

UNDP Check list to be used for projects when submitted to the GEF for CEO endorsement/approval

Background:

Reference is made to the OAI Audit report in relation to UNDP's management of GEF-supported projects (issued on 1 December 2020). Any actions undertaken in relation to the project shall require strict adherence to all recommendations and associated management actions plans set out in the OAI report. Pursuant to the decisions of the GEF Council during the 59th GEF Council meeting, UNDP is required by GEF Council, at the time of seeking CEO Endorsement/approval, to demonstrate that this project design meets all of the 2020 OAI audit recommendations as a prerequisite for further consideration and review by the GEF Secretariat. The project proposal will also be subject to 2nd review and approval by Council as a condition for CEO endorsement/approval. Consequently (and contrary to earlier practices), please note that funding is not assured unless and until these preconditions have been met and duly confirmed and submitted to the GEF Secretariat.

Checklist:

Project: BOLIVIA – (PIMS 6561) Seventh Operational Phase of the GEF Small Grants Programme in Bolivia

Project address all concerns raised in the OAI report, based on below assessment.			UNDP Assessment	
			YES	NO
			X	
UNDP to indicate Yes or No and provide additional information:	Yes	No	Additional information (please include a page reference in the PRODOC and/or a link to supporting documents)	
Internal Control Framework (ICF)				
Please indicate when the Internal Control Framework of your Country Office has been validated by the Regional Bureau. Indicate when this will be reviewed again.	X		Date of ICF review by RBX: 1.07.2020 Future date of ICF review: 28.02.2021 Do not add text only dates.	
Country Office (CO) Capacities				
Please clarify if the CO is equipped to provide proper implementation (oversight) and financial management of the project in line with UNDP rules and regulations and GEF policies?	X		The CO is adequately equipped to support project implementation and financial management through its capable and experienced programme and operations (HR, Finance, Procurement and ICT) units, where UNDP rules and regulations and GEF policies are applied as required. During the period between 2016-2020, the UNDP CO has successfully provided implementation support, including financial management, to more than 86 projects funded by multiple donors (to name a few, projects rely on EU, WB, SIDA, GFATM, Swiss Cooperation, private sector, IBSA funding) with	

		<p>various implementing partners, for a total delivery of more than <u>65 million</u> USD.</p> <p>Over this period of time, the UNDP Bolivia GEF Portfolio comprised a total of 12 awarded projects (excluding hard/soft pipelines) of which three (\$16,407,301) are ongoing, and nine are closed (\$20,158,236). UNDP has been providing oversight of implementation and financial management (in line with UNDP rules and regulations and GEF policies) for these projects. Specifically, since 1999, UNDP Bolivia has implemented 7 SGP projects, including the pilot phase for a total of USD 12,377,907.</p>
Please provide evidence of CO capacities including the list of subject matter experts to support oversight and provide execution support/procurement (when the latter has been approved by GEF)	X	<p><i>List of the names and functions of staff who will provide oversight covered by the GEF Fee:</i></p> <ul style="list-style-type: none"> - Sara Sanchez, Operations Manager - Rocio Chain, Programme Officer - Karina Antezana, Programme Associate - Monitoring and Evaluation Officer, in recruitment process - Nagera Vicente, Communication and Advocacy Specialist <p><i>List of the names and functions of staff in the UNDP CO who will provide oversight services (not supported by the GEF fee)</i></p> <ul style="list-style-type: none"> - Luciana Mermet, RR, Delegated Authority for oversight of the project by UNDP's Executive Coordinator for GEF Programming, in coordination with de Deputy Regional Bureau Director (RBLAC) - Dennis Funes, Deputy Resident Representative
Has the CO put in place the necessary protocols to conduct annual field missions (monitoring visits) for project oversight support?	X	<p>UNDP Bolivia has a strong Programmatic Team and follows corporate protocols to ensure that, as required by UNDP rules, all oversight field missions occur according to an agreed schedule. The CO will plan in ATLAS the dates for annual field missions and will undertake the missions, recording findings and recommendations to be shared with the Project Coordinator. Follow-up meetings will be programmed to ensure that recommendations have been applied. The cost of annual field missions is budgeted by the CO from the GEF oversight fee.</p>
Please indicate when the latest internal OAI audit of the Country Office took place? Were there any qualifications	X	<p><i>Date of last OAI audit report:</i> 9 February 2021</p> <p><i>Qualification :</i> Partially Satisfactory</p>

<p>and are there any outstanding recommendations? Is there an Action Plan in place?</p> <p>Please indicate if any other audits (BOA, DIM audits, special audits, etc.) have taken place in relation to the CO during the last 3 years.</p>			<p><i>Outstanding audit recommendations:</i></p> <ol style="list-style-type: none"> 1. Recommendation 1: Address gaps in the programme unit organizational structure. 2. Recommendation 2: Strengthen project design 3. Recommendation 3: Strengthen project monitoring and risk management. 4. Recommendation 4: Liaise with the GEF Regional Team, to address project issues. 5. Recommendation 5: Develop a procurement strategy for projects with complex business needs from the onset of the project. 6. Recommendation 6: Improve control over project budgets to avoid project deficits. <p>The CO has prepared a management response and action plan which is under implementation. The six audit recommendations will be completed as follows: 1, 3, 4 and 5 by 30/06/2021; 2 by 31/12/2021; and 6 by 31/03/2021.</p> <p>With the exception of Recommendation 2 regarding project design, the action plan will be completed <i>before this project initiates implementation</i>. Recommendation 2 is, however, already surpassed given the completed assistance and supervision in project design by senior advisers from NCE and a detailed proposal review and approval process by the GEF Secretariat. In general, with implementation of all but the one Recommendation (2) <i>before the project initiates</i> CO oversight capacity will be improved and strengthened which will guide and benefit this project's implementation.</p> <p>During the last three years annual NIM audits have taken place according to the audit plan agreed with OAI.</p>
Has Prodoc clearly outlined roles and responsibilities of UNDP Country Offices and implementing partners for the oversight of this project	X		No explanation needed if answer is Yes.
Has Prodoc clearly outlined roles and responsibilities of the project boards?	X		No explanation needed if answer is Yes.
Oversight and execution			

<p>Where execution support services have been agreed with GEF Secretariat, Specify if the LOA with the Government to provide CO support has been duly completed, cleared by BPPS, and signed by the relevant parties and included as Annex to the UNDP-GEF project document before signature by the Implementing Partner, Government Coordinating Agency and UNDP. Please provide the link to the LOA. Also, please indicate what provisions have been taken to ensure that a proper separation of functions between staff providing oversight of the Implementing Partner executing the project and execution on behalf of the Implementing Partner is in place at the CO level.</p>		X	<p>Not applicable.</p> <p>No execution support services are envisioned and/or have been agreed with the GEF Secretariat. The project will be executed through UNOPS under the UN Agency execution modality.</p>
<p>Have governance structures, staffing and/or operational measures been put in place in this specific project to ensure proper oversight of this project and effective separation between oversight and execution?</p>	X		<p>The structure of the SGP, implemented by UNDP, is decentralized and country-driven in line with the parameters established and approved by the GEF Council under the <i>GEF Programming Directions</i>, <i>SGP Implementation Arrangements</i> and other relevant GEF Council decisions, and the approved UNDP <i>Project Document</i> for this SGP Operational Phase.</p> <p>With more than 25 years of cumulative experience in Bolivia, the SGP Country Programme has established programming, governance, and operational mechanisms of for Upgrading Country Programme project implementation. UNDP is part of the Upgrading Country Programme National Steering Committee, which reviews and approves the Project Document, landscape strategies, project eligibility criteria and proposals for approval along with other NSC members, including government representatives, academic institutions and civil society organizations, representatives of indigenous peoples, and other rural actors.</p>

		<p>The UNDP CO contributes to providing oversight and support to the SGP Country Programme at the country level. The UNDP Resident Representative (UNDP RR) or his/her designated delegate participates as permanent NSC member. The UNDP RR or designee provides day-to-day oversight of the SGP Country Programme Team.</p> <p>At CO level there are also two internal instances where SGP presents its progress. The first instance is a Committee comprised of CO heads, program officers and Project coordinators, which takes place every three months. The second one is a Delivery committee where financial targets are revised twice a month with program/project assistants.</p> <p>As per UNDP-GEF guidelines, UNDP will employ a three-tier supervisory, oversight and quality assurance role. This three-tier structure funded by the GEF Agency fee comprises: 1. UNDP Country Office (aforementioned staff) 2. UNDP Regional Bureau (to ensure compliance with UNDP's corporate regulations and rules) 3. UNDP BPPS Nature, Climate and Energy unit (to ensure technical oversight and compliance with GEF policies and procedures - Headquarters (Global Principal Technical Advisers) and region-based staff (Regional Technical Advisor).</p> <p>For both SGP Country Programmes under Global Programme and UCPs, the UNDP-NCE Unit in New York is ultimately accountable to the GEF Council as GEF Agency. UNOPS is accountable to UNDP as the program executing entity/Implementing Partner, as stipulated in the Memorandum of Understanding between UNDP and UNOPS.</p> <p>For SGP Upgraded Country Programmes, third tier oversight of country projects is undertaken by NCE Principal Technical Advisors, Midori Paxton (Ecosystems and Biodiversity), Srilata Kammila (Adaptation) and Oliver Waissbein (Energy), respectively.</p> <p>SGP UCPs are managed by a UCP Global Coordinator providing second tier oversight as a Global Technical Advisor. The UCP Global Coordinator provides oversight by supporting and monitoring implementation and promoting the sharing of lessons</p>
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			<p>learned and best practice among UCPs and between UCPs and the Global Programme.</p> <p>UNDP COs provide the first-tier oversight, as mentioned above.</p>
Implementing Partner Capacities			
Please indicate the risk rating outlined in the Partner Capacity Assessment Tool (PCAT) and HACT/ micro assessments. Indicate the year the HACT assessment was undertaken.		X	UNOPS performs the role of UNDP Implementing Partner for the SGP. These partnership and collaboration frameworks come under the UNDP-UNOPS MOU (2009). As well, the PCAT tool was applied to UNOPS in 2019 and indicated an overall low risk. The HACT assessment was not performed as UNOPS is a UN agency.
Please indicate the date of the most recent HACT/NIM audits have been conducted of the selected Implementing Partner. What measures have been put in place to respond to the audit findings? When available, provide a link to the management response		X	n/a
Are there any outstanding HACT/NIM audit recommendations that haven't been addressed? What is the Net Financial Misstatement?		X	n/a
Please specify what capacities the office has in place to conduct periodic spot checks and monitoring of the IP's capacities		X	<p>UNOPS provides programme execution services including administrative, financial, legal, operational, procurement and project management for the SGP as described in detail in the UNOPS SGP Standard Operating Procedures (SOPs). The UNOPS Grant Management Services (GMS) Manager and his/her team work closely with the SGP Deputy Global Manager and CPMT staff, as well as with the SGP UCP Global Coordinator.</p> <p>The UNDP CO also provides management supervision to the SGP Country Programme as the secondary supervisor of the SGP National Coordinator, and the UNDP Resident Representative or designate also serves on the SGP National Steering Committee (NSC).</p>
Has the capacity assessment for implementing partners, including a strengthening of the	X		N/A. The Implementing Partner for the SGP is UNOPS. Details can be referred in the UNDP Project

focus within the capacity assessment tools of procurement capabilities, been done and documented in the ProDoc?			Document, Part VI – Governance and Management Arrangements
Procurement			
Has the procurement plan been elaborated and validated in coordination with the operation team/procurement unit? Please include the minutes of the validation meeting.	X		<p>Yes. A procurement plan for the project has been developed in coordination with the Implementing Partner as part of the project preparation (see annex 11) and reflected in the AWP of the Project document</p> <p>As the Implementing Partner for the SGP, the procurement planning is led by UNOPS. Based on the overall work plan as reflected in the UNDP Project Document, and per the UNOPS SGP SOP, each SGP Country Programmes undertake an annual country operation budget estimation exercise including procurement. Once approved, the procurement plan is implemented by UNOPS with support from various UNOPS procurement staff.</p>
Does the UNDP office have an established protocol to identify and manage conflicts of interest in general, and more specifically those arising in procurement decision-making processes at project level?	X		<p>Yes. In the case of the SGP, the primary area where conflicts of interest can arise is in/during the grant making process at the country level. According to the SGP Operational Guidelines, the National Steering Committee (NSC) serves as the primary and sole decision-making body at the national level, providing guidance and oversight to the solicitation, review, and approval of the SGP grants as per the Country Programme Strategies (CPS) – which synonymous with the UNDP Project Document. The National Coordinator (NC) is responsible for the operation of the SGP Country Programme on a day-to-day basis and in this function is guided by the NSC in all aspects of country program operations and management.</p> <p>Thus, NSC members are required to fully disclose any potential conflict of interest by signing the NSC no-Conflict of Interest Statement at the start of every NSC meeting. The NSC meeting minutes template (grant funds are transferred to grantees by UNOPS only after the NSC meeting minutes are reviewed and cleared) mandates the inclusion of such conflict-of-interest declarations. SGP CPMT and UNOPS also organize regular trainings on ethics and conflicts of interest for SGP country staff (NCs and PAs) and NSC members. All SGP personnel are required to sign the no-Conflict of</p>

			Interest Statement which is placed in their personnel file.
Risk Management			
Has the CO conducted a proper risk analysis based on the project document? Does the risk register fully align with the risks outlined in the project document	X		<p>Yes, a detailed risk analysis, including management measures, has been conducted. The risk analysis is detailed in the ProDoc (Subtitle 4.3 Risk, pages 54 to 61, Annex 6: UNDP Risk Register) and also in Chapter X Risk Management (Pages 95 - 97).</p> <p>The UNDP Social and environmental screening procedure (SESP) has also been conducted (Please see ProDoc, Annex 5: SESP)</p>
List the frequency at which the risks will be monitored, and by whom. Explain how risks are monitored by the CO.	X		<p>Risks are monitored as a part of the day-to-day management of the project by the Project Coordinator and the National Steering Committee.</p> <p>The Risk Register will be monitored by the project coordinator and updated every six months by the UNDP program officer as part of the CO's quality assurance role. Risks will be assessed in regard to potential impact and probability of occurrence, paying special attention to high risks, as relevant. As part of this process, the effectiveness of the measures proposed to mitigate the identified risks will be analyzed and recommendations will be given, where necessary.</p> <p>When risks are identified and classified as High, they are flagged with the UNDP CO management, with the Regional Office of UNDP (Panama Regional Hub) and, as required, with UNDP HQ in New York. Risks will be captured in UNDP's PIMS+ risk dashboard and will be reviewed by BPPS' Vertical Fund management team.</p>
Has risk assessment and management been done with identified mitigating measures documented in the Prodoc?	X		Yes. This is covered under section X: Risk management. Detailed Risk Assessment and mitigating measures can also be found on Annexes 5 and 6 of the Project Document.
Cofinance			
Please indicate how the CO will monitor and report back on the realization of co-financing included in the UNDP GEF Project Document	X		The CO will monitor cofinancing as part of National Steering Committee (NSC) oversight to determine if each small grant is providing co-financing (in kind or in cash) from NGOs, CBOs, local governments, and

			<p>Protected Areas units, in line with commitments made in the Project Document.</p> <p>These figures will be presented/shared during the SGP Steering Committee meetings, PIR, Mid-term and Terminal Evaluation reports. Independent verification of co-financing will be requested, and cofinancing partners will be requested to provide letters that outline the amount of co-financing that has been realized to ensure that accurate co-financing figures are obtained and reported for the project in each PIR, as well as during the mid-term review and terminal evaluation of the project. SGP grantee cofinancing will also be tracked through the SGP Global Database.</p> <p>Deviations from the agreed co-financing will be reported to GEFSEC via PIRs so that Council is informed and has the opportunity to take steps, as necessary.</p>
Time tracking			
Please specify if you currently have a system in place to trace time dedicated to providing oversight of this project and separately execution support.	X		<p>CO staff fill out time sheets to record time dedicated to project oversight and execution. The time sheet is available on the PIMS home page.</p> <p>The CO is looking to further automate this process following corporate level developments for Vertical Fund projects, which will be rolled out globally during the first quarter of 2021.</p>

Signature/Clearance: Mrs. Luciana Mermet, UNDP Bolivia Resident Representative

Luciana Mermet

Signature/Clearance: Mrs. Linda Maguire, Deputy Regional Director
Bureau for Latin America and the Caribbean (RBLAC)

Linda Maguire

Signature/Clearance: Mr. Pradeep Kurukulasuriya, UNDP GEF Executive Coordinator

Pradeep Kurukulasuriya