

PROJECT DOCUMENT
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Project Title: Local community participation in sustainable agriculture and biodiversity conservation for Lake Urmia Restoration

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

Project Number: 00114919

Implementing Partner: Conservation of Iranian Wetland Projects

Start Date: 1 Mar 2019

End Date: 28 Feb 2020

PAC Meeting date: N/A

Brief Description
<p>Iran enjoys diverse climatic conditions and rich aquatic and terrestrial biodiversity and ecosystems, but these environmental and biodiversity resources have been under pressure of human development for decades, with evident impacts throughout the country.</p> <p>Given their fairly easily accessible water resources, wetlands are among the most fragile ecosystems that often lose the battle to extensive development activities and suffer from rivalry resulted by water limitation. This pressure is borne by a number of Iranian wetlands across the 83 protected areas and 24 Ramsar sites leading to considerable shrinkage of wetlands and even drying out of some major wetlands with direct serious impacts on the biodiversity and local communities' livelihoods.</p> <p>Lake Urmia (LU) is one of these important wetlands located in North-Western Iran; a vast hyper-saline wetland and at the same time a National Park, a collection of Ramsar Sites, UNESCO Biosphere Reserve and the largest inland lake in Iran. The lake and its' islands host populations of IUCN red listed endangered species including Persian Fallow Deer and Mouflon. and a number of other biodiversity species including 115 birds as well as 120 plant species.</p> <p>The lake also plays an important role in supporting the livelihoods of the surrounding local communities. More than 5 million inhabitants live in the basin and threats of drying lake will have tremendous impacts on their daily livelihoods.</p> <p>Due to competition among many development sectors over using the water resources of the lake basin, more than 75% of the total 5000 Km2 surface area of the lake have been lost during the last decade. Recent droughts have also exacerbated this situation, threatening the Lake Urmia to turn into an irreversible situation with impacts on biodiversity & socio-economics dimensions, including livelihood and health of the surrounding communities. This has also resulted in gradual increase of soil salinity and unsustainability of the agriculture in the entire basin.</p> <p>Recently, new insights into the restoration of Lake Urmia by different stakeholders such as Urmia Lake Restoration Programme, CIWP, DoE, MoJA, MoE stabilized the lake situation to some extent. The latest information from LU monitoring stations in late 2018 show the water level of the Lake as 1270.24 meters with an area of 1681.33 km2 which shows an improvement to the situation of the lake in 2014. While still a lot of effort should be done for restoring the lake to its optimum ecological situation with water level of 1274.1 meters. The Integrated Management Plan of LU basin developed under Conservation of Iranian Wetlands Project (CIWP) adopted by the cabinet in 2008, contains a set of priority activities under each thematic objective. Furthermore, the cabinet also adopted a list of urgent actions based on the MP with clear responsibilities assigned to each authority for the restoration of the lake. The "wise use of land and water resources including agriculture water saving", "urgent biodiversity conservation" and "awareness raising" are among the priority areas.</p> <p>The previous 5 phases of the project granted by the government of Japan since 2014, were designed based on the fact that more than 80% of the whole basin water is used by agriculture sector with a rather low-efficiency rate. Hence the great potential for water saving in the area releasing more</p>

releasing more water discharge to the lake was considered. this was also informed by the dependency of the majority of the basin communities on the agricultural practices for their livelihood, justifying their participation in LU restoration. Under the previous grants, intersectoral cooperation and local community participation has been practiced at LU basin under which Sustainable Agriculture Techniques, water-friendly livelihood, women micro-credit funds, etc. have been implemented and established in 130 villages located in LU ecological zone and welcomed by more than 11000 local people. The water-saving percentage varies from a maximum of 68% for some crops and a minimum of 26% water saving for the wheat crop, and a total average of 35%. The use of agricultural chemical inputs (Fertilizers and Pesticides) also shows an average of 40% decrease. During this period, the 250 Government staff as well as 220 local experts (mainly in the form of local cooperatives) who were trained on socio-economic and technical aspects of Sustainable Agriculture and intersectoral cooperation stayed engaged in the project pilot sites and played the role of resource persons to scale-up the approach at basin level. Besides, 170,000 local communities were targeted in the awareness-raising campaign and 900 local communities, among which 250 were women, were empowered by applying new tools and mechanisms including "Women Micro-credit Funds", "water-friendly Livelihoods" and "Local Water Management Networks".

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

The proposal targets upscaling the project methods to 20 new villages while institutionalizing Sustainable Agriculture practices in the existing 130 villages initiated during 2014-2018 as well as applying new tools and mechanisms as complementary elements to sustainable agriculture. This phase will also focus on preparation of a big picture and its future roadmap to enable consolidation, integration and institutionalization of what has been achieved to date for further upscaling of the project to the basin.

Contributing Outcome (UNDAF/CPD):

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

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

Indicative Output(s):

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

UNDP Strategic Plan (2018-2021):

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

Total resources required:	892,857 USD	
Total resources allocated:	UNDP TRAC:	-
	Donor:	892,857
	Government:	-
	In-Kind:	-
Unfunded:		

Agreed by (signatures):

UNDP	Implementing Partner
<p>DocuSigned by:</p> <p><i>Ramakrishnan C Iyer</i></p> <p>F221E0EDE4F94B2</p> <p>UNDP Resident Representative</p> <p>May-13-2019</p>	<p>Mr. Hamid Zohrabi</p> <p><i>[Signature]</i></p> <p>Deputy of Natural Environment - Department of Environment</p>
Date:	Date:

I. DEVELOPMENT CHALLENGE

Water limitation normally leads to water allocation rivalry and natural ecosystems & initially wetlands usually suffer when in competition with development. Challenges in the management of Iran's wetlands have been exacerbated by unsustainable use of water resources, persistent droughts and climate changes. As a result of this situation a number of Iranian wetlands across the 83 protected areas and 24 Ramsar sites are currently under pressure. These combined impacts have led to considerable shrinkage of wetlands, and in some parts of the country, major wetlands are entirely dried out, with serious impacts on biodiversity and local communities' livelihoods.

Lake Urmia (LU) is a vast hyper-saline wetland in the NW of Iran. The Lake is a National Park, Ramsar Sites, UNESCO Biosphere Reserve, and is the largest inland lake in Iran. There are about 100 islands in the lake; the three bigger ones are supporting populations of IUCN red listed endangered species of Persian Fallow Deer and Mouflon as a vulnerable species. The wetland also supports a number of other biodiversity species including 115 birds as well as 120 plant species.

The lake has several other functions supporting local communities' livelihoods to settle in the surrounding areas. There are more than 5 million inhabitants living in the basin and threats of drying lake will have tremendous impacts on their daily livelihoods.

The lake shrank at an alarming rate which has led to the drying of more than 75% of its total 5000 Km² surface area during last decade. The underlying problem was a range of users regularly extract water from the basin that feeds the lake. Add to this a recent drought, and, as a result, the water levels kept declining. Thus, Lake Urmia faced a sudden threat of turning into irreversible situation where the dimension of its impacts gradually spread from biodiversity dimension into socioeconomics where livelihood and health of the surrounding communities seriously affected. This gradually increased soil salinity and contributed to making the agriculture of the entire basin unsustainable.

Recently, new insights into the restoration of Lake Urmia by different stakeholders such as Urmia Lake Restoration Programme, CIWP, DoE, MoJA, MoE stabilized the lake situation to some extent. The latest information from LU monitoring stations in late 2018 show the water level of the Lake as 1270.24 meters with an area of 1681.33 km² which shows an improvement to the situation of the lake in 2014. While still a lot of effort should be done for restoring the lake to its optimum ecological situation with water level of 1274.1 meters.

II. STRATEGY

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

At this phase of the project this is very important to integrate all project aspects in order to develop a larger picture of the activities which are taking place in different areas such as sustainable agriculture, livelihoods, biodiversity conservation, etc. This would help to detect the area of activities where more focus and emphasis is needed based on the priorities of local communities.

At the same time capacity building and training would continue at this phase to have the optimum participation of representatives from other organizations and related stakeholders possible to achieve the goals.

UNDP in close cooperation with related government authorities works through area-based and integrated bottom up approaches and through that we aim to mainstream and institutionalize best practices to adapt to current statues of Lake Urmia including climate change in policy, decision making and implementation including by:

- Providing a practical platform for more inclusive governance structures among all stakeholders
- Engaging local community within decision making and decision taking mechanism through participatory approaches
- Introducing good practices of NGOs and private sector partnership in conservation activities
- Reducing vulnerability of rural and agricultural communities to climate change through sustainable alternative livelihoods;

Moving towards the right direction in the participation spectrum and full engagement of people in participatory-development needs enough attention and resources. Neglecting this issue in any stage of the process could lead to loss of stakeholders' participation and moving in opposite direction of the spectrum. This project attempts to apply the modelling of local communities' participation in the process of Lake Urmia restoration.

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

Since this is the 6th phase of the project another very important issue is up-scaling the project activities at the basin and national levels and encouraging stakeholders at respective organizations for incorporating these activities in their annual budget plans. Experience exchange at national and international levels are also a part of the project strategy for this phase.

Conformance with national and international targets

The strategies outlined hereafter are in line with the national macro-policies for environment endorsed by the I.R. Iran's Supreme Leader and addressed in national development plans. These include increasing legal capacities and capabilities and following the people's partnership approach in the management of natural resources (1); the protection of wildlife and genetic resources, legal limitations to their exploitation and the management of sensitive and valuable ecosystems (6); the optimization of scientific research and the use of both, domestic experiences and innovative technologies to maintain the balance of living habitats and

prevent their destruction (13); and finally, targeted international cooperation in the environmental field (15).

Also, the 6th national development plan entails several sections which are directly and indirectly related to project outputs and it provides a good basis for further linkages of planned and ongoing project activities with resources at the national level. Section S, Article 38 of The Law of the 6th Five-Year Development Plan of the Islamic Republic of Iran which reads “ Develop and implement through the Department of Environment, the Action Plan for Conservation and Management of the four environmentally protected areas and the Endangered Species of the Wildlife of the country, with an approach of utilizing volunteering capacities and participation of natural and legal entities, with priority assigned to local communities and NGOs.”, is the most relevant item. Sections C,D, I, J, N and O of Article 38 and section A of Article 27, Section H of Article 31 and Section J of Article 33 are indirectly linked to project activities. These sections cover the topics of rural development in Wetland ecosystems, addressing drought and climate change impact on the ecosystems.

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

III. RESULTS AND PARTNERSHIPS

Expected Results

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

Results of initial sustainable agriculture piloted in the area back in 2011 as well as a current project supported by the government of Japan, demonstrated by CIWP in close cooperation with the government and good public participation revealed that applying participatory sustainable agriculture

will not only decrease water use by average but also would reduce chemical uses tremendously. At the same time farmers, net income has increased due to increase in yield observed at treatment farms. Considering the promising results of this practice demonstrated in a few locations in Iran as well as 130 villages in 11 focal areas at Lake Urmia basin.

The phase VI of the project would effectively contribute in the restoration of Lake Urmia through integration and consolidation of different aspects of the project at the same time, activating implementation structures of Integrated Management Plans of satellite wetlands would also result in synergy among related sectors.

The proposal is targeting to out-scale project to 20 new villages while institutionalizing Sustainable Agriculture practices in 130 villages initiated in previous phases, Up-scaling sustainable agriculture and livelihood activities in Lake Urmia basin and national level, as well as applying new tools and mechanisms as complementary elements to sustainable agriculture. This phase will also involve sharing with a wide audience at basin level, the lessons learnt from Sustainable Agriculture as well as “public participation in livelihoods less dependent to water resources”, “micro-credit funds”, “payment for ecosystem services” and “conservation of LU habitats”. The focus of this project is on LU ecological zone, containing 250 villages as LU most important buffer zone. Therefore, by its 6th year, the project will cover 150 out of 250 villages located in the LU ecological zone with the aim of covering all 250 villages in this zone in the coming years. Establishment of Sustainable Agriculture in LU ecological zone could guaranty the up-scaling and its establishment in the entire LU basin.

Resources Required to Achieve the Expected Results

- Allocation of budget for up-scaling of the project by MOJA and LURP is very important.
- The budget for this project (a special component of the CIWP – Scale Up project) will be provided by the Government of Japan while the Government of Iran provides parallel cash and in-kind resources.
- As per the previous phases of the project, DoE, MOJA and other related government agancies shall also continue to provide in-kind contributions at the national level including personnel, particularly NPD, office space, utilities, and maintenance etc. In addition, Main personnel and infrastructure required at the provincial and local level will be provided through in-kind contributions by provincial and local DoE authorities.
- Moreover, UNDP staff time from the Iran Country Office has been adequately estimated, costed and included in the project budget under the Direct Project Costing item. UNDP management support at the country, regional and headquarter level has also been captured in the General Management Services item of the project budget.
- Additional tools, consultancy and staffing requirements in both the Project Office in DoE and UNDP will be assessed and considered on an ongoing basis during project implementation and if needed, necessary funds will be sourced from the project budget.
- The handling procedures of interest income and unspent balance are in line with the policies and procedures of Japan-UNDP partnership fund.
- UNDP Country Office will submit a written request to the Government of Japan for the prior approval in case the re-deployment of funds between approved project budget components is required; if more than 20% increase or decrease is expected.
- Project implementation requires close partnership with national, provincial and local MoJA, DoE and MoE has very well been established during previous phases (I to V) of SA project

- Personnel and infrastructures required at the national level will be provided by CIWP project staff and UNDP staff
- Personnel and infrastructures required at the local level will be provided by CIWP, provincial/local MoJA, DoE and Regional Water Authorities as well as NGOs and private sector
- In order to convey the experience of LU to other wetland basins in the country, financial and human resources should be provided by the provinces.

Partnerships

Existing local/regional/national stakeholder partnerships including Ministry of Jihad-Agriculture (main partner in implementation of the project), Department of Environment (project coordination and facilitation), Ministry of Energy (collaborating partner of the project), Private local companies and local communities on the basis of institutional arrangements and capacities built for inter-sectoral management of the Wetlands project would be available for implementation of this proposal. One MOU was also signed with Academic Centre for Education, Culture and Research (Jihad Daneshgahi) on supporting livelihood and micro-credit funds activities. There is also a close collaboration with Lake Urmia Restoration Program (LURP) in planning and financial support of the project. Another potential partner of the project which will be approached at this phase is JICA.

The Project governance will be assured through the continuation of the inter-sectoral CIWP Project Steering Committee, which is chaired by DOE with UNDP as a full member and will meet twice each year and at the regional level Lake Urmia Regional Council, would also be engaged.

Project in its 6th phase will continue the support for a strong partnership among stakeholders considering below lessons learnt:

- ✓ Bottom-up approaches applied in the planning and implementation of the SA project makes designed activities more relevant to the needs of local communities and guarantees their support. The above-mentioned approach will be continued and even enhanced during the 6th phase of SA project.
- ✓ The project has provided considerable awareness raising, capacity building and support for local women including livelihood initiatives which are less dependent on water resources and micro-credit funds. Involving women in the process of LU restoration is proved to be a necessity and would be continued during the 6th phase of the project, applying the best practices achieved and the lessons learnt in the first 5 phases of the project.
- ✓ Continuous capacity building for local partners as well as participatory project monitoring on a regular basis has proven to enhance the expected results both in technical and socio-economic aspects. This approach will be emphasized to be carried out in the 5th phase of the project to enhance the results to greater extends.
- ✓ Establishing a smooth atmosphere of the partnership was an added value which led to the mobilization of considerable national infrastructures and resources in the implementation of sustainable agriculture project.
- ✓ Inter-sectoral cooperation among government organizations supported by the project was very well practiced throughout the implementation of sustainable agriculture project. This approach led to the utilization of even more national resources in the implementation of the project. Therefore, the involvement of related national organizations in the next phase of the project will mobilize a considerable amount of national resources and utilize nationally existing infrastructures.

- ✓ Implementation of projects, utilizing national and international resources attracts more attention both at national and international levels which leads to mainstreaming the objectives of this project.

Risks and Assumptions

- ✓ Centralized and top-down decision making and leadership are institutionalized in some of the partner organizations which makes the establishment of participatory and bottom-up approaches in project implementation and management sometimes challenging to achieve. Besides, weak inter-sectoral collaboration among some of the key stakeholders including Ministry of Agriculture, Energy and the Environment has been very well dealt with during last years but still needs to be taken care of. Participatory decision making and planning at the national, provincial and local level will enhance bottom-up and inter-sectoral collaboration during project phase VI.
- ✓ Private sector and the NGOs are underdeveloped hence not being considered within decision-making processes by the government. Besides, lack of skilled human resources both in private and government sector are identified as project risks. To address the aforementioned risks, the necessary capacity building provided by the project during the last years has significantly improved local capacities and will be continued and even enhanced during project phase VI.
- ✓ Local/indigenous knowledge is not enough appreciated and local communities are not given the opportunity in decision makings and or participation in Lake Urmia restoration. The issue has significantly been improved during recent years in project pilot sites and the remaining needs will be addressed during project phase VI.
- ✓ Lack of timely allocation of the national budget has been properly addressed by project resources, mobilizing significant national funds allocated for project pilot sites.
- ✓ Models of local community participation in conservation activities are not existed nor tried in the country before this project. It has significantly been addressed and will be continued as the project main objective.

Stakeholder Engagement

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

Local communities living in villages located in Lake Urmia ecological zone are the main intended beneficiaries of the project. Besides, experts and engineers from the government (MoJA, DoE and Regional Water Authorities) and the private sector are also intended to be among the major beneficiaries of this project. Project undertakes participatory approaches such as Participatory Technology Development as its main strategy to identify and engage target groups. This strategy has been applied during the last 5 years of project implementation and is always localized and modified to best-fit project needs in terms of local community participation in LU restoration.

Knowledge

The project has already produced a series of documentary films showing the implementation process of sustainable agriculture techniques as well as promoting local community

participation in Lake Urmia restoration. Besides several brochures, a booklet documenting project best practices and lessons learnt has been produced and made available to the public for further up-scaling of sustainable agriculture in LU and even other wetland basins in Iran. All knowledge products have been freely available and distributed among interested target groups. The other very important resource which is a part of phase V plan is a construction of a monitoring web site in which all project activities and their results are reflected. In its VI phase, the project will continue collecting its best practices and lessons learnt and will properly document and make them available to all project stakeholders and target groups.

Sustainability, and Scaling Up/out

From the early stages of project implementation (2014) Ministry of Agriculture (MoJA) has been the major implementing partner of the project. Within the last 5 years of project implementation a comprehensive training and capacity building has been carried out for MoJA experts in East/West Azerbaijan preparing them to out-scale the project independently throughout the entire LU basin. Besides, the successful achievements of project implementation have now convinced LURP and MoJA high ranking officials at the national level to take sustainable agriculture as one of MoJA top priorities to be implemented and established in LU basin and probably the whole country. Partnering with MoJA as agriculture focal point in the country will further be enhanced and capacity building for government partners promoting local community participation in the establishment of SA in LU basin will further be improved during the 6th phase of project implementation ensuring sustainability, up-scaling and out-scaling as well as national ownership of the project.

IV. PROJECT MANAGEMENT (1/2 PAGES - 2 PAGES RECOMMENDED)

Cost Efficiency and Effectiveness

Project available resources during its previous phases (I to V) have mobilized significant national resources to achieve the maximum results. In its 6th year, the project will even mobilize more national resources as project approaches have been very well established within the national system. On the other hand, the capacity built for local Implementing Partners and cooperatives has made a very good synergy through which the maximum results could be achieved with available resources.

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

MoJA as the major partner of the project having offices, personnel and infrastructure in all project pilot sites has offered a very good contribution to project monitoring which has significantly maximized the results in previous phases of the project and will continue and even be enhanced applying the best practices and lessons learnt during phase VI of the project.

Project Management

The proposed project will be implemented as a special stand-alone component of the UNDP/ Government of Iran Conservation of Iranian Wetlands project Phase II (Up-scaling) already operational with the Department of Environment (DOE) as the implementing Partner under NIM

modality. All UNDP NIM modality requirements would be applicable to this project ensuring efficient implementation of it.

The CIWP project team would be responsible for facilitation of the process however new staff hired to coordinate and follow up project activities including 2 technical experts at national and two others at field level supported by Monitoring and Evaluation expert and Public Awareness and Communications expert. If required by the Implementing Partner (i.e. DOE, National Project Director of the wetlands project) more staff will be added to the team in the new phase.

V. RESULTS FRAMEWORK¹

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

Intended Outcome as stated in the UNDAF/Country [or Global/Regional] Programme Results and Resource Framework: UNDAF Outcome 1: Environment Output 1.1: Integrated natural resource management Responsible GOI agencies formulate, implement and monitor integrated natural resource management policies and programmes more effectively.						
Outcome indicators as stated in the Country Programme [or Global/Regional] Results and Resources Framework, including baseline and targets: CPD Outcome 1: Responsible government agencies formulate, implement and monitor integrated natural resource management, low carbon economy, and climate change policies and programmes more effectively						
Applicable Output(s) from the UNDP Strategic Plan: Outcome 1: Indicator Components - Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded						
Project title and Atlas Project Number: Local community participation in sustainable agriculture and biodiversity conservation for Lake Urmia Restoration, Atlas ID: 00114919						
EXPECTED OUTPUTS	OUTPUT INDICATORS ²	DATA SOURCE	BASELINE		TARGETS (by the frequency of data collection)	DATA COLLECTION METHODS & RISKS
			Value	Year	Year (2019-2020)	

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

Output 1 SA, water-friendly livelihood and Micro-credit Funds in LUB are integrated and institutionalized in previous pilot sites	1.1 Number of villages in which SA is embedded	MoJA – Local Implementing Partners, CIWP consultants	90	2014-18	MOJA continues SA activities in 110 pilot sites of previous phases	Field visits, participatory workshops
	1.2. Number of farmers' family members (women and youth) engaged in LU restoration and empowered	DoE, MoJA, CIWP, Implementing Partners	110	2014-18	Families (at least 150 women and 150 youth) of volunteer farmers of 15 pilots previously involved in SA are engaged in LU restoration and empowered	A Participatory workshop, CIWP consultants, Media and social media
	1.3. % increase of Public awareness among communities around the lake	DoE, MoJA, CIWP, consultants, RWA, Local NGOs and Implementing Partners	TBD	2014-18	15% increase level of awareness of stakeholders and the public regarding the role of public participation in restoration of LU	A Participatory workshop, CIWP consultants, Media and social media
Output 2 An Out-scaling integrated approach of SA, water-friendly livelihood/ micro-credit funds in selected pilots	2.1 Number of pilots in which SA, non-farm livelihood (water-friendly livelihood) and micro-credit funds are piloted in an integrated way	MoJA, Local Implementing Partners, DoE	0	2014-18	Integration of SA, non-farm livelihood (water-friendly livelihood) and micro-credit funds are piloted in 20 new villages	Meetings, field visits, workshops
	2.2 Number of local cooperatives/companies involved and empowered in project activities	MoJA – DoE – RWA - Local Implementing Partners	20	2014-18	30 local cooperatives/companies are involved and empowered in project activities	Meetings, field visits, workshops
	2.3 % of water saving in new pilot sites based on monitoring reports	MoJA – DoE – RWA - Local Implementing Partners	TBD	2019	At least 20% of saving in water consumption in pilot farms	Monitoring field visits and reports
Output 3 Institutionalize, consolidate and integrate	3.1. Number of new wetlands introduced to best practices	DoE, MoJA, CIWP, MFA, Local Implementing Partners	1	2014-18	The project best practices are identified and at least 2 of them are introduced and promoted at national and international levels	Meetings, Media and social networks, seminar

project results and achievements to up-scale project approach at the basin and National level	3.2. Number of knowledge sharing mechanisms established for presenting project achievements at provincial and national levels	DoE, MoJA, CIWP, Local NGOs and Implementing Partners	3	2014-18	1 knowledge sharing platform to provide access to project results and lessons learnt to wider audience	Meetings, Media and social networks, field visit, gathering
	3.3. The amount of allocated budget to SA, micro-credit funds and water-friendly livelihood by related organizations at provincial and national levels	DoE, MoJA, CIWP, RWA	TBD	2014-18	The project approach is adopted by related sectors at national and basin levels and at least 300,000 \$ will be allocated budget for upscaling	Meetings and Participatory Workshops, field visits
Output 4 Conservation of LU satellite wetlands ecosystem and biodiversity is supported through implementation of MPs and SA integrated approach	4.1 Number of functional management mechanisms and priority actions implemented for LU satellite wetlands MPs	DoE, MoJA, CIWP, consultants, RWA, Local NGOs and Implementing Partners	One management structures Two priority action	2014-18	At least 2 implementation mechanisms are established and 3 priority actions implemented for MPs	Meetings and Participatory Workshops, field visits
	4.2 number of PES schemes implemented	DoE, MoJA, CIWP, consultants, RWA, Local NGOs	1	2014-18	1 new PES scheme implemented	Meetings and Participatory Workshops with the local community and provincial entities, field visits
	4.3 Number of biodiversity conservation activities implemented	DoE, CIWP, consultants, , Local NGOs	2	2014-18	At least 2	
	4.4 Number of accomplished activities of CEPA plan	DoE, MoJA, CIWP, RWA, Local NGOs	2	2014-18	At least 3 main activities will be accomplished	Meetings and Participatory Workshops with the local community and provincial entities

VI. MONITORING AND EVALUATION

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

Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
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, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.		
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.		
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.		
Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.		
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.		

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 long with mitigation measures, and any evaluation or review reports prepared over the period.	Annually, and at the end of the project (final report)			
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.	Specify frequency (i.e., 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.		

VII. PROJECT WORK PLAN

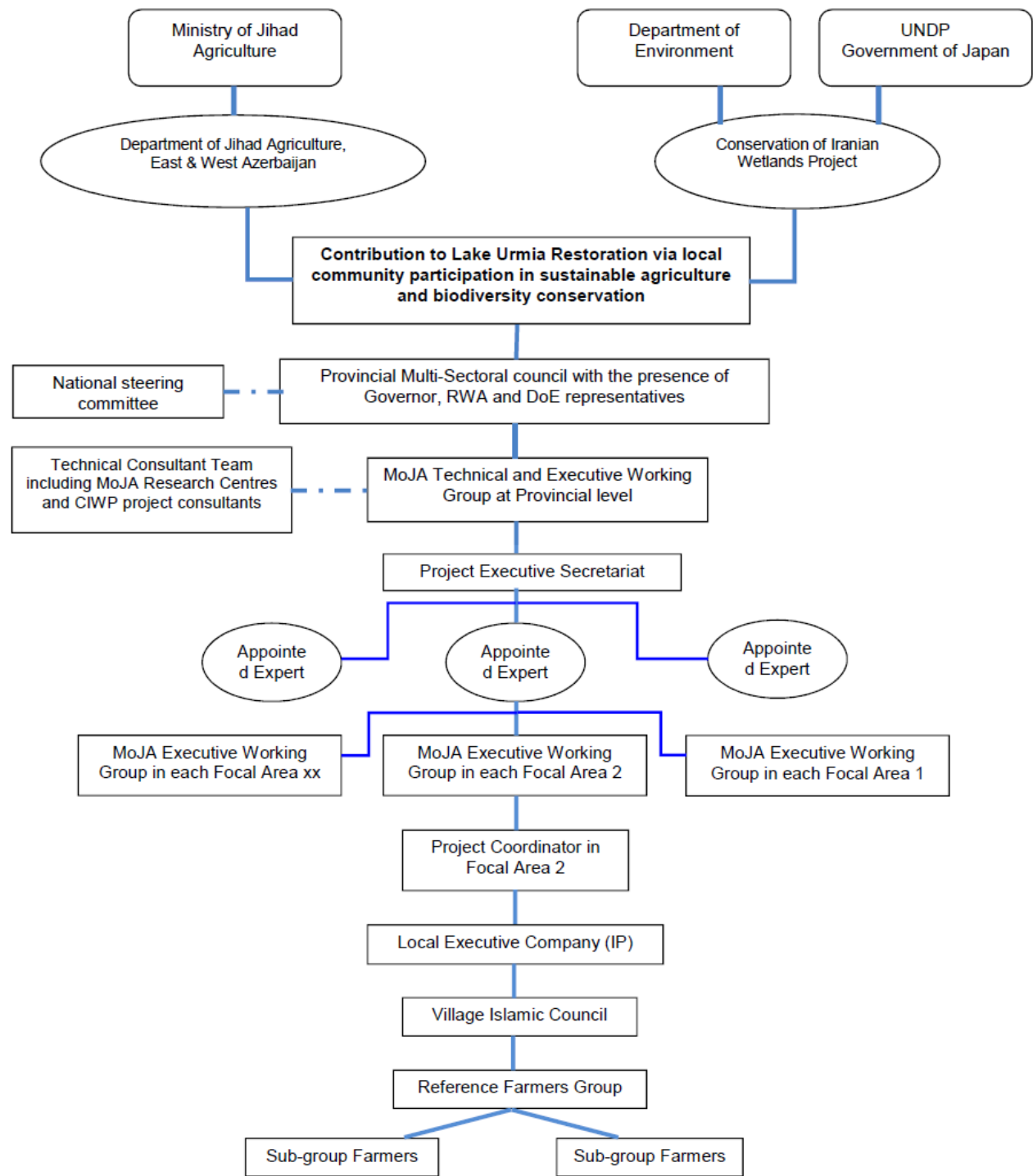
EXPECTED OUTPUTS	PLANNED ACTIVITIES	RESPONSIBLE PARTY	PLANNED BUDGET (USD)		
			Funding Source	Budget Description	Amount
Output 1 SA, water-friendly livelihood and Micro-credit Funds in LUB are integrated and institutionalized in previous pilot sites	1.1. Support embedding SA, in previous pilot sites	CIWP/DoE/MoJA/IP	Japan	71300: Local Consultants-staff/ 72100: Contractual Services - Companies/ 71600: Travel	200,000
	1.2. Conduct a comprehensive assessment of results and interrelated impacts of implementation of SA, water-friendly Livelihood and women Micro-Credit Funds in previous pilots	CIWP/DoE / MoJA	Japan	71300: Local Consultants / 71600: Travel	10,000
	1.3. Integrate results and processes of SA, water-friendly livelihoods and micro-credit schemes in previous pilot villages	DoE/MoJA /IP	Japan	71300: Local Consultants/ 72100: Contractual Services - Companies/ 71600: Travel	60,000
	1.4. Raise awareness and develop the capacity of stakeholders at all levels on impact of interrelated projects of SA, water-friendly livelihood and women micro-credit funds in previous pilot sites	CIWP/DoE /MoJA/IP	Japan	71300: Local Consultants-staff/ 72100: Contractual Services - Companies/ 71600: Travel	14,000
	1.5 Implement selected marketing channels based on priority actions of value chain assessment on SA pilot sites	CIWP/IP	Japan	71300: Local Consultants-staff/ 72100: Contractual Services – Companies	5,428.44
	Sub-Total for Output 1				289,428.44
Output 2 Out-scaling integrated approach of SA, water-friendly livelihood/women micro-credit funds in selected pilots	2.1. Capacity building to empower LU stakeholders including MoJA/ Executive Companies/ NGOs/ relevant organizations	CIWP/ IP	Japan	72100: Contractual Services – Companies	50,000
	2.2. Assess and update implementation methodology and identify local IPs based on elicited proposals	CIWP/DoE/MoJA /	Japan	71300: Local Consultants-Staff / 71600: Travel	5,000
	2.3. Implement SA, non-farm livelihood (water-friendly livelihood) and micro-credit funds in Lake Urmia basin based on past learning	DoE/MoJA /IP	Japan	72100: Contractual Services – Companies/ 71600: Travel	280,000

	2.4. Technical monitoring and evaluation of project results through expanding and using established monitoring and evaluation system	DoE/CIWP /University /Research centre	Japan	72100: Contractual Services - Companies	30,000
	2.5. Project coordination, monitoring, reporting and regular follow ups (includes office equipment, expenses and possible staff requirement)	CIWP	Japan	74200: Printing / 75700: Training / 72200: Equipment / 72400: Audio Visual / 72500: Supplies / 73400: Maintenance / 74100: Professional Services / 74500: Miscellaneous Expenses	13,000
	Sub-Total for Output 2				378,000
Output 3 Institutionalize, consolidate and integrate project results and achievements to up-scale project approach at basin and National level	3.1. Complete project larger picture and its future roadmap to enable consolidation, integration and institutionalization of what has been achieved to date	CIWP/ DoE/MoJA /IP	Japan	72100: Contractual Services – Companies /	20,000
	3.2. Introduce and promote best practices of project integrated approach at basin and national level	CIWP/ DoE/MoJA /IP	Japan	71300: Local Consultants-Staff / 71600: Travel/ 72100: Contractual Services – Companies	20,000
	3.3. Convey the experience of local community participation for restoration of LU to 2 other wetlands of international importance in the country	CIWP/ DoE/MoJA /IP	Japan	71600: Travel / 72100: Contractual Services – Companies	10,000
	3.4. International experience exchange on inter-sectoral cooperation and local communities' participation in restoration of Wetland Ecosystems	CIWP/DoE / MoJA/ IP/ JICA	Japan	71200: International Consultants / 72100: Contractual Services – Companies/ 71600: Travel/ 74200: Printing	12,000
	3.5. Develop a knowledge sharing platform to provide access to project results and lessons learnt to wider audience at local, national and international levels	CIWP/IP	Japan	72100: Contractual Services – Companies/ 71300: Local Consultants-Staff / 74200: Printing	5,000
	Sub-Total for Output 3				67,000
Output 4	4.1 Support MPs implementation of LU satellite wetlands through establishment of inter-sectoral management structures and implementation	CIWP/DoE /IP	Japan	72100: Contractual Services – Companies/ 71600: Travel/ 74200: Printing	15,000

Conservation of LU satellite wetlands biodiversity & ecosystem is supported through implementation of MPs and SA integrated approach	4.2. To implement payment for ecosystem services (PES) approach as a market-based mechanism, to encourage the conservation and restoration of LU via participation of local communities, private sector, Industrial sector and the government <ul style="list-style-type: none"> Capacity building for conservation and restoration of LU via participation of local communities, private sector, Industrial sector and the government Formation of at least 2 local groups to implement selected PES schemes Monitoring and evaluation of PES schemes 	CIWP/DoE / MoJA/IP	Japan	72100: Contractual Services – Companies/ 71300: Local Consultants-Staff / 71600: Travel	18,000
	4.3 Support implementation of Communication, Education, Awareness and Participation plan to provide better understanding of link between SA integrated approach and biodiversity conservation	CIWP/ IP	Japan	72100: Contractual Services – Companies/ 71300: Local Consultants-Staff / 71600: Travel/ 74200: Printing	5,265
	4.4. Implement conservation measures for habitat protection in at least 2 main LU satellite wetlands as LU biodiversity back-up ecosystems	CIWP/ DoE /IP	Japan	72100: Contractual Services – Companies/ 71600: Travel/	11,000
Sub-Total for Output 4					49,265
Total Outputs					783,693.44
DPC	DPC will be used to support organizational costs based on below categories: <ol style="list-style-type: none"> Programme Technical Support & Policy advisory services (40%) Technical Quality Assurance (8%) Operational services including processing Request for Direct Payments (RDPs), vendor creation, calculation and payment of DSA for project staff travel, purchase order creation and approval, procurement processes, etc. (26%) General Administrative Costs (26%) 	UNDP	Japan	64300: Services to projects - CO staff/ 74500: Services to projects -GOE	43,026
General Management Support		UNDP	Japan	75100: UNDP GMS	66,137.56
TOTAL					892,857

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The Project governance will be assured through a continuation of the inter-sectoral CIWP Project Steering Committee, which is chaired by DOE with UNDP as a full member and will meet twice each year and a national steering committee with 6-8 meetings per year. It will be implemented by UNDP under the ongoing CIWP – Phase III project.



IX. LEGAL CONTEXT AND RISK MANAGEMENT

[NOTE: The following section is required for all project documents, and contains the general provisions and alternative texts for the different types of implementation modalities for individual projects. Select one option from each the legal context and risk management standard clauses and include these in your project document under the Legal Context and Risk Management Standard Clauses headings]

LEGAL CONTEXT STANDARD CLAUSES

Option b. Where the country has NOT signed the [Standard Basic Assistance Agreement \(SBAA\)](#)

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

RISK MANAGEMENT STANDARD CLAUSES

Option a. Government Entity (NIM)

1. Consistent with the Article III of the SBAA *[or the Supplemental Provisions]*, the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP’s property in the Implementing Partner’s custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:
 - a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
 - b) assume all risks and liabilities related to the Implementing Partner’s security and the full implementation of the security plan.
2. UNDP reserves the right to verify whether such a plan is in place and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner’s obligations under this Project Document [and the Project Cooperation Agreement between UNDP and the Implementing Partner]³.
3. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml. This provision must be included in all sub-contracts or sub-agreements entered into under/further to this Project Document.
4. Consistent with UNDP’s Programme and Operations Policies and Procedures, social and environmental sustainability will be enhanced through the application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
5. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
6. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

³ Use bracketed text only when IP is an NGO/IGO

X. ANNEXES

1. Project Quality Assurance Report

2. **Social and Environmental Screening Template** [\[English\]](#)[\[French\]](#)[\[Spanish\]](#), including additional Social and Environmental Assessments or Management Plans as relevant. *(NOTE: The SES Screening is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences, preparation of communication materials, strengthening capacities of partners to participate in international negotiations and conferences, partnership coordination and management of networks, or global/regional projects with no country-level activities).*

3. **Risk Analysis.** Use the standard [Risk Log template](#). Please refer to the [Deliverable Description of the Risk Log](#) for instructions

4. **Capacity Assessment:** Results of capacity assessments of Implementing Partner (including HACT Micro Assessment)

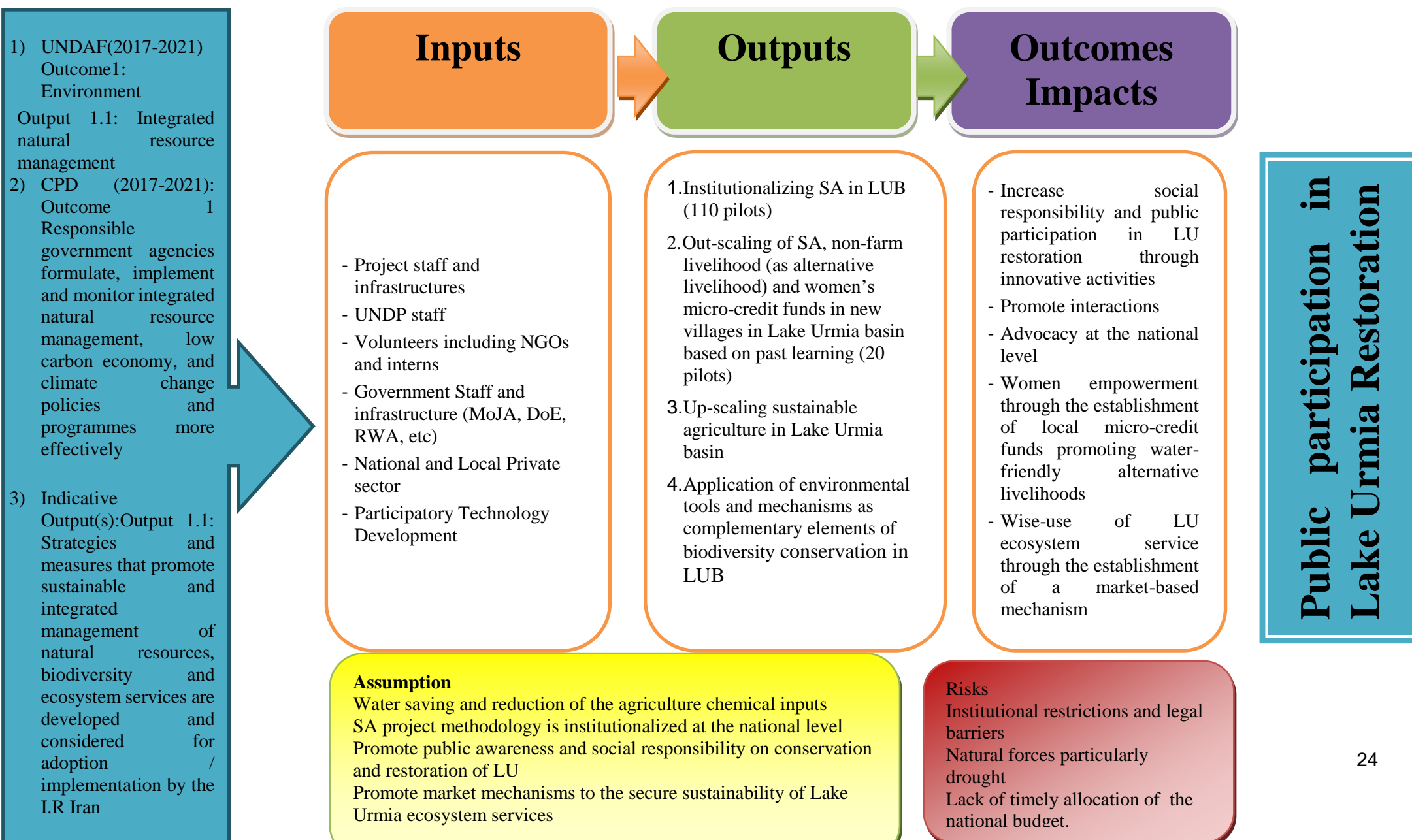
5. Project Board Terms of Reference and TORs of key management positions

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

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

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

6. Theory of Change



ANNEX 1

PROJECT QA ASSESSMENT: DESIGN AND APPRAISAL

OVERALL PROJECT

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

DECISION

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

RATING CRITERIA

STRATEGIC

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): <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><i>*Note: Management Action or strong management justification must be given for a score of 1</i></p>	3	2
	1	
	Evidence : Annex 6 of the project document	
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): <ul style="list-style-type: none"> • 3: The project responds to one of the three areas of development work⁴ as specified in the Strategic Plan; it addresses at least one of the proposed new and emerging areas⁵; 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	
	Evidence SP outcome1, output 1.1 as reflected in the project	

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

⁵ 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. 	document	
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>	<div>3</div> <div>2</div> <div>1</div> <div>Select (all) targeted groups: (drop-down)</div> <div>Evidence This has been addressed in Partnership and stakeholder engagement section of the Project document</div>	
<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>	<div>3</div> <div>2</div> <div>1</div> <div>Evidence This has been addressed in all section of project document specially project workplan outputs, strategy, knowledge and partnership</div>	
<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>) 	<div>3</div> <div>2</div> <div>1</div> <div>Evidence The previous years experience show that there are a number of opportun</div>	

<ul style="list-style-type: none"> • 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>	ities for women groups to benefit from the project activities . Women economic empowerment is incorporated in the project approach and will be followed during the project implementation.						
<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>*Note: Management Action or strong management justification must be given for a score of 1</p>		<table border="1"> <tr> <td>3</td> <td>2</td> </tr> <tr> <td colspan="2">1</td> </tr> <tr> <td colspan="2"> Evidence This mainly addressed in sustainability part of the project document </td> </tr> </table>	3	2	1		Evidence This mainly addressed in sustainability part of the project document
3	2						
1							
Evidence This mainly addressed in sustainability part of the project document							
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>*Note: Management action or strong management justification must be given for a score of 1</p>	<table border="1"> <tr> <td>3</td> <td>2</td> </tr> <tr> <td colspan="2">1</td> </tr> <tr> <td colspan="2"> Evidence Although the project is not directly targeting human rights objectives but project will build local capacities, established platforms for people's participation in the </td> </tr> </table>	3	2	1		Evidence Although the project is not directly targeting human rights objectives but project will build local capacities, established platforms for people's participation in the	
3	2						
1							
Evidence Although the project is not directly targeting human rights objectives but project will build local capacities, established platforms for people's participation in the							

	decision-making processes which are all in line with human-rights based approach
8. Did the project consider potential environmental opportunities and adverse impacts, applying a precautionary approach? (select from options 1-3 that best reflects this project):	3 2
<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>*Note: Management action or strong management justification must be given for a score of 1</p>	1
	Evidence As reflected in the project ultimate objective of project is contributing to restoration of Lake Urmia as a vital natural resource at national level
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.]	Yes No
	SESP Not Required
MANAGEMENT & MONITORING	
10. Does the project have a strong results framework? (select from options 1-3 that best reflects this project):	3 2
<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>*Note: Management Action or strong management justification must be given for a score of 1</p>	1
	Evidence The project has well designed results framework as reflected in the project document
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?	Yes No (3) (1)
	3 2
	1

<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 product lists the most important responsibilities of the project board, project director/manager and quality assurance roles. <i>(all must be true to select this option)</i> • 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><small>*Note: Management Action or strong management justification must be given for a score of 1</small></p>	<p>Evidence</p> <p>It has been reflected in Governance section of the project document and Annex 5</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><small>*Note: Management Action must be taken for a score of 1</small></p>	3	2
	<p>1</p> <p>Evidence</p> <p>The project risks are identified and and mitigation measures are reflected in the project document</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 other interventions; iii) through joint operations (e.g., monitoring or procurement) with other partners.</p>	Yes (3)	No (1)
<p>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?)</p>	Yes (3)	No (1)
<p>16. Is the budget justified and supported with valid estimates?</p> <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
	<p>1</p> <p>Evidence</p> <p>It has been fully addressed in project document</p>	
<p>17. Is the Country Office fully recovering the costs involved with project implementation?</p>	3	2
	<p>1</p>	

<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>	Evidence Yes it has been fully reflected in DPC line of project	
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
	1	
	Evidence Iran is not a HACT compliant country and all projects are being managed under special NIM arrangement where no fund is advanced to the implementing partner and UNDP transfers payments directly to the vendors/contractors upon receiving confirmation as well as supporting documents from the IP	
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	3	1
	1	
	Evidence The project was developed based on earlier engagements of	

<p>and any constraints have been analysed and incorporated into the root cause analysis of the theory of change and the selection of project interventions.</p> <ul style="list-style-type: none"> • <u>1</u>: No evidence of engagement with marginalized and excluded populations that will be involved in the project during project design. No evidence that the views, rights and constraints of populations have been incorporated into the project. 	<p>all stakeholders while key ones were also engaged in the project development process directly</p>	
<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>	<p>Yes (3)</p>	<p>No (1)</p>
<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><small>*Note: Management Action or strong management justification must be given for a score of “no”</small></p>	<p>Yes (3)</p>	<p>No (1)</p>
	<p>Evidence The project targets women empowerment in some of the key activities but it does not include women element as GEN3 or 2 in all outputs</p>	
<p>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"> • <u>3</u>: 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. • <u>2</u>: The project has a work plan & budget covering the duration of the project at the output level. • <u>1</u>: The project does not yet have a work plan & budget covering the duration of the project. 	<p>3</p>	<p>2</p>
	<p>1</p> <p>Evidence The workplan in in project document</p>	
<p>SUSTAINABILITY & NATIONAL OWNERSHIP</p>		
<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"> • <u>3</u>: National partners have full ownership of the project and led the process of the development of the project jointly with UNDP. • <u>2</u>: The project has been developed by UNDP in close consultation with national partners. • <u>1</u>: The project has been developed by UNDP with limited or no engagement with national partners. 	<p>3</p>	<p>2</p>
	<p>1</p> <p>Evidence Project future activities and result shared with project board and partner which has been reflected in</p>	

	project document	
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): <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	
	Evidence Within project previous phases and current project document there is a special focus on capacity development for different stakeholders	
25. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.) to the extent possible?	Yes (3)	No (1)
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)

ANNEX 2 SOCIAL AND ENVIRONMENTAL SCREENING

Project Information

Project Information	
1. Project Title	Local community participation in sustainable agriculture and biodiversity conservation for Lake Urmia Restoration (Special component of UNDP's Conservation of Iranian Wetlands Project)
2. Project Number	00114919
3. Location (Global/Region/Country)	Iran

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

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

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

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

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

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

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

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

Part B. Identifying and Managing Social and Environmental Risks

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

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

Final Sign Off

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

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

SESP Attachment 1. Social and Environmental Risk Screening Checklist

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? ⁶	No
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	No
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	No
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
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
4.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	No
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?	No

⁶ 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.

	<i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	No
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	No
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant ⁷ 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

⁷ 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.]

3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
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
5.3	Is there a risk that the Project would lead to forced evictions? ⁸	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)?	No
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)? <i>If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i>	No
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No

⁸ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
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

Annex 3

OFFLINE RISK LOG

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

Project Title: Local community participation in sustainable agriculture and biodiversity conservation for Lake Urmia Restoration (Special component of UNDP's Conservation of Iranian Wetlands Project)	Award ID:	Date: 16012017
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#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
1	Centralized and top-down decision making and leadership is institutionalized in some of partner organizations	Jan 2017	Environmental Financial Operational Organizational Political Regulatory Strategic Other	establishment of participatory and bottom-up approaches in project implementation and management sometimes challenging to achieve P = 2 I = 2	Participatory decision making and planning at national, provincial and local level will enhance bottom-up and inter-sectoral collaboration during project phase (IV).	Project Team	Project Team		
2	lack of skilled human resources, especially in the area of participatory	Jan 2017	Environmental Financial Operational Organizational Political Regulatory	Process of engaging local community and authorities within the process may take	necessary capacity building provided by the project during last 3 phases has significantly	Project Team	Project Team		

	approaches and targeted community mobilization, both in private and government sector are identified as project risks		Strategic Other	longer than predicted in workplan P = 1 I = 2	improved local capacities and will be continued and even enhanced during project phase (IV).				
3	Lack of timely allocation of the national budget	Jan 2017	Environmental Financial Operational Organizational	This may affect smooth running of the project in some pilot sites P = 3 I = 3	The project team will address it by mobilizing new resources for project pilot sites from national budget	Project Team	Project Team		