

**PROJECT DOCUMENT
MYANMAR**



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Project Title: Strengthening the Inle Lake Management Authority to Improve Conservation and Development
Project Number:
Implementing Partner: UNDP
Start Date: June 2018 **End Date:** July 2020 **PAC Meeting date:** 2 February 2018

Brief Description

Inle Lake’s unique biodiversity, cultural significance and scenic beauty are fundamental for its status as a major tourist destination in Myanmar. However, the lake is experiencing environmental degradation from the combined effects of unsustainable resource use, increasing population pressures, climate variability and rapid tourism development. The native flora and fauna are endangered by exotic invasive species and the quality of water, which was safe for consumption at one time, is now contaminated and has become a source of serious health problems for the local population. Without coordinated and effective management of the watershed, the adverse environmental, social and economic impacts will continue to impact on Inle Lake and its surrounding communities.

UNDP in partnership with Norway, will support the Inle Lake Management Authority (ILMA) efforts to address these adverse environmental, social and economic impacts by providing technical and financial assistance to further enhance the management of the Inle Lake watershed.

Targeted Results:

Result 1: The ILMA operates effectively and efficiently, and enjoys broad-based support from lake stakeholders.



Result 2: Secure and sustainable sources of financing are used effectively and efficiently to support the development of lake communities and to address environmental challenges.

CPD Outcome:
Promoting inclusive, resilient and sustainable development and environmental management.

Output(s) with gender marker:
GEN1 (Limited contribution to gender equality)

| | | |
|-----------------------------------|--------------------|----------------|
| Total resources required: | US\$ 1,419,000 | |
| Total resources allocated: | UNDP: | US\$ 219,000 |
| | Norway: | US\$ 1,200,000 |
| | Government: | |
| | In-Kind: | |
| Unfunded: | | |

Agreed by (signatures):

| Government | UNDP |
|---|---|
|  U Tun Tun Naing Permanent Secretary Ministry of Planning and Finance |  Mr. Peter Batchelor Country Director UNDP Myanmar |
| Date: 18/6/2018 | Date: 18/6/18 |

I. DEVELOPMENT CHALLENGE

Inle Lake is facing a range of pressures, which are progressively degrading the quality and integrity of the lake ecosystem. It is impacted by degradation of the surrounding watershed areas and catchment system due to logging and agricultural conversion. This results in increased sedimentation and an influx of wastes and agrochemicals. The increased deforestation of the surrounding mountains which is triggering soil erosion and filling up the lake with siltation is another cause for concern.

An expansion of agriculture on the lake (floating gardens) has led to excessive use of chemical fertilisers and is progressively reducing the surface area particularly in the western region. This has reportedly decreased the surface area of the lake by approximately one-third since the 1930s. Pollution from tourism operations, including solid waste, sewage, noise and exhaust pollution from diesel-powered boats is an additional challenge. Another pressure is the deliberate or accidental introduction of invasive alien species such as red snails and water hyacinths which affect the Inle Lake flora and fauna. All these have had a cumulative effect on the lake, degrading the quality and integrity of the ecosystem and affecting the services on which local people and the tourism industry depend. These pressures are linked to a range of economic sectors (agriculture, tourism) and livelihoods of surrounding communities.

In recent years, there has been an extensive and unfettered expansion of hotels, restaurants, and other tourist facilities in the Inle Lake area. The declining quality of the lake over time is evident from previous research studies, and residents are aware of the potential impacts of a rapidly degrading environment on their health and livelihoods.

In 2010, in response to growing pressures, the Forest Department of the (then) Ministry of Environment Conservation and Forestry (MOECF; now the Ministry of Natural Resources and Environmental Conservation - MONREC) prepared a five-year action plan, and a 16-member National Level Committee for Sustainability and Environmental Conservation of Inle Lake was formed. In this context, the Inle Lake Conservation and Rehabilitation initiative was initially launched in 2012 by UNDP, in collaboration with MOECF, with financial support from the Royal Norwegian Government and in partnership with the United Nations Educational, Scientific and Cultural Organization (UNESCO). The objective of this initiative was to restore the environmental stability of the lake and improve the quality of life of local communities through the implementation of environmental conservation and environmentally friendly community development activities. UNESCO was a technical partner for nominating Inle Lake as Man and Biosphere Reserve as one of the key outputs of the project.

Despite the overall achievements of the project in terms of improved environmental governance for Inle Lake conservation, there were also some significant constraints. The major limitation was no strong mechanism in place to lead the necessary planning, decision-making, and coordination of different stakeholders and actors.

For similar reasons, the Forest Department's first five-year action plan was not fully implemented, and a second five-year plan (2015-16 to 2019-20) funded by Norway was developed based on studies undertaken by the Myanmar Institute for Integrated Development (MIID), UNDP and UN-Habitat.

This current Inle Lake Conservation 5-Year Action Plan (2015-16 to 2019-2020) identifies nine priority issues:

1. Set up an institutional framework for Inle Lake conservation.
2. Collect baseline data on the natural and social environment for future conservation and development of Inle Lake.
3. Reduce threats to human health and improve overall living conditions of Inle Lake residents.
4. Improve environmental awareness at all levels: local, state and national.
5. Recognise that deforestation rates are unsustainable, and reforestation in the watershed is essential.
6. Recognise that biodiversity conservation and fisheries resource management are critical for sustaining livelihoods.
7. Adopt sustainable agricultural practices and reduce the use of chemical fertilizers and pesticides.
8. Recognise that sedimentation and soil erosion rates adversely impact the lake and its productivity.

9. Promote sustainable tourism practices, including improvement in infrastructure, training and capacity building for the local community.

The newly elected Union Government accepted and endorsed this new plan and stressed that implementation of any future activities under the Inle Lake Conservation 5-Year Action Plan (2015-16 to 2019-2020) must be in line with the priorities identified by MONREC and key stakeholders. As a member of the World Network of Biosphere Reserves, Myanmar would also need to ensure that any action plans regarding conservation and rehabilitation efforts at Inle Lake are aligned to the Sustainable Development Goals (SDGs) and the 2030 Sustainable Development Agenda.

While the Inle Lake Management Authority (ILMA) has since been established, it has not yet implemented many solutions proposed in the new action plan. The government transitions in 2016 understandably led to a slowing of conservation activities, which resumed in 2017 with renewed effort by the Shan State government. However, given the longer-term history, the levels of trust and confidence among communities and stakeholders from both the lake and its watershed areas remain low. In this context, more work needs to be done in terms of helping the Shan State Government with its efforts to continually strengthen the lake management and demonstrate improvements in the overall environmental conditions in the lake.

An Inle Lake Conservation Trust Fund (ILCTF) was established in 2013. All international tourists visiting the lake are required to pay a 10 USD levy, of which 50% goes to the ILCTF (the other 50% is allocated to the Shan State Government budget). However, local stakeholders have expressed concern regarding the level of transparency on the management and use of the trust fund. It is also unclear how tourism revenues are collected and channelled, feeding into low levels of stakeholder trust. While draft guidelines for trust fund management are currently being reviewed by the Shan State Government, the absence of a functioning lake management mechanism has made it difficult to operate the fund. The Inle Lake conservation and rehabilitation project final report emphasised that a strong management authority is required to manage the ILCTF and make decisions regarding the use of revenues generated by the levy on tourist who enter the site.

Rehabilitating Inle Lake requires long-term strategic planning and predictable financing to ensure the continuity and sustainability of all interventions. Sustainable development and management of the lake and its watershed area will also require communication, coordination, cooperation and integrated approaches among government ministries, line departments, local authorities and communities. With the designation of Inle Lake as a biosphere reserve by UNESCO in June 2015, it is important to build upon the results gained during the project implementation phase. The project and its associated activities have created high expectations among local communities and stakeholders; and the momentum gained towards sustainable management of lake cannot be lost. More importantly, local communities who depend on the lake must be continually engaged in conservation and preservation efforts.

In recent years, the core barrier to effectively addressing the adverse environmental, social and economic conditions facing Inle Lake has been the uncoordinated and ineffective management of the Lake watershed. While recent efforts have been initiated to address this challenge, further capacity and technical assistance for the ILMA will rapidly increase its ability to improve environmental outcomes.

Protection of the lake is essential to sustaining local communities and sources of income, as well as maintaining Inle Lake as a national asset. Increased awareness of environmental issues in Inle Lake is essential at all levels (local, state, national and international) to help protect the local culture and to preserve its unique biodiversity.

II. STRATEGY

The overall objective of this project is to ensure coordinated and effective management of Inle Lake, supported by sustainable financing, to address the adverse environmental, social and economic consequences faced by the population in the lake watershed. To achieve this objective, the project will support strengthening the management capacities of the ILMA and a new Secretariat in Nyaung Shwe including reforming of the governance arrangements. The Secretariat will be responsible for managing the day-to-day activities and operations of the ILMA including coordination of environmental monitoring.

The project will work with the Shan State Government and Union Government to review the existing legal framework for the management of the Inle Lake watershed. The Union Attorney-General's Office recommended this review as an alternative to the draft Inle Lake Conservation Law, originally proposed by the Shan State Government, to identify any amendments to existing legislation that might be needed to support the ILMA. The project will take a participatory approach to this review. It will also support the establishment of consultation and advocacy mechanisms that will provide a voice for civil society organizations (CSOs) and non-governmental organizations (NGOs) in the activities and decisions and of the ILMA including utilization of ILCTF revenues.

The project seeks to improve stakeholder confidence in the operations of the ILCTF by introducing alternative financial management and operational options for consideration by the ILMA. These options will be targeted to support the Shan State Government's objective of ensuring that financial resources are efficiently used to support the development of Inle Lake communities, whilst addressing a range of conservation and environmental issues.

The sustainability of ILCTF revenue will be further strengthened through improving revenue collection methods. The project will review various options globally for trust fund financing and management, such as payments for ecosystem services, and support the ILMA and Secretariat to adopt innovative methods.

In addition to the above areas of support, the project expects to achieve the following key improvements and results:

- Increased stakeholder participation in ILMA decision making;
- More effective support for the ILMA and operationalisation of its decisions, through the establishment of the ILMA Secretariat in Nyaung Shwe;
- Identified options to strengthen the legal regime governing Inle Lake management resulting from a more inclusive and participatory process that reflects the views of the different stakeholders;
- Inle Lake stakeholders' awareness and sensitization is increased through improved information dissemination and well-coordinated communication strategies to promote positive community engagement and action;
- More transparent and efficient management of the ILCTF that translates into positive audit results;
- Improved stakeholder perceptions resulting from improved collection and utilization of tourism revenues;
- Increased revenue resulting from expanded tourism fee collection procedures and mechanisms (building on existing approaches).

Finally, the project contributes to Myanmar's SDGs progress with particular contributions in the area of sustainable natural resources management. It is also consistent with the vision and principles of Myanmar's new National Environment Policy and Strategic Framework. The project also targets to strengthen the capacity of key government ministries and select state/regional governments to exercise effective governance and develop, coordinate and implement evidence-based economic and environmental policies. In these ways, the project is aligned with the Myanmar United Nations Development Assistance Framework (UNDAF) 2018-2022 and contributes to the UNDP Myanmar Country Programme (2018-2022), Outcome 2: Promoting inclusive, resilient and sustainable development and environmental management.

III. RESULTS AND PARTNERSHIPS

Expected Results

The project supporting the conservation and sustainable management of Inle Lake will focus on the ongoing needs identified at the end of the Inle Lake Conservation and Rehabilitation Project (2012-2016) evaluation and address the lessons learned. The activities are aligned to the Inle Lake Conservation 5-Year Action Plan (2015-16 to 2019-2020).

Sustaining Inle Lake rests with the Inle Lake stakeholders including local communities (and ethnic groups) residing in the Inle Lake watershed area, the private sector, and the government departments under the

leadership of the Shan State Government and the Union Government. There is genuine interest and commitment from these key stakeholders, as well as local communities, to manage and sustain the lake, given its important tourism and livelihood potential. However, there is an urgent need to establish a coordinated and effective management mechanism of the Inle Lake watershed, along with a sustainable financial mechanism, and implement technical solutions to address the many environmental and social issues contributing to the degradation of Inle Lake.

This initiative will achieve the proposed objective through a series of activities designed to deliver the following results:

1. The ILMA operates effectively and efficiently and enjoys broad-based support from lake stakeholders.
2. Secure and sustainable sources of financing are used effectively and efficiently to support the development of lake communities and address environmental challenges.

Collectively, the proposed activities contribute directly to priorities 1- 4 and 7 in the Inle Lake Conservation 5-Year Action Plan (2015-16 to 2019-2020).¹ By building capacities, particularly within the ILMA, they also contribute indirectly to the other priorities.

Result 1: The ILMA operates effectively and efficiently and enjoys broad-based support from lake stakeholders.

Challenges:

1. The current ILMA meets regularly in Taunggyi, but its decisions are often not translated into concrete implementation actions, partly because its members are senior government officials with multiple other tasks and partly because it lacks operational assistance;
2. Non-governmental stakeholders have expressed a low level of confidence in the ILMA;
3. Stakeholders don't consider that information on the finances and activities of the ILMA are shared sufficiently.

To overcome these challenges, the following outputs are proposed:

Output 1.1. Mechanisms to increase stakeholder participation in ILMA decisions are operational

Among the challenges the ILMA experiences is the lack of representation and action. The project will work with the ILMA and its new Secretariat (see Output 1.2 below) to establish a mechanism to ensure that CSO/NGO engagement takes place and is acted upon by the ILMA. This mechanism would allow follow-up on decisions taken by the ILMA (for example, ensuring stakeholder feedback on policies is implemented).

A multi-disciplinary team of scientific/technical experts from government agencies and scientific/technical organisations could be formed to provide technical advice to ILMA. This advisory group would support ILMA to access information and ideas on biodiversity conservation, sustainable forest management, sustainable agriculture practices, climate change adaptation and community livelihoods so that the Inle Lake conservation interventions are technically sound and based on broad inputs. This approach will contribute to the implementation of Inle Lake Conservation 5-Year Action Plan (2015-2016 to 2019-2020). Ultimately, the role of this technical advisory group would be incorporated into the legal framework governing Inle Lake conservation (see Output 1.3 below).

Output 1.2. An ILMA Secretariat is established in Nyaung Shwe

The ILMA Secretariat will be responsible for implementing and managing the ILMA's day-to-day activities and operations. This will include managing programming and operations such as human and financial resources and overall administration. The Secretariat will also coordinate monitoring of environmental conditions (e.g., water quality, wildlife numbers), including harmonization of activities undertaken by different government departments and publishing results. The project will provide the required technical support to strengthen the Secretariat's capacities.

¹ Priority 1 - Institutional framework; Priority 2 - Baseline data and monitoring; Priority 3 - Human health; Priority 4 - Environmental awareness and Priority 7 - Sustainable agriculture

The success of the Secretariat and ILMA will be largely dependent upon the ILMA leadership, chaired by the Shan State Chief Minister. It will be critical for the ILMA leadership to take responsibility for ensuring Inle Lake conservation and management and for working with all stakeholders, including interest groups such as the hotel industry and farmers' associations. It is inevitable that some decisions of the ILMA will meet with opposition from some interest groups. Under such circumstances, the ILMA's decisions and responsibilities will be to effectively manage Inle Lake in the interests of conservation and effective management.

The project will provide to a reasonable extent computers, office furniture, meeting room equipment, projectors, etc, as required to support the ILMA office. However, the project will not fund the Secretariat staff, which will be sourced from relevant government departments. This is important to ensure ownership and sustainability of the Secretariat beyond the life of this project. The Shan State Government will provide the office space for the Secretariat (and the embedded project team – see below) with the specific venue to be determined early in the project implementation.

Output 1.3. The legal arrangements supporting the management of Inle Lake are reviewed

Multiple laws already exist at both the Union and Shan State levels that concern environmental management issues in the Inle Lake watershed. However, there appear to be some regulatory gaps to govern the integrated management of the lake. The project will work with the ILMA to carry out technical analyses and consultation processes on the existing regulatory arrangements to help identify and develop options for strengthening the overall legal regime, including mechanisms to support enhanced enforcement of existing laws.

Output 1.4. Information is shared with stakeholders and public awareness is increased

Lack of awareness of the issues affecting Inle Lake is currently widespread. Information sharing about the activities of the ILMA and on the use of ILCTF revenues is not undertaken in a structured, predictable manner. Communities feel that the allocations are not transparent enough and that the process should be more inclusive. The project will support the establishment of a public web-site where information about Inle Lake and the ILMA would be freely accessible and available to keep stakeholders well informed. A public awareness campaign will also be supported to raise awareness on the issues concerning Inle Lake.

Result 2: Secure and sustainable sources of financing are used effectively and efficiently to support the development of lake communities and address environmental challenges.

Challenges:

1. Stakeholders are concerned about the management of the ILCTF and the use of the funds; and
2. Tourism revenues are not universally collected, limiting the strength and utility of the ILCTF.

To overcome these challenges, the following outputs are proposed:

Output 2.1. ILCTF management arrangements are strengthened

The ILCTF is an important tool for ensuring dedicated funding is available for the conservation of Inle Lake. Continuing to strengthen the management of the ILCTF will have multiple benefits. It will help ensure that the fund prioritises initiatives that benefit the conservation of the Inle Lake and its sustainable use by the communities. It will also increase the level of stakeholder confidence in the ILCTF and the ILMA, thereby building broader based support for the efforts of the ILMA and reducing time justifying management decisions.

As such, in conjunction with the Shan State Government, current practices for holding and allocating funds from the ILCTF will be reviewed and enhanced financial and operational procedures will be proposed to prioritise and support initiatives identified under the Inle Lake Conservation 5-Year Action Plan (2015-16 to 2019-2020). The project will support the ILMA and its Secretariat to ensure systematic application of the established ILCTF financial and operational procedures. The project will support these initiatives in the form of capacity development to the ILMA and the Secretariat.

Output 2.2. Tourism revenues are effectively collected

In 2016, approximately 170,000 tourists paid their levy, contributing appropriately USD 850,000 to the ILCTF. However, it is understood that actual visitor numbers are much higher and that expanded procedures

for the collection of the levy would result in increased revenue for Inle Lake management activities. Options for increasing the efficiency of levy collection systems, including innovative technologies and tools, will be investigated. Increased tourist revenue and improved ILCTF management arrangements (see Output 2.1 above) can together more effectively support implementation of the Inle Lake Conservation 5-Year Action Plan (2015-16 to 2019-2020) and sustainable community development activities in the long-run.

The project will examine several options for revenue collection based on practices from other countries and will support the ILMA to pilot alternative sources of revenue collection such as hotel-levied tax and multiple access gates. During the course of its implementation, this initiative will also explore other innovative financing mechanisms, like payments for ecosystem services, in support of the conservation of Inle Lake.

Resources Required to Achieve the Expected Results

The project is being implemented in partnership with the Government of Norway. The Government of Norway will provide USD 1.2 million and UNDP will contribute USD 219,000. Additional partnerships and resources will be leveraged from the Shan State Government through the ILCTF. A project manager, senior technical advisor and team of consultants with specific expertise will support the implementation of the project activities, with overarching guidance provided by UNDP Myanmar's environmental governance technical advisor.

Partnerships

The implementation of this project will be the responsibility of UNDP. The lead government agency at the national level is the MONREC. The Shan State Government is the key government partner at the state level.

The initiative will also create synergies with ongoing initiatives to support effective public institutions to develop evidence-based policies and systems in response to peoples' needs; strengthen policies and systems of key national and subnational institutions contributing to transparency and accountability; and develop solutions at the national and sub-national levels for sustainable management of natural resources and ecosystems which contribute to inclusive economic development.

This initiative will benefit from UNDP's active involvement in the Asia-Pacific region in the areas of effective environmental governance and sustainable and resilient development through projects such as the Reducing Emissions from Deforestation and Forest Degradation (REDD+) project.

At country level, the project will also gain from UNDP's work and experience in terms of the Shan State Leadership Programme and the capacity building of the Shan State CSO Network, the UNDP initiative in the Dry Zone, the UNDP/GEF Ridge to Reef project as well as the Participatory Township Planning in Myanmar.

The project will also work to mobilize additional partners and resources to implement Inle Lake conservation and sustainable use in a holistic, synergetic and coordinated manner with other organisations and agencies. Potential partnerships could include the Norwegian supported Water Monitoring Programme for Inle Lake (MONREC with the support of the Norwegian Institute for Water Research), the tourism initiative supported by the Luxembourg Development Cooperation Agency (LuxDev), the Asian Development Bank Greater Mekong Sub-region initiative, and the pilot project on responsible tourism in Shan State supported by the Italian Agency for Development Cooperation. The project will also work with the private sector, specifically the tourism and hotel industry to fulfil the objectives of the initiative. These partnerships will also be mainstreamed at the ILMA level in order to improve donor coordination in the Inle lake watershed.

The Myanmar Institute for Integrated Development (MIID) has implemented a Capacity Building Project for CSOs in Shan State to help develop strong organizational abilities, policies and systems. It also has experience in working with ethnic groups (such as Pa-O) in Shan State for local development by introducing community-based ecotourism and other livelihood options. UNDP will work with the MIID to provide dedicated technical support to implement specific activities within the work plan.

Risks, assumptions and risk mitigation measures

The achievement of the project results will require a high degree of involvement from various stakeholders, and demonstrated political will of the Shan State Government and ILMA to support the project objectives and strategy. Strengthening the functioning of the ILMA, and establishing an operational Secretariat, will require

increased coordination between State-level government departments and with Union-level ministries. Given the existing challenges with intra-governmental coordination, there is a need to mitigate this risk. To reduce this risk, UNDP is seeking to develop strong local ownership and actively engaged Shan State Government leadership throughout the project design as well as establishing coordination structures that meet regularly to ensure intra-government engagement.

The efforts to strengthen the ILMA and Secretariat further depend on the mobilisation of appropriate technical assistance capacities and the development of effective working relationships between the technical advisors and counterparts. Two key elements of the project implementation arrangements have been designed to minimise this risk. First, the MIID will be engaged to provide the technical expertise. In addition to the MIID technical capacity, the organisation has been working closely with project counterparts and other stakeholders in recent years on other projects in the Inle Lake watershed. The MIID team will therefore bring their existing relationships to complement UNDP existing partnerships in Shan state and Inle Lake area. Second, the technical advisory team is planned to be embedded within the Secretariat. This will enable the deeper fostering of working relationships with key stakeholders in ILMA and the Secretariat. It will also enable a capacity assessment to identify key areas requiring strengthening, which will be incorporated into the project workplan and monitored during implementation.

The achievement of project results regarding the sustainable financing of efforts to support lake communities depends upon successfully strengthening ILCTF management, including through systems for the transparent collection and use of revenues, clear prioritisation of revenues in accordance with management plans and ILMA decisions, and appropriate monitoring of the performance of funded initiatives. There is a risk that efforts to improve the transparent and accountable management of the ILCTF could be hampered if consensus cannot be reached among the ILMA members on funding priorities and management plans. While considered a relatively low risk, the implications of this eventuating would be significant for the overall project. To minimise these risks, the project will promote systems that provide for transparency in revenue collection and allocation, including regular audits. The technical advisory team will further include expertise on public financial management and help develop systems to assess the effectiveness of investments from the ILCTF. The introduction of such monitoring mechanisms will be key to increasing trust in, and long-term viability of, the ILCTF and the project will seek to entrench the use of such mechanisms within Inle Lake governance arrangements.

The current low levels of confidence by stakeholders, particularly local communities and ethnic groups, in the current ILMA present a risk to the project. Unless trust can be established, it will be difficult to generate stakeholder support for the conservation and community development activities undertaken through the ILMA in the future. The project plans to mitigate this risk by improving information dissemination through a public awareness campaign that will raise awareness about the activities of the ILMA, as well as about efforts to improve the functioning and performance of the ILMA itself and the ILCTF.

Stakeholder Engagement

The key stakeholders of this project are the Myanmar Union Government, the Shan State Government, Shan State Parliament, line ministries, the private sector and local communities. The implementation of the project will be based on extensive engagement with stakeholders at all levels throughout the project implementation to (i) promote understanding of the project's outcomes; (ii) promote stakeholder ownership of the project through engagement in planning, implementation and monitoring of interventions; (iii) communication to the public in a consistent, supportive and effective manner; and (iv) maximisation of linkages and synergies with other ongoing projects.

A Stakeholder Forum will be set up for consultation, knowledge sharing and coordination with other project stakeholders and related initiatives. The forum will convene once each year in the form of a conference, providing an opportunity to share results and experiences, and also provide an electronic communication platform for exchanges managed by the ILMA Secretariat.

South-South and Triangular Cooperation

The project will benefit from UNDP's global and regional expertise (e.g. GEF) in terms of lake management issues. Myanmar's experience and best practices from the project will be shared and promoted within the

region and globally through UNDP's extensive network. Exchange of expertise and cooperation will continue with Lake Chilika in India and other similar projects to enhance the watershed.

Knowledge Management

The previous Inle Lake Conservation and Rehabilitation Project (2012-2016) produced a body of information in terms of knowledge products, education and communication material, including pamphlets and video scripts that were shared with stakeholders. In addition, a workshop on promoting knowledge on UNESCO's Man and the Biosphere Programme was also conducted. A series of workshops, discussions and training sessions provided opportunities for local community representatives to actively engage and exchange ideas regarding a sustainable management mechanism for Inle Lake, and for potential awareness-raising initiatives to inform and educate the public. A repeated point in all these knowledge sharing forums was the need for a coordinated management mechanism that would ensure participation by and cooperation between the government and civil society.

The project will continue to update and produce new knowledge products for dissemination, such as the establishment of a public web-site where information about Inle Lake and the ILMA would be available. In addition, a public awareness campaign on Inle Lake activities will also be supported.

Sustainability and Scaling Up

The project will demonstrate a model of integrated planning and management of biodiversity conservation and sustainable development at the sub-national level with an innovative approach of having a dedicated management body. The project will leave a well-functioning ILMA with sustainable financing mechanisms so that the ILMA will be able to continue to operate independently after the project is concluded. Vulnerable groups (e.g. ethnic minority groups) will be incorporated into all proposed conservation activities.

The project will build national ownership through strengthening the ILMA and promoting participation of all relevant local stakeholders including ethnic minority groups, civil society organisations and the private sector (including the tourism sector). Sustaining Inle Lake will contribute to building a sustainable, healthy and equitable society, economy and thriving human settlements in harmony with the biosphere in Inle Lake. It will ultimately contribute to sustainable development of the Shan State and of Myanmar.

The lessons learnt from the project could be replicated in other parts of Myanmar, particularly in the conservation of lakes and watershed areas in other parts of the country, as well as through the implementation of a new UNDP/GEF project - Ridge to Reef Integrated Land and Seascape planning in the Tanintharyi region. Moreover, this project could produce a demonstrated example of integrated planning for environmental conservation at the sub-national level in Myanmar, to be replicated in the other parts of the Asia-Pacific Region.

Finally, effective implementation of the ILCTF will provide important lessons that will facilitate the development of larger funding mechanisms, such as a national REDD+ Fund. Policies and management processes of the ILCTF developed through this project will be very relevant to the design of a future REDD+ Fund. UNDP Myanmar is also currently developing a proposal for the Green Climate Fund (GCF) which will focus on the implementation of the National REDD+ Strategy (which is currently being developed by the Government with support of UN REDD Programme funded by Norway). The GCF proposal will also link with watershed management measures (including community forestry) in the Inle Lake watershed area.

IV. PROJECT MANAGEMENT

Cost Efficiency and Effectiveness

The project maintains a high rate of cost efficiency by linking and integrating the project activities to the ILMA functioning processes of the Shan State Government. On the one hand, the project ensures technical assistance is in place to support strengthening of the ILMA. On the other, the Shan State Government will delegate its staff to lead the secretariat work of the ILMA and undertake its functions. This will also contribute to the sustainability of project results.

While the project will be implemented through Direct Implementation Modality (DIM), much of the work will be led by existing government structures, i.e. the ILMA. UNDP will also engage an experienced institution in local development in the Inle watershed area to provide in-house technical expertise on a continuous basis for the ILMA. UNDP may also engage other professional institutions, government departments, international partner organisations and local institutions to deliver a specific result or activity under the project, if it is deemed as appropriate. This approach is believed to be particularly cost-effective, as it reduces costs on consultant-driven implementation. It also builds the capacity of the government system for on-going and more widespread implementation of integrated Inle Lake basin management.

Project Management

The project team will be embedded in the ILMA Secretariat office in Nyaung Shwe. The team will consist of a national project manager, project assistant and an international technical advisor (for an initial 12-month period, with an anticipated extension up to 24 months subject to the development and implementation of the detailed project workplan), as well as short-term local and international technical consultants/advisors (as necessary). The project will also utilize the UNDP Area Office in Taunggyi for its support in coordination with the Shan State Government Office and with state-level government organisations, while overarching guidance will be provided by UNDP Myanmar's environmental governance technical advisor. Oversight of the project will be provided by the UNDP Country Office programme unit ensuring compliance with UNDP corporate procedures and policies.

V. RESULTS FRAMEWORK

| Intended Outcome as stated in the UNDAF/Country Programme Results and Resource Framework: UNDAF Outcome: Protect our planet's natural resources and climate for future generations; CPD (2018-2022) Outcome 2: Promoting inclusive, resilient and sustainable development and environmental management | | | | | | | | | |
|--|---|--|----------|------|---------|------|----------------|---------------------------------|---|
| Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets: CPD Output 2.2: Solutions developed at the national and sub-national levels for sustainable management of natural resources and ecosystem services as a platform for inclusive economic development | | | | | | | | | |
| Applicable Output(s) from the UNDP Strategic Plan: | | | | | | | | | |
| Project title and Atlas Project Number: Strengthening the Inle Lake Management Authority to Improve Conservation and Development | | | | | | | | | |
| EXPECTED OUTPUTS | OUTPUT INDICATORS | DATA SOURCE | BASELINE | | TARGETS | | | DATA COLLECTION METHODS & RISKS | |
| | | | Value | Year | 2018 | 2019 | 2020 (Jan-Jul) | | Final |
| Result 1 <i>The Inle Lake Management Authority operates effectively and efficiently and enjoys broad-based support from lake stakeholders</i> | 1.1 Mechanisms to increase stakeholder participation in ILMA decisions are operational | Stakeholder surveys, project progress reports and the end-project evaluation | 0 | 2017 | 60% | 90% | 90% | 100% | Progress reports, Project Board meeting minutes, project surveys at the beginning and end of the project and the end-project evaluation |
| | 1.2 ILMA Secretariat established and operational in Nyaung Shwe | Project progress report and final report | 1 | 2017 | 50% | 100% | 100% | 100% | Project progress reports, Project Board minutes |
| | 1.3 The legal arrangements to support the integrated management of Inle Lake are reviewed | Project progress report | 1 | 2017 | 50% | 80% | 100% | 100% | Project progress reports |
| | 1.4 Information is shared with stakeholders and public awareness is increased | Project progress report, stakeholder perception surveys | 0 | 2017 | 50% | 80% | 100% | 100% | Project progress reports |
| Result 2 <i>Secure and sustainable sources of financing are used effectively and efficiently to support the development of lake communities and to address environmental challenges</i> | 2.1 Financial and operational procedures for the Inle Lake trust fund are strengthened | Project progress report, ILCTF meeting minutes ILCTF Audit Report | 0 | 2017 | 50% | 90% | 100% | 100% | Project progress report, ILMA and ILCTF meeting minutes, Audit report |
| | 2.2 % of ILCTF fund that contribute to the Output Activities identified under the Inle Lake 5-year plan | Inle Lake Project progress report | 0 | 2017 | 30% | 50% | 75% | 75% | Project progress report, ILMA and ILCTF meeting minutes, Audit report |
| | 2.3 % increase in the collection of tourist revenues | Project progress report, ILMA meeting minutes | 1 | 2017 | 0% | 25% | 50% | 70% | Project progress report, ILMA meeting minutes |

VI. MONITORING AND EVALUATION

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

Monitoring Plan

| Monitoring Activity | Purpose | Frequency | Expected Action | Cost (if any) |
|------------------------------------|--|---|---|---------------|
| Track results progress | Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs. | Quarterly | Slower than expected progress will be addressed by project management. | 3178 |
| Monitor and Manage Risk | Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk. | Quarterly | Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken. | 3178 |
| Learn | Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project. | At least annually | Relevant lessons are captured by the project team and used to inform management decisions. | 6355 |
| Review and Make Course Corrections | Internal review of data and evidence from all monitoring actions to inform decision making. | At least annually | Performance data, risks, lessons and quality will be discussed by the Project Board and used to make course corrections. | 6355 |
| Project Report | A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-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. | Annually and at the end of the project (final report) | | 12710 |
| Project Review (Project Board) | The project's governance mechanism (i.e., Project Board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences. | At least annually | Any quality concerns or slower than expected progress should be discussed by the Project Board and management actions agreed to address the issues identified. | 6355 |

Evaluation Plan

| Evaluation Title | Related Strategic Plan Output | UNDAF/CPD Outcome | Planned Completion Date | Key Evaluation Stakeholders | Cost and Source of Funding |
|----------------------------|--------------------------------------|--------------------------|--------------------------------|------------------------------------|-----------------------------------|
| The end-project evaluation | | CPD Output 2.2 | 2020 | | 30,922 |

VII. MULTI-YEAR WORK PLAN²

| EXPECTED RESULTS | PLANNED ACTIVITIES | Planned Budget by Year | | | RESPONSIBLE PARTY | PLANNED BUDGET | | |
|--|---|------------------------|--------|----------------|-------------------|----------------|---|--------|
| | | 2018 | 2019 | 2020 (Jan-Jun) | | Funding Source | Budget Description | Amount |
| Result 1: The Inle Lake Management Authority operates effectively and enjoys broad-based support from lake stakeholders. | 1.1 Mechanisms to increase stakeholder participation in LLMA decisions are operational | 120000 | 110000 | 40,296 | UNDP | Norway UNDP | 61100-Salary Costs 71600-Travel and DSA 71300-Local Consultants 71400-Contractual Services-Individual 72100-Contractual Services-Companies 75705-Training, Workshops & Conferences 72800-Information Technology Equipment 74500-Office Running | 59,417 |
| | | 120000 | 105000 | 40,652 | UNDP | Norway UNDP | 61100-Salary Costs 71600-Travel and DSA 71300-Local Consultants 72100-Contractual Services-Companies 75705-Training, Workshops & Conferences 74500-Office Running 74200-Audio Visual & Print Prod Costs 72500-Supplies 74500-Miscellaneous Expenses | 49010 |
| Gender marker 1: 1.2 An Inle Lake Management Authority Secretariat is established in Nyaung Shwe | 1.3 The legal arrangements governing the management of Inle Lake are reviewed through an inclusive, participatory process | 70000 | 70000 | 20,730 | UNDP | Norway UNDP | 61100-Salary Costs 71200-International Consultants 71300-Local Consultants 71400-Contractual Services-Individual 71600-Travel and DSA 72100-Contractual Services-Companies 75705-Training, Workshops & Conferences 74500-Office Running 74200-Audio Visual & Print Prod Costs | 22,761 |
| | | 70000 | 70000 | 20,200 | UNDP | Norway UNDP | 61100-Salary Costs 71200-International Consultants 71300-Local Consultants 71400-Contractual Services-Individual 71600-Travel and DSA 72100-Contractual Services-Companies 75705-Training, Workshops & Conferences 74500-Office Running 74200-Audio Visual & Print Prod Costs | 22,500 |

² Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the Project Board. In other cases, the UNDP programme manager alone may sign the revision, provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

| | | | | | | | | |
|---|--|---------------|----------------|----------------|-------------|--------------------------|---|--|
| | 1.4 Information is shared with stakeholders and public awareness is increased | 75000 | 75000 | 40,804 | UNDP | Norway UNDP | 61100-Salary Costs 71600-Travel and DSA 71300-Local Consultants 71400-Contractual Services-Individual 72100-Contractual Services-Companies 75705-Training, Workshops & Conference 72800-Information Technology Equipment 74500-Office Running | 30882 21000 15000 2500 58668 30000 15000 17754 |
| | MONITORING | 10000 | 10000 | 5,310 | UNDP | UNDP | 61100-Salary Costs | 25,310 |
| | Sub-Total for Result 1 | 395000 | 370000 | 147,792 | | | | 912,795 |
| Result 2: Secure and sustainable sources of financing are used effectively and efficiently to support the development of lake communities and to address environmental challenges. <i>Gender marker: 1</i> | 2.1 Inle Lake Conservation Trust Fund management arrangements are strengthened | 100000 | 70000 | 28,752 | UNDP | Norway UNDP | 61100-Salary Costs 71600-Travel and DSA 71300-Local Consultants 71200-International Consultants 71400-Contractual Services-Individual 72100-Contractual Services-Companies 75705-Training, Workshops & Conferences 74500-Office Running 74200-Audio Visual & Print Prod Costs 74500-Miscellaneous Expenses | 33569 14,000 20,000 40,000 3,000 58,668 12,000 13,316 3,000 1,200 |
| | 2.2 Tourism revenues are effectively collected | 60000 | 60000 | 32,540 | UNDP | Norway UNDP | 61100-Salary Costs 71600-Travel and DSA 71200- International Consultant 72100-Contractual Services-Companies 75705-Training, Workshops & Conferences 74500-Office Running 74200-Audio Visual & Print Prod Costs 61100-Salary Costs | 10,809 14,350 38,000 58,668 15,000 6,210 9,500 16,873 |
| | MONITORING | 6500 | 7000 | 3,373 | UNDP | UNDP | | |
| | Sub-Total for Result 2 | 166500 | 137000 | 64,666 | | | | 368,163 |
| | Evaluation (as relevant) | | | 30000 | UNPD | Norway | | 30,000 |
| | Audit | | | 19152 | UNDP | UNDP | | 19,152 |
| | General Management Support | | 35000 | 35000 | UNDP | Norway | | 88,890 |
| | TOTAL | | 596,500 | 542,000 | UNDP | Norway UNDP Total | | 1,200,000 219,000 1,419,000 |

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The **Implementing Partner** for this project is UNDP under the Direct Implementation Modality. The Implementing Partner is responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP resources.

Project Manager: A national project manager will take the overall responsibility of day-to-day project management, administration, decision making, and implementation to ensure that the project produces the results specified in the project document. The project manager will ensure day-to-day operations oversight in terms of implementation and procurement activities, quarterly and annual reporting (substantive and financial). This oversight will include ensuring that the project practices UNDP policies and procedures as set out in the UNDP Programme and Operation Policies and Procedures (POPP) and due diligence to UNDP's Social and Environmental Quality Standards. In view of the national ownership and building the national capacity, these responsibilities will be fulfilled by UNDP in close collaboration with the Government of Myanmar.

A **Project Board (PB)** will be established to provide high-level guidance and oversight to the project. The PB will be co-chaired by the UNDP Country Director and the Chair of the Inle Lake Management Authority. The PB is responsible - through consensus - to make management decisions when guidance is required by the Project Manager, including recommendations for UNDP's approval of project plans and revisions. In order to ensure UNDP's ultimate accountability, the PB's decisions should be made in accordance with standards that shall ensure management for development results, best value for money, fairness, integrity, transparency and effective international competition. The PB members will include:

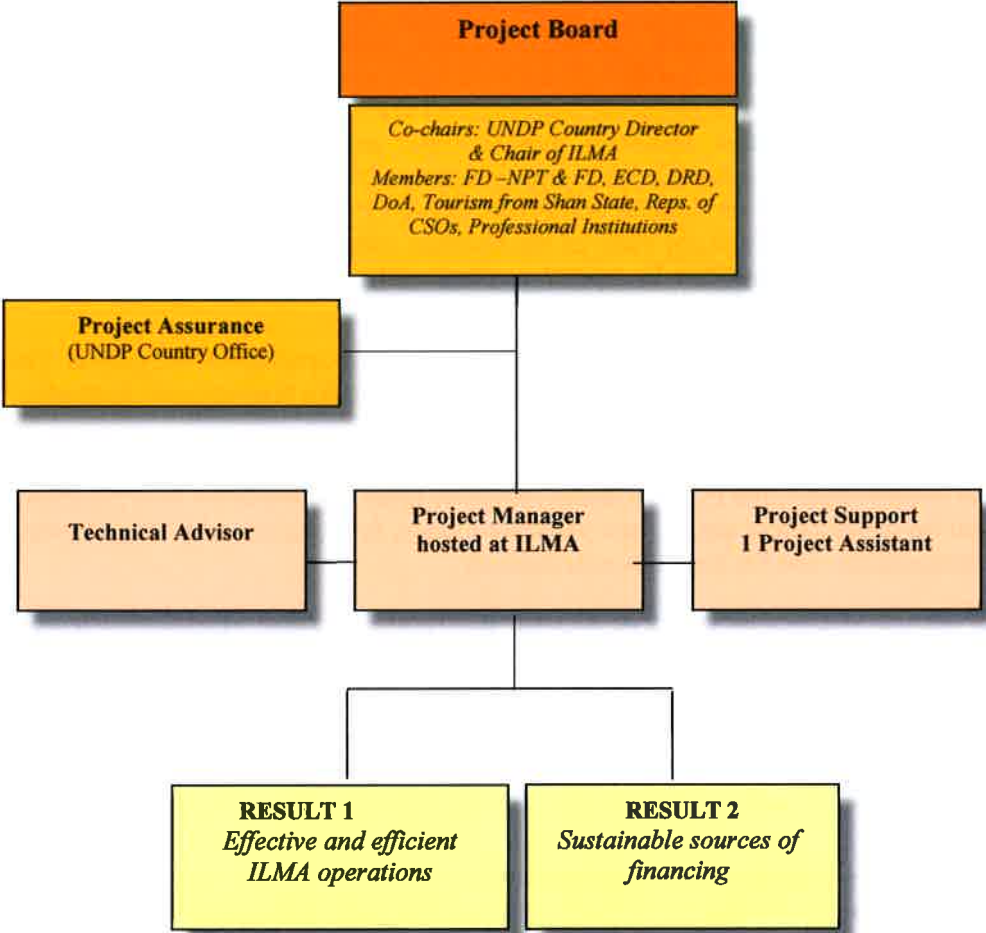
- Co-Chairs: the Project Board will be co-chaired by the UNDP Country Director, or designated representative), and the Chair of Inle Lake Management Committee (or designated representative);
- Director of Forest Department, Ministry of Natural Resource Management and Environmental Conservation;
- Directors from Shan State Forestry Department, Environmental Conservation Department, Agriculture Department, Tourism Department, Rural Development Department, Planning Department;
- Two-three representatives of civil society organisations;
- One representative of professional/academic institute in the Inle Lake Watershed Area;
- Observers may be permitted by the PB as required.

Project Assurance: The UNDP Country Office provides an oversight and quality assurance role. The project assurance role supports the Project Board by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. Project Assurance must be independent of the Project Manager.

The project oversight and quality assurance role will include: 1) financial and audit services to the project, including budget release and budget revision; 2) oversee financial expenditures against project budgets; 3) ensure that all activities including procurement and financial services are carried out in strict compliance with UNDP guideline and procedures; 4) ensure that donor reporting is undertaken in line with its requirements and procedures; 5) ensure project objectives achievement and timeliness; 6) facilitate project learning, exchange and outreach within and beyond the project framework; 7) contract the end-project evaluation; and 8) trigger additional reviews and/or evaluations as necessary and in consultation with the project counterparts. The UNDP Country Director or his designated officials will be represented on the PB.

Through UNDP regular programme coordination, the project will ensure that linkages to other UNDP interventions are effectively maintained.

Project Management Structure



IX. LEGAL CONTEXT

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of Myanmar and UNDP, signed on 17 September 1987. All references in the SBAA to “Executing Agency” shall be deemed to refer to the “Implementing Partner.”

This project will be implemented by UNDP (“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 the best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

X. RISK MANAGEMENT

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS).
2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the project funds 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. This provision must be included in all sub-contracts or sub-agreements entered under this Project Document.
3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
6. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient:
 - a. Consistent with Article III of the SBAA, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP’s property in such responsible party’s, subcontractor’s and sub-recipient’s custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
 - i. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
 - ii. assume all risks and liabilities related to such responsible party’s, subcontractor’s and sub-recipient’s security, and the full implementation of the security plan.
 - b. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan

as required hereunder shall be deemed a breach of the responsible party's, subcontractor's and sub-recipient's obligations under this Project Document.

- c. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
- d. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.
- e. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.
- f. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in the case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

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

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

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

- h. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.
- i. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal

action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.

- j. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled “Risk Management” are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled “Risk Management Standard Clauses” are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into this Project Document.

XI. ANNEXES

- 1. Project Quality Assurance Report**
- 2. Social and Environmental Screening Template**
- 3. Problem tree**
- 4. Risk Analysis.**
- 5. Project Board Terms of Reference and TORs of key management positions**
- 6. Theory of change**

Annex 1. Project Quality Assurance Report

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>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):</p> <ul style="list-style-type: none"> • 3: The project has a theory of change with explicit assumptions and clear change pathway describing how the project will contribute to outcome level change as specified in the programme/CPD, backed by credible evidence of what works effectively in this context. The project document clearly describes why the project's strategy is the best approach at this point in time. • 2: The project has a theory of change. It has an explicit change pathway that explains how the project intends to contribute to outcome-level change and why the project strategy is the best approach at this point in time, but is backed by limited evidence. • 1: The project does not have a theory of change, but the project document may describe in generic terms how the project will contribute to development results, without specifying the key assumptions. It does not make an explicit link to the programme/CPD's theory of change. <p>*Note: Management Action or strong management justification must be given for a score of 1</p> | 3 | 2 |
| | 1 | |
| | <p style="text-align: center;">Evidence</p> <p>Theory of Change clearly links project level interventions to need for enhanced management coordination and sustainable financing to address broad environmental problems in Inle Lake, and builds on earlier interventions.</p> <ul style="list-style-type: none"> - Theory of Change Diagram - Project Document - GRSP draft Project Document | |
| <p>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):</p> <ul style="list-style-type: none"> • 3: The project responds to one of the three areas of development work³ as specified in the Strategic Plan; it addresses at least one of the proposed new and emerging areas⁴; 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> • 2: The project responds to one of the three areas of development work¹ 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> | 3 | 2 |
| | 1 | |
| | <p style="text-align: center;">Evidence</p> <p>Project results respond to the UNDP Strategic Plan signature solution 4: <i>Promote nature-based solutions for a sustainable planet</i></p> | |

³ 1. Sustainable development pathways; 2. Inclusive and effective democratic governance; 3. Resilience building

⁴ 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

| | | | | | | | | | | | |
|--|---|---|---|---|--|---|--|--------------------|--|-------------------------------|--|
| <ul style="list-style-type: none"> • 1: While the project may respond to one of the three areas of development work¹ as specified in the Strategic Plan, it is based on a sectoral approach without addressing the complexity of the development issue. None of the relevant SP indicators are included in the RRF. This answer is also selected if the project does not respond to any of the three areas of development work in the Strategic Plan. | <ul style="list-style-type: none"> - UNDP, Strategic Plan (2018-2021) - Results Framework - Theory of Change diagram | | | | | | | | | | |
| RELEVANT | | | | | | | | | | | |
| <p>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):</p> <ul style="list-style-type: none"> • 3: The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. Beneficiaries will be identified through a rigorous process based on evidence (if applicable.)The project has an explicit strategy to identify, engage and ensure the meaningful participation of specified target groups/geographic areas throughout the project, including through monitoring and decision-making (such as representation on the project board) (<i>all must be true to select this option</i>) • 2: The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. The project document states how beneficiaries will be identified, engaged and how meaningful participation will be ensured throughout the project. (<i>both must be true to select this option</i>) • 1: The target groups/geographic areas are not specified, or do not prioritize excluded and/or marginalised populations. The project does not have a written strategy to identify or engage or ensure the meaningful participation of the target groups/geographic areas throughout the project. <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="width: 50%; text-align: center;">3</td> <td style="width: 50%; text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2"> <i>Select (all) targeted groups: (drop-down)</i> Evidence The project targets a geographic area that requires prioritized support, both for issues of local importance and as a model for other parts of the country. The primary beneficiary is the Inle Lake Management Authority, but the project focus on improved management dictates that indirect beneficiaries be actively engaged through project activities. </td> </tr> <tr> <td colspan="2">- Project document</td> </tr> </table> | 3 | 2 | 1 | | <i>Select (all) targeted groups: (drop-down)</i> Evidence The project targets a geographic area that requires prioritized support, both for issues of local importance and as a model for other parts of the country. The primary beneficiary is the Inle Lake Management Authority, but the project focus on improved management dictates that indirect beneficiaries be actively engaged through project activities. | | - Project document | | | |
| 3 | 2 | | | | | | | | | | |
| 1 | | | | | | | | | | | |
| <i>Select (all) targeted groups: (drop-down)</i> Evidence The project targets a geographic area that requires prioritized support, both for issues of local importance and as a model for other parts of the country. The primary beneficiary is the Inle Lake Management Authority, but the project focus on improved management dictates that indirect beneficiaries be actively engaged through project activities. | | | | | | | | | | | |
| - Project document | | | | | | | | | | | |
| <p>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):</p> <ul style="list-style-type: none"> • 3: Knowledge and lessons learned (gained e.g. through peer assist sessions) backed by credible evidence from evaluation, corporate policies/strategies, and monitoring have been explicitly used, with appropriate referencing, to develop the project’s theory of change and justify the approach used by the project over alternatives. • 2: The project design mentions knowledge and lessons learned backed by evidence/sources, which inform the project’s theory of change but have not been used/are not sufficient to justify the approach selected over alternatives. • 1: There is only scant or no mention of knowledge and lessons learned informing the project design. Any references that are made are not backed by evidence. <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;">3</td> <td style="width: 50%; text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2"> Evidence The project design is informed by evaluations of past interventions and responds to the Government’s own priorities listed in the strategic plan for Inle Lake. </td> </tr> <tr> <td colspan="2">- Project Document</td> </tr> </table> | 3 | 2 | 1 | | Evidence The project design is informed by evaluations of past interventions and responds to the Government’s own priorities listed in the strategic plan for Inle Lake. | | - Project Document | | | |
| 3 | 2 | | | | | | | | | | |
| 1 | | | | | | | | | | | |
| Evidence The project design is informed by evaluations of past interventions and responds to the Government’s own priorities listed in the strategic plan for Inle Lake. | | | | | | | | | | | |
| - Project Document | | | | | | | | | | | |
| <p>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):</p> <ul style="list-style-type: none"> • 3: 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>) • 2: A gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men. Gender concerns are integrated in the development challenge and strategy sections of the project document. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. (<i>all must be true to select this option</i>) • 1: The project design may or may not mention information and/or data on the differential impact of the project’s development situation on gender relations, women and men, but the constraints have not been clearly identified and interventions have not been considered. <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;">3</td> <td style="width: 50%; text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2"> Evidence The project design does not explicitly mention gender considerations as it is targeting enhanced coordination and decision-making within the Inle Lake Management Authority. The project will be implemented through the new Governance for Resilience and Sustainability Project (GRSP), however, which does explicitly address gendered aspects of environmental governance. </td> </tr> <tr> <td colspan="2">- Project Document</td> </tr> <tr> <td colspan="2">- GRSP draft Project Document</td> </tr> </table> | 3 | 2 | 1 | | Evidence The project design does not explicitly mention gender considerations as it is targeting enhanced coordination and decision-making within the Inle Lake Management Authority. The project will be implemented through the new Governance for Resilience and Sustainability Project (GRSP), however, which does explicitly address gendered aspects of environmental governance. | | - Project Document | | - GRSP draft Project Document | |
| 3 | 2 | | | | | | | | | | |
| 1 | | | | | | | | | | | |
| Evidence The project design does not explicitly mention gender considerations as it is targeting enhanced coordination and decision-making within the Inle Lake Management Authority. The project will be implemented through the new Governance for Resilience and Sustainability Project (GRSP), however, which does explicitly address gendered aspects of environmental governance. | | | | | | | | | | | |
| - Project Document | | | | | | | | | | | |
| - GRSP draft Project Document | | | | | | | | | | | |
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| 3 | 2 | | | | | | | | | | |
| 1 | | | | | | | | | | | |

| | | | | | | | | | | | |
|--|---|-----|----|--|--|-----------------|--|---|--|--------------------|--|
| <p>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):</p> <ul style="list-style-type: none"> • 3: An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project. It is clear how results achieved by relevant partners will contribute to outcome level change complementing the project's intended results. If relevant, options for south-south and triangular cooperation have been considered, as appropriate. <i>(all must be true to select this option)</i> • 2: Some analysis has been conducted on the role of other partners where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project. Options for south-south and triangular cooperation may not have not been fully developed during project design, even if relevant opportunities have been identified. • 1: No clear analysis has been conducted on the role of other partners in the area that the project intends to work, and relatively limited evidence supports the proposed engagement of UNDP and partners through the project. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance. <p><small>*Note: Management Action or strong management justification must be given for a score of 1</small></p> | <p style="text-align: center;">Evidence</p> <p>The project has analysed UNDP's advantages in the location's development context, identified gaps and established linkages with other development partners undertaking or planning projects pertaining to environmental conservation in Inle Lake – the vast majority of development assistance focuses on technical issues, rather than the governance approach in this project. Options for south-south and triangular cooperation were identified.</p> <p>- Project Document</p> | | | | | | | | | | |
| SOCIAL & ENVIRONMENTAL STANDARDS | | | | | | | | | | | |
| <p>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):</p> <ul style="list-style-type: none"> • 3: Credible evidence that the project aims to further the realization of human rights, upholding the relevant international and national laws and standards in the area of the project. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. <i>(all must be true to select this option)</i> • 2: Some evidence that the project aims to further the realization of human rights. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget. • 1: No evidence that the project aims to further the realization of human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered. <p><small>*Note: Management action or strong management justification must be given for a score of 1</small></p> | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">3</td> <td style="width: 50%; text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2" style="text-align: center;">Evidence</td> </tr> <tr> <td colspan="2">The project supports the development of more inclusive approaches to the management of Inle Lake, including information disclosure and public participation processes that address the diverse populations that depend on the lake.</td> </tr> <tr> <td colspan="2" style="text-align: center;">- Project Document</td> </tr> </table> | 3 | 2 | 1 | | Evidence | | The project supports the development of more inclusive approaches to the management of Inle Lake, including information disclosure and public participation processes that address the diverse populations that depend on the lake. | | - Project Document | |
| 3 | 2 | | | | | | | | | | |
| 1 | | | | | | | | | | | |
| Evidence | | | | | | | | | | | |
| The project supports the development of more inclusive approaches to the management of Inle Lake, including information disclosure and public participation processes that address the diverse populations that depend on the lake. | | | | | | | | | | | |
| - Project Document | | | | | | | | | | | |
| <p>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):</p> <ul style="list-style-type: none"> • 3: Credible evidence that opportunities to enhance environmental sustainability and integrate poverty-environment linkages were fully considered as relevant, and integrated in project strategy and design. Credible evidence that potential adverse environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. <i>(all must be true to select this option).</i> • 2: No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Credible evidence that potential adverse environmental impacts have been identified and assessed, if relevant, and appropriate management and mitigation measures incorporated into project design and budget. • 1: No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Limited or no evidence that potential adverse environmental impacts were adequately considered. <p><small>*Note: Management action or strong management justification must be given for a score of 1</small></p> | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">3</td> <td style="width: 50%; text-align: center;">2</td> </tr> <tr> <td colspan="2" style="text-align: center;">1</td> </tr> <tr> <td colspan="2" style="text-align: center;">Evidence</td> </tr> <tr> <td colspan="2">The project directly targets enhanced environmental sustainability in the Inle Lake region and incorporates considerations of poverty-environment linkages. Moreover, the project will be implemented through GRSP, places the Inle work as part of broader efforts to enhance environmental sustainability throughout Myanmar.</td> </tr> <tr> <td colspan="2" style="text-align: center;">- Project Document</td> </tr> </table> | 3 | 2 | 1 | | Evidence | | The project directly targets enhanced environmental sustainability in the Inle Lake region and incorporates considerations of poverty-environment linkages. Moreover, the project will be implemented through GRSP, places the Inle work as part of broader efforts to enhance environmental sustainability throughout Myanmar. | | - Project Document | |
| 3 | 2 | | | | | | | | | | |
| 1 | | | | | | | | | | | |
| Evidence | | | | | | | | | | | |
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| - Project Document | | | | | | | | | | | |
| <p>9. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks? 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> | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">Yes</td> <td style="width: 50%; text-align: center;">No</td> </tr> <tr> <td colspan="2" style="text-align: center;">Annex 2. Social and Environmental Screening Template</td> </tr> </table> | Yes | No | Annex 2. Social and Environmental Screening Template | | | | | | | |
| Yes | No | | | | | | | | | | |
| Annex 2. Social and Environmental Screening Template | | | | | | | | | | | |
| MANAGEMENT & MONITORING | | | | | | | | | | | |
| | <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; text-align: center;">3</td> <td style="width: 50%; text-align: center;">2</td> </tr> </table> | 3 | 2 | | | | | | | | |
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| <p>10. Does the project have a strong results framework? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: The project’s selection of outputs and activities are at an appropriate level and relate in a clear way to the project’s theory of change. Outputs are accompanied by SMART, results-oriented indicators that measure all of the key expected changes identified in the theory of change, each with credible data sources, and populated baselines and targets, including gender sensitive, sex-disaggregated indicators where appropriate. (<i>all must be true to select this option</i>) • 2: The project’s selection of outputs and activities are at an appropriate level, but may not cover all aspects of the project’s theory of change. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of gender sensitive, sex-disaggregated indicators, as appropriate. (<i>all must be true to select this option</i>) • 1: The results framework does not meet all of the conditions specified in selection “2” above. This includes: the project’s selection of outputs and activities are not at an appropriate level and do not relate in a clear way to the project’s theory of change; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change, and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators. <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p> | <p style="text-align: center;">1</p> <p style="text-align: center;">Evidence</p> <p>All indicators and targets identified but some baselines are to be determined during inception.</p> <p>- Project Document</p> | |
| <p>11. Is there a comprehensive and costed M&E plan in place with specified data collection sources and methods to support evidence-based management, monitoring and evaluation of the project?</p> | <p style="text-align: center;">Yes (3)</p> | <p style="text-align: center;">No (1)</p> |
| <p>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):</p> <ul style="list-style-type: none"> • 3: 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>). • 2: The project’s governance mechanism is defined in the project document; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The prodoc lists the most important responsibilities of the project board, project director/manager and quality assurance roles. (<i>all must be true to select this option</i>) • 1: The project’s governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided. <p><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p> | <p style="text-align: center;">3</p> | <p style="text-align: center;">2</p> |
| <p>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):</p> <ul style="list-style-type: none"> • 3: Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis. Clear and complete plan in place to manage and mitigate each risk. (<i>both must be true to select this option</i>) • 2: Project risks related to the achievement of results identified in the initial project risk log with mitigation measures identified for each risk. • 1: Some risks may be identified in the initial project risk log, but no evidence of analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified and no initial risk log is included with the project document. <p><i>*Note: Management Action must be taken for a score of 1</i></p> | <p style="text-align: center;">3</p> | <p style="text-align: center;">2</p> |
| <p>EFFICIENT</p> | | |
| <p>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</p> | <p style="text-align: center;">Yes (3)</p> | <p style="text-align: center;">No (1)</p> |

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| other interventions; iii) through joint operations (e.g., monitoring or procurement) with other partners. | | |
| 15. Are explicit plans in place to ensure the project links up with other relevant on-going projects and initiatives, whether led by UNDP, national or other partners, to achieve more efficient results (including, for example, through sharing resources or coordinating delivery?) | Yes (3) | No (1) |
| 16. Is the budget justified and supported with valid estimates? <ul style="list-style-type: none"> • 3: The project's budget is at the activity level with funding sources, and is specified for the duration of the project period in a multi-year budget. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget. • 2: The project's budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget. Costs are supported with valid estimates based on prevailing rates. • 1: The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget. | 3 | 2 |
| 17. Is the Country Office fully recovering the costs involved with project implementation? <ul style="list-style-type: none"> • 3: 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.) • 2: The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant. • 1: The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project. <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> | 3 | 2 |
| EFFECTIVE | | |
| 18. Is the chosen implementation modality most appropriate? (select from options 1-3 that best reflects this project): <ul style="list-style-type: none"> • 3: The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted, and there is evidence that options for implementation modalities have been thoroughly considered. There is a strong justification for choosing the selected modality, based on the development context. <i>(both must be true to select this option)</i> • 2: The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted and the implementation modality chosen is consistent with the results of the assessments. • 1: The required assessments have not been conducted, but there may be evidence that options for implementation modalities have been considered. <p>*Note: Management Action or strong management justification must be given for a score of 1</p> | 3 | 2 |
| 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? <ul style="list-style-type: none"> • 3: Credible evidence that all targeted groups, prioritising marginalized and excluded populations that will be involved in or affected by the project, have been actively engaged in the design of the project. Their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change which seeks to address any underlying causes of exclusion and discrimination and the selection of project interventions. • 2: Some evidence that key targeted groups, prioritising marginalized and excluded populations that will be involved in the project, have been engaged in the design of the project. Some evidence that their views, rights and any constraints have been analysed and | 3 | 2 |

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| <p>incorporated into the root cause analysis of the theory of change and the selection of project interventions.</p> <ul style="list-style-type: none"> • 1: No evidence of engagement with marginalized and excluded populations that will be involved in the project during project design. No evidence that the views, rights and constraints of populations have been incorporated into the project. | | |
| <p>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?</p> | Yes (3) | No (1) |
| <p>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.</p> <p>*Note: Management Action or strong management justification must be given for a score of “no”</p> | Yes (3) | No (1) |
| | <p>Evidence The project will be implemented through GRSP, which has a GEN2 score</p> <p>- GRSP draft Project Document</p> | |
| <p>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):</p> <ul style="list-style-type: none"> • 3: The project has a realistic work plan & 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. • 2: The project has a work plan & budget covering the duration of the project at the output level. • 1: The project does not yet have a work plan & budget covering the duration of the project. | 3 | 2 |
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| | <p>Evidence The multiyear work plan has activity budget breakdown</p> <p>- Project Document multi-year work plan</p> | |
| SUSTAINABILITY & NATIONAL OWNERSHIP | | |
| <p>23. Have national partners led, or proactively engaged in, the design of the project? (select from options 1-3 that best reflects this project):</p> <ul style="list-style-type: none"> • 3: National partners have full ownership of the project and led the process of the development of the project jointly with UNDP. • 2: The project has been developed by UNDP in close consultation with national partners. • 1: The project has been developed by UNDP with limited or no engagement with national partners. | 3 | 2 |
| | 1 | |
| | <p>Evidence The project is based on and draws from the Government Inle Lake Conservation 5-Year Action Plan 2015-2020. The project has been designed in close consultation with the Shan State Government.</p> <p>- Project Document</p> | |
| <p>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):</p> <ul style="list-style-type: none"> • 3: The project has a comprehensive strategy for strengthening specific capacities of national institutions based on a systematic and detailed capacity assessment that has been completed. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly. • 2.5: A capacity assessment has been completed. The project document has identified activities that will be undertaken to strengthen capacity of national institutions, but these activities are not part of a comprehensive strategy to monitor and strengthen national capacities. • 2: A capacity assessment is planned after the start of the project. There are plans to develop a strategy to strengthen specific capacities of national institutions based on the results of the capacity assessment. • 1.5: There is mention in the project document of capacities of national institutions to be strengthened through the project, but no capacity assessments or specific strategy development are planned. • 1: Capacity assessments have not been carried out and are not foreseen. There is no strategy for strengthening specific capacities of national institutions. | 3 | 2.5 |
| | 2 | 1.5 |
| | 1 | |
| | <p>Evidence Capacity needs are identified and activities outlined in the project document; capacity assessments will be undertaken at the start of the project..</p> <p>- project Document</p> | |
| <p>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?</p> | Yes (3) | No (1) |

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| 26. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation strategy)? | Yes (3) | No (1) |
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Annex 2. Social and Environmental Risk Screening

| Checklist Potential Social and Environmental Risks | | Answer (Yes/No) |
|--|--|----------------------------|
| Principles 1: Human Rights | | |
| 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? ⁵ | 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. | Are there measures or mechanisms in place to respond to local community grievances? | No |
| 6. | Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project? | Yes |
| 7. | Is there a risk that rights-holders do not have the capacity to claim their rights? | Yes |
| 8. | Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process? | Yes |
| 9. | Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals? | No |
| Principle 2: Gender Equality and Women's Empowerment | | |
| 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 |
| 3. | 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 |
| Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific standard-related questions below | | |
| Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management | | |
| 1.1 | Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i> | No |
| 1.2 | Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognised as such by authoritative sources and/or indigenous peoples or local communities? | Yes |
| 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 |

⁵ 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.

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| 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 |
| Standard 2: Climate Change Mitigation and Adaptation | | |
| 2.1 | Will the proposed Project result in significant ⁶ 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 |
| Standard 3: Community Health, Safety and Working Conditions | | |
| 3.1 | Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities? | No |
| 3.2 | Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)? | No |
| 3.3 | Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)? | No |
| 3.4 | Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure) | No |
| 3.5 | Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions? | No |
| 3.6 | Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)? | No |
| 3.7 | Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning? | No |
| 3.8 | Does the Project involve support for employment or livelihoods that may fail to comply with national and international labour standards (i.e. principles and standards of ILO fundamental conventions)? | No |
| 3.9 | Does the Project engage security personnel who 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 |
| Standard 4: Cultural Heritage | | |
| 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 |
| Standard 5: Displacement and Resettlement | | |
| 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 |

⁶ In regards to CO₂, '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.]

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| 5.3 | Is there a risk that the Project would lead to forced evictions? ⁷ | 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 |
| Standard 6: Indigenous Peoples | | |
| 6.1 | Are indigenous peoples present in the Project area (including Project area of influence)? | Yes |
| 6.2 | Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples? | Yes |
| 6.3 | Would the proposed Project potentially affect the rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)? | 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 |
| 6.4 | Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples? | No |
| 6.5 | 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 |
| 6.6 | Would the Project adversely affect the development priorities of indigenous peoples as defined by them? | No |
| 6.7 | Would the Project potentially affect the traditional livelihoods, physical and cultural survival of indigenous peoples? | No |
| 6.8 | Would the Project potentially affect the cultural heritage of indigenous peoples, including through the commercialisation or use of their traditional knowledge and practices? | No |
| Standard 7: Pollution Prevention and Resource Efficiency | | |
| 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 |

⁷ 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.

Annex 3: Problem tree

Problem tree

Core issue

The ILMA is still new and needs technical, administrative and capacity assistance to ensure it can lead the coordinated and effective management of the Inle Lake watershed

Immediate causes

Stakeholders have expressed low levels of confidence in the current ILMA and ILCTF

Stakeholders are concerned ILCTF management practices are not transparent

Collected levy revenue does not cover ILMA and Secretariat costs

Overuse of chemicals fertilisers affects biodiversity and human health

Underlying causes

Information on the activities of the ILMA and ILCTF is not shared with stakeholders

ILMA meets regularly in Taunggyi, but decisions often not implemented

Tourism revenues not effectively collected and utilized

Introduction of Invasive species affect productivity and biodiversity

Expansion of agriculture on the lake is progressively reducing the surface area

Root causes

Lake management authority lacks broad support

Funding insecure and not used effectively or efficiently

Technical solutions to environmental and social issues not implemented

Annex 4. Risk Analysis.



OFFLINE RISK LOG

(see [Deliverable Description](#) for the Risk Log regarding its purpose and use)

| Project Title: Strengthening Inle Lake Management Authority to Improve Conservation and Development | | Award ID: | | Date: | | | | | |
|---|--|-----------------|-------------|--|---|-------|-----------------------|-------------|--------|
| # | Description | Date Identified | Type | Impact & Probability ^a | Countermeasures / Mngt response | Owner | Submitted, updated by | Last Update | Status |
| 1 | Increasing environmental degradation of the Inle Lake | 1 June 2017 | Strategic | Siltation is reducing lake depth, invasive species, expansion of agricultural conversion and overuse of chemicals are affecting Lake biodiversity. P = 2 I = 2 | 1. The project strategy will establish institutional arrangements for an operational, broad based ILMA. 2. The project will establish an effective and efficient ILMA Secretariat 3. Inle lake conservation laws to be reviewed in consultation with stakeholders 4. Information on ILMA shared with stakeholders 5. ILCTF funding projects aligned with Inle Lake 5-year Plan. | | | | |
| 2 | Weak leadership of the ILMA, affecting the sustainability of the lake management system, | 1 June 2017 | Strategic | Lack of planning, decision making and coordination of different stakeholders. P = 2 I = 3 | 1. The project strategy plans to reform and strengthen the Lake Authority including improving its management capacity and governance arrangements. | | | | |
| 3 | Partnerships failing to deliver | 1 June 2017 | Operational | Local leadership and ownership of conservation management is required for efforts to be successful. P = 2 I = 3 | 1. The project will build trust and ownership of the Shan State Government throughout its implementation. 2. The structures developed through the project will strengthen existing partnerships and provide a basis for increased stakeholder engagement with, and confidence in the Shan State Government. | | | | |
| 4 | Lack of stakeholder involvement and | 1 June 2017 | Strategic | Lack of awareness and engagement on the issues | 1. The project will actively promote stakeholder participation and ensure communication with all | | | | |

^a Probability and impact are rated on a scale from 1 (low) to 5 (high)

| | | | | | | | | | |
|----|--|-------------|----------------|---|--|--|--|--|--|
| | participation in the decision-making process | | | affecting Inle Lake is currently widespread. P = 2 I = 2 | relevant stakeholders and the public on its interventions. 2. The stakeholder participation in LLMA decision making will be increased and strengthened | | | | |
| 5 | Armed Conflict and Instability | 1 June 2017 | Political | Disruption on the ongoing peace process P = 1 I = 1 | 1. The project will closely monitor progress on the national peace process (including its impact on the Shan State), and will ensure the LLMA considers inclusiveness and transparency in managing Inle Lake to mitigate any misunderstanding among all relevant stakeholders and interest groups. | | | | |
| 6 | Adverse Public opinion/media intervention | 1 June 2017 | Organizational | The lack of understanding by the public about the activities of the LLMA and the use of ILCTF revenues has generated mistrust. P = 2 I = 2 | 1. The project will use all relevant communication tools to reach out to the media, stakeholders and the public on its interventions. 2. A targeted awareness campaign (print, radio and tv) will help to address any misconceptions and thereby build public support for the project. | | | | |
| 7 | Corruption and Misuse of ILCTF funds | 1 June 2017 | Financial | Potential corruption and misuse of ILCTF funds due to lack of transparent procedures and monitoring of the ILCTF operations as well as a negative perception about the way revenues are collected and used. P = 3 I = 4 | 1. The strategy of the project aims at putting in place more transparent and effective management of the ILCTF that translate into positive audits results. 2. The project will also implement measures to improve the perception by the stakeholders about the utilization of the ILCTF revenues through information dissemination, public awareness and increased involvement on the issues of the Inle Lake. | | | | |
| 8 | Less tourism revenue | 1 June 2017 | Financial | Tourism fees are not being effectively collected which translates into less resources to support Inle lake activities. P = 3 I = 4 | 1. The project will seek alternatives for revenue collection and will also contribute to improve the fee collection more efficiently. 2. Mid-Term Review (2019) to assess situation and propose corrective measures if needed. | | | | |
| 9. | Lack of engagement from Inle lake ethic groups | 1 June 2017 | Strategic | Ethnic groups potentially not aware and involved in Inle Lake conservation activities P = 1 I = 1 | 1. The project will build ownership through strengthening the LLMA and will promote, among others stakeholders, the participation of ethnic groups. 2. Ethnic groups will be incorporated into all proposed conservation activities. | | | | |

Annex 5. Project Board Terms of Reference and TORs of key management positions

This ToR document accounts for the composition and functions of the Project Board (hereafter, PB) for the project "Strengthening the Inle Lake Management Authority to Improve Conservation and Development." As this initiative is strongly related to the Governance for Resilience and Sustainability Project (GRSP), the PB Executive (defined below) shall have the discretion to determine that the GRSP Project Board function as the PB for the purposes of this Project Document.

A. Project Board

The PB will be responsible for making by consensus management decisions for the project when guidance is required by the Project Manager, including recommendation for UNDP/Implementing Partner approval of project plans and revisions.

In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance to standards⁹ that shall ensure best value to money, fairness, integrity transparency and effective international competition. In case a consensus cannot be reached, final decision shall rest with the UNDP Programme Manager. Project reviews by this group are made at designated decision points during the running of a project, or as necessary when raised by the Project Manager. This group is consulted by the Project Manager for decisions when tolerances (normally in terms of time and budget) have been exceeded.

Based on the approved annual work plan (AWP), the Project Board will review and approve project quarterly plans when required and authorizes any major deviation from these agreed quarterly plans. It is the authority that signs off the completion of each quarterly plan as well as authorizes the start of the next quarterly plan. It ensures that required resources are committed and arbitrates on any conflicts within the project or negotiates a solution to any problems between the project and external bodies. In addition, it approves the appointment and responsibilities of the Project Manager and any delegation of its Project Assurance responsibilities.

The proposed composition of the PB is as follows:

- 1) Executive (co-chairs): Country director of the United Nations Development Programme (or designated representative) and Chair of the Inle Lake Management Authority (or designated representative).
- 2) Senior Beneficiaries: Director of Forest Department, Ministry of Natural Resource Management and Environmental Conservation, Directors from Shan State Forestry Department, Environmental Conservation Department, Agriculture Department, Tourism Department, Rural Development Department, Planning Department, Two-three

⁹ UNDP Financial Rules and Regulations: Chapter E, Regulation 16.05: a) The administration by executing entities or, under the harmonized operational modalities, implementing partners, of resources obtained from or through UNDP shall be carried out under their respective 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. b) Where the financial governance of an executing entity or, under the harmonized operational modalities, implementing partner, does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, that of UNDP shall apply.

representatives of civil society organisations, One representative of professional/academic institute in the Inle Lake Watershed Area;

3) Observers may be permitted by the PB as required.

Potential members of the Project Board were discussed and recommended for approval during the LPAC meeting. The PB will have a semi-annual meeting on a regular basis. A technical working group will be formed to support the implementation of the project with more frequent meetings as necessary. The Executive role can be held by a representative from the Government Cooperating Agency or UNDP, the Senior Supplier role is held by a representative of the Implementing Partner and/or UNDP, and the Senior Beneficiary role is held by a representative of the government or civil society. Representative of other stakeholders can be included in the Board as appropriate.

Specific responsibilities:

Defining a project

- Review and approve the Initiation Plan (if such plan was required and submitted to the LPAC).

Initiating a project

- Agree on Project Manager's responsibilities, as well as the responsibilities of the other members of the Project Management team;
- Delegate any Project Assurance function as appropriate;
- Review the Progress Report for the Initiation Stage (if an Initiation Plan was required);
- Review and appraise detailed Project Plan and AWP, including Atlas reports covering activity definition, quality criteria, issue log, updated risk log and the monitoring and communication plan.

Running a project

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
- Address project issues as raised by the Project Manager;
- Provide guidance and agree on possible countermeasures/management actions to address specific risks;
- Agree on Project Manager's tolerances in the Annual Work Plan and quarterly plans when required;
- Conduct regular meetings to review the Project Quarterly Progress Report and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans.
- Review Combined Delivery Reports (CDR) prior to certification by the Implementing Partner;
- Appraise the Project Annual Review Report, make recommendations for the next AWP, and inform the Outcome Board about the results of the review.
- Review and approve end project report, make recommendations for follow-on actions;
- Provide ad-hoc direction and advice for exception situations when project manager's tolerances are exceeded;
- Assess and decide on project changes through revisions;

Closing a project

- Assure that all Project deliverables have been produced satisfactorily;
- Review and approve the Final Project Review Report, including Lessons-learned;
- Make recommendations for follow-on actions to be submitted to the Outcome Board;
- Commission project evaluation (only when required by partnership agreement)

- Notify operational completion of the project to the Outcome Board.

Executive

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

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Ensure that there is a coherent project organisation structure and logical set of plans
- Set tolerances in the AWP and other plans as required for the Project Manager
- Monitor and control the progress of the project at a strategic level
- Ensure that risks are being tracked and mitigated as effectively as possible
- Brief Outcome Board and relevant stakeholders about project progress
- Organise and chair Project Board meetings

The Executive is responsible for overall assurance of the project as described below. If the project warrants it, the Executive may delegate some responsibility for the project assurance functions.

Senior Beneficiary

The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. The role represents the interests of all those who will benefit from the project, or those for whom the deliverables resulting from activities will achieve specific output targets. The Senior Beneficiary role monitors progress against targets and quality criteria. This role may require more than one person to cover all the beneficiary interests. For the sake of effectiveness, the role should not be split between too many people.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Ensure the expected output(s) and related activities of the project are well defined
- Make sure that progress towards the outputs required by the beneficiaries remains consistent from the beneficiary perspective
- Promote and maintain focus on the expected project output(s)
- Prioritise and contribute beneficiaries' opinions on Project Board decisions on whether to implement recommendations on proposed changes
- Resolve priority conflicts

The assurance responsibilities of the Senior Beneficiary are to check that:

- Specification of the Beneficiary's needs is accurate, complete and unambiguous
- Implementation of activities at all stages is monitored to ensure that they will meet the beneficiary's needs and are progressing towards that target
- Impact of potential changes is evaluated from the beneficiary point of view
- Risks to the beneficiaries are frequently monitored

Where the project's size, complexity or importance warrants it, the Senior Beneficiary may delegate the responsibility and authority for some of the assurance responsibilities.

Senior Supplier

The Senior Supplier represents the interests of the parties which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project. The Senior Supplier role must have the authority to commit or acquire supplier resources required. If necessary, more than one person may be required for this role. Typically, the implementing partner, UNDP and/or donor(s) would be represented under this role.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

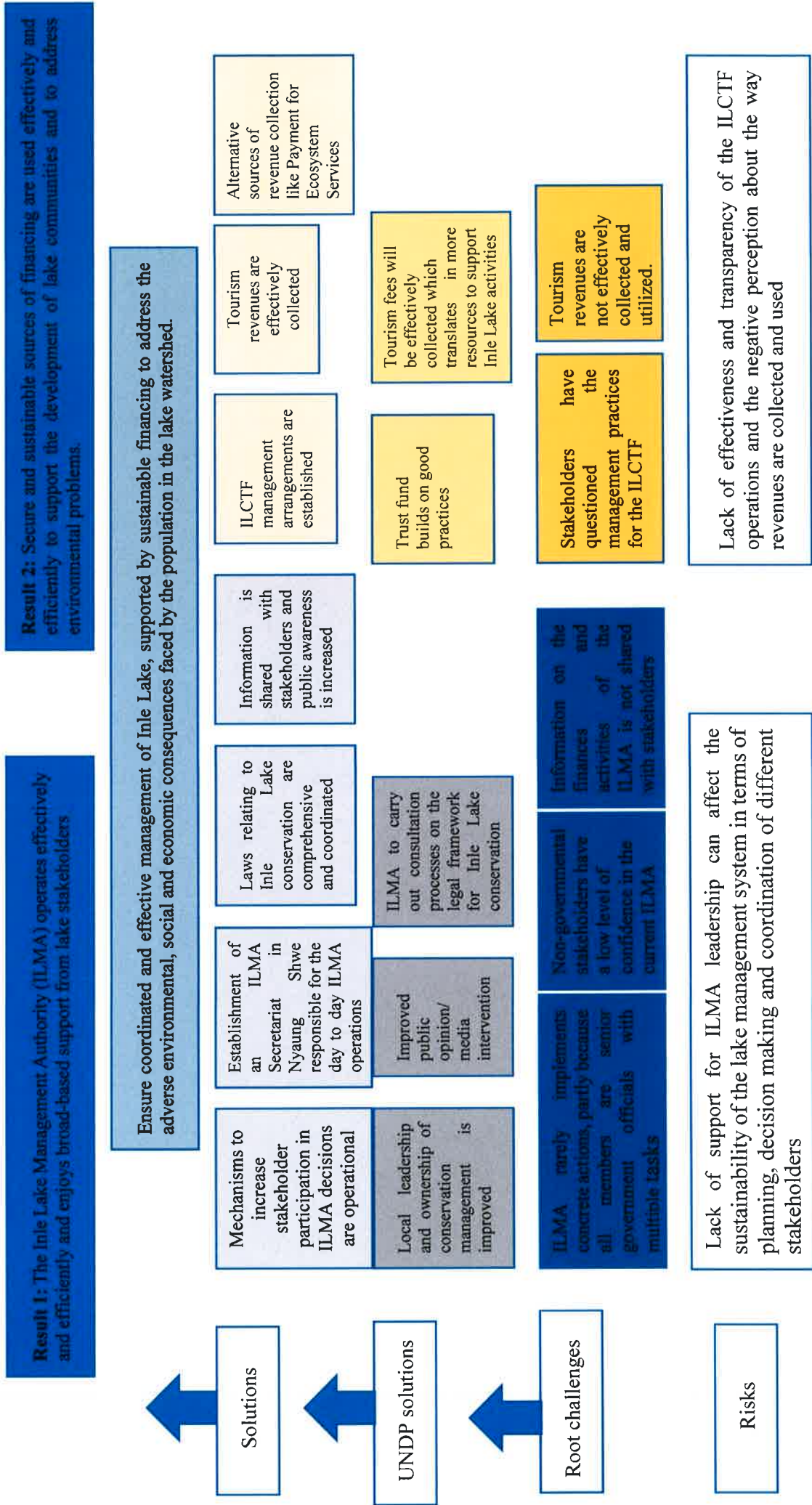
- Make sure that progress towards the outputs remains consistent from the supplier perspective
- Promote and maintain focus on the expected project output(s) from the point of view of supplier management
- Ensure that the supplier resources required for the project are made available
- Contribute supplier opinions on Project Board decisions on whether to implement recommendations on proposed changes
- Arbitrate on, and ensure resolution of, any supplier priority or resource conflicts

The supplier assurance role responsibilities are to:

- Advise on the selection of strategy, design and methods to carry out project activities
- Ensure that any standards defined for the project are met and used to good effect
- Monitor potential changes and their impact on the quality of deliverables from a supplier perspective
- Monitor any risks in the implementation aspects of the project

If warranted, some of this assurance responsibility may be delegated.

Annex 6: Project theory of change



Annex 6: TORs of key management positions

1) Project manager

Scope of the work: The project manager is responsible for 1) managing the overall conduct of the project, 2) implementing activities by mobilizing goods and services, 3) checking on progress and watching for plan deviations, 4) ensuring that changes are controlled and problems addressed, 5) monitoring progress and risks; and 6) reporting on progress including measures to address challenges and opportunities.

The key responsibilities include;

- a. Plan the activities of the project and monitor progress against the approved workplan;
- b. Mobilize personnel, goods and services, training to initiative activities, including drafting terms of reference and work specifications, and overseeing all contractors' work;
- c. Monitor events as determined in the project monitoring schedule plan, and update the plan as required;
- d. Manage requests for the provision of financial resources by UNDP, through advance of funds, direct payments or reimbursement using the fund authorization and certificate of expenditures;
- e. Monitor financial resources and accounting to ensure the accuracy and reliability of financial reports;
- f. Be responsible for preparing and submitting financial reports to UNDP on a quarterly basis;
- g. Manage and monitor the project risks initially identified and submit new risks to the project board for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks log;
- h. Capture lessons learned during project implementation;
- i. Perform regular progress reporting to the project board as agreed with the board;
- j. Prepare the annual review report, and submit the report to the project board and the outcome group;
- k. Prepare the annual workplan for the following year, as well as quarterly plans if required; and
- l. Update the Atlas Project Management module if external access is made available.

(2) Senior Technical Advisor

Scope of the work: The key function of the Senior Technical Advisor is to build the capacity of the government system for coordinated and sustainable management of Inle Lake and its watershed area. To this end, s/he will support the Inle Lake Management Authority and its secretariat in the implementation of this project by providing technical advisory services and coordination of the different project activities and their specific technical expertise approach; towards strategic implementation and consistency in project implementation.

Key areas of technical assistance and guidance include:

1. Coordination and collaboration with stakeholders to ensure strategic focus in project implementation

- Support to the participatory development of the Inle Lake Conservation Law; support the Shan State Government with a more inclusive framework for action, through stakeholder consultation through the process of developing the Inle Lake Conservation Law
- Coordination with Shan State Government on key government decisions related to the management of Inle Lake in line with the Inle Lake Conservation 5-Year Action Plan (2015-16 to 2019-2020)

- Provide support to the Inle Lake Management Authority towards institutionalizing an effective management and coordination mechanism for Inle Lake through collaboration and integration of functions with other stakeholders such as the Myanmar Man and the Biosphere (MAB) National Committee and the Inle Centre for Biosphere Conservation and Sustainable Development
- Provide technical support for to the UNDP Project Team for project implementation as well as measurement and documentation of project progress and impacts as they relate to implement coordinated and effective management measures of Inle Lake

2. Establishment of an operational and functioning Inle Lake Management Authority and Secretariat

- Guidance on the design, implementation and management of activities and operations of the Authority and coordination of environmental monitoring, including staff positions, roles and responsibilities
- Develop technical capacities of the Inle Lake Management Authority on conservation and sustainable use of natural resources towards improved governance of the Lake
- Capacity building of the Inle Lake Conservation Trust Fund to establish transparent, accountable and sustainable financing
 - Ensure that established mechanisms and processes are in line with good practice for trust fund management
 - Strengthen the financial and operational procedures of the Lake Authority
 - Explore and pilot new and sustainable revenue and collection mechanisms
 - Identify potential capacity building and training gaps and needs
- Establishment of a stakeholder consultation mechanism to promote coordinated engagement on conservation and sustainable use of Lake resources
- Support the promotion of gender equity in the project where possible

3. Support and supervision of the technical activities conducted by project consultants

- Advise the UNDP Project Manager and project team as to the technical inputs/specialized areas required to achieve project results
- Provide substantial technical support and harmonization of the activities undertaken by the different project experts;
- Provide technical inputs for preparing and developing methodologies in the execution of various technical studies to be carried out through the project, as well as assuring the technical quality of reports compiled by consultants
- Ensure that activities around and within the Lake and its environs are monitored to ensure compliance with established protocols
- Provide technical quality assurance and technical review of project activities
- Oversee and guide research activities in support of sustainable management and conservation efforts at the Lake
- Provide guidance on best-practices and lessons learned to ensure the achievement of project objectives;

4. Promote and support a process to increase public awareness on the function and activities of the Lake Authority and the use of trust fund revenues

- Support and provide guidance to the Environmental Education Centre (EEC) in becoming a hub for education on environmental and natural resource management
- Support a learning approach to project implementation, through feedback from progress reports, lessons learned, technical studies and stakeholder consultations in guiding adaptive

changes to project strategy and implementation arrangements to optimize accomplishment of the project objective and outcomes;

- Contribute to information dissemination through public awareness campaigns to raise awareness about the activities of the ILMA and to the elaboration of knowledge products for dissemination such as the establishment of a public web-site with information about Inle Lake and the ILMA;
- Contribute to the project's communications and outreach efforts, including inputs to development of a communication strategy and lessons learned by the Project such as stakeholder involvement in the Inle Lake decision making process and/or sustainable sources of financing developed by the project.

Key Results & Deliverables: With the support of the project team, the Senior Technical Advisor will be responsible for the achievement of the following key results:

1. Establishment and operationalization of the Inle Lake Management Authority Secretariat in Nyaung Shwe, Shan State
2. Establishment of the Inle Lake Management Authority consultation mechanism, ensuring representation and participation by key stakeholders
3. Provision of technical assistance to the Shan State Government and the Inle Lake Management Authority and to ensure a consultative and participatory Inle Lake Law development process
4. Provision of technical assistance to the Inle Lake Management Authority to establish processes and procedures to ensure that the Inle Lake Trust Fund is managed and utilized in a transparent, accountable and efficient manner
5. Increased communications and dissemination of public information about Inle Lake conservation initiatives

