

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:

The Democratic Republic of the Congo.

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 RBA: The DRC CO ICF has last been updated on January 21 st , 2021, certified by the Head of Office, and reviewed/verified by Regional Bureau ¹ . The ICF is uploaded into the corporate ICF Repository Share Portal and available through the stream-based CO Oversight tool, namely Vital Sign. In addition, the Year-End Assertion exercise is part of the ongoing efforts of UNDP's Office of Finance Resource and Management to strengthen UNDP's internal controls and asserts that adequate internal controls were established and maintained in the country office during the year under review. Future date of ICF review: December 2021	
Country Office (CO) Capacities				

¹ [ICF Repository - Official \(undp.org\)](https://undp.org)

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	<p>Yes, 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 CO has a capable and professional team in Programme and Operations with a strong Programme Support Unit and dedicated assurance quality and an Oversight and Compliance team.</p> <p>The UNDP CO has been successfully providing implementation support, including financial management, to more than 250 projects funded by multiple donors such as the GEF, the GCF, the EU, the Government of Norway, CAFI, Humanitarian Fund, Government of Japan, KOICA, Sweden, Peace Building Fund amounting to 579 162 002 USD with various implementing partners during the previous Programme cycle 2013- 2019.</p> <p>Currently, the GEF portfolio of the CO is as follow: 1-PIMS#4045; Atlas Output 00072678 : “Building the Capacity of the Agriculture Sector in DRC to Plan for and Respond to the Additional Threats Posed by Climate Change on Food Production and Security” (PANA-ASA): the project was assessed as <u>satisfactory</u> after its terminal evaluation.</p> <p>2- PIMS#4965; Atlas Output 00092275: “Adaptation and coastal erosion in DRC: Resilience of Muanda’s communities from coastal erosion” (PANA- Zone Côtière) : its terminal evaluation is ongoing.</p> <p>3- PIMS#5110; Atlas Output 00091468: “Vulnerable communities adopt and adapt livelihood strategies in innovative ways based on current and future climate changes scenarios in Democratic Republic of Congo (Bas Congo, Kasai Est, Katanga et Bandundu Provinces)” (PANA-AFE) : its terminal evaluation is ongoing.</p> <p>4- PIMS#4690; Atlas Output 00094434 : “Promotion of Mini and Micro-hydro Power Plants in Congo DR” (MCH): the project is ongoing. A midterm review was conducted in early 2020 with project progress evaluated as moderately satisfactory and the recommendation are under implementation.</p>
Please provide evidence of CO capacities including the list of subject matter experts to support oversight and	x	<p>List names and functions of staff who will provide oversight covered by the GEF Fee: Programming oversight:</p> <ul style="list-style-type: none"> - Etienne de Souza : Team Leader, Inclusive growth and sustainable development portfolio

provide execution support/procurement (when the latter has been approved by GEF)		<ul style="list-style-type: none"> - Charles Wasikama : Programme Analyst, Environment & Climate change - Aline Yuma: Capacity Development and Finance Analyst <p>Staff who are not paid for by the fee but nonetheless provide oversight:</p> <ul style="list-style-type: none"> - Dominic Sam: Resident Representative - Laurent Rudasingwa: Deputy Resident Representative/Programme - Debab Asrat Ynessu: Deputy Resident Representative/Operations <p>List names and functions of staff who will provide execution support:</p> <ul style="list-style-type: none"> - Missoup Bolemen: Ressource Management Specialist - Joe Kilimba: Programme support analyst - Jean Robert Kabanga: Oversight & Compliance Analyst <p>The project will be carried out in NIM modality. Subject to authorization by the GEF, limited execution support will be provided for financial transfers of resources from UNDP directly to the RP. These transactions will be carried out by the afore-mentioned members of the CO operations team and due to their limited nature, their cost will be covered by the CO from non-GEF resources. No DPC has been requested.</p> <p>Operational reporting line: All above listed staff as providing oversight are members of Programmes under the DRR for Programmes, Laurent Rudasingwa, while all staff listed as providing execution support (financial transactions as per GEF authorization) are under Operations overseen by the DRR for Operations, Debab Asrat Ynessu, ensuring complete separation of oversight and execution functions.</p> <p>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>
Has the CO put in place the necessary protocols to conduct annual field missions (monitoring)	x	<p>Yes. Field visit missions are planned twice a year. Yearly, there is a monitoring oversight mission with the national counterpart. The oversight field visits paid from the CO M&E budget and are not charged to the project.</p>

visits) for project oversight support?			
<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 relation to the CO during the last 3 years.</p>	x		<p>Date last OAI Country Office audit: May 22nd -June 06th 2018</p> <p>Qualification: OAI assessed the Office as partially satisfactory</p> <p>List outstanding audit recommendations: There are no outstanding audit recommendations.</p> <p>There has not been a DIM audit of the CO during the last 3 years, however spot checks by the CO and also HACT audits of our Implementing partners have been carried out on a yearly basis.</p>
Has Prodoc clearly outlined roles and responsibilities of UNDP Country Offices and implementing partners for the oversight of this project	x		Yes. Page 47-48
Has Prodoc clearly outlined roles and responsibilities of the project boards?	x		Yes. Page 46
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	x		<p>The national GEF OFP has requested UNDP to provide execution support for one critical activity: transferring the funds that will be managed by the RP (Wildlife Conservation Society) directly from UNDP to WCS without passing through the IP account. The reasons for this are detailed in the signed execution support request letter from the GEF OFP, which has been cleared by BPPS and is uploaded in the GEF Portal (see link).</p> <p>As outlined above, CO staff involved in this execution support (financial transfers) are part of CO Operations while all staff involved in project oversight are part of the CO Programmes team.</p> <p>https://gefportal.worldbank.org/App/#/roadmap/74d26bea-a391-e911-a82b-000d3a365fc2</p>

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.			
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		<p>The Section VI « dispositions en matière de gouvernance et de gestion » of the ProDoc outlines the governance structures put in place and the project's organization chart as well as the description of each project partner's role. UNDP provides a three-level oversight :</p> <ul style="list-style-type: none"> - At CO level, the UNDP RR, Dominic Sam, who assumes full responsibility and accountability to ensure the timely implementation of the project, as approved, and to ensure that the project complies with the GEF/UNDP policy frameworks. The RR will be supported by his team (DRR/P: Laurent Rudasingwa ; DRR/O : Debab Ynessu) and the Inclusive growth and sustainable development Team Leader (Etienne de Souza) and the Environment program analyst (Charles Wasikama) who will together provide oversight in full project cycle. - At Regional Bureau level, the RBA, which assumes full responsibility and accountability to ensure that the CO implements the project in compliance with all UNDP rules and regulations. - At headquarter level, BPPS/NCE (Goetz Schroth – RTA - supported by the BPPS/NCE directorate at HQ) performs technical oversight and shall monitor compliance with GEF policies and procedures. <p>As mentioned previously, oversight and execution support functions are clearly separated in the CO between Programme and Operations teams.</p>
Implementing Partner Capacities			
Please indicate the risk rating outlined in the Partner Capacity	x		The PCAT was carried out in 2020 for the implementing partner "Institut Congolais pour la Conservation de la Nature" (ICCN) and the implementing agent "Wildlife Conservation

Assessment Tool (PCAT) and HACT/ micro assessments. Indicate the year the HACT assessment was undertaken.			<p>Society” (WCS). The risk rating is low for ICCN and moderate for WCS. However, the HACT rating for WCS is low. The “moderate” PCAT rating for WCS results from past accusations of human rights violations by eco-guards in WCS supported projects in Africa. This risk will be managed through careful application of UNDP’s SES policies including FPIC².</p> <p>Will the PCAT be updated at mid-term review of this project? Yes</p> <p>HACT: year undertaken and risk rating Both the implementing partner and the implementing agent were micro assessed respectively in 2018 and 2020 by the accredited third-party service provider at low level risk rating.</p> <p>When will the HACT be updated? According to UNDP HACT framework, the micro assessment is valid for 5 years. Nevertheless, the risk will be adjusted as needed for other risk factors derived from the assurance activities in accordance with HACT framework and will be reviewed at MTR.</p>
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	X		<p>N/A</p> <p>There have been no previous HACT audits of the IP and the RP.</p>

² UNDP PCAT entry: “The RP WCS has been accused of having violated human rights while working in protected areas in Africa, as per Survival International and other sources. A U.S. government bipartisan congressional oversight investigation to examine whether US conservation funds were supporting eco-guards who committed human rights abuses led to the suspension of funding to the Central Africa Regional Program for the Environment (CARPE) in autumn 2019. This does not appear to amount to a persistent infringement yet the risk to the project and the reputation of all stakeholders must be managed.

WCS as well as UNDP are well aware of these accusations/issues. The risk for the present project can be managed - local communities and indigenous people have been consulted during project design and will be represented in project governance and consultation committees, and FPIC processes have been put in place under UNDP's Social and Environmental Safeguards work. An Environmental and Social Management Framework was developed and was annexed to the Project Document, requiring extensive work on such issues during the project including the preparation and implementation of an Environmental and Social Management Plan. The project has a safeguards expert to manage S&E risks and UNDP will not tolerate any questionable activities or approaches under the project.

[<https://www.rainforestfoundationuk.org/us-authorities-halt-funding-for-large-conservation-organisations-following-investigation-into-human-rights-scandal>]

[<https://redd-monitor.org/2020/10/13/us-government-stops-funding-to-wwf-wcs-and-other-conservation-organisations-because-of-human-rights-abuses/>]

[<https://www.survivalinternational.org/news/12475>]

respond to the audit findings? When available, provide a link to the management response			
Are there any outstanding HACT/NIM audit recommendations that haven't been addressed? What is the Net Financial Misstatement?	X		N/A See above
Please specify what capacities the office has in place to conduct periodic spot checks and monitoring of the IP's capacities	X		The UNDP DRC CO has capacities and a long track record to carry out spot checks of its IPs. However, for this project the CO will make use of the global LTAs to conduct the spot checks through a service provider for both the IP and the RP, to ensure independence and avoid conflicts of interest. In accordance with the HACT framework, the spot checks will be planned within the CO assurance plan and carried out at least once a year in line with the level of risk. The assurance activities are budgeted accordingly by the CO. No project funds will be used for spot checks.
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		Prodoc reference: Governance and Management Arrangements The Section VI « dispositions en matière de gouvernance et de gestion » of the ProDoc outlines the governance structures put in place and the project's organization chart as well as the description of each project partner's role. The capacity assessment was completed for both the IP (ICCN) and the RP (WCS) as documented in the prodoc. A capacity building plan will be put in place by the CO to strengthen any capacity gap that may be discovered in the framework of assurance activities.
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		The project will be implemented under NIM procedures, therefore the IP and RP will elaborate their detailed annual procurement plans based on the work plan and in accordance with their own procedures. An approved preliminary procurement plan is included as Annex 10 in the PRODOC. UNDP's procurement team will oversee the development of the annual procurement plans by the IP. The UNDP procurement team will also oversee procurements by the IP under this project.

<p>Does the UNDP office have an established protocol to identify and manage conflict of interest in general, and more specifically those arising in procurement decision-making processes at project level?</p>	<p>X</p>	<p>UNDP has the following policies and procedures for dealing with conflicts of Interest:</p> <ul style="list-style-type: none"> - Internal Control Framework - UN Staff Rules and Staff Regulations - Standards of Conduct for the International Civil Service - Policy on Family Relationships - UN Gifts Reporting, retaining and disposing of honors, decorations, favors, gifts or remuneration from governmental and nongovernmental sources - UNDP Gifts Guidance Note - UNDP Gift Registration Form - Outside Activities, ST/IC/2006/30 - Policy for the Financial Disclosure Programme and Declaration of Interest Statements. <p>The CO fully adheres to the corporate guidelines and procedures managing procurement and human resources processes.</p> <p>In addition, at CO level, the localized Internal Control Framework clearly defines roles and responsibilities and establishes a segregation of duties allowing all procurement related risks.</p> <p>The CO will ensure that similar standards are implemented by the IP and RP. To ensure this, the CO will ensure that a qualified and experienced project coordinator and team members are hired for the PMU and that these are fully briefed on UNDP's procurement standards. Moreover, the CO will ensure that UNDP's procurement and ethics standards are presented and explained at the Inception Workshop and are fully endorsed by the IP, RP and other project partners. As part of its oversight role, the CO will regularly review the full documentation of procurement processes conducted by the PMU/IP for their compliance with UNDP standards. Should problems appear, corrective action will be taken immediately, for example through additional trainings and, if necessary, withholding payments and cancellation of faulty procurement processes. Moreover, the PMU/IP and RP will be included in the annual HACT audits and the implementation of management responses and corrective actions will be carefully monitored by the CO.</p> <p>At project level, the Project Board (PSC) is also mandated to ensure that all decisions are made in accordance with standards that ensure management for best development results, value for money, fairness, integrity and international competitiveness and to avoid any real or perceived conflicts of</p>
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			interest. Where consensus cannot be reached within the Board, the UNDP RR will mediate to find a fair solution.
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>Risks have been identified and analyzed. The risks identified are aligned with those presented in the risk log of the project document.</p> <p>See ProDoc, Annex 4. « Procédure d'examen préalable social et environnemental du PNUD (SESP) » and Annex 5. Registre des risques du PNUD.</p> <p>Risks will also be assessed as part of the annual PIR.</p>
List the frequency the risks will be monitored, and by whom. Explain how risks are monitored by the CO.	X		<p>The risk register will be updated at least twice a year by the Programme Analyst and reviewed by the Team Leader and approved by the DRR/P in their oversight role.</p> <p>Mitigating measures will be put in place accordingly.</p>
Has risk assessment and management been done with identified mitigating measures documented in the Prodoc?	X		<p>Prodoc reference: Risk Management</p> <p>Risk assessment and mitigation measures have been identified in the ProDoc. See section X “gestion des risques “ and Annexe 5. Registre des risques du PNUD in the ProDoc.</p>
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		<p>The CO will monitor co-financing by obtaining at the beginning of each year confirmation letters stating the amount of co-financing realized during the previous year from each co-financing entity. To the extent possible, the co-financing numbers will be verified for accuracy and plausibility.</p> <p>The resulting figures will be presented/shared at project review committee meetings, in the GEF PIR reports, mid-term and final evaluation reports.</p> <p>As part of the MTR and TE package, the co-financing template will be completed and provided to report on the source, type and amount of actual co-financing.</p> <p>Twice a year, the financial report at the IP level will report on the co-financing and cofinancing data will be included in the annual PIR.</p>
Time tracking			
Please specify if you currently have a system	X		All CO staff and UNDP BPPS/NCE staff involved in oversight of the project are required to report on the time spent on the

in place to trace time dedicated to providing oversight of this project and separately execution support:		oversight of GEF projects through the internal PIMS+ (Project Information Management System) Time Tracking Module.
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Signature/Clearance: UNDP Resident Representative


Dominic SAM

22-03-2021

Signature/Clearance: Regional Bureau Deputy Director


Noura Hamlady

24-Mar-2021



24-Mar-2021

Signature/Clearance: UNDP GEF Executive Coordinator