

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 address all concerns raised in the OAI report, based on below assessment.			UNDP Assessment	
			YES	NO
			Check	check
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: July 2020 Future date of ICF review: 15 January 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?			The UNDP CO has strong Operations (HR, finance and procurement) and Programme (implementation, quality assurance and monitoring and evaluation) Teams with the requisite expertise to support the successful implementation and financial management of the Project. UNDP Jamaica CO has a wealth of experience implementing GEF funded projects, evidenced by the CO's GEF portfolio for the 2017 – 2021 programme cycle. This portfolio comprises eight (8) awarded projects, three (3) of which are currently under implementation. The average delivery rate for the portfolio is 80% for the period.	

		<p>Given the small size of the country office, there is a high level of collaboration among the operations and programme teams to ensure robust implementation and financial management. Notwithstanding, there is clear separation of duties between teams to ensure the highest-level of efficiency, transparency, and accountability between the teams in adherence to UNDP's rules and regulations. In addition, there is an enhanced oversight role at the level of the UNDP Regional Bureau to ensure a clear separation between the oversight and execution functions.</p>
<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)</p>		<p>The Government of Jamaica (GOJ) has not requested support services from UNDP to execute this project.</p> <p>The Jamaica CO will provide direct oversight to the proposed project related to the programmatic responsibilities required for successful project implementation. Under the delegated authority and full oversight of the Resident Representative, Denise Antonio, the project will be supported by the following CO Staff:</p> <ul style="list-style-type: none"> • Ava Whyte Anderson, Officer in Charge for Programmes- Over 10 years of experience in Programmes and Project management, Capacity development and Policy Advice. • Alicia Uylett, Project Finance Officer- 11 years in financial management. • Kimberley Wilson, Monitoring & Evaluation Analyst- 10 years in Monitoring & Evaluation and 4 years in project Implementation. • Shanalee Jacas-Lamb, 12 years in Project financial and Operational management. • Stacy-Ann Tomlinson-Knox, Policy Associate - 10 years of project development and implementation experience with specialized training in environmental sciences and development communication. • Sharona Napier, Capacity Associate – Over 10 years of Project Implementation experience with a focus on Capacity development and Quality Assurance. <p>As stated above, UNDP is not providing execution support, so there are no execution support roles to list here.</p> <p>The proposed project's execution will be led by Project staff and technical experts engaged by the</p>

		<p>Ministry of Housing, Urban Renewal, Environment and Climate Change (HURECC) under the National Implementation Modality. The staff will be supervised by Gillian Guthrie, Acting Chief Technical Director and Director of Environment within the Ministry.</p> <p>Further, the UNDP CO plays a lead role on the Project Board through the provision of Quality Assurance for the Project.</p> <p>Project execution will be led by the Implementing Partner (HURECC) with the following positions covered by the Project Management Costs:</p> <ul style="list-style-type: none"> • Project Technical Coordinator (Full Time) • Project Finance and Administrative Officer (Part Time) • Project Procurement Specialist (Part Time) <p>Detailed Project Governance & Implementation Structure outlined in ProDoc Pages 45 – 48.</p>
Has the CO put in place the necessary protocols to conduct annual field missions (monitoring visits) for project oversight support?	X	<p>Yes. In keeping with Project’s monitoring framework and UNDP’s Policies and Procedures, regular monitoring visits including annual supervision missions will be coordinated by the M&E Analyst, Programme Finance Officer and Capacity Development Associate.</p> <p>Site visit reports will be prepared and uploaded to the relevant UNDP & GEF related platforms. The Monitoring Checklist which will be used to perform these tasks and will be annexed to the reports and retained for audit purpose.</p> <ul style="list-style-type: none"> - (Reference is made to the M&E budget in ProDoc on pages 43-44).
<p>Please indicate when the latest internal OAI audit of the Country Office took place? Were there any qualifications 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</p>		<p>Date last OAI audit: March 2019</p> <p>Qualification: Satisfactory</p> <p>List outstanding audit recommendation: All recommendations have been implemented.</p> <p>Other: NIM audits have been routinely undertaken for projects over the last three years.</p>

relation to the CO during the last 3 years.			
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			
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.		X	N/A. The GOJ has not requested support services from UNDP to execute this project. UNDP will not provide any execution roles in this project.
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?	X		The project will be implemented through the National Implementation Modality. The project's governance (Project Steering Committee) mechanism is comprised of the approved IP (Ministry of Housing, Urban Renewal, Environment and Climate Change) and project partners and beneficiaries including UNDP, the Planning Institute of Jamaica, Ministry of Transport & Mining, Ministry of Science Energy and Technology and Ministry of Finance and Public Sector and Community Based Organizations. A Project

		<p>Management Unit will be established within the IP to ensure project execution.</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:</p> <ol style="list-style-type: none"> 1. UNDP Country Office (aforementioned staff) 2. UNDP Regional Bureau (to ensure compliance with UNDP's 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 regional based staff (Regional Technical Advisor). <p>The project assurance role will be independent of the Project Management function. The UNDP CO will lead on project assurance and will ensure for example, the review of Annual Workplans and the disbursement and reconciliation of project funds utilizing established accounting and reporting procedures. The PMU staff will report to the UNDP CO, through the Officer in Charge for Programmes, in relation to M&E demands, sources of verification of results and other needed requests related to oversight. The CO will further ensure that the requisite Monitoring Visits, Spot Checks and Audits are conducted as described in the Project's Monitoring Plan. Implementation Progress will also be tracked through semi-annual progress reports completed by the Implementing Partner.</p>
Implementing Partner Capacities		
<p>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: Undertaken in 2020 with a "low" risk rating</p> <p>Will the PCAT be updated at midterm review of this project? Given the duration of the project, it is unlikely an updated PCAT will be required.</p> <p>HACT: Undertaken in 2020 with a "low" risk rating (The HACT micro assessment for the Ministry of Housing, Urban Renewal, Environment and Climate Change</p>

			(HURECC) formerly known as The Ministry of Economic Growth and Job Creation.) The new HACT assessment will be updated in 2025 .
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			No audits have been conducted for this implementing partner. This will be the first time the Ministry will be implementing a Full NIM project modality.
Are there any outstanding HACT/NIM audit recommendations that haven't been addressed? What is the Net Financial Misstatement?		X	No.
Please specify what capacities the office has in place to conduct periodic spot checks and monitoring of the IP's capacities			Given the small size of the CO, spot checks are currently outsourced to an auditing firm through a Long-Term Service Agreement. The implementation of recommendations is closely monitored by the M&E Analyst and the Officer in Charge for Programmes. Through established bilateral meetings between the CO and IP, the capacity of the IP is regularly monitored to ensure the relevant support and capacity building are provided as necessary to ensure the achievement of the Project's objectives.
Has the capacity assessment for implementing partners, including a strengthening of the focus within the capacity assessment tools of procurement capabilities, been done and documented in the ProDoc?	X		Yes. A capacity assessment for implementing partners is included in Annex 16 "Partner Capacity Assessment Tool and HACT Assessment".
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	Given that this project will be fully implemented by the Government, only the Year 1 procurement plan was developed in consultation with the relevant Government and UNDP counterparts. The fully elaborated plan will be developed during the inception phase of the project and validated at the Inception Workshop to include all necessary Teams. The minutes of the Inception Workshop will be provided once prepared.
Does the UNDP office have an established protocol to identify			The CO, through the Procurement Analyst and the Operations Manager perform the necessary due

and manage conflict of interest in general, and more specifically those arising in procurement decision-making processes at project level?		<p>diligence throughout the procurement process to ensure conflict of interest issues are avoided. All members involved in the procurement process, specifically evaluation team members, are required to sign the declaration of impartiality form, and during the process they are reminded to disclose if any conflict exist to the Procurement Analyst. If a potential conflict arises, the relevant party is not allowed to engage in the procurement or evaluation processes. The Regional Bureau provides guidance on all procurement matters including support to managing potential conflicts of interest. Given the size of the Country Office, the Bureau is engaged to oversee procurement events valued above US\$50,000 as member of the CAP and RCAP.</p> <p>For NIM projects where the Implementing Partner will fully lead project execution, the UNDP CO during its routine monitoring and QA oversight role may identify potential conflicts of interest. If this is identified, it will be routed through the Project's Steering Committee with recommendations to address the issues arising. Further, the UNDP CO ensures that the requisite assessments including the Partner Capacity Assessment and HACT are conducted and where potential conflicts of interest may arise, recommendations and action plans are crafted and implemented.</p>
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	Yes. Based on the detailed risk analysis undertaken by the CO in developing the ProDoc, a detailed risk register which includes the management measures has been elaborated and is aligned to the ProDoc. See ProDoc Annex 5: UNDP Risk Register Table.
List the frequency the risks will be monitored, and by whom. Explain how risks are monitored by the CO.		<p>Risks are monitored as a part of the day-to-day management of the project by the Project Technical Coordinator and the Project Steering Committee. Updated risk logs are provided to the Officer in Charge at the UNDP CO on a semi-annually basis as part of the CO's quality assurance roles.</p> <p>The CO also monitors risks through:</p> <ol style="list-style-type: none"> 1. Quarterly bilateral review meetings with Implementing Partner and beneficiaries.

			2. Review of IP Project Reports (UNDP Semi-Annual Report and Project Implementation Review Reports).
Has risk assessment and management been done with identified mitigating measures documented in the Prodoc?	X		Yes, this is covered in XI: Risk management on pages 56-58 in the ProDoc. Detailed Risk Assessment and mitigating measures can be found on pages 69- 85 in the ProDoc.
Cofinance			
Please indicate how the CO will monitor and report back on the realization of co-financing included in the UNDP GEF Project Document			The Project Team will provide data on the co-financing which will be verified by the Officer in Charge at the UNDP CO, in its oversight role. These figures will be presented during the Project Board meetings, PIR, Mid-term and Terminal Evaluation reports. Co-financing partners will be requested to provide letters that outline the amount of co-financing that has been realized to ensure the accuracy of the figures obtained. Deviations from the agreed co-financing amounts will be reported to GEFSEC via PIRs so that the Council is informed and can take the necessary actions.
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		The CO will use the GEF/GCF Timesheet Module on PIMS+ to track and capture the CO staff time spent providing oversight support to the project. Each staff member will upload their time spent on the project semi-annually to the PIMS+ platform. The final verification of the details will be done by the RR and submitted to GEFSEC.

10-Feb-2021

Signature/Clearance:



Denise Antonio - UNDP Resident Representative

10-Feb-2021

Signature/Clearance:



Lenni Montiel - Regional Bureau Deputy Director

10-Feb-2021

Signature/Clearance:



Pradeep Kurukulasuriya - UNDP GEF Executive Coordinator