

**Case SECU0017**

Date 2/12/2025

**UNDP Management Response to SECU0017 Administrator’s Decision**

This Action Plan lays out the actions envisaged and undertaken to implement the UNDP Administrator’s decision, including actions proactively taken prior to issuance of final SECU report, and is intended to facilitate monitoring and tracking progress against the decision. The organization started to take corrective action in response to learning from this case as soon as details became available, including after the issuance of the draft report in 2024. Training and trust-building will continue to be prioritized on an on-going basis.

CO level: UNDP Colombia				
Management Response:				
Key Actions	Time frame	Responsible units (s)	Tracking	
			Status	Comments/verification
To ensure full application of the <a href="#">Social and Environmental Standards</a> (SES) policy and to avoid similar situations in the future based on the lessons learned from this case, social and environmental screening procedures of all country office projects have been reviewed and revised, in some cases drawing on relevant technical expertise at the regional and headquarters levels.	2025	UNDP Colombia	Completed	All project SES available in Quantum
Following lessons learned from this case, the country office organized training, workshops, internal exchange sessions and webinars related to SES (including Applying Free, Prior and Informed Consent FPIC) and private sector due diligence to strengthen knowledge and tools in partnership with experts in Headquarters and the regional bureau. Further details on the trainings and activities carried out since the onset of the case are provided in the annexed document ( <b>Annex 1. CO Documentation - Internal capacity PSDD - SES</b> )	2021-2025	UNDP Colombia	Completed	Annex 1. CO Documentation Internal capacity PSDD - SES

<p>A Private Sector Committee was created in 2022 to enhance knowledge and capabilities regarding corporate policies and to promote an exchange of experiences and learnings in private sector engagement. As part of the country office’s strategy to strengthen internal capacity and enhance quality assurance based on the lessons learned from this case, this committee evolved into the current Local Private Sector Due Diligence Committee to ensure more robust due diligence and strengthened oversight for all private sector partnerships moving forward. The ToR of this committee, aligned with the standards established in the corporate policy, as well as the composition of the committee in the case of Colombia, are detailed in the <b>Annex 1. CO Documentation 2. PSDD Local Committee TOR.</b></p>	2022-2025	UNDP Colombia	Completed	Annex 1. CO Documentation 2. PSDD Local Committee TOR
<p>Since 2021, as part of the response to the lessons learned from this case and to ensure stronger compliance with SES requirements, the country office has proactively implemented an SES action plan for its operational portfolio. Social and Environmental Screening Procedures (SESPs) are reviewed by the local project appraisal committee as part of project approval and assessments are updated when projects are substantially revised. The objective is to ensure that all projects classified as moderate, substantial, or high risk implement the appropriate management measures according to the risk rating. These measures include (among other things):</p> <ul style="list-style-type: none"> <li>•Environmental and Social Management Plan: Defines the actions to mitigate negative environmental and social impacts.</li> </ul>	2021-2025	UNDP Colombia	Completed	Annex 1. CO Documentation 3. SES related actions at CO

<ul style="list-style-type: none"> <li>•Environmental and Social Management Framework: Provides a structured framework for managing environmental and social risks and impacts.</li> <li>•Gender Action Plan: Ensures gender inclusion and equity at all stages of the project.</li> <li>•Indigenous Peoples Plan: Establishes measures to guarantee the rights and participation of indigenous communities.</li> <li>•Stakeholder Engagement Plan: Promotes the participation of all stakeholders in the project.</li> </ul> <p>Additional information is provided in the <b>Annex 1. CO Documentation 3. SES related actions at CO.</b></p>				
<p>The CO continues to work with Indigenous communities and following the lessons learned from this case, has undertaken all the actions to strengthen trust, ensure more robust safeguards, and maintain constructive relations with these communities. Since 2021, the country office has implemented several joint initiatives with indigenous and campesino communities in the Putumayo territory and in Colombia to improve their livelihoods. The different engagement efforts, as well as the mechanisms in place to continue dialogue across various programmatic areas, are detailed in <b>Annex 1. CO Documentation 4 Indigenous work.</b></p>	Since 2021	UNDP Colombia	Completed	Annex 1. CO Documentation 4 Indigenous work

Regional Level: RBLAC				
Management Response:				
Key Actions	Time frame	Responsible units (s)	Tracking	
			Status	Comments/verification

<p>The regional bureau reviewed the due diligence processes in the country office through enhanced oversight from 2022-2023.</p>	<p>Since 2022</p>	<p>RBLAC Partnerships</p>	<p>Completed (framework and tools established 2022–2023); ongoing implementation and refinement.</p>	<p>Evidence of enhanced regional oversight (2022–2023) is documented in the Private Sector Tools &amp; Procedures package on the RBLAC Private Sector &amp; Foundations SharePoint, which includes the Flowchart and Checklist for Escalation, the Due Diligence Cases Library, and the Webinars Library (record of capacity-building and guidance updates).</p> <p>Regional governance and quality assurance were strengthened through the Regional PSDD Committee (ToR) and Regional Private Sector Focal Point ensuring consistent application and tiered decision-making.</p> <p>Operational tools embedded in Quantum+—including the Risk Assessment Template (RAT), Risk Log, Monitoring &amp; Communication Plan, and the PS Pipeline—provide traceability and verification of due diligence decisions and follow-up, which the PS Focal Point conducts frequently.</p> <p>Ongoing oversight and support are evidenced by bi-weekly AMA sessions and on-demand 1:1s, with forward planning for additional</p>
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				<p>trainings/webinars captured in the same package.</p>
<p>Stronger regional oversight of private sector due diligence has been implemented, strengthening quality assurance of the data that underpins decisions taken on partnering with the private sector. Focal points have been appointed for private sector due diligence at the regional and country levels.</p>	<p>Since 2022</p>	<p>RBLAC Partnerships</p>	<p>Completed</p>	<p>Between 2022 and 2023, RBLAC implemented a stronger regional oversight mechanism for Private Sector Due Diligence (PSDD) through the establishment of a Regional PSDD Committee and the formalization of country-level focal points. The regional tools and procedures were consolidated in the Private Sector Tools and Procedures package (RBLAC SharePoint), which includes a standardized Flowchart for Escalation Procedure, Checklist for Escalation Procedure, Risk Assessment Template (RAT), and Monitoring and Communication Plan, now embedded in Quantum+ for improved traceability and quality assurance of partner data</p> <p>To strengthen capacities and ensure consistent application of due diligence standards, the Partnerships Community of Practice (CoP) conducted over 12 webinars between 2022–2023—covering due diligence, risk management, and private sector engagement. These sessions, available on the <a href="#">Partnerships CoP SharePoint site</a>, complemented regional oversight with ongoing peer learning and dissemination of updated guidance.</p>

				Regular bi-weekly AMA meetings and on-demand 1-to-1 sessions further supported the regional offices and country focal points in applying the PSSD framework, ensuring coherence with the global due diligence policy and regional risk committee reviews.
<p>Beginning in 2023, the Regional Bureau implemented capacity building activities including webinars and in-country training sessions for UNDP personnel, implementing partners and retained consultants. The training encompassed the fundamental principles of the Social and Environmental Standards, methodologies for screening processes, assessment and management instruments for environmental and social risks and impacts, stakeholder engagement procedures and requisite accountability mechanisms. Sharing broader lessons learned will also be a part of this training</p> <p>A regional webinar will be conducted in Q1 2026 to share learnings from this case.</p>	<p>5 SES thematic regional webinars on SES From March 2023 to Nov 2023</p> <p>Webinar in Q1 2026 will be organized for COs to present lessons from this case.</p>	RBLAC and BPPS SES Team	In progress	<p>RBLAC SharePoint online webinars available</p> <p>Attendance by CO Staff</p>
<p>A methodology for spot-checking private sector due diligence in the region will be introduced as part of UNDP's digital platform for partnership management.</p>	<p>Internal review is underway.</p>	RBLAC Partnerships team in coordination with BPPS and the Regional	In Progress, Q1 2026	<p>Checklist developed to support spot checks to monitor both the process and results of due diligence undertaken.</p>

		PSDD Committee.		
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Global level: HQ				
Management Response				
Key Actions	Time frame	Responsible units (s)	Tracking	
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<p>In 2023, UNDP revised its private sector policy to ensure that partnerships with extractive industries are always escalated to the corporate Risk Committee for final decision making.</p> <p>All extractive-sector cases are escalated to the Corporate Risk Committee, chaired by the UNDP Associate Administrator, because they carry elevated environmental, social, human-rights, and governance risks that can impact communities. This added layer of senior oversight ensures compliance with <a href="#">UNDP’s Social and Environmental Standards (SES)</a>, <a href="#">Human Rights Due Diligence (HRDD)</a>, and <a href="#">Enterprise Risk Management (ERM)</a> frameworks, helping to ensure that any engagement prioritizes people, protects communities, and supports sustainable development outcomes.</p>	2023	BPPS and BERA	Completed	<p>Policy on Due Diligence and Partnerships with the Private Sector (updated June 2023) Page 16. “All decisions related to partnerships with private sector entities to which direct involvement in exclusionary criteria apply and/or which are engaged in extractive industries must be escalated to the Corporate Risk Committee”.</p> <p>Policy is publicly available: <a href="https://popp.undp.org/policy-page/policy-due-diligence-and-partnerships-private-sector">https://popp.undp.org/policy-page/policy-due-diligence-and-partnerships-private-sector</a></p>
<p>In 2023, UNDP adopted the UNITY platform to enhance corporate oversight and accountability in its engagement with the private sector. UNITY enables systematic tracking of all private sector partnerships, ensures accurate classification of partners, and confirms that due diligence processes are conducted with rigor, consistency, and transparency.</p>	2023	BPPS and BERA	Completed	<p>UNITY platform was adopted and is being used to track private sector partnerships and due diligence processes.</p>

<p>Document a lessons-learned to capturing key insights from the case, with the objective of strengthening future practice and supporting potential wider sharing.</p>	<p>Q1 2026</p>	<p>BPPS with RBLAC</p>	<p>In Progress</p>	<p>Lessons learned, the SECU report, and management actions will be used to prepare communication material that can be shared widely to ensure learning from the case is disseminated widely in UNDP.</p>
<p>UNDP has developed new Guidance on the <a href="#">Human Rights-Based Approach to Development Programming</a> through the issuance of a Toolkit intended to strengthen the implementation of the Social and Environmental Standards and the HRBA in all UNDP programming. Accompanying this are new training materials forming an HRBA training package aiming to ensure personnel are capacitated to implement the new HRBA guidance.</p>	<p>HRBA Guidance launched in Feb 2025. HRBA training package will be launched in Q1 2026.</p>	<p>Crisis Bureau Human Rights team in coordination with the BPPS SES Team</p>	<p>In Progress</p>	<p>In February 2025, UNDP launched more detailed guidance on how to utilize the human rights-based approach in our projects and programming, in line with the requirements of the SES and UNDP's quality assurance requirements. The related training package is well advanced and will be made available online. The Toolkit will also be translated into Spanish language for use with partners and related stakeholders in UNDP programming.</p>