

United Nations Development Programme



PROJECT DOCUMENT

Regional Project – Azerbaijan, Kazakhstan, Iran, Turkmenistan

Project Title: Addressing Marine Litter and Marine Plastics – A Systemic Approach in the Caspian Sea
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Implementing Partner: UNDP (Istanbul Regional Hub for Europe and the CIS)
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Brief Description

Marine litter, including plastic and microplastics, represent one of the main pressures to marine and coastal environments. Significant efforts are ongoing at national, regional and global levels aiming at preventing and reducing their generation. Despite these articulated efforts the problem of marine litter is persisting and strengthened actions are required to be taken at all levels and across sectors.

The project aims to improve the management of the land-based sources of pollution that are likely to affect the marine environment of the Caspian Sea. This will be achieved through a comprehensive data collection and analysis by all the Caspian Sea countries on main sources, pathways and hotspots of marine litter subsequent amendments of the policy and regulatory frameworks on waste management, active promotion of a circular economy/life-cycle approach, carrying out investments in waste management as well as strengthening sustainable consumption and production patterns, including changing behavioural consumer, ranging from one-off behaviours, e.g. purchasing reusable cups, to habitual behaviours, e.g. reusing items such as shopping bags. Marine litter is a transboundary, national and regional problem that needs to be addressed. Therefore the project will have both regional and national activities.

The main outputs of the project are expected to: i) provide comprehensive information and data on marine litter in the Caspian Sea; ii) improve policy and regulatory frameworks on waste management; iii) enhance circular economy to improve plastic management; iv) contribute to the preliminary investments in waste management, v) empowering local communities and enterprises, and vi) strengthening stakeholder communication and awareness raising on plastic pollution in the region.

The project will also consolidate efforts with already in place actions of the Caspian littoral countries towards better waste management. It will furthermore be built upon the previous work of the Caspian littoral countries under the Tehran Convention, in particular the Protocol on Land-based Source of Pollution and the outcomes of Strategic Convention Action Programme. The project will take into account the similar experience in addressing marine litter in neighbouring seas, such as the Black Sea and Mediterranean Sea, it will also aim to promote the creation of cooperation mechanisms with Bucharest and Barcelona Conventions.

Contributing Outcome (RPD): OUTCOME #3: Resilience Built to Respond to Systemic Uncertainty and Risk Indicative Output(s) with gender marker: Output 3.4: Natural resources protected and managed to enhance sustainable productivity and livelihoods (SP Output 4.1) Gender Marker: 1/2	Total resources required:	\$4,039,200 (\$3,999,208)	
	Total resources allocated: \$3,179,400	UNDP TRAC:	-
		Donor ¹ :	\$4,039,200
		Government:	
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¹ Total donor allocation \$4,039,200 includes project coordination levy.

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I. DEVELOPMENT CHALLENGE

The Caspian Sea is the largest water body on the Planet which is not connected with the World Ocean and located on the southern border of Asia and Europe. Due to its size, natural conditions and the complexity of hydrological processes the Caspian is classed as a closed inland sea. It occupies a vast

Number of population in the Caspian Sea region per cities and administrative units



depression area in the Earth's crust. The Caspian Sea level is currently 27 m below the mean sea level (MSL). In these conditions, the entire territory of the Caspian Sea covers more than 390 thousand km², volume of water is about 78 thousand km³, average depth is 208 m, and the greatest depth of the Sea reaches 1025 m. From North to South the Caspian Sea stretches for 1030 km, with a width of 200 to 400 km.

The five littoral states – Republic of Azerbaijan, Islamic Republic of Iran; Republic of Kazakhstan, Russian Federation, Turkmenistan - have highly uneven population densities surrounding the Caspian Sea. Some regions have high population levels, such as large urban centres like Baku, and others are sparsely populated. The general population distribution along the Caspian costs concentrates around the major urban centres like Absheron Peninsula (Baku), Astrakhan, Makhachkala, and many towns along the south coast of the Caspian Sea, with very small populations in the rural areas along the northern and eastern coasts.

Marine litter (ML) is a new and emerging concern to all Caspian littoral states. Despite its importance, the data on the amount, levels or impacts of ML in the region are very sparse. The pollution of the world's seas and oceans with

marine litter today is considered one of the major global environmental concerns. Addressing marine pollution of all kinds is a key target of goal 14 of the UN Sustainable Development Goals (SDGs). At the UN Ocean Conference in June 2017, specifically convened to address SDG 14, member states agreed to urgently take action “to prevent and significantly reduce marine pollution, including marine debris, plastics and microplastics, [...] solid waste discharges, and [...] pollution from ships” and called for the implementation of long-term and robust strategies to that effect.

While addressing marine litter a special attention must be given to plastic waste. For the past 60 years plastic has brought economic, environmental and social advantages. However, the increase in use and the promotion of products as “disposable” have caused an exponential increase in the amount of plastic waste generated, which brings with it economic, environmental, health and social, including health issues. Coastal communities are facing increased expenditure on beach cleaning, public health and waste disposal. The tourism sector deals with loss of income and bad publicity. The shipping industry is impacted by higher costs associated with fouled propellers, damaged engines, removing litter and managing waste in harbours. The fishing industry faces reduced and lost catch, damaged nets and other fishing gear, fouled propellers and contamination, which also affects fish farming and coastal aquaculture.

Marine litter can also lead to loss of biodiversity and of ecosystem functions and services. For instance, discarded, lost, or abandoned fishing gear are continuing to fish and trap animals, entangling and potentially killing marine life, smothering habitat and acting as a hazard to navigation.

Toxins including DDT, BPA and pesticides adhere to microplastic that can be accidentally ingested by small aquatic life. Once ingested, the toxins bio-magnify as they move up the food chain, accumulating in birds, sea life and possibly humans. UNEP's 2021 report From Pollution to Solution warned that chemicals in microplastics "are associated with serious health impacts, especially in women". These can include changes to human genetics, brain development and respiration rates, among other health issues. Though it is still unknown how harmful microplastics are, the fact that they are present in the human body and even end up in the placenta and amniotic fluid of pregnant women is cause for concern, according to researchers.

Considering the above, vulnerable populations, such as the poor, elderly, women and less aware may be both affected but also contribute to the problem. On one hand the economic, social and health impact affects them the most, on the other hand issues such as no access to safe drinking water, waste management services, or low awareness may make them the contributors to the plastic waste generation. Women, still predominantly responsible for household food and goods supply, may therefore be considered as one of the agents for change in decreasing the use of plastics and its transformation to waste. Marine plastic litter is generated by both land-based and sea-based activities and requires a holistic approach.

Marine litter, micro and macro-litter from human made waste that is discharged into coastal or marine environments, is a largely ignored and an increasingly problematic issue for the Caspian region. The problem is growing in certain parts of the sea, and no regional action has been taken to address the problem. Marine litter can take a variety of forms, such as textile, rubber, metals and plastics. Sources of marine litter in the Caspian Sea originate from sources including urban waste management, coastal tourism, improperly disposed hazardous waste, fishing, and shipping as well as many others. It is reported that plastic items, including PET bottles and other single use plastic packaging are common items composing marine litter in the Caspian region. No reliable quantitative information is available on marine litter at the regional level although the reports do indicate high accumulation in a number of Hot Spots. National Reports further indicate that with the economic recovery in the region the marine litter is on the increase. Since data on marine litter is scarce, it is likely that the extent of marine litter is even greater than visual observation, and that sources such as illegal dumping from vessels might contribute significantly to marine litter (Caspian Environment Programme, 2009). **In order to fill the knowledge gap on the level of marine litter pollution on the Caspian Sea** an appropriate monitoring system should be established. It is expected that the current project would practically support the existing Caspian Regional Marine Litter Action Plan (CRMLAP) and the monitoring programme (reference). The project will also take into account progress of other regional seas in implementing relevant marine litter RAPs and will promote interregional collaboration on marine litter monitoring and assessment.

Most of the marine debris and litter appears to have been generated from land-based sources and are connected to specific activities in the region, however fisheries and shipping activity could also be an important source of marine litter pollution. Sources such as illegal dumping from ships could be making a significant contribution to marine pollution (Caspian Environment Programme [CEP] 2009). The 2019 State of the Environment report on the Caspian highlights the growing importance of ML and identifies tentative measures, including regulations on monitoring and management of ML, to address the problems.

Waste generation varies across the region. Although some countries may experience stagnant levels of waste generation there are others with increasing levels due to higher consumption patterns and increased urbanization as more people move to the cities. Marine litter hot spots in the Caspian Sea region appear to reflect the population distribution.

One of the major sources of marine litter is industrial waste that is linked to the overall regional economic development. The countries are generating immense amounts of industrial waste, which is partly linked

to the oil and gas sector in the Caspian Sea. A common practice of solid waste management is landfills which provide limited options for recycling valuable secondary materials. The landfills are reported to be overexploited, in poor technical conditions and not following sanitary epidemiological requirements; there is little waste being separated and recycled.

Kazakhstan is one of the world's largest producers of hazardous waste. Almost 100 per cent of the waste generated in the country is hazardous (Nugumanova et al. 2017). Some parts of the Caspian shore still suffer from industrial pollution accumulated as a result of oil and gas extraction. The consequences of such pollution are dispersed across more than 350,000 thousand ha of Mangystau Region, and the situation in Atyrau Region is similar (Republic of Kazakhstan 2014–2016). There are about 28 landfill sites for municipal solid waste in the districts bordering the Caspian Sea in Kazakhstan, only eight of which have licences or operational permits.

The Caspian region of the Russian Federation generates 1.7 million tons of industrial and municipal waste annually, including waste from the metallurgical, oil and gas, chemical, pharmaceutical, construction, textile, processing and other industries. This waste includes 30.2 tons of class 1 hazardous waste; 7,800 tons of class 2 hazardous waste; 39,900 tons of class 3 hazardous waste; 1.3 million tons of class 4 hazardous waste; and 320,200 tons of class 5 hazardous waste (Hazard Classes, GOST 12.1.007-76, 1976). The volume of municipal solid waste, which makes up the majority of production and consumer waste, produced in the Caspian region of the Russian Federation totals 1.3 million tons per year, of which 465,100 tons (33.8 per cent) is produced in coastal municipalities, with urban settlements accounting for 283,100 tons and rural areas for 182,000 tons.

In Russia as well as in other Caspian Sea countries, the main environmental problem regarding waste management is the use of landfills that do not meet the established requirements or other sites that are not intended for this purpose. One of the reasons for this issue is the lack of a sufficient number of special landfills for waste disposal. Wild or unauthorised dumping is also an issue in the region which leads to littering of the local terrestrial and marine ecosystems.

The countries are aware of the growing solid waste challenges served by outdated and inadequate infrastructure; therefore, waste management is set as a priority in Caspian countries. With emphasis on landfill management and waste-to-energy projects. In 2014, Kazakhstan kicked off a Solid Waste Management Program (National Report of Kazakhstan under TC) in Atyrau district with the aim of building 10 new landfills. Since 2012, an incinerator is serving Baku citizens and turning household waste into energy. With the help of the World Bank, Azerbaijan has supported the rehabilitation of the Balakhani landfill as well as the closure and remediation of 154 ha of wild dumps. In Russia, it is planned to establish 2 new special waste disposal sites in Astrakhan oblast and in Kalmykia. 4 landfills (all of them in the coastal areas) are also scheduled to be built in Dagestan in the near future. In Astrakhan oblast and Dagestan, there are plans to build twenty two waste sorting complexes, 8 of them will be located in the coastal areas. In all administrative districts of Kalmykia (including coastal district) it is planned to install waste-handling stations.

The region covers an area of just under 58,000 square kilometers and has a local population of less than 8 million people. The provinces of Gilan (appx. area of 20,000 square kilometers equivalent to 1.2% of Iran), Mazandaran (appx. area of 23,000 square kilometers equivalent to 1.5% of Iran), and Golestan (appx. area of 14,000 square kilometers equivalent to 0.9% of Iran) are ranked 18th, 21st and 29th among Iran's 31 provinces in terms of surface area. In other words, while the region consists of about 4% of Iran's surface area, it contains about 10% of the country's total population which results in a high population density.

The green landscape, the pleasant climate, the vicinity to the capital, and good access have made the Caspian Region a significant tourist destination. Millions of domestic travellers visit the Caspian provinces every year as tourists, exasperating the waste management system. During the new year holidays,

Mazandaran and Gilan are consistently ranked as top destinations, together exceeding 20 million visitor-days. The number of tourists heading to Golestan are considerably less, about a quarter to a third of Mazandaran's.

When considering the per-capita production of solid wastes in the region, one can divide the waste produced in rural areas by the population of the rural area (rural solid waste, RSW) or divide the waste in cities by their population (municipal solid waste, MSW). According to recent statistics, on a national level, the average MSW generation rate is 700 g/person/day and the average RSW generation rate is 440 g/person/day; when the entire population is considered (both RSW and MSW), the average amount of waste produced is approximately 630 g/person/day. In comparison, Gilan, Mazandaran, and Golestan produce 1,000 g/person/day, 900 g/person/day, and 610 g/person/day of MSW, respectively. Considering the RSW, the provinces respectively produce 820 g/person/day, 690 g/person/day and 540 g/person/day. This means that the residents and tourists of Gilan and Mazandaran are producing waste at significantly higher rates than the national average.

According to the Marine Litter Vital Graphics on the global scale the most common items, constituting over 80 per cent of the litter stranded on beaches are cigarette butts, bags, remains of fishing gear, and food and beverage containers. 90 per cent of the litter collected from sea floor trawls is made up of plastic (Derraik, 2002 and Galgani et al., 2015). Likewise, in the Caspian Sea plastic is the biggest share of marine litter; it is linked to both land-based and sea-based pollution sources. Further monitoring studies are needed to better understand major sources, pathways and accumulation areas of marine litter on the Caspian Sea, as well as to receive the information on top items, to identify corresponding measures that could be taken. It is also important at the same time to prevent and reduce plastic waste generation when and where it is possible, as well as to improve the waste management systems at national levels. The role of women, and their engagement, shall be considered in these efforts, since, as the primary users of waste management services at the household level and being engaged with various types of work in the waste sector, women have both knowledge and expertise. In order to effectively and sustainably address marine litter coordinated regional efforts by all Caspian littoral states are needed.

At the national level a specific relevant initiative, suggested by the President of Turkmenistan, is to create a new Caspian Environmental Programme on addressing solid waste, which was announced during the Caspian Economic Forum held in Turkmenbashi in August 2019 attended by the heads of all Caspian states.

Turkmenistan is already working and has experience on policy and regulatory area of waste management and awareness raising campaigns on waste collection and sorting within a Sustainable Cities Project. Specifically, the Ministry of Environment has developed a draft national strategy/concept for waste management. With the support of the UNDP CO, few pilot activities and awareness raising workshops have been conducted in Avaza National Touristic Zone in Turkmen Caspian shore for hotels management, staff, municipality and youth (students and school children).

At the regional level, the Framework (Tehran) Convention for the Protection of the Marine Environment of the Caspian Sea ratified by all Caspian states is the appropriate legal instrument for environmental cooperation in the Caspian Sea region. The Tehran Convention, under article 7, commits the Contracting Parties to take all appropriate measures to prevent, reduce and control pollution of the sea from land-based sources. The (Moscow) Protocol for the Protection of the Caspian Sea Against Pollution from Land-based Sources and Activities to the Framework Convention for the Protection of the Marine Environment of the Caspian Sea was adopted at the 3rd Meeting of Conference of the Parties to the Tehran Convention. The main objective of the Moscow Protocol, which entered into force in November 2023, is to prevent, control, reduce and to the maximum extent possible, eliminate pollution of the marine environment from land-based sources and activities in order to achieve and maintain an environmentally sound marine environment of the Caspian Sea (Art.1).

The Protocol covers the categories of substances, identified on the basis of their hazardous or otherwise harmful characteristics, including marine litter, which is defined as “any persistent manufactured or processed solid material which is discarded, disposed of, or abandoned”. Annex 1 of the Moscow Protocol stipulates that “priorities for action should be established relative importance of impacts upon marine and coastal ecosystems and resources, public health, socio-economic benefits, including cultural values (item 6 of the section B, Annex 1).

The draft Caspian Regional Marine Litter Action Plan (CRMLAP) was prepared in 2019-2020 and welcomed by the Contracting Parties at its 6th Meeting in Baku, Azerbaijan on 21 October 2022 by and contains 9 topics/sections and 86 actions. The Project components and main activities listed in the section D of the project proposal were prepared to support the implementation of the objectives of the CRMLAP and should be regarded as means of implementing the CRMLAP.

The Contracting Parties also created an Environmental Monitoring Program (COP3, Moscow, Russian Federation) as well as established a Working Group on Monitoring and Assessment as an advisory body to and under the auspices of the Secretariat of the Tehran Convention. In addition, a unified national reporting format and system, complemented by the environment status reporting, and the Caspian Environment Information Centre are used to ensure proper collection, analysis and exchange of environmental related information. The Conference of Contracting Parties meets every two years to review this information and provides instructions for future action. However, there is no available monitoring data on the marine litter pollution on the Caspian Sea as the national monitoring systems do not include marine litter information. There has been little research undertaken on marine litter and where information does exist, access is limited.

The Convention Secretariat is provided ad interim basis by the United Nations Environment Programme (UNEP) from its office in Geneva. The Secretariat supports the COP and the implementation of the Tehran Convention and its Protocols in organizational, administrative and technical matters. As such, it assists the littoral states in the preparation and servicing of the COPs and other regional meetings. The Secretariat oversees and promotes the implementation of the Decisions of the COP and contributes to the coordination with partners and donor organizations.

The Convention Secretariat enjoys access to and knowledge of UNEP, as the leading global environmental authority that sets the global environmental agenda, promotes the coherent implementation of the environmental dimension of sustainable development within the United Nations system, and serves as an authoritative advocate for the global environment. UNEP is also a leading agency in implementing the SDGs 14 “Life below Water”.

Funding for the work of and coordinated by the Convention Secretariat comes from the annual contributions of the Contracting Parties and additional sources of income and support from donor countries and institutions. For instance, while the framework and institutional setting for addressing marine litter issues is available, additional support and resources are needed to make the agreed intentions operational.

The project will use the information and lessons learnt from other regions work on marine litter (HELCOM, OSPAR, UNEP/MAP (Barcelona Convention) and Black Sea Commission (Bucharest Convention)), and will propose schemes to introduce marine litter indicators, baselines and assessments, in harmonised manner and based on the relevant best practices carried out in other sea basins.

II. STRATEGY

The project goal is to prevent and reduce and to an extent possible minimize marine litter in the Caspian Sea with special focus on marine plastics. This will be achieved through defining a regional action plan, amending the policy and regulatory frameworks on waste management, comprehensive promotion of a circular economy/life-cycle approach, reviewing the possibilities for or carrying out investments in waste management as well as sustainable consumption and production patterns in particular, by supporting behavioural consumers’ change. The project will support the Caspian Regional Marine Litter Action Plan (CRMLAP) (welcomed by COP6 in October 2022), by increasing capacity, knowledge and coordination between and within countries of the basin.

The issues to be addressed and the approach planned to be undertaken to address these, are presented in a Theory of Change (ToC – Annex 4.). The ToC identifies six main project outputs that are necessary to deliver the anticipated main project impact (strengthened socio-economic and ecosystem status from the reduction of marine litter inputs into the Caspian Sea).

The main outputs of the project are:

- Comprehensive information and data on marine litter in the Caspian Sea;
- Improved policy and regulatory frameworks on waste management;
- Enhanced circular economy to improve plastic management;
- Review possibilities for or facilitate preliminary investments in waste management;
- Empowered local communities and enterprises;
- Communication and awareness strategies;

The identified risks and assumptions are presented below and the key drivers to this intervention are considered to be: global concerns on marine litter and plastic pollution; impacts on environmental status, ecosystem services and possible implications on human health from plastic pollution and additives in plastics.

The project will consolidate efforts with already in place actions of the Caspian littoral countries towards better waste management. It will furthermore be built upon the previous work of the Caspian littoral countries under the Tehran Convention, in particular the Protocol on Land-based Source of Pollution and the outcomes of Strategic Convention Action Programme.

The project directly contributes to the Sustainable Development Goal (SDG)14 “Life below Water” target 14.1 “By 2025, prevent and significantly reduce marine pollution of all kinds, in particular from land-based activities, including marine debris and nutrient pollution”. The project also contributes to the Sustainable Development Goal (SDG) 11” Sustainable cities and communities” target 11.6 “By 2030, reduce the adverse per capita environmental impact of cities, including by paying special attention to air quality and municipal and other waste management” and the Sustainable Development Goal (SDG) 12” Responsible Consumption and Production” target 12.5 “By 2030, substantially reduce waste generation through prevention, reduction, recycling and reuse”.

Inception Phase

This Project’s inception phase will be critical to updating the priorities with regards to marine litter in the four countries and to ensure the available resources are sufficient to address the main issues. The inception phase will help to refine both the budget allocation and the key activities, and agree the final responsibilities of the UNDP COs and UNEP (Tehran Convention Secretariat) executing the main outputs. The inception phase will also need to review the draft Stakeholder Engagement Plan, Gender Strategy and SESP taking into account national activities.

III. RESULTS AND PARTNERSHIPS

Expected Results

The project activities will be clustered in six components. The components may be further elaborated following the initial inception phase of the project to reflect better the need to respond to national priorities and the available resources.

Component 1 Collection and assessment of information and data relevant to the Caspian marine litter.

Activities under this component will be aimed at obtaining comprehensive information on marine litter in the Caspian region. In order to understand the overall view of the marine litter issue and effectively address it in the following stages of the project's additional, and to the extent possible, gender-disaggregated data and information have to be gathered. The main objective of this component is to gather already existing information in a cohesive manner and further analyse it as well as support collection of the new data and information on marine litter, and its economic, environmental and health impacts, by relevant research institutions in Caspian countries. This will also help in filling the knowledge gaps as well as identify further scientific research. The knowledge and data gathered under this component will serve as the basis for an effective implementation of the subsequent components.

Activity 1.1 Inventories of land-based sources of pollution including comprehensive review of marine litter information in the Caspian Sea.

Under this activity, the following information will be collected:

- 1) Inventories of land-based sources of pollution (point sources; diffuse sources; pollution from other activities) along Annex 1 categories
- 2) quantitative information on the volume, distribution, composition, sources and pathways of the marine litter
- 3) information on the governmental institutional structures as well as key academic and non-governmental organizations addressing waste management and marine pollution issues in the Caspian littoral countries;

Activity 1.2 Identification further scientific research needs to address the gaps in knowledge.

Given the international experience as well as previous endeavours of the Caspian countries to address the land-based source of pollution including the marine litter issue, there is a significant gap in knowledge especially with regards to the economic damages associated with the marine litter impacts on the ecosystem, human health, recreational & leisure, agriculture and animal husbandry, fishery industry or navigation. A special focus will be put on the impact of plastic and microplastics and the needs for further research to identify means to address plastic pollution. Differentiated impact of plastic pollution on health and income generation on men and women, as well as women role in transition to circular economy shall be addressed in the research. It may be addressed as the cross-cutting issue in suggested research, or the research looking at this subject specifically may be conducted. Feasibility of such research, considering for instance the data availability, and its modality shall be discussed and potentially agreed on during the project inception phase. This activity will also identify means to enhance the cooperation between national research institutes within the Caspian Sea basin, sharing of monitoring and analysis techniques that will support peer-to-peer learning and exchanges.

Activity 1.3 Marine Plastics Value Chain mapping and hotspots identification.

As plastic is a major component of marine litter, special attention will be given to this material to reduce plastic pollution in the coastal zone of the Caspian Sea and Caspian marine environment. This activity will be undertaken to comprehend the life cycle of the most used plastic items with the purpose to increase the possibility of reusing or recycling them. It is also expected to draw international expertise on the policy, technology and awareness with reference to the identified value-chain hotspots.

Activity 1.4 Development of marine litter monitoring system/tools.

Under this activity, the Working Group on Monitoring and Assessment of the Tehran Convention will be tasked to develop a regional institutional and operational procedures for a marine litter environment monitoring system, including the existing networks of national monitoring institutions; comprehensive guidelines for data collection, including setting up the marine litter baselines for the Caspian Sea will be developed taking into account the experience of the other Regional Sea Conventions (RSCs) as well as the Caspian Sea regional context. Training and presentation on marine litter monitoring and assessment from other regions will be supported by the project that could lead to a long-term joint monitoring programme for the Caspian Sea. This activity will support relevant research institution cooperation and regional capacity development (linking with the Activity 1.2) on the methodologies and approaches to assess the impact of possible new policy decisions and practices and enhance capacity to assess the economic damages associated with the marine litter impacts on the ecosystem, human health etc (models, update tools/models) to ensure post-project sustainability.

Component 2 Policy, Legal and Regulatory Reforms. (UN Environment TC Secretariat)

A major enabler of any change is an information-based legal framework directed towards a more environmentally sound governance. For regulatory reforms to be beneficial, the regulatory regimes need to be transparent, coherent, and comprehensive, spanning from establishing the appropriate institutional framework to liberalising network industries, advocating and enforcing competition policy and law and opening external and internal markets to trade and investment.

The component will help to identify the need for an international binding instrument on plastic pollution, including in the marine environment, is expected to be finalized in November 2024 during the last session of the Intergovernmental Negotiating Committee (INC) on Plastic Pollution. This Component considers ways to support the participating countries in aligning their relevant policies, regulations, and legislation to be ready for changed international policy and legal environment regarding plastic pollution.

The component will also assist countries that are preparing policies to align it with the upcoming finalized document from the last session of INC on Plastic Pollution. Specifically in addressing issues such as plastic waste in terms of limiting the use of disposable plastic products, designing and producing products with limited use of plastic, regulations for hard-to-recycle plastics, etc.

Activity 2.1 Review of the national legislation related to pollution from Land-based Sources and Activities.

The project will provide assistance to the Caspian countries to review their legislation related to pollution from Land-based Sources and Activities. on both national and local level. In doing so, minimum requirements, based on existing best practices, will be used to maximize their effectiveness considering different local contexts. The project will propose solutions to bring the national legislation of the countries in line with the requirements of the Protocol for the Protection of the Caspian Sea against Pollution from Land-based Sources and Activities to the Tehran Convention, which entered into force in 2023. Suggested revisions will be in line with the sustainability and resilience development objectives. It is also envisaged to draw the technical support from the UNEP-administered Global Programme of Action (GPA) for the Protection of the Marine Environment from Land-Based Activities.

Activity 2.2 Supporting the development and approval of container deposit laws.

Under this activity, the project will directly assist the Caspian countries in the development of the container-deposit legislation to encourage recycling and complement existing curb-side recycling programs and reduce beverage container litter along the coastal zone, main rivers, and on other public or private properties likely affected the marine environment.

Activity 2.3 Supporting law enforcement to combat illegal dumping (where relevant to national authorities).

Illegal dumping is considered a major source of marine litter and waste management issues. It will be addressed by identifying/classifying sources and developing enforcement measures to combat illegal dumping in accordance with national and regional legislation. The following illegal practice in the Caspian region should be given a special attention: illegal landfills in proximity to the sea, illegal sewage disposal in the sea, illegal dumping in the coastal zone and rivers fluxing in the Sea littering on the beach and other leisure facilities located in proximity to the sea, as well as illegal, unreported and unregulated (IUU) fishing as source of discarded and abandoned nets. The project will support the measures on reclamation of existing landfills and prevention measures for establishing new landfills and dumps in the vicinity of the sea.

Activity 2.4 Promoting a ban on sales of plastic bags with recommendations on alternatives (where relevant).

Plastic shopping bags are made from high-density polyethylene (HDPE) plastic. Because this substance does not biodegrade, plastic bags can last up to 1,000 years in the environment. Apart from that, plastic bags are a common cause of clogged drainage systems, sewers, and waterways in many developing countries. Under this activity, the project will promote bans on the sales, manufacturing and import of plastic bags by, among others, developing case studies on scenarios of plastic bags free Caspian region, building the local movement in major cities, reaching out to the supermarkets and other retailers. In addition to promoting restrictions on the use of plastic bags, the project will explore economically viable alternatives that are less damaging to the environment. As a result of these activities countries will consider adoption of technical regulations or laws - on plastics, biodegradable bags and reduction in the use of single-use plastics, which will establish the basic requirements related to the import and sale of plastic bags, as well as biodegradable and compostable bags. The specific focus on monetary measures and the selective ban on certain types of plastic bags are likely to foster a cultural shift towards more sustainable consumption patterns and mitigate the adverse effects of plastic pollution in the Caspian Sea region with further future research focus on the implementation effectiveness and the law's impact on consumer behavior and marine ecosystems.

Within the project activities the Contracting Parties will review the regulatory framework for phasing out single-use plastic bags in their respective countries, collect and shortlist best practices, thoroughly assess the current regulatory national frameworks and provide technical support for the development of a related legislation, if needed, including for socio-economic implications.

Component 3 Improving management of the plastic waste in the coastal regions (UNDP)

Component 3 will focus on national initiatives to be developed further during the project inception phase under the guidance of the relevant UNDP COs. This will enable the response in each country to be reflected in the specific priorities of actions within this overall framework to identify management measures (based on international best practices and reflecting national concerns) to be implemented. Any proposed waste management options and technologies shall be screened against the UNDP Social and Environmental principles and standards.

During the inception phase the project will work with the countries to integrate the proposed activities with ongoing and planned national initiatives on waste management. For example, Kazakhstan recently approved financing of waste management projects, which includes building 37 new waste processing plants and modernizing eight existing ones and this initiation may provide the opportunity for cooperation in the Atyrau region.

Activity 3.1 Promote the separate collection of plastic waste in the coastal regions of the Caspian Sea.

The project will build on current and planned national initiatives to identify, develop and recommend for application, in consultation with national focal points and selected local authorities, cost-effective tools and means to raise awareness with stakeholders, (including waste collectors and local communities), to

generate support for identified approaches including implementation of “Adopt the Beach” or similar activities at selected sites. As mentioned above, women (organisations), in relation to household waste generation will be engaged as both, information sources and potential agents of change. Therefore, also schools and educational institutions, where women are predominately present would be also relevant stakeholders and participants under this activity.

Periodic clean-up actions of the selected beaches should be organized, based on the relevant guidelines and in line with the pertinent monitoring requirements, including the collection of information on types, quantities, weight and sources of marine litter items found on beaches. They will also undertake awareness campaigns, at national and at local levels on the issue of marine litter stranded at beaches and their effect on the marine and coastal environment.

Activity 3.2 Identification and support of innovative solutions for advanced sorting, chemical recycling and improved polymer.

The project will conduct an analysis and recommend options based on prevailing techniques and practices within the region and in other parts of the world. This will include identifying the cost effectiveness of using and applying them in the diverse locations and settings of the coastal areas of the Caspian Sea countries. The aim of this is to support the adoption of new approaches to sorting, recycling and the use of less environmentally damaging polymers for plastic products. Potential actions to deliver this activity could include:

- Analysis of the whole product value chain of the most common marine litter items; identifying of items which could be phased out or recycled;
- National and regional needs assessments and preparation of a concept or a project documentation or a feasibility study for a sorting or recycling facility;
- Supporting of the existing facilities (upgrade with new technologies, including training of staff) and recommendations on the establishment of new facilities;
- Site visits for selected experts to facilities in the region (study tours)
- Support to research and education (targeting technical sector of higher education)
- Assistance with identifying potential financing sources.

Activity 3.3 Development of Innovative approaches.

The project will be seeking to assist the countries to develop innovative science-based approaches and business models, or designing for sustainability, to help minimize plastic waste at source, as well as single use plastics, while achieving further economic, environmental and social benefits. To this end, an analysis of prevailing policies and practices within the region and in other parts of the world, including incentives for feasibility and applicability in the national and local context of the Caspian Sea countries will be conducted. It is envisaged to organize workshops to establish data collection networks, share monitoring methodologies, provide training, identify and select best practices, initiatives and start-ups.

In order to increase source segregation, incentives and regulations such as waiver of property taxes or similar fees as compensation for appropriate waste segregation will be suggested to be adopted. Such programs will be vital because the monetary value of the recycled wastes might not be enough to encourage citizens to participate in segregation programs, therefore such frameworks will provide added incentives. In addition, discourse regarding the full social costs of improper waste management (externalities) will be disseminated, in order to push for programs that allocate budgets beyond just the value of the waste materials. In other words, proper waste management and source segregation can be worth far more than the monetary value of the recovered materials, due to evasion of environmental burdens. Grassroots movements and non-governmental organizations (NGOs) will be aided in order to build social capital, spread localized programs, and facilitate communication channels with the governments for the exchange of ideas in order to improve and implement developmental projects.

Options that will be explored during the project inception phase include:

- Developing an accurate and reliable monitoring, data collection and storage system to assist with enforcing regulations.
- Improving guidance on landfill/dumps is the lowest hanging fruit and most important urgent issue to address. For this, the current state of dumps/landfills will be assessed in order to understand the extent of the problems. Solutions will be suggested such as preventing surface water and rain from entering the landfill as much as possible to reduce leachate production (for example via installing covers/caps); establishing sampling wells and groundwater monitoring systems upstream and downstream of landfills; constructing leachate collection, recycling, and treatment systems; improving operational processes such as the application of daily cover; ensuring the slope stability of the waste; and other innovative solutions for improving the dumpsite conditions. Guidance will be provided on leachate and gas collection and treatment. From an international perspective, the collection and treatment of landfill gasses will contribute to global climate change commitments.
- Guidelines will be reviewed and developed to be enforced for standard operation at disposal sites including regulations for compaction, slope stability considerations, and waste inspection procedures (to ensure that special wastes, agricultural wastes, soil and dirt, C&D wastes, and hazardous wastes do not enter urban landfills). The developed guidelines will then be taught to dump/landfill operators. Also, the health and safety of workers throughout the life-cycle, especially waste sorting and processing workers, will be promoted.
- Improving waste collection, transfer, and storage. Selecting and implementing the optimum waste collection solution (including recyclables) could include waste collection on specific days and specific schedules, using optimal routing for waste collection and positioning of bins, and using appropriate methods for washing, maintenance and repair of waste bins and vehicles. Improvements could also include the collection of household hazardous wastes separately, in order to ensure that chemicals (such as those in batteries) do not end up in the current waste dumps. Since waste collection is the most expensive link in the waste management cycle, optimizing the number, form, and placement of bins will reduce costs. An overall collection strategy will be incorporated in the target area (either manned collection booths and/or unmanned collection bins for segregated recyclables). So, the decision to use which collection method, where, and with what frequency will be made after conducting a robust comparative study of the options at hand. Conducting an appraisal of the current situation of the waste collection fleet, proposing optimum solutions, and acquiring the necessary vehicles is part of this output. Note that decentralized composting and digestion in rural areas (similar to systems widely applied in south and east Asia) could greatly help reduce the burden of waste collection systems. Therefore, such an option will also be investigated, and if favourable, implemented.
- Collecting waste in a segregated manner, the costs associated with processing of the collected waste can be reduced, but the costs of collection go up. Therefore, before any such intervention, it will first be calculated whether or not the procurement of specialized equipment is advantageous from a cost-benefit analysis viewpoint, compared to receiving sorted wastes at collection booths, or single-stream recycling at the MRF plant. If calculations prove to a new and improved fleet with suitable capacity for optimizing collection and/or transfer frequency, providing the fleet will be targeted. This will also reduce the amount of leachate and waste that is leaked or dispersed in the collection and transfer route.
- Life cycle-based databases including data on emptying of waste bins, waste transfer, incoming waste to landfills, etc. will be developed in order to encourage positive behaviour and fine offenders. Note that these are not merely “soft activities”, but rather, they require substantial hardware to be able to monitor the entire waste management cycle. This includes the quantitative and qualitative measurement of waste mass and properties throughout the system.
- Considering the shortfalls of the current system, current processing lines will be redesigned if necessary, and operation/control will be improved. The technological and financial feasibility of

various investment options and technologies (both domestically available and those available through imports) will be investigated. The economic/financial feasibility of each choice will be clearly calculated by trained economists, so that the most suitable selection is made. Since the suitability of using thermochemical conversion of waste in the region is under question, an in-depth analysis will be conducted by international consultants regarding thermochemical and final sink options.

Component 4 Preliminary identification of investments in waste management through private sector engagement (UNDP)

In this component the project will consider relevant principles of the sustainable finance system and shall direct the financial schemes towards sustainable, inclusive and resilient waste management schemes, in line with the UNDP SES requirements.

Activity 4.1 Identification of markets for recycled and innovative plastics.

The main purpose of this activity is to analyse and organize a review of waste recycling capacities, including collection; processing; re-use and marketing, within the Caspian countries' densely populated regions of their coastal areas. It is expected to identify market possibility for recycled and innovative plastics to be further adopted by the private sector.

Activity 4.2 Development of an Extended Producer Responsibility (EPR) scheme in the Caspian states.

EPR can provide economic incentives for businesses to develop more sustainable plastic products. In this connection, the project will analyse and review the system and potential of economic incentives and alternative funding for EPR in the individual countries of the Caspian Sea region, including the necessary development or changes in legislation and enforcement and compliance measures.

After the sufficient analysis of product value chain of most common marine litter items, for example, [packaging waste recovery](#) and recycling schemes could be implemented along with other economically efficient and ecologically sound measures. The project will support the creation of producer responsibility organizations intended to relieve industrial companies and commercial enterprises of their individual obligation to take back used products through the operation of an organization which fulfils these obligations on a nationwide basis on behalf of their member companies.

Activity 4.3 Connect the Caspian states and industries to a global alliance.

Under this activity, the project will seek possible partnerships with the global alliance from plastics value chain, including major plastic-producing and plastic-using corporations and processing companies. In doing so the project will encourage and promote membership and participation of the Caspian States and industries in relevant multi regional and global initiatives and alliances for the sustainable management and reduction of waste generation and disposal, including meetings of the Parties to the Tehran Convention and its LBS Protocol.

Activity 4.4 Identification of needed waste management investments.

The main output of this activity will be information on the required investments in waste management on the local and national level. This information will include sustainable and inclusive financing and policy recommendations with regards to the further improvement of the waste management in the Caspian countries. The information will be submitted to and reviewed by a workshop/investment forum at which policy makers, local authorities and the private sector will be encouraged to exchange information and identify suitable sustainable waste management tools and practices.

Conflicts and inefficiencies in the managerial system will be identified and resolved and proposals will be provided to restructure institutional and the managerial system to foster mutual interests and avoid conflicts in the future. Intra- and inter-zonal cooperation will be encouraged by clearly defining systems' workable objectives, such as waste minimization, resource use efficiency and compost quality, as well as the roles and responsibilities of various actors and institutions. Various critical system dynamics (systems

interactions, processes, stocks, stakeholders) should then be identified and strengthened in the broader system. The development of joint ventures and project companies within the governmental waste management zones will be investigated. The specific reasons as to why collaboration among zones has succeeded or failed thus far will be analyzed, to learn more specifically about the challenges before considering the interventions that are required.

An assessment of the current waste disposal cost & fees in the region will be carried out. Additionally, problems associated with private sector involvement in waste management will be investigated. This could include (but is not limited to) conflicts of interest between different contractors, favouritism and processes with which projects are awarded, and lack of private sector expertise and incompliance with social and environmental standards. Frameworks and procedures will be developed with which the management of particular waste production centers is transferred to the private sector (for example fruits and vegetables markets). Potential actions to deliver this activity could include building public-private partnerships and improve private sector participation in all stages of integrated waste management.

Iran: The extensive experience in Iran's water and electricity sector will be used as a benchmark and guide, because currently, private sector investment in Iran's WM sector is lagging behind similar types of investment in the water and electricity sector. Another activity under this output will be leveraging Results Based Financing (RBF) for payments and budget allocation. RBF also known as Pay for Success (PFS) or Payment by Results (PBR) is an umbrella term for mechanisms designed for improving outcomes especially in developing countries, which often face tight fiscal constraints and limited capacities to implement public programs. In the proposed RBF schemes, payment for services or behaviour will be conditioned upon the achievement and verification of explicit, pre-determined performance targets. Sustainable financing mechanisms will be sought. So, the ultimate activity here would be to increase private sector investment, via improved structures. Awarding long-term contracts to increase investment attractiveness and establishing a mechanism to increase payments in a step-by-step manner in case of good performance could be possible tools. Sponsors will be used at various stages of the waste management cycle, including (but not limited to) using sponsors in the supply of garbage bags, bins and equipment; using sponsors in the educational processes, competitions and festivals; allowing sponsors to install billboards at or near dumpsites which they help remediate etc. Finally, the process of securing international funds such as from the carbon market by Iran's public and private sector will be identified and facilitated.

Component 5 Empowering local communities and enterprises to improve waste management (UNDP)

Managing waste properly is essential for building sustainable and liveable cities, but it remains a challenge for many countries and cities including in the Caspian Sea region. Effective waste management requires significant initial investments in building up the necessary infrastructure. Apart from it, comprehensive waste management should address the entire lifecycle of the product—from its design to collection and transportation, reuse, recycling and finally treatment and disposal.

Activity 5.1 Small Grant Programs in coastal communities.

A Small Grant Programme will provide financial and technical support to projects aiming at improving separate containers collection and waste management at large. The priorities will be given to community actions, young entrepreneurs, female entrepreneurs, etc. Principles of sustainable financing will be followed to direct the grant financial resources towards sustainable, inclusive and resilient waste management approaches. Specific SGP interventions will be identified during the project inception phase reflecting the specific differences in need between the countries. Grant applications shall be screened against the UNDP Social and Environmental principles and standards. As mentioned above, grants' awarding scheme (selection criteria) will ensure that female communities' representatives and entrepreneurs have the opportunity to participate in the small grant programmes' calls.

Component 6 Proactive Communication and Stakeholder Involvement (UN Environment TC Secretariat)

Stakeholder analysis, engagement and stakeholder management are arguably the most instrumental for successful project delivery. The importance of the stakeholder engagement cannot be underestimated in such a complex issue as the life cycle of the product and waste management. In addition, the involvement of the public and making the people aware of the responsibility for their waste footprint is crucial for changing the status quo. The identified stakeholders, as well as their role and way of engagement are preliminary specified in the Stakeholders' Engagement Plan – Annex 6. Considering the women - waste management nexus, women (organisations) will be encouraged to participate in the project activities. More detailed information on women engagement can be found in the enclosed Gender Action Analysis and Plan (GAAP).

Activity 6.1 Establishment of a Regional network of regional and local stakeholders.

Linking closely with activities other components, a regional network will be established to boost cooperation on data collection with regards to the LBS including the marine litter pollution as well as on reduction and prevention. It is envisaged to involve the regional network to the maximum extent in implementing the project to ensure adequate ownership of different players. A deep involvement of marine scientific institutions and state monitoring system's experts and local observers would be needed to provide the appropriate data collection. Specific exchange programmes and trainings on raising awareness and capacity building should be organised beforehand linking specifically with activities in component 1) The network will also serve as a platform for engaging in a dialogue and enhanced cooperation with the business and industry, sea users, local communities, and other relevant representatives of the civil society, including women, environmental and climate change addressing groups as well as national and international stakeholders focusing on marine litter, at the appropriate level, to among others, share best experience. In addition, the network will be responsible for identifying projects for public-private-partnerships to reduce and prevent LBS in selected Caspian states and recommend projects for the small grant programme. Special attention will also be paid to the engagement and capacity building of national and local NGOs. The framework for the public participation and stakeholders engagement is provided by the Strategy for Civil Society Engagement in the Protection of the Marine Environment of the Caspian Sea of the Tehran Convention. This activity will be support the objectives of the UNEP Global Initiative on Marine Litter in the Caspian Sea region.

Activity 6.2 Development of communication and awareness raising strategy.

It is considered that behaviours are driven by different factors; such as knowledge, social norms, values, attitudes and perception of impact. Various studies have shown that knowledge alone is typically not sufficient to motivate pro-environmental behaviour by individuals. Behaviour change requires, at a minimum, a motivation to change (motivation) and practical know-how (skills), in addition to knowledge.

Under this activity, a vigorous awareness raising instruments will be carried out to disseminate the information on negative effects of the inappropriate waste management as well as simple solutions which could make an immense impact on addressing marine litter especially plastic. Commonly accepted behavioural approaches, such as introduction of environmental taxes (tourist taxes etc.), different recycling schemes, monetary incentives etc., will be tested.

This activity will build on the activities in all project components to enhance peer-to-peer leaning and exchanges and improve basin-wide awareness and cooperation. It will showcase existing practices in different countries and regions (including activities to be developed under output 2) where the container deposit laws have been adopted. In addition, is it envisaged to reinforce activities carried out on the Caspian Sea Day Celebration with a special attention on beach cleaning campaigns with local stakeholders and awareness strategies aimed to prevent further pollution and not just to deal with the effects. The awareness rising activities will include an international cross-basin cooperation and could be incorporated into data collection campaigns and clean up activities. The results should be widely spread via media, social networks, etc.

In order to enlarge the ownership of the local communities the programme of “Adopt a Beach” will be implemented. The Caspian countries will take a stock of Marine Litter Training Module, developed by UNEP and translated into Russian and other national languages, in order to increase the involvement of schools and further improvements of marine litter literacy and awareness raising.

Resources Required to Achieve the Expected Results

The project will be implemented by UNDP through its Istanbul Regional Hub (IRH). The overall responsibility for the project oversight will be with the Manager of UNDP IRH, supported by the UNDP Regional Programme Coordinator. UNEP will contribute to the Project Management (within its role as a Responsible Party), while the overall reporting to the donor will rest with UNDP IRH. The Regional Technical Advisor (RTA) for International Waters will provide technical guidance on the project activities, supported by the Water Programme Analyst / Reg Programme Analyst.

To implement the project, UNDP will cooperate with UNEP, which will have the role of the ‘Responsible Party’. Considering that UNEP carry out the functions of the Convention Secretariat ad interim until a permanent Convention Secretariat is put in place, it is suggested that UNEP will support the PCU (PCU function) within the TC Secretariat structures. The PCU foresees the functions that include Project Manager/Team leader (recruited by UNDP), Project Assistant, Experts as needed to cover specific technical areas of the project.

The costs for the operation of the PCU will include general expenses categories, such as travels related to the project management, stationery, communications, postal expenses and costs for premises.

UNDP Country Offices of the involved countries may need to appoint relevant staff in relation to the implementation of the project components which are planned to be executed by the COs.

Procurement and engagement with partners

UNDP assumes overall management responsibility and accountability for project implementation. Accordingly, UNDP must follow all policies and procedures established for its own operations- Programme and Operations Policies and Procedures (POPPs), which are publicly available. To implement the project UNDP will cooperate with UNEP, which will have the role of ‘Responsible Party’ (See figure – below in the section on the Governance and Management Arrangements).

For delivery of specific type of professional services within the Components directly implemented by UNDP and its Country Offices, UNDP will apply relevant procurement methods as per UNDP POPPs, which includes micro-purchasing, request for quotations, request for proposals, invitation to bid and direct contracting. Procurement involves acquiring goods, works and services. Although UNDP takes a decentralized approach to procurement by different business units, organization-wide policies and procedures apply. The procurement process encompasses planning, requisitions, sourcing of suppliers, solicitation and evaluation of offers, contract review, contract award, and the management of contracts and assets. Implementation of activities within the Components where UNEP is the Responsible Party, the specific UNEP financial rules and regulations shall be followed.

Partnerships

The project (through the PCU) will endeavour to build close relations with national, regional and global partners that could benefit the work of the project. These including the GEF IP Circular Solutions to Plastic Pollution Integrated Program.

This project is in line with the international development assistance priority of the Russian Federation (the donor), aimed at improving social and economic conditions in CIS and nearby countries as well as to adopt measures to protect the environment and to solve transboundary environmental problems. The project provides opportunities for technical cooperation and knowledge transfer from the Russian Federation to the Caspian littoral countries. Russian government agencies and academic institutions have strong technical expertise and comparative advantage in the areas waste management. It is suggested to

use their expertise to improve the waste management in the Caspian littoral countries and marine environment protection at large.

In this context the expertise of the following entities is also expected to be drawn:

- P.P.Shirshov Institute of Oceanology of the Russian Academy of Sciences
- State Oceanographic Institute, Roshydromet, KaspMNIZ .
- PAO “Ecosystema”
- Astrakhan" Eco Servis“
- Center of International Projects
- International Environmental Fund “Clean Seas”

Moreover, it is also suggested that the Russian experts who have experience from different regional seas as Baltic Sea, Black Sea and Northwest Pacific Region will be drawn into the project. The project will further use the expertise of Russian private companies working on waste management. Cooperation with the relevant UNDP projects on other seas (knowledge exchange), and in the beneficiary countries is foreseen.

The Russian Federation, Azerbaijan, Kazakhstan, Iran and Turkmenistan are Parties to the "Framework Convention for the Protection of the Marine Environment of the Caspian Sea, the Tehran Convention" and its ancillary Protocols, one of each is the Protocol for the Protection of the Caspian Sea against Pollution from Land-based Sources and Activities ("Moscow Protocol").

In Iran: The project will be implemented directly by UNDP (Direct Implementation Modality-DIM) in close collaboration with the government of Iran, coordinated through Ministry of Interior (MOI). Government counterparts include the Ministry of Foreign Affairs, the Plan and Budget Organization, the Department of Environment as well as local authorities. The MOI will serve as the key partner providing the required information, administrative and technical supports and coordination with other key partners.

In order to gain a better understanding towards the relevance of the abovementioned partners, a summary of the responsibilities of various authorities regarding waste management as per Iranian law include:

- a. **Department of Environment (DOE)** The DOE is mandated with ensuring that Article 50 of the constitution is realized. It must protect the natural resources and ecosystems of the country and rectify prior harms, develop environmental standards, and take an active role in environmental crises. The DOE is responsible for ensuring the proper implementation of the Waste Management Law.
- b. **Ministry of Interior (MOI):** The MOI, in consultation with the DOE and other authorities, must codify the rules, guidelines and executive regulations and supervision of waste management activities such as recycling or disposal across the country. The MOI is responsible for waste management, although the actual implementation of programs and day-to-day activities relevant to waste such as segregation, collection, processing, recycling, composting and landfilling, are managed by village authorities, municipalities, and district administrators.
- c. **Plan and Budget Organization (PBO):** Considering the important role that the PBO has in the planning and supervision of strategic development in the country, its role in waste management is also important. For example, this organization develops the general financial, social and cultural policies of the country, in addition to preparing and auditing the governmental budget.
- d. **Other ministries such as The Ministry of Health and Medical Education (MOHME), The Ministry of Industry, Mine and Trade (MOIMT), The Ministry of Agriculture Jihad (MOAJ), and The Ministry of Petroleum (MOP):** Each of these ministries are responsible for the wastes that are particularly associated with their mandate and services. All these ministries are also responsible for providing education and training to the people and waste generator relevant to their activities. In addition, the ministries must work with the DOE for the codification of the rules and

regulations of the wastes relevant to them. After approval, each ministry is responsible for supervising and ensuring the proper implementation of the rules and regulations.

- e. **Institute of Standard and Industrial Research of Iran (ISIRI):** According to Article 3 of the Waste Management Law, ISIRI should work with the relevant ministries to determine and formulate national standards regarding the quality and safety of products produced from waste and recycled materials.
- f. **Local authorities such as municipalities and city councils:** According to Article 7 of the Waste Management Law, the executive management of all urban wastes, except industrial and special wastes, is the responsibility of municipalities. According to Article 8, the municipality can receive regulated fees for the waste services it provides from the producers. Such incomes shall only be spent on waste management related activities. The city council is responsible for ratifying the rules and regulations and waste management fees suggested by the municipality for waste management, in accordance with the MOI.

Risks and Assumptions

Preliminary, the following risks and assumptions were identified:

- Lack of interest of participating countries to contribute to the preparation and implementation of full size project;
- Difficulties in involvement of national institutions in marine litter data collection process;
- Delay of project start-up because critical staff is not in place and/ or lengthy contracting process, including negotiations with execution entities;
- Capacity constraints of executing entities, local institutions, communities and the private sector may limit the effective implementation of interventions;
- Lack of cooperation by relevant authorities in places, despite expression of interest at central government level;
- Complexity of the proposed interventions and challenges related to getting equal traction with all 4 involved countries;
- Security risks in the Caspian Sea region;
- Involvement of the Russian Federation;
- Risks that project supported legal and policy reforms, and identified waste management options, may have on the environment, climate change and population;
- Mismatch between international donor, top authorities, local authorities, and stakeholders, leading to disagreements, decreased engagement, or incorrect identification of priorities;
- Lack of cooperation of the local people, lack of trust because of previously failed attempts.

Further details are provided in the Annex 3. (Risk Analysis) and Annex 2. (SESP).

Stakeholder Engagement and South-South and Triangular Cooperation (SSC/TrC)

The strategy and means of involving different stakeholders' groups is preliminary identified in the annexed Stakeholders' Engagement Plan, which will be finalised during the project inception phase within the Project Component 6: Proactive Communication and Stakeholder Involvement (UN Environment TC Secretariat).

The Following are the preliminary identified project beneficiaries, and affected and interested stakeholders:

- Policy makers: environment authorities responsible for waste management framework – direct beneficiaries and have a potential to influence project results;

- National environmental and health authorities: interested stakeholders, have a potential to influence project results;
- (Coastal) municipalities: indirect beneficiaries;
- Academia, schools and research institutions – interested stakeholders, beneficiaries;
- Supermarkets and other retailers (related to ban on plastic bags) – directly affected;
- Public and private entities engaged in waste management and processing – beneficiaries and interested stakeholders;
- Business associations;
- Environment, climate change, waste management focused NGOs – interested stakeholders;
- Women organisations – interested stakeholders;
- Local, including female entrepreneurs (tourism providers, fishers, farmers) – indirectly affected;
- Coastal communities, including women – beneficiaries (Small Grants Programme); directly affected (from longer term perspective)

Prior to initiating the marine litter data collection process, close involvement of marine scientific institutions as well as state monitoring experts and local observers will be required. Specific trainings will be organised.

Annex 6 provides a stakeholder analysis and presents a preliminary stakeholder engagement plan (SEP). Annex 7 provides a gender analysis and action plan.

Relevant project outputs will be shared with other Regional Seas Conventions and will be available on a project website.

Knowledge Management and Digital Solutions²

Relevant project outputs will be available on the project website that will also provide details of the overall project results and will have links to any project specific social media feeds.

Component 6 will focus on communication and stakeholder engagement and will be a key vehicle for knowledge sharing and management within the basin.

- The project will participate, as relevant and appropriate, in UNDP sponsored networks, organized for Senior Personnel working on projects that share common characteristics.
- The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation though lessons learned.
- The project will identify, analyze, and share lessons learned to inform the design and implementation of similar initiatives in the future. Identifying and analyzing lessons learned is an on- going process, and the need to communicate such lessons as one of the project's central contributions is a requirement to be delivered not less frequently than once every 12 months. UNDP shall provide a format and assist the project team in categorizing, documenting and reporting on lessons learned. To this end a percentage of project resources will need to be allocated to these activities.
- Results from the project will be disseminated within and beyond Caspian region through existing information sharing networks, websites and forums.
- The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to the project implementation though lessons learned. The project will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects.

² Please see the [Guideline "Embedding Digital in Project Design"](#).

- The project foresees the active promotion and usage of available digital solutions and tools.
- The results of the project will be widely presented on scientific conferences, meetings and would be a part of the Regional Sea Conventions (RCSs) network benefiting from them and sharing the experience.

Sustainability and Scaling Up

The project will work with national authorities and other stakeholders to develop national sustainability plans to promote the reduction of plastics entering the marine environment. This will include a range of measures that will be supported by the project's awareness raising campaigns and capacity development, private sector involvement and encouraging policy change within the national regulations. The project will build a strong ownership of the project results at different levels by stimulating development of new follow-up projects, and encouraging the concerned national institutions in participating in relevant projects.

The project will prepare lessons learned and a sustainability plan, which will include a set of recommendations on possible future actions in the region, as well as specify the role of the key project stakeholder. The lessons learned and sustainability plan will be included in the Final Report as an "Exit Strategy and recommendations for follow-up activities".

Financial sustainability

Financing of follow-up activities can be sorted out by drafting of new projects or through participation of the national stakeholders in relevant projects. The priority will be driven by national budgets that have allocations for relevant follow-up activities/sustainability. It will be pursued by the present project through negotiations with relevant authorities who will be fully briefed in the execution of the project through the Project Steering Committee meetings.

Institutional sustainability

The project will not create new networks but will support, and where necessary, extend activities under the Tehran Convention. ... At the national level the project will strengthen the engagement and cooperation between all stakeholders (including civil society) involved in all operations from production, use and disposal of plastic components, including the sharing of knowledge and experiences.

Policy level sustainability

The project addressing marine litter in the Caspian Sea region, where the Moscow Protocol on land-based pollution plays a crucial role, exemplifies policy-level sustainability in several ways. Firstly, the Protocol, as a foundational legal framework, enforces regulations and standards to mitigate land-based sources of marine pollution. This aligns with the United Nations' Sustainable Development Goals, particularly Goal 14, which focuses on conserving and sustainably using the oceans, seas, and marine resources. Furthermore, the project's emphasis on collaborative efforts among Caspian states demonstrates a commitment to regional cooperation and capacity building, essential for long-term sustainability. By addressing both the environmental and socio-economic aspects of marine litter, the project sets a precedent for holistic and sustainable marine environmental governance, ensuring the Caspian Sea's ecological integrity and the well-being of communities dependent on its resources.

IV. PROJECT MANAGEMENT

Cost Efficiency and Effectiveness

Implementation of the project activities will be based on extensive consultations, seeking for best practices, optimal solutions and taking into consideration the precise needs in the Caspian Sea region. The project will be open to the relevant modifications and approaches that will support the countries in the implementation of the Tehran Convention and its protocols.

Experience from various UNDP regional projects confirms the importance of cooperation and coordination of actions in the region, as well as the importance of international scientific knowledge. Exchange and sharing of knowledge, lessons, technologies, methodologies, guidelines that are applied in other regional seas, together with coordination with ongoing initiatives are key aspects that will ensure effective and efficient use of available project resources, avoid duplication and ensure synergies and complementarities.

Implementation will follow the principles below:

- Coordination of the activities with those of other initiatives in the region (to avoid duplication of efforts and use of potential complementarity of actions), primarily with those operating under other on-going, in particular the implementation of the Environmental Monitoring Programme and development of the Integrated Coastal Zone management tools for the Caspian Sea region.;
- Close cooperation with relevant institutions and agencies (important mainly for the knowledge and experience sharing), such as Coordinating Committee on Hydrometeorology and Pollution Monitoring of the Caspian Sea (CASPCOM), UN Environment Programme's Regional Seas Programme;
- Utilization of achievements of past projects and considering lessons learnt (to build on already existing ground), e.g. Project "Addressing Marine Litter in the Caspian Sea region": 2018-2020 and Project "Caspian Environmental Information Centre": 2018-2020;
- Close cooperation and support to the Tehran Convention Expert Groups, supporting the implementation of their priorities. It is expected that the Convention Secretariat will facilitate the promotion of the project outcomes so that they could contribute to the improvement of environmental management and adoption of policy documents at national and regional level where necessary;
- Capacity building of relevant key institutions in the beneficiary countries (to support the sustainability and national ownership of the project results);
- Involvement of other national stakeholders and Civil Society Organizations where relevant;
- Involvement of other Regional Seas Conventions, such as Bucharest Convention for the Black Sea and Barcelona Convention for Mediterranean Sea (important for exchange of technologies, guidelines, etc.).

Project Management

The project will be carried out by UNDP under Direct Implementation Modality in Azerbaijan, Kazakhstan, Iran and Turkmenistan. UNDP's Istanbul Regional Hub (IRH) will have a role of the Lead Office responsible for the overall project management, compliance with UNDP policies, quality assurance and reporting to the donor.

The UNDP Country Offices will be implementing project components 3, 4 and 5, that are covering the national activities in the beneficiary countries. Relevant personnel from the COs is expected to be appointed to liaise with the Project Manager/ Team leader and UNDP IRH team on the activities implemented in the countries.

The UNDP IRH or the respective COs will be responsible for initiating new assessments of the safeguarding screening ((UNDP SESP/ESMF)) prior to the agreement to any new initiatives identified post-inception, for example applications to Small Grant Programmes (Activity 5.1) shall be screened against the UNDP Social and Environmental principles and standards. UNDP IRH will be also responsible for the project evaluation.

UNEP will have a role of a Responsible Party in the project and will be implementing components 1, 2 and 6. In addition to this, UNEP will contribute to the Project Management through supporting the PCU functions, so the project can benefit from the presence of UNEP within the Tehran Convention Secretariat and thus can have a role in consultation and coordination with the national beneficiaries. The role of the UNEP as the Responsible Party in the project will be critical for successful project implementation. The cooperation between UNDP and UNEP will be formalized through UN2UN Agreement.

UNEP is the leading global authority on the environment, having its mission to inspire, inform, and enable nations and peoples to improve their quality of life without compromising that of future generations. For more than 50 years, UNEP has worked with governments, civil society, the private sector and UN entities to address various environmental challenges, including the protecting the world's seas and promoting a green, inclusive economy. Among other, UNEP's work is focused on helping countries in strengthening environmental governance and law, safeguarding ecosystems, and providing evidence-based data to inform policy decisions. Through cutting-edge science, coordination and advocacy, UNEP supports its 193 Member States to achieve the Sustainable Development Goals and live in harmony with nature.

It is planned to have a joint UNDP/UNEP Project Coordination Unit, supported by the Tehran Convention Secretariat administered by UNEP.

The PCU personnel will have the following functions:

- Project Manager / Team Leader who will provide specific input to the project activities where needed, liaise directly with the national representatives appointed by the Ministries in each country during the project implementation, liaises with the appointed personnel from the UNDP COs, as well as coordinates with other projects, international partners and initiatives.
- Technical experts / consultants covering the specific technical areas (marine litter monitoring, capacity building, gender mainstreaming, SE safeguards update, etc... as needed)
- Project Assistant for all administrative and logistic arrangements, including travels of the PMA, and experts, communication, etc..

A workplan will be developed by the PCU and a Steering Committee consisting of the representatives of the partner agencies and the designated focal points of the Caspian countries will be established to oversee and provide guidance on its implementation. The end responsibility for the project including the accountability and reporting to the donor will be with UNDP IRH.

The PCU will also provide annual support to updating the safeguarding assessment and gender analysis. As per the MOU / Contribution agreement signed with the Donor, the GMS rate for the project is 8% of the total budget.

V. RESULTS FRAMEWORK³ -

Intended Outcome as stated in the Regional] Programme Results and Resource Framework: REGIONAL PROGRAMME OUTCOME #3: Resilience Built to Respond to Systemic Uncertainty and Risk
Outcome indicators as stated in the Regional Programme Results and Resources Framework, including baseline and targets: Natural resources protected and managed to enhance sustainable productivity and livelihoods
Applicable Output(s) from the UNDP Strategic Plan: Natural resources protected and managed to enhance sustainable productivity and livelihoods (SP Output 4.1)
Project title and Quantum Project Number: Addressing Marine Litter and Marine Plastics – A Systemic Approach in the Caspian Sea / Project ID 00129817

Expected Outputs	Output Indicators	Baseline – year 2024	Targets per Year	Final Target	Data collection methods source
Component 1: Data and Information on ML in the Caspian Sea (UNEP TCS) Activities: <i>LBS inventories and Review of ML information (Activity 1.1)</i> <i>Identification of gaps in knowledge (Activity 1.2)</i> <i>Mapping of Marine Plastic value chain and hotspot identification (Activity 1.3)</i> <i>Development of monitoring tools for ML (Activity 1.4)</i>	Reports and recommendations approved	No report	Y1: 4 Draft national LBS inventories including the ML Y2: 4 National LBS inventories finalized, and regional assessment drafted Y3: Recommendations	Consolidated nation and regional reports on ML delivered to TCS	Project reports to PS meetings
	Reports and recommendations approved	TBD	Y1: National and regional workshops completed to brainstorm gaps (50% women) Y2: Preliminary report prepared by TC WG Y3: Final report with recommendations approved by TC	Recommendations to address gaps in information delivered to TCS	Project reports to PS meetings
	Workshops completed, reports and recommendations approved	TBD	Y1: Workshop to define common approach for national and regional value chain and hotspot identification (50% women) Y2: Draft value chain prepared Y2: Draft hotspot sites identified Y3 Final workshop completed to validate approaches and data (50% women) Y3: Final reports delivered to PS Meetings on value chain and hotspot mapping Recommendations on future priorities agreed by PS Meeting	Final reports and recommendations on value chain assessments and hotspot mapping delivered to TCS	Project reports to PS meetings

³ 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.

Expected Outputs	Output Indicators	Baseline – year 2024	Targets per Year	Final Target	Data collection methods source
	Workshops completed, reports and recommendations approved	TBD	Y1: Monitoring design workshop completed at national and regional level (50% women) Y1: Recommendations to TCS on monitoring approach (methodology & tools) Y2: Report on agreed ML monitoring approach designed at national / Regional level Y3: Guidance documents drafted and approved	Tools and recommendations submitted to TCS on monitoring of ML	Project reports to PS meetings
Overall Output Indicator 1. Consolidated reports on situation with ML in the Caspian Sea, including identification of knowledge gaps, hot-spots identification and recommendations on monitoring tools			2024: Report outline 2025: 4 national reports Draft report on ML (regional and national) Gender assessment report 2027: 5 Consolidated nation and regional reports on ML delivered to TCS		
Component 2: Improved policy and regulatory frameworks on waste management (UNEP TCS) <i>Activities:</i> <i>Review of national LBS related legislation (Activity 2.1)</i> <i>Development of container deposit laws (Activity 2.2)</i> <i>Supporting law enforcement to combat illegal dumping (Activity 2.3)</i> <i>Promoting a ban on sales of plastic bags with recommendations on alternatives (Activity 2.4)</i>	National reports and recommendations on LBS and recommendations for change	SoE and other regional reports	Y1: National studies completed on LBS related legislation with recommendations on enhancements Y2: National workshops to resent report/ recommendations (50% women)	Recommendations on any modifications to national legislation / policy pertaining to ML delivered	Project reports to PS meetings
	Recommendations on possible deposit laws delivered to PS meeting	TBD	Y1: National stakeholder surveys undertaken to assess possible approaches Y2: Development of potential national approaches to container deposit laws Y3: National workshops to present container law approaches and recommendations (50% women, representatives of informal waste sector)	Recommendations for national container laws presented to relevant authorities	Project reports to PS meetings
	National reports and recommendations on illegal dumping	TBD	Y1: 5 National workshops completed on illegal dumping (50% women, representatives of informal waste sector) Y2: Draft national law to combat illegal dumping prepared in >2 countries Y3: Draft national law in >3 countries	Project delivers draft laws in at least 3 countries	Project reports to PS meetings
	Stakeholder surveys completed, workshops, national reports/ recommendations on	TBD	Y2: Stakeholder surveys completed in > 3 countries on bans/alternatives to single use plastic bags (50% women participate) Y3: National recommendations prepared in at least 3 countries	At least 3 countries have details to introduce legislation for bans	Project reports to PS meetings

Expected Outputs	Output Indicators	Baseline – year 2024	Targets per Year	Final Target	Data collection methods source
	reducing single-use plastic bags		National workshops completed in at least 3 countries on potential bans and/or alternative to single use plastic bags (50% women)	and/or alternatives to plastic bags	
Overall Output Indicator 2: National reports and recommendations for Improved policy and regulatory frameworks, including recommendations for legislation changes, possible deposit laws, illegal dumping			2024: Report outline 2025: Completed workshops in all countries 2026: 4 National studies completed on waste legislation 2027: Recommendations for each country		
Component 3: Enhanced circular economy approaches in coastal regions (UNDP COs) <i>Activities:</i> <i>Promoting separation of plastic waste in coastal regions (Activity 3.1)</i> <i>Identification of innovative solutions for sorting/recycling (Activity 3.2)</i> <i>Development of innovative approaches to plastic waste management in coastal regions (Activity 3.3)</i>	Workshops completed, report and recommendations, awareness campaigns	TBD	Y1: 5 National workshops completed to identify options to separate plastic waste (50% women) Y2: National recommendations on waste separation Y3: National awareness campaigns to address plastic waste developed in > 3 countries (reaching > 1000 people per country)	Recommendations and awareness approaches to reduce plastic waste available in at least 3 countries delivered to national waste and environment authorities	Project reports to PS meetings
	Regional and national reports, workshops and plans for future investments		Y1: Regional report delivered on possible innovative solutions to sorting/recycling based on regional and global best practices Y2: National workshops completed in > 3 countries to examine potential approaches sorting/recycling (50% women) Y2: National reports elaborate recommendations for approaches in > 3 countries to be explored Y3: In at least 3 countries detailed plans for pilot initiatives prepared for future investments	> 3 countries have detailed (including outline costs) for pilot projects to test innovative approaches	Project reports to PS meetings
	Regional and national reports, workshops and plans for future investments	TBD	Y1: Regional report prepared highlighting best practices on innovative approaches to addressing ML Y2: National workshops completed in > 3 countries to examine potential approaches to ML reduction (50% women) Y2: National reports elaborate recommendations for approaches in > 3 countries to be explored Y3: In at least 3 countries detailed plans for pilot initiatives prepared for future investments to test innovative approaches	> 3 countries have detailed (including outline costs) for pilot projects to test innovative approaches	Project reports to PS meetings

Expected Outputs	Output Indicators	Baseline – year 2024	Targets per Year	Final Target	Data collection methods source
Overall Output Indicator 3: Pilot projects or support for activities related to enhanced circular economy approaches in coastal regions, in each country			2024: 4 project concepts 2027: 4 Pilot projects or activities supported in each country		
Component 4: Preliminary identification of investments in waste management (UNDP COs) <i>Activities:</i> <i>Identification of market for recycled and innovative plastics (Activity 4.1)</i> <i>Development of EPR schemes in Caspian region (Activity 4.2)</i> <i>Linking Caspian region industries to global alliances (Activity 4.3)</i> <i>Identification of waste management investments (Activity 4.4)</i>	Regional and national reports, workshops and recommendations on accessing markets for recycled plastics	TBD	Y1: Regional report on global experience on markets for recycled and innovative plastics Y2: National workshops completed in > 3 countries to assess opportunities (50% women) Y2: National reports prepared to highlight best approaches in each country Y3: Final workshop on markets for recycled plastics in > 3 countries to assess recommendations (50% women)	> 3 countries have report and recommendations on market details for recycled and innovative plastics	Project reports to PS meetings
	National workshops and reports on EPR	TBD	Y2: > 3 national reports (linking with C2) to explore benefits on EPR Y3: > 3 national workshops with relevant stakeholders completed to present recommendations on EPR (50% women)	> 3 countries have reports on benefits and recommendations of EPR	Project reports to PS meetings
	Identification of national stakeholders, reports and recommendations	TBD	Y1: National stakeholders identified Y1: Regional and national reports on potential regional and global networks of producers, users and disposers of plastic materials Y2: > 3 national reports on recommendations and benefits of linking with global networks, including national stakeholders Y3: Recommendations presented to PS meeting on potential global networks to associate with and formation of regional network under TCS	TCS and national authorities have recommendations on global networks to associate with TCS and national authorities have recommendations on regional network creation	Project reports to PS meetings
	National and regional workshops completed, reports and recommendations submitted to national authorities	TBD	Y1: Regional workshop to agree scope of priorities (50% women) Y2: > 3 national workshops completed to brainstorm national waste management investments (50% women) Y3: > 3 national reports delivered to national authorities and PS meeting on recommendations for waste investments (with outline cost and potential sources identified)	National authorities have outline proposals for investments to enhance waste management (sites,	Project reports to PS meetings

Expected Outputs	Output Indicators	Baseline – year 2024	Targets per Year	Final Target	Data collection methods source
				sources of funding, etc.)	
Overall Output Indicator 4: 4. Relevant investments in waste management identified and supported in each country			2027: Total 4 investments – one per country		
Component 5: Empowered local communities and enterprises to improve waste management (UNDP COs) <i>Activities:</i> Initiate SGP for coastal communities (Activity 5.1)	National identification of SGP, implementation of SGP and reporting of results % of female recipients of SGP support, out of total number of recipients	N/A	Y1: All countries identify potential SGP opportunities and discussing in national workshops (50% women) Y1: National reports recommend SG initiatives and submit to PS meeting for approval Y2: At least 3 countries initiate nationally agreed SGPs Y2: National workshops to present /review progress of SGPs (50% women) Y3: Final presentation and reports from counties undertaking SGPs to share lessons / experiences	Small Grants Programme initiated in at least 3 countries with results shared regionally	Project reports to PS meetings
Overall Output Indicator 5: Small Grants programme implemented in each country			2025: SGP concept in each country 2027: SGP implemented in each country		
Component 6: Proactive communication and stakeholder awareness on reducing plastic waste (UNEP TCS) <i>Activities:</i> Establishment regional network for national/local stakeholders (Activity 6.1) Development of communication and awareness strategies (Activity 6.2)	1) Identification of national/local stakeholders (%men / % women) 2) establishment of regional network 3) establishment of regional meetings (virtual)	Identified in project inception	Y1: All countries identify national/local stakeholders to participate in regional network (50% women participate in network) Y2: Establishment of a regional network (meeting virtually) at least once a year (50% women) Y2: Report prepared in each country with recommendations on sustainability of network (including sources of funding if required)	Sustainably options presented to maintain regional stakeholder network	Project reports to PS meetings
	1) National communication strategy developed 2) National awareness raising strategies developed 3) Implementation	N/A	Y1: Development of regional and national communication / awareness strategies Y1: > 3 national workshops to confirm strategies Y2: Strategies raise awareness of activities in over 1000 people per country Y2: Delivery of > 3 awareness campaigns in each country to highlight the importance of plastic pollution and solutions such as container deposit laws (50% of participants women)	Regional and national communication and awareness raising strategies developed highlighting potential solutions.	Project reports to PS meetings

Expected Outputs	Output Indicators	Baseline – year 2024	Targets per Year	Final Target	Data collection methods source
			Y3: Strategies raise awareness of activities in over 1000 people per country Y3: Delivery of > 3 awareness campaigns in each country to highlight the importance of plastic pollution and solutions such as container deposit laws (50% of participants women)		
	Overall Output Indicator 6: Communication strategy developed for each country, including relevant awareness raising products and events on ML & plastics		2024: Communication Strategy outline prepared for each country; Establishment of regional networks; Identification of relevant research institutions. 2025: Communication and awareness raising material (to be determined during year 1); Network meetings (to be determined during year 1) 2026: Communication and awareness raising material (to be determined during year 2); Network meetings (to be determined during year 2) 2027: Communication Strategy implemented in each country, including events organization; Multi-stakeholder meeting with main actors in the Regional Network; Report on ML networks		

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:

- **Continuous monitoring of the project** will be ensured through adopted indicators such as quality of deliverables, expenditures versus performance, observance of timing, etc. Output indicators are specified to support monitoring of the project success.
- **Project implementation plan**, quality of outputs/deliverables, identification of controversial points or deviations from the initial planning, analysis of options for correcting deviations (if any) will be dealt with by the Project Manager, PCU and presented to the Donor and when relevant – to the Steering Committee for feedback.
- **The Project Manager** will report to UNDP, work with the IRH Regional Programme Coordinator and Environment Team, including consultations with Regional Technical Advisor (RTA) for technical purposes. The Project Manager will closely cooperate with UNEP to coordinate related activities.
- For the project planning and progress monitoring the following reports will be prepared:
 - o Inception Report
 - o Annual Progress reports;
 - o Final report including lessons learned and recommendations for future (Exit Strategy)
 - o Final project evaluation report.

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.	UNEP TCS and UNDP COs in the region	
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, and the Gender Action Plan. 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.	UNEP TCS and UNDP COs in the region	
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.	UNEP TCS and UNDP COs in the region	
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.	Every two years	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.	UNEP TCS and UNDP COs in the region	
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.	UNEP TCS and UNDP COs in the region	
Project Report	A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk log with mitigation measures, and any evaluation or review reports prepared over the period.	Annually, and at the end of the project (final report)		UNEP TCS and UNDP COs in the region	

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Project Review (Project Board)	The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	At least annually (in-person or remote)	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.	UNEP TCS and UNDP COs in the region	Virtual meetings – none (2) In-person meetings (2) 5,000 USD/meeting

Evaluation Plan⁴

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNSDCF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
Terminal Evaluation				3 months before the project completion	National Governments, UNEP TCS and UNDP COs in the region	\$20,000 (Project Management Component)

⁴ Optional, if needed

VII. MULTI-YEAR WORK PLAN ⁵⁶

All anticipated programmatic and operational costs to support the project, including development effectiveness and implementation support arrangements, need to be identified, estimated and fully costed in the project budget under the relevant output(s). This includes activities that directly support the project, such as communication, human resources, procurement, finance, audit, policy advisory, quality assurance, reporting, management, etc. All services which are directly related to the project need to be disclosed transparently in the project document.

Expected Outputs	Planned Activities (Quantum)	Responsible Party UNDP / RP	Fund ID	Donor ID	Budgetary Account Code	Budget Account Description	Amount year 2023 (USD)*	Amount Year 2024 (USD)	Amount Year 2025 (USD)	Amount Year 2026 (USD)	Amount Year 2027 (USD)	Total (USD)
Component 1 Collection and assessment of information and data relevant to the Caspian marine litter.	ACTIVITY 1: Collecting of data and information on ML in the Caspian Sea Activity 1.1 Inventories of land-based sources of pollution including comprehensive review of marine litter information in the Caspian Sea. Activity 1.2 Identification of further scientific research needs to address the gaps in knowledge . Activity 1.3 Marine Plastics Value Chain mapping and hotspots identification Activity 1.4 .Development of marine litter monitoring system/tools	UNEP			71200	International Consultants		10,000.00	10,000.00	10,000.00		30,000.00
					71300	Local Consultants		75,000.00	70,000.00	60,000.00		205,000.00
					71400	Service Contracts - individuals						-
					71600	Travels		10,000.00	10,000.00	10,000.00		30,000.00
					72100	Contractual services - companies			30,000.00	30,000.00		60,000.00
					72500	Supplies		5,000.00	5,000.00	5,000.00		15,000.00
					74200	Audiovisual & Print production				10,000.00		10,000.00
					75700	Trainings and Workshops		25,000.00	25,000.00	25,000.00		75,000.00
					74100	Management services		8,750.00	10,500.00	10,500.00		29,750.00
	Sub-total for Component 1							133,750.00	160,500.00	160,500.00	-	454,750.00
Component 2 Policy, Legal and Regulatory Reforms.	ACTIVITY 2: Improving policy and regulatory frameworks on waste management Activity 2.1 Review of the national legislation related to pollution from Land-based Sources and Activities. Activity 2.2 Supporting the development and approval of container deposit laws. Activity 2.3 Supporting law enforcement to combat illegal dumping. Activity 2.4 Promoting a ban on sales of plastic bags with recommendations on alternatives	UNEP			71200	International Consultants		10,000.00	10,000.00			20,000.00
					71300	Local Consultants		80,000.00	60,000.00	60,000.00		200,000.00
					71400	Service Contracts - individuals						-
					71600	Travels		12,000.00	12,000.00	12,000.00		36,000.00
					72100	Contractual services - companies						-
					72500	Supplies		5,000.00	5,000.00	5,000.00		15,000.00
					74200	Audiovizual & Print production			20,000.00	20,000.00		40,000.00
					75700	Trainings and Workshops		25,000.00	25,000.00	25,000.00		75,000.00
					74100	Management services		9,240.00	9,240.00	8,540.00		27,020.00
	Sub-total for Component 2							141,240.00	141,240.00	130,540.00	-	413,020.00

⁵ Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

⁶ Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

Expected Outputs	Planned Activities (Quantum)	Responsible Party UNDP / RP	Fund ID	Donor ID	Budgetary Account Code	Budget Account Description	Amount year 2023 (USD)*	Amount Year 2024 (USD)	Amount Year 2025 (USD)	Amount Year 2026 (USD)	Amount Year 2027 (USD)	Total (USD)
Component 3 Improving management of the plastic waste in the coastal regions.	ACTIVITY 3: Improving management of the plastic waste in the coastal regions Activity 3.1 Promote the separate collection of plastic waste in the coastal regions of the Caspian Sea; Activity 3.2 Identification and support of innovative solutions for advanced sorting, chemical recycling and improved polymer; Activity 3.3 Development of Innovative approaches.	UNDP COs	30000	Gov of RF	71200	International Consultants						-
					71300	Local Consultants		40,000.00	40,000.00	40,000.00		120,000.00
					71400	Service Contracts - individuals		4,000.00	12,000.00	12,000.00	12,000.00	40,000.00
					71600	Travels		4,000.00	12,000.00	12,000.00	12,000.00	40,000.00
					72100	Contractual services - companies					120,000.00	120,000.00
					72500	Supplies		2,525.78	4,000.00	4,000.00	3,474.22	14,000.00
					74200	Audiovizual & Print production			8,000.00	8,000.00	24,000.00	40,000.00
					75700	Trainings and Workshops		16,000.00	20,000.00	20,000.00	20,000.00	76,000.00
	Sub-total for Component 3								66,525.78	96,000.00	96,000.00	191,474.22
Component 4 Preliminary identification of investments in waste management through private sector engagement.	ACTIVITY 4: Preliminary identification of investments in waste management through private sector engagement Activity 4.1 Identification of market for recycled and innovative plastics. Activity 4.2 Development of an Extended Producer Responsibility (EPR) schemes in the Caspian states. Activity 4.3 Connect the Caspian states and industries to a global alliance; Activity 4.4 Identification of needed waste management investments.	UNDP COs	30000	Gov of RF	71200	International Consultants						-
					71300	Local Consultants		20,000.00	20,000.00	20,000.00	80,000.00	140,000.00
					71400	Service Contracts - individuals		4,000.00	8,000.00	8,000.00	8,000.00	28,000.00
					71600	Travels		2,000.00	8,000.00	8,000.00	20,000.00	38,000.00
					72100	Contractual services - companies					72,000.00	72,000.00
					72500	Supplies						-
					74200	Audiovizual & Print production			8,000.00	8,000.00	16,000.00	32,000.00
					75700	Trainings and Workshops		8,000.00	8,000.00	8,000.00	16,000.00	40,000.00
	Sub-total for Component 4								34,000.00	52,000.00	52,000.00	212,000.00
Component 5 Empowering local communities and enterprises to improve waste management .	ACTIVITY 5: Empowering local communities and enterprises to improve waste management Activity 5.1 Small Grant Programs in coastal communities.	UNDP COs	30000	Gov of RF	71200	International Consultants						-
					71300	Local Consultants		40,000.00	40,000.00	40,000.00	80,000.00	200,000.00
					71400	Service Contracts - individuals		4,000.00	12,000.00	12,000.00	12,000.00	40,000.00
					71600	Travels						-
					72100	Contractual services - companies		-	80,000.00	200,000.00	280,000.00	560,000.00
					72500	Supplies						-
					74200	Audiovizual & Print production			12,000.00	12,000.00		24,000.00
					75700	Trainings and Workshops		16,000.00	20,000.00	20,000.00	20,000.00	76,000.00
	Sub-total for Component 5								60,000.00	164,000.00	284,000.00	392,000.00
		UNEP	30000	Gov of RF	71200	International Consultants		10,000.00	10,000.00	20,000.00		40,000.00
					71300	Local Consultants		45,000.00	55,000.00	80,000.00		180,000.00

Expected Outputs	Planned Activities (Quantum)	Responsible Party UNDP / RP	Fund ID	Donor ID	Budgetary Account Code	Budget Account Description	Amount year 2023 (USD)*	Amount Year 2024 (USD)	Amount Year 2025 (USD)	Amount Year 2026 (USD)	Amount Year 2027 (USD)	Total (USD)
Component 6 Communication and Stakeholder Involvement.	ACTIVITY 6: Proactive communication and stakeholder awareness on reducing plastic waste <i>Activity 6.1 Establishment of a Regional network of regional and local stakeholders.</i> <i>Activity 6.2 Awareness raising and advocacy - development of communication and awareness raising strategy</i>				71400	Service Contracts - individuals						-
					71600	Travels		15,000.00	15,000.00	30,000.00		60,000.00
					72100	Contractual services - companies						
					72500	Supplies						
					74200	Audiovizual & Print production			10,000.00	20,000.00		30,000.00
					75700	Trainings and Workshops		10,000.00	10,000.00	10,000.00		30,000.00
					74100	Management services		5,600.00	7,000.00	11,200.00		23,800.00
	Sub-total for Component 6							85,600.00	107,000.00	171,200.00	-	363,800.00
Project Management Monitoring and Evaluation	ACTIVITY 7_UNDP: Project management and evaluation <i>Project Initiation Plan</i> <i>Project Management</i>	UNDP	30000	Gov of RF	67000	Staff-NP/IP DPC/DSS Costs		15,000.00	45,000.00	45,000.00	45,000.00	150,000.00
					71200	International Consultants	4,375.00	50,000.00			20,000.00	74,375.00
					71400	Contractual services-individuals	1,707.94	13,917.06	10,000.00	10,000.00	10,000.00	45,625.00
					71600	Travels		5,000.00	10,000.00	10,000.00	5,000.00	30,000.00
					72500	Supplies		570.30	800.00	800.00	800.00	2,970.30
		Subtotal UNDP				6,082.94	84,487.41	65,800.00	65,800.00	80,800.00	302,970.35	
	ACTIVITY 7_UNEP: Project management	UNEP	30000	Gov of RF	61100	Staff-NP Costs		47,500.00	72,500.00	72,500.00	72,500.00	265,000.00
					71200	International Consultants (UNV)		30,000.00	30,000.00	30,000.00	30,000.00	120,000.00
					71400	Contractual services-individuals						-
					71600	Travels		12,500.00	15,285.05	12,500.00	12,500.00	52,785.05
					72200	Equipment and furniture						-
					72500	Supplies						-
					74200	Audiovizual & Print production						-
					75700	Trainings and Workshops						-
					74100	Management services		6,300.00	8,244.95	8,050.00	8,050.00	30,644.95
		subtotal UNEP				-	96,300.00	126,029.95	123,050.00	123,050.00	468,429.95	
	Sub-total Project Management						6,082.94	180,787.41	191,829.95	188,850.00	203,850.00	771,400.30
Subtotal						6,082.94	701,903.19	912,569.95	1,083,090.00	999,324.22	3,702,970.30	
General Management Services 8%						486.64	56,152.26	73,005.60	86,647.20	79,945.94	296,237.62	
Total costs						6,569.58	758,055.45	985,575.55	1,169,737.20	1,079,270.16	3,999,207.92	

* Project Initiation Plan costs

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The project will be implemented by UNDP through its Istanbul Regional Hub (IRH) within the framework of the Regional Programme for Europe and the CIS, under Direct Implementation Modality (DIM) as per corporate Programme and Operations Policies and Procedures. IRH Environment Team – Water Team will be involved in the project management, coordination and reporting. National activities will be implemented directly through the UNDP Country Offices in beneficiary countries (Azerbaijan, Kazakhstan, Iran and Turkmenistan).

A joint UNDP/UNEP Project Coordination Unit will be established, supported by the UNEP administered Tehran Convention Secretariat. UNDP will hire a Project Manager /Management Advisor or use the existing IRH Project Management capacities, for coordination of all project components. Other consultants will be recruited as needed for UNDP monitoring & evaluation processes (e.g. SESP, Terminal Evaluation, etc). UNEP will provide a project assistant and other technical experts as needed, as well as any administrative and logistic support.

The overall responsibility for the project oversight will be with the Manager of UNDP IRH, supported by the UNDP Regional Programme Coordinator. The Regional Technical Advisor (RTA) for International Waters will provide technical guidance on the project activities, supported by the Water Programme Analyst / Reg Programme Analyst.

The projects will be governed by a multi-stakeholder steering committee (PSC) that reviews performance based on established monitoring and evaluation metrics and high-level implementation issues to ensure quality delivery of results. The PSC is the most senior, dedicated oversight body for a UNDP 'Development Project', which is an instrument for UNDP to deliver outputs where UNDP has accountability for design, oversight, and quality assurance of the entire project. The PSC will be chaired by the Manager of the IRH.

The two prominent roles of the Project Steering Committee are as follows:

1. **High-level oversight of the project:** This is the primary function of the PSC. The PSC reviews evidence of project performance based on monitoring, evaluation and reporting, including progress reports, monitoring missions' reports, evaluations, risk logs, quality assessments, and the combined delivery report. The PSC is the main body responsible for taking corrective actions as needed to ensure the project achieves the desired results, and its function includes oversight of annual assessments of any major risks to the programme or project, and related decisions or agreements on actions or remedial measures to address them effectively.
2. **Approval of key project execution decisions:** The PSC has an equally important, secondary role in approving certain adjustments above provided tolerance levels, including substantive programmatic revisions and amendments, budget revisions, requests for suspension or extension and other major changes subject to additional funding partner or donor requirements.

In order to ensure UNDP's ultimate accountability, the PSC decisions should be made in accordance with the Quality Standards for Programming that shall ensure management for development results, best value money, fairness, integrity, transparency and effective national and international competition. An effective PSC needs credible data, evidence, quality assurance and reporting to aid decision making. The PSC also needs to be accountable to protect against conflicts of interest and fraud.

Specific responsibilities of the PSC include the following:

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints, and promote gender equality and social inclusion in the project implementation.
- Review project performance based on monitoring, evaluation, and reporting, including standard quality assurance checks, progress reports, risk logs, and financial reports as well as regular reports from the country-level Project Boards.
- Address any high-level project issues as raised by the regional project manager and project assurance.

- Provide guidance on emerging and/or pressing project risks and agree on possible mitigation and management actions to address specific risks.
- Agree or decide on project tolerances as required, within the parameters set in UNDP policies, and provide direction and decisions for exceptional situations when the project tolerances are exceeded. The budget revision up to 25% to re-phase activities among years, will not require prior approval of the PSC.
- Advise on major and minor amendments to the project within the parameters set by UNDP and the donor.
- Provide high-level direction and recommendations to the project management unit to ensure that the agreed deliverables are produced satisfactorily according to plans.
- Receive and address project level grievance, including overseeing whatever specific compliance and stakeholder response (or grievance) mechanisms have been put in place so that individuals and communities potentially affected by the project have access to effective mechanisms and procedures for raising concerns about the social and environmental performance of the project⁷.
- Engage in the low value grant selection process where there is no Grant Selection Committee, as guided by the UNDP policy on Low Value Grants.
- Act as an informal consultation mechanism for stakeholders.

Composition of the Project Steering Committee:

1. **Project Executive:** UNDP Istanbul Regional Hub, represented by IRH Manager, who chairs the Project Steering Committee.
2. **Beneficiary Representatives:** UNDP Resident Representatives (RRs) in Azerbaijan, Iran, Kazakhstan, and Turkmenistan (representing the interests of those groups of stakeholders who will ultimately benefit from the project in each of the participating country). The RRs may designate the respective DRRs as their alternates on the PSC. The national stakeholders as the members of the Steering Committee will be the representatives from the countries- Tehran Convention Parties representatives.
3. **Development Partners:** comprising of representatives from UNDP BPPS, IRH Environment Team and UNEP

The Project Manager/PCU will provide secretarial support to the PSC. The PSC meets at least once a year, or more often as needed. The PSC will receive reports and relevant documents ahead of the PSC meeting. The PSC will be formed immediately upon start of the Project.

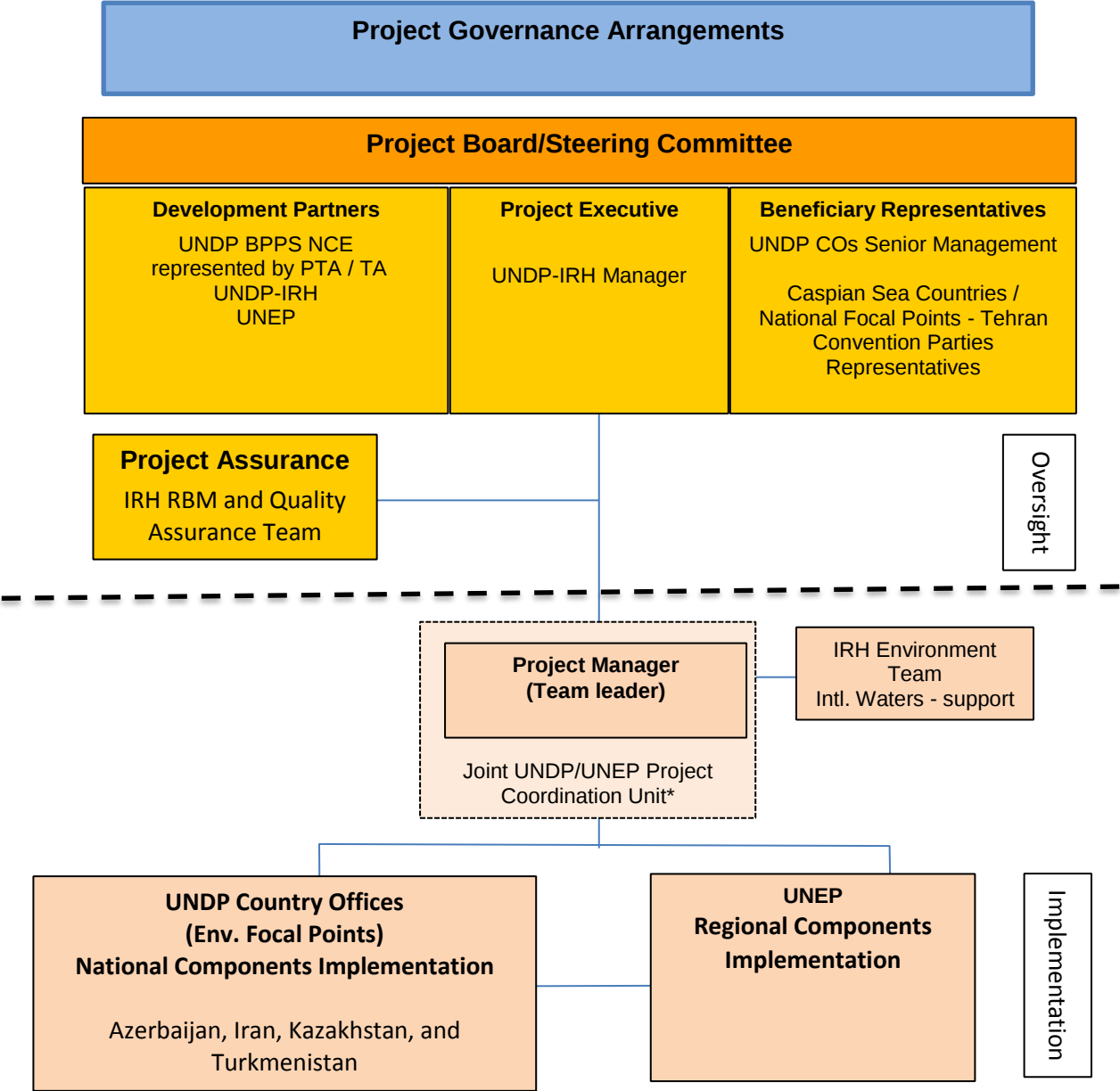
Support Functions to the PSC

There are two main functions outside the PSC structure whose role is to report to the PSC and support PSC members in effectively fulfilling their roles: project assurance and project management.

Project Assurance: Project assurance is the responsibility of each PSC member; however, UNDP has a distinct assurance role for all UNDP projects in carrying out objective and independent project oversight and monitoring functions. UNDP performs quality assurance and supports the Project Board by carrying out objective and independent project oversight and monitoring functions, including applying UNDP's social and environmental management system to ensure the SES are applied through the project cycle. The PSC cannot delegate any of its quality assurance responsibilities to the Project Manager. Thus, this role will be held by the Regional RBM/QA/RP Coordination Specialist, IRH.

⁷ The responsibilities of the board in this regard should follow [UNDP's Social and Environmental Standards](#) (SES) as codified in the PPM. It should be noted that while a project board can play a role in addressing or assisting with the compliance and stakeholder response (or grievance) mechanisms put in place for a given project (as part of their quality assurance and oversight function), this will be in addition to and does not substitute for UNDP's core responsibility to ensure compliance with the SES throughout the project management cycle as part of UNDP's Programming Quality Assurance system.

Project Management and Support: UNDP, jointly with UNEP as a Responsible Party will be responsible for the overall management of the project, including the mobilization of all project inputs, supervision over project staff, other responsible parties, consultants and sub-contractors. The project manager typically presents key deliverables and documents to the PSC for review and approval, including progress reports, annual work plans, adjustments to tolerance levels and risk logs.



*PCU supported by the Tehran Convention Secretariat, administered by UNEP.
PCU functions: Project Manager / Management Advisor, Project Assistant, Tech. Experts

IX. LEGAL CONTEXT

This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the “Project Document” instrument referred to in: (i) the respective signed SBAs for the specific countries; or (ii) in the [Supplemental Provisions to the Project Document](#) attached to the Project Document in cases where the recipient country has not signed an SBA with UNDP, attached hereto and forming an integral part hereof. All references in the SBA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

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

X. RISK MANAGEMENT

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the [project funds]⁸ [UNDP funds received pursuant to the Project Document]⁹ are used to provide support to individuals or entities associated with terrorism , that the recipients of any amounts provided by UNDP hereunder do not appear on the United Nations Security Council Consolidated Sanctions List, and that no UNDP funds received pursuant to the Project Document are used for money laundering activities. The United Nations Security Council Consolidated Sanctions List can be accessed via <https://www.un.org/securitycouncil/content/un-sc-consolidated-list>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. In the implementation of the activities under this Project Document, UNDP as the Implementing Partner will handle any sexual exploitation and abuse (“SEA”) and sexual harassment (“SH”) allegations in accordance with its regulations, rules, policies and procedures.
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.

⁸ To be used where UNDP is the Implementing Partner

⁹ To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

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7. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor, and sub-recipient:
- a. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP's property in such responsible party's, subcontractor's and sub-recipient's custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
 - i. Put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
 - ii. Assume all risks and liabilities related to such responsible party's, subcontractor's and sub-recipient's security, and the full implementation of the security plan.
 - b. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible party's, subcontractor's and sub-recipient's obligations under this Project Document.
 - c. Each responsible party, subcontractor and sub-recipient (each a "sub-party" and together "sub-parties") acknowledges and agrees that UNDP will not tolerate sexual harassment and sexual exploitation and abuse of anyone by the sub-parties, and other entities involved in Project implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Document.
 - (a) In the implementation of the activities under this Project Document, each sub-party shall comply with the standards of conduct set forth in the Secretary General's Bulletin ST/SGB/2003/13 of 9 October 2003, concerning "Special measures for protection from sexual exploitation and sexual abuse" ("SEA").
 - (b) Moreover, and without limitation to the application of other regulations, rules, policies and procedures bearing upon the performance of the activities under this Project Document, in the implementation of activities, each sub-party, shall not engage in any form of sexual harassment ("SH"). SH is defined as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment. SH may occur in the workplace or in connection with work. While typically involving a pattern of conduct, SH may take the form of a single incident. In assessing the reasonableness of expectations or perceptions, the perspective of the person who is the target of the conduct shall be considered.
 - d. In the performance of the activities under this Project Document, each sub-party shall (with respect to its own activities), and shall require from its sub-parties (with respect to their activities) that they, have minimum standards and procedures in place, or a plan to develop and/or improve such standards and procedures in order to be able to take effective preventive and investigative action. These should include: policies on sexual harassment and sexual exploitation and abuse; policies on whistleblowing/protection against retaliation; and complaints, disciplinary and investigative mechanisms. In line with this, sub-parties will and will require that their respective sub-parties will take all appropriate measures to:
 - (i) Prevent its employees, agents or any other persons engaged to perform any services under this Project Document, from engaging in SH or SEA;
 - (ii) Offer employees and associated personnel training on prevention and response to SH and SEA, where sub-parties have not put in place its own training regarding the prevention of SH and SEA, sub-parties may use the training material available at UNDP;
 - (iii) Report and monitor allegations of SH and SEA of which any of the sub-parties have been informed or have otherwise become aware, and status thereof;
 - (iv) Refer victims/survivors of SH and SEA to safe and confidential victim assistance; and

- (v) Promptly and confidentially record and investigate any allegations credible enough to warrant an investigation of SH or SEA. Each sub-party shall advise UNDP of any such allegations received and investigations being conducted by itself or any of its sub-parties with respect to their activities under the Project Document, and shall keep UNDP informed during the investigation by it or any of such sub-parties, to the extent that such notification (i) does not jeopardize the conduct of the investigation, including but not limited to the safety or security of persons, and/or (ii) is not in contravention of any laws applicable to it. Following the investigation, the relevant sub-party shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.
- e. Each sub-party shall establish that it has complied with the foregoing, to the satisfaction of UNDP, when requested by UNDP or any party acting on its behalf to provide such confirmation. Failure of the relevant sub-party to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.
 - f. Each responsible party, subcontractor and sub-recipient will ensure that any project activities undertaken by them will be implemented in a manner consistent with the UNDP Social and Environmental Standards and shall ensure that any incidents or issues of non-compliance shall be reported to UNDP in accordance with UNDP Social and Environmental Standards.
 - g. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud, corruption or other financial irregularities, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption, anti-fraud and anti money laundering and countering the financing of terrorism policies are in place and enforced for all funding received from or through UNDP.
 - h. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices (b) UNDP Anti-Money Laundering and Countering the Financing of Terrorism Policy; and (c) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.
 - i. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.
 - j. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud, corruption other financial irregularities with due confidentiality.
 - k. Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.
 - l. NDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud corruption, other financial irregularities or otherwise paid other than in accordance with the terms and conditions of this Project Document. Such amount may be deducted by UNDP from any payment due to the

responsible party, subcontractor or sub-recipient under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail any responsible party's, subcontractor's or sub-recipient's obligations under this Project Document.

Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud, corruption or other financial irregularities, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

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

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

XI. ANNEXES

- 1. Project Quality Assurance Report**
- 2. Social and Environmental Screening Report**
- 3. Risk Analysis**
- 4. Project Theory of Change**
- 5. Project Steering Committee Terms of Reference and TORs of key management positions.**
- 6. Stakeholder Engagement Plan**
- 7. Gender Analysis and Plan**