



Oversight Readiness Capacity Assessment (ORCA)

USER GUIDE

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1. Introduction

In early 2021 a task team within BPPS/NCE led the design of an important programming tool: the Oversight Readiness Capacity Assessment (ORCA) (previously referred to as Programming Needs Assessment Tool (VF-PNAT) and Country Office Capacity Diagnostic/Assessment Tool). The tool was developed to operationalize and further strengthen efforts underway towards the following audit management actions:

Dec 2020 GEF Audit - Management Action Plan #2.3:

"BPPS, in coordination with the Regional Bureau and Bureau of Management Services, will finalize the already advanced draft Country Office Capacity Diagnostic/Assessment tool for use within the context of the overall capacity assessment for significantly changing portfolios. The timeline is as follows: 31 March 2021 (Country Office Assessment tool to be finalized); 31 April 2021 (included in the POPP; 31 May 2021 (roll out commenced)"

Oct 2018 GCF Audit - Management Action Plan #4(b):

"Engage with relevant counterparts in the Office of Financial Resources Management and Regional Bureaux to explore the possibility of developing and implementing a Country Offices Capacity Assessment tool for GCF projects, building off the questionnaires and methodologies used in the Partner Capacity Assessment Tool (PCAT).

The tool was developed through several rounds of discussions, including with the Bureau of Management Services (BMS) and the Regional Bureaus, as well as the BPPS/Effectiveness Group.

In designing the tool, the development team referred to policies of the vertical funds (as it relates to oversight and execution support functions expected of UNDP), as well as key information/data available from existing resources and databases within UNDP. Additionally, the ORCA was developed in accordance with the Responsible-Accountable-Consult-Inform (RACI) Matrix developed by the BPPS-Nature Climate Energy (NCE) Directorate - also developed in response to the OAI Audit recommendations of Dec 2020.

The tool was piloted between Aug-Oct 2021 in 32 Country Offices across regions. As part of the pilot process, colleagues involved in the process (NCE Team, Bureau Desk and Country Offices) provided feedback on different aspects of the tool, including the process of administering the tool. Based on feedback and lessons from the pilot phase, the tool was further refined and digitized and integrated within PIMS+ for final rollout beginning March 2022.

2. Purpose

The primary objective of the ORCA is to help UNDP effectively perform its OVERSIGHT FUNCTION, that it is legally bound to provide as part of its Quality Assurance (QA) function during the entire lifecycle of projects within the portfolio (i.e. origination, design, approval, implementation and closure stages).

Accordingly, the ORCA has been designed to help better understand and address needs at the Country Office (CO) level in a structured manner to help COs effectively perform their OVERSIGHT functions in line with the RACI matrix and when deciding to undertake development of additional VF projects.

The results and recommendations generated by the tool are meant to prompt discussion(s) between the COs, Regional Bureaus and NCE to collectively identify and address potential needs and gaps that

require to be strengthened to enable COs to provide effective oversight in line with the RACI, and agree on an ACTION PLAN to manage/mitigate associated risks, as appropriate.

Consequently, the tool will enable the NCE unit to provide better oversight of UNDPs VF portfolio and support COs through regularly monitoring of ACTION PLANS in coordination with Regional Bureaus. The implementation of the Action Plan will be reviewed by the Regional Bureaus and NCE team at least 3-times a year during consultations on VF Programming.

3. Structure

To ensure objectivity and minimize workloads, ORCA utilizes auto-generated data associated with most parameters used to assess CO capacity needs for VF programming. The sources of data include ERM dashboard, OAI dashboard, UNDP at a Glance, Integrated Financial Dashboard (IFD), HACT dashboard, ATLAS, PIMS+, ERC, ACP Online, SECU and SRM case registry, etc. A full list of data sources is available in Annex 2 of this user guide.

While an attempt was made to design a fully automated tool to reduce workload, data related to a few important assessment parameters were not available through online resources. Therefore, the tool requires minimal qualitative inputs from the Country Offices (COs) and Regional Bureau Desk Officers (DOs). Additionally, the tool also requires inputs from the Safeguards & Risk focal points, Management and Programme Support Unit (MPSU) and Regional Technical Advisors (RTAs) within NCE unit. This aspect of the tool also allows for further qualification and triangulation of auto-generated data, as well as draw empirical and normative insights from the COs, Regional Bureaus and NCE unit.

The ORCA comprises of 6 key steps as shown in Figure 1 below. These are elaborated further in subsequent sections of the User Guide.

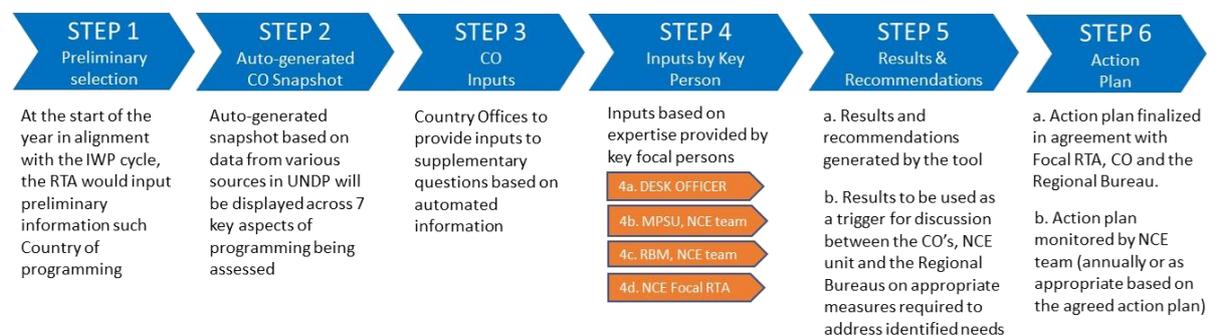


Figure 1: Overview of basic steps involved in using the assessment tool

4. Application:

The ORCA assessment will be applied once a year in alignment with the IWP cycle. However, in cases where the Regional Bureaus have cited pending Audit and/or other issues that require to be resolved prior to undertaking new VF programming initiatives, the respective CO will require to address the same after which the ORCA can be applied pending confirmation from the Regional Bureau on the resolution of cited issues in a satisfactory manner.

Upon confirmation from the Regional Bureaus, the ORCA will be administered in COs by NCE/BPPS, and an RTA will be assigned as a focal point to complete the assessment in consultation with other

colleagues from whom inputs are also required. The table below highlights how the tool will be applied and used by the NCE unit during the annual programme cycle. The roles and responsibilities in the administration of ORCA are elaborated in Section 8 of the User Guide.

Table 1: Application of the ORCA

Stage	Application	Key Actions	Responsibility	Persons involved
Administering the ORCA	The ORCA will be administered at least once every 12 months, ideally at the beginning of the year in alignment with the IWP cycle.	<ol style="list-style-type: none"> 1. The NCE unit will lead the process and the Regional Technical Leads (RTLs) in the respective regions will act as focal points to administer the tool. 2. RTLs will coordinate for inputs with the COs, Regional Bureaus Desk Officers and key persons from the NCE unit (i.e. MPSU, Safeguards & Risk team). The focal RTA will support the RTLs in the administration of the tool. 	RTLs - NCE unit	CO - Consulted RBx - Consulted Focal RTAs - Consulted
Finalization of the Action Plan	Results and Recommendations generated to be discussed between the NCE unit, the Regional Bureau and the CO to develop and agree on an action plan to address the identified gaps within the COs to help improve VF oversight capabilities	<ol style="list-style-type: none"> 1. RTLs will coordinate with the CO Leadership and Environment unit focal points, and the Regional Bureau to discuss the results and recommendations generated by the tool once all inputs have been provided. 2. Findings will be reviewed in a consultative manner by the CO, the Regional Bureau and the NCE unit to agree on appropriate measures required to address identified gaps based on the findings and finalize an Action plan. 3. The Final Action plan will endorsed by the Resident Representative (RR) or Deputy Resident Representative (DRR) of the CO as appropriate, the Regional Bureau Director and the Regional Team Lead (RTL) of the NCE unit. 4. The action plan will outline key milestones and timelines that will be monitored by the NCE unit as appropriate intervals in coordination with the Regional Bureaus. 	CO, RBx and RTLs - NCE unit	CO - Consulted RBx - Consulted Focal RTAs - Consulted
Regular monitoring of the last agreed Action Plan	The last agreed Action Plan to be monitored at appropriate intervals and compared with the then current Results auto-generated by the tool to ensure that any key changes/updates at the CO level are captured.	<ol style="list-style-type: none"> 1. The NCE unit will lead the monitoring process of the Action Plan at regular interval to ensure that key tasks outlined are implemented. 2. During the programming cycle or in the interim the most updated version of the ORCA tool to be used regularly to monitor changes in risks and/or results owing to significant developments within the CO; RTLs and focal RTAs will compare updated results generated by the tool using automated information "SNAPSHOT section" of the tool to monitor such developments at the CO level. 3. In case of major updates and/or corrective actions, if deemed required, the Action plan to be modified in consultation with CO and Regional Bureaus. 	RTLs - NCE unit	CO - Consulted RBx - Consulted Focal RTAs - Consulted

Use of results in the interim as reference during the PISC process	The results and recommendations from the tool will also be considered by the Pre-Investment Screening Committee (PISC) while making decisions on new programming requests being by COs	1. RTLs use the last agreed action plan and/or updated results in the auto-generated SNAPSHOT section of the tool as well as the PISC exclusionary criteria to serve as reference to understand the oversight capabilities of the CO. 2. This information along with other technical considerations will be used during the PISC process while making decisions on new programming requests made by COs planning to develop VF projects.	PISC	RTA - Consulted RTL - Informed RBx - Informed
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5. Administration of ORCA:

Upon confirmation from the Regional Bureaus, the ORCA will be administered in eligible COs at least once every 12 months, ideally at the beginning of the year in alignment with the IWP cycle and the NCE unit/BPPS will lead the assessment process. An RTA from NCE unit will be assigned as focal point to lead the assessment process. The Focal RTA will coordinate with the COs, the Regional Bureau DOs and colleagues within the NCE unit, namely MPSU, Safeguards and Risk team and the other RTAs also overseeing VF projects and/or programmes in the concerned CO, to gather inputs required to complete the different sections of ORCA. Once inputs have been provided the results and recommendations will be discussed with the COs and Regional Bureau DOs to agree on an Action Plan – that will outline the measures and management actions required to address the needs and gaps identified. The Action Plan will be subsequently monitored by the NCE unit in consultation with Regional Bureaus - at least 3-times a year, as part of the regular consultations on VF Programming. The figure below highlights the key steps involved in the application of ORCA are as follows:



Figure 2: Flowchart showing on application of the ORCA

- **STEP 1:** Involves selection of the Country Office for which the tool is being administered.
- **STEP 2:** Upon selection, an auto-generated snapshot is populated for the CO selected in STEP1. This section is populated drawing information from various data-sources including ERM dashboard, OAI dashboard, UNDP at a glance, Integrated Financial Dashboard (IFD), HACT performance dashboard and other sources such as ATLAS, PIMS+, ERC data, ACP Online, SECU and SRM case registry. For further details please refer to Annex 2: Data source library.

- **STEP 3:** In this section COs provide qualitative inputs to a set of 12-14 questions by selecting options from a drop-down menu.
- **STEP 4:** In this section qualitative inputs are provided by key persons by selecting options from a drop-down menu. Inputs are required from the following key persons:
 - (a) Desk Officer - respective Regional Bureau Desk Officer provides inputs to 3 questions
 - (b) Focal point of the Management Programme Support Unit (MPSU) within the NCE team provides inputs to 6 questions
 - (c) Focal point of the Safeguards and Risk team within the NCE team provides inputs to 3 questions
 - (d) Focal RTA of the NCE unit, in consultation with other RTAs covering the same CO provides inputs to 5 questions.
- **STEP 5:** Once inputs are provided in Steps 3 & 4, a score (out of a maximum of 100) is generated for the CO, based on performance across eight different risk categories as per [ERM framework](#) - along with an overall rating, as well as individual risk category rating of High Risk, Substantial Risk, Moderate Risk or Low Risk. The tool also generates recommendations for each of the eight underlying risk categories. For further details refer to Section 6: Assessment Results and Recommendations.
- **STEP 6:** The results and recommendations in STEP 5 are intended to prompt discussions between the focal RTA in the NCE team, concerned Regional Bureau and the CO - based on which an action plan is developed and agreed upon. The Action Plan template is then populated and signed off by the Resident Representative (RR) or Deputy Resident Representative (DRR) of the CO, the respective Regional Bureau focal point and the Regional Team Lead (RTL) of NCE.

Further guidance on how to access and navigate the ORCA tool is provided in this User Guide under Section 9: Navigating the ORCA tool

6. Assessment Results and Recommendations

6.1. Risk Categories:

The tool generates a score based on performance across eight different risk categories as per [ERM framework](#), as highlighted in Table 2 below.

Table 2: ERM Risk categories

1. Social and Environmental Risk	2. Financial Risk
3. Operational Risk	4. Organizational Risk
5. Reputational Risk	6. Regulatory Risk
7. Strategic Risk	8. Safety and Security Risk

6.2. Rating scale:

Once the assessment is complete the results summary displayed includes an overall rating and ratings across each of the underlying risk categories using the rating scale in Table 3 below. The higher the score (out of a maximum of 100) for the CO, the higher the level of potential risks in undertaking development of additional Vertical Fund projects in the country and therefore greater the need to address identified risks.

Table 3 Rating and Scoring system

Rating	Score range	Interpretation of rating
High Risk	>75% of max score	<p>Prior to development of additional VF projects, investments in building core-capacities within the CO is needed. It is recommended to</p> <ul style="list-style-type: none"> – Review, plan and undertake measures required for developing requisite core capacities within the CO as per gaps highlighted in the results & recommendations module; – Identify budget required and potential sources of resources to address capacity development needs; and – Take decisions on development of additional VF projects only in close consultation with the respective focal point(s) in the Regional Bureau and Nature, Climate and Energy (NCE) unit.
Substantial Risk	50% < x <= 75% of max score	<p>Prior to development of additional VF projects, investments may be required in specific areas. It is recommended to:</p> <ul style="list-style-type: none"> – Review, plan and undertake measures required for developing requisite capacities in the areas with High/Substantial risks identified in the results and recommendations module; – Identify areas of complementary support that can be potentially included in the project budget; and – In consultation with the respective focal point(s) in the Regional Bureau and the Nature, Climate and Energy (NCE) unit, decide on measures required to be undertaken <ul style="list-style-type: none"> i) prior to project development and ii) during the course of project development and/or implementation of the additional VF project.
Moderate Risk	25% < score <= 50% of max score	<p>Development of additional VF projects may proceed, however, the following is recommended:</p> <ul style="list-style-type: none"> – In consultation with the respective focal point(s) in the Regional Bureau and Nature, Climate and Energy (NCE) unit, review and undertake appropriate measures in specific areas identified for improving core-capacities within the CO to perform oversight functions; and – Additional support needs to be included in the project budget if possible, else identify potential measures and requests for additional support
Low Risk	<= 25% of max score	<p>Development of additional VF project can proceed. If needed, CO may consult with the respective focal point(s) in the Regional Bureau and the Nature, Climate and Energy (NCE) unit on potential measures to further augment core-capacities</p>

6.3. Results and Recommendations:

Based on inputs and final score, the tool generates the following outputs:

6.3.1. Summary of Performance against exclusionary criteria

The performance of CO against the Exclusionary criteria¹ is generated by the tool in the results areas to serve as reference for the following purposes: - i) initiate consultation between the Bureau, NCE and the CO aimed at analysing underlying reasons for non-compliance across the different criteria, as applicable; and ii) for use by the Pre-Investment Screening committee (PISC) during the review process for new programming requests received from country offices.

6.3.2. Risk Score Summary:

The results generated by the tool are segregated into two parts i) An overall risk rating based on total score; and ii) Segregated risk rating based on score attributable to each individual ERM risk category.

6.3.3. Recommendations

The tool generates recommendations that are summarized for each attributable ERM risk category based on potential needs or provisions identified and based on available data and qualitative inputs provided. The recommendations are to be used as a basis for discussions between NCE, concerned Regional Bureau and the CO - to develop the Action Plan.

¹ Exclusionary Criteria are based on the SOPs for VF Project Origination.

7. Scoring

Scoring for the tool is based on a maximum score of 100. Each individual question within the respective STEP is assigned a weightage, a scoring-criteria, and attribution to the ERM risk category(ies) as applicable. Depending on response, the score for each individual question is distributed to the respective risk category to generate a total overall score and a segregated score for each risk category.

7.1. Weightage attributable to each STEP:

The weightage given to each STEP and sub-section is summarized in Table 4 below. Majority of the weightage (i.e. 80%) is given to auto-generated data in STEP2 to ensure that results generated by the tool are objective. STEP3 and STEP4 of the tool (where qualitative inputs are sought) each have a 10% weightage.

Table 4: Weightage for scoring

STEP	Weightage	Sub-section	Weightage
STEP 2	80%	STEP 2 - Auto-generated section	80%
STEP 3	10%	STEP 3 - CO Inputs	10%
STEP 4	10%	STEP 4(a) - Desk Officer inputs	3%
		STEP 4(b) - MPSU, NCE team inputs	2%
		STEP 4(c) – Safeguards & Risk focal point, NCE team inputs	2%
		STEP 4(d) - Focal RTA, NCE team inputs	3%
Total	100%	Total	100%

7.2. Question wise weights:

Individual questions within each STEP are assigned a weight, scoring criteria and attributable percentage across each ERM risk. Based on these three parameters, total score for each question is determined and attributed to the respective ERM risk. For further details on parameter for each question, please refer Annex 1.

7.3. Score calculation:

Based on the parameters mentioned in section 6.2 above, the score is calculated as follows:

- i) The sum of the total scores for each question is used to calculate overall risk score; and
- ii) The sum of the scores attributed to each individual risk category based on the total score for each question is used to calculate the Risk category score.

8. Roles and Responsibilities

The NCE team assumes overall responsibility for the administration of the tool, in consultation with the concerned Regional Bureau and the CO. Inputs are also required from other individuals/business units within UNDP. Table 2Table 6 below summarises the different roles and responsibilities:

Table 5: Role and responsibilities for administration of the tool

Aspect	Description of tasks	Responsible Person/Unit
Overall responsibility	Overall oversight and monitoring of the tool, including update, revision and management of inputs/data, quality control, etc.	NCE Directorate/BPPS
Completion of tool	Overall responsibility to ensure administration of the tool	Focal RTA and RTL/NCE Directorate
	Provide inputs under Step 3 CO input section	Environment Focal Point/Country Office
	Provide inputs under Step 4(a) Desk Officer	Regional Bureau Desk Officer

Inputs to tool	Provide Inputs under Step 4(b) MPSU, NCE Team	MPSU/NCE Directorate
	Provide Inputs under Step 4(c) RBM, NCE Team	RMB/NCE Directorate
	Provide inputs under Step 4(d) Focal RTA, NCE Team	Focal RTA/NCE Directorate
Action planning	Discussion between Bureau/Desk Officer, NCE Team and CO	Focal RTA
	Completion and upload of action plan	Focal RTA
Final Sign off	Final sign off – action plan	- Resident Representative of Country Office - Regional Bureau Focal Point - Regional Team Lead, NCE unit

9. Navigating the ORCA tool

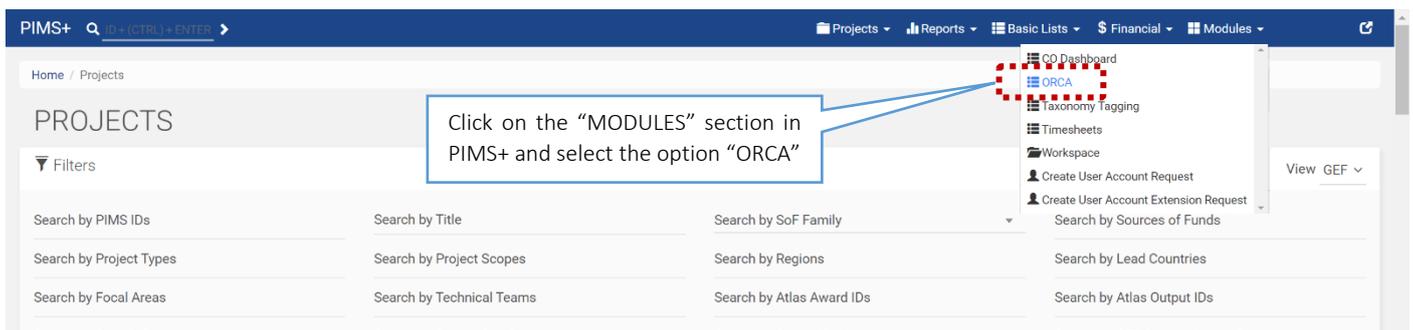
This section provides a step-by-step guide to complete the different sections of the ORCA tool.

9.1. Accessing the ORCA

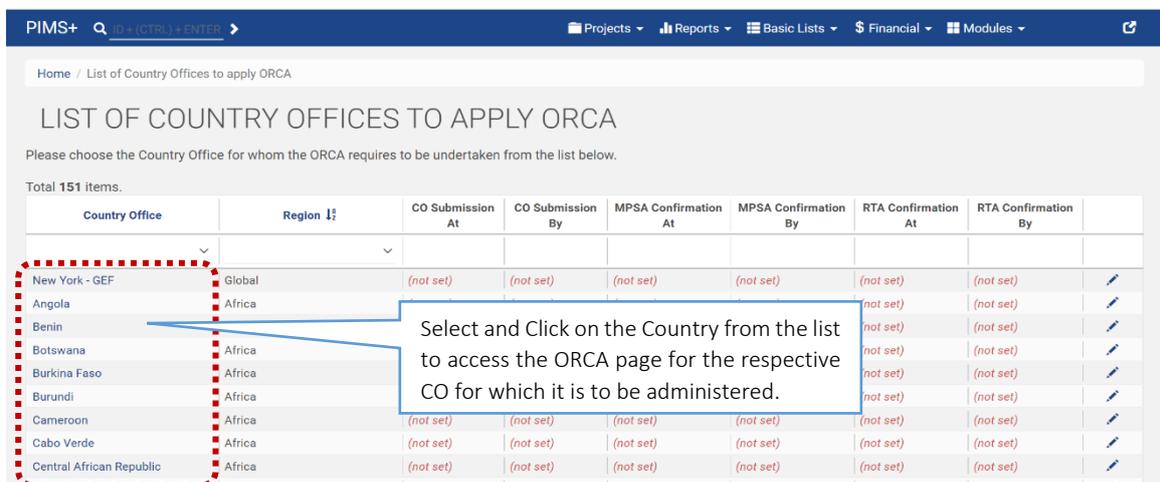
The ORCA tool can be accessed on PIMS+ platform which is widely used by the NCE unit, BPPS as a repository and monitoring platform for managing its vertical fund portfolio. NCE and non-NCE users can access the tool through different links, as follows:

9.1.1. Access by NCE users

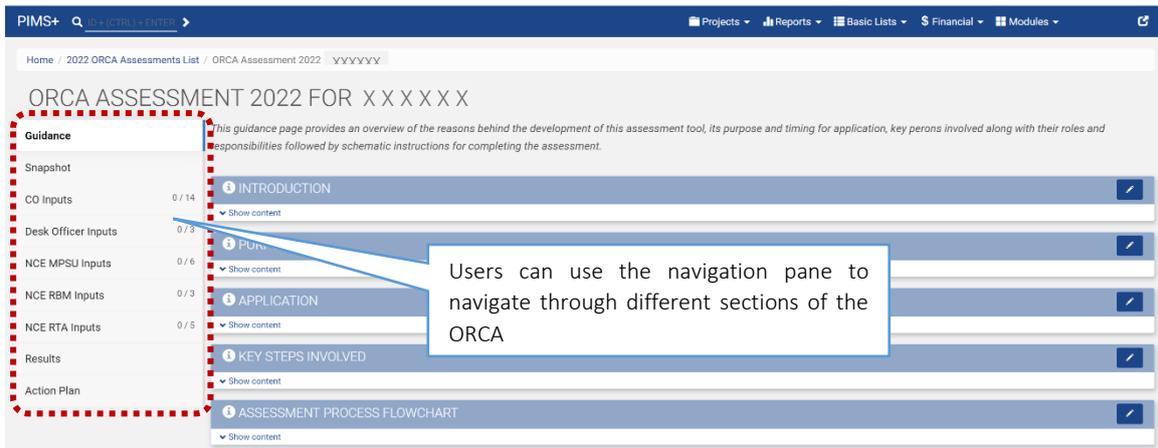
- Members in the NCE team, namely RTLs, RTAs, MPSU focal points, Safeguards and Risk team focal points can access ORCA from the “MODULES” section of PIMS+ as highlighted below:



- NCE users will then be directed to a list of Country Offices for which the ORCA can be applied. From this list, as part of STEP1, NCE users can select the respective Country Office for which the ORCA is to be administered.

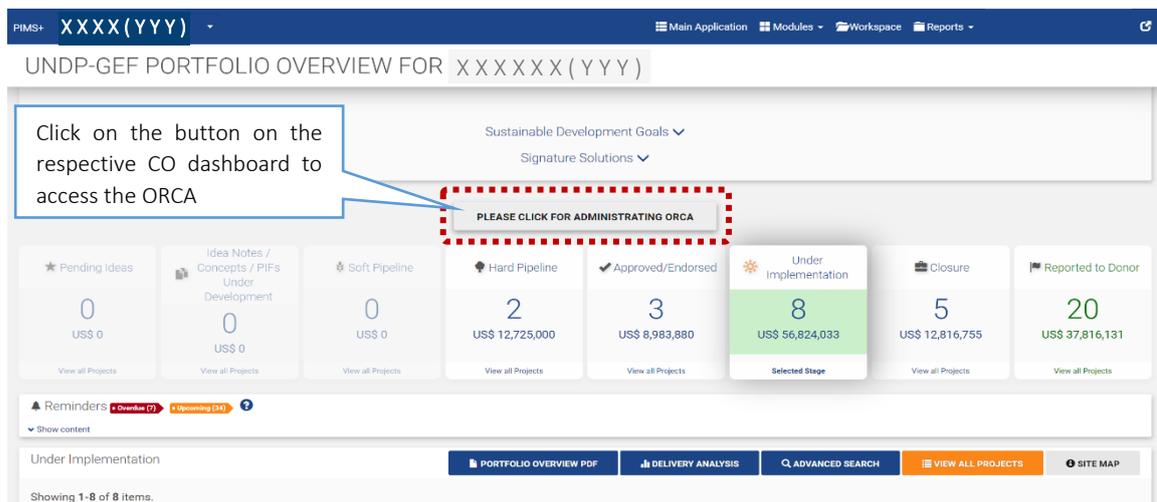


- Once the country is selected users will be directed to the ORCA guidance page for the CO.

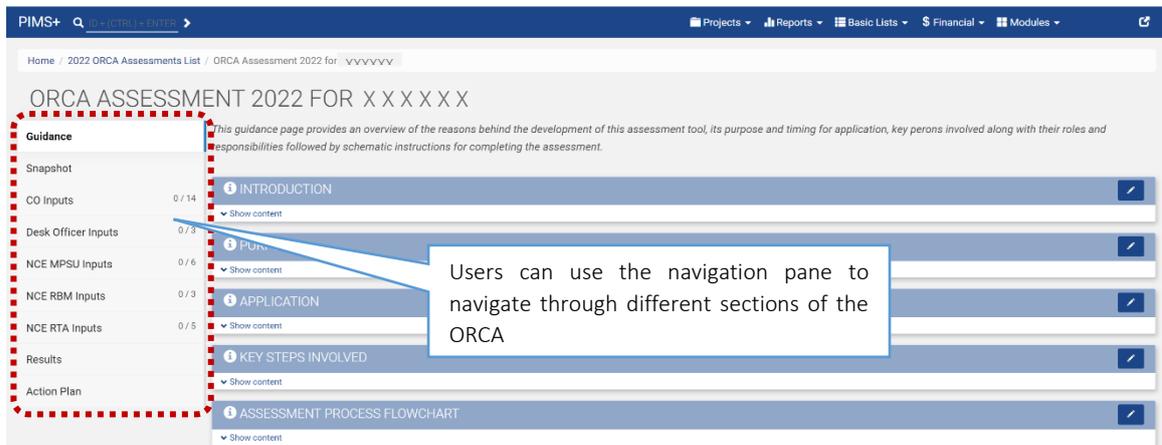


9.1.2. Access by Non-NCE users

- Non-NCE users, namely COs and Regional Bureau DOs can access ORCA through a clickable button on the respective Country Office dashboard (link), as shown below:

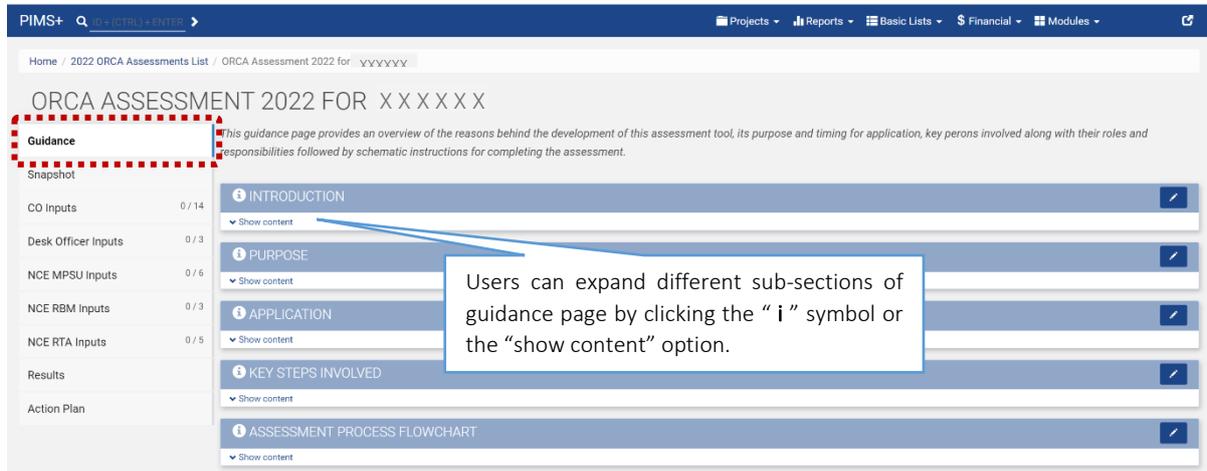


- Users will be directed to the guidance page of ORCA for the respective CO.



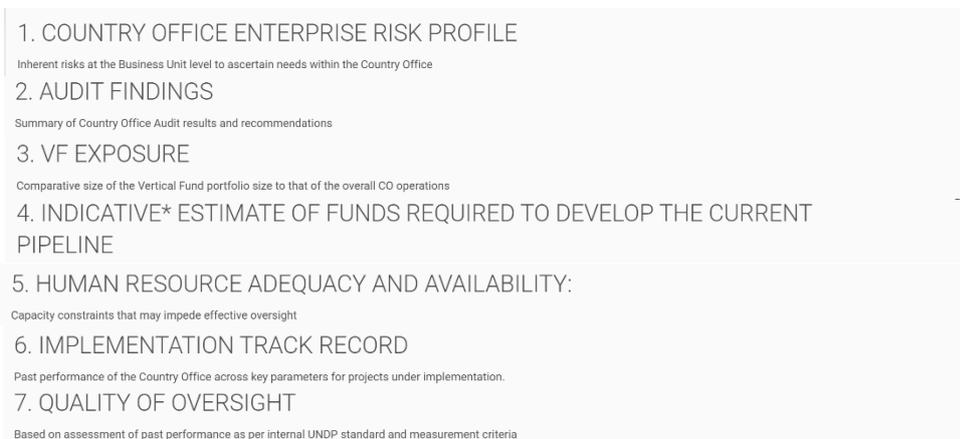
9.2. Guidance tab

The guidance page contains basic information on the tool and serves as a reference for users. Users can click the “i” symbol or the “show content” option to expand each sub-section of the guidance page for further information on the different aspects of the tool.

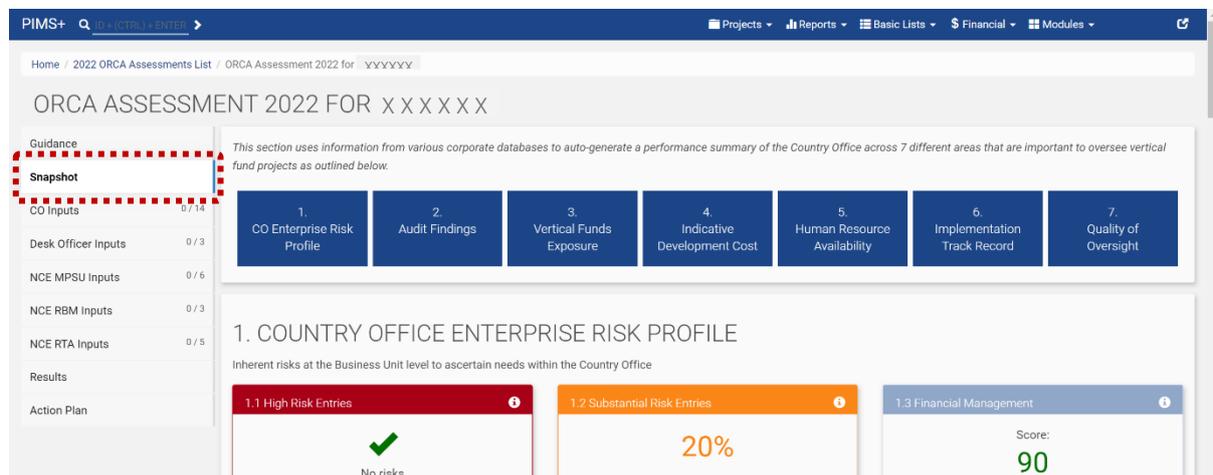


9.3. Snapshot tab

This tab contains an auto-generated snapshot populated for the selected CO and summarizes information across 7 different oversight areas relevant for vertical fund projects as outlined below.



This SNAPSHOT section is populated drawing information from various data-sources including dashboards such as ERM dashboard, OAI dashboard, UNDP at a Glance, Integrated Financial



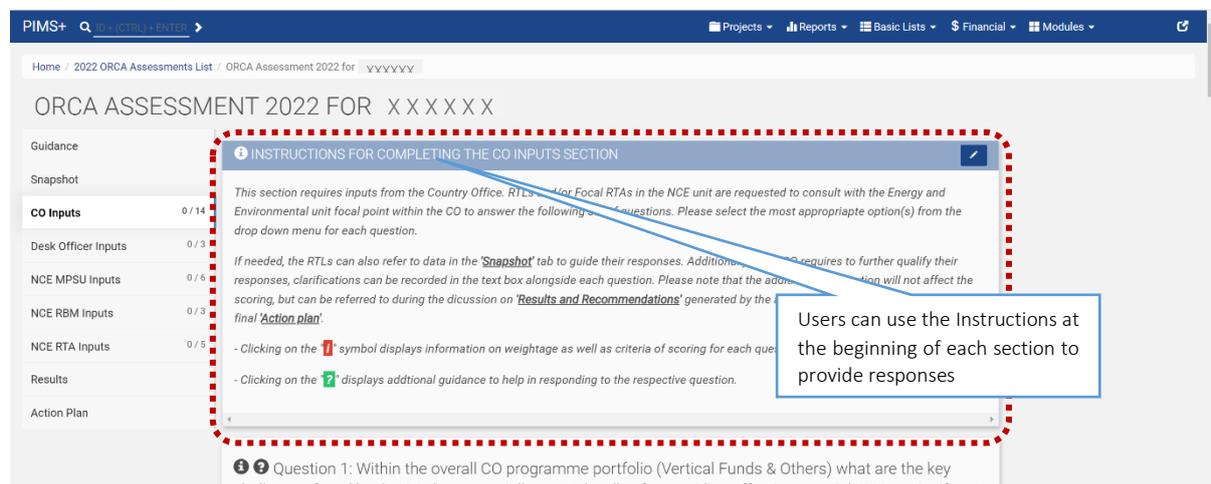
Dashboard (IFD), HACT performance dashboard, ATLAS, PIMS+, ERC data, ACP Online, SECU and SRM case registry. For further details please refer to Annex 2: Data source library.

9.4. INPUTS tabs

There are five tabs which require inputs to be provided manually, as outlined below. The assigned Focal RTA from NCE unit will be responsible for coordinating with respective input providers to gather and record their responses in their respective sections.

1. **CO Inputs:** In this section, the Country Office is required to provide inputs to a set of 12-14 questions. Focal RTAs from the NCE unit may be required to organize a conference call to run through the set of questions with CO colleagues, who can subsequently discuss and agree on responses so that the focal RTA can record them in the CO section.
2. **Desk Officer Inputs:** In this section, the Regional Bureau Desk Officer for the relevant CO is required to provide inputs to a set of 3 questions.
3. **NCE MPSU Inputs:** In this section, colleagues from the MPSU team are required to provide responses to 6 questions. The respective MPSA focal point in region of the CO for which the ORCA is being administered shall be responsible for providing inputs in this section.
4. **NCE Safeguards & Risk Team Inputs:** In this section, designated colleagues from the Safeguards and Risk team are required to provide responses to 3 questions.
5. **NCE RTA Inputs:** In this section all NCE RTAs supporting the CO concerned shall collectively agree and provide responses to a set of 5 questions. The assigned focal RTA from the NCE unit will be responsible for coordinating inputs with the other RTAs and/or RTL.

At the beginning of each of the manual input sections highlighted above, an instructions pane is available to guide users to complete the respective sections. Focal RTAs and input providers are requested to read through these instructions and use them as guidance to respond to questions and complete the section.



In each of the manual input sections highlighted above, the respective input providers are required to respond to questions by selecting the most suitable options from a pre-set dropdown menu provided for each question. Respective RTLs and/or Focal RTAs in the NCE unit shall consult and coordinate with the input provider and record their responses in this section. If needed, users can also refer to data in the 'Snapshot' tab to guide their responses.

Question 1: Within the overall CO programme portfolio (Vertical Funds & Others) what are the key challenges faced by the CO that potentially create hurdles for providing effective oversight? How significant is the challenge?

Please provide inputs for up to 3 challenges and the

Challenge	Significance 1
Challenge 1 Please Select	Please Sele
Challenge 2 Please Select	
Challenge 3 Please Select	

Please provide

Project Staff Turnover - frequent changes in key Project personnel positions leading to bottlenecks
 Lack of local expertise - Constraints relating to poor capacity and/or lack of availability of local experts
 Procurement Delays - recurrent delays in procurement processes and/or recruitment of consultants to implement project activities and/or conduct evaluations
 Technical Constraints - Vacancies in key technical staff positions posing hurdles
 Operational Constraints - Vacancies in key operational staff positions posing hurdles
 Funding Bottlenecks - Lack of time
 High workloads - Low time available
 Partner Capacity - Low IP and RP
 Co-finance availability - Low mobilisation
 Regulatory bottlenecks - Changes in the regulatory framework leading to delays in project implementation
 Government Commitment/Political will - Change in Govt. commitment and/or turnover in Govt. Ministries
 Force Majeure Events - Natural Disasters/Natural or Manmade Hazards/Pandemic/Conflicts etc

User can click the "i" & "?" symbol to display information and guidance respectively for answering questions

To answer questions, Users require to select option from a pre-set drop-down menu provided for each question.

For each question, users can click the **i** symbol to display information on weightage, as well as criteria of scoring for each question; and click the **?** symbol to display additional guidance to respond to questions.

Additionally, if responses to questions require further qualification, clarifications can be recorded in the text box provided alongside each question. These additional clarifications do not affect the scoring but is meant to guide the discussion on 'Results and Recommendations' generated by the assessment, as well as in the formulation of the 'Action plan'.

Please provide clarifications in the box below if needed

Users will be able to check progress in each section by checking the number of responses provided to questions in each tab. Additionally, users also have the option to save their responses by clicking the SAVE option provided at the bottom of the section. See screenshot below:

Guidance		Question 14: Has the CO established a Stakeholder Response Mechanisms (SRM) as per the prescribed UNDP guidelines?
Snapshot		
CO Inputs	0 / 14	Please Select
Desk Officer Inputs	0 / 3	Please provide clarifications in the box below if needed
NCE MPSU Inputs	0 / 6	
NCE RBM Inputs	0 / 3	
NCE RTA Inputs	0 / 5	
Results		
Action Plan		

UNDP Guidelines to establish SRM:

- All CO staff know who the SRM focal point, what SRM is, how it works?
- All CO staff know what to do if a complaint is received
- Reporting about receipt and status of complaints is clear and well coordinated
- Reporting about receipt and status of complaints is clear and well

Users can check the progress for each section by checking the number of questions responded to out of the total.

Users can also save their responses by clicking on the save button at the bottom of each section

SAVE

9.5. Results and Recommendations tab

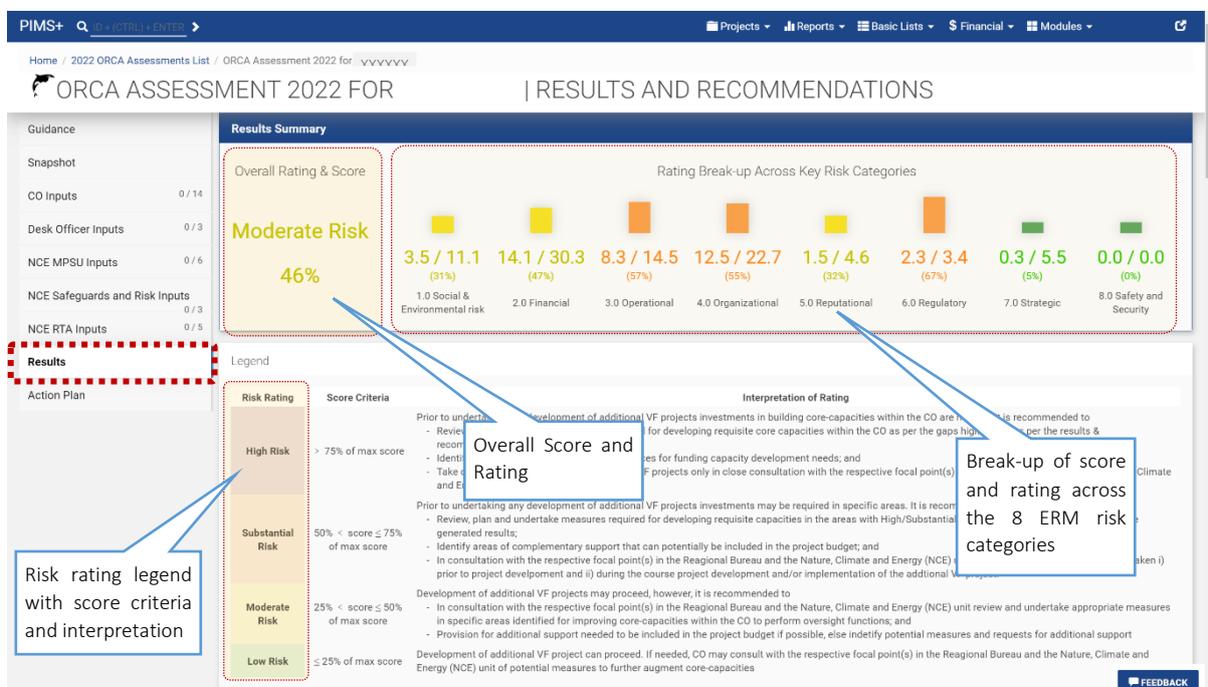
This section generates the output after all the manual input sections have been completed. Please note that the tool only uses questions for which inputs are provided to calculate the scores. Please note that in order to display comprehensive and/or accurate results, it is important that all applicable questions in each of the different sections are responded by users. Focal RTAs should ensure that all manual input sections are complete before proceeding with the discussion on results. The results section is segregated into two sub-sections, as follows:

9.5.1. Results summary

The Results summary display the overall score attained by the CO out of a total of 100, and overall rating based on the band of risk in which it falls (i.e. High, Substantial, Moderate, Low). The higher the score, higher the risk band the CO will fall in. In addition, the summary also provides a breakdown of scores and rating across each of the eight ERM risk categories. The breakup shows attained score versus the total score individually for each ERM category. Below the summary, the legend provides details on risk rating bands, including criteria for the rating, and interpretation of overall rating.

9.5.2. Recommendations

In addition to scoring results, the tool also generates a series of recommendations - based on identified gaps and needs. These recommendations serves as a guide during the action planning discussion. During discussion between CO, Bureaus and NCE unit, the recommendations may be discussed to assess their relevance and to prioritize and decide potential mitigative actions that may be appropriate to address the respective gaps.



9.5.3. Other features in the Results and Recommendations tab

The Results and Recommendations tab also contains two additional set of information (i.e. (i) scoring details and (ii) the Exclusionary criteria used for PISC screening) as highlighted below.

PIMS+ [ORCA \(2021\) | INPUTS](#) Projects Reports Basic Lists Financial Modules

Home / 2022 ORCA Assessments List / ORCA Assessment 2022 for VVVVVV

RESULTS AND RECOMMENDATIONS

Guidance

Snapshot

CO Inputs 14 / 14

Desk Officer Inputs 3 / 3

NCE MPSU Inputs 6 / 6

NCE RBM Inputs 3 / 3

NCE RTA Inputs 5 / 5

Results

Action Plan

Recommendations for VF Programming and Oversight

Area of Assessment	Associated ERM Risk Categories	Recommendations	Additional Clarifications for Reference (Manual Input)
1. CO Enterprise Risk Profile	Regional Bureau Inputs	CO is requested to clarify and/or assess if a risk entries relate to and/or have any impact on effectively performing the HIGH and/or SUBSTANTIAL risks. If yes, the CO is recommended to discuss any risk entries already been planned or potentially being planned with the Regional Bureau and NCE Unit.	
		the CO portfolio with the underlying risks assessed.	LDCF2 project delivery in 2021 was mere 5% and GCF's only 10% compared to around 80% overall CO annual delivery. Being NIM, it took almost 9 months for the CO to clear the work plan as they were insisting on budget support and the approval from government.
	1. Delivery	In government commitment, the CO risk mitigation/management strategy has been developed by the CO to manage high risks. The CO is requested to consult the Regional Bureau focal point(s) to update on the status of the high risks identified; the CO risk mitigation/management strategy in agreement with and to be approved by the Regional Bureau.	The CO senior management regularly pursued the case with the government which has been resolved by now. The country's parliament was dissolved twice last year. The political uncertainty continues. The general elections are planned for later in the year. The elections are happening in mid year. These have had and will have impact on CO's performance.

Annotations:

- Highlights the ERM risk category associated with the area of assessment
- This column displays the set of recommendations generated based on the results and identified gaps and needs.
- This column displays the inputs entered in the clarification boxes provided for questions
- This column displays the Area of assessment for which recommendations have been generated.

i) Scoring details section once expanded will display the details of how scores have been calculated. Users have the option of downloading the scores for their reference. Further details on the scoring criteria are available in Annex 1.

CO Inputs 14 / 14

Desk Officer Inputs 3 / 3

NCE MPSU Inputs 6 / 6

NCE RBM Inputs 3 / 3

NCE RTA Inputs 5 / 5

Results

Action Plan

Scoring Details

Total 85 items

Description	ORCA Data Point Code	ORCA Section Code	ORCA Question Number	Weight	Applied Score	Risk Rating	Applied Criteria	1.0 Social & Environmental risk	2.0 Financial	Overall
ERM Dashboard "High Risks" (COS1.1)	ERM_RISK_HIGH			5.20	4.16	High Risk	10.00 € < 20.00 € = 80.00%	1.39 (33.33%)	1.39 (33.33%)	1.73
ERM Dashboard "Substantial Risks" (COS1.2)	ERM_RISK_SUBSTANTIAL			4.40	4.40	High Risk	60.00 € < 20.00 € = 100.00%	1.47 (33.33%)	1.47 (33.33%)	1.47
ERM Score (COS1.3)	IFD_SCORE			6.40	0.00	Low Risk	86.00 € < (80.00 - 100.00) = 0.00%			
ERM Data (COS2.1)	OALLAST_YEAR				0.00		2 < < 0.00, 3.00 = 100.00%			

Rating is (Part Satisfactory)

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Annotations:

- These columns highlights the ERM risk category-wise score distribution
- This column highlights the weightage for each question
- This column highlights the score attained
- This column highlights the risk rating for the question
- This column highlights the criteria used for scoring.
- This column highlights the datapoint for which score is being calculated.

ii) Clicking on the "PISC SCREENING – Exclusionary Criteria" button will display the performance against various exclusionary criteria. These criteria are separate from the scoring process and are only displayed to be used as reference during the PISC process. Users also have the option of downloading these in excel format.

Desk Officer Inputs 3 / 3

NCE MPSU Inputs 6 / 6

NCE RBM Inputs 3 / 3

NCE RTA Inputs 5 / 5

Results

Action Plan

Low Risk ≤ 25% of max score

Development of additional VF project can proceed. If needed, CO may consult with the respective focal point(s) in the Regional Bureau and the Nature, Climate and Environment core-capacities

Scoring Details

Show content

PISC SCREENING – EXCLUSIONARY CRITERIA (CLICK TO DISPLAY)

Recommendations for VF Programming and Oversight

Annotations:

- Users can expand this section to display scoring calculations
- Users can click this button to display the exclusionary criteria

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RESULTS AND RECOMMENDATIONS

Guidance

Snapshot

CO Inputs 14 / 14

Desk Officer Inputs 3 / 3

NCE MPSU Inputs 6 / 6

NCE RBM Inputs 3 / 3

NCE RTA Inputs 5 / 5

Results

Action Plan

Performance Against Exclusionary Criteria

(for consideration by the Pre-investment Screening Committee)

Criteria	Current Status	Value of Parameter
1. Significant delays in Project Implementation for one or more projects (for reasons other than force majeure):	Not Compliant	Delays have been observed in projects
a) Delays in Disbursements (for GEF: first disbursement exceeds 18 months from CEO endorsement)	Not Compliant	4 projects
b) Mid-term review (MTR) is overdue	Not Compliant	1 projects
c) Operational closure exceeds 3 months after posting Terminal Evaluation reports	Not Compliant	3 projects
d) Financial closure exceeds 6 months of operational closure	Not Compliant	8 projects
2. Number of projects where CO has requested Project extension more than once	Compliant	0
3. Actual cumulative delivery/expected cumulative delivery of the COs VF portfolio (as per the budget in the Prodoc) is less than 50%	Not Compliant	36.22% Cumulative Delivery
4. Allegations of misuse of funds (by CO or national partners) have been confirmed by OAI; OAI audits have pointed to weak capacity to manage projects	Compliance to be checked manually	Compliance to be checked manually
5. Allegations of non-compliance with UNDP Social and Environmental Standards have been confirmed by SECU; weak CO capacity to comply with SES has been sighted	Compliant	0 cases
6. Within the CO, management arrangements to ensure a firewall between Execution Support (requested by the Implementing Partner) and Oversight responsibilities (of the execution of project led by the Implementing Partner) cannot be guaranteed, are not in place and/or are inadequate	Compliant	0 staff members

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FEEDBACK

9.6. ACTION PLAN (AP)

Based on the Results and Recommendations generated by OCRA, the NCE RTL will initiate a tripartite discussion between the CO, relevant Regional Bureau and NCE unit to ascertain the gravity and relevance of identified needs and gaps to subsequently agree on appropriate measures to be undertaken to address CO needs, as appropriate. Once a final agreement is reached, the Resident Representative of the CO, Regional Bureau Focal point and NCE RTL will sign-off on the final Action Plan (AP). This plan will be monitored by the NCE unit in co-ordination with the Regional Bureaus, at least three times during the annual programming cycle. The final action plan will also be used to guide decisions of the PISC - in relation to new requests for VF programming.

10. Update of ORCA tool

The ORCA is an evolving tool that will benefit from feedback from users and will be updated on a continuous basis to enhance effectiveness and user-friendliness. The results and recommendations section will be fine-tuned based on these feedbacks. The ultimate aim is to synergize this tool with other tools available at the regional bureau and corporate level. The team responsible for ORCA update is as follows:

The screenshot displays the 'ORCA ASSESSMENT 2022 FOR X X X X X X' interface. The top navigation bar includes 'PIMS+', search, and menu options like 'Projects', 'Reports', 'Basic Lists', 'Financial', and 'Modules'. The main content area is divided into several sections:

- Guidance:** Provides instructions on developing an Action Plan based on VF Needs Assessment Tool results.
- Snapshot:** Shows progress for various input sections: CO Inputs (0/14), Desk Officer Inputs (0/3), NCE MPSU Inputs (0/6), NCE RBM Inputs (0/3), and NCE RTA Inputs (0/5).
- Results:** A sidebar menu with 'Action Plan' highlighted.
- Action Plan Template:** A form for defining the action plan, including:
 - Country Details:** Country: Comoros, Assessment Date: 2022-01-01.
 - Key Person Table:** A table with columns for Name, Designation, and Unit. It contains five rows for entering key persons, each with a search dropdown.
 - Date Revised:** A date input field.
 - End Date:** A date input field.
 - Implementation Duration:** A field for duration in months.
- Main Assessment Table:** A table with four columns:
 - Area with gap(s) identified:** Lists various assessment areas like 'CO Enterprise Risk Profile', 'Audit Findings', 'Vertical Funds Exposure', etc.
 - Measure(s) agreed to be undertaken:** A column for detailing agreed measures.
 - Responsible Person(s)/ Unit:** A column for assigning responsibility.
 - Review date and/or Monitoring frequency:** A column for scheduling reviews, with 'ADD MORE' buttons for each row.
- Signatures:** A section for digital signatures of the CO Resident Representative, Regional Bureau Focal Point, and RTL NCE Team.
- Bottom Bar:** Contains buttons for 'VIEW PDF SNAPSHOT', 'SAVE', and 'SAVE & START SIGNING PROCESS IN DOCU-SIGN'.

Callouts provide additional context:

- 'Users to enter Key persons involved in the development of the action plan (AP)' points to the Key Person table.
- 'Enter key dates and implementation duration for the AP' points to the Date Revised and End Date fields.
- 'This column highlights the High risks identified based on the auto-generated data for the CO and manual inputs provided in different sections' points to the 'Area with gap(s) identified' column.
- 'Enter key actions being proposed and agreed to in this column' points to the 'Measure(s) agreed to be undertaken' column.
- 'Enter responsible person(s)/ Unit for implementing measures in the AP.' points to the 'Responsible Person(s)/ Unit' column.
- 'Enter monitoring date/ frequency if applicable for measures' points to the 'Review date and/or Monitoring frequency' column.
- 'Interim APs not yet finalized can be saved using this button' points to the 'SAVE' button.
- 'Once the docu-sign process is initiated, the CO, Regional Bureaus and NCE RTL sign in their respective columns' points to the Signatures section.
- 'PDF version of the AP can be generated using this button' points to the 'VIEW PDF SNAPSHOT' button.
- 'Once the AP is reviewed, agreed and finalized the NCE focal RTA can save the file and initiate the signing process using docu-sign' points to the 'SAVE & START SIGNING PROCESS IN DOCU-SIGN' button.

11. ORCA Focal Points

The team currently managing the ORCA comprises of the following

Technical Team:	Manas Moghe (manas.moghe@undp.org)
	Karma Rapten (karma.rapten@undp.org)
PIMS+ Architecture and IT support:	Matus Michalko (matus.michalko@undp.org)

Annex 1: Question wise Weightage:

Table 6 below provides a detailed break-up of question wise weight, scoring criteria, maximum score for each question and the attributable percentage across each ERM risk for individual questions.

Table 6: Question wise weightage and percentage of score attributable to each ERM risk category

S.No.	Sub-Indicator description	Weight	Scoring Criteria		Maximum Value		% attributable to each risk category							
			Response (a)	Response (b)	Max. points	Max. Score	Social and Environmental	Financial	Operational	Organizational	Reputational	Regulatory	Strategic	Safety and Security
STEP 2(a): AUTO-GENERATED DASHBOARD OF CURRENT STATE OF PROGRAMMING WITHIN THE COUNTRY OFFICE					100	80.0								
1.1	a) Number of "High Risks" entries within the CO as per the ERM/IWP Dashboard b) Percentage of Total risk entries	5.20%	>0 cases = 100 No cases = 0	If % of total \geq 20%, then = (a)*100% weight \geq 10% to < 20%, then = (a)*80% weight \leq 10%, then = (a)*60% weight	100	5.20	0%	0%	0%	0%	0%	0%	0%	0%
1.2	a) Number of "Substantial Risks" entries within the CO as per the ERM/IWP Dashboard b) Percentage of Total risk entries	4.40%	>0 cases = 100 No cases = 0	If % of total \geq 20%, then = (a)*100% weight \geq 10% to < 20%, then = (a)*80% weight \leq 10%, then = (a)*60% weight	100	4.40	0%	0%	0%	0%	0%	0%	0%	0%
1.3	Financial Management score and rating based on the Integrated Financial Dashboard	6.40%		Acclaim (>80) = 0 points Satisfactory (70-80)= 40 points Concern (55-70) = 80 points Critical (55) = 100 points	100	6.40	0%	100%	0%	0%	0%	0%	0%	0%
2.1	Year in which last CO Audit was conducted	0.00%	More recent the Audit, more the weightage. Score under 2.2 & 2.3 to be discounted based on 2.1	if last audit was conducted within the last 3 years = 100% if last audit was conducted > 3 years ago = 80%										
2.2	Rating as per the last CO audit conducted	6.40%	If rating is Unsatisfactory or (Partially Satisfactory/MI or Partially Satisfactory with HIGH recommendations = 100 points If rating is (Partially Satisfactory/MI or Partially Satisfactory) with no HIGH recommendations or (Partially Satisfactory/SI or Satisfactory/SI) with HIGH recommendations = 80 points If rating is (Partially Satisfactory/SI or Satisfactory/SI) with no HIGH recommendations OR Fully Satisfactory with MEDIUM recommendations = 40 points If rating is Fully Satisfactory with NO recommendations = 0 points		100	6.40	0%	33%	33%	33%	0%	0%	0%	0%

2.3	Recommendations categorized as per priority	High (Critical)	6.40%	>1 High (Critical) recommendation = 100 points 1 High (Critical) recommendation = 80 points No High (Critical) recommendation = 0		100	6.40	0%	33%	33%	33%	0%	0%	0%	0%	
		Medium (Important)	3.20%	>3 Medium (Important) recommendation = 100 points >1, <=3 Medium (Important) recommendation = 80 points 1 Medium (Important) recommendation = 40 points No Medium (Important) recommendation = 0		100	3.20	0%	33%	33%	33%	0%	0%	0%	0%	
3.1	Portfolio size	Total number of ongoing projects/initiatives (Overall CO i.e. including for all programme units vs VF Portfolio)	1.20%	Higher the exposure, greater the risk	5 or greater projects = 100 points 3 or 4 projects = 80 points 1 or 2 projects = 40 points No projects = 0 points		100	1.20	0%	33%	33%	33%	0%	0%	0%	0%
		Total budget for the last 3 years (Overall CO vs VF portfolio)	1.20%	Higher the exposure, greater the risk	Value > 20 million US\$ = 100 points Value 5 to 20 million US\$ = 80 points Value >0 to 5 million US\$ = 40 points Value = 0 US\$ = 0 points		100	1.20	0%	33%	33%	33%	0%	0%	0%	0%
3.2	VF Projects under Implementation	Value of projects (in US\$)	0.80%	Greater the value of projects, greater the risk	Value > 20 million US\$ = 100 points Value 5 to 20 million US\$ = 80 points Value >0 to 5 million US\$ = 40 points Value = 0 US\$ = 0 points		100	0.80	0%	33%	33%	33%	0%	0%	0%	0%
		Total number of projects under implementation (active portfolio)	0.40%	Greater the number of projects, the larger the exposure, so greater the exposure risk	5 or greater projects = 100 points 3 or 4 projects = 80 points 1 or 2 projects = 40 points No projects = 0 points		100	0.40	0%	33%	33%	33%	0%	0%	0%	0%
		Total number of projects managed over the last 3 years	0.40%	Greater the number of projects, the larger the exposure, so greater the exposure risk	12 or greater projects = 100 points >6, <=12 projects = 80 points >0 or <=6 projects = 40 points No projects = 0 points		100	0.40	0%	33%	33%	33%	0%	0%	0%	0%
	VF projects under development - Hard pipeline	Number of projects under development (For GEF - PIF approved stage up to PPG Endorsement stage)	0.40%	Greater the number of projects, the larger the exposure, so greater the exposure risk	3 or greater projects = 100 points 2 or 3 projects = 80 points 1 or 2 projects = 40 points No projects = 0 points		100	0.40	0%	33%	33%	0%	0%	0%	33%	0%
		Estimated value of projects under development (in US\$)	0.40%	Greater the number of projects, the larger the exposure, so greater the exposure risk	Value > 15 million US\$ = 100 points Value 10 to 15 million US\$ = 80 points Value 5 to 10 million US\$ = 40 points Value < 5 million US\$ = 0 points		100	0.40	0%	33%	33%	0%	0%	0%	33%	0%
	VF projects under development - Soft pipeline/Concepts & PIF under development	Number of projects under development (For GEF - NDA request to PIF development/ For GCF - NDA request to FP under development)	0.00%	Greater the number of projects, the larger the exposure, so greater the exposure risk	3 or greater projects = 100 points 2 or 3 projects = 80 points 1 or 2 projects = 40 points No projects = 0 points		100	0.00	0%	33%	33%	0%	0%	0%	33%	0%
		Estimated value of projects under development (in US\$)	0.00%	Greater the number of projects, the larger the exposure, so greater the exposure risk	Value > 15 million US\$ = 100 points Value 10 to 15 million US\$ = 80 points Value 5 to 10 million US\$ = 40 points Value < 5 million US\$ = 0 points		100	0.00	0%	33%	33%	0%	0%	0%	33%	0%

4.1	Indicative estimate (US\$ value) of funds required for the development the pipeline	Estimated Total funds required to develop projects currently in the pipeline (US\$)	0.0%			0.00										
5.1	Number of currently vacant positions and the vacancy rate within the CO		0.80%	> 0 positions = 100 points No positions = 0 points	> 30% vacancy = 100% weight 15% to 30% vacancy = 80% weight >0% to 15% vacancy = 40% weight 0% vacancy = 0% weight	100	0.80	0%	0%	0%	100%	0%	0%	0%	0%	0%
5.2	Number of currently vacant positions within the Environment and Energy unit		0.80%	> 0 positions = 100 points No positions = 0 points	> 30% vacancy = 100% weight 15% to 30% vacancy = 80% weight >0% to 15% vacancy = 40% weight 0% vacancy = 0% weight	100	0.80	0%	0%	0%	100%	0%	0%	0%	0%	0%
6.1	Delivery	Total delivery for the last 3 years (Overall CO vs VF portfolio)	2.00%	if VF Portfolio delivery value is >= 70% of Overall CO delivery = 100% if VF Portfolio delivery value is >=30% but <70% of Overall CO delivery = 90% if VF Portfolio delivery value is >=10% but <30% of Overall CO delivery = 80% if VF Portfolio delivery value < 10% of Overall CO delivery = 70%	VF Delivery budget > USD 6 million, then 100 points USD 2.5 million < VF Delivery budget < USD 6 million, then 80 points USD 1 million < VF Delivery rate < USD 2.5 million, then 40 points VF Delivery budget < 1 million, then 0 points	100	2.00	0%	100%	0%	0%	0%	0%	0%	0%	0%
		Delivery rate over the last 3 years (Overall CO vs VF portfolio)	2.00%	If CO delivery rate <=60% then weightage is 100% If CO delivery rate is > 60 and <= 80%, then weightage is 90% If CO delivery rate is > 80%, then weightage is 80%	If VF delivery rate <60% = 100 If VF delivery rate is between 60 - 75% = 80 If VF delivery rate is > 75% and <= 85% = 40 If VF delivery rate is > 85% = 0	100	2.00	0%	100%	0%	0%	0%	0%	0%	0%	0%
6.2	VF Portfolio performance in terms of risks	Number of projects with "High risks"	2.80%	1 project = 100 points No projects = 0 points		100	2.80	25%	25%	25%	25%	0%	0%	0%	0%	0%
		Number of projects with "Substantial risks"	2.40%	3 or greater projects = 100 points 1 or 2 projects = 80 points No projects = 0 points		100	2.40	25%	25%	25%	25%	0%	0%	0%	0%	0%
		Number of projects with "Moderate risks"	1.20%	5 or greater projects = 100 points 3 or 4 projects = 80 points 1 or 2 projects = 30 points No projects = 0 points		100	1.20	25%	25%	25%	25%	0%	0%	0%	0%	0%
6.3	Delays and Extensions	Number of VF projects requesting extension over the last 3 years	2.40%	>= 2 projects = 100 points 1 projects = 80 points No projects = 0 points		100	2.40	0%	50%	50%	0%	0%	0%	0%	0%	0%
		Number of VF projects for which MTRs/Interim Evaluations or TE's have been delayed over the past 3 years	2.40%	>= 2 projects = 100 points 1 projects = 80 points No projects = 0 points		100	2.40	0%	50%	50%	0%	0%	0%	0%	0%	0%

6.4	Procurement Management	Number of ACP and RACP cases reviewed	1.20%	If # of cases is 0 = 100 points if # of cases is 1 - 5 = 80 points if # of cases is 5 - 15 = 40 points if # of cases is > 15 = 0 points		100	1.20	0%	50%	0%	50%	0%	0%	0%	0%
		Value of ACP and RACP cases reviewed	1.20%	If value of cases is US\$ 0 = 100 points if value of cases is <= US\$ 1 mn = 80 points if value of cases is US\$ 1 - 10 mn = 40 points if value of cases is >= US\$ 10 = 0 points		100	1.20	0%	50%	0%	50%	0%	0%	0%	0%
		% of ACP and RACP cases approved	1.20%	If % cases approved is <=60% = 100 points If % cases approved is 60% and <= 80% = 80 points If % cases approved is 80% and <= 90% = 40 points If % cases approved is 90% and <= 100% = 0 points		100	1.20	0%	50%	0%	50%	0%	0%	0%	0%
		Average Quality Rating of ACP and RACP cases over the last 3 years	1.20%	If average quality <= 60% = 100 points If average quality >60%, <= 80% = 80 points If average quality >80%, <= 90% = 40 points If average quality is >90%, <= 100% = 0 points		100	1.20	0%	50%	0%	50%	0%	0%	0%	0%
7.1	Quality rating of Reporting and Evaluation reports	Percentage of Terminal Evaluations of VF projects submitted in the last 3 years with a quality rating of HS or S	1.60%	If <=75% of total TEs are rated as Highly Satisfactory or Satisfactory = 100 If > 75% of total TEs are rated as Highly Satisfactory or Satisfactory = 0		100	1.60	0%	0%	0%	100%	0%	0%	0%	0%
		Percentage of PIRs/APRs/PPRs of VF projects submitted in the last 3 years with a quality rating of HS or S	1.60%	If <=75% of total PIRs/APRs/PPRs are rated as Highly Satisfactory or Satisfactory = 100 If > 75% of total PIRs/APRs/PPRs are rated as Highly Satisfactory or Satisfactory = 0		100	1.60	0%	0%	0%	100%	0%	0%	0%	0%
7.2	Monitoring and follow-up	Number of evaluations completed in ERC without management responses	0.80%	If % of cases is > 25% = 100 points if % of cases is > 10%, <=25% = 80 points if % of cases is >0%, <=10% = 40 points if % of cases is 0 = 0 points		100	0.80	0%	0%	0%	100%	0%	0%	0%	0%
		Number of overdue key actions planned in ERC	0.80%	If % of cases is > 25% = 100 points if % of cases is > 10%, <=25% = 80 points if % of cases is >0%, <=10% = 40 points if % of cases is 0 = 0 points		100	0.80	0%	0%	0%	100%	0%	0%	0%	0%
7.3	Segregation between Oversight and Execution functions	Number of staff involved in providing oversight as well as execution support for the same project	4.00%	If # of staff is > 0 = 100 points if # of staff is 0 = 0 points		100	4.00	0%	0%	0%	50%	0%	50%	0%	0%
7.4	HACT Micro-assessments	Break-up of Micro-assessments carried out for Government vs NGOs	0.00%	If # of HACT assessments is <= 5 = 10 points if # of cases is > 5, <=15 = 7 points if # of cases is >15, <=25 = 3 points if # of cases is >25 = 0 points	If # of HACT assessments is <= 5 = 10 points if # of cases is > 5, <=15 = 7 points if # of cases is >15, <=25 = 3 points if # of cases is >25 = 0 points	100	0	0%	25%	25%	25%	0%	0%	25%	0%

		Number of Partners with Significant/High, Moderate or Low risk ratings	1.60%	Significant or High risk: If # of partners is > 2 = 100 points If # of partners is 1 to 2 = 80 points if # of partners is 0 = 0 points	100	1.60	0%	20%	20%	20%	20%	0%	20%	0%
			0.80%	Moderate Risk: If # of partners is > 10 = 100 points if # of partners is > 5, <=10 = 80 points if # of partners is >1, <=5 = 40 points if # of partners is 0 = 0 points	100	0.80	0%	20%	20%	20%	20%	0%	20%	0%
			0.40%	Low risk: If # of partners is > 25 = 100 points if # of partners is > 10, <=25 = 80 points if # of partners is >1, <=10 = 40 points if # of partners is 0 = 0 points	100	0.40	0%	20%	20%	20%	20%	0%	20%	0%
Assurance Activities	Number of Spot Checks (planned vs completed)	1.60%	If planned (minus) completed is > 3 = 100 points if planned (minus) completed is 2 or 3 = 80 points if # of partners is =1, then 40 points if # of partners is 0 = 0 points	100	1.60	0%	20%	20%	20%	0%	20%	20%	0%	
	Number of Programme visits (planned vs completed)	1.60%	If planned (minus) completed is > 3 = 100 points if planned (minus) completed is 2 or 3 = 80 points if # of partners is =1, then 40 points if # of partners is 0 = 0 points	100	1.60	0%	20%	20%	20%	0%	20%	20%	0%	
	Number of Audits (planned vs completed)	1.60%	If planned (minus) completed is > 3 = 100 points if planned (minus) completed is 2 or 3 = 80 points if # of partners is =1, then 40 points if # of partners is 0 = 0 points	100	1.60	0%	20%	20%	20%	0%	20%	20%	0%	
Cash Management	Level of overdue NEX Advances (Over 6 months)	0.40%	If CRITICAL = 100 points If CONCERN = 80 points if ACCLAIM = 30 points	100	0.40	0%	33%	33%	33%	0%	0%	0%	0%	
7.5	Social an Environmental Compliance unit (SECU) procedures	Number of projects with active SECU cases for which investigation is underway	3.20%	If # of projects with cases >=1 = 100 points If no projects with cases = 0 points	100	2.40	50%	0%	0%	0%	0%	0%	50%	0%
	Stakeholder Response Mechanisms (SRM) procedures	Number of projects with active SRM cases for which investigation is underway	3.20%	If # of projects with cases >=1 = 100 points If no projects with cases = 0 points	100	2.40	50%	0%	0%	0%	0%	0%	50%	0%
STEP 2(b): CO INPUTS						10.00								
1	Within the overall CO programme portfolio (Vertical Funds & Others) what are the key challenges faced by the CO that potentially	1.00%	If only one Risk selected then 100 point If two Risks selected then 50 points each If three Risks selected then 33.33 points each	If significance is Substantial = weightage is 100% If significance is High = weightage is 80% If significance is Moderate = weightage is	100	0.33	Dynamic category selection based on response							
						0.33	Dynamic category selection based on response							

	create hurdles for providing effective oversight? How significant is the challenge?			50% If significance is Low = weightage is 30% If significance is N.A = weightage is 0%		0.33	Dynamic category selection based on response							
2	The total indicative cost of developing the current pipeline projects is "USD XXX". a) Can the CO indicate if adequate funds have been earmarked and/or identified to develop the current pipeline? b) Tentatively how much of the shortfall is the CO in a position to cover?	0.40%	If No = 10 If Yes = 0	If deficit >75% = 10 points If deficit >50%, <=75% = 8 points If deficit >25%, <=50% = 5 points If deficit <=25% = 3 points	100	0.40	0%	0%	0%	50%	0%	0%	50%	0%
3	UNDP TRAC resources are typically used to cover funds required for developing the planned pipeline of VF project. Please indicate if a) In addition to UNDPs TRAC resources, is the CO in a position to mobilize project development funds from other sources? b) How would you rate the likelihood of effectively utilizing this as a channel for financing?	0.40%	If No = 10 If Yes = 0	If N.A = 10 points If Unlikely = 8 points If Likely = 5 points If Highly Likely = 3 points	100	0.40	0%	0%	0%	50%	0%	0%	50%	0%
4	The Auto-generated section shows some vacancy rate within the CO. (a) Are there any open positions deliberately created by the CO (for future use) that may be contributing to the high vacancy rate? (b) Is recruitment underway or advertised for the positions that are currently vacant?	0.40%	Data for Overall CO: If Vacancies >0, Rate >30% = 100% If Vacancies >0, Rate >0 but <=30% = 75% If Vacancies is 0 = 0%	Data for Energy and Environment unit: If Vacancies >0, Rate >30% then if 2(b)4(a) is No and 4(b) is No = 100 If Vacancies >0, Rate >30%, and 2(b)4(a) is Yes and 2(b)4(b) is No or (a) is No and (b) is Yes = 80 If Vacancies >0, Rate >0% but <=30% and (a) is Yes and (b) is No or (a) is No and (b) is Yes = 40 If Vacancies is 0 = 0	100	0.40	0%	0%	0%	100%	0%	0%	0%	0%
5	a) How would you rate the workload of the current TECHNICAL or SPECIALIST STAFF within the CO for providing 'Oversight' for the vertical fund projects? b) How would you rate the workload of OPERATIONS STAFF within the CO for providing 'Oversight' for the vertical fund projects Operations Staff include: staff in the Procurement, Finance, HR, Admin, Logistics and Travel, etc.	0.40%		If High = 100 if Substantial = 80 if Moderate = 40 if Low or N.A = 0	100	0.40	0%	0%	0%	100%	0%	0%	0%	0%
		0.40%		If High = 100 if Substantial = 80 if Moderate = 40 if Low or N.A = 0	100	0.40	0%	0%	0%	100%	0%	0%	0%	0%
6	(a) Has the CO in the past year faced any difficulties in sourcing expertise (local or international) needed to engage project development teams? (The Team would typically include Project	0.40%	If No = 0 If Yes = 100	If only one Reason selected then 100% weightage If two Reasons selected then 50% weightage	100	0.13	Dynamic category selection based on response							
						0.13	Dynamic category selection based on response							

	Development Lead, such as Climate Expert, Safeguards Specialist, Gender Specialist, Economist, Financial Appraisal Specialist, Private Sector Analyst, as appropriate) (b) If 'Yes', Can you please indicate the underlying reasons for the difficulties faced?			If three Reasons selected then 33.33% weightage		0.13	Dynamic category selection based on response							
7	Within the CO's current VF portfolio, over the past 3 years XX projects have requested extensions and evaluations (i.e. Mid-term/Interim or Terminal Evaluations) for XX projects have been delayed. Can you please select the underlying reasons for requesting the extension and/or delays?	1.00%	if sum of 6.3 = 0, then 0 if sum =1, 40 if sum >1, <=3, 80 If Sum >3, then 100	If only one Reason selected then 100% weightage If two Reasons selected then 50% weightage If three Reasons selected then 33.33% weightage	100	0.33	Dynamic category selection based on response							
						0.33	Dynamic category selection based on response							
						0.33	Dynamic category selection based on response							
8	What are the key challenges faced in performing oversight of VF projects? (select up to 3 key challenges). How significant is the risk posed by these challenges?	1.20%	If only one Risk selected then 100 point If two Risks selected then 50 points each If three Risks selected then 33.33 points each	If significance is Substantial = weightage is 100% If significance is High = weightage is 80% If significance is Moderate = weightage is 50% If significance is Low = weightage is 30% If significance is N.A = weightage is 0%	100	0.33	Dynamic category selection based on response							
						0.33	Dynamic category selection based on response							
						0.33	Dynamic category selection based on response							
9	What is the level of engagement of the Senior Management in providing oversight to VF projects over the last 3 years?	0.80%		If Not Engaged = 100 points If Minimal = 80 points If Moderate = 60 points If Strategic = 40 points If High = 20 points If Very High = 0	100	0.80	0%	0%	100%	0%	0%	0%	0%	0%
10	In the last one year how many missions/field visits were conducted by CO Programme staff to fulfil oversight functions? -If more than one CO staff on the same mission, it should be counted as 1 mission -If CO staff are visiting two VF projects at the same time this can be counted as 2 missions -If CO staff are visiting several project sites for the same project it should be counted as 1 mission	0.40%		No missions = 100 points 1 or 2 missions = 80 points 3 or 4 missions = 40 points 5 or greater missions = 0 points	100	0.40	0%	0%	100%	0%	0%	0%	0%	0%
11	Do any fully NIM projects within the CO's active portfolio in REALITY need to be provided "execution support" despite being fully NIM? If yes, how many such projects are there?	0.80%		If Yes = 100 If No = 0	100	0.80	0%	25%	25%	0%	25%	0%	25%	0%
12	Is it possible that the execution support requested by the IP can be provided by another external and/or local agent/service provider instead of UNDP? If yes, how likely?	0.40%		If NO = 100 points If DIFFICULT = 60 points If YES = 0 points	100	0.40	0%	25%	25%	0%	25%	0%	25%	0%

13	Have any of the current partners engaged in project been identified as High/Substantial Risk as per the PCAT assessment? If Yes, how many such partners are there?	0.80%	If Yes = 100 If No = 0	100	0.80	0%	25%	25%	0%	25%	0%	25%	0%
14	Has the CO established SRM as per the prescribed guidelines below? - All CO staff know who the SRM focal point, what SRM is, how it works? - All CO staff know what to do if a complaint is received - Reporting about receipt and status of complaints is clear and well coordinated - Project staff agree on procedures and roles for communicating to Stakeholder - Senior Management agrees on procedures and roles for communicating to Government - SRM focal point gathers information about medium- and high-risk projects	1.20%	If No = 100 If Yes = 0	100	1.20	33%	0%	0%	0%	0%	33%	33%	0%
STEP 3(a): DESK OFFICER INPUTS					2.40								
1	a) a) Does the CO have any VF project(s) identified as high-risk by the Regional Bureau? b) If the response to (a) is 'Yes', then what are the categories of high risks are identified by the either the CO, NCE unit or Regional Bureau? (Choose up to three options from the list)	0.40%	If Yes = 100 points If No = 0	If 1 Option selected Risk selected is assigned 100% If 2 Options selected Risk selected is assigned 50% If 3 Options selected Risk selected is assigned 33.33%	100	0.40	Dynamic category selection based on response						
	Dynamic category selection based on response												
	Dynamic category selection based on response												
	c) If the response to (a) is 'Yes', Has a risk mitigation/management strategy, agreed with and monitored by the Regional Bureau, been developed by the CO for the high risks identified for VF projects under 1a and 1b?	0.40%	If Yes = 100 If No = 0	100	0.40	0%	0%	0%	100%	0%	0%	0%	0%
2	a) Is the CO undergoing/experiencing any significant change or have there been any significant changes over the past 12 months in relation to the Country Office or Country? b) If response (a) above is 'Yes', can you please specify if the potential impact of the changes experienced or being experienced (i.e. Short-term i.e. up to 3 months, Medium-Term i.e. < 1 year, Long-Term i.e. > 1 year)? (c) If response (a) above is 'Yes', can you please select the aspect(s) that are triggering the significant change? (choose up to three options from the list)	0.80%	a) If Yes = 100 points If No = 0 b) If Long-term = 100% If Medium-Term = 80% If Short-term = 40%	(c) If 1 Option selected Risk selected is assigned 100% If 2 Options selected Risk selected is assigned 50% If 3 Options selected Risk selected is assigned 33.33%	100	0.80	Dynamic category selection based on response						
	Dynamic category selection based on response												
	Dynamic category selection based on response												

3	a) Has there been any need to undertake troubleshooting missions to manage quality assurance risks in relation to the CO's programme portfolio over the past year? b) If Yes, can you select for what reason(s)? (choose up to three reasons)	0.80%	If Yes = 100 points If No = 0	If 1 Option selected Risk selected is assigned 100% If 2 Options selected Risk selected is assigned 50% If 3 Options selected Risk selected is assigned 33.33%	100	0.80	Dynamic category selection based on response							
							Dynamic category selection based on response							
							Dynamic category selection based on response							
STEP 3(b): MPSU INPUTS							2.40							
1	(a) For how many projects within its VF portfolio has the CO submitted Multi-year budgets? (b) How would you rate the general quality of the Multi-year Budgets and AWP's submitted by the CO?	0.40%	If None = 10 If Less than half = 8 If approx. half of the projects = 6 If Majority of projects = 3 If All = 0	If Low = 10 points If Average = 5 points If High = 3 points	100	0.40	0%	50%	0%	50%	0%	0%	0%	0%
2	What is generally the clearance rate of "budget exceptions" within the VF portfolio of the CO?	0.40%		If Low = 100 points If Average = 50 points If High = 0 points	100	0.40	0%	50%	0%	50%	0%	0%	0%	0%
4	How would you rate the general quality of Justifications provided by CO in case of budget deviations, exceptions and/or reallocation?	0.40%		If Low = 100 points If Average = 50 points If High = 0 points	100	0.40	0%	50%	0%	50%	0%	0%	0%	0%
3	How would you rate the CO in terms of completeness and accuracy of Altas budget data recording?	0.40%		If Low = 100 points If Average = 50 points If High = 0 points	100	0.40	0%	50%	0%	50%	0%	0%	0%	0%
5	Are budget revision/annual work plans proposed in compliance with donor requirements (GEF/GCF/AF policy requirements)?	0.40%		If Yes = 0 If No = 100	100	0.40	0%	50%	0%	50%	0%	0%	0%	0%
6	Does the CO have outstanding and/or incorrectly closed development projects	0.40%		If Yes = 100 If No = 0	100	0.40	0%	50%	0%	50%	0%	0%	0%	0%
STEP 3(c): RBM INPUTS							2.40							
1	a) Are there any reasons, in your opinion, why the CO may not in a position to oversee the SES risks of an additional VF project? b) If response to a) is "Yes", please indicate if the underlying reasons are Temporary (i.e. triggered in response specifically to address prevalent situations) or Systemic (inherently chronic or long term) in nature	0.80%	If Yes = 100 If No = 0	- If underlying reasons are "Systemic" = weightage 100% - If underlying reasons are "A mix of both" = weightage 80% - If underlying reasons are "Temporary" = weightage 60%	100	0.80	100%	0%	0%	0%	0%	0%	0%	0%
2	a) Is the CO receiving support to strengthen their capacity to oversee SES? b) If the response to a) is "Yes", then to what degree of support is being provided to the CO's to oversee SES risks?	0.80%	If Yes = 100 If No = 0	If level of support provided is Substantial = weightage 100% If level of support provided is High = 80% If level of support provided is Moderate =	100	0.80	100%	0%	0%	0%	0%	0%	0%	0%

				60%												
				If level of support provided is Low = 30%												
3	How would you rate the degree to which safeguards risks are sufficiently being monitored during project implementation as reported in PIRs and APR?	0.80%		If Very Low = 100 points If Low = 80 points If Average = 60 points If High = 30 points If Very High = 0 points	100	0.80	100%	0%	0%	0%	0%	0%	0%	0%	0%	0%
STEP 3(d): RTA INPUTS						2.80										
1	a) Within the CO's VF portfolio are there projects where Major changes have been observed and/or project require restructuring for reasons other than force majeure? b) What do you attribute as the main reasons for such deviations? (choose upto three)	0.80%		If Yes = 100 If No = 0	100	0.80	Dynamic category selection based on response									
							Dynamic category selection based on response									
							Dynamic category selection based on response									
2	(a) Is there an observed trend of low Co-finance mobilization within the country for VF projects under implementation? (b) If answer to the above is "Yes", what in your view are the key reasons for low mobilization of Co-finance? (Select upto three options)	0.80%		If Yes = 100 If No = 0	100	0.80	Dynamic category selection based on response									
							Dynamic category selection based on response									
							Dynamic category selection based on response									
3	a) Has there been any need to undertake troubleshooting missions to manage quality assurance risks in relation to the CO's VF portfolio over the past year? b) If Yes, Can you select for what reason(s)? (choose upto three)	0.40%		If Yes = 100 If No = 0	100	0.40	Dynamic category selection based on response									
							Dynamic category selection based on response									
							Dynamic category selection based on response									
4	a) How likely do you foresee the need for undertaking any trouble shooting mission(s) over the next 12 months in relation to the CO's VF portfolio? b) If highly likely or Likely, for what underlying reasons? (choose upto three options)	0.30%		If Highly Likely = 100 points If Likely = 80 points If Unlikely = 40 points If N.A = 0	100	0.30	Dynamic category selection based on response									
							Dynamic category selection based on response									
							Dynamic category selection based on response									
6	How would you rate the quality of technical inputs by the Environment and Energy/ programme unit for annual reports/evaluations submitted by the CO?	0.50%		If Very Low = 100 points If Low = 80 points If Average = 60 points If High = 30 points If Very High = 0 points	100	0.50	0%	0%	50%	50%	0%	0%	0%	0%	0%	0%

Annex 2: Data-source Library

Table 7 below provides a list of data-sources used for populating STEP 2(a) the auto-generated section of VFAT

Table 7: List of Data-sources

Section	Question	Data-source	Link
1. OVERALL CO PROFILE: Assessment of CO Risk Profile to ascertain inherent risks exhibited at the Country level	1.1	ERM Dashboard	POPP ERM Policy Dashboard
	1.2		
	1.3	IFD Dashboard	Dashboard
2. AUDIT FINDINGS: CO Audit results and recommendations	2.1	OAI Dashboard	Dashboard
	2.2		
	2.3		
	2.4		
3. VF EXPOSURE & DEPENDENCE: Comparison of VF portfolio size to the overall CO operations (Current active portfolio)	3.1	ATLAS	
	3.2	PIMS+	https://undpgefpims.org/
	3.3		
	3.4		
4. ADEQUACY OF FINANCING PROVISIONS: Availability of funds for project development	4.1	PIMS+	https://undpgefpims.org/
5. HUMAN RESOURCE ADEQUACY AND AVAILABILITY: Capacity constraints that may impede effective oversight	5.1	UNDP at a Glance	Corporate Dashboard
	5.2		
6. TRACK RECORD: past performance of the CO across key parameter for projects under implementation	6.1	ATLAS	
	6.2	PIMS+	https://undpgefpims.org/
	6.3		
6.5	ACP Online	https://intranet.undp.org/acponline/	
7. QUALITY OF OVERSIGHT: Based on assessment of past performance as per internal UNDP standard and measurement criteria	7.1	PIMS+	https://undpgefpims.org/
		ERC data	
	7.3	PIMS+/CO Timesheets	https://undpgefpims.org/
	7.4	HACT Performance Dashboard	Dashboard
	7.5	SECU/ SRM case registry	SECU SRM