

**UNITED NATIONS DEVELOPMENT PROGRAMME**  
**Global Environment Facility**

**PROJECT OF THE GOVERNMENT OF ISLAMIC REPUBLIC OF IRAN**

**Project Number:** IRA/01/G31/A/1G/99  
**Project Title:** Conservation of the Asiatic Cheetah,  
its Natural Habitat and Associated  
Biota in the I.R. of Iran  
**Project Duration:** Four years  
**Estimated Starting Date:** August 2001  
**ACC/UNDP Sector/Sub-sector:** Environment (2000)  
**Government Sector/ Sub-sector:** Environment  
**National Executing Agency:** Department of Environment  
**GEF Operational Programme:** OP 1: Arid and Semi-arid Ecosystems  
**Project site:** Tehran and the provinces of Khorasan,  
Semnan, Yazd Kerman, Markazi,  
Tehran and others as necessary

**UNDP & Co-financing**

UNDP/GEF:	US \$ 725,000
In-kind:	US \$ 732,600
DOE:	US \$ 210,000
Other national & Int'l agencies:	US \$ 522,600
<b>TOTAL</b>	<b>US \$ 1,457,600</b>

**Brief Description:** The project will secure the conservation of the Asiatic cheetah (*Acinonyx jubatus venaticus*) in the I.R. of Iran and the related complex of rare and endangered wild species and their natural habitats with the support and collaboration of local communities. This will be achieved through a combination of collaborative management, education and awareness building, and direct action to improve enforcement of laws and regulations. Emergency measures to improve survival of cheetah in the immediate future will also be undertaken, so as to ensure that viable populations survive to benefit from the longer-term impacts of the core project activities. All activities will benefit from increased scientific understanding of the cheetah, its associated biota, the ecosystems which they inhabit and the anthropogenic threats they face. The provision and continual improvement of this information will also constitute an important output of the project. Experience from this project will be of help to indigenous communities and environmental protection agencies in other countries in establishing effective management partnerships to protect and sustain their endangered species and habitats. GEF and the Government of the I.R. of Iran, as well as other governments and non-governmental organisations, will also learn valuable management lessons for protection and sustainable use of fragile arid land biomes - an important thematic area of the Convention on Biological Diversity.

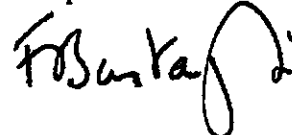
**On behalf of the Of the Department of Environment**  
H.E. Ms. Masoumeh Ebtekar  
Vice President & Head of Department of Environment

**Date:** 10 September 2001



**On behalf the United Nations Development Programme**  
Mr. Francesco M. Bastagli  
UN Resident Coordinator and UNDP Resident Representative

**Date:** 10 September 2001



**UN OFFICIAL EXCHANGE RATE AT DATE OF SIGNATURE: 7953**

**PROJECT SUMMARY**

PROJECT IDENTIFIERS	
1. Project name: Conservation of the Asiatic Cheetah, its Natural Habitat and Associated Biota in the I.R. of Iran.	2. GEF Implementing Agency: United Nations Development Programme (UNDP)
3. Country in which the project is being implemented: Islamic Republic of Iran (I.R. Iran)	1. Country eligibility: CBD ratification: 6 August 1996 GEF participant since 25 May 1994
5. GEF focal area(s): Biodiversity	Operational program: OP 1: Arid and Semi-Arid Ecosystems
<p>6. Project linkage to national priorities, action plans, and programs: The project's aim is fully in line with the Iranian constitution and legislation. Article 50 of the Constitution of the Islamic Republic of Iran defines environmental protection as a duty for all legal and real persons, and prohibits all activity— economic or otherwise— that may result in irreparable damage to the environment. The national Environmental Protection Act of 1974, following the UN Conference on the Human Environment (1972), established the Department of Environment (DOE) as a trans-ministerial authority in the Office of the Prime Minister (now the Office of the President of the Republic). The DOE is thus one of the oldest and strongest environment authorities in the developing world. Recently, the Government of the I.R. of Iran has joined the Convention to Combat Desertification and is thus engaged to invest special attention and resources to environmental protection and rehabilitation in arid and semi-arid zones. The Asiatic cheetah (<i>Acinonyx jubatus venaticus</i>), along with the Jebeer gazelle (<i>Gazella bennetti</i>) and the Persian wild ass (<i>Equus hemionus onager</i>), are among the endangered species of the Irano-Turanian biome, which covers most of the country and half of its protected areas.</p> <p>Under the Biodiversity Enabling Activities funded by the GEF, the DOE is currently finalising the National Biodiversity Strategy and Action Plan (NBSAP) of the I.R. of Iran,. As the NBSAP and this project share the same biodiversity objectives and participatory approaches, they are expected to interact closely and profitably.</p> <p>In addition, the project strategy fully embraces the main tenets of the "National Strategy for Environment and Sustainable Development". The document has, as one of its main goals, the forging of new models of sustainable development and management of natural resources that combine an ecosystem perspective with community-based satisfaction of social and economic needs. Chapter Six of this document calls for, <i>inter alia</i>:</p> <ul style="list-style-type: none"> <li>• "... preparation of a management plan based on the [protected] areas' ecological capabilities and socio-economic needs of the surrounding population... as a prerequisite for management practices." [Strategy One];</li> <li>• "NGOs should... act as advisory and controlling bodies in relation to... protected areas." [Strategy Four];</li> <li>• "... ecotourism in [protected areas] for economic gain should be promoted, as well as resource protection through proper management practices...." [Strategy Five];</li> <li>• Mapping biodiversity and zoning protected areas according to biophysical capabilities, compatible and non-compatible activities of people living in the peripheries, and the needs of ecotourism; maximising community participation in management of protected areas; identifying the actual and proposed protected areas of various categories; and preparing management plans for protected areas. [Objectives and Plans of Action of same].</li> </ul>	
<p>7. GEF national operational focal point and date of country endorsement: Mr. Bozorgmehr Ziaran, Director-General for International Economic Affairs &amp; Specialised Agencies, Ministry of Foreign Affairs. 30 January 2000</p>	
PROJECT OBJECTIVES AND ACTIVITIES	
9. Project rationale and objectives:  Conservation of the Asiatic cheetah ( <i>Acinonyx jubatus venaticus</i> ) in the I.R. of Iran and the related complex of rare and endangered wild species and their natural habitats with the support and collaboration of local communities.	<p>Indicator:</p> <p>(In the short-to-medium term) improvement in quantity and quality of natural habitat for the cheetah and a rise in number of related animal and plant species.</p> <p>(In the long term) presence of a sustainably viable population of the Asiatic cheetah in the I.R. of Iran with</p>

	local community support and collaboration. Removal of the cheetah from the IUCN list of Critically Endangered Species.
<p>10. Project outcomes:</p> <ol style="list-style-type: none"> <li>1. Better understanding of crucial biotic territories for the Asiatic cheetah and related species in the I.R. of Iran, and enhanced knowledge of cheetah population dynamics, behaviour and survival factors.</li> <li>2. Improved management of the crucial biotic territories by governmental and non-governmental entities with relevant interests and concerns (stakeholders) in order to rehabilitate over-grazed habitat and ensure better protection for cheetahs and their prey.</li> <li>3. Enhanced and sustained well being of the human communities living within or in proximity of such natural habitats.</li> <li>4. Enhanced awareness and support of the government and civil society of the I.R. of Iran on relevant issues and concerns, in particular regarding the prevention of non-habitat-related threats to the Asiatic cheetah (e.g. illegal hunting and killing of cheetah and related species) among most relevant groups (local peri-desert communities, nomadic herders, hunters, youth).</li> </ol>	<p>Indicators:</p> <ul style="list-style-type: none"> <li>• Crucial biotic territories where it is necessary to improve protection of the species and manage the habitat identified.</li> <li>• Report on ecology, behaviour and population dynamics, and justifications to undertake specific management recommendations produced.</li> <li>• Programme of on-going studies, and monitoring system designed and implemented.</li> <li>• Emergency conservation measures implemented, resulting in a reduction of short-term mortality of cheetah and prey species.</li> <li>• Grazing lands for cheetah prey species rehabilitated in crucial biotic territories, through collaborative management with local communities, resulting in increased cheetahs and prey species populations.</li> <li>• Strengthened enforcement measures result in reduction in reported cheetah kills and reports of cheetah trophies for sale</li> <li>• Self-assessed well-being of relevant communities and family income of relevant groups show upward trends.</li> <li>• Human morbidity and mortality rates improved; incidence of social conflicts show downward trends.</li> <li>• Local initiatives that couple sound environmental management with local income generation and well-being (e.g. health and socio-cultural benefits) increase.</li> <li>• Enhanced equity in the distribution of costs and benefits of environmental management.</li> <li>• Governmental regulations fully in line with the acquired knowledge of the Asiatic cheetah and related habitats and species.</li> <li>• Public support for conservation of cheetah and associated habitats increased, as shown by media reports, publicity campaigns, etc.</li> <li>• Local hunting and off-take rules in line with acquired knowledge, and decreased tolerance of illegal kills through better enforcement.</li> </ul>
<p>11. Project activities to achieve outcomes (including GEF funding in US\$ '000):</p> <ol style="list-style-type: none"> <li>1. Rapid biological surveys to identify crucial biotic territories for the cheetah in the I.R. of Iran, including the collection and analysis of data on cheetah occurrence, demographics, behaviour, survival factors, habitat and related biota, especially principal prey species. Proposals for longer term information gathering and monitoring will also be prepared. (US\$ 60,000)</li> </ol>	<p>Outputs:</p> <ul style="list-style-type: none"> <li>◆ Biotic map and report identifying crucial biotic territories for the cheetah and its prey species, including linking corridors; assessment of current cheetah population size, demographics, behavioural descriptors and other factors essential for conservation purposes</li> <li>◆ Design of longer term survey work and a monitoring system to assess population dynamics and the impact of management plans and socio-economic initiatives on the cheetah and related biome and habitat.</li> </ul>

<p>2. A multi-disciplined "inception mission" undertaken to the crucial biotic territories to secure detailed information on threats and underlying causes, and to identify emergency conservation measures, goals and modalities to promote collaborative management, and to identify options for alternative livelihoods. (US\$ 90,000)</p> <p>3. Programme of information gathering and monitoring implemented based on recommendations generated by activity 1, above. (US\$150,000)</p> <p>4. Implementation of a programme of work to promote collaborative management (CM), and public awareness based on recommendations generated by activities 1 and 2, above. (US\$180,000)</p> <p>5. Implementation of measures to improve local income generation and well-being [e.g. health and socio-cultural benefits]; and enhanced equity in the distribution of costs and benefits of environmental management based on recommendations generated by activities 1 and 2, above. (US\$ 165,000).</p> <p>6. Development of a National Action Plan for the Asiatic cheetah and its associated biota and habitat, including a synthesis of CM plans in the crucial biotic territories, a social communication campaign, relevant [new] policies and regulations, links with other national initiatives. (US\$80,000)</p>	<ul style="list-style-type: none"> <li>◆ Inception report, outlining threats and underlying causes, and proposing activities to be implemented in order to undertake emergency conservation measures, the promotion of collaborative management, strengthened enforcement, increased public awareness, modifications to policies and regulations, and options for increasing local incomes and social indicators, and ensuring equitable sharing of benefits from sustainable resource use.</li> <li>◆ Continually improved scientific information available to guide modifications in project activities, management arrangements, and policies and regulations.</li> <li>◆ Collaborative management agreements, strengthened capacity for enforcement, and materials for increased public awareness.</li> <li>◆ Facilities and programmes to improve social welfare, and mechanisms to increase the financial benefits of conservation and sustainable management.</li> <li>◆ National Action Plan and draft policies and regulations arising out of experience and information generated by all previous activities and outputs.</li> </ul>
<p>12. Estimated budget (in US\$):          GEF: 725,000          Co-financing (in kind) \$ 732,600, including:</p> <ul style="list-style-type: none"> <li>➤ \$210,000 (personnel, equipment, transportation, communication and administrative and research facilities provided by DOE)</li> <li>➤ \$ 20,000 (personnel and facilities provided by national NGO's)</li> <li>➤ \$ 50,000 (personnel and training and research facilities provided by Iran an Universities)</li> <li>➤ \$ 82,600 (technical backstopping and materials provided by international conservation organisations)</li> <li>➤ \$ 200,000 (time, facilities and local knowledge and skills of local stakeholders and communities)</li> <li>➤ \$ 140,000 (personnel and support initiatives provided by local and national Authorities and Governmental Agencies)</li> <li>➤ \$ 30,000 (co-ordination and management provided by international conservation organisations)</li> </ul> <p><b>Total Project Costs: 1,457,600</b></p>	

**INFORMATION ON INSTITUTION SUBMITTING PROJECT BRIEF**

**13. Information on project proposer:**

Department of the Environment - a trans-ministerial authority in the Office of the President of the Republic is by law in charge of all wildlife management and protected areas (except Forest Parks) in the I.R. of Iran. The DOE will contract, for part of the work, an Iranian NGO and obtain the technical support of the IUCN and other international conservation organizations. Specific collaboration will be established, as needed, with Iranian Universities, research agencies and other Local Authorities and Government Agencies.

**14. Information on proposed executing agency (if different from above):** As above

**15. Date of initial submission of project concept:** February 1998

**INFORMATION TO BE COMPLETED BY IMPLEMENTING AGENCY:**

**16. Project identification number:** IRA/00/G35

**17. Implementing Agency contact person:** Ms. Tehmina Akhtar, Regional Coordinator, UNDP/GEF

**18. Project linkage to Implementing Agency program(s):**

- a) Iran's National Strategy for Sustainable Development and Environment formulated with UNDP support under the Capacity 21 funding window.
- b) The GEF-funded Biodiversity Enabling Activities project which is under way with the major objective of formulating a biodiversity protection strategy and action plan.
- c) The Department of Environment's ongoing research and actions to conserve Cheetah in its natural habitat

## ABBREVIATIONS

CM	Collaborative management
DOE	Department of the Environment of the I.R. of Iran
EHC	Environmental High Council
GEF	Global Environment Facility
IUCN	International Union for the Conservation of Nature
NBSAP	National Biodiversity Strategy and Action Plan
WCS	Wildlife Conservation Society
NAP	National Action Plan

## CONTEXT

The Islamic Republic of Iran (I.R. Iran) lies on a triangular plateau encompassing a land area of 1,648,000 square kilometers. The country is located in the Palearctic realm and is considered the cradle of many genetic resources in the world. Over 50% of the country is covered by mountains, 30% by deserts and 10% inland waters. The climate ranges from Sub-Tropical to Alpine. Such geographic and climatic variations sustain over 500 species of birds, 160 species of mammals and 7,000 to 10,000 plant species.

Conservation of nature, particularly animals is one of the important principles of Islam as the official religion of the country. Article 50 of the Constitution of the Islamic Republic of Iran defines environmental protection as a duty for all legal and real persons, and prohibits all activity - economic or otherwise - that may result in irreparable damage to the environment. In the international arena, I.R. Iran played a leading role in the international wetland movement by hosting in Ramsar (I.R. Iran, 1971) the International Conference that adopted The Ramsar Convention on Wetlands. The I.R. Iran is now an active member of Convention on Biological Diversity. The Ministry of Foreign Affairs coordinates the country's environmental issues with the international community and is the GEF Focal Point for the country.

The National Environmental Protection Act of 1974, following the Stockholm Conference on the Human Environment, established the Department of the Environment (DOE) as a trans-ministerial authority in the Office of the Prime Minister (now Office of the President of the Republic). The DOE is thus one of the oldest and strongest environment authorities in the developing world. DOE is the Focal Point for Environment in I.R. Iran and acts as Secretariat of the Environment High Council (EHC). The President of the Republic is the EHC chairman and the Ministers of Industry and Mines, Housing and Jihad-e-Keshavarzi (a new Ministry formed as a result of a recent merger between the Ministries of Agriculture and Jihad-e-Sazandegi) are its members. The EHC is the highest environmental policy decision-making body in the I.R. Iran. From 1997, H.E. Mrs. Dr. Ebtekar - the first woman Vice-President in the last 20 years - was appointed as the Head of the Department.

## PROBLEM TO BE ADDRESSED

The I.R. of Iran is facing the imminent extinction of several native flora and fauna species, including the flagship species, the Asiatic cheetah. Following the extirpation of the Asiatic lion *Panthera leo persica* and the Caspian tiger *P. tigris virgata*, the Asiatic cheetah *Acinonyx jubatus venaticus* and the Persian leopard *P. pardus saxicolor* are the remaining species of large cats in the I.R. of Iran. The cheetah, which formerly ranged from Arabia to India, is known to survive only in the I.R. Iran, and probably, in the adjoining Balouchestan province of Pakistan. Dependent for food on gazelles *Gazella spp.* and wild sheep *Ovis vignei*, which, in turn, depend on ample grazing and water, the cheetah is a flagship for biodiversity in the arid and semi-arid regions. The cheetah's main prey species, Jebeer gazelle (*Gazella bennetti*), goitred gazelle (*Gazella subgutturosa*), and wild sheep (*Ovis vignei*) formerly had a geographic distribution similar to that of the cheetah, but they have suffered a substantial reduction in both range and number in the past 20 years. The relative reasons and importance of habitat loss and reduction in ungulate biomass and number of cheetahs may differ from region to region and needs to be thoroughly investigated. The scant information available suggests that the cheetah is at present thinly distributed throughout the central plateau region of the I.R. of Iran.

The small population of the Asiatic cheetah in the I.R. of Iran, with a possible associated small number reported in Pakistan, is the only one remaining in the world (no quantitative data is currently available). The 1996 and the 2000 IUCN Red Lists of Threatened Animals lists the Asiatic cheetah as "Critically Endangered". Principal prey species of the cheetah are also included in the Red Lists, such as wild sheep (*Ovis vignei*), classed as "Vulnerable" on an international scale, and the Jebeer gazelle (*Gazella bennetti*), classed as at Lower Risk but dependent on conservation. However, both the gazelle

and the sheep are considered to be endangered in Iran

Two main reasons account for the accelerating pace of cheetah's extinction. *The first* is habitat disturbance and degradation, including desertification in large parts of the country. National parks and other protected areas have been hard-hit, with the maximum destruction occurring between 1978 and 1990. *The second* is direct killing of wildlife (particularly game animals and migratory waterfowl) and off-take for commercial uses. Under such pressure, some species are already absent from Iran (including the Persian lion *Panthera leo persica*, which survives only in India), while the Caspian tiger (*P. tigris virgata*) disappeared about 30 years ago from the whole of its range in Iran and neighbouring countries and is considered Extinct. Other species, among them the Asiatic cheetah, are close to extinction<sup>1</sup>.

### *Habitat degradation*

The majority of the natural habitat of the I.R. of Iran has been altered by spreading agriculture, industries, human settlements, mining and infrastructures. Increasing numbers of livestock, introduced with no consideration for the capacity of the range and the season, has also been important in degrading pasture and lowering densities of ungulates, which are the principal prey of cheetahs. Almost all-rural people resident within the habitat of the Asiatic cheetah have goats, sheep and camels.

This has been a hindrance to conservation of wildlife for quite some time, but today livestock grazing has become a widespread commercial venture, and overgrazing, including within protected areas, is common (with recurrence to commercial feeding in the dry season). Desertification has been sweeping much of the region where cheetahs are found, turning large areas into degraded environments of little or no economic or wildlife value. In such conditions, protected areas become a most obvious choice for the grazers. Today, the areas inhabited by the cheetah represent the few fragmented habitats left in the I.R. of Iran, which still support wildlife. Much of these areas is between 100-600 meters in altitude and characterised by ranges of low hills with scant vegetation. The woodlands are mostly gone, the rivers are dry, except after heavy rains, and very few wild sheep, goats, asses, gazelles and cheetahs remain.

### *Non-habitat-related threats*

Direct killing of wildlife in the I.R. of Iran paralleled the increasing abundance of firearms and the use of vehicles for hunting. Most poachers are not aware of the importance of the cheetah and its prey in the ecological system, and illegal hunting appears only a minor offence to them. In addition to illegal killing, nearly one million hunting licenses are issued yearly, with an annual quota of 300 bullets provided by the State. To this should be added the commercial exploitation of certain species, e.g. gazelles, leopards, falcons, bustards, partridges, waterfowl and crocodiles, which are all too often over-harvested from the wild. Given the small number of animals that survive, poaching is a very serious threat facing the cheetah (despite the fact that poaching is banned under current laws). In each population there may be only 1-15 animals. In the light of the uncertain sex ratio, poaching of any single cat could easily undermine the long-term survival of the entire population in the I.R. of Iran. Unfortunately, control of poaching is difficult; for instance, the cheetah area is rich in commercially and industrially important minerals, which are being exploited by the Department of Mines. Mining itself is not a direct threat, but the construction of road networks makes cheetah areas accessible to people, including poachers.

## PROJECT RATIONALE

The goal of this project is the in-situ conservation of the Asiatic cheetah along with a related complex of rare and endangered wildlife species of international importance, and their natural habitats. Given continued conservation efforts in the medium-to-long term (five to 30 years) the project aims to establish a sustainable, viable population of the Asiatic cheetah and a complex of rare and endangered wildlife species of international importance and their natural habitat in the I.R. of Iran. This will be



achieved by responding to and counteracting the two aforementioned main threats to the Asiatic cheetah in the I.R. of Iran, namely habitat degradation, and direct killing and off-take of species from the wild (including cheetah prey species). Cheetah conservation critically depends on restoration of the damaged ecosystem and rehabilitation of prey populations. Thus, the project is aimed at initiating improvement in the extent and quality of natural habitat and enhancing the rehabilitation of related biodiversity-relevant animal and plant species (in particular, cheetah prey species).

This project will provide an important experiment for a change of approach, by which local communities and other stakeholders will be given a negotiated share of benefits and responsibilities in environmental management. Fairness and proportionality in associating the costs and benefits of management will be promoted with the help of trained facilitators. The environmental and social results of this novel approach will be closely monitored and evaluated and, as appropriate, the National Action Plan will provide for the translation of lessons learned into [new] relevant policies and regulations.

Local communities in the I.R. of Iran possess a wealth of traditional knowledge and skills for the management of the environment, including the management of pasture and scarce water resources, sustainable hunting, rangeland rehabilitation and even support to wildlife in times of climatic adversity.

It is an unfortunate circumstance of the recent decades that these resources have not been fully valued or tapped, and this project will provide an important opportunity to do so. Thus, indigenous knowledge and local organisation and managerial skills will be stressed as a most important asset throughout the project. The negotiation processes will strengthen such local skills, including the capacity to accommodate different interests and concerns.

This project which falls within the GEF Arid and Semi-Arid Ecosystems Operational Programme complements and enriches current activities of the DOE and various ministries in the country (e.g. the Management & Plan Organisation and the Jihad-e-Keshavarzi Ministry- a new Ministry formed as a result of a merger between the Ministries of Agriculture and Jihad-e-Sazandegi). Experience from the project will help local communities and environmental protection agencies in other countries to establish similar effective management partnerships to protect and sustain their endangered species and habitats. The GEF and the Government of the I.R. of Iran, as well as other governments and non-governmental organisations, will also learn valuable management lessons for protection and sustainable use of fragile arid land biomes - an important thematic area of Convention on Biological Diversity's Conference of Parties guidance.

## **PROJECT STRATEGY**

Conservation efforts will rely on in-depth analysis of the biological and social causes currently threatening cheetahs and associated endangered biota. The project site can be defined as the Dasht-e-Kavir (including parts of Kerman, Khorasan, Semnan, Yazd, Tehran and Markazi provinces) - a large area of desert and shrub steppe, which is the last stronghold of the cheetah in Asia. From our understanding of the Asiatic cheetah ecology, this stronghold serves as a "source" for remnant populations in other parts of Iran, as well as, possibly Pakistan (and even Turkmenistan and Afghanistan). For a huge area such as this, GEF project funds, or even a sizeable GEF Full Project, could not cover the entire site. However, since the main threats to the cheetah relate to human-related conflicts of interests near the few, scattered settlements, and threats to the arid ecosystems (e.g. from over-grazing) mainly relate to unsustainable resource utilisation in the same localities (and obviously the cheetah and habitat threats are closely linked), GEF funds will be targeted most closely to the vicinity of settlements. As the cheetah exists at such low population densities in this highly arid region and as the ecosystems are so fragile, concentrating project activities around settlements could have dramatic results.

It is known that the cheetah population in Iran numbers no more than 60. Although the whereabouts of cheetahs are generally known, it is necessary to find out whether the cheetahs form a single population or whether there are separate sub-populations. Species which breed well, as cheetahs do in Africa, can recover from very low numbers. If the population is fragmented, then measures will be necessary to establish corridors for cheetahs to use. Generic research on cheetahs in sub-Saharan Africa indicates that they have passed through two bottlenecks (reduced to very low numbers), but that they have recovered and are satisfactorily breeding in the wild.

Initiatives will take place in both crucial biotic territories and at national level (also with potential international linkages). In "crucial biotic territories", which are yet to be identified, only a combination of appropriate local environmental management and the removal of non-habitat-related threats can improve the chances of survival for the cheetah and its associated biota. As widely recognised in the I.R. of Iran, improved natural resources management needs the concurrence and contribution of both governmental and other social actors with relevant interests and concerns (stakeholders). Similarly, the reduction in non-habitat-related threats requires both more effective and targeted policies, better enforcement as well as enhanced awareness and concern of society as a whole. A combination of all these factors is what this project is expected to achieve.

Illegal hunting and killing of cheetah and related species are expected to diminish as a result of three main factors: enforcement of **improved** governmental policies and regulations; **coupling** of wildlife presence with incentives for the local communities (such as alternative pasturelands to reduce livestock overgrazing in critical areas, encouraging eco-tourism opportunities, replicating and demonstrating biodiversity-friendly livelihood options, etc.); and enhanced **ecological awareness** in key target groups (local peri-desert communities, nomadic herders, hunters, youth). The project will provide the needed stimulus, as well as technical and financial support, to set all three factors in motion and to result in developing of new project concepts and/or documents for conservation of Iran's biodiversity.

## PROJECT ACTIVITIES/OUTPUTS

### *Preliminary Rapid Surveys and Inception Mission*

Since the original design of the project was completed, an extended period of severe drought in the I.R. of Iran has altered the prevailing conditions affecting the cheetah. Cheetah populations are known to have migrated, in response to movements of their prey species, which in turn are responding to changing availability of grazing. As this migration occurs, and as human populations have also migrated in response to drought, the relative magnitude and the nature of threats may change too. In this very dynamic system, it is important to re-visit the detailed project activities originally envisaged. Consequently, the project will commence with two inter-connected activities:

The first of these consists of **rapid surveys** to document the current population centres of cheetah and critical habitats within these centres. To the extent possible, the surveys will assess population size and structure, as well as the size and structure of prey populations and the condition and extent of vegetation on which they depend. The team responsible for these rapid surveys will also be responsible for designing more detailed studies to be implemented over the duration of the project and the design of a monitoring programme. Inherent in all these activities is the need to train personnel from DoE and other national agencies to conduct the studies, analyse and interpret the results, and identify further issues for research. Members of the survey team will also contribute to and participate in the next activity. The cost of the longer-term studies will complement the existing DOE budget for applied research.

Following closely after the rapid surveys, a multi-disciplinary team of technical specialists will undertake an **inception mission** to the key project areas where population centres of cheetahs have been detected. The inception mission team will undertake a detailed analysis of threats and root causes in critical cheetah habitats and shall consult relevant governmental (e.g. Forest & Rangeland

Organisation) and non-governmental stakeholders in order to generate a number of key outputs. These will include:

- A revised logframe analysis and workplan for the project, incorporating the principles of adaptive management.
- In relation to above, work plans to undertake collaborative management (CM) of cheetah habitat and its natural resources are of particular significance. Such management mechanisms would lead to articulation of options for increasing local incomes and social indicators, and ensuring equitable sharing of benefits from sustainable resource use. A resource/logistical assessment to implement CM processes as well as CM process guidelines are other key outputs of the inception Report.
- The identification of crucial emergency measures that might be required to secure short-term conservation of the cheetah, their prey, and the resources on which they depend.
- Proposals for activities required to strengthen capacity of national agencies for enforcement, targeted studies, and other activities.
- Elements of a public awareness plan/social communication campaign.
- Recommendations for modifications to policies and regulations.

These outputs will be presented for endorsement by the project Steering Committee at an "Inception Workshop". Subject to the recommendations of the inception mission team, it is expected that in each of the identified crucial biotic territories, several types of project activities will be implemented to secure the conservation of the cheetah, its prey species and habitat. These will include strengthened capacity to enforce policies and regulations, supported by changes in such policies and regulations, as required; engagement of local communities in collaborative management mechanisms leading to measures that promote social well-being of local communities; a programme of scientific studies and ecological monitoring; and a public awareness campaign. A broad description of the major activities of the project are as follows:

#### *Identification Of Crucial Emergency Measures*

Most activities defined within the context of this GEF project focus on detailed biological and ecological field studies followed by cheetah biotic site selection and collaborative management of selected pilot sites. Under the GEF initiative, the collaborative management processes would, *inter alia*, lead to formulation of sustainable models of co-existence between the local communities on the one hand and cheetah & its associated biota on the other. Such models, however, are not likely to emerge until about 2003.

Given the urgency of the cheetah's plight, the nature of the GEF intervention in terms of its survey-orientation and people-centred approaches and the protracted time lag to achieve meaningful impact, it is necessary to develop interim measures, designed to complement and underpin the in-situ conservation of cheetah and its associated biota. Such interim measures would be of a precautionary and safety-net nature in order to prevent cheetah's extinction in the interim as well as buy sufficient time to make the concrete and long-term eco-system management solutions work through a GEF intervention.

Whilst GEF funds could be utilised to identify interim emergency measures, the resources to implement the proposed activities are expected to be mobilised from Governmental and bilateral sources. The thrust of the proposed emergency measures is aimed at short-term, conventional and protection-oriented type of approaches to conservation which would counter cheetah threats head on.

### *Formulation and Implementation of Collaborative Management Plans*

Currently, wildlife conservation strategies in much of the developing world follow "conventional" approaches that usually do not involve the participation of local communities in natural resource management. The I.R. of Iran is not yet an exception. Its Wildlife Act assumes that the entire responsibility for protection and management of wildlife is borne by the government alone. Policies such as these tend to separate people from any activity or concern for the protection and management of their natural heritage, which supports their lives.

An important strategic element in the proposed action is the involvement of a variety of stakeholders in Collaborative Management (CM) processes at local level. In fact, stakeholder involvement is at the heart of this project. In the crucial biotic territories, wildlife managers, local communities, nomadic herders, government officials (in particular, local DOE officials), environmental advocates, NGOs and local authorities will negotiate among themselves a fair share of management functions, rights and responsibilities, exploiting to the full their complementary capacities. As far as possible, the negotiation processes will pursue the coupling of environmental responsibilities (via management plans) and socio-economic benefits related to support for cheetah conservation (via Community Green Funds and micro-finance initiatives) for all the persons involved. The methodology for collaborative management that will be employed in the project is based on lessons learned in many countries, as well as in the I.R. of Iran, and will be thoroughly adapted to the socio-cultural realities of Iranian society.

Given the participatory nature of the collaborative management processes, at the current planning stage their overall products can be foreseen only in a broad way. **Local collaborative management plans** – including new land zoning arrangements for land use and protected areas, development of new local regulations including those that dictate resource-use, land rehabilitation initiatives and desertification prevention measures, improved enforcement of existing laws etc. - together with a number of **socio-economic initiatives** for the sustainable well-being of the human communities living within or in proximity to the natural habitats<sup>2</sup> will be developed and implemented. Mechanisms to improve the well-being of the local communities may include Community Green Funds to support alternative livelihoods, benefit-sharing of income from hunting, small eco-tourism projects, and mechanisms to provide micro-finance for local, social and economic development.

The appropriate guidelines and the management arrangements for the operation of this Community Green Fund will be developed in consultation with and through active participation of all stakeholders. Emphasis will be placed on two underlying concepts to eliminate major habitat threats: 1) enhancing **equity** in the distribution of costs and benefits of environmental management; and 2) **linking** sound environmental management with local income generation and well-being. This project will finance both the formulation of collaborative management processes and – at least in their start-up phases - the implementation of the resulting management plans and socio-economic activities. It is expected that more environmentally sustainable patterns of local development will be pursued, and that the relevant human communities will have their income and well being improved according to both subjective and objective indicators (social sustainability).

Importantly, project-supported **CM facilitators** will act as guarantors of the fairness of the negotiation process. In each of the selected crucial biotic territories, the facilitators will promote and support an in-depth participatory, environmental and social situation analysis. In co-operation with other stakeholders, the facilitators will negotiate a shared vision for the conservation of the cheetah, related natural environments and human communities based on the findings of the inception mission. They will also negotiate CM management plans and a related complex of socio-economic issues in line with reaching the common vision. The facilitators will emphasise the need to couple management rights and responsibilities (i.e. benefits and costs) and the need to enhance, rather than deplete, local income and well being, thus assuring the social sustainability of the management plans.

One of the first tasks of the CM process facilitators at local level will be the identification of stakeholders, defined as individuals, groups and organisations with different interests, concerns and

capacities in the management of the natural resources at stake. The CM Process Guidelines of the Inception Report will specify in detail methods and tools to do that. As of now, preliminary analysis of stakeholders at local level has resulted in the following being identified: herders (local and transhumant, hired labour, small herd owners, large herd owners, camel herders, who leave their animal to graze freely, and sheep and goat herders, who accompany their animals and can survey their surroundings), peasants (including peasants with land-holdings in protected areas), hunters (local and non-local, sport-oriented, subsistence-oriented, preventive killers of predatory wildlife), DOE officials, government officials with mandates related to natural resources, members of local environmental associations and local industrialists in need of water and other natural resources.

### *Social Communication Campaign, NAP & Information Dissemination*

Following the recommendations of the inception mission, one of the first activities of the project will be the design and implementation of a local and pilot site-specific social communication campaign on the Asiatic cheetah as the flagship species of a complex biota and habitat. The campaign will include relevant information on this project and will be executed selected pilot sites. Special activities will target particularly relevant groups, such as the peri-desert communities and nomadic herders in the crucial biotic territories, hunters, policy-makers, and youth. The campaign will be designed to enhance ecological awareness and awareness of biodiversity-related benefits among such key groups.

At the national level, the project "Steering Committee" will allow a variety of governmental and non-governmental stakeholders to interact and provide input into a National Action plan (NAP) to conserve the Asiatic cheetah, associated biota and related habitats. The NAP can only be formulated based on a detailed understanding of cheetah's survival factors, the threats it is being subjected to, and the ways by which these threats can be mitigated and reversed, in association with human needs satisfaction and well-being. More significantly, the results of the local CM processes and GEF field-supported initiatives could also feed into the formulation of a coherent NAP. Apart from prescriptive guidance on the management of the cheetah and associated biota and range, the NAP will include an extended national social communication campaign as well as relevant new policies and regulations. NAP's emphasis will be on improved national policies (e.g. on hunting permits and benefit-sharing of hunting fees) and on a social communication campaign to enhance ecological awareness and awareness of biodiversity-related benefits among key relevant groups (e.g. peri-desert communities, nomadic herders, hunters, youth) and the public at large. It is expected that the implementation of the NAP would result in new hunting restrictions; a policy on benefit sharing of income from hunting; links with other national initiatives; a resource mobilisation strategy, and - as necessary - links with conservation initiatives of bordering countries (especially Pakistan and Turkmenistan). A joint international/national Advisory Group will assist the DOE in developing the NAP.

At national level, training programs in both the key biological and social methods applied in the project will be opened to a wide governmental and non-governmental audience. The Steering Committee will be consulted prior to major decisions. The NAP for the Asiatic Cheetah and Related Biome and Habitat in the I.R. of Iran will contain in-built consultation mechanisms, since it will be developed as a synthesis of the local plans, rather than as a top-down initiative. *Ex-ante* social impact of the negotiated management plans and socio-economic initiatives will be assessed by the stakeholders directly involved, and *ex-post* social outputs and impacts will be monitored and evaluated throughout. Emphasis will be on improved national policies (e.g. on hunting permits and benefit-sharing of hunting fees)

In addition, networking and exchange visits among the involved local communities and stakeholders in different "crucial biotic territories" (including - as appropriate - visits to inspiring local initiatives outside the I.R. of Iran) will be promoted and supported. Workshops and networking visits are envisaged to allow for consultation and exchange of experience and sharing of the lessons learned

among local stakeholders from various crucial biotic territories/pilot sites.

## **IMPLEMENTATION ARRANGEMENTS**

The project will be executed by the DOE. Specific components of the project will be implemented by various national and international agencies. The rapid surveys will be implemented by WCS, and the inception mission by IUCN's Commission on Environmental, Economic and Social Policy. Responsibility for subsequent project activities will be subject to the conclusions of the Inception Workshop. The project management structure will be organised as follows:

- An internationally recruited CTA will provide part-time technical assistance and training to the national project team. The CTA's activities will be phased down during the first two years of the project, with the national team taking over full responsibility in the final year.
- A **National Project Director (NPD)** who will be appointed by the Head of the DOE. The national director supports the programme or project and serves as a focal point on the part of government. This responsibility normally entails ensuring effective communications between the partners and monitoring of progress towards expected results.
- The **National Project Manager (NPM)**, with a balanced background in both biological and social sciences, as well as extensive conservation-related field experience will be responsible for the overall management of the project. The NPM will be accountable to the NPD.
- Other key members of the project team will include a **Assistant Project Manager** and **local CM Facilitators**.
- The **Steering Committee (SC)** will be established with participation of representatives from DOE, various Government Ministries (e.g. Ministry of Jihad-e-Keshavarzi- in particular the Forest and Rangeland Organisation, Ministry of Foreign Affairs, Ministry of Interior, Ministry of Industry & Mines, Ministry of Road and Transportation, Ministry of Energy, Management & Plan Organisation), Iranian Universities, Iranian NGOs, UNDP, and the international conservation community. The Head of DOE will appoint the Chair of the SC. The Committee will provide overall advice to the project, promote linkages between governmental and non-governmental actors and review outputs and impacts. At national level the project has carried out a preliminary stakeholder analysis resulting in a list of governmental and non-governmental persons to take part in the Steering Committee.
- A **national NGO** will be identified during the Project Inception Workshop in consultation with ministries, universities and provincial stakeholders where the project is to be implemented. On behalf of the project, this Iranian NGO will recruit, train, deploy and provide transport and communication support to facilitators who will work with local communities in the selected territories. Training will be key to all components of the project, in order to build national capacity and, therefore, contribute to the sustainability of project benefits. A manual on collaborative management in the Persian language (Farsi) will be prepared based on lessons learned in the project and in similar processes outside and within the I.R. of Iran.

## **SUSTAINABILITY ANALYSIS & RISK ASSESSMENT**

Political support at local level has been investigated in potential crucial biotic territories and found entirely forthcoming (e.g. two local governors have assured their unconditional support). Interviews with local stakeholders, including DOE officials, hunters, herders, peasants, teachers and students show that the time is ripe for involving them in local consultative and decision-making processes. Some mistrust among local stakeholders still exists, but DOE officials have begun thinking about ways

of compensating local stakeholders by the Government (e.g. cash, health services, transport facilities, cultural/educational services) in exchange for them taking-on specific management responsibilities. Dialogue on such possibilities is already taking place. At national level, political support for both the aim and strategy of the project is strong, beginning with a renewed emphasis by the President of the Republic on participatory processes and environmental protection in the I.R. of Iran as well as recently an emphasis on the conserving the cheetah. The development of [new] national policies and regulations, especially on hunting, may encounter some difficulties, but those are likely to be overcome if the field CM plans and initiatives prove successful.

In terms of risks, abnormal climatic conditions and unexpected socio-economic change may influence in both positive or negative ways the habitat conditions and the stakeholders' activities at the time in which the local management plans are to be implemented. This may distort the results of the monitoring and evaluation tasks.

Over the long term the recurrent costs will be met through DOE's annual budgetary resources comprising of "current" and "infrastructural" categories. In terms of the allocated budget for the current expenditure category, it is estimated that such budgets will annually grow by a nominal 20.9 % within the context of the 3<sup>rd</sup> national five year Plan (2000-2004). Budgets allocated to current expenditures will be used for management and maintenance of Cheetah habitats. The infrastructural budget component is negotiated and allocated by the Deputy Head of DOE for Parliamentary Affairs and maybe disbursed towards the strengthening of infrastructural requirements (e.g. 4WD vehicles, copy machines, PCs, Laboratories instruments, field surveys facilities, etc.) or as funding for related conservation Projects. Development of a NAP to conserve the endangered Asiatic cheetah and related biota could facilitate easier access to both kind of aforementioned budget categories.

#### INCREMENTAL COST ASSESSMENT

Conservation of the Asiatic cheetah and associated biota, as well as natural habitat, is of importance to the economic and social development of the country. While the Government and many NGOs are increasing their level of activity in this field, there is nevertheless a lack of community participation and cheetah biological studies in such activities and projects. This project will therefore not result in avoided costs on the part of the I.R. of Iran. The Government and NGOs will provide considerable in-kind support to the project. This funding will mobilise and enhance national resources so that the country can benefit most fully from the GEF intervention.

Domestic benefits resulting from the project will be primarily environmental. Other domestic benefits will be increased experience of NGOs in community participation related to cheetah habitat, and economic benefits linked to ecotourism. Hence, no additional domestic benefits should be added to the baseline scenario. Although the project budget includes community funds, which will be used to encourage sustainable use of local resources and to provide support for alternative livelihoods, the management of the cheetah project is likely to impose costs on communities. Such an approach will facilitate the integration of communities within national efforts towards conservation and sustainable use.

### Incremental Cost Matrix

	Baseline	Alternative	Increment
Global Environmental Benefits	<ul style="list-style-type: none"> <li>▪ The Asiatic cheetah, now restricted to Iran and neighboring areas of Pakistan, is on the verge of extinction because of prey decline, degradation of habitat, inadequate protection and human persecution.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Knowledge of cheetah and prey distribution and biology, along with involvement of local human communities in management of the environment can ensure the long-term conservation of the cheetah, its habitat and associated biodiversity.</li> </ul>	Asiatic cheetah and prey survive as part of natural ecosystems and biodiversity is protected by parks and reserves.
Domestic Benefits	<ul style="list-style-type: none"> <li>▪ Local human communities derive no benefit from wildlife and protected areas</li> <li>▪ Grazing lands outside-protected areas are degraded by over-grazing by domestic livestock, forcing herders to exploit protected areas to the detriment of habitats and biodiversity.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Involvement of local communities in environmental management will lead to grazing regimes that protect habitat and improve livestock husbandry from which economic benefit is derived.</li> <li>▪ Ecotourism can provide employment and income opportunities for local communities.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Floral recovery in protected areas and surrounds as basis for ensuring biodiversity and enhanced grazing for domestic livestock.</li> <li>▪ Local human communities benefit from improved grazing and ecotourism.</li> </ul>
Costs (US\$)	Cost of baseline: US\$ 50,000* per year, with a 20.9% growth rate during the 2000-2004 plan	Rapid surveys of cheetah, its habitat and associated biota. (US\$102,600) Inception mission to formulate project workplan (US\$90,000) On-going scientific studies and monitoring. (US\$230,000) Collaborative management measures. (US\$ 490,000) Activities to promote social well-being. (US\$415,000) Public awareness and development of National Action Plan. (US\$130,000) <b>Cost of alternative US\$1,457,600</b> Of which GEF US\$725,000 Co-financing US\$732,600	<b>Incremental cost \$ 725,000</b>

\* \*This number was calculated with data from budget matrixes of DOE in 2nd and 3rd five years plans. It refers to current DOE activities aimed specifically at the management and maintenance of Cheetah habitat in Iran.



## OUTPUT BUDGET

<i>Component</i>	<i>GEF</i>	<i>Other sources (co-financing- all in-kind)</i>	<i>Total</i>
Rapid biological surveys	60,000	WCS: 42,600	102,600
Inception mission	90,000		90,000
Biological studies and monitoring	150,000*	DoE: 60,000 Universities: 20,000	230,000
Collaborative management programme	180,000*	IUCN: 70,000 Local stakeholders: 100,000 Iranian NGOs: 10,000 Universities: 10,000 DoE: 120,000	490,000
Measures to improve social well-being	165,000*	Local stakeholders: 100,000 Local authorities and agencies: 120,000 DoE: 10,000 National authorities and agencies: 10,000 Universities: 10,000	415,000
Development of National Action Plan	80,000*	DoE: 20,000 Other agencies: 10,000 Universities: 10,000 Iranian NGO's: 10,000	130,000
<b>Project Total</b>	<b>725,000</b>	<b>732,600</b>	<b>1,457,600</b>

\* Subject to modification based on outputs from first two activities.

## PROJECT IMPLEMENTATION PLAN \*

ACTIVITIES	YEAR 1			YEAR 2			YEAR 3			YEAR 4		
Identification and recruitment of national team members including the NPM, his deputy, SC members and CTA, rapid survey & inception mission team members etc. and ensuring that logistic arrangements are in place.												
Rapid survey and training												
Inception mission and workshop												
Biological Studies and monitoring												
Implementation of CM measures												
Improvement of social well-being												
Development and implementation of local social communication campaigns												
Development of NAP												

\* SUBJECT TO MODIFICATION FOLLOWING THE RECOMMENDATIONS OF THE INCEPTION MISSION

## MONITORING AND EVALUATION

At the Inception Workshop, an appropriate agency, or consultant(s) will be identified to provide mentoring services to the project team, emphasising the learning of lessons from comparable projects in similar ecosystems. The mentoring team will visit the project team and project sites at the end of years 1,2 and 3 of project implementation to assist in solving problems, and recommending modifications to project activities based on the most recent information available.

The environmental and social consequences of the local management plans and accompanying socio-economic activities will be monitored in a "learning by doing" mode, leading to on-going modifications and improvements. For this purpose, a monitoring protocol will be prepared (by the Rapid Survey team members), and the local CM facilitators will assure that it is followed up during the implementation phases. In this phase of the initiative, the biological and social component of the project will need to collaborate very closely.

The Steering Committee will meet at the conclusion of each visit by the mentoring team to review recommendations for modifications to project activities, and overall progress made in the project.

An independent mid-term evaluation will be held after 24 months. The role of the evaluation will be to assess the performance of all components of the project, with particular emphasis on the impact of the social mobilization work undertaken by the Iranian NGO. The evaluation report will recommend modifications to project activities, as required.

The project activities will also be subject to UNDP's standard monitoring practices. For a description of standard UNDP Monitoring rules, please refer to **Annex 2**.

## THE LEGAL CONTEXT

The Islamic Republic of Iran is not one of the signatories of the Standard Basic Assistance Agreement (SBAA). This Project Document shall be the instrument envisaged in the Supplemental Provisions to the Project Document, attached as Annex 3. The following types of revisions may be made to this project document with the signature of the UNDP Resident Representative only provided he or she is assured that the other signatories of the Project have no objections to the proposed changes:

- Revisions of or additions to any of the annexes of the Project Document;
- Revisions which do not involve significant changes in the immediate objectives, outputs or activities of the project but are caused by the rearrangement of inputs already agreed to, or by cost increases due to inflation;
- Mandatory annual revisions, which re-phase the delivery of agreed project inputs or reflect increased expert costs or other costs due to inflation or take into account agency expenditure flexibility.

## **Annex 1: Terms of References (Maybe subject to further refinement)**

### **1. Rapid Biological Survey Team**

Given the wide-ranging nature of the cheetah and its prey species, and recent disturbances caused by drought, it is necessary to undertake some initial rapid surveys in order to secure critical biological information necessary to ensure that project activities are effective. The rapid surveys will commence as soon as climatic conditions permit after signature of the project document.

The rapid surveys will be conducted by WCS. The team will consist of two international experts and 3-6 national experts. The costs of the two international experts will be covered by WCS. One of the international experts will also participate in the inception mission and workshop. WCS will provide the required survey equipment, except for transportation and communication-related items, which will be provided by DOE.

The rapid survey team will carry out the following tasks:

- a) Compile and analyse recent reports of cheetah activity, and other information concerning the location of likely population centres of the cheetah.
- b) Based on the conclusions from the previous activity, design and conduct rapid surveys in 4-5 localities, beginning with the locality considered most likely to contain the largest cheetah population (unless local conditions or logistics dictate otherwise). In each location, the surveys will generate as much information as possible on the following parameters:
  - Population sizes of the cheetah and its major prey species
  - Demographic information on the cheetah and its major prey species
  - Land and water specifications of critical habitat, such as prey grazing resources, water holes, etc.
  - Location of areas where conflict between human populations and the cheetah or its prey are most severe.
  - Rates and causes of mortality for the cheetah and its major prey species.
- c) Design a programme of scientific studies to further elucidate the ecological relations of the cheetah and its major prey species, in particular with regard to the information generated by the rapid surveys.
- d) Design an on-going monitoring programme for the cheetah and its major prey species.
- e) Train national experts in survey and monitoring techniques, including the use of survey equipment.
- f) Participate in the inception mission and workshop.

The surveys will be completed within 3 months of their commencement, and the outputs from these activities will be reported to the inception mission in an appropriate form (written and/or verbal). A final report on all outputs will be completed and submitted to UNDP and to the project team within two months after completion of the surveys.

### **2. Inception Mission and Workshop**

Due to recent disturbances caused by drought, the relative magnitude, type and location of threats and the underlying causes of these threats facing the cheetah and its major prey species are likely to have changed since the project was first designed. Consequently, an inception mission will be conducted as

soon as possible following the commencement of the rapid biological surveys, and responsive to information generated by those surveys concerning current population centres of the cheetah and its major prey species.

The inception mission will be led by an international expert designated by IUCN's Collaborative Management Working Group, and will consist of a multi-disciplinary team, including international and national experts in the fields of alternative livelihoods, environmental education, environmental law, and ecology (member of the rapid survey team). The inception mission team will include the national project manager.

In each of the critical areas identified by the rapid survey team, the inception mission team will conduct stakeholder consultations and other information gathering activities to address the following issues:

- a) Threats to the cheetah and its major prey species, and the underlying causes of those threats
- b) Human population sizes, including main livelihood activities, and their impact on the cheetah, its major prey species and their habitat.
- c) Social and economic aspirations and constraints facing local communities.
- d) Attitudes of local communities towards the cheetah, its major prey species, and their habitat.
- e) The extent to which non-locals (e.g. recreational hunters, entrepreneurs) impact the cheetah, its major prey species and their habitat.
- f) Identification of viable project activities to implement collaborative management of the natural resources, improve social well-being of the local communities, promote environmental awareness and mobilise public support for conservation of the cheetah, its major prey species and their habitat, both locally and nationally, and generate modification of existing, or promulgation of new regulations, policies and laws governing management and conservation of the cheetah, its major prey species, and their habitat.

At the conclusion of the mission, an Inception Workshop will be held in Tehran. At this workshop, the inception mission team will summarize their conclusions and recommendations arising from their consideration of the issues listed above, and supplemented by the recommendations of the rapid surveys team concerning on-going scientific studies and monitoring. These conclusions and recommendations will be specific concerning project activities and their timing. The conclusions and recommendations will be presented to the Steering Committee for their consideration and endorsement. The leader of the inception mission will subsequently submit a written report on the inception team's activities, conclusions and recommendations to UNDP and the Steering Committee within one month after the inception workshop.

### 3. CTA

An international Chief Technical Advisor will work on a part-time basis in order to provide technical advice concerning conduct of project activities and to build the capacity of the national project team to continue that work. The Steering Committee will sanction the recruitment process which shall be based on competitive procedures initiated by UNDP-GEF. In the first year of the project, the CTA will be expected to provide 9 months of inputs, and in the second year, 6 months. The CTA should have broad international experience and strong academic qualifications in at least one of the main disciplines required to secure the project's goals. The selection of the CTA, and the selection of the mentoring team, will be inter-connected in that the specific areas of expertise of the CTA and the mentoring team will be complementary, rather than duplicative. The responsibilities of the CTA will include:

- a) Technical support to the project team and associated agencies in the conduct of all project activities.
- b) Effective running and smooth integration of project activities for the first two years.
- c) Liaison with WCS, IUCN, and the mentoring team, concerning the need for additional technical support and inputs.
- d) Participation in the mentoring team missions.
- e) Training and mentoring of the project team and associated agencies in order to promote more effective implementation of project activities.
- f) Assistance to the national project manager in reviewing and assessing project impacts, and designing modifications to project activities in the light of such assessments.
- g) Assistance to the national project manager in financial and technical reporting to the Steering Committee and UNDP.

#### **4. National Project Manager**

The National Project Manager (NPM) will be a DOE professional whose credentials is sanctioned by UNDP (This should include extensive field-based conservation experience with particular emphasis on Cheetah and its associated biota) and who is recruited by the DoE. He or she will report to the NPD ( who maybe DOE's Deputy for Natural Environment as shall be appointed by the Head of the DOE) and will work full-time on overall management of the project. Based in Tehran, but with the requirement for frequent travel to each project area, the NPM's responsibilities will include:

- a) Management and co-ordination of all project activities at each project site.
- b) Preparing and updating quarterly work plans with corresponding budget.
- c) Liaison and negotiation with all associated agencies concerning specific inputs to project activities.
- d) Mentoring and advice to local facilitators concerning the conduct of project activities and measures to overcome problems encountered during their implementation.
- e) Management of sub-contracts and personnel seconded from associated agencies for specific project activities.
- f) Provision of verbal and written English/Persian reports on project activities, impacts and problems encountered to the Steering Committee.
- g) Completion and submission of financial reports to UNDP and the Steering Committee.
- h) The establishment of a collegial and effective relationship with all national and international associated agencies, such as WCS, IUCN, the Mentoring Team, national universities and NGO's.

The NPM will be subject to an assessment of his/her performance at each meeting of the Steering Committee.

## **5. Assistant Project Manager (Finance/Administration/Logistics)**

The Assistant Project Manager will be recruited by DoE in close consultation with UNDP. Reporting to the NPM, he/she will work full-time assisting the National Project Manager on management of Management of Finance and Administration matters. The incumbent would probably have an accounting/finance background and is well versed in the use of micro computer and in particular familiar with Accounting and spreadsheet packages applications. *The requirement for fluent written and spoken English is stringent.* Based in Tehran, but with the requirement for occasional travel to each project area, the Assistant Project Manager's responsibilities will include assisting the National Project Manager on the following activities:

1. Management of project inputs including personnel, contracts, training, equipment. Micro-capital grants and miscellaneous items according to project work plan and approved budget.
2. Managing project resources to achieve the expected results and planning financial disbursements in accordance with the agreed quarterly work plan.
3. Justifying the quarterly expenditures made from the "advance of funds" in order to receive further quarterly allocations from UNDP.
4. In relation to 3) above, keeping an accurate track of expenditure and recording transactions in an accounting system.
5. Helping in compilation and completion of a signed Financial Report (which contains both a justification of previous expenditure and a request for new funds).

The Assistant Project Manager will be subject to an assessment of his/her performance by the National Project Manager, who will report on such assessment at each meeting of the Steering Committee.

## **6. Iranian Environmental NGO ( for provision of Local CM Facilitators)**

At the first meeting of the Steering Committee, at the conclusion of the inception mission workshop, an Iranian environmental NGO will be identified and contracted to provide project services. These services will include:

- a) Recruitment of local facilitators to work with local communities in each of the identified project sites. The local facilitators will work full-time at the project sites and will, as far as possible,
  - Be recruited from the local communities or, where this is not feasible, from the same ethnic/tribal group, or will have extensive experience in working with the local ethnic/tribal group, and will be fluent in the local language/dialect.
  - Have completed secondary education.
  - Have knowledge of and experience in working on environmental conservation issues
  - Have demonstrated capacity for team building and project management.
- b) Provision of assistance to local facilitators in the implementation of project activities promoting collaborative management improvement of social well-being, and on-going survey work.
- c) Provision of assistance to local facilitators in the design and implementation of local environmental awareness programmes focused on the cheetah, its major prey species, and their habitat.
- d) Design and implementation of a national environmental awareness programmes focused on the cheetah, its major prey species, and their habitat.
- e) Provision of assistance to local facilitators in assessing and reporting to the national project manager on the impacts of project activities, and in assisting the national project manager in the formulation of recommendations for modifications to project activities in the light of these assessments for consideration by the Advisory Committee.

- f) Provision of assistance to local facilitators in their interactions with the mentoring team.

The Iranian environmental NGO will be accountable to the National Project Manager for the provision of these services, and the National project Manager will report to each meeting of the Steering Committee on the performance of the Iranian environmental NGO. In addition, an independent evaluation will be undertaken within 18 months after the commencement of the project, with a specific mandate to evaluate the performance of the Iranian environmental NGO.

## 7. Mentoring Team

A mentoring team will be contracted to provide on-going support to the project team. The contract may be awarded to an appropriate agency, or to one or more individuals with relevant expertise. The identification of the appropriate agency will be made by the Steering Committee at the conclusion of the inception workshop, supported by advice from the inception mission team and from UNDP/GEF. In providing this advice to the Advisory Committee, the inception mission team and UNDP/GEF will take into account experience with similar projects in similar ecosystems in other parts of the world. These could include, *inter alia*, the CAMPFIRE project in Zimbabwe, cheetah conservation projects in Africa, and the UNDP/GEF MACP project in Pakistan. The selection of the mentoring team, and the selection of the CTA will be inter-connected in that the specific areas of expertise of the mentoring team and the CTA will be complementary, rather than duplicative.

The mentoring team will visit the project sites within 6 months after the completion of the inception workshop, and at subsequent times as requested by the national project manager, but not less than once every 12 months thereafter, and will perform the following services:

- a) Assist the national project manager and local facilitators in assessing the impacts of project activities.
- b) Based on a review of information from the on-going scientific studies and monitoring programme, and on reports by the local facilitators, assess what changes have occurred in the biological and socio-economic conditions in the project sites (either as a result of project activities or developments outside the scope of the project).
- c) On the basis of (a) and (b) above, and taking into account experiences from similar projects in other regions, recommend to the national project manager and the Steering Committee what changes to the proposed project activities should be made in order to secure greater project impacts.
- d) Assist the national project manager and local facilitators in "trouble-shooting" problems encountered in implementation of project activities.
- e) Provide a written report to the Steering Committee and UNDP within one month of the completion of each visit to Iran.
- f) Provide advice to the independent evaluation mission.

## 8. Steering Committee

The Steering Committee (SC) will be established with representatives from DOE, various Government Ministries (e.g. Ministry of Jihad-e-Keshavarzi, Ministry of Foreign Affairs, Ministry of interior, Ministry of Industry & Mining, Ministry of Road and Transportation, Ministry of Energy, Management & Plan Organisation), Iranian Universities, Iranian NGOs, UNDP and the international conservation community. The national project manager will be an *ex officio* member and secretary of the SC. The

Head of DOE will appoint the Chair of the SC. The Committee will provide overall advice to the project, promote linkages between governmental and non-governmental actors and review outputs and impacts. More importantly, the high level composition of the Committee will ensure that needful policy reforms are instigated and implemented. As liquidity and funding constraints currently constitute a major bottleneck, thus rendering enforcement of existing laws increasingly difficult due to an increase in the human encroachments of cheetah habitat, it is important to ensure the membership and participation of DOE's Deputy for Support and Parliamentary Affairs.

The SC will meet at the conclusion of the inception workshop, and at the completion of each mission by the mentoring team, and at other times as required. At each meeting the SC will review reports from the national project manager, the mentoring team, and other teams and individuals contracted to provide project inputs. On the basis of these reports the SC will approve modifications to project activities in order to secure greater project impacts, and will approve budget revisions accordingly. The SC will also evaluate funding requests at each project site. In relation to micro-capital grants, the SC would review, select and approve applications for such grants forwarded by local institutions and NGOs as well as individuals. The national project manager, as secretary of the SC will prepare a written report summarizing the conclusions of each AC meeting, for approval and transmission to UNDP by the Chair of the AC.

At each meeting, the SC will hold a closed door session to review the performance of project personnel and contractors. The national project manager will be absent during a discussion of his/her performance. On the basis of these reviews, the Chair of the SC will recommend to UNDP and to DOE's Deputy for Natural Environment action concerning the continuation or termination of each member of the project team and each contractor.



## **Annex 2: Monitoring, Evaluation & Reporting**

### **7.1 Policy framework**

#### **7.1.1 General policy statements**

1. Monitoring and evaluation are essential management functions that are interactive and mutually supportive. They help UNDP to ensure accountability in the use of resources entrusted to it; provide a clear basis for decision-making; and offer practical lessons from experience to guide future development interventions.
2. Monitoring and evaluation must be integrated into the programming cycle to enhance the implementation and achievement of results from current programmes and projects as well as the design of future programmes and projects.
3. Monitoring and evaluation exercises must be results-oriented and include assessments of the relevance, performance and success of UNDP development interventions.
4. The policies and procedures on monitoring and evaluation apply to all programmes and projects supported by UNDP. In line with the objective of the United Nations to harmonize monitoring and evaluation policies, funds in association with UNDP must also follow UNDP policies on monitoring and evaluation.

### **7.2 Monitoring and evaluation during the programme and project cycle**

#### **7.2.1 Definitions**

1. Monitoring - is a continuing function that aims primarily to provide the main stakeholders of an ongoing programme or project with early indications of progress or lack thereof in the achievement of programme or project objectives.
2. Reporting - is the systematic and timely provision of essential information used as a basis for decision-making at appropriate management levels. It is an integral part of the monitoring function.
3. Evaluation - is a time-bound exercise that attempts to assess systematically and objectively the relevance, performance and success of ongoing and completed programmes and projects.
4. Results -- is a broad term used to refer to the effects of a programme or project. The terms outputs, outcomes and impact describe more precisely the different types of results.

#### **7.2.2 Integrating monitoring and evaluation in the programme and project cycle**

1. **Formulation.** For a programme or project to be effectively monitored and evaluated, the following tasks have to be completed during the formulation stages:
  - (a) Construct baseline data on problems to be addressed;
  - (b) Search for lessons learned from other programmes and projects;
  - (c) Clarify programme or project objectives;
  - (d) Establish a set of indicators and benchmarks for monitoring and evaluating the programme or project results;
  - (e) Agree on how data will be obtained and used;
  - (f) Specify reporting requirements (format, frequency and distribution), including the annual and terminal reports;
  - (g) Establish monitoring and evaluation responsibilities;
  - (h) Provide an adequate budget for monitoring and evaluation.

2. **Appraisal and Approval.** It is the responsibility of those appraising and approving programmes and projects to ensure that appropriate lessons and requirements for effective monitoring and evaluation arrangements are incorporated into the programme or project design.

3. **Implementation.** Monitoring and evaluation during implementation must provide information that can serve as a basis for making decisions to institute corrective actions or reinforce early signs of success. To the extent possible, participatory monitoring and evaluation mechanisms must be used to enable stakeholders to provide their feedback. This is one way of promoting learning among those involved in the programme or project.

4. **Programme or Project Completion.** Upon programme or project termination, stakeholders must take stock of experience gained – successes and failures, best and worst practices - and future challenges and constraints. The target groups, the designated institution, the Government and UNDP, as the main stakeholders, should try to achieve the following:

- (a) Identify lessons from experience that can potentially be applied to a broader range of development interventions;
- (b) Determine which particular groups would benefit most from such lessons;
- (c) Ascertain the best way to disseminate the lessons to those groups.

### 7.3 Monitoring

#### 7.3.1 Policy on monitoring coverage

1. The policy is as follows:

- (a) All UNDP-supported programmes and projects regardless of budget and duration must be monitored;
- (b) Monitoring is the responsibility of the designated institution since it is the entity responsible for the overall management of a programme or project;
- (c) Country offices must also undertake monitoring actions to ensure that programmes and projects supported by UNDP at the country level are implemented effectively and efficiently, and are achieving the desired results;
- (d) Operational units are responsible for undertaking the monitoring actions described in the present chapter for all programmes and projects.

#### 7.3.2 Field visits

1. **Definition and purpose.** A field visit is a direct observation of a programme or project at its site. Its purpose is to enable the person making the field visit to obtain a first-hand account of the progress of a programme or project towards achieving the expected results outlined in the work plan.

2. **Policy.** The resident representative and country office staff must visit all programmes and projects once a year or more frequently, as necessary. Joint field visits by UNDP and other development partners involved in the same types of programmes and projects are encouraged in order to promote a participatory approach to the discussion of similar issues with target groups and other stakeholders.

2. **Procedures.** A person visiting a programme or project must undertake the following tasks:

- (a) Obtain the views of target groups, direct beneficiaries and other stakeholders on how the programme or project is affecting them and their recommendations for addressing relevant issues. Also determine whether adequate mechanisms are in place for consulting with, and obtaining feedback from, the stakeholders;
- (b) Inspect the programme or project site, outputs and services and assess their adequacy in terms of quality and quantity vis-à-vis the expected results;
- (c) Prepare a report immediately after the visit, highlighting stakeholders' views as well as his or her own observations and recommendations on how to address any issues concerning the programme or project;

(d) Provide the designated institution with a copy of the field visit report.

4. **Action on the field visit report.** The designated institution reviews the assessment and recommendations of the report and takes appropriate action. When necessary, the designated institution refers the recommendations for decision by concerned entities or by the tripartite review.

### 7.3.3 Annual programme/project report

#### 1. Definition and purposes.

The APR is an assessment of a particular programme or project during a given year by target groups, programme or project management, government and UNDP. It aims to:

- (a) Provide a rating and textual assessment of the progress of a programme or project in achieving expected results;
- (b) Present stakeholders' insights into issues affecting the implementation of a programme or project and their proposals for addressing those issues;
- (c) Serve as an input to any evaluation of the programme or project;
- (d) Be a source of inputs to the preparation of the annual and country reviews of the country cooperation framework.

#### 2. Contents and structure.

The APR form is divided into three parts. Part I requests a numerical rating of programme or project relevance and performance as well as an overall rating of the programme or project. Part II asks for a textual assessment of the programme or project, focusing on major achievements, early evidence of success, issues and problems, recommendations and lessons learned. Part III consists of a summary table with two sections: one section reports on resources and expenditures and the other highlights progress toward achieving expected results. Annexes may be included as necessary to provide specific information in support of the rating and assessment indicated.

3. **Procedures for preparing the APR.** The designated institution is responsible for preparing the APR. This preparation must be done in consultation with the stakeholders. Representation of stakeholders in terms of level (i.e., organization, individual) and number will be determined by the programme or project itself. The APR must be ready two weeks prior to the tripartite review (TPR). It may be completed and submitted to the country office at any time during the year.

4. **Actions on the APR.** The following actions are taken:

- (a) The designated institution submits the APR to the country office two weeks prior to the TPR. The country office circulates it to the TPR participants one week before the TPR meeting;
- (b) The representative of the designated institution presents the APR to the TPR, highlighting policy issues and recommendations for the decision of the participants. The representative also informs the participants of any agreement reached by stakeholders during the APR preparation process on how to resolve operational issues.

### 7.3.4 Tripartite review

1. **Definition and purposes.** A tripartite review is a policy-level meeting of the parties directly involved in a programme or project. It aims: to assess the progress of a programme or project based on the APR; and to take decisions on recommendations to improve the design and implementation of that programme or project in order to achieve the expected results.

2. **Policy.** A tripartite review must be held once a year. In exceptional circumstances, there may be more than one TPR during a year. A terminal tripartite review must be held towards the end of programme or project implementation.

**3. Participants.** The following parties participate in the TPR :

- (a) The Government: the national coordinating authority and other concerned departments;
- (b) UNDP;
- (c) The designated institution, whether the Government, a United Nations agency or any other agency;
- (d) Other main stakeholders, including other United Nations agencies and other donors, as deemed appropriate.

**4. Overall responsibility.** The resident representative is responsible for organizing a tripartite review, in consultation with the Government and the designated institution, and for ensuring that decisions are taken on important issues.

**5. Procedures.** The procedures for a TPR are:

(a) **Preparing the agenda.** The resident representative prepares the agenda, in consultation with the Government and the designated institution. The agenda must include the following topics:

i. Follow-up to previous tripartite review or evaluation of the programme or project;

ii. APR : assessment of the relevance, potential and actual achievement of results; issues and problems in design and implementation; conclusions; and recommendations; iii. Decisions: management actions required, the parties responsible and the time-frame for implementing the actions; iv. Work plan: progress expected before the next tripartite review, or, in the case of a terminal tripartite review, proposed follow-up to the programme or project, if any; v. Need for evaluation: a specific recommendation on whether an evaluation is needed and justifications for such a recommendation;

(b) **Circulating documents.** The resident representative circulates the following documents to the participants at least one week before the scheduled tripartite review.

i. Agenda;

ii. APR;

iii. Other relevant documents, e.g., evaluation report, outputs produced by the programme or project such as training material, research reports, etc;

(c) **Proceedings.** During the proceedings:

- i. The senior Government representative presides over the TPR but may also designate the resident representative or the designated institution representative to do so;
- ii. The TPR participants review the APR and other agenda items. If they decide not to accept the recommendations of the APR, an explanation of the basis for such decision must be reflected in the TPR report;

(d) **Preparing the tripartite review report.** The resident representative prepares the tripartite review report (TRR) and circulates it to the participants within two weeks of the TPR. The TRR must provide a succinct discussion of issues and problems, decisions taken, or in the case of a terminal TRR, any follow-up to the programme or project;

(e) **Follow-up to the tripartite review.** The designated institution ensures that the parties concerned implement decisions taken at the TPR.

### 7.3.5 Terminal report

**1. Definition and purposes.** The terminal report is an overall assessment of a programme or project by its stakeholders and is prepared towards programme or project completion. The APR for the final year

serves as the terminal report. In addition to having the same purposes as the APR, the terminal report also aims to serve as a source of initial lessons from experience and to recommend follow-up activity when necessary.

**2. Contents and structure.** The terminal report form, like the APR, is divided into three parts - Part I for the numerical rating, Part II for the textual assessment of the programme or project, and Part III, consisting of a summary table with two sections (on resources and expenditures and progress towards expected results, respectively). However, Part II contains additional questions on potential impact, sustainability and contribution to capacity development, and recommendations for follow-up.

**3. Procedures for preparing the terminal report.** Procedures for the preparation of the terminal report are the same as those for the APR.

**4. Actions on the terminal report.** Actions taken on the terminal report are the same as those for the APR, with the addition of the following:

(a) After the terminal tripartite review, the resident representative forwards the terminal report to the regional bureau concerned and to the Evaluation Office at headquarters;

(b) The regional bureau concerned reviews the terminal report and provides the country office with feedback on it. When required, it also decides on recommendations for follow-up. The regional bureau also uses the report as a source of lessons to improve future as well as ongoing programmes and projects;

(c) The Evaluation Office processes the terminal report to draw lessons learned from the experience of the programme or project, especially those that have the potential for broader application. It enters the information extracted from the terminal report in the database (i.e., CEDAB) to expand its repository of information relating to the evaluation of UNDP programmes and projects. Through CEDAB, the Evaluation Office makes the information available to all UNDP offices.

**Annex 3: STANDARD TEXT**  
**Supplemental Provisions to the Project Document:**  
**The Legal Context:**

General Responsibilities of the Executing Agency, the Department of Environment (DOE) and UNDP:

1. All phases and aspects of UNDP assistance to this project shall be governed by and carried out in accordance with the relevant and applicable resolutions and decisions of the competent United Nations organs and in accordance with UNDP's policies and procedures for such projects, and subject to the requirements of the UNDP Monitoring, Evaluation and Reporting system.
2. The DOE shall remain responsible for this UNDP assisted development project and the realisation of its objectives as described in this Project Document.
3. Assistance under this project document being provided for the benefit of DOE and the people of the Islamic Republic of Iran, DOE shall bear all risks of operations in respect of this project.
4. DOE shall provide to the project the national counterpart personnel, training facilities, land, buildings, equipment and other required services and facilities.
5. The UNDP undertakes to complement and supplement the DOE participation and will provide, through the international project partners, the required expert services, training, equipment and other services within the funds available to the project.
6. Upon commencement of the project, the DOE shall assume primary responsibility for project execution and shall have the status of an independent contractor for this purpose. However, that primary responsibility shall be exercised in consultation with UNDP.

(a) Participation of the DOE

1. The DOE shall provide to the project the services, equipment and facilities in the quantities and at the time specified as per regularly updated project workplans and budgets.
2. The DOE shall assign both a National Project Director (NPD) and National Project Manager (NPM) for the project on a full-time basis. He/she shall will carry out such responsibilities in the project as are assigned.
3. Minor adjustments of individual assignments of project personnel provided by the DOE (NPM and NPD) may be made by the DOE in consultation with UNDP, if this is found to be in the best interest of the project. UNDP shall be so informed in all instances where such minor adjustments involve financial implications.
4. The DOE shall continue to pay the local salaries and appropriate allowances of national counterpart personnel (the NPD and NPM)
5. The DOE shall defray any customs duties and other charges related to the clearance of project equipment, its transportation, handling, storage and related expenses within the country. It shall be responsible for its installation and maintenance, insurance, and replacement, if necessary, after delivery to the project site.
6. The DOE shall make available to the project-subject to existing security provisions any published

and unpublished reports, maps, records and other data which are considered necessary to the implementation of the project.

7. Patent rights, copyrights and other similar rights to any discoveries or work resulting from UNDP assistance in respect of this project shall belong to the UNDP. Unless otherwise agreed by the Parties in each case, however, the DOE shall have the right to use any such discoveries or work within the country free of royalty and any charge of similar nature.
8. The DOE shall assist all national project personnel in finding suitable housing accommodation at reasonable rents.

(b) Participation of the UNDP

1. The UNDP shall provide to the project either directly or through the international partners the requisite services, equipment and facilities. Budgetary provision for the UNDP-GEF contribution as specified shall be set forth in the project budget.
2. The DOE shall consult with UNDP on the candidature of the Deputy National Project Manager whose responsibilities are already delineated in the Annexes to this project document. The National Project Director who will be assigned by the DOE, shall supervise the experts and other agency personnel assigned to the project, and the on-the-job training of national counterpart personnel. He/she shall be responsible for the management and efficient utilisation of all UNDP-financed inputs, including equipment provided to the project.
3. The DOE shall assign professionally qualified and experienced staff and other personnel to the project as specified in the project document annexes.
4. The DOE may, in agreement with UNDP, execute part or the entire project by subcontracts. The selection of subcontractors shall be made, after consultation with the UNDP, in accordance with the DOE's procedures.
5. All material, equipment and supplies which are purchased from UNDP resources will be used exclusively for the execution of the project, and will remain the property of the UNDP in whose name it will be held by the DOE. Equipment supplied by the UNDP shall be marked with the insignia of the UNDP and of the DOE.
6. Arrangements may be made, if necessary, for the temporary transfer of custody of equipment to local authorities during the life of the project, without prejudice to the final transfer.
7. Prior to completion of UNDP assistance to the project, the UNDP and the DOE shall consult as to the disposition of all project equipment provided by the UNDP. Title of such equipment shall normally be transferred to the DOE or to an entity nominated by DOE, when it is required for continued operation of the project or for activities following directly therefrom. The UNDP may, however, at its discretion, retain title to part or all of such equipment.
8. At an agreed time after the completion of UNDP assistance to the project, DOE and the UNDP, shall review the activities continuing from or consequent upon the project with a view to evaluating its results.

### Rights, Facilities, Privileges and Immunities

1. In accordance with the Agreement concluded by the United Nations Development Programme (UNDP) and DOE concerning the provision of assistance by UNDP-GEF, the personnel of UNDP and other United Nations Organisations associated with the project shall be accorded rights, facilities, privileges and immunities specified in said Agreement.
2. The DOE shall grant UN volunteers, if such services are requested by the DOE, the same rights, facilities, privileges and immunities as are granted to the personnel of UNDP.
3. The DOE shall either bear the (possible) cost of any taxes, duties, fees or levies which it may impose on any firm or organisation which may be retained by the project and on the personnel of any such firm or organisation, except for nationals of the host country employed locally, in respect of:
  - (a) The salaries or wages earned by such personnel in the execution of the project;
  - (b) equipment, materials and supplies brought into the country for the purposes of the project or which, after having been brought into the country, may be subsequently withdrawn therefrom;
  - (c) Any substantial quantities of equipment, materials and supplies obtained locally for the execution of the project, such as, for example, petrol and spare parts for the operation and maintenance of equipment mentioned under (b), above, with the provision that the types and approximate quantities to be exempted and relevant procedures to be followed shall be agreed upon with the DOE and, as appropriate, recorded in the Project Document; and
4. The DOE shall ensure:
  - (a) Prompt clearance of experts and other persons performing services in respect of this project;
  - (b) The prompt release from customs of:
    - i} equipment, materials and supplies required in connection with this project; and
    - ii} property belonging to an intended for the personal use or consumption of the personnel of the UNDP, its international partners, or other persons performing services on their behalf in respect of this project, except for locally recruited personnel.

### Suspension or Termination of Assistance

1. The UNDP may by written notice to the DOE, suspend its assistance to any project if, in the judgement of the UNDP any circumstance arises which interferes with or threatens to interfere with the successful completion of the project or the accomplishment of its purposes. The UNDP may, in the same or a subsequent written notice, indicate the conditions under which it is prepared to resume its assistance to the project. Any such suspension shall continue until such time as such conditions are accepted by the DOE and as the UNDP shall give written notice to the DOE that it is prepared to resume its assistance.
2. If any situation referred to in paragraph 1, above, shall continue for a period of fourteen days (14) after notice thereof and of suspension shall have been given by the UNDP to the DOE, then at any time thereafter during the continuance thereof, the UNDP may by written notice to the DOE terminate the project.



3. The provisions of this paragraph shall be without prejudice to any other rights or remedies the UNDP may have in the circumstances, whether under general principles of law or otherwise.

## **Annex 4: Recruitment**

### **6.4.2 Personnel**

**1. Government staff.** Since UNDP-supported programmes and projects form part of the development activities of the programme country, the Government assigns its own personnel to participate in programme or project activities as part of their work responsibilities. Such personnel are referred to as "government staff".

**2. National director.** For each UNDP-supported programme or project the government must appoint a national director. The national director supports the programme or project and serves as a focal point on the part of government. This responsibility normally entails ensuring effective communications between the partners and monitoring of progress towards expected results.

**3. Job description.** The designated institution is responsible for ensuring that job descriptions are prepared for all UNDP-supported personnel. Job descriptions are an essential part of the recruitment process. The partners concerned must agree on their content. Job descriptions must be updated regularly and must clearly identify the outputs the person is expected to produce. This also serves as a basis for measuring performance.

**3. Remuneration and entitlements.** The following are key policies on remuneration and entitlements:

(a) UNDP finances programme and project personnel who have skills that are needed to attain the programme or project objectives but that are not available within or to the government;

(b) The salaries and other entitlements of locally recruited personnel must not exceed those within the United Nations system for comparable functions and types of contracts in the country concerned. The designated institution and the UNDP resident representative determine the salaries and other entitlements of UNDP-supported programme or project personnel;

(c) In principle, government officials cannot be funded under the UNDP contribution to a programme or project since this would undermine national ownership and sustainability: There is a United Nations policy statement on payments to government staff. This statement explains the policy and the circumstances in which exceptions may be made, namely that the country must be facing serious economic difficulties which have drastically reduced the purchasing power of civil service salaries. The policy provides also that such payments be coordinated among donors and an exit strategy be developed with the government and the other donors whereby such payments are gradually phased out;

(d) The entitlements for travel of personnel funded by the programme or project must not exceed those for UNDP staff.

## **Annex 5: Financial Management & Reporting**

### **6.5 Financial management and reporting**

1. This annex explains how to manage UNDP resources under national execution, direct execution and NGO execution.

#### **6.5.1 Financial accountability**

1. Sound financial management is an integral part of the process of achieving results through UNDP support. This includes adequate reporting to identify problems and adjust activities, budgets and inputs to be provided.

2. The designated institution is accountable for:

(a) Managing the UNDP resources allocated to the programme or project to achieve the expected results and planning financial disbursements, in accordance with the work plan, PSD and project document;

(b) Maintaining an up-to-date accounting system that contains records and controls to ensure the accuracy and reliability of financial information and reporting;

(c) Recording the receipt and disbursement of UNDP funds and verifying that disbursements do not exceed the available funds or the amount allocated to each approved budgetary category;

(d) Maintaining an inventory that records the acquisition and disposal of equipment.

3. The UNDP resident representative ensures that the UNDP country office has an internal control system that allows it to monitor effectively the financial activity of the programme or project and to support and monitor the progress towards achieving results.

4. There must always be an appropriate separation of committing and verifying functions.

#### **6.5.2 Management of funds**

1. The management of programme and project funds must be based on an updated work plan with a corresponding budget. It requires planning and close consultation between the partners involved. UNDP provides funds in accordance with progress towards achieving results.

2. The UNDP country office provides funds to the designated institution through advances of funds. The institution is then responsible for spending the funds as agreed in order to achieve the results.

3. The designated institution may request UNDP to pay such advances directly to contractors or other government entities undertaking programme or project activities in line with the work plan and budget. UNDP may also reimburse expenditures already incurred by the designated institution, provided that they are in accordance with the work plan and budget.

4. Advances and direct payments are made when there is continued progress towards the achievement of the expected results. The UNDP country office sets up a system enabling it to verify such progress in conjunction with releasing advances of funds.

5. When a United Nations agency undertakes programme or project activities on behalf of a designated institution, UNDP headquarters provide funds directly to the agency, in accordance with the schedule

of advances in the letter of agreement between the designated institution and the United Nations agency.

6. Direct execution. When a UNDP country office itself takes on the role of designated institution, the Resident Representative ensures that within the country office there is a separation of responsibilities among the functions of a) planning and supervising project activities and taking decisions; and b) technical and operational implementation of activities.

7. The designated institution, the government coordinating authority and UNDP each monitor continuously the progress made and the disbursement of funds and take steps to prevent any problems. However, if progress is not made despite such monitoring, if mismanagement of funds is suspected or if reporting is inadequate, UNDP may withhold advances of funds while seeking a solution.

### 6.5.3 Advances of funds

1. The UNDP country office makes advances of funds to the designated institution only on receipt of a completed and signed financial report. The financial report contains both an explanation of previous expenditures and a request for a new advance.

2. The designated institution requests an advance of funds on the basis of the work plan and its corresponding budget. The request is documented in the financial report and specifies the cash required under two headings, as follows:

(a) **Outstanding obligations:** the costs of inputs that have been contracted for but for which payment has not yet been made. Only obligations that will be paid in the next period are included;

(b) **Planned expenditures:** the costs of new inputs that will be procured and paid for during the next period.

3. Advances of funds are normally made in the local currency. Any request for advances in currencies not available to the UNDP country office must be forwarded to the Treasury Section at UNDP headquarters.

4. Advances are made for a three-month period or less, depending on the needs of the programme or project. The frequency is agreed on between the designated institution and the UNDP country office at the outset of the programme or project.

5. The key steps in requesting and making an advance of funds are:

(a) The designated institution sends the request for the advance to the UNDP country office in the standard financial report format. To ensure efficient use of UNDP resources, the request must reflect a realistic forecast of expenditures for the next period, in line with the programme or project work plan;

(b) The UNDP country office verifies that resources are available and uses the work plan to verify that the amount requested does not exceed the expenditures that may reasonably be expected during the next period. It also verifies the use of funds for the previous period and whether progress is being made towards the achievement of the expected results;

(c) The UNDP country office pays the advance of funds into the programme or project bank account of the designated institution, and records the advance using the government interoffice voucher through the Financial Management Information System (FIM).

(d) The designated institution disburses funds against the advance and records the transactions in its

accounting system;

(e) The designated institution prepares the financial report, showing the actual expenditures in each month of the period covered by the report. The designated institution makes the request for advance for the next period, repeating step (a).

**6. Bank account.** The designated institution operates a separate bank account in order to receive and disburse UNDP funds. Under national execution, where the government has confirmed in writing that local circumstances prohibit the opening of a separate bank account, the resident representative may approve the use of a consolidated central bank account, provided that the disbursement of UNDP funds can be easily traced and audited. Separate record keeping is mandatory, no matter what bank account arrangements are used.

**7. Unused advances.** At the end of a programme or project, the designated institution returns any unused advances to the UNDP country office. The funds are credited to the operating fund account through a UNDP-GOVT IOV.

**8.** Any interest earned on the programme or project bank account from the advances is recorded as miscellaneous income through the UNDP-GOVT IOV.

**9.** The following special procedures apply for projects with budgets of less than \$150,000 and a duration of less than one year:

(a) The UNDP country office may provide the advance of funds to the designated institution in a single instalment at the start of the project. This disbursement is recorded as expenditure against the approved budget lines, through the UNDP-GOVT IOV;

(b) The designated institution must send a final financial report marked "Project previously expended on (date)" to the UNDP country office, showing the amount advanced and the expenditure by budget sub-line. Any significant changes from the original budget and remaining funds must be adjusted on the GOVT IOV.

#### **7.5.4 Direct Payments**

1. The designated institution may request UNDP to make direct payments to other parties for goods and services provided to the programme or project.

2. The designated institution may forward to the UNDP country office a standard form "Request for direct payment", duly completed and signed by the designated institution. The designated institution keeps original documents. The UNDP country office provides the relevant documentation (inter-office vouchers, disbursement vouchers, copies of cheques, and other documents) to the designated institution.

#### **6.5.5 Recording and Authorising Advances and Direct Payments through FIM**

1. FIM is designed to facilitate the management and monitoring of project budgets, expenditure and financial reporting by UNDP country offices. The system provides information on the availability of funds and produces the Combined Delivery Reports (CDR). FIM also maintains requests for advances and direct payments and electronically transfers authorised payment requests to WINFOAS that generates the proper payment instruments.

2. To verify that sufficient funds are available prior to making payments, and to ensure the validity, consistency and integrity of financial data processed through FIM and WINFOAS, the following internal controls must be put in place:

(i) The staff who record and authorise payments through FIM must be different from the staff who operate WINFOAS.

(ii) The committing and verifying officers must ensure that all payments to or on behalf of a NEX project and/or NGO execution project and charged to UNDP-GOVT IOV are supported by a request form approved by the designated institution.

**6.5.6 Financial reporting. The three main reports are:**

- (a) The financial report;
- (b) The combined delivery report;
- (c) The expenditure statement from United Nations agencies (also called project delivery reports or expenditure reports).

**1. The financial report**

(a) The financial report is prepared by the designated institution in order to:

Record the expenditures in the current period against the advance of funds received; an advance of funds for the next period in line with the programme or project work plan and corresponding budget.

(b) The designated institution must submit the financial report to the UNDP country office each time a request for advance is made. The review of the financial report should be linked to the substantive reporting on progress towards results and to monitoring;

(c) The key steps in processing a financial report are: i. The designated institution sends a signed financial report to the UNDP country office no later than 15 days after the end of the period covered by the last advance; ii. The programme officer in the UNDP country office reviews the financial report, verifies that resources are available and uses the work plan to verify that the amount requested does not exceed the expenditures that may reasonably be expected during the next period. The officer also verifies the use of funds for the previous period and whether progress is being made towards the achievement of the expected results; iii. The UNDP country office records the expenditures into the FIM and uses the financial report to prepare the combined delivery report; iv. For the final period of the programme or project, the designated institution certifies "FINAL" on the financial report.

(d) UNDP considers any funds transferred by the designated institution to its contractors as expenditures, which are consequently recorded against the appropriate budget sub-lines.

(e) If there are errors in the financial report, the designated institution makes corrections in consultation with the UNDP country office. The UNDP country office must follow-up with the designated institution if the financial report has not been received 15 days after the end of the period or if the institution reports no expenditures against the advance. In such cases, the country office must promptly examine any problems with reporting, disbursement or accounting, and propose measures to overcome them. The country office informs the Country Programme Accounting Unit of the actions taken to solve the problems

**Notes and references**

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<sup>1</sup> Asadi, H., The environmental limitations and future of the Asiatic cheetah in the I.R. of Iran, Report to IUCN Cat Specialist Group, 1997

<sup>2</sup> Borrini-Feyerabend, G. (ed.), Beyond Fences: Seeking Social Sustainability in Conservation, 2 volumes, IUCN, Gland(Switzerland), 1997