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Oficio Nro. MAE-DNMCC-2011-0128

Quito, D.M., 15 de septiembre de 2011

Asunto: "Ecuador's Context- assessment and proposal support for National Climate Change Capacity Building Programme"

Señor
Jose Manuel Hermida
Representante Residente
PROGRAMA DE LAS NACIONES UNIDAS PARA EL DESARROLLO
En su Despacho.

Por medio del presente remito cuatro ejemplares del Documento "*Ecuador's Context-assessment and proposal support for National Climate Change Capacity Building Programme*" suscrito por la Señora Ministra del Ambiente, solicito que una vez que usted los haya firmado se remitan dos unidades del mismo para el archivo correspondiente en esta Institución.

Así mismo, solicito se sirva dar el trámite correspondiente al documento para su efectiva implementación.

De antemano anticipo mis agradecimientos.

Atentamente,

Sra. Lorena Elizabeth Falconí Lopez
**DIRECTORA NACIONAL DE SERVICIOS AMBIENTALES Y
HERRAMIENTAS PARA LA CONSERVACION**

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LOG No. 11E-06163					



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Papel Ecológico

* Documento generado por Quipux





Ecuador's Context-assessment and proposal support for
National Climate Change Capacity Building Programme

Please briefly describe potential or relevant linkages with UNDAF and CP outcomes

UNDAF Outcome(s)

UNDAF Outcome 5: On 2014, relevant public institutions and local stakeholders foster – and social stakeholders (men and women) have strengthened skills to ensure their rights to – a healthy and safe environment and environmental sustainability, including biodiversity conservation, integrated natural resource management and environmental management.

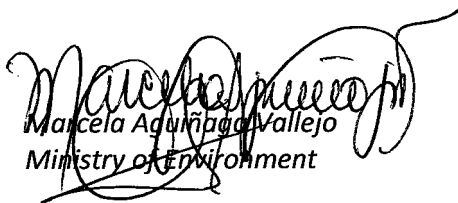
CP Outcome(s): National Objective: Objective 4 PNBV. Ensure the rights of Nature and foster a healthy and sustainable environment.

CP Outcome: On 2014, public and other stakeholders have strengthened skills to address adaptation and mitigation climate change issues, and to develop renewable energies and improve energy efficiency.

Programme Period: 2010 - 2014
Programme Component: Climate Change -
Project Title: Ecuador Context-assessment for the
preparation of the National Climate Change Capacity
Building Programme proposal – Initiation Plan
PAC Meeting Date: May 30, 2011
PIMS: 4825
Award ID: 00061982
Project ID: 00079159
Project Duration: 4 months
Management Arrangement: National Implementation
Modality (NIM)

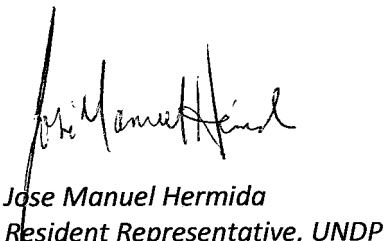
Total budget: USD 32,100
EU-UNDP Global Programme Allocation: USD 32,100

AGREED BY


Marcela Aguilar Vallejo
Ministry of Environment

Signature

Date: 2011-09-07


Jose Manuel Hermida
Resident Representative, UNDP

Signatures

Date: 2011-09-07



**UNITED NATIONS DEVELOPMENT PROGRAMME
EU-UNDP Climate Change Capacity Building Programme**

Funding request for preparation Climate Change Capacity Building Project proposal in the framework of the EU-UNDP Climate Change Capacity Building Programme

Country:	Ecuador
Project Title:	Preparation of Ecuador's Climate Change Capacity Building Project proposal
Financing of context-assessment exercise	US\$32,100
Implementing Agency:	UNDP
Executing Agency:	Ministerio del Ambiente
Estimated Starting Date of activities of National Climate Change Capacity Building Project:	Indicate expected month when of Project Proposal is completed (Sep) 2011
Duration of context-assessment and preparation of Ecuador's Climate Change Capacity Building Project proposal:	4 months

1. BACKGROUND

The European Union (EU) and the United Nations Development Programme (UNDP) are implementing a global initiative for climate change capacity building. The overall objectives of the programme are to strengthen the capacity of developing countries (DCs) a) to monitor, report and verify greenhouse gas emissions; b) to identify opportunities for Nationally Appropriate Mitigation Actions (NAMAs) in the context of national development; and to support the design of low-emission development strategies (LEDS) and c) to facilitate the uptake of mitigation actions by selected sectors, with the participation of the private sector, as appropriate, taking into account national priorities and circumstances and national economic plans. The programme methodology follows a country-driven, multi-stakeholder approach.

To assess the key priorities in climate change capacity building --pre-identified by the Government of Ecuador based on the National Development Plan and the Millennium Development Goals (MDG) targets-- and to define the areas of concentration for the project in Ecuador, on March 2011 a field mission took place. The mission team was composed by UNDP and EU staff and involved several working sessions with the Undersecretary for Climate Change and other authorities and staff of the Ecuadorian Ministry of Environment (MAE).

2. OBJECTIVE OF THE CONTEXT-ASSESSMENT EXERCISE

UNDP's and Government experience in supporting sustainable development shows that the most important success factor is alignment of proposed activities with national and local priorities. To be effective, Ecuador's climate change capacity building project (hereafter 'the project') must support Ecuador's socio-economic and human development challenges.

The context-assessment exercise has two symbiotic streams:

- a stocktaking and review aimed at identifying previous and current: strategy and policy documents, activities and projects, as well as engaged stakeholders relevant to the implementation of the project. The stocktaking should encompass all relevant national activities, not restricted to UNDP or the host government.
- Consultations with relevant stakeholders: within government Ministries and Agencies; in key sectors of private industries; the domestic donor and development partners community; and civil society.

The context assessment will assist the national team responsible for the preparation of the project proposal (hereafter 'the team') to:

- conduct a systematic analysis of relevant work ongoing and previously carried out;
- identify results, lessons learned, areas of capacity that can be built from, as well as gaps, further in-depth studies needed and capacity needs;
- through stakeholder consultations, identify and validate priority areas and sectors, strategies and institutional arrangements for the project.

The context-assessment will generate the information and process required for the preparation of the project proposal. More specifically, it will build a consensus among stakeholders on which Components and Modules (respectively Public Sector and Private Sector; and GHG Inventories, NAMAs, LEDS and MRV) from the menu-approach of the Global EU-UNDP Climate Change Capacity Building Programme are most appropriate for Ecuador to pursue.

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On the basis of outcomes of the context-assessment, Ecuador will formulate and submit to UNDP Ecuador's Climate Change Capacity Building Project proposal¹.

For these purposes, the Government of Ecuador requests UNDP to provide funding in the amount of US\$33,063 for the context-assessment exercise and project proposal formulation.

3. BRIEF DESCRIPTION OF OVERALL ACTIVITIES OF THE CONTEXT-ASSESSMENT EXERCISE

The stocktaking and stakeholder consultations aim to deliver a practical project proposal, which will be discussed and consensus-agreed with stakeholders before submission to UNDP for review and approval. This section briefly describes the stocktaking and stakeholder consultation processes, but note that consultations with key stakeholders will take place throughout the stocktaking to ensure adequate support and ownership. They are described separately for clarity, but will be implemented together as part of the project proposal preparation.

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¹ This context assessment exercise will identify the key stakeholders that should be involved during the implementation of the project. Since this project does not entail working with the forestry sector –this will be addressed by the ONU-REDD joint program for Ecuador–, it is not foreseen any particular involvement of indigenous peoples and other communities dependent on forests. Proper coordination arrangements will be ensure with this and other related programmes.

The stocktaking work

The stocktaking will help to ensure that the project builds on the activities, studies, outcomes, experiences and institutional settings of existing policies and other interventions relating to climate change. The stocktaking is expected to include the following:

- Preparation of a detailed workplan: The stocktaking should be based on a detailed workplan of activities, including the approaches that will be used for conducting the stocktaking. It will include the strategies that the national team will use to include broad and effective consultations in order to enhance ownership in the preparation and implementation of the project at the national level.
- An assessment of work carried out under previous relevant initiatives: This assessment is the central element of the work, as it will ensure that a framework for LEDS, GHG inventory systems, NAMAs and/or MRV schemes build upon results and lessons learned from relevant work, such as the National Communications, mitigation projects, UNDAFs, other national and regional plans, etc. It will consist of focused analysis of activities and results achieved under past, on-going and imminent (planned) initiatives. It will identify gaps and uncertainties, and provide justification for additional studies/assessments to improve information that will be critical to the development of the work under the project at the national level.
- Areas of work: The exercise will identify the studies to be carried out to cover areas or sectors not addressed under previous work but which are critical for the articulation of a LEDS, GHG inventory, NAMA and/or MRV work. The experiences gained through the GHG emissions inventories and mitigation analysis under the National Communications will be an important basis to identify gaps and new areas of work.
- Methodologies and approaches: The stocktaking will identify the emphasis for the overall approach and the potential methodologies (and information requirements) that will be adopted to carry out the different analytical exercises that must inform the development of a robust LEDS, NAMA and related work.
- Synergies with related programmes and key policies processes: The exercise will identify how the LEDS, NAMAs and/or MRV will build on and establish linkages with relevant initiatives within the government of Ecuador such as national energy (including renewable energy) policies, transport strategies, sustainable land management and agricultural policies, existing climate change and environmental vision statements and policies². It will further identify partnered and supported relevant initiatives such as the National Communications, UNDAF, CCAs, etc and existing regional policy frameworks or initiatives in which Ecuador participates. Experience in producing National Communications may provide a starting point for coordination processes. The exercise will also seek to identify and analyse any relevant private sector initiatives to address climate change that are domestically active, such as the Cement Sustainability Initiative (CSI), the Global Sustainability Initiative by the International Aluminium Institute (IAI) or other coalitions of activities supported by local industry associations.
- Capacity building needs: Strengthening institutional and technical capacities will be a key element of a framework for LEDS and essential for developing robust GHG inventory systems and credible NAMAs and MRV systems. Identification of capacity building needs will firstly establish existing expertise for applying the proposed methodologies in the different areas of work, and map this

² This may include the net avoided emissions proposal presented by Ecuador in the COP 16.

against expected capacity requirements for each of the modules. The availability of existing capacity, and/or the level of difficulty and time required to build new capacity may be a key factor in decisions as to which programme modules will be prioritised.

- Stakeholder mapping: The stakeholder mapping will include a list of the government institutions, academia, NGOs, research institutions, private organizations, CSOs/NGOs and others as relevant, that will need to participate in the preparation of a LEDS, NAMA, MRV or GHG Inventory system. The list will include the institutions that will directly participate in this work but also those that could be asked to contribute to this process through multi-stakeholder consultations.
- Institution mapping: The institution mapping will analyse and map existing institutional arrangements, implementation functions and regulatory frameworks. The mapping will then assess these arrangements for likely effectiveness for formulation and implementation of a LEDS, NAMAs, MRV and/or a GHG Inventory system.
- Priorities for LEDS, MRV, NAMAs and GHG inventory management systems: The exercise is expected to make an initial assessment of, and summarise the suitability and projected benefits of LEDS, MRV, NAMAs and GHG Inventory systems, as well as identify key challenges for practical and timely implementation. This will lead to a prioritization that will be made through consultative processes with key stakeholders involving both the public and private sectors.

Stakeholders' consultations

Effective implementation of LEDS, MRV, NAMAs and/or GHG Inventory systems in Ecuador requires the active participation of two primary types of stakeholders:

- (a) Government Ministries directly responsible for climate policy, monitoring and reporting, which in Ecuador is the Ministry of Environment and their national climate change teams, as well as other Ministries (Ministry of coordination of production, employment and competitiveness, Ministry of Transport and Public Works, Ministry of Energy, Ministry of Strategic Sectors, Ministry of Industry and Ministry of Agriculture) involved in climate change activities; and
- (b) Private sector -business organisations, large industries, small and medium sized enterprises as well as state-owned enterprises which implement mitigation programs.

Secondary stakeholders also need to be engaged to ensure maximum buy-in and ownership of the project. These include a broader range of institutions locally working on climate change, ranging from donors, other government institutions, Non Government Organizations (NGOs), civil society organizations (CSOs), in addition to academic and research institutions.

The stakeholder consultation process is expected to include the following:

- Definition of stakeholders' involvement: Building on preliminary consultation process that may be relevant for the project; identify and review the key stakeholders and their roles under previous climate change interventions, as well as identify stakeholders that may be relevant, but have not been effectively participating in climate change dialogue to date. Elucidate a plan for managing communications and expectations during the preparation and inception phases of the project.
- Awareness raising and capacity assessment: The team will assess the level of effective engagement by stakeholders, and where engagement is insufficient, determine where this is due to a lack of capacity, and what capacity needs or gaps must be addressed. This process itself serves as an

awareness raising function, and will be used as an opportunity to raise the level of awareness of national institutions, NGO's, government and general public in the area of climate change, and to identify major challenges and opportunities to mainstreaming climate change into National Development processes.

- Develop strategies for stakeholder participation: The consultations will identify strategies for maintaining stakeholder engagement during implementation of the programme. This will include understanding the opportunities that will arise from the project (such as potential access to new funding streams), and articulating these to stakeholders in order to incentivise their participation.
- Ensuring adequate consultations for the preparation of the project proposal and its implementation: Stakeholder consultations may take place at different times in the preparation of the project proposal. For instance, consultations may be carried out at different stages of project formulation: i) at the initiation of the stocktaking work; ii) at the stage of identifying priorities for the project; and iii) during discussions of the draft project proposal. Depending on the scope of the discussions, different stakeholders may be brought in at different times of the stocktaking work. However, number of consultations and process put in place will be based on national circumstances.

This stakeholder consultation and analysis will enable the team to identify the current contributions & levels of involvement of stakeholders, & assess what level is likely to be required from currently engaged stakeholders, and establish plans for additional work to ensure sufficient engagement from other stakeholders. Together, this work aims to optimise participation in GHG Inventory Systems, LEDS, NAMAs and/or MRV processes as applicable.

Context-assessment report and Project Proposal

- Final Report of the context-assessment: A report on the context-assessment exercise will be prepared to highlight the key gaps and lessons learned from previous interventions, and identify priorities (from Public Sector and Private Sector; and GHG Inventories, NAMAs, LEDS and MRV) for Ecuador. The report will also briefly explain the process adopted for stakeholder participation and consultations carried out for the preparation of the project proposal. The report will be included as an annex to the project proposal (following guidance and template to be provided by UNDP).
- Preparation of the project proposal: The key output of this work is the Project Proposal. After final consultations with key stakeholders and Government approval, a draft Project Proposal will be submitted to UNDP for review and comments. Final approval by UNDP will take place after suggested adjustments, if any, are addressed by the national team.

4. PRELIMINARY LIST AND DESCRIPTION OF STAKEHOLDERS AND CONSULTATION PROCESS ENVISIONED

The stakeholder consultations will help to ensure national ownership of the project proposal and later implementation. In particular, the consultation will be used as a means to:

- Ensure adequate linkages with existing climate change policy and project activities
- Validate the stocktaking exercise
- Selection and prioritisation of components and modules to be included in the project
- Build consensus on the institutional arrangements proposed for the project
- Clarify the roles and responsibilities of stakeholders expected to be involved



The stakeholder consultations will commence broadly, with the guidance of key government strategic decision makers to provide overall vision, and narrow down to individuals and focus groups to establish sectoral details. A primary goal is to build consensus among stakeholders on which of the project components and modules (from Public Sector and Private Sector; and GHG Inventories, NAMAs, LEDS and MRV) offer opportunities for Ecuador that can be exploited for key development aspirations.

Consultations should identify likely or expected institutional and stakeholder responsibilities and roles in project implementation, as well as capacity constraints in delivering the project. UNDP Ecuador will facilitate and monitor progress of the stocktaking exercise and consultations in accordance with the agreed budget and outputs and disburse funds accordingly.

The following stakeholders (preliminary list) are envisaged as participants during the stakeholder consultations:

- ESPOL, Escuela Politécnica del Litoral
- Ministry of Coordinating Production, Employment and Competitiveness.
- Ministry of Agriculture and Livestock
- Ministry of Environment
- National Institute of Agricultural Research
- Catholic University
- Army Polytechnic School
- Secretary of Higher Education, Science, Technology and Innovation
- National Institute of Meteorology and Hydrology
- Autonomous governments
- National Secretary of Planning and Development
- Ministry Coordinator of Strategic Sectors
- Ministry of Transport and Public Works
- Ministry of Electricity and Renewable Energy
- Ministry of non-renewable resources

5. OUTPUTS

The main output of the stocktaking exercise is a proposal for Ecuador's Climate Change Capacity Building Project proposal in the framework of the EU-UNDP Climate Change Capacity Building Programme.

The following expected outputs and corresponding activities that will take place during the stocktaking exercise, will take into account the preliminary areas of concentration identified during the mission held by the Ministry of Environment and the United Nations Development Programme on March 31 -April 1³

1. Updating and systematization of the inventory of Greenhouse Gases and Measuring, Reporting and Verification: capacity-building on methodologies (for: MRV system, quantification and measurement of emissions) in the sectors of industry, land use, change of land use and forestry, energy, solid waste and agriculture. Subsequently, prioritizing which sectors will be supported by this program.
2. Financial structure for the implementation of plans and programs proposed in the National Strategy on Climate Change in the framework of the Investment Program for Climate Change and in coordination with, at least, the Ministry Coordinator of the Economic Policy. This may include support to the

³ Annex 1 contains the report of this mission.



development and dissemination of the Ecuador proposals to the United Nations Framework Convention on Climate Change - UNFCCC.

3. Identification, preparation, prioritization and advising in the following NAMAs sectors: industry, energy, and solid waste. Subsequently, prioritizing which sectors will be supported by this program.
4. Designing and implementation of a MRV system for NAMAs

Output 1: Planning and management of the stocktaking exercise

Activity 1.1: Preparation of a detailed workplan and scope of work

Activity 1.2: Execution of an Inception workshop/consultation

Activity 1.3: Preparation of TOR including the expected results and deliverables for the individual experts and/or Country Team, including the approach to be used during the stocktaking exercise.

Output 2: Stocktaking related activities

Activity 2.1: Implementation of the stocktaking exercise and preparing a stocktaking matrix describing and assessing relevant previous, on-going and future climate change policies, activities, projects, plans, agenda and programmes

Activity 2.2: Identification /review of shortcomings in capacity and assessment of capacity needs for implementing each of the modules

Activity 2.3: Identify new studies/areas of work, particularly as related to missing data or information

Activity 2.4: Identification of potentials for linkages and synergies with other processes

Activity 2.5: Identify and assess opportunities for delivering sustainable development outcomes from the components and modules (Public Sector and Private Sector; and GHG Inventories, NAMAs, LEDS and MRV)

Activity 2.6: Development of prioritisation criteria and identification of priorities from the components and modules

Activity 2.7: Preparation of the stocktaking report

Output 3: Stakeholder consultation

Activity 3.1: Stakeholder mapping and analysis. Identify individuals and institutions that may be involved in the stocktaking exercise, their possible role, the benefits of their involvement, and any possible challenges (including capacity limitations) to their involvement. From this will be developed a strategy for stakeholder participation

Activity 3.2: Institution mapping and analysis. Describe institutional arrangements and how they relate to key climate related policy drivers, as well as changes that may be envisaged in project implementation

Activity 3.3: Stakeholder consultation. This consultation should be used to validate the stocktaking and opportunity identification; awareness raising and selection for priority issues and new areas of action; and review of the project proposal and stocktaking report. This may include a workshop to validate the project proposal



Output 4: Brief report on the stocktaking and stakeholder consultations: The team will prepare a brief report that will be included in the annex section of the project proposal.

Activity 4.1: Write the stocktaking and stakeholder consultations, which may include the following:

- (i) Description of the methodology used;
- (ii) Stakeholders and institutions consulted;
- (iii) Results and findings of the stocktaking exercise;
- (iv) Results and findings of the stakeholder consultation;
- (v) Identified priorities for the Project Proposal

Output 5: Develop a project proposal for submission to UNDP for review and approval

Activity 5.1: The project proposal will be developed following UNDP template (to be provided) with a detailed description of the following:

- Description of project's context, including relevant background
- Scope of project, including areas of work (e.g. GHG inventory system, NAMAs, LEDS, MRV) and sectors (e.g. energy, industries, agriculture, etc.)
- Expected outcomes, including studies to be carried out
- Key activities for each outcome identified
- Proposed methodologies or approaches to be adopted for the implementation of the project
- Institutional arrangements and coordination mechanisms to be put in place for the implementation of the project
- Monitoring and Evaluation framework
- Proposed budget
- Workplan for the duration of the project
- Annex sections, including:
 - o Brief report on the stocktaking and stakeholder consultation containing the following information:

Activity 5.2: Submission of the project proposal; to UNDP and Ministry of Environment for feedback and comments

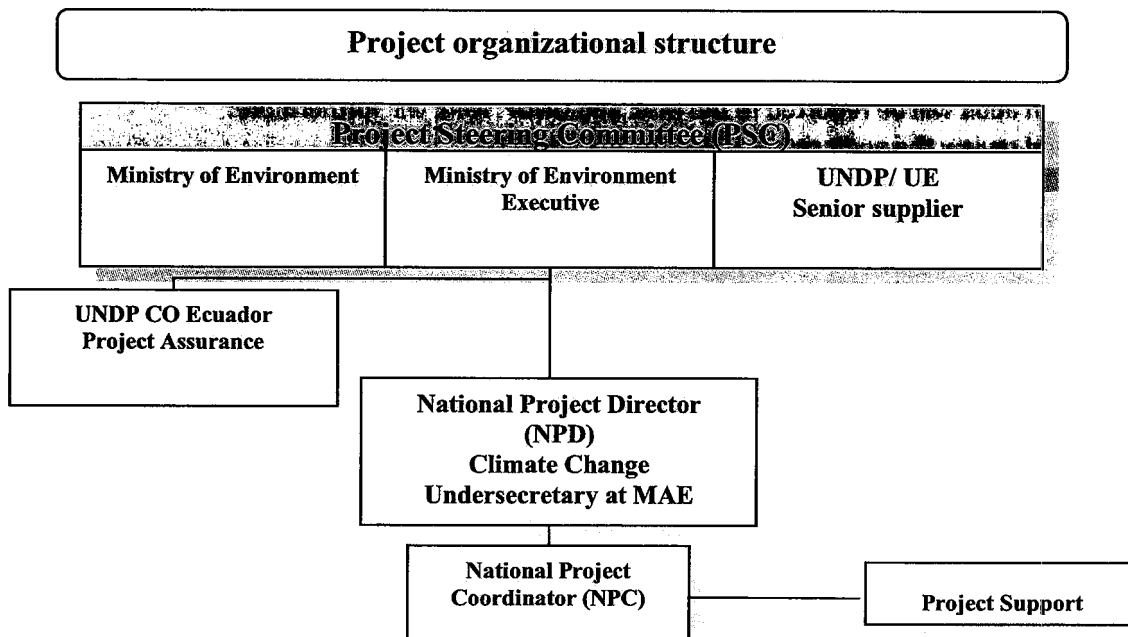
Activity 5.3: Incorporation of comments on the project proposal (a final consultation round may be scheduled if proposal has substantial comment or revision suggested by UNDP during approval processes).

6. MANAGEMENT ARRANGEMENTS FOR THE CONTEXT-ASSESSMENT EXERCISE AND PROPOSAL PREPARATION

The national lead agency responsible for the oversight and implementation of the context-assessment and project proposal preparation is *Ministry of Environment*. The involvement of the relevant stakeholders, and their support and commitment to the implementation of the proposed activities, will ensure the achievement of the overall outcome of the assessment.

The proposed governance structure for the project and the division of responsibilities among the key institutions are represented in the figure below:





Upon request of the Ministry of Environment, the project will be executed under the UNDP-Ecuador National Implementation Modality (NIM) following the Harmonized Approach on Cash Transfer (HACT) approach, under one of its mechanisms of direct implementation of UNDP. That means that the Ministry of Environment will ask UNDP to support the execution of activities by contracting and paying for the required goods and services following UNDP standards and procedures by signing a letter of agreement.

The lead institution will ensure stakeholder appropriation by creating specific working groups at the climate change inter-institutional committee for the different mitigation sectors. The working groups will help to create a space for consultation and preparation of the project proposal, then for the project implementation, and also the activities to be executed during this year. Additionally, the Climate Change Undersecretary at Ministry of Environment will promote the involvement of new stakeholders in the inter-institutional committee and the working groups. The Climate Change Undersecretary will follow up, guide, evaluate, and assess the activities of the consultants.

During the full-fledged project, it is expected the establishment and functioning of a Work Group composed by members of the National Climate Commission. The Ecuadorian Government will decide on the integration of other members to this group (e.g. the donor).

Audit

An External Audit will be conducted in accordance with the established UNDP procedures set out in the Programming and Finance manuals by the legally recognized auditor.

To facilitate scheduled and special audits, MAE will provide UNDP or its representative with timely access to:

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- all financial records which establish the transactional record of the cash transfers provided by UNDP;
- all relevant documentation and personnel associated with the functioning of MAE's internal control structure through which the cash transfers have passed.

The findings of each audit will be reported to the MAE and UNDP. MAE will furthermore:

- Receive and review the audit report issued by the auditors.
- Provide a timely statement of the acceptance or rejection of any audit recommendation to UNDP.
- Undertake timely actions to address the accepted audit recommendations.
- Report on the actions taken to implement accepted recommendations to UNDP.

Monitoring and Evaluation

- Every quarter, 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.
- Based on the information recorded in Atlas, a Project Progress Reports (PPR) can be generated in the Executive Snapshot. These reports will be shared with the donor.
- Other ATLAS logs can be used to monitor issues, lessons learned etc. The use of these functions will be a key indicator in the UNDP Executive Balanced Scorecard.
- Annual Project Review will take place to monitor progress made since project start and in particular for the previous reporting period tools)
- UNDP CO will conduct visits to project sites based on the agreed schedule in the project's to assess first hand project progress. Other members of the Project Board may also join these visits. A Field Visit Report/BTOR will be prepared by the CO and UNDP RCU and will be circulated no less than one month after the visit to the project team and Project Board members.

Cost Recovery Policy

In accordance with UNDP cost recovery policy, a General Management Support fee (GMS) of 7% will apply. As per Delegation of Authority dated July 7, 2011, projects funded through the EU do not include a provision for ISS.

Use of institutional logos on project deliverables

In order to accord proper acknowledgement to the donor for providing funding, a donor logo should appear on all relevant project publications, including among others, project hardware, equipment and vehicles purchased with project funds. Any citation on publications regarding projects funded by the donor should also accord proper acknowledgment to the donor.

Property of equipment

In accordance with UNDP policy, all the equipment, furniture or vehicles acquired with Project funds are property of UNDP until the corresponding transfer procedure will be done.



7. BUDGET AND ANNUAL WORK PLAN (AWP)

ANNUAL WORK PLAN (AWP)



United Nations Development Programme - UNDP

Year: 2011

Project No.: 00079159

Award No.: 0006182

Project Name: Ecuador Context-assessment for the preparation of the National Climate Change Capacity Building Programme proposal – Initiation Plan

PROJ ID	RESULTS EXPECTED	ACTIVITIES	TIME (months)	RESPONSIBLE PARTY	FUND	DONOR BUDGET	BUDGET	
							2011	BUDGET 2010
00079159	Consultations with relevant stakeholders are in placed. Project Document for the Preparation of the Ecuador's Climate Change Capacity Building Document	1) Carry on consultations with relevant stakeholders. 2) Preparation of the Ecuador's Climate Change Capacity Building Project Document		001087 MAE	30079	00280	71300	13.000,00
								12.000,00
								5.000,00
								2.100,00
TOTAL:							32.100,00	

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7. SUGGESTED TIMETABLE Note that this timeframe is based on a three-month preparatory phase. Countries may adjust to six month maximum, as needed.

Output /Activity	Weeks	1	2	3	4	5	6	7	8	9	10	11	12	13	14
Output 1: Planning and management of the stocktaking exercise															
1.1 Preparation of a detailed workplan, including scope of work															
1.2 Inception workshop/consultation															
1.3 Preparation of TORs															
Output 2: Stock-take of the related activities															
2.1: Implementation of the stocktaking exercise															
2.2: Identification /review of shortcomings in capacity															
2.3: Identify new studies/areas of work															
2.4: Identification of potentials for linkages and synergies															
2.5: Identify and assess opportunities for delivering sustainable development outcomes from the components and modules															
2.6: Development of prioritisation criteria and identification of priorities															
2.7: Preparation of the stocktaking report															
Output 3: Stakeholder consultation															
3.1: Stakeholder mapping and analysis.															
3.2: Institution mapping and analysis.															
3.3: Stakeholder consultation.															
Output 4: Stocktaking and stakeholder consultation report (annex)															
4.1: Write Stocktaking and stakeholder consultation report to be included in annex section of the project proposal															
Output 5: Develop the project proposal															
5.1 Write the draft proposal															
5.2: Circulation of the proposal for comments by stakeholders.															
5.3: Submission of the project proposal to UNDP and Ministry of Environment for comments.															
4.4: Incorporation of comments on the project proposal and submission of final version to UNDP.															

8. Legal Context

This document together with the CPAP signed by the Government and UNDP constitute together a Project Document as referred to in the Standard Basic Assistance Agreement (SBAA) and all CPAP provisions apply to this document.

Consistent with Article III of the SBAA, 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:

- 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;
- 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 will be included in all sub-contracts or sub-agreements entered into under this Project Document.

9. List of Acronyms

ATLAS	Name of the Resources Financial System used by UNDP
AWP	Annual Work Plan
CCA	Common Country Assessment
CP	Country Programme
CSI	Cement Sustainability Initiative
CSOs	Civil Society Organizations
ESPOL	Escuela Politécnica del Litoral
EU	European Union
DC	Developing Countries
GHG	Green House Gases
GMS	General Management Support
HACT	Harmonized Approach on Cash Transfer
IAI	International Aluminium Institute
ISS	Implementing Support Services
LEDs	Low-emission development strategies
MAE	Ministry of Environment



MDG	Millennium Development Goals
MRV	Measuring, reporting and verification
NAMAS	Nationally Appropriate Mitigation Actions
NGOs	Non Government Organizations
NIM	National Implementation Modality
ONU-REDD	United Nations- Reduced Emissions from Deforestation and Forest Degradation
PNBV	Plan Nacional para el Buen Vivir
PPR	Project Progress Reports
SBAA	Standard Basic Assistance Agreement
UNFCCC	United Nations Framework Convention on Climate Change
UNDAF	United Nations Development Assistant Framework
UNDP	United Nations Development Programme
UNDP CO	United Nations Development Programme Country Office
UNDP HQ	United Nations Development Programme Head Quarters



CARTA DE ACUERDO ENTRE EL MINISTERIO DEL AMBIENTE Y EL PROGRAMA DE LAS NACIONES UNIDAS PARA EL DESARROLLO E IMPLEMENTACIÓN DEL PROYECTO "EVALUACIÓN DEL CONTEXTO DEL ECUADOR Y LA PREPARACIÓN DE LA PROPUESTA PARA EL PROGRAMA DE CONSTRUCCIÓN DE CAPACIDADES PARA EL CAMBIO CLIMÁTICO"

Comparecen a la celebración de la presente carta de Acuerdo, por una parte, **MINISTERIO DEL AMBIENTE**, legalmente representada por la Abogada Marcela Aguiñaga Vallejo, en su calidad de Ministra del Ambiente, a quien en adelante se denominará como "**EL MINISTERIO**", y por otra parte, el Programa de las Naciones Unidas para Desarrollo que en lo sucesivo y para los mismos efectos se denominará como "**PNUD**", representada por el Señor José Manuel Hermida, en su calidad de Representante Residente del Programa; quienes de manera libre y voluntaria, en ejercicio de sus funciones legales y constitucionales, acuerdan suscribir la presente carta de Acuerdo, de conformidad con las siguientes cláusulas:

PRIMERA.- ANTECEDENTES:

1. El artículo 14 de la Constitución de la República del Ecuador establece que, "Se reconoce el derecho de la población a vivir en un ambiente sano y ecológicamente equilibrado, que garantice la sostenibilidad y el buen vivir, "sumak kawsay". Se declara de interés público la preservación del ambiente, la conservación de los ecosistemas, la biodiversidad y la integridad del patrimonio genético del país, la prevención del daño ambiental y la recuperación de los espacios naturales degradados".
2. El artículo 66 de la Constitución, numeral 27, manifiesta que se reconoce y garantiza a las personas "El derecho a vivir en un ambiente sano, ecológicamente equilibrado, libre de contaminación y en armonía con la naturaleza."
3. El Ministerio del Ambiente del Ecuador, fue creado el 4 de octubre de 1996 mediante Decreto Ejecutivo No. 195 publicado en el Suplento-Registro Oficial No. 40 de 4 de octubre de 1996, teniendo como misión ejercer en forma eficaz y eficiente la rectoría de la gestión ambiental, garantizando una relación armónica entre los ejes económicos, social y ambiental que asegure el manejo sostenible de los recursos naturales estratégicos, estableciéndose además como visión institucional, lograr que el Ecuador use sustentablemente sus recursos naturales estratégicos para alcanzar el Buen Vivir.
4. El Ministerio del Ambiente, es una entidad de Derecho Público responsable de dirigir la gestión ambiental a través de políticas, normas e instrumentos de fomento y control, para lograr el uso sustentable, conservación del capital natural, de la prevención y control de la contaminación.
5. Esta Cartera de Estado, a través de la Subsecretaría de Cambio Climático (SCC) lidera los Programas Nacionales de Mitigación y Adaptación al Cambio Climático en el Ecuador, conforme lo establece el Acuerdo Ministerial No. 104 publicado en el Registro Oficial Suplemento No. 509 del 19 de enero de 2009.
6. El Ministerio del Ambiente, en su calidad de líder y coordinador de las acciones de mitigación y adaptación al cambio climático en el país a través de la Subsecretaría de Cambio Climático, actúa a su vez como gestor y contraparte de los siguientes proyectos:

- Proyecto GEF-PNUD/MAE Adaptación al Cambio Climático a través de una efectiva Gobernabilidad del agua en el Ecuador (PACC).
- Proyecto Regional de Adaptación al Cambio Climático en países de la Región Andina GEF- Banco Mundial/MAE (PRAA).
- Proyecto Gestión de la Adaptación al Cambio Climático para reducir la vulnerabilidad social, económica y ambiental (GACC).

Los proyectos mencionados cuentan con programaciones aprobadas y recursos que posibilitan su accionar y prevén gestionar la suscripción de acuerdos, contratos, convenios, etc. Que ayuden a mejorar su ejecución, por intermedio de sus respectivos representantes.

7. El PNUD es parte de la red mundial de las Naciones Unidas que trabaja para lograr el desarrollo humano sostenible en el Ecuador, impulsando las capacidades y los esfuerzos nacionales para construir una sociedad equitativa a través de la reducción de la pobreza y la promoción de los derechos humanos y la gobernabilidad democrática.

La Unión Europea (UE) y el Programa de las Naciones Unidas para Desarrollo (PNUD) se encuentran implementando una iniciativa global para construir capacidades sobre cambio climático. Los objetivos principales del programa son fortalecer la capacidad de los países en desarrollo:

- a) Monitorear, reportar y verificar las emisiones de gases de efecto invernadero;
 - b) identificar las oportunidades para acciones de mitigación apropiadas para cada país (NAMAs) en el contexto del desarrollo nacional y apoyar al diseño de estrategias de desarrollo bajas en carbono (LEDS);y,
 - c) facilitar la adopción de medidas de mitigación en sectores seleccionados, con la participación del sector privado de ser apropiado, tomando en cuenta las prioridades y circunstancias nacionales y los planes económicos. La metodología del programa sigue un enfoque "impulsado por los países" y con múltiples partes interesadas.
8. Que el 19 de enero de 2005, se suscribió entre el Ecuador y el PNUD, el Acuerdo de Cooperación, interpartes, promulgado en el Registro Oficial No 526 de 17 de febrero de 2005, vigente a la fecha y que se encuentra adjunto a esta carta.

Dentro de este contexto, las partes consideran oportuno suscribir esta carta de acuerdo para la ejecución de diversas actividades contempladas en Proyecto "Evaluación del contexto del Ecuador y la preparación de la propuesta para el Programa de Construcción de Capacidades para Cambio Climático"

SEGUNDA.- OBJETO:

Las partes convienen en celebrar la carta de Acuerdo con el objeto de disponer de un marco de acción en el ámbito de las competencias del MAE y el PNUD, que viabilicen la implementación del Proyecto "Evaluación del contexto del Ecuador y la preparación de la propuesta para el Programa de Construcción de Capacidades para Cambio Climático".

TERCERA.- OBLIGACIONES:

Las partes se comprometen a brindar el apoyo necesario para que la adecuada implementación del proyecto señalado en la cláusula anterior.

3.1.-Obligaciones Específicas PNUD: El PNUD puede proveer los siguientes servicios de apoyo a la implementación del Proyecto:

- a) Identificación y reclutamiento de personal.
- b) Adquisición de bienes y servicios.
- c) Identificación y facilitación de actividades de capacitación.
- d) Administración de los fondos para la elaboración de la propuesta para el Programa Nacional de Fortalecimiento de Capacidades para Cambio Climático y el análisis del contexto del país, previa aprobación del Ministerio del Ambiente.
- e) Ejecución de fondos previa aprobación del Ministerio del Ambiente.
- f) Coordinación con el Ministerio del Ambiente los procesos administrativos que se requieran para ejecutar los fondos para la elaboración de la propuesta y análisis de contexto con el fin de cumplir con los objetivos planteados en el pro-doc.

3.2.-Obligaciones Específicas MAE: El MAE se compromete a:

- a) Coordinar con el PNUD, la ejecución de fondos y los procesos administrativos que sean necesarios para cumplir con los objetivos del pro-doc.
- b) Analizar y emitir comunicados con la aprobación de actividades que debe realizar el PNUD para ejecutar los fondos.

CUARTA.- PRESUPUESTO:

El monto de financiamiento aportado por el PNUD y la Comisión Europea para la implementación del Proyecto "Evaluación del contexto del Ecuador y preparación de la propuesta para el Programa de Construcción de Capacidades para el Cambio Climático" será de USD \$32,100.00 que serán administrados directamente por el PNUD previa aprobación de esta Cartera de Estado.

QUINTA.- ADQUISICIÓN DE BIENES:

La adquisición de bienes y servicios y el reclutamiento de personal que realice el PNUD en el marco de este proyecto, se sujetará a sus políticas, normas, procedimientos y regulaciones; y, en caso de que los requerimientos del Proyecto cambien durante su ciclo de vida, serán revisados y debidamente enmendados de mutuo acuerdo entre las partes.

SEXTA. - INMUNIDADES:

Todos los privilegios e inmunidades, tal como se describen en el Acuerdo Básico de Cooperación suscrito entre el PNUD y el Gobierno del Ecuador el 19 de enero de 2005, se aplican a los servicios de apoyo que se describen en la presente carta.

SÉPTIMA.- MODIFICACIONES:

El presente Convenio Marco puede ser modificado o enmendado parcial o totalmente, por acuerdo escrito entre las partes. Para el efecto, los ejecutores elaborarán una propuesta de documento para consideración de sus máximas autoridades.

El presente acuerdo podrá darse por terminado por las siguientes causas:

- a) Por cumplimiento del objeto del Convenio y/o por vencimiento de su plazo.
- b) Por inobservancia de los términos del presente convenio y/o los acuerdos específicos que sean suscritos en el futuro considerados dentro de este literal. En este caso de terminación anticipada, la Parte solicitante presentará por escrito la causa de su pedido a la otra parte, el convenio se dará por terminado.
- c) Por mutuo acuerdo entre las Partes.

SEPTIMA.- PLAZO:

El plazo de la presente Carta será de seis meses. Una vez finalizado el citado plazo, las partes



evaluarán los resultados obtenidos y, de ser el caso, se procederá a modificaciones o renovación del mismo.

El presente Convenio entrará en vigencia al momento de su suscripción, y se mantendrá vigente siempre y cuando no se de por terminado como lo indica la cláusula anterior.

OCTAVA.- DOCUMENTOS HABILITANTES:

Forman parte de la carta de Acuerdo:

a)Copia certificada del Decreto Ejecutivo 750 de 15 de noviembre de 2007 mediante el cual se nombra a la abogada Marcela Aguiñaga Vallejo como Ministra del Ambiente.

b)Copia certificada del nombramiento del señor José Manuel Hermida representante residente del PNUD.

NOVENA.- CONTROVERSIAS:

En el caso de surgir controversias respecto del cumplimiento de las obligaciones pactadas, las partes procuraran resolverlas directamente y de común acuerdo. De no existir dicho acuerdo, la divergencia se someterá al procedimiento señalado en el Artículo XII del Acuerdo Básico de Cooperación suscrito por el MAE y el PNUD, publicado en el Registro Oficial No 526 de 17 de febrero de 2005.

DECIMA.- DOMICILIO:

Para todos los efectos de esta carta de Acuerdo, las partes señalan su domicilio civil en la ciudad de Quito, renunciando a cualquier fuero especial, que en razón del domicilio puedan tener. Para efectos de comunicación o notificaciones, las partes señalan como su dirección, las siguientes:

Ministerio del Ambiente:

Dirección: Calle Madrid 1159 y Andalucía.

Telf: 2987600 ext. 1604 Quito

Email: www.ambiente.gob.ec

José Manuel Hermida

Representante Residente

Dirección:Av. Amazonas 2889 y la Granja

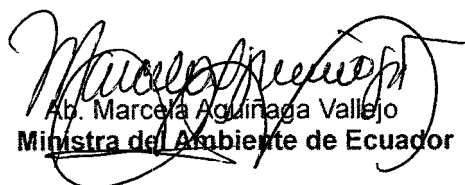
Quito – Ecuador

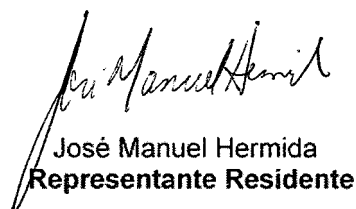
Telf: 02 2460 330

Email: www.undp.org.ec

DÉCIMA PRIMERA.- ACEPTACIÓN:

Para constancia y conformidad de lo estipulado, las partes se ratifican y aceptan cada una de las cláusulas que anteceden, a las que expresamente se someten. Firman en unidad de acto en 4 ejemplares de igual valor y contenido en la ciudad de Quito, a


Ab. Marcela Aguiñaga Vallejo
Ministra del Ambiente de Ecuador


José Manuel Hermida
Representante Residente

