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United Nations Development Programme

Government of Belize

<b>Project title: Fourth National Communication and First Biennial Update Report to the UNFCCC</b>		
<b>Country: Belize</b>	<b>Implementing Partner: National Climate Change Office (Ministry of Agriculture, Fisheries, Forestry, the Environment and Sustainable Development)</b>	<b>Management Arrangements : National Implementation Modality (NIM) / Support to NIM</b>
<b>UNDAF/Country Programme Outcome: Policies and programmes for climate change adaptation, disaster risk reduction and universal access to clean and sustainable energy in place.</b>		
<b>Output 1.1: National and community planning and investments integrate climate-change adaptation and mitigation to provide co-benefits.</b>		
<b>Output 2.2: Legal and institutional reforms supported within key government ministries, to operationalize Belize's sustainable development framework (Growth and Sustainable Development Policy).</b>		
<b>UNDP Strategic Plan Output: 1.4 Scaled up action on climate change adaptation and mitigation across sectors which is funded and implemented.</b>		
<b>UNDP Social and Environmental Screening Category: Low</b>	<b>UNDP Gender Marker: 2</b>	
<b>Atlas Project ID/Award ID number: 00087297</b>	<b>Atlas Output ID/Project ID number: 00094379</b>	
<b>UNDP-GEF PIMS ID number: 5939</b>	<b>GEF ID number: 9677</b>	
<b>Planned start date: May 2017</b>	<b>Planned end date: April 2021</b>	
<b>LPAC date: February 13, 2017</b>		
<b>Brief project description:</b>		
The objective of this project is to enable Belize to prepare its Fourth National Communication (FNC) under decision 17/CP7 and the First Biennial Update Report (BUR) under decision 2/CP17 of the United Nations Framework Convention on Climate Change.		

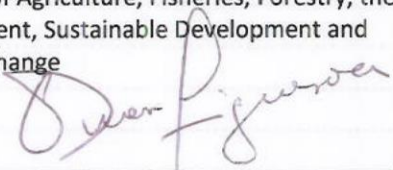

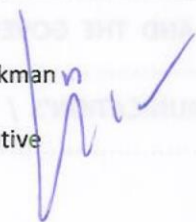
To facilitate Fourth communication/ BUR delivery, the project will employ a strategy which:

- Identifies relevant institutional structures and arrangements which provides a basis for cooperation and information exchange. This strategy is also key for continuity of processes and for the enabling of consistent BUR reporting.
- Establishes national foundations for quality control and activity validation, introducing additional elements of rigor into this and subsequent GHG inventories.
- Amends national mechanisms and processes to ensure the effective integration of gender perspective into key relevant process outputs.

*The Fourth National Communication and First Biennial Update Report information on national circumstances will be updated considering all new studies, projects and research conducted since this communication and BUR was prepared. It includes an update of the country's characterization in terms of geography, demography, natural resources, climate, education, social and cultural aspects, and macroeconomic parameters such as employment, income and services. It will also include characterization of specific sectors such as agriculture, forestry, water resources, fisheries, coastal and marine resources, energy, wastes, tourism, transportation, human settlements, and health. Special attention will be given to the new information and data on the sectors that contribute the most to greenhouse gas emissions.*

*The enabling activity supporting FNC/ BUR preparation is being extended to support an analysis of how the described national circumstances can affect Belize's capacity to address Climate Change mitigation and adaptation. The update of institutional arrangements and structures pertinent to preparation of the national communications and biennial update reports ensure national inventories with greater transparency, coherence, comparability, exhaustiveness and accuracy.*

FINANCING PLAN	
GEF Trust Fund or LDCF or SCCF or other vertical fund	USD 852,000
UNDP TRAC resources	USD 20,000
Cash co-financing to be administered by UNDP	USD 0
<b>(1) Total Budget administered by UNDP</b>	<b>USD 872,000</b>
PARALLEL CO-FINANCING (all other co-financing that is not cash co-financing administered by UNDP)	
UNDP	USD 65,000
Government	USD 80,500
SGP Community Based Adaptation	USD 50,000
<b>(2) Total co-financing</b>	<b>USD 215,500</b>
<b>(3) Grand-Total Project Financing (1)+(2)</b>	<b>USD 1,067,500</b>

SIGNATURES		
<p><b>Signature:</b></p> <p>Dr. Omar Figueroa</p> <p>Minister of Agriculture, Fisheries, Forestry, the Environment, Sustainable Development and Climate Change</p> 	<p><b>Agreed by Government</b></p>	<p><b>Date/Month/Year:</b></p> <p>2/6/17</p>
<p><b>Signature:</b></p> <p>Percival Cho</p> <p>Chief Executive Officer</p> <p>Ministry of Agriculture, Fisheries, Forestry, the Environment, Sustainable Development and Climate Change</p> 	<p><b>Agreed by Implementing Partner</b></p>	<p><b>Date/Month/Year:</b></p> <p>15/6/17</p>
<p><b>Signature:</b></p> <p>Christian Salazar Volkman</p> <p>Resident Representative</p> <p>UNDP Belize</p> 	<p><b>Agreed by UNDP</b></p>	<p><b>Date/Month/Year:</b></p> <p>29/5/17</p>



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<b>Signature:</b> Percival Cho Chief Executive Officer Ministry of Agriculture, Fisheries, Forestry, the Environment, Sustainable Development and Climate Change	<b>Agreed by Implementing Partner</b>	<b>Date/Month/Year:</b>
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## LIST OF ACRONYMS

<b>BEL</b>	Belize Electricity Limited
<b>BNCCC</b>	Belize National Climate Change Committee
<b>BUR</b>	Biennial Update Report
<b>BURCCP</b>	Building Urban Resilience to Climate Change in Belize
<b>BIM</b>	Belize Institutes of Management
<b>CARICOM</b>	Caribbean Community
<b>CCCCC</b>	Caribbean Community Climate Change Centre
<b>CCU</b>	Climate Change Unit
<b>CITO</b>	Central Information Technology Office
<b>CDM</b>	Clean Development Mechanism
<b>CRU</b>	Climate Research Unit
<b>DOE</b>	Department of the Environment
<b>ESU</b>	Environmental Statistics Unit
<b>FNC</b>	Fourth National Communication
<b>INC</b>	Initial National Communication
<b>GOB</b>	Government of Belize
<b>GEF</b>	Global Environmental Facility
<b>GHG</b>	Greenhouse Gas
<b>GHGI</b>	National Inventories of Greenhouse Gases
<b>GPG</b>	Good Practice(s) Guidance
<b>GSDS</b>	Growth and Sustainable Development Strategy
<b>GWP</b>	Global Warming Potential
<b>HRBA</b>	Human Rights Based Approach
<b>IPCC</b>	Inter-Government Panel on Climate Change
<b>INSMET</b>	Cuba's Institute of Meteorology
<b>INC</b>	Initial National Communication
<b>LULUCF</b>	Land use, land-use change and forestry
<b>MAC</b>	Mitigation Abatement Curves
<b>MRV</b>	Measurement, Reporting and Verification
<b>MAFFESDCC</b>	Ministry of Agriculture, Fisheries, Forestry, the Environment, Sustainable Development and Climate Change
<b>NAMAs</b>	Nationally Appropriate Mitigation Actions
<b>NAPs</b>	National Adaptation Plans
<b>NCs</b>	National Communications
<b>NCCC</b>	National Climate Change Committee
<b>NDC</b>	Nationally Determined Contribution
<b>NCCO</b>	National Climate Change Office
<b>NCCPSAP</b>	National Climate Change Policy, Strategy and Action Plan
<b>NGHGI</b>	National Greenhouse Gas Inventory



<b>NPAS</b>	National Protected Areas Secretariat
<b>NSC</b>	National Steering Committee
<b>PB</b>	Project Board
<b>PSC</b>	Project Steering Committee
<b>PEG</b>	Project Execution Group
<b>PMU</b>	Project Management Unit
<b>SBAA</b>	Standard Basic Assistance Agreement
<b>SESP</b>	Social and Environmental and Social Screening Template
<b>SNC</b>	Second National Communication
<b>SSTrC</b>	South-South and Triangular Cooperation
<b>TNC</b>	Third National Communication
<b>TOR</b>	Term(s) Of Reference
<b>UB</b>	University of Belize
<b>UPOPS</b>	Unintentional Persistent Organic Pollutants
<b>UNDP</b>	United Nations Development Programme
<b>UNFCCC</b>	United Nations Framework Convention on Climate Change
<b>V&amp;A</b>	Vulnerability and Adaptation

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## I. SITUATION ANALYSIS

Belize is situated within the tropics between 15 and 19 degrees north latitude and 87 and 90 degrees west longitude on the south-eastern corner of the Yucatan Peninsula. However, the climate of Belize is tropical to extra-tropical. This is because the large landmass of Mexico to the northwest facilitates the intrusion of cooler continental air from the north during the winter months which makes the climate of Belize more extra-tropical than would be expected from its location within the tropics. Observed climatic trends in Belize are considered alarming as over the past 40 years, data from the Philip Goldson International Airport shows that the temperature along the coast of Belize has risen by 1.6 degrees Fahrenheit while in the interior of the country the temperature has risen by 1.8 degrees. This suggests that the temperature in Belize is rising faster than the global average of 1.4 degrees Fahrenheit.

In 2012, outputs of the ECHAM<sup>1</sup> and HadCM3 GCM<sup>2</sup>s were used to drive the PRECIS<sup>3</sup> model at a resolution of 50 km. These scenarios indicated that the temperature along the coast of Belize will rise by about 1.5<sup>0</sup>F by the end of this decade, by about 3.6 degrees by 2050 and by 5.6 by the end of the century. Sea level is projected to rise steadily along the coast of Belize. In the low, medium and high emission scenarios, sea level rise is projected to exceed 10 cm by the 2030s.

Belize's development is shaped by four principal factors. First, it is the overarching condition of economic and demographic 'smallness'; a high level of public debt is the second factor that is influencing the shape of Belize's development, resulting in reduced public sector capital expenditure allocations and diverts investment from the critical area of poverty reduction, the third influencing factor that shapes Belize's development agenda; and fourthly it is the situation of Belize's principal economic drivers – agriculture, tourism and petroleum, where the emergent factor of climate change indicates a pressing need for urgent adaptation measures.

Belize became a Party to the UNFCCC in 1992, having the status of a non-Annex 1 country. Belize also joined the Kyoto Protocol in 2003, with the status of Annex B. Belize, like other developing countries in the region, needs to continue to utilize its natural resources in the quest for sustainable development. As a party state to the United Nations Framework Convention on Climate Change (UNFCCC), Belize submitted its Initial National Communication (INC) to the UNFCCC in 2002, its Second National Communication in the second quarter of 2012 and its Third National Communication in April 2016. By ratifying the UNFCCC, Belize committed itself to developing, adopting and implementing policies and measures to mitigate the adverse effects of Climate Change and adapt to these changes.

On the 22<sup>nd</sup> April 2016, Belize ratified the Paris Agreement on Climate Change. The Paris Agreement's central aim is to strengthen the global response to the threat of climate change by keeping a global temperature rise this century well below 2 degrees Celsius above pre-industrial levels and to pursue efforts to limit the temperature increase even further to 1.5 degrees Celsius. At the conventions ratification, the country of Belize submitted its Nationally Determined Contribution under the United Nations Framework Convention on Climate Change pursuant to decision 1 CP/21 of the Paris Agreement. Belize is committed to achieving the ultimate objective of the Paris Agreement and supports the even more ambitious target to limit the increase in global average temperature to 1.5°C, compared to pre-industrial levels. In light of these realities, Belize's Nationally Determined Contribution (NDC) is guided by its commitment to strategically transition to low carbon development while strengthening its resilience to the effects of Climate Change.

Since its ratification of the UNFCCC, Belize has made significant efforts to fulfil the objectives of the Convention, despite not being required to take on quantitative commitments for reducing GHG emissions as a Non-Annex 1 Party to the UNFCCC. Significant efforts have been taken in the creating of an environment which enables GHG emissions abatement and adapting to the negative impacts of Climate Change. The year 2011 saw the pasting of the

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<sup>1</sup> ECHAM is an atmospheric general circulation model, developed at the Max Planck Institute for Meteorology.

<sup>2</sup> Hadley Centre Coupled Model, version 3

<sup>3</sup> Providing Regional Climates for Impacts Studies

first piece of national legislation to directly address climate change, the Environmental Protection (Clean Development Mechanism) Regulations. In 2015, the Government of Belize adopted its first comprehensive National Climate Change Policy, Strategy and Action Plan and has sought, through several line ministries, to initiate policy-based activities, at the sector level, to address (adapt and mitigate) the impending impacts of Climate Change. Belize's climate change policy guides short, medium and long-term processes of adaptation and mitigation of Climate Change in accordance with national prospects for sustainable development in addition to regional and international commitments. The cross-cutting nature of Climate Change means that several sectors have a role to play in the management of policies being designed to address the problems identified. Table 5 illustrates some of the primary governmental ministries and departments whose roles are recognized within the national Climate Change policy.

Belize continues to have a host of environmental, planning and natural resource legislation policy-based activities, at the national and sector levels, which enables actions for adaptation and mitigation of the impending impacts of Climate Change.

Key policy initiatives and reports developed within the past decade include:

- Belize Third National Communication to the UNFCCC (2016)
- National Climate Change Policy, Strategy and action Plan to Address Climate Change in Belize (2015)
- National Agriculture Sector Adaptation Strategy and Action Plan to Address Climate Change in Belize (2015)
- Capacity Building for Low Carbon Development and the Development of a Roadmap for Belize (2015)
- Belize 5<sup>th</sup> National Report to the CBD (2015)
- Belize Growth and Sustainable Development Strategy 2016 - 2020
- Ministry of Energy, Science & Technology and Public Utilities (MESTPU) Strategic Plan 2012-2017
- National Protected Areas Systems Act (2015)
- Enhancing Belize's Resilience to Adapt to the Effects of Climate Change - Vulnerability and Adaptation Assessment (2014).
- Mainstreaming Climate Change into Belize's Development Process (2014)
- The National Climate Resilience Investment Plan (2013)
- Integrated Water Resource Management Policy (2013)
- Integrated Coastal Zone Management Plan (2013)
- Sustainable Energy Action Plan for Belize (2012)
- The National Adaptation Strategy to Address Climate Change in the Water Sector in Belize (2012)
- Belize: Aquatic Living Resource Bill, 2012
- National Sustainable Tourism Master Plan of Belize (2010)
- Government of Belize Policy on Adaptation to Global Climate Change (2007)

In defining a national architecture for the coordination, monitoring, decision making and management of climate change, the Government of Belize in 2007 legislated the formation of a multi-sectoral National Climate Change Committee (NCCC). The National Climate Change Committee is comprised of eleven members from various government Ministries, non-government organizations and members of the private sector. Its terms of reference inter alia, require it 'to ensure that climate change is included in national development plans and policies and is fully integrated within government's national budget.' The Government of Belize (GOB) took additional steps in 2008 to mainstream Climate Change into its national development processes and mechanisms with the establishment of a Ministry of Sustainable Development with cabinet mandated responsibilities for climate change Management. After the 2015 General Elections this Ministry evolved in its portfolio mandate to become the Ministry of Agriculture, Fisheries, Forestry, the Environment, Sustainable Development and Climate Change. This ministry now plays hosts to the National Climate Change Office.

The Belize National Climate Change Office (NCCO) has assumed the responsibility of preparing the GHG inventories and National Communications for Belize. In 2015, the NCCO successfully advocated for the adoption of a National Climate Change Policy, Strategy and Action Plan (NCCPSAP) for the country. The NCCPSAP aims to guide the short, medium and long-term processes of adaptation and mitigation of climate change and to ensure the mainstreaming and integration of climate change considerations at all levels of the development planning and operational processes of governance (NCCPSAP, 2015). The NCCPSAP also prescribed specific actions to be

executed by various Ministries and organizations to build capacity and to improve resilience so that Belize can meet the challenges of climate change. The 4NC/BUR Project is expected to reinforce and to build capacities within this Unit to effectively execute its responsibilities for national reporting under the convention.

Since its ratification of the convention, the country of Belize has successfully submitted three communications to the convention secretariat. Belize's first communication was submitted in 2002 and describes the profile of Belize for the reference year 1994; covering period 1992 to 1996. This communication determined that the high proportion of natural vegetation cover of the country gave the country the capacity to absorb more Carbon Dioxide than it emitted; therefore, Belize was still deemed to be a net emitter of greenhouse gases due to the quantity of methane emissions and the Global Warming Potential (GWP) attributed to that greenhouse gas.

The results of the first GHG inventory, summarized in Table 1 below, suggested that Belize was a net sink for greenhouse gases when the volumes were analyzed by *Sector* emissions.

Table 1: GHG Emissions by Sector in 1994

Sector emissions	Gigagrams (mass)	Percentage of total
Energy	617.528	21
Industrial processes	1.735	<0.1
Agriculture	58.807	2
Land-use change and forestry	2056.365	68
Waste	259.66	9

However, further analysis of the Emissions by *Gases* revealed that Belize did emit more greenhouse gases than its forests absorbed because of the quantities of methane produced, compounded by the Global Warming Potential of this gas. This is summarized in table 2 below.

Table 2: Emissions by Gases in 1994

Greenhouse Gases	Gg	% of Total	GWP factor	CO2 equivalent
Carbon dioxide	2589.668	86.493	1.0	2589.668
Methane	271.512	9.051	24.5	6652.044
Carbon monoxide	122.472	4.090	n/a	n/a
Nitrogen oxides	5.597	0.187	n/a	n/a
NMVOC	3.720	0.124	n/a	n/a
Nitrous oxide	0.596	0.020	320.0	190.72
Sulphur dioxide	0.500	0.017	n/a	n/a

The second greenhouse gases inventory for Belize was based on Reference years 1997 and 2000. The emissions for the 1994 reference year were also re-calculated allowing for a more accurate analysis of emission trends. The recalculated emissions resulted in lower than previously reported GHG emissions from the Waste sector. Land Use Land Use Change and Forestry continued to account for the largest emission figures across the selected reference years. Belize is not unique in that within the Central American region one of the major sources of greenhouse gas emissions is deforestation. The continued reduction in forest areas that are being logged and /or actively managed also diminishes our capacity to offset emissions.

Table 3: Summary of 1997 GHG Emissions by gas

Greenhouse Gases	Gg	% of Total	GWP Factor	CO <sub>2</sub> Equivalent
Carbon dioxide	7524.873	92.3	1.0	7524.873
Methane	23.995	0.3	24.5	586.898

Greenhouse Gases	Gg	% of Total	GWP Factor	CO <sub>2</sub> Equivalent
Carbon monoxide	199.232	2.4	...	...
Nitrogen oxide	8.567	0.1	...	...
Non-Methane Volatile Organic Compounds	3.988	0.1	...	...
Nitrous Oxide	0.314	0.0	320	100.384
Sulphur Dioxide	387.898	4.8	...	...
<b>Total</b>	<b>8,148.826</b>	<b>100.0</b>	<b>...</b>	<b>8,212.155</b>

Table 4: Summary of 2000 GHG Emissions by gas

Greenhouse Gases	Gg	% of Total	GWP Factor	CO <sub>2</sub> Equivalent
Carbon dioxide	12,349.582	93.3	1.0	12,349.582
Methane	43.110	0.1	24.5	1056.193
Carbon monoxide	363.599	1.0	...	...
Nitrogen oxide	13.672	0.0	...	...
Non-Methane Volatile Organic Compounds	4.515	0.0	...	...
Nitrous Oxide	0.872	0.0	320	279.034
Sulphur Dioxide	462.677	1.3	...	...
<b>Total</b>	<b>13,238.026</b>	<b>100.0</b>	<b>...</b>	<b>13,684.709</b>

In keeping with the principle of “common but differentiated responsibilities”, the Third National Communication (TNC) on Climate Change was developed according to Articles 4.1 and 12.1 of the United Nations Framework Convention on Climate Change (UNFCCC) and the Guidelines for National Communications of Non-Annex I Parties to the Convention (UNFCCC, 2003). The TNC expanded on the studies and assessments of Climate Change related issues presented in the INC and SNC. Key source assessments for reference years 2003, 2006 and 2009 were conducted and sought to capture new sources and sinks in addition to those described in the Initial and Second National Communications that might have arisen because of recent developments in the country. Actions taken under the TNC have allowed Belize to:

- Assess future indicators under new sectoral programmes facilitating reduction in emissions for all categories of GHG emission sources;
- Assess the potential for reducing GHG emissions from various sectors of the economy;
- Assess, based on additional studies, the vulnerability of ecosystems and climate dependent sectors of the economy and identify priority adaptation measures for mitigating the consequences of Climate Change impacts;
- Identify improvement needs for the national system of systematic observation and climate monitoring;
- Enhance knowledge and public awareness on Climate Change issues and promote expertise improvement for Climate Change specialists.

Notable findings of the TNC include a reduction of GHG’s in the energy sector brought on by a shift of Belize Electricity Limited’s (BEL) energy source. Over the nine-year observation period, BEL continued to purchase electricity from alternative sources which led to a reduction in power generated from fossil fuel. An increase in the total acreage under agriculture from 274,278 acres in 2000 (with 55% under crop production and 45% in pastures development) to 338,718 acres in 2009 (with 65% under crop production and 35% under pasture development) leads to an increase in emissions associated with this sector. Of particular importance was an increase in methane emissions attributed from rice production and agricultural residue burning. The sugar industry which is primarily responsible for residue burning took steps in 2014 to pilot mechanized harvesting. It is expected to have an impact on figures seen in future emissions detection exercises.

There was a relatively large increase in the emissions from the LULUCF sector despite increases in CO<sub>2</sub> removals. The emissions were mainly from forest and grassland conversions and emissions from soils. Indications are that the

rate of forest and grassland conversions declined across the study period, however, the rate of removal of carbon dioxide also faced declines due to reducing growing biomass.

Belize now moves to systematically integrate climate change in various phases of policy formulation, development plans, poverty reduction strategies, and other development tools used by all government agencies and departments. The country looks to the elaboration of a long-term vision for comprehensive and integrated climate to drive and stimulate climate-compatible development.

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## II. STRATEGY

The project is in line with GEF-6 strategic focal area on Climate Change mitigation, objective CCM3 on fostering enabling conditions to mainstream mitigation concerns into sustainable development strategies. Program 5 of this objective aims to facilitate the integration of the reporting and assessment results into the national planning process and to help countries mainstream mitigation action in support of the proposed 2015 agreement.

Keeping with its commitments as a Party to the UNFCCC, Belize has set about starting preparation of its Fourth National Communication, in accordance with Article 4, paragraph 1, concerning the commitments of the Parties to the Convention, and Article 12, paragraph 1, concerning transmission of information on the implementation of said Convention. Decision 1/CP.16, paragraph 60 coming out of the 2010 COP in Cancun introduced enhanced reporting requirements through the submission of Biennial Update Reports.

To this regard Belize will update its national inventory of anthropogenic emissions by sources and removals by sinks of all greenhouse gases not controlled by the Montreal Protocol representing information for base years 2012 and 2015, 2017 bringing the country up to date.

In order to ensure better preparation for BURs, Belize, with the support of this enabling activity, will move to establish structures that ensure a sustainable process. This means better organization at the national level and mechanisms which allow for a more efficient and transparent measurement, reporting and verification (MRV) process at the national level.

The FNC and BUR Project will allow Belize to:

- Develop efficient national inventory system to fulfill the commitments of the country,
- Develop national capacity to prepare BUR
- Enhance national capacity on vulnerability and adaptation
- Enhance capacity on mitigation analysis
- Contribute to the integration of climate change development into national development process

The **Immediate Objective** of the project is to assist Belize in the preparation and submission of its Fourth National Communication Document to the Conference of the Parties to the UNFCCC and to support the country's submission of its First Biennial Update for the fulfilment of its obligations to the Convention.

***To facilitate Fourth Communication delivery, the project will employ a strategy which:***

- Identifies relevant institutional structures and arrangements which provides a basis for cooperation and information exchange. This strategy is also key for continuity of processes and for the enabling of consistent BUR reporting.
- Establishes national foundations for quality control and activity validation, introducing additional elements of rigor into this and subsequent GHG inventories.
- Amends national mechanisms and processes to ensure the effective integration of gender perspective into key relevant process outputs.

***In order to enable BUR process and to facilitate efficiency in communication development the which the project will support the creation of:***

- Required institutional arrangements which enables coordination, dialogue, collaboration and information exchange and updates improving availability and access to relevant information for national reporting

- Enhanced technical capacity of a more extensive network of national experts (Supporting monitoring, analysis, data verification and information management)
- Mechanisms supporting the presentation and the systematic archiving of comprehensive and accurate GHG Inventories. GHIs will be supported by more effective and nationally appropriate methodologies for both the update of GHG inventories and the tracking and monitoring of mitigation and adaptation actions

**Component 1: Strengthening the national institutional framework for National Communication / Biennial Update Report preparation including the formalization of information collection systems and communication coordination.**

The process of preparing national communications for submission to the Conference of the Parties to the UNFCCC will assist in the institutional strengthening of Government of Belize line ministries and implementing departments involved with the monitoring, reporting and verification process. The FNC process will seek primarily to strengthen coordination mechanisms such as the National Climate Change Office and the creation of monitoring capacities through support by a proposed Environmental Statistics Unit within the Ministry of Agriculture, Fisheries, Forestry, the Environment, Sustainable Development and Climate Change. This Environmental Statistics Unit is integral for the coordination of data capture and improving the country's GHG inventory system.

Based on past experiences with the National Communications process, it is realized that the integration of the different sectors strengthens the submission; however, weak technical and institutional capacities can result in bottlenecks in the process. The proposed initiative will concentrate on the strengthening and the sustainability of national capacities for monitoring, analysis and reporting. Working across the different stakeholders and institutions expands the base of core professionals available to service future reporting needs. The National Climate Change Office plays a leading and coordinating role in directing the actions needed for implementation of the Convention and its formal communication to the international community.

The objective of the presented intervention is to support ongoing national efforts targeting the mainstreaming and integration of climate change consideration into national and sectoral development policies through the strengthening of the National Climate Change Office, in particular the office capacities for coordination, monitoring, analysis, reporting and verification. The actions proposed in this project builds on the foundation created and allows for continuity to the institutional and technical capacity strengthening process, initiated and sustained by previous National Communications processes and where possible supports the establishment of national baselines for advancing the country's NDCs.

The Belize National Climate Change Committee (BNCCC) will be the framework for consultation and validation of the results of the Fourth National Communication and the First Biennial Update Report. This institutional framework provides a platform which ensures the maintenance of synergies of FNC-BUR programming and national Climate Change planning and programming portfolios allowing for through a multi-sectoral/ multi stakeholder involvement.

***Output 1.1: Activities Supporting Capacity Development, Coordination and Data Management:***

The National Climate Change Office (NCCO) is the agency responsible for coordinating the preparation of the country's national greenhouse gas inventories. In enabling the NCCO to implement its mandate as is legislated, key support actions must be considered. Both the National Communications and the BUR processes are dependent on a robust data collection and management system. Effectiveness in reporting is generally characterized not only by the existence of reliable measurement data, but also by whether it is reported in a transparent and standardized manner. To meet these requirements, the NCCO will co-opt the support of the Environmental Statistics Unit (ESU) of the Department of Environment to assist with the management of information, and for the convening of an Inter-Institutional Environmental System, instituted by supported legislation and is to include the main public institutions related to the sectors and economic activities included in the NGHGI.



In considering the functionality of the ESU, an asymmetry will need to be established between information exchange platforms and database of the various government institutions in order for each database to eventually be integrated into a single platform – a spatial data infrastructure. The platform will be designed with the cooperation of government institutions, among which are those in the proposed Inter-Institutional Environmental System.

It is important to mention that this platform will eventually strengthen data and information management for the national greenhouse gas inventories. Its development and reinforcement is therefore needed, so that an inter-institutional database can be structured that manages data and information to feed into the preparation of these country inventories, and can be linked to the inter-institutional platform spatial data infrastructure. In addition, technological skills need to be developed to enable the institutional exchange of information while also optimizing the relevant information analysis time in order to develop the national inventories in less time

As the country moves away from the practice of the hiring of consulting services for reporting, coordinated work management and the capacity-building for relevant state and non-state institutions are required. With the support of project resources, the NCCO will establish a post of GHI Coordinator. The NCCO will utilize the expertise of this formal post as an agent for the building of key core national capacities required to support a platform for reporting. The office of the National Coordinator will be supported by a limited number of consulting services.

More specifically, the FNC and BUR Project will:

1. Describe the relevant institutional arrangements for the continuous preparation of national communications and biennial update reports. (Process identifies constraints and gaps, and related financial, technical and capacity requirements in the establishing of sustainable financial arrangements)
2. Support the constitution of a body for inter-ministerial coordination inclusive of Operating protocols establishing formal working arrangements required for NC /BUR reporting Develop efficient national inventory system to fulfill the commitments of the country.
3. Engaged nongovernmental / non-state organizations and private sector groups contributing to awareness raising and information gathering processes.
4. Develop efficient national inventory system supported by robust national data collection protocols developed and institutionalized and the creation of an archiving system within the Environmental Management Unit of the Department of Environment ensuring long term data retention and institutional memory.
5. Enhance technical and institutional capacities of national Measuring Reporting and Verification (MRV) systems enabling effective monitoring of GHG emission trends.
6. Enhance required technical capacities amongst functionaries associated with the modelling, analyzing and projecting GHG emissions

In addition to gender disaggregated data collection for the National Circumstances chapter, the FNC and BUR project will support the building of national capacities and the support of structures which allows the adequate consideration of data on women and marginalized groups as a part of national MRV.

## **Component 2: Support to FNC/ BUR elaboration**

### ***Output 2.1: Activities for execution of the National Circumstances and Institutional Arrangements:***

The Fourth National Communication and First Biennial Update Report information on national circumstances will be updated taking into account all new studies, projects and research conducted since this communication and BUR was prepared.

This outcome includes:

1. Update of the country's characterization in terms of geography, demography, natural resources, climate, education, social and cultural aspects, and macroeconomic parameters such as employment, income and services.
2. Characterization of specific sectors such as agriculture, forestry, water resources, fisheries, coastal and marine resources, energy, wastes, tourism, transportation, human settlements, and health.
3. Update of the information on the institutional arrangements pertinent to preparation of the national communications and biennial update reports and the planning and management of climate change.
4. Elaboration of national circumstances focussing on the effect country's ability to respond to Climate Change mitigation and adaptation challenges and opportunities. Special attention will be given to the new information and data on the sectors that contribute the most to greenhouse gas emissions.

The country's national development objectives, priorities and circumstances will also be described, including specific concerns and needs deriving from the adverse effects of Climate Change. A description of the level of support received for enabling preparation of this Fourth National Communication and First Biennial Update Report will also be produced for this component of the project.

### ***Output 2.2: Activities for the development of National Greenhouse Gas Inventories:***

Belize for its First National Communication in 2002 prepared and presented its greenhouse gas inventory of emissions by sources and removals by sinks for 1994. After this, the country prepared its second national greenhouse gas inventory for 1997 and 2000 which also included a recalculation of base year 1994; this second greenhouse gas inventory was included in the country's Second National Communication submitted in 2012. In the Third National Communication published in April 2016, the country greenhouse gas inventory reports on reference years 2003, 2006 and 2009. For the Fourth National Communication and First Biennial Update Report, Belize will be bringing its greenhouse gas inventory up to date as it will be reporting on reference years 2012, 2015, 2017, 2019 covering a series of data from 2011 to 2019. The country will prepare and present its first BUR in December 2018 and the FNC in 2020.

In order to ensure national inventories with greater transparency, coherence, comparability, exhaustiveness and accuracy, the inventories were prepared using the method described in the Intergovernmental Panel on Climate Change (IPCC) Guidelines for National Greenhouse Gas Inventories, 1996 revised version; the IPCC Good Practice Guidance and Uncertainty Management in National Greenhouse Gas Inventories; and Good Practice Guidance for Land-use, Land-use Change and Forestry, published in 2003 (this last was only used during the second and third inventory).

The past three National Inventories included an estimate of net emissions for the following direct greenhouse gases: carbon dioxide (CO<sub>2</sub>), methane (CH<sub>4</sub>), and nitrous oxide (N<sub>2</sub>O). Also included were estimates of emissions of the following indirect greenhouse gases: Nitrogen oxides (NO<sub>x</sub>), sulfur dioxide (SO<sub>2</sub>), carbon monoxide (CO) and non-methane volatile organic compounds (NMVOCs).

The national activity sectors considered in these inventories, following the IPCC Guidelines for National Greenhouse Gas Inventories, include: i) energy, ii) industrial processes and product use, iii) agriculture (including livestock), iv) land-use, land-use change and forestry, and v) wastes. Inventory data will be compiled for years 2012, 2015, and 2017 (Initial BUR), according to the Revised 2006 IPCC Guidelines. The FNC report will also include data representing year 2019.

1. Analysis of GHG emitting sectors. Assessments will be coupled with cost benefit analysis measures which allows for the identification and prioritization of the sectors and areas with the greatest potential for

developing these mitigation management instruments, and to identify the legal and institutional barriers for the development of these initiatives.

2. With the aid of bilateral assistance, identify the financial, technological and capacity needs for the implementation of mitigation actions which may outline steps, procedures and arrangements for performing mitigation assessments that can be used for the FNC-BUR and future National Communication.
3. The compilation and analysis of data on the activities and group of actions (policies, strategies and projects) that have been, are being, and will be developed in the country and that have contributed, are contributing and will contribute to mitigation, regardless of their nature, objective and design, including initiatives related to international carbon market mechanisms.

### ***Component 3: Adaptation Impacts and Actions (Including the Vulnerability and Adaptation Assessment):***

Previous Communications have assessed GoB's commitment to adaptation as well as assist the government of Belize assessing vulnerabilities of growth sectors to facilitate adaptation planning. Belize' has utilized the Vulnerability and Adaptation (V&A) component of its communications to support more detailed assessments within priority development sectors, namely, water, agriculture, tourism, human health and fisheries with emphasis on coastal development. Under the TNC, new assessments were analysed with increasing accuracy using scenarios, such as those of ECHAM5 and HadCM311 with assistance from Cuba's Institute of Meteorology (INSMET) via the Caribbean Community Climate Change Centre (CCCCC) and the Climate Research Unit (CRU)/Universities of East Anglia and Oxford, UK. Assessments have predicted an increase in air temperature ranging from 2 °C to 4 °C by 2100 for Belize; and similarly, a general decrease in annual rainfall of about 10 % by 2100. These changes in temperature and rainfall and sea levels will have significant impacts on Belize, especially the coastal zone, and the major socio-economic sectors of Belize, namely water resources, agriculture, tourism, fisheries and human health; and have prompted national actions for planning for adaptation within these sectors. As the Government of Belize considers adaptation to climate change as a high priority. ***Belize's NDC document submitted in September 2016 states, as a main purpose on the Fourth National Communication process the addressing of gaps as a means of delivering updated information on climate trends and projected impacts.***

The proposed FNC will further provide a comprehensive vision of the impacts of Climate Change and projected Climate Change impacts in the Coastal Belize City and the Greater Belize area. It will identify gaps and potential opportunities that will enable the Government to formulate plans and strategies for adaptation in identified study area. Assessments are expected to cover the information on climate and vulnerability in the Coastal Belize City and the Greater Belize area to determine viable adaptation measures that will serve as basis to effect development of new policies, and changes for inclusion into existent policies, plans, programmes and strategies (environmental management systems, technology transfer project, technical and institutional capacity building projects/training, etc.).

#### ***Output 3.1: Impact/ Vulnerability Assessments.***

The Specific objectives to be realized through project interventions are directly in support of priority actions for Coastal and Marine Adaptation as is stated within the country's NDC document (NDC Stated Actions: Inclusion of adaptation strategies in management and development planning in all coastal and marine sectors; and Review and strengthen planning legislation and building codes, especially as it relates to coastal development). Belize's NDC submission goes on to state that, "Capacity building efforts around adaptation planning is a priority".

Outputs from this component will include: to ensemble and downscale climate models for the Greater Belize area; technical reports with socio-economic baseline and updated scenarios; specific studies on Climate Change vulnerability and impact scenarios developed for the study area; availability of technical report including proposals of potential adaptation actions in the study sector; availability of policy options (including possible regulatory measures) and identification of the necessary adaptation technologies to be adopted.

This will aim to engender a high level of support to incorporate Climate Change issues in this sector and strategies through stakeholder consultative meetings (Government, private sector, and other relevant stakeholders) to inform and exchange information regarding the impact of Climate Change.

The procedures and arrangements established for performing a vulnerability and adaptation assessment will be formulated and embedded in the proposed FNC procedures and standard. Gaps and constraints encountered, along with appropriate recommendations, will be documented in the V&A and FNC documents, taking into consideration the establishment of viable institutional relationships and procedures for Belize to ensure continuous communication with the UNFCCC.

The project will more specifically:

1. Assemble and downscale climate models/ scenarios modeling (2030/ 2050 /2070/ 2090) for principal growth/ productive sectors identified (Agriculture, fisheries, tourism, water, etc.)
2. Analysis of climate change adaptation programs and projects (risk management programs,
3. environmental management
4. Update Portfolio of Adaptation measures of Agriculture, tourism and water Sectors vulnerable to climate change.
5. Build in-house technical and Institutional capacities required for climate change vulnerability forecasting.

***Output 3.2: Pilot adaptation measures in urban resilience and land use planning with introduced social/ gender perspective***

Assessments envisioned in output 3.1 are expected to provide information of the vulnerability status of Coastal Belize City and Greater Belize in relation to the projected impacts of global warming and climate change and will determine interventions which should be applied to address the various impacts. Extended assessments under the FNC will consider socioeconomic and biophysical aspects of vulnerability including the following:

- i. Vulnerability of human population, cultural assets, natural habitats/ecosystems and processes with the aid of a Social Impacts Assessment which can lead to greater poverty-reduction initiatives and promotes gender equality
- ii. Evaluation of adaptation efforts/initiatives and activities,
- iii. Recommendations for improving the financial, technical and human resource capacity to implement and sustain adaptation practices in the study area including recommended technologies for adaptation within the study area; recommendations and pilots moving towards urban infrastructure for flood prevention; recommendations for improved land use planning;

Main activities supporting output delivery includes:

1. Carry out sector diagnostic studies that will inform on current risk and coping measures (risk management programs);
2. Determine future risk and impacts;
3. Review existing policies, programmes and projects to determine how they will be affected by climate variability and Climate Change and whether they have climate change adaptive capacity;
4. Identify adaptation measures for Coastal Belize City and Greater Belize, and
5. Design and develop an implementation plan for adaptation measures minimizing vulnerabilities and supporting adaptive capacities for coastal Belize City and Greater Belize.

In its assessment of the Greater Belize area, a review of the effectiveness of the completed, on-going and pipeline initiatives on coastal strengthening including urban resilience and land use planning adaptation pilots along with any physical mitigation projects constructed. Findings from the study will identify highly vulnerable areas where development should be avoided and serve as a basis for recommending proactive adaptive measures to mitigate the impacts of sea level rise and other climate related impacts. Within the FNC project, relevant information on Climate Change induced impacts will be drawn from the above studies. Measures as outlined in the studies will be analysed

on the adaptability to Climate Change impacts. Uncertainties and gaps within the studies will be identified with respect to Climate Change, and recommendations to address these issues will be made to the greatest extent possible.

In support of a pilot: ‘Building Urban Resilience to Climate Change in Belize’ (BURCCP), the project will work to create and support a community of urban climate change resilience practitioners in Belize to enable them to contribute to the reduction of the vulnerability of urban populations and systems to the impacts of climate change. This pilot responds to the great risks of climate change to coastal and urban areas where populations and economic activities are concentrated, and where essential infrastructure and utilities are located. The pilot will build capacities for city planners to better understand, assess and take action on climate change at the local level, and will support the municipality with the development of an “Urban Resilience to Climate Change Strategy and Action Plan”.

The overall outcomes will be mainstreamed for inclusion as part of the country’s national development priorities. Proposals for concrete interventions will be developed and financing sought for implementation of these options.

#### ***Component 4: Mitigation Impacts and Actions***

Belize has made significant efforts to fulfil the objectives of the Convention, despite not being required to take on quantitative commitments for reducing GHG emissions as a Non- Annex 1 Party to the UNFCCC. These efforts have been seen in the form of appropriating and creating new policies, designing projects and programmes geared towards GHG emissions abatement and adapting to the negative impacts of Climate Change to bolster a low carbon development, climate resilient pathway.

In 2015, guided by actions taken under the TNC, the Government of Belize adopted its first national Climate Change policy, strategy and action. Since the publication of its First National Report to the UNFCCC the Government of Belize (GOB) has sought, through several line ministries, to initiate policy-based activities, at the sector level, to address (adapt and mitigate) the impending impacts of Climate Change. Perhaps one of the greatest result of TNC intervention was the elaboration of a Low Carbon Development Road Map for the country of Belize. This Road map has been aligned to the country’s new Growth and Sustainable Development Strategy and looks at the possible creation of a platform for low carbon growth in support of attaining the national development targets. The roadmap builds on the results of the analysis based on the domestic context, on best available international practices and the results from key stakeholders’ consultations.

Belize mitigation potential is framed on an action-based approach, covering multiple sectors, (e.g. forestry, electricity, waste and transport) that is conditional on the availability of cost effective technology, capacity building and adequate financial support. The country continues policies and projects that, by their very nature, will contribute to the reduction of emissions, and in some cases even global emissions that will facilitate the country’s transition to a low carbon green economy. This new period of planning prioritizes the building of technical capacities, the strengthening institutions and policies, the facilitation of public-private partnerships and engaging stakeholders to adopt sustainable practices, and the design of technical tools such as Baseline Scenarios, and Mitigation Abatement Curves (MAC), along with developing and operating policy instruments tailor-made for the identified priority sectors, while implementing current sustainable plans.

The foregoing poses the need to identify local emission factors for key economic sectors (Agriculture, Industry, energy and Transport) including low-cost options for reducing the economy’s carbon emissions and to design efficacious interventions including expansion of renewable energy, among other measures, and promotion of energy efficiency especially for the energy, forestry, agriculture, tourism and waste sectors through the elaboration of LEDS. These sectors as presented have been prioritized for intervention within the country’s NDC processes.

***Output 4.1: Support for mitigation potential studies in the main economic and GHG-emitting sectors in Belize to serve as input a national emission reduction strategy to accompany Belize Growth and Sustainable Development Strategy***

The project will assist the country by improving analysis and enhancing capacities on mitigation options and actions. In addition to this, the country will seek bilateral assistance in order to provide information and train the different sectors with potential for developing and implementing Nationally Appropriate Mitigation Actions (NAMAs) and its appropriate MRV. While there has been recent increased emphasis on MRV, national capacities to sustain required MRV works are minimal. The country aims to link MRV processes with national processes now being designed to measure advances against its sustainable development agenda and the SDG's. This will include the identification of key critical requirements for NAMA process and finalization, including cost analysis, barriers for implementation, assessment of technology options for the different mitigation options in various sectors, institutional capacity-building needs to sustain mitigation work, and the related legal and institutional frameworks.

Activities support output delivery include:

1. Determine local emission factors for key economic activities (Electricity Production, Industry, Agriculture, Transportation)
2. Build national capacities for improved analysis and national capacity on mitigation options (National capacities will support the (a) Analysis of GHG - emitting sectors; (b) cost-benefit analysis of mitigation measures; (c) assessment of best GHG mitigation options for prioritized national action)
3. Assist national functionaries in the identification of financial, technological and capacity needs for mitigation actions
4. Support the elaboration of LEDS for Energy, Forestry, Agriculture, Tourism and Waste Sectors

**Stakeholder engagement:** The project's key stakeholders consist of various institutions and organizations with different roles and responsibilities. The interested parties that participate directly in execution of the project are mainly from the public sector. The Ministry of Agriculture, Fisheries, Forestry, the Environment and Sustainable Development, through its National Climate Change Office, will act as the project's coordinator and executing partner.

Relevant ministries such as the Ministry of Agriculture, Fisheries, Forestry, the Environment and Sustainable Development play a key role in the preparation of the national greenhouse gas inventories, since they are responsible for the respective sectoral emission estimates from its Agriculture Department, Forest Department, Department of the Environment and the National Climate Change Office (guidance and coordination). Other bodies, such as the Ministry of Natural Resources and Immigration through its Lands and Surveys Department and its Solid Waste Management Authority; the Energy Unit (within the Office of the Prime Minister), Transport Department, play a key role as providers of information for the greenhouse gas inventories.

In addition, relevant organizations and ministries such as the Ministry of Finance and Economic Development, Ministry of Works and Transport, the Ministry of Health, the Ministry of Energy, Ministry of Natural Resources and Immigration, Ministry of Local Government, the various municipalities, and the executing Ministry along with its relevant Departments play a key role as strategic partners in the development of adaptation and mitigation measures including scenarios, particularly each sector's specific plan that includes Climate Change considerations, and in the development and updating of reference scenarios and identification of NAMAs and NAPs, including their preparation and inclusion in the national registry and their submission to the UNFCCC registry.

The Ministry of Energy in collaboration with the Mitigation Subcommittee will participate in capacity-building activities for the identification, preparation and execution of greenhouse gas emission mitigation actions in key economic sectors. The relevant organizations and ministries will participate in capacity-building and strengthening of activities for the identification, preparation and execution of greenhouse gas emission mitigation actions in key economic sectors.

Other bodies, such as the University of Belize (UB), the Ministry of Education particularly the unit responsible for Science and Technology, and the Ministry of Public Service, among others, will also participate in the training

activities, taking into account their role of fostering science, technology, innovation initiatives and capacity strengthening and development of the Public Sector. Civil society and the private sector will participate primarily through the Belize National Climate Change Committee, its Subcommittees and other Climate Change related Technical Advisory Committees, which will serve as a consulting body for the National Climate Change Office in national and inter-sectoral decision-making and will issue recommendations to the Government of Belize and the project executing entity. Likewise, national institutions and civil society organizations will also participate in the capacity-building activities. Represented on the different consultative committees (according to their area of action) are the private sector, academia and representatives from non-governmental organizations, agricultural producers, local governments, professional trade unions and the indigenous regions.

**Mainstreaming gender:** The Project as is presented promotes the application of the Gender Responsive National Communications Toolkit in communication development processes. This toolkit was designed as a means of strengthening the capacity of national government staff and assist them in integrating gender equality into the development of National Communications (NCs). The toolkit presents rationales for gender-responsive NCs and approaches for integrating gender into NC reports. It also provides context and information on a range of issues; good practice examples; and lessons learned. Issues examined include:

- How climate change impacts men and women in sectors such as energy, agriculture and waste management, as well as their different vulnerabilities to climate risks and the ways in which they seek to adapt to climate change.
- How women and men are differentially engaged in supporting or reducing greenhouse gases and how including gender analysis into greenhouse gas inventory reporting can contribute to reducing emissions.
- How men and women are innovating and adopting both new and old technologies to mitigate climate change.

Consideration of gender and community issues will be considered throughout the project implementation, as women and men, as well as vulnerable communities can exhibit distinct differences in their perspectives and priorities concerning environmental quality and impact as well as access to energy services and Climate Change (CC) adaptation including participation in Climate Change mitigation.

The use of gender analysis as sectors are investigated will work to enrich the broader social analysis components of NCs/BURs and will provide necessary information for the incorporation of gender and vulnerable community perspectives, during policy formulation (in CC mitigation and adaptation).

Perhaps the most effective tool to be utilized by the project in ensuring the consideration of gender and vulnerability aspects in communication process is the project's utilization of a fully participatory approach and the project's provision of a platform for dialogue and investigation which ensures representation by men, women and youths and other communities whose vulnerabilities may have been exacerbated by ethnicity, geographic area and economic status.

The completed Fourth National Communication and BUR will be submitted to the Conference of the Parties of the United Nations Framework Convention on Climate Change according to the requirements and formats established by the UNFCCC Secretariat, the documents will be disseminated in national and international workshops, and distribution of copies to stakeholders.

**South-South and Triangular Cooperation (SSTrC):** UNDP has a strong role to play as knowledge broker, capacity development supporter and partnership facilitator when developing countries work together to find solutions to common development challenges. South-South and Triangular Cooperation (SSTrC) is a necessity to ensure an inclusive global partnership towards sustainable development. The project will support and encourage SSTrC to ensure knowledge exchanges, technology transfers, peer support, and neighborhood initiatives, as well as countries forming common development agendas and seeking collective solutions.

The project will explore possibilities for South-South cooperation within the framework of the sectoral and intergovernmental networks in which Belize participates, both related to adaptation and mitigation, and to the elaboration of National Inventories of Greenhouse Gases (GHGI).

Under the guidance and exchanges facilitated via the Global Support Program for National Communication and Biennial Update Reports, Belize will participate on the South-south learning and capacity building via webinars, regional workshops and networks on NC and BUR specific topics.

**Cost efficiency and effectiveness:** The project is designed to be implemented in parallel and in complementarity with the UNDP- supported Japan Caribbean Climate Change Project as well as other project within the national portfolio including the UNEP supported TNA, as such a joint management structure coordinated by the National Climate Change Office will be utilized for projects coordination and implementation. The rationale of streamlining the management arrangement of the various projects is as follows:

- National Climate Change projects are currently coordinated by the NCCO within the Government of Belize and all respond to a singular board which is comprised of a sub group of participants within the National Climate Change Committee.
- The National Climate Change Committee is legally mandated to provide oversight over national climate change investment and in the monitoring of the national portfolio/ programmes.
- The outcomes of the two UNDP projects are closely linked especially with regards to support for NAPs and NAMAs and the development of core national capacities
- The implementation timeframe and steps are in tandem

With the above rationale, the FNC BUR will utilize existing management mechanisms including a shared PMU, and a joint project board to ensure the synergy, coherence, and consolidated impacts. All projects will be reported to the National Climate Change Committee (NCCC) as the policy channel.

This project is expected to contribute significantly to the enhanced institutional capacity of the Government of Belize, providing direct support to the formalizing of structures as well as the strengthening of unit capacities to facilitate future reporting requirements of the country.

**Sustainability and Replicability:** The project will continue further on the work done under the three National Communications and will involve key national institutions/partners/ stakeholders/experts responsible for specific sections/topics, in order to maintain continuity of the process. In addition, one of the main project objectives is to raise capacity of national stakeholders in order to meet future reporting requirements under the UNFCCC. Following standard practice, the Fourth NAC and BUR will be adopted by the Government of Belize and subsequently sent to the UNFCCC Secretariat by the national UNFCCC focal point.



### III. PROJECT RESULTS FRAMEWORK:

<b>This project will contribute to the following Sustainable Development Goal (s): <i>SDG 11 &amp; 13</i></b>					
<b>This project will contribute to the following country outcome included in the MSDF/Country Programme Document:</b> A Sustainable and Resilient Caribbean UN MSDF Outcome 7: Policies and programmes for climate change adaptation, disaster risk reduction and universal access to clean and sustainable energy in place					
<b>This project will be linked to the following output of the UNDP Strategic Plan:</b> Output 1.4: Scaled up action on climate change adaptation and mitigation cross sectors which is funded and implemented.					
	<b>Objective and Outcome Indicators</b>	<b>Baseline</b>	<b>End of Project Target</b>	<b>Source of Verification</b>	<b>Assumptions</b>
<b>Project Objective: To assist the country of Belize in meeting reporting requirements under Article 12 of the Convention through the strengthening of technical and institutional capacities supporting climate change monitoring and reporting activities.</b>	<u>Mandatory Indicator 1:</u> Number of countries with comprehensive measures – plans, strategies, policies, programmes and budgets – implemented to achieve to achieve low- emission and climate resilient development objectives	Belize has currently started works to align development strategies with climate change. To date works at alignment are seen most in the water and agriculture sector.	Capacities and knowledge products developed by this enabling action will inform the alignment of other key development strategies and plans in order to address the countries climate reality. Urban and coastal resilience will be a focus as well as the strengthening of policies, strategies and plans guiding the economic development sectors.	Approved National strategic documents (Policy, plans and strategies)	The Government will actively work to incorporate new information/ knowledge generated by the project into the outcomes of ongoing planning processes.
	<u>Mandatory indicator 2 (MSDF):</u> Representation of strategies that address globally agreed climate change priorities in relevant planning documents and processes.	At present two (2) primary sector policies that explicitly reflect agreed globally agreed climate change priorities.	It is expected that information generated will inform amendments to national development strategies and plans primarily in the areas of coastal management, tourism sector, water management and sustainable cities.	Approved National strategic documents (Policy, plans and strategies)	Cite assumptions made between achieving projects outcomes and reaching the project objective.
	<u>Project Indicator 1:</u> BUR and FNC documents submitted to UNFCCC secretariat	Belize has completed three previous national communications but have not yet started its process of BUR	Belize’s BUR and FNC endorsed and submitted to UNFCCC: December 2018 (BUR); April 2020 (FNC)	UNFCCC documentation/ Cabinet Paper  UNFCCC website: <a href="http://unfccc.int/national_reports/non-annex_i_natcom/submitted_natcom/items/653.php">http://unfccc.int/national_reports/non-annex_i_natcom/submitted_natcom/items/653.php</a>	National Capacity deficits will not delay FNC/ BUR processes.

Project Component/ Outcome	Project Specific Indicators	Baseline	Project Outputs	Targets End of Project	Risks and Assumptions
<p><b>Component 1</b></p> <p>Strengthening the national institutional framework for National Communication / Biennial Update Report preparation including the formalization of information collection systems and communication coordination.</p> <p><i>Outcome 1.1: Coordination mechanism and institutional arrangements developed;</i></p> <p><i>Outcome 1.2: Strengthened capacity of public institutions for observation systems, data capture, analysis, reporting and verification.</i></p>	<p><u>Project Indicator 2:</u> Institutional Coordination for integration (Extent and quality of coordination of GHI process across relevant institutions)-adopted TAMD Scorecard indicator</p> <p>Baseline: Partial (3) Target: Yes (10)</p> <p><u>GEF Indicator:</u> Human and institutional capacity of recipient countries strengthen - # of institutions supported through FNC/ BUR Target: 5</p>	<p>A basic structure exists within the Government of Belize in support of the national communications/ reporting processes. Because of the absence of formal SOPs, the work undertaken by functionaries is often seen as an additionality and not as being integrated into the ongoing work programmes of the government. This results in significant operational and reporting gaps. The absence of a coordination mechanism means that monitoring and reporting works are sporadic in nature and mostly active relative to convention reporting, having very little benefit to informing national processes and policies.</p>	<p>1.1.1 Description of relevant institutional arrangements for the continuous preparation of national communications and biennial update reports. (Process identifies constraints and gaps, and related financial, technical and capacity requirements in the establishing of sustainable financial arrangements)</p>	<p>a) Coordination mechanism in place within the NCCO b) Environmental Statistical Unit is supported by an Inter-Institutional Environmental System for data collection analysis and verification c) National inventory database and achieving system is established National inventory process is institutionalized</p>	<p>a) Coordination mechanism accepted and enabled by Ministerial/ Department leadership b) The ESU, whose establishment is currently funded through multiple initiatives, is fully functional by project's end. c) National authorities will continue to show support to national CC capacities through the formalization of instruments and mechanisms within national architecture.</p>
	<p><u>Project Indicator 3:</u> Existence of functional data capture system Baseline: No Target: Yes</p>		<p>1.1.2 Description of body for inter-ministerial coordination inclusive of operating protocols establishing formal working arrangements required for NC /BUR reporting.</p>		
			<p>1.1.3 Engaged nongovernmental organization and private sector groups contributing to awareness raising and information gathering processes.</p>		
			<p>1.2.1 National data collection protocols developed and institutionalized with national framework</p>		
			<p>1.2.2 Strengthened technical and institutional capacities of national MRV systems enabling effective monitoring of GHG emission trends.</p>		
		<p>1.2.3 Archiving system ensuring institutional memory.</p>			
<p><b>Component 2</b></p> <p>Updated GHG inventory and Improvement of GHG inventory system</p> <p><i>Outcome 2.1: National greenhouse gas inventory updated to 2018 (Base years 2009, 2012, 2015, 2018)</i></p>	<p><u>Project Indicator 4:</u> Updated National GHG inventory Baseline: Inventory exists for up to base year 2009 Target: Inventory for years 2009, 2012,2015, 2018</p> <p><u>Project Indicator 5:</u> Number of women in</p>	<p>Belize GHG data updated and reported in TNC for period up to 2009. During TNC process, Key source assessments for reference years 2003, 2006 and 2009 were conducted and sought to capture new sources and sinks in addition to those described in the Initial and Second National Communications that might have arisen because of recent</p>	<p>2.1.1 Description of institutional mechanisms (procedures and arrangements established for preparing the national GHG inventory) within the main institutions and sectors (agriculture, LULUCF, energy, industrial processes and wastes).</p> <p>2.1.2 Strengthened required technical capacities for modelling, analyzing and projecting GHG</p>	<p>a) National GHG Inventory process institutionalized. SOP's approved and utilized in GHG Inventory preparation process b) GHG database/ registry system is developed and updated with past and current information. c) Fourth National GHG</p>	<p>a) Core capacities on which the GHG relies will be made available to the project b) Political support for nationalization / internalization of reporting process.</p>

Project Component/ Outcome	Project Indicators	Specific	Baseline	Project Outputs	Targets End of Project	Risks and Assumptions
	technical positions engaged in GHI processes		developments in the country. A very preliminary database was established to capture generated data.	emissions 2.1.3 Availability of sufficient database with IT tools for data updating and retrieving, as the basis for GHG inventory system; 2.1.4 Data compiled for years 2012, 2015 and 2017 (Initial BUR), according to the Revised IPCC Guidelines for GPG (FNC report will also include data 2019) 2.1.5 Elaborated Fourth National GHG Inventory Report for inclusion in the Fourth National Communication Report and BUR.	Inventory Report d) FNC Report chapter on measures taken to mitigate GHG emissions	
<b>Component 3</b> Adaptation Impacts and Actions  <i>Outcome 3.1: Impact/ Vulnerability Assessments.</i>  <i>Outcome 3.2: Implementation and review of adaptation pilot as part of the national development priorities in line with the sustainable development principles outlines in Belize's Growth and Sustainable Development Strategy.</i>	<u>Project Indicator 6:</u> # of updated sector vulnerability assessments based on new downscaled climate scenarios Target: 4  <u>Project Indicator 7:</u> # of new national plans, strategies and policies with mainstreamed vulnerability and adaptation considerations Baseline: 0 Target: 4		Vulnerability Assessments were undertaken for four main sectors under the TNC processes. These assessments concentrated on the physical vulnerability of the sector based on changing climatic conditions. The FNC is expected to repeat these assessment, taking into consideration more precise models as well as corresponding social-economic exposure of sectors.	3.1.1 Assemble and downscale climate models/ scenarios modeling (2030/ 2050/ 2070/ 2090) for principal growth/ productive sectors identified (Agriculture, fisheries, tourism, water, etc.) 3.1.2 Updated Portfolio of Adaptation measures of key sector vulnerable to climate change. 3.1.3 Improved technical and institutional capacities for climate change vulnerability studies 3.2.1 Analysis of climate change adaptation programs and projects (risk management programs, environmental management 3.2.2 Pilot adaptation measures in urban resilience and land use planning with introduced gender perspective	a) Available national climate scenarios downscaled from regional climate scenarios that developed from at least one global GCM model b) Vulnerability/ Impact assessments of at least 4 key sectors which includes socio-economic exposure of sector c) National V&A network is enhanced through the strengthening of Adaptation capacities to climate vulnerability d) Built capacities supporting the mainstreaming climate change vulnerability and adaptation to national sustainable development planning e) V&A chapter for the FNC containing specific qualitative or quantitative information related to women's engagement and participation in climate change adaptation	a) Existing capacities for CC monitoring, assessment and planning within relevant productive sector b) Ability of CO to effectively access South South support (targeting Cuba)

Project Component/ Outcome	Project Indicators	Specific	Baseline	Project Outputs	Targets End of Project	Risks and Assumptions
					initiatives is completed f) Case Study documenting pilot	
<b>Component 4</b> Mitigation Impacts and Actions <i>Outcome 4.1: Support for mitigation potential studies in the main economic and GHG-emitting sectors in Belize to serve as input a national emission reduction strategy to accompany Belize Growth and Sustainable Development Strategy</i>	Project Indicator 8: # of strategies and mitigation actions benefitting from newly established capacities Target: 5	Belize has identified key mitigation actions within its NDC document and has started its process of identifying NAMAs in support of its mitigation obligations. Actions however are cursory and have not benefitted from the application of cost benefit or feasibility analysis. The FNC process is expected to contribute to national processes by determining true financial, technological and capacity needs associated with the country's planned mitigation portfolio.	4.1.1 Determine local emission factors for key economic activities (Electricity, production, industry, agriculture, transportation)	a) Strengthened capacities for analysis allows for the integration of socio-economic implication into reporting, national mitigation prioritization/plans/measures/actions b) LEDS for Energy, Forestry, Agriculture, Tourism and Waste Sectors. c) Chapter for FNC BUR documents	a) Full Participation of private sector in information gathering. b) Existing capacities within national structures to effectively analyze compiled data and to present accurate trend analysis of information	
			4.1.2 Improved analysis and national capacity on mitigation options;			
			4.1.3 Analysis of GHG – emitting sectors; cost-benefit analysis of measures; assessment of best GHG mitigation options; prioritization of mitigation measures (measures related to FBUR and FNC).			
			4.1.4 Identification of financial, technological and capacity needs for mitigation actions			
			4.1.5 Elaborated LEDS for Energy, Forestry, Agriculture, Tourism and Waste Sectors			
<b>Component 5:</b> Compilation and submission of FNC and FBUR and Monitoring and Evaluation  <i>Outcome 5.1: FNC and BUR documents integrate all the results of the studies supported are finalized and submitted; Monitoring and Evaluation</i>	<u>Project Indicator 9:</u> Finalized FNC/ BUR Documents submitted to UNFCCC Secretariat Baseline: No Target: Yes	Belize has formally submitted its TNC. This process will support the elaboration of the country's first BUR	5.1.1 Compilation, drafting and publication of FNC.	a) FNC/ FBUR elaborated and receive the approval of Cabinet b) FNC/ BUR documents submitted to UNFCCC secretariat	a) Support of policy/ decision makers in attaining national endorsement for finalized document.	
			5.1.2 Submission of FNC to UNFCCC, public presentation and distribution of copies to stakeholders.			
			5.1.3 Summary report of 2011-2016 GHG Inventory included in FBUR			
			5.1.4 Synthesis Report on mitigation measures and their effects			
			5.1.5 National Circumstances up to Y2017 reported, inclusive of national and regional development priorities, institutional issues and gender dimensions of climate change			
			5.1.6 Workshops and seminars to disseminate preliminary and			

Project Component/ Outcome	Project Indicators	Specific	Baseline	Project Outputs	Targets End of Project	Risks and Assumptions
				final results of FNC/ BUR		
				5.1.7 Monitoinrng and Evaluation in accordance with requirements including monitoring, reporting and preparatin of financial audits.		

## IV. TOTAL BUDGET AND WORKPLAN

Total Budget and Work Plan			
Atlas <sup>4</sup> Proposal or Award ID:	00087297	Atlas Primary Output Project ID:	00094379
Atlas Proposal or Award Title:	Fourth National Communication and First Biennial Update Report to the UNFCCC		
Atlas Business Unit	SLV10		
Atlas Primary Output Project Title	Belize 4 <sup>th</sup> National Communication to UNFCCC/ BUR		
UNDP-GEF PIMS No.	5939		
Implementing Partner	National Climate Change Office, Ministry of Agriculture, Fisheries, Forestry, the Environment, Sustainable Development and Climate Change		

GEF Outcome/Atlas Activity	Responsible Party/ Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Total (USD)	See Budget Note:
<b>OUTCOME 1:</b> <i>Strengthening the national institutional framework for National Communication / Biennial Update Report preparation including the formalization of information collection systems and communication coordination.</i>	NCCO	62000	GEF	71200	International Consultants	\$25,000	\$0	\$0	\$0	\$25,000	1a
				71300	Local Consultants	\$15,000	\$15,000	\$10,000	\$5,000	\$45,000	1b
				71400	Contractual Services-Individuals	\$5,000	\$5,000	\$5,000	\$5,000	\$20,000	1c
				71600	Travel	\$5,750	\$5,000	\$3,250	\$3,250	\$17,250	1d
				72100	Contractual services-Companies	\$0	\$30,000	\$12,500	\$7,500	\$50,000	1e
				72200	Equipment and Furniture	\$5,000	\$10,000	\$0	\$0	\$15,000	1f
				72400	Communication and Audio-visual Equipment	\$0	\$0	\$3,000	\$3,250	\$6,250	1g
				72500	Supplies	\$750	\$750	\$750	\$750	\$3,000	1h
				72800	Information Technology Equipment	\$8,000	\$0	\$0	\$0	\$8,000	1i

<sup>4</sup> See separate guidance on how to enter the TBWP into Atlas

GEF Outcome/Atlas Activity	Responsible Party/ Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Total (USD)	See Budget Note:
				74200	Audio-visual & Print Production Cost	\$3,500	\$0	\$0	\$0	\$3,500	1j
				74500	Miscellaneous Expenses	\$500	\$500	\$500	\$500	\$2,000	1k
					<b>sub-total GEF</b>	<b>\$68,500</b>	<b>\$66,250</b>	<b>\$35,000</b>	<b>\$25,250</b>	<b>\$195,000</b>	
					<b>Total Outcome 1</b>	<b>\$68,500</b>	<b>\$66,250</b>	<b>\$35,000</b>	<b>\$25,250</b>	<b>\$195,000</b>	
<b>OUTCOME 2:</b> Updated GHG inventory and Improvement of GHG inventory system	NCCO	62000	GEF	71200	International Consultants	\$0	\$25,000	\$0	\$0	\$25,000	2a
				71300	Local Consultants	\$0	\$22,000	\$20,000	\$5000	\$47,000	2b
				71400	Contractual services- individuals	\$0	\$3,500	\$3,500	\$3,500	\$10,500	2c
				72100	Contractual services- Companies	\$0	\$3,000	\$3,500	\$0	\$6,500	2d
				72500	Supplies	\$0	\$550	\$500	\$500	\$1,550	2e
				72800	Information Technology Equipment	\$0	\$0	\$9,500	\$0	\$9,500	2f
				71600	Travel	\$0	\$5,000	\$4,000	\$2,000	\$11,000	2g
				74100	Professional Services	\$0	\$3000	\$0	\$0	\$3,000	2h
					<b>sub-total GEF</b>	<b>\$0</b>	<b>\$62,050</b>	<b>\$41,000</b>	<b>\$11,000</b>	<b>\$114,050</b>	
	<b>Total Outcome 2</b>	<b>\$0</b>	<b>\$62,050</b>	<b>\$41,000</b>	<b>\$11,000</b>	<b>\$114,050</b>					
<b>OUTCOME 3:</b> (Adaptation Impacts and Actions)	NCCO	62000	GEF	71200	International Consultants	\$0	\$30,000	\$35,000	\$10,000	\$75,000	3a
				71300	Local consultants	\$0	\$20,000	\$20,000	\$15,000	\$55,000	3b
				71400	Contractual Services- Individuals	\$7,500	\$7,500	\$7,500	\$7,500	\$30,000	3c
				71600	Travel	\$0	\$0	\$3,200	\$500	\$3,700	3d
				72100	Contractual Services- Companies	\$0	\$5,000	\$5,000	\$3,000	\$13,000	3e
				72500	Supplies	\$0	\$0	\$450	\$0	\$450	3f

GEF Outcome/Atlas Activity	Responsible Party/ Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Total (USD)	See Budget Note:
				72400	Communications and Audio Visual Equipment		\$1,000	\$1,500	\$350	\$2,850	3g
				74100	Professional Services	\$0	\$5,000	\$5,000	\$0	\$10,000	3h
				72600	Grants	\$0	\$0	\$50,000	\$0	\$50,000	3i
					<b>sub-total GEF</b>	<b>\$7,500</b>	<b>\$68,500</b>	<b>\$127,650</b>	<b>\$36,350</b>	<b>\$240,000</b>	
					<b>Total Outcome 3</b>	<b>\$7,500</b>	<b>\$68,500</b>	<b>\$127,650</b>	<b>\$36,350</b>	<b>\$240,000</b>	
<b>OUTCOME 4:</b> Mitigation Impacts and Actions	NCCO	62000	GEF	71200	International Consultants	\$25,000	\$10,000	\$40,000	\$45,000	\$120,000	4a
				72100	Contractual Services - Companies	\$0	\$15,000	\$0	\$0	\$15,000	4b
				71300	Local Consultants	\$0	\$5,000	\$10,000	\$10,000	\$25,000	4c
				71600	Travel	\$0	\$2,500	\$2,500	\$0	\$5,000	4d
					<b>sub-total GEF</b>	<b>\$25,000</b>	<b>\$32,500</b>	<b>\$52,500</b>	<b>\$55,000</b>	<b>\$165,000</b>	
					<b>Total Outcome 4</b>	<b>\$25,000</b>	<b>\$32,500</b>	<b>\$52,500</b>	<b>\$55,000</b>	<b>\$165,000</b>	
<b>OUTCOME 5:</b> Compilation and submission of FNC and FBUR\ Quality Assurance, Monitoring, Learning, Adaptive Feedback & Evaluation	NCCO/ UNDP	62000	GEF	71300	Local Consultants	\$0	\$0	\$2,500	\$12,500	\$15,000	5a
				71400	Contractual Services- Individuals	\$0	\$0	\$3,500	\$3,500	\$7,000	5b
				71600	Travel	\$0	\$0	\$500	\$500	\$1,000	5c
				74200	Audio Visual & Print Production Costs	\$0	\$0	\$0	\$5,000	\$5,000	5d
				72500	Supplies	\$0	\$0	\$500	\$250	\$750	5e
				74500	Miscellaneous Expenses	\$0	\$0	\$250	\$250	\$500	5f
				71400	Contractual Services- Individuals	\$5,000	\$5,000	\$5,000	\$5,000	\$20,000	5g
				71600	Travel	\$500	\$750	\$750	\$250	\$2,250	5h
				74100	Professional Services	\$1,500	\$3,000	\$1,500	\$3,000	\$9,000	5i
					<b>sub-total GEF</b>	<b>\$7,000</b>	<b>\$8,750</b>	<b>\$14,500</b>	<b>\$30,250</b>	<b>\$60,500</b>	



GEF Outcome/Atlas Activity	Responsible Party/ Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Total (USD)	See Budget Note:		
					<b>Total Outcome 5</b>	<b>\$7,000</b>	<b>\$8,750</b>	<b>\$14,500</b>	<b>\$30,250</b>	<b>\$60,500</b>			
<b>OUTCOME 6: Project Management</b>	NCCO	62000	GEF	71600	Travel	\$0	\$500	\$500	\$500	\$1,500	6a		
				72500	Office Supplies	\$200	\$250	\$250	\$250	\$950	6b		
				72800	Information Technology Equipment	\$3,000	\$0	\$0	\$0	\$3,000	6c		
				71400	Contractual Services Individuals	\$15,000	\$20,000	\$0	\$20,000	\$55,000	6d		
				64397 74596	Services to projects (CO staff, GOE to CO)	\$3,000	\$3500	\$4,500	\$4,000	\$15,000	6e		
				72400	Communications	\$500	\$500	\$500	\$500	\$2,000	6f		
						<b>sub-total GEF</b>	<b>\$21,700</b>	<b>\$24,750</b>	<b>\$5,750</b>	<b>\$25,250</b>	<b>\$77,450</b>		
					UNDP	71400	Contractual Services Individuals	\$0	\$0	\$20,000	\$0	\$20,000	6g
							<b>sub-total UNDP</b>	<b>\$0</b>	<b>\$0</b>	<b>\$20,000</b>	<b>\$0</b>	<b>\$20,000</b>	
							<b>Total Management</b>	<b>\$21,700</b>	<b>\$24,750</b>	<b>\$25,750</b>	<b>\$25,250</b>	<b>\$97,450</b>	
<b>TOTAL GEF</b>						<b>\$129,700</b>	<b>\$262,800</b>	<b>\$276,400</b>	<b>\$183,100</b>	<b>\$852,000</b>			
<b>TOTAL PROJECT</b>						<b>\$129,700</b>	<b>\$262,800</b>	<b>\$296,400</b>	<b>\$183,100</b>	<b>\$872,000</b>			

**Summary of Funds:**

	Amount Year 1	Amount Year 2	Amount Year 3	Amount Year 4	Total
<b>GEF</b>	\$129,700	\$262,800	\$276,400	\$183,100	\$852,000
<b>UNDP TRAC</b>	\$0	\$0	\$20,000	\$0	\$20,000
<b>Government of Belize (In-Kind)</b>	\$13,500	\$22,000	\$25,000	\$20,000	\$80,500
<b>Government of Japan (UNDP)</b>	\$50,000	\$15,000	\$0	\$0	\$65,000
<b>UNDP GEF SGP (CBA Programme)</b>	\$25,000	\$25,000	\$0	\$0	\$50,000
<b>TOTAL</b>	<b>\$218,200</b>	<b>\$324,800</b>	<b>\$321,400</b>	<b>\$203,100</b>	<b>\$1,067,500</b>

## BUDGET NOTE:

1a	Consultancy: Design of National MRV systems
1b	Support of local capacities for the elaboration of institutional arrangements for GHI BUR process coordination (Gap analysis, identification/ mapping of financial and technical requirements) Development of Standard Operating protocols for GHI data gathering, collation and review
1c	Support of local capacities (Short Term TA): Transpose into national processes the full package of needed MRV rules and guidelines was defined in Cancun 2010
1d	Travel supporting training and capacity development of functionaries
1e	Investment in training and capacity building for national functionaries (MRV, GHG inventory, analysis and archiving; MRV 101- Understanding Measurement, Reporting, and Verification of Climate Change Mitigation; Types of MRV- MRV of GHG emissions, MRV of mitigation actions, MRV of support
1f	Equipment supporting data capture, modelling and analysis
1g	Telecon equipment supporting coordination structure; support to communications
1h	Supplies supporting focus group discussions, validation meeting, group consultation
1i	Data server support inventory repository
1j	Printing supporting project/ national strategy launch
1k	Miscellaneous support to outcome delivery (catering for meetings/ technical advisory groups etc)
2a	Consultancy: Inventory support
2b	Consultancy: Inventory support (Local Team)
2c	Support to local capacities (Short Term TA):
2d	Venues (GHI validation)
2e	Supplies supporting GHI update process (Meetings, questionnaires etc.)
2f	State Inventory and Projection Tool
2g	Travel support for data collection/ inventory update
2h	Drafting of national enabling regulations which formalizes GHI institutional mechanisms
3a	Consultancies: Downscaling of climate models; Development of Vulnerability and impact scenarios for key development sectors; Sector diagnostic studies that will inform on current risk and coping measures (risk management programs); Proposals of potential adaptation actions applicable to the sectors)
3b	Consultancies: Analysis of national climate change adaptation programme; update Portfolio of Adaptation measures;
3c	Support to local capacities (Short Term TA): Support to national climate change office with national adaptation programming
3d	Travel associated with training/ capacity building/ participation in relevant regional exchanges
3e	Venues: Training session, Validation workshops, hosting of adaptation forums etc.
3f	Supplies supporting coordination and consultation processes
3g	Communications supporting coordination and consultation processes
3h	INSMET/ CCCCC support to capacity building- Integrated Vulnerability Assessment
3i	Pilot project Greater Belize District - pilot project aimed at integrated vulnerability assessment and planning for adaptation, performed by other than NCCO specialized entity. The project will follow the UNDP policies on Micro-capital grants <sup>5</sup>  The goal of the pilot is to create, support and sustain a community of urban climate change practitioners, developing and implementing the urban resilience strategies, sharing and accessing knowledge on best practices via digital portal on local, regional and global networks. This way the project will pilot how urban coastal community strategies and actions designed and executed to connect the sustainable management and use of land based resources to the health of the marine environment, while at the same time addressing urban development challenges, can be strategic interventions to reducing the vulnerability of people, ecosystems and infrastructure to the adverse impacts of unplanned urbanization and climate change, and contribute to landscape/seascape conservation.
4a	Consultancies: Determining of local Emission Factors of key economic activities; Fuel Depot surveys to determine energy intensity by vehicle model (Transport sector); Elaboration of LEDS of key sectors; analysis of GHG- Emitting sectors (cost benefit assessment of measures)
4b	Training Capacity building for modelling

<sup>5</sup> see: <https://intranet.undp.org/global/documents/layouts/WopiFrame.aspx?sourcedoc=/global/documents/ppm/Guidance%20on%20Micro-capital%20Grants.doc&action=default&DefaultItemOpen=1>

4c	Consultancy: Determining of local Emission Factors of key economic activities; Identification of financial, technological and capacity needs for mitigation (Local Team)
4d	Travel support for outcome implementation
5a	Consultancy: FNC/ FBUR Compilation
5b	Support to local capacities (Short Term TA): Report finalization, formatting and editing. Design of data tables for inclusion in report
5c	Travel supporting activity implementation
5d	Printing of report for national launch
5e	Supplies supporting meetings/ validation sessions, national launch and workshops
5f	Miscellaneous support to outcome delivery (catering for meetings/ technical advisory groups etc)
5g	Short Term TA: support to quality assurance as stipulated in project Q&A plan (HACT requirement)
5h	Travel supporting monitoring
5i	Financial spot checks and audits
6a	Travel supporting PMU coordination
6b	PMU operating supplies
6c	Desktop computer Project Manager
6d	Salary: Project Manager
6e	Services to projects ( support services as per description in the LoA, Annex F)
6f	Salary: Project Manager

**Budget Revision and Tolerance:** As per UNDP requirements outlined in the UNDP POPP, the project board will agree on a budget tolerance level for each plan under the overall annual work plan allowing the project manager to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the Project Board. Should the following deviations occur, the Project Manager and UNDP Country Office will seek the approval of the UNDP-GEF team as these are considered major amendments by the GEF: a) Budget re-allocations among components in the project with amounts involving 10% of the total project grant or more; b) Introduction of new budget items/or components that exceed 5% of original GEF allocation.

Any over expenditure incurred beyond the available GEF grant amount will be absorbed by non-GEF resources (e.g. UNDP TRAC or cash co-financing).

**Refund to Donor:** Should a refund of unspent funds to the GEF be necessary, this will be managed directly by the UNDP-GEF Unit in New York.

**Project Closure:** Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP.<sup>6</sup> On an exceptional basis only, a no-cost extension beyond the initial duration of the project will be sought from in-country UNDP colleagues and then the UNDP-GEF Executive Coordinator.

**Operational completion:** The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Terminal Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-project review Project Board meeting. The Implementing Partner through a Project Board decision will notify the UNDP Country Office when operational closure has been completed. At this time, the relevant parties will have already agreed and confirmed in writing on the arrangements for the disposal of any equipment that is still the property of UNDP.

**Financial completion:** The project will be financially closed when the following conditions have been met: a) The project is operationally completed or has been cancelled; b) The Implementing Partner has reported all financial transactions to UNDP; c) UNDP has closed the accounts for the project; d) UNDP and the Implementing Partner have certified a final Combined Delivery Report (which serves as final budget revision).

The project will be financially completed within 12 months of operational closure or after the date of cancellation. Between operational and financial closure, the implementing partner will identify and settle all financial obligations and prepare a final

<sup>6</sup> see <https://info.undp.org/global/popp/ppm/Pages/Closing-a-Project.aspx>

expenditure report. The UNDP Country Office will send the final signed closure documents including signed CDRs for all years of implementation, signed project closure checklist, confirmation of final cumulative expenditure and unspent balance (PBB) to the UNDP-GEF Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

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## V. MANAGEMENT ARRANGEMENTS

Roles and responsibilities of the project's governance mechanism: The project will be implemented following UNDP's national implementation modality/ support to NIM, according to the Standard Basic Assistance Agreement between UNDP and the Government of *Belize*, and the Country Programme.

The Belize National Climate Change Office (NCCO) has assumed the responsibility of preparing the GHG inventories and National Communications for Belize, since its inception in 2012. The NCCO currently operates as an organ of the Ministry of Agriculture, Fisheries, Forestry, the Environment, Sustainable Development and Climate Change (MAFFESDCC).

Belize's Cabinet stands at the hierarchy of the national Climate Change governance architecture and provides the necessary guidance and leadership at the political level, including the ratification of international agreements. The National Climate Change Office (NCCO) is tasked primarily with the coordination of the country's Climate Change response program. The NCCO serves as the secretariat of the Belize National Climate Change Committee (BNCCC), which is comprised of eleven members from various government Ministries, non-government organizations and members of the private sector. This committee is tasked with the provision of technical guidance to the Government of Belize on issues regarding Climate Change and development.

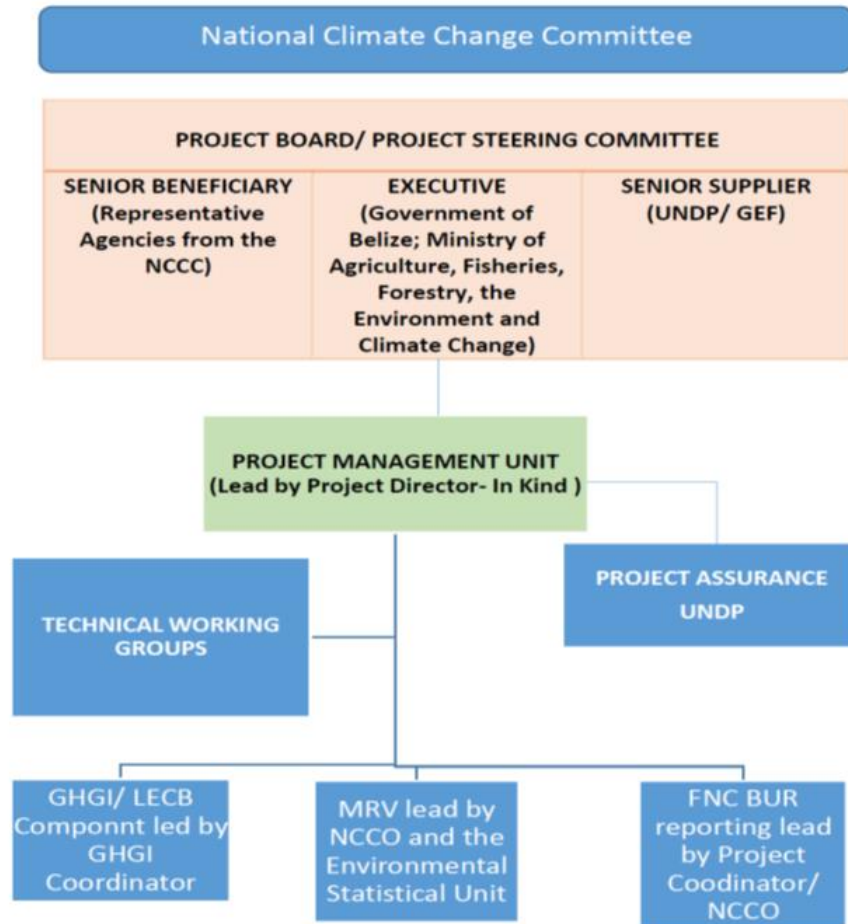
The **Implementing Partner** for this project is ***National Climate Change Office of the Ministry of Agriculture, Fisheries, Forestry, the Environment, Sustainable Development and Climate Change***. The Implementing Partner is responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP resources.

Project implementation support is provided by a **Project Management Unit** within the NCCO. This unit is directed by the National Climate Change Coordinator who serves as the Project Director. The Project Management Unit of the NCCO is equipped with a Project Manager (PM) and assisted by a Project Associate. The **Project Manager** will run the project on a day-to-day basis on behalf of the Implementing Partner within the constraints laid down by the Board. The Project Manager function will end when the final project terminal report and corresponding management response, and other documentation required by the GEF and UNDP, has been completed and submitted to UNDP (including operational closure of the project).

The work of the PM and PMU will be supported by 5 Technical Working Groups responsible for the deliverables as specified in the project proposal.

1. Technical Working Group on GHG Inventory
1. Technical Working Group on Mitigation
2. Technical Working Group on Measurement, Reporting and Verification (MRV)
3. Technical Working Group on Vulnerability and Adaptation
4. Technical Working Group on Research and Systematic Observation.

The project organisation structure is as follows:



The project will be steered by a **Project Board/ National Steering Committee** comprising of membership from the National Climate Change Advisory Committee and chaired by the Chief Executive Officer with responsibility for Climate Change, with the chief Executive Officer of the Ministry of Economic Development serving as the alternate Chairperson. At policy level, the National Climate Change Advisory Committee, is comprised of representation from key ministries and relevant public agencies, private sector, non-government organizations and experts will provide overall policies and guidance to project implementation.

The project steering committee works at an administrative level to oversee the implementation of the project. The project steering committee, in general, will compose of the main agencies relevant to the study, representative of UNDP country office, non-governmental organization and selected experts. The project steering committee will oversee the project team in carrying out the project activities, provide guidance and recommendation and support to ensure the project activities are carried out efficiently and effectively. It is responsible for making by consensus, management decisions when guidance is required by the Project Manager, including recommendation for UNDP/Implementing Partner approval of project plans and revisions.

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, best value money, fairness, integrity, transparency and effective international competition. In case a consensus cannot be reached within the Board,

final decision shall rest with the UNDP Programme Manager. The terms of reference for the Project Board are contained in Annex.

The **Project Manager** will run the project on a day-to-day basis on behalf of the Implementing Partner within the constraints laid down by the Board. The Project Manager function will end when the final project terminal report, and other documentation required by the GEF and UNDP, has been completed and submitted to UNDP (including operational closure of the project).

The **project assurance** roll will be provided by the UNDP Country Office specifically *UNDP Belize Portfolio Manager*. Additional quality assurance will be provided by the UNDP Regional Technical Advisor as needed.

Governance role for project target groups: *The Belize National Climate Change Committee will be the framework for consultation and validation of the results of the Fourth National Communication and the First Biennial Update Report. This institutional framework provides a platform which ensures the maintenance of synergies of FNC-BUR programming and national Climate Change planning and programming portfolios allowing for through a multi-sectoral/ multi stakeholder involvement.*

UNDP Direct Project Services as requested by Government:

Following consultations on the project implementation UNDP and the Government agreed that the UNDP country office will provide support services to the project at the request of the National Implementing Partner. These support services may include assistance with reporting requirements, procurement and direct payments and will be in line with the latest UNDP-GEF policy on DPC. In providing such support services, the UNDP country office shall ensure that the capacity of the Government-designated institution is strengthened.

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

- (a) Identification and/or recruitment of project and programme personnel;
- (b) Identification and facilitation of training activities;
- (c) Procurement of goods and services;

The procurement of goods and services and the recruitment of project and programme personnel by the UNDP country office shall be in accordance with the UNDP regulations, rules, policies and procedures

Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information: To accord proper acknowledgement to the GEF for providing grant funding, the GEF 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 GEF will also accord proper acknowledgement to the GEF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy<sup>7</sup> and the GEF policy on public involvement<sup>8</sup>.

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<sup>7</sup> See [http://www.undp.org/content/undp/en/home/operations/transparency/information\\_disclosurepolicy/](http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/)

<sup>8</sup> See [https://www.thegef.org/gef/policies\\_guidelines](https://www.thegef.org/gef/policies_guidelines)

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## VI. MONITORING FRAMEWORK AND EVALUATION

The project results as outlined in the project results framework will be monitored periodically during project implementation to ensure the project effectively achieves these results.

Project-level monitoring will be undertaken in compliance with UNDP requirements as outlined in the [UNDP POPP and UNDP Evaluation Policy](#). While these UNDP requirements are not outlined in this project document, the UNDP Country Office will work with the relevant project stakeholders to ensure UNDP M&E requirements are met in a timely fashion and to high quality standards. Additional mandatory GEF-specific M&E requirements (as outlined below) will be undertaken in accordance with the [GEF M&E policy](#) and other relevant GEF policies<sup>9</sup>.

In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Report. This will include the exact role of project target groups and other stakeholders in project M&E activities including the GEF Operational Focal Point and national/regional institutes assigned to undertake project monitoring. The GEF Operational Focal Point will strive to ensure consistency in the approach taken to the GEF-specific M&E requirements across all GEF-financed projects in the country.

### **M&E Oversight and monitoring responsibilities:**

**Project Manager:** The Project Manager is responsible for day-to-day project management and regular monitoring of project results and risks, including social and environmental risks. The Project Manager will ensure that all project staff maintain a high level of transparency, responsibility and accountability in M&E and reporting of project results. The Project Manager will inform the Project Board, the UNDP Country Office and the UNDP-GEF RTA of any delays or difficulties as they arise during implementation so that appropriate support and corrective measures can be adopted.

The Project Manager will develop annual work plans based on the multi-year work plan included in Annex A, including annual output targets to support the efficient implementation of the project. The Project Manager will ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality. This includes, but is not limited to, ensuring the results framework indicators are monitored annually, and that the monitoring of risks and the various plans/strategies developed to support project implementation (e.g. gender strategy, KM strategy etc..) occur on a regular basis (twice a year).

**Project Board:** The Project Board will take corrective action as needed to ensure the project achieves the desired results. The Project Board will hold project reviews to assess the performance of the project and appraise the Annual Work Plan for the following year. In the project's final year, the Project Board will hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to highlight project results and lessons learned with relevant audiences. This final review meeting will also discuss the findings outlined in the project terminal report.

**Project Implementing Partner:** The Implementing Partner is responsible for providing any and all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary and appropriate. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes, and is aligned with national systems so that the data used by and generated by the project supports national systems.

**UNDP Country Office:** The UNDP Country Office will support the Project Manager as needed, including through annual supervision missions. The annual supervision missions will take place according to the schedule outlined in

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<sup>9</sup> See [https://www.thegef.org/gef/policies\\_guidelines](https://www.thegef.org/gef/policies_guidelines)



the annual work plan. Supervision mission reports will be circulated to the project team and Project Board within one month of the mission. The UNDP Country Office will initiate and organize key GEF M&E activities. The UNDP Country Office will also ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality.

The UNDP Country Office is responsible for complying with all UNDP project-level M&E requirements as outlined in the [UNDP POPP](#). This includes ensuring the UNDP Quality Assurance Assessment during implementation is undertaken annually; that annual targets at the output level are developed, and monitored and reported using UNDP corporate systems; the regular updating of the ATLAS risk log; and, the updating of the UNDP gender marker on an annual basis based on gender mainstreaming progress reported in the UNDP ROAR. Any quality concerns flagged during these M&E activities must be addressed by the UNDP Country Office and the Project Manager.

The UNDP Country Office will retain all M&E records for this project for up to seven years after project financial closure in order to support ex-post evaluations undertaken by the UNDP Independent Evaluation Office (IEO) and/or the GEF Independent Evaluation Office (IEO).

UNDP-GEF Unit: Additional M&E and implementation quality assurance and troubleshooting support will be provided by the UNDP-GEF Regional Technical Advisor and the UNDP-GEF Directorate as needed.

**Audit**: The project will be audited according to UNDP Financial Regulations and Rules and applicable audit policies on NIM implemented projects.<sup>10</sup>

**Additional GEF monitoring and reporting requirements:**

Inception Workshop and Report: A project inception workshop will be held within two months after the project document has been signed by all relevant parties to, amongst others:

- a) Re-orient project stakeholders to the project strategy and discuss any changes in the overall context that influence project strategy and implementation;
- b) Discuss the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms;
- c) Review the results framework and finalize the indicators, means of verification and monitoring plan;
- d) Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E; discuss the role of the GEF OFP in M&E;
- e) Update and review responsibilities for monitoring the various project plans and strategies, including the risk log; Environmental and Social Management Plan and other safeguard requirements; the gender strategy; the knowledge management strategy, and other relevant strategies;
- f) Review financial reporting procedures and mandatory requirements, and agree on the arrangements for the annual audit; and
- g) Plan and schedule Project Board meetings and finalize the first year annual work plan.

The Project Manager will prepare the inception report no later than one month after the inception workshop. The inception report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board.

Bi-annual progress:

Status Survey Questionnaires to indicate progress and identify bottlenecks as well as technical support needs will be carried out twice a year, in line with GEF and UNFCCC reporting requirements for NCs and BURs.

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<sup>10</sup> See guidance here: <https://info.undp.org/global/popp/frm/pages/financial-management-and-execution-modalities.aspx>

Lessons learned and knowledge generation: Results from the project will be disseminated within and beyond the project intervention area through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to the project. The project will identify, analyse and share lessons learned that might be beneficial to the design and implementation of similar projects and disseminate these lessons widely. There will be continuous information exchange between this project and other projects of similar focus in the same country, region and globally.

End of Project:

During the last three months, the project team will prepare the Project Terminal Report (Annex H). This comprehensive report will summarize the results achieved (objectives, outcomes, outputs), lessons learned, problems met and areas where results may not have been achieved. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project's results. Project Board during an end-of-project review meeting will discuss lesson learned and opportunities for scaling up.

## M& E workplan and budget

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Time frame
Inception Workshop and Report	<ul style="list-style-type: none"> <li>▪ Project Manager</li> <li>▪ UNDP CO, UNDP GEF</li> </ul>	Indicative cost: 5,000	Within first two months of project start up
Measurement of Means of Verification of project results.	<ul style="list-style-type: none"> <li>▪ UNDP GEF RTA/Project Manager will oversee the hiring of specific studies and institutions, and delegate responsibilities to relevant team members.</li> </ul>	To be finalized in Inception Phase and Workshop.	Start, mid and end of project (during evaluation cycle) and annually when required.
Measurement of Means of Verification for Project Progress on output and implementation	<ul style="list-style-type: none"> <li>▪ Oversight by Project Manager</li> <li>▪ Project team</li> </ul>	8,000	Annually to the definition of annual work plans
ARR/PIR	<ul style="list-style-type: none"> <li>▪ Project manager and team</li> <li>▪ UNDP CO</li> <li>▪ UNDP RTA</li> <li>▪ UNDP EEG</li> </ul>	None	Not applicable
Periodic status/ progress reports	<ul style="list-style-type: none"> <li>▪ Project manager and team</li> </ul>	None	Quarterly
Mid-term Evaluation	<ul style="list-style-type: none"> <li>▪ Project manager and team</li> <li>▪ UNDP CO</li> <li>▪ UNDP RCU</li> <li>▪ External Consultants (i.e. evaluation team)</li> </ul>	None	Not applicable for EA projects
Final Evaluation	<ul style="list-style-type: none"> <li>▪ Project manager and team,</li> <li>▪ UNDP CO</li> <li>▪ UNDP RCU</li> <li>▪ External Consultants (i.e. evaluation team)</li> </ul>	None	Not applicable for EA projects
Lessons learned and knowledge generation	<ul style="list-style-type: none"> <li>▪ Project Manager</li> </ul>	\$1,500	Annually
Monitoring of environmental and social risks, and corresponding management plans as relevant	<ul style="list-style-type: none"> <li>▪ Project Manager</li> <li>▪ UNDP CO</li> </ul>	None	On-going
Addressing environmental and social grievances	<ul style="list-style-type: none"> <li>▪ Project Manager</li> <li>▪ UNDP Country Office</li> <li>▪ BPPS as needed</li> </ul>	None for time of project manager, and UNDP CO	Costs associated with missions, workshops, BPPS expertise etc. can be charged to the project budget.
Project Board meetings	<ul style="list-style-type: none"> <li>▪ Project Board</li> <li>▪ UNDP Country Office</li> <li>▪ Project Manager</li> </ul>	\$1,000	At minimum annually
Supervision missions	<ul style="list-style-type: none"> <li>▪ UNDP Country Office</li> </ul>	None	Annually
Oversight missions	<ul style="list-style-type: none"> <li>▪ UNDP-GEF team</li> </ul>	None	Troubleshooting as needed
Knowledge management	<ul style="list-style-type: none"> <li>▪ Project Manager</li> </ul>	Up to 1 % of GEF grant	On-going
GEF Secretariat learning missions/site visits	<ul style="list-style-type: none"> <li>▪ UNDP Country Office and Project Manager and UNDP-GEF team</li> </ul>	None	TBD

<b>Type of M&amp;E activity</b>	<b>Responsible Parties</b>	<b>Budget US\$</b> <i>Excluding project team staff time</i>	<b>Time frame</b>
Project Terminal Report	<ul style="list-style-type: none"> <li>▪ Project manager and team</li> <li>▪ UNDP CO</li> <li>▪ local consultant</li> </ul>	None	At least three months before the end of the project
Audit	<ul style="list-style-type: none"> <li>▪ UNDP CO</li> <li>▪ Project manager and team</li> </ul>	Indicative cost per year: 3,000	Yearly
Visits to field sites	<ul style="list-style-type: none"> <li>▪ UNDP CO</li> <li>▪ UNDP RCU (as appropriate)</li> <li>▪ Government representatives</li> </ul>	For GEF supported projects, paid from IA fees and operational budget	Yearly
<b>TOTAL indicative COST</b> Excluding project team staff time and UNDP staff and travel expenses		US\$ 27,000 (+/- 5% of total budget)	

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## VII. 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.

Consistent with the Article III of the Standard Basic Assistance Agreement, the responsibility for the safety and security of the implementing partner and its personnel and property, and of UNDP's property in the implementing partner's custody, rests with the implementing partner.

The implementing partner shall:

- a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
- b) assume all risks and liabilities related to the implementing partner's security, and the full implementation of the security plan.

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 this agreement.

The implementing partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

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## VIII. MANDATORY ANNEXES

- A. Multi-year Work-plan
- B. Terms of Reference for Project Board, Project Manager, Chief Technical Advisor and other positions as appropriate
- C. UNDP Social and Environmental and Social Screening Template (SESP)
- D. UNDP Project Quality Assurance Report (to be completed by UNDP Country Office)
- E. UNDP Risk Log (to be completed by UNDP Country Office)
- F. Results of the capacity assessment of the project implementing partner and HACT micro assessment (to be completed by UNDP Country Office)
- G. Any additional agreements, such as cost sharing agreements, project cooperation agreements signed with NGOs (where the NGO is designated as the “executing entity”), letters of financial commitments, GEF OFP letter, GEF PIFs and other templates for all project types, LOA with the government in case DPCs are applied should be attached.
- H. ANNEX H. FINAL REPORT OF BELIZE NATIONAL COMMUNICATION’S / BIENNIAL UPDATE REPORT’S PROJECT

**Annex A. Multi Year Work Plan:**

Task	Responsible Party	2017				2018				2019				2020				Year 5			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
<b>Component 1: Strengthening the national institutional framework for National Communication / Biennial Update Report preparation including the formalization of information collection systems and communication coordination.</b>																					
1	NCCO/GHG Coordinator																				
2	NCCO/GHG Coordinator																				
3	NCCO/GHG Coordinator																				
4	NCCO/GHG Coordinator																				
5	NCCO/GHG Coordinator																				
6	NCCO/GHG Coordinator																				
<b>Component 2: Support to FNC/ BUR elaboration</b>																					
7	PM/ GHG Coordinator																				
8	PM/ GHG Coordinator																				
9	PM/ GHG Coordinator																				
10	PM/ GHG Coordinator																				
11	PM/NCCO																				
12	PM/NCCO																				
13	PM/NCCO																				

<b>Component 3: Adaptation Impacts and Actions (Including the Vulnerability and Adaptation Assessment):</b>																					
Task	Responsible Party	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
14	PM/NCCO																				
15	PM/NCCO																				
16	PM/NCCO																				
17	PM/NCCO																				
18	PM/NCCO/UNDP/ CCCC																				
19	PM/NCCO/UNDP/ CCCC																				
20	PM/NCCO/UNDP/ CCCC																				
21	PM/NCCO/UNDP/ CCCC																				
22	PM/NCCO/UNDP/ CCCC																				
<b>Component 4: Mitigation Impacts and Actions</b>																					
23	PM/NCCO																				
24	PM/NCCO																				
25	PM/NCCO																				
26	PM/NCCO																				
<b>Component 5: Compilation and Submission of FNC/ BUR</b>																					
27	PM																				



## **TASKS:**

1. Describe the relevant institutional arrangements for the continuous preparation of national communications and biennial update reports. (Process identifies constraints and gaps, and related financial, technical and capacity requirements in the establishing of sustainable financial arrangements)
2. Support the constitution of a body for inter-ministerial coordination inclusive of Operating protocols establishing formal working arrangements required for NC /BUR reporting Develop efficient national inventory system to fulfill the commitments of the country.
3. Engaged nongovernmental / non-state organizations and private sector groups contributing to awareness raising and information gathering processes.
4. Develop efficient national inventory system supported by robust national data collection protocols developed and institutionalized and the creation of an archiving system within the Environmental Management Unit of the Department of Environment ensuring long term data retention and institutional memory.
5. Enhance technical and institutional capacities of national Measuring Reporting and Verification (MRV) systems enabling effective monitoring of GHG emission trends.
6. Enhance required technical capacities amongst functionaries associated with the modelling, analysing and projecting GHG emissions
7. Update of the country's characterization in terms of geography, demography, natural resources, climate, education, social and cultural aspects, and macroeconomic parameters such as employment, income and services.
8. Characterization of specific sectors such as agriculture, forestry, water resources, fisheries, coastal and marine resources, energy, wastes, tourism, transportation, human settlements, and health.
9. Update of the information on the institutional arrangements pertinent to preparation of the national communications and biennial update reports and the planning and management of climate change.
10. Elaboration of national circumstances focussing on the effect country's ability to respond to Climate Change mitigation and adaptation challenges and opportunities. Special attention will be given to the new information and data on the sectors that contribute the most to greenhouse gas emissions.
11. Analysis of GHG emitting sectors. Assessments will be coupled with cost benefit analysis measures which allows for the identification and prioritization of the sectors and areas with the greatest potential for developing these mitigation management instruments, and to identify the legal and institutional barriers for the development of these initiatives.
12. With the aid of bilateral assistance, identify the financial, technological and capacity needs for the implementation of mitigation actions which may outline steps, procedures and arrangements for performing mitigation assessments that can be used for the FNC-BUR and future National Communication.
13. The compilation and analysis of data on the activities and group of actions (policies, strategies and projects) that have been, are being, and will be developed in the country and that have contributed, are contributing and will contribute to mitigation, regardless of their nature, objective and design, including initiatives related to international carbon market mechanisms.
14. Assemble and downscale climate models/ scenarios modelling (2030/ 2050 /2070/ 2090) for principal growth/ productive sectors identified (Agriculture, fisheries, tourism, water, etc.)

15. Analysis of climate change adaptation programs and projects (risk management programs, environmental management
16. Update Portfolio of Adaptation measures of Agriculture, tourism and water Sectors vulnerable to climate change.
17. Build in-house technical and Institutional capacities required for climate change vulnerability forecasting
18. Pilot: Carry out sector diagnostic studies that will inform on current risk and coping measures (risk management programs);
19. Pilot: Determine future risk and impacts;
20. Pilot: Review existing policies, programmes and projects to determine how they will be affected by climate variability and Climate Change and whether they have climate change adaptive capacity;
21. Pilot: Identify adaptation measures for Coastal Belize City and Greater Belize, and
22. Pilot: Design and develop an implementation plan for adaptation measures minimizing vulnerabilities and supporting adaptive capacities for coastal Belize City and Greater Belize.
23. Determine local emission factors for key economic activities (Electricity Production, Industry, Agriculture, Transportation)
24. Build national capacities for improved analysis and national capacity on mitigation options (National capacities will support the (a) Analysis of GHG - emitting sectors; (b)cost-benefit analysis of mitigation measures; (c) assessment of best GHG mitigation options for prioritized national action)
25. Assist national functionaries in the identification of financial, technological and capacity needs for mitigation actions
26. Support the elaboration of LEDS for Energy, Forestry, Agriculture, Tourism and Waste Sectors
27. Document Elaboration/ Validation and Submission

## **Annex B. Terms of Reference for Project Board, Project Manager, Chief Technical Advisor and other positions as appropriate**

### **Project Execution Group / Project Board**

As indicated in the management arrangements described in the Project Document, a Project Execution Group/ Project Board (PB) will be established to oversee the implementation of the FNC/FBUR Project and will be tasked with ensuring that activities and outputs are in line with the approved proposal document. The PEG/PB comprises of membership from the National Climate Change Advisory Committee and chaired by the Chief Executive Officer with responsibility for Climate Change, with the chief Executive Officer of the Ministry of Economic Development. The Project Execution Group will meet during the PIP phase in order to clarify implementation arrangements, including the specific reporting and execution responsibilities and requirements. Subsequently, the Committee will meet at least once per quarter, consistent with the UNDP reporting (calendar) quarter, and may call ad hoc meetings as become necessary.

### **Proposed Composition:**

Representatives of:

- Ministry of Agriculture, Fisheries, Forestry, the Environment, Sustainable Development and Climate Change
- Ministry of Natural Resources - GEF Operational Focal Point
- UNFCCC Operational Focal Point
- Ministry of Economic Development
- National Climate Change Advisory Committee (Mitigation/ Adaptation Sub- Committee)
- Caribbean Community Climate Change Center
- United Nations Development Programme (UNDP) - Belize

**Meeting Schedule:** Quarterly

### **Responsibilities:**

The Project Execution Group will:

- provide general policy guidance and technical advice on implementation
- ensure that there is coherent project organization at National level
- set tolerances in the Annual Work Plans and other plans as required with the Project Manager, with the involvement of the Project Director (as necessary)
- ensure consistency of activities with the project proposal and work plan as well as ensure timely and effective implementation of project activities
- monitor and control the progress of the project activities at a strategic level considering the changes influenced by the project on any baseline investments
- ensure that risks are being tracked and mitigated as effectively as possible
- review and assess progress towards achieving the outputs is consistent from a project supplier perspective
- make recommendations to the PMU for modifications to the project, to the work and to the implementation arrangements including work plans as the project evolves, provided these are consistent with project objectives
- approve all revisions in project document inclusive of financial revisions
- make recommendations to the relevant authorities on policy matters which are likely to have an impact on project results
- ensure that the expected project outputs and related activities of the project remains consistent with the perspective of project beneficiaries
- facilitate national policy and institutional changes necessary to engender success in project activities.
- annually review project progress and make managerial and financial recommendations as appropriate, including recruitment for the Project Management Unit, review and approval of annual reports, budgets and workplans.
- assist in facilitating collaboration among the relevant non-committee stakeholders

## Project Manager

### **Duties and Responsibilities**

#### **Summary of Key Functions:**

In consultation with the Project Steering Committee (PSC)/ Project Board, the Project Manager (PM) is responsible for day-to-day management, coordination and monitoring of preparation of the Fourth National Communication/ First BUR of the Government of Belize to the Conference of the Parties to the UN Framework Convention on Climate Change. Furthermore, the PM will be responsible for coordination, ongoing management and monitoring of all support activities proposed under the Project '**Fourth National Communication and First Biennial Update Report to the UNFCCC**', specifically:

PM responsibilities will include the following functions in both areas:

- Planning, monitoring and ensuring timely implementation of relevant project activities as per the approved work plan;
- Initiation of establishment of the PSC and the other working groups needed to implement planned project activities;
- Development of the scope of work and terms of reference as well as procurement documents needed for needs assessment and hiring of experts and consultants;
- Identification and hiring of contractors from among national experts/institutions (in coordination with the PSC and UNDP);
- Monitoring of activities of consultants hired to provide technical support to the project;
- Organization of and control over project workshops, consultation processes and training programs;
- Interaction with relevant ministries, national and international research institutions, non-government organizations and other agencies to involve their staff into project activities; collection and dissemination of project-related information;
- Preparation of project planning and report documents;
- Monitoring of financial costs and ensuring proper management of allocated resources;
- Reporting to project Board on ongoing project activities and advances towards the realization of project outcomes;
- Monitoring of project risks and identifying corrective actions.

#### **Specific objectives:**

- Defining the scope and content of the overall structure and individual sections of the FNC/ BUR in coordination with national authorities;
- Identifying and ensuring FNC/ BUR consistency with other ongoing/new projects.
- Finalizing the FNC/ BUR with inputs from government officials and national experts;
- Ensuring compliance with the COP's UNFCCC guidelines in the course of preparation of the FNC/ BUR and contributing to the improved UNFCCC reporting process

### **Green House Gas Inventory Coordinator**

The GHG Emissions Inventory Coordinator will work in cooperation with and under the supervision of the National Project Manager and the Principal Climate Change Officer of the National Climate Change Office. The GHG Emissions Inventory Coordinator will base coordination of team experts' work on the requirements of Guidelines for preparation National Communications to UNFCCC by Non-Annex I – countries.

### **Duties and Responsibilities**

The focus of this assignment is to ensure a technical coordination, consultation and practical guidance of the GHI working group in:

- support identifying the most appropriate national data, designing and development of the database and a land use matrix afferent to GHI reporting requirements per the international commitments of the Government of Belize under the UNFCCC, in accordance with IPCC 2006 methodological guidance;
- conduct analysis on definitions and representation of land use with clear guidance on how to implement the land use categories classification and provide solutions for activity data gap filling, if the case, in accordance with IPCC methodologies;
- elaborating the list of data needed for being subject of regular collection for the development GHG inventory, covering the reporting period to be included in the Fourth National Communication and FBUR
- drafting the survey and questionnaire forms by institutions to support data gathering;
- clarifying the methodological concerns (tiers, approaches, methodologies, coefficients, etc.) and issues related to GHI

### **Specific Tasks**

No	Task
1	Assist the national expert on inception phase on preparation of the inception report. (Contribution to the inception report)
2	Preparation and approval of TOR for experts with relevant expertise in key sectors and regions to undertake the tasks of the approved work plan for 2015. The formation and strengthening of the group on “GHG Emissions Inventory” component. Result: The list of experts and draft terms of reference for the group experts
3	Develop a presentation on GHG Emissions Inventory component to the Inception report
4	Clarification of methodological aspects: to determine the guidelines of the IPCC, the most appropriate to national circumstances, taking into account the criteria used for other processes, in order to make the transition to the Guidelines for the 2006 IPCC National Greenhouse Gas Inventories and the new updated version of the spreadsheet reporting (Common Reporting Format - CRF), analysing its implications for estimating of GHG emissions in accordance with Decision 24 / SR. 19 ( <a href="http://unfccc.int/resource/docs/2013/cop19/rus/10a03r.pdf#page=">http://unfccc.int/resource/docs/2013/cop19/rus/10a03r.pdf#page=</a> ) Result: <i>analytical note, recommendations</i>
5	Identify existing data sources and the search for additional sources of information necessary for analysis in accordance with the IPCC: - Identification of gaps in the data on the activities of the Energy (energy industry, transport, fugitive emissions); Industrial processes; Land use, land use change and forestry (LULUCF). Result: <i>analytical note on inventory gaps</i>
6	Needs assessment of the responsible organizations in raising awareness on GHG inventory (Section in the technical report)
7	Preparation of recommendations on improvement of National inventory system model effectiveness (Section in the technical report)
8	Develop / update plan for quality assurance and control (QA / QC), an agreement with JSC "Zhasyl Damu" and Ministry of Energy of the RK. Recommendations to ensure quality control and the creation of an independent panel of experts to conduct the cross check.

No	Task
	(Plan of quality assurance and quality control (QA / QC))
9	Preparation of a detailed action plan and budget for the Component for 2016 taking into account governmental co-financing of inventory, presentation and approval of the project activities on project Steering Committee meeting. <i>Result: Component action plan for 2013</i>
10	Preparation of the inventory component in the second Biennial report to the UNFCCC in accordance with the guidance of the UNFCCC (Preparation of a draft section)

## Annex C. Social and Environmental Screening Template

### Project Information

<b>Project Information</b>	
1. Project Title	<b>Fourth National Communication and First Biennial Update Report to the UNFCCC</b>
2. Project Number	00087297
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***

Project 00087297 is expected to make significant contributions to the definition of the national climate change planning and management architecture. Climate change has been identified as a key development challenge for the country of Belize. Its potential to influence the country's Social and economic development must be considered as the country effectively develops its sustainable development pathway. Building core national capacities for climate change monitoring and planning response is expected to contribute to national efforts aimed at providing a better quality of life for the citizens of Belize, doing so within the ecological limits of the planet. In Belize, the negative impacts of climate change on livelihoods, availability of resources, environmental health and quality of life measures is already evident. The project aims at contributing to resilience building, the management of natural capital, habitat settings, the maintenance of productivity and critical ecosystem services as a basis to support human existence and activity. The application of HRBA considerations in this regard will ensure the creation of national structures and policies responsive to the needs of the country's vulnerable populations. The project use of HRBA is expected to support national authorities in their works to establish appropriate legal and policy frameworks and monitoring mechanisms which supports the protection of citizens of Belize from human rights violations due to environmental degradation and climate change. The application of HRBA in this instance recognizes the inter-dependence of human rights and environmental sustainable development

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

As is presented in the Prodoc, the implementation of the enabling actions associated with the National Communications process will apply closely lessons and mechanisms presented in the **Gender Responsive National Communications Toolkit**. This toolkit is designed to strengthen the capacity of national government staff and assist them in integrating gender equality into the development of National Communications (NCs). Implementation guidance facilitate the inclusion of gender considerations in national stocktaking and planning efforts supported within the communications process. As communication products are expected to inform broader national and sector development planning, the development of national mechanisms for gender responsive monitoring and reporting is key. Communication deliverables (Reports, studies etc.) is expected to inform gender equitable planning and decision making .

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

The project acknowledges the importance of effective environmental management in the forging of a national responses to the effects of climate change, as is prescribed in the country's NDCs. Project activities promote sustainable management of natural resources and ecosystems and provides for environmental/ ecosystem based solutions aimed at the reduction of emissions of greenhouse gases and adaptation to the consequences of climate change.

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


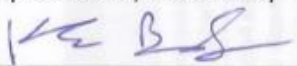

<b>QUESTION 2: What are the Potential Social and Environmental Risks?</b> <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” 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: Duty bearers may not have the capacity to meet their obligations in the project.	I = 3 P = 1	Low	In its <a href="#">5th Assessment Report</a> (2014), the <a href="#">Intergovernmental Panel on Climate Change (IPCC)</a> unequivocally confirmed that climate change is real and that human-made greenhouse gas emissions are its primary cause. Climate change is said to have the potential to directly and indirectly threaten the full and effective enjoyment of a range of human rights by people throughout the world, including the rights to life, water and sanitation, food, health, housing, self-determination, culture and development. The proposed initiative supports the creation of a robust national structure to plan for and respond to the threats of climate change. Actions supported through the FNC/ BUR process informs and guides national plans, processes and policies ensuring the adequacy of national mitigation and adaptation efforts. National executing entities are given the task to ensure, non-discriminatory responses grounded in the principles of human rights. The project will seek to <a href="#">apply a</a>	



			<a href="#">human rights-based approach</a> to guide the development of national policies designed to address climate change as well as enable national monitoring structures to consider HRBA as a part of long term monitoring.	
Risk 2: Low Capacity of right holder to claim rights	I = 2 P = 2	<b>Low</b>	Climate change dialogue amongst the Belizean citizenry is limited. Like most developing states much of the national discourse is happening at technical planning levels. The project supports a national communication work programme aimed at building knowledge amongst rights holders. It is determined that knowledge is key to the strengthening of their capacities to make their claims and of duty-bearers to meet their obligations.	
<b>QUESTION 4: What is the overall Project risk categorization?</b>				
<b>Select one (see <a href="#">SESP</a> for guidance)</b>			<b>Comments</b>	
<i>Low Risk</i>			<input checked="" type="checkbox"/>	
<i>Moderate Risk</i>			<input type="checkbox"/>	
<i>High Risk</i>			<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>	
<i>Principle 1: Human Rights</i>			<input checked="" type="checkbox"/>	There is weakness in the national structure in the application of a HRBA to effective project implementation. Based on this known gap it is expected that project deliverables/ work packages will take into consideration this deficiency in work package design and will explicitly direct the work of technical leads and consultant to ensure HRBA.
<i>Principle 2: Gender Equality and Women's Empowerment</i>			<input type="checkbox"/>	
<i>1. Biodiversity Conservation and Natural Resource Management</i>			<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

<i>Signature</i>	<i>Date</i>	<i>Description</i>
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 		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>11</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?	No
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	Yes
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		
<b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b>		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	No
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally	No

<sup>11</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.

	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?	
1.3	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)	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	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? <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>	No
<b>Standard 2: Climate Change Mitigation and Adaptation</b>		
2.1	Will the proposed Project result in significant greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
2.3	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)? <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>	No
<b>Standard 3: Community Health, Safety and Working Conditions</b>		
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?	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?	No
<b>Standard 6: Indigenous Peoples</b>		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	No
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
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 D. UNDP Project Quality Assurance Report

# Design & Appraisal Stage Quality Assurance Report

Overall Project Rating: **Highly Satisfactory**

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

Project Number: 00087297

Project Title: The project is in line with GEF-6 strategic focal area on climate change Mitigation, objective CCM3 on fostering enabling conditions to mainstream mitigation concerns into sustainable development strategies.

Project Date: 01-Mar-20

Strategic Quality Rating: **Highly Satisfactory**

1. Does the project's Theory of Change specify how it will contribute to higher level change? (Select the option from 1-3 that best reflects the project)

3: *The project has a theory of change with explicit assumptions and clear change pathway describing how the project will contribute to outcome level change as specified in the programme/CPD, backed by credible evidence of what works effectively in this context. The project document clearly describes why the project's strategy is the best approach at this point in time.*

2: The project has a theory of change. It has an explicit change pathway that explains how the project intends to contribute to outcome-level change and why the project strategy is the best approach at this point in time, but is backed by limited evidence.

1: The project does not have a theory of change, but the project document may describe in generic terms how the project will contribute to development results, without specifying the key assumptions. It does not make an explicit link to the programme/CPD's theory of change.

### Evidence

### Management Response

This GEF Enabling activity responds to national priorities and supports change actions necessary to build national capacities to effectively report to the UNFCCC. The project related activities were determined based on an assessment of current national circumstances, identifying gaps in national structure which currently limits national monitoring and reporting processes. The project as is designed support the building/ expansion of national capacities to mediate identified gaps and barriers.

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](#); an issues-based analysis has been 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 sectoral approach without addressing the complexity of the development

issue. None of the relevant SP indicators are included in the RRF. This answer is also selected if the project does not respond to any of the three areas of development work in the Strategic Plan.

#### Evidence

The project corresponds directly to the building of effective national institutions, responding directly to Output 1.4 ; indicator 1.4.1 Number of countries with systems in place to access, deliver, monitor, report on and verify use of climate finance and 1.4.2 Number of countries with comprehensive measures- plans, strategies, policies, programmes and budgets- .... Actions undertaken build national capacities to monitor and inform national development planning.

#### Relevant Quality Rating: Highly Satisfactory

3. Does the project have strategies to effectively identify, engage and ensure the meaningful participation of targeted groups/geographic areas with a priority focus on the excluded and marginalized? (select the option from 1-3 that best reflects this project)

3: *The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. Beneficiaries will be identified through a rigorous process based on evidence (if applicable.)The project has an explicit strategy to identify, engage and ensure the meaningful participation of specified target groups/geographic areas throughout the project, including through monitoring and decision-making (such as representation on the project board) (all must be true to select this option)*

2: The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. The project document states how beneficiaries will be identified, engaged and how meaningful participation will be ensured throughout the project. (both must be true to select this option)

1: The target groups/geographic areas are not specified, or do not prioritize excluded and/or marginalised populations. The project does not have a written strategy to identify or engage or ensure the meaningful participation of the target groups/geographic areas throughout the project.

Not Applicable

#### Evidence

Project seeks to engage key climate change actors and institutions through established national coordinating networks such as National Mitigation Sub-Committee and National Adaptation Sub-Committee of the National Climate Change Advisory Committee. These bodies are specified in national legislation to provide lead on national efforts.

#### Management Response

4. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design? (select the option from 1-3 that best reflects this project)

3: *Knowledge and lessons learned (gained e. g. through peer assist sessions) backed by credible evidence from evaluation,*



*corporate policies/strategies, and monitoring have been explicitly used, with appropriate referencing, to develop the project's theory of change and justify the approach used by the project over alternatives.*

2: The project design mentions knowledge and lessons learned backed by evidence/sources, which inform the project's theory of change but have not been used/are not sufficient to justify the approach selected over alternatives.

1: There is only scant or no mention of knowledge and lessons learned informing the project design. Any references that are made are not backed by evidence.

#### Evidence

#### Management Response

This enabling activity was informed by self assessment and include lessons learnt from the implementation of other communication efforts implemented by the Government of Belize.

5. Does the project use gender analysis in the project design and does the project respond to this gender analysis with concrete measures to address gender inequities and empower women? (select the option from 1-3 that best reflects this project)

3: A participatory gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men, and it is fully integrated into the project document. The project establishes concrete priorities to address gender inequalities in its strategy. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality, (all must be true to select this option)

*• 2: A gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men. Gender concerns are integrated in the development challenge and strategy sections of the project document. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality, (all must be true to select this option)*

1: The project design may or may not mention information and/or data on the differential impact of the project's development situation on gender relations, women and men, but the constraints have not been clearly identified and interventions have not been considered.

#### Evidence

#### Management Response

The project references the use of GEF guidelines for gender inclusion in national communications processes. All activities are scheduled to respond to efforts to adequately mainstream gender into national planning efforts.

6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-a-vis national partners, other development partners, and other actors? (select the option from 1-3 that best reflects this project)

*• 3: An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project. It is clear how results achieved by relevant partners will contribute to outcome level change complementing the project's intended results. If relevant, options for south-south and triangular cooperation have been considered, as appropriate. (all must be true to select this option)*

- 2: Some analysis has been conducted on the role of other partners where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project. Options for south-south and triangular cooperation may not have not been fully developed during project design, even if relevant opportunities have been identified.
- 1: No clear analysis has been conducted on the role of other partners in the area that the project intends to work, and relatively limited evidence supports the proposed engagement of UNDP and partners through the project. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance.

Evidence

Management Response

UNDP has served as IA for all previous national communication efforts. The ProDoc elaborates on the clear advantage associated with UNDP's involvement. This includes the organization's participation on national advisory bodies as well as UNDP's overall support to the national climate change portfolio. The Belize Donor Assistance and Coordination report of the IDB (2013) identifies UNDP as the most active development partner in the climate change thematic area.

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List of Uploaded Documents

File Name	Modified By	Modified
<a href="#">Belize Donor Assistance and Coordination Report - IDBV3.pdf</a>	allison.green@undp.org	2/20/2017 5:57:55 PM

Social & Environmental Standards

Quality Rating: Highly Satisfactory

7. 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 aims to further the realization of human rights, upholding the relevant international and national laws and standards in the area of the project. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. (all must be true to select this option)

*• 2: Some evidence that the project aims to further the realization of human rights. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget.*

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 were considered.

#### Evidence

#### Management Response

The project is guided by a human right based approach in programming. there is no evidence of adverse impacts on the enjoyment of human rights. As the project works primarily to support national structure, implementation ensures that human rights are considered in national design.

8. Did the project consider potential environmental opportunities and adverse impacts, applying a precautionary approach? (select from options 1-3 that best reflects this project)

*• 3: Credible evidence that opportunities to enhance environmental sustainability and integrate poverty-environment linkages were fully considered as relevant, and integrated in project strategy and design. Credible evidence that potential adverse environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. (all must be true to select this option).*

2: No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Credible evidence that potential adverse environmental impacts have been identified and assessed, if relevant, and appropriate management and mitigation measures incorporated into project design and budget.

1: No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Limited or no evidence that potential adverse environmental impacts were adequately considered.

#### Evidence

#### Management Response

Reference prodoc. Project seeks to strengthen national structure which allows for coordinating measures to enhance environmental sustainability and contribute to the building of a stat resilient to the impacts of climate change. Actions produce necessary information required for the securing of key economic sectors and livelihood enabling growth sectors.

9. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify

potential social and environmental impacts and risks? [If yes, upload the completed checklist as evidence. If SESP is not required, provide the reason(s) for the exemption in the evidence section. Exemptions include the following:

- Preparation and dissemination of reports, documents and communication materials
- Organization of an event, workshop, training
- Strengthening capacities of partners to participate in international negotiations and conferences
- Partnership coordination (including UN coordination) and management of networks
- Global/regional projects with no country level activities (e.g. knowledge management, inter-governmental processes)
- UNDP acting as Administrative Agent

Yes

No

SESP not required

### Evidence

Reference ProDoc

#### List of Uploaded Documents

File Name	Modified By	Modified
<a href="#">SESP FNC.pdf</a>	omar.gale@undp.org	3/29/2017 10:05:30 PM

### Management & Monitoring

Quality Rating: Highly Satisfactory

10. Does the project have a strong results framework? (select from options 1-3 that best reflects this project)

3: *The project's selection of outputs and activities are at an appropriate level and relate in a clear way to the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators that measure all of the key expected changes identified in the theory of change, each with credible data sources, and populated baselines and targets, including gender sensitive, sex-disaggregated indicators where appropriate. (all must be true to select this option)*

2: The project's selection of outputs and activities are at an appropriate level, but may not cover all aspects of the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of gender sensitive, sex-disaggregated indicators, as appropriate. (all must be true to select this option)

1: The results framework does not meet all of the conditions specified in selection "2" above. This includes: the project's selection of outputs and activities are not at an appropriate level and do not relate in a clear way to the project's theory of change; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change, and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators.

## Evidence

## Management Response

## Reference Prodoc

11. Is there a comprehensive and costed M&E plan with specified data collection sources and methods to support evidence-based management, monitoring and evaluation of the project?

Yes

No

## Evidence

## Reference Prodoc

12. Is the project's governance mechanism clearly defined in the project document, including planned composition of the project board? (select from options 1-3 that best reflects this project)

3: *The project's governance mechanism is fully defined in the project document. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. (all must be true to select this option).*

2: The project's governance mechanism is defined in the project document; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The prodoc lists the most important responsibilities of the project board, project director/manager and quality assurance roles. (all must be true to select this option)

1: The project's governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided.

## Evidence

## Management Response

## Reference ProDoc

13. Have the project risks been identified with clear plans stated to manage and mitigate each risks? (select from options 1-3 that best reflects this project)

3: Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis. Clear and complete plan in place to manage and mitigate each risk. (both must be true to select this option)

2: *Project risks related to the achievement of results identified in the initial project risk log with mitigation measures identified for each risk.*

1: Some risks may be identified in the initial project risk log, but no evidence of analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified and no initial risk log is included with the project document.

## Evidence

## Management Response

Reference ProDoc. Project assurance plans developed during the inception phase of the project is expected to further detail project risks to implementation.

## Efficient Quality Rating: Highly Satisfactory

14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include: i) using the theory of change analysis to explore different options of achieving the maximum results with the resources available; ii) using a portfolio management approach to improve cost effectiveness through synergies with other interventions; iii) through joint operations (e.g., monitoring or procurement) with other partners.

Yes

No

## Evidence

Reference Project Proposal approved by GEF Sec.

15. Are explicit plans in place to ensure the project links up with other relevant on-going projects and initiatives, whether led by UNDP, national or other partners, to achieve more efficient results (including, for example, through sharing resources or coordinating delivery?)

Yes

No

## Evidenc

e

Reference Approved project proposal.

16. Is the budget justified and supported with valid estimates?

3: *The project's budget is at the activity level with funding sources, and is specified for the duration of the project period in a multi-year budget. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget.*

2: The project's budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget. Costs are supported with valid estimates based on prevailing rates.

1: The project's budget is not specified at the activity level, and/or may not be captured in a multi-year

budget.

#### Evidence

Project budgeting considered existing market values of services, works and materials required in project implementation.

17. Is the Country Office fully recovering the costs involved with project implementation?

O 3: The budget fully covers all direct project costs that are directly attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.)

• *2: The budget covers significant direct project costs that are directly attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant.*

O 1: The budget does not reimburse UNDP for direct project costs. UNDP is cross-subsidizing the project and the office should advocate for the inclusion of DPC in any project budget revisions.

#### Evidence

#### Management Response

Project recovering all possible cost in line with donor agreement with the GEF.

Effective

Quality Rating: Exemplary

18. Is the chosen implementation modality most appropriate? (select from options 1-3 that best reflects this project)

• *3: The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted, and there is evidence that options for implementation modalities have been thoroughly considered. There is a strong justification for choosing the selected modality, based on the development context. (both must be true to select this option)*

O 2: The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted and the implementation modality chosen is consistent with the results of the assessments.

O 1: The required assessments have not been conducted, but there may be evidence that options for implementation modalities have been considered.

#### Evidence

#### Management Response

Chosen implementation modality of Support to NIM selected as NIM is the preference of national counterparts and the GEF, however some capacity deficiencies were observed during HACT partner review.

19. Have targeted groups, prioritizing marginalized and excluded populations that will be affected by the project, been engaged in the design of the project in a way that addresses any underlying causes

of exclusion and discrimination?

• *3: Credible evidence that all targeted groups, prioritising marginalized and excluded populations that will be involved in or affected by the project, have been actively engaged in the design of the project. Their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change which seeks to address any underlying causes of exclusion and discrimination and the selection of project interventions.*

2: Some evidence that key targeted groups, prioritising marginalized and excluded populations that will be involved in the project, have been engaged in the design of the project. Some evidence that their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change and the selection of project interventions.

1: No evidence of engagement with marginalized and excluded populations that will be involved in the project during project design. No evidence that the views, rights and constraints of populations have been incorporated into the project.

Not Applicable **Evidence**

Existing national platforms utilized in project implementation are believed have adequate representation from most relevant stakeholder groupings. The various subcommittees of the National Climate Change Advisory Committee, provides participation by a large cross section of stakeholder and interest groups.

20. Does the project conduct regular monitoring activities, have explicit plans for evaluation, and include other lesson learning (e.g. through After Action Reviews or Lessons Learned Workshops), timed to inform course corrections if needed during project implementation?

• **Yes**

No

**Evidence**

Annual quality assurance plans and clear monitoring plans are set in place and approved by the project board at project inception. Project also employs a multi-tier risk and issue management system.

21. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.

• **Yes**

No

**Evidence**

**Management Response**

Where necessary gender analysis are scheduled to inform project output and delivery.

22. Is there a realistic multi-year work plan and budget to ensure outputs are delivered on time and within allotted resources? (select from options 1-3 that best reflects this project)

• *3: The project has a realistic work plan & budget covering the duration of the project at the activity level to ensure outputs are delivered on time and within the allotted resources.*



- 2: The project has a work plan & budget covering the duration of the project at the output level.
- 1: The project does not yet have a work plan & budget covering the duration of the project.

#### Evidence

Reference Project prodoc.

#### Sustainability & National Ownership

Quality Rating: Exemplary

23. Have national partners led, or proactively engaged in, the design of the project?

*•3: National partners have full ownership of the project and led the process of the development of the project jointly with UNDP.*

- 2: The project has been developed by UNDP in close consultation with national partners.
- 1: The project has been developed by UNDP with limited or no engagement with national partners.
- Not Applicable

#### Evidence

Project was designed by the Government of Belize.

24. Are key institutions and systems identified, and is there a strategy for strengthening specific/ comprehensive capacities based on capacity assessments conducted? (select from options 0-4 that best reflects this project):

*• 3: The project has a comprehensive strategy for strengthening specific capacities of national institutions based on a systematic and detailed capacity assessment that has been completed. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly.*

2.5: A capacity assessment has been completed. The project document has identified activities that will be undertaken to strengthen capacity of national institutions, but these activities are not part of a comprehensive strategy to monitor and strengthen national capacities.

2: A capacity assessment is planned after the start of the project. There are plans to develop a strategy to strengthen specific capacities of national institutions based on the results of the capacity assessment.

1.5: There is mention in the project document of capacities of national institutions to be strengthened through the project, but no capacity assessments or specific strategy development are planned.

1: Capacity assessments have not been carried out and are not foreseen. There is no strategy for strengthening specific capacities of national institutions.

Not Applicable

### Evidence

Project targets the strengthening of the National Climate Change Office and the development of capacities within Key governmental line ministries and departments.

25. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.) to the extent possible?

Yes

No

Not Applicable [Evidence](#)

Will be further elaborated in annual assurance and monitoring plans.

26. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation strategy)?

Yes

No

### Evidence

Agreement in place with the Government of Belize for transition of capacities from project to national public services.

### Quality Assurance Summary/PAC Comments

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## Annex E. UNDP Risk Log

## OFFLINE RISK LOG

<b>Project Title:</b> Fourth National Communication and First Biennial Update Report to the UNFCCC	<b>Award ID:</b> 00087297	<b>Date:</b> March 15, 2016
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#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
1	Implementation Delays: As this programme is designed to be complementary to national work programmes, there is a risk of implementation delays	Project Development Phase	Strategic	Inability to synchronize works with national timelines and manage effectively internal timelines can lead to a breach in project delivery timelines  P = 2 I = 2	Mechanism in place for project representation at Heads of Department meetings held every 2 weeks in DOA. This allows for improved coordination across MAFFESDCC units involved in project implementation as well as greater grounding of the project within the ministry's broader programmatic framework	Coordinator of National Climate Change Office	Diane Wade-Moore	N/A	No change
2	Uptake of tools and vulnerability studies by planning ministries	Project Development Phase	Organizational	Non-uptake/ use of delivery products minimizes the impact of project as is conceived. A big part of national capacity building is tied to the actual mainstreaming of products into national processes.  P = 2 I = 3	The project proposes the formalization of processes and deliverables through SoPs. Implementing line ministries and department will be closely involved in tool selection and product delivery ensuring that individual needs are adequately reflected.	UNDP	Diane Wade-Moore	N/A	No change
3	Economic recession continues, increased difficulty for partners	Project Development Phase	Financial	Recent erosion of the national economy continues	Monitor national economic situation and anticipate any	UNDP	Diane Wade-Moore	N/A	2016 national budget

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
	to meet internal co-financing Obligations			to drive austerity measures within the Government of Belize. Cuts in national budgets threatens the ability of national counterparts to secure adequate co-financing of the project  P =3 I = 3	upcoming austerity. (The project was designed to be supported through existing national structures. No immediate expansion within the national framework is anticipated. This minimizes the risk of funding shortfalls)				shows decreases in programmatic funding across ministries.
4	Proposed Coordination mechanism accepted and enabled by Ministerial/ Department leadership	Project Development Phase	Political						

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**Annex F. Results of the capacity assessment of the project implementing partner and HACT micro assessment (to be completed by UNDP Country Office)**

**MOORE STEPHENS**

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**UNICEF, UNDP, UNFPA  
Micro Assessment**

**Ministry of Agriculture, Fisheries,  
Forestry, the Environment and  
Sustainable Development**

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# 1. MICRO-ASSESSMENT FINDINGS

## 1.1. RISK ASSESSMENT RESULTS

Tested subject area	Risk assessment*	Comments
1. Implementing Partner	Moderate	The Ministry of Agriculture, Fisheries, Forestry, the Environment and Sustainable Development was created following General Elections in November 2015 following the amalgamation of Departments from two different Ministries. The Department of Agriculture was removed from the Ministry of Natural Resources and Agriculture and incorporated into the Ministry of Forestry Fisheries and Sustainable Development
2. Programme Management	Significant	There are no M&E policies and procedures. Annual work plans are prepared together with UN Agencies. However the IP does make use of templates and good practices from previous projects.
3. Organizational Structure and Staffing	Moderate	Staff are recruited and selected as per the procedures of the Government of Belize. Some of the Finance team members are not fully equipped with accounting qualifications. Staff with lesser levels of qualifications instead have a number of years' experience. Since the IP is fully governmental, team members are subject to training scheduled by the Public Service Department.
4. Accounting Policies and Procedures	Moderate	Manual segregation of duties and within Smart Streams concerning authorization of purchase orders and payments is satisfactory. The procedures over financial reporting and budget analysis could be improved.
5. Reporting and Monitoring	Moderate	The IP prepares detailed reporting and monitoring tools which include monthly, quarterly and annual reports. Regular board meetings are held to ensure that the governing body and senior management are kept abreast of the main issues facing the project and any areas of concern.  We were not provided with sufficient explanation about the preparation of overall financial statements.
6. Information Systems	Moderate	The IP's information systems are administered and monitored by the Central Information Technology Office (CITO). CITO is an independent government body that is fully responsible for providing the required framework and ensuring that emphasis is placed on appropriate policies, standards and security standards. Information systems are subjected to rigid controls.  However, we were not provided with any information on

		the back up procedures.
7. Procurement	Moderate	Procurement procedures are issued by the Government of Belize. The application of these procedures is overseen by the office of the Contractor General. The procedures for procurement of services are not clearly addressed and staff do
		not seem to be trained sufficiently to apply these rules.
<b>Overall risk assessment</b>	<b>Moderate</b>	

\* High, Significant, Moderate, Low



**1.2. SUMMARY OF MANAGEMENT CONTROL FINDINGS**

1	Insufficient qualifications
2	Lack of adequate monitoring of employee hours
3	Weaknesses in procurement guidelines
4.	Weaknesses in budget management
5.	Control weaknesses regarding safeguards over assets
6.	Insufficient monitoring and evaluation system

Details of the findings and recommendations are set out in Annex 2.



Mark Henderson  
Partner  
Moore Stephens LLP

# ANNEXES

## ANNEX 1: THE ORGANISATION

### **Mission**

A transformed/modern sector that is fully competitive, diversified and sustainable. This Ministry expects to continue as the economic pillar of Belize, to ensure food security, to generate income and foreign exchange, to create employment, and to conserve natural resources, in order to grow the economy, reduce poverty and empower the local population for sustainable development.

### **Key financial information**

Key financial information was not provided by the entity.

## ANNEX 2: MANAGEMENT CONTROL FINDINGS

No.	Description	Recommendation
1.	<p><b>Insufficient qualifications</b></p> <p>We noted that several staff members from the finance function did not possess professional accounting qualifications and this was not outweighed by the experience. This increases the risk that errors are made and remain undetected.</p>	<p>The IP should ensure that staff employed to perform specific functions are appropriately qualified and / or suitably trained to meet the requirements of their roles.</p>
2.	<p><b>Lack of adequate monitoring of employee hours</b></p> <p>We noted that the procedures for monitoring time worked by employees were insufficient.</p> <p>The IP records all employees' hours on a register but they are not checked and verified. The attendance register does not allow proper allocation of time spent on projects since employees are only required to sign in the hour of arrival and hour of departure and there is no system of reporting how time was spent on specific project or activities.</p>	<p>We recommend that the IP implements a system whereby the actual of time spent on a specific project can be accurately recorded and verified, with the appropriate cost then charged to that project.</p> <p>One such system would be the use of timesheets, completed by the individual employee and approved by a suitable senior member of staff or the project team.</p>
3.	<p><b>Weaknesses in procurement guidelines</b></p> <p>The organisation follows the policies of the Government of Belize Finance and Audit (Reform) Act 2005 No. 12 of 2005, Published 9 April 2005 (as amended by Finance and Audit Reform Amendment Act #31 of 2010 dated 31 December 2010) which do not clearly cover competitive buying procedures for the purchase of services.</p> <p>There is little guidance to specify the minimum number of quotations required for various categories of procurement. Furthermore, there are limited detailed guidelines providing thresholds and practical guidance</p>	<p>We understand that the Ministry of Public Services is preparing a procurement document with detailed guidelines which is expected to be available in 2016. We recommend training be given to staff to ensure that they understand the new procurement rules and their application at a practical day-to-day level.</p>

	regarding competitive procedures to be followed.	
No.	Description	Recommendation
4.	<p><b>Weaknesses in budget management</b></p> <p>Smart Streams does not allow for detailed budget analysis on an activity basis and no other tools are used to follow up actual expenditure vs budgeted expenditure over the life of a project.</p> <p>It is therefore difficult to know at any given point in time the level of expenditure compared to the budget.</p>	<p>To allow for better monitoring of expenditure it is recommended that an analysis of actual expenditure, projected expenditure and budgeted expenditure is performed on a regular basis.</p>
5.	<p><b>Control weaknesses regarding safeguards over assets</b></p> <p>We noted the following control weaknesses regarding the safeguards over assets:</p> <ul style="list-style-type: none"> <li>• We were not provided with evidence that assets other than vehicles are insured;</li> <li>• Fixed asset inventory is not done on a regular basis</li> </ul>	<p>We recommend that:</p> <ul style="list-style-type: none"> <li>• All major assets should be insured in order to minimise the loss in the event of damage or loss of an asset.</li> <li>• The delivery and receipt of assets should be formally documented to ensure that the assets are physically received and verified by project staff.</li> <li>• Regular physical verifications should be performed and any discrepancies between the fixed asset register and the physical count results should be investigated and corrected. Evidence of</li> </ul>

		physical verifications should be retained for record keeping.
6.	<p><b>Insufficient Monitoring &amp; Evaluation system</b></p> <p>We noted that monitoring and evaluation of project activities was underdeveloped, and we were not provided with written procedures.</p> <p>The IP only has basic templates used for M&amp;E and only prepare quarterly progress reports.</p> <p>Baselines, target, expected outcomes are set in donors funded documents and not as part as an overall system for the Ministry.</p> <p>Monitoring activities are not very well developed.</p>	<p>The organisation should reinforce its approach to M&amp;E, including ensuring that adequate procedures and policies are in place as well as monitoring activities.</p> <p>Failure to embed monitoring and evaluation into project activities increases the risk of identifying issues with implementation, the possible wastage of resources, and the ability to build up institutional knowledge for future projects.</p>

### ANNEX 3: MICRO ASSESSMENT QUESTIONNAIRE

**Instructions:** This questionnaire contains various questions related to nine subject areas, summarized further below. Please answer each question by indicating your response as ‘Yes’, ‘No’ or ‘N/A’ (for ‘not applicable’). Also, use the ‘Comments’ section next to each question to provide details of your assessment or to highlight any important matters. This document will be referenced subsequently

by the agency when performing additional assurance activities related to the IP. Sufficient details should be provided in this document for the agency to understand the details of each response.

Assign a risk rating (high, significant, moderate or low) for each question based on the response obtained. (For example, if the question addresses an item that should ideally be marked 'Yes' but was marked 'No', it should be assessed for the level of risk it presents to the IP's financial management system). Assigning risk ratings to each question requires judgment by the assessor as to how the response will affect the IP's financial management system. The risk ratings to be used are:

- **High** – Response to question/subject matter provides a risk to the overall financial management system that has both a high likelihood of occurring and a potentially negative impact on the IP's ability to execute the programme in accordance with the work plan and stated objectives. Additionally, this risk has not been mitigated by any other controls/process that have been implemented by the IP;
- **Significant** – Response to question/subject matter provides a risk to the overall financial management system that has either a significant likelihood of occurring or a potentially negative impact on the IP's ability to execute the programme in accordance with the work plan and stated objectives;
- **Medium** – Response to question/subject matter provides a risk to the overall financial management system that has a moderate likelihood of occurring and a potentially negative impact on the IP's ability to execute the programme in accordance with the work plan and stated objectives; or
- **Low** – Response to question/subject matter provides a risk to the overall financial management system that has a low likelihood of occurring and a potentially negative impact on the IP's ability to execute the programme in accordance with the work plan and stated objectives.

To determine the overall risk assessment for a subject matter section (e.g., Section 1. Implementing Partner), points are assigned that correlate with the level of risk. The points assigned to each question should be totaled and averaged based on the number of questions in the subject matter section. Questions that are not applicable to the IP (marked as 'N/A') should not be assigned a risk rating and should be removed from the total number of questions for the calculation. Points should be assigned as follows:

- H – High risk: 4 points
- S – Significant risk: 3 points
- M – Moderate risk: 2 points
- L – Low risk: 1 point

The average number of points calculated should then be compared to the points rating above and assigned a corresponding risk (i.e., an average of 2.0 would indicate a moderate risk rating for the subject matter section). Numbers should be rounded as follows:

- 0.1 to 0.49: Round down to the closest whole number (i.e., an average of 3.3 would be rounded down to 3.0, indicating a 'significant' risk rating);
- 0.5 to 0.99: Round up to the closest whole number (i.e., an average of 1.99 would be rounded up to a 2.0, indicating a 'moderate' risk rating).

The same process should be followed for determining the overall risk assessment for the IP once the checklist has been completed

<b>Summary of Risks Related to the Financial Management Capacity of the Implementing Partner</b>				
<b>Tested subject area</b> (see subsequent pages for details of each subject area summarized below)				
	<b>Total number of risk points</b>	<b>Total number of applicable questions</b>	<b>Overall risk assessment</b>	<b>Comments</b>
<b>1. Implementing Partner</b>	16	9	2	The Ministry of Agriculture, Fisheries, Forestry, the Environment and Sustainable Development was created following General Elections in November 2015. The Ministry of Agriculture and Fisheries was previously attached to the Ministry of Forestry, Environment and Sustainable Development.
<b>2. Programme Management</b>	19	7	3	There are no M&E policies and procedures. Annual work plans are prepared together with UN Agencies. However the IP does make use of templates and good practices from previous projects.
<b>3. Organizational Structure and Staffing</b>	17	7	2	Staff are recruited and selected as per the procedures of the Government of Belize. Some of the Finance team members are not fully equipped with accounting qualifications. Staff with lesser levels of qualifications instead have a number of years' experience. Since the IP is fully governmental, team members are subject to training scheduled by the Public Service



				Department.
<b>4. Accounting Policies and Procedures</b>	48	27	2	Manual segregation of duties and within Smart Streams concerning authorization of purchase orders and payments is satisfactory. The procedures over financial reporting and budget analysis could be improved.
<b>Summary of Risks Related to the Financial Management Capacity of the Implementing Partner</b>				
<b>Tested subject area</b> (see subsequent pages for details of each subject area summarized below)				
	<b>Total number of risk points</b>	<b>Total number of applicable questions</b>	<b>Overall risk assessment</b>	<b>Comments</b>
<b>5. Reporting and Monitoring</b>	12	5	2	The IP prepares detailed reporting and monitoring tools which include monthly, quarterly and annual reports. Regular board meetings are held to ensure that the governing body and senior management are kept abreast of the main issues facing the project and any areas of concern.

<b>6. Information Systems</b>	7	1	2	The IP's information systems are administered and monitored by the Central Information Technology Office (CITO). CITO is an independent government body that is fully responsible for providing the required framework and ensuring that emphasis is placed on appropriate policies, standards and security standards. Information systems are subjected to rigid controls.
<b>7. Procurement</b>	20	10	2	Procurement procedures are issued by the Government of Belize. The application of these procedures is overseen by the office of the Contractor General. The procedures for procurement of services are not clearly addressed and staff do not seem to be trained sufficiently to apply these rules.
<b>Total:</b>	<b>139</b>	<b>66</b>	<b>2</b>	

### Micro Assessment Questionnaire

Subject area	Yes	No	N/A	Low risk consideration	Risk points	Remarks/comments
<b>1. Implementing Partner</b>						
1.1 Is the IP legally registered? If so, is it in compliance with registration requirements? Please note the legal status and date of registration of the	✓			IP is registered in the country where the programme operates and is current with registration/reporting requirements.	2	Ministry of Agriculture Fisheries and Forestry Environment and Sustainable Development. (Press Release issued by cabinet). This entity is a GoB Ministry. After General Elections the Cabinet issued a press release whereby the Ministry of Agriculture and Fisheries was amalgamated with the Ministry of Forest, Environment and Sustainable Development.

entity.						
1.2 Has the IP received United Nations resources in the past? If so, provide details of amounts, from which agency, for what purpose and whether there were any issues.		✓		IP has received United Nations resources in the past and no issues were encountered with utilizing these funds.	3	<p>Finance Officer June Brown Young stated that so far no funding has been received.</p> <p>The following projects are pending approval from UNDP:</p> <ul style="list-style-type: none"> <li>• Climate Change Unit (CCU)             <ul style="list-style-type: none"> <li>a) Project amount :- \$480,000.00US</li> <li>b) Purpose:- Support the country of Belize in the preparation of the 3rd National Communication to the conference of the parties to the UN frame work convention on Climate Change</li> </ul> </li> <li>• Department of the Environment (DOE)             <ul style="list-style-type: none"> <li>a) Project amount :- \$1,015,000.00 US</li> <li>b) Purpose:- Aims to assist Belize in implementing its relevant obligations under the Stockholm Convention, in particular to reduce the releases of Unintentional Persistent Organic Pollutants (UPOP's), as well as to build country's capacity to manage chemicals and waste.</li> </ul> </li> <li>• National Protected Areas Secretariat (NPAS)             <ul style="list-style-type: none"> <li>a) Project Amount:- \$75,000.00US</li> <li>b) Purpose:- Capacity-building for the strategic planning and management of natural resources in Belize</li> </ul> </li> </ul>

1.3 Does the IP have statutory reporting requirements? If so, are they in compliance with such requirements?	✓			The IP is compliant with applicable statutory requirements.	3	Statutory requirements involve all laws and regulations stipulated by the Ministry of Finance. The Government budget accounts for Recurrent expenses, Capital II and Capital III. The IP confirmed that all donor funding is included in the Capital III but we were not able to verify this.
1.4 Is the governing body of the IP independent from management?	✓			The governing body of the IP is independent from management.	1	<p>The governing body of the IP is independent from management.</p> <p><b>Governing Body</b>  Minister - Hon. Gaspar Vega, Hon. Omar Figueroa  CEO - Jose Alpuche and Colin Young</p> <p><b>Senior Management</b>  Chief Agriculture Officer - Roberto Harrison  chief Environmental officer- Martin Alegria  Chief First Officer - Wilber Sabido  Fisheries Administrator - Beverly Wade  Administrative Officers - Avis Henry, Maria Burns, Dorita Pacheco  Finance Officers - June Young, Johari Palacio  Head of Extension Officer - Belarmino Esquivel  Director for Climate Change - Anne Garden  Policy Coordinator - Milagro Matus</p>
1.5 Does the governing body meet on a regular basis and perform oversight functions?	✓				1	<p>Governing body and senior management meet on a monthly basis to discuss all outstanding issues. Depending on the urgency of matters a meeting maybe called within the month. Project Board Minutes are prepared for each meeting held.</p>

<p>1.6 Does the IP show basic financial stability incountry (core resources; funding trend)</p> <p><i>Provide the amount of total assets, total liabilities, income and expenditure for the current and prior fiscal year.</i></p>	✓		<p>The IP appears to have been solvent (i.e. total assets greater than total liabilities) for the past three fiscal years.</p>	1	<p>Ministry does show stability since the Ministry is primarily funded by government of Belize.</p>
<p>1.7 Can the IP easily receive funds? Have there been any major problems in the past in the receipt of funds, particularly where the funds flow from government ministries?</p>	✓			2	<p>Funds are transferred from the Ministry of Finance. The Finance officer is not aware of any major problems in receiving funds (but she only recently joined)</p>
<p>1.8 Does the IP have any pending legal actions against it?</p> <p><i>If so, provide details and actions taken by the IP to resolve the legal action.</i></p>		✓	<p>The IP does not have any pending legal actions against it.</p>	1	<p>No pending legal actions were identified.</p>
<p>1.9 Does the IP have any key financial or operational risks that are not covered by this questionnaire? If so, please describe.</p>		✓		2	<p>No other risks identified.</p>

Examples: foreign exchange risk; cash receipts.						
<b>Total number of questions in subject area:</b>	<b>9</b>					
<b>Number of questions marked 'N/A' in subject area:</b>	<b>0</b>					
<b>Total number of applicable questions in subject area:</b>	<b>9</b>					
<b>Total number of risk points:</b>					<b>16</b>	
<b>Implementing partner overall risk assessment:</b>					<b>2</b>	

Subject area	Yes	No	N/A	Low risk consideration	Risk points	Remarks/comments
<b>2. Programme Management</b>						
2.1. Does the IP have and use sufficiently detailed written policies, procedures and other tools (e.g. project development checklist, work planning templates, work planning schedule) to develop programmes and plans?		✓			<b>3</b>	The IP did not provide any written programme management policy. IP is adhering to guidelines, procedures and policies executed in past successful projects. IP plans to do all necessary amendments and use these templates for funding to be received in the future.
2.2. Do work plans specify expected results and the activities to be carried out to achieve results, with a time frame and budget for the activities?	✓				<b>2</b>	An annual work plan is prepared which includes details such as impacts and issues, objectives and outcomes, budget implementation schedule, risks, monitoring and evaluation. As there are no policies and procedures in place, there is no assurance that this is systematically prepared for all donorfunded project.
2.3 Does the IP identify the potential risks for programme delivery and mechanisms to mitigate them?	✓				<b>2</b>	There is no formal procedures in place for risk identification, monitoring and mitigation measures. Risks are identified when the project is established. Risk and issues logs are maintained during the projects.
2.4. Does the IP have and use sufficiently detailed policies, procedures, guidelines and other tools (checklists, templates) for monitoring and evaluation?	✓ <input type="checkbox"/>				<b>3</b>	The IP report quarterly on implementation progress but this does not constitute well developed M&E activities.

2.5 Does the IP have M&E frameworks for its programmes, with indicators, baselines, and targets to monitor achievement of programme results?	✓				<b>3</b>	The IP does not have a clear and defined M&E framework. All available frameworks, guidelines are encompassed in the Annual Work plans and Stage Plans and End of Stage Plans.  Donors should include indicators, baselines, targets in the Project documents.
2.6 Does the IP carry out and document monitoring activities such as regular review meetings, spot checks, on-site project visits, etc.	✓				<b>2</b>	Monitoring activities are documented and logged in established forms. Project officers are responsible to ensure that all necessary information is logged. These activities are discussed at the monthly Board meetings held.
2.7 Does the IP systematically collect, monitor and evaluate data on the achievement of project results?	✓				<b>2</b>	Project results are properly documented on the End Stage Plan reports and also discussed at the Project Board Meetings held. IP prepares Project Board minutes for all meetings held. Details of discussions, issues and results are documented on the minutes.
2.8 Is it evident that the IP followed up on independent evaluation recommendations?			✓			Not applicable - There have been no independent evaluations on the project implementation.
<b>Total number of questions in subject area:</b>	<b>8</b>					
<b>Number of questions marked 'N/A' in subject area:</b>	<b>1</b>					



<b>Total number of applicable questions in subject area:</b>	7					
<b>Total number of risk points:</b>					19	
<b>Funds flow overall risk assessment:</b>					3	

Subject area	Yes	No	N/A	Low risk consideration	Risk points	Remarks/comments
<b>3. Organizational Structure and Staffing</b>						
3.1 Are the IP's recruitment, employment and personnel practices clearly defined and followed, and do they embrace transparency and competition?		✓			2	Recruitment is handled by the Ministry of Public Service which is another entity. Therefore the IP does not have control on this process.
3.2 Does the IP have clearly defined job descriptions?		✓			2	IP provided detailed job descriptions for the Finance Department. Jobs descriptions are adapted to the needs of the projects and are usually attached to the Work plans.

<p>3.3 Is the organizational structure of the finance and programme management departments, and competency of staff, appropriate for the complexity of the IP and the scale of activities? Identify the key staff, including job titles, responsibilities, educational backgrounds and professional experience.</p>	<p>✓</p>	<p>✓</p>	<p>The level of posts and competency of staff are appropriate for the level of financial volume in the accounting/finance department.</p>	<p>3</p>	<p>Finance Department                  Finance Officers I - June Brown Young (Head of the Accounts Section) (35yrs experience) Secondary School Diploma                  Finance Officers III - Mr. Johari Palacio - BSc Degree Management,                  Ms. Lucretia Diego – BSc Degree Public Administration First Class Clerks - Mrs. Desiree Thomason – (23yrs experience) Secondary School Diploma                  Mr. David Pelayo – First Class Clerk (10yrs experience) Secondary School Diploma                  Mrs. Marvella Garcia Associates Degree Business Science (pursuing BSc Accounting) Second Class Clerks - Ms. Nafessa Gentle (11yrs experience) Secondary School Diploma                  Mr. Jason Henry (7 yrs. experience) Secondary Diploma                  Ms. Catherine Garnett Secondary School Diploma</p>
<p>3.4 Is the IP’s accounting/finance function staffed adequately to ensure sufficient controls are in place to manage agency</p>	<p>✓</p>	<p>✓</p>	<p>The IP’s accounting/finance function is staffed adequately to ensure sufficient controls are in place to manage agency funds.</p>	<p>2</p>	<p>Finance Staff attend Seminars and Training provided by the Ministry of Public Service from time to time. At the culmination of the seminars/training officers sit an examination for which they are awarded \$300.00 if a passing grade is achieved. Also, names of employee who achieve passing marks are published in a</p>

<p>funds?</p>						<p>memorandum.</p>
<p>3.5 Are accounting/finance staff familiar with United Nations procedures related to cash transfers (specifically the HACT framework)?</p>		✓		<p>The accounting/finance staff are familiar with United Nations procedures related to cash transfers (specifically the HACT framework).</p>	2	<p>The following persons have received training from UN Agencies                      Darlene Padron - Project Officer (Sustainable development) Wiseman Patt - Director of Sustainable Development Ms. Aretha Mortis (working with UNDP projects from 2008).</p>
<p>3.6 Does the IP have training policies for accounting/finance/ programme management staff? Are necessary training activities undertaken?</p>	✓			<p>The IP has training policies for accounting/finance staff, which are undertaken as planned.</p>	2	<p>In house training is given so that officers get familiar with the accounting system &amp; procedures. The Ministry of Public Service arranges training for lower, middle and upper management throughout the year. These trainings are arranged with local training sources for e. g. Belize Institutes of Management (BIM), the University of Belize (UB) and the University of the West Indies.</p>
<p>3.7 Does the IP perform background verification/checks on all new accounting/finance and management positions?</p>	✓			<p>The IP performs background verification/checks on all new accounting/finance and management positions.</p>	4	<p>Recruitment of employees is conducted by the Ministry of Public Service which is a Government Ministry. Public service department requires all employees to provide a Police Report and Public service is responsible to carry on background checks.</p>
<p><b>Total number of questions in subject area:</b></p>	<b>7</b>					

<b>Number of questions marked 'N/A' in subject area:</b>	0					
<b>Total number of applicable questions in subject area:</b>	7					
<b>Total number of risk points:</b>					17	
<b>Organizational structure and staffing overall risk assessment:</b>					2	

Subject area	Yes	No	N/A	Low risk consideration	Risk points	Remarks/comments
<b>4. Accounting Policies and Procedures</b>						
<b>4a. General</b>						
4.1 Does the IP have an accounting system that allows for proper recording of financial transactions from United Nations agencies, including allocation of expenditures in accordance with the respective components, disbursement categories and sources of funds?	✓			The IP has an accounting system that allows for proper recording of financial transactions from United Nations agencies, including allocation of expenditures in accordance with the respective components, disbursement	1	All transactions are recorded in Smartstream including transactions related to donor-funded projects.

				categories and sources of funds.		
4.2 Are controls in place concerning preparation and approval of transactions, ensuring that all transactions are correctly made and adequately justified?	✓			Controls are in place concerning preparation and approval of transactions, ensuring that all transactions are correctly made and adequately explained.	1	<p>Adequate segregation of duties is in place:</p> <ul style="list-style-type: none"> <li>- Purchase orders are posted by Purchase order clerks.</li> </ul> <p>Invoice posted by Invoice Clerk</p> <ul style="list-style-type: none"> <li>- Invoice are approved by Finance Officer (in Smartstream and printed invoice)</li> <li>- Payment are executed by the Invoice Clerk</li> <li>- Disbursement to vendor is done by Treasury Department (Ministry of Finance)</li> </ul>

<p>4.3 Are controls in place for accurate cost allocations to the various funding sources in accordance with established agreements?</p>	<p>✓</p>		<p>Controls are in place for accurate cost allocations to the various funding sources in accordance with established agreements.</p>	<p>2</p>	<p>IP has explained that they use chart of accounts to allocate various funding received. The IP is assigned a Cost Centre number that contains different line items.</p> <p>e. g. the Chart of Accounts for Personal Emolument code is 230;</p> <ul style="list-style-type: none"> <li>• 23001 – Permanent establish</li> <li>• 23003 – unestablished staff</li> <li>• 23004 – Social Security</li> </ul> <p>This is not a cost center system but this may be sufficient.</p>
<p>4.4 Are the general ledger and subsidiary ledgers reconciled at least monthly? Are explanations provided for significant reconciling items?</p>	<p>✓</p>		<p>The general ledger and subsidiary ledgers are reconciled at least monthly, and explanations are provided for significant reconciling items.</p>	<p>2</p>	<p>Reconciliation of ledgers is prepared by the Ministry of Finance on a monthly basis. Transactions posted in Smartstream cannot exceed what is available because Smartstream flags this.</p>
<p>4.5 Are all accounting and supporting documents retained in an organized system that allows authorized users easy access?</p>	<p>✓</p>		<p>Accounting and supporting documents are retained permanently in a defined system that allows authorized users easy access.</p>	<p>1</p>	<p>IP has documents along with all supporting documents filed properly. Filing clerks are responsible to file documents according to their respective Cost Centers and line items. All documents are stored in filing cabinets which are properly labeled.</p>
<p><b>4b. Segregation of duties</b></p>					

<p>4.6 Are the following functional responsibilities performed by different units or individuals: (a) authorization to execute a transaction; (b) recording of the transaction; and (c) custody of assets involved in the transaction?</p>	<p>✓</p>		<p>The following functional responsibilities are performed by different units/individuals: (a) authorization to execute a transaction; (b) recording of the transaction; and (c) custody of assets involved in the transaction.</p>	<p>1</p>	<p>a.) Authorization to execute a transaction is done by the Finance Officer                  b.) Recording of transaction is done by the Purchase order clerk and invoice clerk                  c.) Items received are verified by the clerks against the Invoice and custody is done by Finance Officer.</p>
<p>4.7 Are the functions of ordering, receiving, accounting for and paying for goods and services appropriately segregated?</p>	<p>✓</p>		<p>The functions of ordering, receiving, accounting for and paying for goods and services are appropriately segregated.</p>	<p>1</p>	<p>Yes, stated on 4.2</p>
<p>4.8 Are bank reconciliations prepared by individuals other than those who make or approve payments?</p>			<p>✓                  Bank reconciliations are prepared by individuals other than those who make or approve payments.</p>		<p>No bank reconciliations prepared since IP does not own any bank account.</p>
<p><b>4c. Budgeting system</b></p>					

4.9 Are budgets prepared for all activities in sufficient detail to provide a meaningful tool for monitoring subsequent performance?	✓		IP budgets are prepared for all activities in sufficient detail to provide a meaningful tool for monitoring subsequent performance	3	<p>The IP explain that budgets for every fiscal year have to be prepared as per the regulations of the Ministry of Finance. Amounts detailed on the budget is what is transferred to the Accounts on a monthly basis to be available to be expended.</p> <p>This is not sufficient to manage UN Funds and adequate budget management procedures should be established by the entity.</p>
4.10 Are actual expenditures compared to the budget with reasonable frequency? Are explanations required for significant variations from the budget?	✓		Actual expenditures are compared to the budget with reasonable frequency, and explanations are required for significant variations from the budget.	3	<p>Comparison of budgeted figures and actual figures is done on Smartstream. Finance officer monitors the actual vs budgeted only on Smartstream. Smartstream does not allow transactions to be posted if the accounts do not have sufficient available balance.</p> <p>Again, monitoring budget consumption only based on available balance is not sufficient to ensure adequate budget management. Procedures should be reinforced.</p>
4.11 Is prior approval sought for budget amendments in a timely way?	✓		Approvals are required prior to significant variations from the budget.	1	Approval for budget amendments is required from the Ministry of Finance.
4.12 Are IP budgets approved formally at an appropriate level?	✓		The IP has a designated individual(s) responsible for preparation and approval of budgets related to agency funding.	1	Budgets are approved at House of Representatives meetings.



<b>4d. Payments</b>						
<p>4.13 Do invoice processing procedures provide for:</p> <ul style="list-style-type: none"> <li>· Copies of purchase orders and receiving reports to be obtained directly from issuing departments?</li> <li>· Comparison of invoice quantities, prices and terms with those indicated on the purchase order and with records of goods/services actually received?</li> <li>· Checking the accuracy of calculations?</li> </ul>	✓			<p>Invoice processing procedures are sufficient, including: receiving copies of purchase orders and receiving reports directly from issuing departments; comparing invoice quantities, prices and terms with those indicated on the purchase order and with records of goods actually received; and checking the accuracy of calculations (if any).</p>	2	<p>Invoice processing procedures provide for copies of purchase orders. It is the duty of the approvers to verify the Invoice amount vs the Payment amount. Also, the person receiving the goods/items signs as proof of item receipt.</p>
<p>4.14 Are payments authorized at an appropriate level? Does the IP have a table of payment approval thresholds?</p>	✓				2	<p>For transactions of value below BZD10,000 (USD5,000), payments require two approvals: first approver is the Accounts Clerk and second approver is the FO. For payments of value higher than BZD10,000, the Clerk is not involved in the authorisation process and only the FO signature is required for approval. Some specific payments are directly authorised by the CEO (e.g. grants).</p>

4.15 Are all invoices stamped 'PAID', approved, and marked with the project code and account code?	✓			Invoices are stamped 'PAID', dated, reviewed and approved, and clearly marked for account code assignment.	1	Yes – with a number of stamps :- <ul style="list-style-type: none"> <li>• PAID</li> <li>• Approved on Smartstream by 1st &amp; 2nd Approver • and a Date stamp</li> </ul>
4.16 Do controls exist for preparation and approval of payroll expenditures? Are payroll changes properly authorized?	✓			Controls exist for the preparation and approval of payroll expenditures and changes are properly authorized.	1	Yes, these changes are not permitted unless properly authorized by the Ministry Public Service/Public service Commission (MPS) who is the regulating body of wages and salaries. A 'Changes in Salary' form is completed and signed by proper authority and submitted to Human Resources Management Information System (HRMIS) for implementation
4.17 Do controls exist to ensure that allocation of staff salary costs reflects the actual amount of staff time spent on a project?		✓			4	No system of staff allocation to the project.
4.18 Do controls exist for expense categories that do not originate from invoice payments, such as DSAs, travel, and internal cost allocations?	✓			Controls exist for expense categories that do not originate from invoice payments, such as DSA, travel, consultancies.	3	DSA rates and documents for travel authorization are set by the Ministry. There is no system for internal costs allocation.
<b>4e. Policies and procedures</b>						
4.19 Does the IP have a stated basis of accounting (i.e. cash or accrual) and does it allow for compliance with the agency's	✓			The IP has a single basis of accounting.	3	The IP stated that the basis of accounting is accrual basis. This is not compliant with other ministries.  This Ministry serves as a pilot for the implementation of accrual basis accounting in the government.

requirement?						
4.20 Does the IP have an adequate policies and procedures manual and is it distributed to relevant staff?	✓			The IP has an adequate policies and procedures manual to guide activities and ensure staff accountability.	1	Yes, the following manuals; <ul style="list-style-type: none"> <li>• Financial Order,</li> <li>• Finance &amp; Audit (Reform Act)</li> <li>• Store Order</li> <li>• the Control of Public Expend</li> </ul>
<b>4f. Cash and bank</b>						
4.21 Does the IP require dual signatories for bank transactions? How many signatories are on the bank account and how many are required to execute transactions? How are names added/ removed. Provide names.			✓	The IP has signatories on the bank accounts that will be used for United Nations resources and more than one signatory is required for each transaction.	N/A	The IP does not manage bank account.
4.22 Does the IP maintain an adequate, up-to-date cashbook, recording receipts and payments?			✓	The IP maintains an adequate, up-to-date cashbook, recording receipts and payments.		

4.23 Are bank balances and cash ledger reconciled monthly and properly approved? Are explanations provided for significant and unusual reconciling items?			✓	Bank balances and cash ledgers are reconciled monthly and properly approved. Significant and unusual reconciling items are explained.		
4.24 Is substantial expenditure paid in cash? If so, does the IP have adequate controls over cash payments?			✓			
4.25 Does the IP carry out a regular petty cash reconciliation?			✓			
4.26 Are cash and checks maintained in a secure location with restricted access? Are bank accounts protected with appropriate remote access controls?			✓	Cash and checks are maintained in a secure location and access has been properly designated and maintained.		
<b>4g. Safeguards over assets</b>						
4.27 Is there a system of adequate safeguards to protect assets from fraud, waste and abuse?	✓			The IP has a system of adequate safeguards to protect assets from fraud, waste and abuse.	1	Inventory log is prepared and updated at the end of every count. Inventory log is reviewed by the Auditor General.

4.28 Are subsidiary records of fixed assets and inventory kept up to date and reconciled with control accounts?		✓		Subsidiary records of fixed assets and inventory are kept up to date and reconciled with control accounts.	3	Inventory log is kept but due to time constraint and the changes within the Ministry that was effective on November 2015 IP has not updated the inventory log.
4.29 Are there periodic physical counts of fixed assets?	✓			The IP performs periodic physical inventories of fixed assets and inventory.	1	Physical counts are scheduled to be carried out every 3 months or 6 months. Inventory log is updated with additions or disposals.
4.30 Are fixed assets and inventory adequately covered by insurance policies?	✓			The IP's fixed assets and inventory are adequately covered by insurance policies.	3	Vehicles carry third party insurance. We were not provided with evidence that other assets are insured.
<b>4h. Warehousing and inventory management</b>						
4.31 Do warehouse facilities have adequate physical security?			✓		N/A	There is no warehouse at the IP.
4.32 Is inventory stored so that it is identifiable, protected from damage, and countable?			✓			
4.33 Does the IP have an inventory management system?			✓			
4.34 Is responsibility for receiving and issuing inventory segregated from that for updating the inventory records?			✓			

4.35 Are regular physical counts of inventory carried out?			✓		
<b>4i. Other offices or entities</b>					
4.36 Do any other offices/ external entities participate in implementation? If so, does the IP have policies and process to ensure appropriate oversight and monitoring of implementation?			✓	If the IP has other offices/entities participating in implementation, there are adequate policies and procedures to ensure appropriate oversight and monitoring of implementation. The IP also has experience with this process.	The IP does not implement projects with other external entities.
4.37 Does the IP maintain contractual agreements with other offices/external entities?			✓	The IP maintains current contractual agreements with other offices/entities.	
4.38 Does the IP have a process to ensure expenditures of other offices/external entities are in compliance with the work plan and/or contractual agreement?			✓	The IP has a process to ensure expenditures of other offices/entities are in compliance with the work plan and/or contractual agreements.	
<b>4j. Internal audit</b>					

4.39 Is the internal auditor sufficiently independent to make critical assessments? To whom does the internal auditor report?	✓			The internal auditor is sufficiently independent to make critical assessments.	2	Yes, internal auditor is from the Ministry of Finance which is a separate Ministry.
4.40 Does the IP have stated qualifications and experience requirements for internal audit department staff?			✓	The IP has stated qualifications and experience requirements for internal audit department staff.	-	Not applicable - The Auditor General staffing is outside of the IP's direct control.
4.41 Are the activities financed by the agencies included in the internal audit department's work programme?		✓		The activities financed by agency funds will be included in the internal audit department's work programme.	2	Internal auditor reviews all funds, recurrent, Capital II and Capital III however, there is no assurance the transactions paid by UN funds will be included in the audit plan.
4.42 Does the IP act on the internal auditor's recommendations?			✓	The internal auditor has policies and procedures to take action on findings identified, if any.	-	IP does not have written General Auditor recommendations since no significant variances are encountered.
<b>4k. Anti-fraud and corruption</b>						

4.43 Does the IP have an anti-fraud and corruption policy?	✓			The IP has advised employees, beneficiaries and other recipients to whom they should report if they suspect fraud, waste or misuse of agency resources or property.	1	Policy is stated on the Public Service Regulations. The regulations include a code of conduct that details conflict of interest and bribery policies and provide detailed procedures to follow in case of suspicion.
4.44 Has the IP advised employees, beneficiaries and other recipients to whom they should report if they suspect fraud, waste or misuse of agency resources or property? If so, does the IP have a policy against retaliation relating to such reporting.	✓			The IP has advised employees, beneficiaries and other recipients to whom they should report if they suspect fraud, waste or misuse of agency resources or property.	1	Employees are aware since this is mentioned at the time recruitment. Seminars are held whereby fraud, waste or misuse of agency resources or property is discussed.
<b>Total number of questions in subject area:</b>	<b>44</b>					
<b>Number of questions marked 'N/A' in subject area:</b>	<b>17</b>					
<b>Total number of applicable questions in subject area:</b>	<b>27</b>					
<b>Total number of risk points:</b>					<b>48</b>	



<b>Accounting policies and procedures overall risk assessment:</b>					<b>2</b>	
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Subject area	Yes	No	N/A	Low risk consideration	Risk points	Remarks/comments
<b>5. Reporting and Monitoring</b>						
5.1 Does the IP have established project reporting procedures that specify what reports are to be prepared, the frequency of preparation, what they are to contain and how they are to be used?	✓			The IP has established financial management reporting responsibilities that specify what reports are to be prepared, what they are to contain and how they are to be used.	1	<b>Reports to be prepared</b> 1. Annual Work plan - annually 2. Stage plan - quarterly 3. End of stage - quarterly 4. Risk log - updated as required 5. Issues - as required 6. Highlights report - monthly 7. Annual reports - annually 8. Project implementation report - Annually (July - June)
5.2 Does the IP prepare overall financial statements?	✓				3	We were not provided with adequate explanation in this regard.

<p>5.3 Are the IP's overall financial statements audited regularly by an independent auditor in accordance with appropriate national or international auditing standards? If so, please describe the auditor.</p>		✓		<p>The IP's specific financial statements are audited regularly by an independent auditor.</p>	2	<p>IP is audited directly by the Ministry of Finance There is no assurance that UN Funds will be audited since we do not know if UN funding have been included in the Audit Plan.</p>
<p>5.4 Were there any major issues related to ineligible expenditure involving donor funds reported in the audit reports of the IP over the past three years?</p>		✓		<p>No major accountability issues were brought out in audit reports of the IP over the past three years.</p>	3	<p>The reports are not available at the IP and therefore it is not possible to answer the questions.</p>
<p>5.5 Have any significant recommendations made by auditors in the prior three audit reports and/or management</p>		✓		<p>All recommendations made by the auditor in the prior three audit reports and/or management letters have been implemented.</p>	3	<p>Same as above</p>

letters not yet been implemented?						
<b>Total number of questions in subject area:</b>	<b>5</b>					
<b>Number of questions marked 'N/A' in subject area:</b>	<b>0</b>					
<b>Total number of applicable questions in subject area:</b>	<b>5</b>					
<b>Total number of risk points:</b>					<b>12</b>	
<b>Reporting and monitoring overall risk assessment:</b>					<b>2</b>	

Subject area	Ye s	N o	N/ A	Low risk consideration	Risk points	Remarks/comments
<b>6. Information Systems</b>						

6.1 Is the financial management system computerized?	✓			The financial management system is computerized and properly maintained.	1	The accounting software used is 'SmartStream'.
6.2 Can the computerized financial management system produce the necessary financial reports?	✓			The computerized financial management system can produce the necessary financial reports.	2	SmartStream can produce a report of all expenditure against a specific project, with the unspent balance reconciled. This is used as the basis for preparing FACE forms, but a manual allocation of transactions to the FACE form activities is required.
6.3 Are IP staff adequately trained to maintain the computerized financial management system?	✓			IP staff are adequately trained to maintain the computerized financial management system.	1	Yes – the staff ( CITO personnel) is adequately trained to maintain the SmartStream system
6.4 Does the IP have appropriate safeguards to ensure the confidentiality, integrity and availability of the financial data? E.g. password access controls; regular data back-up.	✓			The IP has appropriate safeguards to ensure the confidentiality, integrity and availability of the data.	3	Yes – only authorized personnel can access to the SmartStream system and individual's password is change periodically. Also:- <ul style="list-style-type: none"> <li>• if the computer is left unattended for about five seconds the screen saver mode actives</li> <li>• No print screen shot</li> <li>• No unauthorized USB (flash drive device)</li> <li>• No unauthorized access</li> </ul> <p>We were not provided with any explanation about the backup procedure.</p>

<b>Total number of questions in subject area:</b>	<b>4</b>					
<b>Number of questions marked 'N/A' in subject area:</b>	<b>0</b>					
<b>Total number of applicable questions in subject area:</b>	<b>4</b>					
<b>Total number of risk points:</b>					<b>7</b>	
<b>Information systems overall risk assessment:</b>					<b>2</b>	

<b>Subject area</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Low risk consideration</b>	<b>Risk points</b>	<b>Remarks/comments</b>
<b>7. Procurement</b>						
7.1 Does the IP have written procurement policies and procedures?	✓			The IP has written procurement policies and procedures.	2	The IP follows procurement policies and procedures from the Finance and Audit Act.  Per standard procurement policies, 3 quotations should be obtained for transactions above BZD3,000 (USD1,500). Open bidding should apply for purchases above BZD20,000 (USD10,000).
7.2 Are exceptions to procedures approved by management and	✓				2	In theory yes, but we have not been able to verify this.

documented ?						
7.3 Does the IP identify the requested authorizations for each value level of purchases? At what value does the IP	✓			The IP has defined authorization guidance and policies and procedures to ensure they are properly applied.	3	Senior authorization is required for all purchases. A Finance officer is considered part of Senior Management. There are no specific thresholds established.
require written authorization of senior management for a purchase (value in US dollars)?						
7.4 Do the procurement procedures and templates of contracts integrate references to ethical procurement principles and exclusion and ineligibility criteria?	✓			The procurement procedures and templates of contracts integrate references to ethical procurement principles and exclusion and ineligibility criteria.	1	No ethical procurement principles mentioned in the above document. Revisions are being made to this document which are in draft form and not available publicly. There are exclusion criteria mentioned such as (bankruptcy, criminal record, liquidation, misrepresentation etc..)

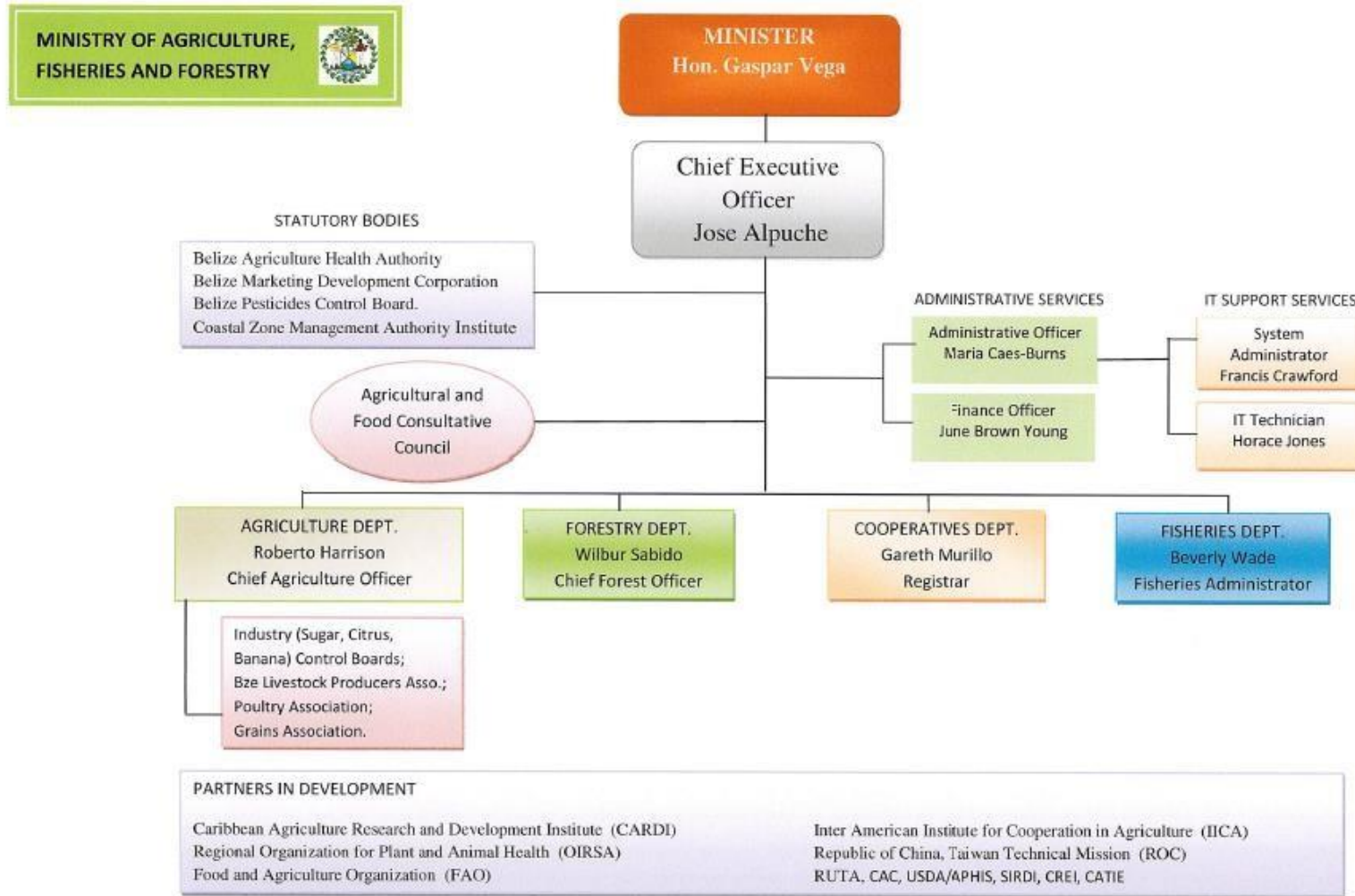
7.5 Does the IP obtain sufficient approvals before signing a contract?	✓			The IP obtains sufficient approvals before signing a contract executing a purchase or a payment.	1	All contracts/agreements are vetted by the Contractor General. No contract agreement can be done without the approval of the Contractor General. A Contract log is kept with details of contracts. At the end of the fiscal year IP is responsible to report all contracts and outstanding contracts to the Contractor General.
7.6 Does the IP have formal guidelines and procedures in place to assist in identifying, monitoring and dealing with potential conflicts of interest with potential supplier's/procurement agents? If so, how does the IP proceed in cases of conflict of interest?	✓			The IP has formal guidelines and procedures in place to assist in identifying, monitoring and dealing with potential conflict of interests with potential supplier's/procurement agents.	3	The public procurement procedures do not address this issue.
7.7 Does the IP have a well-defined process for sourcing suppliers? Do formal procurement methods include	✓			The IP has a welldefined process for sourcing/pre-qualifying suppliers.	2	Yes, there are written procurement policies and procedures in the following Orders and hand Books; • Financial Orders (F0) • Stores Orders • Finance and Audit (Reform) Act • Control of Public Expenditure (COPE)

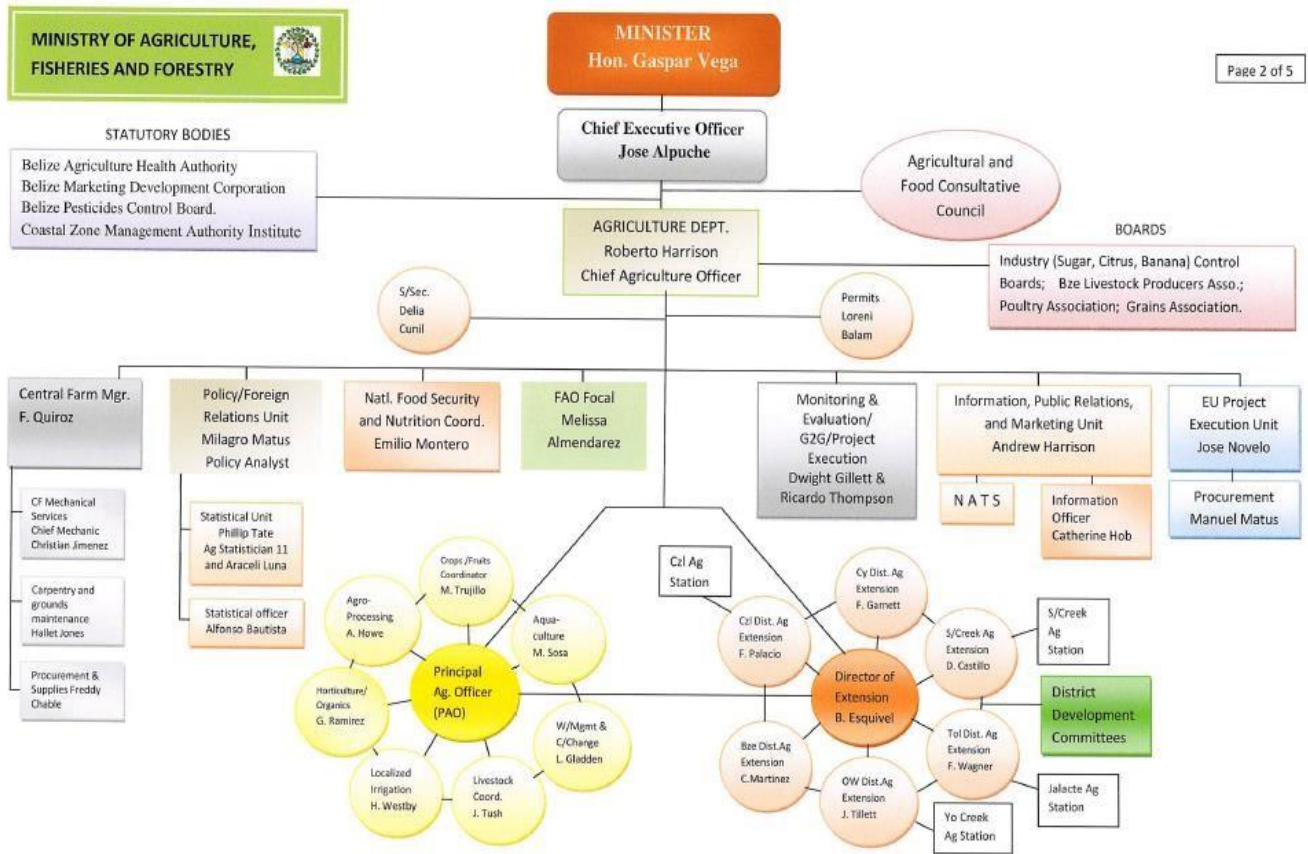


wide broadcasting of procurement opportunities?						These does not constitute sufficient procedures.
7.8 Does the IP keep track of past performance of suppliers? E.g. database of trusted suppliers.	✓				2	The IP maintains a list of suppliers based on past services provided however there are no formal procedures to keep the list updated. The number of suppliers in the Belmopan area is limited and trusted suppliers are well-known.
7.9 Does the IP have a well-defined process in place to ensure a secure and transparent bid and evaluation process? If so, describe the process.	✓			The IP has a welldefined process in place to ensure a secure and transparent bid and evaluation process.	2	The procurement rules does not clearly establish evaluation process. However, the Contractor General review them.

7.10 When a formal invitation to bid has been issued, does the IP award the contract on a predefined basis set out in the solicitation documentation taking into account technical responsiveness and price?	✓			The IP awards procurement contracts to qualified bidders whose bids substantially conform to requirements set forth in the solicitation documentation and offer the lowest cost.	2	General. The process is not well defined, it is decided on a case by case basis by the Contractor General.
<b>Total number of questions in subject area:</b>	<b>10</b>					
<b>Number of questions marked 'N/A' in subject area:</b>	<b>0</b>					
<b>Total number of applicable questions in subject area:</b>	<b>10</b>					
<b>Total number of risk points:</b>					<b>20</b>	
<b>Procurement overall risk assessment:</b>					<b>2</b>	

**ANNEX 4: ORGANOGRAM**





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

Dear CEO Dr. Percival Cho,

1. Reference is made to consultations between officials of the Government of *Belize*, (hereinafter referred to as “the Government”) and officials of UNDP with respect to the provision of support services by the UNDP country office for nationally managed programmes and projects. UNDP and the Government hereby agree that the UNDP country office may provide such support services at the request of the Government through its institution designated in the relevant programme support document or project document, as described below.
2. The UNDP country office may provide support services for assistance with reporting requirements and direct payment. In providing such support services, the UNDP country office shall ensure that the capacity of the Government-designated institution is strengthened to enable it to carry out such activities directly. The costs incurred by the UNDP country office in providing such support services shall be recovered from the administrative budget of the office.
3. The UNDP country office may provide, at the request of the designated institution, the following support services for the activities of the programme/project:
  - (a) Identification and/or recruitment of project and programme personnel;
  - (b) Identification and facilitation of training activities;
  - (c) Procurement of goods;
  - (d) Procurement of International consultancy services
  - (e) Logistical Support;
4. The procurement of goods and services and the recruitment of project and programme personnel by the UNDP country office shall be in accordance with the UNDP regulations, rules, policies and procedures. Support services described in paragraph 3 above shall be detailed in an annex to the programme support document or project document, in the form provided in the Attachment hereto. If the requirements for support services by the country office change during the life of a programme or project,

the annex to the programme support document or project document is revised with the mutual agreement of the UNDP resident representative and the designated institution.

5. The relevant provisions of the *UNDP standard basic assistance agreement with the Government* (the “SBAA”), including the provisions on liability and privileges and immunities, shall apply to the provision of such support services. The Government shall retain overall responsibility for the nationally managed programme or project through its designated institution. The responsibility of the UNDP country office for the provision of the support services described herein shall be limited to the provision of such support services detailed in the annex to the programme support document or project document.

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

7. The manner and method of cost-recovery by the UNDP country office in providing the support services described in paragraph 3 above shall be specified in the annex to the programme support document or project document.

8. The UNDP country office shall submit progress reports on the support services provided and shall report on the costs reimbursed in providing such services, as may be required.

9. Any modification of the present arrangements shall be effected by mutual written agreement of the parties hereto.

10. If you are in agreement with the provisions set forth above, please sign and return to this office two signed copies of this letter. Upon your signature, this letter shall constitute an agreement between your Government and UNDP on the terms and conditions for the provision of support services by the UNDP country office for nationally managed programmes and projects.

Yours sincerely,

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Signed on behalf of UNDP  
*Christian Salazar Volkman*  
Title: Resident Representative  
UNDP Belize

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For the Government  
Dr. Percival Cho  
Chief Executive Officer  
Ministry of Agriculture, Fisheries, Forestry, the Environment and Sustainable Development  
[Date]

Attachment

**DESCRIPTION OF UNDP COUNTRY OFFICE SUPPORT SERVICES**

1. Reference is made to consultations between the National Climate Change Office, the institution designated by the Government of Belize and officials of UNDP with respect to the provision of support services by the UNDP country office for the nationally managed programme or project Fourth National Communication and First Biennial Update Report to the UNFCCC.

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

3. SUPPORT SERVICES TO BE PROVIDED:

Support services	Schedule for the provision of the support services	Cost to UNDP of providing such support services	Amount and method of reimbursement of UNDP
1. Identification and/or recruitment of project personnel * Project Manager * Project Assistant	Project Inception Period	As per the UPL: US\$ 525.92	UNDP will directly charge the project upon receipt of request of services from the Implementing Partner
2. Procurement of goods: * Modeling software * Data Server * PCs * Printers * State Inventory and Projection Tool	Ongoing throughout implementation when applicable	As per the UPL: US\$ 192.05 for each Low value purchasing process, US\$475.27 for high value process	As above
3. Procurement of Services Contractual services for companies * Consultancy: Downscaling Climate Models * Consultancy: Sector Vulnerability Assessments * Consultancy: Determining of Local Emission factors Consultancy: Elaboration of LEDS for Key Sectors * Training: Capacity Development MRV	Ongoing throughout implementation when applicable	As per the UPL: US\$ 205.96 each hiring process	As above
4. Payment Process (Facilitation of Direct Payment to vendors/ Contract Management)	Ongoing throughout implementation when applicable	As per the UPL: US\$ 34.48 for each payment, US\$3.50 additional for watch cheque issued and US\$18.04 for each	As above

		new vendor	
5. Staff HR & Benefits Administration & Management	Ongoing throughout implementation when applicable	N/A	N/A
6. Recurrent personnel management services: Staff Payroll & Banking Administration & Management	Ongoing throughout implementation when applicable	As per the UPL, US\$401.28 per person	N/A
8. Ticket request (booking, purchase)	Ongoing throughout implementation when applicable	As per the UPL: US\$ 192.05 for each request	As above
10. F10 settlement	Ongoing throughout implementation when applicable	As per the UPL: US\$ 28.29 for each	As above
11. UNDP Policy Advisory Service (Communications, Supplies, Security)	Ongoing throughout implementation when applicable	Estimated at US\$2,500 per annum.	As above
	<b>Total:</b>	<b>up to US\$ 15,000</b>	

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

- UNDP Procurement Associate: Responsible for all procurement related activities such as low value procurement, ticketing, market research and analysis, preparation of all CAP related procurement documentation, inclusive of submission and coordination with ACP
- UNDP Finance Associate: Responsible for all disbursements, DSA calculation, B2B, dashboard management and vendor relationship
- UNDP Programme Associate: Responsible for coordination and logistic support to PMU unit in government and provides advisory support in day to day management of the project
- UNDP Programme Analyst: Responsible for overall project implementation inclusive of work plan development, risk monitoring, payment approvals, project process alignment with GEF policies and procedures, and ensuring proper monitoring and evaluation inclusive of Audit
- UNDP Operation Analysis: Responsible for Corporate alignment of Project



## **Annex H. FINAL REPORT OF [country's name] NATIONAL COMMUNICATION'S / BIENNIAL UPDATE REPORT'S PROJECT**

Monitoring and Evaluation plans of climate change enabling activities for the preparation of National Communications on Climate Change and/or Biennial Update Reports do not require the production and publication of Terminal Evaluation Reports. Therefore, a number of intended purposes of such terminal exercises are not captured in full, including:

- The promotion of accountability and transparency, and the assessment and disclosure of the extent of the project accomplishments;
- A synthesis of lessons that can help to improve the selection, design and implementation of future GEF financed UNDP activities;
- The provision of feedback on issues that are recurrent across the portfolio, attention needed, and on improvements regarding previously identified issues; and
- The contribution to the GEF Evaluation Office databases for aggregation, analysis and reporting on effectiveness of GEF operations in achieving global environmental benefits and on the quality of monitoring and evaluation across the GEF system.

The intent of this Final Report is not to propose an abridged alternative to the Terminal Evaluation Report. Instead, its purpose is to gather some insightful details about the process of preparing the mandatory report under the UNFCCC that can be of use to both the UNDP support teams, and the current and future national project teams. Its focus is therefore on providing:

- A synthesis of lessons that can help to improve the selection, design and implementation of future GEF financed UNDP activities; and
- Feedback on issues that are recurrent across the portfolio, attention needed, and on improvements regarding previously identified issues.

National project teams in charge of the future enabling activity for the preparation of the National Communication or Biennial Update Report can therefore rely on a valuable source of information from inception to closure of the project, and UNDP support teams can further disseminate lessons across borders, fully up-taking its guiding role as implementing agency and partner within the Global Support Programme (GSP, previously known as National Communications Support Programme).

The template has been designed with the purpose of collecting relevant information, without representing a time-intensive and human resource-intensive burden to the current national project team. It is therefore divided into three core sections – project identification phase, project implementation phase and project follow-up –with for each section a limited number of open questions.

The intention is to have the team leader, project manager or equivalent figure completing the template, in close collaboration with other team members within the last two months of project implementation. It is furthermore the intention of the completion of this Final Report to trigger the discussions of the upcoming National Communication and/or Biennial Update Report, taking advantage of the momentum created by the ongoing project, the presence of the core of the current national project team, and the renewed interest of national counterparts with the perspectives of an eminent or recent submission to the UNFCCC.

The completion of this template has been made mandatory and has been budgeted for in all projects that received approval post 2013 (3 working days equivalent of project manager's time). You are kindly invited to send the completed template to Damiano Borgogno, [damiano.borgogno@undp.org](mailto:damiano.borgogno@undp.org) and to Eva Huttova, [eva.huttova@undp.org](mailto:eva.huttova@undp.org).

**A. Details of the project**

Project's title	
PIMS number	
Overall budget including GEF grant including co-financing	
Duration of implementation	
Planned duration of project	
Implementing partner	
Team Leader's name and contact details	
Link to final report	

**B. Project identification phase**

Duration of preparatory phase (expressed in months) \_\_\_\_\_

Was the project document developed by a national/international consultant? (Please, provide name if yes and expand on the satisfaction of this collaboration.)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Please, shortly describe the milestones of this initial preparatory phase (e.g. consultation workshops held, telephone interviews with key stakeholders, among others)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Where consultations made with one or more of the following stakeholder groups?

	Ministry of Finance (or equivalent)		Women’s associations
	Other Ministries (not being the Ministry in charge of climate change)		Youth movements
	Local Governments		Indigenous peoples’ representatives
	National universities		Environment or climate related NGOs
	Domestic Research Centers		Other NGOs/CSOs
	Media		Others (specify)

What were the main objectives for the project identified as a result of this preparatory phase?

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What were the major challenges faced during this phase?

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Looking back, what issues that were identified and/or overlooked during this preparatory phase had an impact on the successive implementation phase?

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### C. Project implementation phase

*Technical components*

#### 1. GHG inventory

**Base year of the GHG inventory:**

**Base years used in previous GHG inventories:**

Expected outcome	
Expected output 1	
Expected output 2	
Expected output 3	

Final outcome	
Final output 1	
Final output 2	
Final output 3	
...	

Please, shortly discuss the expected outcomes and outputs of the GHG inventory component, and compare to what was actually realized within the context of this project. If there was any diverting from the originally expected outcomes and outputs, please explain the causes (e.g. lack of data, risk of duplication of work done in the context of parallel projects, among others).

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Can you describe the process(es) implemented to generate and validate outcomes and outputs?

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What pieces of advice do you have for future project teams?

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## 2. Mitigation actions

Expected outcome(s)	
Expected output 1	
Expected output 2	
Expected output 3	
...	

Final outcome(s)	
Final output 1	
Final output 2	
Final output 3	
...	

Please, shortly discuss the expected outcomes and outputs of the vulnerability and adaptation measures and mitigation measures components, and compare to what was actually realized within the context of this project. If there was any diverting from the originally expected outcomes and outputs, please explain the causes (e.g. lack of data, risk of duplication of work done in the context of parallel projects, among others).

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Can you describe the process(es) implemented to generate and validate outcomes and outputs?

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What pieces of advice do you have for future project teams?

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**3. Vulnerability & Adaptation for NC or MRV for BUR**

Expected outcome(s)	
Expected output 1	
Expected output 2	
Expected output 3	
...	

Final outcome(s)	
Final output 1	
Final output 2	
Final output 3	
...	

Please, shortly discuss the expected outcomes and outputs of the vulnerability and adaptation measures and mitigation measures components, and compare to what was actually realized within the context of this project. If there was any diverting from the originally expected outcomes and outputs, please explain the main reasons (e.g. lack of data, risk of duplication of work done in the context of parallel projects, among others).

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Can you describe the process(es) implemented to generate and validate outcomes and outputs?

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What pieces of advice do you have for future project teams?

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**4. Constraints and Gaps/Support needed**

Expected outcome	
Expected output 1	
Expected output 2	
Expected output 3	
...	

Final outcome	
Final output 1	
Final output 2	
Final output 3	
...	

Please, shortly discuss the expected outcomes and outputs of the Constraints and gaps, and related financial, technical and capacity needs component, and compare to what was actually realized within the context of this project. If there was any diverting from the originally expected outcomes and outputs, please explain the main reasons (e.g. lack of data, risk of duplication of work done in the context of parallel projects, among others).

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Can you describe the process(es) implemented to generate and validate outcomes and outputs?

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What pieces of advice do you have for future project teams?

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*Capacities and use of capacities*

Do you believe the project has built - in a durable and cost-effective way - human and institutional capacities? Please, elaborate.

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Please, estimate the amount of work done by national consultants versus international consultants:

\_\_\_\_\_ % national consultants. \_\_\_\_\_ % international consultants and \_\_\_\_\_ % national staff.

What work was entrusted to international consultants and for what reasons?

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What would you have done differently, or do you advise the next project team to consider in this context?

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Additional remarks

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*Institutional arrangements*

Please, summarize an overview of the institutional arrangements for the project implementation.

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Please, describe the composition of the project team.

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Will the team remain in place, even after the project has fully closed?

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Were gender considerations taken into account during the project design and implementation? If so, how?

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Which were the strengths and weaknesses of the institutional arrangements used?

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What suggestions have you to make regarding the institutional arrangements for future NC/BUR work?

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Additional remarks

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*Technical support from GSP, CGE, or other bodies*

Has the project team, or members of the project team, participated in national, regional or global training events organized by a center of excellence or above mentioned body during the course of the project? If yes, please, specify the training event(s).

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What has been the contribution of this participation to the project results?

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What identified knowledge gaps holding back the proper implementation of the NC project could not be addressed by any of the above mentioned bodies?

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In addition to capacity building support, what other assistance did the project team receive during project implementation? (E.g. review of draft report, technical backstopping of international expert)

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Has UNDP provided timely and valuable support during project design and implementation? Please explain.

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**D. Next steps**

How will findings of the project be further disseminated, if at all?

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Are balance funds available under the NC/BUR project going to be used to identify the strategy of the next report?

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At full project closure, is there a person or institute to whom one can turn in case there are follow-up questions to the NC/BUR?

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Has the Government expressed interest to further work with UNDP on the next coming report? If no, please explain.

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**E. Additional information**

Date	
Name and e-mail address of person who completed this template	
Others involved in completion of this template (names of individuals and their institutions)	
In case a terminal evaluation report has been produced, please link it here.	
Other attachments	