Project Closure Checklist

Operation & Financial Closure of a Project

United Nations Development Programmeramme
Regional Service Centre Panamá Office
City of Knowledge Building 128, Panama City Panama

This list has to be initiated and processed by the Project Manager*

SECTION 1: PROJECT INFORMATION

1. Project Title: **ADAPTATION**	2. Atlas Project Number: **00062378**	3. Award No: **00050458**

SECTION 2: OPERATION CLOSURE

TASK	RESPONSIBLE PERSON	ATLAS ACTION POINT	YES	NO	NOTES
4. Prepare Final Project Review report	Project Manager*	Atlas Report: Quarterly Review Report	☒	☐	A standard format should be used; prepared in the form of a case study. Review the following links; Final Project Review Report Deliverable Description
5. Conduct final review	Project Board Programme Officer	Project Attachment	☒	☐	Include in this meeting a final review of project financials, results, progress on capacity development strategies, and lessons learned. Topics during the review include: ▪ Activity deliverables quality ▪ Overall project performance ▪ Outstanding activities ▪ Use of remaining budget, if any ▪ Effective date of project closure ▪ Transitioning of responsibilities to national counterparts ▪ Hand-over of assets
6. Commission project evaluation	Project Board		☒	☐	Mandatory only when required by partnership protocols (e.g. GEF) and within the context of UNDAF evaluation. Review the following links: Project Evaluation TOR Project Evaluation Report
7. Initiate project Audit (if applicable)	Project Board		☐	☒	NEX projects have to the audited at least once in the life of the project, and each year that it is considered appropriate by the CO (depending on level of delivery, difficulties found during the year, etc.). For more information on project audit, please refer to Office of Audit and Investigations website.
8. Notify operational completion of the project	Project Board		☒	☐	The project is operationally complete when the last UNDP-financed inputs have been provided and related activities completed. The Project Manager should notify the Project Board when this state has been reached. When a project is operationally complete, the parties must agree on the disposal of any equipment that is still the property of UNDP. Equipment purchased with UNDP funds remain UNDP property until formally transferred or otherwise disposal off.
9. Operationally close the project (and Award if applicable)	Project Assurance	Project>Project Status C	☒	☐	Based on the Project Board decision to close the project, project status in Atlas will be set to "Operationally Closed". No further financial commitment can be made.
		Award Profile> Status C	☒	☐	

SECTION 3: FINANCIAL CLOSURE

TASK	RESPONSIBLE PERSON	ATLAS ACTION POINT	YES	NO	NOTES
10. Transfer project deliverables and documents At the completion of the project, the parties must agree on the disposal of equipment that is still property of UNDP. Equipment purchased with UNDP funds remain UNDP property until formally transferred or otherwise disposal of)	Project Manager/ Programme Officer/ Head of Unit	None	☒	☐	▪ Also complete; (a) Completed equipment/asset list (inventory list), (refer equipment/Asset listing) and: (b) Transfer or dispose of assets (refer Transfer of Asset Form: Annex I) ▪ Project deliverables, documents, files, equipment and materials (if not already transferred) should be transferred to the national beneficiaries or national representatives at this time.
11. Ensure that all financial transactions are in Atlas (Based on final report from the implementing Partner)	Programme Officer		☒	☐	Atlas Transaction Check: ▪ No outstanding advances-in either local currency or USD ▪ No open POs ▪ no pending GLJEs ▪ no unapplied deposits ▪ no AR direct journals in budget error or incomplete Status ▪ the CDR for the previous quarter shows zero encumbrances ▪ All Audit Gaps should be closed with supporting documentation

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12. Update other ATLAS requirements (Based on final report from the Implementing Partner)	Programme Officer		☒	☐	Update the following; ▪ Quality Log ▪ Issues Log ▪ Risk Log ▪ Lessons Learned Log ▪ Communication and Monitoring Plan
13. Review and sign final CDR	Project Manager/ Programme Officer/ Head of Unit	ATLAS report	☒	☐	▪ Signed by UNDP, confirming final project financial accounts and expenditures. ▪ Project should be financially completed not more than 12 after operational completion or date of discontinuation. ▪ For More information refer to the CDRPD1 document.
14. Conduct final project budget revision and sign final Annual Work Plan	Project Manager	Grants>Award> Award Profile/ Project/Project Budget	☒	☐	Signed by UNDP and Implementing Partner, confirming final project Annual Work Plan according to the actual project activities. No adjustments can be made to a financially completed project.
15. Negotiate with Donor on refund/reallocation of cost-sharing balances at the fund-project-donor level (very last step prior to designating the project as financially complete)	Programme Officer/ Head of Unit	General Ledger>Journal>Create Journal Entries	☒	☐	UNDP Issue refunds to donor as the very last step before designating a project as financially complete in ATLAS .If the donor requests a refund at any earlier point then you need to the approval of the Chief, Account Division or Treasurer to issuing the refund.
16. Ensure project accounts are closed	Project Assurance	Project>Project Status F	☒	☐	Closure of any project-based financial accounts or funds. Once confirmed, project status in Atlas will be set to "Financially Closed". No further financial transactions can be made. For more information on project closure procedures and policies, see Closing a Project document and Programme and Project Completion, or refer to Closing a Project in the POPP.

SECTION 4: APPROVAL

1. Project Manager:

Name: Cayetano Casado **Signature:**

Comments: **Date:**

2. Programme Officer:

Name: Maribel Landau - Reg. Programme Coordinator **Signature:**

Comments: **Date:** 4 Julio 2017

3. Head of Unit:

Name: Matilde Mordt **Signature:**

Comments: **Date:** 22 junio 2017

4. Management Support Unit:

Name: Alfonso Fernández **Signature:**

Comments: **Date:**

5. ~~Deputy Country Director (Programme):~~

Name: Richard Barathe – Regional Bureau for LAC UNDP **Signature:**

Comments: **Date:**

* In absence of project manager; the Programme Officer or the Head of Unit should initiate and process this checklist.

Atlas Finance

Welcome Meylene CHIARI CHEN, Your Atlas Finance Last Login Datetime : 22.Jun.2017 17:25:39 GMT

Output Details		Output Dates		Output Status
Business Unit	UNDP1	Start Date	01/06/2008	Operationally Closed
Project Number	00050458	End Date	31/12/2016	
Output Number	00062378	Output Manager		Effective Date
Output Name	ADAPTATION	BRIGGS,Chris Fenwick		19/12/2016

Output Financials (Cash Funds)		Output Financials (Allocation Funds)	
Total Contribution Recognized	$ 0.00	Approved Budget	$ 899,493.75
Transfers to/from - Funds/Donor	$ 629,905.43	Advances Balance	$ 0.00
Interest Earned	$ 0.00	Total Expense	$ 771,465.50
Advances Balance	$ 0.00	Undepreciated Assets	$ 0.00
Total Expense	$ 629,905.43	Open Purchase Orders	$ 0.00
Undepreciated Assets	$ 0.00	Balance	$ 128,028.25
Open Purchase Orders	$ 0.00		
Fund Balance	$ 0.00		

eChecklist Instructions: *(This Is Pilot eChecklist)*

In order to be able to close the project operationally all items in the below list need to be checked as (YES). If any of the items is not applicable for the project then it can be checked as (YES). A project is operationally completed when the last UNDP-financed inputs have been provided and related activities have been completed.

Operational Completion:

A project is operationally complete when the last UNDP-financed inputs have been provided and the related activities have been completed. Through the project board, the implementing partner promptly notifies the UNDP country office when this has been done. Should the implementing partner not do so, the UNDP programme manager must determine when the project is operationally complete.

When a project is operationally complete, the parties must agree on the disposal of any equipment that is still the property of UNDP.
https://popp.undp.org/SitePages/POPPSubject.aspx?SBJID=248&Menu=BusinessUnit

Operational Closure Checklist

No.	TASK	YES	NO	NOTES
1	Prepare Final Project Review Report and as Annex, a lessons-learned report.	☑	☐	A standard format should be used. Review the following links; Final Project Review Report (POPP) and lessons learned as per the following guidelines.
2	Conduct Final Project Review by Project Board. And update the lessons learned report to include a brief record of decisions and conclusions related to follow-up actions.	☐	☑	Using the final Project Review Report, the Lessons Learned Report and other documentation as appropriate, the project board should assess in this meeting the performance and success of the project, and its contribution to related outcomes. Topics during the review include: • Achievements of last year targets; • Overall project performance and sustainability of results; • Achievement on capacity development; • Outstanding activities; • All Open POs have been fully received; • Lessons learned; • Use of remaining budget, if any; • Effective date of project closure; • Transitioning of responsibilities to national counterparts; • Hand-over of assets.
3	Commission project evaluation	☑	☐	If required by partnership arrangements or if so decided by UNDP, commission project evaluation, prepare a management response to evaluation and discuss and share findings and recommendations for learning. Review the following links: Evaluation Resource Centre TOR for Evaluation Evaluation Report Format
4	Initiate project Audit (if applicable)	☐	☑	NEX projects have to the audited at least once in the life of the project, and each year that it is considered appropriate by the CO (depending on level of delivery, difficulties found during the year, etc.). For more information on project audit, please refer to Office of Audit and Investigations website.
5	Notify the Project Board / Programme Manager on the operational completion of the project.	☐	☑	The project is operationally complete when the last UNDP-financed inputs have been provided and related activities completed. The Project Manager should notify the Project Board, who in turn should notify the Programme manager about the operational completion of the project. Otherwise, programme manager decides when the project is operationally completed.
6	Operationally close the Output.	☐	☑	Based on the Project Board decision to close the project, project status in Atlas will be set to "Operationally Closed". No further financial commitment can be made.

Management Comments (if any): Find First 1 of 1 Last

Author meylene.chiari-chen **DateTime Stamp** 16/06/16 4:59p.m.

This project has no Project Board, please refer to PRODOC. No audit has been made to this project since this was not a requirement at the time the project was created. June 16, 2016. Meylene Chiari.

Atlas Finance

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Project Closure Checklist | Financial Closure Checklist | Status History and Attachments

eChecklist Instructions: *(This Is Pilot eChecklist)*

In order to be able to close the project financially all items in the list need to be checked as (YES). If any of the items is not applicable for the project then it can be checked as (YES). This list provides details based on standard queries based on the output ID so it might not reflect some of the exceptions. Therefore; it should be used as a guide for the closure but manual verification as per the POPP is required by the CO to ensure all the exceptions have been considered and resolved.

Financial Closure Checklist

TASK	YES	No	NOTES		
			Atlas Transaction Check		
Ensure that all financial transactions are in Atlas General Ledger (Based on final report from the Implementing Partner)			Account	Atlas Balance Transaction Currency	Base Currency (USD)
No outstanding NEX advances-in either local currency or USD (Account 16005)	☑	☐	Outstanding Advances	0.00	$ 0.00
No other outstanding advances-in either local currency or USD (Account 14001, 14056, 14057, 14501, 16006, 16010, 16015, 17006, 17009)	☑	☐	Outstanding Advances Other	0.00	$ 0.00
No outstanding Project Delivery Reports (PDRs);	☑	☐	PDR: http://unex.undp.org		
No open Purchase Orders (POs);	☑	☐	Open Purchase Orders	0.00	$ 0.00
No Receipt Accruals;	☑	☐	Receipt Accruals	0.00	$ 0.00
No Outstanding Commitments;	☑	☐	Please ensure commitments outside Atlas are resolved (Non-PO Commitments) - Supporting documents if any should be uploaded to Atlas (Attachments Tab)		
No outstanding prepaid vouchers (Account 16065).	☑	☐	Prepaid Vouchers	0.00	$ 0.00
No pending vouchers;	☑	☐	No Pending Vouchers - Please run the query link to verify and check any pending vouchers.		
All pre-financing activities have been recovered and/or reimbursed.	☑	☐	Supporting documents if any should be uploaded to Atlas (Attachments Tab)		
No pending GMS or Direct Project Charging (Formerly ISS). (If Off-the-top GMS was used, extra-budgetary income taken must be reconciled to actual expense/delivery. A pro-rata return of GMS based on the balance of unspent funds must be done);	☑	☐	Charged GMS Rate %	% 0.00	% 0.00
No pending GLJEs;	☑	☐	GLJEs Not Posted	0.00	$ 0.00
No unapplied deposits or other unrecorded revenue;	☑	☐	Unapplied Deposits by Office	0.00	$ 0.00
No outstanding Accounts Receivable to be received from donors per signed agreements;	☑	☐	Contract Pending Events	0.00	$ 0.00
No outstanding Contribution Receivable to be collected from donor (GL Account 14015 Balance including FX Revaluation)	☑	☐	Contribution Amount Not Collected	0.00	$ 0.00
No AR direct journals in budget error or incomplete status;	☑	☐	No Pending AR direct journals - Please run the query link to verify and check any pending AR direct journals.		
All assets are transferred or otherwise disposed of; Asset Transfer letters/documents are in place. (GL 18xxx Accounts) (Click Link for ISR Report)	☑	☐	Assets	$ 0.00	$ 0.00
All un-used inventory items held at the end of the project has been disposed off or transferred to other projects	☑	☐	Supporting documents if any should be uploaded to Atlas (Attachments Tab)		
Ensure all transactions for sale/transfer/donation/disposal etc. of assets have been processed and GMS charged.	☑	☐	Supporting documents if any should be uploaded to Atlas (Attachments Tab)		
All items held as inventory should be distributed or transferred to recipient or returned to donor as specified in the donor agreement.	☑	☐	Supporting documents if any should be uploaded to Atlas (Attachments Tab)		
All Project Petty Cash (11015 (old), 16105(new)) and Project Cash Advance Accounts (Acc. 16106, 16107, 16108 and 16007) are cleared;	☑	☐	Petty Cash & Cash Advance	0.00	$ 0.00
Project Bank Account is fully reconciled and closed.	☐	☐	Project staff should coordinate with implementing partner to close Project Bank account.		
All Staff Receivables in USD Only (Acc. 14005, 14020, 14022, 14023, 14025, 14030, 14035, 14040, 14042, 14045, 14046, 14050, 14055, 14085) are cleared;	☑	☐	Staff Receivables	0.00	$ 0.00
All accrued employee benefits are fully accounted.	☑	☐	Employee Benefits	0.00	$ 0.00
No other pending liabilities in USD Only; (GL 2xxxx Accounts - Excluding 21005)	☑	☐	Pending Liabilities	0.00	$ 0.00
The CDR for the previous quarter shows Zero future expenses (commitments).	☑	☐	Copy of CDR should be uploaded to Atlas (Attachments Tab)		
Final LPAC / Steering committee minutes are available.	☑	☐	Minutes should be uploaded to Atlas (Attachments Tab)		
All audit observations are closed with supporting documentation.	☑	☐	Supporting documents if any should be uploaded to Atlas (Attachments Tab)		
The final CDR is signed by UNDP and the Implementing Partner. Final report submitted by responsible parties.	☑	☐	Supporting documents should be uploaded to Atlas (Attachments Tab)		
If cost sharing project, the unexpended balance has been agreed to the general ledger. (The Balances excludes Open Purchase Orders reflected in the Output Financials) AND (Excludes Outstanding Contribution Receivable to be collected from donor) if any.	☑	☐	General Ledger Cash Balance Fund 30000	Donor 10870	Amount USD $ 0.00
Consultations with Donors on the disposition of unexpended cost-sharing balances, where required by contribution agreement, have taken place and are documented in writing.	☑	☐	UNDP issue refunds to donor as the very last step before designating a project as financially complete in ATLAS .If the donor requests a refund at any earlier point then you need to the approval of the Chief, Account Division or Treasurer to issuing the refund. Please refer to Refunds to Donors in the POPP.		
All refunds to donors have been transferred to Account 21030 (Pending Refund to Donors) and the project Balance is Zero. (Only in Base Currency)	☑	☐	Pending Refund to Donor	$ 0.00	$ 0.00
Notified Treasury Contributions Unit if the donor agreement requires interest to be refunded to the donor if specified in the agreement.	☑	☐	Supporting documents if any should be uploaded to Atlas (Attachments Tab)		
Notified the GSSC to close any associated contract in the contracts module.	☑	☐	Supporting documents if any should be uploaded to Atlas (Attachments Tab)		
All donor reports, as established in the Cost Sharing agreement, were submitted and acknowledged receipt by the donor representative.	☑	☐	Supporting documents if any should be uploaded to Atlas (Attachments Tab)		
Ensure project accounts are closed.	☑	☐	Closure of any project-based financial accounts or funds. Once confirmed, project status in Atlas will be set to "Financially Closed". No further financial transactions can be made. For more information on project closure procedures and policies, please refer to Closing a Project and Financial Closure of Development Projects and Financial Closure of Trust Fundsin the POPP.		

Management Comments (if any): Find First 1 of 1 Last

Author	DateTime Stamp

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