

UNDP Check list for all projects pending GEF approval

April 2021

Economic Instruments and Tools to Support the Conservation of Biodiversity, the Payment of Ecosystem Services and Sustainable Development

Implementation modality: Partial Support to NIM

Project time frame: 60 months

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, 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: must be completed for all GEF projects pending GEF approval. This includes EAs, MSPs and FSPs and projects already submitted to GEF for endorsement/approval but have not yet been CEO endorsed/approved.

Project address all concerns raised in the OAI report, based on below assessment.			UNDP Assessment			
					YES	NO
					X	check
	Yes	No	Additional information (please include a page reference in the PRODOC and/or a link to supporting documents)			
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.	Yes		Date of ICF review by RBX: 15 th of January 2021 Future date of ICF review: quarterly			
Country Office (CO) Capacities						
2. Please clarify if the CO is equipped to provide proper implementation/oversight	Yes		The CO has a strong team, which includes the Management unit, the Environment and Sustainable Development unit and the Monitoring and Evaluation unit, which provide oversight and support according to GEF policies.			

support and financial management of the project in line with UNDP rules and regulations and GEF policies?		<p>The Country Office has successfully provided oversight and execution support services, including financial management, to projects funded by multiple donors (to name a few the GEF, the EU, the governments of Germany and Norway, the private sector, the Government of Chile, among others) with various implementing partners with a total delivery of more than 60 million USD during the last period of the program between 2018-2020.</p> <p>The oversight services the Country Office provides is complemented by staff from (1) the BPPS, Nature Climate and Energy Unit (Regional Centre including the Regional Technical Advisor, Regional Team Lead and Principal Technical Advisor), who provide a second-tier technical oversight and compliance with GEF policies and processes. And (2) the regional bureau, which provides oversight of the activities of the CO to ensure compliance with UNDP regulations and rules by the country advisor.</p> <p>Regarding the UNDP Chile GEF portfolio, there are a total of 22 projects; where five of them (\$ 14,915,614) are in progress and 17 of them are closed (\$ 47,686,535) according to the PIMS + Report. In this sense, the total financial size of the projects in which UNDP has been providing support to the implementation and financial management (in accordance with UNDP rules and regulations and GEF policies) is \$ 63M.</p> <p>The separation of duties between those providing oversight services (including financial oversight) and those providing execution support services has been assessed. For more details, refer to answer under question 3.</p>
3. 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)	Yes	<p>UNDP is accountable to the GEF for the implementation of this project. This includes oversight of project execution to ensure that the project is being carried out in accordance with agreed standards and provisions. UNDP is responsible for delivering GEF project cycle management services comprising project approval and start-up, project supervision and oversight, and project completion and evaluation. UNDP is also responsible for the Project Assurance role of the Project Board/Steering Committee. To ensure sufficient oversight of the Project, UNDP will comply with the letter of Delegation of Authority (DOA) by using a three-tier corporate oversight structure, i.e., involving (i) the Country Office, (ii) The RBLAC Regional Bureau, to ensure compliance with UNDP Regulations and rules, and (iii) BPPS-NCE, to provide technical oversight and ensure compliance with GEF policies and processes.</p> <p>Oversight: UNDP will be providing oversight services covered by the fee for this project with the support of the following staff:</p>

		<ul style="list-style-type: none"> - Paula Garay, Operations Manager reporting to the RR - Joaquín de Rosas, HR Associate, reporting to the operations manager - Marta Cózar, Monitoring and Evaluation Officer (M&E) reporting to the ARR a.i. <p>Other CO staff not covered by the GEF fee but also provide oversight include:</p> <ul style="list-style-type: none"> - Claudia Mojica, RR, delegated authority for project supervision by the Executive Coordinator of Programming of the UNDP GEF, reporting to the Regional Director and Deputy Director of the LAC Regional Directorate (RBLAC). - Marcela Ríos, ARR, a.i. reporting to the RR - Paloma Toranzos, Environment and Sustainable Development Programme Officer reporting to the ARR a.i. and RR - Andrea Cabezas, Environment and Sustainable Development Program Associate reporting to the programme officer - Felipe Contardo, Environment and Sustainable Development Program Assistant reporting to the programme associate - Eduardo Sepulveda, M&E Associate reporting to the M&E Officer <p>Execution:</p> <p>UNDP will be providing partial (it is partial because the project includes grants to different organizations which will implement project outputs according to component 2 in the Prodoc) execution support services for this project with the support of the following staff</p> <ul style="list-style-type: none"> - Laura Cagnola Finance clerk reporting to the finance associate - Luis Ibaceta, Procurement Associate reporting to the operations manager - Rosario Manriquez, Finance Programme Associate, reporting to the operation manager - Guillermo Ugarte, ICT reporting to the operations manager - Paola Vilca, RR assistance and communications reporting to the RR and AAR a.i. <p>This project was submitted to the GEF in December 2020 as NIM. The project includes a detailed description of the management arrangements, role and responsibilities of the Ministry of Environment as the execution or implementing partner for this project.</p> <p>It is important to mention that there are fiscal restrictions in Chile to proceed with the transfer of GEF funds or any international funds to the government. Since 2001, the Chilean monetary and</p>
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		<p>organizations already identified in the PRODOC. Once the implementation of the project begins, UNDP will implement a capacity assessment (HACT/PCAT) to each organization submitting a demonstration project and once approved, funds will be transferred through the UNDP microgrant instrument.</p> <p>Execution services provided under the “support to NIM” modality include the recruitment processes and contracts management of project personnel staff (described below) and the procurement of products and services. Also, the process of payments of services (direct payments) and payroll.</p> <p>The project personnel in general reports to the project coordinator who reports to the Ministry of Environment, specifically to the Project National Director (appointed by the Ministry of Environment, authority delegated by the Minister), as well as the project board members.</p> <p>The following PMU matches the functions and skills needed to provide execution support:</p> <ul style="list-style-type: none"> - Project coordinator (full time - to be hired) - Project Administrative Assistant (full time-to be hired) <p>According to the ProDoc, the project management unit will also include the following personnel to provide execution support (all of them to be hired):</p> <ul style="list-style-type: none"> - Marine Advisor - Terrestrial Advisor - Environmental Economics Advisor - Gender Advisor - Responsible M&E <p>As indicated above, the personnel that will provide support to the execution will be under the supervision of the Project Coordinator, who will be selected and evaluated according to the rules and procedures of UNDP.</p> <p>The project unit will be located in the Ministry of Environment.</p>
4. Has the CO put in place the necessary protocols to conduct annual field missions (monitoring visits) for project oversight support?	Yes	<p>The CO has a protocol for field missions that include authorizations and activity reports.</p> <p>In accordance with the SOP on the Project Management Cycle, revised in August 2020, the Program Officer and the Program Associate will conduct periodic site visits and prepare project visit reports (3 per year)</p> <p>Visit records to the project will be retained for auditing purposes.</p> <p>The project includes specific budget for field missions.</p>
5. Please indicate when the latest internal OAI audit of the Country Office took place? Were there any qualifications and are there any outstanding	Yes	<p>Date last OAI audit: October 29th, 2020</p> <p>Qualification: Partially satisfactory/some improvement needed</p> <p>Link public report: https://audit-public-disclosure.undp.org/</p> <p>Outstanding Recommendations:</p> <p>Recommendation 1: The CO should review its structure to address contractual issues and workload imbalances, specifically in the</p>

<p>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>Programme Unit, to ensure duties, roles and responsibilities adhere to corporate standards.</p> <p>Management Action Plan:</p> <p>The Office acknowledges the recommendation. The Office has, since 2019, requested the support and guidance of RBLAC to review and align the Office's structure to new challenges and to address all, contractual and workload issues in this plan.</p> <p>The implementation of a functional review to revisit the overall office structure will be subject to RBLAC response, advice and approval on this matter. The CO is fully prepared to actively provide inputs to this process which is expected to take place during the second semester of 2021.</p> <p>Estimated completion date: December 2021</p> <p>Recommendation 2: The Office should improve the effectiveness of internal controls by:</p> <ul style="list-style-type: none"> (a) Reviewing and aligning its ICF, Delegation of Authority and ATLAS roles and ensuring the levels of authority are kept within authorizations limits set by UNDP financial rules and regulations and (b) re-assessing the overall workload of staff members approving vouchers. <p>Management Action Plan:</p> <p>The Office's ICF, DOA and Atlas profiles were already revised and the recommendation was implemented in January 2021.</p> <p>The exercise included the re-assessment of the workload and re-distribution of duties to ensure efficiency and a more robust internal control system.</p> <p>Completion date: January 2021</p> <p>Recommendation 3: The Office should enhance project document and grant agreement management by:</p> <ul style="list-style-type: none"> (a) using standard templates for project documents and agreements and ensuring that all applicable clauses are included in the signed projects; and (b) ensuring that low value grants are paid as agreed in terms of amount currency and timeframe. <p>Management Action Plan:</p>
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			<p>recruitment and bidding processes by the end of the second quarter 2021. Estimated completion date: December 2021</p> <p>Other audits:</p> <p>Date: 3 March to 7 March 2020</p> <p>AUDIT ID: 2210</p> <p>PERFORMANCE AUDIT OF UNDP'S IMPLEMENTATION OF GEF PROJECTS: UNDP CHILE</p> <p>Between the indicated dates, the Office of Audit and Investigations (OAI) as part of a performance audit of UNDP Global Environment Facility (GEF) conducted an audit of GEF-funded projects in the UNDP Office in Chile, to assess the extent to which the projects have achieved their respective results. The audit covered the period from 1 January to 31 December 2019.</p> <p>The objective of the audit at the Country and Project level was to assess the internal controls regarding the selected projects in the following areas: Project Management, Project Implementation and Monitoring, Financial Management and Administrative Operations (TOR Audit Consultant).</p> <p>The two projects selected by OAI for detailed assessment in Chile were the following (further data regarding the projects is available in the following link): https://audit-public-disclosure.undp.org/</p> <p>Support for civil society and community initiatives to generate global environmental benefits through subsidies and microcredit (GEF ID 4939, PIMS 4577, Award 77514)</p> <p>Issue 1: <u>Project GEF ID 4939 did not complete the GEF Focal Area Tracking Tool</u></p> <p>Recommendation 1: The Country Office should ensure the completion of the GEF Focal Area Tracking Tool for GEF projects as described in the DOA.</p> <p>Management action plan: This project was not requested to submit TT. This non-request was in compliance with new policies and procedures for GEF projects and the recommendation of the UNDP/GEF team (HQ) (2017).</p>
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			<p>able to comply with deadlines and the submission of reports as requested by UNDP/GEF.</p> <p>The CO monitored and requested these reports on a weekly basis, had several meetings with the Project Coordinator and informed about these delays to the National Director.</p> <p>The CO also recommended the hiring of a monitoring consultant to support the project coordinator (who coordinates two projects: 4NCCC and the NDC Support Programme). However, this suggestion was discarded, and the Project Coordinator committed to improve report preparation and submission. The CO will ensure the reports are prepared and submitted on time during 2020.</p> <p>Estimated completion date: Reports have been submitted as requested by the CO and RTA, there has been improvement regarding this matter. (April-June-Dec 2020)</p>
6. Has Prodoc clearly outlined roles and responsibilities of UNDP Country Offices and implementing partners for the oversight of this project	Yes		
7. Has Prodoc properly outlined roles and responsibilities of the project boards?	Yes		
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 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	Yes		<p>The Government has approved and signed a LOA for execution support services. Please find attached to this checklist. It is also included as an annex to the PRODOC.</p>

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.			
9. 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?	Yes		<p>The UNDP CO Project Management Cycle procedure is in line with the GEF guideline on project and program cycle policy GEF/C.59/Inf.03 July 2020, and the Rules and Guidelines for Agency Fees and Project Management Costs GEF/C.39/9, October 2010 – page 6</p> <p>The CO SOP on the Project Management Cycle, revised in August 2020, identifies the project oversight functions and provides a detailed explanation of the steps, responsible staff for each step, expected response times and template / guidelines /references where applicable.</p> <p>The CO SOP on the project management cycle is in line with the GEF guideline on the project cycle policy and the standards and guidelines for GEF project management costs.</p> <p>The CO SOP on the Project Management Cycle includes references to the GEF guidelines if applicable.</p> <p>See more details in answer from question 3 regarding to UNDP oversight and execution functions.</p> <p>A steering committee/project board has been established for this project.</p> <p>The Project Board will be composed by:</p> <ul style="list-style-type: none"> - The project execution or implementing partner who chairs the Project Board. In this project the execution or implementing partner is the Ministry of Environment - By UNDP - By representatives of the beneficiary organizations (foundations and rural water committees) <p>The committee addresses project issues as raised by the project manager; provides guidance on new project risks and agrees on possible mitigation and management actions to address specific risks. The committee gives final approval of Annual Work plans aligned to the Prodoc. Specific clauses to provide evidence and transparency in reporting project results have been added to PRODOC.</p>
Implementing Partner Capacities			

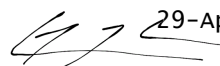
10. Please indicate the risk rating outlined in the Partner Capacity Assessment Tool (PCAT) and HACT/ micro assessments. Indicate the year the HACT assessment was undertaken.	Yes		<p>PCAT: for the Ministry of the Environment, 2020 Risk rating: Low</p> <p>Will the PCAT be updated at mid-term review of this project? Yes.</p> <p>HACT: Last HACT micro-assessment for the Ministry of the Environment: September 2017 Risk rating: Low</p> <p>When will the HACT be updated? It will be updated for the next programme cycle 2023-2026. There will be no Cash transfers to the Ministry of Environment for the reasons stated above. The project does include the transfer of micro-capital grants to beneficiary NGOs. A PCAT will be implemented to ensure eligibility of the beneficiary NGOs.</p>
11. 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	There was a HACT micro-assessment in September 2017 made to the Ministry of Environment. The HACT/NIM audit result was satisfactory. And did not deliver recommendations/findings.
12. Are there any outstanding HACT/NIM recommendations that haven't been addressed? What is the Net Financial Misstatement?		No	There are no outstanding recommendations regarding the HACT audit for this project. No Net Financial Misstatement either.
13. Please specify what capacities the office has in place to conduct periodic spot checks and monitoring of the IP's capacities	Yes		<p>The Finance Unit regularly undertakes spot checks for NIM components in several projects. These reviews consider management recommendations based on the findings of the spot checks, if any.</p> <p>Also, an independent audit is hired to randomly review the operational and financial procedures of NIM projects. In compliance with UNDP policies, NIM projects are audited at least once during project implementation and when project expenses are USD300.000 or more. GEF projects are audited once a year during project implementation. All this management is framed in what is defined in the SOP.</p>

14. 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?			<p>The project includes the implementation of microgrants which provide financial resources to NGOs. A capacity Assessment (PCAT) will be done and documented once project will start operations to implement the activities described in the microgrants and transfer funds to the selected NGOs.</p> <p>Please refer to the OAI report, which includes recommendations for microgrant implementation.</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.		No	<p>A Procurement Plan for the first year of project implementation was prepared during PPG and included in the ProDoc (Annex 9). The procurement plan is approved once the project begins implementation, and with this aim, it is presented during the inception workshop of the project and validated by the UNDP procurement team (CO).</p>
16. Does the UNDP office have an established protocol to identify and manage conflict in general, and more specifically those arising in procurement decision-making processes at project level?	Yes		<p>Please refer to answer 3. Where a detailed description of responsible staff for oversight and execution services has been included.</p> <p>The CO applies the procedures and standards established by UNDP for the procurement of goods and services, as well as the recruitment of personnel.</p> <p>Conflicts of interest are avoided through the following tools and measures:</p> <ul style="list-style-type: none"> -Contractors or consultant that participate in preparation of project or ToRs are excluded from subsequently provision of services. -A Conflict of Interest Declaration form for any personnel that is presented to the ARR or RR to confirm if there is or not a conflict of interest. - Staff having personal or professional interests in an offeror are also prohibited from any involvement in the procurement process. - The office reinforces ethical behaviour; at least once a year all personnel participate in an Ethic webinar and complete the LMS courses and have advice on ethical dilemmas. <p>Other measures:</p> <p>Acting in a transparent manner, such as publicly sharing procurement schedules and plans, calls for proposals and contract awards</p>

			<p>Ensuring supervision, such as through regular spot checks of procurement transactions and vendor profiles, and background checks of suppliers</p> <p>Preparing annual reports on procurement activities, paying particular attention to the number of waivers regardless of the amount involved, the cumulative number of contracts per vendor, and so on.</p> <p>Reporting instances of fraud and corruption in a timely and accurate manner.</p>
Risk Management			
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	Yes		<p>Operational, political, socio-environmental and other risks have been identified and described in the project document, as well as mitigation measures and the institution/person who is responsible for managing the risks (p. 73, project document).</p> <p>The risk register considers the context analysis as well as the application of the Social and Environmental Standards procedure. All the risks are fully updated in the risk log in Atlas. Additionally, the CO is implementing the UNDP Project Risk Dashboard to regularly overview project risks. Risks are updated twice a year once the project has completed the PIR.</p>
<p>18. List the frequency the risks will be monitored, and by whom. Explain how risks are monitored by the CO.</p> <p>19. Has risk assessment and management been done with identified mitigating measures documented in the Prodoc?</p>	Yes		<p>The Natural Resources and Biodiversity Division of the Ministry of the Environment is responsible for risk monitoring.</p> <p>The Project Coordinator is responsible for the entry and monitoring of risks. The Program Officer and the Environmental Associate supervise the treatment of risks as part of the correspondent oversight.</p> <p>The risk register will be updated by the project team and reviewed by the CO at least twice a year, in its oversight role, and also reviewed by the second level supervision of UNDP at the regional level (RTA). The project team, which will be hired by UNDP, but based in the offices of the Ministry of the Environment, will implement the project and monitor the risks under the responsibility of the Project Director. At the same time, the CO will oversee the follow-up and work with the government to ensure that risks are addressed semi-annually, in consultation with the implementing partner and relevant stakeholders.</p> <p>Risk mitigation measures will be implemented to manage these risks through regular meetings and calls and will be reported through the Annual Project Implementation Review (PIR). Additionally, management's response to the mid-term review and final evaluation will also capture how the IP has or has not successfully managed the risks associated with this project. The risk register will also be reflected in the project progress reports, carried out by the Project Coordinator and ATLAS, carried out by the CO's M&E Officer and Program Associate; and will be updated</p>

		periodically. When problems are identified as serious, they will be reported with the CO management and with the LAC Regional Office. Risks will be recorded in UNDP's PIMS + risk dashboard and reviewed by the BPPS Vertical Fund management team. Prodoc reference: Risk Management
Cofinance		
20. Please indicate how the CO will monitor and report back on the realization of co-financing included in the UNDP GEF Project Document	Yes	The CO carries out monthly monitoring of the projects. In addition, the co-financing is verified in the quarterly reports and PIRs. The Project Team will provide data on the co-financing that must be verified by the Country Office in its supervisory role. These figures will be presented and shared during meetings of the Project Board, PIR, midterm and final evaluation reports. An independent verification of the co-financing will be requested, and the co-financing partners will be asked to provide letters describing the amount of co-financing that has been undertaken to ensure that accurate co-financing figures for the project are obtained and reported in each PIR, as well as during the mid-term review and final evaluation of the project.
Time tracking		
21. Please specify if you currently have a system in place to trace time dedicated to providing oversight of this project and separately execution support.	Yes	CO's are transitioning to a time tracking system for Vertical Fund projects since Apr 1, 2021. This time tracking tool will be used to track oversight functions carried out by the CO on a daily basis, as well as, for those specific individuals involved in execution support, the time that they spend providing assistance to the project team based out of the IP. As from 2021 all staff and service contracts providing execution support services to GEF project will be asked to conduct a similar timesheet to separately determine execution support and to demonstrate a strict firewall is kept and functions are not conducted by the same staff.

Signature/Clearance: UNDP Resident Representative



29-Apr-2021

Signature/Clearance: Regional Bureau Deputy Director



29-Apr-2021

Signature/Clearance: UNDP GEF Executive Coordinator



30-Apr-2021