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**PROJECT DOCUMENT**

**Belize**

**Project Title: UNDP Re-granting Partnership Phase II: Towards Sustainable Management of Belize’s Seascape**

**Project Number: 00094261**

**Implementing Partner: United Nations Development Programme**

**Start Date:** March , 2016 **End Date:** 31/12/2018 **PAC Meeting date:** 24/05/2017

**Brief Description**

Belize is a natural resource based economy. Fisheries in 2015 contributed 17% to the Belizean economy. Belize’s fisheries sector supports the livelihoods of an estimated 3,000 artisanal or small scale fishers. The country’s coast and seascape features also supports a vibrant tourism sector which is the largest contributor to national GDP and the largest creator of jobs in Belize. Belize’s coastal and marine resources however, are under significant treats of overexploitation and unsustainable use, degradation due to the stresses of development and pollution. These fragile resources now also face emerging threats of climate change. The proposed initiative supports a community approach to conservation and seascape management.

The goal of this project is to **engage local communities in conservation and shared governance of the Belize Barrier Reef Reserve System World Heritage Site**. This OAK foundation funds are expected to co-finance community level projects supported under the GEF SGP OP6 priorities with an aim of conservation and sustainable use of the resources by implementing a community landscape and seascape approach to conservation.

Priority actions to be considered in regranting processes include the:

- Consolidation and empowerment of a local CSO network contributing to sustainable growth and development;
- Enhanced sustainability of marine and coastal ecosystems which support national development, local livelihoods and provision of environmental services;
- Entrepreneurial and innovative actions expanding opportunities for sustainable livelihoods of vulnerable and marginalized coastal communities.

The expected result of the project is that local communities are engaged in efforts of conservation and governance of the Belize Barrier Reef Reserve System through their active participation in conservation and the benefits they receive under the project for improved livelihood opportunities.

Contributing Outcome (CPD): CPD Outcome No. 2. Inclusive and sustainable solutions adopted for the conservation, restoration, and use of ecosystems and natural resources. Indicative Output(s) with gender marker <sup>2</sup> : <u>Output 2.1</u> Local livelihood opportunities expanded through the sustainable use of common natural resources. GEN2	<b>Total resources required:</b>	<b>\$1,696,054.00</b>		
	<b>Total resources allocated:</b>	<b>UNDP TRAC:</b>	\$0.00	
		<b>Oak Foundation:</b>	\$500,000.00	
		<b>GEF SGP Co-Finance:</b>	\$1,196,054.00	
		<b>Government:</b>	\$0.00	
		<b>In-Kind:</b>		
<b>Unfunded:</b>	<b>\$0.00</b>			

Agreed by (signatures)<sup>1</sup>:

Government	UNDP	
Signature: _____  H. E Sharman Yvonne Hyde Chief Executive Officer Ministry of Economic Development and Petroleum	Signature: _____  Christian Salazar Volkmann Resident Representative UNDP Belize	
Date:	Date:	

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## I. DEVELOPMENT CHALLENGE

The interplay between economic growth and environmental quality is a complex one. There are immediate and growing pressures on Belize's terrestrial and marine resources as the country advances towards its development goals. These pressures present a tremendous development challenge and are exacerbated by climate change and climate variation. This project provides the opportunity to address anthropogenic pressures and as such contribute to the maintenance of marine system integrity and securing long term system contribution to economic development. The re-granting of OAK foundation funds provides opportunities to support the diversification of income generation, an action recommended by the National Economic Alternative and Fisheries Diversification (EAFD) Plan as a concrete method of minimizing stresses to Belize's supportive marine ecosystems and the Belize Barrier Reef World Heritage Site. Diversification is key as one considers resilience and the buffering of individual and community livelihoods vulnerable to the impacts resulting from the changing climate.

The economy of Belize depends highly on its natural resources which contributes to approximately 20% of the country's GDP, hence the importance of the national protected area system. Nevertheless, despite the adoption of a National Protected Areas System Policy and Plan in 2005, there is still the need for an enabling environment for the protected areas system. A comprehensive and simplified national protected area system needs to ensure that Protected Areas are simplified and integrated into broader land and seascapes to obtain a fully comprehensive national protected area network, functional and effectively managed meeting protected area policy aims of securing sustainable benefits. The lack of sustainable benefits contributes to Belize socio-economic situation which is plagued by high levels of poverty, unemployment and inequalities. Belize's real economic growth in recent years has not translated into a tangible reduction in the country's poverty levels. The 2009 Poverty assessment suggests that as much as 44% of the Belizean population is poor of which the most significant instances of poverty and indigence are reported within rural communities.

There are obviously strong causal relationships between the state of the environment and human wellbeing and so by extension, the vulnerability of Belize's population is directly based on the extent of their exposure to environmental challenges. The cycle of poverty, environmental degradation and vulnerabilities must be approached with an emphasis on the creation and maintenance of cross-thematic synergies, highlighting the poverty-reducing potential of sound natural resource management practices.

The proposed continued partnership between Oak Foundation and UNDP supports poverty alleviation and community resilience through economic empowerment and the promotion of improved and sustainable livelihoods. Projects which prioritize improved livelihoods fit within the GEF SGP Operational Phase 6 Strategic Initiatives which are complemented by the three COMPACT Thematic Areas: **“Expand Sustainable Livelihood Options”**; **“Promote the Protection, Conservation and Sustainable Use of Resources”**; **“Develop and Enhance, Management Capacities of Stakeholders that Impact the Belize Barrier Reef Reserve System World Heritage Site”**.

The timing of the proposed initiative is opportune as it allows for partnership building, networking, and discussions around complex threats within the context of a new national policy and strategy environment. In 2015, Belize approved its first comprehensive policy and strategy on climate change; and also passed in 2015 the country's first Growth and Sustainable Development Strategy, and updated policies in fisheries, protected areas and agriculture management. Initiatives within the proposed plans of works provide a unique opportunity to demonstrate tangible applications of community engagement within this new national planning framework.

The timing of the intervention is also advantageous as the project is set to be delivered during a period where national efforts to promote sustainable development are expected to increase. The programme provides the opportunity to demonstrate the transformational changes expected from the implementation of sustainable development programs. The portfolio will demonstrate as actions current national messages which make visible its support to nature, culture and life will be reflected within project interventions.

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## II. STRATEGY

The proposed initiative is expected to advance both OAK Foundation and UNDP organization's goals for Belize. Investments will forward national agendas for a strengthened civil society network as well as contribute to the empowerment of local communities to effectively participate in the realization of benefits within the country's national sustainable development framework. Completion of the project will see the realization of a donor partnership network facilitating donor coordination and the presentation of opportunities for joint or parallel programming resulting in increased effectiveness of organizational programming.

Building on the success of the first re-granting initiative, continuation of this partnership will contribute to the advancing of the following national priority interventions:

- Engagement of communities in the implementation of the new fisheries legislation;
- Replication, up-scaling and mainstreaming of the managed access initiative throughout the marine protected areas in Belize;
- Support the implementation of the plan of action for the de-listing of the Belize Barrier Reef Reserve System World Heritage Site;
- Contribute to the maintenance of healthy reef and marine ecosystems sustaining livelihoods
- Support towards the Growth and Sustainable Development Strategy (pillar on environmental sustainability)

This second re-granting initiative will also be executed through the Global Environment Facility Small Grants Programme (GEF SGP) Belize modality which is a proven structure for grant making and community development within UNDP.

Social inclusion is an important element of community empowerment. By empowering and engaging all members of communities, the SGP ensures that vulnerable and marginalized groups –women, indigenous peoples, youth and people with disabilities– also become active participants in environmental protection and poverty reduction.

Gender equality and women's empowerment is a critical element of SGP efforts. Women play a fundamental role in creating well-being in their communities and sustainably using natural resources. Thus, women are encouraged to participate and take leadership in community-based projects. Gender-based projects have enabled women to gain greater autonomy together with the collective responsibilities that come with acquiring expertise and leadership, which in turn effectively improves women's livelihoods. Gender equality and women's empowerment also provides women and men equal opportunities to participate, work together and benefit from SGP project results.

Indigenous peoples play a key role in SGP efforts. Recognizing the vital role and significant traditional and local knowledge of indigenous peoples regarding the conservation of biodiversity and the environment, SGP works closely with indigenous communities. SGP respects customary law and practice and supports securing rights to land and resources, as well as participation of indigenous groups in local and national environmental governance.

As current and future actors and stakeholders in environmental protection and sustainable development, youth have become a priority group for SGP. Environmental protection is an intergenerational effort as it requires the expertise of the elders, as well as the formation of the youth as future leaders. Thus, SGP sees great value in investing in youth, who have a unique capacity to shape a more sustainable future. Engaging youth in environmental protection not only creates direct impact on changing their behaviours and attitudes, but also influence their parents, families and communities.

The GEF SGP implementation arrangements in GEF Operational Phase 6 are aligned with the GEF 2020 Strategy and the UNDP Strategic Plan (2014-2018). This project also contributes to the achievement of priority #3 environmental and natural resource management, disaster risk reduction and climate change mainstreamed into public policies and development processes as outlined in the United Nations Development Assistance Framework (2013-2016). Notably, proposed lines for interventions are aligned closely with the sustainable development goals proposed for the Post 2015 period; particularly Goal 12: Ensure sustainable consumption

and production patterns and Goal 14: Conserve and sustainably use the Oceans, seas, and marine resources for sustainable development.

The UNDP/ GEF SGP has formed mutually beneficial long-standing relationships with international, national and community-level initiatives and partners, and will continue to seek synergies in OP6. The programme works with relevant stakeholders in its geographic and thematic areas to ensure coordination of donor funding on relevant initiatives.

Through UNDP the SGP is allowed greater positioning for alignment with national strategies and planning frameworks, as well as to effectively leverage the potential of the SGP to contribute to community perspectives and CSO (Civil Society Organization) engagement. In each of these national planning frameworks, SGP's community-based approach targets a critical constituency of small-scale localized actions which represent a critical contribution to the transformation of national policies and strategies to tangible community benefits and achievements.

The efforts of this re-granting partnership will complement the work of the government regulatory agencies such as the Fisheries Department, National Protected Areas Secretariat, Forest Department, Agriculture Department and Cooperatives Department in promoting and adhering to national development policies and priorities, and engaging communities in the sustainable use of our marine resources. It operationalizes recommendations realized from recent processes undertaken to modernize the national protected areas system.

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### III. RESULTS AND PARTNERSHIPS

#### *Expected Results*

The project will advance two key objectives based on the SGP OP6 strategic initiative of **Community Landscape and Seascape Conservation** to contribute towards the goal of engaging local communities in conversation and shared governance of the Belize Barrier Reef Reserve System World Heritage Site. The goal of this strategic initiative is to improve the conservation and sustainable use, and management of important terrestrial and coastal/marine ecosystems through the implementation of community oriented landscape/seascape approaches. SGP will identify important ecosystems and use a community-based landscape and seascape conservation approach for their protection and sustainable use. Using a multi-focal approach by involving communities in buffer zones and corridors, SGP will provide connectivity for complex landscape mosaics. Seascape approaches will support the implementation of inter-linked activities to systematically address water body environmental degradation.

Following are the project's objectives and the expected results of the identified objectives.

#### A. Objective 1

**To support the creation of national environmental benefits and safeguarding the Belize Barrier Reef Reserve System World Heritage Site by partnering with CSOs to implement community-driven projects through a Community Landscape and Seascape Approach.**

##### ➤ Expected Results

1. Community Organizations develop and implement adaptive landscape management strategies that address social, economic and environmental sustainability and build resilience.
2. Community interventions produce local sustainable development and global environmental benefits that underpin landscape/seascape management.

B. Objective 2

**To build the institutional capacity of CSOs by employing an on the ground approach providing routine mentoring and support by the GEF SGP Team and on-site Mentors aimed at strengthening partnerships in coastal communities.**

➤ Expected Results

1. The interventions will result in Civil Society Organizations with improved institutional capacity and skills in the following:
  - ⊗ Technical knowledge and managerial oversight
  - ⊗ Financial systems
  - ⊗ Project Management expertise
  - ⊗ Trained Human Resources
  - ⊗ Roll out of national programmes supporting the national protected areas system
  - ⊗ Infrastructure and equipment
  - ⊗ Management Systems and
  - ⊗ Participation in the GEF SGP/COMPACT Grantee Partners Network
  - ⊗ Donor Coordination Group convened by UNDP.

***Resources Required to Achieve the Expected Results***

To achieve the expected results will require resources to be made available over the 3-year project implementation period. Personnel and consultants will be required to provide guidance and expertise throughout the project; financial resources to cover travel and conferences will also be required to facilitate networking and knowledge transfers. The largest cost will be for funding for re-granting to the project beneficiaries. Table 1 below shows the budget for this project which is estimated at US\$1,696,054 with US\$500,000 being contributed from the Oak Foundation funds and the US\$1,196,054 from GEF SGP core funds and other sources over a three years' period.

**Table 1: Project Budget**

Description	Year 1		Year 2		Year 3		Total	
	Project	OAK	Project	OAK	Project	OAK	Project	OAK
Personnel and related costs	104,981	26,507	104,981	26,507	104,981	0	314,943	53,014
Consultants and Contractual Services	0	0	0	0	10,000	10,000	10,000	10,000
Travel and Conferences	6,168	3,500	6,168	3,500	6,169	3,000	18,505	10,000
Equipment and Capital Expenses	510	510	2,860	2,500	360	0	3730	3,010
Other Direct Costs (Re-granting)	314,050	150,750	314,050	150,750	184,050	85,750	812,150	387,250
Indirect Overhead GMS 8 - Subject to change	14,501	14,501	14,661	14,661	7,564	7,564	36,726	36,726
<b>Total</b>	<b>440,210</b>	<b>195,768</b>	<b>442,720</b>	<b>197,918</b>	<b>313,124</b>	<b>106,314</b>	<b>1,196,054</b>	<b>500,000</b>

### ***Partnerships***

While the Oak Foundation funds will be administrated by UNDP, it will be disbursed and managed through the GEF SGP modality. Therefore, GEF SGP is the first identified partner for this process. The UNDP/ GEF SGP has formed mutually beneficial long-standing relationships with international, national and community-level initiatives and partners, and will continue to seek synergies through the Oak re-granting project. The project will work with relevant stakeholders in its geographic and thematic areas to ensure coordination of donor funding on relevant initiatives.

The efforts of this re-granting partnership will complement the work of various partners including the government regulatory agencies such as the Fisheries Department, National Protected Areas Secretariat, Forest Department, Agriculture Department and Cooperatives Department in promoting and adhering to national development policies and priorities, and engaging communities in the sustainable use of our marine resources. In addition to these government entities, that for the most part will provide technical input and guidance on interventions, a key partner will be the Protected Areas Conservation Trust (PACT), a statutory body, which among its many responsibilities, provide donor support co-managers and stakeholder community groups of protected areas in Belize. Over the years, PACT has been a key GEF SGP co-financing partner for community interventions.

### ***Risks and Assumptions***

A detailed analysis of the project risks is provided in Table 2 in section X (Risk Management). In terms of assumption, there are two key assumptions; 1) local communities will want to be involved in landscape/seascape management activities and 2) while GEF SGP targets local and indigenous communities, it is assumed that they will benefit. Monitoring visits to the field will verify if these benefits are being equitably realized, and if not then corrective actions will be taken.

### ***Stakeholder Engagement***

The major stakeholders and target groups under this project are NGOs and CSOs working in Belize's marine environment and in poor communities that seek livelihood opportunities within the seascape environment.

Stakeholders will be engaged through the GEF SGP modality. The SGP goal of empowering and supporting grassroots initiatives and community level action, is achieved through the provision of financial and technical support directly to community based organizations for initiatives that conserve and restore the environment, while enhancing people's well-being and livelihoods. Priority stakeholders are therefore the grassroots communities which work to safeguard conservation areas and biological corridors, while simultaneously improving their livelihoods. Where communities may lack the capacity to implement actions on their own, this new approach does not preclude interventions on their behalf by other intermediary organizations.

Community level participants and other local stakeholders including government agencies will participate in setting project objectives and outputs through the consultative process in project planning and design. These consultations are an integral part of the SGP project cycle and where deemed necessary, Planning Grants are provided to facilitate community level consultations. During screening and selection of projects by the National Steering Committee (NSC), letters of support and endorsement of project objectives and outputs are required from the technical agencies of relevant government ministries.

The primary means of stakeholder participation in project monitoring will be through the Project Steering Committee. The Project Steering Committee is responsible for overseeing and guiding project implementation, with day-to-day project management being carried out by the UNDP Programme Analyst and with consultants hired as needed. Recognizing the landscape approach to grant-making, any individual or organization, including from the private sector will be invited to participate in the end of project evaluation to enhance knowledge exchange and to socialize any lessons learned or best practices that may be replicable or up-scaled beyond project site.

### ***South-South and Triangular Cooperation (SSC/TrC)***

The South-South Community Innovation Exchange Platform is used to promote knowledge exchange between SGP countries. Since all SGP grant-making and associated knowledge exchange happens at the national level,

the platform will encourage communities to mobilize and take advantage of development solutions and technical expertise available in the South. The establishment of knowledge exchange arrangements between communities and CSOs will be sought with the purpose of replication of good practices among countries and regions. This platform is expected to initiate knowledge exchange arrangements across country programmes on new community innovations between communities, CSOs and other partners.

The GEF SGP Office in Belize has, over the period of implementation of the its last Country Strategy, organized and supported several exchanges between several Belizean CBOs and NGOs with their counterparts within Belize and with others in Colombia, Guatemala, Honduras and Mexico. It is expected that this type of activity will continue in OP6.

### ***Knowledge***

An often overlooked and undervalued process in project management is the systematization of experiences. Systematization is the reconstruction and analytical reflection about an experience in which what has happened is interpreted to better understand it. This allows the acquiring of consistent and sustained knowledge, communicating this knowledge, comparing it with other existing theoretical knowledge, thereby contributing to the accumulation of knowledge generated by and for practice (Bernechea and Morgan, 2007). The knowledge, recommendations and lessons learned from a systematization exercise can be institutionalized for creating change and can be communicated with other stakeholders towards advocacy for change. As per agreement between UNDP and OAK, UNDP may include information on this grant in its own periodic public reports and other public information regarding the grant. UNDP/OAK will work together to ensure public messaging associated with the grant is jointly acceptable prior to release. Information about the project will also be made available online and via another media.

Furthermore, regular (annual) convening of SGP Grantees to share experiences, good practices and lessons learned will be encouraged and supported. These events and their results will be widely publicized at the national and international levels through existing national media and international networks of the GEF, SGP, UNDP and broader UN System. The SGP will provide support for in-country exchanges between and among different initiatives and SGP project activities. Similarly, international exchanges will expose grantees in Belize to other SGP/UNDP innovative and successful community based initiatives locally and regionally.

### ***Sustainability and Scaling Up***

This project will be supporting other GEF SGP projects and is assimilated into the SGP modality. Therefore, this lends itself to sustainability by the SGP continued support to identified stakeholders beyond this current initiative. The project will support capacity building and training as a mechanism for expanding project achievements within the SGP OAK portfolio. Another mechanism for enhancing project sustainability is incorporation of a business approach in the livelihood related projects where pre-feasibility studies and business plans will be used to ensure sustainability and allow beneficiaries to tap into loan financing for continuity after project closure.

Key factors for improved sustainability and impact include:

- i. Incorporating a marketable activity that can be monetized as a part of the project.
- ii. Building in an activity to generate initiatives that build on gains of SGP financed project.
- iii. Increase the visibility of success stories through effective use of social media (Facebook, Twitter).

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## **IV. PROJECT MANAGEMENT**

### ***Cost Efficiency and Effectiveness***

As the implementing Partner, UNDP, will be responsible and accountable for the implementation of the project. UNDP will utilise the SGP proven structure for grant making and community development.

Through the guiding SGP work of the multi-sectoral National Steering Committee (NSC) and local consultative bodies who provide technical guidance in project identification and selection. The



SGP work is aligned to the larger UNDP programming, ensuring operational linkages with national priority work packages. The SGP benefits from UNDP's reputation for impartiality, particularly as it convenes and facilitates multi-stakeholder. Therefore, this forum is the best in leveraging an existing system for Granting to CBO/NGOs. This will ensure that UNDP financial policies and procedures for transparency and accountability and is established through this shared platform.

The proposed initiative forms a part of an existing work program for the organization ensuring continuity of processes and the provision of a cadre of support capacities. Phase II is a continuation of the re-granting initiative between Oak Foundation and the UNDP Belize Country Office, building on those lessons learnt and on the successes of Phase I.

### ***Project Management***

UNDP, is the Direct Implementer, and will be responsible for the Project's workplan implementation inclusive of the project's financial transactions and procurement.

## V. RESULTS FRAMEWORK

### Intended Outcome as stated in the UNDAF/Country[or Global/Regional] Programme Results and Resource Framework:

Contributing Outcome (CPD): CPD Outcome No. 2. Sustainable and Resilient Belize - Inclusive and sustainable solutions adopted for the conservation, restoration, and use of ecosystems and natural resources.

SP Outcome 1: Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded

### Outcome indicators as stated in the Country [or Global/Regional] Programme Results and Resources Framework, including baseline and targets:

Indicator: # of new positive response actions demonstrating innovation and best practices by men and women in natural resource management

Baseline (2017): 0

Target (2018): 16

Data source: Ministry of Economic Development, Ministry of Rural Development, UNDP SGP programmes

Indicator: Percentage of women participating in UNDP supported sustainable livelihoods options.

Baseline (2017): 0

Target (2018): 30%

Data source: UNDP SGP Programmes

### Applicable Output(s) from the UNDP Strategic Plan:

Output 1.3. - Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste

**Project title and Atlas Project Number:** UNDP Re-granting Partnership Phase II: Towards Sustainable Management of Belize`s Seascape - 00094261

EXPECTED OUTPUTS	OUTPUT INDICATORS	DATA SOURCE	Baseline		TARGETS (by frequency of data collection)			DATA COLLECTION METHODS & RISKS
			Value	Year	Year 1	Year 2	Year 3	

Output 1: Strengthened institutional/ organizational capacities for networking and participation in the sustainable use and management of Belizean Natural resources	1.1 Number of CSOs and NGOs engaged in and supporting sustainable management of natural resources	<i>Project Field Reports; Programme Assurance/ Monitoring Reports, SGP Project Database</i>	0	2016	3	2	2	8	Project Evaluation; Beneficiary Survey
	1.2 Number of beneficiary organizations benefitting from SGP grant maker plus programme		0	2016	8	8	8	24	Portfolio Evaluation, Survey
Output 2a: Support provided through small grants to communities and non-governmental entities for the effective management of coastal and marine resources	2.1 Indicator: # of new positive response actions (projects) demonstrating innovation and best practices by men and women in natural resource management	<i>Project Field Reports; Programme Assurance/ Monitoring Reports, SGP Project Database</i>	0	2016	5	5	5	15	<i>Project Evaluation, Beneficiary Survey</i>
Output 2b: Improved productivity, the provision of sustainable livelihoods and essential environmental services.	3.1 # of jobs and livelihoods (disaggregated by sex) created and supported through the sustainable utilization of Belize's marine resources		0	2016	3	4	4	11	<i>Project Evaluation, Beneficiary Survey</i>

## VI. MONITORING AND EVALUATION

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

### *Monitoring Plan*

<b>Monitoring Activity</b>	<b>Purpose</b>	<b>Frequency</b>	<b>Expected Action</b>	<b>Partners (if joint)</b>	<b>Cost (if any)</b>
Project Board meetings	Project approval, quality assurance	Quarterly	Proposal review, strategic direction setting, field visits	NC, NSC, UNDP	3,000
Annual Country Programme Strategy Review	Learning; adaptive management	Annual Programme Review in July	NSC meeting to assess progress of programme strategy and reporting results to UNDP and CPMT	NC, NSC, CPMT, UNDP	Covered under country programme operating budget
Measurement of Means of Verification of project results.	Assess effectiveness of projects, portfolios, approaches; learning; and adaptive management	Quarterly	Quarterly monitoring visits/ portfolio review	UNDP Portfolio Manager	Covered by UNDP Budget - Salary
Measurement of Means of Verification for Project Progress on output and implementation	Assess effectiveness of project implementation	Bi-monthly	Monitoring visits to project, review of project financials	SGP/ UNDP grants officer	Covered by Programme operating budget
APR/PIR	Report to Donor	Annually	Present donor with project narrative and financials (OAK Template utilized)	UNDP	Covered by UNDP Budget
Periodic status/ progress reports	Highlight report to Donor	Quarterly	Update donor on project within portfolio (Oak Template Utilized)	UNDP	Covered by UNDP Budget
Annual Country Report (ACR)	Enable efficient reporting to NSC.	Annual Programme Review in July	Drafting of progress report based on project and programme status and submitting to report to NSC, UNDP, CPMT.	NC	Country Programme Operating Budget

Annual Monitoring Report (AMR) Survey (based on ACR)	Enable efficient reporting to CPMT and GEF; presentation of results to donor	Annual Programme Review in July	Drafting of report and submission to CPMT.	NC	Country Programme Operating Budget
Strategic Country Portfolio Review	Lessons learnt for adaptive management for development of Country Programme To assess achievement of OP6 targets and impact	External Mid-Term Evaluation of OP6 assigned by NSC External End of Programme Evaluation of OP6 after Dec 2018	Procurement of Consulting Firm to conduct evaluation.	NSC, CPMT	Country Programme Operating Budget

***Evaluation Plan***

<b>Evaluation Title</b>	<b>Related Strategic Plan Output</b>	<b>UNDAF/CPD Outcome</b>	<b>Planned Completion Date</b>	<b>Key Evaluation Stakeholders</b>	<b>Cost and Source of Funding</b>
End of Project Evaluation	Output 1.3	Contributing Outcome (CPD): CPD Outcome No. 2. Inclusive and sustainable solutions adopted for the conservation, restoration, and use of ecosystems and natural resources.	June, 2019	Stakeholder NGOs, CSOs, Governments, & Communities, NC and NSC.	US\$10,000.00 from Oak Foundation.

## VII. MULTI-YEAR WORK PLAN

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year			RESPONSIBLE PARTY	PLANNED BUDGET		
		Y1	Y2	Y3		Funding Source	Budget Description	Amount
Output 1: Strengthened institutional/organizational capacities for networking and participation in the sustainable use and management of Belizean Natural resources	1.1 Activity - Recruitment of a Grant Maker to support community capacity building and SGP Grant Maker + initiative	\$26,507	\$26,507	\$0.00	UNDP	Oak Foundation	61100	\$53,014
	1.2 Support to portfolio administration and Grant Maker + programme	\$4,010	\$6,000	\$0.00	UNDP	Oak Foundation	71600	\$13,010
	<b>Sub-Total for Output 1</b>							
Output 2a: Support provided through small grants to communities and non-governmental entities for the effective management of coastal and marine resources  Output 2b: Improved productivity, the provision of sustainable livelihoods and essential environmental services.	2.1 Engage CSO/ NGO groups in proposal design based on approved thematic criteria	\$150,750	\$150,750	\$85,750	SGP NC	Oak Foundation	72605	\$387,250
<b>Sub-Total for Output 2</b>								<b>\$387,250</b>
General Management Support	UNDP (8%)	\$14,501	\$14,661	\$7,564	UNDP	Oak Foundation		\$36,726
Evaluation (as relevant)	EVALUATION			\$10,000.00	UNDP	Oak Foundation	71300	\$10,000
<b>TOTAL</b>								<b>\$500,000</b>

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## VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

UNDP Belize Country Office is the grant recipient of the OAK re-granting project and has ultimate governance and fiduciary responsibility for the project. However, the project utilises the GEF SGP modality for grantee selection.

The SGP Belize operates in a decentralized and country-driven manner through a National Coordinator (NC) and National Steering Committee (NSC) with financial and administrative support provided by the UNDP Country Office (CO).

The project will be steered by the National Steering Committee of the SGP programme. This entity will serve as the project board. The NSC is composed of voluntary members from NGOs, academic and scientific institutions, other civil society organizations, the UNDP CO, and government (Convention Focal Points (UNFCCC, UNCBD, UNCCD), GEF Operational Focal Point), with most members coming from the non-governmental sector. The NSC provides overall guidance and direction to the Country Programme, and contributes to developing and implementing strategies for Country Programme sustainability. The NSC is also responsible for the review, selection and recommend approval of grants.

The Project Board/ NSC works at an administrative level to oversee the implementation of the project. The Project Board/ NSC will oversee re-granting efforts and will provide guidance and recommendation in the identification of beneficiary and the technical review of grant proposals. It is responsible for making by consensus, management decisions regarding adequacy of grant proposals.

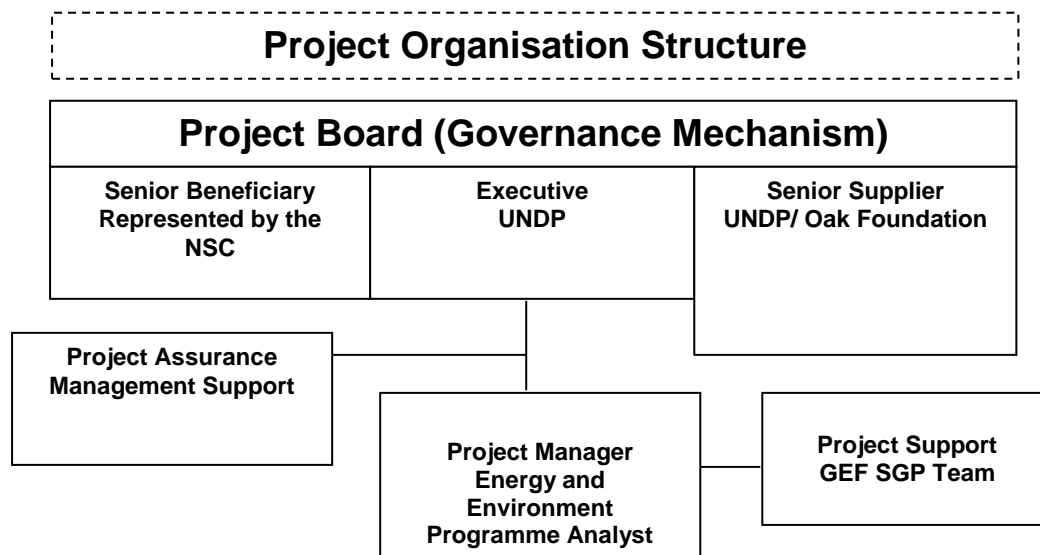
In order to ensure UNDP's ultimate accountability, Project Board decisions will be made in accordance with standards that shall ensure management for development results, fairness, integrity, transparency and effective national competition.

The UNDP Portfolio Manager will run the project on a day-to-day basis on behalf of UNDP. The Portfolio manager leads a team on quality assurance and supports the reporting to donors. The Manager function will end when the final project terminal report, and project operational and financial closure.

The project assurance roll will be provided by the UNDP Country Office specifically UNDP Belize Portfolio Manager. Additional quality assurance will be provided by members of the NSC.

Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information: To accord proper acknowledgement to the Oak Foundation for providing grant funding, the Oak Foundation logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the Oak Foundation will also accord proper acknowledgement to the Oak Foundation. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy .

The UNDP CO provides management support to the SGP Country Programme. The UNDP Resident Representative (RR) in each UNDP CO assigns a senior staff person (typically the Environment Focal Point or head of the Sustainable Development Cluster) to serve as the SGP focal point. The UNDP RR participates in the NSC or may designate the focal point as his/her delegate in the NSC. Each UNDP CO also contributes to monitoring programme activities – usually through broad oversight by the designated focal point as part of NSC responsibilities – facilitates interaction with the host government, and develops links with other in-country financial and technical resources. The UNDP CO is also responsible for providing operational support – the RR signature of grant project MOAs (on behalf of UNOPS); appointment letters of NSC members (on behalf of CPMT); local grant disbursements; HR administration; as well as assisting in audit exercises for the programme.




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## IX. LEGAL CONTEXT

### 1. Legal Context:

This document together with the CPAP signed by the Government and UNDP which is incorporated by reference constitute together a Project Document as referred to in the SBAA and all CPAP provisions apply to this document.

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.”

This project will be implemented by UNDP (“Implementing Partner”) – Direct Implementation

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## X. RISK MANAGEMENT

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the [project funds]<sup>2</sup> [UNDP funds received pursuant to the Project Document]<sup>3</sup> 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](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml). This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. 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>).
4. UNDP as the Implementing Partner will: (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

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<sup>2</sup> To be used where UNDP is the Implementing Partner

<sup>3</sup> To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner



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.

5. 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.
6. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient:
  - a. Consistent with the Article III of the SBAA, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP's property in such responsible party's, subcontractor's and sub-recipient's custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
    - i. 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;
    - ii. assume all risks and liabilities related to such responsible party's, subcontractor's and sub-recipient's security, and the full implementation of the security plan.
  - b. 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 responsible party's, subcontractor's and sub-recipient's obligations under this Project Document.
  - c. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It 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.
  - d. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient 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](http://www.undp.org).
  - e. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', 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 it to find a solution.
  - f. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

- g. UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient 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 this Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement.

Recovery of such amount by UNDP shall not diminish or curtail any responsible party's, subcontractor's or sub-recipient's obligations under this Project Document.

Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient 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 such responsible party, subcontractor or sub-recipient 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.

- h. Each contract issued by the responsible party, subcontractor or sub-recipient 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 it shall cooperate with any and all investigations and post-payment audits.
- i. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, 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.
- j. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled "Risk Management Standard Clauses" are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.

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## XI. ANNEXES

1. **Project Quality Assurance Report**
2. **Social and Environmental Screening Template** [\[English\]](#)[\[French\]](#)[\[Spanish\]](#), including additional Social and Environmental Assessments or Management Plans as relevant.  
*(NOTE: The SES Screening is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences, preparation of communication materials, strengthening capacities of partners to participate in international negotiations and conferences, partnership coordination and management of networks, or global/regional projects with no country level activities).*
3. **Risk Analysis.** Use the standard [Risk Log template](#). Please refer to the [Deliverable Description of the Risk Log](#) for instructions
4. **Capacity Assessment:** Results of capacity assessments of Implementing Partner (including HACT Micro Assessment)

# Annex 1: Project Quality Assurance Report

## Implementation and Monitoring Stage Quality Assurance Report

Overall Project Rating : **Satisfactory**

Decision : Continue as planned: The project is of sufficient quality to continue as planned. All management actions must be addressed in a timely manner.

Project Number : 00094261

Project Title : This project is designed to engage local communities in conservation and shared governance of Belize Barrier Reef Reserve System World Heritage Site.

Project Date : 01-Jan-2016

Strategic

Quality Rating: Satisfactory

**1. Is the project pro-actively taking advantage of new opportunities, adapting its theory of change to respond to changes in the development context, including changing national priorities? (select the option from 1-3 that best reflects this project)**

- 3: The project team completed and documented a horizon scanning exercise in the past year to identify new opportunities and changes in the development context that require adjustments in the theory of change. There is clear evidence that the project board has considered the implications, and documented changes to the project's theory of change, RRF, partnerships, etc. made in response, as appropriate. (both must be true to select this option)
- 2: *The project team has undertaken some horizon scanning in the past year to identify new opportunities and changes in the development context. The project board discussed the scanning and its implications for the project, as reflected in the board minutes. There is some evidence that the project took action as a result, but changes may not have been fully integrated in the project's theory of change, RRF, partnerships, etc.*
- 1: The project team may have considered new opportunities and changes in the development context since implementation began, but this has not been discussed in the project board. There is limited to no evidence that the project team has considered changes to the project as a result. This option would also be selected if no horizon scanning has been done to date during project implementation.

**Evidence**

The project is an expansion of UNDP small granting mechanism. Decision for expansion was based on review of the strategic planning document of the SGP and the need to expand opportunities and the role of grass root organizations and communities.

**List of Uploaded Documents**

File Name	Modified By	Modified
<a href="#">GEF_SGP_OP6_Country_Programme_Strategy_Final_-_Belize.pdf</a>	diane.wade@undp.org	2/24/2017 4:28:10 PM
<a href="#">ApplicationForm-1.UNDP.GEFSGP_Revised_Diane.pdf</a>	diane.wade@undp.org	2/24/2017 4:29:02 PM

**2. Is the project aligned with the thematic focus of the UNDP Strategic Plan? (select the option from 1-3 that best reflects the project)**

- 3: The project responds to one of the three areas of development [work](#) as specified in the Strategic Plan; it addresses at least one of the proposed new and emerging [areas](#); implementation is consistent with the issues-based analysis incorporated into the project design; and the project's RRF includes all the relevant SP output indicators. (all must be true to select this option)
- 2: *The project responds to one of the three areas of development [work](#) as specified in the Strategic Plan. The project's RRF includes at least one SP output indicator, if relevant. (both must be true to select this option)*
- 1: While the project may respond to one of the three areas of development [work](#) as specified in the Strategic Plan, it is based on a sectorial approach without addressing the complexity of the development issue. None of the relevant SP indicators are included in the RRF. This option is also selected if the project does not respond to any of the three SP areas of development work.

**Evidence**

**Management Response**

project responds to Strategic Outcome 1: Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded. More specifically out 1.1 (Indicator 1.1.1) and Output 1.3 (Indicators 1.3.1 & 1.3.2)

**3. Evidence generated through the project has been explicitly used to confirm or adjust the programme/CPD's theory of change.**

- Yes
- No

**Evidence**

Lessons learnt from the phase 1 project has been incorporated into the phase 2 design and implementation, increasing effectiveness and impact of investment.

**List of Uploaded Documents**

File Name	Modified By	Modified
<a href="#">Final_Report_TE_of_SGP_OAK_Regrant_Portfolio_October_2016.pdf</a>	diane.wade@undp.org	2/24/2017 4:30:53 PM

**Relevant**

**Quality Rating: Exemplary**

**4. Are the project's targeted groups being systematically engaged, with a priority focus on the excluded and marginalized, to ensure the project remains relevant for them? (select the option from 1-3 that best reflects the project)**

- 3: Systematic and structured feedback has been collected over the past year from a representative sample of beneficiaries, with a priority focus on the excluded and marginalized, as part of the project's monitoring system. Representatives from the targeted groups are active members of the project's governance mechanism (i.e., the project board or equivalent) and there is credible evidence that their feedback informs project decision making. (all must be true to select this option)
- 2: Targeted groups have been engaged in implementation and monitoring, with a priority focus on the excluded and marginalized. Beneficiary feedback, which may be anecdotal, has been collected over the past year to ensure the project is addressing local priorities. This information has been used to inform project decision making. (all must be true to select this option)
- 1: Some beneficiary feedback may have been collected over the past year, but this information has not been used to inform project decision making. This option is also selected if no beneficiary feedback has been collected.
- Not Applicable

**Evidence**

**Management Response**

Phase 1 initiative just underwent external evaluation. during this process beneficiaries were actively engaged in the review of the programme.

**5. Is the project generating knowledge – particularly lessons learned (i.e., what has worked and what has not) – and has this knowledge informed management decisions and changes/course corrections to ensure the continued relevance of the project towards its stated objectives, the quality of its outputs and the management of risk? (select the option from 1-3 that best reflects the project)**

- 3: Knowledge and lessons learned backed (gained, for example, from Peer Assists, After Action Reviews or Lessons Learned Workshops) by credible evidence from evaluation, corporate policies/strategies, analysis and monitoring have been discussed in project board meetings and reflected in the minutes. There is clear evidence that the project's theory of change has been adjusted, as needed, and changes were made to the project to ensure its continued relevance. (both must be true to select this option)

- 2: Knowledge and lessons learned backed by relatively limited evidence, drawn mainly from within the project, have been considered by the project team. There is some evidence that changes were made to the project as a result to ensure its continued relevance. (both must be true to select this option)
- 1: There is limited or no evidence that knowledge and lessons learned have been collected by the project team. There is little or no evidence that this has informed project decision making.

**Evidence**

**Management Response**

Project mechanism allows for feedback of lessons learnt and generation of key knowledge document. Lessons learnt workshops and knowledge fairs are hosted on an annual basis.

**6. Are the project's measures (through outputs, activities, indicators) to address gender inequalities and empower women relevant and producing the intended effect? If not, evidence-based adjustments and changes have been made. (select the option from 1-3 that best reflects the project)**

- 3: *The project team has systematically gathered data and evidence through project monitoring on the relevance of the measures to address gender inequalities and empowering women. Analysis of data and evidence were used to inform adjustments and changes, as appropriate. (both must be true to select this option)*
- 2: The project team has some data and evidence on the relevance of the measures to address gender inequalities and empowering women. There is evidence that at least some adjustments were made, as appropriate. (both must be true to select this option)
- 1: The project team has limited or no evidence on the relevance of measures to address gender inequalities and empowering women. No evidence of adjustments and/or changes being made. This option should also be selected if the project has no measures to address gender inequalities and empowering women relevant to the project results and activities.

**Evidence**

**Management Response**

Women, indigenous peoples and youths are targeted populations by the project. All efforts are made to mainstream the involvement of these marginalized groups in re-granting processes.

**7. Is the project sufficiently at scale, or is there potential to scale up in the future, to meaningfully contribute to development change? (select the option from 1-3 that best reflects the project)**

- 3: *There is credible evidence that the project is reaching a sufficient number of beneficiaries (either directly through significant coverage of target groups, or indirectly, through policy change) to meaningfully contribute to development change.*
- 2: While the project is currently not at scale, there are explicit plans in place to scale up the project in the future (e.g. by extending its coverage or using project results to advocate for policy change).
- 1: The project is not at scale, and there are no plans currently to scale up the project in the future.

**Evidence**

While project has recently started, funds have not been disbursed to date, however; once received the grants to be disbursed to grantees would provide evidence that the project is indeed reaching a sufficient number of beneficiaries.

**Social & Environmental Standards**

**Quality Rating: Satisfactory**

**8. Does the project seek to further the realization of human rights using a human rights based approach? (select from options 1-3 that best reflects this project)**

- 3: Credible evidence that the project furthers the realization of human rights, on the basis on applying a human rights based approach. Any potential adverse impacts on enjoyment of human rights are actively identified, managed and mitigated through the project's management of risks. (all must be true to select this option)

2 *Some evidence that the project furthers the realization of human rights. Potential adverse impacts on the enjoyment of human rights have been identified, and are adequately mitigated through the project's management of risks.*

1: No evidence that the project aims to further the realization of human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights are managed.

**Evidence**

**Management Response**

Project employs HRBA

**9. Are social and environmental impacts and risks (including those related to human rights, gender and environment) being successfully managed and monitored in accordance with project document and relevant action plans? (for projects that have no social or environmental risks the answer is "Yes")**

Yes

No

**Evidence**

Due to nature of project, social and environmental impacts and risks are defined in the proposal.

**10. Are unanticipated social and environmental issues or grievances that arise during implementation assessed and adequately managed, with relevant management plans updated? (for projects that have not experienced unanticipated social and environmental risks or grievances the answer is "Yes")**

Yes

No

**Evidence**

Project has just started and no social and environmental issues or grievances have arisen to date.

**Management & Monitoring**

**Quality Rating: Satisfactory**

**11. Is the project's M&E Plan being adequately implemented? (select the option from 1-3 that best reflects the project)**

3: The project has a comprehensive and costed M&E plan. Baselines, targets and milestones are fully populated. Progress data against indicators in the project's RRF is being reported regularly using credible data sources and collected according to the frequency stated in the Plan, including sex disaggregated data as relevant. Any evaluations conducted, if relevant, fully meet decentralized evaluation standards, including gender UNEG standards. Lessons learned, including during evaluations and/or After Action Reviews, are used to take corrective actions when necessary. (all must be true to select this option)

2: *The project has a costed M&E Plan, and most baselines and targets are populated. Progress data against indicators in the project's RRF is collected on a regular basis, although there may be some slippage in following the frequency stated in the Plan and data sources are not always reliable. Any evaluations conducted, if relevant, meet most decentralized evaluation standards. Lessons learned have been captured but may not have been used to take corrective actions yet. (all must be true to select this option)*

1: The project has an M&E Plan, but costs are not clearly planned and budgeted for, or are unrealistic. Progress data is not being regularly collected against the indicators in the project's RRF. Evaluations may not meet decentralized evaluation standards. Lessons learned are rarely captured and used. Select this option also if the project does not have an M&E plan.

**Evidence**

**Management Response**

**12. Is project's governance mechanism (i.e., the project board or equivalent) functioning as intended? (select the option from 1-3 that best reflects the project)**

- 3: *The project's governance mechanism is operating well, and is a model for other projects. It has met in the agreed frequency stated in the project document and the minutes of the meetings are on file. There is regular (at least annual) progress reporting to the project board or equivalent on results, risks and opportunities. It is clear that the project board explicitly reviews and uses evidence, including progress data, knowledge, lessons and evaluations, as the basis for informing management decisions (e.g., change in strategy, approach, work plan.) (all must be true to select this option)*
- 2: The project's governance mechanism has met in the agreed frequency and the minutes of the meeting are on file. A project progress report has been submitted to the project board or equivalent at least once in the past year, covering results, risks and opportunities. (both must be true to select this option)
- 1: The project's governance mechanism has not met in the frequency stated in the project document over the past year and/or the project board or equivalent is not functioning as a decision making body for the project as intended.

**Evidence**

**Management Response**

Project board in place and acts based on structure AOPs. OAK re-granting utilize mechanisms established to support the SGP GEF Small Grants Programme in country.

**13. Are risks to the project adequately monitored and managed? (select the option from 1-3 that best reflects the project)**

- 3: The project has actively monitored risks every quarter including consulting with key stakeholders at least once in the past year to identify continuing and emerging risks to project implementation and to assess if the main assumptions remain valid. There is clear evidence that relevant management plans and mitigating measures are being fully implemented to address each key project risk, and have been updated to reflect the latest risk assessment. (all must be true to select this option)
- 2: *The project has monitored risks every quarter, as evidenced by an updated risk log. Some updates have been made to management plans and mitigation measures.*
- 1: The risk log has not been updated every quarter as required. There may be some evidence that the project has monitored risks that may affect the project's achievement of results, but there is no explicit evidence that management actions have been taken to mitigate risks.

**Evidence**

**Management Response**

Risk log data from Atlas project management module.

**Efficient**

**Quality Rating: Needs Improvement**

**14. Adequate resources have been mobilized to achieve intended results. If not, management decisions were taken to adjust expected results in the project's results framework.**

- Yes
- No

**Evidence**

Project has secured 1.1 required co-financing

**15. Are project inputs procured and delivered on time to efficiently contribute to results? (select the option from 1-3 that best reflects the project)**



- 3 The project has an updated procurement plan. Implementation of the plan is on or ahead of schedule. The project quarterly reviews operational bottlenecks to procuring inputs in a timely manner and addresses them through appropriate management actions. (all must be true to select this option)
- 2: The project has an updated procurement plan. The project annually reviews operational bottlenecks to procuring inputs in a timely manner and addresses them through appropriate management actions. (all must be true to select this option)
- 1: *The project does not have an updated procurement plan. The project may or may not have reviewed operational bottlenecks to procuring inputs in a timely manner, however management actions have not been taken to address them.*

**Evidence**

Given the nature of the project, there is no updated procurement plan. regranting is undertaken through call for proposals.

**Management Response**

No Procurement plan is required for the project. The project does have in place a structured method for the identification of re-granting partners and the development of proposals facilitating the regranting process.

**16. Is there regular monitoring and recording of cost efficiencies taking into account the expected quality of results? (select the option from 1-3 that best reflects the project)**

- 3: There is evidence that the project regularly reviews costs against relevant comparators (e.g., other projects or country offices) or industry benchmarks to ensure the project maximizes results that can be delivered with given resources. The project actively coordinates with other relevant ongoing projects and initiatives (UNDP or other) to ensure complementarity and seek efficiencies wherever possible (e.g. joint activities.) (both must be true to select this option)
- 2: *The project monitors its own costs and gives anecdotal examples of cost efficiencies (e.g., spending less to get the same result,) but there is no systematic analysis of costs and no link to the expected quality of results delivered. The project coordinates activities with other projects to achieve cost efficiency gains.*
- 1: There is little or no evidence that the project monitors its own costs and is considering ways to save money beyond following standard procurement rules.

**Evidence**

Project is a re-granting mechanism and when compared with other schemes in the country such as the Protected Areas Conservation Trust (PACT), is more efficient and effective considering the target groups and resources provided to maximize results. Again project has not started so there

**Effective** **Quality Rating: Highly Satisfactory**

**17. Is the project on track to deliver its expected outputs?**

- Yes
- No

**Evidence**

Number of grants awarded to target groups.

**18. Have there been regular reviews of the work plan to ensure that the project is on track to achieve the desired results, and to inform course corrections if needed? (select the option from 1-3 that best reflects the project)**

- 3: *Quarterly progress data has informed regular reviews of the project work plan to ensure that the activities implemented are most likely to achieve the desired results. There is evidence that data and lessons learned (including from evaluations and/or After Action Reviews) have been used to inform course corrections, as needed. Any necessary budget revisions have been made. (both must be true to select this option)*

2 There has been at least one review of the work plan during the year to assess if project activities are on track to achieving the desired development results (i.e., outputs.) There may or may not be evidence that data or lessons learned has been used to inform the review(s). Any necessary budget revisions have been made.

1: While the project team may have reviewed the work plan at least once over the past year to ensure outputs are delivered on time, no link has been made to the delivery of desired development results. Select this option also if no review of the work plan by management has taken place over the past year.

#### Evidence

#### Management Response

GEF Small Grants Programme National Steering Committee meeting minutes.

### 19. Are targeted groups being systematically identified and engaged, prioritizing the marginalized and excluded, to ensure results are achieved as expected? (select the option from 1-3 that best reflects the project)

3: *The project is targeting specific groups and/or geographic areas, identified by using credible data sources on their capacity needs, deprivation and/or exclusion from development opportunities relevant to the project's area of work. There is clear evidence that the targeted groups are being reached as intended. The project has engaged regularly with targeted groups over the past year to assess whether they are benefiting as expected and adjustments were made if necessary to refine targeting. (all must be true to select this option)*

2: The project is targeting specific groups and/or geographic areas, based on some evidence of their capacity needs, deprivation and/or exclusion from development opportunities relevant to the project's area of work. Some evidence is provided to confirm that project beneficiaries are members of the targeted groups. There has been some engagement with beneficiaries in the past year to assess whether they are benefiting as expected. (all must be true to select this option)

1: The project does not report on specific targeted groups. There is no evidence to confirm that project beneficiaries are populations have capacity needs or are deprived and/or excluded from development opportunities relevant to the project area of work. There may have been some engagement with beneficiaries to assess whether they are benefiting as expected, but it has been limited or has not occurred in the past year.

Not Applicable

#### Evidence

This project is a continuation of a previous project that entailed the provision of grants to targeted groups and this new project sought to expand on this effort by ensuring that other groups are identified, engaged and reached and can benefit from the interventions.

### 20. Are at least 40 per cent of the personnel hired by the project, regardless of contract type, female?

Yes

No

#### Evidence

Proposal

## Sustainability & National Ownership

Quality Rating: Satisfactory

### 21. Are stakeholders and national partners fully engaged in the decision-making, implementation and monitoring of the project? (select the option from 1-3 that best reflects the project)

3: Only national systems (i.e., procurement, monitoring, evaluation, etc.) are used to fully implement and monitor the project. All relevant stakeholders and partners are fully and actively engaged in the process, playing a lead role in project decision-making, implementation and monitoring. (both must be true to select this option)

2: National systems (i.e., procurement, monitoring, evaluation, etc.) are used in combination with other support (such as country office support or project systems) to implement and monitor the project, as necessary. All relevant stakeholders and partners are fully and actively engaged in the process, playing an active role in project decision-making, implementation and monitoring. (both must be true to select this option)

1: There is relatively limited or no engagement with national stakeholders and partners in the decision-making, implementation and/or monitoring of the project.

Not Applicable

**Evidence**

**Management Response**

Proposal document. Project is implemented by UNDP and other relevant partners such as the OAK Foundation play an active role in implementation and monitoring.

**List of Uploaded Documents**

File Name	Modified By	Modified
<a href="#">ApplicationForm-1.UNDP.GEFSGP Revised Diane (002).doc</a>	omar.gale@undp.org	8/12/2016 8:03:59 PM

**22. There is regular monitoring of changes in capacities and performance of national institutions and systems relevant to the project. The implementation arrangements have been adjusted according to changes in partner capacities. (select the option from 1-3 that best reflects the project)**

3: In the past year, changes in capacities and performance of national institutions and systems have been comprehensively assessed/monitored using clear indicators, rigorous methods of data collection and credible data sources including HACT assurance activities. Implementation arrangements have been formally reviewed and adjusted, if needed, in agreement with partners according to changes in partner capacities. (both must be true to select this option)

2: In the past year, aspects of changes in capacities and performance of relevant national institutions and systems have been monitored by the project using indicators and reasonably credible data sources including HACT assurance activities. Some adjustment has been made to implementation arrangements if needed to reflect changes in partner capacities. (both must be true to select this option)

1: Some aspects of changes in capacities and performance of relevant national institutions and systems may have been monitored by the project, however changes to implementation arrangements have not been considered. Also select this option if changes in capacities and performance of relevant national institutions and systems have not been monitored by the project.

Not Applicable

**Evidence**

**Management Response**

Project recently launched and to date. Programme employs BERA issued CBO Capacity Assessment tool.

**23. The transition and phase-out arrangements are reviewed regularly and adjusted according to progress (including financial commitments and capacity). (select the option from 1-3 that best reflects the project)**

3: The project's governance mechanism has reviewed the project's sustainability plan in the past year, including arrangements for transition and phase-out, to ensure the project is on track in meeting the requirements set out by the plan. The plan has been adjusted according to progress as needed. (both must be true to select this option)

2: There has been a review of the project's sustainability plan, including arrangements for transition and phase-out, to ensure the project is on track in meeting the requirements set out by the plan.

1: The project may have a sustainability plan, but there has not been a review of this strategy since it was developed. Also select this option if the project does not have a sustainability strategy.

**Evidence**

**Management Response**

Project is a regranting mechanism. Sustainability reviews are employed as proposals are approved.

**QA Summary/Project Board Comments:**

Project is well designed and implemented overall.

## Annex 2. Social and Environmental Screening

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the [Social and Environmental Screening Procedure](#) and [Toolkit](#) for guidance on how to answer the 6 questions.

### Project Information

<b>Project Information</b>	
1. Project Title	UNDP Re-granting Partnership Phase II: Towards Sustainable Management of Belize's Seascape
2. Project Number	00094261
3. Location (Global/Region/Country)	Belize

### Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

#### QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?

##### **Briefly describe in the space below how the Project mainstreams the human-rights based approach**

Environmental degradation caused by human activities threatens species and ecosystems and often results in undesirable changes to human habitat. The re-granting scheme as is presented promotes economic opportunities and facilitates community empowerment with actions at the local level which support sustainable and socially just NRM practices. Implementation of the re-granting partnership reinforces the idea of sovereignty over natural resources rights, enforcing legal protections for community/ indigenous peoples having customary claims to lands and resources.

##### **Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment**

Socio-cultural diversity is a vitally important entry point with respect to NRM. Consideration of gender is an expression of socio-cultural diversity "cuts across" all thematic areas supported through small granting. Re-granting proposal development and implementation consider gender differences in relation to relative roles, rights, responsibilities, constraints, risks, and exclusion of men and women. SGP strategy strictly targets the participation women and marginalized peoples within supported interventions. Notable is support for the inclusion of women in NRM decision making, an area traditionally dominated by male participation. UNDP promotes the development of proposals which are environmentally sustainable as well as socially equitable outcomes.

##### **Briefly describe in the space below how the Project mainstreams environmental sustainability**

Environmentally sustainability is considered in project design as the Oak re-granting programme promotes the maintenance of a stable resource base, and provides for remedial measures in the avoidance of over-exploitation of Belize's natural resource base in its support of local livelihoods. Beneficiary communities are engaged directly in natural resource management, with project designs promoting environmental stewardship.

## Part B. Identifying and Managing Social and Environmental Risks

<b>QUESTION 2: What are the Potential Social and Environmental Risks?</b> <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i>	<b>QUESTION 3: What is the level of significance of the potential social and environmental risks?</b> <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i>			<b>QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?</b>
<b>Risk Description</b>	<b>Impact and Probability (1-5)</b>	<b>Significance (Low, Moderate, High)</b>	<b>Comments</b>	<b>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</b>
Risk 1: Capacity of groups to access and effectively implement grant funding.	I = 3 P = 3	Moderate	UNDP/ SGP works with a large number of fledgling organizations, most of which requires specialized support and oversight. In many cases the most marginalized of the right holders are the persons most unable to access the grant facilities.	All organizations accessing grant funding must undertake a capacity assessment (CBO Capacity Assessment Tool). This assessment allows UNDP and the SGP to determine the required level of oversight and monitoring required. Mechanisms such as the Grant Maker+ programme, facilitated by a UNDP grant maker provides tailored guidance and support to applicant entities.
<b>QUESTION 4: What is the overall Project risk categorization?</b>				
Select one (see <a href="#">SESP</a> for guidance)			<b>Comments</b>	
Low Risk			<input checked="" type="checkbox"/>	
Moderate Risk			<input type="checkbox"/>	
High Risk			<input type="checkbox"/>	
<b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</b>				
Check all that apply			<b>Comments</b>	
<b>Principle 1: Human Rights</b>			<input checked="" type="checkbox"/>	

	<b>Principle 2: Gender Equality and Women's Empowerment</b>	<input type="checkbox"/>	
	<b>1. Biodiversity Conservation and Natural Resource Management</b>	<input type="checkbox"/>	
	<b>2. Climate Change Mitigation and Adaptation</b>	<input type="checkbox"/>	
	<b>3. Community Health, Safety and Working Conditions</b>	<input type="checkbox"/>	
	<b>4. Cultural Heritage</b>	<input type="checkbox"/>	
	<b>5. Displacement and Resettlement</b>	<input type="checkbox"/>	
	<b>6. Indigenous Peoples</b>	<input type="checkbox"/>	
	<b>7. Pollution Prevention and Resource Efficiency</b>	<input type="checkbox"/>	

### Final Sign Off

<b>Signature</b>	<b>Date</b>	<b>Description</b>
QA Assessor  Diane Wade-Moore Programme Analyst UNDP Belize		UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have “checked” to ensure that the SESP is adequately conducted.
QA Approver  Karen Bernard Deputy Resident Representative UNDP Belize		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have “cleared” the SESP prior to submittal to the PAC.
PAC Chair  Karen Bernard Deputy Resident Representative UNDP Belize		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

## SESP Attachment 1. Social and Environmental Risk Screening Checklist

<b>Checklist Potential Social and Environmental Risks</b>		
<b>Principles 1: Human Rights</b>		<b>Answer (Yes/No)</b>
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? <sup>4</sup>	No
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	Yes
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	Yes
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
<b>Principle 2: Gender Equality and Women's Empowerment</b>		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
4.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?  <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	No
<b>Principle 3: Environmental Sustainability:</b> Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		

<sup>4</sup> Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.



<b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b>		
1.1	<p>Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?</p> <p><i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i></p>	No
1.2	<p>Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?</p>	Yes
1.3	<p>Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)</p>	No
1.4	<p>Would Project activities pose risks to endangered species?</p>	No
1.5	<p>Would the Project pose a risk of introducing invasive alien species?</p>	No
1.6	<p>Does the Project involve harvesting of natural forests, plantation development, or reforestation?</p>	No
1.7	<p>Does the Project involve the production and/or harvesting of fish populations or other aquatic species?</p>	No
1.8	<p>Does the Project involve significant extraction, diversion or containment of surface or ground water?</p> <p><i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i></p>	No
1.9	<p>Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)</p>	No
1.10	<p>Would the Project generate potential adverse transboundary or global environmental concerns?</p>	No
1.11	<p>Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area?</p> <p><i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i></p>	No
<b>Standard 2: Climate Change Mitigation and Adaptation</b>		
2.1	<p>Will the proposed Project result in significant<sup>5</sup> greenhouse gas emissions or may exacerbate climate change?</p>	No
2.2	<p>Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?</p>	No
2.3	<p>Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)?</p> <p><i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i></p>	No
<b>Standard 3: Community Health, Safety and Working Conditions</b>		

<sup>5</sup> In regards to CO<sub>2</sub>, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
<b>Standard 4: Cultural Heritage</b>		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
<b>Standard 5: Displacement and Resettlement</b>		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	Is there a risk that the Project would lead to forced evictions? <sup>6</sup>	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	Yes
<b>Standard 6: Indigenous Peoples</b>		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	No

<sup>6</sup> Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	Yes
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?  <i>If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i>	No
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
<b>Standard 7: Pollution Prevention and Resource Efficiency</b>		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs?  <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

### Annex 3: RISK LOG



<b>Project Title:</b> <u>UNDP Re-granting Partnership Phase II: Towards Sustainable Management of Belize's Seascape</u>	<b>Award ID:</b> 00094261	<b>Date:</b> 24/05/2017
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#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
1	Readiness of community beneficiary group	At time of project development	Strategic	<p>Inadequate capacities within community beneficiary groups can potentially compromise project quality and implementation timelines</p> <p>Enter probability on a scale from 1 (low) to 5 (high) P = 3</p> <p>Enter impact on a scale from 1 (low) to 5 (high) I = 5</p>	All potential beneficiary organization will be assessed utilizing UNDP CBO Capacity Assessment Tool. Assessment rating will determine extent of UNDP oversight as well as trigger in-office support mechanisms such as the SGP Grant Maker+ programme and active participation in established mentor programmes. Where it is felt that beneficiary project management capacity is inadequate, UNDP will exercise the SGP option of involving an intermediary group to assist in project implementation and financial management.	UNDP/ OAK Grant Officer	UNDP Programme Analyst	N/A	On-going
2	Timeliness of Fund Commitment	At time of project development	Operational	Success of project implementation is dependent on UNDP's ability to efficiently re-grant monies provided by the Oak Foundation. Untimely commitment of Oak Funds jeopardizes the activation/	To attract interest and facilitate re-granting, UNDP has initiated a process of "Call for Concepts" based on agreed thematic priorities. Support will be provided for	UNDP Programme Analyst	UNDP Programme Analyst	N/A	On-going

				<p>release of future tranches of funds.</p> <p>Enter probability on a scale from 1 (low) to 5 (high) P = 3</p> <p>Enter impact on a scale from 1 (low) to 5 (high) I = 5</p>	<p>community groups for the development/ elaboration of full proposal documents ensuring consistency with UNDP/ SGP requirements.</p>				
3	Disruption to project processes due to Natural Disaster	At time of project development	Environmental	<p>Belize's geographical location makes it vulnerable to hydro meteorological and tropical storm systems. A catastrophic event can cause disruptions both to daily operations within the UNDP offices as well as result in losses in project investments at the community level.</p> <p>Enter probability on a scale from 1 (low) to 5 (high) P = 3</p> <p>Enter impact on a scale from 1 (low) to 5 (high) I = 5</p>	<p>UNDP has set in place appropriate contingency / continuity plans which allows for office and implementation continuity in the event of an emergency or the country being impacted by a natural disaster. In order to mitigate losses at the sub-grant level, where-ever possible large investments will be initially insured through project funds and small infrastructure design or investment specifications will consider the risks associated with storms or hydro meteorological event.</p>	UNDP Programme Analyst	UNDP Programme Analyst	N/A	On-going