| **AREA** | **SNo** | **DOCUMENT/INFORMATION REQUESTED** |
| --- | --- | --- |
|  |  |  |
| **Programme and Project management including NIM,DIM&TF** | **1** | Atlas project status award report showing active, cancelled, suspended, operational and financial closed projects 31 Aug 2015 |
| **2** | For all operational closed projects: |
|  | ·         Final project review report 31 Aug 2015 |
|  | ·         Minutes of the meeting by the Project Board Jan to Aug 2015 |
|  | ·         Reports of assets transferred to another projects or assets disposed or those held in custody of UNDP COs Jan to Aug 2015 |
|  | ·         Project balance reports 31 Aug 2015 |
|  | ·         Evaluation reports Jan to Aug 2015 |
| **3** | For all financial closed projects: |
|  | ·         Reports showing final reconciliation of expenditures incurred in the final period 31 Aug 2015 |
|  | ·         Final Combined Delivery Reports 31 Aug 2015 |
|  | ·         Project completion checklists Jan to Aug 2015 |
| **DIM/DEX : (Direct Implementation Modalities/Direct Execution)** |  |  |
| **1** | Reports shows all projects (active DIM/DEX) with budget and expenditure lines for the period of Jan to August 2015 |
| **2** | Minutes of the meeting by project appraisal committee (PAC) Jan to Aug 2015 |
| **3** | Signed quarterly combined deliver report (1st & 2nd quarter of 2015) |
| **4** | Quarter project progress reports (1st & 2nd quarter of 2015) |
| **5** | DIM projects banks accounts |
| **6** | List of Signed Project Documents (samples of projects will be provided later) |
| **7** | List of signed Annual Work Plans for agreed Expenditures for 2015 |
| **NIM/NEX: (National Implementation Modalities/Direct Execution)** |  |  |
| **1** | Reports shows all projects (active NIM/NEX) with budget and expenditure lines for the period of Jan to Aug 2015 |
| **2** | Reports showing advances to the projects for the period of Jan to Aug 2015 |
| **3** | Aging analysis of the outstanding advances to projects under direct cash transfer 31 Aug 2015 |
| **4** | Signed quarterly combined deliver report (1st and 2nd quarter of 2015) |
| **5** | Signed Project Document (current) |
| **6** | Signed Annual Work Plan for agreed Expenditure for 2015 |
| **Trust Funds** |  |  |
| **1** | List and details of Trust Funds with Budget and Expenditure to date 2015 |
| **2** | Project Documents for the Trust funds |
| **3** | Active, Inactive, Operationally and financially closed trust funds in the country office between January to August 2015 |
| **4** | Terms of Reference and Trust fund agreements of 2015 |
| **5** | List of unapplied deposits for the Trust fund as at 31 August 2015 |
| **6** | Signed Quarterly combined delivery report (1st , and 2nd Quarterly of 2015) |
| **7** | Trust fund expenditure report from January to August, 2015 |
| **8** | Trust fund report which are sent to executive board, donors and comptroller Jan to Aug 2015 |
| **9** | Details of unutilized funds for the closed projects (Trust fund projects) as at 31 Aug 2015 |
| **10** | list and details of trust fund assets procured during Jan to Aug 2015 |
| **11** | list and details of trust funds assets disposed during Jan to Aug 2015 |
| **12** | List and details of trust fund project assets transferred to implementing partners Jan to Aug 2015 |
| **13** | Statement of Assets and Equipment for all projects under the trust funds as at 31 Aug 2015 |
| **14** | Audited reports of projects under trust fund (for the year 2013) |
| **15** | Trust fund quarterly progress reports ( 1st , and 2nd Quarterly of 2015) |
| **16** | Fund balance report (Statement of cash Position as from 1st January 2015 to August 2015) for projects under trust fund |
| **Harmonised Approach to Cash Transfer Modality** |  |  |
| **1** | Documentation of the conduct of macro assessment -latest report |
| **2** | Documentation of the conduct of micro assessment -latest report |
| **3** | Audit plan of implementing partners’ in 2015 |
| **4** | The current Common Country Assessment by UNCT |
| **5** | The current Country Programme Action Plan (CPAP) |
| **6** | HACT Task force minutes of the meetings if any during Jan to Aug 2015 |
| **7** | Third party service provider Terms of Reference for a Macro/Micro Assessments conducted in 2015 |
| **8** | Assurance Plan for 2015 or for projects existing up to 2015 |
| **9** | UNCT showing the certifications done in 2015 on the following: |
|  | ·         Capacity assessment, |
|  | ·         Risk rating allocation and |
|  | ·         Agreement entered into with the government |
| **Cash & Treasury Management** | **1** | List of bank accounts closed in 2015 |
| **2** | List of bank accounts operating in 2015 |
| **3** | Bank reconciliations statements for all bank accounts (B2B STATEMENTS) from January to August 2015 |
| **4** | Certificates of bank balances for all bank accounts as at 31 August 2015. |
| **5** | Petty Cash list Jan to Aug 2015 |
| **6** | Reconciliations of Petty Cash Jan to Aug 2015 |
| **7** | Petty cash disbursement vouchers |
| **8** | List of Bank Signatories & Specimen |
| **9** | The petty cash vouchers with supporting documentation Jan to Aug 2015 |
| **10** | Appointment letter of custodian of petty cash applicable for 2015 |
| **11** | Certificate of physical petty cash count Aug 2015 or latest period. |
| **Core & Non-Core Contributions** |  |  |
| **1** | List of all contribution received during Jan to Aug 2015 |
| **2** | Contribution agreements (non-core) in 2015 |
| **3** | List of Contribution refunded to Donors 31 Aug 2015 |
| **4** | List of Pending Contracts i.e. not uploaded to GSSC as at 31 Aug 2015 |
| **5** | Pledges or letter of agreements (core contributions) 31 Aug 2015 |
| **6** | Analysis of Unapplied Deposit with Aging analysis as at 31 Aug 2015 |
| **7** | General ledger receipt of noncore resources from January to August, 2015 |
| **Procurement and Contract Management** |  |  |
| **1** | CO Procurement Consolidated and Individuals Plan for 2015 |
| **2** | Approved Vendor list for 2015 |
| **3** | Register of Bid opening Jan to Aug 2015 |
| **4** | List of direct contracts January to August 2015 |
| **5** | List of Individual contracts January to August 2015 |
| **6** | Minutes of RACP and RCPO for the approval of the contracts January to August 2015 |
| **7** | Minutes of the CAP or ACP meetings which approves direct contracting January to August 2015 |
| **8** | Purchase cards January to August 2015 |
| **9** | The list of LTA contracts January to August 2015 |
|  | **10** | A list of contracts that had been waived during the year (Direct contracting) January to August 2015 |
|  | **11** | Complaints from requisitioners and/or other UN staff against vendors for FY 2013 and 2015 |
| **Property, Plant and Equipment** |  |  |
| **1** | List and details of PP&E (Management and Project Assets) acquired during from January to 31 August 2015 |
| **2** | List of lost assets from January to 31 August 2015 |
| **3** | Insurance policy OR contract entered between UNDP and any other Company(ies) on the assets and buildings January to August 2015 |
| **4** | Country Office ISR report as at 30 June and 31 August 2015 |
| **5** | CO physical count certificates for assets as at 30 June 2015 |
| **6** | List and details of disposed PP&E (Management and Project Assets) from January to 31 August 2015 |
| **7** | List of UNDSS (United Nations Department of Safety and Security) assets held by UNDP in the following manner: |
|  | ·         Those Purchased through fund provided by the UNDSS to UNDP |
|  | ·         Those Purchased by UN and shipped to UNDP |
| **8** | List of Leasehold improvements (LHI) done from January to August 2015 (in progress and completed) |
|  | **9** | List and details of the UNDP Common Premises and Equipment. |
| **10** | List and details of assets transferred from one project to another (between January 2015 – August 2015) |
| **Inventory** |  |  |
| **1** | Inventory control reports and the Inventory Certification reports for the 1st& 2nd Quarter of 2015 ) |
| **2** | List of inventory in transit for the 2nd quarter of 2015 |
| **3** | Inventory In Note (Goods Receiving Notes report) showing the receipts of inventory and inspected goods (Inspection report) January to August 2015 |
| **4** | Quarterly Inventory control reports (1st, and 2nd Quarter of 2015) |
| **5** | Quarterly reconciliation between stock cards and physical count results (1st and 2nd Quarter of 2015) |
| **6** | Quarterly valuation report of inventory (1st and 2nd Quarter of 2015) |
| **HR, Payroll and Leave Management** |  |  |
| **1** | List of terminated - separated staff from January to 31 August 2015 |
| **2** | Overtime approval forms up to August 2015 |
| **3** | Monthly prepared overtime report (Approved by RR and CD) for country office from Jan – 31 August 2015 |
| **4** | Overtime Compensation forms for CO- staff January to 31 August 2015 |
| **5** | The list of Staff who were recruited during January to 31 August 2015 |
| **6** | Monthly leave balance reports (Jan to 31 August 2015) and leave score cards |
| **7** | Overtime payment reports January to 31 August 2015 |
| **8** | Job post announcements (advertised during the period of January to 31 August 2015) |
| **9** | Contract expiration and extension reports for the period of January to 31 August 2015 |
| **10** | The payroll run for eight months (January to August 2015); showing the gross amount, net amount paid and any other deductions |
| **Common Shared Services and Cost recovery** |  |  |
| **1** | Memorandum of Understanding with Agencies utilizing UNDP Services |
| **2** | Extra Budgetary Status Report for the five years (2009, 2010,2011,2013, 2014 & 2015) |
| **Original budget and final budget for 2015** |  | budget performance report 31 Aug (or latest) |
| **IS Audit** | **1** | Country Office Current Disaster Recovery Plans |
| **2** | Country Office ICT operational Plan in line with OIST strategy |
| **3** | Documentation of Country Office ICT Assets |
| **4** | Country office ICT Risks Profile and their mitigation strategies |
| **5** | A list of approved ARGUS requestors and approvers at CO |