

**PROJECT DOCUMENT**

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**Project Title:** Local Community Participation in Restoration of Lake Urmia through sustainable land and water management and Biodiversity Conservation

(Special component of UNDP's Conservation of Iranian Wetlands Project)

**Project Number:** 00120783

**Implementing Partner:** Conservation of Iranian Wetland Projects

**Start Date:** 1 March 2020

**End Date:** 28 Feb 2021

**PAC Meeting date:** N/A

### **Brief Description**

Lake Urmia (LU) is one of the important wetlands located in North-Western Iran; a vast hyper-saline wetland and at the same time a National Park, a collection of Ramsar Sites, UNESCO Biosphere Reserve and the largest inland lake in Iran. The lake and its' islands host populations of IUCN red listed endangered species including Persian Fallow Deer and Mouflon and a number of other biodiversity species including 115 birds as well as 120 plant species.

The lake has also a very important function, in granting local communities' livelihoods living in the surrounding areas. With more than 5 million inhabitants living in its basin, threats of a drying lake will have put at an existential risk to their daily livelihoods.

During the last two decades different factors, mainly resulting from unsustainable development in the whole basin including increasing number of dams, over-abstraction from underground water, rapid growth of water demand to meet the expansion of agriculture activities and farmlands, among other factors, led to decreasing water right and shrinkage of the Lake's extension in an alarming rate. which affected daily life of communities around the lake and the basin. .

To overcome its critical, , key stakeholders such as Urmia Lake Restoration Programme, CIWP, DoE, MoJA, and MoE, put in place a set of new and innovative measures were designed with the aim of Lake Urmia which were succesful. Besides that, the restoration activities with the financial support of the Gov. of Japan started in 2014 as well. The project emphasized the critical role local communities' participation has in restoration measures; especially their adoption of sustainable agriculture practices and their support to biodiversity conservation. The evolving nature of the project extended the scope of activities to additional areas, such as providing support to the local economy and alternative sustainable livelihoods during the different phases of the project based on lessons learnt. These efforts significantly improved both, the sustainability of the process and the lake's situation.

With the aim to provide a practical platform for intersectoral cooperation and participatory approaches the Integrated Management Plan of LU basin was developed under the Conservation of Iranian Wetlands Project (CIWP) adopted by the cabinet in 2008, containing a set of priority activities under each thematic objective. Furthermore, the cabinet also adopted a list of urgent interventions based on the MP with clear responsibilities assigned to each authority for the restoration of the lake. The "wise use of land and water resources including agriculture water saving", "urgent biodiversity conservation" and "awareness raising" are among priority areas.

The latest information from LU monitoring stations in January 2020 shows the water level of the Lake as 1271.27 meters (approximately 1-meter increase in water level compared to the last year) with an area of 2807.79 km<sup>2</sup> which shows an important improvement compared to 2014. However, restoring the lake to its optimum ecological situation, a water level of 1274.1 meters, still need considerable efforts.

The previous 6 phases of the project funded by the Government of Japan since 2014, were designed based on the fact that more than 80% of the whole basin water is used for agriculture with a rather low-efficiency rate. Hence, the great potential for water saving in the area releasing more water discharge to the lake was considered. This was also informed by the dependency of most of the

basin communities on the agricultural practices for their livelihoods, justifying their engagement in the LU restoration. Under the previous grants, intersectoral cooperation and local community participation was practiced at LU basin under which sustainable agriculture techniques, water-friendly livelihoods, women micro-credit schemes, to cite a few, have been implemented and established in 150 villages located in the lake's ecological zone and welcomed by more than 12000 local people. The water-saving percentage varies from a maximum of 68% for some crops and a minimum of 26% water saving for the wheat crop, and a total average of 35%. The use of agricultural chemical inputs (Fertilizers and Pesticides) also shows an average of 40% decrease. During this period, the 250 Government officials, as well as 220 local experts (mainly from local cooperatives) who were trained on socio-economic and technical aspects of sustainable agriculture and intersectoral cooperation, stayed engaged in the project pilot sites and played the role of resource persons to scale-up the approach at basin level. Besides, 200,000 local community members were targeted in the awareness-raising campaign and 1000 people, among which 400 women and youth, were empowered by applying new tools and mechanisms including "women micro-credit funds", "water-friendly livelihoods" and "local water management networks".

This proposed project draws on the capacity built and the lessons learnt during the last six years of the project implementation and will effectively contribute in the restoration of Lake Urmia through further improvement of intersectoral cooperation, local community engagement in wetland restoration and embedding of sustainable agriculture techniques across new pilots in the LU basin.

The proposal targets better application of ecosystem approach in LU and its satellite wetlands by making the wetland management committees more active and developing monitoring reports, promoting local participation in sustainable soil and water management and biodiversity conservation in Lake Urmia basin and its satellite wetlands through out-scaling the project methods to 20 new villages through application of integrated approach while institutionalizing sustainable agriculture practices in the existing 150 villages initiated during 2014-2019. It also targets to up-scale the project achievements at national and international levels and incorporate the model in high level documents of the country, as well as enhancing the economic resilience of local communities in adaptation with LU basin resources in more integrated approach. This phase will also focus on preparation of a model on climate change adaptation and mitigation in the basin through which the long-run plan for wise use of natural resources could be achieved.

**Contributing Outcome (UNDAF/CPD):**

**UNDAF 2017-2021 Outcome 1.1.:** "Responsible Gov agencies formulate, implement and monitor integrated natural resource management policies and programmes more effectively."

**UNDP CPD 2017-2021 Outcome 1:** "Responsible government agencies formulate, implement and monitor integrated natural resources management, low carbon economy, and climate change policies and programmes more effectively."

**Indicative Output(s):**


**UNDP CPD 2017-2021 Output 1.1.:** "Strategies and measures that promote sustainable and integrated management of natural resources, biodiversity and ecosystem services are developed and considered for adoption/implementation by the Islamic Republic of Iran."

**UNDP Strategic Plan (2018-2021):**

**Output 1.4.1:** Solutions scaled up for sustainable management of natural resources, including sustainable commodities and green and inclusive value chains

<b>Total resources required:</b>	1,000,000 USD	
<b>Total resources allocated:</b>	<b>UNDP TRAC:</b>	-
	<b>Donor:</b>	1,000,000
	<b>Government:</b>	-
	<b>In-Kind:</b>	-

**Agreed by (signatures):**

UNDP	Implementing Partner
<p>Mr. Claudio Providas</p> <p>Resident Representative UNDP</p> <p>DocuSigned by: <i>Claudio Providas</i> D8C12626EEB14B5...</p>	<p>Mr. Ahmadreza Lahijanzadeh</p> <p>Deputy Marine Environment and Wetlands Department of Environment</p> 
Date: 4/5/2020	Date:

## I. DEVELOPMENT CHALLENGE

Water limitation often leads to resource allocation rivalry. Natural ecosystems and wetlands usually suffer when in competition with development. Challenges in the management of Iran's wetlands have been exacerbated by unsustainable use of its scarce water resources, persistent droughts and climate change. As a result of all this situation a number of Iranian wetlands across the 83 protected areas and 25 Ramsar sites are currently under pressure. These combined impacts have led to considerable shrinkage of wetlands, and in some parts of the country, major wetlands are entirely dried out, with serious impacts on the biodiversity and local communities' livelihoods.

Lake Urmia (LU) is a vast hyper-saline wetland in the North West of Iran. The Lake is a National Park, part of the Ramsar Sites, a UNESCO Biosphere Reserve, and is the largest inland lake in the country. With approximately 100 islands in the lake; with three of the bigger ones supporting populations of IUCN red listed endangered species of Persian Fallow Deer and Mouflon as a vulnerable species. The wetland also supports several other biodiversity species including 115 birds as well as 120 plants.

The lake grants livelihoods opportunities for local communities living in its surrounding areas. With more than 5 million people living in its basin, threats of a drying lake will have put at an existential risk to their daily livelihoods.

**Unsustainable development in the basin:** During the last two decades different factors, mainly resulting from unsustainable development in the whole basin including increasing number of dams, over-abstraction from underground water, rapid growth of water demand to meet the expansion of agriculture activities and farmlands, among other factors, led to decreasing water right and shrinkage of the Lake's extension in an alarming rate.

**Insufficient multi-stakeholder coordination/management frameworks** affect all administrative levels. This includes the lack a clear action plan to identify the role of each responsible authority; and the establishment of collaboration and coordination mechanisms among key stakeholders. Addressing any of the above issues, required a strong intersectoral cooperation for restoration process and a significant improvement of the management system of the lake and its basin.

**Lack of efficient community participation mechanisms** is linked to inadequate practical platform and low capacity for participation of local community (specifically farmers being the main water users in the basin) in the restoration process was another key challenge, and a key factor to bear in mind for any positive change toward restoration of the lake.

Despite the improvement observed in Lake Urmia's situation in the past two years; it still faces the threat of mismanagement of water resources with potential negative impact to gradually its biodiversity, and pernicious effects in the lives, health and livelihoods of the surrounding communities.

Recently, new insights into the restoration of Lake Urmia by different stakeholders such as Urmia Lake Restoration Programme, CIWP, DoE, MoJA, MoE stabilized the lake situation to some extent. The latest information from LU monitoring stations in January 2020 shows the water level of the Lake as 1271.27 meters (approximately one meter increase in the water level compared to the last year) with an area of 2807.79 km<sup>2</sup> (about twice in comparison with to last year in the same date) which shows that the Lake situation has been stabilized to some extent and there has been a significant improvement to the situation of the lake in 2014. Yet, huge efforts are still required to restore the lake to its optimum ecological situation.

During the previous 6 years of the project implementation, CIWP encountered different challenges regarding sectoral attitudes such as lack of intersectoral cooperation, lack of supportive legislations, high level of water consumption in agriculture sector and etc. In fact many attempts have been made to overcome these challenges. These measures partially resolved the problems, but there are still obstacles which hinder progress towards project objectives. The project try to overcome lack of intersectoral collaboration among different stakeholders by moving from competing over resources to

plan in multi-sectoral structures through wetland management committees which consist of the representatives of different stakeholders and link the local communities priorities to the implementation strategies. Also, mismanagement of water resources in agricultural sector is addressed by making the local farmers aware of their activities and encourage them to apply sustainable agriculture techniques and have more integrated approach in their lifestyle.

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## II. STRATEGY

Conservation of Iranian Wetlands Project (CIWP) which initially started in 2005 as a joint UNDP/GEF Project implemented by DoE, is entering its third phase based on a new 5-years strategic plan focusing on establishment of ecosystem management at local and national levels, appropriate context for stakeholders participation, , and the development and implementation of management plans. Good development practices such as sustainable agriculture and livelihoods, women micro-credit funding, establishing payment for ecosystem services schemes among others, are key elements of the project document and its outputs and activities reflected in the project document as a high-level document.

Neglecting people's role has been one of the main gaps in wetlands management. In order to address it, an appropriate understanding of the socio-economic and environmental situation of the area, as well as the ecological characteristics is required which is one of the primary principles of the participatory approach.

At this phase of the project, it is key to integrate all aspects taking place in different areas such as sustainable agriculture, livelihoods, biodiversity conservation, etc. in order to make the wetland management committees more active and to be able to put in place and apply an ecosystem approach for better management of LU basin and its satellite wetlands. This would help to detect the area of activities where more focus and emphasis is needed based on the priorities of local communities. At the same time capacity building and training would continue at this phase to have the optimum participation of representatives from other organizations and related stakeholders to achieve the goals.

Building on its global network of expertise (the so-called 'Global Policy Network'), UNDP, in close cooperation with related government authorities, works through an area-based and integrated bottom-up approaches. This aims at mainstreaming and institutionalizing best practices to adapt to current statuses of Lake Urmia including climate change in policy, decision making and implementation including the following:

- Providing a practical platform for more inclusive governance structures among all stakeholders
- Engaging local community within decision making and decision taking mechanism through participatory approaches
- Introducing good practices of NGOs and private sector partnership in conservation activities
- Reducing vulnerability of rural and agricultural communities to climate change through sustainable alternative livelihoods; And economic diversification to expand into additional and interconnected value chains, such as sustainable tourism and high value agriculture produce

Moving towards a full engagement of people in participatory development requires further attention and more resources. Neglecting this issue at any stage of the process could lead to lower stakeholders' engagement and moving in the opposite direction of the spectrum. This project aims at applying the

modelling of local communities' participation in the process of Lake Urmia restoration with reference to integrated management plan of the wetlands.

The project intends to continue to transform the behaviour of local communities and not only farmers towards sustainable development mainly through capacity building for different target groups at villages including youth and women. This would be done through completing value chain with an emphasis on market's role as a motivator to expand the production of healthy and environment-friendly crop.

Since this is the 7<sup>th</sup> phase of the project and the process of writing Iran's 7<sup>th</sup> national socio-economic plan will start in the coming year, another important issue is to agree with MoJA to incorporate the project business model in the plan. In addition, the project will try to keep cooperating with the Lake Urmia Restoration Program to up-scale the project activities at the basin and national levels and sustain the project results by incorporating these activities in their annual budget plans. Sharing knowledge and lessons-learned at national and international levels is also a fundamental part of the project strategy for this phase.

### *Theory of change*

This project will constitute a major part of the I.R. of Iran's efforts to fulfil its national and international commitments to biodiversity conservation and sustainable development, by helping restoration of Lake Urmia and its satellite wetlands which play an important role as back-up ecosystems for the rich biodiversity of the region. The critical condition of Lake Urmia caused by several factors including unsustainable development in its basin, insufficient multi-stakeholder coordination/management frameworks and the lack of efficient community participation mechanisms, made it necessary to take action for restoring the lake engaging different groups of users and stakeholders including the local communities, MoJA, DoE, RWA, national and local private sectors, NGOs, UNDP, etc.

Since the local communities in the area are considered as key audience, ensuring their engagement in the project's participatory planning was the entry point to enhance the level of their participation in sustainable soil and water management and biodiversity restoration while at the same time, expanding their economic opportunities and welfare situation. Engaging other related sectors such as MoJA and DoE are also entry points of the project; as it is the intention to move towards a behavioural change and results-based management in the basin. Enhancing the economic resilience of local communities in adaptation with LU basin resources and upscaling the model in other wetland areas of the country, are other steps which would help the project to bring about the required change. This would be achieved through several interventions including, but not limited, to the blow items as the main component of the project:

**Ecosystem-based management of wetlands is applied effectively in selected LU satellite wetlands** through providing technical support to activate implementation and coordination mechanisms of LU satellite wetlands and capacity development of LU satellite wetlands secretariats to develop participatory annual M & E reports. Quick win projects will be also implemented through support of implementation of LU satellite wetlands Management plans.

**Promote local participation in sustainable soil and water management and biodiversity conservation** through providing support for embedding SA in previous pilot sites to insure maintaining the results and implementation of an integrated approach in new pilot villages/sites based on past learning and proper results assessments. Design a model for climate change adaptation and mitigation in LU basin to prepare a plan of action in line with soil and water conservation will lead to identify and implement the new initiatives for better management of soil and water and biodiversity conservation. Support implementation of communication, education, participation and awareness (CEPA) activities is an essential tool in this area to promote the project's approach.

**Enhance the economic resilience of local communities in adaptation with LU basin resources** by supporting implementation of community-based initiatives (livelihoods) to empower local communities (more specifically women and the youth) in line with technical support to beneficiaries through a market assessment to identify potential areas to expand local community's income generation opportunities. Implementation of participatory economic valuation is a new practice along with support and monitor implementation of payment for ecosystem services (PES) pilots and implementation of business plan in the pilot sites

**Incorporate the project approach into national policies and up-scale the model in other wetland areas** through documenting the best practices, success stories and lessons learned to prepare a toolkit on "modelling community participation in wetlands restoration" and embedding it within national systems. Revising LU basin master plan to be mainstreamed into the development documents is a complementary action to this subject.

The project's measurable impacts will include:

- Increased social responsibility and resilience of local community to promote public participation in LU restoration through innovative activities
- Strengthened intersectoral cooperation in wetlands management and conservation
- Mainstreamed LU conservation in national, regional and provincial policies and plans
- Women empowerment, green jobs generation and wise use and sustainability of LU resources promoted and strengthened

These impacts will lead to additional benefits such as an improved situation ecosystem in the basin, a sustainable and efficient use of water and soil resources, and a change in attitudes of decision makers and authorities in the affected areas.

This project will be defined around the following premises and assumptions:

- Ecosystem approach is fully accepted by key stakeholders
- LURP, management committee of satellite wetlands and local communities all agree to implement the project's activities

There is international and national support and cooperation from different entities including government of Japan, UNDP, Governor General, District and Provincial Governor and an appropriate capacity for national project implementation is in place.

While there are a few predictable risks to the success of the project, including institutional capacities to support new approaches, lack of skilled human resources, climate risks particularly drought, lack of timely allocation of the national budget; they will be addressed by the project through the implementation of proper risk management measures.

#### ***Link with national and international targets***

The strategies outlined hereafter are in line with the national macro-policies for environment endorsed by the I.R. Iran's Supreme Leader and integrated in national development plans. These include the following item (1) increasing legal capacities and capabilities and establishing community participatory approach in natural resources management.; (6) the protection of wildlife and genetic resources, legal limitations to their exploitation and the management of sensitive and valuable ecosystems; (13) the optimization of scientific research and the use of both, domestic experiences and innovative technologies to maintain the balance of living habitats and (15) prevent their destruction; and finally, targeted international cooperation in the environmental field.

Also, the 6<sup>th</sup> national development plan entails several sections which are directly and indirectly related to project outputs and it provides a good basis for further linkages of planned and ongoing project activities with resources at the national level. Section S, Article 38 of The Law of the 6<sup>th</sup> Five-Year Development Plan of the Islamic Republic of Iran which reads "Develop and implement through the Department of Environment, the action plan for conservation and management of the four

environmentally protected areas and the endangered species of the wildlife of the country, with an approach of utilizing volunteering capacities and participation of natural and legal entities, with priority assigned to local communities and NGOs.”, is the most relevant item. Sections C,D, I, J, N and O of Article 38 and section A of Article 27, Section H of Article 31 and Section J of Article 33 are indirectly linked to project activities. These sections cover the topics of rural development in wetland ecosystems, addressing drought and climate change impact on the ecosystems.

This project will constitute a major part of the I.R. of Iran’s efforts to fulfil its national and international commitments to biodiversity conservation and sustainable development. The focus areas of the current United Nations Development Action Framework (UNDAF) for the I.R. of Iran for the period extending until 2021 are sustainable land management and biodiversity, both of which are integral to the project. The main UNDAF outcome to which the project will contribute is Outcome 1.1. “Responsible Government of Iran agencies formulate, implement and monitor integrated natural resource management policies and programs more effectively.” Moreover, the project falls under the UNDP Iran Country Programme Document (CPD) set for the period 2017-2021, with direct contribution to Outcome 1 under which “responsible government agencies formulate, implement and monitor integrated natural resources management, low carbon economy, and climate change policies and programmes more effectively”.

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### **III. RESULTS AND PARTNERSHIPS**

#### *Expected results*

To address a part of the above threats and based on UNDAF/OUTCOME1 (Responsible GOI agencies formulate, implement and monitor integrated natural resource management policies and programmes more effectively) and CPD/OUTCOME1 (Responsible government agencies formulate, implement and monitor integrated natural resource management, low carbon economy, and climate change policies and programmes more effectively) the project continues using CIWP best experiences and lessons learned (establishing ecosystem-based management approach and developing a climate change mitigation model) as well as, demonstrating integrated practices.

Results of initial sustainable agriculture practices piloted in the area back in 2011 as well as a current project supported by the government of Japan, demonstrated by CIWP in close cooperation with the government and good public participation revealed that applying participatory sustainable agriculture will not only decrease water use by average but would also tremendously reduce use of chemicals. At the same time farmers’ net income has increased thanks to a rise in yield observed at their farms. Considering the promising results of this practice demonstrated in a few locations in Iran as well as 150 villages in 12 focal areas at Lake Urmia basin, it is strongly recommended to upscale the model and replicate best practices in other areas of this basin and other wetland basins of the country.

The project’s phase VII will contribute to the restoration of Lake Urmia through integration and consolidation of different aspects of the project at the same time. Activating the implementation structures of Integrated Management Plans of satellite wetlands will also result in establishing synergies among related sectors.

The current proposal aims at applying an ecosystem approach in LU and its satellite wetlands in order to out-scale the project to 20 new villages while institutionalizing integrated practices in 150 villages already initiated in previous phases, promoting local participation in sustainable soil and water management and biodiversity conservation in Lake Urmia basin and its satellite wetlands and national level, as well as enhancing the economic resilience of local communities in adaptation with LU basin resources. This phase will also focus on the preparation of a climate change adaptation and mitigation model in the basin, through which the long-run plan for wise use of natural resources could be achieved and try to up-scale the model by inclusion in national and local level related strategies and action plans. The lessons learned from sustainable development practices such as “sustainable agriculture”, “public participation in low-water dependent livelihoods”, “micro-credit funds”, “payment for ecosystem services” and “conservation of LU habitats” will be shared with a wide

audience at the basin level. The project's focus area is LU's ecological zone, including 250 villages. Thus, by its 7<sup>th</sup> year of implementation, the project will cover volunteer farmers and their demonstrative lands in 170 out of those 250 villages with the aim of including all 250 villages in the coming years. Establishment of sustainable agriculture practices in LU ecological zone guarantee the project's up-scaling and its implementation in the entire LU basin.

***Resources required to achieve the expected results***

- The budget for this project (a special component of the CIWP – Scale Up project) will be provided by the Government of Japan while the Government of Iran provides parallel funding and in-kind resources.
- Allocation of budget for up-scaling of the project by MOJA and LURP is vital.
- As per the project's, DoE, MOJA and other pertinent government agencies shall continue to provide in-kind contributions at the national level including personnel, particularly NPD, office space, utilities, and maintenance, to cite a few. . In addition, relevant personnel and infrastructure required at the provincial and local level will be provided through as in-kind contributions by provincial and local DoE authorities.
- Moreover, UNDP staff time from the Iran Country Office has been adequately estimated, spent and included in the project budget under the Direct Project Costing item. UNDP management support at the country, regional and headquarter level has also been captured in the General Management Services item of the project budget. This contributes to supporting UNDP's Global Policy Network of experts, who will be advising and supporting the programme.
- Additional tools, consultancy and staffing requirements in both the Project Office in DoE and UNDP will be assessed and considered on an ongoing basis during project implementation and if needed, necessary funds will be sourced from the project budget.
- The handling procedures of interest income and unspent balance are in line with the policies and procedures of Japan-UNDP partnership fund.
- UNDP Country Office will submit a written request to the Government of Japan for the prior approval in case the re-deployment of funds between approved project budget components is required; if more than 20% increase or decrease is expected.
- Project implementation requires partnership with national, provincial and local authorities, including MoJA, DoE and MoE. Most of them, had been established during previous phases (I to VI) of the project
- Personnel and infrastructures required at the national level will be provided by CIWP project staff
- Personnel and infrastructure required at the local level will be provided by CIWP, provincial/local MoJA, DoE and Regional Water Authorities as well as NGOs and private sector
- In order to convey the experience of LU to other wetland basins in the country, financial and human resources should be provided by the provinces involved.

***Partnerships***

Existing local/regional/national stakeholder partnerships including Ministry of Jihad-Agriculture (main partner in implementation of the project), Department of Environment (project coordination and facilitation), Ministry of Energy (collaborating partner of the project), wetland management committees, private local companies and local communities on the basis of institutional arrangements



and capacities built for inter-sectoral management of the wetlands will be an important part of the proposed project implementation. There is also a close collaboration with Lake Urmia Restoration Program (LURP) in planning and financial support of the project. Another potential partner of the project is JICA, as they have a modelling project with LURP, an experience sharing program was planned and held in 2019 and a number of meetings and field visits were held as well. Continued collaboration with JICA is planned in this phase of the project. Through UNDP's Global Policy Network, the project will have the opportunity to partner with other UNDP-supported wetlands conservation programmes across the world

The Project governance will be assured through the maintenance of the inter-sectoral CIWP Project Steering Committee, which is chaired by DOE with UNDP as a member. It will meet twice each year, while the regional level Lake Urmia Regional Council at the local level wetland management committees of satellite wetlands will also be engaged.

In its 7<sup>th</sup> phase, the project will continue supporting a strong partnership among stakeholders considering below lessons learned:

- ✓ Bottom-up approaches applied in the planning and implementation of the project makes designed activities more relevant to the needs of local communities and guarantees their support and involvement. This approach will continue and enhanced during the 7<sup>th</sup> phase of LU project by making the wetland management committees more active and engaged in the decision-making process in their local basins.
- ✓ So far, mechanisms exist for engagement of local women, namely less water-dependent livelihood initiatives and micro-credit funds. Involving women in the process of LU restoration has proved to be a best practice and it will be strengthened during the 7<sup>th</sup> phase of the project.
- ✓ Continuous capacity building for local partners as well as participatory project monitoring on a regular basis has proven to enhance the expected results both in technical and socio-economic aspects. This approach will be emphasized to be carried out in the 6<sup>th</sup> phase of the project.
- ✓ Inter-sectoral cooperation among government organizations supported by the project was strengthened throughout the implementation of sustainable agriculture project. This approach led to the utilization of additional national resources in the project's implementation. . Therefore, the involvement of relevant national organizations in the next phase of the project will mobilize a considerable amount of national resources and utilize nationally existing management mechanisms.
- ✓ Success in implementation of projects, utilizing national and international resources and attracts more attention both at national and international levels. This may lead to incorporation of this approach into high level documents, mainly the 7<sup>th</sup> national development plan of the country which will be developed in the coming year.

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

- ✓ Centralized and top-down decision-making and leadership are institutionalized in some of the partner organizations which may hinder the establishment of a proper participatory and bottom-up approaches in project implementation and management. On the other hand, weak inter-sectoral collaboration among key stakeholders, including LURP, Ministry of Agriculture, Energy and the Environment has been functioning well during the past years; yet efforts need to be maintained. Participatory decision making and planning at the national, provincial and local levels will enhance bottom-up and inter-sectoral collaboration during project phase VII.
- ✓ According to the current of global climate change trends, environmental factors must be considered as a risk for natural resources management in the LU basin. The risk can be addressed

by designing a model for climate change adaptation and mitigation in the basin to be applied and incorporated in the wetland management plans.

- ✓ Private sector and NGOs still need to be developed and bring them more opportunities within decision-making processes by the government needs to be improved. To address the aforementioned risks, the necessary capacity building provided by the project during the last years has significantly improved local capacities and will be continued and even enhanced during project phase VII.
- ✓ Local/traditional knowledge has not been systematically appreciated, and local communities were not given the opportunity to participate in decision making at Lake Urmia's restoration. The issue has significantly been improved during recent years in project pilot sites.
- ✓ Lack of timely allocation of the national budget has been addressed adequately by project resources, mobilizing significant national funds allocated for project pilot sites.
- ✓ Practical models of local community participation in conservation activities were an exception in the country, before this project started. It will continue being one of the project's main objectives.

### ***Stakeholder Engagement***

It is essential to respect the concerns and suggestions of all those affected by project activities to ensure their support and adoption of sustainable practices in the long term. Through their previous participation and feedback, local stakeholders have contributed to the development of project strategies and they will be vital in their implementation and evaluation. Therefore, project staff, assistants and partners working in the respective areas will maintain a close contact with local stakeholders to enable two-way communication between them and the project management.

Local communities living in villages located in Lake Urmia ecological zone are the main intended beneficiaries of the project; but also experts and engineers from the government (MoJA, DoE and Regional Water Authorities) and the private sector. Project undertakes participatory and integrated approaches such as Participatory Technology Development (PTD) as its main strategy to identify and engage target groups. This strategy has been applied during the past 3 years of project implementation and has been localized and modified to best-fit project needs in terms of local community participation in LU restoration.

### ***Knowledge***

The project has already produced a series of documentary films showing the implementation process of sustainable agriculture techniques as well as promoting local community participation in Lake Urmia restoration. Several brochures, a booklet documenting project best practices and lessons learned have been produced and made available to the public to promote sustainable agriculture techniques in LU and even other wetland basins in Iran. All knowledge products have been available free of charge and distributed among interested target groups. An important resource which is a part of phase V plan was the construction of a monitoring web site in which all project activities and their results are reflected. In phase VI, the website was fully uploaded, and the project data was filled to be available for all project stakeholders and target groups. In its VII phase, the project will also continue collecting its best practices and lessons learned and will properly document them. Also, it is planned to prepare a knowledge sharing toolkit on "Modelling community participation in wetlands restoration" in the new phase. UNDP's Global Policy Network (GPN) will continue to connect the project to a world of knowledge, resources and networks of best practice, which will promote development breakthroughs.

### ***Sustainability, and scaling up/out***

From the early stages of project implementation (2014) Ministry of Agriculture (MoJA) has been the major implementing partner of the project. Within the last 6 years of project implementation a comprehensive training and capacity building has been carried out for MoJA experts in East/West Azerbaijan preparing them to out-scale the project independently throughout the entire LU basin. Besides, the successful achievements of project implementation have now convinced LURP and MoJA high ranking officials at the national level to take sustainable agriculture as one of MoJA top priorities to be implemented and established in LU basin and probably the whole country. Partnership with MoJA as agriculture focal point in the country will further be enhanced and capacity building for government partners promoting local community participation in the establishment of integrated practices in LU basin will further be improved during the 7<sup>th</sup> phase of project implementation ensuring sustainability, up-scaling and out-scaling as well as national ownership of the project. It is also worth mentioning that the project model was documented in phase VI and the proposal will be prepared for incorporation of this model in the 7<sup>th</sup> national socio-economic plan of the country and relevant high-level documents.

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#### **IV. PROJECT MANAGEMENT**

##### *Cost efficiency and effectiveness*

Project available resources during its previous phases (I to VI) have mobilized significant national resources to achieve optimal results. In its 7<sup>th</sup> year, the project will mobilize further national resources as project approaches have been very well established within the national system. On the other hand, the capacity built for local implementing partners and cooperatives has created productivesynergies through which the optimal results could be achieved with available resources.

Lake Urmia Restoration Program has developed an action plan for different government organizations involved in LU restoration. The project in its previous years has created an atmosphere of trust, partnership and cooperation with provincial MoJA, DoE and MOE in East/West Azerbaijan using their expertise and infrastructures to maximize the results of the project with available resources.

MoJA as the major partner of the project having premises, personnel and infrastructure in all project pilot sites has provided a substantive contribution to project monitoring which significantly maximized its results in previous phases of the project and it is expected to continue and even be enhanced applying the best practices and lessons learnt during phase VII of the project.

The project will also benefit from UNDP's Global Policy Network, which draws on UNDP's expertise around the world to provide more effective responses to complex development challenges in an integrated and coherent manner.

##### *Project Management*

The proposed project will be implemented as a special stand-alone component of the UNDP/ Government of Iran Conservation of Iranian Wetlands project Phase II (Up-scaling) already operational with the Department of Environment (DOE) as the implementing Partner under NIM modality. All UNDP NIM modality requirements will be applicable to this project ensuring an efficient implementation.

The CIWP project team would be responsible for facilitation of the process however new staff hired to coordinate and follow up project activities including 3 technical experts at national and two others

at field level supported by monitoring and evaluation expert and public awareness and communications expert. If required by the Implementing Partner (i.e. DOE, National Project Director of the wetlands project) additional staff will be available to the team in the new phase.

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## **V. RESULTS FRAMEWORK<sup>1</sup>**

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<sup>1</sup> UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project.

<b>Intended Outcome as stated in the UNDAF/Country [or Global/Regional] Programme Results and Resource Framework:</b>						
UNDAF Outcome 1: Environment						
Output 1.1: Integrated natural resource management						
Responsible GOI agencies formulate, implement and monitor integrated natural resource management policies and programmes more effectively.						
<b>Outcome indicators as stated in the Country Programme [or Global/Regional] Results and Resources Framework, including baseline and targets:</b>						
CPD Outcome 1: Responsible government agencies formulate, implement and monitor integrated natural resource management, low carbon economy, and climate change policies and programmes more effectively						
<b>Applicable Output(s) from the UNDP Strategic Plan:</b>						
Outcome 1: Indicator Components - Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded						
<b>Project title and Atlas ProjecNumber:</b>						
Local community participation in Lake Urmia Restoration, Atlas ID: 00120783						
EXPECTED OUTPUTS	OUTPUT INDICATORS <sup>2</sup>	DATA SOURCE	BASELINE		TARGETS (by the frequency of data collection)	DATA COLLECTION METHODS & RISKS
			Value	Year	Year (2020-2021)	
<b>Output 1</b> Ecosystem-based management of wetlands is results-based and is applied more effectively to selected LU satellite wetlands	<i>1.1 # of wetlands with MPs recording a "moderate satisfactory" score as measured by scorecard for implementation effectiveness</i>	<i>DoE- MoJA – Regional water authorities- local communities and NGOs- MCHTH- MIMT- CIWP</i>	No data	2014-19	1 wetland	<i>MoMs of wetlands management committees, Field visits, participatory workshops</i>

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<sup>2</sup> It is recommended that projects use output indicators from the Strategic Plan IRRF, as relevant, in addition to project-specific results indicators. Indicators should be disaggregated by sex or for other targeted groups where relevant.

	1.2 # of annual wetlands monitoring reports collected from the stakeholders and compiled by the secretariats	Wetland management committees, DoE, MoJA, CIWP, Implementing Partners	Water level in 7 Jan 2020 = 1271.27 m	2014-19	2 reports	Reports by different related sectors, reports of monitoring teams
	1.3 # of implemented quick win initiatives in LU satellite wetlands	Wetland management committees, DoE, CIWP, Implementing Partners	8	2014-19	3 initiatives	Meetings, field visits, workshops, reports
<b>Output 2</b> Promote local participation in sustainable soil and water management and biodiversity conservation	2.1. # of new pilot villages in which integrated approach has been implemented	MoJA, Local Implementing Partners, DoE, CIWP, Regional water authorities	15 pilot villages	2014-19	Sustainable Agriculture is embedded in 20 new pilots and institutionalized in previous pilots	Meetings, field visits, workshops, reports
	2.2 # of previous pilot villages in which sustainability is embedded	MoJA, Local Implementing Partners, DoE, CIWP, Regional water authorities	SA project (150 pilot villages)	2014-19	40 previous pilots which are the pilots of phase VI and V	Meetings, field visits, workshops, reports
	2.3 # of CEPA activities	NGOs- CBOs-MoJA – DoE – RWA - Local Implementing Partners	1 in each city (11 in total)	2014-19	4 CEPA activities in LU and 6 in satellite wetlands (10 activities in total)	field visits, reports
<b>Output 3</b> Enhance the economic resilience of local communities in adaptation with LU basin resources	3.1. # of previously established livelihoods initiatives which are managed independently.	DoE, MoJA, CIWP, MCLS, Local Implementing Partners	3	2014-19	At least 2 more previous livelihood and PES initiatives are managed independently	field visits, reports, Meetings
	3.2 # of local communities benefited from the project (gender-based)	DoE, MoJA, CIWP, MCLS, Local Implementing Partners	12000 men involved in SA activities, 750 women benefited by launching green jobs, 4700 students trained of LU and its satellite wetlands importance, 200 local experts employed	2014-19	1000 men, 100 women and youth are empowered	field visits, reports, Meetings
	3.3 # of community-based initiatives which indicate increased income of local communities and decreased use of the resources	DoE, MoJA, CIWP, MCLS, Local Implementing Partners	43	2014-19	10 new community based initiatives are launched	field visits, reports, Meetings



<b>Output 4</b> Incorporate the project approach into national policies and up-scale the model in other wetland areas	<i>4.1. The project model is proposed by MoJA to be incorporated in the 7<sup>th</sup> National socio-economic Plan of the country (and other high-level documents)</i>	<i>DoE, MoJA, CIWP</i>	Formal correspondence from MoJA to its provincial offices, Budget allocation by LURP for SA	2014-19	The project model is documented and submitted by MoJA to BPO	<i>Meetings, formal MoMs</i>
	<i>4.2 # of international, national and local knowledge sharing events and published success stories</i>	<i>DoE, MoJA, CIWP</i>	3 international, 5 national, 10 local events in 2019, 4 success stories published in 2019	2014-19	3 international, 6 national and 10 local events, at least 6 success stories published	<i>Meetings and Participatory Workshops, field visits</i>

## VI. MONITORING AND EVALUATION

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans: *[Note: monitoring and evaluation plans should be adapted to project context, as needed]*

### Monitoring Plan

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

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

## VII. PROJECT WORK PLAN

EXPECTED OUTPUTS	PLANNED ACTIVITIES	RESPONSIBLE PARTY	PLANNED BUDGET (USD)		
			Funding Source	Budget Description	Amount
<b>Output 1:</b> <b>Ecosystem-based management of wetlands is results-based and is applied more effectively to selected LU satellite wetlands</b>	1-1 Technical Support to activate implementation and coordination mechanisms of LU satellite wetlands	CIWP/ DoE/IP	Japan	71300: Local Consultants-staff/ 72100: Contractual Services - Companies/ 71600: Travel	19,000
	1-2 Capacity development of LU satellite wetlands secretariats to develop participatory annual M & E reports	CIWP/ DoE/IP	Japan	71300: Local Consultants / 71600: Travel	50,000
	1-3 Support implementation of LU satellite wetlands MPs	CIWP/ DoE/IP	Japan	72100: Contractual Services - Companies/ 71600: Travel	46,000
<b>Sub-Total for Output 1</b>					<b>115,000</b>
<b>Output 2:</b> <b>Promote local participation in sustainable soil and water management and biodiversity conservation</b>	2.1- Support embedding SA in previous pilot sites to insure sustaining the results	CIWP/ DoE/ IP	Japan	71300: Local Consultants-Staff / 71600: Travel	168,000
	2.2- Implement integrated approach in new pilot villages/sites based on past learning and assess the results	CIWP/ DoE/MoJA/RWA	Japan	72100: Contractual Services – Companies/ 71600: Travel	174,000
	2.3- Design a model for climate change adaptation and mitigation in LU basin to prepare a plan of action in line with soil and water conservation	CIWP/ DoE/MoJA/IP	Japan	71300: Local Consultants-Staff / 71600: Travel/ 72100: Contractual Services – Companies	60,000

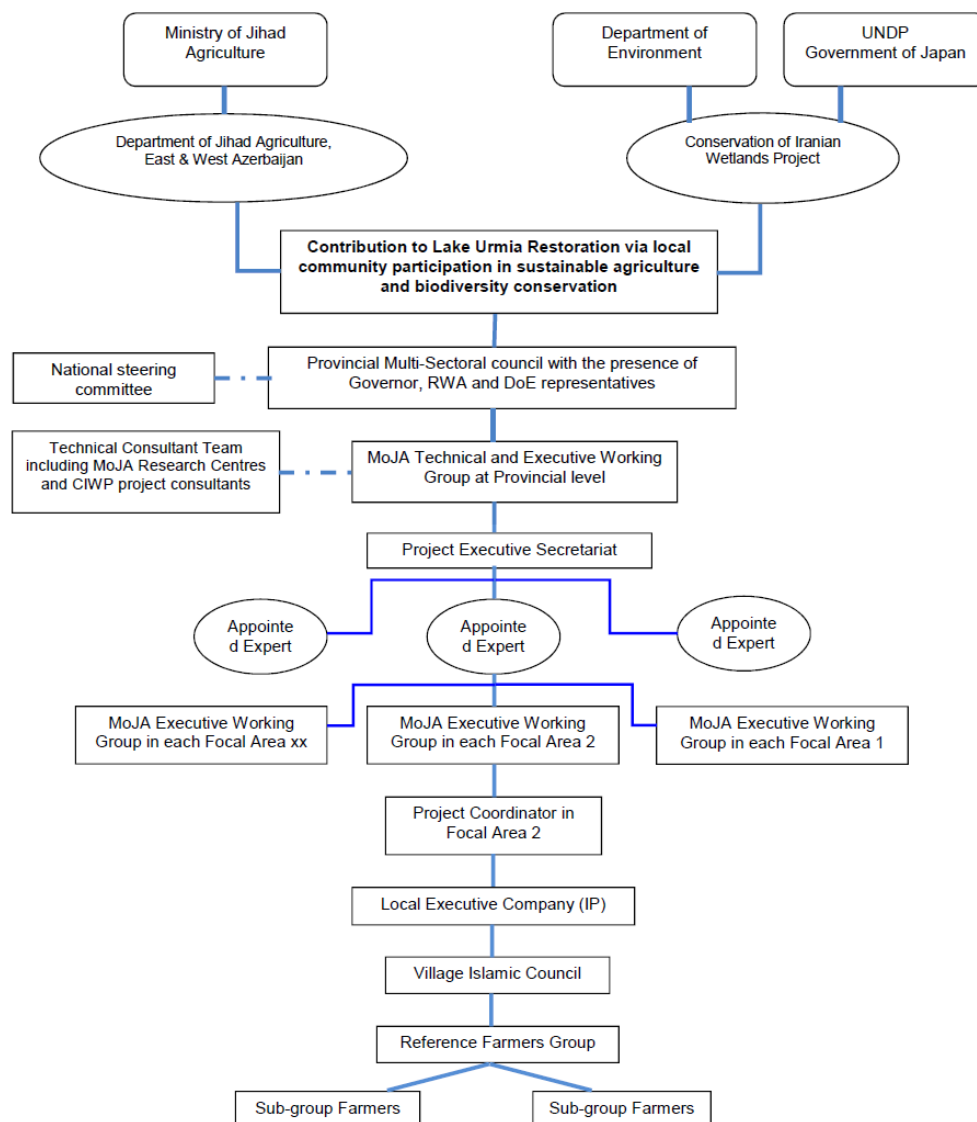
	2.4- Identify and implement the new initiatives for better management of soil and water and biodiversity conservation	CIWP/ DoE/MoJA/University/Research center /IP	Japan	72100: Contractual Services – Companies / 71600: Travel	60,749
	2.5- Support implementation of CEPA activities and assess their effectiveness	DoE/CIWP /University/IP	Japan	74200: Printing / 75700: Training / 72400: Audio Visual 72100: Contractual Services – Companies/ 71300: Local Consultants-Staff	61,000
<b>Sub-Total for Output 2</b>					<b>523,749</b>
<b>Output 3 Enhance the economic resilience of local communities in adaptation with LU basin resources</b>	3.1- Support implementation of community-based initiatives (livelihood) to empower local communities (more specifically women and the youth) to make income and being involved in wetlands conservation and assess their effectiveness	CIWP/ DoE/MoJA/RWA/Meteorology/ /IP	Japan	72100: Contractual Services – Companies	83,000
	3.2- Implement participatory economic valuation for one of the LU satellite wetlands and document the results	CIWP /IP	Japan	72100: Contractual Services – Companies/ 71300: Local Consultants-Staff	31,000
	3.3- Support and monitor implementation of payment for ecosystem services (PES) pilots to prepare and disseminate a guideline	CIWP/ DoE/MoJA/Gov/IP	Japan	71200: International Consultants / 72100: Contractual Services – Companies/ 71600: Travel/ 71300: Local Consultants-Staff	30,000
	3.4- Support development and implementation of business plan for one of the LU satellite wetlands	CIWP/ DoE/IP	Japan	72100: Contractual Services – Companies	21,000
	3.5- Technical support of beneficiaries on a market survey to increase local community income in line with LU basin resources conservation	CIWP/DoE/RWA/ MoJA/ IP	Japan	71200: International Consultants / 72100: Contractual Services – Companies/ 71300: Local Consultants-Staff	35,000
<b>Sub-Total for Output 3</b>					<b>200,000</b>

<b>Output 4 Incorporate the project approach into national policies and up-scale the model in other wetland areas</b>	4.1- Document the best practices, success stories and lessons learnt to prepare a toolkit on “Modelling community participation in wetlands restoration”	CIWP/IP	Japan	72100: Contractual Services – Companies/ 71600: Travel/ 74200: Printing	9,000
	4.2- Approve and formally designate the proposal draft on “Modelling community participation in LU restoration” by national MoJA	CIWP/ MoJA/consultants	Japan	71300: Local Consultants-Staff / 71600: Travel	1,000
	4.3- Identify relevant national and international projects by receiving support from Global Policy Network (GPN) and develop effective communication to replicate the model in two other wetland areas	CIWP/ MoJA/consultants	Japan	71300: Local Consultants-Staff / 71600: Travel	4,000
	4.4- Review and revise LU basin master plan to be mainstreamed into the higher development documents	CIWP/ IP	Japan	72100: Contractual Services – Companies/ 71300: Local Consultants/ 74200: Printing	7,000
	4.5- Enhance the project management performance including M & E project progress, fundraising, office running and maintenance of project offices and etc.	CIWP/ DoE/ MoJA /IP	Japan	74200: Printing / 75700: Training / 72200: Equipment / 72400: Audio Visual / 72500: Supplies / 73400: Maintenance / 74100: Professional Services / 74500: Miscellaneous Expenses	9,091
<b>Sub-Total for Output 4</b>					<b>30,091</b>
<b>Total Outcome</b>					<b>868,840</b>
<b>DPC</b>	DPC will be used to support organizational costs based on below categories:	UNDP	Japan	64300: Services to projects -CO staff/ 74500: Services to projects -GOE	47,918
	1. Programme Technical Support & Policy advisory services, (40%)				

	2. Technical Quality Assurance (8%)				
	3. Operational services including processing Request for Direct Payments (RDPs), vendor creation, calculation and payment of DSA for project staff travel, purchase order creation and approval, procurement processes, etc. (26%)				
	4. General Administrative Costs (26%)				
<b>General Management Support</b>		UNDP	Japan	75100: UNDP GMS	73,341
<b>Coordination Levy</b>	Pursuant to paragraph 10(a) of United Nations General Assembly Resolution A/RES/72/279 (31 May 2018), the donor has agreed that an amount corresponding to 1% of the total contribution to UNDP shall be paid to finance the United Nations Resident Coordinator System. This amount, referred to as “coordination levy” will be held in trust by UNDP until transfer to the United Nations Secretariat for deposit into the United Nations Special Purpose Trust Fund, which has been established to finance the United Nations Resident Coordinator System and is managed by the United Nations Secretariat.	UNDP	Japan		9,901
<b>TOTAL</b>					<b>1,000,000</b>

## VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

As the five-year CIWP strategy document is being approved, development and participatory activities are included such as sustainable agriculture and livelihood, climate change adaptation and mitigation model which are the key components of “Contribution to Lake Urmia restoration via local community participation” project that is supported by an international donor, Government of Japan. The Project governance will be assured through a continuation of the inter-sectoral CIWP Project Steering Committee, which is chaired by DOE with UNDP as a full member and will meet twice each year and a national steering committee with 6-8 meetings per year. It will be implemented by UNDP under the ongoing CIWP – 2020-2025 project document, under which the national, provincial and local working groups actively support the appropriate implementation of the project by taking part in the preparation of plan of actions in the pilot sites. The project monitoring and evaluation system is being implemented by reporting and analyzing the project progress to their fellow group in a reciprocal relationship (e.g. national working group with national LURP).





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## **IX. LEGAL CONTEXT AND RISK MANAGEMENT**

The project document shall be the instrument envisaged and defined in the [Supplemental Provisions to the Project Document](#), attached hereto and forming an integral part hereof, as “the Project Document”.

This project will be implemented by the Department of Environment (“Implementing Partner”) in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

### **Standard Annex to project document for use in countries which are not parties to the Standard Basic Assistant Agreement (SBAA)**

#### **Standard Text: Supplemental Provisions to the Project Document:**

##### **The Legal Context**

##### **General Responsibilities of the Government, UNDP and the Implementing Partner**

1. The Government, assuming its overall responsibility, shall designate the Government Co-operating Agency named in the cover page of this document (hereinafter referred to as the “Co-operating Agency”) which shall be directly responsible for the implementation of the Government contribution to the project.
2. The Project Document, and the term as used in this Annex, includes the Country Programme Action Plan (CPAP) signed by the Government of Iran (The Government) on (signing date of the current CPAP), and the Annual Work plan (AWPs), together with this Annex attached to the AWPs.
3. UNDP project activities shall be carried out in accordance with the relevant and applicable resolutions and decisions to the competent UNDP organs, and subject to the availability of the necessary funds to UNDP. In particular, decision 2005/1 of 28 January 2005 of UNDP’s Executive Board approved the new Financial Regulations and Rules and, along with them, the new definitions of ‘Executing Entity’<sup>3</sup> and ‘Implementing Partner’<sup>4</sup> enabling UNDP to fully implement the new Common Country Programming Procedures resulting from the UNDP simplification and harmonization initiative.
4. All phases and aspects of the 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 the principles embedded in UNDP’s Financial Regulations and Rules, 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.
5. The Co-operating agency shall remain responsible for its part in UNDP-assisted development projects and the realization of their objectives as described in the Project Document.
6. Assistance under the Project Document is provided for the benefit of the Government and the people of the Islamic Republic of Iran. The Co-operating Agency shall bear all imputable risks of operations in respect of this project.
7. The Co-operating Agency, in accordance with the Project Document, shall provide to the project the national counterpart personnel, training facilities, land, buildings, equipment and other required services and facilities.
8. The UNDP undertakes to complement and supplement the Co-operating Agency participation and will provide through the Implementing Partner the required expert services, training, equipment and other services within the funds available to the project.

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<sup>3</sup> Executing Entity shall mean, for UNDP programme activities carried out under the harmonized operational modalities established in response to General Assembly resolution 56/201, the entity that assumes the overall ownership over and responsibility for UNDP programme activities and the acceptance of accountability for results and shall normally be the programme country Government.

<sup>4</sup> Implementing Partner shall mean, for UNDP programme activities carried out under the harmonized operational modalities established in response to General Assembly resolution 56/201, the entity to which the Administrator has entrusted the implementation of UNDP assistance specified in a signed document along with the assumption of full responsibility and accountability for the effective use of UNDP resources and the delivery of outputs, as set forth in such document.

9. Upon commencement of the project the Implementing Partner shall assume primary responsibility for project implementation and shall have the status of an independent contractor for this purpose. However, that primary responsibility shall be exercised in consultation with UNDP and in agreement with the Co-operating Agency. Arrangements to this effect shall be stipulated in the Project Document as well as for the transfer of this responsibility to the Co-operating Agency or to an entity designated by the Co-operating Agency during the implementation of the project.
10. Part of the Co-operating Agency's participation may take the form of cash contribution to UNDP. In such cases, the Implementing Partner will provide the related services and facilities and will account annually to the UNDP and to the Co-operating Agency for the expenditure incurred.

**(a) Participation of the Government**

1. The Co-operating Agency shall provide to the project the services, equipment and facilities in the quantities and at the time specified in the Project Document Budgetary provision, either in kind or in cash, for the Co-operating Agency's participation so specified shall be set forth in the Project Budgets.
2. The Co-operating Agency shall, as appropriate and in consultation with the Implementing Partner, assign a director for the project on a full-time basis. He shall carry out such responsibilities in the project as are assigned to him by the Co-operating Agency.
3. The estimated cost of items included in the Co-operating Agency contribution, as detailed in the project budget, shall be based on the best information available at the time of drafting the project proposal. It is understood that price fluctuations during the period of execution of the project may necessitate an adjustment of said contribution in monetary terms; the latter shall at all times be determined by the value of the services, equipment and facilities required for the proper implementation of the project.
4. Within the given number of work-months of personnel services described in the Project Document, minor adjustments of individual assignments of project personnel provided by the co-operating Agency may be made by the co-operating Agency in consultation with the Implementing Partner, 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.
5. The Co-operating Agency shall continue to pay the local salaries and appropriate allowances of national counterpart personnel during the period of their absence from the project while on UNDP fellowships.
6. The Government 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 deliver to the project site.
7. The Co-operating Agency shall make available to the project – subject to existing security provisions and national laws and regulations – any published and unpublished reports, maps, records and other data, which are considered necessary to the implementation of the project. Such reports, maps, records and other data shall be exclusively used for the implementation of the project. In cases when the Co-operating Agency, due to security provisions or national laws and regulations, does not make available reports, maps, records and other data considered necessary to the implementation of the project, UNDP and the Government may decide to modify or redesign the project or components thereof.
8. Unless otherwise agreed by the Parties in each case, patent rights, copyright 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 Government shall have the right to use any such discoveries to work within the country free of royalty and any charge of similar nature.
9. The Co-operating Agency undertakes to assist all project personnel in finding suitable housing accommodation at reasonable rents.
10. The services and facilities specified in the Project Document which are to be provided to the project by the Co-operating Agency by means of a contribution in cash shall be set forth in the Project Budget. Payment shall be made in accordance with the Schedule of Payments in the Project Document.
11. Payment of the above-mentioned contribution on or before the dates specified in the Schedule of Payments is a prerequisite to commencement or continuation of project operations.

**(b) Participation of the UNDP and the Implementing Partners**

1. The UNDP shall provide to the project through the Implementing Partner the services, equipment and facilities described in the Project Document Budgetary provision for the UNDP contribution as specified shall be set forth in the Project Budgets.
2. The Implementing Partner shall consult with the Co-operating Agency and UNDP on the candidature of the Project Manager<sup>5</sup> who, under the direction of the Implementing Partner, will be responsible in the country for the Implementing Partner's participation in the project.
3. The Project Manager shall supervise the experts and other entity personnel assigned to the project, and the on-the-job training of national counterpart personnel. The Project Manager shall be responsible for the management and efficient utilization of all UNDP-financed inputs, including equipment provided to the project.
4. The Implementing Partner, in consultation with the Co-operating Agency and UNDP, shall assign international staff and other personnel to the project as specified in the Project Document, select candidates for fellowships and determine standards for the training of national counterpart personnel.
5. Fellowships shall be administered in accordance with the fellowships regulations of the Implementing Partner.
6. The Implementing Partner may, in agreement with the Co-operating Agency and UNDP, implement part or the entire project by subcontract. The selection of subcontractors shall be made, after consultation with the Co-operating Agency and UNDP, taking into account the Implementing Partner's procedures.
7. All material, equipment and supplies which are purchased from UNDP resources will be used exclusively for the implementation of the project, and will remain the property of the UNDP in whose name it will be held by the Implementing Partner. Equipment supplied by the UNDP shall be marked with the insignia of the UNDP and of the Implementing Partner.
8. Arrangements may be made, if necessary, for a temporary transfer of custody of equipment to local authorities during the life of the project, without prejudice to the final transfer.
9. Prior to completion of UNDP assistance to the project, the Co-operating Agency, the UNDP and the Implementing Partner shall consult as to the disposition of all project equipment provided by the UNDP. Title to such equipment shall normally be transferred to the Co-operating Agency, or to an entity nominated by the Co-operating Agency, when it is required for continued operation of the project or for activities following directly there from. UNDP may, however, retain title to part or all of such equipment in accordance with UNDP regulations and rules.
10. At an agreed time after the completion of UNDP assistance to the project, the Co-operating Agency and the UNDP, and if necessary the Implementing Partner, shall review the activities continuing from or consequent upon the project with a view to evaluating its results.
11. UNDP may release information relating to any investment oriented project to potential investors, unless and until the Co-operating Agency has requested the UNDP in writing to restrict the release of information relating to such project.

**(c) Rights, Facilities, Privileges and Immunities**

1. In accordance with the Convention on the Privileges and Immunities of the United Nations of 1946, given effect to by the Act of 4 March 1973 of the Iranian National Assembly, and the Agreement between the United Nations Special Fund and the Government of Iran Concerning Assistance from the Special Fund, signed by the Minister of Foreign Affairs 6 October 1959, the officials of UNDP and other United Nations organizations associated with the project shall be accorded rights, facilities, privileges and immunities specified in said Convention and Agreement.
2. (a) Should the Parties agree to involve "Persons Performing Services" in this project in accordance with Article 8(3) of the Agreement between the United Nations Special Fund and the Government of Iran Concerning Assistance from the Special Fund, signed on 6 October 1959, the expression "persons performing services" as used in this Article of this Annex includes UN Volunteers, operational experts, Implementing Partners, their employees and contractors, implementing or assisting in the implementation of UNDP assistance to a project, other than Government nationals employed locally. Any agreement between the parties to involve persons performing services has to be approved in accordance with the Iranian national procedures.

(b) The expression “persons performing services” does not extend to cover nationals and the residents in the territory of Iran.

(c) The privileges and immunities are accorded to the officials of UNDP and other relevant UN organizations associated with the projects in the interest of the United Nations and not for the personal benefit of the individuals themselves. The Secretary-General shall have the right and duty to waive the immunity of any official in any case where, in his opinion, the immunity would impede the course of justice and can be waived without prejudice to the interest of the United Nations. The United Nations shall cooperate at all times with the appropriate authorities of the Islamic Republic of Iran to facilitate the proper administration of justice, secure the observance of police regulations and prevent the occurrence of any abuse in connection with the privileges, facilities and immunities referred to above.

3. (a) For purposes of the instruments on privileges and immunities referred to in the preceding parts of this Article:
  - i. All papers and documents relating to a project in the possession or under the control of the persons referred to in sub-paragraph 2(a), above, shall be deemed to be documents belonging to UNDP, the United Nations or the Specialized Agency concerned, as the case may be; and
  - ii. Equipment, materials and supplies brought into or purchased or leased by those persons within the country for purposes of a project shall be deemed to be property of UNDP, the United Nations or the Specialized Agency concerned, as the case may be.
4. The Cooperating Agency shall ensure:
  - (a) Prompt clearance of experts and other persons performing services in respect of this project; and
  - (b) The prompt release from customs of:
    - i. Equipment, materials and supplies required in connection with this project; and
    - ii. Property belonging to and intended for the personal use or consumption of the personnel of the UNDP, its Implementing Partners, or other persons performing services on their behalf in respect of this project, except for locally recruited personnel.
5. Nothing in the Project Document shall be construed to limit the rights, facilities, privileges or immunities conferred in any other instrument upon any person, natural or juridical, referred to hereunder.
6. The Co-operating Agency shall facilitate the project implementation under the provisions of the Project Document.

**(d) Suspension or termination of activities**

1. Following mutual consultation with the Co-operating Agency, UNDP may by written notice to the Co-operating Agency and to the Implementing Partner concerned suspend any project activities, if in the judgment of UNDP, any circumstances arise which interferes or threatens to interfere with the successful completion of the project or the accomplishment of its purposes.
2. The procedure for suspension and termination of a project are as follows:
  - a. Suspension: During the period of suspension, the Parties may consult and try to resolve the problems by corrective measures. If the problems are resolved, the project activities may be resumed. The UNDP Resident Representative confirms to the Parties the date for resuming such activities. However, UNDP may directly terminate a project, in cases it deems as force majeure.
  - b. Termination: A project may be terminated only after a period of suspension. If neither party has been able to reach a resolution of the problem within a reasonable period of time, either party may recommend the project's termination. Unspent TRAC1 or TRAC2 funds from a terminated project may be reprogrammed, taking into account the outstanding obligations of the terminated project. The Implementing Partner proceeds with the steps required for financial completion.
3. The UNDP Resident Representative takes the necessary steps regarding suspension or termination of a project and confirms it in writing to the parties concerned, in consultation with the national coordinating authority and the Implementing Partner.

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## X. RISK MANAGEMENT

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

Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP

Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

11. UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail the Implementing Partner's obligations under this Project Document. Where such funds have not been refunded to UNDP, the Implementing Partner agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to the Implementing Partner for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

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

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

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## **XI. ANNEXES**

- 1. Project Quality Assurance Report**
- 2. Social and Environmental Screening Template**
- 3. Risk Analysis.** Use the standard [Risk Log template](#). Please refer to the [Deliverable Description of the Risk Log](#) for instructions
- 4. Capacity Assessment:** Results of capacity assessments of Implementing Partner (including HACT Micro Assessment)
- 5. Project Board Terms of Reference and TORs of key management positions**

Project board (national working group) consists of DoE (National Project Management of CIWP), MoJA experts (deputies of extension, water and soil, environment and food security), MoE, provincial DoEs, provincial Jihad-agriculture managers (head of extension offices), Provincial Regional water authorities of East and West Azerbaijan and the capacity building consultant of the project.

The board members would provide the below tasks in a participatory approach:

- High-level decision making and planning and development of implementation framework
- Development and monitoring strategic objectives to deal with challenges and threats
- Support and monitor smooth and timely an implementation of activities

- 6. Theory of Change**

# ANNEX 1

## PROJECT QA ASSESSMENT: DESIGN AND APPRAISAL

### OVERALL PROJECT

EXEMPLARY (5) ●●●●●	HIGHLY SATISFACTORY (4) ●●●●○	SATISFACTORY (3) ●●●○○	NEEDS IMPROVEMENT (2) ●●○○○	INADEQUATE (1) ●○○○○
At least four criteria are rated Exemplary, and all criteria are rated High or Exemplary.	All criteria are rated Satisfactory or higher, and at least four criteria are rated High or Exemplary.	At least six criteria are rated Satisfactory or higher, and only one may be rated Needs Improvement. The SES criterion must be rated Satisfactory or above.	At least three criteria are rated Satisfactory or higher, and only four criteria may be rated Needs Improvement.	One or more criteria are rated Inadequate, or five or more criteria are rated Needs Improvement.

### DECISION

- **APPROVE** – the project is of sufficient quality to continue as planned. Any management actions must be addressed in a timely manner.
- **APPROVE WITH QUALIFICATIONS** – the project has issues that must be addressed before the project document can be approved. Any management actions must be addressed in a timely manner.
- **DISAPPROVE** – the project has significant issues that should prevent the project from being approved as drafted.

### RATING CRITERIA

#### STRATEGIC

<p><b>1. Does the project's Theory of Change specify how it will contribute to higher level change? (Select the option from 1-3 that best reflects the project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The project has a theory of change with explicit assumptions and clear change pathway describing how the project will contribute to outcome level change as specified in the programme/CPD, backed by credible evidence of what works effectively in this context. The project document clearly describes why the project's strategy is the best approach at this point in time.</li> <li>• <b>2:</b> The project has a theory of change. It has an explicit change pathway that explains how the project intends to contribute to outcome-level change and why the project strategy is the best approach at this point in time, but is backed by limited evidence.</li> <li>• <b>1:</b> The project does not have a theory of change, but the project document may describe in generic terms how the project will contribute to development results, without specifying the key assumptions. It does not make an explicit link to the programme/CPD's theory of change.</li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	<b>3</b>	2
	1	
	Evidence : Annex 6 of the project document	
<p><b>2. Is the project aligned with the thematic focus of the UNDP Strategic Plan? (select the option from 1-3 that best reflects the project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The project responds to one of the three areas of development work<sup>6</sup> as specified in the Strategic Plan; it addresses at least one of the proposed new and emerging areas<sup>7</sup>; an issues-based analysis has been incorporated into the project design; and the project's RRF includes all the relevant SP output indicators. <i>(all must be true to select this option)</i></li> <li>• <b>2:</b> The project responds to one of the three areas of development work<sup>1</sup> as specified in the Strategic Plan. The project's RRF includes at least one SP output indicator, if relevant. <i>(both must be true to select this option)</i></li> <li>• <b>1:</b> While the project may respond to one of the three areas of development work<sup>1</sup> as specified in the Strategic Plan, it is based on a sectoral approach without addressing the complexity of the development issue. None of the</li> </ul>	<b>3</b>	2
	1	
	Evidence SP outcome1, output 1.1 as reflected in the project	

<sup>6</sup> 1. Sustainable development pathways; 2. Inclusive and effective democratic governance; 3. Resilience building

<sup>7</sup> sustainable production technologies, access to modern energy services and energy efficiency, natural resources management, extractive industries, urbanization, citizen security, social protection, and risk management for resilience



relevant SP indicators are included in the RRF. This answer is also selected if the project does not respond to any of the three areas of development work in the Strategic Plan.	<b>document</b>						
<b>RELEVANT</b>							
<p><b>3. Does the project have strategies to effectively identify, engage and ensure the meaningful participation of targeted groups/geographic areas with a priority focus on the excluded and marginalized? (select the option from 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. Beneficiaries will be identified through a rigorous process based on evidence (if applicable.)The project has an explicit strategy to identify, engage and ensure the meaningful participation of specified target groups/geographic areas throughout the project, including through monitoring and decision-making (such as representation on the project board) (<i>all must be true to select this option</i>)</li> <li>• <b>2:</b> The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. The project document states how beneficiaries will be identified, engaged and how meaningful participation will be ensured throughout the project. (<i>both must be true to select this option</i>)</li> <li>• <b>1:</b> The target groups/geographic areas are not specified, or do not prioritize excluded and/or marginalised populations. The project does not have a written strategy to identify or engage or ensure the meaningful participation of the target groups/geographic areas throughout the project.</li> </ul> <p>*Note: Management Action must be taken for a score of 1, or select not applicable.</p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: center;"><b>3</b></td> <td style="text-align: center;"><b>2</b></td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2">           Select (all) targeted groups: (drop-down)  <b>Evidence This has been addressed in Partnership and stakeholder engagement section of the Project document</b> </td> </tr> </table>	<b>3</b>	<b>2</b>	1		Select (all) targeted groups: (drop-down) <b>Evidence This has been addressed in Partnership and stakeholder engagement section of the Project document</b>	
<b>3</b>	<b>2</b>						
1							
Select (all) targeted groups: (drop-down) <b>Evidence This has been addressed in Partnership and stakeholder engagement section of the Project document</b>							
<p><b>4. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design? (select the option from 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> Knowledge and lessons learned (gained e.g. through peer assist sessions) backed by credible evidence from evaluation, corporate policies/strategies, and monitoring have been explicitly used, with appropriate referencing, to develop the project's theory of change and justify the approach used by the project over alternatives.</li> <li>• <b>2:</b> The project design mentions knowledge and lessons learned backed by evidence/sources, which inform the project's theory of change but have not been used/are not sufficient to justify the approach selected over alternatives.</li> <li>• <b>1:</b> There is only scant or no mention of knowledge and lessons learned informing the project design. Any references that are made are not backed by evidence.</li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: center;"><b>3</b></td> <td style="text-align: center;"><b>2</b></td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2"> <b>Evidence This has been addressed in all section of project document specially project workplan outputs, strategy, knowledge and partnership</b> </td> </tr> </table>	<b>3</b>	<b>2</b>	1		<b>Evidence This has been addressed in all section of project document specially project workplan outputs, strategy, knowledge and partnership</b>	
<b>3</b>	<b>2</b>						
1							
<b>Evidence This has been addressed in all section of project document specially project workplan outputs, strategy, knowledge and partnership</b>							
<p><b>5. Does the project use gender analysis in the project design and does the project respond to this gender analysis with concrete measures to address gender inequities and empower women? (select the option from 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> A <u>participatory</u> gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men, and it is fully integrated into the project document. The project establishes concrete priorities to address gender inequalities in its strategy. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. (<i>all must be true to select this option</i>)</li> <li>• <b>2:</b> A gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men. Gender concerns are integrated in the development challenge and strategy sections of the project document. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. (<i>all must be true to select this option</i>)</li> </ul>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: center;"><b>3</b></td> <td style="text-align: center;"><b>2</b></td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2"> <b>Evidence The pervious years experience show that there are a number of opportunities for</b> </td> </tr> </table>	<b>3</b>	<b>2</b>	1		<b>Evidence The pervious years experience show that there are a number of opportunities for</b>	
<b>3</b>	<b>2</b>						
1							
<b>Evidence The pervious years experience show that there are a number of opportunities for</b>							

<ul style="list-style-type: none"> <li><b>1:</b> The project design may or may not mention information and/or data on the differential impact of the project’s development situation on gender relations, women and men, but the constraints have not been clearly identified and interventions have not been considered.</li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	<p><b>women groups to benefit from the project activities . Women economic empowerment is incorporated in the project approach and will be followed during the project implementation.</b></p>								
<p><b>6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national partners, other development partners, and other actors? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li><b>3:</b> An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project. It is clear how results achieved by relevant partners will contribute to outcome level change complementing the project’s intended results. If relevant, options for south-south and triangular cooperation have been considered, as appropriate. <i>(all must be true to select this option)</i></li> <li><b>2:</b> Some analysis has been conducted on the role of other partners where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project. Options for south-south and triangular cooperation may not have not been fully developed during project design, even if relevant opportunities have been identified.</li> <li><b>1:</b> No clear analysis has been conducted on the role of other partners in the area that the project intends to work, and relatively limited evidence supports the proposed engagement of UNDP and partners through the project. There is risk that the project overlaps and/or does not coordinate with partners’ interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance.</li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;"><b>3</b></td> <td style="width: 50%; text-align: center;"><b>2</b></td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2"><b>Evidence</b></td> </tr> <tr> <td colspan="2" style="text-align: center;">This mainly addressed in sustainability part of the project document</td> </tr> </table>	<b>3</b>	<b>2</b>	1		<b>Evidence</b>		This mainly addressed in sustainability part of the project document	
<b>3</b>	<b>2</b>								
1									
<b>Evidence</b>									
This mainly addressed in sustainability part of the project document									
<b>SOCIAL &amp; ENVIRONMENTAL STANDARDS</b>									
<p><b>7. Does the project seek to further the realization of human rights using a human rights based approach? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li><b>3:</b> Credible evidence that the project aims to further the realization of human rights, upholding the relevant international and national laws and standards in the area of the project. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. <i>(all must be true to select this option)</i></li> <li><b>2:</b> Some evidence that the project aims to further the realization of human rights. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget.</li> <li><b>1:</b> No evidence that the project aims to further the realization of human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered.</li> </ul> <p>*Note: Management action or strong management justification must be given for a score of 1</p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;"><b>3</b></td> <td style="width: 50%; text-align: center;"><b>2</b></td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2"><b>Evidence</b></td> </tr> <tr> <td colspan="2" style="text-align: center;">Although the project is not directly targeting human rights objectives but project will build local capacities, established platforms for people’s participation in the decision-</td> </tr> </table>	<b>3</b>	<b>2</b>	1		<b>Evidence</b>		Although the project is not directly targeting human rights objectives but project will build local capacities, established platforms for people’s participation in the decision-	
<b>3</b>	<b>2</b>								
1									
<b>Evidence</b>									
Although the project is not directly targeting human rights objectives but project will build local capacities, established platforms for people’s participation in the decision-									

		making processes which are all in line with human-rights based approach
<p><b>8. Did the project consider potential environmental opportunities and adverse impacts, applying a precautionary approach? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li><b>3:</b> Credible evidence that opportunities to enhance environmental sustainability and integrate poverty-environment linkages were fully considered as relevant, and integrated in project strategy and design. Credible evidence that potential adverse environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. (<i>all must be true to select this option</i>).</li> <li><b>2:</b> No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Credible evidence that potential adverse environmental impacts have been identified and assessed, if relevant, and appropriate management and mitigation measures incorporated into project design and budget.</li> <li><b>1:</b> No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Limited or no evidence that potential adverse environmental impacts were adequately considered.</li> </ul> <p>*Note: Management action or strong management justification must be given for a score of 1</p>	3	2
		1
	<p><b>Evidence</b></p> <p><b>As reflected in the project ultimate objective of project is contributing to restoration of Lake Urmia as a vital natural resource at national level</b></p>	
<p><b>9. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks?</b> The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences and/or communication materials and information dissemination. [if yes, upload the completed checklist. If SESP is not required, provide the reason for the exemption in the evidence section.]</p>	Yes	No
	SESP Not Required	
<b>MANAGEMENT &amp; MONITORING</b>		
<p><b>10. Does the project have a strong results framework? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li><b>3:</b> The project’s selection of outputs and activities are at an appropriate level and relate in a clear way to the project’s theory of change. Outputs are accompanied by SMART, results-oriented indicators that measure all of the key expected changes identified in the theory of change, each with credible data sources, and populated baselines and targets, including gender sensitive, sex-disaggregated indicators where appropriate. (<i>all must be true to select this option</i>)</li> <li><b>2:</b> The project’s selection of outputs and activities are at an appropriate level, but may not cover all aspects of the project’s theory of change. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of gender sensitive, sex-disaggregated indicators, as appropriate. (<i>all must be true to select this option</i>)</li> <li><b>1:</b> The results framework does not meet all of the conditions specified in selection “2” above. This includes: the project’s selection of outputs and activities are not at an appropriate level and do not relate in a clear way to the project’s theory of change; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change, and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators.</li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	3	2
		1
	<p><b>Evidence</b></p> <p><b>The project has well designed results framework as reflected in the project document</b></p>	
<p><b>11. Is there a comprehensive and costed M&amp;E plan in place with specified data collection sources and methods to support evidence-based management, monitoring and evaluation of the project?</b></p>	Yes (3)	No (1)
	3	2
	1	

<p><b>12. Is the project's governance mechanism clearly defined in the project document, including planned composition of the project board? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The project's governance mechanism is fully defined in the project composition. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. <i>(all must be true to select this option)</i>.</li> <li>• <b>2:</b> The project's governance mechanism is defined in the project document; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The product lists the most important responsibilities of the project board, project director/manager and quality assurance roles. <i>(all must be true to select this option)</i></li> <li>• <b>1:</b> The project's governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided.</li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	<p><b>Evidence</b> It has been reflected in Governance section of the project document and Annex 5</p>	
<p><b>13. Have the project risks been identified with clear plans stated to manage and mitigate each risks? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis. Clear and complete plan in place to manage and mitigate each risk. <i>(both must be true to select this option)</i></li> <li>• <b>2:</b> Project risks related to the achievement of results identified in the initial project risk log with mitigation measures identified for each risk.</li> <li>• <b>1:</b> Some risks may be identified in the initial project risk log, but no evidence of analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified and no initial risk log is included with the project document.</li> </ul> <p>*Note: Management Action must be taken for a score of 1</p>	<p>3   2 1</p>	<p><b>Evidence</b> The project risks are identified and and mitigation measures are reflected in the project document</p>
<b>EFFICIENT</b>		
<p><b>14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include: i) using the theory of change analysis to explore different options of achieving the maximum results with the resources available; ii) using a portfolio management approach to improve cost effectiveness through synergies with other interventions; iii) through joint operations (e.g., monitoring or procurement) with other partners.</b></p>	<p>Yes (3)</p>	<p>No (1)</p>
<p><b>15. Are explicit plans in place to ensure the project links up with other relevant on-going projects and initiatives, whether led by UNDP, national or other partners, to achieve more efficient results (including, for example, through sharing resources or coordinating delivery?)</b></p>	<p>Yes (3)</p>	<p>No (1)</p>
<p><b>16. Is the budget justified and supported with valid estimates?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The project's budget is at the activity level with funding sources, and is specified for the duration of the project period in a multi-year budget. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget.</li> <li>• <b>2:</b> The project's budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget. Costs are supported with valid estimates based on prevailing rates.</li> <li>• <b>1:</b> The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget.</li> </ul>	<p>3   2 1</p>	<p><b>Evidence</b> It has been fully addressed in project document</p>
<p><b>17. Is the Country Office fully recovering the costs involved with project implementation?</b></p>	<p>3   2 1</p>	

<ul style="list-style-type: none"> <li>• <b>3:</b> The budget fully covers all project costs that are attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.)</li> <li>• <b>2:</b> The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant.</li> <li>• <b>1:</b> The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project.</li> </ul> <p>*Note: Management Action must be given for a score of 1. The budget must be revised to fully reflect the costs of implementation before the project commences.</p>	<p><b>Evidence</b></p> <p><b>Yes it has been fully reflected in DPC line of project</b></p>						
<b>EFFECTIVE</b>							
<p><b>18. Is the chosen implementation modality most appropriate? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted, and there is evidence that options for implementation modalities have been thoroughly considered. There is a strong justification for choosing the selected modality, based on the development context. <i>(both must be true to select this option)</i></li> <li>• <b>2:</b> The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted and the implementation modality chosen is consistent with the results of the assessments.</li> <li>• <b>1:</b> The required assessments have not been conducted, but there may be evidence that options for implementation modalities have been considered.</li> </ul> <p>*Note: Management Action or strong management justification must be given for a score of 1</p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;"><b>3</b></td> <td style="width: 50%; text-align: center;"><b>2</b></td> </tr> <tr> <td colspan="2" style="text-align: center;"><b>1</b></td> </tr> <tr> <td colspan="2"> <p><b>Evidence</b></p> <p><b>Iran is not a HACT compliant country and all projects are being managed under special NIM arrangement where no fund is advanced to the implementing partner and UNDP transfers payments directly to the vendors/contractors upon receiving confirmation as well as supporting documents from the IP</b></p> </td> </tr> </table>	<b>3</b>	<b>2</b>	<b>1</b>		<p><b>Evidence</b></p> <p><b>Iran is not a HACT compliant country and all projects are being managed under special NIM arrangement where no fund is advanced to the implementing partner and UNDP transfers payments directly to the vendors/contractors upon receiving confirmation as well as supporting documents from the IP</b></p>	
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<p><b>19. Have targeted groups, prioritizing marginalized and excluded populations that will be affected by the project, been engaged in the design of the project in a way that addresses any underlying causes of exclusion and discrimination?</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> Credible evidence that all targeted groups, prioritising marginalized and excluded populations that will be involved in or affected by the project, have been actively engaged in the design of the project. Their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change which seeks to address any underlying causes of exclusion and discrimination and the selection of project interventions.</li> <li>• <b>2:</b> Some evidence that key targeted groups, prioritising marginalized and excluded populations that will be involved in the project, have been engaged in the design of the project. Some evidence that their views, rights</li> </ul>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;"><b>3</b></td> <td style="width: 50%; text-align: center;"><b>2</b></td> </tr> <tr> <td colspan="2" style="text-align: center;"><b>1</b></td> </tr> <tr> <td colspan="2"> <p><b>Evidence</b></p> <p><b>The project was developed based on earlier engagements of</b></p> </td> </tr> </table>	<b>3</b>	<b>2</b>	<b>1</b>		<p><b>Evidence</b></p> <p><b>The project was developed based on earlier engagements of</b></p>	
<b>3</b>	<b>2</b>						
<b>1</b>							
<p><b>Evidence</b></p> <p><b>The project was developed based on earlier engagements of</b></p>							

<p>and any constraints have been analysed and incorporated into the root cause analysis of the theory of change and the selection of project interventions.</p> <ul style="list-style-type: none"> <li>• <u>1</u>: No evidence of engagement with marginalized and excluded populations that will be involved in the project during project design. No evidence that the views, rights and constraints of populations have been incorporated into the project.</li> </ul>	<p><b>all stakeholders while key ones were also engaged in the project development process directly</b></p>	
<p><b>20. Does the project conduct regular monitoring activities, have explicit plans for evaluation, and include other lesson learning (e.g. through After Action Reviews or Lessons Learned Workshops), timed to inform course corrections if needed during project implementation?</b></p>	<p><b>Yes</b> (3)</p>	<p>No (1)</p>
<p><b>21. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.</b></p> <p>*Note: Management Action or strong management justification must be given for a score of “no”</p>	<p>Yes (3)</p>	<p><b>No</b> (1)</p>
		<p><b>Evidence</b> The project targets women empowerment in some of the key activities but it does not include women element as GEN3 or 2 in all outputs</p>
<p><b>22. Is there a realistic multi-year work plan and budget to ensure outputs are delivered on time and within allotted resources? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <u>3</u>: The project has a realistic work plan &amp; budget covering the duration of the project <i>at the activity</i> level to ensure outputs are delivered on time and within the allotted resources.</li> <li>• <u>2</u>: The project has a work plan &amp; budget covering the duration of the project at the output level.</li> <li>• <u>1</u>: The project does not yet have a work plan &amp; budget covering the duration of the project.</li> </ul>	<p><b>3</b></p>	<p>2</p>
		<p>1</p> <p><b>Evidence</b> The workplan in in project document</p>
<p><b>SUSTAINABILITY &amp; NATIONAL OWNERSHIP</b></p>		
<p><b>23. Have national partners led, or proactively engaged in, the design of the project? (select from options 1-3 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <u>3</u>: National partners have full ownership of the project and led the process of the development of the project jointly with UNDP.</li> <li>• <u>2</u>: The project has been developed by UNDP in close consultation with national partners.</li> <li>• <u>1</u>: The project has been developed by UNDP with limited or no engagement with national partners.</li> </ul>	<p><b>3</b></p>	<p>2</p>
		<p>1</p> <p><b>Evidence</b> Project future activities and result shared with project board and partner which has been reflected in</p>

	project document	
<p><b>24. Are key institutions and systems identified, and is there a strategy for strengthening specific/comprehensive capacities based on capacity assessments conducted? (select from options 0-4 that best reflects this project):</b></p> <ul style="list-style-type: none"> <li>• <b>3:</b> The project has a comprehensive strategy for strengthening specific capacities of national institutions based on a systematic and detailed capacity assessment that has been completed. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly.</li> <li>• <b>2.5:</b> A capacity assessment has been completed. The project document has identified activities that will be undertaken to strengthen capacity of national institutions, but these activities are not part of a comprehensive strategy to monitor and strengthen national capacities.</li> <li>• <b>2:</b> A capacity assessment is planned after the start of the project. There are plans to develop a strategy to strengthen specific capacities of national institutions based on the results of the capacity assessment.</li> <li>• <b>1.5:</b> There is mention in the project document of capacities of national institutions to be strengthened through the project, but no capacity assessments or specific strategy development are planned.</li> <li>• <b>1:</b> Capacity assessments have not been carried out and are not foreseen. There is no strategy for strengthening specific capacities of national institutions.</li> </ul>	<b>3</b>	2.5
	2	1.5
	1	
	<b>Evidence Within project previous phases and current project document there is a special focus on capacity development for different stakeholders</b>	
<p><b>25. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.,) to the extent possible?</b></p>	<b>Yes</b> (3)	No (1)
<p><b>26. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation strategy)?</b></p>	<b>Yes</b> (3)	No (1)

## ANNEX 2 SOCIAL AND ENVIRONMENTAL SCREENING

### Project Information

<b>Project Information</b>	
1. Project Title	Contribution to Lake Urmia Restoration via local community participation (Special component of UNDP's Conservation of Iranian Wetlands Project)
2. Project Number	-----
3. Location (Global/Region/Country)	Iran

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

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

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

Although the project is not directly targeting human rights objectives but as the project is aiming to mobilize communities for Lake Urmia restoration and engages with local communities including CBOs and NGOs, overall process of the project will build local capacities, establish platforms for people's participation in the decision making processes as well as implementation of restoration activities which are all in line with human-rights based approach.

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

The project sets an stage and opportunity to involved local communities in implementation of the project's activities and delivering respective results. The process also builds local communities, including women, capacities enabling them to take part in the project. The previous years experience show that there are a number of opportunities for women groups to benefit from the project activities. Women economic empowerment is incorporated in the project approach and will be followed during the project implementation.

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

The project's main goal is environmental sustainability. As reflected in the project title, sustainable agriculture is what the project is trying to achieve while the project will also advocates for environmental sustainability and biodiversity conservation. The project will be building the capacity of stakeholders, including local communities/NGOs/CBOs, toward achieving environmental conservation and sustainable development.



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

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i>			QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?
Risk Description	Impact and Probability (1-5)	Significance (Low, Moderate, High)	Comments	Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.
Risk 1: Centralized and top-down decision making and leadership is institutionalized in some of partner organizations	P = 2 I = 2			
Risk 2: lack of skilled human resources, especially in the area of participatory approaches and targeted community mobilization, both in private and government sector are identified as project risks	P = 1 I = 2			
Risk 3: Lack of timely allocation of the national budget	P = 3 I = 3			
<b>QUESTION 4: What is the overall Project risk categorization?</b>				

	<b>Select one (see <a href="#">SESP</a> for guidance)</b>	<b>Comments</b>
	<i>Low Risk</i> <input type="checkbox"/>	
	<i>Moderate Risk</i> <input type="checkbox"/>	
	<i>High Risk</i> <input type="checkbox"/>	
	<b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</b>	
	Check all that apply	<b>Comments</b>
	<i>Principle 1: Human Rights</i> <input type="checkbox"/>	
	<i>Principle 2: Gender Equality and Women’s Empowerment</i> <input type="checkbox"/>	
	<i>1. Biodiversity Conservation and Natural Resource Management</i> <input type="checkbox"/>	
	<i>2. Climate Change Mitigation and Adaptation</i> <input type="checkbox"/>	
	<i>3. Community Health, Safety and Working Conditions</i> <input type="checkbox"/>	
	<i>4. Cultural Heritage</i> <input type="checkbox"/>	
	<i>5. Displacement and Resettlement</i> <input type="checkbox"/>	
	<i>6. Indigenous Peoples</i> <input type="checkbox"/>	
	<i>7. Pollution Prevention and Resource Efficiency</i> <input type="checkbox"/>	

**Final Sign Off**

<i>Signature</i>	<i>Date</i>	<i>Description</i>
QA Assessor		UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have “checked” to ensure that the SESP is adequately conducted.

QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have “cleared” the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

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

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

<sup>8</sup> Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	No
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area?  <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	No
<b>Standard 2: Climate Change Mitigation and Adaptation</b>		
2.1	Will the proposed Project result in significant <sup>9</sup> greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)?  <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
<b>Standard 3: Community Health, Safety and Working Conditions</b>		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No

<sup>9</sup> In regards to CO<sub>2</sub>, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
<b>Standard 4: Cultural Heritage</b>		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
<b>Standard 5: Displacement and Resettlement</b>		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	Is there a risk that the Project would lead to forced evictions? <sup>10</sup>	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
<b>Standard 6: Indigenous Peoples</b>		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	No
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?  <i>If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i>	No
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No

<sup>10</sup> Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
<b>Standard 7: Pollution Prevention and Resource Efficiency</b>		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

## Annex 3

## OFFLINE RISK LOG

<b>Project Title:</b> Local Community Participation in Restoration of Lake Urmia through sustainable land and water management and Biodiversity Conservation  (Special component of UNDP's Conservation of Iranian Wetlands Project)	<b>Award ID:</b>	<b>Date:</b> -----
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#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
1	Centralized and top-down decision making and leadership is institutionalized in some of partner organizations	Jan 2020	Environmental Financial <b>Operational</b> Organizational Political Regulatory Strategic Other	establishment of participatory and bottom-up approaches in project implementation and management sometimes challenging to achieve  P = 2 I = 2	Participatory decision making and planning at national, provincial and local level will enhance bottom-up and inter-sectoral collaboration during project phase (IV).	Project Team	Project Team		
2	lack of skilled human resources, especially in the area of participatory approaches and	Jan 2020	Environmental Financial <b>Operational</b> Organizational Political Regulatory Strategic	Process of engaging local community and authorities within the process may take longer than predicted in workplan	necessary capacity building provided by the project during last 3 phases has significantly improved local	Project Team	Project Team		



	targeted community mobilization, both in private and government sector are identified as project risks		Other	P = 1 I = 2	capacities and will be continued and even enhanced during project phase (IV).				
3	Lack of timely allocation of the national budget	Jan 2020	Environmental Financial Operational Organizational	This may affect smooth running of the project in some pilot sites  P = 3 I = 3	The project team will address it by mobilizing new resources for project pilot sites from national budget	Project Team	Project Team		

