



PROJECT DOCUMENT
Belize

Project Title: Support to Infrastructure for Human Development, Health and Sports

Project Number: 00110085

Implementing Partner: Ministry of Human Development, Social Transformation and Poverty Alleviation

Executing agency: UNDP

Start Date: 27 Feb 2018 **End Date:** 31 Jan 2020 **PAC Meeting date:** 5 Feb 2018


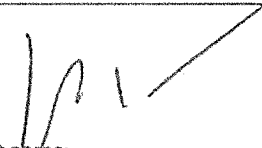
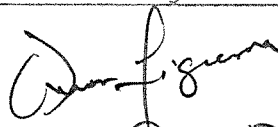

Brief Description
<p>The infrastructure improvements under this project will support two Outcomes.</p> <p>In order to address poverty in Belize, and ensuing issues such as young male vulnerability to crime and violence, young female vulnerability to early pregnancy, and poor nutrition and lack of fitness opportunities for all ages, infrastructural improvements are sought to facilitate various innovative approaches.</p> <p>UNDP's support to the project consists in ensuring efficient procurement for the infrastructure needs outlined.</p> <p>The first of these approaches (hereafter referred to as Outcome 1) under this Project is the upgrading of facilities for the Youth Challenge Programme (YCP) and other similar future programmes.</p> <p>Infrastructure improvements to an existing campus location twenty-one (21) miles west of Belize City will facilitate the implementation of the YCP and other programs for at-risk youth. Since 2012, there has been much discussion about the prospect of establishing a Youth Challenge Academy in Belize to manage a Youth Challenge Programme (YCP), using as a model a programme run by the Louisiana National Guard in the USA. The YCP's mission is "to intervene in and reclaim the lives of at-risk youth to produce program graduates with the values, skills, education and self-discipline necessary to succeed as adults." These components work in tandem to provide youths with an opportunity to get out of the streets (and away from gang influences), go back to school, learn a trade, and make better life decisions thereby contributing to the social transformation of country.</p> <p>The second approach under this Project (hereafter referred to as Outcome 2) is the construction of a multi-purpose facility in San Ignacio Town, seventy (70) miles southwest of Belize City. The Get Active and Stay Healthy Programme is proposed to be housed in a new San Ignacio Community Exercise, Social Sports, and Women's Group Feeding Programme Complex.</p> <p>This project aims to transform the lives of over 4,000 community members between the ages of 10 to 40 by providing a multi-purpose sporting and health facility to give them the chance to play with their peers, be involved in their communities, and improve their health and well-being while simultaneously creating opportunities for income generation for the local community. The complex will provide a safe space for recreation to residents of all ages, will allow for residents to improve their health via health and fitness activities, will contribute to reducing poverty and hunger by serving as a centre for a food pantry program targeting the most needy, will create employment through self-financed direct hiring staff that will administer the pantry program and kiosks built to house small vendors using the facilities and improving climate change mitigation and awareness through the use of renewable energy to power the facility.</p>

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The project will assist Belize in its path to achieving accomplishments towards the SDGs 1, 2, 3, 5, 10 and 12, relating to poverty reduction, health, gender equality, climate change, and safe cities.

Contributing Outcome MSDF: A healthy Caribbean Outcome 2: Laws, policies and systems introduced to support healthy lifestyles among all segments of the population Indicative Output with gender marker²: GEN 1 GSDS CSF2: Enhanced social cohesion and resilience.	Total resources required:	\$763,288	
	Total resources allocated:	UNDP TRAC:	0
		India-UN Fund:	\$590,000
		Govt of Belize In-Kind:	\$173,288
	Unfunded:	\$0	

Agreed by:

Ministry of Human Development, Social Transformation and Poverty Alleviation	UNDP Belize	Ministry of Agriculture, Fisheries, Forestry, the Environment, Sustainable Development and Immigration
ANTHONY MARTINEZ 		
Print Name: 	Print name:	Print Name: Omar Figueroa
Date: 09-03-2018	Date: 27/2/18	Date: March 9th 2018

I. DEVELOPMENT CHALLENGE

Belize faces, and has faced, a critical issue of youth vulnerability to crime and violence. For many years, a particular demographic group -- adolescent males living in poverty and marginalized circumstances, mainly in South Side Belize City, but also in San Ignacio, Santa Elena and Dangriga towns -- has been at a high risk of being recruited into gangs, abused, or murdered. There have not been enough community-based programmes to address the needs of all the at-risk children in Belize. Various tactics and programs have been employed over the decades since Belize's independence in 1981, with varying degrees of, but mostly limited, success. Current efforts include the Child Friendly Court, which seeks to ensure that the Rights of Children who come in contact with the law are respected and fulfilled, and the Metamorphosis Programme, which offers positive community-based interventions to children who are at risk of being recruited by gangs in South Side Belize City.

The desire on the part of multiple stakeholders and actors for a new tactic to approach this issue now seems stronger than ever. **Outcome 1** seeks to address this.

San Ignacio Town is a rapidly growing community with a population of 10,290 in 2010, an estimated 21,736 in mid-2017 and projected 30,000 residents in 2030. This exponential growth rate perpetuates increasing poverty, unemployment, deteriorating health and lack of accessible infrastructure and services to the residents. With the current poverty level being over 43% in Belize, young people, especially girls are most vulnerable to social problems which in turn lead to a life of crime, early marriage, drugs and alcohol. Also, with an average of 120 cases of hospitalized patients due to diabetes and an average of 25 deaths per year between 2006 and 2010, there is a clear need for a change in lifestyle to one of more health consciousness. Diabetes is typically accompanied by hypertension and statistics show a doubling of hospitalized cases in San Ignacio between 2006 and 2010 from 36 to 74. Current efforts have not been sufficient.

Building a multi-purpose complex will provide a safe space for recreation and delivery of health-related services to residents of all ages. **Outcome 2** will seek to implement this new tactic.

II. STRATEGY

Outcome 1: To enhance infrastructure for the government of Belize to more effectively run a range of youth support initiatives. The approach to addressing the critical issue of youth vulnerability to crime and violence in Belize requires actions and initiatives coordinated across ministries, and led by the Ministry of Human Development, Social Transformation and Poverty Alleviation. These initiatives aim at addressing several of the main objectives within the Growth and Sustainable Development Strategy that are interrelated and interdependent, for improving Citizen Security and securing the social wellbeing of all Belizeans. Targeted and appropriate support to youth at risk is a priority of high national importance for the development of Belize and in furtherance of Belize's Growth and Sustainable Development Strategy which is fully aligned to the Sustainable Development Goals.

Outcome 2: A consortium of governmental and non-governmental organizations will be required to implement the Get Active and Stay Healthy Programme. The Ministry of Agriculture, Forestry, Fisheries, the Environment, Sustainable Development and Immigration (MAFFESDI) will implement the project. The San Ignacio and Santa Elena Town Council (SISE) will provide the space for the facility, earth-moving services to level the grounds prior to construction, and servicing and maintenance of the facilities along with the Cayo North Sports Committee (CNSC). The CNSC will also provide administration of the gym and scheduling of the sporting facilities as well as organizing sporting events. The Cayo North Women's Group (CNWG) will administer the Government of Belize's feeding program for underprivileged children and the poverty alleviation pantry program from this facility, which will be designed for this purpose.

III. RESULTS AND PARTNERSHIPS

Expected Results

Outcome 1: Infrastructure is built that will enable the Government of Belize to provide services for at-risk teens. Upon returning home and into the community, each youth will work to implement his personalized plan with support from his family and mentor; and with monitoring and supervision from his social worker. This phase lasts 12 months or longer, depending on the progress of the youth in fulfilling his plan. Of importance to this phase is the support to youths so that they continue to uphold to the principles learned in various youth programmes and stay on a positive path. Youth will learn a trade and make better life decisions, thereby contributing to the social transformation of country.

Outcome 2: Through sports and exercise, residents of all ages will improve their physical and mental condition which may have positive effects on preventing increasingly common diseases such as diabetes and hypertension. This facility will enhance public awareness of the importance of doing regular exercise in pursuit of healthy lifestyle. The facility will also spark a change attitudes and mindsets within the community by exposing children and teenagers to the value of contributing more to the poor and needy through the food programme. Employment opportunities will increase in the area as a result of a dynamic facility hence catalysing entrepreneurship and increasing direct and indirect employment. The importance of climate change mitigation will be demonstrated to residents as they interact with the building and each other in the course of recreation.

Resources Required to Achieve the Expected Results

Outcome 1: While the combined efforts of the Ministry of Human Development and Ministry of Defence and have gone a long way to realize the YCP, additional resources are required for capacity building and to improve the infrastructure necessary to support the programme to its full potential. Physical spaces that are fit for purpose and a campus that is safe and secure for trainees and staff is a critical aspect for effective programme delivery.

There are infrastructural and equipment needs that would upgrade and enhance current facilities and ensure the proper and expanded implementation of the educational and psychosocial aspects of the programme. These include: Completion of a fence, building training and facility rooms, as well as an office, furniture and office equipment, and a project vehicle. The India-UN Fund’s contribution to the outcome is focussed on supporting the infrastructure components of the project.

Table 1: Outcome 1 Project Budget - Requested

Item	Cost - USD
Building construction	200,000
Furniture/office equipment	37,000
Vehicle	42,000
Building construction	200,000
Completion of fence	37,500
TOTAL	316,500

Outcome 2: The SISE Town Council will provide the space for the facility, earth-moving services to level the grounds prior to construction, and servicing and maintenance of the facilities along with the CNSC. The CNSC will also provide administration of the gym and scheduling of the sporting facilities as well as organizing sporting events. The CNWG will administer the Government of Belize’s feeding program for underprivileged children and the poverty alleviation pantry program from this facility. The CNSC and CNWG are community-based organization with volunteer residents that give of their times to organize sporting events, fundraise, maintain current sporting facilities etc. Consultations indicate the willingness of adults to contribute a small fee to use the facilities allowing students and children under 12 to use the facilities free of cost. The fee from adults using the gym and synthetic five-a-side field will be reinvestment into the administration of the facilities. This will create employment opportunities for individuals to lead the management of the facilities. The SISE Town Councils has also committed to scheduled maintenance of these facilities as well as the safety of the area through a partnership with the Police Department.

Nonetheless, additional resources are required to provide the infrastructure necessary to support the programme to its full potential. These include a basketball court, a synthetic grass foosball court, and a building to house the facilities. The India-UN Fund’s contribution to the outcome is focussed on supporting the infrastructure components of the project.

Table 2: Outcome 2 Project Budget - Requested

Item	Cost - USD
Football court	55,000
Basketball court	80,000
Building construction	100,000
TOTAL	235,000

Partnerships

This project is generously supported by the Government of India, as an emerging development partner, under the recently launched India-UN Development Partnership Fund, managed by the United Nations Office for South-South Cooperation (UNOSSC).

Senior Supplier: UNDP will oversee Project Assurance and conduct the procurement processes, drawing on its efficiencies of scale and access to effective international competition.

For **Outcome 1**, the Community Rehabilitation Department (CRD) within the Ministry of Human Development (MHD) and The Belize Defence Force (BDF) will be primarily responsible.

For **Outcome 2**, the Ministry of Agriculture, Forestry, Fisheries, the Environment, Sustainable Development and Immigration (MAFFESDI) will implement the project. The San Ignacio and Santa Elena Town Council (SISE), the Cayo North Sports Committee (CNSC) and the Cayo North Women's Group (CNWG) will be partners.

Risks and Assumptions:

Risk 1. Infrastructure - Procurement: Risks of fraud, misuse of public funds or corruption

Mitigation: Key among the measures to mitigate these risks are:

- transparent process
- competition
- separation of functions
- clear rules and procedures
- standard documents
- professional training of UNDP operations staff
- effective control systems
- accountability

Risk 2. Infrastructure - Construction Delivery

Mitigation: Make sure there are appropriate metrics and processes to measure contractor performance. This should be translated into a proper documentation and log system for tracking progress. This could include a detailed monthly schedule, with measurable key performance indicators linked to the contract. Financial risk should be managed and an incentive system established through milestone payments and daily contractor-compliance monitoring. Professional standards of information storage and flow should be ensured through clear rules on how information should be handled and the interaction required and expected between owner and supplier.

Risk 3: Infrastructure - Operation

Mitigation: Avoid *ad hoc* management of facilities once constructed. Create and implement management plans. Have established cross-stakeholders communication systems in place.

Stakeholder Engagement

The key stakeholders for this project are the youth and citizenry of Belize, specifically residents of the San Ignacio area, particularly focussed on young women and women in general. Institutional stakeholders are

123

the Ministry of Human Development, Social Transformation and Poverty Alleviation (MHDSTPA) and the Ministry of Agriculture, Forestry, Fisheries, the Environment, Sustainable Development and Immigration (MAFFESDI), the San Ignacio and Santa Elena Town Council (SISE), the Cayo North Sports Committee (CNSC), and the Cayo North Women's Group (CNWG)

South-South and Triangular Cooperation (SSC/TrC)

Similar approaches are being used in Caribbean countries like Jamaica, Antigua and Trinidad. The Belize Government is enthusiastic to expand this experience nationally and well as integrate into a Caribbean-wide approach, given the similarity of the challenges. Since there are similar projects in other SIDS countries, this would allow for South-South exchange around lessons learned, emerging best practice, and innovative approaches with such programmes.

Knowledge

In addition to the South-South knowledge exchange mentioned above, it can be expected that the project will receive extensive coverage in Belize's lively print and electronic media, facilitating discussion throughout the community. The Government of India will be given vast credit and coverage for their contribution to this initiative, including in all public engagement.

Sustainability and Scaling Up

Programme 1: The YCP is a pilot programme conceptualized as a nexus between social skills and discipline within a structured environment, being a 10-month residential programme. Expansion of the YCP is not under consideration until there is sufficient data and evidence to determine the effectiveness of such a programme. It is quite possible that, if effectiveness is determined, the program will scale up to include youth from other Districts. Eventually, other physical locations may be contemplated in the Cayo, Stann Creek, and Orange Walk Districts.

Programme 2: The CNSC and CNWG are community-based organization with volunteer residents that give of their times to organize sporting events, fundraise, maintain current sporting facilities etc. Consultations indicate the willingness of adults to contribute a small fee to use the facilities allowing students and children under 12 to use the facilities free of cost. The fee from adults using the gym and synthetic five-a-side field will be reinvestment into the administration of the facilities. This will create employment opportunities for individuals to lead the management of the facilities. The SISI Town Councils has also committed to scheduled maintenance of these facilities as well as the safety of the area through a partnership with the Police Department. Finally, the Government of Belize is also welcoming of a facility that can house their existing and expanding social programs targeting the most vulnerable in society. The facility can provide a model for other Districts.

IV. PROJECT MANAGEMENT

Cost Efficiency and Effectiveness

UNDP brings its global expertise and experience in procurement to this project. Hence its added value to this project is its procurement capacities including access to LTAs and tax exemption, which will bring the prices down, to maximize value obtained for these limited resources.

Project Management

Outcome 1: The program will be managed by the CEO of the Ministry of Human Development, Social Transformation and Poverty Alleviation and the Director of the CRD.

Outcome 2: The Ministry of Agriculture, Fisheries, Forestry, the Environment, Sustainable Development and Immigration (MAFFESDI) will implement the project. The San Ignacio and Santa Elena Town Council, the Cayo North Sports Committee (CNSC) and the Cayo North Women's Group (CNWG) will be partners. The SISE Town Council will provide the space for the facility, earth-moving services to level the grounds prior to construction, and servicing and maintenance of the facilities along with the CNSC. The CNSC will also provide administration of the gym and scheduling of the sporting facilities as well as organizing sporting events. The CNWG will administer the Government of Belize's feeding program for underprivileged children and the poverty alleviation pantry program from this facility.

V. RESULTS FRAMEWORK							
Outcome indicators as stated in the MSDF Results and Resources Framework, including baseline and targets: not currently available							
Applicable Output from the UNDP Strategic Plan 2018 to 2021: 1.1.2 Marginalised groups, particularly the poor, women, people with disabilities and displaced are empowered to gain universal access to basic services and financial and non-financial assets to build productive capacities and benefit from sustainable livelihoods and jobs							
National development plan: GSDS Critical Success Factor 2: Enhanced social cohesion and resilience							
Project title and Atlas Project Number: Support to Infrastructure for Human Development, Health and Sports							
EXPECTED OUTPUTS	OUTPUT INDICATORS ²	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)		DATA COLLECTION METHODS & RISKS
			Value	Year	Year 1	Year 2	
Output 1 <i>Secure and suitably equipped facilities to support youth at risk or other vulnerable groups</i>	1.1 Facilities remodelled to meet construction norms and standards and are fit for purpose	<i>Invoices, Pictures</i>	0	2018	1	1	quotations, purchase orders, Project Report Risks: Delay in procurement and construction
	1.2 Existence of furniture	<i>Invoices, Pictures Report</i>	0	2018	1	1	quotations, purchase orders, Project Report Risks: Delay in procurement and construction, mismanagement of facilities

	1.3 Existence of office equipment	Invoices, Pictures	No	2018	Yes		Yes	quotations, purchase orders, invoices, Project Report Risks: Delays in procurement
	1.4 Campus fences are completed	Invoices, Pictures	No	2018	Yes		Yes	quotations, purchase orders, invoices, Project Report, Risks: Delays in procurement
Output 2 Multi-use facility built for health and social programmes, prioritizing access for women living in poverty	2.1 Number of basketball courts built and in operation	Invoices, Pictures	0	2018	1		1	quotations, purchase orders, invoices, Project Report Risks: Delays in procurement and construction, mismanagement of facilities
	2.2 Number of synthetic grass football fields built	Invoices, Pictures	0	2018	1		1	quotations, purchase orders, invoices, Project Report Risks: Delays in procurement and construction, mismanagement of facilities

	2.3 Number of gyms built, equipped and in use by local citizens	Invoices, Pictures	0	2018	1		1	quotations, purchase orders, invoices, Project Report Risks: Delays in procurement and construction, mismanagement of facilities
	2.4 Number of fences completed	Invoices, Pictures, Report	No	2018	Yes		Yes	quotations, purchase orders, invoices, Project Report Risks: Delays in procurement and construction, mismanagement of facilities

VI. MONITORING AND EVALUATION

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans:

Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Monthly updates on overall project progress; 3 to 4 bullet points, submitted to Secretariat of the India-UN Fund, at UNOSSC	Slower than expected progress will be addressed by project management.		
Monitor and Manage Risk	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.	UNDP MHDST, MAFFESDI	
Learn	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.	UNDP	
Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.	UNDP	
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.	UNDP MHDST, MAFFESDI	
Project Report	A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-	Monthly bullet points, bi-annual report, and at the end		UNDP	

	defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period.	of the project (final report)		
Project Review (Project Board)	The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	Annually	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.	UNDP

Evaluation Plan³

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	MSDF Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
Final evaluation	MHDST, MAFFESDI	Output 1.1.2	Outcome 2: Laws, policies and systems introduced to support healthy lifestyles among all segments of the population	August 2018	The San Ignacio and Santa Elena Town Council, Cayo North Sports Committee, Cayo Community Rehabilitation Department North Women's Group, Belize Defence Force	5000 GoB

³ Optional, if needed

VII. WORK PLAN ⁴⁵

VIII.

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year		RESPONSIBLE PARTY	PLANNED BUDGET		
		Y1	Y2		Funding Source	Budget Description	Amount
Output 1: <i>Secure and suitably equipped facilities to support youth at risk or other vulnerable groups</i> Gender marker: GEN 1	1.1 Completion of fence	28,125	9,375	Government of Belize	India	72100 Contractual Services	37,500
	1.2 Furniture and equipment	27,750	9250	Government of Belize	India	72400 Equipment	37,000
	1.3 Building construction	150,000	50,000	Government of Belize	India	72100 Contractual Services	200,000
	1.4 Purchase of mini van	31,500	10,500	UNDP	India	72800- Equipment	42,000
	1.5 Publications/Advertisement	1,500	500	UNDP	India	74700- Communications and publications (television, web, print, etc.)	2,000
MONITORING		5,851	1,950	UNDP	India	74100 Professional Services	7,801
Direct Project Cost		3,000	1,000	UNDP	India	74598 Direct Project Costs - GOE	4,000
F & A		7,432	2,477			75100 Facilities & Administration	9,909

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		Sub-Total for Output 1	255,158	85,052				340,210
Output 2: <i>Multi-use facility built for health and social programmes, prioritizing access for women living in poverty</i>	2.1 basketball court		60,000	20,000	Government of Belize	India	72100-Contractual Services	80,000
	2.2 synthetic grass football field		41,250	13,750	Government of Belize	India	72100-Contractual Services	55,000
	2.3 gym building and equipment		75,000	25,000	Government of Belize	India	72800-Equipment	100,000
	2.4 Publications/Advertisement		1,500	500	UNDP	India	74700-Communications and publications (television, web, print, etc.)	2,000
	MONITORING		2,625	875	UNDP	India	74100-Professional Services	3,500
	Direct Project Cost		1,500	500	UNDP	India	74598-Direct Project Costs - GOE	2,000
	F&A		5470	1820	UNDP	India	75100-Facilities & Administration	7280
Sub-Total for Output 2			187,345	62,445				249,790
General Management Support		3%	12899	4,296				
TOTAL								590,000

IX. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier. The Executive’s role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher level outcomes. The Executive has to ensure that the project gives value for money, ensuring a cost-conscious approach to the project, balancing the demands of beneficiary and supplier.

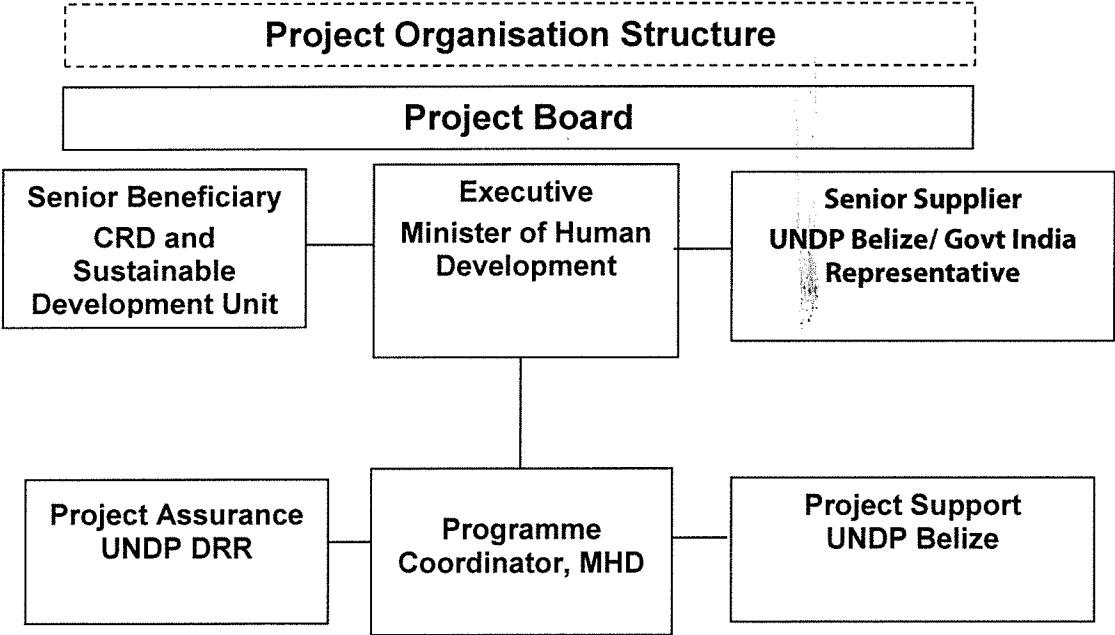
The role of Executive for this project is held by the Minister of Human Development, Social Transformation and Poverty Alleviation.

As Senior Beneficiary, the Community Rehabilitation Department (CRD) of the Ministry of Human Development, Social Transformation and Poverty Alleviation (MHD) is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. The role represents the interests of all those who will benefit from the project, or those for whom the deliverables resulting from activities will achieve specific output targets. The Senior Beneficiary will monitor progress against targets and quality criteria.

The Senior Supplier -- in this case both UNDP Belize and the Government of India -- represents the interests of the development partners which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Supplier’s primary function within the Board is to provide guidance regarding the technical feasibility of the project. The Senior Supplier role must have the authority to commit or acquire supplier resources required.

Project Assurance is the responsibility of each Project Board member; however, the role can be delegated. In the present project this role is delegated to UNDP Deputy Representative.

Project Management is the responsibility of Programme Coordinator at Ministry of Human Development, Social Transformation and Poverty Alleviation.



125

X. LEGAL CONTEXT

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of (country) and UNDP, signed on (date). All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

The Implementing Partner shall ensure best value for money, fairness, integrity, transparency, and effective international competition in the financial governance applied to implementing the project. This project will be implemented by [name of entity] ("Implementing Partner") in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. In all other cases, UNDP's Financial Regulations and Rules and governance procedures shall be followed.

XI. RISK MANAGEMENT

Government Entity (NIM)

1. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:
 - a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
 - b) assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan.
2. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner's obligations under this Project Document.
3. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml.
4. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
5. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
6. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
7. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using UNDP funds. The Implementing Partner will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
8. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of

Audit and Investigations Investigation Guidelines. The Implementing Partner agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.

9. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', responsible parties', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with the Implementing Partner to find a solution.
10. The signatories to this Project Document will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

11. UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail the Implementing Partner's obligations under this Project Document.

Where such funds have not been refunded to UNDP, the Implementing Partner agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to the Implementing Partner for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

12. Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.
13. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
14. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled "Risk Management Standard Clauses" are included, *mutatis mutandis*, in all sub-contracts or sub-agreements entered into further to this Project Document.

XII. ANNEXES

1. Detail of Govt of Belize In Kind Contribution
2. Risk Log
3. Capacity Assessment: Results of capacity assessments of Implementing Partner (including HACT Micro Assessment)
4. Letter of Agreement between Government of Belize and UNDP

Annex 1
Support to Infrastructure for Human Development,
Health and Sports Project

Detail of Government of Belize Contribution

ACTIVITY	COST
Design and Supervision of Works	US\$72,750.00
Preparation of BOQ	US\$2,800.00
Project Management	US\$17,188.00
Land Preparation and Earth Works	US\$5,000.00
Total In-Kind	US\$173,288.00

Annex 2 OFFLINE RISK LOG

Project Title: Support to Infrastructure for Human Development, Health and Sports	Date: 5 Feb 2018
Award ID:	

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
1	Fraud, misuse of public funds, corruption	Design Phase	Financial Operational Organizational	P =2 I =5	transparent procurement process, competition, clear separation of functions, clear rules and procedures, standard documents effective control systems, accountability	Project Manager/U NDP			
3	Construction Delays	Execution Phase	Environmental Operational Organizational Financial	P =3 I = 4	detailed monthly schedule, with measurable key performance indicators linked to the contract. Financial risk should be managed and an incentive system established through milestone payments and daily contractor-compliance monitoring	MAFFESDI/ MHD			
4	Mismanagement/ misuse of facilities constructed	Design Phase	Operational Organizational	P =2 I = 5	Develop and implement management plans. Have established cross-stakeholders communication systems in place	MAFFESDI/ MHD			

/RS

UNDP Micro Assessment

Ministry of Human Development, Social Transformation and Poverty Alleviation

Moore Stephens LLP

London

02 August 2018

This micro-assessment is prepared solely for the confidential use of the UNDP and the Implementing partner alone and only for the purpose set out in our terms of reference. This report is confidential and not intended for disclosure to, or use by, any third party. To the fullest extent permitted by law, we accept no responsibility or liability to any third party for any use or reliance they may place on the information contained in this report.

Contents

MICRO ASSESSMENT FINDINGS.....	3
1.1. BACKGROUND, SCOPE AND METHODOLOGY	3
1.2. SUMMARY OF RISK ASSESSMENT RESULTS	4
1.3. DETAILED INTERNAL CONTROL FINDINGS AND RECOMMENDATIONS.....	6
ANNEXES	8
ANNEX I: IMPLEMENTING PARTNER AND PROGRAMME INFORMATION	9
ANNEX II: IMPLEMENTING PARTNER ORGANISATIONAL CHART.....	11
ANNEX III: LIST OF PERSONS MET	12
ANNEX IV: MICRO ASSESSMENT QUESTIONNAIRE.....	ERROR! BOOKMARK NOT DEFINED.

MICRO ASSESSMENT FINDINGS

1.1. BACKGROUND, SCOPE AND METHODOLOGY

Background

The micro assessment is part of the requirements under the Harmonized Approach to Cash Transfers (HACT) Framework. The HACT framework represents a common operational framework for UN agencies' transfer of cash to government and non-governmental implementing partners.

The micro assessment assesses the implementing partner's control framework. It results in a risk rating (low, moderate, significant or high). The overall risk rating is used by the UN agencies, along with other available information (e.g. history of engagement with the agency and previous assurance results), to determine the type and frequency of assurance activities as per each agency's guideline and can be taken into consideration when selecting the appropriate cash transfer modality for an implementing partner.

Scope

The micro assessment provides an overall assessment of the implementing partner's programme, financial and operations management policies, procedures, systems and internal controls. It includes:

- A review of the implementing partner legal status, governance structures and financial viability; programme management, organizational structure and staffing, accounting policies and procedures, fixed assets and inventory, financial reporting and monitoring, and procurement;
- A focus on compliance with policies, procedures, regulations and institutional arrangements that are issued both by the Government and the implementing partner.

It takes into account results of any previous micro assessments conducted of the implementing partner.

Methodology

We performed the micro assessment at the locations and on the dates set out in Annex I.

Through discussion with management, observation and walk-through tests of transactions, we have assessed the implementing partner's internal control system with emphasis on:

- The effectiveness of the systems in providing the implementing partner's management with accurate and timely information for management of funds and assets in accordance with work plans and agreements with the United Nations agencies;
- The general effectiveness of the internal control system in protecting the assets and resources of the implementing partner.

We discussed the results of the micro assessment with applicable UN agency personnel and the implementing partner prior to finalization of the report. The list of persons met and interviewed during the micro assessment is set out in Annex III.

Results

The results of our micro assessment are set out in section 1.2 below, and our detailed internal control findings and recommendations in section 1.3.



Martin Daniel
Partner
Moore Stephens LLP

02 August 2018

1.2. SUMMARY OF RISK ASSESSMENT RESULTS

The table below summarizes the results and main internal control gaps found during application of the micro assessment questionnaire (in Annex IV). Detailed findings and recommendations are set out in section 1.3 below.

Tested subject area	Risk assessment*	Comments
1. Implementing partner	Low	The Ministry of Human Development, Social Transformation and Poverty Alleviation is a duly and legally constituted branch of the Government of Belize. Its main responsibility is the implementation of programmes, projects and activities, which provide aid to vulnerable populations within Belize. The entity has previously received funding from UN agencies. The entity is not required to provide financial reports to the government with the exception of annual budgets. Financial reporting for the ministry is the responsibility of the Ministry of Finance. Project reports are required for funding agencies and the content and frequency of submissions will largely depend on the requirements of the specific funding agency. The Ministry of Human Development lacks an internal anti-fraud and corruption policy. The Anti-fraud and corruption policies created by the government lack detail and are very vague.
2. Programme management	Moderate	The Ministry does not have written policies, procedures and other tools to manage projects. The Ministry uses the specific project management policies provided by the funding institutions. No M&E procedures are in place. The Ministry uses indicators developed for each individual project based on the requirements from the donor institutions to monitor the progress of projects.
3. Organisational structure and staffing	Low	The Ministry's organisational structure is adequate. There is a Chief Executive Officer, a Programme Coordinator, a Finance Officer, two account clerks, and heads of unit. There is a low turnover rate, and the employees who leave generally do so due to retirement.
4. Accounting policies and procedures	Low	<p>The Ministry of Human Development uses the General Financial Policies published by the Government of Belize. These policies include the Financial Orders, Store Orders, Control of Public Expenditure & The Finance and Audit Act.</p> <p>Funding is received from donors by the Central Bank of Belize and, when the Ministry of Finance gives approval, the funds are transferred to the Treasury Department.</p> <p>The government of Belize uses Smart Stream accounting system to record financial information. The Smart Stream is also used for project accounting. A chart of accounts is specifically assigned for the project, which are entered and managed by the Central Information Technology Office.</p> <p>External entities that receive grants are required to provide monthly expense reports. These are reviewed by the Ministry.</p>
5. Fixed assets and inventory	Moderate	The Ministry of Human Development performs annual fixed asset counts and the asset listing is updated and monitored on a quarterly basis. The only function of the Ministry of Human Development is to safeguard and ensure the items are kept within the offices assigned. The Asset management unit of the Ministry of Finance is responsible for the tracking of the assets in the accounting system. The ministry has no significant inventory held except for expendable goods such as office paper, cleaning supplies and other stationery.

6. Financial reporting and monitoring	Moderate	The Ministry of Human Development is not required to submit financial reports. The Ministry is only responsible for submitting an annual budget to the Ministry of Finance. Projects funds are managed in the accounting system Smart Stream that enable to prepare adequate project financial records. No audits were performed for the last 3 years.
7. Procurement	Moderate	The Ministry of Human Development is guided by the procurement and contract policies of the government of Belize that are outlined in the Financial orders, store orders, the control of public expenditure guidelines and the Finance and Audit Act. In exceptional cases approval of procurement out of the guidelines need to be approved by the Ministry of Finance. Adequate procurement thresholds are in place. The Ministry does not have a Procurement Unit; however it has procurement specialists and a project coordinator who are versed in UN, World Bank and European Union procurement policies.
Overall risk assessment	Low	

* High, Significant, Moderate, Low

1.3. DETAILED INTERNAL CONTROL FINDINGS AND RECOMMENDATIONS

No.	Description of finding	Recommendation
1.	<p>Lack of an appropriate Anti-fraud and Corruption Policy</p> <p>The Ministry of Human Development does not have an internal Anti-fraud and corruption policy. They follow the Anti-fraud guidelines outlined in the store orders and Finance and Audit act. However, they lack anti-corruption policies and policies to prevent retaliation against such reporting.</p>	<p>A transparency or anti-corruption policy should be devised to include a whistle-blowing mechanism that advises, encourages and protects employees who want to report suspected fraud, waste, or misuse of the organisation’s resources or property.</p>
2.	<p>Insufficient Policies, Procedures, and Guidelines to develop work plans</p> <p>The Ministry does not have any detailed written policies, procedures and other tools to develop work plans. The Ministry of Human Development uses project management policies provided by the funding institution in conjunction with the government’s store orders, The control of public expenditure manual, Finance orders and the Finance and Audit act in the management of projects.</p>	<p>The Ministry should develop and establish standard financial and procurement policies, procedures, guidelines for project management.</p>
3.	<p>Lack of Policies, Procedures and Guidelines for Monitoring and Evaluation</p> <p>The Ministry does not have adequate project management procedures, templates or tools for identifying risks to project implementation, monitoring and evaluation methodology, or guidelines for reporting programme or financial status.</p> <p>Programme managers use methods which are specific to the project and are provided by the funding agency.</p>	<p>To ensure an appropriate control over project implementation the Ministry of Human Development should develop and establish standard policies, procedures and guidelines that include Monitoring and Evaluation (M&E) tools which assess programme progress, and identify risks to completing projects on time and within budget.</p>
4.	<p>Lack of audits to the Ministry of Human Development</p> <p>The Ministry has not been subject to an audit for the past three years. The Office of the Auditor general is in charge of conducting this audit. The standards of these audits are unknown and low reliance is placed on them. No recent audit report was available.</p>	<p>The Ministry of Human Development should request an audit to be performed on the financial statements in written form to the Ministry of Finance and the relevant authorities.</p>
5.	<p>Lack of procurement reports</p> <p>The government does not require the Ministry of Human Development to prepare and submit procurement reports. The Ministry only procures items on an ad hoc basis when the need arises.</p> <p>For Projects: One procurement plan is generated every year, and this is reviewed by the project steering committee before it is sent to the funding agency to be reviewed and approved. Once this is completed the procurement plan is reviewed every quarter (only for project activities.)</p>	<p>At the Ministry level the implementing partner should establish and adopt a policy to complete procurement reports which include information related to:</p> <ul style="list-style-type: none"> • Procurement methods utilized by the Ministry • Geographic Location of bidders and awardees • Breakdown of contracts awarded by size • Time frames and any further amendments to existing contracts.

<p>6.</p>	<p>Lack of references to Ethical Procurement Principles and Exclusion and Ineligibility Criteria in contracts</p> <p>The contracts for the purchase of Construction services or goods do not integrate detailed references to ethical procurement principles nor exclusion and ineligibility criteria. The contracts only include a clause stating that the Contract shall be interpreted in accordance with the laws of Belize. We only noted such references in employment contracts.</p>	<p>The Ministry of Human Development should ensure that construction/supply contracts include a detailed reference to ethical procurement principles and exclusion and ineligibility criteria which follow the guidelines stated in the Store Orders, Finance and Audit Act and Control of Public Expenditure texts.</p>
<p>7.</p>	<p>Warranties are on purchased items are not monitored</p>	
	<p>The ministry does not follow up on warranties of purchased items. There is a risk that a warranty expires if no monitoring is done using this risk management instrument.</p>	<p>We recommend that management at the IP adequately monitor the existence and expiry of risk-management features such as warranties and securities. This will ensure that claims are made in a timely manner and that losses are minimized.</p>
<p>8.</p>	<p>Lack of reconciliations for the Imprest account</p>	
	<p>The Ministry does not perform reconciliations for its Imprest account; reconciliations are performed by a clerk at the Ministry of Finance.</p>	<p>We recommend that the IP perform internal reconciliations of its Imprest account to efficiently control its use of cash. These reconciliations should be compared to those prepared by the Ministry of Finance in order to verify accuracy and identify any discrepancies.</p>
<p>9.</p>	<p>Lack of insurance policies for fixed assets</p>	
	<p>Major assets at the Ministry of Human Development are not covered by an insurance policy. The only existing insurance policy is third party insurance for motor vehicles. The lack of cover increases the risk of financial losses due to external threats such as natural disasters or fire.</p>	<p>We recommend that the Ministry of Human Development request from the Ministry of Finance that major assets be insured, to protect from future losses caused by external threats.</p>

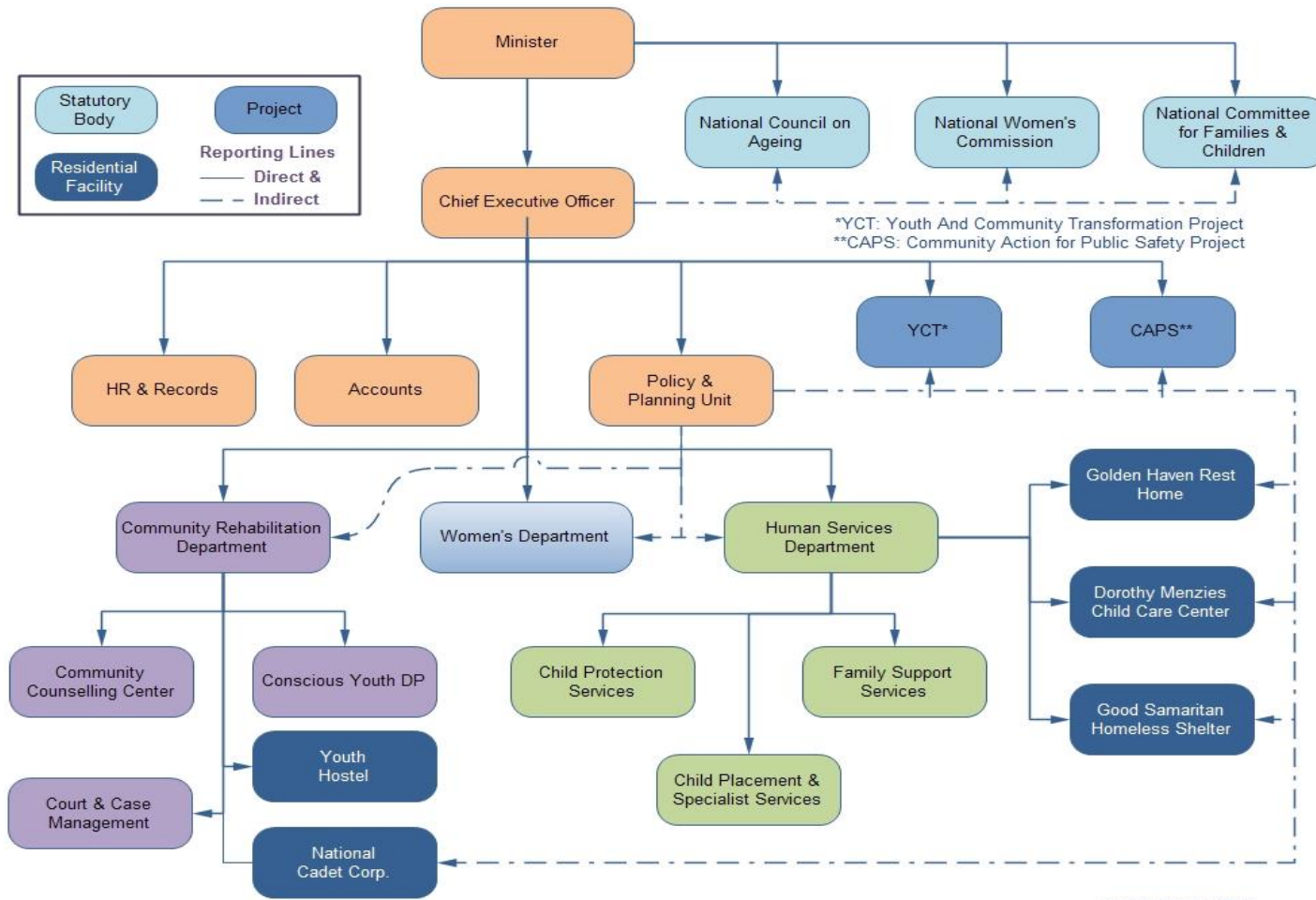
ANNEXES

ANNEX I: IMPLEMENTING PARTNER AND PROGRAMME INFORMATION

Implementing partner name:	Ministry of Human Development, Social Transformation and Poverty Alleviation.
Implementing partner code or ID in UNICEF, UNDP, UNFPA records (as applicable)	Not provided
Implementing partner contact details (contact name, email address and telephone number)	Mr. Elvis L. Requena Programme Coordinator Belmopan City Belize, Central America Tel: (501) 227-0840 Mobile: (501) 621-2595 Fax: (501) 227-0844 Email: programme.coordinator@humandev.gov.bz
Main programmes implemented with the applicable UN agency/ies	Support to Infrastructure for Human Development, Health and Sports
Key official in charge of the UN agency/ies' programme(s)	Not provided
Programme location(s)	Belmopan City and Belize City
Location of records related to the UN Agency/ies' programme(s)	Ministry of Human Development Records office at Belmopan City, Belize.
Currency of records maintained	Belize Dollar (BZD)
Expenditures incurred/reported to UNICEF, UNDP and UNFPA (as applicable) during the most recent financial reporting period (in US\$)	Not provided

Cash transfer modality/ies used by the UN agency/ies to the implementing partner	Direct Cash Transfer
Intended start date of micro assessment	19 June 2018
Number of days to be spent for visit to implementing partner	3 days
Any special requests to be considered during the micro assessment	None noted

ANNEX II: IMPLEMENTING PARTNER ORGANISATIONAL CHART



Updated: Nov. 2015

**Note: that the document was last updated on November 2015 as such the new programme unit does not appear in the organogram. Management was unable to provide an updated version.*

ANNEX III: LIST OF PERSONS MET

Name	Unit / organisation	Position
Mr. Elvis L. Requena	Ministry of Human Development, Social Transformation and Poverty Alleviation	Project Coordinator
Mr. Lionel Hernandez	Ministry of Human Development, Social Transformation and Poverty Alleviation	Finance Officer

ANNEX IV: MICRO ASSESSMENT QUESTIONNAIRE

Subject area (key questions in bold)	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
1. Implementing partner						
1.1 Is the IP legally registered? If so, is it in compliance with registration requirements? Please note the legal status and date of registration of the entity.	Yes			Low	1	The Ministry of Human Development, Social Transformation and Poverty Alleviation is a duly and legally constituted arm of the Government of Belize with Responsibility for social matters.
1.2 If the IP received United Nations resources in the past, were significant issues reported in managing the resources, including from previous assurance activities.		No		Moderate	4	The Programme Coordinator stated that the Ministry of Human Development has received funds in the past from UNICEF. however, they were not able to provide the details. As per the Programme coordinator, there were no issues with the management of resources received from United Nations agencies in the past.
1.3 Does the IP have statutory reporting requirements? If so, are they in compliance with such requirements in the prior three fiscal years?			N/A	N/A	-	The Ministry of Human Development is a branch of the government of Belize, entity does not submit Financial reports to the government. The department only submits an annual budget which is approved by the Ministry of Finance. Financial reporting is done by the Ministry of Finance when necessary.
1.4 Does the governing body meet on a regular basis and perform oversight functions?	Yes			Low	1	The Ministry's Accounting Officer and Chief Executive Officer - Judith Alpuche heads the entire Ministry and is aided by heads of department. There is a management meeting once a month to discuss important matters which have been identified by the Ministry of Human Development.
1.5 If any other offices/ external entities participate in implementation, does the IP have policies and process to ensure appropriate oversight and monitoring of implementation?			N/A	N/A	-	No other parties are involved in project implementation, the Ministry has a Project Management Unit which is in charge of all project implementation activities.

<p>1.6 Does the IP show basic financial stability in-country (core resources; funding trend) Provide the amount of total assets, total liabilities, income and expenditure for the current and prior three fiscal years.</p>	Yes			Low	1	<p>The Ministry of Human Development is a branch of the government which receives an annual budget to cover the costs of its activities for each fiscal period. > Assets are all owned by the government of Belize and no income is generated from its activities, nor did the entity accrue any liability. > Expenditure for the current fiscal period and prior two fiscal periods is as follows: Prior 2: 2015/2016 \$16,089,291 Prior 1: 2016/2017 \$13,790,068 Current Revised: 2017/2018 \$12,853,957 The government website did not have any information on the prior fiscal period 2014/2015 thus information was not included.</p>
<p>1.7 Can the IP easily receive funds? Have there been any major problems in the past in the receipt of funds, particularly where the funds flow from government ministries?</p>	Yes			Low	1	<p>The Ministry of Human Development is able to receive funds into its designated account at the Treasury Department. There has been no issues with the receipt of funds in the past. Although the Ministry of Human Development implements the project the body in charge of controlling the financial resources is the Ministry of Finance which facilitate the transfer of funds into the designated account.</p>
<p>1.8 Does the IP have any pending legal actions against it or outstanding material/significant disputes with vendors/contractors? If so, provide details and actions taken by the IP to resolve the legal action.</p>		No		Low	1	<p>Management is not aware of any pending legal action against the Ministry of Human Development.</p>
<p>1.9 Does the IP have an anti-fraud and corruption policy?</p>		No		Significant	3	<p>The IP does not have an internal anti-fraud and corruption policy. The Ministry of Human Development however follows standardized government policies related to fraud outlined in the Store Orders and Finance and Audit Act. Employees of the government should abide by the "Public Service Regulations of 2014" for instances of corruption but policies are not sufficiently detailed.</p> <p>Refer to internal control finding 1.</p>

1.10 Has the IP advised employees, beneficiaries and other recipients to whom they should report if they suspect fraud, waste or misuse of agency resources or property? If so, does the IP have a policy against retaliation relating to such reporting?	Yes			Significant	3	<p>Yes reporting procedures are outlined in the Public Service Regulations of 2014, Store Orders and Finance and Audit Act. Internally the Chief Executive Officer is the accounting officer for the Ministry, as such any case or suspicion of fraud, waste or misuse of resources should be reported directly to her.</p> <p>However there are no detailed policies against retaliation for such reporting.</p> <p>Refer to internal control finding 1.</p>
1.11 Does the IP have any key financial or operational risks that are not covered by this questionnaire? If so, please describe. <i>Examples: foreign exchange risk; cash receipts.</i>		No		Low	1	<p>There are no additional risk which were not covered by the questionnaire. All ministry expenses are paid out from designated accounts at the treasury department of Belize. Expenses cannot exceed the assigned line budgets and there are appropriate approval thresholds.</p>
Total number of questions in subject area:	11					
Total number of applicable questions in subject area:	9					
Total number of applicable key questions in subject area:	3					
Total number of risk points:	16					
Risk score	1.78					
Area risk rating	Low					

Subject area <i>(key questions in bold)</i>	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
2. Programme management						
2.1. Does the IP have and use sufficiently detailed written policies, procedures and other tools (e.g. project development checklist, work planning templates, work planning schedule) to develop programmes and plans?		No		Significant	3	No, the Ministry does not have any detailed written policies, procedures and other tools to develop work plans. The Ministry of Human Development uses the specific project management policies provided by the funding institution in conjunction with the government's store orders, The control of public expenditure manual, Finance orders and the Finance and audit act in the management of projects. Refer to internal control finding 2.
2.2. Do work plans specify expected results and the activities to be carried out to achieve results, with a time frame and budget for the activities?		No		Significant	6	The Ministry does not have any written internal work plans. The available work plans are provided by the funding institution and detail the expected results and activities to be carried out to achieve project goals, with time frames and budgets. Refer to internal control finding 2.
2.3 Does the IP identify the potential risks for programme delivery and mechanisms to mitigate them?	Yes			Moderate	2	Risk is analysed at the inception stage of each project, the project unit undertakes a risk assessment analysis and develops a Risk Assessment Matrix to consider any real or potential risks and develop mitigating actions. For instance a past project for the Inter-American Development Bank "Community Action For Public Safety (CAPS)" A Project Risk Assessment Matrix which was completed for the project was provided to us for our review.
2.4 Does the IP have and use sufficiently detailed policies, procedures, guidelines and other tools (checklists, templates) for monitoring and evaluation?		No		Significant	3	There are no M&E detailed policies, procedures and guidelines at the ministry level. The ministry uses an indicators list which has been developed for each individual project based on the requirements from the donor institutions to monitor the progress of projects Refer to internal control finding 3.
2.5 Does the IP have M&E frameworks for its programmes, with indicators, baselines, and targets to monitor achievement of programme results?		No		Significant	3	No, there are no M&E frameworks for its programmes to monitor programme results. Refer to internal control finding 3.

2.6 Does the IP carry out and document regular monitoring activities such as review meetings, on-site project visits, etc.	Yes			Low	1	During project implementation the Ministry initiates a Project Steering Committee which is tasked with reviewing and approving work plans for the project and provides and oversight role for the project. The Steering committee makes use of the Monitoring and Evaluation frameworks which are provided by the funding agencies.
2.7 Does the IP systematically collect, monitor and evaluate data on the achievement of project results?	Yes			Low	1	The Ministry of Human Development uses the specific guidelines for data collection, monitoring and evaluation provided by the funding agencies. At ministry level, the Ministry of Human Development has a Policy and planning unit which ensures that the policies of the ministry are implemented, they also help with data collection from surveys, questionnaires etc. which are then entered into FAMCARE which is the Ministry's database used to collect information regarding the ministry's performance.
2.8 Is it evident that the IP followed up on independent evaluation recommendations?		No		Significant	3	The ministry is subject to audits which are done in intervals of every 5 years by the Auditor general's office. There has not been a recent audit and thus no recommendation is available. Refer to internal control finding 4.
Total number of questions in subject area:	8					
Total number of applicable questions in subject area:	8					
Total number of applicable key questions in subject area:	2					
Total number of risk points:	22					
Risk score	2.75					
Area risk rating	Moderate					

Subject area (key questions in bold)	Yes	No	N/A	Risk Assessment	Risk points	Remarks/comments
3. Organizational structure and staffing						
3.1 Are the IP's recruitment, employment and personnel practices clearly defined and followed, and do they embrace transparency and competition?	Yes			Low	1	For Recruitment, employment and personnel practices the Ministry is guided by the government of Belize's Public Service Regulation policies. These require all vacancies to be made public by posting these on print and electronic media. These policies seem to embrace transparency and competition.
3.2 Does the IP have clearly defined job descriptions?	Yes			Low	1	Each staff member has its own job description which is referred to as the Terms of reference. Implementing Partner allowed the auditors to review some of these terms of reference.
3.3 Is the organizational structure of the finance and programme management departments, and competency of staff, appropriate for the complexity of the IP and the scale of activities? Identify the key staff, including job titles, responsibilities, educational backgrounds and professional experience.	Yes			Low	1	<p>> Ms Judith Alpuche - Chief Executive Officer - Masters in Social Work. She is in charge of overseeing the entire Ministry.</p> <p>>Mr Elvis Requena - Programme Coordinator, Masters in Economics. Is responsible for all projects under the Ministry.</p> <p>> Mr Lionel Hernandez - Finance Officer, MBA Public Sector Management: Is responsible for all finance related matters relating to capital accounts.</p> <p>>Ms Nelly Ellis - Finance Officer 1- Bachelors Degree in Business Management: Is responsible for all financial matters for the district level.</p> <p>The Ministry of Human Development, Social Transformation and Poverty Alleviation has sufficient qualified staff to deal with the complexity of the IP and the scale of activities.</p>
3.4 Is the IP's accounting/finance function staffed adequately to ensure sufficient controls are in place to manage agency funds?	Yes			Low	1	The Ministry's finance department is well staffed and appropriate segregation of duties exist to ensure adequate controls.
3.5 Does the IP have training policies for accounting/finance/ programme management staff? Are necessary training activities undertaken?			N/A	N/A	-	The IP does not have any internal training policy for accounting/finance and programme management. The Ministry of Public Service is in charge of all training for the government ministries. These are monitored by the Public Service through specific training modules set out to ensure advancement of accounting/finance officers.

3.6 Does the IP perform background verification/checks on all new accounting/finance and management positions?	Yes			Moderate	2	All potential employees are subject to a reference check by the Ministry, because of the nature of the posts. Individuals appointed are usually already in the finance grade meaning that someone who is hired as a finance officer should be working at the ministry for a number of years and come up through the ranks which will signify that he/she has gone through all the relevant checks.
3.7 Has there been significant turnover in key finance positions the past five years? If so, has the rate improved or worsened and appears to be a problem?		No		Low	1	No significant turnover has been identified in key finance positions in the past five years. The previous finance officer position transitioned due to the finance officer reaching the retirement age and as such left the government service as per the government retirement policy.
3.8 Does the IP have a documented internal control framework? Is this framework distributed and made available to staff and updated periodically? If so, please describe.	Yes			Moderate	2	There are no documented internal control frameworks as such. However, the ministry abides and is guided by "Belize Public Service Regulations of 2014" These are updated periodically and widely circulated to all public officers.
Total number of questions in subject area:	8					
Total number of applicable questions in subject area:	7					
Total number of applicable key questions in subject area:	3					
Total number of risk points:	9					
Risk score	1.29					
Area risk rating	Low					

**STANDARD LETTER OF AGREEMENT BETWEEN UNDP AND THE GOVERNMENT FOR THE PROVISION OF
SUPPORT SERVICES**

Dear CEO Alpuche,

1. Reference is made to consultations between officials of the Government of **Belize** (hereinafter referred to as "the Government") and officials of UNDP with respect to the provision of support services by the UNDP country office for nationally managed programmes and projects. UNDP and the Government hereby agree that the UNDP country office may provide such support services at the request of the Government through its institution designated in the relevant programme support document or project document, as described below.

2. The UNDP country office may provide support services for assistance with reporting requirements, publications, purchase of equipment, and direct payment. In providing such support services, the UNDP country office shall ensure that the capacity of the Government-designated institution is strengthened to enable it to carry out such activities directly. The costs incurred by the UNDP country office in providing such support services shall be recovered from the administrative budget of the office.

3. The UNDP country office may provide, at the request of the designated institution, the following support services for the activities of the programme/project:

- (a) **Procurement of goods and services;**
- (b) **Monitoring Visits and Spot Checks;**
- (c) **Direct Payment to vendors**

4. The procurement of goods and services and the recruitment of project and programme personnel by the UNDP country office shall be in accordance with the UNDP regulations, rules, policies and procedures. Support services described in paragraph 3 above shall be detailed in an annex to the programme support document or project document, in the form provided in the Attachment hereto. If the requirements for support services by the country office change during the life of a programme or project, the annex to the programme support document or project document is revised with the mutual agreement of the UNDP resident representative and the designated institution.

5. The relevant provisions of the **Standard Basic Assistance Agreement between the Government of Belize and the United Nations Development Programme, June 1982** (the "SBAA"), including the provisions on liability and privileges and immunities, shall apply to the provision of such support services. The Government shall retain overall responsibility for the nationally managed programme or project through its designated institution. The responsibility of the UNDP country office for the provision of the support services described herein shall be limited to the provision of such support services detailed in the annex to the programme support document or project document.

6. Any claim or dispute arising under or in connection with the provision of support services by the UNDP country office in accordance with this letter shall be handled pursuant to the relevant provisions of the SBAA.

KAB

7. The manner and method of cost-recovery by the UNDP country office in providing the support services described in paragraph 3 above shall be specified in the annex to the programme support document or project document.
8. The UNDP country office shall submit progress reports on the support services provided and shall report on the costs reimbursed in providing such services, as may be required.
9. Any modification of the present arrangements shall be effected by mutual written agreement of the parties hereto.
10. If you are in agreement with the provisions set forth above, please sign and return to this office two signed copies of this letter. Upon your signature, this letter shall constitute an agreement between your Government and UNDP on the terms and conditions for the provision of support services by the UNDP country office for nationally managed programmes and projects.

Yours sincerely,



Signed on behalf of UNDP
Christian Salazar Volkmann
Title/Resident Representative.



For the Government
Judith Alpuche
Chief Executive Officer
Ministry of Human Development

Date:

Attachment

DESCRIPTION OF UNDP COUNTRY OFFICE SUPPORT SERVICES

1. Reference is made to consultations between the **Ministry of Human Development**, the institution designated by the Government of **Belize** and officials of UNDP with respect to the provision of support services by the UNDP country office for the nationally managed project **Support to Infrastructure for Human Development, Health and Sports "the Project"**

2. In accordance with the provisions of the letter of agreement signed on _____ and the project document, the UNDP country office shall provide support services for the Project as described below.

3. Support services to be provided:

Support services (insert description)	Schedule for the provision of the support services	Cost to UNDP of providing such support services (where appropriate)	Amount and method of reimbursement of UNDP (where appropriate)
1. Procurement of vehicle	March 2018	\$42,000	UNDP will directly charge the project, plus Direct Project Cost as per UPL
2. Signage and Promotional items	March 2018	\$4,000	UNDP will directly charge the project, plus Direct Project Cost as per UPL
3. HACT Assessment	March 2018	\$5,000	UNDP will directly charge the project, plus Direct Project Cost as per UPL
4. Spot Check Assessment and monitoring visits	September 2018	\$6,301	UNDP will directly charge the project, plus Direct Project Cost as per UPL
5. Direct Payment of vendors	March to December 2018	As per UPL	UNDP will directly charge the Cost as per UPL

4. Description of functions and responsibilities of the parties involved:

UNDP will conduct the full procurement process and monitoring visits. The Government will ensure that all documentation of procured items is well documented and accessed by UNDP or agent.

Government will implement with request to direct pay, until Micro Assessment is complete and a revision of cash transfer modality is completed.

Y.B.