

## Treaty for Amazonian Cooperation

The Republics of Bolivia, Brazil, Colombia, Ecuador, Guyana, Peru, Suriname and Venezuela,

**CONSCIOUS** of the importance to each one of the Parties of their respective Amazonian regions as an integral part of their respective territories,

**INSPIRED** by the common aim of pooling the efforts being made, both within their respective territories as well as among them-selves, to promote the harmonious development of the Amazon region, to permit an equitable distribution of the benefits of said development among the Contracting Parties so as to raise the standard of living of their peoples and so as to achieve total incorporation of their Amazonian territories into their respective national economies,

**CONSCIOUS** of the usefulness of sharing national experiences in matters pertaining to the promotion of regional development,

**CONSIDERING** that, so as to achieve overall development of their respective Amazonian territories, it is necessary to maintain a balance between economic growth and conservation of the environment,

**CONSCIOUS** that both socio-economic development as well as conservation of the environment are responsibilities inherent in the sovereignty of each State, and that cooperation among the Contracting Parties shall facilitate fulfillment of these responsibilities, by continuing and expanding the joint efforts being made for the ecological conservation of the Amazon region,

**CONFIDENT** that cooperation among the Latin American nations on specific matters which they have in common shall contribute to progress on the road towards the integration and solidarity of all Latin America,

**CONVINCED** that this Treaty represents the beginning of a process of cooperation which shall benefit their respective countries and the Amazon region as a whole,

**RESOLVE** to sign the following Treaty:

### ARTICLE I

The Contracting Parties agree to undertake joint actions and efforts to promote the harmonious development of their respective Amazonian territories in such a way that these joint actions produce equitable and mutually beneficial results and achieve also the preservation of the environment, and the conservation and rational utilization of the natural resources of those territories.

**PARAGRAPH:** to this end, they would exchange information and prepare operational agreements and understandings as well as the pertinent legal instruments which will permit the aims of the present Treaty to be attained.

### ARTICLE II

This Treaty shall be in force in the territories of the Contracting Parties in the Amazonian Basin as well as in any territory of a Contracting Party which, by virtue of its geographical, ecological or economic characteristics is considered closely connected with that Basin.

### ARTICLE III

In accordance with and without prejudice to the rights granted by unilateral acts, to the provisions of bilateral treaties among the Parties and to the principles and rules of International Law, the Contracting parties mutually guarantee on a reciprocal basis that there shall be complete freedom of commercial navigation on the Amazon and other international Amazonian rivers, observing the fiscal and police regulations in force now or in the future within the territory of each. Such regulations should, insofar as possible, be uniform and favor said navigation and trade.

**PARAGRAPH:** This article shall not apply to cabotage.

#### **ARTICLE IV**

The Contracting Parties declare that the exclusive use and utilization of natural resources within their respective territories is a right inherent in the sovereignty of each state and that the exercise of this right shall not be subject to any restrictions other than those arising from International Law.

#### **ARTICLE V**

Taking account of the importance and multiplicity of the functions which the Amazonian rivers have in the process of economic and social development of the region, the Contracting Parties shall make efforts aimed at achieving rational utilization of the hydro resources.

#### **ARTICLE VI**

In order to enable the Amazonian rivers to become an effective communication link among the Contracting Parties and with the Atlantic Ocean, the riparian states interested in any specific problem affecting free and unimpeded navigation shall, as circumstances may warrant, undertake national, bilateral or multilateral measures aimed at improving and making the said rivers navigable.

**PARAGRAPH:** For this purpose, they shall carry out studies into the means for eliminating physical obstacles to the said navigation as well as the economic and financial implications so as to put into effect the most appropriate operational measures.

#### **ARTICLE VII**

Taking into account the need for the exploitation of the flora and fauna of the Amazon region to be rationally planned so as to maintain the ecological balance within the region and preserve the species, the Contracting Parties decide to:

- a. Promote scientific research and exchange information and technical personnel among the competent agencies within the respective countries so as to increase their knowledge of the flora and fauna of their Amazon territories and prevent and control diseases in said territories.
- b. Establish a regular system for the proper exchange of information on the conservationist measures adopted or to be adopted by each State in its Amazonian territories; these shall be the subject of an annual report to be presented by each country.

#### **ARTICLE VIII**

The Contracting Parties decide to promote coordination of the present health services in their respective Amazonian territories and to take other appropriate measures to improve the sanitary conditions in the region and perfect methods for preventing and combating epidemics.

#### **ARTICLE IX**

The Contracting Parties agree to establish close cooperation in the fields of scientific and technological research, for the purpose of creating more suitable conditions for the acceleration of the economic and social development of the region.

**PARAGRAPH ONE:** For purposes of this Treaty, the technical and scientific cooperation among the Contracting Parties may be as follows:

- a. Joint or coordinated implementation of research and development programs;
- b. Creation and operation of research institutions or centers for improvement and experimental production;
- c. Organization of seminars and conferences, exchange of information and documentation, and organization of means for their dissemination.

**PARAGRAPH TWO:** The Contracting Parties may, whensoever they deem it necessary and convenient, request the participation of international agencies in the execution of studies, programs and projects resulting from the forms of technical and scientific cooperation defined in Paragraph One of this Article.

## **ARTICLE X**

The Contracting Parties agree on the advisability of creating a suitable physical infrastructure among their respective countries, especially in relation to transportation and communications. They therefore undertake to study the most harmonious ways of establishing or improving road, river, air and telecommunication links bearing in mind the plans and programs of each country aimed at attaining the priority goal of fully incorporating those respective Amazonian territories into their respective national economies,

## **ARTICLE XI**

In order to increase the rational utilization of the human and natural resources of their respective Amazonian territories, the Contracting Parties agree to encourage joint studies and measures aimed at promoting the economic and social development of said territories and generating complementary methods for reinforcing the actions envisaged in the national plans of their respective territories.

## **ARTICLE XII**

The Contracting Parties recognize the benefit to be derived by developing, under equitable and mutually beneficial conditions, retail trade of products for local consumption among the respective Amazonian border populations, by means of suitable bilateral or multilateral agreements.

## **ARTICLE XIII**

The Contracting Parties shall cooperate to increase the flow of tourists, both national and from third countries, in their respective Amazonian territories, without prejudice to national regulations for the protection of indigenous cultures and natural resources.

## **ARTICLE XIV**

The Contracting Parties shall cooperate in ensuring that measures adopted for the conservation of ethnological, and archeological wealth of the Amazon region are effective.

## **ARTICLE XV**

The Contracting Parties shall seek to maintain a permanent exchange of information and cooperation among themselves and with the agencies for Latin American cooperation in the areas pertaining to matters covered by this Treaty.

## **ARTICLE XVI**

The decisions and commitments adopted by the Contracting Parties under this Treaty shall not be to the detriment of projects and undertakings executed within their respective territories, according to International Law and fair practice between neighboring and friendly countries.

## **ARTICLE XVII**

The Contracting Parties shall present initiatives for undertaking studies for the elaboration of programs of common interest for developing their Amazonian territories and in general terms provide for the fulfillment of the actions contemplated in the present Treaty.

**PARAGRAPH:** The Contracting Parties agree to give special attention to the consideration of initiatives presented by the least developed countries which require joint action and efforts by the Contracting Parties.

#### **ARTICLE XVIII**

Nothing contained in this Treaty shall in any way limit the rights of the Contracting Parties to conclude bilateral or multilateral agreements on specific or generic matters, provided that these are not contrary to the achievement of the common aims for cooperation in the Amazonian region stated in this instrument.

#### **ARTICLE XIX**

Neither the signing of this Treaty nor its execution shall have any effect on any other international treaties in force between the Parties nor on any differences with regard to limits or territorial rights which may exist between the Parties nor shall the signing or implementation of this Treaty be interpreted or invoked to imply acceptance or renunciation, affirmation or modification, direct or indirect, express or tacit, of the position or interpretation that each Contracting Party may hold on these matters.

#### **ARTICLE XX**

Notwithstanding the fact that more adequate frequency for meetings can be established at a later date, the Ministers of Foreign Affairs of the Contracting Parties shall convene meetings when deemed opportune or advisable, in order to establish the basic guidelines for common policies, for assessing and evaluating the general development or the process of Amazonian cooperation and for taking decisions designed to carry out the aims set out in this document.

**PARAGRAPH ONE:** Meetings of Foreign Affairs Ministers shall be convened at the request of any of the Contracting Parties, provided that the request has the support of no fewer than four Member States.

**PARAGRAPH TWO:** The first Meeting of Foreign Affairs Ministers shall be held within a period of two years following the date of entry into force of this Treaty. The venue and date of the first meeting shall be established by agreement among the Ministries of Foreign Affairs of the Contracting Parties.

**PARAGRAPH THREE:** Designation of the host country for the meetings shall be by rotation and in alphabetical order.

#### **ARTICLE XXI**

The Amazonian Cooperation Council comprising of top level diplomatic representatives shall meet once a year. Its duties shall be as follows:

- 1 . To ensure that the aims and objectives of the Treaty are complied with.
2. To be responsible for carrying out the decisions taken at meetings of Foreign Affairs Ministers.
3. To recommend to the Parties the advisability and the appropriateness of convening meetings of Foreign Affairs Ministers and of drawing-up the corresponding Agenda.
4. To take under consideration initiatives and plans present by the Parties as well as to adopt decisions for undertaking bilateral or multilateral studies and plans, the execution of which as the case may be, shall be the duty of the Permanent National Commissions.
5. To evaluate the implementation of plans of bilateral or multilateral interest.

6. To draw-up the Rules and Regulations for its proper functioning.

**PARAGRAPH ONE:** The Council shall hold special meetings through the initiative of any of the Contracting Parties with the support of the majority of the rest.

**PARAGRAPH TWO:** The venue of regular meetings shall be rotated in alphabetical order among the Contracting Parties.

#### **ARTICLE XXII**

The functions of the Secretariat shall be performed *Pro Tempore* by the Contracting Party in whose territory the next regular meeting of the Amazonian Cooperation Council is scheduled to be held.

**PARAGRAPH:** The *Pro Tempore* Secretariat shall send the pertinent documentation to the Parties.

#### **ARTICLE XXIII**

The Contracting Parties shall create Permanent National Commissions charged with enforcing in their respective territories the provisions set out in this Treaty, as well as carrying out the decisions taken at meetings of Foreign Affairs Ministers Amazonian Cooperation Council, without jeopardizing other tasks assigned them by the State.

#### **ARTICLE XXIV**

Whenever necessary, the Contracting Parties may set up special Commissions to study specific problems or matters related to the aims of this Treaty.

#### **ARTICLE XXV**

Decisions at meetings held in accordance with Articles XX and XXI shall always require the unanimous vote of the Member Countries of his Treaty. Decisions made at meetings held in accordance with Article XXIV shall always require the unanimous vote of the participating countries.

#### **ARTICLE XXVI**

The Contracting Parties agree that the present Treaty shall not be susceptible to interpretative reservation or statements.

#### **ARTICLE XXVII**

This Treaty shall remain in force for an unlimited period of time, and shall not be open to adherence.

#### **ARTICLE XXVIII**

This Treaty shall be ratified by all the Contracting parties and the instruments of ratification shall be deposited with the Government of the Federative Republic of Brazil.

**PARAGRAPH ONE:** This Treaty shall become effective thirty days after the last instrument of ratification has been deposited by the Contracting Parties.

**PARAGRAPH TWO:** The intention to denounce this Treaty shall be communicated by a Contracting Party to the remaining Contracting Parties at least ninety days prior to formal delivery of the instrument of denunciation to the Government of the Federative Republic of Brazil. This Treaty shall cease to have effect for the Contracting Party denouncing it one year after the denunciation has been formalized.

**PARAGRAPH THREE:** This Treaty shall be drawn up in English, Dutch, Portuguese and Spanish, all having equal validity.

IN WITNESS WHERE OF the undersigned Ministers of Foreign Affairs have signed the present Treaty.

EXECUTED in the city of, Brasilia on July 3, 1978, to be deposited in the archives of the Ministry of Foreign Affairs of Brazil which shall provide the other signatory countries with true copies.

For the Government of the Republic of Bolivia  
Oscar Adriazola Valda

For the Government of the Federative Republic of Brazil  
Antonio F. Azeredo Da Silveira

For the Government of the Republic of Colombia  
Indalecio Lievano Aguirre

For the Government of the Republic of Ecuador  
Jose Ayala Lasso

For the Government of the Cooperative Republic of Guyana  
Rashleigh Esmond Jackson

For the Government of the Republic of Peru  
Jose de la Puente Radbill

For the Government of the Republic of Suriname  
Henck Alfonsus Eugene Arron

For the Government of the Republic of Venezuela  
Simon Alberto Consalvi

## **Protocol of Amendment for the Creation of the Organization of the Amazon Cooperation Treaty (OTCA)**

The Republics of Bolivia, Brazil, Colombia, Ecuador, Guyana, Peru, Suriname and Venezuela:

Reasserting the principles and objectives of the Amazon Cooperation Treaty,

Taking into account the convenience of institutionally improving and strengthening the cooperation process developed under the auspices of the aforementioned instrument,

Do hereby agree to:

I) Create the Organization of the Amazon Cooperation Treaty (OTCA), with corporate body status, and empowered to enter into agreements with Contracting Parties, non-member States and other International organizations.

II) Modify Article XXII of the text of the Treaty as follows:

The Organization of the Amazon Cooperation Treaty will have a Permanent Secretariat, based in Brasilia, which will be responsible for implementing the objectives established in the Treaty in conformity with the decisions taken in the meetings of Ministers of Foreign Affairs and the Amazon Cooperation Council.

Paragraph one: The powers and functions of the Permanent Secretariat and of its head will be established in the regulations, which will be approved by the Ministers of Foreign Affairs of the Contracting Parties.

Paragraph two: The Permanent Secretariat will prepare, in coordination with the Contracting Parties, its work plans and program of Activities, as well as its budget-program, which will need to be approved by the Amazon Cooperation Council.

Paragraph three: The Permanent Secretariat will be headed by a Secretary General, who will be empowered to enter into agreements on behalf of the Organization of the Amazon Cooperation Treaty, whenever the Contracting Parties unanimously authorize him/her to do so.

III) This amendment will be subject to compliance with the internal constitutional requirements of all Contracting Parties and will enter into force on the date of the receipt, by the Government of the Federal Republic of Brazil, of the last note by means of which the compliance with such requirements is advised.

Subscribed hereto in Caracas, this fourteenth day of the month of December of nineteen ninety eight, in eight (8) original copies, in the languages of Spanish, English, Portuguese and Dutch, all equally authentic.

## National Permanent Committees of the Treaty for Amazonian Cooperation

### **Bolivia**

The NPC of Bolivia is currently being restructured. It is to be presided by the Ministry of Foreign Affairs and Cultural Affairs, and composed of the following Viceministries:

- Viceministry of Government Coordination
- Viceministry of Sustainable Development
- Viceministry of Planning
- Viceministry of Natural Resources and Environment
- Viceministry of Transportation
- Viceministry of Education
- Viceministry of Science and Technology
- Viceministry of Health
- Viceministry of Agriculture and Fisheries
- Viceministry of Indigenous Affairs
- Viceministry of Tourism
- Viceministry of Defense
- Civil society, international cooperation agencies, as invited by the NPC.

### **Brazil**

Instituted by Presidential decree on November 8, 2002, the NPC of Brazil includes representatives from:

- Minister of Foreign Affairs, who presides the Committee;
- Ministry of Environment and Planning;
- Ministry of Science and Technology;
- Ministry of Justice;
- Ministry of Health;
- Ministry of Development, Industry, and Trade;
- Ministry of Education, Sports, and Tourism;
- Ministry of Transport, Communication;
- Ministry of Defense;

### **Colombia**

The Colombian NPC is being restructured. It is expected to be composed of:

- Ministry of Foreign Affairs
- Ministry of Interior and Justice
- Ministry of National Defense
- Ministry of Social Protection
- Ministry of Environment, Housing, and Territorial Development
- Ministry of Trade, Industry, and Tourism
- Ministry of Transport
- Ministry of Education
- Department of National Planning



- Colombian Institute for the Development of Science and Technology-(COLCIENCIAS)
- Colombian Institute for Amazonian Research SINCHI

### **Ecuador**

The NPC of Ecuador is composed of:

- Ministry of Foreign Affairs, who presides the Committee
- Ministry of National Defense
- National Planning Office – ODEPLAN
- Institute for the Ecodevelopment of the Ecuadorian Amazon Region-ECORAE, which acts as Technical Secretariat of the NPC.

### **Guyana**

- Ministry of Foreign Affairs, who presides the Committee
- National Geologic Commission
- Institute for Applied Science and Technology
- Ministry of Public Works and Communication
- Ministry of Agriculture
- Ministry of Education
- Ministry of Health
- Ministry of Tourism, Industry and Trade
- Ministry of Defense
- Office for National Statistics
- Guyana University

### **Perú**

- Ministry of Foreign Affairs, who presides the Committee
- Ministry of Defense
- Ministry of Education
- Ministry of Trade and Tourism;
- Ministry of Health
- Ministry of Transport and Communication;
- Ministry for Women Development and Human Development;
- National Environmental Council
- National Council for Science and Technology
- National Institute for Natural Resources
- National Agrarian University
- Institute for Amazon Research, which acts as Technical Secretariat
- National Commission for Amazon Communities and Indigenous groups
- Peruvian Agency for International Cooperation

## **Suriname**

- The NPC of Suriname is composed of the Ministries and Institutions responsible for the Special Commissions of the Amazon Cooperation Treaty: Health, Education, Environment, Science and Technology, Communication and Transport, Indigenous Affairs, Tourism.

Note: The Government of Suriname is presently restructuring the NPC in light of the recent institutionalization of the Treaty with the creation of OTCA.

## **Venezuela**

- Ministry of Foreign Affairs, which presides the CNP;
- Ministry of Internal Affairs;
- Ministry of Finance;
- Ministry of Defense
- Ministry of Development
- Ministry of Education;
- Ministry of Sanitation and Social Assistance
- Ministry of Agriculture;
- Ministry of Transport and Communication
- Ministry of Justice
- Ministry of Energy and Mines
- Ministry of Environment and Renewable Natural Resources;
- President of the Central Coordination and Planning Office of the Presidency of the Republic
- Director of the Venezuelan Corporation of the Guayanas
- President of the National Institute for Scientific and Technological Research

Endorsement letters

ENDORSEMENT LETTER FROM BRAZIL



MINISTRY OF PLANNING, BUDGET AND MANAGEMENT  
SECRETARIAT OF INTERNATIONAL AFFAIRS  
Esplanada dos Ministérios, Bloco K, 5º andar  
70040-096 Brasília DF

Ofício nº 10.2 /2004/MP/SEAIN

Brasilia, April, 29, 2004

Mr. AHMED DJOGLAF  
Executive Coordinator  
GEF Coordination Office  
United Nations Environment Programme – UNEP  
P.O Box 30552  
Nairobi, Kenya

Subject: Project GEF – *“Integrated and Sustainable Management of Transboundary Water Resources in the Amazon River Basin”*

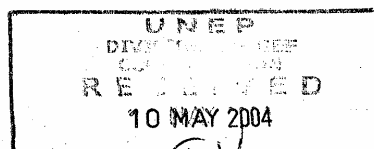
Dear Mr. Djoghlaif,

I would like to inform you that this Secretariat, in its capacity as GEF's Operational Focal Point in Brazil, endorses the annexed proposal (PDF-B) *“Integrated and Sustainable Management of Transboundary Water Resources in the Amazon River Basin”*, in the amount of US\$ 1,450.0 mil.

Sincerely,

CARLOS EDUARDO LAMPERT COSTA  
GEF's Operational Focal Point in Brazil

39.639\sis.Trabalho\corresp\oficioPNUMA-Endosso



ENDORSEMENT LETTER FROM COLOMBIA



Ministerio de Ambiente, Vivienda y Desarrollo Territorial  
Despacho Viceministro de Ambiente  
República de Colombia

Bogotá D.C., March 15, 2004

2000-2 17643-  
19 MAR 2004

Mr  
Ahmed Djoghlaif  
Director  
Division of GEF Coordination  
United Nations Environment Programme  
Fax (254 2) 624041 0092542  
P.O. Box 30552  
Nairobi  
Kenya

09/0491

Dear Mr. Djoghlaif,

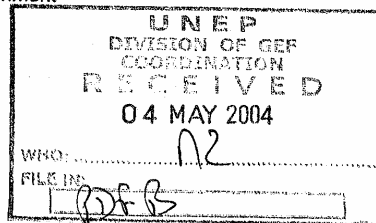
The Government of Colombia and the Ministry of the Environment, Housing and Territorial Development, in its capacity as GEF Focal Point, fully endorse the pdf B proposal "Regional Strategy for the Conservation and Sustainable Use of Natural Resources in the Amazon" for GEF support and funding.

This Ministry considers that the proposal is consistent with national priorities according to the National Development Plan and therefore, supports the development and implementation of this project. It is also important to notice that the Colombian Executing Agency will be the Instituto de Estudios Ambientales - IDEAM- in order to enhance co-ordination with other national authorities.

Sincerely,

JUAN PABLO BONILLA  
Viceminister of Environment

GAI/ elaboró Octavio Aguirre/ revisó Alvaro José Rodríguez ATL



**Ministerio de Desarrollo Sostenible**  
**Viceministerio de Recursos Naturales y Medio Ambiente**

La Paz, julio 6 de 2004  
MDS/VRNMA N°1678/04

Señor  
Klaus Triepfer  
Director Ejecutivo del PNUMA  
Nairobi, Kenia  
África

De mi consideración:

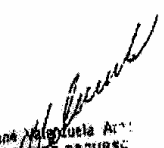
Tengo el agrado de dirigirme a usted para referirme al proyecto "Manejo Integrado y Sostenible de los Recursos Hídricos Transfronterizos en la Cuenca del Río Amazonas", a ser implementado por la Secretaría Permanente de la Organización del Tratado de Cooperación Amazónica como Agencia Local Ejecutora del proyecto y por el PNUMA, con fondos del GEF, en la modalidad de PDF - Bloque B, con el apoyo técnico administrativo del Secretario General de la Organización de Estados Americanos, a través de la Unidad de Desarrollo Sostenible y Ambiental.

El proyecto antes mencionado, permitirá la formulación de un programa regional de vasto alcance, que reunirá diversos esfuerzos para asistir a los países que integran la mencionada cuenca, en el diseño y establecimiento de políticas, medidas, acciones colectivas y coordinadas, en favor de un desarrollo económico y social ambientalmente sostenible, basadas en la protección y gestión integrada de los recursos hídricos y en la adaptación a la variabilidad y el cambio climático.

En ese sentido y de acuerdo a lo que antecede, el Viceministerio de Recursos Naturales y Medio Ambiente, otorga el endoso al proyecto antes mencionado. Asimismo, debo manifestar que para la ejecución de las actividades que el proyecto requiere, el Gobierno de Bolivia a través de este Viceministerio, tiene la capacidad técnica necesaria y se compromete a aportar el equivalente a \$us 39.000, en tiempos de personal técnico, de apoyo, equipamiento y ambientes para el desarrollo de las actividades.

Sin otro particular, reitero a usted las consideraciones más distinguidas.

CC: arch  
CRV/GAZ

  
Carlos René Mendiola Arce  
VICEMINISTRO DE RECURSOS  
NATURALES Y MEDIO AMBIENTE  
Ministerio de Desarrollo Sostenible

ENDORSEMENT LETTER FROM ECUADOR



REPUBLICA DEL ECUADOR



ministerio del  
ambiente  
República del Ecuador

Quito, 30 de Mayo de 2004.  
Oficio No. 63948-D-CG

Señor  
Klaus Toepfer  
Director Ejecutivo del PNUMA  
Nairobi, Kenia.

Señor Director Ejecutivo:

Tengo el agrado de dirigirme a usted, para referirme al Proyecto "Manejo Integrado y Sostenible de los Recursos Hídricos Transfronterizos en la Cuenca del Río Amazonas", a ser implementado por el PNUMA, con fondos en la modalidad de PDF - Bloque B, y por la Secretaría Permanente de la Organización del Tratado de Cooperación Amazónica como agencia local ejecutora del proyecto, con el apoyo técnico y administrativo del Secretariado General de la Organización de los Estados Americanos, a través de la Unidad de Desarrollo Sostenible y Ambiental.

El referido proyecto, permitirá la elaboración de un programa regional de vasto alcance, que reunirá diversos esfuerzos para asistir a los países que integran la mencionada cuenca, en el diseño y establecimiento de políticas, medidas y acciones colectivas y coordinadas, en favor de un desarrollo económico y social ambientalmente sostenible, basadas en la protección y gestión integrada de los recursos hídricos y en la adaptación a la variabilidad y al cambio climático.

De acuerdo a lo que antecede y tomando en cuenta que a través de la ejecución de la iniciativa presentada se obtendrán importantes beneficios económicos, sociales y ambientales, tanto para nuestro país como para los restantes que integran la mencionada Cuenca, una vez recibida la conformidad por parte del Consejo Nacional de Recursos Hídricos como contraparte local para la ejecución del referido proyecto en los términos y compromisos establecidos, comunicamos el endoso a la referida propuesta, a tiempo de manifestar que, para la ejecución de los trabajos que el proyecto requiere, el Gobierno de la República del Ecuador, tiene la capacidad técnica necesaria y se compromete a aportar el 6.5 %, equivalente a US\$ 74.074, en tiempos de personal diplomático, técnico y de apoyo, así como facilitar instalaciones y equipamiento.

Sin otro particular, hago propicia la ocasión para reiterar a usted, las seguridades de mi distinguida consideración.

  
Fabián Valdivieso Eguiguren  
MINISTRO

ENDORSEMENT LETTER FROM GUYANA



Environmental  
Protection  
Agency

July 28, 2004

Mr. Ahmed Djoghlaif,  
Executive Coordinator,  
GEF Coordination Office,  
United Nations Environment Programme - UNEP  
P.O. Box 30352  
Nairobi, Kenya

Dear Mr. Djoghlaif

**Integrated and Sustainable Management of Transboundary Water Resources in the  
Amazon River Basin**

I refer to the proposed project proposal (PDF-B) "Integrated and Sustainable Management of Transboundary Water Resources in the Amazon River Basin" and wish to inform that this project has been approved by a Cabinet Decision of June 8, 2004 in Guyana. As the GEF Operational Focal Point I fully endorse this proposal.

Thanks for your usual cooperation.

Sincerely,

Doorga Persaud  
Executive Director and GEF- Operational Focal Point

*Guyana / END*

IAST Building, U.G. Campus, Turkeyen  
Greater Georgetown, GUYANA  
Tel. (592)-222-5784 / 2277 / 5785 / 2442 / 4224  
Fax (592)-222-2442  
Email. [spa@networksgy.com](mailto:spa@networksgy.com)

ENDORSEMENT LETTER FROM PERU

INAM

NO. DE TEL : 2251202

02 JUL. 2004 17:40 P1



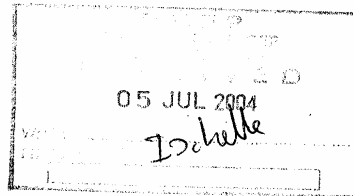
**CONAM**  
POR EL DESARROLLO SOSTENIBLE

Carta N° 1672-04-CONAM/SE  
Lima, 02 de julio de 2004

FAX 7

*Amazonas*

*04/0749*



Señor  
**Ahmed Doghlaef**  
PNUMA  
Presente.-

De mi consideración:

Tengo el agrado de dirigirme a usted para expresar el respaldo del Consejo Nacional del Ambiente – CONAM, en su condición de punto focal operacional del GEF en el Perú, al Proyecto "Manejo Integrado y Sostenible de los Recursos Hídricos Transfronterizos de la Cuenca del Río Amazonas", presentado por el Instituto Nacional de Recursos Naturales - INRENA.

Este respaldo se da en función de la decisión del Comité GEF Perú, expresada en su sesión del día 02 de julio de 2004.

Hago propicia la oportunidad para manifestarle las expresiones de mis consideraciones mas distinguidas.

Atentamente,

*Mariano Castro*  
**Mariano Castro Sánchez-Moreno**  
Secretario Ejecutivo

DSC/ectf

*END sr fm PERU*

**CONSEJO NACIONAL DEL AMBIENTE**

Av. Guardia Civil 205 - San Borja - Lima- 41 – Perú Teléfono: (51-1) 225-5370 Fax: (51-1) 225-5369  
E-mail: [conam@conam.gob.pe](mailto:conam@conam.gob.pe) Página Web: [www.conam.gob.pe](http://www.conam.gob.pe)



ENDORSEMENT LETTER FROM SURINAME

FROM :

2207  
04

FAX NO. :

Jul. 22 2004 01:25PM P1

A. D. JOGHLAF

E.D.S Mail 1

Amazon/9.1  
04/0887

MINISTERIE VAN ARBEID,  
TECHNOLOGISCHE ONTWIKKELING EN  
MILIEU

MINISTRY OF LABOUR,  
TECHNOLOGICAL DEVELOPMENT AND ENVIRONMENT

Wagenwegstraat no.22- Tel. : 475241, Fax : 410464 - e-mail: [arbeid@sr.net](mailto:arbeid@sr.net)

Uw kenmerk:  
Your reference:

Uw brief van  
Your letter dated

Ons kenmerk  
Our reference

Bijlage(n):  
Enclosure(s):

Onderwerp:  
Subject: endorsement project proposal "Integrated and Sustainable Management of Transboundary Water Resources in the Amazon River Basin"

Paramaribo: 22 July 2004

To: Mr. Klaus Toepfer  
Executive Director to the  
United Nations Environment Programme  
Nairobi  
Kenya

03 AUG 2004  
IV  
PDF 0 AMAZON

Dear Sir,

As the GEF Operational Focal Point in Suriname, I come on behalf of this, to formally present the Project "Integrated and Sustainable management of Transboundary Water Resources in the Amazon River Basin" regional initiative, that counts with the approval of the Government of Suriname having assigned the Permanent Secretariat of the Amazon Cooperation Treaty Organization (ACTO) as the executor organism, with the technical support and contribution of the General Secretariat of the Organization of American States, by means of its Unit of Sustainable Development and Environment, and of the United Nations Environment Programme - UNEP - as agency of implementation of the World Environmental Fund.

As indicated in the document of the project attached, the Government of Suriname will place at the disposal of this important initiative, as counterpart amount to the project equivalent to US\$ 29,000, corresponding to working hours of diplomat, technical and support staff, as well as installations and equipments.

With no further comments, I avail myself of this opportunity to renew the assurances of highest consideration.

Sincerely,

*M. Kerkhoffs-Zerp*

M. Kerkhoffs-Zerp  
Environmental Policy Officer/  
GEF Operational Focal Point

~~for comments / draft response~~  
A. D. Joghlaf  
cc: C. Boelcke

UNEP  
COMMUNICATIONS &  
PUBLIC INFORMATION  
RECEIVED  
23 JUL 2004  
Action .....  
Acknowledged .....  
Completed .....  
No action required

AB 2/8 END<sup>SR</sup> Surin

ENDORSEMENT LETTER FROM VENEZUELA

22/03 2004 11:30 FAX 0059 212 8644586

M.R.E. CRIPTOGRAFIA #2

@001/001



REPUBLICA BOLIVARIANA DE VENEZUELA  
MINISTERIO DE RELACIONES EXTERIORES  
Dirección General de Economía y Cooperación Internacionales  
Unidad de Medio Ambiente

TELEFAX N°

000210

**Para:** EMBAJADOR  
**N° Fax:** SERGIO SANCHEZ BALLIVIAN  
SECRETARIO PERMANENTE DE LA ORGANIZACIÓN DEL TRATADO  
DE COOPERACION AMAZONICA-BRASILIA  
(005561) 411.60.44

**De:** DIRECTOR GENERAL DE ECONOMÍA Y COOPERACIÓN  
INTERNACIONALES  
**N° Fax:** MINISTERIO DE RELACIONES EXTERIORES - CARACAS  
(580212) 806.43.70

**Asunto:** PROYECTO DE LA OTCA AL GEF-FMAM

**Fecha:** 22 MAR 2004

**Páginas:** 1 (incluida ésta)

Tengo el agrado de dirigirme a usted en la oportunidad de hacer referencia al proyecto "Manejo integral y sostenible de los recursos hídricos transfronterizos en la cuenca del río Amazonas", presentado por la Organización que usted preside, a fin de solicitar asistencia financiera no reembolsable del Fondo para el Medio Ambiente Mundial (FMAM-GEF), a través del Programa de las Naciones Unidas para el Medio Ambiente (PNUMA).

Sobre el particular, cumpla en informarle, en calidad de Punto Focal Político ante el mencionado Fondo, el apoyo de Venezuela a esta propuesta, la cual ya ha recibido el correspondiente aval técnico por parte del Ministerio del Ambiente y de los Recursos Naturales.

En tal sentido, mucho sabré agradecer se sirva comunicar al Servicio de Formulación y Preparación de Proyectos del FMAM-GEF la conformidad de Venezuela.



Atentamente,

*Oscar Hernández Bernalette*  
Oscar Hernández Bernalette  
Embajador

**Basin Map**



**Budget in UNEP Format**

Annex 6

**Budget in UNEP Format**

			2005	2006	TOTAL	
			GEF	GEF		
<b>10</b>	<b>PROJECT PERSONNEL COMPONENT</b>					
	<b>1100</b>	<b>Project Personnel</b>				
		w/m				
	1101	Technical Co-ordinator	23 p/m @4000/m	48,000.00	44,000.00	92,000.00
	1102	Admin./technical assistant	23p/m @2,000/m	24,000.00	22,000.00	46,000.00
	1199	Sub-Total		72,000.00	66,000.00	138,000.00
	<b>1600</b>	<b>Travel</b>				
	1601	Technical Unit travel (23x 3000/m)		35,000.00	34,000.00	69,000.00
	1699	Sub-Total		35,000.00	34,000.00	69,000.00
	<b>1200</b>	<b>Consultants</b>				
		w/m				
	1201	Consultants component 1	6 p/m @4000/m	24,000.00		24,000.00
	1202	Consultant component 2	6 p/m @4000/m	24,000.00		24,000.00
	1203	Consultant Component 4	6p/m @3,500/m	21,000.00		21,000.00
	1299	Sub-Total		69,000.00	0.00	69,000.00
	1999	Component Total		176,000.00	100,000.00	276,000.00
<b>20</b>	<b>SUB-CONTRACT COMPONENT</b>					
	<b>2200</b>	<b>Sub-contracts</b>				
	2201	Contract Component 1		61,500.00		61,500.00
	2202	Contract Component 2		48,000.00		48,000.00
	2203	Contract Component 3		24,000.00		24,000.00
	2204	Contract Component 4		18,000.00		18,000.00
	2205	Contract Component 5		39,000.00		39,000.00
	2299	Sub-Total		190,500.00	0.00	190,500.00
	2999	Component Total		190,500.00	0.00	190,500.00
<b>30</b>	<b>TRAINING COMPONENT</b>					
	<b>3300</b>	<b>Meetings/conferences</b>				
	3301	Workshops Component 1 - including travel costs - 3 technical meetings + 3 regional workshops + international seminar		55,000.00	50,000.00	105,000.00
	3302	Workshop Component 2 - including travel costs		9,000.00	9,000.00	18,000.00
	3303	Workshop Component3 - including travel costs - 3 subregional workshops		18,000.00	18,000.00	36,000.00
	3399	Sub-Total		82,000.00	77,000.00	159,000.00
	3999	Component Total		82,000.00	77,000.00	159,000.00
<b>40</b>	<b>EQUIPMENT &amp; PREMISES COMPONENT</b>					
	<b>4100</b>	<b>Expendable Equipment</b>				
	4101	Computer Software		2,000.00		2,000.00
	4199	Sub-Total		2,000.00	0.00	2,000.00
	<b>4200</b>	<b>Non-expendable equipment</b>				
	4201	Computer /audio equipment		8,500.00		8,500.00
	4299	Sub-Total		8,500.00	0.00	8,500.00
	4999	Component Total		10,500.00	0.00	10,500.00
<b>50</b>	<b>MISCELLANEOUS COMPONENT</b>					
	<b>5200</b>	<b>Reporting costs</b>				
	5220	Translation of documents			23,000.00	23,000.00
	5221	Reproduction costs			21,000.00	21,000.00
	5299	Sub-Total		0.00	44,000.00	44,000.00
	<b>5300</b>	<b>Sundry</b>				
	5301	Contingency *		20,000.00		20,000.00
	5399	Sub-Total		20,000.00	0.00	20,000.00
	5999	Component Total		20,000.00	44,000.00	64,000.00
	<b>Grand Total</b>			<b>479,000.00</b>	<b>221,000.00</b>	<b>700,000.00</b>

\* Contingency funding disbursement is subject to precise programming and budgeting approved by the Steering Group.

## Project Review Sheet and response



### GEF SECRETARIAT CONCEPT AGREEMENT REVIEW

**Country/Region :** Regional (Bolivia, Brazil, Colombia, Ecuador, Guyana, Peru, Suriname, Venezuela)

**Project Title :** Integrated and Sustainable Management of Transboundary Water Resources in the Amazon River Basin

**GEFSEC Project ID :** 2364

**Operational Program :** 9

**Implementing Agenc(ies) :** UNEP

**Anticipated project financing (\$ million) :** PDF \$ 0.70      GEF Project Allocation \$ 10.00      Total Project Cost : 22.00

**Scheduled Project Review Dt :** 10/22/2003

**Target Work Program Date :** November 2006

**Program Manager :** Andrea Merla

**IA Contact Person :** Ahmed Djoghlaif

#### Summary

Objective of the project is to strengthen, in a coordinated and coherent manner, the institutional framework for planning and executing activities for the protection and sustainable management of the water resources of the Amazon River Basin, endeavoring to realize a shared vision of sustainable development in the region based upon the protection and integrated management of transboundary water resources and adaptation to climatic changes.

#### Specific Objectives

To this end, the Basin countries have agreed to:

- i. Make progress toward the integrated management of water resources, and adaptation to climatic variation and change, through more effective decision-making by the relevant national institutions, based upon the forecast impacts of climatic variations and changes on water resources.
- ii. Strengthen the shared strategic vision for the Basin as the basis for integrated water resource planning and management, adaptation to climatic change, and sustainable development.
- iii. Strengthen the technical-institutional structure for the identification of water resources at risk of environmental impairment (critical areas or "hot spots") in order to recommend measures, plans, and projects to protect and/or rehabilitate them and, in association with the responsible institutions in each country, initiate remedial measures.
- iv. Generate more knowledge about the types and sources of water pollution in the Basin, monitor them, and attack their root causes.

- v. Generate more knowledge about the effects of droughts, monitor them, and mitigate extreme events in vulnerable regions.
- vi. Make progress toward legal harmonization, and development of economic instruments, technical and institutional capacity, and public participation in the management of water resources in the Basin.
- vii. Strengthen the TCA Secretariat as an effective coordination agency for countries in the Basin in the short-, medium-, and long-terms

**Expected Outputs**

- (I) Consolidated shared vision for the Amazon River Basin and formulation of a Transboundary Diagnostic Analysis (TDA) for the Amazon River Basin
- (ii) Strengthened National Water Resources Institutions and the OTCA for Integrated Water Resource Management in the Amazon River Basin
- (iii) Hydrological-environmental information system to support decision-making in place
- (iv) Establishment of capacity for Forecasting the hydrological impact of climate variation and change and the implications for development
- (v) Enhanced sustainable management of water use and the protection of aquatic ecosystems
- (vi) Increased Participation and education for sustainable water resource management in the Amazon River Basin

**1. COUNTRY OWNERSHIP**

**Country Eligibility:** Countries are eligible under para 9(b) of GEF Instrument

**Country Drivness:**

At pipeline entry:

The Amazon Cooperation Treaty, as strengthened and amended (2003 Protocol), into the Organization of the Amazon Cooperation Treaty (OACT) calls for joint actions among riparians for the management and protection of the water resources of the basin. All countries are now fully committed to the Treaty and will support with co-financing the GEF project.

Expected at Work Program inclusion:

Expected at CEO endorsement:

**Endorsement :**

The OACT has endorsed the concept.

Expected at Work Program inclusion:  
All riparian countries will endorse the proposal

Expected at CEO endorsement:

**2. PROGRAM AND POLICY CONFORMITY**

**Program Designation and Conformity**

At pipeline entry:

The concept outlines a three phase plan for the full implementation of joint management measures and institutional framework. The present submission refers to the first phase only, which is dedicated to setting the foundations for

Expected at Work Program inclusion:

Expected at CEO endorsement:

joint actions in terms of knowledge, monitoring systems, capacity building and institutional strengthening and priority setting. Focus is on prevention of degradation (pollution, overfishing) and adaptation to climatic fluctuations. The orject hence fits well with OP9 criteria and with IW strategic prioprity #2 and with the adaptation new strategcic priority

Strategic priority fit not included in Cover page---please add IW-2 and cc adaptation in resubmission.

**Project Design**

At pipeline entry:

Well developed foundational work design but perhaps too many activities in one project. Perhaps simplify the design somewhat.

Expected at Work Program inclusion:

Expected at CEO endorsement:

For adaptation argument, some emphasis on vulnerability assessment and characterization should be included in components 3 and 4 and reduced emphasis on floods when indeed droughts are the larger issue during El-Nino years.

The SAP should also include some actions and alternatives for adapting to the reduced flows from glaciers in headwaters and the periodic droughts. Seems as if at least one half if not more



of the project is aimed at the key transboundary issue of climatic fluctuations...especially droughts.

**Sustainability (including financial sustainability)**

At pipeline entry:

The project aims at building the knowledge base and the enabling environment for joint on the ground actions that would follow, and would support the countries bold decision to work together and establish effective permanent and sustainable cooperation mechanisms.

Expected at Work Program inclusion:

Expected at CEO endorsement:

**Replicability:**

At pipeline entry:

Expected at Work Program inclusion:

Full project will include strategy to enhance replication of best practices and pilots.

Expected at CEO endorsement:

**Stakeholder Involvement:**

At pipeline entry:

Expected at Work Program inclusion:

To be fully addressed

Expected at CEO endorsement:

**Monitoring and Evaluation:**

At pipeline entry:

Expected at Work Program inclusion:

To be fully addressed

Expected at CEO endorsement:

**3. FINANCING**

**Financing Plan**

At pipeline entry:

Expected at Work Program inclusion:

indicative sources of cofinance

Expected at CEO endorsement:

cofinancing confirmed by endorsement.

identified.

With key transboundary concern being fluctuating climate..especially droughts... expect a project with at least half the funding from the adaptation strategic priority to accompany IW financing.

**Implementing Agency Fees**

At pipeline entry:

Expected at Work Program inclusion:

Expected at CEO endorsement:

**4. INSTITUTIONAL COORDINATION AND SUPPORT**

**Core Commitments and Linkages**

At pipeline entry:

Expected at Work Program inclusion:

Expected at CEO endorsement:

**Consultation, Coordination, Collaboration between IAs, and IAs and EAs, if appropriate**

At pipeline entry:

Expected at Work Program inclusion:

Expected at CEO endorsement:

**5. RESPONSE TO REVIEWS**

**Council**

At pipeline entry:

Expected at Work Program inclusion:

Expected at CEO endorsement:

**Convention Secretariat**

At pipeline entry:

Expected at Work Program inclusion:

Expected at CEO endorsement:

**GEF Secretariat**

At pipeline entry:

Expected at Work Program inclusion:

Expected at CEO endorsement:

**Other IAs and RDBs**

At pipeline entry:

Expected at Work Program inclusion:

Expected at CEO endorsement:

**STAP**

At pipeline entry:

Expected at Work Program inclusion:

Expected at CEO endorsement:

**Review by expert from STAP Roster**

At pipeline entry:

Expected at Work Program inclusion:

Expected at CEO endorsement:

**PDF B**

**6. Terms of Reference** (relate to translating the pipeline entry criterion (met) to the WP inclusion criterion):

Concept includes draft TOR. A specific discussion of PDF-B activities should follow revisions and agreement on concept.

In December 2004, a request for PDF-B funding was submitted for CEO approval. The program manager requests the following revisions:

- (i) Cover page: add indication on allocations from LW (\$5m) and Adaptation (\$5m), and correct figure for total co-financing.
- (ii) Page 4 - Revise to stress focus on transboundary issues, and on drought management for adaptation, including prevention of fires. Add emphasis on water sector/water use efficiency, and land aspects related to drought management and fire prevention.
- (iii) page 6, under "i" add "determine vulnerability of people and ecosystems"
  - page 7, excessive emphasis on environment, need to highlight CC adaptation focus;
  - page 8, activity 1, bullet 1: add at the end "including vulnerability to climatic fluctuations";
  - page 9, activity 3, add: "determination of vulnerability of people and ecosystems";
  - page 10, need for M&E Plan, including necessary resources;
  - page 13, include among outputs: "TOR for the execution of vulnerability analysis".

**7. Budget line items related to the TOR** (including schedule):

**GENERAL COMMENTS**

(for records purpose only, not pre-conditions)

At pipeline entry:

The submission of this concept marks a fundamental political shift towards cooperation on water and environment among Amazon riparians. The project would assist the countries to strengthen this process and help countries focus on major threats, such as climatic fluctuations and droughts, pollution from the cities such as sewage pollution, and over-fishing hot spots near the main cities where the fish are "exported" out of the basin to main cities.

If focused from the beginning on the main transboundary concerns: adaptation of drought, mercury from gold mining, and overfishing with some emphasis on proper sewage treatment in the large cities, the project may be able to move toward on-the-ground results more rapidly.

Expected at Work Program inclusion:

Expected at CEO endorsement:

SUMMARY RECOMMENDATIONS BY PROGRAM MANAGER

At pipeline entry:

The program manager would recommend pipeline entry upon review of a revised concept addressing the recommendations described under "further processing".

A bilateral was held with UNEP on

Expected at Work Program inclusion:

Project is at least one half related to climate change adaptation to transboundary fluctuations in flows and precipitation. Brief should be at least one-half in adaptation area in terms of financing.

Expected at CEO endorsement:

October 29, 2003. The comments were shared with UNEP, including those under "further processing". UNEP agreed to revise the concept per these comments. GEFSEC did note that the pipeline is full in international waters and that this project would have a better chance of being submitted to Council in late FY 2006 if at least half the funding came from the new adaptation strategic priority. Otherwise, it would need to wait until FY 2007.

On Nov. 7th a revised concept was received. It addresses satisfactorily all issues raised in this review. The program manager recommends CEO approval of pipeline entry.

A request for PDF-B funding was submitted in December 2004. The program manager would recommend CEO approval upon receipt of a document revised according to the comments made in this review under TORs.

FURTHER PROCESSING

At pipeline entry:

It is recommended that the following revision to the concept document be considered:

- (i) Simplification of design - Make an effort to reduce the number of activities foreseen under the project,

Expected at Work Program inclusion:

Expected at CEO endorsement:

focusing on main critical components.  
(ii) Focus on droughts - to strengthen the focus on droughts and fires related with extreme climatic variations (as opposed to floods, which are needed to keep the Amazon ecosystem functioning).

As a consequence, strategic priority on first page should not only be "expand transboundary areas for capacity-building foundational work" but also "Climate Change Adaptation".

(iii) Vulnerability to climatic fluctuations - include in Component 4 vulnerability assessments of ecosystems and communities, and an analysis of adaptation options.

(iv) Land issues - Emphasize the importance of land management and degradation in the integrated management of the basin given the need for adaptation.

(v) Participation - Strengthen the participation section, excessively focused on awareness raising only, to introduce participation as a decision making process.

(vi) Country role - Provide assurances that each country will actively participate to undertake project activities and the OTCA secretariat is in a coordinating role.

(vii) Interministerial committees - Give full consideration to the establishment in each country, as part of the project,

of such inter-sectoral bodies.  
(viii) Website - Provide assurances that the project will establish a website consistent with IW:LEARN guidance (\$ devoted to a component of the project) and participate in IW:LEARN activities and the Biennial IW Conference.

**Response to GEF Sec comments as per the above mentioned review sheet.**

Overall, the PDF-B document was reviewed to add clarity amongst the different components and emphasize the climate change adaptation focus. Further, the IA discussed internally how to best work jointly with the cc adaptation team and leading through successful incorporation in their pipeline.

More specifically, the identifier page (cover page) has been modified to show the split in funding between cc adaptation and IW for the FP.

The background section, on page 4, has been revised emphasizing, in the list of main environmental problems, the changes in the hydrological cycle associated with changes in the global climate (see bullet 3).

On page 7, the summary of project objective has been clarified to emphasize the vulnerability of people and ecosystems to climate variability (see i., v., and vi)

On page 8, in the chapeau prior to discussing the PDF-A activities, the focus on cc adaptation has been emphasized.

On page 9, activity 1 is including an assessment of the vulnerability of communities and ecosystems due to the fluctuations of climate.

On page 10, activity 3, in its chapeau, emphasizes the impact of climatic variability on people and ecosystems.

On page 11, activity 5 now caters for an M&E plan.

On page 14, under the PDF-B output section, ii) covers TORs for a vulnerability analysis.



**ANNEX 8 A: QUARTERLY OPERATIONAL REPORT TO UNEP**

(as at 31 March, 30 June, 30 Sept and 31 December)

**1. IDENTIFIERS**

Country

Project Title

Project No.

Focal Area

Implementing Agency

GEF Funding

Co-funding

**2. FINANCIAL STATUS**

**3. IMPLEMENTATION PROGRESS**

**4. ACHIEVEMENT OF PROJECT OBJECTIVES**

**5. SPECIFIC ASSESSMENT OF FACTORS RELATING TO THE BIOLOGICAL DIVERSITY  
FOCAL AREA**

**ANNEX 8 B: FORMAT FOR QUARTERLY PROGRESS REPORT TO UNEP**  
**as at 31 March, 30 June, 30 September and 31 December**

Implementing Organization: \_\_\_\_\_

Project No: \_\_\_\_\_

Project Title: \_\_\_\_\_

Reporting Period: \_\_\_\_\_

1. Project Personnel required (Task Manager/Project Coordinator and Administrative Assistants)

Name / Functional Title	Nationality	Duration of Contract	Fee (in US\$)	Brief Terms of Reference	Object of Expenditure (code per the budget e.g. 1101, 1301 etc..)

2. Experts/Consultants required:

Name / Functional Title	Nationality	Duration of Contract	Fee (in US\$)	Brief Terms of Reference	Object of Expenditure (code per the budget e.g. 1201, 1202 etc..)

3. Sub-contracts required:

Name and Address of Organization	Object of Expenditure (code per the budget e.g. 2201, 2301 etc..)

4. Major items of equipment ordered: (Value over \$1,500)

Please attach to the 2nd quarter (April - June) and 4th quarter (Oct - Dec) progress reports an **inventory** of all non-expendable equipment, indicating date of purchase, description, serial number, quantity, location, cost and remarks, and for vehicles, give mileage report (see separate inventory list format).

5. Status of the implementation of the activities listed under **WORKPLAN** in the project document, and status of documents, reports, manuals, guidelines, etc.

(a) List actual activities/outputs\* **completed/produced** under the following headings where appropriate:

(Please tick appropriate box)

(i) **Meetings** (envisaged under the project)

Intergovernmental (IG) Mtg       Expert Group Mtg       Training/Seminar Workshop       Others

Title \_\_\_\_\_

Venue and Dates \_\_\_\_\_

Convened by \_\_\_\_\_ Organized by \_\_\_\_\_

Report issued as doc. no. /symbol \_\_\_\_\_ Languages \_\_\_\_\_ Dated \_\_\_\_\_

For Training Seminar/Workshop, please indicate: No. of participants \_\_\_\_\_ and attach **Annex** giving names and nationalities of participants.

**Annex (Participants List, Quarterly Progress Report))**

Name	Nationality

(ii) **Printed Materials**

Report to  (IG) Mtg       Technical Publication       Technical Report       Others

Title \_\_\_\_\_

Author(s)/Editor(s) \_\_\_\_\_

Publisher \_\_\_\_\_

Symbol (UN/UNEP/ISBN/ISSN) \_\_\_\_\_

Date of publication \_\_\_\_\_ (when the above reports have been distributed, attach the distribution list).

(iii)       **Technical Information**       **Public Information**

Description \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Dates \_\_\_\_\_

(iv) **Technical Cooperation**

Grants and Fellowships       Advisory Services       Others (describe)

Purpose \_\_\_\_\_

Place and Duration \_\_\_\_\_

For Grants/Fellowships, please indicate:

<u>Beneficiaries</u>	<u>Countries/Nationalities</u>	<u>Cost (in US\$)</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____

(b) Status of activities/outputs underway:

- (i) Meetings, seminars, workshops study tours, training courses, fellowships under preparation

- (ii) Status of documents, reports, manuals, guidelines being prepared
- (iii) Status of studies, surveys underway
- (iv) Status of implementation of other activities

6. Summary of the problems encountered in project delivery (if any)
7. Actions taken or required to solve the problems identified in (5) above

**CASH ADVANCE STATEMENT**

Statement of cash advance as at .....  
 And cash requirements for the quarter of .....

Name of cooperating agency/  
 Supporting organization \_\_\_\_\_  
 Project No. \_\_\_\_\_  
 Project title \_\_\_\_\_

**I. Cash statement**

1. Opening cash balance as at ..... US\$ \_\_\_\_\_  
 2. Add: cash advances received:

Date	Amount
.....	.....
.....	.....
.....	.....
.....	.....

3. Total cash advanced to date US\$ \_\_\_\_\_  
 4. Less: total cumulative expenditures incurred US\$ ( \_\_\_\_\_ )  
 5. Closing cash balance as at ..... US\$ \_\_\_\_\_

**II. Cash requirements forecast**

6. Estimated disbursements for quarter  
 ending ..... US\$ \_\_\_\_\_  
 7. Less: closing cash balance (see item 5, above) US\$ ( \_\_\_\_\_ )  
 8. Less interests accrued US\$ ( \_\_\_\_\_ )  
 9. Total cash requirements for the .....  
 quarter ..... US\$ \_\_\_\_\_

Prepared by \_\_\_\_\_ Request approved by \_\_\_\_\_  
 Duly authorized official of cooperating agency/ supporting organization

**FORMAT OF QUARTERLY PROJECT EXPENDITURE ACCOUNTS FOR SUPPORTING ORGANIZATIONS**

Quarterly project statement of allocation (budget), expenditure and balance (Expressed in US\$) covering the period  
 ..... to .....

Project No. .... Supporting Organization .....

Project title: .....

Project commencing: ..... (date) Project ending: ..... (date)

Object of expenditure by UNEP budget code	Project budget		Expenditure incurred				Unspent balance of budget	
	allocation for year.....		for the quarter .....		Cumulative expenditures this year .....		allocation for year .....	
	m/m (1)	Amount (2)	m/m (3)	Amount (4)	m/m (5)	Amount (6)	m/m (7)	Amount (2)-(6)
1100 Project personnel								
1200 Consultants								
1300 Administrative support								
1400 Volunteers								
1600 Travel								
2100 Sub-contracts								
2200 Sub-contracts								
2300 Sub-contracts								
3100 Fellowships								
3200 Group training								
3300 Fellowships								
4100 Expendable equipment								
4200 Non-expendable equipment								
4300 Premises								
5100 Operation								
5200 Reporting costs								
5300 Sundry								
5400 Hospitality								
<b>99 GRAND TOTAL</b>								

Signed: \_\_\_\_\_  
 Duly authorized official of supporting organization

**NB: The expenditure should be reported in line with the specific object of expenditures as per project budget**

**TERMINAL REPORT**  
(For External Projects Only)

**Implementing Organization** \_\_\_\_\_

**Project No.:** \_\_\_\_\_

**Project Title:** \_\_\_\_\_

**1. Project Needs and Results**

Re-state the needs and results of the project.

**2. Project activities**

Describe the activities actually undertaken under the project, giving reasons **why some activities were not undertaken, if any.**

**3. Project outputs**

Compare the outputs generated with the ones listed in the project document.

List the actual outputs **produced but not included in previous Progress Reports** under the following headings

(Please tick appropriate box)

**(a) MEETINGS (UNEP-convened meetings only)**

Inter-governmental (IG) Mtg.  Expert Group Mtg.  Training Seminar/Workshop  Others

Title: \_\_\_\_\_

\_\_\_\_\_

Venue and dates \_\_\_\_\_

Convened by \_\_\_\_\_ Organized by \_\_\_\_\_

Report issued as doc. No/Symbol \_\_\_\_\_ Languages \_\_\_\_\_ Dated \_\_\_\_\_

For Training Seminar/Workshop, please indicate: No. of participants \_\_\_\_\_ and attach **annex** giving names and nationalities of participants.

**(b) PRINTED MATERIALS**

Report to IG Mtg.  Technical Publication  Technical Report  Others

Title: \_\_\_\_\_

\_\_\_\_\_

Author(s)/Editor(s) \_\_\_\_\_

Publisher \_\_\_\_\_

Symbol(UN/UNEP/ISBN/ISSN) \_\_\_\_\_

Date of publication \_\_\_\_\_

(When technical reports/publications have been distributed, attach **distribution list**)

**(c)  TECHNICAL INFORMATION**

**PUBLIC INFORMATION**

Description \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Dates \_\_\_\_\_

**(d) TECHNICAL COOPERATION**

- Grants and Fellowships       Advisory Services  
 Staff Missions                 Others (describe)

Purpose \_\_\_\_\_  
\_\_\_\_\_

Place and duration \_\_\_\_\_

For Grants/Fellowships, please indicate:

<u>Beneficiaries</u>	<u>Countries/Nationalities</u>	<u>Cost(in US\$)</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

**(f) OTHER OUTPUTS/SERVICES**

For example, Networking, Query-response, Participation in meetings etc.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**4. Use of outputs**

State the use made of the outputs.

**5. Degree of achievement of the objectives/results**

On the basis of facts obtained during the follow-up phase, describe how the project document outputs and their use were or were not instrumental in realizing the objectives/results of the project.

**6. Conclusions**

Enumerate the lessons learned during the project execution. Concentrate on the management of the project, indicating the principal factors which determined success or failure in meeting the objectives set down in the project document.

**7. Recommendations**

Make recommendations to:

- (a) Improve effect and impact of similar projects in the future;
- (b) Indicate what further action might be needed to meet the project objectives/results.

**8. Non-expendable equipment (value over US\$1,500)**

Please attach to the terminal report a **final** inventory of all non-expendable equipment (if any) purchased under this project, indicating the following:

Date of purchase, description, serial number, quantity, cost, location and present condition, together with your proposal for the disposal of the said equipment.



**INVENTORY OF NON-EXPANDABLE EQUIPMENT PURCHASED AGAINST UNEP PROJECTS**

UNIT VALUE US\$1,500 AND ABOVE AND ITEMS OF ATTRACTION

As at \_\_\_\_\_

Project No. \_\_\_\_\_

Project Title \_\_\_\_\_

Executing Agency: \_\_\_\_\_

Internal/SO/CA (UNEP use only) \_\_\_\_\_

FPMO (UNEP) use only) \_\_\_\_\_

Description	Serial No.	Date of Purchase	Original Price (US\$)	Purchased / Imported from (Name of Country)	Present Condition	Location	Remarks/recommendation for disposal

The physical verification of the items was done by:

Name: \_\_\_\_\_ Signature: \_\_\_\_\_

Title: \_\_\_\_\_ Date: \_\_\_\_\_