

United Nations Development Programme



Regional Bureau for Africa GEF/GCF Checklist Clearance Slip			
Subject:	GEF Clearance Checklist – UNDP Namibia Country Office		
Reviewed by:	<u>Gloria Witherspoon, Country Programme Analyst</u> Country desk	Signature <i>Gloria Witherspoon</i>	Date: 17 March 2021
Cleared by:	<u>Owen Shumba, Regional Advisor, ESA Cluster</u>	Signature <i>Owen Shumba</i>	Date: 19-Mar-2021
Cleared by:	<u>Awa Dabo, Chief</u> Chief of COT	Signature <i>Awa Dabo</i>	Date: 22-Mar-2021
Approved By:	<u>Noura Hamladji, Deputy Regional Director</u>	Signature <i>Noura Hamladji</i>	Date: 22-Mar-2021
Remarks:			

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

Project Name: Integrated approach to proactive management of human-wildlife conflict and wildlife crime in hotspot landscapes in Namibia (GEF ID: 10244 and GEF Agency Project ID: 6303)

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 address all concerns raised in the OAI report, based on below assessment.			UNDP Assessment	
			YES	NO
			X	check
	Y es	N o	Additional information <i>(please include a page reference in the PRODOC and/or a link to supporting documents)</i>	
Internal Control Framework (ICF)				
1. 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.			Date of ICF review by RBA: February 2021 Future date of ICF review: January 2022	
Country Office (CO) Capacities				
2. Please	X		The Namibia Country Office (CO) is equipped to provide oversight functions	

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<p>clarify if the CO is equipped to provide proper implementation support and financial management of the project in line with UNDP rules and regulations and GEF policies?</p>		<p>that are consistent with those described in the GEF Programme and Project Cycle Management Guidelines for GEF Agencies, and other relevant policies. These oversight functions will be carried out as part of the Country Office's Country Programme Document (CPD) 2019-2023 Sustainable Environmental Management and Enhancing Resilience (SEMER) Programme Portfolio, in line with the highest standards of UNDP accountability and transparency, and in alignment with the Delegation of Authority (DOA) letter which will be signed between the UNDP CO Resident Representative and the Executive Director of UNDP's BPPS-NCE Environmental Finance unit.</p> <p>The CO has an established track record of providing effective oversight to the implementation of projects under (National Implementation (NIM) conditions, including, but not limited to the GEF-financed portfolio. Currently, the CO oversees 7 GEF projects/programmes at various stages as follows:</p> <p>i) 1 Concept/PIF under development (UNDP PIMS 6589/NC5/BUR5¹); 2 Hard Pipeline projects (UNDP PIMS / GEF ID 6303/10244 HWC-WC² for which this Audit Checklist is being prepared), and TDA/SAP/CUVECOM³ 4756/10565); and 4 projects under Implementation (PIMS 6378/10224 BUR4⁴, PIMS 6337/10157 CBIT⁵, PIMS 6540/9426 NILALEG⁶, and PIMS 5313/5753 BCLME III⁷, with midterm review completed).</p> <p>ii) Some of the past projects which were successfully overseen by the CO included: BUR1-3 (PIMS 6084/5521, 5555/9036, 5234/9838); NC4-NCA3 (PIMS 5825 & 4688); SCORE/SCCF (PIMS 4711/5343); NAFOLA (PIMS 4626/4832); PASS (PIMS 4623/4729), CSP (PIMS 4334/4163); NEEP (PIMS 4110/3793); and CPP (PIMS 3889/3356 & 3886/3355)..</p>
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¹ Namibia's Fifth National Communication (NC5) and Fifth Biennial Update Reports (BUR5) to the UNFCCC; no GEF ID available yet

² Integrated approach to proactive management of human-wildlife conflict and wildlife crime in hotspot landscapes in Namibia

³ Enhanced Water Security and Community Resilience in the Adjacent Cuvelai and Kunene Transboundary River Basins

⁴ Namibia's Fourth Biennial Update Report (BUR4) to the United Nations Framework Convention on Climate Change (UNFCCC)

⁵ Enhancing Namibia's capacity to establish a comprehensive Transparency Framework for Measurement, Reporting and Verification (MRV) of climate actions and reporting on NDC implementation under the Paris Agreement

⁶ Namibia Integrated Landscape Approach for enhancing Livelihoods and Environmental Governance to eradicate poverty

⁷ Improving Ocean Governance and Integrated Management in the BCLME

		<p>The proposed project (PIMS6303, GEF ID 10244) will be executed by the designated IP under UNDP's full national implementation modality (NIM), according to the <i>Standard Basic Assistance Agreement (SBAA, 22 March 1990)</i> between UNDP and the Government of Namibia and the <i>UNDP Country Programme Document (CPD) for Namibia (2019-2023)</i> - see <i>Prodoc, page 52</i>.</p> <p>The Implementing Partner (UNDP term to describe the Executing Agency), i.e. Ministry of Environment, Forestry and Tourism (MEFT) will assume full responsibility and accountability for the effective use of GEF resources channelled through UNDP, and the delivery of outputs, as set forth in the Prodoc document. - <i>Refer to Prodoc para 144, page 52</i>. The Implementing Partner will be responsible for appointing a Project Management Unit which will be responsible for day-to-day management and decision making to ensure that the project produces the intended results, as specified in the Prodoc, to the required standard and within the specified time and budget. The project management team, who will be paid directly through the project budget, will report to the Implementing Partner, not the UNDP.</p> <p>Note that there is no request for the CO to provide Execution Support to NIM; thus, the UNDP role in this project will be strictly oversight (as GEF IA) with a clear segregation between project implementation/execution (by the MEFT) and oversight services (by UNDP at CO, RSCA and HQ levels).</p>
<p>3. Please provide evidence of CO capacities including the list of subject matter experts to support oversight and provide execution support/pr ocurement (when the latter has been</p>		<p>UNDP Namibia is equipped to provide programmatic and technical oversight support and to manage disbursements to the Executing Entity and oversee their financial management to ensure compliance with all relevant fiduciary standards. This first line of oversight carried out by the Country Office is backed up by a second line of oversight carried out by (i) the Regional Bureau for Africa, to ensure compliance with UNDP Regulations and Rules, and (ii) by the BPPS Nature, Climate and Energy Unit through its regional technical experts (RTA), global principal technical advisors (PTA), regional team leads (RTL) and HQ based Directorate to ensure technical support and compliance with GEF fiduciary standards.</p> <p>Names of CO staff who will provide the first line of programmatic and technical oversight, with costs covered through the GEF Agency Fee, are:</p> <ul style="list-style-type: none"> - Martha Talamondjila Naanda - Programme Specialist/Environmental Focal Point; - Megan Van Turah - Operations Manager; - Helena Ganes-Gowases – Programme Finance; - Mekondjo Hitila - Programme Associate;

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approved by GEF)		<p>Staff who will support oversight functions, with costs covered by non-GEF fees are:</p> <ul style="list-style-type: none"> - Alka Bhatia -Resident Representative; - Armstrong Alexis -Deputy Resident Representative; - Maano Shimanda - Young Professional/M&E/SC; - Herta Josef -Finance Analyst/FT; and - Raili Hasheela - Programme Analyst/SC <p>Programming/Oversight Reporting Line: (which is separate from the 'Operational reporting line')</p> <ul style="list-style-type: none"> - DRR directly reports to the RR on both programmatic and operational matters. - Both the Programme Specialist/EFP/Head of Portfolio (programmatic) and Operations Manager (operations) directly report to the DRR who is responsible for both Programme and Operations at the CO. - The Programme Finance Manager will be reporting to the DRR while the Finance Analyst reports to the Operations Manager. - The Programme Analyst, M&E and Programme Associate reports to the Programme Specialist <p>No execution support services have been requested.</p>
4. Has the CO put in place the necessary protocols to conduct annual field missions for project oversight support?		<p>The CO has put in place protocols to conduct annual field missions, in line with UNDP corporate requirements to oversee and monitor implementation of the project and to ensure that the GEF resources are being used for the purposes intended. These protocols are outlined in the CO Annual M&E Plan. The CO will conduct one annual field visit for this project, starting, in 2021 and Output Verification and Monitoring visits, one in each quarter. The output verification template will be used and uploaded in the document tab in Atlas and the result is also recorded under the output monitoring tab.</p> <p>These field visits have been appropriately budgeted with costs covered by the GEF Agency Fee.</p>
5. Please indicate when the latest internal OAI audit of the Country Office took place? What was		<p>Date last OAI audit : 11-27 August 2020 – report dated 3 November 2020</p> <p>Qualification: Partially Satisfactory/some improvement needed. This rating was mainly given due to the financial sustainability of the Office being at risk. List outstanding audit recommendations:</p> <ol style="list-style-type: none"> 1.Strengthen project management – (PSC meetings to be held regularly as stipulated in project documents and programme monitoring schedule to be maintained) - March 2021 2.Improve management of low value grants – February 2021

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the qualification and are there any outstanding recommendations?			
6. Has Prodoc clearly outlined roles and responsibilities of UNDP Country Offices and implementing partners for the oversight of this project	X		Yes - See SECTION VII, page 52
7. Has Prodoc properly outlined roles and responsibilities of the project boards?	X		Yes. See SECTION VII, Page 55.
Firewall between oversight and execution			
8. Where execution support services have been agreed with GEF Secretariat, Specify if the LOA with the Government to provide CO support		X	Not applicable. Execution support services have not been requested by the National Implementing Partner; thus, they have not been agreed by the GEF nor has there been any need to sign the LOA with the Government to provide CO support. For this reason, there is no signed LOA attached/annexed to the Prodoc.

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<p>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.</p>		
<p>9.What Governance structures, staffing and/or operational measures have been put in place in this specific project to ensure proper oversight of this project</p>		<p>Programmatic, operational and fiduciary oversight and technical quality assurance of the project will be ensured at three levels: Country Office, Regional UNDP units (both through the Regional Bureau for Africa and the regional hub of the BPPS-NCE team); and UNDP BPPS-NCE HQ, with oversight roles and responsibilities defined as per the UNDP RACI Matrix.</p> <p>At the CO level: the UNDP RR assumes full responsibility and accountability to ensure timely implementation of the project as approved (in the Prodoc/CEO ER), and to ensure that the project complies with the GEF and UNDP policy frameworks; the DRR approves quarterly financial advances to the NIM Partner (i.e. MEFT), and ensures that the project’s financial management complies with relevant fiduciary standards; the Programme Specialist provides technical oversight and quality assurance of tasks undertaken by the Implementing Partner, ensures completion of the APR/PIR,, conducts Output verification, attends the PSC on behalf of the CO, and oversees the SEMER portfolio under which this project falls.</p> <p>-</p> <p>At the RBA (UNDP Regional Bureau for Africa) level: The RBA assumes full</p>

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		<p>responsibility and accountability to ensure that the CO implements the project in compliance with all UNDP rules and regulations (as per the Programme and Operations Policies and Procedures (POPP). The roles and responsibilities of the RBA Director, RBA Deputy Director, the RBA COST Desk Officer in respect of oversight are clearly detailed in UNDPs RACI Matrix. The Desk Officer will be informed and/or consulted at all relevant points and the RBA M&E Coordinator will provide additional monitoring oversight of key M&E milestones - including the MTR and TE.</p> <p>At the BPPS/NCE Regional level: The NCE Regional Team Leader, the assigned Regional Technical Advisor for Ecosystems and Biodiversity, the Regional Programme Associates and the Regional MPSA will fulfil technical quality assurance and fiduciary oversight roles, oversee the COs risk management, and compliance with UNDP's Social and Environmental Standards Policy.</p> <p>BPPS/NCE HQ (New York): The Executive Coordinator remains accountable to the GEF for ensuring that the resources are spent for the intended purpose and in compliance with GEF and UNDP policies and procedures. The Principal Technical Advisor for Ecosystems and Biodiversity shall be responsible for overall technical quality assurance and oversight of risk management. Staff of UNDP's Results-Based Management Team will assist with oversight of M&E and safeguards quality assurance. THE HQ Finance Team will be accountable for GEF financial quality assurance and verification and reporting to the GEF Sec and GEF Trustee at closure.</p>
<p>10. When execution support has been requested by the Government and approved by the GEF, please indicate what provisions have been taken to ensure that a proper firewall between staff providing oversight of</p>	<p>X</p>	<p>Not Applicable - the government of Namibia, i.e. Ministry of Environment, Forestry and Tourism (MEFT) has not requested execution support.</p>

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<p>the Implementing Partner executing the project and execution on behalf of the Implementing Partner is in place at the CO level</p>		
Implementing Partner Capacities		
<p>11. 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.</p>		<p>PCAT: year undertaken and risk rating - 2019, moderate Will the PCAT be updated at mid-term review of this project? Yes.</p> <p>HACT: The HACT was completed in 2019 with a moderate risk rating, largely linked to a number of HACT findings regarding (i) the Government's use of the Integrated Financial Management System, which is centralized at the Ministry of Finance, to process its accounting transactions and produce its financial statements, as well as (ii) the required application and monitoring of the Governments procurement policies and processes. Risks identified in the HACT report will be monitored by the CO and other UNDP staff responsible for fiduciary oversight, and will be updated at midterm, based on the outcomes of the annual monitoring.</p>
<p>12. 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,</p>		<p>HACT audit date: April 2020 The Programme Management Unit and UNDP agree on actions to be taken to implement action plan. PMU confirms action taken and verified during programme visits, spot checks and audits. In line with the HACT Audit schedules for 2020 expenses, 3 of the 4 projects currently under audit are GEF projects. https://cards.undp.org/ngonim_reports_view_observations_2019.cfm?org_id_c=NAM&audit_report_id=694</p> <p>https://intranet-apps.undp.org/undp.hq.apps.hact/Pages/search.aspx?Office=NAM</p>

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provide a link to the management response			
13. Are there any outstanding HACT/NIM recommendations that haven't been addressed? What is the Net Financial Misstatement?			<p>As of now, there are 3 HACT recommendations related to two projects executed by the Ministry of Environment, Forestry and Tourism (MEFT) namely Third Biennial Updated Report (BUR3) and Sustainable Management of Namibia's Forested Lands (NAFOLA). For the BUR3, the MEFT PMU is recommended to stamp all invoices as paid to prevent accidental duplications of payment. For the NAFOLA, it is recommended that the VAT should not be reported as an expense on the FACE form; and it is further recommended that the MEFT PMU should request signed FACE forms to be returned from the UNDP. Lastly, it is recommended that the MEFT PMU to have a form of a computerized fixed asset system.</p> <p>These are all due for implementation verification by the current 2020 HACT Audit. There is no Net Financial Misstatement</p>
14. Please specify what capacities the office has in place to conduct periodic spot checks and monitoring of the IP's capacities			<p>In 2020, due to the pandemic and its restrictions, exceptional approval was given to the CO by Mr. John Rutere for spot checks to be conducted by an appropriately qualified staff member. Usually, as per the UNDP POPP, spot checks are conducted by a third party. Assurance activities are budgeted for and costs will be covered by the GEF Agency Fee.</p>
Procurement			
15. 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		Yes. Please see Prodoc Annex 18.
16. How does your office identify and			At CO level, management and procurement staff are required to annually complete Financial Disclosure forms. The Contracts, Procurement and Assets Committee and the Technical Evaluation Committees members are required

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<p>manage conflict of interest in general, and more specifically those arising in procurement decision-making processes at project level?</p>		<p>to sign Declaration of Impartiality and Confidentiality forms.</p> <p>The micro assessment assesses the capacity of the IP, including the procurement processes it has in place. The IP undertakes procurement according to government rules and regulations. The ministry has an established Procurement Committee/ Economizing Committee which comprises of the requesting Departmental Head, other heads of the ministry departments which is inclusive of only senior management. The Head of Finance sits on the committee to observe and advise. The procurement committee is headed by a Director in the ministry for any specific Directorate.</p> <p>Where procurements are initiated by the CO, POPP rules and regulations are followed. The assurance function performed by UNDP CO reviews processes followed by IP.</p> <p>At project level, the Project Steering Committee/Board is responsible for ensuring that all decisions, including around procurement, are made in accordance with standards that ensure best value for money, fairness, integrity, transparency, and effective international competition. The Board will be responsible for avoiding any real or perceived conflicts of interest, and for addressing any project level grievances, in accordance with the project's Grievance Redress Mechanism (which will form part of the project's safeguards architecture, to be put in place during the first 6 months of implementation, in line with requirements of the UNDP SESP - See Prodoc Annex 4).</p>
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In Risk Management

<p>17. 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</p>	<p>X</p>	<p>As part of the PPG process we conducted a series of inter-linked risk assessments, including: (i) an assessment of social and environmental safeguard risks the project may trigger, as required by the UNDP Social and Environmental Standards (SES) Policy - <i>ref. SESP Report, Prodoc Annex 4</i>; (ii) a UNDP Risks Assessment, to assess risks to successful implementation of the project (<i>ref Prodoc Annex 5</i>);(iii) a COVID-19 risk-opportunity analysis, and Action Plan - (<i>ref Prodoc Annex 14</i>); (iv) a Climate Risk Assessment conducted in accordance with the GEF-STAP Guidelines on Climate Risk Assessment (<i>ref. Prodoc Annex 15</i>).</p> <p>As part of the safeguards risk analysis, a Social and Environmental Screening Report (SESP) and Environmental and Social and Management Framework (ESMF) was developed (including an Indigenous People's Planning Framework) - Ref Prodoc Annex 8), and these were publicly disclosed on the UNDP website for a period of 120 days - the executive summary of the ESMF was translated into six local languages to maximize accessibility to local communities.</p> <p>The Project's Risk Register (Annex 5) will be uploaded into the UNDP ATLAS system as the project's risk log.</p>
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			Risk Management is also discussed in the Prodoc on pages 71 - 73. Table 3 provides a summary of the overall risks to project implementation (page 34 - 37)
17. List the frequency the risks will be monitored, and by whom. Explain how risks are monitored by the CO.	X		Risks will be monitored following UNDP standards for risk management as follows: at PSC meetings, where they will be reported by the s Project Manager (still to be hired), the UNDP CO EFP (Martha Naanda,) and the National Project Director (Bennett Kahuure, from the MEFT); , as part of the GEF APR/PIR (By the PM, EFP and RTA); in ATLAS as part of the enterprise risk management by EFP (Martha Naanda), and in the CO Integrated Work Plan (IWP) as part of the annual 2021-2026 IWPs, escalated at appropriate levels with risk owners including Alka Bhatia (Resident Representative), Armstrong Alexis (Deputy Resident Representative), Martha Naanda- Programme Specialist and Head of Portfolio aka EFP)and specifically in response to the SES) <i>ref. Prodoc Risk Management page 70-71</i> . During the Project Board/PSC meeting risks will be reviewed and updated; in the ATLAS systems risks will be monitored quarterly; and the SESP risks (<i>ref. Prodoc Annex 4: Social and Environmental Screening Procedure</i>) will be reviewed and updated during the inception phase, annually as part of the PIR, and at mid-term review, and TE
18. Has risk assessment and management been done with identified mitigating measures documented in the Prodoc?	X		A Risk Management Strategy is presented in the Prodoc - paragraphs 110 - 199, and Annexes 4, 5, 15 and 15. Table 3 in the Prodoc provides a summary of the overall risks (pages 34 -37). Also see answer to Q.17 of this checklist.
Cofinance			
19. 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 and report back on the UNDP co-financing (USD 100,000) annually during the PIR (<i>ref Table 7 Prodoc page 49 and page 57</i>). For the Nationally Implemented projects, when significant co-financing is realized in a quarter it will be reported using the Quarterly Standard Progress Report and captured during the Output Verification Monitoring visits. The MEFT and KfW co-financing (USD 11,715,629) will be tracked and monitored by the Project Manager who will be based at the MEFT, to which the co-financing by KfW was pledged (<i>ref. to Prodoc Page 57</i>). <i>This co-finance data will be collated annually and reported as part of the PIR.</i>
Time tracking			
20. Please specify if you currently have	X		Project Oversight. Staff of the CO (PS, DRR, RR, OM, etc.) comply with the GEF Time sheet which is completed annually (<i>ref. Table 7 Prodoc page 49</i>). Further, the CO conducts workload surveys (last one conducted in December

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a system in place to trace time dedicated to providing oversight of this project and separately execution support.		2020) to capture staff time dedicated to UNDP development effectiveness and time related to development services. The UNDP RTA/and other regional support staff track time spent on oversight activities in the PIMS+ Time Module system.
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Alka Bhatia

Date: **16 March 2021**

Signature/Clearance:

Alka Bhatia

UNDP Namibia Resident Representative



22-Mar-2021

Date: _____

Signature/Clearance:

Noura Hamladji

Regional Bureau for Africa, Deputy Regional Director

Pradeep Kurukulasuriya

23-Mar-2021

Date: _____

Signature/Clearance:

Pradeep Kurukulasuriya

UNDP BPPS-NCE Executive Coordinator