for 2014 delivery	Total Delivery	Total fee for delivery
Colombia	2.1%		7,392		7,392
<b>Total</b>	<b>2.1%</b>	<b>352,000</b>	<b>7,392</b>	<b>352,000</b>	<b>7,392</b>

Note:

1. Total GEF Fee to COs includes the cost of services related to the preparatory assistance phase under the GEF Project Development Facility (PDF)/Project Preparation Grant (PPG) window.
2. The 1st release of GEF fee to COs will be effected upon receipt of the signed main project (FSP/MSP/EA) document cover page in the GEF RCU.
3. Subsequent annual fee releases to COs will depend on the satisfactory delivery of the services described in Annex 2 and will be directly linked to project delivery.
4. Annual fee payments to COs related to delivery are normally done after year end closing. For example, annual fee for 2014 delivery is paid in April 2015.

## Annex 4: BOM and UNDP-GEF Guidance on Direct Project Costs

### B. Direct Project Services to GEF-financed projects

Direct Project Costs (DPC) are costs that are incurred by UNDP that are execution-driven and are incurred for, and can be traced in full to, the delivery of project inputs. These execution-related costs are completely separate and distinct from General Management Support (GMS) costs that are incurred by UNDP regardless of the implementation/execution modality chosen for the project.

DPCs normally relate to operational and administrative support activities carried out by UNDP offices on behalf of Direct Implementation Modality (DIM) or Country Office support to National Implementation Modality (NIM) projects, such as: (a) HR activities, including recruitment of project personnel, issuance of project personnel contracts, etc.; (b) costs incurred in the process of undertaking procurement activities of project goods and services; and (c) finance transactions that are performed on behalf of an Implementing Partner.<sup>6</sup>

As outlined in the 'Policy on Cost Recovery from Regular and Other Resources' dated January 2011, the UNDP Executive Board requires UNDP to fully recover the costs of any services it provides to Other Resources funded projects and programmes. The UNDP Cost Recovery Policy states that the costs of any Direct Project Costs incurred by UNDP (formerly referred to as Implementation Support Services or ISS) need to be recovered on the basis of estimated actual costs expected to be incurred, or on a per-transaction basis (using the Universal Price List (UPL) or the Local Price List costing template as a costing reference), and should be charged directly to project budgets.

It is necessary to provide GEF-specific guidance at this time because of a recent decision of the GEF Council to adopt rules on when and how Direct Project Costs may be provided for GEF-financed projects.<sup>7</sup> The guidance contained herein is aligned with UNDP's Cost Recovery Policy.

Below are the key requirements when providing direct project services to GEF-financed projects. This GEF-specific guidance has been in effect as of 7 June 2012. It does not apply to projects approved before 7 June 2012.

1. The cost of any anticipated direct project services to be incurred by UNDP under DIM or CO support to NIM projects, need to be clearly identified and estimated in the project management budget of the Project Identification Form (PIF) during the initial phase of project formulation when activities are defined, assessed, and costed. For projects that have already submitted PIFs and are proceeding to the CEO endorsement stage, the costs of any Direct Project Services need to be clearly identified in the project document. Any direct project services requested by an Implementing Partner after CEO endorsement of the project need to be communicated to the GEFSEC for prior approval, as appropriate. Any communications with the GEFSEC will be performed or coordinated by the GEF Regional Technical Advisor.

<sup>6</sup> The GEF refers to UNDP 'Implementing Partners' as 'Executing Entities'. The terminology is interchangeable.

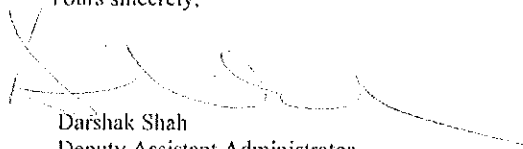
<sup>7</sup> Joint Summary of the Chairs, 42<sup>nd</sup> GEF Council Meeting, 7 June 2012.

2. In line with UNDP Cost Recovery Policy, the costs should be calculated on the basis of estimated actual costs or transaction-based costs, using the UPL (for standard service transactions) or Local Price List template (for non-standard service transactions), as a reference point. DPCs must NOT be charged as a flat percent, as this would not equate to actual or transaction-based costs. DPCs should be charged to the separate account code: "74599-UNDP cost recovery chrgs-Bills", until such further notice is given.
3. The costs of direct project services, if they are incurred, need to be fully recovered. That being said, however, they are never mandatory. They are only provided upon the request of and in agreement with the implementing partner as UNDP should never unilaterally make the decision to provide project services. These arrangements should be documented in a Letter of Agreement (LOA) that is annexed to a Project Document, as UNDP will be acting as a 'Responsible Party'. The form and content of the LOA is up to the Implementing Partner, but suggested templates are available in the POPP here: <https://intranet.undp.org/global/popp/ppm/Pages/Defining-a-Project.aspx> (see section 2.4).
4. DPCs need to be funded within the total 'Project Management Cost (PMC)' allocation provided by GEF to the Implementing Partner<sup>8</sup> and cannot exceed the total PMC allocation.

Further guidance from the Office of Financial Resources Management on charging of DPCs for all UNDP projects is expected in the first quarter of 2013. We will communicate with you again in case any changes to the above guidance are required.

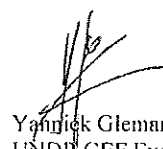
Thank you for carefully noting this new policy and guidance, and we look forward to working with you in the successful implementation of GEF projects.

Yours sincerely,



Darshak Shah  
Deputy Assistant Administrator,  
Deputy Director and  
Chief Finance Officer  
Bureau of Management

Date: 23-11-2012



Yanjiek Glemarec  
UNDP-GEF Executive Coordinator  
Bureau for Development Policy

Date: 26-11-2012

<sup>8</sup> Please note that DPCs shall not be recoverable from Project Preparation Grants (PPGs), as the GEF does not provide any PMC allocation for PPGs.



## GEF SECRETARIAT REVIEW FOR DIRECT ACCESS TO ENABLING ACTIVITY

GEF ID:	<b>5791</b>		
Country/Region:	<b>Colombia</b>		
Project Title:	<b>Colombia's First Biennial Update Report</b>		
GEF Agency:	<b>UNDP</b>	GEF Agency Project ID:	<b>5291 (UNDP)</b>
Type of Trust Fund:	<b>GEF Trust Fund</b>	GEF Focal Area (s):	<b>Climate Change</b>
GEF-5 Focal Area/ LDCF/SCCF Objective (s):			
Anticipated Financing PPG:	<b>\$0</b>	Project Grant:	<b>\$352,000</b>
Co-financing:	<b>\$15,881</b>	Total Project Cost:	<b>\$367,881</b>
PIF Approval:		Council Approval/Expected:	
CEO Endorsement/Approval		Expected Project Start Date:	
Program Manager:	<b>Rawleston Moore</b>	Agency Contact Person:	<b>Yamil Bonduki</b>

Review Criteria	Questions	Secretariat Comment
Eligibility	1. Is the participating country eligible?	Yes Colombia is eligible to receive resources
	2. Has the operational focal point endorsed the project? * <sup>1</sup>	A letter from the operational focal point is on file.
Agency's Comparative Advantage	3. Is the Agency's comparative advantage for this project clearly described and supported? *	UNDP has the comparative advantage for this type of project.
	4. Does the project fit into the Agency's program and staff capacity in the country? *	Yes, the project is in line with the Agency's program.
Resource Availability	5. Is the proposed Grant (including the Agency fee) within the resources available from (mark all that apply):	
	• the STAR allocation?	
	• the focal area allocation?	
	• focal area set-aside?	The resources are available from the focal area set-aside.
	6. Is the project aligned with the focal areas results framework?	The project is aligned with the focal area results framework.

<sup>1</sup> Questions 2, 3, 4, 18 and 19 are applicable only to EAs submitted through Agencies.  
EA review template: updated June 7 2011



Review Criteria	Questions	Secretariat Comment
Project Consistency	7. Are the relevant GEF 5 focal areas objectives identified?	The project is aligned with the focal area results framework.
	8. Is the project consistent with the recipient country's national strategies and plans or reports and assessments under relevant conventions, including NPFE, NAPA, NCSA, or NAP?	Yes. CCM 6 is identified.
	9. Does the proposal clearly articulate how the capacities developed, if any, will contribute to the sustainability of project outcomes?	The project will allow Colombia to prepare the first biennial update report.
	10. Is the project framework sound and sufficiently clear?	The project framework is sound and sufficiently clear.
	11. Is there a clear description of how gender dimensions are being considered in the project design and implementation?	Yes gender considerations are reflected in the project design.
	12. Is public participation, including CSOs and indigenous people, taken into consideration, their role identified and addressed properly?	Yes public participation is taken into consideration in the project.
	13. Is the project consistent and properly coordinated with other related initiatives in the country or in the region?	The project is consistent with other initiatives in the Colombia.
	14. Is the project implementation/ execution arrangement adequate?	The project implementation and execution arrangements are adequate.
Project Financing	15. Is the itemized budget (including consultant fees, travel, office facilities, etc) justified?	The itemized budget is justified.
	16. Is funding level for project management cost appropriate?	The project management cost is appropriate.
	17. Is the funding and co-financing per objective appropriate and adequate to achieve the expected outcomes and outputs?	The amount of funding per objective is appropriate to achieve the expected outcomes and outputs.
	18. Is indicated co-financing appropriate for an enabling activity?	N/A
	19. Is the co-financing amount that the Agency is bringing to the project in line with its role?*	N/A
	20. Comments related to adequacy of information submitted by country for financial management and procurement assessment.	

Review Criteria	Questions	Secretariat Comment
Agency Responses	21. Has the Agency responded adequately to comments from:*	
	<ul style="list-style-type: none"> <li>• STAP?</li> </ul>	
	<ul style="list-style-type: none"> <li>• Convention Secretariat?</li> </ul>	
	<ul style="list-style-type: none"> <li>• Other GEF Agencies?</li> </ul>	

Secretariat Recommendation		
Recommendation	<b>22. Is EA clearance/approval being recommended?</b>	The enabling activity is recommended for approval.
Review Date (s)	First review**	
	Additional review (as necessary)	
	Additional review (as necessary)	

**\*\* This is the first time the Program Manager provides full comments for the project. Subsequent follow-up reviews should be recorded. For specific comments for each section, please insert a date after comments. Greyed areas in each section do not need comments.**