



ADAPTATION FUND

## ADAPTATION FUND BOARD SECRETARIAT TECHNICAL REVIEW OF PROJECT/PROGRAMME PROPOSAL

PROJECT/PROGRAMME CATEGORY: Full Proposal

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Country/Region: **Iran, Islamic Republic of**  
 Project Title: **Reducing vulnerability to climate change in the Lake Bakhtegan Basin**  
 Thematic Focal Area: **Water Management**  
 Implementing Entity: **United Nations Development Programme (UNDP)**  
 AF Project ID: **IRN/MIE/Water/2018/1**  
 IE Project ID: **IRN/MIE/Water/2018/1** Requested Financing from Adaptation Fund (US Dollars): **9,865,651**  
 Reviewer and contact person: **Mr. Hugo Remaury** Co-reviewer(s): **Mr. Dirk Lamberts**  
 IE Contact Person: **Ms. Lianchawii Chhakchhuak**

| Review Criteria     | Questions  | Comments 1st May 2019 | Comments 15th May 2019   | UNDP Response |
|---------------------|--|-----------------------|--|---------------|
| Country Eligibility | 1. Is the country party to the Kyoto Protocol?   | Yes.                  |  |               |
|                     | 2. Is the country a developing country particularly vulnerable to the adverse effects of climate change?               | Yes.                  |  |               |
| Project Eligibility | 1. Has the designated government authority for the Adaptation Fund endorsed the project/programme?                     | Yes.                  |  |               |
|                     | 2. Does the length of the proposal amount to no more than Fifty pages for the project/programme concept, including its | Yes                   | CAR 6: Please ensure compliance with pages' limitation set for fully-developed project document and their annexes. |               |

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|  | annexes; or One hundred pages for the fully-developed project document, and one hundred pages for its annexes?  |  |   |  |
|  | 3. Does the project / programme support concrete adaptation actions to assist the country in addressing adaptive capacity to the adverse effects of climate change and build in climate resilience? | <p>CR 1: Please explain how the project will ensure that the alternative livelihoods activities that will be identified in output 2.2 will generate sufficient economic returns (e.g. using estimated Net Present Value or Internal/Economic Rate of Return) to ensure the sustainability of the activities supported beyond the project lifetime.</p> <p>CR2: Some activities described under output 3.1 (para 135) are not mentioned or do not have corresponding targets, means of verification or risks/assumptions in the project results framework (section E of the proposal). Please include such information in the results framework and ensure coherence between the description of the activities and the information provided in the results framework.</p> | <p>CR1: Addressed, as per information provided on page 29.</p> <p>CR2: Addressed, as per information provided on page 82.</p> |  |
|  | 4. Does the project / programme provide   | Likely.  |   |  |

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|  | economic, social and environmental benefits, particularly to vulnerable communities, including gender considerations, while avoiding or mitigating negative impacts, in compliance with the Environmental and Social Policy and Gender Policy of the Fund?                     | CR3: Please describe the process (and associated selection criteria) through which the project will distribute benefits from output 2.1 amongst beneficiaries. | CR3: Addressed, as per information provided on page 27. |  |
|  | 5. Is the project / programme cost effective?  | Yes.   |   |  |
|  | 6. Is the project / programme consistent with national or sub-national sustainable development strategies, national or sub-national development plans, poverty reduction strategies, national communications and adaptation programs of action and other relevant instruments? | Yes.   |   |  |
|  | 7. Does the project / programme meet the relevant national technical standards, where applicable, in   | Unclear. The section entitled "D. Technical Viability" includes an overview of relevant regulations and national technical standards,                          |   |  |

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|  | <p>compliance with the Environmental and Social Policy of the Fund?</p> | <p>as well as a statement that the project conforms with these. However, apart from information on compliance with national EIA requirements, the proposal does not state what are the implications of these regulations and standard requirements for the project, nor how it will comply with them.</p> <p>CR4: Please clarify compliance of the project activities (those which have been already identified) with all relevant technical standards listed in that section, notably in table 10.</p> <p>Regarding compliance with national EIA regulations, the requirements are unclear. For instance, the proposal includes apparently contradictory information, stating on one hand that <i>“Any development project affecting more than 5000 ha in any part of the country or projects in protected areas requires EIA assessment and authorization by DoE prior</i></p> | <p>CR4: Not addressed. Please describe how the project activities meets relevant national standards (kindly refer to OPG Annex 5 for further guidance on compliance with this criterion).</p> | <p>CR4: The ESMF contains a methodology for compliance with AF Principles, the first of which is compliance with the law. This is further reinforced in the pre-screening template which, even before formal USP screening takes place, requires the identification of all relevant national laws and regulations, and a listing of any applications for permits, etc., that have been made. Ongoing monitoring, and ongoing stakeholder consultation (relevant authorities are an important stakeholder), ensure continued compliance.</p> |
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|  |  | <p><i>to implementation</i>" – para 221 while on the other hand explaining that none of the proposed activities/outputs require Environmental Impact Assessments (paras 223 and 225), although the project is said to affect areas much larger than 5,000 ha.</p> <p>CR5: Please clarify the requirements for the project to comply with national EIA regulations, and in particular the outcome of the screening process.</p> <p>The DoE is the executing entity of the project while at the same time it is charged with enforcing compliance with relevant national EIA regulations.</p> <p>CR6: Please clarify how this conflict of interest will be addressed.</p> <p>CR7: Given the various USPs (see CAR1 below), please describe in the ESMP how the project will ensure compliance with all relevant national technical standards once the activities will be identified.</p> | <p>CR5: Not addressed. Please clarify in an evidence-based and substantiated manner the requirements for the project activities to comply with national EIA regulations and describe the outcomes of the EIA screening process.</p> <p>CR6: Addressed, as per information provided on page 50.</p> <p>CR7: Not addressed. Given the various USPs, please describe in the ESMP how the project will ensure</p> | <p>CR5: As per decision made by Environment High Council and Cabinet in June 2011, 53 types of projects require EIA report and confirmation of the Department of Environment (DOE) for further implementation. These projects fall under 7 main categories, including 1) Rails, Roads and Airports 2) Power plants 3) Petrochemical, Refineries 4) oil and gas pipe lines 4) Mine and industries 5) Large dams and water infrastructures 6) Large service providing projects 7) Agro-Industry Units. The proposed activities under the AF project do not fall under any of the above 7 categories and hence are not envisaged as requiring EIA. Nevertheless, screening of USPs against AF Principles has not yet taken place and cannot be pre-empted. While at this stage it is not envisaged that any USP will require a full EIA/ESIA, as further screening of all USPs is to take place as part of project implementation, it cannot be ruled out. Procedures for screening against AF requirements, in a manner commensurate with a project's magnitude</p> |
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|  |   |  | compliance with all relevant national technical standards once the activities will be identified.   | and likely impacts, are detailed in the ESMF in Annex 10.<br><br>The changes have been reflected in para 220.<br><br>CR 5: The ESMF (Annex 10) contains procedures for assessing each project's projected E&S impacts, and a means of managing them. This will be done to an extent that is commensurate with likely impacts. "Commensurate with likely impacts" covers a wide range of assessment, from a brief discussion with local stakeholders (for a very small scale one-off activity), to a full EIA where needed, although this is not currently foreseen. In the event that an EIA is required by law, this is covered by Principle 1: compliance with the law, which is the first part of screening for AF compliance.<br><br>CR 7: Procedure for USPs included in the ESMF – Annex 10. |
|  | 8. Is there duplication of project / programme with other funding sources?  | No.  |   |  |
|  | 9. Does the project / programme have a learning and knowledge management component to capture and feedback lessons? | Yes.<br><br>CR8: Please clarify who will be the "Implementing Agency" to whom the website and associated social medias will be handed over at project closure. | CR8: Not addressed. Please elaborate on the measures "that will be put in place to ensure sustainability and continuation of these platforms" at project end. | CR8: Based on previous experience of joint projects with line ministries and entities, the concerned education and public relation offices responsible for KM products and updating website will be involved in the project activities from the initial stages. Project KM products will be reflected both in project and ministry website and in training modules. The handing over process will be done gradually with the Department of   |

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|  |  |      |  | <p>Environment (DoE). The project will have a specific section in the DoE website with agreed process for its maintenance. Based on best practices of other development projects, in the final year of project, a data bank of knowledge products will be developed and shared among all stakeholders and published in DoE and other related ministries' website.</p> <p>This has been reflected in Para 241.</p> |
|  | 10. Has a consultative process taken place, and has it involved all key stakeholders, and vulnerable groups, including gender considerations in compliance with the Environmental and Social Policy and Gender Policy of the Fund? | Yes. |  |   |
|  | 11. Is the requested financing justified on the basis of full cost of adaptation reasoning?  | Yes. |  |   |
|  | 12. Is the project / program aligned with AF's results framework?  | Yes. |  |   |
|  | 13. Has the sustainability of the project/programme outcomes been taken into account when  | Yes. |  |   |

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|  | designing the project?   |  |  |   |
|  | 14. Does the project / programme provide an overview of environmental and social impacts / risks identified, in compliance with the Environmental and Social Policy and Gender Policy of the Fund? | <p>The overview of environmental and social impacts/risks identified does not comply with the AF ESP and GP. The proposal presents a table of ESP risks for each of the 15 ESP principles, together with information on substantiation of risks findings, and suggesting safeguard measures for each risk identified. Most of the project activities (Components 2 and 3) are unidentified sub-projects (USPs) and the proposal does include an acceptable justification for most of the USPs.</p> <p>Moreover, the presented ESP risk findings for the known activities and their justification and suggested safeguard measures are not in line with the ESP that requires comprehensive, evidence-based risks finding, and impact assessment-based measures to avoid unnecessary negative impacts.</p> <p>Para 183 (as well as the ESMF annex) are presented in the form of the ESMS of the Implementing Entity. Please note that project proposals are evaluated for compliance with</p> |  | <p>CAR1:<br/>The project as a whole seeks to provide a framework to enable stakeholders to assist in the design, as well as the implementation of the unidentified sub-projects. The act of stakeholders taking part in the identification and design of their own local on-the-ground activities, is an integral aim of the project, as well as an important aspect of its design to make sure all stakeholders have the opportunity to practice new approaches and also secure embedding it in regular governmental processes.. The project also seeks to provide the framework for such activities, designed and implemented by the communities concerned in a manner fully consistent with AF's ESP and gender policy requirements, to take place.</p> <p>Additional text has been added on page 20 and 21 outlining the justification for USPs.</p> <p>Further, for activities under output 2.1 as already explained under para 103, there is a clear and predefined process and type of intervention in all selected villages and selected farmlands. While the majority of the aspects of the subprojects have been identified so far, the selection of appropriate technologies for each individual village and farm requires further stakeholder consultations which will be done during the project implementation phase and support sustainability of project results and achievements in later stages. As all farmlands are owned by local communities, previous similar experiences show that top-down</p> |



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|  |  | <p>the ESP and the GP of the AF and project risks should be assessed against the AF's 15 principles.</p> <p>The grievance mechanism is described in paragraphs 188-189.</p> <p>CAR1: Please demonstrate compliance of the project with the AF's ESP, and the GP for the USPs. Please refer to the Guidance document for Implementing Entities on compliance with the Adaptation Fund Environmental and Social Policy: <a href="https://www.adaptation-fund.org/documents-publications/operational-policies-guidelines/">https://www.adaptation-fund.org/documents-publications/operational-policies-guidelines/</a> and <a href="https://www.adaptation-fund.org/wp-content/uploads/2019/04/AFB.B.32-33.7-Compliance-with-ESP-Update-of-PPR-and-Guidance-for-USPs-revised.pdf">https://www.adaptation-fund.org/wp-content/uploads/2019/04/AFB.B.32-33.7-Compliance-with-ESP-Update-of-PPR-and-Guidance-for-USPs-revised.pdf</a> for specific guidance on USPs and i) provide an acceptable and legitimate justification on why such activities could not be identified prior to the submission of the funding application; ii) describe the process that will be applied</p> | <p>CAR1: Not addressed. Please provide an acceptable and legitimate justification on why the unidentified sub-projects of outputs 2.1 and 3.2 could not be identified prior to the submission of the funding application. The revised ESMF procedure described in Annex 10 (including 34 additional pages on generic impact mitigation strategies) lacks specificity and is unclear on a number of issues. This is mostly due to the amalgamation of requirements to comply simultaneously with the IE's own ESMS and the AF ESP and GP. Given the fundamentally different approaches, it is unclear if or how this will lead to meeting the funding requirement of AF ESP and GP compliance. In general, no details are required in a funding request on how the IE will meet its own ESMS</p> | <p>changes will be rejected or may lead to strong resistance by local communities. Such changes require a trust building process among local communities and authorities.</p> <p>A social and environmental screening process has been developed to ensure AF's 15 principles are addressed for selected farmlands. More details are provided in page 28</p> <p>Most of output 3.2 have clear identified activities and processes. However, working in complex ecosystems like wetlands which are impacted by any changes at their basin (man-made or natural) have inherent uncertainties and require adaptive management that offers a strategy for filling information gaps during project implementation. This output is also closely connected with other outputs. For example, planning for realizing wetland water rights is linked to decisions made in component 1 and 4. Hence, some of the sub-activities under output 3.2 need flexibility to adapt with results from other outputs and cannot be defined during the project preparation phase. All unidentified sub-projects will be screened against the AF's 15 criteria and gender policy requirements, as elaborated in the ESMF in Annex 10.</p> |
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|                       |   | <p>during project implementation to ensure ESP and GP compliance for the USPs; and iii) include an Environmental and Social Management Plan (ESMP). This ESMP should describe the review process that will ensure that ESP-related risks are identified among USPs. It should i) include a detailed, budgeted process for ESP and GP compliance for each USP; ii) allocate clear roles and responsibilities for applying ESP and GP compliance processes to the USPs; and iii) explain how the IE will work with the Executing Entities to implement the ESMP.</p> | <p>requirements. The proposal must, on the other hand, clearly demonstrate compliance with the AF ESP and GP to be eligible for funding. Please demonstrate compliance of the project with the AF's ESP and the GP.</p> |  |
| Resource Availability | 1. Is the requested project / programme funding within the cap of the country?  | Yes.   |   |  |
|                       | 2. Is the Implementing Entity Management Fee at or below 8.5 per cent of the total project/programme budget before the fee? | Yes.   |   |  |
|                       | 3. Are the Project/Programme Execution Costs at or below 9.5 per cent of the total project/programme                        | Yes.   |   |  |

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|                             | budget (including the fee)?  |   |   |   |
| Eligibility of IE           | 4. Is the project/programme submitted through an eligible Implementing Entity that has been accredited by the Board?   | Yes.  |   |   |
| Implementation Arrangements | 1. Is there adequate arrangement for project / programme management, in compliance with the Gender Policy of the Fund? | <p>Yet to be demonstrated.</p> <p>CR9: Please provide a brief description of roles, responsibilities and rationale for involvement of each implementing and executing entity that will be involved in the project implementation (MOJA, MFA, DOE, among others).</p> <p>CAR2: The proposal indicates that UNDP will provide execution services to the project to the amount of USD357,639.23. Please ensure compliance of the proposal with the Annex 7 of the Operating Policies and Guidelines of the Fund on this topic (<a href="https://www.adaptation-fund.org/documents-publications/operational-policies-guidelines/">https://www.adaptation-fund.org/documents-publications/operational-policies-guidelines/</a>).</p> | <p>CR9: Addressed, as per information provided on page 72.</p> <p>CAR2: Not addressed. Please ensure compliance of the proposal with the Annex 7 of the Operating Policies and Guidelines of the Fund on the topic of provision of execution services to the amount of USD357,639.23 (<a href="https://www.adaptation-fund.org/documents-publications/operational-policies-guidelines/">https://www.adaptation-fund.org/documents-publications/operational-policies-guidelines/</a>).</p> | <p>CAR 2:<br/>The execution services provided by IE has been reduced to 1.5% of the project/programme cost according to the Annex 7 of the Operating Policies and Guidelines of the Fund. The total amount is now \$136,391.</p> <p>Changes have been reflected in the budget in Table G, page 90 and the corresponding budget note in page 96.</p> |
|                             | 2. Are there measures for financial and  | Yes.  |   |   |

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|  | project/programme risk management?   |   |  |  |
|  | 3. Are there measures in place for the management of for environmental and social risks, in line with the Environmental and Social Policy and Gender Policy of the Fund? | <p>The proposed measures for management of environmental and social risks, both in the main proposal and in the ESMF annex, are not in line with the ESP and GP of the AF (please see also CAR 1).</p> <p>CAR3: Please provide implementation arrangements for the management of the environmental and social risks of the project in line with the ESP and GP. This should include an ESMP to comply with the ESP and GP for the USPs.</p>   | <p>CAR3: Not addressed (see findings for CAR1). Please provide implementation arrangements for the management of the environmental and social risks of the project in line with the ESP and GP.</p>  | <p>Implementation arrangements are in line with the AF's ESP and GP as provided in the ESMF in Annex 10 which also includes a pre-screening checklist against AF's 15 principles.</p>  |
|  | 4. Is a budget on the Implementing Entity Management Fee use included?   | <p>Yes.</p> <p>CAR4: the description of the IE fee does not comply with budget-related requirements for projects where IEs provide execution services. Please align IE fee description and breakdown with AF requirements in such cases (see Annex 7 of the OPG <a href="https://www.adaptation-fund.org/documents-publications/operational-policies-guidelines/">https://www.adaptation-fund.org/documents-publications/operational-policies-guidelines/</a> and AF guidance on costs and fees</p> | <p>CAR4: Not addressed. Please align IE fee description and breakdown with AF requirements in cases where IEs provide execution services (see Annex 7 of the OPG <a href="https://www.adaptation-fund.org/documents-publications/operational-policies-guidelines/">https://www.adaptation-fund.org/documents-publications/operational-policies-guidelines/</a> and AF guidance on costs and fees <a href="https://www.adaptationfund.org/">https://www.adaptationfund.org/</a></p> | <p>CAR 4:<br/>The mid-term evaluation (MTR) is required for projects over 3 years, according to AF's OPG, p.21. Hence, the cost for providing oversight of MTR will be charged to IE fee. The MTR will be paid by the project execution cost<br/>For any further clarification, UNDP directorate can be contacted at <a href="mailto:Nancy.bennet@undp.org">Nancy.bennet@undp.org</a>.</p> |

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|   | <a href="https://www.adaptationfund.org/generic/costs-and-fees">https://www.adaptationfund.org/generic/costs-and-fees</a> ).   | <a href="https://www.adaptationfund.org/generic/costs-and-fees">org/generic/costs-and-fees</a> ).  |   |
| 5. Is an explanation and a breakdown of the execution costs included?   | Yes.<br><br>CAR 5: Please amend the budget and the execution costs breakdown to comply with costs and fee rules for AF projects and Annex 7 of the OPG (see links above).  | CAR5: Not addressed. Please amend the budget and the execution costs breakdown to comply with costs and fee rules for AF projects and Annex 7 of the OPG (see links above) | CAR 5:<br>The budget and the execution costs have been amended to comply with Annex 7 of the Operating Policies and Guidelines of the Fund. |
| 6. Is a detailed budget including budget notes included?  | Yes.   |  |   |
| 7. Are arrangements for monitoring and evaluation clearly defined, including budgeted M&E plans and sex-disaggregated data, targets and indicators, in compliance with the Gender Policy of the Fund? | Not yet.<br><br>CR10: Please briefly explain how the targets set in the gender action plan are reducing unequal participation and representation of men and women compared to the baseline described in the initial gender assessment. | CR10 Addressed, as per information provided in UNDP response sheet and the gender action plan/annexes.   |   |
| 8. Does the M&E Framework include a break-down of how implementing entity IE fees will be utilized in the supervision of the M&E function?  | Yes.   |  |   |
| 9. Does the project/programme's results framework   | Yes.   |  |   |

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|  | align with the AF's results framework? Does it include at least one core outcome indicator from the Fund's results framework? |      |  |  |
|  | 10. Is a disbursement schedule with time-bound milestones included?   | Yes. |  |  |

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| Technical Summary | <p>The objective of the project is to increase the resilience of communities and the natural environment of the Bakhtegan Basin to climate variability and change through integrated landscape management. This is planned to be achieved through the implementation of the following components:</p> <ul style="list-style-type: none"> <li>• Strengthened knowledge of climate risk, climate change and the environmental situation to support development of long-term climate resilience in the Bakhtegan Basin using a decision support system;</li> <li>• Strengthened resilience of communities in the Bakhtegan Basin through community empowerment and implementation of climate smart agriculture and alternative livelihoods;</li> <li>• Strengthened resilience of local ecosystems through targeted interventions in key locations;</li> <li>• Reinforced capacity at the local, regional and national level for improved governance and decision making in relation to climate risk management and effective implementation of adaptation measures.</li> </ul> <p>The proposal needs to address issues related to the extensive use of various unidentified sub-projects (USPs), to clarify the expected economic return from some of the proposed activities and further describe how benefits distribution will be handled for some activities. In addition, the proposal should demonstrate full compliance with the Environmental and Social Policy and the Gender Policy of the Adaptation Fund. Finally, the proposal should further demonstrate its compliance with Annex 7 of the OPG regarding the provision of execution services and should comply with AF guidance on fees and costs.</p> <p>The document needs to be revised accordingly. A number of issues were raised through the initial review, with a number of Corrective Action Requests (CAR) and Clarification Requests (CR) listed above.</p> <p>The final review finds that the fully-developed proposal document has not addressed most of the requests and does not provided sufficient information at this stage. The following observations are made:</p> <ol style="list-style-type: none"> <li>1. The proposal should explain how the project will meet relevant national standards that would apply to the project interventions;</li> <li>2. The proposal should explain the rationale for not fully identifying the activities of components 2 and 3 prior</li> </ol> |
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|       | to the submission of the funding application;<br>3. The proposal should identify and manage environmental and social risks in line with the Environmental and Social Policy of the Adaptation Fund. In particular, it should describe how it will achieve this for the USPs, and explain how it will comply with the AF Gender Policy for these USPs. |
| Date: | 5/20/2019   |



## PROJECT/PROGRAMME PROPOSAL TO THE ADAPTATION FUND

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| Project/Programme Category:    | Regular  |
| Country/ies:                   | Iran   |
| Title of Project/Programme:    | Reducing vulnerability to climate change in the Lake Bakhtegan Basin. (UNDP PIMS 6190) |
| Type of Implementing Entity:   | Multilateral Implementing Entity   |
| Implementing Entity:           | United Nations Development Programme   |
| Executing Entity/ies:          | Department of Environment (DoE)  |
| Amount of Financing Requested: | <b>US\$ 9,865,653</b> (in U.S Dollars Equivalent)                                      |

### PROJECT / PROGRAMME BACKGROUND AND CONTEXT:

#### National context

1. According to Iran's Second National Communication to the UNFCCC "*Iran is highly vulnerable to the adverse impacts of climate change. It is a country with arid and semi-arid areas, limited water availability, low forest cover, liable to drought and desertification, prone to floods, high urban atmospheric pollution, fragile mountainous ecosystems.*"
2. It is well documented that the west of Asia region has experienced climate changes, water shortages, and disruptions to agriculture and human settlement for millennia<sup>1</sup>. The Middle East and North Africa (MENA) is the most water scarce region in the world. With combined effects of a predominantly arid climate, rapid population increases, increased demand for water, climate change, and transboundary water management issues, Iran, along with other MENA countries, is faced with a growing water crisis situation<sup>2</sup>. The rapid growth in demand for water in Iran has led to severe depletion of available water with annual renewable water availability per capita projected to be at crisis level by 2021<sup>3</sup>. In a recent World Resources Institute study, Iran ranks 13<sup>th</sup> out of 33 countries identified as likely to face severe water stress by 2040<sup>4</sup> under a Business as Usual scenario. In the mid-1960s with a population of 19 million water per capita was 7000 cubic metres per annum. By 2014, with a population of 70 million, this figure had reduced to less than 1900 cubic metres per annum, and with projected population increases is expected to be approximately 1400 cubic metres per annum by 2025<sup>5</sup>.
3. The Islamic Republic of Iran, with an area of 1,648,195 square kilometres, is mostly a mountainous and semi-arid land. The climate is mainly influenced by a sub-tropical high-pressure belt, with three climate types according to the Koppen climate classification; arid and semi-arid; temperate-mesothermal; continental-microclimate. Approximately 97 percent of the country is arid or semi-arid with an average annual rainfall of 240mm, less than a third of the world's average precipitation<sup>6</sup>. Annual rainfall in the inland dry deserts of Iran can be as low as only 10mm. Rainfall is very seasonal with only 10 percent of the annual rainfall occurring during the hot and dry seasons in the central, southern and eastern areas of the country<sup>7</sup>. Average annual rainfall over most of the country is about 200mm. Temperatures vary from -6°C to 21°C in January and 19-39°C in July<sup>8</sup>.

<sup>1</sup> Kaniewski, Daniel, Van Campo, Elise, Weiss, Harvey. 2012. Drought is a recurring challenge in the Middle East. PNAS 109 (10) 3862-3867

<sup>2</sup> World Bank. 2017. Beyond Scarcity: Water Security in the Middle East and North Africa.

<sup>3</sup> Iran Second National Communication to the UNFCCC. 2010.

<sup>4</sup> Luo, T., R. Young, P. Reig. 2015. "Aqueduct Projected Water Stress Country Rankings." Technical Note. Washington, D.C.: World Resources Institute. Available online at: [www.wri.org/publication/aqueduct-projected-water-stresscountry-rankings](http://www.wri.org/publication/aqueduct-projected-water-stresscountry-rankings)

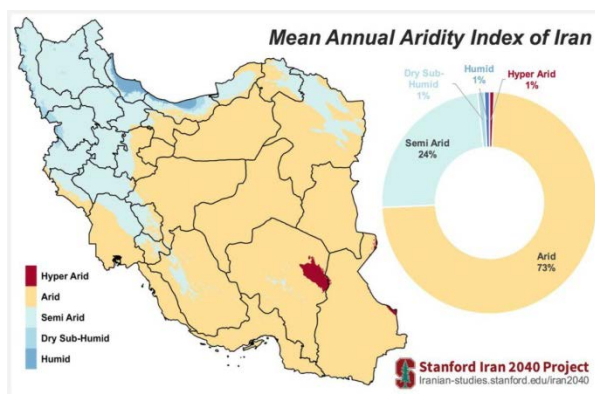
<sup>5</sup> Garshasbi, Parviz. 2014. *Drought conditions and management strategies in Iran*. Report presented to UN Water Regional Workshop for Near East and North Africa Region on Capacity Development to support National Drought Management Policies, 17-20 November 2014.

<sup>6</sup> Department of Environment. 2016. Islamic Republic of Iran Revised National Biodiversity Strategies and Action Plan (NBSAP2) 2016-2030.

<sup>7</sup> Garshasbi, Parviz. 2014. *Drought conditions and management strategies in Iran*. Report presented to UN Water Regional Workshop for Near East and North Africa Region on Capacity Development to support National Drought Management Policies, 17-20 November 2014. [http://www.ais.unwater.org/ais/pluginfile.php/605/mod\\_page/content/23/Iran.pdf](http://www.ais.unwater.org/ais/pluginfile.php/605/mod_page/content/23/Iran.pdf)

<sup>8</sup> Iran Second National Communication to the UNFCCC. 2010.





**Figure 1: Mean annual aridity index for Iran**

4. Mean annual temperatures have increased in Iran based on analysis of data from 1960-2010, with an increase in minimum temperatures over this period of approximately 2°C and an increase in maximum temperatures of approximately 1°C. Annual rainfall is already low throughout most of Iran and for the most part there have been no significant changes over the 1960-2010 period<sup>9</sup>. Projections to the 2015-30 period compared to 1982-2009 indicate average temperature increases of approximately 0.5°C, with variable and uncertain changes in precipitation. Projected temperature increases of up to 3-4°C by 2100 were identified in Iran's Second National Communication to the UNFCCC, with uncertain changes in precipitation. Continued temperature increases, combined with the already low rainfall throughout most of Iran, will increase the risk of drought over time. *"According to the long-term climate predictions, the provinces and areas south of the Zagros Mountains range will experience the greatest decline in snowfall. This will have important consequences on surface and underground water resources and thus the availability of water for irrigation in these areas."*<sup>10</sup>
5. With high summer temperatures and low summer rainfall, combined with low annual rainfall in most areas, the drought risk is very high. The severe drought experienced from 1999-2002 resulted in an estimated \$3.5 billion worth of damage, killed 800,000 head of livestock and dried up major inland reservoirs and lakes<sup>11</sup>. Unlike other natural disasters, which have immediate and obvious impact, the impacts of drought are insidious. These impacts are experienced throughout the economy, society and environment with often long-lasting consequences. Based on an analysis of the economic impacts of climate change induced water scarcity the MENA region is expected to experience the greatest economic losses, estimated at 6-14 percent of GDP by 2050<sup>12</sup>.
6. Iran's population has grown rapidly over the last sixty years, from approximately 19 million people in 1956 to approximately 80 million in 2016<sup>13</sup>. The increase has been notably greater in urban areas than rural. This difference reflects the rapid growth of urbanisation in Iran, with 73 percent of the population now living in urban areas compared to only 27 percent in 1950<sup>14</sup>. Within the context of the Iran government's policy of food self-sufficiency these changes in population and its distribution have had significant impacts. Among other factors the loss of arable land to increased urbanisation and the pressure to feed a rapidly growing population has placed enormous pressure on soil and water resources.
7. Iran is the second largest economy in the Middle East and North Africa (MENA) region with a Gross Domestic Product (GDP) in 2016/17 of 13,045 trillion Iranian Rials (USD377 billion)<sup>15</sup>. Iran's Human Development Index (HDI) value for 2013 was 0.749, which is in the 'high human development' category, positioning the country at 75 out of 187 countries and territories. Between 1980 and 2013, Iran's HDI value increased from 0.490 to 0.749, an increase of 52.9 percent. Life expectancy at birth increased by 19.9 years, mean years of schooling increased by 5.7 years and expected years of schooling increased by 6.5 years. Iran's Gross National Income (GNI) per capital increased from 5,065,499 Rials in 1996 to 7,465,317 Rials in 2012 (47.3% increase) using the base year 1997. Government investment in research increased from 0.4 percent of GDP in 2000 to 0.87 percent by 2009<sup>16</sup>. In 2011 Iran ranked first in scientific growth in the world and 17<sup>th</sup> in scientific production. The largest sector in Iran is the service sector, with agriculture ranking third behind industry, mining and manufacturing.

<sup>9</sup>Iran's Third National Communication to the UNFCCC. Chapter 4: Vulnerability and Adaptation Assessment, Climate Change Modelling. DRAFT.

<sup>10</sup>Iran Second National Communication to the UNFCCC. 2010.

<sup>11</sup>[http://www.un-spider.org/sites/default/files/iran\\_booklet\\_final\\_web\\_012016.pdf](http://www.un-spider.org/sites/default/files/iran_booklet_final_web_012016.pdf)

<sup>12</sup>World Bank. 2016. *High and Dry: Climate Change, Water, and the Economy*. Washington, DC: World Bank.

<sup>13</sup>Iran Census 2016

<sup>14</sup>Statistical Center of Iran

<sup>15</sup>International Monetary Fund. 2017. Islamic Republic of Iran: 2016 Article IV Consultation-Press Release; Staff Report; and Statement by the Executive Director for the Islamic Republic of Iran

<sup>16</sup> Source: [https://en.wikipedia.org/wiki/Economy\\_of\\_Iran](https://en.wikipedia.org/wiki/Economy_of_Iran)

8. Of Iran's total land area of 165 million hectares about 37 million hectares are suitable agriculture, of which 20 million hectares are irrigated and 17 million hectares are dryland<sup>17</sup>. Of the total agricultural land area, currently 18.5 million hectares are devoted to field crop production and horticulture. Of this, 6.4 million hectares are under annual irrigated crops, 2 million hectares are under horticultural crops and about 6.2 million hectares are under annual dryland crops. The remaining 3.9 million hectares are fallow. Cereals (predominantly wheat, but including rice, barley and maize) are grown on 70 percent of cultivated land. Other crops include various fruits, nuts, vegetables, cotton, sugarcane, sugar beet and spices. The main development challenges faced by agriculture and the rural sector include: a harsh physical environment; constraints to food security and self-sufficiency in major staple crops; low productivity of the many small-holder farmers with issues including water shortages and outdated and inefficient irrigation systems; rural poverty; limitation and application of and access to modern technologies; adverse impacts on the natural environment.
9. A consequence of the increased demand for and use of freshwater, predominantly for irrigated agriculture, has been severe impacts on natural ecosystems. Iran has a high natural biodiversity with natural habitats supporting over 8200 plants species of which 20 percent are endemic; 535 bird species; 197 mammal species, 227 reptile species, 21 amphibian species and 160 freshwater fish species<sup>18</sup>. Iran's wetlands, covering 1.7 percent of the total land area, provide important habitat for many species. Half of this area, amounting to 1.4 million hectares, is made up of the 24 wetland sites designated as Wetlands of International Importance (Ramsar sites) in Iran<sup>19</sup>. From studied wetlands of the country by 2013, about one third of them are under pressure or in a critical condition<sup>20</sup>. Extreme drought conditions have exacerbated the dramatic shrinking of inland water bodies in Iran, including the striking examples of Lake Urmia, the Hamoun Wetlands and Lake Bakhtegan which has affected the large number of communities around the ecosystems along with severe adverse impacts on biodiversity. While drought has played a significant role there has been a combination of factors that have led to this situation. The main causes are reduced precipitation, increasing temperatures, construction of dams in the past decades and diversion of surface water for farming which has also resulted in decreased recharge of groundwater<sup>21</sup>.
10. According to the National Biodiversity Strategies and Action Plan (NBSAP2) (page 18) *"Climate change, water shortages and the continuation of droughts are among the serious threats to biodiversity in the past and future that must be considered accurately. The location of Iran in the dry belt and building dams illogically has not been ineffective in causing water crises and desertification of large parts of the country especially in a land where its ancestors knew, from many years ago, that the most important enemy of the water in that land is the sun and learned to conduct the water into underground and roofed water storage tanks. For this reason, special attention must be paid to water management because it plays a significant role in biodiversity conservation."*
11. The importance of water management in Iran is reinforced through the recently published World Bank report on Water Security in the MENA<sup>22</sup> which states that *"A fundamental development challenge for the region is to take the actions necessary to navigate sustainable pathways toward water security. Sustainable pathways would anticipate and manage the inevitable increases in water scarcity and water-related risks—against a backdrop of climate change, urbanization, growing fiscal constraints, and widespread fragility and conflict. Planning and action are needed to strengthen the resilience of economies and societies to protect them from water-related disasters."*
12. This project aims to bring these issues into focus, within the context of climate change, in the Bakhtegan Basin in Fars Province in southern Iran. The Bakhtegan Basin is the heart of Persian civilization with the ruins of the ancient cities of Pasargadae and Persepolis within its boundaries. The story of the Bakhtegan Basin is in many ways the story of Iran. It encompasses a long history of wise resource management, the more recent decades of environmental mismanagement, the social, environmental and economic costs that have arisen as a result, and the unfolding impacts of climate change.

### **The Bakhtegan Basin<sup>23</sup>**

13. The Bakhtegan Basin is located in the northeast of Fars Province in the south of Iran and is home to 854,093 people<sup>24</sup>. It is one to the most important natural habitats in Iran covering an area of 2,724,592 hectares. 99.17 percent of the basin is in Fars province and minor parts are located in Yazd, Isfahan and Kohgiluyeh and Boyer-Ahmad. It is the heart of Persian civilization and culture, with the ruins of Persepolis and other important archaeological sites located within the basin. Persian

<sup>17</sup>Keshavarza et al, 2005. Water Allocation and Pricing in Agriculture of Iran, Water Conservation, Reuse, and Recycling: Proceedings of an Iranian-American Workshop, page: 153-172.

<sup>18</sup>Department of Environment. 2016. Islamic Republic of Iran Revised National Biodiversity Strategies and Action Plan (NBSAP2) 2016-2030.

<sup>19</sup><http://www.ramsar.org/wetland/iran-islamic-republic-of>

<sup>20</sup>Department of Environment. 2016. Islamic Republic of Iran Revised National Biodiversity Strategies and Action Plan (NBSAP2) 2016-2030.

<sup>21</sup>Nazemosadat, M.J. Amin, S., Kamgare-Haghighi, A.A., Khalili, D. 2000. Workshop on Drought-Related Issues in Fars Province, Iran: Critical Points and Resolutions. Drought Network News (1994-2001), p. 64.

<sup>22</sup>World Bank. 2017. Beyond Scarcity: Water Security in the Middle East and North Africa.

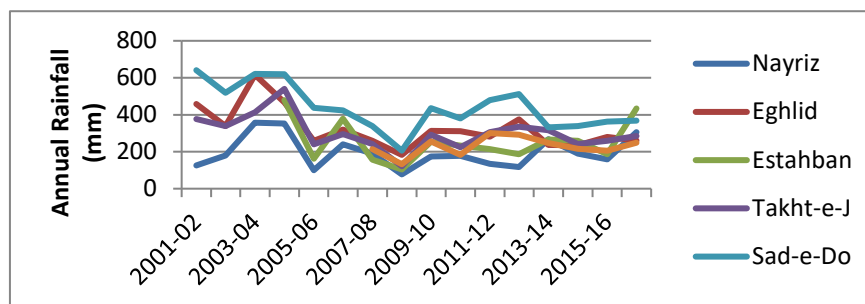
<sup>23</sup>Relevant summary information, including maps, from a comprehensive 2007 study on the natural environment and environmental challenges in the Bakhtegan Basin is provided in Annex 1

<sup>24</sup>Iran Census 2016

civilization undoubtedly thrived there because of water. The hydrological system of the basin has sustained life for thousands of years. The basin's hydrological system is collapsing, resulting already in a situation that is an environmental, social and economic disaster. This is the result of the combined effects of a dismantling of longstanding traditional land management systems and practices, mismanagement of land and water resources over the last forty years and hotter and drier average conditions over the last decade. The situation is very serious and one which has huge implications for Iran if unaddressed.

### Climate and climate change

14. The most important meteorological systems in the region are the Sudanese low pressure system, the low pressure of the Mediterranean, the cold north high pressure, the low thermal pressure of India and the low pressure of Saudi Arabia. Local climate data have been gathered and analysed from 43 meteorological stations. Average annual precipitation varies from 139.1mm recorded at Abadeh to 853.6mm recorded at Choubkhale. Precipitation is distributed unevenly through the year with 24.5 percent in autumn, 58.3 percent in winter, 16.8 percent in spring and 0.6 percent in summer. All stations follow a similar rainfall pattern with rainfall beginning in October, peaking in November and continuing in December. The annual precipitation volume in the study area was estimated at 87.9 billion cubic meters<sup>25</sup>. Temperatures vary seasonally and with altitude throughout the Bakhtegan Basin. A lowest absolute minimum temperature of -28°C has been recorded at Kafter. Average minimum temperatures of 6.6°C, 11.5°C and 7.7°C have been observed at Abadeh, Doroodzan and Zarghan stations respectively with average maximum temperatures of 22.1°C, 23.9°C and 24.6°C recorded at the same sites. A daily maximum of 49°C has been recorded at Kafter station in July.
15. Iran's second national communication included an analysis of changes in runoff by 2100. Percentage changes in runoff by 2100 were calculated for 30 sub-basins using a number of different greenhouse gas emission scenarios. The Tashk-Bakhtegan and Maharloo sub-basin showed the greatest decrease in runoff, ranging from 13-15 percent across five of the six scenarios used. A separate study<sup>26</sup> on the relative effects of climate variability and human activities on runoff in the Bakhtegan Basin showed a trend of decreased annual runoff over the 40 year period from 1972-2011.
16. Climate change is already manifesting in the Bakhtegan Basin with evidence of increasing temperatures and below average rainfall over the last decade. The latter may only be a shorter-term variation, but is wholly consistent with what can be expected with climate change. The Bakhtegan Basin as a whole is a part of Fars Province that is classified as having extremely severe drought risk. In the past 40 years there have been four drought periods. These were: (1980/81 to 1985/86, 1987/88 to 1990/91, 1996/97 to 2002/03, 2007/08 to 2014/15 and continuing); The 2007/08 drought was particularly severe and the extended drier than average period since then is the worst in the last 40 years (Figure 3).
17. Various climate change assessments have been made in the basin. Recent analyses of drought in Fars Province have come to slightly different, but overall, the same conclusions. The first of these analyses, based on 2000-2008 data, showed that most of the province is vulnerable to drought<sup>27</sup>, but with greatest susceptibility in northern and southern areas. The second study<sup>28</sup> concluded that the north and northwest experience the most severe droughts. However, overall, this study demonstrated that the whole province is exposed to moderate to severe drought conditions and recommended the need for effective planning and management of drought, with particular attention being paid to water resources management in order to avoid irrecoverable disasters.



**Figure 2: Annual rainfall changes in the Bakhtegan Basin showing a drier than average period since the 2007/08 drought**

<sup>25</sup> Rooyan Consulting Co. 2007. *Studies on Environmental Challenges on Bakhtegan Lake*. in Persian

<sup>26</sup> Hamidreza Gharechaei, Alireza Moghaddam nia, Arash Malekian, Azadeh Ahmadi (2015) Separating the effects of climate variability and human activities on runoff in Bkhtegan Basin *Ecohydrology Journal*. 2, 445-454. (In Persian)

<sup>27</sup> Mahdi Erfanian, Nasrin Vafaei, Mehdi Rezaianzadeh. 2014. A New Method for Drought Risk Assessment by Integrating the TRMM Monthly Rainfall Data and the Terra/MODIS NDVI Data in Fars Province, Iran. *Physical Geography Research Quarterly*, 46 (1).

<sup>28</sup> Fatemeh Bagheri . 2016. Mapping Drought Hazard Using SPI index And GIS (A Case study: Fars province, Iran). *International Journal of Environment and Geoinformatics* 3 (1), 22-28

18. A recent analysis of the impacts of climate change on the Bakhtegan wetland<sup>29</sup> is somewhat inconclusive. Using 1998-2012 as a baseline period changes out to 2050 were determined using 28 different climate change scenarios. The results demonstrated that "The Bakhtegan wetland is predicted to have an area of 238–690 km<sup>2</sup> in 2050. All scenarios predicted a decrease of 17–69.5 % in the maximum area (i.e. the maximum extent identified from the baseline period) of the Bakhtegan wetland.
19. Another recent study<sup>30</sup> involved an assessment of the streamflows in the Kor River under historical and climate change conditions. Based on the results, hydrological behavior of the basin has significantly changed after 2006, such that despite of increases in a number of subsequent years, the streamflows have not increased. For this study, SWAT-FARS model were applied that simultaneously considers land use changes and climate variability of the basin. Furthermore, the status of basin's hydrological condition was projected for the period of 2020-2049 using the RCP climate change scenarios from the IPCC 5th Assessment Report and variety of the respected AOGCM models. The most important results are as follows:
20. It is expected that the annual river flows to the basin's main water bodies including Dorrodzan Dam, Mola Sadra Dam, Sivand Dam and Lake Tashk-Bakhtegan face up to 17%, 8%, 42% and 60% reduction, respectively.
21. Assessment of seasonal flows shows that maximum variations accrue during winters. This reduction can be up to 84% under RCP8.5 scenario. These changes are not much significant during spring. However, the autumn and summer streamflows may increase up to 43% under RCP2.6 as the most optimistic scenario. But due to the small share of these seasons in annual flows, they will not have much effect on compensating for the decline of the winter river flows.
22. As with all climate change impacts assessments the above results need to be treated with some caution due in particular to uncertainties associated with different GCM results, which increase greatly with downscaling to a local area such as the Bakhtegan Basin. Additionally they represent a somewhat fragmented and 'snapshot' assessment approach to what is a very complex interplay of issues arising from mismanagement of land and water resources, drought impacts and unfolding effects of climate change.
23. This complex interplay of issues was qualitatively examined through the Conservation of Iranian Wetlands project. As part of this project vulnerability scoping diagrams (VSDs) were developed for all Iranian Ramsar sites, including those in the Bakhtegan Basin. This involved a participatory process facilitated with managers, experts, specialists and local community representatives. A set of indices were predetermined for each of the three components of vulnerability: exposure, sensitivity and adaptive capacity. Each of these were scored by participants with results collated in the form of the VSDs. Key exposures are identified as: extraction of both surface and ground water, agricultural development, hydrological changes, precipitation changes, and failure to comply with environmental water rights. Key sensitivities are: wetland and groundwater levels, increasing cultivation, dealing with drought, and lack of water allocation. Adaptive capacity is lowest with some key biophysical and human/social indices, including: lack of management plan review, lack of knowledge among local people, stresses and pressures that are likely to arise with climate change, and lack of monitoring. Climate variability and change features strongly, but as already noted is occurring within a complex situation involving the need for local people to sustain their livelihoods in a situation of limited water resources. Key issues in the basin that are being affect by drought and climate change are discussed in the following sub-sections.

#### **Aridification**

24. A study<sup>31</sup> mapping drought hazards using the Standardized Precipitation Index (SPI) and GIS in Fars province, based on data compiled by weather stations in the province provide an insight of the extent of the drought overtime since 1994 to date in the Bakhtegan basin.
25. The SPI used to measure drought has the following values associated to drought category classification:

<sup>29</sup> Sanjerehei, M.M and Rundel, P.W. 2017. The future of Iranian Wetlands under climate change. *Wetlands Ecology and Management*. 22: 257-273.

<sup>30</sup> Delaver M. and Morid S. (20016) Development of National Strategy for Adaptation to Climate Change in Iran Water Sector, Water Research Institute, Ministry of Energy (Iran)

<sup>31</sup> Bagheri, Fatemeh. (2016). Mapping Drought Hazard Using SPI index And GIS (A Case study: Fars province, Iran). *International Journal of Environment and Geoinformatics*. 3. 22-28. 10.30897/ijegeo.304419.

$SPI = \frac{p_i - \bar{p}}{sd}$  Classification

| SPI value     | Drought Category |
|---------------|------------------|
| $\geq 2$      | Extremely Humid  |
| 1.5 to 1.99   | Very Humid       |
| 1.0 to 1.49   | Moderately Humid |
| 0.5 to 0.99   | Lightly Humid    |
| -0.49 to 0.49 | Normal           |
| -0.99 to -0.5 | Lightly drought  |
| -1.0 to -1.49 | Moderate drought |
| -1.5 to -1.99 | Severe drought   |
| $\leq -2$     | Extreme drought  |

\*:  $p_i$  : Annual precipitation in each station  $\bar{p}$  : Average precipitation in each station  
 $sd$  : Standard deviation of precipitation in each station

26. Based on data from 10 weather stations from 1994-2011 and from 7 stations from 2007-2011 in Fars province, the SPI index was calculated as follows:

Table 2. Annual Standardized Precipitation Index (SPI) for 10 station from 1994-2011

| Station Name | Abadeh | Fasa  | ..... | Sadedorodzan | Zarghan |
|--------------|--------|-------|-------|--------------|---------|
| 1994         | 0.33   | 0.32  | ..... | 0.44         | 0.63    |
| 1995         | 0.42   | 0.84  | ..... | 0.19         | -0.91   |
| 1996         | -1.06  | -0.79 | ..... | -0.11        | -0.91   |
| .....        | .....  | ..... | ..... | .....        | .....   |
| 2007         | -0.85  | -0.96 | ..... | -0.74        | -0.04   |
| 2008         | -1.16  | -2.03 | ..... | -1.37        | -1.58   |
| 2009         | -0.21  | -0.12 | ..... | -0.34        | -0.56   |
| 2010         | -0.28  | -0.41 | ..... | -0.58        | -0.91   |
| 2011         | -3.46  | -2.81 | ..... | -3.61        | -3.15   |

Table 3. Annual Standardized Precipitation Index (SPI) for 7 stations from 2007-2011.

| Station Name | Arsenjan | Izadkhast | ..... | Neyriz | Noorabad |
|--------------|----------|-----------|-------|--------|----------|
| 2007         | 0.12     | 0.0089    | ..... | 0.27   | 0        |
| 2008         | -0.57    | -0.08     | ..... | -0.84  | -0.39    |
| .....        | .....    | .....     | ..... | .....  | .....    |
| 2011         | -2.22    | -2.33     | ..... | -2.14  | -2.02    |

27. Based on the results above, drought maps from Fars province have been developed using ArcGIS coupled with drought index (SPI) that clearly demonstrate the extended severe to moderate drought that Fars province has been enduring for the past decade. It is important to point out that the SPI only takes into account climate and hydrological variables, therefore it is clear to affirm that drought is driven by climate factors.

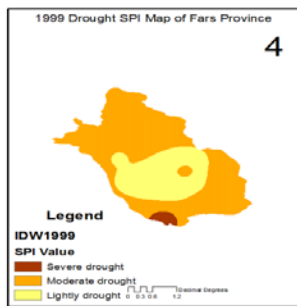


Fig 5. Hazard map of drought vulnerability in 1999.

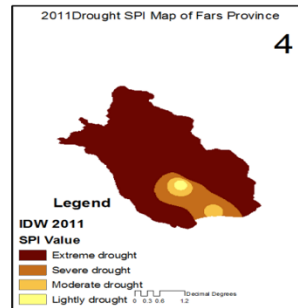


Fig 4. Hazard map of drought vulnerability in 2011

### Climate zoning and future aridification trends

28. A study<sup>32</sup> commissioned by the Ministry of Energy developed a climatic zoning for the Bakhtegan Basin using the Trewartha - Koppen classification method because of high precision in determining the boundaries of temperature and precipitation. The analysis used network data from CCAFS-Climate Data Center with five-minute spatial resolution under the A2, B2 and A1B scenarios of HadCM3 model for the base time period of 1982 to 2012 the projected periods 2030s, 2050s, and 2080s (More information about the analysis on Annex 2).

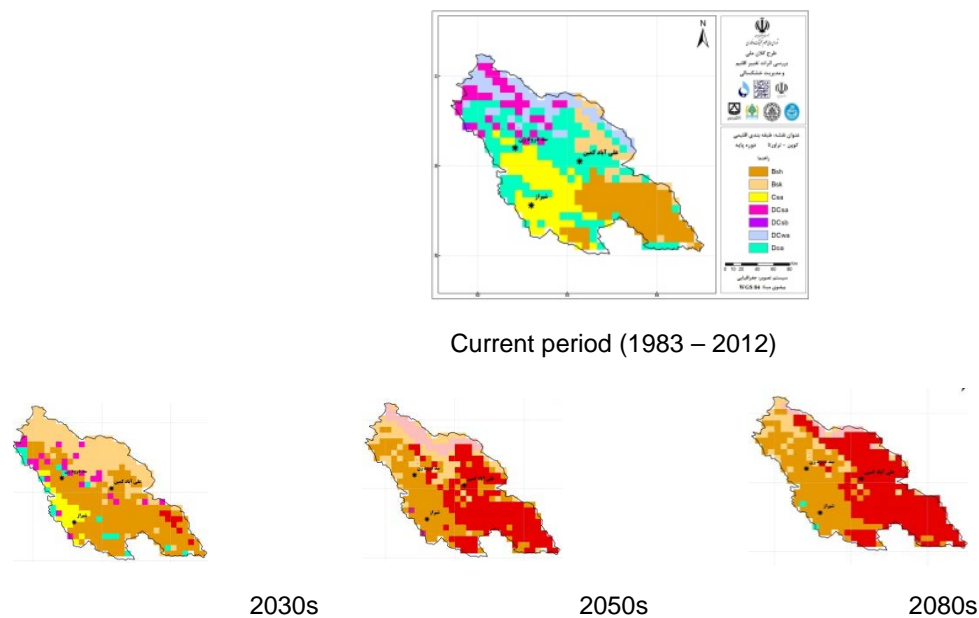
29. The observation of climate change was projected based on A2, B2 and A1B climate scenarios for the seven existing climate classes. The projected results are summarized in table and figure below based on A1B scenario which clearly show the aridification over time in the province.

<sup>32</sup> Ministry of Energy. Macro-National Plan "Impact of Climate Change and Drought Management". Summary of Pilot Report of Lake Bakhtegan Basin (Detection of Climate Change and Drought Identification). Prepared by Shahid Beheshti University.

**Table 1: comparing the spread changing of climate types in current period to the 2030s, 2050s and 2080s based on A1B scenario:**

| Climate Type                                | Current Period | Based on A1B scenario |       |       |
|---|----------------|-----------------------|-------|-------|
|   |                | 2030s                 | 2050s | 2080s |
| Warm semi-arid                              | 21.7           | 49.9                  | 33.3  | 35.7  |
| Cold semi-arid                              | 8.3            | 31.7                  | 17.7  | 11.3  |
| Arid hot                                    | -              | 1.9                   | 40.4  | 49.4  |
| Arid cold                                   | -              | -                     | 8.0   | 3.1   |
| Subtropical with dry summer                 | 18.7           | 6.1                   | -     | -     |
| Hot dry moderate                            | 8.5            | 6.1                   | -     | -     |
| Cold dry moderate                           | 0.2            | -                     | -     | -     |
| Arid-hot moderate with winter precipitation | 12.5           | -                     | -     | -     |
| Humid moderate                              | 30             | 4.3                   | 0.5   | 0.5   |

**Figure 3: Comparing the spread changing of climate types in current period to the 2030s, 2050s and 2080s based on A1B scenario.**



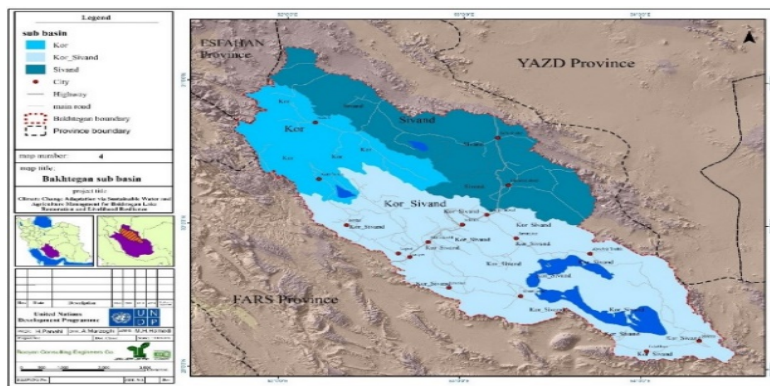
**Table 2: Comparing land-use change in 1956 to 2006 (based on image processing and aerial photo analysis).**

| Land-Use    | 1956      |            | 2006      |            | Change(ha) |
|-------------|-----------|------------|-----------|------------|------------|
|             | Area(ha)  | Percentage | Area(ha)  | Percentage |            |
| Barren      | 31,128    | 1.142      | 37,348    | 1.37       | +6,220     |
| Rain-fed    | 247,125   | 9.070      | 59,424    | 2.18       | -187,701   |
| Irrigated   | 223,593   | 8.206      | 580,063   | 21.29      | +356,470   |
| Forest      | 744,631   | 27.330     | 742,023   | 27.23      | -2,608     |
| Lake        | 173,259   | 6.359      | 138,014   | 5.07       | -35,245    |
| Wetland     | 46,150    | 1.694      | 2,609     | 0.10       | -43,541    |
| Rangeland   | 1,225,466 | 44.978     | 1,083,445 | 39.77      | -142,021   |
| River bed   | 863       | 0.032      | 863       | 0.03       | 0          |
| Saline land | 31,138    | 1.143      | 74,616    | 2.74       | +43,478    |
| Residual    | 1,239     | 0.045      | 6,187     | 0.23       | +4,948     |

|       |           |     |           |     |   |
|-------|-----------|-----|-----------|-----|---|
| Total | 2,724,592 | 100 | 2,724,592 | 100 | 0 |
|-------|-----------|-----|-----------|-----|---|

**The water situation**

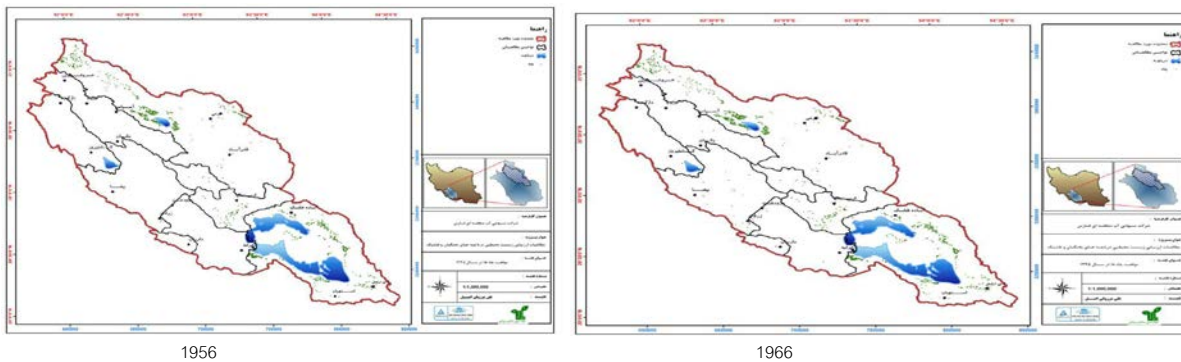
- 30. The combined area of Lakes Tashk and Bakhtegan makes them the second largest in the country (the largest being Lake Urmia). The area of Tashk and Bakhtegan lakes are 41,000 hectares and 85,000 hectares respectively, located at an altitude of 1525m above sea level. The maximum depth of Lake Bakhtegan is 3m and its average depth is 1.3m. The maximum depth of Lake Tashk is 1.3m and its average depth is between 0.3 and 0.5m. Both of the lakes are classified as saline wetlands.
- 31. The Bakhtegan Basin consists of three main sub-basins fed respectively by the Kor and Sivand rivers (Figure 4). These two rivers meet in Pol-e-Khan and then feed into the Tashk and Bakhtegan Lakes. The 10 year average volume of water entering Lake Bakhtegan is 784 million cubic meters, of which about 484 million cubic meters is supplied by the Kor-Sivand River and about 206 million cubic meters by temporary streams and the rest by precipitation. The 10 year average of water entering Tashk is estimated at 300 million cubic meters. About 47 million cubic meters is provided by Gomban spring, 218 million cubic meters by stream water, and the rest is provided by direct precipitation. Kamjan is fed by rainfall and Kor river flooding.

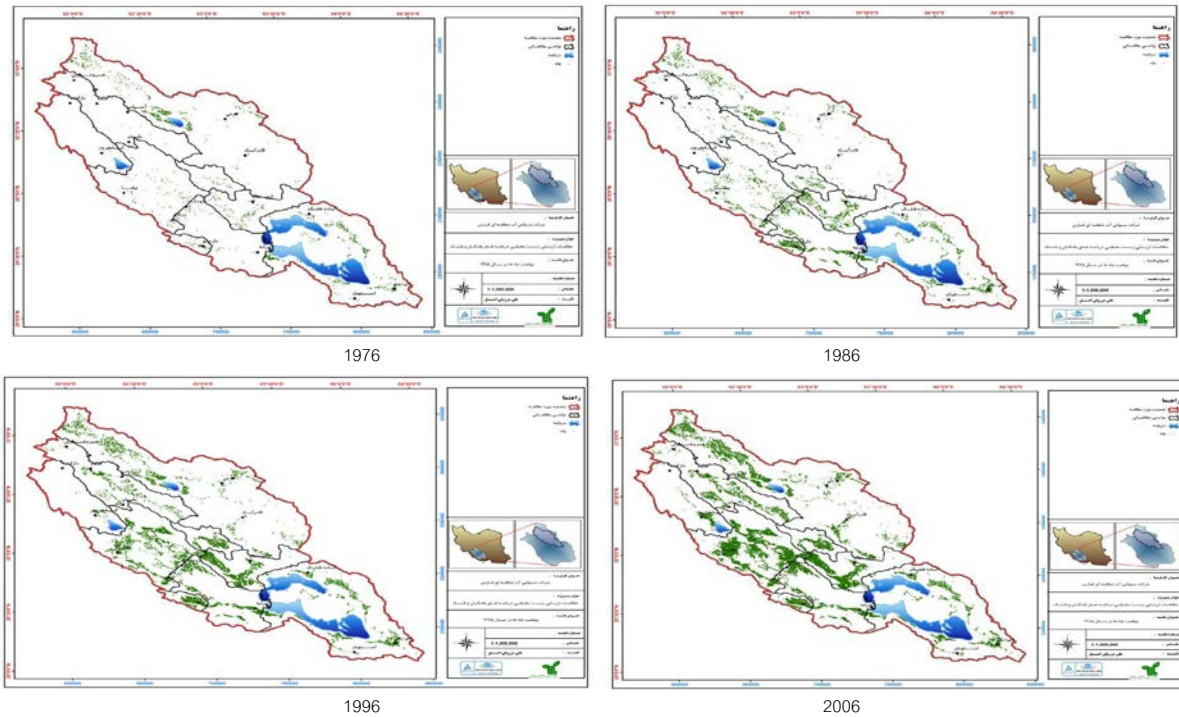


**Figure 4: The three main sub-basins within the Bakhtegan Basin**

- 32. Surface discharge of water had declined over the last decade, based on data from four selected gauges: Tang e Bolaghi, Khsrow shirin, Sad e droudzan and Pol e khan. There have been particularly dramatic declines in discharge as measured at Sad e droudzan and Pol e kan. Over the same period (2006-2016) there has been no apparent decline in ground water levels from nine plains monitoring sites in the basin (see Annex 2). However, this requires closer analysis, and over a longer time period, given the clear evidence of increasing numbers of wells (see Annex 1) and the anecdotal reports of increasing well depths and of saline water intrusion to wells around the lakes.

Number of wells in the Bakhtegan Basin from 1956 to 2006





33. Analysis of monitoring data from throughout the Bakhtegan Basin demonstrates that irrigated agriculture is the single biggest use of water<sup>33</sup>. While the amount used for irrigation drops significantly in dry years the percentage use is much higher (nearly 70 percent based on a 10 year return period). The amount of water received by Lake Bakhtegan varies from 225 to 1567 MCM based on return period calculations. The average input rate In Tashkh - Bakhtegan Lakes, was 616 MCM and 672 MCM in the period from 1969-1984 to 1984-1996, respectively<sup>34</sup>. Analysis of data from 1965 to 2006 showed an almost equal division between dry and wet years, with 23 and 20 years respectively. The total water yields released to Bakhtegan Lake varied from 360.5 MCM in the driest period to 966 MCM in the wettest period. The current situation is that there is no surface water feeding into the lake. Saline intrusion into bores around the lake also suggests that there is no net inflow of ground water.

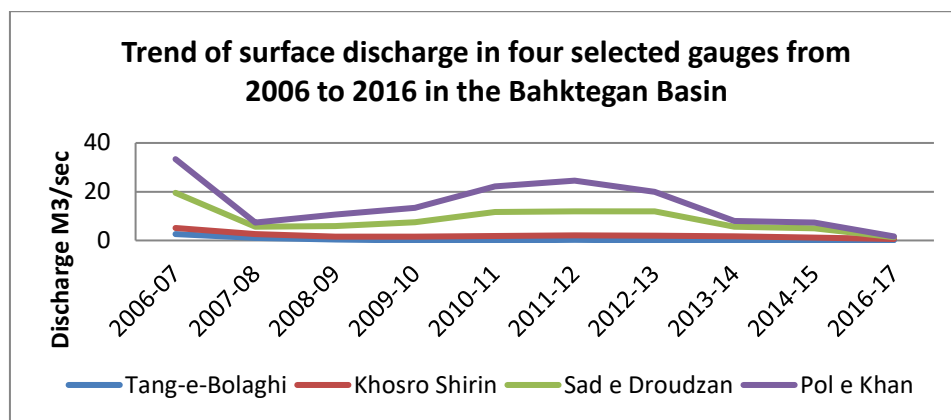
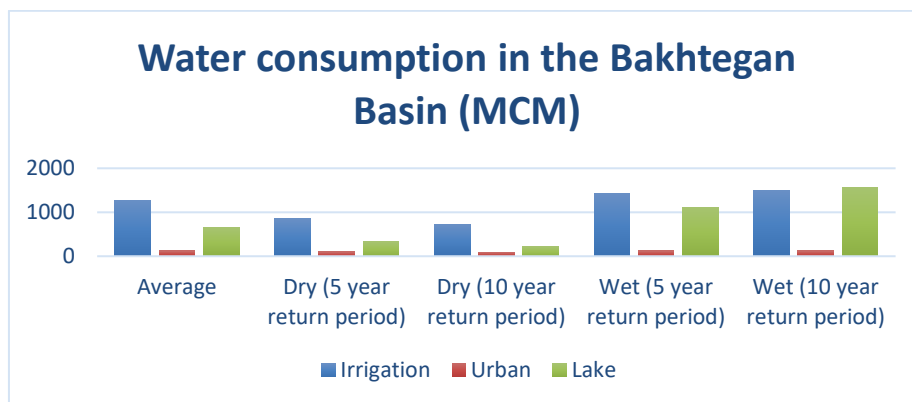


Figure 5: Changes in surface discharge in the Bakhtegan Basin from 2006 to 2016

<sup>33</sup>Rooyan Consulting Co. 2007. *Studies on Environmental Challenges on Bakhtegan Lake*. in Farsi

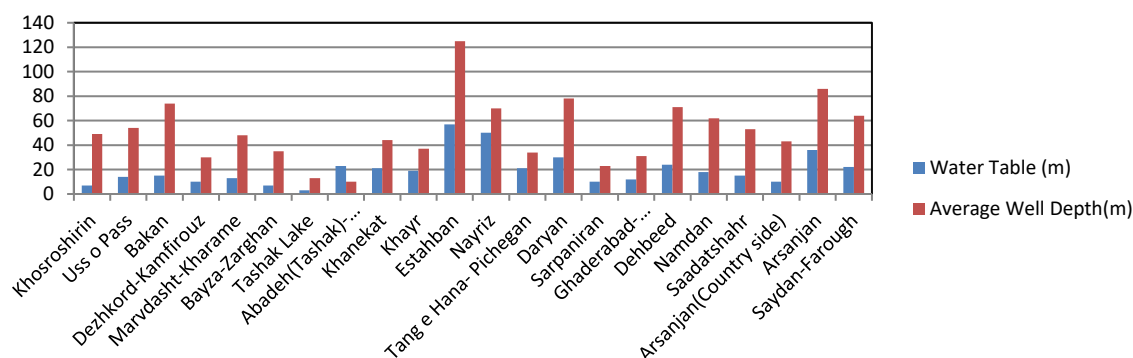
<sup>34</sup>Ibid





**Figure 6: Water consumption in the Bakhtegan Basin based on return periods (recurrence intervals) derived from data for 1965-2006**

34. Current water extraction and use, and the extent of irrigated agricultural land, is at unsustainable levels. At the same time there are bores, both legal and illegal, in the bed of the Kor river and throughout the middle and lower parts of the basin. Current agricultural land area is 482,898 ha with more than 30,000 wells spread throughout the basin but mainly concentrated in Marvdasht, which is the main arable farming area. Nearly a third of these wells are illegal and even legal wells are being over exploited. As surface water has reduced the number and depth of wells throughout the basin has increased. The average depth of wells is particularly high in Estahban County (Figure 7), which adjoins the lakes and wetland area. With increased reliance on ground water, which is becoming depleted in some areas, or is as at risk of depletion, the vulnerability of communities to drought and climate change has increased.



**Figure 7: Comparison of average water table and well depths in the Bakhtegan Basin**

35. Empirical findings reveal that Lake Bakhtegan lost almost 73 percent of its size from 1973-2013<sup>35</sup>. Drier than average conditions since a severe drought in 2007 are seriously exacerbating this situation. With the current extended, multi-year, dry conditions the Kor river is no longer flowing in the middle and lower parts of the basin. The significant area of agricultural land in these areas is currently wholly dependent on ground water. Near to the lakes the lack of surface and ground water inflow combined with the high level of water extraction has led to severe loss of hydrostatic pressure and backflow of saline water into freshwater wells is now happening.

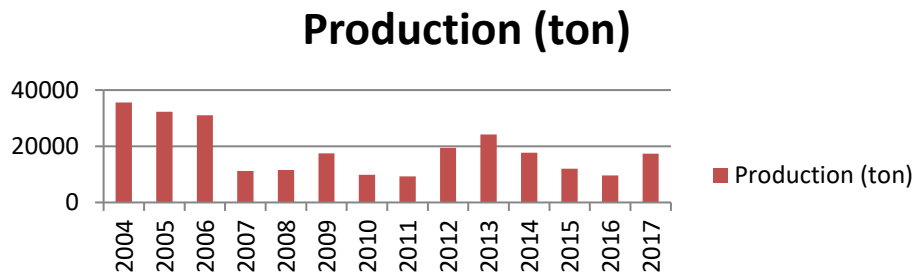
36. Government is aware of the current water crisis result from the drought and has included some policy instruments to address water mismanagement. First, under Article 35 of the 6th Five-Year Development Plan enacted in 2017 guidelines were included to promote efficient water management. In addition, the Ministry of Energy’s Water Strategy endorsed in May 2013 have clear standard procedures related to the promotion of integrated management of water resources and re allocation of water rights (See Annex 3). More importantly MoE has recently announced its vision for the country's water resources, were “new dam projects, which are being designed or constructed, will be reassessed based on hydrological changes, environmental impacts and economic feasibility”<sup>36</sup>.

<sup>35</sup>Arsanjani, T.J., Javidan, R., Nazemosadat, M.J., Arsanjani, J.J., Vaz, E. 2015. Spatiotemporal monitoring of Bakhtegan Lake’s areal fluctuations and an exploration of its future status by applying a cellular automata model. Computers & Geosciences. 78: 37-43. <https://doi.org/10.1016/j.cageo.2015.02.004>

<sup>36</sup> <https://financialtribune.com/articles/energy/75280/irans-new-energy-minister-vows-action-on-chronic-water-crisis>

## Agriculture and water use in the Bakhtegan Basin

37. The current total area of irrigated agriculture<sup>37</sup> is about 580,000 hectares (21.2 percent of the Bakhtegan Basin area). About 35 percent of irrigated farmland is upstream of the Doroodzan and Sivand dams and about 48.5 percent of irrigated farmland is located below the dams. The first area, upstream of the dams includes the Marvdasht, Zarghan, Beyza, Karbal, Kharameh, Murghab and Daryan plains. The second area, below the dams, includes Aspas, Kamfirouz, Sadeh, Khosrow -o- Shirin, Bekan, Kafter, Nemdan, Khorrami and Ghader Abad. This middle elevation plains area has a much shorter history of agriculture than the upper plains area and has experienced rapid development in recent years. The remainder of irrigated farmland, 16.5 percent of the total area, is located in Arsanjan, Farooqh, Abadeh-Tashk, Estahban and Nayriz.
38. Arable land in the Bakhtegan Basin<sup>38</sup> is comprised of 79.8 percent cereal, 4.7 percent industrial and 2.4 percent forage crops, and 2.4 percent in horticulture. Orchards, beans, vegetables and fruits make up the remainder, occupying 3.7 percent, 3.2 percent and 0.8 percent, respectively. The most extensive crop area is cereal, mostly wheat, covering 53.9 to 96.7 percent of the land area in different locations. The area dedicated to other crops also varies, for example with orchards covering as much as 10.2 percent in some parts and 1.3 percent other areas. Water availability is one of the most important factors determining the extent of different crops. Cereals are the most commonly grown crops in water short areas. Where water is readily available highwater demanding crops such as rice are grown, in areas like the Kamfirouz plain. Thus, greater diversity and more intensive cropping patterns are found in the areas where agricultural water supply is not severely restricted.
39. Agricultural practices, in particular arable farming, in the basin have been geared to a situation of abundant water over the last forty years especially in upstream areas. Rice cultivation is still widely practiced with high and unsustainable use of water in upstream areas. Most arable farming in the basin involves continual cropping of cereal. There are no fallow periods, with bare soil visible to the horizon and soil erosion from wind now widespread. The continuous cropping has also led to higher inputs of fertilisers and pesticides to sustain production, with resultant negative effects on soil organic matter and soil structure. The impacts of prolonged drought since the severe drought in 2007/08 is very noticeable in fig production statistics presented above. While the planted area has increased by 1,000 hectares since 2007/08, from just under 22,500 hectares to just over 23,500 hectares, total production over the last decade has been at least half that of the years preceding the 2007/08 drought.



**Figure 8: Changes in fig production in the Bakhtegan Basin**

40. In the upper part of the basin, traditionally grazed by nomads and now a national protected area (water recharge zone), there has been encroachment into forest and rangeland areas for fruit production, river terraces are being used for rice cultivation. In recent years the local government closed 2000 wells in the upper part of the Kor river basin, but within a year the people had opened them all again. The children of these people are now returning to cultivate the land that is being exposed by the lower reservoir levels. Compensation, regulation and enforcement have therefore not been effective.
41. The local people are already being proactive in adapting autonomously through diversifying their agriculture and implementing alternative livelihoods. For example, some farmers are already switching to less water demanding crops such as safflower. In upper and lower parts of the basin some are attempting to diversify into higher value and lower water demanding crops such as pistachio and saffron. Alternative livelihoods being developed include activities such as mushroom cultivation and handicrafts. All of these initiatives present opportunities for enhancement to encourage people more widely to adapt to the changing conditions.

<sup>37</sup> Rooyan Consulting, 2007. *Studies on Environmental Challenges on Bakhtegan Lake*, in Persian.

<sup>38</sup> *ibid*

## Social impacts<sup>39</sup>

42. The social costs of the drying of the Bakhtegan Basin are already manifesting with some parts of the basin more severely affected than others (see Table 2, Part II, Section A and Annex 3 for more detail). Conflicts over water are evident between different parts of the basin. Migration is an important issue. In parts of Kharameh, in the lower part of the basin, 100 percent of jobs have been destroyed leading to increased poverty and increased mental health issues.
43. While there has not been any detailed analysis of the socioeconomic consequences of drought at the household level in the Bakhtegan Basin, a recent study<sup>40</sup> made in Sabzevar County, Khorasan Razavi Province, in north-eastern Iran provides valuable insights. This study assessed villager responses to 29 economic variables and 28 social variables. The economic variables were grouped into seven main components covering the amount of production, quality of production, costs of natural resources (losses), production costs, costs of living, overall level of living, and investment. Similarly the social variables were grouped into seven main components covering quality of life, poverty or income, employment, psychological tensions, public safety, crime and delinquency, and social damage. Overall, the socioeconomic costs were significant and high and mirror those that have been qualitatively identified in the Bakhtegan Basin.

## Biodiversity impacts

44. There are also significant biodiversity costs. Currently, the lakes are in critical condition. Bakhtegan and Kamjan are completely dry and about only 10-20 percent of the area of Tashk Lake, near Gomban spring, still has some water. The drying out of wetlands has had significant impacts on biodiversity. Lakes Tashk and Bakhtegan and the Kamjan wetlands are important places for the reproduction of birds such as Egrets, Dalmation Pelican and Greater Flamingo. 95 species of birds, most of them winter migratory birds, have been identified in these wetlands. Because of their significance they were listed as Ramsar sites in 1974. Due to their critical status in recent years they have been shifted to the Montreux List of the Convention. Biodiversity impacts are not just occurring in these former wetland areas, but throughout the basin. Brown bear numbers have been affected by wildfires resulting from the prolonged dry conditions. Lack of food has forced them to areas of human occupation where some have been shot. Continued encroachment of agriculture into forest and rangeland areas also has biodiversity impacts, and wider consequences in terms of soil and water conservation. Some specific biodiversity impacts that have been observed over the last decade are:
  - The population of plains species have severely decreased due to resource conflicts and scarcity of water resources, e.g. Zebra and Chinkara;
  - Mountainous regions species are not severely affected, e.g., goats, which have been less affected by drought, but there are subsequent impacts from increased browsing pressure;
  - The population of wild birds has severely reduced in Bakhtegan and Tashk lakes with the majority now migrating to other areas.
  - A fairly good population of birds has been observed in Kamjan Lake.

## The problem and the proposed solution

45. The situation in the Bakhtegan Basin is complex, involving the interplay of multi-decadal mismanagement of water, inappropriate land use, drought and climate change. As the heart of the Persian Empire, Fars Province has a very long history of water use for agriculture and other purposes. In an arid country such as Iran water has very high symbolic and utility value. This has been recognised throughout Iran's long history. However, the value of water and its balanced use has come under increasing pressure over the last four decades. It is clearly evident that the hydrological system of the Bakhtegan Basin is in a state of collapse, with no surface water currently flowing to the middle and lower parts of the basin and extraction of ground water that is far in excess of recharge rates. The evidence of this state of collapse is apparent with significant water shortages in lower parts of the basin, degraded agricultural environments, social upheaval and detrimental and potentially long-lasting impacts on the natural environment. There is now a serious threat of an irreversible situation that will lead to loss of livelihoods, environmental and human health and biodiversity. Without active intervention a worse case situation could develop where the basin becomes much less habitable leading to mass migration of people and permanent loss of natural ecosystems and the many plant and animal species they support.
46. With a long history of water dependence accompanied by times of prolonged drought, it would be a wise to assume that climate change will not be beneficial to the Bakhtegan Basin. Based on research in the basin using the Standardized Precipitation Index (SPI) to measure drought and extrapolating weather stations' data collected in the province, analysis

<sup>39</sup> The information presented here is based on a summary of the current situation in the Bakhtegan Basin provided by the local consultant team from Fars Province (see Annex 3). It is consistent with documented evidence from elsewhere in Iran.

<sup>40</sup> Darban-e Astane, A. R., & Azimpour, Gh. (2017). Evaluation of Farmers' Resilience Against Socioeconomic Consequences of Drought: A Case Study on Sabzevar, Iran. *Journal of Sustainable Rural Development*, 1(1), 27-38.

shows over time (2030s, 2050s and 2080s based on A1B scenario) that aridification of the Bakhtegan basin will become more severe with expected drier conditions in the area (See Annex 2).

47. The current development situation in the basin can be described as one of maladaptation with the past construction of the Doroodzan and Mulla Sadra dams. There are clearly strong underlying development issues and challenges that require major interventions. However, at the same time, there are very clear climate risk and climate change related vulnerabilities that are magnifying these issues however present a clear opportunity for this project.
48. Four key limitations and barriers have been identified which are affecting the ability of the Fars provincial government, natural ecosystems and Bakhtegan Basin communities to cope with drought and climate change:
  - Limited information and data about the impacts of drought and climate change to make more informed decisions at the provincial and local level;
  - Current water-intensive agricultural practices undermine the capacity of the hydrological system to cope with the effects of drought/climate change;
  - Locally proven water-saving agricultural practices lack financial resources to be promoted across the province/basin;
  - Current governance structure in the Bakhtegan Basin is not conducive to promote adaptation approaches at the regional and local levels.
49. Within this very complex and challenging situation the project has an aspirational goal to restore the Bakhtegan Wetland, which encompasses Lakes Bakhtegan and Tashk and the Kamjan Marshes towards achieving this long-term goal the proposed project will provide a foundation for building resilience to climate change in the basin through a holistic, integrated landscape management approach. To achieve this will require a completely different way of thinking and acting, with a shift in thinking from the current mind-set of high water dependency and use to the already new reality of a dryland environment with water scarcity. This can only be achieved through a process of participatory engagement with all parties aimed at shifting approaches to the development pathway in the Bakhtegan Basin. In particular, this requires project targeting and a governance mechanism that ensures full involvement of both the immediately affected vulnerable communities and those who are less vulnerable but are practising unsustainable water and land use and management practices to the detriment of all.
50. As participation of all stakeholders in the project was a key issue the proposal development process was designed through a participatory approach at different level. Establishing a technical committee consisting of main related government entities provided a very good opportunity for their engagement during the whole process. Other important aspect was local community participation in the process for which one of the active NGOs (consisting of local environmental activist and some university professors) in the basin was involved in the project to facilitate local community and local authority participation in proposal development. This local NGO was part of a team consisting of an international consultant and a national consultancy company to develop the proposal. The local team main objectives was to raise awareness about the project in the early stages of the process and they had more than 10 introductory meeting with villagers and local authorities all around the basin to inform them about the proposal development process and setting the stage for further participatory workshops in later stages. After joining national and international consultants at the field for a two-week assignment 3 district level workshops were held in the chosen pilots in both downstream and upstream of the basin. Kherame and Estahban are located downstream and Marvdasht is located upstream. In these participatory workshops, the stakeholder's points of view on their livelihood issues, the impacts of drought on their lives and the challenges that the authorities are facing in Bakhtegan basin management. At the same period the consulting team were visiting selected villages all around the basin to visit and discuss the project with local communities in their farm and villages. Consultation with the local communities/authorities was not limited to a two-month period and the local consultant (NGO) was in touch with both communities and local authorities during proposal development to fill the gaps through field visit at village level and meetings at provincial and district level. The summary report which was prepared by the NGO is in annex 12 for further detail.

#### **PROJECT / PROGRAMME OBJECTIVES:**

51. The objective of the project is increase the resilience of communities and the natural environment of the Bakhtegan Basin to climate variability and change through integrated landscape management.

The project objective will be achieved by the following components:

  1. Knowledge of climate risk, climate change and the environmental situation is strengthened to support development of long-term climate resilience in the Bakhtegan Basin using a decision support system;
  2. The resilience of communities in the Bakhtegan Basin is strengthened through community empowerment and implementation of climate smart agriculture and alternative livelihoods;
  3. The resilience of the natural environment of the Bakhtegan Basin is strengthened through targeted interventions in key locations;

4. Capacity at the local, regional and national level is strengthened for improved governance and decision making in relation to climate risk management and effective implementation of adaptation measures.

**TABLE 3: PROJECT / PROGRAMME COMPONENTS AND FINANCING:**

| Project/Programme Components   | Expected Concrete Outputs   | Expected Outcomes  | Amount (US\$)    |
|--|---|--|------------------|
| 1. A data and information management system for decision support and communications is developed and implemented to support development of long-term climate resilience in the Bakhtegan basin.                            | <p>1.1 An integrated model for climate risk and climate change assessment supports medium and long term decision making. (\$179,962)</p> <p>1.2 A land and water use planning framework is developed and implemented to support decision making. (\$347,645)</p> <p>1.3 Community engagement, empowerment and ownership in decision making is supported through local community monitoring. (\$427,670)</p> <p>1.4 A GIS based data and information management system and an information portal system are developed to facilitate more informed, effective and timely decision making. (\$125,000)</p> | A decision support system is in place and facilitates strengthened knowledge of climate risk and climate change towards the development of long-term resilience in the Bakhtegan Basin | 1,130,527        |
| 2. The environmental, social and economic resilience of the Bakhtegan Basin is strengthened through implementation of sustainable agro-ecological practices and alternative livelihoods                                    | <p>2.1 Climate smart agriculture practices are adopted in target areas. (\$1,414,130)</p> <p>2.2 Alternative livelihoods are adopted by women/women's cooperatives in target villages. (\$1,635,170)</p>  | Strengthened climate resilience of local communities enables them to sustain and enhance their livelihoods   | 3,220,300        |
| 3. The resilience of the natural environment of the Bakhtegan Basin is strengthened  | <p>3.1 A range of watershed management measures are implemented in target areas aimed at increasing resilience to drought risks. (\$1,594,010)</p> <p>3.2 Landscape rehabilitation to restore functionality of ecosystem services to increase climate resilience. (\$1,978,620)</p>   | Increased resilience of the natural environment through rehabilitation and conservation work reduces vulnerability of communities to the impacts of climate change                     | 3,572,630        |
| 4. Institutional Capacity at the local, regional and national level is strengthened for improved governance and decision making in relation to climate risk management and effective implementation of adaptation measures | <p>4.1 A comprehensive communications, education and capacity building programme on climate resilience is implemented. (\$311,020)</p> <p>4.2 A Bakhtegan Basin Council is formed to facilitate the long-term sustainable and climate resilient management of the Bakhtegan Basin. (\$249,700)</p>  | Strengthened governance and decision-making capacity at local, regional and national level for implementing and sustaining relevant climate change adaptation measures                 | 560,720          |
| 5. Project/Programme Execution cost  |   |  | 608,591          |
| 6. Total Project/Programme Cost  |   |  | 9,092,768        |
| 7. Project/Programme Cycle Management Fee charged by the Implementing Entity (if applicable)   |   |  | 772,885          |
| <b>Amount of Financing Requested</b>   |   |  | <b>9,865,653</b> |

**PROJECTED CALENDAR:**

| <b>Milestones</b>                         | <b>Expected Dates</b> |
|---|-----------------------|
| Start of Project/Programme Implementation | November 2019         |
| Mid-term Review (if planned)              | May 2022              |
| Project/Programme Closing                 | October 2024          |
| Terminal Evaluation                       | July 2024             |

## PART II: PROJECT / PROGRAMME JUSTIFICATION

### A. Project Components

52. There are four Components to the project:
1. Knowledge of climate risk, climate change and the environment strengthened
  2. Sustainable livelihoods supported
  3. A resilient natural environment sustained
  4. Capacity for improved governance and decision making strengthened

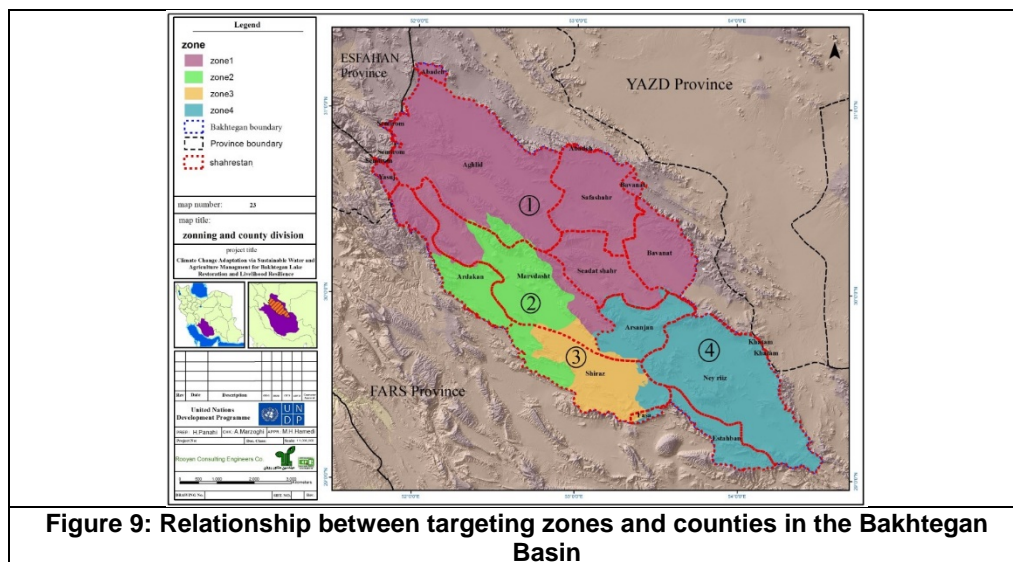
The relationship between these four components is illustrated in Figure 9 below. Component 1, focused on strengthening knowledge of climate risk, climate change and the environment to support better decision-making forms the foundation of the project. Components 2 and 3, focused on sustainable livelihoods and a resilient natural environment form the two pillars. Component 4, focused on strengthened capacity for improved governance, provides overarching support for improved decision making and actions towards the goal of a climate resilient Bakhtegan Basin. All four Components are inter-dependent. Outputs from Component 1, will directly contribute to improved governance and decision making at all levels through Component 4. Component 4 will then contribute to refinement and wider adoption of activities under Components 2 and 3. Components 2 and 3 are closely inter-related, with respective foci on Community Based Adaptation and Ecosystem Based Adaptation.

### Project targeting

53. The biophysical targeting for the project is based on previous work in developing land use planning zones for the Bakhtegan Basin<sup>41</sup>. These zones conform to various features of homogeneity which include the following

- Common terrain, landscape and geomorphology characteristics
- Common climatic zones
- River morphology
- Land-use
- General ecosystem conditions

These have been matched with the administrative county boundaries (Figure 9) and also relate to identified hydrological units within the basin.



54. Zone 1 encompasses the Kor and Sivand sub-basins (see Figure 9) and includes the Eghlid, part of Marvdasht (referred to as Kor County), Safashahr, Bavanat and Saadatshahr. The Dozoodran, Mulla Sadra and Sivand dams are all located in Zone 1. This Zone is defined as a cold, semi-humid, mountainous ecosystem. It was previously all rangeland and forest, with seasonal grazing by nomads. Grazing rights were carefully managed to ensure protection of the land. This is now the only part of the Bakhtegan Basin with year round availability of surface water (although this is in decline) supplemented by water from wells (many of which are illegal). Irrigated agriculture, mainly for rice production, is widespread on river terraces with fruit production on converted rangeland areas and forests. In general the soils are poorer and crop yields lower than the traditional cropping areas of the basin. With declining water availability, yields are decreasing and people are increasingly struggling to survive.

<sup>41</sup> Rooyan Consulting Co. 2007. *Studies on Environmental Challenges on Bakhtegan Lake*. in Farsi

55. Zone 2 encompasses the counties of Ardakan, most of Marvdasht and part of Shiraz. This area is the traditional arable farming area of the basin. With the construction of the Doroodzan dam upstream and the building of irrigation canals, irrigated agriculture expanded significantly in this zone over the last 40 years. The current situation involves continuous cropping of wheat, with rice and to a lesser degree barley production. As a result of the drier average conditions over the last decade there is currently no water flowing in the Kor river into this area and insufficient water from the Doroodzan dam for irrigation. The consequence is much greater dependence on ground water. Soil erosion is apparent, with dust clouds rising from the bare soil throughout this zone.
56. Zone 3 includes most of Shiraz County. Conditions are similar to Zone 2. It occupies the lowest part of the plains area with irrigated lands over clay soils. This zone is completely dependent on the water resources of the upper two zones and is increasingly dependent on groundwater. It has become a desert-like environment as a result of human mismanagement. This zone also includes areas developed for weekend retreats by wealthier residents from Shiraz. These people are all putting in unregulated water bores to provide domestic water and to irrigate their small olive groves, orchards and gardens.
57. Zone 4 encompasses the Tashk and Bakhtegan National Park, which includes Lakes Tashk and Bakhtegan. It includes the counties of Arsanjan, Neyriz and Estahban. In the past surface water was mainly obtained during floods. These areas have been severely affected by the lack of water flowing into the lakes. What was previously described as humid environment is now a dry, desert-like and very dusty environment, described by one elder villager<sup>42</sup> as a 'living hell'. The worst drought effects and water tensions are being experienced in this Zone. Figs have traditionally been grown in this area, but crops are now suffering from the lack of water, large areas of arable land have been abandoned and there is increased migration of rural people to urban areas and associated social problems.
58. The environmental and socio-economic status of the four zones is summarized in Table 2 (more detail is provided in Annex 3). Reduced precipitation, increasing temperatures and increased evaporation and transpiration are common characteristics throughout the basin, although are being experienced with greater severity in some zones than others. Similarly the drying of the basin is widespread, even in Zone 1 which incorporates the upper reaches of the Kor and Sivand rivers. Biodiversity issues and conflicts are also widespread. The impacts, however, are strongest in Zones 1 and 4. This is reflected in the socio-economic issues, which are being experienced most strongly in Zones 1 and 4 and include increasing poverty, increasing mental health issues, increasing divorce rates and increasing crime rates in urban fringe areas.

**Table 4: The environmental and socio-economic situation in the four zones aggravated by climate change.**

| Zone | Environmental issues  | Socio-economic issues  |
|------|---|--|
| 1    | <ul style="list-style-type: none"> <li>Dried Kaftar wetland</li> <li>Reduced flow into the Mulla Sudra and Sivand dams</li> <li>Reduced biodiversity in upstream areas</li> <li>Increased conflicts between wildlife and residents of the catchment area</li> </ul>                       | <ul style="list-style-type: none"> <li>Reduced income from aquaculture</li> <li>Reduced farmer and dairy farmers' income</li> <li>Increased unemployment</li> <li>Increased poverty</li> </ul>   |
| 2    | <ul style="list-style-type: none"> <li>Doroodzan dam lake has become an alternative habitat for aquatic birds</li> <li>Increased water exploitation</li> <li>Conflicts between farmers and fruit growers</li> </ul>   | <ul style="list-style-type: none"> <li>Increased rice farms</li> <li>Villagers preference to cultivate rice and have fish ponds</li> <li>Conflict with downstream counties over water</li> </ul>   |
| 3    | <ul style="list-style-type: none"> <li>Dried Kor river</li> <li>Destruction of the habitats of birds, pond turtles and aphanius fishes</li> <li>Decreased spring flows</li> <li>Conflicts between livestock farmers and leopards</li> </ul>   | <ul style="list-style-type: none"> <li>Conflict with upstream farmers in spring when water for irrigation is being shared</li> <li>Dried wells</li> <li>Migration to cities</li> <li>Increased unemployment rates</li> <li>Shift to safflower cultivation</li> </ul> |
| 4    | <ul style="list-style-type: none"> <li>Dried wetlands</li> <li>Severely reduced migratory bird numbers</li> <li>Destruction of hatching habitats</li> <li>Dried springs</li> <li>Increased conflicts between farmers and birds</li> <li>Wind erosion and increased dust storms</li> </ul> | <ul style="list-style-type: none"> <li>Unemployment</li> <li>Increased migration</li> <li>A growing poverty trend</li> <li>Increased divorce and crime rates</li> <li>Decreased quality of farm crops and fruits such as fig</li> </ul>                              |

59. Drawing from the preceding information along with local consultations and experience a number of project villages and sites have been identified for Components 2 and 3 of the project. More detail on the selection process and summary information on the project villages and sites is provided in Annex 4. While not exclusively focused on Zones 1 and 4, the project has a strong emphasis on these areas. Collectively these two zones account for just under 46 percent of the total population of

<sup>42</sup>From project development consultations 14-20 November 2017



854,093. The most vulnerable are the rural dwellers (villagers) whose livelihoods are highly dependent on the natural environment, principally to support their agricultural activities. The current population of villagers in Zone 1 is 111,775 spread across 264 villages; with 69,118 villagers in Zone 4 spread across 172 villages.

60. The project will ensure equitable distribution of benefits at different yet inter-connected levels, i.e., basin-level and household/individual levels, through a selection criteria prepared through a consultative process and elaborated in the table below to result in the most impactful interventions on the ground as and in full compliance with AF policies.

**Table 5: Beneficiary selection criteria**

| Output  | Distribution of benefits | Selection criteria  | Comply with AF policies  |
|---|--------------------------|---|--|
| 1.1 An integrated model for climate risk and climate change assessment supports medium and long-term decision making.   | Basin-level              | Land use planning zones (Zone 1, 2, 3 and 4) around the Bakteghan basin anchored on climate change impacts on these zones, combined with socio-economic criteria of villages/households.<br>This is fully described in the proposal under "Project targeting" sub-section (Paragraphs 53 – 59), with more detail provided in Annex 1 (climate change impacts), Annex 2 (Socio -economic conditions in 4 zones) and Annex 3 (Target of Beneficiaries). | GPAP: This output will provide women and men with an equal opportunity to build resilience, address their differentiated vulnerability, and increase their capability to adapt to climate change impacts.<br>ESP: Though this output is not expected to trigger any law (as it pertains to development of a model) the project will ensure its compliance with national laws.<br><br>At proposal development stage, all relevant land and water management and environment protection laws and regulation including a) Law of Protection and Improvement of the Environment; b) Land and Coastal Law (Approved 20/07/1975); c) The law of water fair distribution (Approved 07/03/198); d) Regulations on rivers, anchors, mussels, marshes, natural ponds and water supply networks, irrigation and drainage (approved on 01/11/2000) and; e) The law on Wetland Management and Conservation were considered through DoE, MoE and MoJA intervention, the main authorities responsible for application of the above regulations in development projects. Thus, all project activities will comply with these national guidelines, where necessary. |
| 1.2 A land and water use planning framework is developed and implemented to support decision making.                    | Basin-level              | Land use planning zones (Zone 1, 2, 3 and 4) around the Bakteghan basin.  | GPAP: This output will provide women and men with an equal opportunity to build resilience, address their differentiated vulnerability, and increase their capability to adapt to climate change impacts.<br>ESP: This output will be in compliance with national law and targeting the most vulnerable populations. Relevant laws, including those stated above, were considered and discussed with the involvement of DoE, MoE and MoJA, the main authorities responsible for application of the above regulations in development projects. Thus, all project activities will comply with these national guidelines, where necessary.  |
| 1.3 Community engagement, empowerment and ownership in decision making is supported through local community monitoring. | Basin-level              | Land use planning zones (Zone 1, 2, 3 and 4) around the Bakteghan basin.  | GPAP: This output will provide women and men with an equal opportunity to build resilience, address their differentiated vulnerability, and increase their capability to adapt to climate change impacts.<br>ESP: This output will be in compliance with national law and targeting the most vulnerable populations. Relevant laws, including those stated above in output 1.1, were discussed with the involvement of DoE, MoE and MoJA, the main authorities responsible for application of the above regulations in development projects. Thus, all project activities will comply with these national guidelines, where necessary.   |

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| <p>1.4 A GIS based data and information management system and an information portal system are developed to facilitate more informed, effective and timely decision making.</p> | <p>Basin-level</p>                           | <p>Land use planning zones (Zone 1, 2, 3 and 4) around the Bakteghan basin.</p>  | <p>GPAP: This output will provide women and men with an equal opportunity to build resilience, address their differentiated vulnerability, and increase their capability to adapt to climate change impacts.<br/>ESP: This output will be in compliance with national laws, mentioned against output 1.1, and targeting the most vulnerable populations.</p>  |
| <p>2.1 Climate smart agriculture practices are adopted in target areas.</p>   | <p>Village / Household/ Individual level</p> | <p>In Annex 3 – “Targeting of Beneficiaries” there is a Summary of targeted villages by Outputs and Zones.<br/>The criteria for the selection of villages for Output 2.1 has been conducted on the basis of extensive consultations with the county authorities, communities, farmers, NGOs and CBOs. The following items were considered:<br/>1. Farmers with successful experiences, such as low-water and drought resistant crops with high yields/income such as the villages that cultivate saffron, safflower and pistachio as an alternative for rice<br/>2. Governmental extension services with successful research and development experiences in reducing water consumption for agricultural purposes. The provision of this services will focus to villages, farmers willing to implement sustainable agriculture projects.<br/>3. Existence of potentials and demonstration effect of less water-intensive agriculture with same yields and less GHG emission, including the support of village officials and the presence of leading farmers in Zone1, 2, 3 and 4.<br/>4. The location of the villages and their impact on the surrounding villages (outside Zone 1, 2, 3, and 4), aiming to promote a spillover effect.<br/>5. Villages dependent to agriculture for their livelihood/income and most impacted by drought: mostly farmers (Zone 4 being the most affected, zone 2 are mostly rice farmers and in the other zones farmers have dry farms of wheat and barley).</p> | <p>GPAP: This output will provide women and men with an equal opportunity to build resilience, address their differentiated vulnerability, and increase their capability to adapt to climate change impacts.<br/><br/>ESP: This output will be in compliance with national law targeting the most vulnerable populations. Relevant laws, including those stated above in output 1.1, were discussed with the involvement of DoE, MoE and MoJA, the main authorities responsible for application of the above regulations in development projects. Thus, all project activities will comply with these national guidelines, where necessary. If national Standards are not applied the following AF ESP principles will be at risk: 2, 3, 5,6, 9, 12, 13, 15</p>   |
| <p>2.2 Alternative livelihoods are adopted by women/women’s cooperatives in target villages.</p>  | <p>Village / Household/ Individual level</p> | <p>The project will use and tailor the GEF’s Iran Small Grants Programme (SGP) Eligibility Criteria for Grantees and Projects to assess target beneficiaries according to 5 main areas (refer to Annex 6 for more details):<br/>-Organization/individual carrying out the project/activity<br/>-Local vulnerability and resilience analysis<br/>-Adaptive capacity and resilience building<br/>-Compliance of the goal with targeted environmental areas<br/>- Benefits of the project<br/><br/>Based on the selection criteria and the pre-selected livelihoods options, women and women’s groups will be selected and financially and technically supported to rolled out the preferred livelihood options.</p>  | <p>GPAP: AF’s resource allocation in this output contributes directly to gender equality and supports the economic empowerment of women.<br/><br/>Measure the outcomes and impacts of its activities on women and men’s resilience to climate change impacts and their ability and agency to address gender differentiated vulnerability<br/><br/>ESP: This output will be in compliance with national law targeting the most vulnerable populations. Relevant laws, including those stated above in output 1.1, were discussed with the involvement of DoE, MoE and MoJA, the main authorities responsible for application of the above regulations in development projects. Thus, all project activities will comply with these national guidelines, where necessary. If national Standards are not applied the following AF ESP principles will be at risk: 2, 3, 5,6, 9, 10, 12, 13</p> |

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| 3.1 A range of watershed management measures are implemented in target areas aimed at increasing resilience to drought risks.            | Basin-level | 23 target villages in Zone 1 and Zone 4 have been selected based on the current drought impacts and the likelihoods of reverse these adverse impacts. More information in Annex 3 – “Targeting of Beneficiaries”  | GPAP: This output will provide women and men with an equal opportunity to build resilience, address their differentiated vulnerability, and increase their capability to adapt to climate change impacts.<br>ESP: This output will be in compliance with national law targeting the most vulnerable populations. Relevant laws, including those stated above in output 1.1, were discussed with the involvement of DoE, MoE and MoJA, the main authorities responsible for application of the above regulations in development projects. Thus, all project activities will comply with these national guidelines, where necessary. If national Standards are not applied the following AF ESP principles will be at risk: 9, 10, 12, 15 |
| 3.2 Landscape rehabilitation to restore functionality of ecosystem services to increase climate resilience.                              | Basin-level | 7 Critical ecosystems have been selected in Zone 1, 3 and 4 based on the current drought impacts and the likelihoods of reverse these adverse impacts. More information in Annex 3 – “Targeting of Beneficiaries” | GPAP: This output will provide women and men with an equal opportunity to build resilience, address their differentiated vulnerability, and increase their capability to adapt to climate change impacts.<br>ESP: This output will be in compliance with national law targeting the most vulnerable populations. Relevant laws, including those stated above in output 1.1, were discussed with the involvement of DoE, MoE and MoJA, the main authorities responsible for application of the above regulations in development projects. Thus, all project activities will comply with these national guidelines, where necessary. If national Standards are not applied the following AF ESP principles will be at risk: 9, 10, 12,    |
| 4.1 A comprehensive communications, education and capacity building programme on climate resilience is implemented.                      | Basin-level | Land use planning zones (Zone 1, 2, 3 and 4) around the Bakhtegan basin.  | GPAP: Knowledge generation and communication towards the implementation of gender-responsive adaptation actions and to contribute to addressing existing knowledge and data gaps, the project will document the experiences and knowledge gained from the implementation of GAAP.<br>ESP: This output will be in compliance with relevant national laws and will benefit the most vulnerable populations.   |
| 4.2 A Bakhtegan Basin Council is formed to facilitate the long-term sustainable and climate resilient management of the Bakhtegan Basin. | Basin-level | Land use planning zones (Zone 1, 2, 3 and 4) around the Bakhtegan basin.  | GPAP: This output will provide women and men with an equal opportunity to build resilience, address their differentiated vulnerability, and increase their capability to adapt to climate change impacts.<br>ESP: This output will be in compliance with national laws stated in output 1.1 and targeting the most vulnerable populations.  |

61. The project will ensure that all outputs foster equal participation and representation of women and men by following the management tools (GAAP, SESP, ESMF) developed for this project with the ultimate aim of impactful interventions on the ground in full compliance with AF policies. The criteria was developed based on several consultations with Government and communities that informed the structure of this project. In addition, a Gender Assessment and Action Plan (GAAP) has been developed which provides actions to be taken under each Output to foster the inclusion of women and women’s groups to ensure that they participate in and benefit from the project (Please refer to Annex 9). GAAP’s baseline and targets have been included in the logframe. An Environmental and Social Framework (ESMF) (Annex 10) will guide the implementation of the project activities to be in line with national laws and standards.

62. Small scale field activities, which will be site specific, are envisaged as an integral part of this project. Detailed design of such activities, ensuring that benefits are properly targeted, unacceptable environmental and social impacts are either designed out or properly managed, and that all sub-projects comply with AF principles, cannot take place until the project is underway. Such Unidentified Sub-Projects (USPs) represent some outputs of the project – the actual activities taking place on the ground under Components 2 and 3, while Components 1 and 4 are designed primarily to enable them to take place. As projects with a local focus, with local buy-in, and which rely on community support, local communities need to be involved in not just their design and implementation, but also in the process of identifying the projects themselves, and any adverse impacts that such proposals may entail. Such local stakeholder involvement is not something that can be done in

advance, but is done in parallel with the other component parts of the project, including the Information and Decision Support System, strengthened governance at local, regional and national levels, as also seen in Output 3.2. The involvement of communities and stakeholders is itself part of the project, empowering communities, women, and the poor and marginalised, enabling them to contribute to the work of which they will be the prime beneficiaries. The project seeks to provide the framework for such activities, designed and implemented by the communities concerned in a manner fully consistent with AF's ESP and gender policy requirements, to take place.

**Component 1: A data and information management system for decision support and communications is developed and implemented to support development of long-term climate resilience in the Bakhtegan basin.**

63. Component 1 focuses on enhanced management and processing of relevant , hydrological, land use and other identified data and information aimed at supporting decision making and actions that enhance the climate resilience of the Bakhtegan Basin. Results from the identified Outputs, and specific Activities, will be tailored to directly support land and water use planning decisions and actions within the Fars Provincial Government, through the planned Bakhtegan Basin Council (Output 4.2) and through local County governance structures as well as through direct engagement with and participation of communities. There are both technical and non-technical aspects to this Component which will require a multi-partner, integrated, approach to ensure effective implementation and dissemination. The Ministry of Energy (MOE), Ministry of Jihad Agriculture (MOJA) and Department of the Environment (DOE), which have responsibility for monitoring and management of water resources, will take a lead role in the climate and climate change assessments and water/land use planning for the Bakhtegan Basin. Local community monitoring will be facilitated by identified local NGOs, with linkages to the Fars Provincial Government, MOE, MOJA and DOE.
64. Component 1 will encompass the following: a) the customization and application of an integrated climate, climate risk and climate change assessment model which has been progressively developed over the last 24 years. This model (SimCLIM) was developed in its original form as a customized model for climate change impacts assessment in New Zealand and was further customized for applications in Bangladesh and the Pacific Islands. Since 2002 the software has been redesigned into an open architecture platform and has been used extensively throughout the world in multiple applications. This model will be customized for application in the Bakhtegan Basin and will be used for integrated assessment of climate risk and climate change impacts on land and water resources. Simulations and assessments will be made using output from a full suite of GCM and RCM patterns and to cover the full range of IPCC AR5 representative concentration pathways (RCPs); b) development and implementation of a participatory and integrated approach to water and land use planning (WLUP) in the Bakhtegan Basin. This work will be guided by current water and land use planning, and will generate outputs that will further inform both planning and governance of water and land resources (through Component 4). It will involve comprehensive analysis of available data and information on land and water resources in the basin aimed at guiding and informing the wise and sustainable use of land and water resources; c) the development and implementation of a local community monitoring programme. Participating communities in the four Zones will be actively engaged in identifying indicators for monitoring changes in both vulnerability and resilience in their local environment, social situation and economy. This will include monitoring of changes in water use with participating farmers. The focus is to build knowledge, understanding and ownership of the severe situation that many households are now facing throughout the basin, while also building more effective information and communication bridges between local communities and local, provincial and national decision makes; d) education, capacity building and communications. This will include education and capacity building of all stakeholders but in particular focusing on training of trainers (i.e. training of facilitators) and building awareness and capacity of participating households, farmers and communities. This will be supported by a communications programme aimed at wide dissemination of results from Component 1 throughout the Bakhtegan Basin. There will be a strong focus on linking outputs from this Component to support enhanced governance structures and mechanisms under Component 4 aimed at improved decision making and actions which will be implemented through Components 2 and 3.
65. Under Component 1 results will be generated from the climate risk and climate change assessments, water and land use planning and local community monitoring aimed at directly building more climate smart and resilient use of land and water resources by 254560 families in more than 722 target communities and indirectly to the entire population of the Bakhtegan Basin (854,093 people, according to the 2016 census).
66. During the project formulation phase the needs for the Outputs presented in Component 1 were identified through consultations nationally with MOE, MOJA and DOE, provincially with the Fars Provincial Government, and locally with county governors, local representatives of government agencies and local community and NGO representatives. The results of these consultations are summarized in Section H with a report on provincial and local consultations provided in Annex 7. The capacity for in-depth climate risk and climate change assessments, particularly relating to water resources management and decision making, is a direct response to a high priority need identified by the MOE.
67. During project implementation a comprehensive participatory approach will be taken to ensure that outputs from this Component are both directly addressing identified needs and leading to enhanced decision making and actions in relation to climate resilience. Output 1.3 has been specifically designed to empower communities through greater community understanding, engagement and ownership. The participatory approach is further supported and strengthened through Output 1.4 which will support a strong emphasis on education, capacity building and communications.
68. A consistent and comprehensive analysis of climate risk and climate change impacts in the Bakhtegan Basin will greatly assist with informed decision making, planning and action towards building climate resilience. The targeting of specific outputs to participating communities, families and farmers will foster 'champions of change' in the basin, while the

widespread sharing of information throughout the basin will foster greater understanding of shared issues and challenges, as well as positive solutions. The partnership through this Component of three participating government ministries, of national, provincial and local stakeholders, and of communities representing the four different Zones and associated issues will greatly foster and enhance understanding of the water and land use and associated climate change crisis that must be addressed collectively for the benefit of all life in the Bakhtegan Basin.

69. Component 1 results will be disseminated to all national, provincial and local stakeholders through the information portal system (TIPS) which is described under Output 1.4. In particular this system will provide relevant information to support all Outputs and Activities in Component 4.
70. As the foundation for the project it is intended that all Outputs from Component 1 will be timed for completion during the first two years to ensure maximum input and support for Components 2, 3 and 4. Outputs 1.1 and 1.2 will be completed within the first two years of the project. The local community monitoring through Output 1.3 will be on-going throughout the project. All results from these three Outputs will be fed into Output 1.4. Under supervision of the project board, the project team will coordinate with MoE as the lead agency for managing hydrological systems and data to roll out the technical assessments. All relevant agencies will work in partnership with provincial and local governments and authorities and participating communities to implement all non-technical activities. The enhancement of existing governance mechanisms (under Component 4), together with the agreed project management structure (refer to Part III, Section A) will be used to guide this work, as will the Outputs from Component 1 be used to guide and support improved governance. In summary, it is expected that Components 1 and 4 will be mutually supportive and will be developed together in an iterative manner.
71. Component 1 will produce data and analysis aimed at supporting participatory decision-making mechanisms in Component 4. For example, decisions relating to water allocation for each type of land use in different parts of the basin will guide best practices for agriculture and water resources management which support wetlands restoration. Decisions relating to the crop pattern in each part of the basin will inform Component 2 (primarily CSA systems) and Component 3 (watershed management measures and landscape rehabilitation), with the latter further supporting the chosen land use practices.
72. Under Component 1, customized climate change scenarios for the Bakhtegan basin will be generated and analyzed by national and provincial government to inform decision-making in the basin. Within the project the focus will be to support decision-making relating to project activities relating to land and water management, but the intention is that the climate change information generated will be mainstreamed into all decision making over time (including budgeting processes, etc.). By modeling various scenarios of change in temperature and rainfall and water yield as a result, corresponding policies for different regions will be determined. Currently reliable and up to date long-term scenarios are lacking to feed into adaptation decision-making.

Component 1 consists of the following Outputs and Activities:

**Output 1.1** – *An integrated model for climate risk and climate change assessment supports medium and long term decision making.*

73. A customised version of SimCLIM will be developed for the Bakhtegan Basin incorporating monthly time series data for seven climate variables, daily time series of available climate data and GCM patterns from 40 models which are linked with the IPCC AR5 representative concentration pathways (RCPs). Output from SimCLIM. This will be linked to the Soil, Water Assessment Tool (SWAT) as part of a comprehensive climate change impact and risk assessment in the basin aimed at complementing and enhancing activities in Output 2.1. Assessments will focus on the basin as a whole as well as the three sub-basins (the Kor, Sivand, and Kor-Sivand. Analyses will incorporate different scenarios of water extraction, from surface and ground water, to support clearer understanding and decision-making in relation to the water resources situation in the basin and how it will be impacted by climate change. The different scenarios of water extraction will encompass the current situation based on available monitoring data, and different land use scenarios, aimed at determining as clearly as possible the sustainable level of surface and ground water use under both present and future climate change conditions.
74. The modelling work with SimCLIM will build on past analyses conducted in the Bakhtegan Basin. Importantly it will provide a coherent and consistent set of analyses and results that will be directly targeted at supporting greater understanding and decision making in relation to surface and ground water resources, and different land use options. This will be a clear progression from previous analyses which have involved discrete studies by various researchers using different models, assumptions and scenarios.
75. This output is crucial to developing a clear and comprehensive understanding of how climate change is already impacting, and will continue to impact, on the currently very fragile situation in the Bakhtegan Basin. In combination with the results from Output 1.2 this will provide a much stronger basis for enhanced decision-making, awareness raising and action towards increasing the climate resilience of the environment, society and economy of the basin.

Activities under Output 1.1 include:

- SimCLIM will be customized for the Bakhtegan Basin. This requires data development applying the latest CMIP5 statistically and dynamically downscaled information for the seven variables of minimum, mean and maximum temperature, precipitation, relative humidity, solar radiation and wind. All of these can be generated for monthly patterns and used with SimCLIM to assess baseline and future scenarios of change across all the available Representative Concentration Pathways (RCPs). These GCM and RCM patterns will be at 1 km resolution and applied to the shape file that defines the Basin. Additionally historical time series data for the Basin will be provided by the Ministry of Energy and Iranian Meteorological Organization for inclusion to enable extreme event analysis. All climate scenarios developed will be

consistent of a full suite application of current Global Climate Model (GCM) and Regional Climate Model (RCM) results combined with AR5 Representative Concentration Pathways (RCP) in the Bakhtegan Basin.

- Training in the data applied and SimCLIM will be undertaken to facilitate assessments of climate change and climate risk for the Bakhtegan Basin. Such training over a two week period will not only clearly articulate the underlying principles in the development of climate data for basin-wide application but will also encourage better understanding of IPCC guidelines for the application of climate models in decision making. Topics for inclusion include risk analysis using a scenario approach and threshold analysis and integration of climate model outputs for planning and decision making and community outreach.
- Application of SimCLIM will focus on comprehensive modelling of climate change and climate risk in the Bakhtegan Basin, with a specific focus on surface and ground water resources under current and future climate conditions.

**Output 1.2** – *A water and land use planning (WLUP) framework is developed and implemented to support decision making.*

76. There are many challenges that the rural areas in the Bakhtegan Basin are currently facing. This includes: achieving food security; mitigating and adapting to climate change; protecting biodiversity; supporting economic growth; protecting people from natural disasters; preventing and settling land and water demand conflicts; and encouraging local people and communities to alternative livelihoods. An integrated approach to water and land use planning (WLUP) is one of the tools that can help to address these challenges as it focuses on making best use of available information and data to support informed decision making on the future use of land and water resources with participation of all relevant stakeholders.
77. The main objective of this Output is to develop and implement a land-use planning framework that is based on a fully integrated approach to addressing water resources limitations in the Bakhtegan Basin aimed at building resilience to climate variability and change. This framework can be used to guide land use decisions that protect and enhance natural resources and biodiversity by limiting agricultural expansion, protect and enhance the fragile water resources, and constrain the further conversion of forests and rangelands to arable land while also guiding reconversion of arable land to forests and rangelands. WLUP can also be used to identify areas suitable for carbon sequestration, for example through afforestation or for the introduction of agro-forestry. Examples include the transformation of high water demanding rice monocultures into rice/wheat/saffron systems, and establishment of agro-forestry plantations in which the carbon in biomass and soil litter can be multiplied through the cultivation of plantation shade trees.
78. The results of this Output will be combined with the results from Output 1.1 and integrated into the Decision Support System in Output 1.4 to provide a much stronger basis for enhanced decision-making, awareness raising and action towards increasing the climate resilience of the environment, society and economy of the basin.

Activities under Output 1.2 include:

- Public participation – All stakeholders, representing communities, authorities and industry, will be involved through participatory workshops in the planning and design of the parameters for this Output; in further workshops to agree on recommendations and revisions as the work progresses; and in determining final recommendations for implementation from this Output. Project will organize consultative participatory workshops for rural women to provide feedback into this process.
- Development of an integrated WLUP framework for the Bakhtegan Basin. This framework will consist of the following specific activities and steps, which will be undertaken at both the basin level and also for each of the identified land use planning Zones :
  - Analysis of existing land-use and policies by using remote sensed data and GIS analysis that includes the present condition of various land-uses including forest, rangeland, irrigated cultivation, rain-fed cultivation, residual area (urban and rural) that prevail under existing national and provincial policies (e.g. allowable or disallowable arable land expansion).
  - Analysis of existing water resources (surface and sub-surface) and systems including information and data from registered and unregistered wells, registered and unregistered river water diversions, updated well pumpage information and records, updated river diversion records. All data will be obtained from available hydrometric gauge stations, and planned waste water and desalinization projects.
  - Analysis of data from existing water uses from both surface and ground water including agriculture, domestic uses and industrial uses (including mining, factories, hydroelectric power plants).
  - Projections of future water supply and demands based on the results of the future climate projections that will be formulated in Output 1.1 using the SimCLIM model coupled with the SWAT hydrological model. WLUP will be introduced at the Bakhtegan Basin and land use planning Zone levels to identify measures to reduce vulnerability and build resilience to climate change. This will enable identification, discussion and decision-making on specific risks and interventions that are related to the unique characteristics and circumstances of each of the four Zones.
  - Identification, review and assessment (including costing) of water and land resource options that include: changes and refinements to conventional water system infrastructure; alternative water resource measures (e.g. desalinization and use of recycled water); supply side and demand side options. The supply side will be evaluated under three climate change scenarios: projection under the optimistic climate change scenario, i.e. RCP 2.6; projection under the pessimistic climate change scenario, RCP 8.5; projection under a mid-range scenario. The demand side will be defined based on: different land use scenarios ranging from high water use to no water use and including retirement and reconversion of arable lands to rangelands or forest; population growth scenarios. This will help address the current situation where

there are no limitations on water use and policy makers are not following any plan towards water resources management based on the water availability limitations in uplands and climate change vulnerabilities.

**Output 1.3 – Community engagement, empowerment and ownership in decision making is supported through local community monitoring**

79. A fundamental issue within communities in the Bakhtegan Basin is a lack of in-depth awareness and ownership of the seriousness of climate change impacts. The levels of awareness and ownership vary in the four different Zones identified for targeting. For example, it is clearly evident to people in Zone 4 that there is no surface water available and that they have saline water in their wells. They are aware that they are now living in a dryland environment, but they are not fully aware of all of the causes, the most importantly the role of climate change. On the other hand, people in Zone 1 have access to water but their production is still suffering due to factors such as high soil erosion rates. There is also a lot of blame being apportioned with people and communities becoming territorial as a result, particularly where they have water. This gap results from a lack of sharing of issues that people are experiencing in different Zones. At the same time people have no means to monitor improvements in their situations and environment and for sharing their success stories with others.
80. To address this situation this Output will focus on empowering communities to take ownership through developing, in a participatory manner, with targeted communities, a system for monitoring changes in both vulnerability and resilience and sharing this information between communities and with both county and provincial authorities. This local community monitoring will be accompanied by education and capacity building under Output 1.4. Examples of indicators for vulnerability and resilience monitoring include: biodiversity status, water situation, soil quality, household income, crop productivity, crop health, crop pattern, animal health. Specific indicators will be developed in partnership with the targeted communities, using as much as possible a simple ranking (e.g. on a scale of 1 to 5) for reporting on their status. The number of indicators and frequency of reporting to be determined with participating communities and families. Responses to indicators will be verified with quarterly site visits and facilitated sessions. Information will be collated into a form that will be available for communications, education and sharing with communities and authorities throughout the basin.
81. This Output will provide the basis for awareness building and ownership of issues and building resilience in response to identified vulnerabilities. It will also provide valuable information on the status of different communities that will be shared throughout the basin with the goal of informing people widely of the challenges that are being faced and what is being implemented to address them. It will also help the fine tuning and targeting of resilience building interventions for different communities. This local community monitoring will complement and add further insight to results from existing monitoring activities, in particular the monitoring of water resources and climate.

Activities under Output 1.3 include:

- Participatory engagement with targeted communities, farmers and households to identify and agree on a set of vulnerability and resilience indicators (encompassing environmental, social and economic) which will be used for local community monitoring. Project will facilitate presence of Rural Women's Trust Funds representatives in public consultation meetings.
- Development of a participatory monitoring system to facilitate tracking changes on the agreed indicators by targeted communities and households.
- Installation of a water monitoring system with participating farmers from Output 2.1 to measure and quantify water reductions from the introduction of climate smart practices.
- Quarterly site visits to all participating communities to verify and review information provided and discussed in the participatory monitoring system.
- In conjunction with Output 1.4, development and dissemination of information based on the local community monitoring, which will be fed back to communities and others through Output 4.1.

**Output 1.4 – A GIS based data and information management system and an information portal system are developed to facilitate more informed, effective and timely decision making**

82. The focus of Output 1.4 is on data and information management for improved decision making. This is focused on streamlining all relevant data and information generated through the project through a customized GIS platform and development of an information portal system (TIPS). This will then provide input to guide all Outputs under Component 4. Advances in data acquisition through remote sensing, data utilization through geographic information systems (GIS), and data sharing through the internet have provided watershed managers access to more information for management decisions. In the future, applications incorporating hydrologic simulation models, GIS, and decision support systems will be deployed through the internet. In addition to challenges in making complex modeling technology available to diverse audiences, new information technology issues, such as interoperability, internet access, and security, are introduced when GIS, simulation models, and decision support systems are integrated in an internet environment. This project will review current use of information technology in watershed management decision making and develop a discussion of issues created when developing internet based, integrated watershed management decision support systems. A prototype spatial decision support system (TIPS) for rangeland, forest, cultivation areas management will be developed around web services, which are components that communicate using text based messages, thus eliminating proprietary protocols. This new framework will provide an extensible, accessible, and interoperable approach for decision support in the Bakhtegan Basin. The information generated will be used by policy and decision makers in Fars Province, through the mechanism of the Bakhtegan Basin Council (Output 4.3).

83. Data and information management will be linked strongly to both the education and capacity building and communications elements of Output 4.3. In particular, but not exclusively, this element will focus on effective management and use of data and information that is either generated from, or underpins, other Outputs. The key is to insure that all data and information are brought together in a form that is accessible to all project stakeholders, from individual householders and farmers through to national level policy makers. In essence this will take the form on an internet based decision support system, as outlined above, to ensure effective decision making and actions of relevance to climate resilience.

Activities under Output 1.4 include:

- Data and information management for decision support will focus on the development of a GIS platform that integrates all relevant data and information layers generated for and through the project.
- Establishment of the information/data portal system (TIPS) to facilitate completion to disseminate the needs all the stakeholders based on the national, provincial and local scales.

***Component 2: The resilience of communities in the Bakhtegan Basin is strengthened through implementation of climate smart agriculture and alternative livelihoods***

84. Component 2 focuses on the development and implementation of climate smart agriculture and alternative livelihood practices which are aimed towards achieving significant reductions in the demand for, and pressure on, land and water resources in the Bakhtegan Basin. It is designed to address some of the core vulnerabilities that are increasingly being exacerbated by climate variability and extremes, in particular drought associated with climate change. Core vulnerabilities are arising from the unsustainable rates of extraction and overuse of both surface and ground water resources, combined with over-extensification and over-intensification of agriculture. The severe drought in 2007/08 intensified the effects of these practices and this has continued with the sustained period of drier than normal conditions since then. The consequences of this are severe in an already arid environment. While this Component cannot address all of the underlying issues throughout the basin, it will provide support for more climate smart and climate resilient agricultural practices and alternative livelihoods which will lead to significant reductions in vulnerability to drought and climate change by participating farmers, households and communities.
85. The project will strengthen and add value to existing agriculture initiatives within the Bakhtegan Basin. This includes supporting the Fars provincial government strategy to change cropping patterns and practices. Changes already occurring include: shifting arable land to alternative crops such as almond, fig, rose-flower (mostly using for cosmetics and some food industries), pistachio and medicinal herbs. Additionally farmers are already making changes such as: increasing the area of saffron cultivation (estimated to be increasing by about 100 ha annually); shifting to lower water demanding crops such as safflower (increasing by about 500 ha annually in Shiraz, Marvdasht and Kharameh Counties); increased cultivation of barley and introduction of less water demanding wheat varieties. Other current agricultural initiatives include organic certification of farms and processing facilities. However, it needs to be clarified to what extent these organically certified farms are receiving sufficient economic incentives to sustain their organic status and whether they are achieving significant reductions in water use. Crops currently covered include dates, figs, pomegranate, saffron and medicinal herbs.
86. Similarly the project will extend existing alternative livelihood practices within the Bakhtegan Basin aimed at diversifying household incomes away from dependence on land based, water dependent activities. Current alternative livelihood practices that will be extended include sewing, mushroom production, carpet weaving, vegetable production, processed food products (e.g. pomegranate sauce, tomato paste, fig products, grape juice, raisins, pickles), bread making, chicken and turkey breeding, bee keeping and sheep husbandry. A specific mechanism for supporting women is the Rural Women's Trust Fund, which will be supported and enhanced through the project.
87. Component 2 will therefore encompass the following: a) climate smart agriculture which will include a participatory planning process, market research, research on new crops and cropping systems that are suited for a dryland environment which can provide more income with less land and significant reductions in water use, extension of both existing initiatives and of the results from the research into new crops and cropping systems and widespread dissemination of results; b) alternative livelihoods which will also involve a participatory process, market research, education and training, certification, marketing and widespread dissemination of results. All activities and practices will be targeted to the specific needs of participating farmers, households and communities within the context of the limitations and challenges of each of the four Zones. In all cases a Community Based Adaptation approach will be used, which will be complementary to the Ecosystem Based Adaptation approach of Component 3.
88. Direct beneficiaries of sustainable livelihood practices will include 766 households, with 900 women receiving support from the Rural Women's Trust Fund, in ten villages with two from Zone 1, two from Zone 2, one from Zone 3 and five from Zone 4 (see Annex 4 for details). Targeting of villages for both Outputs in Component 2 has been developed to address the range of agricultural issues (e.g. from overuse of water to lack of water) and focusing in particular on identified vulnerable communities for alternative livelihood practices. Indirect beneficiaries of the project will be the entire population of the Bakhtegan Basin through communication of project results and outcomes, which will be facilitated through Output 4.1.
89. During the project formulation phase the needs for the Outputs presented in Component 2 were identified through consultations nationally with MOE, MOJA and DOE, provincially with the Fars Provincial Government, and locally with county governors, local representatives of government agencies and local community and NGO representatives. The results of these consultations are summarized in Section H with a report on provincial and local consultations provided in Annex 7. Reference was also made to existing successful initiatives in Iran, including the Lake Urmia project (see Section F).



90. Component 2 has been designed with the recognition that participation, empowerment and ownership building are the keys to success. This component along with component 3 will also provide a practical platform for implementing decision made in components 1 and 4. Project results won't be sustained if people are simply told what to do. Therefore both Outputs 2.1 and 2.2 will begin with a participatory planning process and will involve continual engagement with and feedback from farmers, women, households and their communities for the duration of the project. This process will ensure that all direct beneficiaries will own both the problems and the solutions.
91. The main outcomes of Component 2 will be successful introduction and extension of climate smart agriculture and alternative livelihoods that decrease vulnerability to drought and climate change in the Bakhtegan Basin in line with decision made by newly governance mechanisms established in the basin to address climate change. This component reduces pressure on scarce land and water resources, providing viable and sustainable sources of income, and reducing pressure towards migration from rural areas. By building climate resilience within the context of what is now a dryland environment the project will raise understanding and awareness of the underlying situation and associated effects of drought and climate change and provide solutions that will be of long-term benefit to the basin if adopted widely and wisely.
92. The two Outputs in this Component will be spread throughout the lifetime of the project. The Fars provincial government, through the Bakhtegan Basin Council, together with provincial and local staff of MOJA, MOE and DOE, and local county governors will have collective responsibility for implementation of Component 2 in line with decision made through mechanisms established in outcome 1 and 4.

Component 2 consists of the following Outputs and Activities:

**Output 2.1 – Climate smart agriculture practices are adopted in target areas**

93. Development and implementation of climate smart agriculture in the Bakhtegan Basin forms one of the most substantial components of this project, which aims to provide a practical platform to change traditional approaches of local related authorities, local companies and cooperatives and local communities and farmers to sustainable agriculture (SA) practices. In this regard, SA techniques are developed based on participatory approaches, bringing together farmers, agriculture authorities, agriculture research centres and professional facilitators aiming at water saving at farm level to help meet part of the ecosystem and lake water rights without compromising farmers' net income.
94. Agriculture is both the single major source of the situation that now exists in the basin and must be an integral part of the solution. The solution involves putting into practice many of the elements of the project, in particular drawing on results of the assessments in Component 1 and guided by the governance arrangements in Component 4. It will involve a clear action focus towards drastically reducing water consumption and shifting the mind sets of farmers and other related stakeholders towards what must now be treated as a dryland environment. Experience shows that this cannot be achieved by trying to tell farmers what they must do, for example by trying to shut down illegal wells. It can only be achieved by engaging with farmers fully in an action focused, participatory process. This will involve bringing together farmers, agriculture research centres and professional facilitators aimed at implementing identified climate smart practices that reduce water consumption without compromising farmers' net income.
95. Any adaptation measure won't be successful without a sense of ownership among people in the basin through a participatory approach which support and advocates a sustainable change in their daily livelihood. For this reason, local community engagement is one of the major objectives of the project. The above-mentioned process led to engagement of government, private sector, NGOs and the local farmers. Significant improvement of inter-sectoral collaboration can be seen to the point where different stakeholders are participating in planning and decision making on a regular basis. Besides, a bottom-up planning and implementation of SA techniques is carried out by farmers in collaboration with local companies.
96. In addition, local companies and cooperatives play a key role in the project with regular and continued presence in the field and accompany with local farmers and providing a collaborative platform toward joint planning and implementation among key stakeholders in line with sustainable agriculture, applying smart agriculture technics and aiming to achieve results. The necessity of involving communities and other third parties in the planning process for on-the-ground and site-specific activities, means that only provisional assessment of generic types of impacts can be made at this stage of project development, without further investigation on a site-by-site, and community-by-community basis. This is further explained in Sections B and J below, and in the ESMF (Annex 10)
97. There are a number of critical elements to this Output which are aimed at building on other relevant projects elsewhere in Iran and within the basin. This includes market research, including for organically certified products, research at the MOJA research station in Marvdasht on new crops and cropping systems suited to a dryland environment, participatory extension and engagement with farmers and communications drawing on existing and new research. These different elements need to consider the variation in conditions and agricultural activities throughout the basin, while at the same time considering the need for a coherent, integrated, approach for the whole basin. It will therefore draw strongly on results from the Output 1.2, which will guide and inform the limitations and opportunities relating to sustainable land and water use in each of the four Zones.
98. Considering the fact that water efficiency in most part of the basin is less than 30% and based on the current situation in the four different Zones , and subject to the results of Output 1.2 which will further guide this Output, the following is an overview of the activities in each Zone. Zone 1 encompasses the Kor and Sivand sub-basins, and was traditionally a rangeland area with seasonal grazing by nomads and rural people. There is now heavy use of water here, including significant amounts for rice cultivation on river terraces. The focus will therefore be on achieving significant reductions in water use drawing on available research from the MOJA research station in Marvdasht, while also encouraging

diversification towards lower water-demanding and higher value crops and cropping systems and alternative livelihoods (Output 2.2). In Zones 2 and 3, where there is the highest concentration of water dependent arable farming, the focus will similarly be towards achieving significant reductions in water use and other sustainable agriculture practices and encouraging all water users to diversify based on revised water allocation plans, produced through Output 1.2 for the Bakhtegan Basin. In Zone 4, which is the most critical zone in terms of the lack of water, the focus will be towards enhancing already existing shifts towards higher value, less water demanding, crops and cropping practices.

99. Local cooperatives/local technical companies with technical expertise on climate smart agriculture, technologies and participatory approaches will be contracted for each target village in a competitive process. Selected companies are obliged to be in each village full time and responsible to develop and implement a participatory plan which is agreed by local community to apply smart agriculture systems for the village.
100. Each contracted company is responsible to fully drive the whole process in each village under supervision of local related authorities (MoJA and DoE) which include trust building in the village, public awareness activities on climate change and climate smart agriculture, developing a participatory smart agriculture plan, participatory selection of target farms, gathering data and develop an action plan for each farm which will be agreed by the farmer owner.
101. The process of introducing SA techniques to the farmers include i) Development of Participatory Action Plan engaging Farmers, Facilitators, Agriculture Researchers and, ii) Implementation of water management techniques, emphasizing on water saving at farm level iii) Implementation of soil fertility techniques, iv) emphasizing on application of biological fertilizers rather than chemical fertilizers; v) Implementation of crop protection techniques, emphasizing on application of biological pesticides rather than chemical pesticides and pollutants; vi) Supply and installation of monitoring equipment and measuring instruments to enhance water consumption management
102. Applying new CSA techniques and technologies at the farm level will be supported by MoJA and contracted cooperative/company based on agreed action plan for the farm but there is an emphasis on techniques which could be applied and advocated by the farmers themselves. The new technologies includes but not limited to improvement of irrigation systems through better flow management (irrigation with constant flow, dual flow, decreasing flow, surge flow, blocked furrows), Improvement of soil conservation at farm level (land levelling, no/minimum tillage, contour ploughing, terrace farming, runoff control, wind breaks, Cover crops/crop rotation, soil-conservation farming, salinity management, soil fertility management); introduction of new type of seeds, pesticide and fertilizer at farm level. All farm level techniques/technologies will be discussed with farmers after initial monitoring of the farm and as possible solution to response climate change effect on their usual practices. Joint action plan will be developed based on possible solutions for farm and farmers will be supported to apply the action plan during the cultivation season.
103. This Output is provisionally targeted at 4,425 farmers and fruit and nut growers in 15 villages. (Target villages and selection criteria are described in Annex 3), It is expected that 21,910 hectares of cropping land will be converted to climate smart agriculture systems and 1,726 hectares of horticultural land will be converted to climate smart agriculture systems. The introduction of CSA systems will be undertaken on current agricultural land, and will be focused on environmental enhancement together with economic and social improvement. By the second year of the project at least 20% of target farms/orchards will be covered and at least 80% will be covered in the beginning of the last year of the project. It needs to be noted that all farm level activities will also be directly linked to other initiatives in other components like sustainable alternative livelihood activities and value chain which will be promoted and supported by local NGOs and CBOs (Output 2.2). All farmers in the provisionally-selected villages are targeted beneficiaries in the implementation phase. However, marginalized farmers with low income or most affected by drought and climate change along with women groups are priority and will be encouraged to participate in applying climate smart agriculture (CSA) in their farms and hence will benefit from CSA practices and trainings. This will be considered as an important indicator in initial consultation processes, and trust building meetings/visits in each village which will be held by extension offices and local technical cooperatives, with support from the project team. It should be noted that this will be an evolving process in which it is envisaged that more farmers within the village as well as neighbouring villages and communities will be engaged in the CSA gradually after witnessing the results and benefits in the primary cultivation seasons.

Activities under Output 2.1 include:

- **Market Research:** Market research, including value chain analyses, on alternative crops and cropping systems that are suited to a dryland environment under changing climate conditions. This will include market research on the potential for high value, export focused, organically certified crops. The focus on organically certified crops (focused mainly on fruit and nuts) for export is intended to identify as clearly as possible the potential for alternatives to rice production that will give farmers a strong economic incentive to change. Additionally, it will include an emphasis on processing opportunities for added value products that are aimed at high end markets. One example is cold-pressed safflower oil aimed at international health food markets. Simply focusing on local markets in Iran is unlikely to be sufficient to provide enough of an economic incentive for farmers to change. This market research will also encompass exploration of the potential to develop a unique branding of all produce from the Bakhtegan Basin, aimed at gaining international recognition of, and support for, the need to restore, revive and sustain its unique character as the heart of Persian civilisation.
- Based on the results of the market research, development of a unique brand for the Bakhtegan Basin. Associated with this working groups will be established in each Zone, involving farmers and industry (i.e. food processors) aimed at working

together to identifying and implementing new opportunities for high added value products, such as the previously mentioned example of cold pressed safflower oil.

- **Applied Research Programme in the Bakhtegan Basin:** Development and implementation of a new applied research programme at the MOJA research station in Marvdasht. This will draw experiences and lessons learned from the Lake Urmia project, FAO guidance on Climate Smart Agriculture, and the results of the market research on alternative crops, cropping systems and added value processing opportunities. The research programme will be focused only on new crops and techniques suited for a dryland environment that are likely to result in strong environmental, social and economic benefits. It will encompass low-cost more water efficient practices, introduction of fallow crops and periods, soil conservation practices including contour ploughing and use of shelter trees around fields (ideally using nitrogen fixing species) to reduce wind erosion of soil and to provide mulch material, use of biological pesticides and fertilizers. Subject to outcomes of the market research this will also include the design of farming systems that are capable of earning greater income from less land and with substantially reduced water inputs.

- **Development of Climate Smart Agriculture (CSA) Plans**

Based on the consultations and the research carried out by the MOJA research station in Marvdasht, the process of introducing sustainable agriculture techniques to the farmers include i) Development of Participatory Action Plan engaging Farmers, Facilitators, Agriculture Researchers and, ii) Implementation of water management techniques, emphasizing on water saving at farm level iii) Implementation of soil fertility techniques, iv) emphasizing on application of biological fertilizers rather than chemical fertilizers; v) Implementation of crop protection techniques, emphasizing on application of biological pesticides rather than chemical pesticides and pollutants; vi) Supply and installation of monitoring equipment and measuring instruments to enhance water consumption management. The new technologies include, but not limited to, improvement of irrigation systems through better flow management (irrigation with constant flow, dual flow, decreasing flow, surge flow, blocked furrows), Improvement of soil conservation at farm level (land levelling, no/minimum tillage, contour ploughing, terrace farming, runoff control, wind breaks, Cover crops/crop rotation, soil-conservation farming, salinity management, soil fertility management); introduction of new type of seeds, pesticide and fertilizer at farm level. All farm level techniques/technologies will be discussed with farmers after initial monitoring of the farm and as possible solution to respond to climate change impacts on their agricultural practices. Joint action plan will be developed and farmers will be supported to apply the action plan during the cultivation season. These plans will be targeted at 4,425 farmers and fruit & nut growers in 15 villages. (Target villages and selection criteria is described in Annex 3), covering 21,910 ha of arable land and 1,726 ha of horticultural land.

As indicated above, while the majority of the aspects of the subprojects have been identified so far, the identification of appropriate technologies for each individual village and farm requires further stakeholder consultation which will be done during the project implementation phase. A social and environmental screening process has been developed to make sure AF's 15 principles are addressed for selected farmlands.

- **Implementation of Climate Smart Agriculture Plans**

Implementation of the CSA plans will involve a structured process of engagement with targeted farmers including:

- Training and capacity development practices for companies, authorities experts and farmers
- Extension support during the growing season for implementation of the agreed action plan for each farm, provided by MOJA Marvdasht Research Station and selected cooperatives/companies. This will involve the initial trialling of new technologies and cropping systems at the agreed sites in each targeted village and at Marvdasht research station, rapid extension of further trialling with identified leading, and innovative, farmers, and then widespread extension to all targeted farmers.
- The new technologies includes but not limited to improvement of irrigation systems through better flow management (irrigation with constant flow, dual flow, decreasing flow, surge flow, blocked furrows), Improvement of soil conservation at farm level (land levelling, no/minimum tillage, contour ploughing, terrace farming, runoff control, wind breaks, Cover crops/crop rotation, soil-conservation farming, salinity management, soil fertility management); introduction of new type of seeds, pesticide and fertilizer at farm level
- Support for agricultural inputs, including but not limited to seeds, seedlings and biologically friendly inputs
- Support for organic certification where required
- Monitoring the results
- Documentation and sharing lessons learned

- **Widespread Communication and Education**

A comprehensive extension, communication and education programme to disseminate results and information as widely as possible throughout the Bakhtegan Basin (Output 4.1).

**Output 2.2 – Alternative livelihoods are adopted by women/women's cooperatives in target villages.**

103. Support and establishment of water-friendly alternative livelihoods with an especial focus on women and youth involvement forms a crucial part of this project. This activity is aimed at significantly decreasing the dependency of local communities on water resources while providing new job opportunities. It is complementary to the climate smart agriculture focus of Output 2.1. Many households and villages within Zones 1 and 4 are no longer able to sustain themselves economically due to the sustained effects of drier than normal conditions over the last decade and depleted water resources. This situation will continue to worsen with climate change. There has already been land abandonment within these four zones due to drought, low rainfall, lack of available water and/or low crop yields, and migration of families to urban fringe areas

with associated social issues such as increased divorce rates. Communities in Zone 4, in the immediate and wider environments of Lakes Bakhtegan and Tashk are the most severely affected and will be the primary focus for activities under Output 2.2.

104. The current situation is one where individual households are already practicing alternative livelihoods. The emphasis of Output 2.2 is therefore to build on and enhance these existing initiatives. The identified aim is to support the shift away from water dependent agriculture, which is already been enforced through lack of available water in some situations, increase the climate resilience of communities and stem the flow of people to urban fringe areas. Such initiatives decrease the local communities' dependence on wetland resources, while making rural people aware of their role in restoration and management of wetlands (through Component 3) and increases the level of social responsibility.
105. Key determinants of the success of alternative livelihoods include marketability of products generated, both nationally and internationally, and the capacity of individuals to successfully adopt and sustain alternative livelihood practices and sell their products. At present the production and sale of alternative livelihood products is being done in an ad hoc manner, with both the need and opportunity for a much more structured approach in terms of market identification and targeting, and vocational training.
106. The existing Rural Women's Trust Fund is an important mechanism for supporting the development of alternative livelihood practices. However, during the project consultations the project design team heard of mixed results with this fund. It is therefore very important to review results achieved from this fund and apply lessons learned to ensure its success through the project.
107. Based on the identification of market opportunities and vocational needs, participatory workshops will be undertaken in targeted villages. These workshops will be aimed at identifying opportunities and capacities for livelihood diversification, agreeing on specific alternative livelihood options for each participating village, based on the market research, and the development of alternative livelihood plans.
109. Subject to the above review and implementation of lessons learned from the review of the Rural Women's Trust Fund the project will support NGOs to establish up to 9 women's cooperatives (depending on whether they already exist or not, see below). The 9 cooperatives will cover all 9 target villages of this output and will respect current ways and norms of organization in the target area. By having one cooperative per village, it would be logistically easier to organize trainings and meetings with trainers and facilitators. Fars province is one of the pioneers in the country for large women's cooperatives. Of more than 300 women's cooperatives established throughout Iran 135 are in the Bakhtegan basin). These existing cooperatives have established women focused micro credit funds and the project will cooperate jointly with MOJA to support existing capacities in line with the project's goal. These cooperatives have already supported several alternative livelihood practices in the agriculture sector and the project will work as much as possible to build on these initiatives within the context of the climate change adaptation focus of the project.
110. Through the Rural Women's Trust Fund the project will target at least 900 women to implement alternative livelihoods by receiving small-grants support. Based on the Gender Assessment and Action Plan (GAAP) [Annex 9], it was identified that targeted villages currently have different capacities for adopting and sustaining alternative livelihoods. It was further identified that provision of financial support to the most vulnerable population in the target area, focused in particular on women, is needed to implement livelihoods to reduce the pressure on scarce water resources while creating alternative income generating opportunities for generation of income. Another important element distilled from the GAAP is that it is not only necessary to consider the needs of men and women but also their potential capacity in dealing with economic, social and ecological vulnerabilities as individuals and as a community in the context of drought. The provision of small grants will increase women's agency and control over resources that ultimately are aimed at their economic empowerment.
111. Relevant alternative livelihoods practices were identified based on the participatory consultative process among sub-national, NGOs and local communities in target area in Fars province (See Table 6 below). This pre-selected set of livelihoods will be subject to review and refinement based on the market research activity discussed above and validated during the GAAP. Based on good practices from similar alternative livelihoods in relevant projects, a joint participatory analysis will be conducted with the target communities to support participatory development strategies for empowerment of marginalized communities. After an initial agreement, a proposal including a business plan will be developed for each livelihood option, identified in Table 6, before the implementation phase. To the extent possible, the proposal will promote efficient utilization of locally available resources. The business plan will ensure that mechanisms are in place for sufficient economic returns through market-based research and value chain development. Local NGOs with technical expertise will be involved in supporting the development of such proposals and business plans, to ensure participation of the most marginalised communities, especially women.

**Table 6: Pre-selected livelihoods**

| Livelihood | Prospective Village | Required Investment | Description <sup>43</sup> |
|------------|---------------------|---------------------|---------------------------|
|------------|---------------------|---------------------|---------------------------|

<sup>43</sup> Project will build on economies of scale to maximize budget

|   |  |                               |   |
|---|--|-------------------------------|---|
| Sewing & Tailoring                      | <ul style="list-style-type: none"> <li>- Emamzadeesmaili</li> <li>- Kordeshul</li> <li>- Ali abad</li> <li>- Doroodzan</li> <li>- Bandeamir</li> <li>- Kamajan, Jamishi</li> <li>- Jazin, Khanekat</li> <li>- Shargh Abad</li> </ul> | Around \$700 per beneficiary  | Sewing supplies and accessories (sewing machines, fabric, patterns, etc.), training/workshops, post production support / links to markets<br>Skills training, promotion of economies of scale (sewing machines with different features, fabric by the bulk)                 |
| Carpet weaving                          | Same villages as above   | Around \$ 600 per beneficiary | Weaving supplies (knitting machine /carpet weaving Loom, wool, cotton, natural coloring plants, combs, scissors, spindles, spinning wheels, etc) traditional and new methods, colors, patterns and weaving techniques workshops, post production support / links to markets |
| Dried fruit/herbs/vegetables processing | Same villages as above   | Around \$ 500 per beneficiary | Inputs (non-water intensive commodities), Solar drying machine, Packaging inputs, training/workshops, post production support / links to markets  |
| Traditional aviculture                  | Same villages as above   | Around \$600 per beneficiary  | Inputs (birds livestock /poultry, animal feed), Materials (fencing, water containers) Packaging inputs (egg cages), training /workshops, post production support / links to markets   |
| Jewelry                                 | Same villages as above   | Around \$800 per beneficiary  | Inputs, jewelry machinery and accessories, Packaging inputs, training/workshops, post production support / links to markets   |

112. Implementation of identified alternative livelihood practices will be supported by local NGOs. Selected local NGOs will work closely with the communities to analyse possible sustainable alternative livelihood opportunities at village level based on the market research, develop and agree on a joint plan with local communities, provide assistance to roll out prioritized alternative livelihoods, provide vocational training, support development of processing and packaging skills, assist with linking identified product to markets, monitor implementation, lead participatory evaluation of the livelihoods and help synthesize lessons learned and other knowledge for policy inputs. The National Steering Committee will oversee the development of the portfolio of community-based alternative livelihoods, ensuring its alignment with AF requirements and that lessons learned are discussed and evaluated. Information collected from project M&E will be centralized in a database and shared with communities, organizations and government institutions for policy and program discussions.

113. These alternative livelihoods will be implemented based on the experiences and best practices generated by the UNDP all around the country in past 30 years including GEF large scale projects and Iran Small Grants Programme (SGP). The AF project will build upon the project National Steering Committee (NSC) comprised by DoE and UNDP and other key institutions such as MoJA, MoE, others. The NSC is responsible for the review, selection and approval of small-scale projects and for ensuring their technical and substantive quality. The AF project will build upon existing delivery modality to direct grants to approved community projects. AF grants will be channelled directly to selected NGOs, community-based organizations (CBOs) and local cooperatives and the maximum grant amount per project will be US\$50,000. To assess eligibility of CBOs and NGOs (grantees) proposals, the National Steering Committee will base its decisions using SGP's Eligibility Criteria for Grantees and Projects (Annex 6). DoE, as a member of the Project Board will lead this process and will provide inputs as part of the strategic directions approved by national steering committee. A fundamental part of the proposals' screening process will be the technical elements, where a special focus will be put at supporting those proposals which contribute to increase the adaptive capacity and resilience to climate change impacts in the basin. The technical criteria will assess high adaptation benefit; degree of reliance on water inputs vs. water efficiency; potential for employment (agriculture and non-agriculture sectors); number of direct female beneficiaries; potential to contribute to landscape regeneration and integrity of the basin ecosystem; among others. The UNDP will provide financial oversight on grants allocation

114. The small-scale nature of the envisaged alternative livelihoods are highly unlikely to require an Environmental Impact Assessment (EIA) based on the nature, purpose and possible effects on the environment. The National Steering Committee will assess, using the screening process described in the ESMF, whether any proposal would legally require carrying out an EIA, to showcase if the environmental and community benefits outweigh the negative effects. As previously stated, the AF project includes technical and budget provisions in compliance with the AF ESP, the first Principle of which is compliance with national law, including adherence to all national and local standards on environmental and social impacts

115. In addition, the project team with the guidance of the Steering Committee, will ensure that each community is assisted by qualified technical personnel from government extension agencies and/or NGOs to ensure that all environmental, social and technical issues that may arise are squarely addressed. This will be important to guarantee that project activities are in full compliance with AF requirements, do not lead to maladaptation or other undesirable consequences, i.e. that activities aggravate inequality, cause negative environmental or social impacts.

**Selection of Beneficiaries:**

116. The project team in consultation with other government entities and local stakeholders and NGOs and CBOs has identified criteria to be used to identify and prioritize community beneficiaries for the development of proposed activities. The criteria are consistent with the rationale of the AF project which aims to increase not only ecosystem resilience but also economic, social and territorial climate-related resilience within targeted communities. The criteria for the selection of villages is based on the following items: 1. Farmers with successful experiences, such as low-water and drought resistant crops with high yields/income such as the villages that cultivate saffron, safflower and pistachio as an alternative for rice. 2. Governmental extension services with successful research and development experiences in reducing water consumption for agricultural purposes. The provision of this services will focus to villages, farmers willing to implement sustainable agriculture projects. 3. Existence of potentials and demonstration effect of less water-intensive agriculture with same yields and less GHG emission, including the support of village officials and the presence of leading farmers in Zone 1, 2, 3 and 4. 4. The location of the villages and their impact on the surrounding villages (outside Zone 1, 2, 3, and 4), aiming to promote a spillover effect. 5. Villages dependent on agriculture for their livelihood/income and most impacted by drought: mostly farmers (Zone 4 being the most affected, zone 2 are mostly rice farmers and in the other zones farmers have dry farms of wheat and barley). The rationale of selection of these communities is included in Annex 3 ‘Targeting of Beneficiaries’.

The main beneficiaries of the project will be the 9 villages from Zones 1, 2, 3 and 4 as below:

| Zone 1  | Zone 2   | Zone 3  | Zone 4  |
|---|--|---|---|
| <ul style="list-style-type: none"> <li>•Emamzade Esmail</li> <li>•Kordshul</li> </ul> | <ul style="list-style-type: none"> <li>•Aliabad</li> <li>•Doroodzan</li> </ul> | <ul style="list-style-type: none"> <li>•Bande amir</li> </ul> | <ul style="list-style-type: none"> <li>•Kamjan</li> <li>•Jamishi, •Jazin</li> <li>•Khane kat ,</li> <li>•Shargh abad</li> </ul> |

117. The feasibility of the proposed interventions was assessed with local, regional and national stakeholders and beneficiaries as part of the consultation process, relying on their experience implementing related initiatives in the region (See Annex 7, Report on Consultations in the Bakhtegan Basin).

Activities under Output 2.2 include:

- **Market Planning & Research, Vocational Training Support:** An international and national consultant will be contracted to undertake relevant market planning and research aimed at refining the pre-identified list of alternative livelihood practices. Additionally, they will provide vocational training support to NGOs.
- **Lessons Learned from the Rural Women’s Trust Fund:** A national consultant will be contracted to assess lessons learned from the Rural Women’s Trust Fund throughout Iran and particularly within the Bakhtegan Basin and provide recommendations for its refinement to ensure its success within the project and for the future.
- **Participatory workshops:** Participatory workshops will be facilitated in the 9 target villages aimed at supporting/establishing local women’s cooperatives, refining identified alternative livelihood practices based on the market planning and research, and developing alternative livelihood plans.
- **Implementation of Alternative Livelihood Plans:** Local executive partners (NGOs/Local cooperatives) will be selected to support community members with a particular focus on women and women’s cooperatives. They will:
  - Facilitate establishment of local cooperatives or strengthen existing cooperation mechanisms to sustain new initiatives in the community and giving further opportunity to other community members to join.
  - Facilitate establishment of sustainable alternative livelihoods based on agreed plans and the refined list of livelihoods options (e.g.. sewing, carpet weaving, dried fruit processing, traditional aviculture, and jewelry etc).
  - Provide vocational training support for all participating household members including women/women’s cooperatives. Some villages already have existing capacity which can be drawn on through development of a ‘training of trainers’ and mentoring approach within each village.

118. Some livelihood related activities under Output 2.2 which are site-specific activities with a physical footprint, have not been fully defined during the proposal stage as they require screening, stakeholder consultation and buy-in from local communities as well as the development of business plans. These are considered Unidentified Sub Projects, and are to be developed during the implementation stage, based on the list of livelihood options provided in Table 6.

**Component 3: The resilience of the natural environment of the Bakhtegan Basin is strengthened**

119. Component 3 focuses on implementation of a range of soil and water conservation measures in rangelands and forests; and the rehabilitation and conservation of national parks and protected areas. The natural environment of the Bakhtegan Basin has been significantly modified and put under severe stress over the last four decades. These stresses are now being exacerbated by the prolonged dry period since 2007, with climate change an increasing influence. While it is not realistic to believe that this project can fully restore the natural environment of the basin, it can implement measures to increase the resilience of what must now be treated as a dryland environment.

120. The resilience of the natural environment of the Bakhtegan Basin will be strengthened through the following two Outputs: a) soil and water conservation in rangelands and forest areas which will involve implementation of collaborative adaptive rangeland management which fostering science-management partnerships and data-driven rangeland management through a participatory, multistakeholder approach. While targeting goals have been set the specific target sites for implementation of different measures will be identified based on the results of Output 1.2 and through a participatory

engagement and decision-making process. Measures introduced will build on past successful work of this kind within the Bakhtegan Basin and in other Provinces; b) rehabilitation and conservation of national parks and protected areas will also involve implementation of specific measures at project target sites, to be undertaken as an essential part to recover and maintain overall functional integrity of the landscape. In particular this Output will draw on approaches, results and lessons learned from the Conservation of Iranian Wetlands project and Central Zagros Mountains project<sup>44</sup>.

121. Component 3 will be implemented in Zones 1 and 4. Zone 1 forms the principal catchment area of the Bakhtegan Basin, while Zone 4 encompasses the Tashk and Bakhtegan National Park. Output 3.1 will be implemented in eight most vulnerable areas related to 14 and 13 direct and indirect vulnerable villages, respectively, with 21,380 directly vulnerable rural people, while Output 3.2 will be implemented in seven communities with 8,794 people. All Component 3 activities will be implemented in tandem with relevant activities from Component 2, with a particular focus on integrated approaches that combine climate smart agriculture and alternative livelihood activities with community engagement and participation in building the resilience of their natural environment.
122. The need for Component 3 was identified through national level consultations with MOE, MOJA and DOE. All three agencies place a high priority on rehabilitation and conservation of the natural environment of the Bakhtegan Basin. They recognize that the natural environment plays a fundamental role in the provision of ecosystem services which have widespread environmental, social and economic benefits if managed wisely and will play a key role of better adaptation to climate change. Given the current situation in the basin there is a recognition that a significant effort is required to strengthen the climate resilience to the now prevailing dryland conditions. Consultations with provincial and local stakeholders (Section H) confirmed the importance of this Component as an integral part of the project. It has also been indicated by stakeholders that improvement of natural environment situation in the basin is also a strong sign of better adaptation of basin and local community with new situation.
123. As with Components 1 and 2 a participatory planning and engagement process will be developed and implemented through both Objectives for Component 3, which will be sustained for the duration of the project.
124. The main outcomes from this Component will be enhancement of the natural environment of those areas that are targeted by this project, with wider benefits to the water catchments where they are located. Additionally, there will be greater awareness and ownership by participating communities of the need to continue protecting the natural environment within the wider environs of their villages. Component 3 will provide new opportunities to the local community for being part of the conservation measures while benefiting from ecosystem services.
125. As work progresses with implementation of specific activities within Component 3 there will be regular communication of results through the various mechanisms identified in Output 1.4
126. As one of the two main pillars of the project Component 3 will involve a significant amount of work which will be staged through the entire life of the project. Technical leads for Outputs 3.1 and 3.2 will be MOJA-FRWO and DOE respectively, working in partnership with the Fars Provincial Government, through the Bakhtegan Basin Council (Output 4.2) and with local officers from participating County governments.
127. Component 3 consists of the following Outputs and Activities:

**Output 3.1** – *A range of watershed management measures are implemented in target areas aimed at increasing resilience to drought risks*

128. Under the changing climatic conditions of the Bakhtegan Basin vital, and scarce, water and soil resources have experienced measurable quantitative changes in recent years. Natural resources in the basin are now suffering directly from the impacts of climate change, along with associated environmental, social and economic pressures on the natural environment (e.g., deforestation, over extraction of water; population growth and urban expansion, increasing demand for food production). The only realistic solution is to implement an integrated watershed management approach which involves practices including rehabilitation of vegetation cover in forests and rangelands and protecting natural resources. By implementing such practices widely over time this will help facilitate a much needed situation of wise resource management. For long term success, it is essential to not simply see rehabilitation activities as the solitary and final task. An integrated and participatory approach is required to ensure sustainable management. This approach involves a two-way process involving sharing technical and scientific considerations with local people and listening to and incorporating their needs, knowledge and experiences into planning, policymaking and implementation of agreed solutions. Without such an approach, land degradation and desertification will continue unabated, aggravated by climate change, with continuing long-term environmental, social and economic costs.
129. The objectives for this Output are to 1) prioritize desired ecosystem services for better adaptation to climate change; 2) determine objectives with stakeholders; 3) set stocking rates, criteria for livestock movement among pastures, and vegetation treatments to reduce adverse impacts on rangeland; 4) support implementation of agreed physical and non-physical interventions in selected rangeland areas 5) select and implement monitoring techniques that would inform decision making.
130. This Output will build on the success of other relevant projects elsewhere in Iran and within the basin. These projects have involved successful implementation of watershed management practices using participatory approaches in East and West Azerbaijan, Khuzestan, Golestan, Kordistan, Markazi, Isfahan, Booshehr, Sistan and Baloochestan, Hormozgan, Fars,

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<sup>44</sup>Conservation and Sustainable Development Program of Central Zagros Mountains

Yazd, Kermanshah, south Khorasan and elsewhere. They have been funded through national budgets under MOJA and through international projects in partnership with MOJA involving FAO, GEF, UNDP and JICA. Specifically, this Output will involve engagement with rural communities from the Chahmahaki, Temshouli, and Tang-e-hana villages in Bakhtegan1 county and Koushk and JahanAbad villages in Bakhtegan 2 county (Zone 4), Bakian, Palangari, Khaniman, Hajiabad, Moradkhani, Chamriz and Chamchenar villages in Marvdasht and Kamfirouz (Zone 1), Dochahi and Nayris in Nayriz (Zone 4), Zino village in Estahban (Zone 4), Bolaghi village in Pasargad (Zone1) and Charghalat and Kenare villages in Arsanjan (Zone 1), to implement physical solutions and management practices to reduce soil erosion and increase the vegetation cover in forest and rangeland areas of the Bakhtegan Basin.

131. Based on the current situation in the four different Zones, the defined activities will be focused principally in Zones 1 and 4. Zone 1 encompasses the Kor and Sivand sub-basins, and was traditionally a rangeland and forest area with seasonal grazing by nomads and rural people. A major issue now is the encroachment of agricultural activities into the rangelands and forest areas. Zone 4 encompasses the land surrounding the Bakhtegan-Tashk lakes which are now severely affected by soil salinization and desertification. The focus in Zone 4 will therefore be on achieving significant risk reductions terms of in soil erosion, drought control in rangelands and forest areas and combating desertification. Project work in Zone 4 will have a strong emphasis on combating desertification using best management activities aimed at achieving significant reductions in surface water runoff, increasing recharge to the aquifers and increasing vegetative cover.
132. An Integrated Watershed Management (IWM) plan will be developed and promoted in the basin as a suitable strategy for improving sustainable productivity and sustainable protection of the landscape. The Forest, Rangeland and Watershed Organization (FRWO) has developed IWM for small- and large-scale basins at national level and in small-scale basins in Fars province and will guide this process during implementation. IWM is a new approach which replaces outdated conservative/exploitation methodologies which were completely sectoral and did not lead to sustainable management of forests and rangelands. The new approach emphasizes the need to go beyond conservation technologies focused on engaging with diverse stakeholders to include multiple crop-livestock interventions that support and diversify livelihood opportunities for the most vulnerable and create synergies between targeted technologies, policies and institutions to improve productivity, resource use sustainability and market access.
133. The IWM plan will be developed and implemented through participatory workshops, capacity building, a range of targeted activities aimed at environmental enhancement, and monitoring and evaluation. One of main purposes of watershed management in drought-prone areas is to improve livelihood security by mitigating the negative effects of climatic variability while protecting or enhancing the flow of essential ecosystem services. This requires a diversity of measures and practices including rainwater harvesting involving terracing and construction of traditional water ponds, rangeland rehabilitation, protection of and revegetation of forests, herbal medicines harvesting, and revegetation to combat desertification.
134. The promotion and installation of traditional water ponds to harvest rainwater is particularly valuable both for domestic supply and to enhance crop, livestock and other forms of agriculture. Water pond technologies are simple to install and operate. Target communities will be trained to implement and operate these ponds, and construction materials are usually readily available. Rainwater harvesting is convenient because it provides water at the point of use and the local beneficiary has full control of their own system. Use of rainwater harvesting technology promotes self-sufficiency and has minimal environmental impact. Construction, operation and maintenance are not labor-intensive. Water collected is of acceptable quality for agricultural purposes. Other benefits include increasing soil moisture levels and increasing the groundwater table via artificial recharge. Rainwater harvesting and its application to achieving higher crop yields can encourage farmers to diversify their enterprises, such as increasing production, upgrading their choice of crop, purchasing larger livestock animals or investing in crop improvement inputs such as irrigation infrastructure, fertilizers and pest management.
135. Another important intervention to be supported is terracing practices<sup>45</sup> for slope management. A terrace is a levelled surface used in farming to cultivate sloping, hilly or mountainous terrain. They can be used on relatively flat land in cases where soil and climate conditions are conducive to erosion. Terraced fields are effective for growing a wide range of crops, shrubs and trees. Terraces have four main functions: Improve the natural conditions for agricultural production; Decrease the rate of erosion; Increase soil moisture; and Generate positive environmental benefits.
136. The most expensive component of terrace construction is labor which will depend on average local daily wages. The time required to construct a slow-forming terrace will depend on available manpower, the type of soil and the time of year. The basic tools required (such as picks and shovels) usually belong to the farmer and can be used at no extra cost. Once built, annual maintenance costs are minimal. Research indicates that two people can build 7m<sup>2</sup> of wall in one day. Assuming a common size terrace wall of dimensions 1.8m high and 50m long, two people could restore an entire terrace in two weeks, or build an entirely new one in a slightly longer period of time. (The initial estimated for investment is about \$415/ha with \$75/ha per annum for maintenance.)
137. This output will include the construction of small-scale works that in principle will not require an Environmental Impact Assessment (EIA) based on their nature. As previously stated, the AF project includes technical and budget provisions in compliance with UNDP requirements, including adherence to all national and local standards on environmental and social

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<sup>45</sup> Slow-forming terraces can be built where the land is marginally to steeply inclined and where the soil is sufficiently deep to create a drag effect. This leads to the formation of steps as sediment accumulates due to high density rainfall and natural gravity. Level ditches are traced and excavated along the contour line of a slope and then an embankment of earth, stones or plants is constructed at regular intervals. Eroded soil accumulates in these buffer strips every year and terraces slowly form.



impacts, to request and carry out EIAs if any of the activities would require. (More information on EIAs see Annex 10 Environmental and Social Management Framework)

Activities under Output 3.1 include:

- **Development of an Integrated Watershed Management Plan:** A national consulting company will be contracted to develop an Integrated Watershed Management (IWM) plan. This plan will encompass preliminary identification and agreement on watershed management practices for the target communities. DoE will ensure that IWM plan complies with national law and does not have negative impacts on ecosystem while FRWO has internal monitoring mechanisms on safeguards. The plan will be finalised through participatory workshops with identified target communities.
- **Capacity Building and Training:** Capacity building and training will be provided to all the stakeholders to participate in planning, implementing and monitoring of the relevant activities for ecosystem protection. Training workshops will integrate the science and technology know-how of the authorities with the knowledge and experiences of local people to rehabilitate and protect the Zagros forest and the rangelands in Bakhtegan basin.
- **Implementation of Integrated Watershed Management Plan:** Implementation of the IWM Plan will be guided and supported by DoE and FRWO in a participatory manner involving training of facilitators, engagement with local people, participation of researchers, local authorities and other relevant stakeholders. Implementation of integrated watershed management adaptation activities by local people, with support from MOJA, will involve a range of physical options and interventions. An integrated, multi-faceted, approach will provide the necessary conditions to support conservation of the soil and water resources of the Bakhtegan Basin and increase climate resilience. Specific budgeted activities include:
  - a. Design and construction of water harvesting ponds and terracing in targeted areas of the basin
  - b. Artificial recharge of depleted aquifer, through rainfall trapping and pitting, in target sub-basins where groundwater level is low
  - c. Cultivation of medicinal plants in degraded rangelands of about 300 ha in the vulnerable Zagros mountains
  - d. Afforestation and revegetation in 400 ha of degraded areas in Zone 4 to combat desertification
- **Extension, communication and education:** A comprehensive extension, communication and education programme (through Output 1.4) to disseminate results and information as widely as possible throughout the Bakhtegan Basin, with a focus on role of rural women and the youth.

**Output 3.2 – Landscape rehabilitation to restore functionality of ecosystem services to increase climate resilience.**

138. The Bakhtegan Basin includes three general types of ecosystem which can be defined by their water status: aquatic, semi-aquatic and dryland. While many of the aquatic and semi-aquatic ecosystems are now mostly dry, these general types will be used to establish project activities aimed at enhancing the natural environment of the basin and building greater resilience to climate change.
139. Aquatic and semi-aquatic ecosystems in the basin include the Kor and Sivand rivers and their tributaries, Lakes Bakhtegan and Tashk and the Kamjan Marshes (abbreviated to Bakhtegan Wetland). The three lakes, their delta and spring-fed marshes are designated as Wetlands of International Importance by the Ramsar Convention on Wetlands. They are located in Zone 4 and are also referred to as the Neyriz Lakes and Kamjan Marshes covering an area of 1080 km<sup>2</sup>. The Bakhtegan-Taskh National Park is within this area, which also encompasses a wildlife protected area. Semi-aquatic ecosystems are those in the basin that can be seasonally wet and are used as habitat by migratory birds and also by farmers with water buffalo. This includes the Margoun waterfall protected area in Zone 3 which is located in western part of Bakhtegan Basin. Dryland ecosystems are divided between National Parks and Protected Areas, which are managed by DOE, and rangelands and forest areas which fall under the Forests, Range and Watershed Management Organisation (FRWO) of Iran. The main dryland area that falls under DOE is the Bamou National Park in Zone 3, which occupies an area of 486.78 km<sup>2</sup>. Additional dryland areas are: Tang-e-Bostanak protected area in Zone 2 which is located in the northwestern part of the basin; Basiran hunting prohibited area in Zone 1 in the north and KouhSiah-Arsanjan hunting prohibited area in Zone 4.
140. All three ecosystem types have been disrupted by the combined effects of mismanagement of water resources, intensification and extensification of agriculture and the extended dry period that has been experienced since 2007, with serious impacts on and threats to ecosystems. The drought resulting in the drying of water sources used by wildlife for drinking, including springs and some small water ponds, which has been sustained since then along with serious depletion of food supplies.
141. Wetland systems are vulnerable to changes in quantity and quality of their water supply, and it is expected that climate change will have a pronounced effect on wetlands through alterations in hydrological regimes with great global variability. Wetland habitat responses to climate change and the implications for restoration will be realized differently on a regional and mega-watershed level, making it important to recognize that specific restoration and management plans will require examination by habitat.
142. The Kamjan Marshes previously covered about 10,000 hectares of permanent and seasonal aquatic habitat. Drainage began in 1967, principally for rice cultivation. There has subsequently been some rehabilitation work done with drainage systems from surrounding arable land being conducted into the wetland. A negative consequence of this has been the transfer of agro-chemicals into the wetland environment. There are pressures and tensions in the environs of Bamou National Park, the Bakhtegan National Park and wildlife protected area, the Margoun waterfall protected area, the Tang-e-Bostanak protected area, the Basiran hunting prohibited area and KouhSiah-e-Arsanjan hunting prohibited area between

surrounding farmers and DOE rangers. Drier conditions due to the impact of climate change, have also increased the risk of wildfires and also reduce water and food availability for wildlife who then encroach into settled areas.

143. This project will benefit from experiences distilled from two GEF projects implemented in Iran: Conservation of Iranian wetlands project and Conservation of Zagros mountains landscape. The common feature of the two project is the participatory platform provided for effective participation of stakeholders relating to both forest/rangeland and wetlands ecosystems. From a technical perspective the experience from the wetland project will be used for aquatic ecosystems and the Zagros project experience will be used for upper basin land, forest and rangeland ecosystems. Inputs from both are essential to a truly integrated, holistic, approach to land and water resource management throughout the basin.
144. The project will build on past efforts in the Kamjan Marshes, Bamou and Bakhtegan National Parks, Margoun waterfall and Tang-e-Bostank protected areas and both Basiran and KouhSiahArsanjan hunting prohibited area with a strong emphasis on participatory engagement between the DOE other related authorities and local communities. Such an approach is essential to recover and maintain ecosystems services in the basin that will enhance climate resilience not only of the communities relying on these services but to the natural environment itself. The Conservation of Iranian Wetlands project (DoE/UNDP joint project) has already supported development of the "Bakhtegan Wetland Basin Integrated Management Plan" through a participatory approach in which main governmental, private sector and local community were involved. The plan has been recently approved at provincial level. All the activities to be undertaken in the protected areas will be done in compliance with the relevant national laws and in close consultation with the DoE, the agency responsible for protection of protected areas. Some of the identified activities under this output have not been detailed out intentionally during the proposal preparation phase, as the DoE emphasizes that working in multidimensional and complicated ecosystems like wetlands needs an adaptive management due to the inherent uncertainties that complicate natural resources management efforts, and offers a strategy for filling information gaps during project implementation. This approach will be useful in addressing environmental problems characterized by incomplete understanding and dynamic systems like wetlands within a protected area framework. The activities will be subject to full screening to AF Principles, and treated as Unidentified Sub Projects. Please refer to ESMF in Annex 10

Activities under Output 3.2 provisionally include: Approx. 30,000 ha of the Kamjam, Tashk and Bakhtegan target areas will be rehabilitated with participation of the local communities, especially women and youth, to develop the Bakhtegan Wetland Basin Integrated Management Plan, through the following activities:

- A study of Bakhtegan Wetland water rights will be conducted provisional upon initial agreement among main stakeholders and in a consultative process in the wetlands located in Zone 4 (Kamjan, Tashk, Bakhtegan). This study will contribute to improved hydrological regime of degraded wetland that is critical for flood attenuation. Water rights in the wetlands will be calculated and considered within the water allocation of the basin. At least 50 percent of the Bakhtegan wetland water rights will be realized at the end of the project. This will be done by calculating, monitoring and executing national protocols and guidelines for water rights allocation. This activity is linked with outcome 1 and 4 and realization of wetlands water right will be result of decision made and implemented through governance mechanisms. Output 2.1 and 2.2 aim to provide a practical platform for better use of water and realization of water right in downstream.
- Rehabilitation of at least 30% of Bakhtegan through the following activities:
  - a. Establishing and supporting mechanisms to secure flow of saved water in the basin to realize the river and wetlands ecosystem water right
  - b. River ecosystem re-naturalization in key areas to ensure water flow to the wetland
  - c. Restoring existing small-scale drainage/channels linked to wetlands to increase water inflow to the wetland;
  - d. Water treatment in drainage/channels linked to wetlands to improve the quality of inlet water;
  - e. Development of a Climate Resilient Wetland Rehabilitation Action Plan
- **Monitoring impacts of climate change on biodiversity in targeted basin protected areas:** To strengthen understanding of the impacts of climate change on ecosystems and habitat loss, the project will set up a Bakhtegan Basin Protected Areas Monitoring System covering at least 70% of the total targeted PAs through the following:
  - a. setting up a framework of biodiversity indicators to monitor the changes in habitats resulting from climate change, in the targeted protected areas and national parks (Kamjan Marshes, Bamou and Bakhtegan National Parks, Margoun waterfall and Tang-e-Bostank protected areas and both Basiran and KouhSiahArsanjan hunting protected area). These indicators will provide information and data of the effect of drought/ climate change on key fauna and flora species which could include: annual mammal census, mid-winter bird census, spring animal breeding monitoring, wildlife disease monitoring, springs and watering place monitoring, landscape monitoring in hunting prohibited areas (depth, quality and biological parameters). The monitoring system will be established building upon the work of the rangers in the target areas, equipped with monitoring equipment, that will gather data and biological parameters.
  - b. The data will be analyzed by DoE provincial staff. Based on the main results of time series of data and information reviewed and analyzed, DoE will share messages and policy advice to related Ministries' local offices to take necessary action to address impacts of drought/climate change on protected areas.
- **Ecosystem rehabilitation to reduce climate change impacts:** Ecosystem based adaptation activities to reduce climate change impacts on selected protected areas will be implemented in the Bakhtegan Basin (Bamou and Bakhtegan National Parks) to mitigate human-wildlife conflicts, control of wildlife disease, etc., involving:
  - a. Construction and reconstruction of 20 artificial watering small ponds/troughs to reduce the impact of drought on wildlife

- b. Rehabilitation of the wildlife habitats in the dryland ecosystem national parks through afforestation activities in Bakhtegan and Bamous National Parks
- c. Biological stabilization of margins of the wetland area by at least 50% by planting of native species (that cannot be restored in the short term) to control the sand and dust storm sources

As elaborated above, most of output 3.2 have clear identified activities and processes. However, working in complex ecosystems like wetlands comes with inherent uncertainties and require adaptive management that offers a strategy for filling information gaps during project implementation. This output is also closely connected with other outputs. For example, planning for realizing wetland water rights is linked to decisions made in component 1 and 4. Hence, sub-activities under output 3.2 need flexibility to adapt with results from other outputs and hence cannot be defined during the project preparation phase. All unidentified sub-projects will be screened against the AF's 15 principles as elaborated in the ESMF in Annex 10.

**Component 4: Institutional Capacity at the local, regional and national level is strengthened for improved governance and decision making in relation to climate risk management and effective implementation of adaptation measures**

- 145. Iran is yet to develop an official national climate change action plan. So far the country has envisioned climate change within the broader objective of achieving sustainable development. This vision was incorporated into the 2025 Vision of Iran, the Fifth Five-Year National Development Plan, as well as in other macro policies and sectoral plans. The 2025 Vision of Iran introduces a number of key objectives in areas such as culture, politics, economy, defence, education and environment. The document notes Iran should be a developed country that ranks as number one in the region by 2025. The Sixth Five-Year National Development Plan (SYDP) covering 2016 to 2020 mandates all relevant ministries to develop and implement programmes leading to reduction of GHGs and to manage the adverse impacts of climate change over water resources, agriculture and forestry, human health, biodiversity and coastal zones. The sixth FYDP is currently under development.
- 146. The National Rules of Procedure for Implementation of the UNFCCC and the Kyoto Protocol were approved in 2009, and revised in 2012. These National Rules of Procedure provide a path for implementation of climate strategies and the climate action plan, which mandates all ministries and organisations to incorporate climate change considerations in drawing up their development plans. The National Climate Change Committee (NCCC) is responsible for implementation of climate strategies and action plans. It comprises the deputy ministers of the most relevant ministries, under the responsibility of the Department of Environment. The Committee is organised into sectorial working groups, as well as an inter-sector layer, which ensures that the policies and projects promote climate change adaptation and mitigation across areas, as well as across regional and provincial spheres.
- 147. Within the above context there is currently a fragmented approach to land and water resource planning at national level, with no explicit consideration of climate change. There is therefore a need to carry out water management from a more integrated and less segmented focus, in which all the disciplines that rely on water in one form or another meet and are represented, with climate change fully considered and accounted for. Neither water resource plans nor land use plans currently give sufficient attention to territorial needs due to the absence of specific mechanisms in the current water resource planning process. This situation directly affects the instruments for territorial planning in areas such as the Bakhtegan Basin. At the local level, within the Bakhtegan Basin, this fragmented, sectoral, approach is therefore perpetuated. This situation arises from and results in the competitive compartmentalization between management administrations for water, agriculture and the environment. The need, in a twenty first century context with climate change, is therefore to shift from the current situation of fragmentation and artificial division to one of interdependence and cooperation. This can be achieved in this project through an integrated, multi-administration, approach to land use planning and water resource management. An important mechanism for facilitating this is a basin wide council, the Bakhtegan Basin Council, which is responsible for coordinating effective planning and timely decision making across all relevant sectors.
- 148. The above represents a refinement of traditional 'top down' decision making structures and while an essential ingredient for more effective and timely planning and decision making the important role of households and communities cannot be ignored. For this project to truly be successful, not just within its lifetime but to be of enduring benefit for the whole of the Bakhtegan Basin, it is essential that there is strong involvement and empowerment of local people from throughout the basin.
- 149. A key gap that has to be addressed to ensure that this Component delivers as effectively as possible in support of the remainder of the project, is the widespread need for education, capacity building and communications. This is required at local community level all the way through to senior decision makers at Fars Provincial Government level. This therefore forms the first Output of Component 4.
- 150. Adaptive management will be overseen by the Governance body of the project – Project board / Steering committee – As this committee consists of government bodies and UNDP it will ensure that adaptive management is in line with government, AF and UNDP policies and regulations. The strategy is to use the reporting milestones (PPRs, MTR, monitoring missions) to assess progress and suggest any required changes to the Project board for approval.

Component 4 consists of the following Outputs and Activities:

**Output 4.1: A comprehensive communications, education and capacity building programme on climate resilience is implemented**

- 151. Output 4.1 will draw directly from data and information collated under the GIS platform and disseminated through TIPS (Output 1.4) as a basis for supporting Outputs 4.2 and 4.3 and the project as a whole. The two key elements of Output 4.1 are: education and capacity building; and communications. These two elements have been brought together within this Output to form an essential part of Component 4 that are integral to all three other Components. While targeted and

tailored for different audiences, the two key elements to this Output serve a common purpose of ensuring that all stakeholders throughout the basin develop a much deeper understanding of the issues and challenges they are facing and the solutions that are required and are empowered to take action. They are therefore designed to ensure that the project doesn't simply support a set of discrete activities that have a finite life and thus no enduring benefit beyond the project.

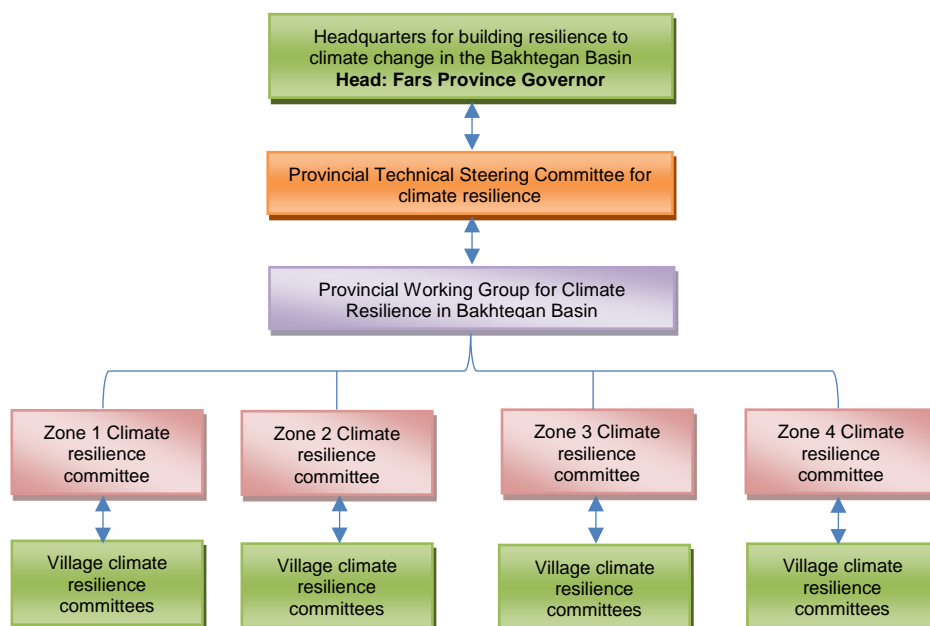
- 152. Education and capacity building will be targeted at participating farmers, households and communities as well as participating local government authorities. This will specifically include education and capacity building that is conducted in a fully participatory manner aimed at both understanding more clearly the problems and what is required to develop and implement solutions. The focus on the problems will be on both the underlying conditions and situation throughout the Bakhtegan Basin and the already changing climate conditions, and likely future climate change and associated climate risks and impacts. The focus on the solutions will be on developing a clear understanding of what is required to build environmental, social and economic resilience throughout the basin.
- 153. Documenting lessons learned and developing learning objectives and indicators will be an important part of a comprehensive communications, education and capacity building programme under output 4.1. This programme will be developed in a way that addresses the learning needs within project life cycle as well as documenting project achievements and lessons learned for further scaling up after the project has been completed.
- 154. Communications will involve the use of multi-media platforms, including social media, to ensure that data and information relating to the project, and results generated through the project, are communicated widely throughout the Bakhtegan Basin.

Activities under Output 4.1 include:

- 155. Education and capacity building will involve development of resource materials based on information shared through TIPS (refer to Output 1.4 for details), training of facilitators, and facilitation of participatory workshops with all identified target groups and participating authorities. As the project progresses further workshops will be facilitated, together with farm and other field site visits, to share results more widely.
- 156. Organize a series of raising awareness workshops for women farmers on sustainable agriculture, cultivation of resistant species, participatory IWM approaches, links between health, food security and water use, good practices of women's engagement in IWM;
- 157. Communications will include the use of video to share stories within the basin and more widely, publication and dissemination of training materials, brochures and posters, sms messaging, television programmes and communication through the arts (e.g. poetry and painting).

*Bakhtegan Basin Council is formed to facilitate the long-term sustainable and climate resilient management of the Basin*

- 158. The proposed governance structure for the project and beyond is based on the existing management plan for the Bakhtegan-Tashk Lakes and Kamjan Marshes that has already been prepared by the DoE of Fars province and UNDP of Iran to combat drought. The intention to build on this existing mechanism represents a focus on ensuring participation of all relevant stakeholders to address the consequences of water and land resource mismanagement and adapt to the unfolding negative impacts of climate change in the Bakhtegan Basin. This includes working to ensure maximum participation from local people and authorities to support a bottom up approach management mechanis



**Figure 10: The proposed governance structure for the Bakhtegan Basin**

159. The proposed governance structure is shown in Figure 10. At the highest level in Fars Province the Fars provincial governor, as the highest local official, will oversee the project's goal of building resilience to climate change in the Bakhtegan Basin. The Director General of the DOE in Fars Province will serve as the secretary. Head of all related provincial agencies are member of this structure align with province planning council as the highest decision taking mechanism at provincial level. Ministry of foreign affair is a member of project board and could be invited to these meeting accordingly Under this provincial leadership there will be a working group that is headed by the Director General of the DOE from Fars province. The Provincial Working Group will be made up of county level representatives from Marvdasht, Arsanjan, Neyriz, Kherame, Estahban and Pasargad counties. From each county it will include the local governor, head of DOE, head of water and sewage system (MoE), MOJA and head of the natural resources office. Local NGOs and women's cooperatives will also be represented. Most importantly, a mechanism will be established for direct community input and engagement to ensure that decisions being made are workable and fully owned at the community level. It is noteworthy that no new management structure will be built to prevent any duplication in duties and responsibilities but existing legal mechanisms will be modified or strengthened for better climate change adaptation and embedding it within national budgeting and planning mechanism.

Activities under Output 4.2 include:

160. Establishment of a Bakhtegan Basin Council under existing Fars Province structures. This activity will build on existing Fars provincial structures and also the existing management plan for the Bakhtegan Wetland that has already been defined by the DoE of Fars province and UNDP of Iran. The functions of this existing taskforce will be extended to incorporate adaptation to climate change in the Bakhtegan Basin. This will require some capacity building of provincial officials, to be undertaken through Output 4.1, to increase their awareness of climate change within the context of the current land and water crisis in the basin and what is required to build resilience, with a specific focus on the project Components, Outputs and Activities.
161. Guided by recommendations from the National and Provincial Councils and responding to identified needs from local communities, the Bakhtegan Basin Council will take account of the following national, provincial and local realities:
162. Commission a thorough review of existing national/province frameworks and policies relating to climate change adaptation and land and water resources planning and management. This review will focus on identifying key gaps and needs, particularly in relation to the efficiency and effectiveness of current governance mechanisms from national level all the way through to local farmers.
163. Drawing on the results of the above review to establish an integrated water and land management system that incorporates considerations of climate change and natural elements of the total water cycle alongside the realities of human resource use. This will involve the use of a "national spatial strategy plan" approach based on natural water basins, which will be trialed in the Bakhtegan Basin. It will require a fully participatory approach among all stakeholders in the Bakhtegan Basin. To be effective this process must work from the ground up, as well as being informed by climate change and natural resource issues and constraints and the national policy and planning context. Outcomes from this will guide and inform the provincial environmental working group under the Environmental High Council of Iran at the highest national scale.
164. Alignment with relevant national plans and policies based on the resistance economy<sup>46</sup> and food and water security in Bakhtegan Basin within a climate change adaptation context;
165. Addressing the need for people to sustain their livelihoods within the context of the land and water crisis and associated impacts of drought and climate change within the Bakhtegan Basin and in a manner that supports environmental, social and economic resilience throughout the basin;
166. Addressing the necessity to protect and rehabilitate water, land and other natural resources for future generations.

## **B. Economic, Social and Environmental Benefit**

167. The Bakhtegan Basin is one of the most drought prone agricultural areas of Iran. The worst droughts in recent decades occurred in 1999 to 2002 and then 2007. Subsequently there has been a decade of drier than average conditions. This period has been preceded by at least four decades of land and water resource mismanagement with the result that the hydrological system of the basin is collapsing. Farmers and their communities are struggling to come to terms with a situation where they are now living in what must be treated as a dryland environment which is increasingly being impacted by climate change.
168. The project has been designed to address the climate change issues that are now apparent with the intention that a pathway will be established towards resolution of the much larger underlying developmental issues. The latter includes, in particular, the drying of the Bakhtegan Wetland. It is a massive undertaking to try and restore this highly significant protected area and it is not even certain that this can be achieved given the current lack of surface and ground water recharge and the very high rates and increasing depth of ground water extraction. The project is therefore focused clearly on what can be realistically achieved within the context of the current dry land environment and with a range of communities throughout the basin, focused in particular on those who are most vulnerable.

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<sup>46</sup>The "Resistance Economy" is a concept declared originally by the Supreme Leader of Iran in his August 2012 speech to promote economic self-reliance, a strategy that would defeat the US-led efforts against Iran via economic and trade sanctions. [https://en.wikipedia.org/wiki/Resistive\\_economy](https://en.wikipedia.org/wiki/Resistive_economy)

## **Socioeconomic benefits**

169. This project is recognised as being of national importance and it is expected that it will provide a model for other parts of Iran, building on the work of other relevant projects such as the Lake Urmia and Zagros Mountains projects. The Bakhtegan Basin, as the home of Persian Civilisation, is of high significance nationally. The symbolic and utility value of water is strongly embedded in Persian culture and therefore this project, through its location, will be of very high symbolic value to the whole of Iran. In particular it provides a unique opportunity to remind and re-educate as many Iranians as possible about the fragile nature of their environment, the impacts of climate change and the importance of using water and land resources wisely. Effective communication of the Bakhtegan Basin story, by helping foster mind-set changes throughout Iran, will therefore have widespread social and economic benefits.
170. Within the Bakhtegan Basin the current population of 854,093 people will benefit directly through increased awareness of the issues throughout the basin, the respective roles of resource mismanagement and climate change, and the solutions that are required. The results from Component 1 will be of particular importance in this regard. Output 1.1 will provide specific information on drought risk and the potential impact of climate change. This information will be applied within the context of a comprehensive review and revision of water and land use planning through Output 1.2. Additionally, local community monitoring through Output 1.3 will both enhance knowledge and awareness of participating communities and provide better community based information to enable more informed decision making. All of the data and information generated by these three outputs will be integrated and fed through an online information portal, which will provide a mechanism for its widespread dissemination and application throughout the Bakhtegan Basin.
171. The introduction of climate smart agricultural practices (Output 2.1) will be of direct benefit to 4425 farmers from 15 villages, covering 23,636 ha of land and be of indirect benefit to all 374795 rural people throughout the Bakhtegan Basin. Climate smart agriculture will be carefully targeted and tailored to address the different issues and needs that are evident in the four different zones of the basin. There will be a strong focus on the most vulnerable communities and households within Zones 1 and 4, which are both experiencing the worst effects of the current extended dry conditions. Zone 4 in particular is severely affected and there will be a strong focus in this zone. Some farmers are already taking action in terms of shifting to alternative crops such as safflower and expanding cultivation of others such as saffron. However, such activities are occurring in the absence of a basin wide coordinated response that is focused on added-value production systems that are more climate resilient. Output 2.1 will address this situation, firstly by supporting market research on the economic value of alternative crops and associated cropping practices. This is an essential component to the project, to ensure that there are strong economic incentives for farmers to both reduce the amount of land under cultivation and significantly reduce the amount of water that is being used. At the same time there will be a focus on developing a unique Bakhtegan Basin brand, which is targeted at discerning national and international markets for high value products that have environmental integrity. This market research will then be supported by action-focused research which specifically targets those crops and cropping systems that have genuine economic potential. Participating farmers will benefit directly from this research, with the expectation that there will be widespread adoption by other farmers once the benefits become evident.
172. The provision of support for alternative livelihood practices (Output 2.2) will directly benefit 11750 people in 10 villages, with a strong emphasis on the most vulnerable communities and households in Zones 1 and 4. Some villages and households have already been proactive in developing alternative livelihood practices and the project will focus on building on these existing initiatives. One example is mushroom growing, with the development of household level production systems. At present all of the mushrooms being produced are sold in the local market in Shiraz city and there is an informal view that there is scope for more. However, this requires proper market research to determine the real scope for expansion along with support for marketing and selling. A similar approach will be taken for all alternative livelihood options. As much as possible these options will focus not just on providing supplementary income to households, but on strong alternative incomes streams that are not highly dependent on land and water resources.
173. Environmental protection and enhancement in the Bakhtegan Basin is a huge undertaking within the context of the combined effects of the development context and climate change. This is particularly so when seeking to address the effects of drought and extended dry periods, which are both insidious and widespread. The direct social and economic benefits of all activities under Component 3 will therefore be localised to those communities that are associated with project activities, but it is expected that there will be indirect benefits to the whole Bakhtegan Basin. An important dimension to this will be the opportunity for developing success stories of environmental protection and enhancement which can be associated with the Bakhtegan Basin branding of value added agricultural products under Output 2.1.
174. Decision makers at all levels, including households and local through to national government authorities, will benefit through Component 4 from increased awareness of climate change within the context of the development situation and through strengthened governance structures for decision making. Increased awareness will be achieved through multiple approaches and platforms involving education, capacity building and communications. Increased awareness, coupled with strengthened governance structures, will ensure that timely and effective decisions are made to improve the social and economic situation in the Bakhtegan Basin.

## **Environmental benefits**

175. The unique challenge of this project is to establish a pathway towards the aspirational goal of restoring the Bakhtegan Wetland in a manner that is achievable within the timeframe and budget of the project and sustainable beyond its lifetime. The whole project has been designed in this manner, taking account of the fact that the basin is now a dryland environment. By adopting a climate resilience emphasis within this context the intention is to shift people towards

livelihood practices that are beneficial both to the environment and to their communities. This is a very complex and challenging undertaking. Fortunately there is growing awareness of the issues and challenges and a willingness to take action. However, as is often the case, the awareness and willingness to act is currently strongest with those who are the worst affected. A big part of the challenge therefore is to also engage with those who are currently less affected and less willing to take action, to foster an understanding that they are all part of the same environment and that their collective actions can either be to the detriment or benefit of all.

176. The first step towards environmental enhancement is to develop greater awareness of the environmental issues and associated effects of climate change throughout the Bakhtegan Basin. This will be achieved through the combined work generated from Components 1 and 4 of the project. Firstly, people need to recognise that there is a problem. This will be supported through the local community monitoring (Output 1.3). Secondly, they need to understand the problem. This will be supported through all education, capacity building and communication activities through Output 4.1 which is based on data and information provided through Output 1.4. Thirdly, they need to own the problem and take action. This will be supported through all activities under Components 2 and 3.
177. The direct environmental benefits of climate smart agriculture will be enhanced management of 10000 hectares of agricultural land, involving at least 30 percent reductions in water use on all participating farms and introduction of more sustainable land management practices. This will result in decreased extraction of ground water, reduced demand on surface water resources, increased soil organic matter, reduced wind erosion and increased biological diversity in agricultural systems. The successful introduction of alternative livelihoods to 570 households in 10 villages will reduce dependence on agricultural production and therefore reduce demands for both land and water resources. This is particularly important in Zones 1 and 4 where there is encroachment into rangelands and protection areas, issues with saline water intrusion into groundwater (Zone 4 in the vicinity of the Bakhtegan Wetland), and over extraction of surface water (Zone 1) and increasing depth of ground water extraction (Zone 4).
178. Component 3 is directly focused on environmental protection, enhancement and conservation in selected areas of the Bakhtegan Basin. Under Output 3.1 this will involve participatory engagement with communities aimed at identifying and implementing specific measures that are designed to enhance the environment in the vicinity of their communities. These measures will involve a range of physical options and interventions including constructing various embankment dams (small earth dams) and check dams, groundwater artificial recharge projects, re-vegetation of rangelands and forest areas, contouring and strip cropping. Output 3.2 will focus on restoration and conservation work in protected areas and National Parks, focusing in particular on the Bakhtegan Wetland.
179. A crucial element to ensure environmental benefits are fully realised through the project is the development of awareness, knowledge and ownership of both the problems and solutions. This need to happen from the community level, and at all levels of governance within the Bakhtegan Basin. All activities under Component 4 are designed to ensure that such results are realised both throughout the lifetime of the project and beyond.
180. In a general perspective the approximate 900,000 people who are living in the basin, whose daily lives are increasingly impacted by the effects of climate change and drought, will benefit from implementation of a successful AF project in the long-term with having a better life condition through climate change adaptive governance mechanisms. In component 1 and 4 the project will provide a practical platform for all decision makers to work cooperatively through a climate resilience lens and for communities to adopt new climate resilient approaches which provide both local and basin-wide benefits. This outcome will provide a shorter impact on livelihoods of communities which will be targeted under decision made based on the scenario development tools. In component 2 in the short term and under output 2.1, 4425 people in vulnerable target communities will benefit from CSA project activities in pilot sites including more than 1500 female beneficiaries while under output 2.2 more than 900 women from identified target communities will be involved in sustainable alternative livelihood practices. The communities in selected catchment areas are direct beneficiaries of output 3.1 and communities in villages around the lake will benefit directly from output 3.2. these benefits are Social as they will have their opportunity to stay in their homeland as they are not losing their livelihood while there is economic benefit for them as previous experiences show that the amount of yield will be increased in most cases and there are environmental benefit as new approaches are completely environmental friendly specially in terms of fertilizer and pest management and in a long term can effect ecosystem and lake restoration. Under outcome 3 all resident of the basin will be benefited through restored/adapted ecosystem while local community in the rangeland, forests and around the lake have a short term social benefit through hope and opportunities provided to them to stay in their home land.

#### **Gender Equality**

181. The project was developed through various consultations in the target area, where the comments, feedback and needs from women were specifically identified in the workshops and reflected in the proposed interventions. The inclusion of output 2.2, is a clear indication of this approach as it will target and support women and women-headed households who are seeking to develop alternative livelihood practices (i.e. sewing, carpet weaving, dried fruit processing, traditional aviculture, and dairy products, etc.) with small-grants.
182. In addition, it is expected that throughout the project, women will play a vital role as part of the project management unit and as beneficiaries of the project to receive productive inputs (seeds, seedlings, etc.), to be active participants in meetings and workshop, by providing small grants to implement alternative livelihoods, and engage working in protected areas as rangers to gather biological data.

183. The project will promote the agency of women in the light that climate change impact differently men and women. For monitoring, disaggregated and measurable data related to empowerment of women has been incorporated. The gender disaggregated data is as follows:

**Table 7: Gender disaggregated data of direct and indirect beneficiaries of AF project**

| Indicator   | Direct beneficiary   | Indirect beneficiary  | Men     | Women   |
|---|--|---|---------|---------|
| Number of villages (disaggregated by households) in the Bakhtegan Basin with increased resilience to climate variability and change.  |  | The entire population of Bakhtegan basin 854,093 people<br>Indirect benefits to the entire population of the Bakhtegan Basin through communications and awareness raising | 469,751 | 384,341 |
|   | At basin level and it target villages at least 900 women will be involved thorough alternative livelihood practices and more than 1500 will be involved in smart agriculture activities. |   |         | 2,400   |
|   | At least 2700 youth will be benefitted from project activities by being involved in local technical cooperatives, smart agriculture and alternative livelihood projects.                 |   | 1,620   | 1,040   |
| 1.3 Number of households and farmers regularly participating and using the community monitoring system.   | 40 villages, involving 13,011 households (Which 5,200 of them are Women) and 12,821farmers (which 3,900 are women)   |   | 16,732  | 9,100   |
| 2.1 Number of farmers with climate smart agriculture practice   | 4,425 farmers and gardeners (1,325 women ) from the 15 target villages will be practicing climate smart agriculture  |   | 3,100   | 1,325   |
| 4.1 Number of key beneficiaries and decision makers aware and trained by the project on wetland ecosystem services and climate change- related drought (disaggregated by gender). |  | The entire population of Bakhtegan basin 854,093 people<br>Indirect benefits to the entire population of the Bakhtegan Basin through communications and awareness raising |         |         |
|   | At least 200 government expert/staff trained on climate change impacts and adaptation strategies (at least 100 women).   |   | 100     | 100     |

184. Furthermore, when possible, measures and techniques that can have a positive impact by closing the gap of inequality between men and women will be promoted.

#### **Environmental and Social Risk Management**

185. The project has been developed in accordance with the AF ESP. The project elements have been screened against the 15 principles that form the basis of the AF ESP. The details of the screening, potential risk and proposed high level mitigations are contained in the ESMF (Annex 10). UNDP will not support activities that do not comply with national law and obligations under international law, whichever is the higher standard.

186. A high-level pre-screening against the 15 principles determined that the project is of Moderate risk. This is based upon formulated projects, and for projects which are not fully formulated at this time, the generic impacts of projects of this type. It is important to note that full details of all components cannot be known until communities and other stakeholders have been consulted. Where this is the case, then the activities that have yet to be fully described are considered to be unidentified sub-projects (USPs). During implementation of the project, USPs will be defined and then screened to ensure that they comply with the AF ESP. The process for screening is described below in Section 3 of the ESMF.

187. An EMSF, a management tool used to assist in minimising the impact to the environment and society and reach a set of environmental and social objectives, has been prepared and included as an annex. The ESMF is aligned with the AF's ESP and principles and gender plan. It identifies relevant legislation, multi-lateral agreements, steps for screening



activities, potential environmental and social impacts, recommended mitigation measures, and proposed monitoring schedules.

188. To ensure the environmental and social objectives of the projects are met, the EMSF will be used by the project implementers to structure and control the environmental management safeguards that are required to avoid or mitigate adverse effects on the environment. The EMSF will be updated from time to time by the implementing Project Management Unit (PMU)/contractor in consultation with the UNDP staff and Gol to incorporate changes in the detailed design phase of the projects.
189. The project will include a complaints and grievance redress process. The project complaints and grievance process has been designed to be problem-solving mechanism with voluntary good-faith efforts. The Grievance Redress Mechanism is not a substitute for the legal process. In addition to the project-level and national grievance redress mechanisms, complainants have the option to access UNDP's Accountability Mechanism, with both compliance and grievance functions. The Social and Environmental Compliance Unit investigates allegations that UNDP's Standards, screening procedure or other UNDP social and environmental commitments are not being implemented adequately, and that harm may result to people or the environment. The Social and Environmental Compliance Unit is housed in the Office of Audit and Investigations and managed by a Lead Compliance Officer. A compliance review is available to any community or individual with concerns about the impacts of a UNDP programme or project.
190. Complaints regarding projects/programmes supported by the Fund can also be filed with the secretariat at the following address: Adaptation Fund Board secretariat Mail stop: MSN P-4-400, 1818 H Street NW, Washington DC, 20433 USA, Tel: 001-202-478-7347 [afbsec@adaptation-fund.org](mailto:afbsec@adaptation-fund.org)
191. Main result and activities under each component have been elaborated in below table regarding the link with CC effect and risk management

**Table 8: Climate Change effect and risk management**

| Outcome # | Main delivery/activity  | Description in line with CC adaptation and Risk Management   |
|-----------|---|--|
| 1         | <ul style="list-style-type: none"> <li>to acquire technology and a practical methodology for MoE to generate climate change scenarios nation-wide and for the Bakhtegan Basin</li> <li>a climate risk-informed Water and Land Use Planning framework will be developed</li> </ul> | <ul style="list-style-type: none"> <li>These are the tools will inform governance mechanisms to support linking CC effect to medium- and long-term decision-making processes both at national and local level and will provide an enhanced tool for further plans and programs in line with evolving risks of climate change</li> </ul>  |
| 2         | <ul style="list-style-type: none"> <li>climate smart agriculture systems will be introduced and practiced among affected local community</li> <li>Introduction and support alternative livelihoods to move away from water-intensive agriculture practices</li> </ul>             | <ul style="list-style-type: none"> <li>Climate smart agriculture increase the resilience of the agricultural systems and livelihoods to climate change – in particular the rising temperatures, reduced rainfall, and droughts.</li> <li>As the agriculture section is the main user of water in the basin (more than 80%) Low water efficiency (less than 30%) in the agriculture sector provides a key entry point for adaptation involving implementation of low cost techniques/technologies by a large number of farmers.</li> <li>The process of introducing SA techniques to the farmers include i) Development of Participatory Action Plan engaging Farmers, Facilitators, Agriculture Researchers and, ii) Implementation of water management techniques, emphasizing on water saving at farm level iii) Implementation of soil fertility techniques, iv) emphasizing on application of biological fertilizers rather than chemical fertilizers; v) Implementation of crop protection techniques, emphasizing on application of biological pesticides rather than chemical pesticides and pollutants; vi) Supply and installation of monitoring equipment and measuring instruments to enhance water consumption management</li> <li>Sustainable Alternative livelihood practices increase the resilience of local community for effect of CC on their livelihood through shifting to water independent livelihood.</li> <li>All the above CSA and sustainable alternative livelihood practices are environmentally friendly practices in small scale which are discussed by local community and verified by related authorities (mainly DoE) to prevent any maladaptation activities.</li> <li>This outcome is in line with decision made in outcome 1 and 4 to support fast track actions and ensure sustainability in the future</li> </ul> |
| 3         | <ul style="list-style-type: none"> <li>to establish climate risk-informed Integrated Watershed Management framework</li> </ul>  | <ul style="list-style-type: none"> <li>Integrated Watershed Management will support to improve management of water at watershed scale under conditions of increasing evapotranspiration and reduced rainfall. It also helps increasing resilience of communities in the rangelands for CC affects.</li> </ul>  |

|   |  |   |
|---|--|---|
|   | <ul style="list-style-type: none"> <li>ecosystem-based adaptation through restoration of the functionality of ecosystem services</li> </ul>                                | <ul style="list-style-type: none"> <li>Restoration of the functionality of ecosystem services is increasing resilience of both local communities around the lake and biodiversity against the affect of a drying lake.</li> </ul>   |
| 4 | <ul style="list-style-type: none"> <li>enhancing the capacities of the relevant stakeholders in improved, climate-risk informed water management and governance</li> </ul> | <p>This is critical to not only sustain the investments made across the other project components but to ensure that long-term planning and governance to advance water security and agricultural resilience takes into account evolving climate risks. While the government is pursuing investments and policies to develop resources and capacities, currently the additional risks and impacts of climate change are not taken into account</p> |

### C. Cost-effectiveness

192. As a predominantly arid country that is highly dependent on its agriculture the cost of drought in Iran is very high. The estimated cost of the prolonged drought from 1999-2002 was US\$3.5 billion. This situation is likely to worsen rather than improve based on a number of key factors unless proactive measures are taken. These include: rapid population growth; a strong focus on agricultural production within Iran; deforestation and land degradation; over-exploitation of surface and ground water resources and climate change. The most cost-effective solution to address this situation within the context of climate change adaptation is to adopt an integrated landscape management approach which includes strong participatory engagement with affected communities. This project is therefore focused on an integrated, participatory, approach to climate change adaptation in the Bakhtegan Basin as a successful model for other regions of Iran.
193. The situation in the Bakhtegan Basin, as with other regions of Iran, involves a complex of interacting factors with climate change having an increasing influence. Historically, as a result of the agrarian reforms of 1961-1972, there was a destruction of social capital in farming communities. Subsequently there has been a strong focus on increasing agricultural production with little attention, until more recently, to the need for farmer education and the need to address the growing environmental costs. Iranian farmers on the whole have limited understanding of markets and the environment and lack the capacity to produce food in a sustainable and climate smart manner. Physical constraints to agriculture include “*water scarcity, drought, soil erosion, fertility decline, plant pests and diseases, natural disasters, variable temperatures, dispersed farm plots, unstable markets and arbitrary price policies, and lack of access to credit, innovations and inputs.*”<sup>47</sup> Many of these factors are increasing, with climate change exacerbating an already fragile situation. Although not quantified in the Bakhtegan Basin the combined cost of the above factors is very high. The current situation is one of positive feedback where continued environmental degradation, lowered production, reduced water availability, and high social costs are resulting in increasing pressure on the natural environment leading to further environmental degradation and increased vulnerability of households and communities.
194. While there has not been any detailed analysis of the socioeconomic consequences of drought at the household level in the Bakhtegan Basin, a recent study<sup>48</sup> made in Sabzevar County, Khorasan Razavi Province, in north-eastern Iran provides valuable insights. This study assessed villager responses to 29 economic variables and 28 social variables. The economic variables were grouped into seven main components covering the amount of production, quality of production, costs of natural resources (losses), production costs, costs of living, overall level of living, and investment. Similarly the social variables were grouped into seven main components covering quality of life, poverty or income, employment, psychological tensions, public safety, crime and delinquency, and social damage. Overall, the socioeconomic costs were significant and high and mirror those that have been qualitatively identified in the Bakhtegan Basin for each of the four Zones.
195. Doing nothing is clearly not an option. At the same time the complexity of issues makes it clear that there are no simple solutions, with the need for “*sustainable strategies in natural resources management (NRM) and agricultural and rural development at multiple levels.*”<sup>49</sup> This requires an approach that recognises the continued importance of agriculture to Iran, the resource constraints on agriculture, the underlying development issues, the increasing role of climate change and the importance of engaging rural people in both understanding the problems and being an integral part of the process of identifying and implementing solutions. Such an approach has been adopted through the Lake Urmia project (see Section F) and has proven to be highly successful.
196. As already explained in previous Sections and in the opening paragraph of this section the realistic and most cost-effective approach for this project is to focus on what is achievable within a climate change adaptation context. While the restoration of the Bakhtegan Wetland is an important aspirational goal, a more achievable goal is to build on existing initiatives and successes with the Bakhtegan Basin aimed at building resilience to the dryland environment that now exists.
197. At an operational level the cost-effectiveness of the project is reflected in the following ways:
- A governance body is proposed at the local level which will be supported by three government ministries (DOE, MOE and MOJA) at national and provincial level with required technical expertise;

<sup>47</sup>Karamidehkordi, Esmail, 2010. A Country Report: Challenges Facing Iranian Agriculture and Natural Resource Management in the Twenty-First Century. *Human Ecology*, 38: 295-303

<sup>48</sup>Darban-e Astane, A. R., &Azimpour, Gh. (2017). Evaluation of Farmers' Resilience Against Socioeconomic Consequences of Drought: A Case Study on Sabzevar, Iran. *Journal of Sustainable Rural Development*, 1(1), 27-38.

<sup>49</sup>Karamidehkordi, Esmail, 2010. A Country Report: Challenges Facing Iranian Agriculture and Natural Resource Management in the Twenty-First Century. *Human Ecology*, 38: 295-303

- b. The project is building on past and on-going projects with proven track records, including past and existing initiatives within the Bakhtegan Basin;
  - c. The PMU will be based on the target area which will reduce costs and increase efficiencies.
198. Additionally, the generation of a comprehensive drought and climate change risk analysis, the development and implementation of targeted solutions through a participatory community planning process, and lessons learned will result in more informed public policy at both national and provincial level. This will result in more timely, integrated and effective responses to drought and climate change that also take account of the underlying development issues that are impacting strongly on local communities.
199. All elements of the project have been brought together in an integrated manner within the context that has been outlined above. Without exception every Output within the project is designed to build on existing tools, methods, mechanisms and initiatives. It is therefore strongly focused towards adding value, rather than building things from scratch. This is evident in each specific Output as follows:

**Table 9: Proposed interventions and Alternative options / cost-effectiveness.**

| Output   | Alternative   | Cost – effectiveness   |
|--|---|--|
| <p>1.1 An integrated model for climate risk and climate change assessment supports medium and long term decision making</p> <p>This output entails the customization of SIMclim software to develop climate change scenarios.</p>  | <p>Option 1: Commission climate change scenarios to national /international consultancy companies any time these are required.</p> <p>Option 2: Supporting Business as Usual practices in Iran which involves disparate development and application of climate change scenarios for different parts of the country by separate consultancy firms or universities.</p>               | <p>Output 1.1 is focused on the customisation and application of an existing, well-proven, tool for integrated analysis of the impacts of climate change in the Bakhtegan Basin. An important element of this Output is to build the capacity to readily replicate such work throughout Iran by Government staff.</p> <p>Option1: The alternative option is highly reliant on an external consultant that is 1) high in costs in the long term with climate change scenarios that can be quickly outdated, and 2) not building capacity at Government staff level in Iran.</p> <p>Option2: There is no consistency in the scenarios used, some are out of date and in some cases, there is selective use of scenarios. Because of the disparate, and uncoordinated nature of this approach, the results generated are confined to research papers and are not usually used for decision making processes.</p>  |
| <p>1.2 A land and water use planning framework is developed and implemented to support decision making.</p> <p>The LWUP framework envisions:<br/>-Analysis of existing land-use and policies by using remote sensed data and GIS analysis<br/>-Analysis of existing water resources (surface and sub-surface).</p> | <p>Option 1: Commission separately all analysis as per each Ministry’s mandate (MoE, MoJA, or DoE) and focus only in this specific mandate (i.e. energy, agriculture or environment) when developing policies towards water management in Fars province.</p> <p>Option 2: Budget for a foreign consulting company to develop a comprehensive land and water planning framework.</p> | <p>Output 1.2 is aimed at conducting an in-depth review and revision of water and land planning resources in the Bakhtegan Basin to develop a framework that combines the current status of water (surface, sub-surface, groundwater), current uses and extrapolating to expected climate change impacts. This will inform policy-making decisions at the provincial and district level. This will be the first attempt to have MoJA, MoE and DoE developing an integrated framework aimed at better management of water resources in Fars province in the context of drought.</p> <p>Option 1: One alternative option is to keep a siloed approach with each ministry moving ahead with their own mandates and agendas when in reality the current drought needs to be analyzed and addressed from diverse angles with a comprehensive framework that links the current status of water, water use and climate scenarios.</p> <p>Option 2: The basin could benefit from the input of a completely un-biased group of technical experts, with no affiliation to the goals of any particular ministry. However, there are two major short-comings to this approach: i) it would cost significantly more to bring in foreign expertise; ii) it would not foster the collaborative process that has already begun between the three participating government ministries and the development of in-country capacity and skills that is essential for long-term ownership of the problem and solutions.</p> |
| <p>1.3 Community engagement, empowerment and ownership in decision making is supported through local community monitoring.</p> <p>The project will develop a participatory monitoring system to facilitate tracking changes on agreed indicators by targeted</p>   | <p>Option 1: Establishment of set of indicators at relevant ministries to be monitored, reported, analyzed, disseminated and used in policy-making.</p> <p>Option 2: Outsource the monitoring system of set of indicators to a research institute and/or university.</p>  | <p>Output 1.3 is focused on engaging local communities and CBOs directly in monitoring their local environment as a cost-effective means of data and information gathering as well as building local ownership and increasing awareness among communities from both the upstream and the downstream areas of the basin where the perception of water resources (and the scarcity of these) is vastly different.</p> <p>Option 1: This option lacks two important elements: 1) the process to raise awareness from the consumer/end-user standpoint about the real impacts of the drought in the entire basin as an interconnected system (zones in the upstream don’t realize the harsh impacts on the drought, while zones downstream are suffering already the impacts of the drought), 2) the ownership of the process, as the land and water resources are the main source of livelihoods in the basin.</p> <p>Option 2: This alternative is unviable as Ministries will not be able to formally delegate their mandate to monitor indicators on environment, energy and agriculture to another entity.</p>  |

|   |  |   |
|---|--|---|
| communities and households.   |  |   |
| 1.4 A GIS based data and information management system and an information portal system are developed to facilitate more informed, effective and timely decision making | <p>Option 1: To have each participating Ministry (DoE, MoE and MoJA) using different data and information systems.</p> <p>Option 2: Outsource the data/information management to a national company/consultancy</p>                                | <p>Output 1.4 is designed to ensure that all data and information generated through the project is readily available and accessible for timely use in education, capacity building, communications and decision making at all levels.</p> <p>Option 1: This option is not cost-effective as it would entail 3 different systems to capture data and information and that will only focus on information related to each Ministry's mandate (i.e. energy, agriculture or environment) prompting on-going silos in policy-making efforts.</p> <p>Option 2: The information to be generated and compiled during the project lifetime will be sensitive as will be used for public-policy purposes during and after the project. Based on the nature of the information, if the information management system is outsourced it will increase higher costs (during and after project closure) to maintain the system running and will increase the risk of limiting ownership of DoE, MoJA and DoE to use information not monitored internally.</p>  |
| 2.1 Climate smart agriculture practices are adopted in target areas   | <p>Option 1: Move away entirely from water-intense agriculture practices in the basin.</p> <p>Option 2: Support a past initiative in the country involving high tech irrigation systems to reduce water consumption in the agriculture sector.</p> | <p>Output 2.1 is focused strongly on encouraging farmers away from agricultural production systems that have high water demands and are leading to continued degradation of both land and water resources. Based on market research it is strongly focused towards added-value and environmentally friendly production systems that are climate smart and linked to markets.</p> <p>Option 1: The alternative option is unviable as it will be 1) too costly – economically and socially - to move away entirely from agriculture-based livelihoods to other sectors, 2) given that rice is intrinsically related to the Iranian diet with a strong national market, and 3) that farmers have passed their knowledge on traditional rice production generation by generation and new skills would require a high investment plus social acceptance.</p> <p>Option2; This approach was tested and supported by the government for several years but without sufficient technical support and financial support from the government the high-tech technologies could not be implemented as a sole solution to the problem.</p>  |
| 2.2 Alternative livelihoods are adopted by women/women's cooperatives in target villages  | <p>Option1: Promotion of alternative livelihoods through micro-credits in the basin.</p> <p>Option 2: Involving the private sector with large investment to introduce new job opportunities</p>  | <p>Output 2.2 is focused on providing strong support for alternative livelihoods, with a strong focus on women and women-led households, which are aimed at reducing negative impacts on the environment and increasing household income as well as providing strong economic benefits that in the long-term will provide them will means to join the micro-credit market.</p> <p>Option 1: This option could potentially support beneficiaries to move away from water-intense agriculture livelihoods, however the micro-credit banks will not be able to reach the most vulnerable group: extreme poor woman, as most of them lack collaterals and creditworthiness to access any micro-credit as explained in the GAAP.</p> <p>Option 2: This approach was supported by the government for a while but wasn't successful for two main reasons: i) the sense of ownership was not strong among local communities, ii) addressing ecosystem vulnerability is not a priority focus for large businesses and the risk of investment was high.</p>   |
| 3.1 A range of watershed management measures are implemented in target areas aimed at increasing resilience to drought risks  | <p>Option1: Move away from agricultural land to conservation of area / protected area status.</p> <p>Option 2: Supporting a dedicated engineering approach for adaptation to climate change impacts.</p>   | <p>Output 3.1 will develop and implement an Integrated Water Management (IWM) framework along with the installation of traditional water ponds to harvest rainwater both for domestic supply and to enhance crop, livestock and other forms of agriculture. In addition, terracing practices will be promoted to prevent erosion of soils while retaining rainfall/soil moisture in agricultural landscapes.</p> <p>Option 1: IWM is a new approach to be replaced by older solely conservative /exploitation methodologies which were completely sectoral and did not lead to sustainable management of forests and rangelands. The new approach emphasizes the need to go beyond conservation technologies engaging with diverse stakeholders to include multiple crop-livestock interventions that support and diversify livelihood opportunities for the most vulnerable and create synergies between targeted technologies, policies and institutions to improve productivity, resource use sustainability and market access.</p> <p>Option 2: This was the usual practice in the past and is still supported by some relevant authorities because of fast and tangible results. However, such approaches do not consider the long term and wider impacts but rather aim to solve the immediate problem and the immediate needs of communities... In essence it has led to maladaptive outcomes.</p> |

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| 3.2 Landscape rehabilitation to restore functionality of ecosystem services to increase climate resilience.  | <p>Option 1: Creation of more Protected Areas (PAs) in the Bakhtegan Basin ensuring connectivity among PAs systems to avoid encroachment and to ensure native flora and fauna protection.</p> <p>Option 2: Focusing on only endangered species</p>   | <p>Output 3.2 aims at the rehabilitation and establishment of an ecosystem monitoring system within all targeted protected areas to provide information and data of the effect of drought/ climate change on key fauna and flora species. In addition, the project will support the rehabilitation of selected wetland areas and biological stabilization of margins of the wetland area by planting of native species.</p> <p>Option 1: The alternative option will involve 1) more donor and/or government funding to establish and maintain the new PAs to avoid encroachment, 2) relocation of all communities living in the new established PAs, 3) development and funding of compensation mechanisms for the relocation of communities, 4) social unrest if communities are not willing to move.</p> <p>Option 2: This is a narrow, short-term, approach which does not protect natural ecosystems and species from the long term impacts of climate change.</p> |
| 4.1 A comprehensive communications, education and capacity building programme on climate resilience is implemented   | <p>Option1; Each participating Ministry develop their communication, education and capacity building programme around their mandates (i.e. energy, agriculture or environment) to reach their core audiences in the basin.</p> <p>Option 2; Focusing only on local community public awareness activities</p> | <p>Output 4.1 is aimed at ensuring everyone in the Bakhtegan Basin is informed about the issues and challenges being faced and solutions that are required and being implemented. An essential component to this Output is to build a sense of shared ownership throughout the basin.</p> <p>Option This option lacks the comprehensiveness of explaining and addressing the impacts of droughts from different angles and keeps promoting the work in silos for each participating Ministry.</p> <p>Option 2: Public awareness activities among local community are good but do not consider the ownership building that arises from capacity development and training for both local communities and government experts. Because it lacks this participatory element it ownership of issues is not developed and sustained among local communities.</p>   |
| 4.2 A Bakhtegan Basin Council is formed under an existing platform to facilitate the long-term sustainable and climate resilient management of the Bakhtegan Basin | <p>Option 1: To strengthen the current governance bodies around the Bakhtegan basin at the district level under the leadership of the Fars Governor to support water management-related efforts.</p> <p>Option 2: Create a new provincial governmental body covering the Bakhtegan basin</p>                 | <p>Outputs 4.2 is designed to ensure informed, timely and effective decision making at all levels by establishing a platform under an existing governance structure to focus solely on the basin.</p> <p>Option 1: The Bahtegan basin overlaps with many district's political boundaries in the Fars province and currently policy making efforts (and impacts of the drought in the basin) vary depending on the district. The alternative option is still a business as usual approach where the basin is not seen as an interconnected system and policies/initiatives fall short of addressing the issue in a comprehensive manner.</p> <p>Option 2: This alternative could involve creating a new government body that will require pollical and financial back-up to be formally created and the process will require few years to get approval an provincial and national level.</p>   |

200. The project is strongly focused on implementing cost-effective solutions that are of direct and immediate benefit with 85% percent of the budget allocated towards the implementation of actions aimed directly at improving the resilience of the natural environment and increasing the social and economic well-being of people and communities in the Bakhtegan Basin, particularly those that are most vulnerable.

#### D. National and Sub-National Priorities

201. Vision 2025. The 20-Year National Vision of the Islamic Republic of Iran for the dawn of the Solar Calendar Year 1404 [2025 C.E.] has been defined as the “Vision 2025 document”. Its Article 43 address issues of sustainable development and the necessity of environmental protection in the development process of the country in relation to environmental and land administration.
202. Sixth Development Plan. On 19 March 2017, the “Law on the Sixth Five-Year Economic, Cultural, and Social Development Plan for 1396-1400 (2016–2021)” (the “Sixth Development Plan”) was approved by the Iranian Parliament. The development plan sets out the goals and objectives to be achieved by the country over the next five years. The plan addresses relevant water and environmental issues, which were identified as specific issues of strategic importance when the plan was submitted by the government to the parliament. Articles 45 to 47 address water-related issues such as the need for increased productivity, integrated water resources management, water needs, and determining suitable cultivation patterns to increase productivity and reduce water use. Also, Article 48 in the environmental section identifies the need for implementation of a program for the next five years aimed at protection, restoration and management of wetlands, with the participation of other executive agencies and with emphasis on wetlands that are registered under the Ramsar Convention. These above articles cover the core focus of this project, which are specifically addressed through Components 2 and 3.
203. National Strategic Plan on Climate Change. The first draft of the National Strategic Plan on Climate Change was launched in May, 2017. This plan includes strategies to both address the need to reduce greenhouse gas (GHG) emissions and to adapt to the impacts of climate change. Strategies of direct relevance to this project are summarized as follows:

- Food security and agriculture identifies the follows strategies: establish and improve climate smart agriculture to combat the negative impacts of climate change; develop plans, with climate change considerations fully integrated, for agriculture, horticulture, animal husbandry and fisheries.
  - Natural resources and biodiversity strategies include: climate based regional and rural development; integrating climate change considerations into the management structure for natural resources and biodiversity; empowering financial supporting systems.
  - Water resources strategies include: Strengthening the sectoral and multi-sectoral management and institutions for cooperation on water management; awareness raising related to climate change and water; sustainability of water demand and supply based within a climate change adaptation context.
204. Iran's Intended Nationally Determined Contribution (INDC).The Vulnerability and Adaptation section of Iran's INDC identifies the following key climate change vulnerabilities, which are aligned with the main issues identified in the Bakhtegan Basin:
- Reduction of the levels of agricultural production;
  - Sharp drops in surface runoff and underground water storage;
  - Increase of mean temperature with its consequences (heat exhaustion and spread of some diseases);
  - Increased hot-spots of dust and sand storms (with high health and industrial adverse impacts);
  - Extreme vulnerability of biodiversity and natural resources are some of the direct and indirect extreme impacts of climate change.
205. Iran's second National Biodiversity Strategy and Action Plan (NBSAP2, 2016-2030). The vision for Iran's second National Biodiversity Strategy and Action Plan (NBSAP2) 2016-2030 has four strategic goals, 24 national targets and 99 actions. The four strategic goals are:
- Strategic Goal 1:** Mainstreaming biodiversity across government and society and promoting awareness and public participation to achieve sustainable development goals;
- Strategic Goal 2:** Integrated biodiversity monitoring, assessment and reporting;
- Strategic Goal 3:** Reducing pressures on biodiversity and promoting sustainable use of natural resources;
- Strategic Goal 4:** Integrated conservation of biodiversity.
- The proposed project is aligned with all of these. The NBSAP2 recognises that as a result of excessive unsustainable development and population growth Iran is now facing serious environmental challenges including water shortages, desertification, habitat destruction, drying of wetlands, soil erosion and pollution. It further recognises that serious threats to biodiversity are arising from the combined effects of climate change, water shortages and the continuation of droughts.
206. Long-term Development Strategies for Iran's Water Resources. The following are relevant strategies from those approved in the Cabinet Council meeting dated October 19, 2003.
- National water management must be based on supply and demand management, integrated consideration of the water cycle, principles of sustainable development and land use planning in national and joint basins, and to realize integrated water resources management, various economic, social, infrastructural and service sectors must be coordinated with the water sector.
  - The utilization of Iran's water resources in each basin must be planned in such a way that the volume of the utilized underground water does not exceed the present utilized volume considering their tolerance. Therefore, structural and nonstructural actions must be taken to meet people's new demands to the extent that the utilized share of surface water resources increases from the present 46 percent to 55 percent within the coming 20 years and meets the minimum need of the natural environment.
  - The water consumption pattern in Iran must be reformed in such a way that the agricultural water consumption share will be reduced from the present 92 percent to 87 percent within the coming 20 years while doubling water use efficiency of 1 kg/m<sup>3</sup> and allocating to more economically valuable crops. New water allocation priorities will be drinking and hygiene, industry and service, and horticulture and agriculture respectively.
207. The UN Development Assistance Framework for Iran (2017-2021). The proposed project aligns with the following Outcome areas identified in the United Nations Development Assistance Framework (UNDAF) for Iran (2017-2021): 1.1, Integrated natural resource management; 1.2 Low carbon economy and climate change; 3.1 Inclusive growth, poverty eradication and social welfare; 3.2 Food security, sustainable agriculture and improved nutrition.
208. The Country Programming Framework (CPF) 2012-2016 for Iran's Agriculture Sector. The Country Programming Framework (CPF) 2012-2016 for Iran's Agriculture Sector. Developed by the FAO, focuses on three main Strategic Priority Areas (SPAs):
1. Pro-poor enhancement of productivity for better food security, nutrition and livelihood of vulnerable groups in rural and urban areas;
  2. Enhanced sustainable management and development of natural resources, climate change mitigation and adaptation to its impact, and disaster risk management; and
  3. Strengthened governance and enhanced knowledge management of agricultural and rural development, food security and food safety.
209. National Action Plan to Combat Desertification and Mitigate the Effects of Drought 2005. Iran as a signatory to the United Nations Convention to Combat Desertification (UNCCD) produced its National Action Plan to Combat Desertification and Mitigate the Effects of Drought in 2005. The plan identifies the need for a well-coordinated and integrated approach with

a strong focus on engagement with and participation of local communities aimed at the sustainable management of Iran's natural resources. Based on this premise the plan framework consists of four pivots:

1. Identification and control of the factors contributing to desertification;
2. Support for the sustainable use and management of natural resources through conservation and reclamation;
3. Promotion of sustainable livelihoods in affected areas through job creation, income generation and the improvement of socioeconomic standards;
4. Strengthening the role of rural communities in terms of decision-making, planning, designing, implementation, monitoring and evaluation.

210. Strategic Plan of Ramsar Convention for 2016-2024. The Contracting Parties approved the Fourth Ramsar Strategic Plan for 2016-2024 at COP12. The Plan lays out a new vision under the Convention mission, four overall goals and 19 specific targets which are designed to support the efforts of Parties, partners and other stakeholders in preventing, stopping and reversing the global decline of wetlands.

### **E. Technical Viability**

The project conforms with the following national laws:

211. The project is compliant with the legislation, technical/implementation system under the Technical and Implementation System Bureau<sup>50</sup> (TISB), and associated national standards, under the Institute of Standards & Industrial Research of Iran (ISIRI)<sup>51</sup>, the Water Industrial Standard<sup>52</sup> (WIS) and will seek to strengthen these by mainstreaming climate change adaptation guidelines as per the Third National Communication of climate change and the National Climate Change Policy for Iran.
212. There are various relevant laws and regulations for protection and improvement of the environment; Land and Coastal; water fair distribution; Regulations on rivers, anchors, mussels, marshes, natural ponds and water supply networks, irrigation and drainage and the general environmental policy under the supreme leader's announcement.
213. Law of protection and improvement of the environment; One the most important existing laws is "The law of protection and improvement of the environment" which was approved in June, 18, 1974 and updated November, 19, 1992. Based on Article 16, the Iranian Department of Environment (DOE) is the main government agency responsible for environmental protection and is the legal officer (authority) to manage the country's wetlands and their properties. The article also says, DOE does not have the right to transfer the utilization rights of wetlands to other authorities/organizations. This article also emphasizes that if the management and development of the wetlands requires the cutting the trees the Forest, Range and Watershed Management Organization (FRWMO) of Iran has to act.
214. Land and Coastal Law (Approved 20/07/1975); Under this law, lands that appear or are created as a result of lowering water level on the banks of water bodies including the sea, lakes, islands etc. are under government jurisdiction.
215. The law of water fair distribution (Approved 07/03/198); According to Article 45 of the Constitution of the Islamic Republic of Iran, the waters of the seas, natural rivers, streams, valleys and every natural water path, including surface and ground water, floods, sewage and drainage, lakes, natural ponds, and springs are common property under the governance of the Islamic Republic. The protection, monitoring and harvesting of all above water resources are delegated to the government to ensure they are used according to the public interest. Furthermore, any water contamination is prohibited, and responsibility for preventing the pollution of water resources is delegated to the DOE.
216. Regulations on rivers, anchors, mussels, marshes, natural ponds and water supply networks, irrigation and drainage (approved on 01/11/2000); According to this regulation, the river or stream bank border is determined with the Ministry of Energy or regional water companies in each location with regard to the hydrometric data and water tail footprint of and maximum flood with a 25-year return period. The regulations consist of 15 articles.
217. General Environmental Policy, Supreme Leader's Announcement November 17, 2015. This announcement includes 15 articles that covered various issues such as requirements for integrated natural resources management and focused on issues such as environmental monitoring and protection. An important point in this notice is the attention to climate change as an emerging pillar and its emphasis on the need to manage these changes and the resulting effects. Some of the important and relevant provisions of this announcement are as follows:
  - Comprehensive, coordinated and systematic management of vital resources (such as air, water, soil and biodiversity) should be arranged based on the potential and sustainability of the habitat, especially by increasing the legal and structural capacities and capabilities associated using the participatory approach;
  - Establishing an integrated national environmental system;
  - Correction of living conditions in order to enable the community to enjoy a healthy environment and respect for intergenerational justice and rights;
  - Preventing of the spread of all types of illicit pollution and the crippling of environmental degradation and the effective and deterrent punishment of polluters and environmental degraders and their obligation to compensate for damages;

<sup>50</sup><http://isiri.gov.ir/portal/home/2331765/ISIRI-Portal>

<sup>51</sup><http://sama.mporg.ir/sites/publish/SitePages/Home.aspx>

<sup>52</sup><http://www.waterstandard.wrm.ir/>

- Continuous monitoring and control air, water, soil, noise, waves and destructive rays, pollutants sources and climate change. This process requires an obligation to comply the monitoring process based on environmental standards and indicators as well as land development/ planning programs.
  - Providing an ecologic atlas of the country –covering conservation, restoration, rehabilitation and development of renewable natural resources, i.e. sea, lake, river, dams reservoirs, wetland, groundwater aquifer, forest, soil, rangeland and biodiversity, especially wildlife.
218. The basic idea of establishing ISIRI emerged upon the approval of "The Law of Weights and Measures" in 1925. Following the approval of the bill to establish ISIRI in 1960, the Institute became operational within the framework of the specified functions and responsibilities and joined the International Organization for Standardization (ISO) in the same year. In 2011, ISIRI status was set under the direct supervision of the President of the Islamic Republic of Iran as it has already been under the supervision of Minister of Industry, Mines and Commerce.
219. The TISB, under the Plan and Budget Organization (PBO), is the main national body for setting the executive criteria and methodology in Iran. The assigned missions for TISB are formulation and notification of technical and regulatory criteria, including legal and contractual conditions, the principles of remuneration, the relationship between private agents, technical and general specifications, etc. The development and dissemination of technical standards in various fields of the water and electricity industry was considered in order to improve the quality of technical activities and to adapt the advanced technology. In late 1981, following the negotiations between the MOE and the Plan and Budget Organization, there was agreement to establish the water industrial standards. There are more than 300 standards, criteria, guidelines and Terms of References (ToRs) related to water resources management, Environmental Impact Assessment (EIA), watershed management activities etc.
220. The following are references, standards, ToRs and guidelines that govern the implementation of climate change adaptation measure in the Bakhtegan Basin.

**Table 10: references, standards, ToRs and guidelines**

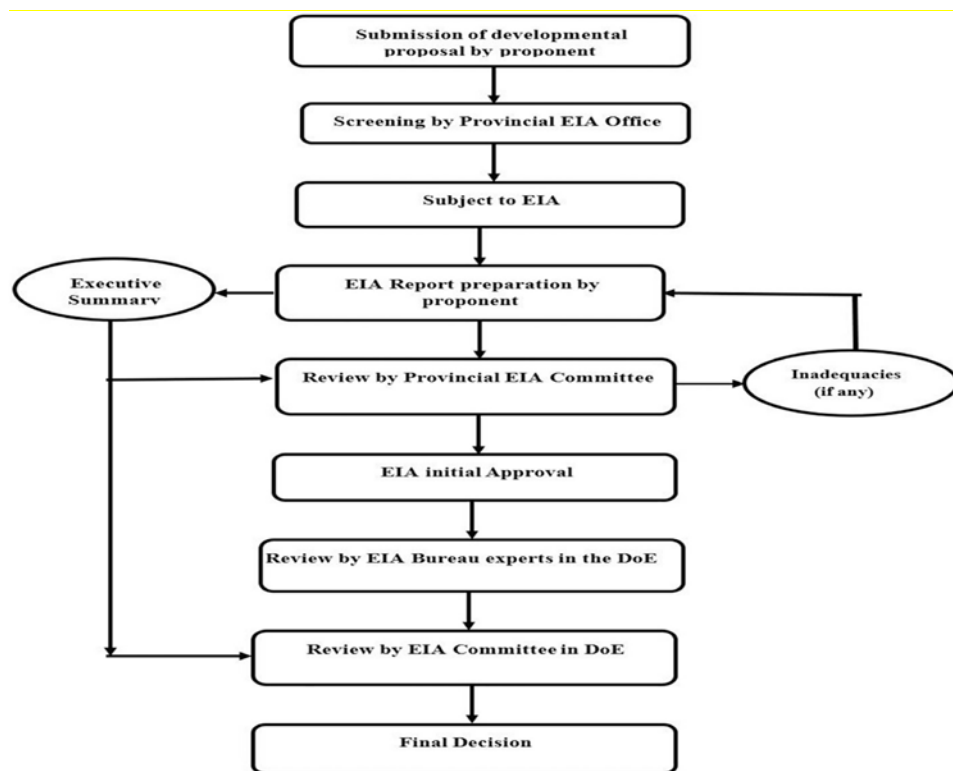
| References/Standards/ToRs/Guidelines  | Issued by & Date         | Subject                                |
|---|--------------------------|--|
| Guideline to harvest the river bed material   | WIS (2011)               | Water and Environmental                |
| Guideline for Environmental Impact Assessment (EIA) on River Engineering projects         | WIS (1998)               | Water and Environmental                |
| Guideline for Environmental Impact Assessment (EIA) on water and sewage projects          | WIS (1999)               | Water and Environmental                |
| Guideline for studying the big dam's reservoirs   | WIS (2011)               | Water and Environmental                |
| Guideline for monitoring surface water  | WIS (2009)               | Water and Environmental                |
| Guideline for monitoring sub-surface water  | WIS (2012)               | Water and Environmental                |
| Environmental criteria for reusing recycle and sewage water                               | WIS (2011)               | Water and Environmental                |
| Fundamental of environmental issues to design artificial recharge projects                | WIS (2010)               | Water and Environmental                |
| Term of References for Soil and Watershed Management studies                              | WIS (1994 & 1996)        | Water Resources Management             |
| Term of References for Sub-surface water studies  | WIS (2001)               | Water Resources Management             |
| Guideline for water sampling  | WIS (1999)               | Water Resources Management             |
| Term of References for Water Artificial Recharge studies                                  | WIS (2001)               | Water Resources Management             |
| Guideline for agricultural wells rehabilitation and restoration                           | WIS (2002)               | Water Resources Management             |
| Applied guideline for using GIS & RS in Hydrology studies in various Iranian water basins | WIS (2013)               | Water Resources Management             |
| Guideline to calculate Probable Maximum Flood (PMF)                                       | WIS (2013)               | Water Resources Management             |
| A Revision on the Current Studies of EIA,SEA and the Proposed Adaptive Needs              | CZM <sup>53</sup> (2015) | Environment Impact Assessment          |
| The Guideline of Sustainable Agriculture  | CZMP (2015)              | Sustainable Agriculture                |
| The Guideline on Sustainable Tourism  | CZMP (2015)              | Sustainable Tourism                    |
| The Guideline on Sustainable Use of Forests   | CZMP (2015)              | Sustainable Use of Forests             |
| The Guideline on Sustainable Use of Rangelands  | CZMP (2014)              | Sustainable Use of Rangelands          |
| The Guideline on Sustainable Use of Water Resources                                       | CZMP (2014)              | Sustainable Use of Water Resources     |
| The Guideline on the Effluent Management in the Rural Areas                               | CZMP (2013)              | Effluent Management in the Rural Areas |

<sup>53</sup> These guidelines have resulted from the Central Zagros Mountain Project (CZMP)



|   |             |  |
|---|-------------|--|
| The Guideline on the Solid Waste Management of the Rural Area | CZMP (2013) | Solid Waste Management in the Rural Area |
| The Guideline on Sustainable Aquaculture                      | CZMP (2013) | Sustainable Aquaculture                  |

221. The Environmental and Social Management Framework (ESMF) lists the various pieces of legislation that would apply (refer section 2.1 of ESMF) and states: “The Department of Environment (DoE) is the main government body in Iran responsible for assessing environmental impacts. The Department operates under the Environmental Protection and Enhancement Act (1972, as amended in 1991). Under Article 6 of the Guidelines on Environmental Impact Assessment (1997), the implementing bodies of major development projects should prepare an EIA report covering the points required by the DoE and related by-laws. Article 7 states that reports on EIA shall cover both the construction period and the operation period. All project activities will be assessed for risk and the DoE consulted regarding the need for SEA or EIA, which will be undertaken if required.” The EIA process is shown in the below diagram



In addition, based on article 50 of the Iran constitution, the Department of Environment is the body that has primary responsibility to ensure that all major development activities in the country are in line with protection of the environment. Based on the Environment Protection Law, DoE is responsible for monitoring of all development projects. If any damage to the environment is identified through a project, DoE is responsible for negotiating rehabilitation work with the relevant authority and if necessary, has the authority to stop the project. As per decision made by Environment high council and cabinet in June 2011, 53 types of projects require EIA reports and confirmation of DOE for further implementation. These 53 projects fall under 7 main categories, including 1) Rails, Roads and Airports 2) Power plants 3) Petrochemical, Refineries 4) oil and gas pipe lines 4) Mine and industries 5) Large dams and water infrastructures 6) Large service providing projects 7) Agro-Industry Units. The proposed activities under the AF project do not fall under any of the above 7 categories and hence are not envisaged as requiring EIA. Nevertheless, screening of USPs against AF Principles has not yet taken place and cannot be pre-empted. While at this stage we not envisage that any USP will require a full EIA/ESIA, as further screening of all USPs is to take place as part of project implementation, it cannot be ruled out. Procedures for screening against AF requirements, in a manner commensurate with a project’s magnitude and likely impacts, are detailed in Annex 10.

222. While DoE is the main implementing partner of this project at national level, provincial DoE offices are still responsible for monitoring any possible effects of project activities on the natural environment. At the same time for any major development activities there are EIA mechanisms in the country. Additionally, DoE, MoE and MoJA will be part of the Steering Committee which will ensure compliance of project activities with national standards from early stages of the project and throughout implementation. Every related ministry also has a legal and standard office. The project document has already been shared with them during the formulation process and their participation will be ensured during the implementation phase. There are mechanisms in place within DoE by which an agency submits a full description of project with related detail and it will be reviewed by a committee for further approval/modification or rejection. Though the EIA process is under the supervision of the Deputy for Human Environment of DoE, decisions related to EIA are not made by the department singlehandedly, but by a national level committee consisting of related authorities, university and research center representatives. The above process and structure will prevent any conflict of interest in the process and decisions related to EIA.

223. In the above context all on-the-ground project activities are at a very small scale with consideration of environment/ecosystem conservation and will not have to go through the above process, but will be monitored closely by DoE. Further, every project activity will be implemented under the monitoring and supervision of the relevant authority who is also a member of the project steering committee. The project office will receive approvals from the relevant ministry/authority for contracts and payments related to activities under their respective areas of responsibility to ensure they are in compliance with the relevant guidelines and are monitored

#### **Output 2.1:**

224. Activities under output 2.1 are small scale projects at farm level which do not require EIA official processes based on consultation made with DoE during project formulation, but representative of DoE will be working jointly with MOJA to develop action plan for activities under output 2.1 and based on experience from LU project one final signatory for final payments for this output will be DoE to ensure their participation and regular monitoring. All project activities under output 2.1 will be implemented in coordination with Ministry of Agriculture-Jahad (MOJA) who is the main body responsible for monitoring agriculture related guidelines (WIS (2012), CZMP (2015), CZMP (2013) in close coordination with DoE. Ministry of Energy (MoE) will be also involved in the sections related to water savings and improved water management at farm/village level (WIS (2009), WIS (2012), WIS (1999), CZMP (2014)). PMU will, in parallel, monitor for continual AF ESP compliance.

#### **Output 2.2:**

225. The small-scale nature of the alternative livelihoods in principle will not require an Environmental Impact Assessment (EIA) based on their nature, purpose and possible effects on the environment. The National Steering Committee will assess if a proposal would require an EIA, to showcase if the environmental and community benefits outweigh the negative effects, to be subsequently approved or rejected. As previously stated, the AF project includes technical and budget provisions in compliance with UNDP requirements, including adherence to all national and local standards on environmental and social impacts, to request and carry out EIAs if any of the activities would require. (More information on EIAs in Annex 10). Activities under output 2.2 will be implemented through the MOJA and DoE and monitoring against related guidelines (CZMP (2015), CZMP (2015), CZMP (2013), CZMP (2013)) will be conducted by them, in close coordination with the PMU during the implementation phase.

#### **Output 3.1**

226. This output will include the construction of small-scale works that in principle will not require an Environmental Impact Assessment (EIA) based on their nature. As previously stated, the AF project includes technical and budget provisions in compliance with UNDP requirements, including adherence to all national and local standards on environmental and social impacts, to request and carry out EIAs if any of the activities would require. (More information on EIAs see Annex 10 Environmental and Social Management Framework). Activities under output 3.1 fall under the responsibility of Forest, Rangeland and Watershed Organization (FRWO) under MoJA who will ensure compliance with related guidelines (WIS (2010), WIS (1994 & 1996), CZMP (2015), CZMP (2014)) in implementation of activities. In parallel, PMU will monitor for on-going AF ES compliance.

#### **Output 3.2**

227. As most part of activities under this output will be in protected areas, all output 3.2 activities are fully developed through close consultation with different related offices in DoE to make sure that project activities are aligned with their standards, current ongoing projects and management plans in place and support activities which are related to adaptation with drought and climate change in the protected areas. Activities under output 3.2 will be supervised by the DoE as they are considered part of adaptation and rehabilitation activities for Bakhtegan protected areas. The law for wetland management and conservation and the law related to protected areas will apply. As with all project activities, PMU will also monitor for AF ESP compliance.

228. An Environmental and Social Management Framework (ESMF - Annex 10) has been prepared to address potential social and environmental risks and impacts and to ensure compliance with applicable regulations and standards. The ESMF outlines procedures for screening, assessment, and development of measures to manage potential social and environmental risks and impacts during project implementation.

### **F. Chances of Duplication**

229. The proposed project is designed to complement, build on, and learn from existing and past initiatives in Iran, rather than overlap. At present, there are few projects underway in the Bakhtegan Basin. However, climate change is not a central focus of these initiatives, though some of the interventions may have indirect climate benefits. Of the projects currently being implemented in the country, there are complementarities and linkages with the Lake Urmia project and scope for scaling up and replicating the Women's Trust Fund project.

230. Conservation of Iranian Wetlands Project - Phase II (Scale-up): The ongoing second phase of the Conservation of Iranian Wetlands Project (CIWP) builds on the results and achievements of the initial Wetlands Project launched in 2005 and funded by the Global Environment Facility. The second phase expands the project throughout the country. The goal is to enhance the sustainability of Iran's wetland protected areas and conserve its globally-significant biodiversity. It will do so by establishing ecosystem-based wetland management plans and inter-sectoral coordination structures for 15 important Iranian wetlands. A grant of US\$3 million has been provided by the Government of Japan to UNDP, contributing to the revival of one of these important wetlands, Urmia Lake, from its current critical situation. The project specifically addresses the restoration of the lake

through modeling local community participation, promotion of sustainable agriculture and effective reduction of water consumption. The project engages with local communities and farmers using sustainable agriculture techniques. This approach is expected to contribute to an increase of inflow to the lake as well as to the protection of the biodiversity in the area.

231. The Integrated Management Plan of Lake Urmia Basin developed under CIWP specifically addresses the restoration of Lake Urmia mainly through effective reduction of water/agricultural chemical input consumption at farm level by engaging local community and farmers applying sustainable agriculture techniques. It is expected that this approach would lead to increase of inflow to the lake as well as protect the biodiversity, focusing on the island habitat of two main IUCN red list species. At the same time, there would also be direct biodiversity protection by implementing a water harvesting project in one of the key wildlife island habitats.

232. The above initiatives are of particular relevance to Output 2.1 on Climate Smart Agriculture of the proposed project with a focus on participatory engagement with farmers. Key lessons and observations from these initiatives that have contributed to Output 2 of the proposed project are:

- Chances of success are high when farmers, agriculture research centres and professional facilitators collectively work together to implement identified climate smart practices that reduce water consumption without compromising farmers' net income.
- Local companies and cooperatives play a key role in the project with regular and continued presence in the field by accompanying local farmers and providing a collaborative platform for joint planning and implementation among key stakeholders in line with sustainable agriculture, applying smart agriculture techniques and aiming to achieve results. Key results of the project include : i) a participatory action plan with involvement of farmers, facilitators, and agriculture researchers and MoJA extension offices; ii) water management techniques, emphasizing on water saving at farm level implemented iii) soil fertility techniques implemented; iv) application of biological fertilizers rather than chemical fertilizers emphasized; v) crop protection techniques, emphasizing on application of biological pesticides rather than chemical pesticides and pollutants
- The strong ownership demonstrated by farmers in Lake Urmia is evident as the framers now lead the farmer to farmer exchanges on knowledge and information.

233. This strong ownership and participatory demonstrated in the above initiatives are being replicated in the proposed project. To further build on these learnings, the new activities proposed are market research, exploring the potential of organic agriculture and certification, and an applied research programme that draws on the market research, relevant practices from Lake Urmia, in line with FAO guidance on Climate Smart Agriculture.

234. In addition, there are complementarities and potential for crossflow of information and sharing of experiences and learnings with the CIWP as both projects are implemented in joint cooperation between UNDP and DoE. As in the CIWP, the proposed project will be implemented under the supervision of DoE under the same National Project Director. This will provide opportunities for coordination between the two projects and if possible, the proposed project will use the platform created by the CIWP project for AF project implementation.

235. The Women's Trust Fund project supported by MoJA is one of the pioneer women micro credit fund projects at the country level which supports more than 150 women's groups all around the Fars province with 65 of them in Bakhtegan basin. Due to interventions under the WTF initiative, the women are now better informed and in well-organised groups. The proposed project will build on this existing structure, instead of duplicating the effort, to help accelerate the project implementation.

236. The micro credit funds set up under the WTF mainly supports sustainable alternative livelihoods that are linked to agriculture activities that are less dependent on water, a new approach taken by MOJA at the national and provincial level. This is also another critical learning that is being incorporated into the proposed project under output 2.2 where women under the WTF project will share their experiences with other beneficiaries on reducing water consumption by shifting focus on less water intensive agriculture.

237. An important institutional level outcome of the ongoing and past initiatives is the strengthening and establishment of inter-sectoral coordination and cooperation mechanisms at the provincial and local levels to facilitate sustainable rural development. The governance mechanisms of the proposed project has built on and will enrich these existing institutional mechanisms by integrating climate change considerations.

Table 11: The following is a tabulated summary of relevant projects

| Project Title  | Main Objective   | Geographic Area  | Status  | Adaptation Approach  | Potential Synergies and Coordination Mechanisms  |
|--|--|--|---------|--|--|
| Conservation of Iranian Wetlands Project - Phase II (Scale-up)   | Enhancement of the effectiveness and sustainability of Iran's system of wetland protected areas as a tool for conserving globally significant biodiversity   | Across Iran  | Ongoing | Ecosystem approach in wetlands management                  | Inter-sectoral coordination structures for 12 (9 new wetlands + 3 demonstration sites) important Iranian wetlands, Put in place strong wetlands ecosystem management legislative platform and inter-sectoral administrative structures at national level, supporting implementation of the "Ecosystem Approach" in important Iranian wetlands and share CIWP and other wetlands management initiatives, knowledge and lessons learnt with the neighbouring countries |
| Contribution to Lake Urmia Restoration via local community participation in sustainable agriculture and biodiversity conservation      | Wise use of land and water Resources Including agriculture water saving, urgent biodiversity conservation and awareness rising.  | Urmia  | Ongoing | Climate change mitigation and adaptation, water management | Participatory decision making and planning at national, provincial and local level will enhanced bottom up and inter sectoral collaboration during the project   |
| Participatory Management of Natural Resources and Sustainable Rural Development in line with Carbon Sequestration in Desertified Areas | Rehabilitate the desertified areas and rangelands, while also seeking capacity building for communities who will carry out the activities to achieve this rehabilitation and conservation.   | North Khorasan (two sites), South Khorasan, Yazd and Golestan provinces                    | Closed  | Climate change adaptation                                  | Inter-sectoral coordination and cooperation mechanisms established and strengthened at the provincial and local levels to facilitate sustainable rural development   |
| MENARID - Institutional Strengthening and Coherence for Integrated Natural Resource Management   | Removal of barriers to Integrated Natural Resources Management (INRM) by developing and strengthening institutional knowledge, capacity and coordination, and by demonstrating and up-scaling successful sustainable land and water management practices | Kermanshah; Sistan and Baluchistan; Tehran; Yazd; North Khorasan; Semnan; Karoon watershed | Closed  | Climate change adaptation and mitigation                   | Inter-sectoral coordination and cooperation mechanisms established and strengthened at the provincial and local levels to facilitate sustainable rural development   |
| Monitoring water use efficiency in Qazvin through City Prosperity Initiative   | The Greener Cities Partnership (GCP) is to develop a list of recommended indicators that shall be added to the extended  | Qazvin Province Qazvin city  | Ongoing | Climate Change adaptation and SDG                          | The new indicators tackle the issues of water quality, water usage efficiency, more specifically reducing the use of potable water for non-drinking purposes, wastewater management, public transport and  |

|   |  |   |               |  |  |
|---|--|---|---------------|--|--|
|   | <p>City Prosperity Initiative (CPI) framework to enhance the quality and depth of monitoring in the city. The Qazvin Pilot will be the first global project on Urban Environmental Indicators Monitoring, with the aim to collect long-term data and analyse these for more sustainable policies and results.</p>                      |   |               |  | <p>preservation of natural heritage. The data will be made available based on inter-sectoral coordination by various local and regional stakeholders e.g., National Statistics Organization and academic institutions, as appropriate.</p> |
| <p>Study on Integrated Water Resources Management for Sefidrud River Basin (Iran and JICA)</p>                  | <p>Under the circumstances, the study was started with the objectives to formulate a Master Plan for water resources management in Sefidrud river basin and to transfer technology on the integrated water resources management to the counterpart personnel.</p>  | <p>Sefidrud Basin, Kordestan, Zanjan and East Azerbaijan, Ardabil, Qazvin and Gilan provinces</p> | <p>Closed</p> | <p>Climate Change Adaptation and Integrated Water Resources Management</p> | <p>In the study, conflict management is employed to coordinate the water conflict. As a part of the management, workshops were held in 7 provinces which are Zanjan, Kordestan, East Azarbaijan, Qazvin, Ardabil, Tehran and Gilan.</p>    |
| <p>Project on Establishment of Participatory Water Management System in Golestan Province (Iran &amp; JICA)</p> | <p>JICA development study "the Study of Improvement of Irrigation, Drainage and Agricultural Development for Gorgan Plain, in Golestan Province. The project was aimed at capacity building of the staff in JAO of Golestan Province as well as strengthening of structure in JAO of Golestan Province for extension of the model.</p> | <p>Golestan Province</p>  | <p>Closed</p> | <p>Climate Change Adaptation &amp; Sustainable Agriculture</p>             | <p>In this project, "Participatory Water Management System" was to be promoted in Tazeh Abad irrigation area, one of 40 irrigation areas in Golestan Province.</p>   |

## G. Learning and Knowledge Management

238. Dissemination of all relevant data, information, knowledge and lessons learned through the project is addressed explicitly in the project design. Under Component 1, relevant data and information that is generated through the project will be collated within a customised GIS platform for the Bakhtegan Basin. Project Management Unit with support from local government staff and national/local NGOs/CBOs part of the project will gather and report delivery and impacts of investment on a quarterly basis in a pre-defined format. These data and information will then be made available through the planned information portal system (TIPS). The TIPS will be the principle mechanism by which data and information are provided as input to Component 4.
239. Component 4 is focused towards enhanced governance and decision making in relation to climate resilience in the Bakhtegan Basin. This will be supported, through Output 4.1, by a comprehensive focus on education, capacity building and communications. Data and information generated through Component 1 and made available through TIPS will provide primary input for Output 4.1. Additional knowledge and information will be integrated to address specific education, capacity building and communication needs. This will include, for example, relevant background summary information on the science of climate change, likely impacts in Iran, and implications for the Bakhtegan Basin. This will be combined with results generated from the climate change analysis under Output 1.1. Additional information of relevance to Components 2 and 3 will also be provided for use in education and capacity building activities. This will include materials relating to climate smart agriculture practices, results of market research, water resource management, alternative livelihood practices, marketing of value added products, and natural resources management.
240. Education and capacity building will be implemented with decision makers at multiple levels and will involve on-going activities for the duration of the project. This will involve dedicated sessions with local and regional government authorities and with local communities. There will be a strong emphasis on education and capacity building with local communities. This will focus on two principal dimensions. Firstly, the focus will be on building ownership of the issues and challenges that are being faced. This will involve activities both within communities in the four different Zones as well as between communities across the four Zones. The intention is to build a widespread sense of shared ownership throughout the Bakhtegan Basin. Secondly, the focus will shift to active participation in developing and implementing solutions. This will involve a strong 'learning by doing' emphasis, through both Components 2 and 3. Regular community meetings will be conducted to discuss and review lessons that are being learned, with continual feedback and refinement of approaches and methods. Furthermore this process will serve the purpose of engaging people more widely, beyond the initial target beneficiaries, in the project and its results.
241. The communications part of Output 4.1 will be focused on wide dissemination of results and lessons learned from the project. This will involve the use of multiple media platforms, including video, TV, social media and publications. The intention will be to educate and inform all people living in the Bakhtegan Basin and to also reach as many people as possible nationally.
242. The KM and media outreach strategy goals of the project are:
- To inspire, inform and engage with local communities affected by this project;
  - To motivate other surrounding zones/district/provinces facing similar challenges by transforming this project into a role model for effective water management in the context of drought, ensuring relevant knowledge generated is easily accessible and can be replicated and scaled up;
  - To support the information and internal communication needs of all our stakeholders while promoting the government's reputation in promoting climate smart agriculture and alternative livelihoods with the communities.
243. Key KM strategies and the sustainability measures are as follows:

**Visibility material and SOPs:** All visibility material and Standard Operation Procedure for public communications must adhere to the AF, UNDP and Gov guidelines. For that effect, specific branding guidelines and public communication focal points will be included in the communication strategy document, including examples for printed Materials (banners, billboards, etc.,)

**Sustainability Measures:** During the project lifetime, the knowledge management strategy outcomes will be anchored under the Project Management Unit, housed at DoE and will be linked with training and public awareness office of related ministries (e.g. DoE, MoJA, MoE). Based on previous experiences with similar UNDP projects in Iran, all KM related activities will be implemented jointly with related government offices and these new practices will be part of their usual practice and will be included in internal curriculum or new supported activity. After project closure, it is expected that all key related authorities and NGOs involved in the process will maintain this based on its mandate and initiatives that are relevant and of interest to stakeholders.

**AF Project website:** A central management platform for sharing and disseminating the body of knowledge and lessons learned generated and build a Community of Practice that contributes to the scalability and replication across other provinces. All communication activities undertaken should be reflected on the website. The website and associated social media will be handed over to the Department of Environment at the project closure stage and measures will be put in place to ensure sustainability and continuation of these platforms and that the same quality and standards are maintained. **Based on previous experiences of joint projects with line ministries and entities, the concerned education and public**

relation offices responsible for KM products and updating website, will be involved in the project activities from the initial stages. Project KM products will be reflected both in project and ministry website and in training modules. The handing over process will be done gradually with the Department of Environment (DoE). The project will have a specific section in the DoE website with agreed process for its maintenance. Based on best practices of other development projects, in the final year of project, a data bank of knowledge products will be developed and shared among all stakeholders and published in DoE and other related ministries' website.

Some of the key areas to cover are:

- Education (i.e.): Why is Bakhtegan basin important, historical drought, how can I help, what plants and animals live there, loss of biodiversity, training and mentoring
- Knowledge management (i.e.): Success stories, publications, photo & video database, press releases, interview with experts etc
- Vertical Themes (i.e.): Gender and youth, Climate Smart Agriculture, Alternative livelihoods, Endemic wildlife, Partnerships etc
- Media: Communication/advocacy initiatives, media packs, Social media news feed, Facebook and twitter partners (@AFIran), photos and video catalogue.

**Target Audience:** The website contents will be available to the public while specific thematic subjects will be categorized for technical experts, communication experts, local communities, academia etc.

**Sustainability Measures:** The website and social media channels will be hosted by DoE with a dedicated focal point in the communication office, in coordination with communication focal points of the stakeholder organizations. Towards the end of the project, the website and associated social media will be handed over to Implementing Agency.

- i) **Photovoice exercise:** This is a process by which people can identify, represent, and enhance their community through photographic means by entrusting cameras to people that act as recorders, and potential catalysts for social action and change in the riverside communities. It can also be used for documenting positive adaptation changes along basin communities. For example, as a participatory photography stories in partnership with the schools or women's cooperatives to empower community youth groups to portrait their views and issues related to drought.

**Target Audience:** Local Communities, NGOs in Bakhtegan basin

**Sustainability Measures:** This process will be led and hosted by the local NGOs and CBOs with support from project during implementation phase and will be completely handed over towards the end of the project.

- ii) **Reports and publications:** An integral part of the knowledge management strategy to replicate, scale and generate lessons learned.

**Target Audience:** The reports and publications of the project will be disseminated and advocated among different target groups such as local communities, NGOs and governmental organizations, academia in parallel with holding thematic workshops

**Sustainability Measures:** the soft copies of produced reports and publications will be made available on the project website, which will be hosted by the implementing partner after the project closure.

- iii) **Social Media:** This distribution channel can be very effective to inform communities, cross link to UNDP website and keep a log of the works to tell the project's story annually, after completion of the project and to support project evaluation.

**Target Audience:** Public in general, with thematic content produced for youth, farmers, local communities, teachers etc.

**Sustainability Measures:** During the project implementation and once the Communication, Education, Participation and Awareness (CEPA) action plan is produced, the Social Media channels of the project will be handed over to a suitable owner such as research centers or NGOs.

- iv) **Traditional Media:** Local newspapers, TV and radio broadcast, to reach the affected communities and establish media connections to receive the maximum media attention for our press releases, news stories, special events, press kit, interview with experts etc. A General approach in using media will be close cooperation with the communication bureaus of stakeholder organizations, in line with their mandates.

**Target Audience:** Public in general, with thematic content produced for youth, farmers, local communities, teachers etc.

**Sustainability Measures:** The communication bureaus of stakeholder organizations will be the main host to the Traditional Media, to continue advocacy on the results of the project.

## H. Stakeholder Consultation and Participation

244. During the project preparation consultations were conducted with stakeholders at national, provincial and local levels. The consultation process involved meetings, workshops and informal discussions with local communities. The bulk of these consultations were conducted during an 11 day mission to Iran and the Bakhtegan Basin with a team that involved an international consultant, national consultants, local consultants from Fars Province, a UNDP Bangkok technical support person, UNDP Iran and representatives from participating government ministries. Additional consultations with communities were conducted by the local consultant team.

245. At national level the emphasis was on clarifying expectations of the participating government ministries and the national technical committee (NTC) for the project, identifying needs from their perspective, reporting back to them at the conclusion of the mission and receiving their feedback. At provincial level a meeting was held with provincial government staff and representatives. The focus of this meeting was to inform them about the planned project and to receive their feedback on key issues and needs with the Bakhtegan Basin. At local level, three participatory workshops were held with local governors, local government representatives of the three principal central government ministries, NGOs and others.
246. The three participating government ministries are the Department of Environment (DOE), Ministry of Jihad Agriculture (MOJA) and Ministry of Energy (MOE). All three ministries have previously worked on separate ideas and plans for an Adaptation Fund proposal. However, they subsequently came together and agreed that a combined, cross-sectoral, approach would be much more powerful and effective. Such an approach, involving several government ministries, is a new initiative in Iran and challenges the compartmentalised and silo-based thinking that prevails. They had held their own meetings and internal discussions prior to the project planning mission focused on initial scoping for the project. During the planning mission each of these participating ministries were consulted jointly, through the NTC, and separately.
247. The silo-based approach to climate change has been addressed since the outset by establishing a National Technical Committee in Iran to guide the proposal development process. The committee is comprised of senior representatives from DoE, MoJA, MoE and MoFA, who are determined to collaboratively implement this project building on their collective expertise. They will work jointly and in close coordination, as the drought in the Bakhtegan basin has multi- sectoral impacts. National representatives from these Ministries will be part of the Steering Committee/ Project Board. Most of the components will be implemented jointly (as stated in the organigram) and performance will be reported back at Project Board. As mentioned in Component 4 of the project, existing intersectoral mechanisms within the province and at district level will be used with enhanced responsibilities for the basin to practice collaboration among stakeholders. These enhanced mechanisms will have enough opportunity to practice and refine their new role during the project life cycle.
248. Following the national level consultations in Tehran the project team travelled to Shiraz, the capital of Fars Province. In Shiraz they held an initial meeting with staff from the provincial DOE and the local consultant team. A briefing on the situation in the Bakhtegan Basin was provided in this meeting, data and information needs were discussed and plans for site visits and local consultations were presented and discussed.
249. The meeting with the Fars Provincial government was chaired by the Acting Deputy of the Governor General of Fars Province. This meeting involved a briefing on the project and what was required to develop an AF proposal, presentations from provincial representatives, and identification of issues and needs from provincial government staff representing environment, water and agriculture.
250. Three local consultation workshops were held within the Bakhtegan Basin along with visits to potential project sites and villages. A report on outputs from these consultations is presented in Annex 7. These workshops were held in the towns of Kharama, Estahban (both in Zone 4) and Marvdasht (Zone 2). The latter, while located in Zone 2 included representation from the upper part of the basin (within Zone 1). In each workshop there was an introductory presentation on the project followed by an overview from the local governor, and then a facilitated process with participants to identify issues and needs.
251. The needs of women were specifically identified in the workshops. This included an extended discussion in the Estahban workshop on the Rural Women's Trust Fund, which is a mechanism for support women who are seeking to develop alternative livelihood practices. One of the main foci of this fund is gender equity, with the goal of empowering women. This discussion highlighted the fact that this fund has had successes and failures and that the project needs to learn from these lessons to ensure that it works effectively.
252. In the upper part of the basin, above Doroodzan Dam, the project team were also hosted for a day by the governor of Kamfirouz district (within Marvdasht County). Despite the relative abundance of water in this part of the basin, many households are suffering due to the poor soils and low yields. Visits to several local alternative livelihood initiatives were undertaken, including to a local women's cooperative that has been established to make jewellery for sale in Shiraz city and elsewhere.
253. Further consultations were held by the local consultants to identify locations and villages for implementing Components 2 and 3 of the project. This involved consultation with county authorities, farmers, NGOs and also drew on field experiences of the local consultants.
254. Table 12: summary of the stakeholders consulted and contributions they made to the project design.



| <b>Organisation consulted</b>                             | <b>Role/Responsibility</b>   | <b>Issues addressed</b>   | <b>Project components</b> |
|---|--|---|---------------------------|
| National Technical Committee (NTC)                        | Cross-departmental committee overseeing development of the AF proposal on behalf of the Iranian Government<br><br>Provided conceptual and technical guidance an input to the project development process                               | Identified the Bakhtegan Basin as the project location<br><br>Project scope and management arrangements<br><br>Feedback and comments on the project proposal  | Components 1, 2, 3 and 4  |
| Department of Environment                                 | Responsible for natural resources management, with a particular project focus on protected wetland areas   | Provided technical input into the formulation of Component 3  | Components 1, 2, 3 and 4  |
| Ministry of Energy  | Responsible for water resources management   | Developed a pre-proposal that guided the formulation of Component 1   | Components 1, 2, 3 and 4  |
| Ministry of Jihad Agriculture                             | Responsible for agriculture and food security  | Provided technical input into the formulation of Component 2  | Components 1, 2, 3 and 4  |
| United Nations Development Programme                      | Provided technical and administrative support during the proposal preparation, organised the project development mission to Iran and the Bakhtegan Basin   | Input to project formulation and design<br>Contributions and support to the National Technical Committee<br>Project management and institutional arrangements | Components 1, 2, 3 and 4  |
| Fars Provincial Government                                | Responsible for the management of land and water resources in the Bakhtegan Basin<br><br>Provided an overview of the situation in the basin<br><br>Assisted in gathering requested data for the national consultants from stakeholders | Identification of issues and needs within the Bakhtegan Basin<br><br>Information on existing activities and initiatives                                       | Components 2, 3 and 4     |
| Kharama County Government and community representatives   | Responsible for local decision making in relation to land and water resources management<br><br>Coordination between different County authorities and assisted with the workshops  | Provided information of the issues being experienced in Kharama County, actions that are already being taken and what additional support is required          | Components 2 and 3        |
| Estahban County Government and community representatives  | Responsible for local decision making in relation to land and water resources management<br><br>Coordination between different County authorities and assisted with the workshops  | Provided information of the issues being experienced in Estahban County, actions that are already being taken and what additional support is required         | Components 2 and 3        |
| Marvdasht County Government and community representatives | Responsible for local decision making in relation to land and water resources management<br><br>Coordination between different County authorities and assisted with the workshops  | Provided information of the issues being experienced in Marvdasht County, actions that are already being taken and what additional support is required        | Components 2 and 3        |
| Non-Governmental Organizations                            | Participation in consultative workshops  | Provided information of the issues being experienced, existing livelihoods and alternative ones   | Components 2 and 3        |

## **I. Funding Justification**

**Component 1: A data and information management system for decision support and communications is developed and implemented to support development of long-term climate resilience in the Bakhtegan basin.**

### ***Baseline (without the AF investment)***

255. Many Iranian institutions, including the Ministry of Energy and the Iranian Meteorological Organisation, currently have access to historical data sets for relevant climate and hydrological parameters. Similarly there is a strong capacity within Iran to undertake drought risk assessments. This is confirmed with a predominantly web based search identifying at least 20 published papers from within Iran focused on drought analyses, with and without consideration of climate change. At least two of these have included drought assessments in the Bakhtegan Basin. While a lot of relevant work has been done nationally there is a lack of consistency with modelling approaches including selection of GCM scenarios, use of outdated emissions scenarios by some and application of different drought models. Within this context there has been no systematic climate change risk assessment of each province in Iran. In summary, current analyses are fragmented, inconsistent and incomplete.
256. Iran's draft third National Communication to the UNFCCC includes a country-scale climate change analysis. This analysis uses results from 15 Global Climate Models (GCMs) in combination with emissions scenarios (referred to as the SRES scenarios) that were used in the IPCC third and fourth assessment reports. These SRES scenarios have now been superseded by the Representative Concentration Pathways (RCPs) scenarios which were used in the IPCC fifth assessment report. The draft third National Communication analysis also uses the now outdated Standardised Precipitation Index (SPI) for drought analysis, which has been superseded by the Standardised Precipitation Evapotranspiration Index (SPEI). Results are presented for temperature and rainfall changes only, projected to 2030, with no in-depth analysis of drought risk nationally and provincially and how it might change with climate change. Nor is consideration given to potential impacts on available water resources.
257. A comprehensive report on land and water resources was published in 2007<sup>54</sup>, with relevant summary material presented in Annex 1. While very valuable this information needs to be updated and revised to account for the significant changes that have occurred over the last decade. The Ministry of Energy has a current national strategic water plan which provides general guidance but no specific detail on the amount of water available for agriculture and other uses in the Bakhtegan Basin.
258. There is no coordinated community based monitoring of vulnerability and resilience. Evidence of the impacts of the 2007 drought and extended dry period since on communities and their local environments is predominantly anecdotal. For example, the information presented in Table 3 on the socioeconomic and environmental situation in the four Zones is principally based on local knowledge. Local people are aware of the situation in their locale but more widely throughout the basin there is a lack of understanding of the issues and their causes. The result of this is apportionment of blame and growing disharmony between communities in different parts of the basin.
259. Overall, the current situation is one that lacks clear and consistent application of climate change impact and vulnerability assessment methodologies at all levels, including national, provincial, county and local community. Within the Bakhtegan Basin there is a strong base of climate and hydrological data, but a lack of up to date socioeconomic and environmental data. There is also a lack of coherence in terms of the collation and dissemination of available data and information, between different government agencies and between the different levels of decision making (national to local and vice versa).

### ***Additionality (with the AF investment)***

260. Component 1 is designed to provide a coherent structure and consistent approach for assessing climate change impacts and vulnerabilities, as a basis for identifying and implementing solutions aimed at building climate resilience in the Bakhtegan Basin. This will also be of wider benefit throughout Iran. As a first step the capacity for consistent, and rapid, assessments with all currently available GCM results (from at least 40 models) and the current IPCC emissions scenarios (Representative Concentration Pathways) will be developed. This will then be implemented in association with a comprehensive updating of water and land use planning within the Bakhtegan Basin, to ensure that climate change impacts and vulnerabilities are fully integrated. Greater understanding of vulnerabilities, within and between communities and with decision makers at all levels of administration, will be facilitated through development and implementation of a structured approach to local community monitoring. Finally, platforms for collation, storage and dissemination of results will be established by building on current GIS capacity and through the development of an online information portal system. This will ensure that all stakeholders will have ready access to the same data and information, in support of the goal of more effective, efficient and timely decision making which takes full account of climate change.

**Component 2: The environmental, social and economic resilience of the Bakhtegan Basin is strengthened through implementation of sustainable agro-ecological practices and alternative livelihoods.**

### ***Baseline (without the AF investment)***

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<sup>54</sup>Rooyan Consulting. 2007. *Studies on Environmental Challenges on Bakhtegan Lake*, in Persian.

261. Farmers within the Bakhtegan Basin are currently facing different circumstances, as summarised in the opening paragraphs of Section A. Within this context different measures are being adopted, mostly involving autonomous adaptations. In Zone 1 there is a situation of declining rice yields on the river terraces as a result of declining surface and ground water (extraction of the latter is mostly illegal) and also due to poor soil quality. There is also on-going encroachment into rangeland and forested areas for fruit production and other activities. Some attempts are being made to grow higher value crops such as saffron and pistachio, but there is limited knowledge and experience with growing these crops. Zones 2 and 3, in particular Zone 2, encompass the principal (and historical) agricultural area of the Bakhtegan Basin. The prolonged dry period over the last decade is leading to deeper and deeper wells and also an increase in the number of illegal wells. Continuous cropping is also resulting in soil degradation and wind erosion. Some farmers are switching to less water demanding crops such as safflower. Zone 4 is the worst affected by the activities in Zones 2 and 3, with local conflicts arising relating to water. This is the traditional fig growing area of the Bakhtegan Basin but fig production has declined significantly due to the lack of rain, impacts of saline water around the margins of the lakes and as a result of wind borne salt particles. There are also villages around the lakes that have traditionally relied on water buffalo and other activities that are associated with a wetland environment. Overall, many farmers in Zone 4 in particular are suffering and most have limited capacity to explore, develop and implement alternatives.
262. On the positive side there are some added value initiatives that provide scope for further development. In particular there is currently some organically certified production in the Bakhtegan Basin, covering dates, figs, pomegranate, saffron and medicinal herbs. However, there is a general lack of market research and basin wide coordination. Additionally it is presently not clear to what extent these added value practices fit within the criteria of what might be defined as 'climate smart'. While organic practices such as mulching, increasing agro-biodiversity, crop rotations with fallow periods, a focus on build soil biology and use of biological friendly products, are aligned with climate smart agriculture this does not mean that all organically certified farms can automatically be considered to be climate smart.
263. In Zones 1 and 4 in particular some villages, and some households in villages, are already self-organising in terms of adopting alternative livelihood practices. This includes mushroom production, dairy production, beekeeping, food processing (tomato paste and pomegranate sauce), tailoring and embroidery, carpet weaving, processing and packaging of produce. Data are available on the number of households currently engaged in different alternative livelihood activities and have been provided for the villages identified for inclusion in this project (Annex 4). The extension of these practices to other households and villages is limited by a number of factors including: access to appropriate knowledge and skills; access to finance; and relevant market information and marketing expertise and capacity.
264. The Rural Women's Trust Fund provides an existing mechanism for women to access financial support to initiate alternative livelihood activities. This fund is currently more active in some counties and villages than others. There are also anecdotal reports of both success and failures with the fund.
265. In summary, the current situation involves differing impacts on communities in the different Zones in the basin. Some farmers and households are already adapting autonomously to the changed conditions. However, there is no clear emphasis on the development and implementation of climate smart agriculture practices and there is no overall coordination of efforts to introduce alternative livelihood practices, in particular to the most vulnerable.

#### ***Additionality (with the AF investment)***

266. Component 2 is focused firstly on establishing a clear climate change context for the introduction and implementation of relevant adaptation measures aimed at strengthening the resilience of livelihood practices in the Bakhtegan Basin. This context will be provided through Component 1 and further supported through Component 4. Within this context a systematic approach will be adopted, which is aimed at building on and adding value to existing initiatives. The primary focus of Output 2.1 will be the introduction of economically viable climate smart agricultural practices which are aimed at reducing demand for water and also the amount of land that is under cultivation. Essentially its core focus will be on behaviour change, to be fostered through a strongly participatory process that is focused on building ownership and learning by doing. While farmers and their current agriculture practices have rightly been identified as part of the problem it is also essential to recognise that they need to be an integral part of the solution. The primary focus of Output 2.2 will be on extending and adding value to existing alternative livelihood initiatives and practices by the provision of small-grants with a target on women entrepreneurs and women-headed households. This will include a strong emphasis on supporting those in the most vulnerable communities, particularly in Zones 1 and 4.
267. Lessons learned from the Rural Women's Trust Fund will inform the provision of small-grants to women to implement alternative livelihoods, that otherwise won't be able to be implemented and will not be able to promote off-farm livelihoods maintaining the dependence on water-intense agriculture practices.

#### **Component 3: The resilience of the natural environment of the Bakhtegan Basin is strengthened.**

##### ***Baseline (without the AF investment)***

268. The situation with the natural environment in the Bakhtegan Basin is highly complex with no simple solutions. There are multiple issues arising from the decline in surface and water resources, particularly in the lower parts of the basin, and the increasing encroachment of people into national parks, protected areas, forests and rangelands. This situation has arisen as the results of decades of mismanagement following, firstly, the land reforms that were implemented in Iran in the 1960s

and subsequently with further development decisions. This situation has been exacerbated by a prolonged drier than average period since the last serious drought in 2007.

269. The above situation, including the restoration of the Bakhtegan Wetland in alignment with the national priority focus on wetland restoration, cannot be easily resolved. Government agencies and communities are focused instead on what is achievable within their human and financial resource capabilities. Soil and water conservation work undertaken in the Bakhtegan Basin during the last 18 years has included revegetation of 106,700 hectares of land, exclusion of livestock from 65,000 hectares, construction of 22 embankments and 1712 masonry check dams and 61 groundwater artificial recharge projects. Work in protected areas and national parks has involved a combination of efforts from local communities and DoE. Restoration work in the Kamjan Marshes was initiated by the local community and has subsequently been supported by the DOE. Runoff was flowing in drains which were constructed 35 years ago to drain Kamjan for agricultural purposes. Local people blocked these drains to conduct water to the Kamjan Marsh. These drainage systems also reached to Tashk Lake. One on-going issue in this area is the nutrient and agro-chemical loading of the runoff. Other important work includes that undertaken through the Central Zagros Mountains (CZM) project. In the Bakhtegan Basin this involved a number of activities which are summarised in Section F.
270. One of the biggest issues for communities to come to terms with in the Bakhtegan Basin is that what was previously a moist, humid environment is increasingly becoming an arid, dryland environment. The focus on the natural environment therefore needs to be on the design and implementation of measures that enhances resilience of the rangelands, forests, wetlands, protected areas and national parks within the context of these changed conditions. As much as possible this needs to include restoration and protection of wetland habitats in local areas to support migratory birds and other wildlife.

#### ***Additionality (with the AF investment)***

271. Component 3 is focused on implementing realistic and achievable measures to protect, enhance, and build the resilience of the natural environment within the context of the prevailing dryland environment. AF resources will be used construct small-scale works such as check-dams, contouring, strip-cropping that are intended to achieving significant reductions in soil erosion, drought control in rangelands and forest areas and combating desertification. In addition, rehabilitation and monitoring of forest rangelands, protected areas, national parks and wetlands will strengthen the necessary conditions to support conservation of the soil and water resources in the Bakhtegan Basin. Rehabilitation activities will be implemented with local community participation. On the same regard, AF resources will be used to develop and implemented a climate resilience action plan for the key species in target protected areas to monitoring results and conserve biodiversity in the context of severe drought.
272. Importantly, it is recognised that such work needs to involve active engagement with and participation of local communities. As much as possible this work will be aligned with communities who are also engaged with through Component 2 of the project, to ensure a fully integrated approach to resilience building which addresses environmental, social and economic issues.

#### **Component 4: Institutional Capacity at the local, regional and national level is strengthened for improved governance and decision making in relation to climate risk management and effective implementation of adaptation measures.**

##### ***Baseline (without the AF investment)***

273. There is a current lack of clear understanding and integration of climate change considerations to guide decision making at all levels in the Bakhtegan Basin. Additionally the current situation involves a combination of government agencies operating in their individual silos and, in general, a top down approach to decision making. The latter is not exclusively the situation. For example in Arsanjan County (Zone 4) the local government authority has worked in a participatory manner with communities to stop rice cultivation and bring an end to the burning of stubble. Those local authorities who are working more proactively with their communities tend to be those are in more of a crisis situation. There is also an atmosphere of blame, increasing mistrust, and also people wanting to retain what they believe is their unrestrained right to have access to water. In the words of the Arsanjan Deputy of Local Government, *“you can’t stop people, you can only advise them”*. There is no existing governance structure specifically for the Bakhtegan Basin.

##### ***Additionality (with the AF investment)***

274. Component 4 will provide, firstly and very importantly, a comprehensive and inclusive approach to education and informing as many people as possible in the Bakhtegan Basin about the current situation, its causes, and the increasing role of climate change. The latter will involve the provision of a clear, but concise, understanding of the science of climate change, what is already happening as a consequence, what it means for the basin in the future, and what can and needs to be done to build resilience. This will occur through multiple approaches and platforms, and will include education and capacity building of local communities, local authorities and provincial government. This improved knowledge and understanding of issues, challenges and solutions will be supported by strengthened governance structures and mechanisms, which build on existing governance structures. This strengthening of governance will have a very strong focus on inter-agency cooperation and strong engagement with and participation of local communities.

#### **J. Sustainability of the project/programme outcomes**

##### **Institutional sustainability**

275. Establishment of a functional governance structure is crucial for the long-term sustainability of interventions beyond the project lifetime. Under Output 4.2, the Bakhtegan Basin Council will be established to facilitate the long-term sustainability and climate resilient management of the Bakhtegan Basin, with clear mechanisms for strong community participation in decision making. This Council will be built on the existing management structure of the Bakhtegan Wetland defined by the DoE of Fars province and UNDP in Iran. The existing structure will be modified or strengthened to incorporate adaptation to climate change in the Bakhtegan Basin and mainstreamed into the national budgeting and planning mechanism. The intention to build on this existing mechanism represents a focus on ensuring participation of all relevant stakeholders to address the consequences of water and land resource mismanagement and adapt to the unfolding negative impacts of climate change in the Bakhtegan Basin.
276. The Council will aim to achieve livelihood sustenance within the context of the land and water crisis and associated impacts of drought and climate change within the Bakhtegan Basin. The Council will commission review of existing national/province frameworks and policies in the context of adaptation to climate change and land and water resources planning and management, efficiency and effectiveness of current governance mechanisms from national level all the way through to local farmers; establish an integrated water and land management system that incorporates considerations of climate change; demonstrate a pilot in the Bakhtegan Basin on use of a “national spatial strategy plan” approach based on natural water basins to guide and inform the provincial environmental working group under the Environmental High Council of Iran at the highest national scale. The proposed governance structure for Bakhtegan Basin is elaborated in Figure 10, para 156.
277. Since climate change is a relatively new subject for many of the provincial officials, capacity building measures will be undertaken through Output 4.1, to increase their awareness of climate change within the context of the current land and water crisis in the basin and what is required to build resilience. The project will also provide an opportunity for government and communities to jointly incorporate climate change impacts into a Water and Land Use Planning framework to guide land use decisions to protect and enhance natural resources and biodiversity in the context of drought and socio-economic stresses, which will guarantee the institutional support of project actions and results after the project is completed.

#### **Technical sustainability**

278. The key to ensuring technical sustainability of project outcomes is effective education and capacity building, and on-going positive relationships between technical staff from government agencies and local communities. This has been taken into account for all technical aspects of the project design. Under Component 1 a fundamental technical dimension to the project is the development and implementation of a capacity for consistent and up to date climate change and climate risk assessments. This work will build on the strong existing technical capacity that already exists within Iran for conducting such assessments. It will be achieved through customization of a widely used climate change scenario generator and risk assessment tool for Iran as a whole and specifically for the Bakhtegan Basin. Customization of this software tool will be accompanied by capacity building in relation to its application at national and provincial level. On-going applications will be supported and enhanced through the joining of an international community of scientists and technical staff who are engaged in applications of the same software. Other technical aspects of Component 1, in particular the development of a decision support system, will build on existing capacity and expertise with GIS as well as drawing on existing capabilities for the development of the information portal system (TIPS).
279. Components 2 and 3 will also require strong technical support and input. Engagement with, and increased ownership of, communities will be fundamental to ensuring that these efforts are sustained beyond the project. Of particular importance under Output 2.1 will be the research programme to be developed and implemented at the Marvdasht research station. To ensure its on-going success this work is focused on building on existing capacity within the research station. Importantly, the emphasis in the project design has been on an action research approach which is aimed at building ownership with farmers and rapid dissemination of results as widely as possible. With such an approach the technical capacity for new innovations is not simply held by scientific experts, but is held, owned and shared by a community of farmers with on-going feedback to scientists. Under Output 2.2 the technical dimensions of alternative livelihoods will be supported and sustained by local community experts, with additional input through specific education and training activities. Some villages already have strong technical capacity in certain areas, such as weaving for example, with sharing of technical skills through inter-generational learning and existing community structures. The project will build on these existing capacities as much as possible. Under Component 3 there is strong existing technical capacity amongst MOE, DOE and MOJA staff within the province and locally. As with Component 2, the key to long-term sustainability is the building of ownership, which requires firstly the development of strong working relationships between technical staff and local community members.

#### **Environmental sustainability**

280. The current crisis in the Bakhtegan Basin is first and foremost an environmental crisis. This situation has been clearly presented in this proposal and is the main underlying driver for the whole project design. The environmental issues in the basin are large, widespread and complex. This project cannot address them all and it cannot undo the progressive, and rapid, changes that have arisen since the 1960s that have resulted in the drying of the Bakhtegan Wetland and is now threatening the whole hydrological system of the basin.
281. The project has therefore been carefully designed to encompass what can be realistically achieved and sustained within a climate change adaptation context. Specifically, it is deliberately focused on the current dryland environment that is now prevailing. The rationale for this approach is that even if there is a climate shift in coming years towards wetter than average

conditions which ease the situation, there will have been a significant raising of awareness and implementation of actions that are designed to conserve water and protect and enhance the environment. These actions will be supported by the strengthened institutional and technical capabilities which have been summarised above.

### **Social sustainability**

282. Communities within the Bakhtegan Basin, particularly in the rural areas, have strong social networks and support systems. However, the unfolding land and water crisis has had serious social impacts which have been summarized in Table 3. The loss of rural livelihoods, in particular through lack of water, environmental degradation and declining production, has directly resulted in migration to urban areas, loss of self-esteem, increased divorce rates, increased drug use and addition and increased crime. These, and other issues, are not unique to the Bakhtegan Basin and have been documented and studied in more depth elsewhere in Iran. Drought is a particularly insidious phenomenon that can have long-lasting impacts on individuals and communities.
283. Despite these challenges there is evidence of the strong social networks and support systems at work in the basin to address the crisis situation. This is apparent through the concerns and proactive work already being undertaken by a number of county governors and their administrations which were shared during project design consultations. It is evident in local examples of communities and individuals who are already adapting autonomously to the changed conditions. It is also evident in the increasing focus of government agency staff at provincial and local level on working together with communities to develop and implement solutions.
284. The project is designed to build on and enhance these existing social structures and initiatives and therefore has a strong foundation to work from to ensure the social sustainability of project outcomes. This will be achieved in two key ways. Firstly, the strong focus on education and capacity building in a participatory manner which builds long-term ownership will directly strengthen the social sustainability of participating individuals and communities. Secondly, the communication of project results widely to all people throughout the Bakhtegan Basin combined with an emphasis on sharing stories and fostering constructive dialogue between communities in different parts of the basin will provide enduring social benefits to the whole population.

### **Financial sustainability**

285. Many of the environmental and social issues within the Bakhtegan Basin have arisen from the basic need of people to make a living from the land. With the removal of traditional land management systems and practices in the 1960s, accompanied by the absence of any education of farmers, a situation of unrestrained development has occurred. This has been exacerbated by subsequent government policies that have been narrowly focused on production with no consideration of the environmental and social costs. This is exemplified by the strong emphasis on rice production, which has been supported by high economic returns to farmers. The consequences of this narrow focus on production at all costs are now evident. An important part of the challenge now is to identify new initiatives that are environmentally and socially beneficial and provide strong economic incentives to change.
286. It is a reality that people are much less likely to sustain initiatives and activities when they experience direct economic benefits. Component 2, therefore, is strongly focused on improving the economic well-being of project beneficiaries, while at the same time enhancing and protecting the environment and improving social well-being. This forms one of the two key pillars of the project and is of fundamental importance to its enduring success. For the implementation of the Climate Smart Agriculture Systems, which are designed to reduce demands of land and water and at the same time increase farmer incomes, will be linked to the market research to identify potential national/international markets that will provide clear economic benefits to farmers after project closure. These activities will be guided and supported by MoJA's extension services.
287. In regards of the alternative livelihoods activities, based on results from the GAAP, the project will support the most vulnerable women and women's cooperatives with small-grants and skills training on the pre-selected alternative livelihoods identified to implement livelihoods to move away from water-intense agriculture. The financial sustainability strategy considered for this output is for these women and women's cooperatives to increase their collateral and creditworthiness, so they can access the micro-credit market, hence the interest to have the Rural Women Trust Fund and other women-oriented business initiatives being part of the project.
288. In addition, for the implementation of alternative livelihoods for women/women's cooperatives, DoE will seek to formalize support with diverse organizations during the 3rd year of implementation (through a LoA/ MoU) to keep links the AF-supported cooperatives with women-oriented organizations and financial institutions to maintain and expand their livelihoods. Among the institutions that DoE will reach to, it's expected to discuss formalization of support from Employment Department of Ministry of Cooperatives, Labor, and Social Welfare (MOCLSW), Center for Women Entrepreneurs and Traders of Fars Province, Professional Association Iranian of Women Entrepreneurs (AIWE), Dastadast Social Enterprise, among others. In addition, DoE will have special decision with Agriculture Bank of Iran and other micro-lending institutions working in Fars Province to discuss special borrowing services and credit lines for catered for these cooperatives (preferred borrowing services/incentives to differed payment timeframes, etc.)
289. For activities under component 3 that are targeted at achieving significant reductions in soil erosion, drought control in forest, rangelands, protected areas, national parks and wetlands, sustainability is associated with the capacity of local communities

and of local and regional authorities to influence collective decisions regarding the implementation of policies and activities to address climate change impacts which are embedded in the project's approach.

290. The construction of water ponds to harvest rainwater both for domestic supply and to enhance crop, livestock and other forms of agriculture and terracing (Out 3.1) will be fully financed by the project with paid labour from beneficiaries. The Forest, Rangeland and Watershed Organization (FRWO) will guide and support this output and it's expected for FRWO to provide O&M expenses of the ponds and terracing jointly with beneficiaries' support.
291. Regarding the financial sustainability strategy for the rehabilitation, conservation and monitoring of these sites, the DoE will incorporate in its general operation budget all associated costs related to the involvement managing, rehabilitating, and monitoring strengthened forest, rangelands, protected areas, national parks and wetlands.
292. Lessons learnt from Lake Urmia restoration project that involved MOJA, DoE and MOE, where new methodologies were adopted under a joint initiative with tangible results at the end, increased the sense of government ownership and recognition of such projects as best practices. This approach also led to changes in their planning and budgeting system to consider these successful practices in their annual budgeting system and national implementing projects. Now, the government of Iran is supporting Sustainable agriculture practices in more than 500 villages while the LU restoration project budget could support only 130 villages. The above practice would also be used for the AF project. With increasing sense of government ownership, the result of AF project will be sustained through governmental planning and budgeting system. As already discussed with the government partner of the project the new approaches and activities will be supported through national financial schemes under the national/provincial development programme of each responsible organization. Some of these national/provincial programmes already exist but need modification. In other cases, new programmes will be proposed to the Planning and Budgeting organization based on project best practices and lessons learned which will ensure both financial and technical support of project achievements in later stages

**K. Overview of the environmental and social impacts and risks identified and relevant to the project / programme.**

293. The project has been reviewed at a high level, against the 15 environmental and social principals that are the basis of the AF ESP, as well as with UNDP's Social and Environmental Screening Procedure (both provided in the ESMF in Annex 10). The screening and preliminary analysis found that certain project activities could generate a number of limited adverse social and environmental impacts. The screening resulted in an overall social and environmental risk categorization of "Moderate." The ESMF is designed to avoid, and where avoidance is not possible, mitigate and manage these limited potential impacts. As previously stated, proposed USP's cannot undergo a full screening until they are fully formulated during project implementation. A summary of the risks and mitigation measures identified to date, in line with the ESP of the Adaptation Fund is provided in the table below.

**Table 13: Risks and mitigation measures in line with the ESP of the Adaptation Fund**

| Principle               | Component 1 - A data and information management system for decision support and communications is developed and implemented to support development of long-term climate resilience in the Bakhtegan basin | Component 2 - The resilience of communities in the Bakhtegan Basin is strengthened through implementation of climate smart agriculture and alternative livelihoods  | Component 3 - The resilience of the natural environment of the Bakhtegan Basin is strengthened  | Component 4: Institutional Capacity at the local, regional and national level is strengthened for improved governance and decision making in relation to climate risk management and effective implementation of adaptation measures       | Overall potential risk in the project |
|-------------------------|---|---|---|--|---------------------------------------|
| Compliance with the Law | <u>Risk:</u> None<br><u>Evidence:</u> the project will comply with all regulation as stipulated by Iranian laws and the ESP.  | <u>Risk:</u> Yes<br><u>Probability:</u> Low<br><u>Evidence:</u> proposed activities will require further screening as part of implementation to ensure that any proposed agricultural activities or livelihoods are permissible in the selected locations and to confirm whether any EIAs &/or permits will be required before works commence.<br><u>Mitigation Measures:</u> the ESMF contains a 'negative list' to proclude activities that might have a 'high' risk. DoE is both the EA and a Responsible Party for delivery | <u>Risk:</u> None<br><u>Evidence:</u> project will build on existing laws and the Fars provincial structures and also the existing management plan for the Bakhtegan Wetland that has already been defined by the DoE of Fars province. | <u>Risk:</u> None<br><u>Evidence:</u> this component is focussed on providing information and capacity building to improve management and enhance compliance with laws and regulations. Of themselves, the activities do not trigger laws. | Low                                   |

|                                    |   |   |  |   |          |
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|                                    |   | of all Outputs. DoE is responsible for the implementation of the ESMF as well as compliance with relevant E&S laws.   |  |   |          |
| Access and equity                  | <p><u>Risk:</u> Yes<br/><u>Probability:</u> Low<br/><u>Evidence:</u> fundamental issue within communities in the Bakhtegan Basin is a lack of in-depth awareness and ownership of the seriousness of climate change impacts. Risk is that information access is restricted or difficult to access.<br/><u>Mitigation measures:</u> The software selected software is open architecture platform and has been used extensively throughout the world. Output is focussed on education and capacity building of all stakeholders, but in particular focusing on training of trainers and building awareness and capacity of participating households, farmers and communities. There will be a communications programme aimed at wide dissemination of results from Component 1 throughout the Bakhtegan Basin</p> | <p><u>Risk:</u> Yes<br/><u>Probability:</u> Moderate<br/><u>Evidence:</u> Output has a focus on behaviour changes. Although already some households engaged in alternative livelihood activities, the extension of these practices is limited by access to knowledge and skills, access to finance and appropriate market information and expertise. This affects the ability of vulnerable groups to access opportunities to take up alternate livelihoods. There are anecdotal reports of both success and failures with the Rural Women's Trust Fund.<br/><u>Mitigation Measures</u> Project activities will be designed to provide fair and equitable access to benefits in a manner that is inclusive. Activities will not exacerbate existing inequities, particularly with respect to marginalised or vulnerable groups.</p> | <p><u>Risk:</u> Yes<br/><u>Probability:</u> Moderate<br/><u>Evidence:</u> Communities are having to make use of areas outside those historically farmed or draw on diminishing water resources. The project seeks to rehabilitate/revegetate areas to increase the resilience of the Bakhtegan wetlands. Project activities could restrict availability and/or quality of, and access to, resources.<br/><u>Mitigation Measures:</u> implement ESMF, SAP and GAP.<br/>Ensure consultation is extensive and potentially impacted groups targeted. Assess land use and value of ecosystem services and reliance upon them. Alternative livelihoods to be identified.</p> | <p><u>Risk:</u> Yes<br/><u>Probability:</u> Low<br/><u>Evidence:</u> There is no existing governance structure specifically for the Bakhtegan Basin, so representation and access to capacity building may not be equitable.<br/><u>Mitigation measures:</u> Implement SEP and GAP. Project to be broad in its focus and provision of information. Ensure training available to those that need it irrespective of gender or social status. Train-the-trainer to allow knowledge to be passed on.</p> | Moderate |
| Marginalized and vulnerable groups | <p><u>Risk:</u> yes<br/><u>Probability:</u> Low<br/><u>Evidence:</u> Marginalised groups could potentially be excluded from fully participating in decisions that may affect them.<br/><u>Mitigation Measures:</u> Implement stakeholder plan to provide inclusive consultation. Implement GAP.</p>   | <p><u>Risk:</u> Yes<br/><u>Probability:</u> Low<br/><u>Evidence:</u> Exposure to opportunities reduces risk of exclusion. Farmers in Lake Urmia is evident as the farmers now lead the farmer to farmer exchanges on knowledge and information, so process has become community owned.<br/><u>Mitigation Measures:</u> Participatory approach (implement SEP and GAP). Sub-activities to be screened to identify risks to specific vulnerable groups and mitigate (ESMF). Target women entrepreneurs and women-headed</p>   | <p><u>Risk:</u> Yes<br/><u>Probability:</u> Moderate<br/><u>Evidence:</u> As noted above, project activities could restrict availability and/or quality of, and access to, resources – in particular, to marginalised individuals or groups.<br/><u>Mitigation Measures:</u> Project to adopt a participatory approach. Implement SEP, GAP and ESMF.</p>   | <p><u>Risk:</u> Yes<br/><u>Probability:</u> Moderate<br/><u>Evidence:</u> Marginalised are not always represented, particularly as part of institutions eg there is no existing governance structure specifically for the Bakhtegan Basin. Therefore may be overlooked in training and other capacity building activities.<br/><u>Mitigation Measures:</u> Output 4 will provide a comprehensive and inclusive approach to education and</p>  | Moderate |



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|                                       |  | households. Include a strong emphasis on supporting those in the most vulnerable communities, particularly in Zones 1 and 4.   |   | informing as many people as possible in the Bakhtegan Basin about the current situation, its causes, and the increasing role of climate change. Adopt multiple approaches and platforms, and will include education and capacity building of local communities, local authorities and provincial government. Implement SEP and GAP.  |          |
| Human Rights                          | <u>Risk:</u> None<br><u>Evidence:</u> Output will not impinge on any human rights.   | <u>Risk:</u> None<br><u>Evidence:</u> Project will not force farmers to change or take up alternative livelihoods. A GRM is available to resolve any grievances  | <u>Risk:</u> None<br><u>Evidence:</u> Project preparation and planned implementation process follows a human-rights based approach. In the face of climate change impacts and unsustainable land and water management and agricultural practices, the project supports the Iranian government's efforts to ensure access to sustainable livelihoods, water and productive land through integrated land and water resources management and restoration and conservation of critical ecosystems. A GRM is available to resolve any grievances | <u>Risk:</u> Yes<br><u>Probability:</u> Low<br><u>Evidence:</u> not equal representation or exclusion from decision making<br><u>Mitigation Measures:</u> project will adopt a broad participatory approach<br>A GRM is available to resolve any grievances  | Low      |
| Gender Equity and Women's Empowerment | <u>Risk:</u> Yes<br><u>Probability:</u> Low<br><u>Evidence:</u> Women may not be adequately represented in participation of planning and design of parameters.<br><u>Mitigation measures:</u> GAP has been developed. Project will organize consultative participatory workshops for rural women to provide feedback | <u>Risk:</u> Yes<br><u>Probability:</u> Moderate<br><u>Evidence:</u> The Project could potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits if not given adequate focus.<br><u>Mitigation Measures:</u> Project will not maintain or exacerbate gender inequality or the consequences of gender inequality. The GAP will be implemented and targets will be to give women and men equal opportunities. | <u>Risk:</u> Yes<br><u>Probability:</u> Moderate<br><u>Evidence:</u> The Project could potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities.<br><u>Mitigation Measures:</u> it is recognised that such work needs to involve active engagement with and participation of local communities. The GAP will be implemented.   | <u>Risk:</u> yes<br><u>Probability:</u> Moderate<br><u>Evidence:</u> Women may not be adequately represented with regards to decision-making or participation in the design/implementation of the project's activities. As a result, they may have limited access to resources, opportunities and benefits.<br><u>Mitigation Measures:</u> participatory approach, implement GAP, target women (including for train the trainer) | Moderate |
| Core Labour Rights                    | <u>Risk:</u> None<br><u>Evidence:</u> This output does not impinge upon labour rights.   | <u>Risk:</u> Yes<br><u>Probability:</u> Low<br><u>Evidence:</u> Farming and cottage industries can include child labour.<br><u>Mitigation Measures:</u> The alternative livelihoods will be implemented based on the experiences and best practices  | <u>Risk:</u> None<br><u>Evidence:</u> Relevant labour laws will apply to the project.   | <u>Risk:</u> None<br><u>Evidence:</u> This output does not impinge upon labour rights.   | Low      |

|                                      |   |  |   |   |          |
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|                                      |   | generated by the UNDP all around the country in past 30 years including GEF large scale projects and Iran Small Grants Programme. The project will promote employment through the support of micro-enterprises and promotion of alternate livelihoods. Improved agricultural practices should enable farmers to dedicate more time to productive farming. Relevant labour laws will apply to the project. The Project will also monitor carefully and enforce necessary measures so that there is no child labor involved in its activities.   |   |   |          |
| Indigenous Peoples                   | <u>Risk:</u> None<br><u>Evidence:</u> No indigenous people have been identified in the project area   | <u>Risk:</u> None<br><u>Evidence:</u> No indigenous people have been identified in the project area  | <u>Risk:</u> None<br><u>Evidence:</u> No indigenous people have been identified in the project area   | <u>Risk:</u> None<br><u>Evidence:</u> No indigenous people have been identified in the project area | Low      |
| Involuntary Resettlement             | <u>Risk:</u> none<br><u>Evidence:</u> This component involves data collation, modelling, creation of decision making tool and community engagement. No relocation activities involved | <u>Risk:</u> None<br><u>Evidence:</u> some villages, and some households in villages, are already self-organising in terms of adopting alternative livelihood practices. Project will be improving farmer technical knowledge and capacity (CS agriculture practices) and providing alternate livelihoods. This output does not involve resettlement of people.  | <u>Risk:</u> Yes<br><u>Probability:</u> Moderate<br><u>Evidence:</u> There has been encroachment into natural areas and continued use may be incompatible with rehabilitation/restoration works.<br><u>Mitigation Measures:</u> wide consultation, community buy-in to WLUP, identification and education as to ecological service values to communities.   | <u>Risk:</u> None<br><u>Evidence:</u> output requires no resettlement                               | Moderate |
| Protection of Natural Habitats       | <u>Risk:</u> none<br><u>Evidence:</u> Output is a data management/planning exercise. Will include mapping of natural areas.   | <u>Risk:</u> Yes<br><u>Probability:</u> Low<br><u>Evidence:</u> Historically farmers have expanded into natural habitats to try to obtain sufficient harvest in an effort to compensate for resource shortages. Farmers are already shifting to alternative crops and/or expanding areas of lower water demanding crops. The risk of natural habitats being impinged upon remains.<br><u>Mitigation Measures:</u> project will extend existing alternative livelihood practices within the Bakhtegan Basin aimed at diversifying household incomes away from dependence on land based, water dependent activities. | <u>Risk:</u> Yes<br><u>Probability:</u> Low<br><u>Evidence:</u> The Basin where the project is located is a sensitive area under duress, which is why the project has been formulated. Project activities aim to reduce existing (and future) pressures on the lake. So probability of activities occurring in sensitive area is high, but the degree of adverse impact is low. ESMF implementation will assist in avoiding impacts to sensitive areas.<br><u>Mitigation Measures:</u> implement ESMF | <u>Risk:</u> None<br><u>Evidence:</u> Output does not take place in natural habitats.               | Low      |
| Conservation of Biological Diversity | <u>Risk:</u> none<br><u>Evidence:</u> Modelling does not have any physical or social impacts per se,  | <u>Risk:</u> Yes<br><u>Probability:</u> Low<br><u>Evidence:</u> Ecological services utilised by communities. Some of these uses are incompatible   | <u>Risk:</u> Yes<br><u>Probability:</u> Low<br><u>Evidence:</u> there is currently encroachment into natural habitats, this results in reduced  | <u>Risk:</u> None<br><u>Evidence:</u> output does not directly impact biological systems            | Low      |

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|                | <p>however its use can have so models need to be appropriate, calibrated and tested</p>   | <p>with long-term survival of the ecosystems and maintenance of diversity. Alternate livelihoods to be developed.<br/> <u>Mitigation Measures:</u> The project will build on past efforts in the Kamjan Marshes, Bamou and Bakhtegan National Parks, Margoun waterfall and Tang-e-Bostank protected areas and both Basiran and KouhSiahArsanjan hunting prohibited area with a strong emphasis on participatory engagement between the DOE other related authorities and local communities. Such an approach is essential to recover and maintain ecosystems services in the basin that will enhance climate resilience not only of the communities relying on these services but to the natural environment itself. Mapping and development of integrated land use plans will increase protection of natural areas. Assessment of sub-activities, as per ESMF, will identify risks further and reject any that have high risks.</p> | <p>diversity and ultimately degradation of those habitats.<br/> <u>Mitigation Measures:</u> develop WLUPs via participatory process.<br/> Undertake revegetation using appropriate species.<br/> Project will benefit from experiences from two GEF projects implemented in Iran: Conservation of Iranian wetlands project and Conservation of Zagros mountains landscape. The common feature of the two project is the participatory platform provided for effective participation of stakeholders relating to both forest/rangeland and wetlands ecosystems.<br/> Assess sub-activities as per ESMF.</p> |   |     |
| Climate Change | <p><u>Risk:</u> None<br/> <u>Evidence:</u> Output does not include any activities that have potential to impact or be impacted by climate change.</p> | <p><u>Risk:</u> Yes<br/> <u>Probability:</u> Low<br/> <u>Evidence:</u> The project is aiming to increase resilience of communities to climate change, however, the basin is already significantly impacted by both anthropogenic and climate impacts.<br/> <u>Mitigation Measures:</u> introduction of climate smart practices. Shift of livelihoods to non-land/water based activities (note, these need to be assessed prior to implementation to ensure that maladaptation is avoided)</p>  | <p><u>Risk:</u> None<br/> <u>Evidence:</u> Project activities will not result in any significant or unjustified increase in GHG emissions or other drivers of climate change.<br/> The project's designed activities directly support implementation of ecosystem-based adaptation, including climate-smart agriculture and sustainable land management in agro-ecological landscapes. Such actions include</p>  | <p><u>Risk:</u> None<br/> <u>Evidence:</u> historically there has been a silo-based approach by government departments to climate change. This joint AF proposal demonstrates a change and a willingness to collaborate. Capacity building activities will not directly contribute to climate change.</p> | Low |

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| Pollution Prevention and Resource Efficiency | <p><u>Risk:</u> None<br/> <u>Evidence:</u> Existing systems will be utilised, including data collection, software and media. Their use will not result in pollution or excessive energy usage. Nor will consultation or information dissemination.</p> | <p><u>Risk:</u> Yes<br/> <u>Probability:</u> Moderate<br/> <u>Evidence:</u> Prolonged intensive use of groundwater has resulted in salinisation of wells. Alternative livelihoods could produce waste streams that currently do not exist in the region eg dairy waste, processing and packaging by-products, dyes and fabric waste etc.<br/> <u>Mitigation Measures:</u> Project activities will be designed and implemented in a way that meets applicable international standards for maximising energy efficiency and minimising material resource use, the production of wastes, and the release of pollutants. Project interventions are not expected to produce any significant amounts of waste or other pollutants. Any potential opportunities identified for improved resource efficiency and pollution reduction during the project development phase will be captured in the project design.<br/> Implement ESMF, including screening of sub-activities and undertaking EIAs if required.</p> | <p><u>Risk:</u> None<br/> <u>Evidence:</u> Output does not involve polluting activities or energy use. Water demands will be slight (some watering of seedlings may be required)</p>   | <p><u>Risk:</u> None<br/> <u>Evidence:</u> No polluting activities occur as a result of Output 4. However, improved capacity and collaboration should lead to better resource utilisation.</p> | Moderate |
| Public Health                                | <p><u>Risk:</u> None<br/> <u>Evidence:</u> no activities that have health risks associated with them proposed.</p>   | <p><u>Risk:</u> Yes<br/> <u>Probability:</u> Moderate<br/> <u>Evidence:</u> Livelihood activities include manual labour, machinery, transport, some chemicals etc. These have OHS risks associated with them.<br/> <u>Mitigation Measures:</u> Screen all sub-activities as per ESMF and undertake EIA if required. Implement good industry practices and OHS practices. Compliance with relevant laws</p>   | <p><u>Risk:</u> Yes<br/> <u>Probability:</u> Moderate<br/> <u>Evidence:</u> Small-scale soil conservation/reforestation activities proposed. These activities involve manual labour and potentially some machinery, so could pose some safety risks to workers implementing them.<br/> <u>Mitigation Measures:</u> Screen all sub-activities as per ESMF and undertake EIA if required. Implement good industry practices and OHS practices. Compliance with relevant laws</p> | <p><u>Risk:</u> None<br/> <u>Evidence:</u> Output focussed on training and capacity building - no activities that have health risks associated with them proposed.</p>                         | Moderate |
| Physical and Cultural Heritage               | <p><u>Risk:</u> None<br/> <u>Evidence:</u> Output is a data management/planning exercise.</p>  | <p><u>Risk:</u> Yes<br/> <u>Probability:</u> Low<br/> <u>Evidence:</u> Farming already occurring and CS techniques would be applied to existing areas of farming. Alternative livelihoods generally small scale footprint and non-site specific, so can avoid any PCH.<br/> <u>Mitigation Measures:</u> Project activities will be designed so as to avoid the damage to, or removal of, any physical cultural resources, cultural</p>   | <p><u>Risk:</u> Low<br/> <u>Evidence:</u> Project seeks to restore/rehabilitate areas. Risk primarily associated with access and any minor earthworks that may be required.<br/> <u>Mitigation Measures:</u> Consult with local communities re: potential for PCH. Screen all sub-activities. Design to avoid impacts to any PCH. Develop a Chance Finds procedure.</p>  | <p><u>Risk:</u> None<br/> <u>Evidence:</u> Output has no activities that could impact on PCH</p>   | Low      |

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|                            |  | sites, and sites with unique natural values recognized as such at the community, national or international level.   |  |  |          |
| Land and Soil Conservation | <u>Risk:</u> None<br><u>Evidence:</u> Output does not include any physical activities that could impact land and soil conservation | <u>Risk:</u> Yes<br><u>Probability:</u> Moderate<br><u>Evidence:</u> Output will continue to promote farming (physical use of land). There is on-going encroachment into rangeland and forested areas for fruit production and other activities.<br><u>Mitigation Measures:</u> introduction of WLUPs. Increase CS agriculture practices (including soil and water conservation techniques) and reduce pressure through diversity of livelihoods.<br>Activities that have a physical impact on land should be screened and subjected to the ESMF. | <u>Risk:</u> Yes<br><u>Probability:</u> Low<br><u>Evidence:</u> Output involves activities that include the physical disturbance of soils (reforestation and water conservation structures). Without proper design and implementation, such activities can result in erosion and sedimentation.<br><u>Mitigation Measures:</u> rehabilitation and restoration of forests and rangelands, improved protection for reserves and National Parks (in particular wetlands) it is expected that the project will support soil conservation. Implementation of ESMF will minimise impacts.<br>The adaptive water management activities may involve construction of embankments and check dams; contouring, strip cropping, that will imply some earth works. To avoid any adverse effects on soil conditions, the project will ensure compliance with environmental impact assessment procedures of DOE. In addition, the project will follow technical guidance developed by previous projects in the Bakhtegan Basin. | <u>Risk:</u> None<br><u>Evidence:</u> Output 4 is focussed on training, capacity building, informing people and informed decision making. These activities have no direct impact on land and soil consultation. However, improved decision making can have considerable positive impact. | Moderate |

The above risk assessment considers the known aspects of the project activities, some activities are still not fully defined and therefore considered undefined sub-projects (USPs) by AF. To ensure continued compliance with the AF ESP, the USPs will require further assessment once full details are known. The ESMF identifies the process and timing of re-screening of USPs.

### PART III: IMPLEMENTATION ARRANGEMENTS

#### A. Adequacy of Project Management Arrangements

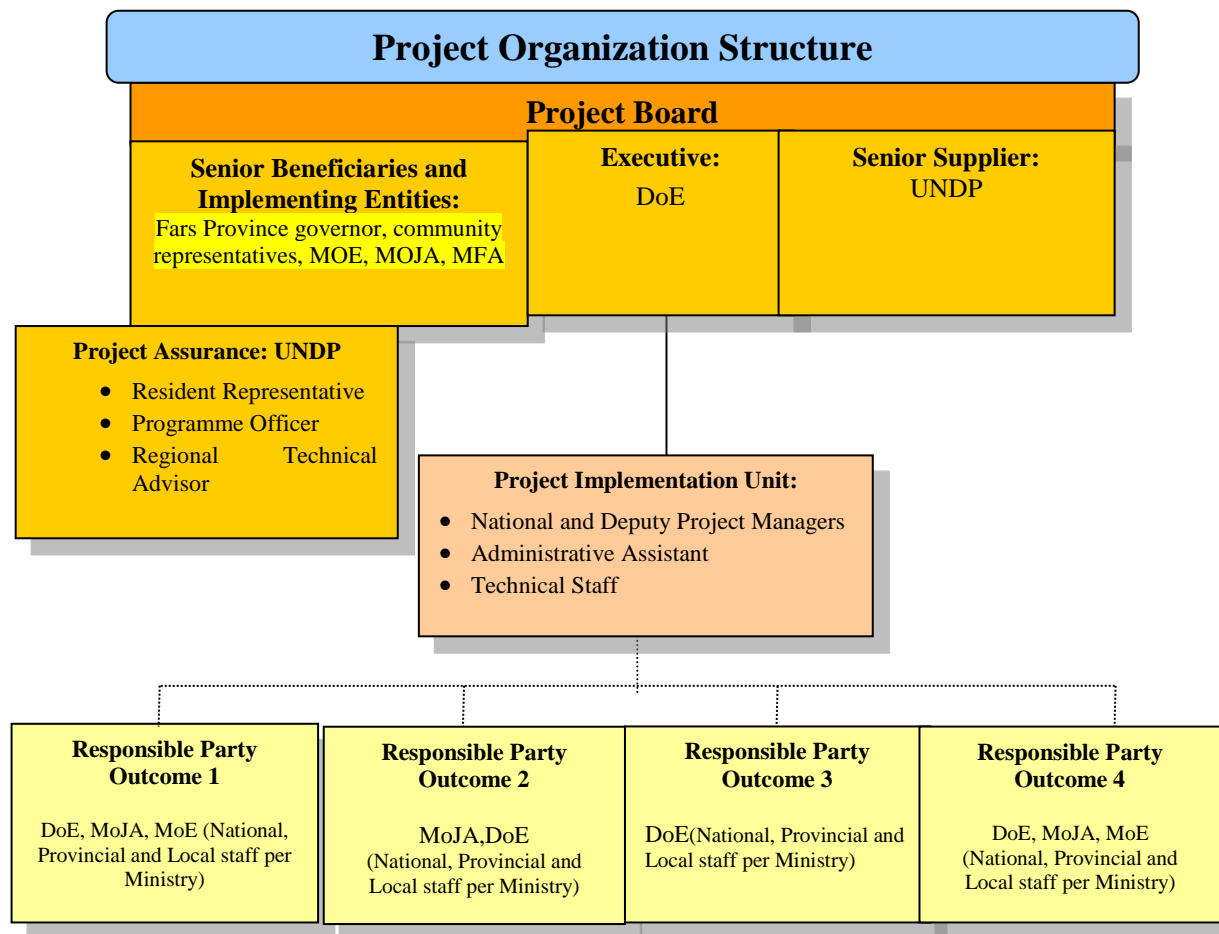
294. The Government of the Islamic Republic of Iran will execute the project with the support of the UNDP under the National Implementation Modality (NIM). The Department of the Environment (DOE) will be the Executing Entity responsible for ensuring that the objectives and components of the project are delivered, and that resources are allocated and disbursed in an efficient and effective manner. The DOE will have the technical and administrative responsibility for applying AF inputs in order to reach the expected Outcomes/Outputs as defined in this project document. The DOE will be responsible for the timely delivery of project inputs and outputs, and in this context, for the coordination of all other responsible parties, including other government agencies, regional and local government authorities.
295. As a Multilateral Implementing Entity, UNDP is responsible for providing a number of key general management and specialized technical support services. These services are provided through UNDP's global network of country, regional and headquarters offices and units and include assistance in: programme formulation and appraisal; determination of execution modality and local capacity assessment; briefing and de-briefing of programme staff and consultants; general oversight and monitoring, including participation in programme reviews; receipt, allocation and reporting to the donor of financial resources; thematic and technical backstopping; provision of systems, IT infrastructure, branding, and knowledge transfer; research and development; participation in policy negotiations; policy advisory services; programme identification and development; identifying, accessing, combining and sequencing financing; troubleshooting; identification and consolidation of learning; and training and capacity building. In this context, UNDP will provide support to the Project

Coordinator of the programme to maximize its reach and impact as well as the quality of its products. Moreover, it will be responsible for administering resources in accordance with the specific objectives defined in the Programme Document, and in keeping with its key principles of transparency, competitiveness, efficiency and economy. The financial management and accountability for the resources allocated, as well as other activities related to the execution of Programme activities, will be undertaken under the supervision of the UNDP Country Office, UNDP Regional Hub and UNDP HQ, in line with the 3-tiered quality assurance function of UNDP. UNDP will undertake the internal monitoring of the Programme and of evaluation activities, taking into account from the outset local capacities for administering the programme, capacity limitations and requirements, as well as the effectiveness and efficiency of communications between ministries and other institutions that are relevant to the programme<sup>55</sup>.

296. Implementation of the project will be carried out under the general guidance of a **Project Board (or Project Steering Committee)** that is responsible for making management decisions for the project in particular when guidance is required by the Project Manager. The Project Board plays a critical role in project monitoring and evaluations by quality assuring these processes and products, and using evaluations for performance improvement, accountability and learning. It ensures that required resources are committed and arbitrates on any conflicts within the project or negotiates a solution to any problems with external bodies. In addition, it approves the appointment and responsibilities of the Project Manager and any delegation of its Project Assurance responsibilities. Based on the approved Annual WorkPlan, the Project Board can also consider and approve the quarterly plans (if applicable) and also approve any essential deviations from the original plans based on AF budget guidance.
297. In order to ensure UNDP's ultimate accountability for the project results, Project Board decisions will be made in accordance to standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. In case consensus cannot be reached within the Board, the final decision shall rest with UNDP.

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<sup>55</sup> As outlined in UNDP's application to the Adaptation Fund Board for accreditation as a Multilateral Implementing Entity, UNDP employs a number of programme execution modalities determined on country demand, the specificities of an intervention, and country context. Under the national execution modality proposed to be used for this programme, UNDP selects a government entity as the Executing Entity based on relevant capacity assessments performed by UNDP. Please note that UNDP uses slightly different terminology to that used by the operational policies and guidelines of the Adaptation Fund: In UNDP terminology, the "executing entity" is referred to as the "Implementing Partner" in countries which have adopted harmonized operational modalities and the "Executing Entity" in countries which have not yet done so. The Executing Entity is responsible and accountable for budgets and budget revisions; disbursement and administration of funds; recruitment of national and international consultants and programme personnel; financial and progress reporting; and monitoring and evaluation. As stated above, however, UNDP retains ultimate accountability for the effective implementation of the programme.



298. Potential members of the Project Board are reviewed and recommended for approval during the PAC meeting. Representatives of other stakeholders can be included in the Board as appropriate. The Project Board will be composed of designated senior-level (national and provincial) representatives from Ministry of Energy (MOE), Ministry of Agriculture-Jahad (MOJA), Ministry of Foreign Affairs (MFA), Department of Environment (DOE) and Fars Province governor (representative) and community representative(s). Other related authorities could be added to this committee with confirmation of other members or being invited to the meeting accordingly. The establishment of a Bakhtegan Basin Council under existing Fars Province structures will provide long-term sustainability. The council will be comprised by committees from each target zone (Zone 1 to 4) that will form a “Provincial Working Group for Climate Resilience in Bakhtegan Basin” headed and housed at Fars Province Governor. The council will provide recommendations to the Project Board related to implementation of the outputs from Component 2, 3 and 4. It’s expected that after project closure the Council will take over the Project Board’s functions to the extent possible with financial support from Fars Province Governor. A complete list of PB members and their designated alternates will be provided in the inception workshop report. The project board will be the highest governance body for the project planning and result while the council is a governmental body which will lead adaptation activities and project in the basin and will manage all sectoral planning and budgeting according to new approached to adapt with climate change effects. By having the Governor in the project board, a strong link will be established between the board and the council, as the latter is chaired by Governor at provincial level. Most part of project activities will be implemented under the responsibility of MOE, MOJA and DoE on soil and water management along with environment protection and they have a strong role in supporting project implementation as board members. Provincial Governor office as another board member has the main coordination role of government authorities, ensure smooth implementation of project activities and allocation of budget in a long-term period. Community representatives also have a crucial role in project board both being involved in decision making processes and also further implementation of project activities at local level. While all main agencies (MOJA, DOE, MOE, MFA and Governor offices) are members of the steering committee and have a role in high level decision making under the project, each has a responsibility regarding specific sections of project. The Ministry of Agriculture-Jahad (MOJA) has the main role of implementing activities under output 2.1 which relates to promotion of climate smart agriculture and will be the lead agency to implement project activities in coordination with its provincial and local offices. MOJA also has an important role in output 2.2 as most of alternative livelihoods

will be in relation to their area of authority. Ministry of Energy (MoE) will be the main responsible authority for activities under output 1.1, 1.2 and 1.4 and also involved in output 2.1 in the sections related to water savings and improved water management at farm/village level. Forest, Rangeland and Watershed Organization (FRWO) under MoJA is the main responsible authority for output 3.1. DoE as the main executing entity, and chairperson to the board, has the overall coordination role among different agencies while monitoring project activities in all project outputs and project central office will be based in DoE. Activities under output 3.2 are considered as part of adaptation and rehabilitation activities of DoE for Bakhtegan protected areas and it will be done under their responsibility. As MFA is AF focal point in Iran and this project will be implemented through UNDP as an international agency, MFA has to be present in steering committee meetings and will be a key partner in monitoring project results, validate reports for further submission.

299. **Project Manager:** The Project Manager has the authority to run the project on a day-to-day basis on behalf of the Implementing Partner within the constraints laid down by the Board. The Project Manager's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost. The Project Manager or Coordinator will prepare a Work Plan to incorporate the activities and results of the project to be delivered. The Plan will define the timeframe for implementation of each activity and the parties responsible for their implementation. The First Work Plan will be finalized and incorporated into the Project Document within 30 days of its signature.

300. **Project Support:** The Project Support role provides project administration, management and technical support to the Project Manager as required by the needs of the individual project or Project Manager.

301. **Project assurance:** UNDP Iran will support project implementation by assisting in monitoring project budgets and expenditures, recruiting and contracting project personnel and consultant services, subcontracting and procuring equipment. UNDP Iran will also monitor the project implementation and achievement of the project outcomes/outputs and ensure the efficient use of donor funds through an assigned UNDP Programme Officer to support the Project Board to objectively and independently oversee and monitor the project.

302. **UNDP Direct Project Services as requested by Government:** Upon request from the Executing Entity, UNDP can provide Direct Project Services (DPS) according to its specific policies and convenience. In this case, the Executing Entity will sign a Letter of Agreement specifying the services to be provided and their costs. These are services that cannot be handled by the Executing Entity's existing mechanisms (especially timely and efficient procurement of goods or services) and are to be provided by the UNDP Country Offices to ensure the successful delivery of programmes, and mainly include:

- Payments, disbursements and other financial transactions
- Recruitment of staff, project personnel, and consultants
- Procurement of services and equipment, including disposal
- Organization of training activities, conferences, and workshops, including fellowships
- Travel authorization, visa requests, ticketing, and travel arrangements
- Shipment, custom clearance, vehicle registration, and accreditation

From a practical point of view UNDP Iran provides a neutral platform for implementation of multi-stakeholder projects. UNDP role in previous experiences to support services and provide an implementation arrangement that is inclusive and ensures participation of all stakeholders and helped government to practice new approaches in an enabling environment. Based on this, the UNDP country office may provide support services for assistance with reporting requirements and direct payment. In providing such support services, the UNDP country office shall ensure that the capacity of the Government-designated institution is strengthened to carry out such activities directly. The costs of these services will be part of the project management costs of the executing entity identified in the project budget. UNDP and the government of Iran recognize that these services are not mandatory and will only be provided in full compliance with the UNDP recovery of direct costs policies. The DPS will be charged annually using the UNDP Universal Price List.

**B. Table 14: Measures for financial and project risk management**

| No. | Type          | Risk Description   | Level  | Mitigation strategy   |
|-----|---------------|--|--------|---|
| 1   | Institutional | Decision-making processes at the national and local levels are slow. | Low    | -Project Implementation Unit will operate directly in the project area to promote decision-makers' involvement in the project and keep authorities and decision-makers informed about the development and achievements of the project.<br>- Permanent political and technical support will be provided to the project and its stakeholders by the agencies of the Government that are involved in the project (MoE, DoE, MoJA), as well as coordination of actions with the project team and regional and local stakeholders. |
| 2   | Institutional | Coordinated efforts with DoE, MoE and MoJA in                        | Medium | -Project Board (Steering Committee) will be structured to have representatives from national ministries and their counterparts from Fars Province to foster coordination.   |



|   |             |   |        |   |
|---|-------------|---|--------|---|
|   |             | Tehran and in Fars Province might create delays during project implementations.   |        | -Foster participation of national and provincial policy and decision-makers in workshops during the project preparation phase and consultation through various meetings and communications about the project's strategy, components, and expected outcomes.<br>-Active participation of national and provincial policy and decision-makers in key moments during the life of the project (approval, inception, implementation, and mid-term and final evaluations).   |
| 3 | Operational | There might be resistance from some stakeholders in adopting the proposed measures in target area.                              | Low    | A Bakhtegan Basin Council will be established where community members, community leaders, civil authorities and other stakeholders will discuss locally important issues related to climate change and adaptation and interventions to be implemented in the Basin increasing the ownership and acceptance of interventions.  |
| 4 | Financial   | Delays in executing funding at the provincial level.  | Low    | -Project activities have been designed and paced to ensure a reasonable chance of completion after the timeframe of the project.<br>-UNDP and MoE/MoJA/DoE will provide permanent support for the mobilization of funds, contracting, monitoring, and financial reporting.<br>-UNDP will provide specific technical assistance and management support to each agency based on the results of such assessments.  |
| 5 | Financial   | Gov of Iran is not able to leverage sufficient financial resources for the sustainability of project actions.                   | Medium | -The project will strengthen the institutional basis for accessing public and private sources of climate change finance in the future to attract additional sources of funding.<br>-UNDP will provide support to the Gol in securing and mobilizing climate change-related financing.   |
| 6 | Political   | Continued anthropogenic degradation in the Bakhtegan Basin, as a result of deforestation and conventional irrigation practices. | Medium | -Project activities will be aligned to national and provincial initiatives currently addressing deforestation and water-intensive irrigation practices.<br>-Project coordinator will work closely with provincial staff from MoE, DoE and MoJA to take advantage of environmental and land use instruments in place to assure that the objectives sought in the AF proposal are not undermined.<br>-Specific activities were designed to directly and indirectly address anthropogenic degradation while generating food security and generation of income in target communities. |
| 7 | Political   | Pressures and tensions in the surroundings of national parks  | Medium | -Project activities will be aligned to restore degraded lands in Protected Areas and outside and setting up a monitoring system with DoE.<br>-Project Coordinator will work closely with provincial staff from DoE to monitor pressures on natural parks to make sure that the AF project objectives are met.   |
| 8 | Political   | Social upheaval related to water management   | Low    | -Project activities are aim at increase awareness about the impact of drought in the Bakhtegan basin as an interconnected system and the need to reduce inefficient use of water.<br>-Project will set up a Bakhtegan Basin Council for all relevant stakeholders to seat at the table and discuss jointly efficient water management initiatives.  |
| 9 | Political   | Illegal wells digging and overexploitation of legal wells   | Medium | -Project activities are aim at increase awareness about the impact of drought in the Bakhtegan basin as an interconnected system and the need to reduce inefficient use of water.<br>- Project coordinator will work closely with provincial staff from MoE, DoE and MoJA to develop strategies to better enforce legal framework around illegal wells and over exploitation of legal wells.  |

A comprehensive risk management strategy will be a core component of project management activities. This is in line with UNDP's stringent risk management approach which is corporate policy. The respective UNDP CO provides support to the

project team and executing agency for constant and consistent risk monitoring, and the results are tracked and reported in UNDP's internal risk monitoring system. Risks will be entered into the UNDP's Atlas (project management system) and will be systematically monitored as part of the M&E process by UNDP staff carrying out their oversight related tasks. The results are also reported in the yearly evaluation undertaken for each project.

**C. Measures for environmental and social risk management, in line with the Environmental and Social Policy and Gender Policy of the Adaptation Fund.**

303. As noted in previous sections in this document, the project falls under the B category as assessed by 15 criteria and principles established by the Adaptation Fund. Risk mitigation and management measures are described under Section J, and in the Environmental and Social Management Framework attached to this proposal.
304. The ESMF outlines monitoring arrangements for implementation of environmental and social risk management, as well as procedures for addressing stakeholder concerns regarding the project's social and environmental performance.
305. DoE will be responsible for the implementation of the ESMF through the PMU. Environmental and social risks will be assessed for each sub-activity by the DoE and UNDP prior to any works being undertaken. The EMSF identifies potential risks to the environment and social matters from the projects and outlines strategies for managing those risks and minimising undesirable environmental and social impacts. Further, the EMSF provides a Grievance Redress Mechanism for those that may be impacted by the projects that do not consider their views have been heard.
306. The PMU will ensure timely remedial actions are taken where necessary.

**Administration of the ESMF**

307. The DoE will be the implementing agency and will be responsible for the implementation and compliance with the ESMF via the collaborating partners and contractors. The ESMF will be part of any tender documentation. The DoE will be responsible for the revision or updates of the ESMF. Site supervisors will be responsible for any daily/weekly environmental inspections at implementation sites. The DoE will cross check these inspections by undertaking monthly audits. The DoE or its delegate will maintain and keep all administrative and environmental records which would include a log of complaints together with records of any measures taken to mitigate the cause of the complaints.

**Environmental procedures, site and activity-specific work plans/instructions**

308. Environmental procedures provide a written method describing how the management objectives for a particular environmental element are to be obtained. They contain the necessary detail to be site or activity-specific and are required to be followed for all construction works. Site and activity-specific work plans and instructions are to be issued and will follow the previously successful work undertaking similar projects.

**Environmental incident reporting**

309. Any incidents, including non-conformances to the procedures of the EMSF are to be recorded using an Incident Record and the details entered into a register. For any incident that causes or has the potential to cause material or serious environmental harm, the site supervisor shall notify the Project Manager as soon as possible. The delivery organisation/contractor must cease work until remediation has been completed as per the approval of DoE.

**Daily and weekly environmental inspection checklists**

310. A daily environmental checklist is to be completed at each work site by the relevant field officer and maintained within a register. A weekly environmental checklist is to be completed and will include reference to any issues identified in the daily checklists completed by the site supervisor. The completed checklist is to be forwarded to DoE for review and follow-up if any issues are identified.

**Corrective Actions**

311. Any non-conformances to the EMSF are to be noted in weekly environmental inspections and logged into the register. Depending on the severity of the non-conformance, the field officer may specify a corrective action on the weekly site inspection report. The progress of all corrective actions will be tracked using the register. Any non-conformances and the issue of corrective actions are to be advised to DoE.

**Procedures to Address Environmental and Social Impacts and Risks**

312. The ESMF was developed to ensure due diligence, to avoid causing harm or exacerbating risks or impacts. This section describes the procedures in place to determine: (i) the categorization of the project activity based on potential adverse environmental and social impacts of project activities, and (ii) how potential impacts will be addressed through the selection of appropriate mitigation and management plans.

313. The broad physical investments are known, however, there are implementation details and final detailed designs that will be identified during project implementation. To ensure that detailed design and implementation plans do not change risk ratings and to better define the nature and scale of potential impacts and the mitigation measures required in the subsequent ESMPs, secondary screening should be undertaken (this can be done at the appropriate level eg task by task or by atoll or by sub-activity).

**Environmental Safeguard Screening Procedures**

314. This section sets out a process for screening sub-activities and associated elements during project implementation. Any sub-activity and associated elements developed during the Project should be evaluated according to the screening process described below to determine the potential risk of associated environmental and social impacts, and associated mitigation options. The process consists of the following steps:

Step1: at the time of preparing Terms of Reference for each sub-activity or associated element (TA or services delivery component), each sub-activity or associated element shall be screened against the 15 AF ESPs and categorized, with a decision made to proceed or modify the proposal and identify relevant safeguards instruments.

Step 2: Preparation of required safeguards instruments including stakeholder consultations as necessary

Step 3: Review of prepared safeguards instruments as per Iran and AF safeguards policies; additional stakeholder consultations as deemed necessary.

Step 4: Submit prepared safeguards instruments to UNDP. Disclosure of approved instruments locally and on UNDP's website.

Step 5: Implementation – monitoring, reporting and remedial measures as per approved ESMP etc. Ongoing consultations and community engagement.

**D. Monitoring and Evaluation arrangements in compliance with the ESP and the Gender Policy of the Adaptation Fund, including budgeted M&E plan.**

315. The project will be monitored through the following M&E activities. The M&E budget is provided in the table below.

**Project start:**

316. A Project Inception Workshop will be held within the first 2 months of project start with those with assigned roles in the project organization structure, UNDP country office and where appropriate/feasible regional technical policy and programme advisors as well as other stakeholders. The Inception Workshop is crucial to building ownership for the project results and to plan the first year annual work plan.

317. The Inception Workshop should address a number of key issues including:

- a) Assist all partners to fully understand and take ownership of the project. Detail the roles, support services and complementary responsibilities of UNDP CO and RCU staff vis à vis the project team. Discuss the roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms. The Terms of Reference for project staff will be discussed again as needed.
- b) Based on the project results framework, finalize the first annual work plan. Review and agree on the indicators, targets and their means of verification, and recheck assumptions and risks.
- c) Provide a detailed overview of reporting, monitoring and evaluation (M&E) requirements. The Monitoring and Evaluation work plan and budget should be agreed and scheduled.
- d) Discuss financial reporting procedures and obligations, and arrangements for annual audit.
- e) Plan and schedule Project Board meetings. Roles and responsibilities of all project organisation structures should be clarified and meetings planned. The first Project Board meeting should be held within the first 12 months following the inception workshop.

An Inception Workshop report is a key reference document and must be prepared and shared with participants to formalize various agreements and plans decided during the meeting.

**Quarterly:**

318. The following will be undertaken on a quarterly basis:

- Progress made shall be monitored in the UNDP Enhanced Results Based Management Platform.
- Based on the initial risk analysis submitted, the risk log shall be regularly updated in ATLAS. Risks become critical when the impact and probability are high. Note that for UNDP AF projects, all financial risks associated with financial instruments such as revolving funds, microfinance schemes, or capitalization of ESCOs are automatically classified as critical on the basis of their innovative nature (high impact and uncertainty due to no previous experience justifies classification as critical).
- Based on the information recorded in Atlas, a Project Progress Reports (PPR) can be generated in the Executive Snapshot.
- Other ATLAS logs can be used to monitor issues, lessons learned etc. The use of these functions is a key indicator in the UNDP Executive Balanced Scorecard.

**Annually:**

319. The project is required to submit a Project Performance Report (PPR) to the donor on an annual basis, one year after the start of project implementation (date of inception workshop) and the last such report should be submitted six months after project completion

The PPR completed template should be submitted to the secretariat in English and that all financial figures provided in the template should be in US dollars (USD). There are 8 sections in the template, as follows:

1. Overview
2. Financial information
3. Procurement data
4. Risk assessment

5. Ratings
6. Project indicators
7. Lessons learned
8. Adaptation Fund results tracker

**Periodic Monitoring through site visits:**

320. UNDP CO and the UNDP RCU will conduct visits to project sites based on the agreed schedule in the project's Inception Report/Annual Work Plan to assess first hand project progress. Other members of the Project Board may also join these visits. A Field Visit Report/BTOR will be prepared by the CO and UNDP RCU and will be circulated no later than one month after the visit to the project team and Project Board members.

**Mid-term of project cycle**

321. The project will undergo an independent Mid-Term Evaluation at the mid-point of project implementation. The Mid-Term Evaluation will determine progress being made toward the achievement of outcomes and will identify course correction if needed. It will focus on the effectiveness, efficiency and timeliness of project implementation; it will highlight issues requiring decisions and actions; and will present initial lessons learned about project design, implementation and management. Findings of this review will be incorporated as recommendations for enhanced implementation during the final half of the project's term. The organization, terms of reference and timing of the mid-term evaluation will be decided after consultation between the parties to the project document. The Terms of Reference for this Mid-term evaluation will be prepared by the UNDP CO based on guidance from the Regional Coordinating Unit and UNDP-EEG. The management response and the evaluation will be uploaded to UNDP corporate systems, in particular the [UNDP Evaluation Office Evaluation Resource Center \(ERC\)](#).

**End of Project:**

322. An independent Final Terminal Evaluation will take place three months prior to the final Project Board meeting and will be undertaken in accordance with UNDP and AF guidelines. The final evaluation will focus on the delivery of the project's results as initially planned (and as corrected after the mid-term evaluation, if any such correction took place). The final evaluation will look at impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental benefits/goals. The Terms of Reference for this evaluation will be prepared by the UNDP CO based on guidance from the Regional Coordinating Unit and UNDP-EEG.

323. The Final Terminal Evaluation should also provide recommendations for follow-up activities and requires a management response which should be uploaded to PIMS and to the [UNDP Evaluation Office Evaluation Resource Center \(ERC\)](#).

324. During the last three months, the project team will prepare the Project Final Report. This comprehensive report will summarize the results achieved (objectives, outcomes, outputs), lessons learned, problems met and areas where results may not have been achieved. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project's results.

**Audit**

325. The audit would be performed under the UNDP financial regulations and rules applicable to audit policies on UNDP projects.

**Learning and knowledge sharing:**

326. Results from the project will be disseminated within and beyond the project intervention zone through existing information sharing networks and forums.

327. 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 that might be beneficial in the design and implementation of similar future projects.

328. Finally, there will be a two-way flow of information between this project and other projects of a similar focus.

**Communications and visibility requirements:**

329. The AF logo should appear on all relevant publications of the Project, included within other logos, project equipment and other acquisitions with AF funds. Any citation in publications regarding projects funded by the AF should give recognition to the AF. The logos of the implementing agencies and enforcement agencies will also appear on all publications. Full compliance is required with UNDP's Branding Guidelines. These can be accessed at <http://intra.undp.org/coa/branding.shtml>, and specific guidelines on UNDP logo use can be accessed at: <http://intra.undp.org/branding/useOfLogo.html>.

330. Where other agencies and project partners have provided support through co-financing, their branding policies and requirements should be similarly applied.

**Table 15: M&E workplan and budget**

| Type of M&E activity   | Responsible Parties  | Budget US\$<br><i>Excluding project team staff time</i>             | Time frame   | Source of fund |
|--|--|---|--|----------------|
| Inception Workshop and Report  | <ul style="list-style-type: none"> <li>▪ Project Manager</li> <li>▪ UNDP CO, UNDP CCA</li> </ul>   | Indicative cost: 10,000   | Within first two months of project start up  | EE cost        |
| Measurement of Means of Verification of project results.   | <ul style="list-style-type: none"> <li>▪ UNDP CCA RTA/Project Manager will oversee the hiring of specific studies and institutions, and delegate responsibilities to relevant team members.</li> </ul> | To be finalized in Inception Phase and Workshop.                    | Start, mid and end of project (during evaluation cycle) and annually when required.            | IE fee/EE cost |
| Measurement of Means of Verification for Project Progress on <i>output and implementation</i>            | <ul style="list-style-type: none"> <li>▪ Oversight by Project Manager</li> <li>▪ Project team</li> </ul>   | To be determined as part of the Annual Work Plan's preparation.     | Annually prior to the annual report and in accordance with the definition of annual work plans | EE cost        |
| Annual reports (PPR)   | <ul style="list-style-type: none"> <li>▪ Project manager and team</li> <li>▪ UNDP CO</li> <li>▪ UNDP RTA</li> <li>▪ UNDP EEG</li> </ul>  | None  | Annually, after inception workshop   | EE cost/IE fee |
| Periodic status/ progress reports  | <ul style="list-style-type: none"> <li>▪ Project manager and team</li> </ul>   | None  | Quarterly  | EE cost/IE fee |
| Final External Evaluation (cost for Internationals and local consultants) including Project Final report | <ul style="list-style-type: none"> <li>▪ Project manager and team,</li> <li>▪ UNDP CO</li> <li>▪ UNDP RCU</li> <li>▪ External Consultants (i.e. evaluation team)</li> </ul>                            | Indicative cost: 60,000   | At least three months before the end of project implementation                                 | EE cost        |
| Audit  | <ul style="list-style-type: none"> <li>▪ UNDP CO</li> <li>▪ Project manager and team</li> </ul>  | Indicative cost per year: 3,000 (a total of \$15,000 for project)   | Yearly   | EE cost        |
| Visits to field sites  | <ul style="list-style-type: none"> <li>▪ UNDP CO</li> <li>▪ UNDP RCU (as appropriate)</li> <li>▪ Government representatives</li> </ul>   | For AF supported projects, paid from IA fees and operational budget | Yearly   | IE fee/EE cost |
| <b>TOTAL indicative COST</b><br>Excluding project team staff time and UNDP staff and travel expenses     |  | US\$ 85,000<br>(+/- 5% of total budget)                             |  |                |

**E. Strategic Result Framework**

|  | <b>Indicators</b>   | <b>Baseline</b>   | <b>End of project targets</b>   | <b>Means of verification</b>  | <b>Risks and assumptions</b>   |
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| <p><b>Objective of the Project</b></p> <p>To increase the resilience of communities and the natural environment of the Bakhtegan basin to climate variability and change through integrated watershed management</p> | <p>Number of villages (disaggregated by households) in the Bakhtegan Basin with increased resilience to climate variability and change.</p> <p>Number of direct and indirect beneficiaries (disaggregated by women and youth) [Adaptation Core Indicator]</p> | <p>The Bakhtegan Basin is within one of the most drought prone areas of Iran. The entire population of 854,093 people is increasingly exposed to the impacts of a 10-year extended dry period. Water resources are becoming increasingly limited and social and environmental costs are already evident.</p> <p>Lake Bakhtegan is almost dry and it affected daily livelihood of local communities living around the basin.</p> | <p>Direct project beneficiaries at village level:</p> <ul style="list-style-type: none"> <li>- 15 villages adopting climate smart agriculture practices</li> <li>- 9 villages adopting alternative livelihoods</li> <li>- 6 villages with ecosystem conservation in forest and rangeland areas</li> <li>- 7 national park, protected areas and hunting prohibited areas with rehabilitation work</li> </ul> <p>Direct beneficiaries:<br/>4,425 farmers and gardeners (1,325 women) from the 15 target villages will be practicing climate smart agriculture.</p> <p>900 women will benefit from alternative livelihood practices</p> <p>Indirect beneficiaries:<br/>The entire population of Bakhtegan basin 854,093 people (384,341 women)</p> <p>At least 2700 youth will be benefitted from project activities by being involved in local technical cooperatives, smart agriculture and alternative livelihood projects.</p> <p>Indirect benefits to the entire population of the Bakhtegan Basin through communications and awareness raising</p> | <ul style="list-style-type: none"> <li>- Field reports</li> <li>- Climate-related databases</li> <li>- Project reports: annual reports; mid-term and final evaluations</li> </ul> | <p>The project is focused on addressing the impacts of drought and a decade of drier than average conditions, not the underlying issues associated with the mismanagement of water resources since the 1960s. Decision makers at all levels in the Bakhtegan Basin are willing to work together to ensure that climate change considerations are fully integrated into all planning decisions. Participating communities are willing to adopt and sustain the climate change adaptation measures introduced to them.</p> |
| <p><b>Outcome 1</b></p> <p><b>A data and information</b></p>   | <p>1.1 Number of climate change scenarios developed to assess</p>   | <p>Published analyses of climate change in Bakhtegan Basin but no coherent study for the whole</p>  | <p>At least 3 Climate change scenarios for the Bakhtegan basin will be developed based</p>  | <p>A published report and generated results</p>   | <p>Climate change impact and vulnerability</p>   |

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| <b>management system for decision support and communications is developed and implemented to support development of long-term climate resilience in the Bakhtegan basin</b> | climate risks and climate change impacts in target area.  | basin using up to date climate change scenarios   | on the tailored SimCLIM software.<br>(Scenarios will be developed: 1) projection under the optimistic climate change scenario, i.e. RCP 2.6; 2) projection under the pessimistic climate change scenario, RCP 8.5; 3) projection under a mid-range scenario.) | integrated into the GIS and the Information Portal System (TIPS) (Output 1.4).  | assessments are completely in a timely manner to ensure that results are fully accounted for in all other project activities<br>Communities fully participate in the community based monitoring programme<br>The GIS and TIPS are used by stakeholders to support enhanced governance and decision making that is informed by climate change considerations. |
|   | 1.2 Number of frameworks developed to support decision making that include climate change, land and water resources in the Bakhtegan Basin.         | A comprehensive study on water and land resources was completed in 2007, with key results summarized in Annex 1<br>Researchers at the Water Resources Engineering Department, Tarbiat Modares University, Tehran have recently completed a baseline (current conditions) analysis for the Bakhtegan Basin using a modified version of the Soil and Water Assessment Tool (SWAT) | An integrated WLUP framework for the Bakhtegan Basin developed and used in decision making processes.   | A published report and generated results integrated into the GIS and TIPS (Output 1.4)  | Effective information for improved decision making relating to land use and water resources management is being used.  |
|   | 1.3 Number of households and farmers regularly participating and using the community monitoring system.   | There is currently no local community monitoring system focused on climate vulnerability and resilience in the Bakhtegan Basin  | An operational community monitoring system is established.<br>40 villages, involving 13,011 households (Which 5,200 of them are Women) and 12,821 farmers (which 3,900 are women) are involved in the monitoring system.                                      | - Field reports<br>- Climate-related databases<br>- Project reports: annual reports; mid-term and final evaluations                         |  |
|   | 1.4 Number of operational decisions support systems incorporating a customized GIS platform and development of the information portal system (TIPS) | There is currently no system in place for collating and sharing relevant climate change impact, risk and vulnerability data and information   | A decision support system is established to improve decision making and governance in the Bakhtegan Basin by customizing a GIS to collate all relevant data and information and a TIPS which is developed and operationalized (through Component 4)           | TIPS web page<br><br>Number of visits to the TIPS web page<br><br>Use of TIPS data and information in revised plans for the Bakhtegan Basin |  |
|   | 1.5 Number of local and provincial plans that incorporate adaptation to   |   | Five (5) plans that incorporate considerations for adaptation to climate change: Fars Province,   |   |  |

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|   | climate change considerations based on the decision support system.  |   | Zone 1, Zone 2, Zone 3 and Zone 4 Plans   |   |   |
| <b>Outcome 2<br/>The environmental, social and economic resilience of the Bakhtegan Basin is strengthened through implementation of sustainable agro-ecological practices and alternative livelihoods</b> | <p>2.1 Number of farmers with climate smart agriculture practices.</p> <p>2.2 Area (ha) of farmland with climate resilient agriculture practices</p> | <p>Research has been undertaken at the Marvdasht Agricultural Research Centre on improved water use efficiency for rice cultivation but has not yet been disseminated to farmers. There is no active research of climate smart agricultural systems for the Bakhtegan Basin.</p> <p>In the 11 target villages farmers are currently adapting autonomously with the following practices:</p> <ul style="list-style-type: none"> <li>• Growing saffron (7 ha in 1 village), safflower (1 village) and other crops (4 villages)</li> <li>• Reducing water consumption (3 villages)</li> <li>• Using natural fertilisers (1 village)</li> </ul> <p>The Central Zagros Mountains project implemented a sustainable agriculture program in Bakan village in 2012-2013, which was extended to 6 villages: Sarbast, Hossein Abad, Abbas Abad, Bakyan, Chogha, Mansour Abad. Achievements of the project were introduced to other villages in the Kor and Kamfiroz districts (39 villages)</p> | <p>4,425 farmers and gardeners ( 1,325 women ) from the 15 target villages will be practicing climate smart agriculture</p> <p>21,910 hectares of cropping land will be converted to climate smart production systems</p> <p>1,726 hectares of horticultural land will be converted to climate smart production systems</p> | <p>- A published report on the market potential, including value chain analysis, of different climate smart agriculture crops, practices and systems</p> <p>- A published report on results from action research on climate smart agriculture</p> <p>- Project monitoring, including community based monitoring (Output 1.3)</p> <p>- Measured reductions in water use of at least 30 percent with participating farmers</p> <p>- Field reports</p> | <p>The market research will be successful in identifying economically viable climate smart crops, practices and systems</p> <p>Participating farmers and farmers more widely will be willing to adopt and sustain climate smart agriculture and reduce their water consumption</p> <p>Participating households and women will be willing to adopt and sustain alternative livelihoods</p> |



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|   | 2.3 Number of households and women practicing alternative livelihoods   | In the 9 target villages for Output 2.2 (2 in Zone 1, 2 in Zone 2, 1 in Zone 3, 4 in Zone 4) there are currently 368 households practicing alternative livelihoods and 193 women receiving support from the Rural Women's Trust Fund.<br><br>Details of the current alternative livelihood practices of each target village are provided in Annex 4. | In the 15 target villages for Output 2.2 there will be 766 households practicing alternative livelihoods and 900 women by receiving small-grants support. Most of the beneficiaries will be in the four Zone 4 villages where a total of 508 households will be practicing alternative livelihoods and 540 women by receiving small-grants support.  | - Project monitoring<br>- Project reports  |  |
| <b>Outcome 3<br/>The resilience of the natural environment of the Bakhtegan Basin is strengthened</b> | 3.1 Area (ha/M <sup>3</sup> ) of rangeland and forest with soil and water conservation practices implemented. [Adaptation Core Indicator] | The following measures have been implemented more widely in the Bakhtegan Basin over the last 18 years:<br>-22 embankments<br>-1,712 masonry check dams<br>61 groundwater artificial recharge projects<br>106,700 ha revegetated<br>65,000 ha with livestock excluded  | - Terracing in 160 ha of arable land and construction of water harvesting ponds in about 500 ha of downstream rangelands for livestock and crops in Charghalat and Kenare villages in Arsanjan county (seven counties in Zone 1 and 4)<br>- Rainfall trapping and pitting in 250 ha of target sub-basins<br>- Participatory forest rehabilitation by seeding and development of medicinal herbal plantation in degraded rangelands about 300 ha.<br>- Participatory afforestation and revegetation in 400 ha of degraded areas in Zone 4 to combat desertification | -Contractor reports<br>-Project reports<br>- Monitoring reports<br>- Field reports<br>- Soil health assessment reports | The introduced soil and water conservation practices, including rainwater harvesting measures through ponds and trapping, will lead to tangible and measurable improvements in the environment and help conserve water and reduce soil erosion. The rehabilitation work in national parks, protected areas and hunting prohibited areas will provide measurable benefits to the environment and wildlife and restoration of ecosystem services |
|   | 3.2 Area (ha) of wetlands rehabilitated. [Adaptation Core Indicator]  | The Bakhtegan Integrated Management Plan has been developed with a participatory approach but not yet implemented.<br><br>The Central Zagros Mountains project included: development of an integrated rangeland management plan in the Kor catchment area of Sepidan County; implementation of a school plant nursery                                | 30,000 ha will be rehabilitated in target area (Kamjam, Tashk and Bakhtegan) through the following activities:<br>- At least 50% of Bakhtegan Wetland water rights will be achieved.<br>- Biodiversity monitoring system established, used by DoE and shared with relevant ministries to make informed decisions on climate change in protected areas  | -Project monitoring<br>-Contractor reports<br>-Project reports   |  |

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|  | <p>3.3 Area (ha) of protected areas being monitored and rehabilitated. [Adaptation Core Indicator]</p> | <p>programme; equipping and activity the Mountain Biodiversity Resource Centre; planting of 2000 oak seedlings; drought tolerant tree cultivation; planting 850 ha with seedlings in Neyriz County</p> <p>Kamjan Marshes: local people acted independently to divert water from the arable lands drainage system into the Kamjan Marshes, and after some tension are now working cooperatively with local DOE staff to improve their local environment</p> <p>Bakhtegan National Park: The Bakhtegan Wetland has been completely dry for the last decade with significant impacts on migrant birds</p> <p>Bamou National Park: Environmental degradation of the national park fauna and flora resulted from drought</p> <p>Margoun waterfall protected area: Drought threats on the waterfall and the landscape</p> <p>Tang-e-Bostank protected area: endangering the wild life and endangered biodiversity due to drought</p> <p>Basiran hunting prohibited area: Lack of artificial watering and feeding during dry periods facilities/ accommodation system</p> <p>KouhSiah-e-Arsanjan hunting prohibited area: Lack of artificial watering and feeding during dry periods facilities/accommodation system</p> | <p>- At least 50% of sand and dust storm sources of wetland bed biologically stabilized.</p> <p>-Rehabilitation action plan for selected wetland areas has been developed and implemented which lead to rehabilitation of at least 30% of Bakhtegan wetlands.</p> <p>At least 70% of the total ha of target protected areas will be monitored through the following:</p> <p>-Bakhtegan basin protected areas ecosystems monitoring is established.</p> <p>-Rangers and game stations in targeted PAs are equipped with monitoring equipment.</p> <p>-At least 25% of the total ha of protected areas will be rehabilitated.</p> <p>-Climate resilience activities for at least 5 key species have been implemented</p> <p>20 artificial watering troughs built in targeted protected areas</p> <p>-In Bakhtegan and Bamous National Parks, rehabilitation of wildlife habitats in the dryland areas.</p> |  |  |
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| <p><b>Outcome 4</b><br/> <b>Institutional capacity at the local, regional and national level is strengthened for mainstreaming climate risk management and adaptation measures into planning and decision-making processes.</b></p> | <p>4.1 Number of key beneficiaries and decision makers aware and trained by the project on wetland ecosystem services and climate change- related drought (disaggregated by gender).</p> | <p>Zero</p>   | <p>Participatory communication, education, public awareness (CEPA) plan is developed and implemented by the following:<br/>         -At least two (2) public awareness campaigns on wetland ecosystem services and climate change- related drought. (Women are main target group for these campaign)<br/>         -At least 20 training material on climate change adaptation for different target groups developed and distributed.<br/>         -At least 200 government expert/staff trained on climate change impacts and adaptation strategies (at least 100 women).</p> | <ul style="list-style-type: none"> <li>- Records of the quantities produced, published and disseminated of resource materials, training materials, videos, brochures and posters</li> <li>- Workshop participant lists</li> <li>- Records of SMS messages sent</li> <li>- Recording of the national TV programme</li> <li>- Attendance numbers for the arts events</li> </ul> | <p>Communities throughout the Bakhtegan Basin will be more informed about the situation in the basin, its underlying causes and the impacts of climate change. As a result of being more informed communities in the different Zones will be more willing to work together for the long-term benefit of the Bakhtegan Basin and its people. The spatial plan for the Bakhtegan Basin will be widely adopted and implemented.</p> |
|   | <p>4.2 An integrated, multi-sectoral, spatial plan for the Bakhtegan Basin that fully considers climate change risks and needs for building resilience developed.</p>                    | <p>Water and environmental issues, including the restoration of wetlands, are identified as national priorities in the Sixth Development Plan. The draft National Strategic Plan on Climate Change identifies the need to:<br/>         -Establish and improve climate smart agriculture to combat the negative effects of climate change and develop sectoral plans<br/>         -Integrate climate change considerations into the management structure for natural resources and biodiversity<br/>         -Strengthen the sectoral and multi-sectoral management and</p> | <p>An integrated, multi-sectoral, spatial plan for the Bakhtegan Basin is developed, taking full account of climate change, with full participation of all stakeholders including local communities</p>   | <ul style="list-style-type: none"> <li>-A published spatial plan for the Bakhtegan Basin</li> <li>-Monitoring of project activities to ensure their alignment with the plan</li> </ul>  | <p>The Bakhtegan Basin Council will be supported by communities, local authorities, provincial government and national government agencies in ensuring that the project is a success and that its outcomes are sustained into the future</p>   |

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|  |   | institutions for cooperation on water management   |   |  |  |
|  | 4.3 Number of governance structures in the Bakhtegan Basin strengthen by the project. | The existing governance structure in Fars Province involves the Provincial Government, County and City Authorities and Village Islamic Councils. There is no specific governance structure in place to address issues in the Bakhtegan Basin | Establishment of a Bakhtegan Basin Council within the context of the existing governance framework for Fars Province. (at least 30% of members are women) | -Official record documenting establishment of the Bakhtegan Basin Council and its membership<br><br>-Minutes of Council meetings |  |

**F. Alignment of Project Objectives/Outcomes with Adaptation Fund Results Framework**

| <b>Project Objective(s)<sup>56</sup></b>   | <b>Project Objective Indicator(s)</b>  | <b>Fund Outcome</b>  | <b>Fund Outcome Indicator</b>  | <b>Grant Amount (USD)</b> |
|--|--|--|--|---------------------------|
| To increase the resilience of communities and the natural environment of the Bakhtegan Basin to climate variability and change through integrated landscape management.                                    | Number of villages (disaggregated by households / women) in the Bakhtegan Basin with increased resilience to climate variability and change. | Outcome 6: Diversified and strengthened livelihoods and sources of income for vulnerable people in targeted areas. | 6.1 Percentage of households and communities having more secure (increased) access to livelihood assets.         | <b>9,092,768</b>          |
| <b>Project Outcome(s)</b>  | <b>Project Outcome Indicator(s)</b>  | <b>Fund Output</b>   | <b>Fund Output Indicator</b>   | <b>Grant Amount (USD)</b> |
| Outcome 1:<br>A data and information management system for decision support and communications is developed and implemented to support development of long-term climate resilience in the Bakhtegan basin. | 1.1 Number of climate change scenarios developed to assess climate risks and climate change impacts in target area.                          | Output 1.1: Risk and vulnerability assessments conducted and updated   | 1.1. No. of projects/programmes that conduct and update risk and vulnerability assessments (by sector and scale) | \$179,962                 |
| <b>Project Outcome(s)</b>  | <b>Project Outcome Indicator(s)</b>  | <b>Fund Output</b>   | <b>Fund Output Indicator</b>   | <b>Grant Amount (USD)</b> |
| Outcome 1:<br>A data and information management system for decision support and communications is developed and implemented to support development of  | 1.2 Number of frameworks developed to support decision making that include climate change, land and water resources in the Bakhtegan Basin.  | Output 7: Improved integration of climate-resilience strategies into country development plans.                    | 7.1. No., type, and sector of policies introduced or adjusted to address climate change risks.                   | <b>\$950,565</b>          |

<sup>56</sup> The AF utilized OECD/DAC terminology for its results framework. Project proponents may use different terminology but the overall principle should still apply

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| long-term climate resilience in the Bakhtegan basin.  | <p>1.3 Number of households and farmers regularly participating and using the community monitoring system.</p> <p>1.4 Number of operational decisions support systems incorporating a customized GIS platform and development of the information portal system (TIPS).</p> <p>1.5 Number of local and provincial plans that incorporate adaptation to climate change considerations based on the decision support system.</p> |  |   |                           |
| <b>Project Outcome(s)</b>   | <b>Project Outcome Indicator(s)</b>   | <b>Fund Output</b>   | <b>Fund Output Indicator</b>  | <b>Grant Amount (USD)</b> |
| Outcome 2:<br>The environmental, social and economic resilience of the Bakhtegan Basin is strengthened through implementation of sustainable agro-ecological practices and alternative livelihoods. | <p>2.1 Number of farmers with climate smart agriculture practices.</p> <p>2.2 Area (ha) of farmland with climate resilient agriculture practices</p>  | Output 6: Targeted individual and community livelihood strategies strengthened in relation to climate change impacts, including variability  | 6.1.1.No. and type of adaptation assets (tangible and intangible) created or strengthened in support of individual or community livelihood strategies | \$1,489,130               |
| Outcome 2:<br>The environmental, social and economic resilience of the Bakhtegan Basin is strengthened through implementation of sustainable agro-ecological practices and alternative livelihoods. | 2.3 Number of households practicing alternative livelihoods.  | Output 6: Targeted individual and community livelihood strategies strengthened in relation to climate change impacts, including variability. | 6.1.1.No. and type of adaptation assets (physical as well as knowledge) created in support of individual or community-livelihood strategies.          | \$1,731,170               |
| <b>Project Outcome(s)</b>   | <b>Project Outcome Indicator(s)</b>   | <b>Fund Output</b>   | <b>Fund Output Indicator</b>  | <b>Grant Amount (USD)</b> |
| Outcome 3:<br>The resilience of the natural environment of the Bakhtegan Basin is strengthened  | 3.1 Area (ha/M3) of rangeland and forest with soil and water conservation practices implemented   | Output 6: Targeted individual and community livelihood strategies strengthened in relation to climate change impacts, including variability  | 6.1.1.No. and type of adaptation assets (physical as well as knowledge) created in support of individual or community-livelihood strategies.          | \$1,594,010               |
| Outcome 3:<br>The resilience of the natural environment of the Bakhtegan Basin is strengthened  | <p>3.2 Area (ha) of wetlands rehabilitated</p> <p>3.3 Area (ha) of protected areas being monitored and rehabilitated.</p>   | Output 5: Vulnerable physical, natural, and social assets strengthened in response to climate change impacts, including variability.         | 5.1. No. and type of natural resource assets created, maintained or improved to withstand   | \$1,978,620               |

| Project Outcome(s)  | Project Outcome Indicator(s)  | Fund Output  | Fund Output Indicator   | Grant Amount (USD) |
|---|---|--|---|--------------------|
| <p>Outcome 4:<br/>Institutional capacity at the local, regional and national level is strengthened for mainstreaming climate risk management and adaptation measures into planning and decision-making processes.</p> | <p>4.1 Number of key beneficiaries and decision makers aware and trained by the project on wetland ecosystem services and climate change- related drought (disaggregated by gender).<br/>4.2 An integrated, multi-sectoral, spatial plan for the Bakhtegan Basin that fully considers climate change risks and needs for building resilience developed.<br/>4.3 Number of governance structures in the Bakhtegan Basin strengthened by the project.</p> | <p>Output 2.1: Strengthened capacity of national and regional centres and networks to respond rapidly to extreme weather events.</p> | <p>2.1.1. No. of staff trained to respond to, and mitigate impacts of, climate-related events</p> | <p>560,720</p>     |

**G. Detailed budget with budget note**

| <b>Award ID:</b>   | TBA   |                |                   | <b>Project ID:</b>                  | TBA                                 |                            |                            |                            |                            |                            |                    |                    |
|--|---|----------------|-------------------|-------------------------------------|-------------------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|--------------------|--------------------|
| <b>Award Title:</b>  | Iran AF PIMS 6190: Reducing vulnerability to climate change in the Lake Bakhtegan Basin |                |                   |                                     |                                     |                            |                            |                            |                            |                            |                    |                    |
| <b>Business Unit:</b>  | IRN10   |                |                   |                                     |                                     |                            |                            |                            |                            |                            |                    |                    |
| <b>Project Title:</b>  | Reducing vulnerability to climate change in the Lake Bakhtegan Basin                    |                |                   |                                     |                                     |                            |                            |                            |                            |                            |                    |                    |
| <b>PIMS no.</b>  | 6190  |                |                   |                                     |                                     |                            |                            |                            |                            |                            |                    |                    |
| <b>Implementing Partner (Executing Agency)</b>   | Department of Environment (DoE)   |                |                   |                                     |                                     |                            |                            |                            |                            |                            |                    |                    |
| <b>Components</b>  | <b>Responsible Party / Implementing Agency</b>  | <b>Fund ID</b> | <b>Donor Name</b> | <b>Atlas Budgetary Account Code</b> | <b>ATLAS Budget Description</b>     | <b>Amount Year 1 (USD)</b> | <b>Amount Year 2 (USD)</b> | <b>Amount Year 3 (USD)</b> | <b>Amount Year 4 (USD)</b> | <b>Amount Year 5 (USD)</b> | <b>Total (USD)</b> | <b>Budget Note</b> |
| <b>OUTCOME 1: A data and information management system for decision support and communications is developed and implemented to support development of long-term climate resilience in the Bakhtegan basin.</b> | DoE   | 62040          | AF                | 71300                               | Local consultants                   | 40,000                     | 60,000                     | 75,000                     | 75,000                     | 50,890                     | 300,890            | 1                  |
|  |   |                |                   | 71400                               | Contractual Services - Individuals  | 7,850                      | 8,175                      | 8,500                      | 8,825                      | 9,150                      | 42,500             | 2                  |
|  |   |                |                   | 71600                               | Travel                              | 4,000                      | 3,000                      | 3,000                      | 2,500                      | 3,550                      | 16,050             | 3                  |
|  |   |                |                   | 72100                               | Contractual services - Companies    | 35,250                     | 100,750                    | 120,750                    | 120,750                    | 109,087                    | 486,587            | 4                  |
|  |   |                |                   | 72200                               | Equipment and furniture             | 90,000                     | 50,000                     | 20,000                     | 20,000                     | 9,500                      | 189,500            | 5                  |
|  |   |                |                   | 74500                               | Miscellaneous Expenses              | 6,000                      | 6,000                      | 6,000                      | 6,000                      | 6,000                      | 30,000             | 6                  |
|  |   |                |                   | 75700                               | Training, Workshops and Conferences | 20,000                     | 15,000                     | 12,000                     | 7,000                      | 11,000                     | 65,000             | 7                  |
|  |   |                |                   | <b>Sub-total Outcome 1</b>          |                                     |                            |                            |                            |                            | <b>203,100</b>             | <b>242,925</b>     | <b>245,250</b>     |
| <b>OUTCOME 2: The environmental, social and economic resilience of the Bakhtegan Basin is strengthened through implementation of</b>   | DoE   | 62040          | AF                | 71200                               | International consultants           | 30,000                     | 80,000                     | 80,000                     | 75,000                     | 40,500                     | 305,500            | 8                  |
|  |   |                |                   | 71300                               | Local consultants                   | 20,000                     | 12,000                     | 8,000                      | 7,000                      | 3,000                      | 50,000             | 9                  |
|  |   |                |                   | 71400                               | Contractual Services - Individuals  | 23,850                     | 25,175                     | 26,500                     | 27,825                     | 29,150                     | 132,500            | 10                 |
|  |   |                |                   | 71600                               | Travel                              | 10,000                     | 10,000                     | 8,000                      | 7,000                      | 5,760                      | 40,760             | 11                 |
|  |   |                |                   | 72100                               | Contractual services - Companies    | 162,000                    | 300,000                    | 300,000                    | 300,000                    | 150,740                    | 1,212,740          | 12                 |
|  |   |                |                   | 72300                               | Material & goods                    |                            | 75,000                     | 75,000                     | 75,000                     | 75,000                     | 300,000            | 13                 |

|   |     |       |    |                            |                                      |                |                |                |                |                |                  |         |    |
|---|-----|-------|----|----------------------------|--------------------------------------|----------------|----------------|----------------|----------------|----------------|------------------|---------|----|
| sustainable agro-ecological practices and alternative livelihoods   |     |       |    | 72600                      | Grants                               | -              | 236,500        | 236,500        | 236,500        | 236,500        | 946,000          | 14      |    |
|   |     |       |    | 74500                      | Miscellaneous Expenses               | 9,560          | 9,560          | 9,560          | 9,560          | 9,560          | 47,800           | 15      |    |
|   |     |       |    | 75700                      | Training, Workshops and Conferences  | 59,000         | 49,000         | 24,000         | 19,000         | 34,000         | 185,000          | 16      |    |
|   |     |       |    | <b>Sub-total Outcome 2</b> |                                      | <b>314,410</b> | <b>797,235</b> | <b>767,560</b> | <b>756,885</b> | <b>584,210</b> | <b>3,220,300</b> |         |    |
| <b>OUTCOME 3: The resilience of the natural environment of the Bakhtegan Basin is strengthened.</b>   | DoE | 62040 | AF | 71300                      | Local consultants                    |                | 64,750         | 64,750         | 64,750         | 64,750         | 64,954           | 323,954 | 17 |
|   |     |       |    | 71400                      | Contractual Services - Individuals   | 23,850         | 25,175         | 26,500         | 27,825         | 29,150         | 132,500          | 18      |    |
|   |     |       |    | 72100                      | Contractual services - Companies     | 467,000        | 592,000        | 703,000        | 526,000        | 307,361        | 2,595,361        | 19      |    |
|   |     |       |    | 72200                      | Equipment and furniture              | 77,500         | 127,500        | 67,500         | 17,500         | 10,000         | 300,000          | 20      |    |
|   |     |       |    | 74500                      | Miscellaneous Expenses               | 8,000          | 8,000          | 8,000          | 8,000          | 8,000          | 40,000           | 21      |    |
|   |     |       |    | 75700                      | Training, Workshops and Conferences  | 60,000         | 50,000         | 30,000         | 15,000         | 25,815         | 180,815          | 22      |    |
|   |     |       |    | <b>Sub-total Outcome 3</b> |                                      | <b>701,100</b> | <b>867,425</b> | <b>899,750</b> | <b>659,075</b> | <b>445,280</b> | <b>3,572,630</b> |         |    |
| <b>OUTCOME 4: Institutional Capacity at the local, regional and national level is strengthened for improved governance and decision making in relation to climate risk management and effective implementation of adaptation measures</b> | DoE | 62040 | AF | 71200                      | International consultants            | 8,000          | 12,000         | 13,000         | 8,000          | 4,000          | 45,000           | 23      |    |
|   |     |       |    | 71300                      | Local consultants                    | 25,000         | 25,000         | 35,000         | 45,000         | 32,000         | 162,000          | 24      |    |
|   |     |       |    | 71400                      | Contractual Services - Individuals   | 7,850          | 8,175          | 8,500          | 8,825          | 9,150          | 42,500           | 25      |    |
|   |     |       |    | 74200                      | Audiovisual & Print Production Costs | 10,000         | 12,000         | 15,000         | 10,000         | 15,850         | 62,850           | 26      |    |
|   |     |       |    | 74500                      | Miscellaneous Expenses               | 2,100          | 2,100          | 2,100          | 2,100          | 2,100          | 10,500           | 27      |    |
|   |     |       |    | 75700                      | Training, Workshops and Conferences  | 35,974         | 50,474         | 50,474         | 50,474         | 50,474         | 237,870          | 28      |    |
|   |     |       |    | <b>Sub-total Outcome 4</b> |                                      | <b>88,924</b>  | <b>109,749</b> | <b>124,074</b> | <b>124,399</b> | <b>113,574</b> | <b>560,720</b>   |         |    |
| <b>Project Execution cost</b>   | DoE | 62040 | AF | 71200                      | International consultants            |                |                |                |                | 32,000         | 32,000           | 29      |    |
|   |     |       |    | 71300                      | Local consultants                    | 10,000         | -              | -              | -              | 28,000         | 38,000           | 30      |    |
|   |     |       |    | 71400                      | Contractual Services - Individuals   | 51,100         | 53,300         | 55,500         | 57,700         | 59,900         | 277,500          | 31      |    |



|  |  |  |  |                             |                                      |                  |                  |                  |                  |                  |                  |    |
|--|--|--|--|-----------------------------|--------------------------------------|------------------|------------------|------------------|------------------|------------------|------------------|----|
|  |  |  |  | 71600                       | Travel                               | 1,000            | 1,000            | 6,000            | 1000             | 6,000            | 15,000           | 32 |
|  |  |  |  | 72100                       | Contractual services - Companies     | 1,440            | 1,440            | 1,440            | 1,440            | 1,440            | 7,200            | 33 |
|  |  |  |  | 72200                       | Equipment and furniture              | 28,000           | 5,000            | 5,000            | 2,000            | 2,000            | 42,000           | 34 |
|  |  |  |  | 72400                       | Communications                       | 250              | 250              | 250              | 250              | 250              | 1,250            | 35 |
|  |  |  |  | 72500                       | Supplies                             | 1,000            | 1,000            | 1,000            | 1,000            | 1,000            | 5,000            | 36 |
|  |  |  |  | 72800                       | IT Equipment                         | 8,000            | 3,000            | 1,000            | 1,000            | 1,000            | 14,000           | 37 |
|  |  |  |  | 74100                       | Professional services (Audit)        | 3,000            | 3,000            | 3,000            | 3,000            | 3,000            | 15,000           | 38 |
|  |  |  |  | 74200                       | Audiovisual & Print Production Costs | 4,800            | 4,800            | 4,800            | 4,800            | 4,800            | 24,000           | 39 |
|  |  |  |  | 74500                       | Miscellaneous Expenses               | 250              | 250              | 250              | 250              | 250              | 1,250            | 40 |
|  |  |  |  | 74500                       | Service to Project - GOE             | 29,818           | 37,252           | 35,960           | 24,255           | 9,106            | 136,391          | 41 |
|  |  |  |  | <b>Sub-total PMU</b>        |                                      | <b>138,658</b>   | <b>110,292</b>   | <b>114,200</b>   | <b>96,695</b>    | <b>148,746</b>   | <b>608,591</b>   |    |
|  |  |  |  | <b>TOTAL PROGRAMME COST</b> |                                      | <b>1,446,192</b> | <b>2,127,626</b> | <b>2,150,834</b> | <b>1,877,129</b> | <b>1,490,987</b> | <b>9,092,768</b> |    |

### Budget Notes

| Outcomes/Outputs   | Note | ATLAS Number | ATLAS Budget Description | 5 year Total (USD) | Description of Expenditures  |
|--|------|--------------|--------------------------|--------------------|--|
| <b>OUTCOME 1: A data and information management system for decision support and communications is developed and implemented to support development of long-term climate resilience in the Bakhtegan basin.</b> |      |              |                          |                    |  |
| <b>Total: 1,080,277 USD</b>  |      |              |                          |                    |  |
| 1.1 An integrated model for climate risk and climate change assessment supports medium and long term decision making   | 1    | 71300        | Local consultants        | 44,500             | Contract for national experts to develop and undertake analyses with SimCLIM for the Bakhtegan Basin (Output 1.1)  |
|  |      |              |                          | 45,500             | Contract for national experts to conduct training in the use of WLUP (Output 1.2)  |
|  |      |              |                          | 44,520             | Contract for national experts to develop and undertake analyses with WLUP (Output 1.2)   |
| 1.2 A land and water use planning  |      |              |                          | 44,570             | Contract for local consultants to facilitate workshops with targeted villages on development of vulnerability and resilience indicators and a local community monitoring programme following GAAP recommendations (Output 1.1) |

|   |       |                                     |                                    |         |   |   |
|---|-------|-------------------------------------|------------------------------------|---------|---|---|
| framework is developed and implemented to support decision making   |       |                                     |                                    | 96,800  | Contract for local consultants to pay quarterly visits to project target villages to ground truth the local community monitoring platform (Output 1.3)  |   |
|   |       |                                     |                                    | 25,000  | Contract with a local consultant to integrate all relevant data into the GIS platform and TIPS (Output 1.4)   |   |
| 1.3 Community engagement, empowerment and ownership in decision making is supported through local community monitoring  | 2     | 71400                               | Contractual Services - Individuals | 12,500  | Tehran Coordinator - 25% of contract charges to Output 1  |   |
|   |       |                                     |                                    | 13,000  | Communication expert - 20% of contract charges to Output 1  |   |
|   |       |                                     |                                    | 9,500   | National Project Manager (NPM) - 10% of contract charges to Output 1  |   |
|   |       |                                     |                                    | 7,500   | Deputy National Project Manager (DNPM) - 10% of contract charges to Output 1  |   |
| 3   | 71600 | Travel                              |                                    | 16,050  | Travel costs for quarterly visits to project target villages (Output 1.3)   |   |
| 1.4 A GIS based data and information management system and an information portal system are developed to facilitate more informed, effective and timely decision making | 4     | 72100                               | Contractual services - Companies   |         | 73,477  | Contract for development and provision of a customised version of SimCLIM (Output 1.1)  |
|   |       |                                     | Contractual services - Companies   |         | 23,860  | Contract for international experts to conduct training in the use of SimCLIM (Output 1.1)   |
|   |       |                                     | Contractual services - Companies   |         | 39,500  | Contract for development and provision of a customised version of WLUP (Output 1.2)   |
|   |       |                                     | Contractual services - Companies   |         | 213,250   | Development of a comprehensive plan for allocating water and land resources in a sustainable and climate resilient manner (Output 1.2)    |
|   |       |                                     | Contractual services - Companies   |         | 56,500  | Development of a participatory platform for use by participating villagers on agreed vulnerability and resilience indicators (Output 1.3) |
|   |       |                                     | Contractual services - Companies   |         | 65,000  | Contract to develop a customised GIS platform for integrating all results from Component 1 (Output 1.4)                                   |
|   |       |                                     | Contractual services - Companies   |         | 15,000  | Contract to develop the Information Portal System (TIPS) for sharing results from Component 1 (Output 1.4)                                |
| 5   | 72200 | Equipment and furniture             |                                    | 189,500 | Equipment costs for monitoring water use changes with participating farmers (Output 1.3)  |   |
| 6   | 74500 | Miscellaneous Expenses              |                                    | 30,000  | Miscellaneous costs associated with the climate change and climate risk assessment; the land-use change and land-use planning assessment; the local community monitoring programme; data and information sharing (Output 1.1-1.4) |   |
| 7   | 75700 | Training, Workshops and Conferences |                                    | 32,500  | Workshops and meetings to define the scope of the climate change and climate risk analyses to be undertaken following GAAP recommendations (Output 1.1)   |   |
|   |       | Training, Workshops and Conferences |                                    | 32,500  | Workshops and meetings to define the scope of WLUP analyses to be undertaken following GAAP recommendations (Output 1.2)  |   |

**OUTCOME 2: The environmental, social and economic resilience of the Bakhtegan Basin is strengthened through implementation of sustainable agro-ecological practices and alternative livelihoods**  
**Total: 3,049,300 USD**

|   |    |       |                                    |         |  |
|---|----|-------|------------------------------------|---------|--|
| <p>2.1 Climate smart agriculture practices are adopted in target areas</p> <p>2.2 Alternative livelihoods are adopted by vulnerable households in target villages</p> | 8  | 71200 | International consultants          | 160,000 | Contract with international consultants to undertake market research, including value chain analysis, on climate smart alternative crops, cropping systems and added value products, including organically certified crops and products (international markets) (Output 2.1) |
|   |    |       |                                    | 80,000  | Contract with international organic certification agency to support the extension of climate smart organically certified agriculture (Output 2.1)  |
|   |    |       |                                    | 65,500  | Contract with international consultants for market participatory planning, market research, vocational training support for alternative livelihoods.(Output 2.2)   |
|   | 9  | 71300 | Local consultants                  | 50,000  | Contract with local consultant for training of facilitators (Output 2.1)   |
|   | 10 | 71400 | Contractual Services - Individuals | 9,500   | National Project Manager (NPM) - 10% of contract charges to Output 2   |
|   |    |       |                                    | 13,000  | Communication expert - 20% of contract charges to Output 2   |
|   |    |       |                                    | 7,500   | Deputy National Project Manager (DNPM) -10% of contract charges to Output 2  |
|   |    |       |                                    | 90,000  | 4 Field Coordinators - 50% of contract charges to Output 2   |
|   |    |       |                                    | 12,500  | Tehran Coordinator - 25% of contract charges to Output 2   |
|   | 11 | 71600 | Travel                             | 40,760  | Cost of farmer field visits to extend results to other farmers (Output 2.1)  |
|   | 12 | 72100 | Contractual services - Companies   | 187,000 | Contract with local consultants for development of Climate Smart Agriculture Plans (Output 2.1)  |
|   |    |       |                                    | 90,000  | Contract with national consultant to undertake market research, including value chain analysis, on climate smart alternative crops, cropping systems and added value products, including organically certified crops and products (national markets)(Output 2.1)             |
|   |    |       |                                    | 62,500  | Contract with national consultants to extend existing knowledge and research results on alternative crops and cropping systems that are more climate smart (Output 2.1)  |
|   |    |       |                                    | 200,000 | Contract for the development of an applied research programme on climate smart agriculture at the Marvdasht Research Station based on the results of the market research (Output 2.1)  |
|   |    |       |                                    | 99,870  | Contract with national consultants to extend the results of the applied research programme on climate smart agriculture to participating farmers (Output 2.1)  |

|        |    |       |                                     |  |  |
|--------|----|-------|-------------------------------------|--|--|
|        |    |       |                                     | 64,500   | Contract with national consultant to support extension of existing organically certified agriculture initiatives to participating villages, focused on climate smart practices (Output 2.1)  |
|        |    |       |                                     | 40,370   | Contract with national consultants for market participatory planning, market research, vocational training support for alternative livelihoods. (Output 2.1)   |
|        |    |       |                                     | 400,000  | NGOS to support the development the selected livelihoods in the targeted villages/households in Zone, 1, 2, 3 and 4. (Output 2.2)  |
|        |    |       |                                     | 68,500   | Contracts with national consultant to assess lessons learned from the Rural Women's Trust Fund (Output 2.2)  |
|        | 13 | 72300 | Material & goods                    | 300,000  | Cost of seed, seedlings and biologically friendly inputs for participating farmers in Zone 1, 2, 3 and 4 to implement climate smart agriculture systems.(Output 2.1)   |
|        | 14 | 72600 | Grants                              | 946,000  | Implementation of alternative livelihoods plans in Zone, 1, 2, 3 and 4.(i.e. sewing, carpet weaving, dried fruit processing, traditional aviculture, etc.) via the Microgrant schemes according to UNDP Low Value Grants Policy, or through other relevant established mechanisms. AF grants will be channeled directly to selected NGOs, community-based organizations (CBOs) and local cooperatives. Maximum grant per project is \$50,000. (Output 2.2) |
|        | 15 | 74500 | Miscellaneous Expenses              | 47,800   | Miscellaneous costs associated with the development, extension and communication of all climate smart agriculture activities and alternative livelihood activities (Output 2.1-2.2)  |
|        | 16 | 75700 | Training, Workshops and Conferences | 100,000  | Cost for facilitation of workshops to develop Climate Smart Agriculture Plans following GAAP recommendations (Output 2.1)  |
| 85,000 |    |       |                                     | Workshops and meetings with targeted households and villages to identify opportunities and capacities for livelihoods diversification at the local level following GAAP recommendations (Output 2.2) |  |

**OUTCOME 3: The resilience of the natural environment of the Bakhtegan Basin is strengthened**  
**Total: 3,572,630 USD**

|  |    |       |                                    |         |   |
|--|----|-------|------------------------------------|---------|---|
| 3.1 A range of watershed management measures are implemented in target areas aimed at increasing resilience to drought risks | 17 | 71300 | Local consultants                  | 88,954  | Contract with national consulting companies to develop analysis at the target sub-basins based on IWM approach (Output 3.1) |
|  |    |       |                                    | 80,000  | Cost of monitoring Output 3.1 activities in target watersheds (Output 3.1)  |
|  |    |       |                                    | 155,000 | Develop and implement a climate resilience action plan for the key species (Output 3.2)                                     |
| 3.2 Landscape rehabilitation to  | 18 | 71400 | Contractual Services - Individuals | 9,500   | National Project Manager (NPM) -10% of contract charges to Output 3   |
|  |    |       |                                    | 13,000  | Communication expert -20% of contract charges to Output 3   |

|   |    |       |                                  |         |  |
|---|----|-------|----------------------------------|---------|--|
| restore functionality of ecosystem services to increase climate resilience. |    |       |                                  | 90,000  | 4 Field Coordinators -50% of contract charges to Output 3  |
|   |    |       |                                  | 7,500   | Deputy National Project Manager (DNPM)-10% of contract charges to Output 3   |
|   |    |       |                                  | 12,500  | Tehran Coordinator -25% of contract charges to Output 3  |
|   | 19 | 72100 | Contractual services - Companies | 356,000 | Contracting to design and construct water harvesting ponds and terracing (Output 3.1)  |
|   |    |       |                                  | 229,760 | Contracting for the water artificial recharge projects in target sub-basins (Output 3.1)   |
|   |    |       |                                  | 136,401 | Capacity building and training for local people to work as the contractors to construct water harvesting ponds, terracing, etc. following Best Management Practices; Training authorities and local people on rehabilitation of Zagros Forest and Bakhtegan basin (Output 3.1) |
|   |    |       |                                  | 21,700  | Rehabilitation of the rangelands (Output 3.1)  |
|   |    |       |                                  | 120,000 | Cultivation of the medicinal plants (Output 3.1)   |
|   |    |       |                                  | 45,000  | Development and protecting the Zagros forest area (Output 3.1)   |
|   |    |       |                                  | 258,500 | Vegetation rehabilitation to combat desertification (Output 3.1)   |
|   |    |       |                                  | 225,000 | Biodiversity monitoring in target areas (Output 3.2)   |
|   |    |       |                                  | 185,000 | Biological treatment of drainage & reforming the wetland (Output 3.2)  |
|   |    |       |                                  | 120,000 | Cost of construction and reconstruction of wildlife artificial watering troughs in the summer (Output 3.2)   |
|   |    |       |                                  | 120,000 | Cost of feeding wild life during the dry summers (Output 3.2)  |
|   |    |       |                                  | 378,000 | Rehabilitation of the wildlife habitats in the dryland ecosystem national parks (Output 3.2)   |
|   |    |       |                                  | 350,000 | Protecting wildlife hunting prohibited areas (Output 3.2)  |
|   |    |       |                                  | 50,000  | Commission a study for the water rights and re allocation of water rights within target area (Kamjan, Tashk, Bakhtegan), (Output 3.2)  |
|   | 20 | 72200 | Equipment and furniture          | 300,000 | Equipping DoE's monitoring stations to improve monitoring at basin level (Output 3.2)  |
|   | 21 | 74500 | Miscellaneous Expenses           | 13,680  | Miscellaneous costs associated with the all ecosystem conservation activities (Output 3.1)   |
|   |    |       |                                  | 26,320  | Miscellaneous costs associated with the development, extension and communication of all rehabilitation and conservation in target areas (Output 3.2)   |

|   |    |       |                                      |   |   |
|---|----|-------|--------------------------------------|---|---|
|   |    |       |                                      | 59,375  | Participatory workshops and meetings with identified target communities to define the scope of IWM results & measures to be undertaken following GAAP recommendations (Output 3.1)  |
|   | 22 | 75700 | Training, Workshops and Conferences  | 49,300  | Participatory workshops to raise awareness of local people surrounding Bamou and Bakhtegan National Parks following GAAP recommendations (Output 3.1)   |
|   |    |       |                                      | 72,140  | Comprehensive extension, communication and education programme following GAAP recommendations (through Output 4.1), (Output 3.1)  |
| <b>OUTCOME 4: Institutional Capacity at the local, regional and national level is strengthened for improved governance and decision making in relation to climate risk management and effective implementation of adaptation measures</b> |    |       |                                      |   |   |
| <b>Total: 560,720 USD</b>   |    |       |                                      |   |   |
| 4.1 A comprehensive communications, education and capacity building programme on climate resilience is implemented  | 23 | 71200 | International consultants            | 45,000  | International consultant/facilitator to support establishment of Bakhtegan Basin Council (Output 4.2)   |
|   | 24 | 71300 | Local consultants                    | 75,000  | National consultant/facilitator to support establishment of the Bakhtegan Basin Council (Output 4.2)  |
|   |    |       | Local consultants                    | 87,000  | Contract with a research center to study existing national frameworks and policies relating to climate change adaptation and land and water resources planning and management to establish a "national spatial strategy plan" to be trialed in the Bakhtegan Basin.(Output 4.2) |
|   | 25 | 71400 | Contractual Services - Individuals   | 9,500   | National Project Manager (NPM) -10% of contract charges to Output 4   |
|   |    |       |                                      | 12,500  | Tehran Coordinator -25% of contract charges to Output 4   |
|   |    |       |                                      | 7,500   | Deputy National Project Manager (DNPM) -10% of contract charges to Output 4   |
|   |    |       |                                      | 13,000  | Communication expert -20% of contract charges to Output 4   |
|   | 26 | 74200 | Audiovisual & Print Production Costs | 62,850  | Cost of visual aids of trainings (Output 4.1)   |
|   | 27 | 74500 | Miscellaneous Expenses               | 10,500  | Miscellaneous costs associated with the development, extension and communication related to education, capacity building and communications (Output 4.1- 4.2)   |
|   | 28 | 75700 | Training, Workshops and Conferences  | 159,170   | Cost of public awareness campaigns which includes training video, publications, brochures, posters, TV programs (Output 4.1)  |
| 58,000  |    |       |                                      | Cost of rolling out trainings to ensure the relevant activities will be linked directly to Output 2.1, 2.2, 3.1 and 3.2 following GAAP recommendations (Output 4.1) |   |
| 20,700  |    |       |                                      | Miscellaneous costs associated the establishment of the council (Costs of organizing the Bakhtegan Basin Council meetings during 5 years) (Output 4.2)              |   |
| <b>Project Execution</b>  |    |       |                                      |   |   |
| <b>Total: 829,839 USD</b>   |    |       |                                      |   |   |

|                               |           |                          |                                    |   |   |
|-------------------------------|-----------|--------------------------|------------------------------------|---|---|
| <b>Project Execution cost</b> | <b>29</b> | 71200                    | International consultants          | 32,000  | International expert for final review of the project                        |
|                               | <b>30</b> | 71300                    | Local consultants                  | 13,000  | Local experts for final review of the project                               |
|                               |           |                          |                                    | 25,000  | Support to inception and final review workshops and technical meetings      |
|                               | <b>31</b> | 71400                    | Contractual Services - Individuals | 57,000  | National Project Manager (NPM) - 60% of contract charges to PMU             |
|                               |           |                          |                                    | 45,000  | Deputy National Project Manager (DNPM)/M&E - 60% of contract charges to PMU |
|                               |           |                          |                                    | 13,000  | Communication expert - 20% of contract charges to PMU                       |
|                               |           |                          |                                    | 65,000  | Finance expert  |
|                               |           |                          |                                    | 57,500  | Administrative Assistant  |
|                               |           |                          |                                    | 40,000  | Driver/clerk  |
|                               | <b>32</b> | 71600                    | Travel                             | 15,000  | Transport for Project Management Unit                                       |
|                               | <b>33</b> | 72100                    | Contractual services - Companies   | 7,200   | Contractual Service to support communication (Website Maintenance)          |
|                               | <b>34</b> | 72200                    | Equipment and furniture            | 42,000  | Office Equipments & Furniture   |
|                               | <b>35</b> | 72400                    | Communications                     | 1,250   | Communications  |
|                               | <b>36</b> | 72500                    | Supplies                           | 5,000   | Supplies  |
|                               | <b>37</b> | 72800                    | IT Equipment                       | 14,000  | IT equipment  |
|                               | <b>38</b> | 74100                    | Professional services(Audit)       | 15,000  | NIM Audit   |
| <b>39</b>                     | 74200     | Print and Publication    | 24,000                             | Print and Publications  |   |
| <b>40</b>                     | 74500     | Miscellaneous Expenses   | 1,250                              | Miscellaneous   |   |
| <b>41</b>                     | 74500     | Service to Project - GOE | <b>136,391</b>                     | Costs of providing support services to the project, including financial management/payment process, HR services, Procurement services, and travel & general services. Total cost is \$136,391 for the duration of the project |   |

**A Breakdown of the IE Management Fee for support to Adaptation Fund Project**

| Category   | Services Provided by UNDP   | UNDP Fee (8.5%) |
|--|---|-----------------|
| <b>Identification, Sourcing and Screening of Ideas</b> | <ul style="list-style-type: none"> <li>• Provide information on substantive issues in adaptation associated with the purpose of the Adaptation Fund (AF).</li> <li>• Engage in upstream policy dialogue related to a potential application to the AF.</li> <li>• Verify soundness &amp; potential eligibility of identified idea for AF.</li> </ul>   | \$38,644        |
| <b>Feasibility Assessment / Due Diligence Review</b>   | <ul style="list-style-type: none"> <li>• Provide up-front guidance on converting general idea into a feasible project/programme.</li> <li>• Source technical expertise in line with the scope of the project/programme.</li> <li>• Verify technical reports and project conceptualization.</li> <li>• Provide detailed screening against technical, financial, social and risk criteria and provide statement of likely eligibility against AF requirements.</li> <li>• Determination of execution modality and local capacity assessment of the national executing entity.</li> <li>• Assist in identifying technical partners. Validate partner technical abilities. Obtain clearances from AF.</li> </ul>  | \$115,933       |
| <b>Development &amp; Preparation</b>                   | <ul style="list-style-type: none"> <li>• Provide technical support, backstopping and troubleshooting to convert the idea into a technically feasible and operationally viable project/programme.</li> <li>• Source technical expertise in line with the scope of the project/programme needs.</li> <li>• Verify technical reports and project conceptualization.</li> <li>• Verify technical soundness, quality of preparation, and match with AF expectations.</li> <li>• Negotiate and obtain clearances by AF. Respond to information requests, arrange revisions etc.</li> </ul>  | \$154,577       |
| <b>Implementation</b>                                  | <ul style="list-style-type: none"> <li>• Technical support in preparing TORs and verifying expertise for technical positions.</li> <li>• Provide technical and operational guidance project teams.</li> <li>• Verification of technical validity / match with AF expectations of inception report.</li> <li>• Provide technical information as needed to facilitate implementation of the project activities.</li> <li>• Provide advisory services as required.</li> <li>• Provide technical support, participation as necessary during project activities.</li> <li>• Provide troubleshooting support if needed. Provide support and oversight missions as necessary.</li> <li>• Provide technical monitoring, progress monitoring, validation and quality assurance throughout.</li> <li>• Allocate and monitor Annual Spending Limits based on agreed work plans.</li> <li>• Receipt, allocation and reporting to the AFB of financial resources.</li> <li>• Oversight and monitoring of AF funds.</li> <li>• Return unspent funds to AF.</li> </ul> | \$347,798       |
| <b>Evaluation and Reporting</b>                        | <ul style="list-style-type: none"> <li>• Provide technical support in preparing TOR and verify expertise for technical positions involving evaluation and reporting.</li> <li>• Participate in briefing / debriefing.</li> <li>• Verify technical validity / match with AF expectations of all evaluation and other reports</li> <li>• Undertake technical analysis, validate results, and compile lessons.</li> <li>• Disseminate technical findings</li> </ul>  | \$115,933       |
| <b>Total</b>   |   | \$772,885       |



**Implementation Schedule**

|  | Year 1 |     |     |                | Year 2 |    |    |                | Year 3 |    |    |                | Year 4 |    |    |                | Year 5 |    |    |                | TOTAL Budget (USD) |  |  |  |  |                  |
|--|--------|-----|-----|----------------|--------|----|----|----------------|--------|----|----|----------------|--------|----|----|----------------|--------|----|----|----------------|--------------------|--|--|--|--|------------------|
|  | Q 1    | Q 2 | Q 3 | Q4             | Q1     | Q2 | Q3 | Q4             | Q1     | Q2 | Q3 | Q4             | Q1     | Q2 | Q3 | Q4             | Q1     | Q2 | Q3 | Q4             |                    |  |  |  |  |                  |
| <b>OUTCOME 1: A data and information management system for decision support and communications is developed and implemented to support development of long-term climate resilience in the Bakhtegan basin.</b> |        |     |     |                |        |    |    |                |        |    |    |                |        |    |    |                |        |    |    |                |                    |  |  |  |  |                  |
| 1.1 An integrated model for climate risk and climate change assessment supports medium and long term decision making   |        |     |     | 22,618         |        |    |    | 37,743         |        |    |    | 42,923         |        |    |    | 40,423         |        |    |    | 36,255         |                    |  |  |  |  | 179,962          |
| 1.2 A water and land use planning framework is developed and implemented to support decision making  |        |     |     | 48,084         |        |    |    | 81,962         |        |    |    | 94,361         |        |    |    | 91,992         |        |    |    | 81,496         |                    |  |  |  |  | 397,895          |
| 1.3 Community engagement, empowerment and ownership in decision making is supported through local community monitoring   |        |     |     | 120,682        |        |    |    | 97,692         |        |    |    | 77,429         |        |    |    | 77,028         |        |    |    | 54,839         |                    |  |  |  |  | 427,670          |
| 1.4 A GIS based data and information management system and an information portal system are developed to facilitate more informed, effective and timely decision making  |        |     |     | 11,716         |        |    |    | 25,528         |        |    |    | 30,537         |        |    |    | 30,632         |        |    |    | 26,587         |                    |  |  |  |  | 125,000          |
| <b>SUB - TOTAL:</b>  |        |     |     | <b>203,100</b> |        |    |    | <b>242,925</b> |        |    |    | <b>245,250</b> |        |    |    | <b>240,075</b> |        |    |    | <b>199,177</b> |                    |  |  |  |  | <b>1,130,527</b> |
| <b>OUTCOME 2: The environmental, social and economic resilience of the Bakhtegan Basin is strengthened through implementation of sustainable agro-ecological practices and alternative livelihoods.</b>        |        |     |     |                |        |    |    |                |        |    |    |                |        |    |    |                |        |    |    |                |                    |  |  |  |  |                  |
| 2.1 Climate smart agriculture practices are adopted in target areas  |        |     |     | 192,162        |        |    |    | 369,539        |        |    |    | 350,251        |        |    |    | 341,845        |        |    |    | 235,333        |                    |  |  |  |  | 1,489,130        |
| 2.2 Alternative livelihoods are adopted by vulnerable households in target villages  |        |     |     | 122,248        |        |    |    | 427,696        |        |    |    | 417,309        |        |    |    | 415,040        |        |    |    | 348,877        |                    |  |  |  |  | 1,731,170        |
| <b>SUB - TOTAL:</b>  |        |     |     | <b>314,410</b> |        |    |    | <b>797,235</b> |        |    |    | <b>767,560</b> |        |    |    | <b>756,885</b> |        |    |    | <b>584,210</b> |                    |  |  |  |  | <b>3,220,300</b> |

| <b>OUTCOME 3: The resilience of the natural environment of the Bakhtegan Basin is strengthened.</b>  |  |  |                  |                  |                  |                  |                  |                  |
|--|--|--|------------------|------------------|------------------|------------------|------------------|------------------|
| 3.1 A range of watershed management measures are implemented in target areas aimed at increasing resilience to drought risks   |  |  | 310,447          | 360,522          | 397,027          | 307,629          | 218,385          | 1,594,010        |
| 3.2 Landscape rehabilitation to restore functionality of ecosystem services to increase climate resilience.  |  |  | 390,653          | 506,903          | 502,723          | 351,446          | 226,895          | 1,978,620        |
| <b>SUB - TOTAL:</b>  |  |  | <b>701,100</b>   | <b>867,425</b>   | <b>899,750</b>   | <b>659,075</b>   | <b>445,280</b>   | <b>3,572,630</b> |
| <b>OUTCOME 4: Institutional Capacity at the local, regional and national level is strengthened for improved governance and decision making in relation to climate risk management and effective implementation of adaptation measures.</b> |  |  |                  |                  |                  |                  |                  |                  |
| 4.1 A comprehensive communications, education and capacity building programme on climate resilience is implemented   |  |  | 48,730           | 64,125           | 67,282           | 62,438           | 68,445           | 311,020          |
| 4.2 A Bakhtegan Basin Council is formed to facilitate the long-term sustainable and climate resilient management of the Bakhtegan Basin  |  |  | 40,194           | 45,624           | 56,792           | 61,961           | 45,129           | 249,700          |
| <b>SUB - TOTAL:</b>  |  |  | <b>88,924</b>    | <b>109,749</b>   | <b>124,074</b>   | <b>124,399</b>   | <b>113,574</b>   | <b>560,720</b>   |
| <b>PROJECT MANAGEMENT / EXECUTION COSTS:</b>   |  |  | <b>138,658</b>   | <b>110,292</b>   | <b>114,200</b>   | <b>96,695</b>    | <b>148,746</b>   | <b>608,591</b>   |
| <b>GRAND TOTAL:</b>  |  |  | <b>1,446,192</b> | <b>2,127,626</b> | <b>2,150,834</b> | <b>1,877,129</b> | <b>1,490,987</b> | <b>9,092,768</b> |

#### H. Disbursement schedule


|                          | Upon signature of Agreement | One Year after Project Start <sup>a)</sup> | Year 2 <sup>b)</sup> | Year 3           | Year 4 <sup>c)</sup> | Total            |
|--------------------------|-----------------------------|--|----------------------|------------------|----------------------|------------------|
| Scheduled date           | Oct-19                      | Oct -20                                    | Oct -21              | Oct -22          | Oct -23              |                  |
| Project Funds            | 1,446,192                   | 2,127,626                                  | 2,150,834            | 1,877,129        | 1,490,987            | 9,092,768        |
| Implementing Entity Fees | 383,239                     | 107,758                                    | 110,793              | 95,645           | 75,450               | 772,885          |
| <b>Total</b>             | <b>1,829,431</b>            | <b>2,235,384</b>                           | <b>2,261,627</b>     | <b>1,972,774</b> | <b>1,566,437</b>     | <b>9,865,653</b> |

**PART IV: ENDORSEMENT BY GOVERNMENT AND CERTIFICATION BY THE IMPLEMENTING ENTITY**

**A. Record of endorsement on behalf of the government<sup>57</sup>**

|   |                                     |
|---|-------------------------------------|
| <i>H.E. Mr. Seyyed Ali Mohammad Mousavi<br/>Director General for International Environmental and Sustainable<br/>Development<br/>Affairs of the Ministry of Foreign Affairs and National Designated<br/>Authority</i> | Date: August 3 <sup>rd</sup> , 2018 |
|---|-------------------------------------|

**B. Implementing Entity certification**

|  |  |
|--|--|
| I certify that this proposal has been prepared in accordance with guidelines provided by the Adaptation Fund Board, and prevailing National Development and Adaptation Plans and subject to the approval by the Adaptation Fund Board, <u>commit to implementing the project/programme in compliance with the Environmental and Social Policy and Gender Policy of the Adaptation Fund</u> and on the understanding that the Implementing Entity will be fully (legally and financially) responsible for the implementation of this project/programme. |  |
|   |  |
| <i>Executive Coordinator a.i.,<br/>Global Environmental Finance<br/>Bureau for Policy and Programme Support<br/>United Nations Development Programme<br/>Implementing Entity Coordinator</i>   |  |
| Date: 4 January 2019   | Tel. and email: +66 87 017 8667;<br><a href="mailto:pradeep.kurukulasuriya@undp.org">pradeep.kurukulasuriya@undp.org</a> |
| Project Contact Person: Lianchawii Chhakchhuak   |  |
| Tel. And Email:+6623049100 ext.5286; <a href="mailto:Lianchawii.Chhakchhuak@undp.org">Lianchawii.Chhakchhuak@undp.org</a>  |  |

<sup>57</sup> Each Party shall designate and communicate to the secretariat the authority that will endorse on behalf of the national government the projects and programmes proposed by the implementing entities.

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**LETTER OF AGREEMENT BETWEEN UNDP AND THE GOVERNMENT FOR  
THE PROVISION OF SUPPORT SERVICES FOR ADAPTATION FUND PROJECT**

**“Reducing vulnerability to climate change in the Lake Bakhtegan Basin”**

Dear Mr. Zohrabi,

As per your request over a discussion between UNDP and Department of Environment (DoE), regarding the project **“Reducing vulnerability to climate change in the Lake Bakhtegan Basin”**, I am pleased to submit for your signature this Standard Letter of Agreement between UNDP and the Government for the provision of support services for this initiative. ”

1. Reference is made to consultations between officials of the Government of Islamic Republic of Iran, Department of Environment (hereinafter referred to as “the Government”) and officials of UNDP with respect to the provision of support services by the UNDP country office for nationally managed programmes and projects. UNDP and the Government hereby agree that the UNDP country office may provide such support services at the request of the Government through its institution designated in the relevant programme support document, as described below.

2. UNDP country office may provide support services for assistance with reporting requirements and direct payment. In providing such support services, the UNDP country office shall ensure that the capacity of the Government-designated institution is strengthened to enable it to carry out such activities directly. The costs incurred by the UNDP country office in providing such support services shall be recovered from the administrative budget of the “Reducing vulnerability to climate change in the Lake Bakhtegan Basin” project.

3. The UNDP country office may provide, at the request of the designated institution, the following support services for the activities of the programme:

- (a) Financial Management/Payment Process
- (b) HR Services
- (c) Procurement Services
- (d) Travel Services
- (e) General Services

4. The provision of support services as per paragraph 3 above by the UNDP country office shall be in accordance with the UNDP regulations, rules, policies and procedures. Support services described in paragraph 3 above shall be detailed in an annex to the programme support document, project document or the AWP, as negotiated and agreed upon by both parties. If the requirements for support services by the country office change during the life of a programme or project, the annex to the programme support document or project document is revised with the mutual agreement of the UNDP resident representative and the designated institution.

5. The relevant provisions of the Legal Annex to Project Documents including the provisions on liability and privileges and immunities, shall apply to the provision of such support services. The Government shall retain overall responsibility for the nationally managed programme or project through its designated institution. The responsibility of the UNDP country office for the provision of the support services described herein shall be limited to the provision of such support services detailed in the annex to the programme support document, project document or the AWP.

6. Any claim or dispute arising under or in connection with the provision of support services by the UNDP country office in accordance with this letter shall be handled pursuant to the relevant provisions of the Legal Annex to Project Documents.



7. The manner and method of cost-recovery by the UNDP country office in providing the support services described in paragraph 3 above shall refer to the enhanced UNDP UPL (Universal Price List) effective date 1 January 2017.

8. The UNDP country office shall submit progress reports on the support services provided and shall report on the costs reimbursed in providing such services, as may be required.

9. Any modification of the present arrangements shall be effected by mutual written agreement of the parties hereto.

10. If you are in agreement with the provisions set forth above, please sign and return to this office two signed copies of this letter. Upon your signature, this letter shall constitute an agreement between your Government and UNDP on the terms and conditions for the provision of support services by the UNDP country office for nationally managed programmes and projects.

Yours sincerely,

DocuSigned by:  
*Ramakrishnan C Iyer*  
F221E0EDE4F94B2...

Signed on behalf of UNDP

[Date] Jun-11-2019

  
0197

For the Government  
Name  
Department of Environment  
[Date]

*Hamel Zohrabi*  
*Jun - 12 - 2019*

## Attachment

**DESCRIPTION OF UNDP COUNTRY OFFICE SUPPORT SERVICES**

1. Reference is made to consultations between Department of Environment, the institution designated by the Government of Islamic Republic of Iran and officials of UNDP with respect to the provision of support services by the UNDP country office for the nationally managed project "Reducing vulnerability to climate change in the Lake Bakhtegan Basin". In providing the below support services, the UNDP country office shall ensure that the capacities of the Department of Environment and the responsible parties are strengthened; to enable them to carry out such activities independently in time.

2. In accordance with the provisions of the letter of agreement signed on \_\_\_\_\_ and the project document, the UNDP country office shall provide support services for the Project as described below.

3. Support services to be provided:

| 2017 Universal Price List and Local Price List - UNDP Iran         |                    | Total number of items throughout the Project lifetime | Total Cost to UNDP of providing such support services (where appropriate) |
|--|--------------------|---|---|
| Valid as of 1 January 2017   |                    |   |   |
| Services   | UPL/LPL 2017 (USD) |   |   |
| <b>Financial Management/Payment Process</b>                        |                    |   |   |
| Payment process  | 38.79              | 2,450   | 95,036  |
| GLJE Creation and approval   | 32.76              | 25  | 819   |
| AP Journal (APJV)  | 22.72              | 60  | 1,363   |
| Approve PO only (below \$30000)                                    | 9.64               | 32  | 308   |
| Approve PO only (over \$30,000)                                    | 37.79              | 30  | 1,133   |
| <b>HR Services</b>   |                    |   |   |
| Recruitment Process _Advertisement (20%)*                          | 126.61             | 61  | 7,723   |
| <b>Procurement Services</b>  |                    |   |   |
| Full Procurement Process   | 566.56             | 33  | 18,696  |
| <b>Travel Services</b>   |                    |   |   |
| Incoming visa process  | 99.46              | 30  | 2,983   |
| Ticket booking   | 16.73              | 37  | 619   |
| Hotel Reservation  | 26.61              | 34  | 905   |
| F10 settlement per case (for local travel without advance payment) | 12.93              | 201   | 2,599   |
| <b>General Services</b>  |                    |   |   |
| Vendor profile ( Creation or Modification)*                        | 20.92              | 201   | 4,204   |
| <b>Total</b>   |                    |   | <b>136,391</b>  |

4. Description of functions and responsibilities of the parties involved:

This project is implemented through UNDP's National Implementation Modality (NIM), with the Department of Environment as the designated national executing agency ("Implementing Partner") of the project. DoE shall have the technical and administrative responsibility for applying Adaptation Fund (AF) inputs in order to reach the expected Outcomes/Outputs as defined in the Project Document. DoE is responsible for the timely delivery of project inputs and outputs, and in this context, for the coordination of all other responsible parties, including other line ministries, local government authorities and/or UN agencies.

UNDP serves as the Multilateral Implementing Entity (MIE) and Responsible Party for this project. Services requested by the implementing partner in support of achieving project Outcomes will be provided by staff in the UNDP Country Office in the Islamic Republic of Iran, Recovery of costs for such services will be calculated based on actual costs in accordance with UNDP's Cost Recovery Policy. When determining, actual costs is not possible, or when it is specifically indicated, the Universal Price List/ Local Price List will be applied. The Annual Work Plans will specify in more detail the requested services on ad hoc basis.

Additional support services to the Project will be provided only upon request to UNDP from the implementing partner based on this LoA.

5. This document has been reviewed and endorsed by AF's National Designated Authority of the Government of Islamic Republic of Iran.

DS  
RCU



MINISTRY OF FOREIGN AFFAIRS  
OF THE ISLAMIC REPUBLIC OF IRAN

**To: The Adaptation Fund Board Secretariat**  
**Email: Secretariat@Adaptation-Fund.org**  
**Fax: 202 522 3240/5**

**Subject: Endorsement for Reducing Vulnerability to Climate Change in the Lake Bakhtegan Basin**

In my capacity as designated authority for the Adaptation Fund in the Islamic Republic of Iran, I confirm that the above national project proposal is in accordance with the government's national priority in implementing adaptation activities to reduce adverse impact of, and risks, posed by climate change in the Islamic Republic of Iran.

Accordingly, I am pleased to endorse the above project proposal with support from the Adaptation Fund. If approved, the project will be implemented by the United Nations Development Program (UNDP) and executed by Department of Environment.

Yours Sincerely

f..

  
Seyed Alimohammad MOUSAVI





ADAPTATION FUND



**ANNEXES DOSSIER:**

**PROJECT TITLE: REDUCING VULNERABILITY TO CLIMATE CHANGE IN THE LAKE  
BAKHTEGAN BASIN**

**IMPLEMENTING ENTITY: UNITED NATIONS DEVELOPMENT PROGRAMME**

**AF PROJECT ID: IRN/MIE/WATER/2018/1**

## **ANNEXES**

|  |           |
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**Climate Zoning<sup>1</sup>**

The climatic zoning of the target area was carried out using the Trewartha - Koppen classification method because of high precision in determining the boundaries of temperature and precipitation. The selected classification method also has a high ability to distinguish ecological zones based on temperature and precipitation indices. Climatic zoning has been used network data from CCAFS-Climate Data Center with five-minute spatial resolution under the A2, B2 and A1B scenarios of HadCM3 model for the base time period of 1982 to 2012 the projected periods 2030s, 2050s, and 2080s.

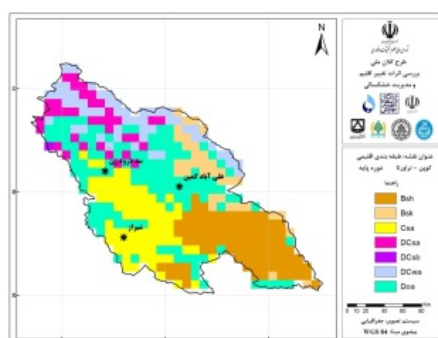
The climate of Bakhtegan Basin is classified to seven types. The temperate class (D) is covered about 51% which is divided to four sub-classes: humid moderate, arid-hot moderate with winter precipitation regime, hot dry moderate and cold dry moderate that are covers 30%, 12.5%, 8.5% and 0,2% respectively. The semi-arid class (B) is dominated 30% of Bakhtegan Basin that are divide two sub-classes; cold and warm semi-arid climate sub-classes. The cold semi-arid class is expanded in western part of the Bakhtegan basin near to Yazd province and the warm semi-arid class dominated in south eastern part near to Kerman province. The subtropical with dry summer is the seventh climate class that is dominated about 18.7% of Bakhtegan Basin.

The detection of climate change was projected based on A2, B2 and A1B climate scenarios for seven existing climate classes. The projected results are summarized in table and figure 1 based on A1B scenario.

*Table1: Comparing the spread changing of climate types in current period to the 2030s, 2050s and 2080s based on A1B scenario*

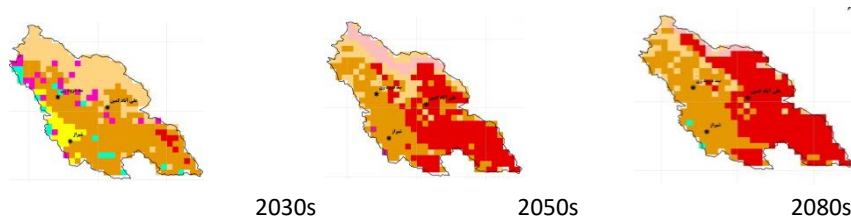
| Climate Type                                | Current Period | Based on A1B scenario |       |       |
|---|----------------|-----------------------|-------|-------|
|   |                | 2030s                 | 2050s | 2080s |
| Warm semi-arid                              | 21.7           | 49.9                  | 33.3  | 35.7  |
| Cold semi-arid                              | 8.3            | 31.7                  | 17.7  | 11.3  |
| Arid hot                                    | -              | 1.9                   | 40.4  | 49.4  |
| Arid cold                                   | -              | -                     | 8.0   | 3.1   |
| Subtropical with dry summer                 | 18.7           | 6.1                   | -     | -     |
| Hot dry moderate                            | 8.5            | 6.1                   | -     | -     |
| Cold dry moderate                           | 0.2            | -                     | -     | -     |
| Arid-hot moderate with winter precipitation | 12.5           | -                     | -     | -     |
| Humid moderate                              | 30             | 4.3                   | 0.5   | 0.5   |

*Figure 1: Comparing the spread changing of climate types in current period to the 2030s, 2050s and 2080s based on A1B scenario*



<sup>1</sup> Ministry of Energy. Macro-National Plan "Impact of Climate Change and Drought Management". Summary of Pilot Report of Lake Bakhtegan Basin (Detection of Climate Change and Drought Identification). Prepared by Shahid Beheshti University.

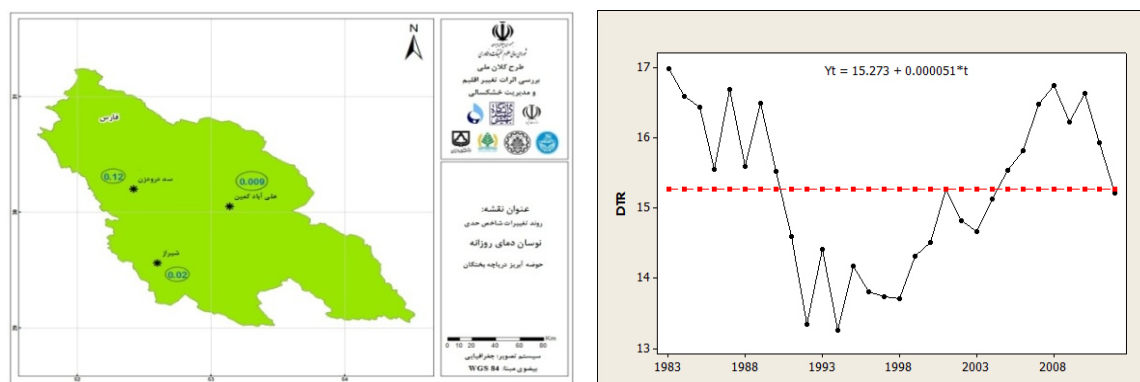
Current period (1983 – 2012)



### Daily (Diurnal) Temperature Range (DTR)

The difference between daily maximum and minimum temperatures — the diurnal temperature range — is one measure of changes in daily temperature distributions. These changes are affected by minimum and maximum temperature variations. The incremental trend of this index may be due to the increase in the maximum temperature or the decreasing of the minimum temperature and/or the simultaneous effect of these two factors both. In some cases, while one of the above two factors work inverse then we are faced with an increasing trend of DTR. Figure 2 is illustrated the slope and trend of DTR in Bakhtegan Basin.

Figure 2: The slope and trend of changes in DTR in Bakhtegan basin during the 1983-2012



The results of the Pettitt test shows that the DTR has a downtrend in 1990 in Bakhtegan basin during the observational period (1983-2012). Accordingly, the average daily temperature before 1990 was 16.23 ° C and then 14.84 ° C.

Statistical analyzes indicate that the DTR is decreasing in all three (A2, B2 and A1B) scenarios in observed time periods in Aliabad rain gauge station. This indicator shows incremental trends in all time horizons in scenario A1B, A2 and B1 at Doroodzan rain gauge in the western part of the Bakhtegan basin.

### Aridification

A study<sup>2</sup> mapping drought hazards using SPI index and GIS in Fars province, based on data compiled by weather stations in the province provide an insight of the extent of the drought overtime since 1994 to date.

The Standardized Precipitation Index (SPI) to measure drought has the following values associated to drought category classification:

<sup>2</sup> Bagheri, Fatemeh. (2016). Mapping Drought Hazard Using SPI index And GIS (A Case study: Fars province, Iran). International Journal of Environment and Geoinformatics. 3. 22-28. 10.30897/ijegeo.304419.

Table 4. Annual Standardized Precipitation Index (SPI) Classification

| SPI value     | Drought Category |
|---------------|------------------|
| $\geq 2$      | Extremely Humid  |
| 1.5 to 1.99   | Very Humid       |
| 1.0 to 1.49   | Moderately Humid |
| 0.5 to 0.99   | Lightly Humid    |
| -0.49 to 0.49 | Normal           |
| -0.99 to -0.5 | Lightly drought  |
| -1.0 to -1.49 | Moderate drought |
| -1.5 to -1.99 | Severe drought   |
| $\leq -2$     | Extreme drought  |

\*:  $p_i$  : Annual precipitation in each station  $\bar{p}$  : Average precipitation in each station  
 $sd$  : Standard deviation of precipitation in each station

Based on data from 10 weather stations from 1994-2011 and from 7 stations from 2007-2011, the SPI index was calculated as follows:

Table 2. Annual Standardized Precipitation Index (SPI) for 10 station from 1994-2011

| Station Name | Abadeh | Fasa  | ..... | Sadedorodzan | Zarghan |
|--------------|--------|-------|-------|--------------|---------|
| 1994         | 0.33   | 0.32  | ..... | 0.44         | 0.45    |
| 1995         | 0.42   | 0.84  | ..... | 0.19         | 0.63    |
| 1996         | -1.06  | -0.79 | ..... | -0.11        | -0.91   |
| .....        | .....  | ..... | ..... | .....        | .....   |
| 2007         | -0.85  | -0.96 | ..... | -0.74        | -0.04   |
| 2008         | -1.16  | -2.03 | ..... | -1.37        | -1.58   |
| 2009         | -0.21  | -0.12 | ..... | -0.34        | -0.56   |
| 2010         | -0.28  | -0.41 | ..... | -0.58        | -0.91   |
| 2011         | -3.46  | -2.81 | ..... | -3.61        | -3.15   |

Table 3. Annual Standardized Precipitation Index (SPI) for 7 stations from 2007-2011.

| Station Name | Arsenjan | Izadkhist | ..... | Neyriz | Noorabad |
|--------------|----------|-----------|-------|--------|----------|
| 2007         | 0.12     | 0.0089    | ..... | 0.27   | 0        |
| 2008         | -0.57    | -0.08     | ..... | -0.84  | -0.39    |
| .....        | .....    | .....     | ..... | .....  | .....    |
| 2011         | -2.22    | -2.33     | ..... | -2.14  | -2.02    |

ArcGIS coupled with drought index (SPI) is vital tool for drought monitoring and mitigation. ArcGIS supports visualization of scientific based results important for decision making process. Based on the results above, drought maps from Fars province have been developed that clearly demonstrate the extended severe to moderate drought that Fars province has been enduring for the past decade. It important to point out that the SPI only take into account climate and hydrological variables, therefore it's clear to affirm that drought is driven hv climate fac

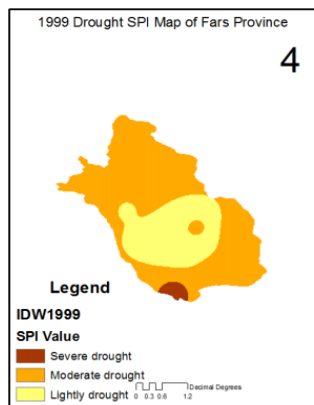


Fig 5. Hazard map of drought vulnerability in 1999.

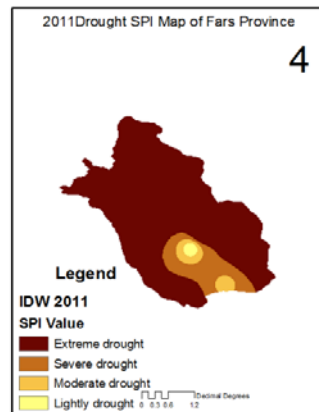


Fig 4: Hazard map of drought vulnerability in 2011

Climatic and surf

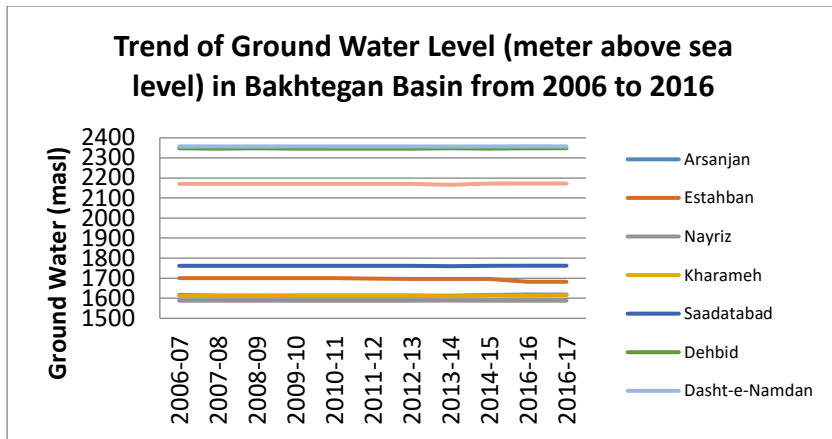
Trend of sub-surf: Basin from 2006 to basin.

ends

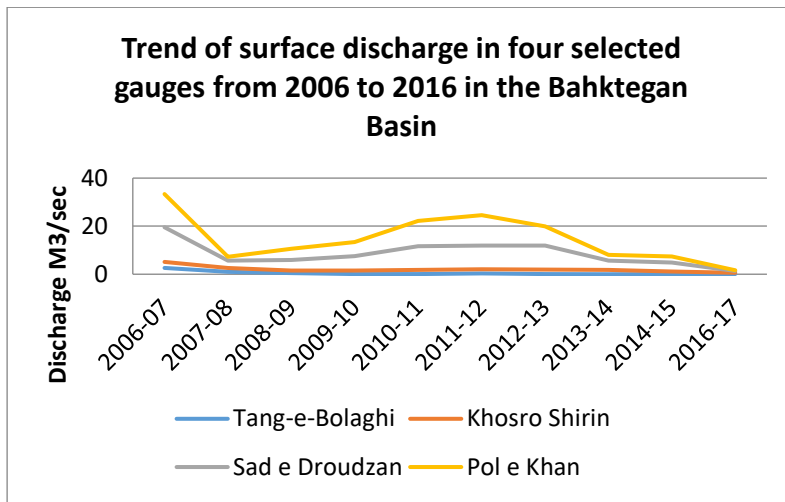
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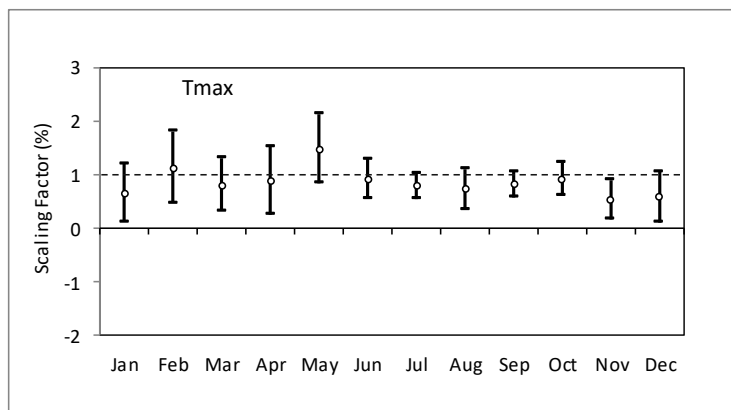
plain areas in Bakhtegan elected plains in Bakhtegan



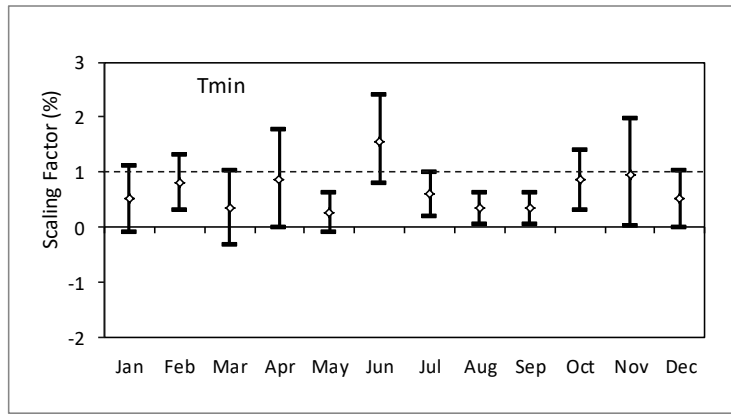
The river discharge has been shown the negative trend in four selected gauges; Tang e Bolaghi, Khsrow shirin, Sad e droudzan and Pol e khan. The highly dramatic reduce is observed in the above discharge gauges during last decade.



The average maximum and minimum temperature climate detection are also shown the negative trend from 1969 to 2015. The analysis has been done based on “Optimal Fingerprint Detection and Attribution” method (Hegerl et al, 1997)<sup>3</sup> in Bakhtegan basin. The analysis has been done in eight selected climatic gauges stations using the above method. The results are shown the positive trend in maximum and minimum average monthly temperature in Bakhtegan basin in observation period (1960 – 2015).

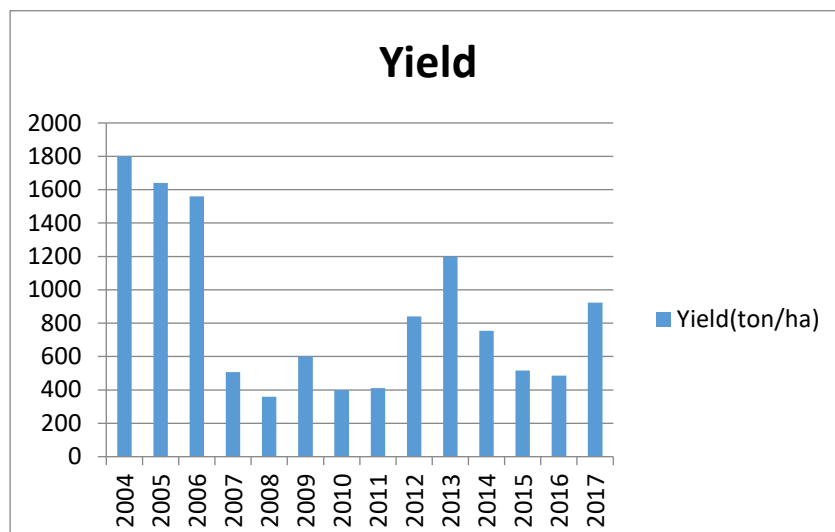
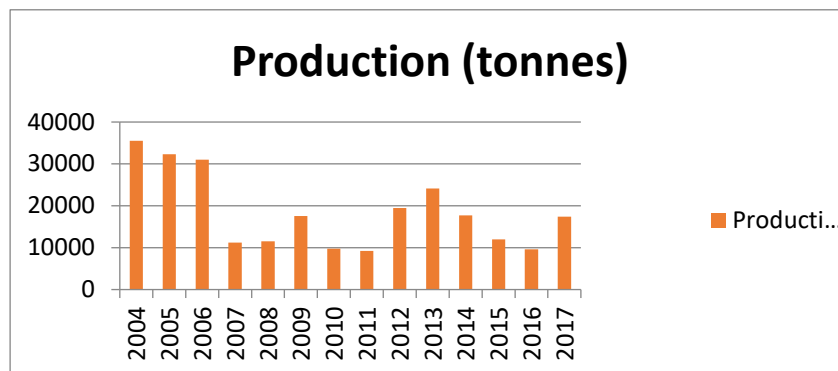
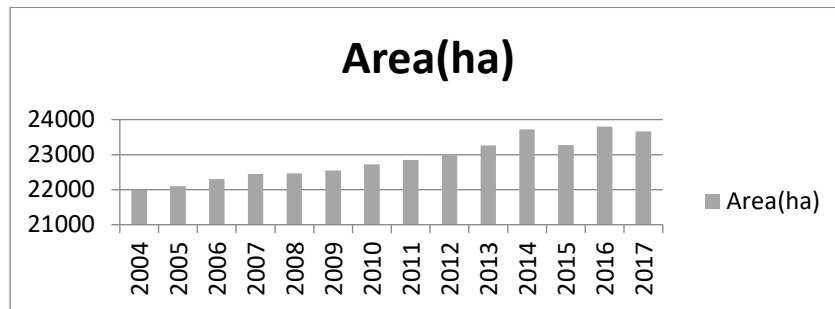


<sup>3</sup> Hegerl, G., Hasselmann, K., Cubasch, U. et al. Climate Dynamics (1997) 13: 613. <https://doi.org/10.1007/s003820050186>



### Fig production trend in the Bakhtegan Basin

- The area in fig production in the Bakhtegan Basin has increased from 22,000 hectares in 2004 to an average of approximately 23,500 hectares over the 5 year period from 2013-2017
- Total production (in Tonnes) declined to a third of previous production during the severe drought in 2007/2008, from approximately 30,000 tonnes to approximately 10,000 tonnes. Subsequently total production has been at least half of production levels prior to 2007/2008 due to the effects of sustained drought conditions.
- Average yield (tonnes/hectare) declined to nearly a quarter of previous yield levels during the 2007/2008 drought and yields have subsequently remained low compared to previous levels due to sustained drought conditions.



## Wildlife population trend in Bakhtegan Basin

Wildlife populations in the Bakhtegan Basin have declined dramatically during the last 50 years as a result of habitat degradation and reduced extent<sup>4</sup>. However, it has also been reported that the wildlife status is a bit better compared to other similar areas in Iran due to proper monitoring by the DoE. The basin is rich in fauna due to its large size and high habitat diversity.

More than 51 species of mammals have been identified from 17 families. Important species include *Caracal*, Persian leopard, Capra, Rueppell's fox, jungle cat, sand cat, brown bear, black-tailed gazelle, mouflon, and wild goat. Eight species are classified in the IUCN, eight species in the CITES attachments, and eight species are protected by Iranian rules in the list of protected species.

There are 51 species of reptiles and amphibians including 18 species of lizards, 26 species of snakes, 3 turtle species and 4 species of amphibians. One species is listed with the IUCN, two species are listed under CITES and four species are protected in accordance with Iranian rules. Most of the above wildlife is restricted to protected areas under DOE management due to destruction of their habitats and lack of presence in others. DOE protected areas include: Bakhtegan national park, Mambou national park, Margoun waterfall protected area, Tang-e-Betanak protected area, Basiran hunting forbidden area and Kouhsiah-e-Arsanjan hunting forbidden area.

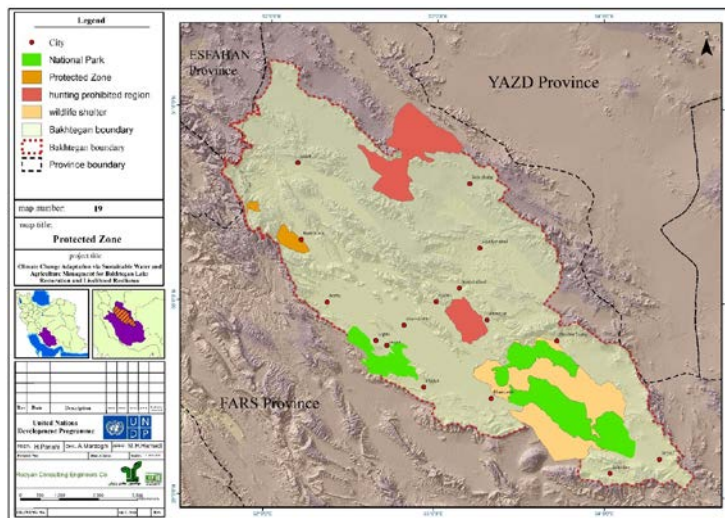
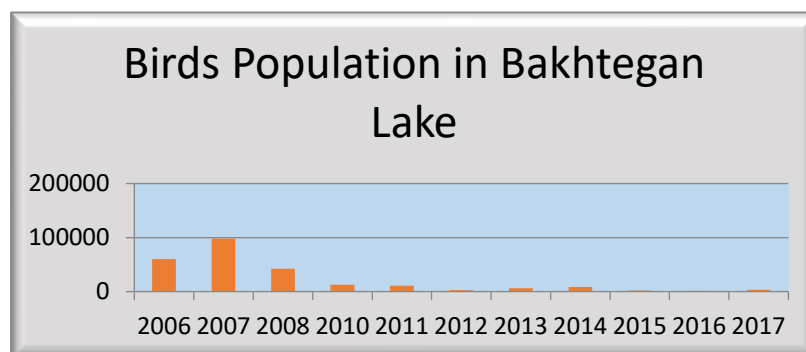


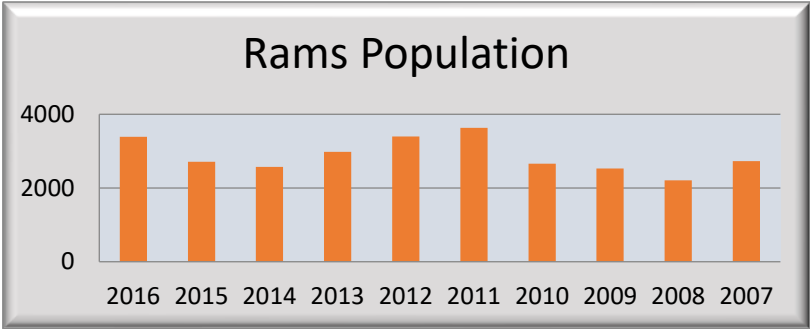
Figure 6: Location of national parks, protected area and hunting forbidden areas in the Bakhtegan Basin

- The population of plain species have severely declined due to conflicts and scarcity of water resources, e.g. Zebra and Chinkara
- The mountainous regions species are not severely affected, e.g., the goat that is less conflicts with drought constraints
- The population of wild birds are severely reduced in Bakhtegan and Tashk lakes and majority have been migrated to other reservoirs.
- We have been observed a fairly good population of birds in Kamjan Lake.



<sup>4</sup>Rooyan Consulting, 2007. *Studies on Environmental Challenges on Bakhtegan Lake*, in Persian.





### **Socio-economic and environmental status of the area in each of the four zones:**

Zone1: the branches of the Kor River, which originate from Mount Bel in Eghlid, are located in this zone. Kaftar wetland, the first entry point for aquatic migratory birds, is located in Zone 1 and has been dry due to the drought since 2007 and the biodiversity of this wetland has completely disappeared. On the other hand, the livelihood of the villagers in the region was dependent on the fishery, which is why there is no livelihood source at the moment. Reduction of precipitation in this area and uncontrolled water exploitation from the upstream areas of Kaftar wetland (Dasht-e-Nemdan) caused drought and decline in groundwater levels in zone 1. The Sivand River is dry and Kor River has water in the rainy years. These cases in zone 1 are summarized as follows:

#### **Environmental conditions:**

1. Dried Kaftar wetland
2. Reduction of flow into Molla Sadra and Sivand
3. Reduction of biodiversity in the upstream
4. Reduction in precipitation and increased temperature, Evaporation and transpiration
5. Increased conflicts between wildlife and residents of the catchment area

#### **Socioeconomics conditions:**

1. Reduced income from aquaculture
2. Reduced farmer and dairy farmers' income
3. Increased unemployment
4. Increasing mental and psychological problems
5. Increased divorce rate
6. Increased migration from villages to the city margins
7. Increased poverty

Zone2. Although in the counties of Zone 2, water flow in water resources has decreased in recent years due to decreased precipitation, but compared to other parts of the basin, there is no crisis. However, rice farms and fish farming are threatening the water resources of this basin. Due to the size of the area under cultivation, wildlife habitats being captured and harvesting of forest products, there is conflict with hogs and bears. These cases in Zone 2 are summarized as follows:

#### **Environmental conditions:**

1. Decreased precipitation
2. Decreased water flow into the Doroodzan
3. Drozden lake became an alternative habitat for aquatic birds of the region
4. Increased water exploitation from water resources
5. The conflict between farmers and gardeners

#### **Socioeconomic conditions:**

1. Increased rice farms
2. Villagers preference to cultivate rice and have fish ponds
3. Conflict with downstream counties over water

#### **Zone3:**

In this zone the water scarcity and its impact on the region's agriculture are being revealed. Agriculture in Zone 3 is moving towards changing the cultivation pattern and growing safflower. The proximity of Bamu National Park to some villages where having livestock is prevalent has created conflicts between livestock breeders and leopards. In this zone Kor River, which joins the Sivand River at the Khan Bridge in Marvdasht, is dry most of the year.

These cases in Zone 3 are summarized as follows:

#### **Environmental conditions:**

1. Dried Kor river
2. Destruction of the habitats of birds, pond turtles and aphanis fishes
3. Decreased springs flow
4. Conflicts between livestock breeders and leopards

#### **Socioeconomic conditions:**

1. Conflict with upstream farmers in spring when the water for agricultural purposes are being shared
2. Dried wells
3. Migration to cities
4. Increased unemployment rates

5. Tendency to change the pattern of cultivation toward safflower

#### **Zone 4:**

This zone is the most damaged part of the basin. In this zone the Bakhtegan, Tashk and Kamjan wetlands are located. The Tashkh and Bakhtegan wetlands were dried since 2007 and the Kamjan wetland have dried up completely since the mid-1960s. Reduced rainfall amount in this zone, the physical changes in the basin, increased water harvesting, especially in the upstream have caused severe crisis in the areas of biodiversity and economic in zone 4. Thousands of migratory birds used to come to these wetlands in winter, this population has been severely reduced or completely vanished over the past years. Wind erosion and dust storms in the area have damaged the crops and the health of the inhabitants of the wetland.

These cases in Zone 4 are summarized as the following:

#### Environmental conditions:

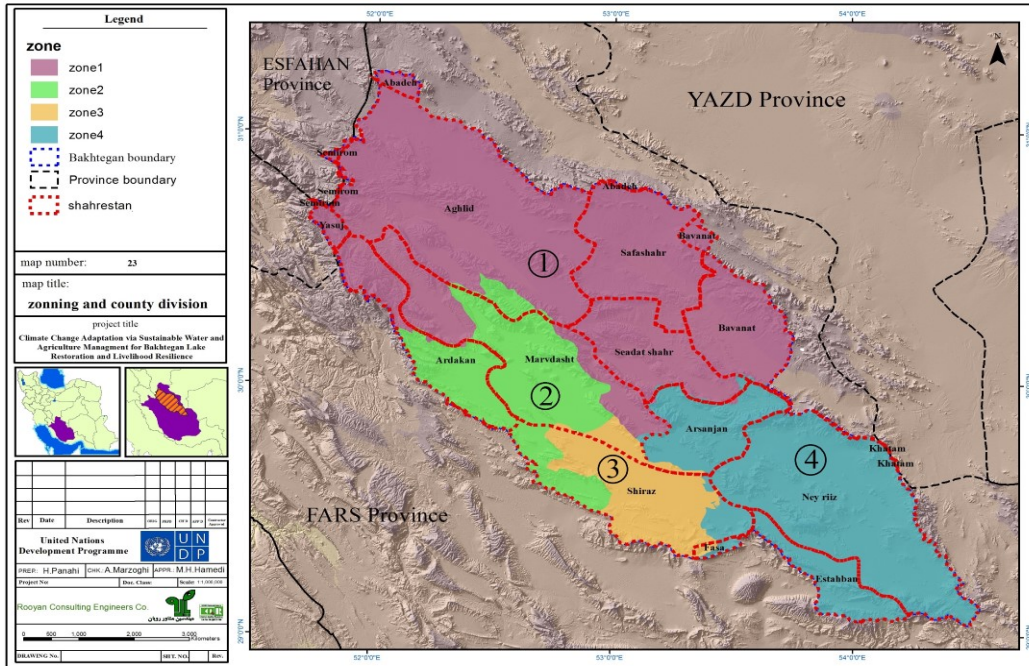
1. Reduced precipitations
2. Dried wetlands
3. Severely reduced migratory birds
4. Destruction of hatching habitats
5. Dried springs
6. The increased conflicts between farmers and birds
7. Wind erosion and increased dust storms

#### Socioeconomic conditions:

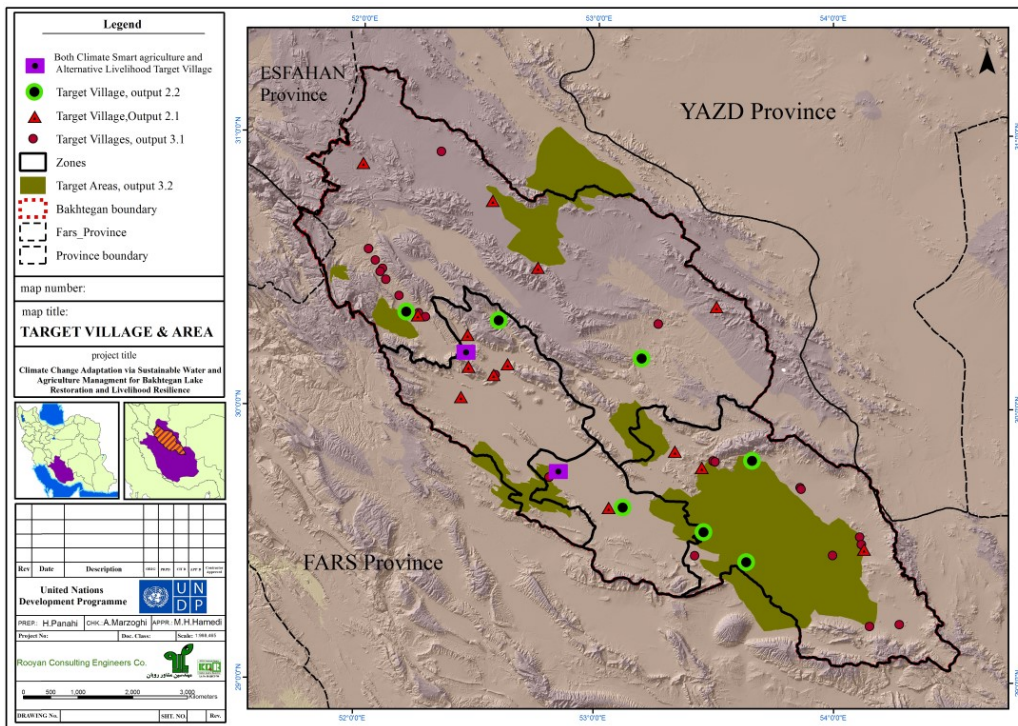
1. Unemployment
2. Increased migration
3. The growing trend of poverty
4. Increased divorce and crime rates
5. Decreased quality of farm crops and fruits such as fig
6. Increased rate of diseases(physical and mental)
7. Land destruction
8. Conflict with DOE, natural resources organization and water resources management organization

**Summary of targeted villages by Outputs and Zones**

|   | Zone 1   | Zone 2   | Zone 3   | Zone 4   |
|---|--|--|--|--|
| Output 1.1<br>Integrated models for climate risks   | All participating villages throughout the Bakhtegan Basin.   | All participating villages throughout the Bakhtegan Basin.               | All participating villages throughout the Bakhtegan Basin.     | All participating villages throughout the Bakhtegan Basin.   |
| Output 1.2<br>Land and water use planning framework   | All participating villages throughout the Bakhtegan Basin.   | All participating villages throughout the Bakhtegan Basin.               | All participating villages throughout the Bakhtegan Basin.     | All participating villages throughout the Bakhtegan Basin.   |
| Output 1.3<br>Local Community Monitoring  | All participating villages throughout the Bakhtegan Basin.   | All participating villages throughout the Bakhtegan Basin.               | All participating villages throughout the Bakhtegan Basin.     | All participating villages throughout the Bakhtegan Basin.   |
| Output 1.4<br>Education, capacity building, information and data management, communications | All participating villages throughout the Bakhtegan Basin.   | All participating villages throughout the Bakhtegan Basin.               | All participating villages throughout the Bakhtegan Basin.     | All participating villages throughout the Bakhtegan Basin.   |
| Output 2.1<br>Climate Smart Agriculture   | Khosroshirin, Ali abad, Kaftar   | Hossein abad, Haji abad, Bakyan, Bizjan Olya, Bidgol, Fotooh Abad, Hesar | Kuhak, Bandeamir   | Sharghabad, Zin abad, Ali abadmalek  |
| Output 2.2<br>Alternative Livelihoods   | Emamzadeesmail, Kordeshul  | Ali abad, Doroodzan  | Bandeamir  | Kamajan, Jamishi, Jazin, Khanekat, Shargh Abad   |
| Output 3.1<br>Forests and Rangelands  | Palangari, Bakian, Khaniman, Hajiabad, Allah Moradkhani, Dehdamcheh, Sarmast, Cham-e-riz and Bolaghi       |  |  | Charghalat, Kenare, Zino (Mohamadabad), Chahrokni, Dochahi, Chahmaleki, Temshouli, Tang-e-hana, Ghasemabad, Koushkak and Jahanabad |
| Output 3.2<br>National Parks and Protected Areas (There are no communities in these areas). | Margoun waterfall protected area; Basiran hunting prohibited area; Tang-e-bostanak hunting prohibited area |  | Bamou National Park; Kouhsiah-ersanjan hunting prohibited area | Kamjan Marshes; Bakhtegan National Park  |
| Output 4.1<br>Education and public awareness  | All participating villages throughout the Bakhtegan Basin.   | All participating villages throughout the Bakhtegan Basin.               | All participating villages throughout the Bakhtegan Basin.     | All participating villages throughout the Bakhtegan Basin.   |
| Output 4.2<br>Governance structure  | All participating villages throughout the Bakhtegan Basin.   | All participating villages throughout the Bakhtegan Basin.               | All participating villages throughout the Bakhtegan Basin.     | All participating villages throughout the Bakhtegan Basin.   |



The four zones identified for project targeting



| Selected villages per Output |              |      |                          |        |
|------------------------------|--------------|------|--------------------------|--------|
| No.                          | Village name | Zone | County                   | Output |
| 1                            | Khosroshirin | 1    | Abade                    | 2.1    |
| 2                            | Ali abad     | 1    | Abade                    | 2.1    |
| 3                            | Kaftar       | 1    | Eghlid                   | 2.1    |
| 4                            | Hossein abad | 2    | Marvdasht                | 2.1    |
| 5                            | Haji abad    | 2    | Sepidan(Beyza district)  | 2.1    |
| 6                            | Bakyan       | 2    | Marvdasht (Kor district) | 2.1    |
| 7                            | Bizjan Olya  | 2    | Marvdasht                | 2.1    |
| 8                            | Bidgol       | 2    | Marvdasht                | 2.1    |
| 9                            | Fotooh Abad  | 2    | Marvdasht                | 2.1    |
| 10                           | Hesar        | 2    | Marvdasht                | 2.1    |
| 11                           | Kuhak        | 3    | Shiraz                   | 2.1    |
| 12                           | Bandeamir    | 3    | Shiraz                   | 2.1    |
| 13                           | Sharghabad   | 4    | Arsenjan                 | 2.1    |

|    |                    |   |           |     |
|----|--------------------|---|-----------|-----|
| 14 | Zin abad           | 4 | Kherame   | 2.1 |
| 15 | Ali abadmalek      | 4 | Arsenjan  | 2.1 |
| 16 | Emamzadeesmaill    | 1 | Eghlid    | 2.2 |
| 17 | Kordeshul          | 1 | Pasargad  | 2.2 |
| 18 | Ali abad           | 2 | Marvdasht | 2.2 |
| 19 | Doroodzan          | 2 | Marvdasht | 2.2 |
| 20 | Bandeamir          | 3 | Shiraz    | 2.2 |
| 21 | Kamajan            | 4 | Kherame   | 2.2 |
| 22 | Jamishi            | 4 | Kherame   | 2.2 |
| 23 | Jazin              | 4 | Neyriz    | 2.2 |
| 24 | Khanekat           | 4 | Estahban  | 2.2 |
| 25 | Shargh Abad        | 4 | Arsanjan  | 2.2 |
| 26 | Palangari          | 1 | Kamfirouz | 3.1 |
| 27 | Bakian             | 1 | Kamfirouz | 3.1 |
| 28 | Khaniman           | 1 | Kamfirouz | 3.1 |
| 29 | Hajiabad           | 1 | Eghlid    | 3.1 |
| 30 | Allah Moradkhani   | 1 | Kamfirouz | 3.1 |
| 31 | Dehdamcheh         | 1 | Marvdasht | 3.1 |
| 32 | Sarmast            | 1 | Kamfirouz | 3.1 |
| 33 | Cham-e-zir         | 1 | Kamfirouz | 3.1 |
| 34 | Bolaghi            | 1 | Pasargad  | 3.1 |
| 35 | Charghalat         | 4 | Arsanjan  | 3.1 |
| 36 | Kenare             | 4 | Arsanjan  | 3.1 |
| 37 | Zino (Mohamadabad) | 4 | Estahban  | 3.1 |
| 38 | Chahrokni          | 4 | Nayriz    | 3.1 |
| 39 | Dochahi            | 4 | Nayriz    | 3.1 |
| 40 | Chahmaleki         | 4 | Nayriz    | 3.1 |
| 41 | Temshouli          | 4 | Nayriz    | 3.1 |
| 42 | Tang-e-hana        | 4 | Nayriz    | 3.1 |
| 43 | Ghasemabad         | 4 | Nayriz    | 3.1 |
| 44 | Koushkak           | 4 | Nayriz    | 3.1 |
| 45 | Jahanabad          | 4 | Nayriz    | 3.1 |

#### Output 2.1 Climate smart agriculture

##### The criteria for the selection of villages for Output 2.1 (Introduction of climate smart agriculture systems):

The selection of villages has been conducted on the basis of extensive consultations with the county authorities, communities, farmers, NGOs and CBOs.. The following items were considered:

1. Farmers with successful experiences, such as low-water and drought resistant crops with high yields/income such as the villages that cultivate saffron, safflower and pistachio as an alternative for rice
2. Governmental extension services with successful research and development experiences in reducing water consumption for agricultural purposes. The provision of this services will focus to villages, farmers willing to implement sustainable agriculture projects.
3. Existence of potentials and demonstration effect of less water-intensive agriculture with same yields and less GHG emission, including the support of village officials and the presence of leading farmers in Zone1, 2, 3 and 4.
4. The location of the villages and their impact on the surrounding villages (outside Zone 1, 2, 3, and 4), aiming to promote a spillover effect.
5. Villages dependent to agriculture for their livelihood/income and most impacted by drought: mostly farmers (Zone 4 being the most affected, zone 2 are mostly rice farmers and in the other zones farmers have dry farms of wheat and barley)

The list of selected 15 villages is below (that was compiled during the consultations)

|                    |   |
|--------------------|---|
| Village name:      | Khosroshirin  |
| Zone:              | 1   |
| Population:        | 2400  |
| Households:        | *   |
| Women population:  | 1100  |
| Children:          | 330   |
| Number of Farmers: | 950   |
| Number of workers: | 150   |
| Farm area(ha):     | Water farms:3000ha<br>Dry farms: 7000 ha<br>700ha apple trees<br>10 ha walnut trees |

|   |   |
|---|---|
|   | 200ha almond trees  |
| Animal husbandry  | Cattle breeding/40 households<br>Sheep breeding/40 households                           |
| alternative livelihoods that are being practiced              | Carpet weaving/80 households<br>Leather sewing/20 households                            |
| Number of women benefitting from Rural Women's Trust Fund     | None  |
| Sustainable agriculture techniques that has been already used | To use reduce water consumption, they cultivate beans                                   |
| Village name  | Ali abad  |
| County/ zone:   | Abade/1   |
| Population:   | 175   |
| Household:  | 45  |
| Farm area:  | 180 ha grapes, almond, apricot, walnuts,<br>7 ha saffron<br>Water source: dredged qanat |
| Number of farmers:  | 45  |
| Sustainable agriculture techniques that has been already used | Change in crop pattern<br>Saffron as an alternative crop                                |

Note: Ali abad villages are not the same as you can see; the zones and counties are different.

|  |  |
|--|--|
| Village name:  | Kaftar                                       |
| Zone:  | 1  |
| Population:  | 1700   |
| Households:  | 450  |
| Women population:  | 870  |
| Children:  | 180  |
| Number of Farmers:   | 450  |
| Farm area(ha):   | 1920<br>(20 ha apple gardens, 1900 ha farms) |
| Number of workers:   | 200  |
| Animal husbandry   | 50 households                                |
| households that are already practicing alternative livelihoods | 80 households                                |
| alternative livelihoods that are being practiced               | Carpet weaving                               |
| Number of women benefitting from Rural Women's Trust Fund      | 30 women                                     |
| Sustainable agriculture techniques that has been already used  | Change in crop pattern                       |

|   |   |
|---|---|
| Village name  | Hossein abad                            |
| County/ zone:   | Marvdasht/2                             |
| Population:   | 1200                                    |
| Household:  | 150                                     |
| Women:  | 510                                     |
| Children:   | 160                                     |
| Farm area:  | 200 ha                                  |
| Number of farmers:  | 200                                     |
| Sustainable agriculture techniques that has been already used | Water rationing and natural fertilizers |

|               |   |
|---------------|---|
| Village name  | Haji abad                                 |
| County/ zone: | Beyza/ 2                                  |
| Population:   | 381                                       |
| Household:    | 131                                       |
| Women:        | 170                                       |
| Children:     | 67  |
| Farm area:    | 400ha<br>Crops: wheat, barley, corn, rice |

|   |   |
|---|---|
|   | They do both the summer and winter cultivation on the same land |
| Number of farmers:  | 134   |
| Number of workers:  | 200   |
| Sustainable agriculture techniques that has been already used | none  |

| Village name  | Bakian  |
|---|---|
| County/ zone:   | Marvdasht/2   |
| Population:   | 2100,<br>500 of which live there but work somewhere else  |
| Household:  | 430   |
| Farm area:  | 700 ha rice, wheat<br>They do both summer and winter cultivation on the same land                   |
| Number of farmers:  | 400   |
| Number of workers:  | 100   |
| Sustainable agriculture techniques that has been already used | They ration water for their farms in this way: in 72 hours they just water their farms for 18 hours |

| Village name  | Bizjan Olya               |
|---|---------------------------|
| County/ zone:   | 2                         |
| Population:   | 345                       |
| Household:  | 100                       |
| Women:  | 164                       |
| Farm area:  | 50ha –Rice, Wheat, Tomato |
| Number of farmers:  | 110                       |
| Sustainable agriculture techniques that has been already used | None                      |

| Village name  | Bidgol   |
|---|--|
| County/ zone:   | 2  |
| Population:   | 1100   |
| Household:  | 286  |
| Women:  | 526  |
| Farm area:  | 1000ha- Rice, Wheat, Tomato, corn<br>5 ha Peach, Apple, Apricot garden |
| Number of farmers:  | 292  |
| Sustainable agriculture techniques that has been already used | None   |

| Village name  | Fotooh Abad   |
|---|---|
| County/ zone:   | 2   |
| Population:   | 834   |
| Household:  | 234   |
| Women:  | 352   |
| Farm area:  | 800ha farms : Rice, Wheat, Tomato - 10 ha garden: Peach, Apple, Apricot |
| Number of farmers:  | 230   |
| Sustainable agriculture techniques that has been already used | None  |
| Village name  | Hesar   |
| County/ zone:   | 2   |
| Population:   | 1577  |
| Household:  | 450   |
| Women:  | 352   |



|   |   |
|---|---|
| Farm area:  | 500 ha- Rice,Wheat,corn,Barley<br>350 ha garden:Almond,Walnut,Grape,<br>Pomegranate |
| Number of farmers:  | 440   |
| Sustainable agriculture techniques that has been already used | None  |

|   |  |
|---|--|
| <b>Village name</b>   | <b>Kuhak</b>   |
| County/ zone:   | Shiraz/ 3  |
| Population:   | 380  |
| Household:  | 70   |
| Women:  | 190  |
| Farm area:  | 1500 ha wheat, barley, alfalfa , safflower<br>3 ha pistachio |
| Number of farmers:  | 77   |
| Sustainable agriculture techniques that has been already used | Changing crop pattern  |

|   |   |
|---|---|
| <b>Village name:</b>  | <b>Bandeamir</b>  |
| Zone:   | 3   |
| Population:   | 1470  |
| Households:   | 360   |
| Women population:   | 742   |
| Children:   | 210   |
| Number of Farmers:  | 250   |
| Number of workers:  | 350   |
| Farm area(ha):  | 2360 ha agricultural lands<br>100 ha apple, pomegranate, pistachio trees  |
| Alternative livelihoods that are being practiced              | Carpet weaving/ 50 households<br>Mosaic workshops/ 1 households<br>Quail raising/ 3 households<br>Fisheries/ 2 households |
| Number of women benefitting from Rural Women's Trust Fund     | 100   |
| Sustainable agriculture techniques that has been already used | Change in crop pattern  |

|   |  |
|---|--|
| <b>Village name:</b>  | <b>Sharghabad</b>  |
| Zone:   | 4  |
| Population:   | 780  |
| Households:   | 232  |
| Women population:   | 365  |
| Children:   | 200  |
| Number of Farmers:  | 150  |
| Number of workers:  | 50   |
| Farm area(ha):  | 200 ha agricultural lands<br>100 ha pomegranate trees                    |
| Animal husbandry  | 102 households   |
| alternative livelihoods that are being practiced              | Carpet weaving/38<br>Sewing/5 households<br>Barbers/ 3<br>Beauty salon/3 |
| Number of women benefitting from Rural Women's Trust Fund     | None   |
| Sustainable agriculture techniques that has been already used | none   |

|                     |                 |
|---------------------|-----------------|
| <b>Village name</b> | <b>Zin abad</b> |
| County/ zone:       | Kherame /4      |

|   |   |
|---|---|
| Population:   | 243   |
| Women:  | 153   |
| Children:   | 33  |
| Farm area:  | 1400 ha<br>Wheat, barley, Alfalfa, Safflower<br>1ha pistachio           |
| Number of farmers:  | 82  |
| Sustainable agriculture techniques that has been already used | Changing Crop pattern<br>Safflower as an alternative for wheat and rice |

|   |   |
|---|---|
| Village name  | Ali abad malek  |
| County/ zone:   | Arsenjan/ 4   |
| Population:   | 1878  |
| Household:  | 600   |
| Women:  | 885   |
| Children:   | 330   |
| Farm area:  | 900ha wheat, barley, corn, tomato<br>40 ha pomegranate, peach |
| Number of farmers:  | 615   |
| Number of workers:  | 230   |
| Sustainable agriculture techniques that has been already used | 0   |

### Output 2.2: Alternative livelihoods

#### The criteria for the selection of villages for Output 2.2 (Alternative livelihoods):

The selection of villages has been conducted on the basis of consultation with the county authorities, NGOs and also field experiences.

The first criteria for selection of these villages was based on covering each of the four defined zones. The other criteria include:

1. **Signs of engagement and initiatives from the communities**, especially women. We can see initiatives for development in some of these villages as a few progressive people have started their own small enterprises although these enterprises are not providing them with enough income. Also a concern about their environment can be seen in these villages, as a local NGO has started working in Aliabad village and they were participating in other environmental projects and reporting environmental invasions to the DOE office.
2. **The location of the villages** and their impact on the surrounding villages.
3. **Capacity**, it seems that no other project is presently making demands on the villagers.
4. **Accessibility**, by road the villages are accessible by all vehicles throughout the year.
5. **Village management**, the selected villages have cooperative and accessible village chairmen.
6. **Biodiversity**, the impact of the villages' livelihoods on their surrounding biodiversity was considered.

#### Zone 1

**Emamzade Esmail village:** the village has vast grape lands. They exploit forest resources (Zagros). There is a conflict between local community and wildlife (such as brown bear) due to the competition over food supplies. It can be predicted that the alternative livelihood in this village can be a help to the conservation of the forest and water resources.

**Kordshul:** this village which is located in Zone 1, Pasargad County, is damaged in agriculture section due to the reduction of the groundwater level.

#### Zone 2

**Aliabad:** this village is located in Marvdasht County, Kamfirooz district. This region is famous for rice cultivation but due to the overuse of water resources some of the villages such as Aliabad has faced difficulties in agriculture, their livelihood used to rely on rice cultivation.

**Doroodzan:** this village uses surface water resources (Kor River), ground water resources, fertilizers and pesticides. They cultivate water consuming crops and the downstream water right is used for unsustainable agriculture in this region. Reduction of the livelihood reliability of this village on agriculture is one of the reasons for its selection.

#### Zone 3

**Bande amir:** Similar to Doroodzan this village uses surface water resources (Kor River), ground water resources, fertilizers and pesticides. They cultivate water consuming crops and the downstream water right is used for unsustainable agriculture in this region. Reduction of the livelihood reliability of this village on agriculture is one of the reasons for its selection.

#### Zone 4

**Kamjan, Jamishi and Jazin** are the downstream villages that are located in Zone 4 and their livelihoods which rely on agriculture, animal husbandry and buffalo raising are completely lost, in other words people has lost their income sources. In these villages even providing drinking water for the residents seems to be facing difficulties. Poverty, unemployment and migration is so obvious in these villages and their first priority is their livelihood. Earlier in Kamjan the alternative livelihoods were introduced to some extent so they are willing to cooperate in the upcoming relevant projects.

**Jazin:** it is located in Zone 4 and is selected due to its proximity to Tashk wetland. It is located in a situation between downstream villages and Zone 3 villages and the well water become saltine and the local community has turned into cultivating pistachio.

**Khane kat:** this village is close to Bakhtegan wetland and has lost its groundwater resources, its fig lands has been severely damaged and every year the villagers invade Bakhtegan wildlife shelter lands and turn these lands to their fig farms. This cause a major conflict between local community and DOE.

**Shargh abad:** the reason for the selection of this village is that the water resource of this village is Gomban spring while this spring is the only existing water resource for Tashk wetland and also the fact that they invade wetland lands for agricultural purposes. It was intended to consider alternative livelihoods besides sustainable agriculture, so their livelihood would be less dependent on agriculture.

| Village name:   | Kamjan   |   |
|---|--|---|
| Zone:   | 4  |   |
| Population:   | 2100   |   |
| Households:   | 370  |   |
| Women population:   | 1234   |   |
| Children:   | 365  |   |
| Number of Farmers:  | 317  |   |
| Number of workers:  | 620  |   |
| Farm area(ha):  | 1100   |   |
| livelihoods   | From   | to  |
| Livestock   | Sheep breeding: 50 households<br>Cattle breeding :110 households   | 70 households<br>140 households                           |
| alternative livelihoods                                   | Sewing /2 households<br>Mushroom production/25 households<br>Carpet weaving/35 households<br>Beekeeping/1 household<br>Guesthouse/ 1 household<br>Block building workshop/ 1 household<br>Homemade Tomato paste / 20 household<br>Homemade Pomegranate sauce/20 household<br>Local bread production/ 15 households<br>Local vegetable production/20 households<br>Local chicken production/10 households | 4<br>50<br>60<br>0<br>0<br>0<br>40<br>40<br>25<br>0<br>30 |
| Number of women benefitting from Rural Women's Trust Fund | 43   | 300   |

| Village name:     | Jamishi |
|-------------------|---------|
| Zone:             | 4       |
| Population:       | 296     |
| Households:       | 86      |
| Women population: | 90      |
| Children:         | 93      |

|   |                                 |    |
|---|---------------------------------|----|
| Number of Farmers:  | 86                              |    |
| Farm area(ha):  | 570                             |    |
| Number of stockmen:                                       | 22                              |    |
| Stock   | Cows- buffalos                  |    |
| livelihood  | From                            | To |
| Alternative livelihoods                                   | Chicken and turkey breeding :24 | 40 |
|   | Carpet weaving: 0 households    | 10 |
|   | Mushroom units: 0               | 5  |
| Number of women benefitting from Rural Women's Trust Fund | None                            | 60 |

|  |   |               |
|--|---|---------------|
| Village name:  | Khanekat                                      |               |
| Zone:  | 4   |               |
| Population:  | 1250  |               |
| Households:  | 340   |               |
| Women population:  | 600   |               |
| Children:  | 80  |               |
| Number of workers:   | 100   |               |
| Number of Farmers:   | 400   |               |
| Farm and garden area(ha):                                      | 610<br>(600 ha fig gardens, 10 ha farms)      |               |
| households that are already practicing alternative livelihoods | None  |               |
| Alternative livelihoods that are being practiced               | None  |               |
| Number of women benefitting from Rural Women's Trust Fund      | None  |               |
| Livelihood   | From  | To            |
| alternative livelihoods  | Products of fig(Sweet,Jam,sauce.etc):<br>None | 100 household |
|  | Fig packing & sorting:None                    | 40            |
|  | Carpet weaving :None                          | 10            |

|   |   |             |
|---|---|-------------|
| Village name:   | EmamzadeEsmail                              |             |
| Zone:   | 1   |             |
| Population:   | 2500  |             |
| Households:   | 560   |             |
| Women population:   | 1180  |             |
| Children:   | 300   |             |
| Number of Farmers:  | 560   |             |
| Farm area(ha):  | 800 ha grape farms                          |             |
| Number of workers:  | 200   |             |
| Animal husbandry  | 60 households                               |             |
| Livelihood  | From  | To          |
| Alternative livelihoods that are being practiced          | Packaging beans:1household                  | 5 household |
|   | Carpet weaving : 20 households              | 40          |
|   | Block building workshop: 1 household        | 5           |
|   | Grain Sifting: 4 households                 | 8           |
|   | Sheep husbandry: 60                         | 80          |
|   | Green Grape juice and raisin products: None | 20          |
| Number of women benefitting from Rural Women's Trust Fund | None  |             |
| Village name:   | Jazin                                       |             |
| Zone:   | 4   |             |
| Population:   | 753   |             |

|   |  |           |
|---|--|-----------|
| Households:   | 235  |           |
| Women population:   | 366  |           |
| Children:   | 105  |           |
| Number of Farmers:  | 100  |           |
| Farm area(ha):  | 80 ha pomegranate<br>30 ha pistachio<br>290 ha farm lands(Barley, wheat) |           |
| <b>Livelihood</b>   | <b>From</b>  | <b>To</b> |
| Alternative livelihoods that are being practiced                | Carpet weaving:10 households   | 20        |
|   | Block making unit: 1   | 2         |
|   | Pomegranate sauce : None   | 20        |
|   | Pistachio processing: None   | 10        |
|   | Wheat sifting : None   | 2         |
| Number of women benefitting from Rural Women's Trust Fund: None | 180  |           |

|   |   |  |
|---|---|--|
| <b>Village name:</b>                                      | <b>Sharghabad</b>                                     |  |
| Zone:   | 4   |  |
| Population:   | 780   |  |
| Households:   | 232   |  |
| Women population:   | 365   |  |
| Children:   | 200   |  |
| Number of Farmers:  | 150   |  |
| Number of workers:  | 50  |  |
| Farm area(ha):  | 200 ha agricultural lands<br>100 ha pomegranate trees |  |
| Animal husbandry  | 102 households  |  |
| Alternative livelihoods that are being practiced          | Carpet weaving/38                                     |  |
|   | Sewing/5 households                                   |  |
|   | Barbers/ 3  |  |
|   | Beauty salon/3  |  |
| Number of women benefitting from Rural Women's Trust Fund | None  |  |

|   |  |           |
|---|--|-----------|
| <b>Village name:</b>  | <b>Kordeshul</b>   |           |
| Zone:   | 1  |           |
| Population:   | 1100   |           |
| Households:   | 220  |           |
| Women population:   | 540  |           |
| Children:   | 120  |           |
| Number of Farmers:  | 180  |           |
| Farm area(ha):  | 1800 ha  |           |
| Animal husbandry  |  |           |
| <b>Livelihood</b>   | <b>From</b>  | <b>To</b> |
| Alternative livelihoods that are being practiced            | Mushroom production: 1 household   | 5         |
|   | Livestock food production:1 household  | 10        |
|   | Salty Cucumber and pickles production: 2 household   | 10        |
|   | Flux weed packing: None  | 10        |
|   | Bean packing: None   | 20        |
|   | herbal plants packing: None  | 20        |
|   | 50 ha of herbal plants were cultivated but due to the lack of market the farmers are not willing to continue |           |
| Number of women benefitting from Rural Women's Trust Fund:0 | 180  |           |

|                      |                 |  |
|----------------------|-----------------|--|
| <b>Village name:</b> | <b>Ali abad</b> |  |
|----------------------|-----------------|--|

|   |  |    |
|---|--|----|
| Zone:   | 2  |    |
| Population:   | 1420   |    |
| Households:   | 387  |    |
| Women population:   | 387  |    |
| Number of Farmers:  | 215  |    |
| Farm area(ha):  | 435 ha<br>100ha has been dried<br>335 ha is already under cultivation<br>20 ha garlic  |    |
| Animal husbandry  | 5 household  |    |
| Livelihood  | From   | To |
| Alternative livelihoods that are being practiced                | Carpet weaving: 3 household  | 10 |
|   | Mushroom production: 1 household   | 3  |
|   | Saffron packing : 0  | 2  |
|   | Garlic pickles: 0  | 10 |
| *Last year 2 households raised ducks but not this year          |  |    |
| Number of women benefitting from Rural Women's Trust Fund: None | 180  |    |
| Village name:   | Doroodzan  |    |
| Zone:   | 2  |    |
| Population:   | 1860   |    |
| Households:   | 700  |    |
| Women population:   | 800  |    |
| Children:   | 200  |    |
| Number of Farmers:  | 1350   |    |
| Farm area(ha):  | 900  |    |
| Number of workers:  | 150  |    |
| Animal husbandry  | 8 households   |    |
| Alternative livelihoods that are being practiced                | 18 households/carpet weaving<br>Rice processing workshops/ 3 households<br>Mosaic workshops/1 household<br>Sewing/ 1 household<br>Local chicken breeding/10 households |    |
| Number of women benefitting from Rural Women's Trust Fund       | 50   |    |

|   |   |
|---|---|
| Village name:   | Bande amir  |
| Zone:   | 3   |
| Population:   | 1470  |
| Households:   | 360   |
| Women population:   | 742   |
| Children:   | 210   |
| Number of Farmers:  | 250   |
| Number of workers:  | 350   |
| Farm area(ha):  | 2360 ha agricultural lands<br>100 ha apple, pomegranate, pistachio trees  |
| alternative livelihoods that are being practiced              | Carpet weaving/ 50 households<br>Mosaic workshops/ 1 households<br>Quail raising/ 3 households<br>Fisheries/ 2 households |
| Number of women benefitting from Rural Women's Trust Fund     | 100   |
| Sustainable agriculture techniques that has been already used | Change in crop pattern  |

|               |            |
|---------------|------------|
| Village name: | Sharghabad |
|---------------|------------|

|   |  |
|---|--|
| Zone:   | 4  |
| Population:   | 780  |
| Households:   | 232  |
| Women population:   | 365  |
| Children:   | 200  |
| Number of Farmers:  | 150  |
| Number of workers:  | 50   |
| Farm area(ha):  | 200 ha agricultural lands<br>100 ha pomegranate trees                    |
| Animal husbandry  | 102 households   |
| alternative livelihoods that are being practiced          | Carpet weaving/38<br>Sewing/5 households<br>Barbers/ 3<br>Beauty salon/3 |
| Number of women benefitting from Rural Women's Trust Fund | None   |

### Output 3.1- Ecosystem conservation in the Bakhtegan Basin

**The criteria for the selection of villages for Output 3.1 (A range of watershed management measures are implemented in target areas aimed at increasing resilience to drought risks)**

#### Zone 1

**Palangari, Bakian, Khaniman, Hajiabad, Moradkhani, Dehdamcheh, Sarmast and Cham-e-riz villages under Marvdasht and Kamfirouz counties;** the aforementioned villages are located in the Zagros mountain forest area. The selected forest degraded area has been under various threats during the last few decades due to over/illegal harvesting and the recent drought due to climate change. Continuation of current trends will lead to further destruction of forested areas in the Zagros Mountain. The suggested activities and improved management can help forest area survive and continue to sustain the livelihoods of people in the target village. Undeniably the forest also has a crucial role to play in conserving the soil and water resources as well as contributing to carbon sequestration.

**Bolaghi Village under Pasargad county;** the main land-use of this village is the rangeland in the hilly area. There is firstly, an issue of livestock overgrazing and secondly, a reduction of quantity and quality of the rangeland due to the dry climate conditions which have been faced by the targeted people under threat. Available existing social and technical capabilities for medicinal plantation in the aforementioned villages will require financial and technical support to reduce the high pressure on the rangeland. The targeted people currently have some small traditionally planted medicinal plantation areas.

#### Zone 4

**Charghalat & Kenare under Arsanjan county;** These two villages are located in the lowest south-eastern part of Bakhtegan wetland. Rainfall reduction and the recent prolonged drought are the most important challenges faced by local people in these villages. The steep slope and hilly terrain conditions of the upper marginal lands causes high intensity, short duration, rainfall, with rapid surface runoff. Construction of artificial surface water recharge and checkdams will enable surface runoff to penetrate the shallow and deep aquifers. The suggested activities can also help compensate for the very high reductions in well water levels in the targeted villages.

**Zino (Mohamadabad) village under Estahban county;** this village is located in an arid climate area which is under high pressure from the extended dry condition. The main land use is low quality rangeland and some small cultivated areas. The drought conditions have resulted in reduced income in the targeted village which has resulted in some villagers migrating to urban areas. Recently, the local farmers have planted rose flowers to help them survive economically and also to reduce the high pressure on ground water through cultivating a reduced area. The existing capabilities to develop the rose flower plantation in some rangeland and the arable areas is the main focus for this village.

**Chahrokni and Dochahi villages under Nayriz county;** these two villages are located in the side of the Bakhtegan wetland that has intensified desert conditions with degraded vegetation cover. The rehabilitation of the vegetation cover will help to reduce the intensity of desertification. The suggested hoeing-sowing and pitting activities will improve the quality and quantity of rangeland conditions in the targeted villages' lands. The suggested activities will also rehabilitate the ecosystem conservation as well as the targeted farmers' livelihoods.

**Chahmaleki, Temshouli, Tang-e-hana and Ghasemabad villages under Bakhtegan 1 county;** Traditionally these villages have planted fig and almond. Both fig and almond trees are resistant to dry climate condition with the local people adapting autonomously to the changing climate. The targeted villages have the knowledge to develop the above species and just need some technical and economic supports to provide the production inputs. The existing participatory approach between the targeted people is the main advantage that will also guarantee success with the suggested activities. The existing plantation and caretaking of the plantation areas are one of the most successful methods for water and soil conservation in the targeted villages.

**Koushkak and Jahanabad villages under Bakhtegan 2 county;** both targeted villages are located on the eastern side of the Bakhtegan wetland. The salinity, alkaline and heavy soils as well as the weak drainage system plus the prolonged dry period and drought conditions in the poor rangelands have resulted in non-productive plantations in the face of desertification. The targeted site will protect the targeted villages/people against wind storm/erosion. Haloxylone and Tamarix and some similar varieties to be suggested by the national experts will be planted to protect the targeted sites. Another aspect benefit will be improvement of the landscape of the targeted areas.

#### Some more interpretations Output 3.1 activities and the relevant target villages

| Activity   | Target Village(s)  | Population   |
|--|--|--|
| Executing the soil and water conservation with the Masonry Checkdams and Five water recharge ponds                             | Charghalat & Kenare Villages under Arsanjan County   | Charghalat: 303 people<br>Kenare: 155 people   |
| Rangeland rehabilitation by using:<br>- hoeing sowing in 100 ha<br>- Pitting for rainfall detention in 250 ha                  | Dochahi & Chahrokni Villages under Nayriz County   | Dochahi & Chahrokni: 70 and 40 households who are doing outdoor animal husbandry in the rangelands   |
| Combat desertification with:<br>- Fig and Almond plantation in 200 ha<br>- Non-productive tress plantation in 250 ha           | Chahmahaki, Temshouli, Tang-e-hana, Ghasemabad, Abasabad and Bestroum under Bakhtegan1 County<br>Koushkak & Jahanabad under Bakhtegan 2 County | Chahmahaki: 1000 people<br>Temshouli: 1980 people<br>Tang-e-hana:1515 people<br>Ghasemabad: 2035 people<br>Abasabad:513 people<br>Bestroum:3187 people<br>Koushkak:1969 people<br>Jahanabad: 1576 people |
| Development the medicinal plants:<br>- Rose flower plantation in 200 ha<br>- Prangos ferulacea (L.) Lindl plantation in 100 ha | Zino & Bolaghi villages under Estahban and Pasargad Counties respectively  | Zino & Bolaghi: 1140 people  |
| Protection and development of Zagros forest with:<br>- Seeding reforestation<br>- Agro-forestry                                | Palangary, Bakian, Khaniman, Hajiabad, Moradkhani, Dehdamche, Sarmast, Chameriz and Dehdamche villages under Marvdasht County                  | Relevant villages total population: 10780 people   |

#### Output 3.2- Rehabilitation and conservation in protected areas

##### The criteria for the selection of villages for Output 3.2

##### Zone 1

**Margoun waterfall protected area;** the Margoun waterfall protected area is located in the north-western mountain part of the Bakhtegan Basin. The targeted site totally depends on water resources that were negatively affected by water shortage resulting from drought and the extended dry period over the last decade. The waterfall is not only a unique landscape feature in the Bakhtegan Basin but also is the main livelihood source for local people. The serious water resource reductions due to last decade of drought has resulted in a fragmented condition of the target protected area. The suggested biodiversity monitoring will improve the stakeholders' decisions and reactions towards following more resilience policies and management.

**Basiran hunting prohibited area;** the targeted area is located in the north-eastern part of the basin in a mountainous forest area. The extended drought period and the high frequency of hunting have increased the threats to wild life. Participatory engagement will local people, constructing the artificial wildlife watering, artificial wild feeding in the dry and hot summer and raising the level of protection from "prohibited hunting area" to "protected area"; are the main project activities to enhance the resilience of wildlife in the targeted area.

**Tang-e-bostanak hunting prohibited area;** is one of the important shelters for the wildlife in Bakhtegan Basin. The human offenses and the high intense water shortage are the main threats for the wildlife and biodiversity in this area. Protecting endangered wild species through construction of the artificial watering and feeding in summer and improving the biodiversity monitoring system are the main proposed adaptation activities. The suggested activities will also improve the level of protection from "prohibited hunting area" to "protected area".

##### Zone 3

**Bamou national park;** Bamou national park (BNP) is categorized as a dryland ecosystem in the Bakhtegan Basin which has been affected by both human impacts and climate change. The engagement with local people in a participatory manner



and raising the level of protection are the main two approaches to increase the level of the resilience in BNP. This approach therefore recognizes rural communities as key partners in biodiversity management and seeks their participation in social development and biodiversity conservation. Some analysis results from independent sources revealed a moderate general knowledge about MNP and environmental issues, the lack of interaction between local people and government authorities, eagerness to participate in the activities of BNP, general support for the conservation cause, and important differences among the surrounding villages.

**Kouhsiah-e-arsanjan hunting prohibited area;** is another shelter for the wildlife in Bakhtegan basin which is located in the highest dryland ecosystem compared to the previous hunting prohibited area. The suggested activities follow the same approach that was explained for the Tang-e-bostanak hunting prohibited area. The main outcome of the suggested activities will be to increase the resilience of the targeted area against the climate change through development of a bottom-up participatory management system.

#### **Zone 4**

**Kamjan wetland;** is one of the registered wetlands under the Ramsar convention which has been adversely affected by the expansion of agriculture area along with the aggregated droughts in Zone 4. Kamjan wetland has become one of the most important wildlife shelters for the migrant birds, buffalo husbandry by the local targeted people in the surrounding targeted villages. Once one of the biggest wetlands in the Bakhtegan Basin, Bakhtegan and Tashk wetland, is now completely dried. The suggested two activities include: i) biological treatment of drainage inputs to the wetland and also engagement with surrounding farmers to encourage reductions in agro-chemical usage; and ii) reformation work to the bed of the wetland to increase its depth and capacity, which will help the sustainable resilience of the wetland through dry periods.

**Bakhtegan National Park (BNP);** BNP consisted of the both aquatic and dryland ecosystems in the Bakhtegan Basin with the aquatic part now dry. The dryland ecosystem habitat is also under serious threat and will require urgent rehabilitation work to sustaining it. The high competition between wildlife and livestock for limited water and food is one of the biggest challenges which will require engaging a bottom up participatory management system among the other suggested activities to build resilience of BNP against the now prevailing dryland conditions. These actions may help the survival of wildlife and assist the local people towards developing sustainable livelihoods.

### **The Law of the 6th Five-Year Development Plan of the Islamic Republic of Iran (enacted by the Islamic Consultative Assembly on 4 March 2017)**

**Article 35** - The government is required to take the following measures, in order to cope with the water crisis, release environmental water rights for land sustainability, sustainability and increased production in the agricultural sector, balance underground aquifers, and promote productivity and balance water levels to eleven billion cubic meters, in the year ending the implementation of the Law of the 6th Development Plan:

- A) Increase yield per unit area and increase productivity in agricultural production with priority assigned to products with relative advantages and high export value; and products with low water consumption requirement and compatible with salt, drought resistant and observance of cropping methods compatible with the area
- B) Development of new irrigation methods, implementation of water and soil operations (structural and non-structural), and development of floodgates and pond systems, at least six hundred thousand hectares per year  
*Note - For the development of new irrigation methods, at least 85% of expenditures are financed and paid by the government within the framework of annual budget.*
- C) Support the development of greenhouses and the transfer of cultivation from open to controlled space, and recycling of wastewater, unconventional water management and virtual water management
- D) Designing and implementing a cropping pattern with emphasis on strategic products and promoting water productivity in the framework of general policies of 'Resistive Economy' and providing resources and requirements within the framework of annual budget, and applying appropriate support and incentives only within the framework of the cropping pattern
- E) Revitalization, restoration and dredging of Qanats at an annual rate of 5% of the current situation during the implementation of the Law of the 6th Development Plan, with an emphasis on watershed management activities to revive Qanats
- F) Building the infrastructure needed to breed two hundred thousand fish in basins until the end of implementation of the Law of 6th Development Plan, and development of fisheries activities and establishment of infrastructure on major coasts of the country.
- G) Electrifying agricultural wells having exploitation licenses  
*Note - The resources required for the implementation of this clause shall be provided through saving fossil fuels subject matter of Article 12 of the Law on the Elimination of Barriers to Competitive Production and Enhancing the State Financial System, passed on 21.04.2015.*
- H) Installing smart and volumetric water meters on agricultural wells having exploitation licenses, together with provision of facilities from the administered funds until the end of implementation of the Law of 6th Development Plan.
- I) Using water extracted from dams, with priority assigned to supplying drinking water in the catchment basin of the dam site.
- J) Providing farmers with irrigation right (the right of taking a fixed amount of water) from dams constructed on rivers, springs and aqueducts (Qanats).
- K) Re-structuring of water consumption in steel, alloys and minerals factories, and improving the systems of cooling and washing raw materials, by the end of the fourth year of implementation of the Law of 6th Development Plan
- L) The government is required to develop a cultivation pattern for all parts of the country by the end of the first year- and implement it during the years of, implementation of the Law of 6th Development Plan. The Ministry of Energy is required to allocate water to farmers in accordance with the cultivation pattern.

### **Ministry of Energy's Water Strategy**

MoE's Water Strategy endorsed in May 2013 have clear guidelines related to the promotion of integrated management of water resources and re allocation of water rights as follows:

- Devising and implementing a comprehensive national document on managing water resources in collaboration with all stakeholders and authorities

- Recognizing that the past efforts to manage and preserve water resources in the long run, including a program introduced in 2004 as part of the country's Fourth Five-Year Economic Development Plan, have been insufficient or poorly implemented.
- Plans to restore balance to underground water reserves and help curtail drawdown of underground waters by 8 billion cubic meters
- Iran must take meaningful steps toward preserving its precious water resources in the face of a long spell of drought and dwindling rainfall by recycling wastewaters,
- Dam Construction Revisited: to revisit an excessive and imprudent trend of dam construction in the past several decades.
- New dam projects, which are being designed or constructed, will be reassessed based on hydrological changes, environmental impacts and economic feasibility.
- Plans to upgrade dilapidated irrigation systems in an agriculture sector that is responsible for more than 90% of Iran's annual water consumption.

### Background to SimCLIM and CLIMsystems

SimCLIM is the only available scenario generator which uses CORDEX RCM data (all bias corrected) that is integrated directly with GCM data so that master ensembles of RCM and GCM data can be applied. The ability to access this many models and to rapidly build ensembles and thus conduct statistical analysis on the ensembles (90th and 10th percentile or any percentile of your choosing) is not available with any other tools. This follows IPCC best practice guidance.<sup>5</sup>

CLIMsystems, the company behind SimCLIM, are very transparent on the limitations of application of their software and data. They also have high quality daily extreme event analysis tools within the software that are driven off the results of daily GCM models. This is the only tool that permits such rapid assessment of extremes, not just rainfall but also heat events. These are site specific tools.

The only alternative approach to that available with SimCLIM is to do things from scratch, either by using GCM/RCM output data directly, or by following the methodology used in SimCLIM. Many researchers and consultants have developed their own software code to do this, but only for their own research or consultancy purposes. Working directly with RCM and GCM data is not advisable. Data first needs to be acquired and not just for a handful of models. The IPCC guidance recommends using as many models as possible. Then you need to check the data and clean it and process it using bias correction methodologies and so on. This is very time consuming and considerable expertise is required. It is very easy to make mistakes. Such work takes time, years in some cases, and a lot of bandwidth, computer storage and processing power.

A lot of the underlying work done by CLIMsystems over many years is documented in the following series of LinkedIn posts:

<https://www.linkedin.com/pulse/brief-introduction-how-apply-idf-information-chonghua-yin>  
<https://www.linkedin.com/pulse/small-note-updating-short-duration-idf-curves-under-climate-yin>  
<https://www.linkedin.com/pulse/do-get-confused-change-factor-method-bias-correction-when-yin>  
<https://www.linkedin.com/pulse/bias-correct-methods-used-statistical-adjustment-gcmrcmsdsm-yin>  
<https://www.linkedin.com/pulse/statistical-bias-correction-subdaily-daily-chonghua-yin>  
<https://www.linkedin.com/pulse/what-governs-decision-making-process-when-moving-from-chonghua-yin>  
<https://www.linkedin.com/pulse/analysis-extreme-precipitation-changing-climate-chonghua-yin>  
<https://www.linkedin.com/pulse/pathways-regionalized-climate-change-informaton-chonghua-yin>

Also note that CLIMsystems are on the following lists:

<http://www4.unfccc.int/sites/nwp/Pages/item.aspx?ListItemId=22964&ListUrl=/sites/nwp/Lists/MainDB>  
<http://www4.unfccc.int/sites/NWP/pages/item.aspx?ListItemId=22991&ListUrl=/sites/nwp/Lists/MainDB>  
<http://www4.unfccc.int/sites/nwp/Pages/item.aspx?ListItemId=22989&ListUrl=/sites/nwp/Lists/MainDB>

<https://www.ctc-n.org/network/network-members/climsystems-ltd>

If you go to the UNFCCC site and inputs risk assessment tools you get a list:

<http://www4.unfccc.int/sites/nwp/Pages/Search.aspx?k=risk%20assessment%20tools#>

Note that most on this list are service providers (consultants) and some of them are actually using SimCLIM and other CLIMsystem tools.

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<sup>5</sup> Knutti, R., G. Abramowitz, M. Collins, V. Eyring, P.J. Gleckler, B. Hewitson, and L. Mearns, 2010: Good Practice Guidance Paper on Assessing and Combining Multi Model Climate Projections. In: Meeting Report of the Intergovernmental Panel on Climate Change Expert Meeting on Assessing and Combining Multi Model Climate Projections [Stocker, T.F., D. Qin, G.-K. Plattner, M. Tignor, and P.M. Midgley (eds.)]. IPCC Working Group I Technical Support Unit, University of Bern, Bern, Switzerland.

### **1. Organization carrying out the project**

- a. Registered NGO or recognized CBO in the village
- b. Existence and effectiveness of decision-making structures/ board
- c. Existence of a bank account
- d. Required administrative attachments
- e. Description of past experience and lessons learned from them
- f. Influence on and other groups in the village involved in the project
- g. Grassroots ownership (potential tensions for ownership of the project?)
- h. Identification of potential risks and barriers to the implementation
- i. Scoping and designing an adaptation project
- j. Engaging stakeholders in the adaptation process

### **2. Local vulnerability and resilience analysis**

- a. Identification of climate related risks and their drivers
- b. Analysis of ecosystems and land practices current and future vulnerability
- c. Analysis of community current and future vulnerability

### **3. Adaptive capacity and resilience building**

- a. Assessing vulnerability for climate change adaptation
- b. Assessment of current and future adaptive capacity
- c. Analysis of available coping strategies
- d. Previous attempts to tackle environmental issues
- e. Check if different options have been explored
- f. Technical / scientific survey conducted
- g. Viability of chosen option
- h. Promotion of traditional coping practices
- i. Developing and formulating adaptation strategies

### **4. Compliance of the goal with targeted environmental areas**

- a. GEF focal areas [operational programme]
  - i. Climate Change adaptation under the countries CPS for the phase
  - ii. CBA programme overall goal
- b. Approved CBA Country Programme Strategy
  - i. Geographical sectors identified
  - ii. Thematic areas identified
- c. Other National and Local Policies that should be influenced and or promulgated out of the project experiences

### **5. Benefits of the project**

- a. Beneficiaries
  - i. Most vulnerable groups (youths, women, fishermen, other disadvantaged etc)
  - ii. Future generations
  - iii. Other secondary beneficiaries via capacity building / raising awareness activities
  - iv. Respect of gender equality, balance between socio economic groups, human rights etc
- b. Measurable benefits
- c. Long term and immediate benefits
- d. Sustainable livelihoods provisions both for immediate and long terms agenda
- e. Provision of Global Environmental Benefits (GEB)-optional but highly recommended
- f. Resilience building around and to promote these GEBs

### The outputs of the consultative meetings in the downstream counties

A. First workshop: December 15<sup>th</sup>, 2017

Venue: Kherame County (with the participation of both Kherame and Arsenjan counties stakeholders)

The first workshop was held in Kherame governmental office with the participation of the governmental and local stakeholders from Kherame and Arsenjan counties. It was requested from the participants to discuss the impacts of drought on the natural resources and their livelihoods.

Participants' point of view on the impacts of climate change and drought on the cities and villages of the downstream of the basin:

1. Creation of new water rights from Kor river
2. Change in the local community livelihoods
3. Being obliged to have illicit jobs in the cities
4. Compulsory change of cultivation pattern
5. Conflicts between government and people
6. Water Conflicts among basin counties
7. not considering the environmental water rights in the allocation of water resources
8. Increase in divorce (according to available documents at the court counseling center), depression and crime rates
9. Increased dust winds
10. Increased water consumption (agriculture and household) due to low humidity because of lakes drying out
11. Increased digging new illegal wells
12. Increased agricultural production costs and lack of economic feasibility
13. Closure of the agricultural section
14. Farmers' debts to banks and compulsory escape from the region
15. Migration to Shiraz
16. The loss of immigrants' social structure and culture can cause a grief reaction. Depressive symptoms including significant decline in self-esteem and self-identity can be seen among them.
17. Increased crime
18. Damages to conversion industries
19. loss of livelihood avenues in Korbala
20. students are forced to leave school due to poverty
21. loss of agricultural insurances
22. Change in the usage of dams from power generation to agricultural water supply
23. Land degradation and land use change
24. Increased skin diseases
25. loss of the wetland biodiversity
26. groundwater-level declines of approximately 200 meters
27. Saltwater intrusion
28. Decrease in agricultural productions
29. Cultural bereavement, a paramount aspect of the migrant's experience
30. The area under cultivation has been declined, for example in some areas it has been declined to 1500 hectares from 4300 hectares
31. Livestock reduction, Hassan Abad village is a case that can be mentioned as an example. This village was famous for its buffalos, and now the number of buffaloes has dropped from 1,000 to 230.
32. Changes in wetland area with high fluctuations
33. Reduced wet surfaces
34. Temperature fluctuations between night and day
35. Increasing desertification
36. Overgrazing and rangeland destruction and deterioration\*
37. Indiscriminate exploitation of the forest products such as *Pistacia atlantica*, cumin and thyme\*

\* Management of Exploitation in rangelands and forests, monitoring forests and rangelands, and collaborative conservation are the proposed solutions for the conservation of forests and rangelands.

Proposed solutions by participants for Climate Adaptation in the Bakhteghan basin:

1. promote sustainable alternative livelihoods such as:
  - sewing
  - carpet weaving
  - local chicken raising (local chicken farming)
  - Local Bread Production

- Packaging workshops
  - Local dairy production
  - Ornaments and leather productions( they should be trained first)
  - Horse training and launching riding clubs
2. Setting up rural small grants
  3. Eco-tourism projects and attracting tourist considering the potentials of the region such as:
    - A place named Qanat in Arsenjan
    - Pomegranate festival in Arsenjan
    - Bird watching
    - Agro tourism and rural tourism
    - local foods festivals
    - traditional and religious ceremonies like Taaziee
  4. establishing private hunting districts
  5. planting *Carthamus tinctorius*

The challenges of implementing these suggested solutions were discussed to be:

- Incompatibility with existing laws
- Inconsistencies between executive authorities
- The lack of license for selling local productions Due to the lack of sanitary and standard permits

So with trainings for the development of home-based businesses, doing feasibility studies and creating a market for more sustainable alternative businesses, these challenges can be overcome.

B. The second workshop: December 16<sup>th</sup>, 2017

Venue: Estahban County (with the participation of both Estahban and Neyriz counties stakeholders)

Based on the comment of the international consultants, in the second workshop the focus was on **Approaches to adaptation** based on current conditions. In the beginning, the existing approaches which have been used by the stakeholders for dealing with the situation caused by drought had been discussed (With a focus on the local community livelihood and the supports that they receive from authorities). Then it was requested from the participants to submit their solution suggestions. The challenges for implementing these solutions were also discussed. The outputs of this session are provided in Table 1.

Table1. The outputs of the first section of workshop

In the second part of the workshop, the Governance status, the legislation and the impact of different levels (national, provincial, local) on decision making was illustrated as in the following diagram. It was concluded from this part that in the current managing structure, no place has been considered for native communities and NGOs.

## ANNEX 8 - SOCIAL AND ENVIRONMENTAL SCREENING PROCEDURE

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the [Social and Environmental Screening Procedure](#) and [Toolkit](#) for guidance on how to answer the 6 questions.

### Project Information

| <b>Project Information</b>          |   |
|-------------------------------------|---|
| 1. Project Title                    | Climate Change Adaptation via Sustainable Water and Agriculture Management for Lake Bakhtegan Restoration and Livelihood Resilience |
| 2. Project Number                   | 6190  |
| 3. Location (Global/Region/Country) | Iran  |

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

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

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

The Bakhtegan Basin is located in the northeast of Fars Province in the south of Iran and is home to 854,093 people. It is the heart of Persian civilization and culture, with the ruins of Persepolis and other important archaeological sites located within the basin. The basin's hydrological system is collapsing, resulting already in a situation that is complex with negative environmental, social and economic impacts. The social costs of the drying of the Bakhtegan Basin are already manifesting. Migration is an important issue. In parts of Kharimeh, in the lower part of the basin, 100 percent of jobs have been destroyed. Social cohesion has been lost, with displaced farmers and their families moving to urban fringe areas where they no longer have their self-respect.

In this context, the project preparation and planned implementation process follows a human-rights based approach. In the face of climate change impacts and unsustainable land and water management and agricultural practices, the project supports the Iranian government's efforts to ensure access to sustainable livelihoods, water and productive land through integrated land and water resources management and restoration and conservation of critical ecosystems.

The project will directly benefit families who are especially vulnerable to the impacts of climate change, through the design and implementation of concrete adaptation measures for more efficient agricultural practices and use of water resources, along with diversification of livelihoods. Providing families with alternatives and improving community economic bases will also help reduce the migration of rural communities to urban fringe and the associated increase in crime, violence and drug use.

The main opportunity for this project therefore is to provide a foundation for building resilience to climate change in the basin through a holistic, integrated, watershed management approach. To achieve this will require a completely different way of thinking and acting, with a shift in thinking required from the current mind-set of high water dependence and use to the already new reality of a dryland environment with water scarcity. This can only be achieved through a process of participatory engagement with both the immediately affected vulnerable communities and those who are less vulnerable but are practising unsustainable water and land use and management practices to the detriment of all.

Potential project-related concerns and/or grievances of local communities will be addressed through a complaint's register along with a Grievance Redress Mechanism consistent with the UNDP's Stakeholder Response Mechanism: Overview and Guidance (2014). The Grievance Redress Mechanism will be designed in consideration of the specific local context and draws on existing processes and procedures for the resolution of complaints and grievances

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

Communities within the Bakhtegan Basin, particularly in the rural areas, have strong social networks and support systems. However, the unfolding land and water crisis has had serious social impacts. The loss of rural livelihoods, in particular through lack of water, environmental degradation and declining production, has directly resulted in migration to urban areas, loss of self-esteem, increased divorce rates, increased drug use and addition and increased crime.

The project is designed to build on and enhance these existing social structures and initiatives and therefore has a strong foundation to work from to ensure the social sustainability of project outcomes. This will be achieved in two key ways. Firstly, the strong focus on education and capacity building in a participatory manner which



builds long-term ownership will directly strengthen the social sustainability of participating individuals and communities. Secondly, the communication of project results widely to all people throughout the Bakhtegan Basin combined with an emphasis on sharing stories and fostering constructive dialogue between communities in different parts of the basin will provide enduring social benefits to the whole population.

Consultation workshops have been held within the Bakhtegan Basin, along with visits to potential project sites and villages. In each workshop there was an introductory presentation on the project followed by an overview from the local governor, and then a facilitated process with participants to identify issues and needs. The needs of women were specifically identified in the workshops. This included an extended discussion in the Estabhan workshop on the Rural Women’s Trust Fund, which is a mechanism for support women who are seeking to develop alternative livelihood practices. One of the main foci of this fund is gender equity, with the goal of empowering women. This discussion highlighted the fact that this fund has had successes and failures and that the project needs to learn from these lessons to ensure that it works effectively.

To ensure that the project does not exclude women, or increases the inequality gap, a gender analysis will be undertaken in the first phase of the project to assess divisions of labor and women’s role and access to resources and to develop recommendations on how project will promote women’s equality and empowerment, including participation in project decision-making. Measures will ensure that women receive an equitable share of benefits and that their status and interests are not marginalized.

Female representation in project decision-making bodies will be ensured. Participatory processes will include specially designed methodologies that enhance the participation of women and therefore enhance the inclusion of their views into the activities of the project, using existing mechanisms for representing women’s views, such as the Rural Womens’s Trust Fund and other women’s associations.

For monitoring, disaggregated and measurable data related to gender equality and empowerment of women will be incorporated. Furthermore, when possible, measures and techniques that can have a positive impact by closing the gap of inequality between men and women will be promoted.

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

The current crisis in the Bakhtegan Basin is first and foremost an environmental crisis. The environmental issues in the basin are large, widespread and complex. This project cannot address them all and it cannot undo the progressive, and rapid, changes that have arisen since the 1960s that have resulted in the drying of the Bakhtegan Wetland and is now threatening the whole hydrological system of the basin.

The project has therefore been carefully designed to encompass what can be realistically achieved and sustained within a climate change adaptation context. Specifically, it is deliberately focused on the current dryland environment that is now prevailing. The rationale for this approach is that even if there is a climate shift in coming years towards wetter than average conditions which ease the situation, there will have been a significant raising of awareness and implementation of actions that are designed to conserve water and protect and enhance the environment. These actions will be supported by the strengthened institutional and technical capabilities which have been summarised above.

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

|   |   |                            |                        |  |
|---|---|----------------------------|------------------------|--|
| <p><b>QUESTION 2: What are the Potential Social and Environmental Risks?</b><br/> <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i></p> | <p><b>QUESTION 3: What is the level of significance of the potential social and environmental risks?</b><br/> <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i></p> |                            |                        | <p><b>QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?</b></p> |
| <p><b>Risk Description</b></p>  | <p><b>Impact and</b></p>  | <p><b>Significance</b></p> | <p><b>Comments</b></p> | <p><b>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required</b></p>  |

|   | <b>Probability (1-5)</b> | <b>(Low, Moderate, High)</b> |  | <b>note that the assessment should consider all potential impacts and risks.</b>  |
|---|--------------------------|------------------------------|--|---|
| Risk 1: There a risk that duty-bearers do not have the capacity to meet their obligations in the Project  | I = 3<br>P = 3           | <b>Moderate</b>              |  | Capacity building will be undertaken  |
| Risk 2: The Project could potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits if not given adequate focus. | I = 3<br>P = 1           | <b>Low</b>                   |  | The project will focus on having appropriate participation and involvement of women.<br>Implement ESMF and Gender Action Plan.  |
| Risk 3: Project activities are proposed within or adjacent to critical habitats and/or environmentally sensitive areas.   | I = 1<br>P = 4           | <b>Low</b>                   | The Basin where the project is located is a sensitive area under duress, which is why the project has been formulated. | Project activities aim to reduce existing (and future) pressures on the lake. So probability of activities occurring in sensitive area high (4) but degree of adverse impact low (1).<br>ESMF implementation will assist in avoiding impacts to sensitive areas.  |
| Risk 4: the Project involve harvesting of natural forests, plantation development, or reforestation   | I = 2<br>P = 4           | <b>Moderate</b>              |  | Severely degraded habitats are to be revegetated.   |
| Risk 5: The potential outcomes of the Project could be sensitive or vulnerable to potential impacts of climate change   | I = 2<br>P = 3           | <b>Moderate</b>              |  | The project is aiming to increase resilience of communities to climate change, however, the basin is already significantly impacted by both anthropogenic and climate impacts. The shift of livelihoods, particularly agricultural practices, will go a long way to increasing resilience, but none the less some risk of continuing climate change impacts exists. |
| [add additional rows as needed]   |                          |                              |  |   |
| <b>QUESTION 4: What is the overall Project risk categorization?</b>   |                          |                              |  |   |
| <b>Select one (see <a href="#">SESP</a> for guidance)</b>   |                          |                              | <b>Comments</b>  |   |
| <i>Low Risk</i> <input type="checkbox"/>  |                          |                              |  |   |
| <i>Moderate Risk</i> <input checked="" type="checkbox"/>  |                          |                              |  |   |
| <i>High Risk</i> <input type="checkbox"/>   |                          |                              |  |   |
| <b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</b>  |                          |                              |  |   |
| <b>Check all that apply</b>   |                          |                              | <b>Comments</b>  |   |
| <i>Principle 1: Human Rights</i>  |                          |                              | <input checked="" type="checkbox"/>  |   |
| <i>Principle 2: Gender Equality and Women's Empowerment</i>   |                          |                              | <input checked="" type="checkbox"/>  |   |
| <i>Principle 3: Environmental Sustainability</i>  |                          |                              | <input checked="" type="checkbox"/>  |   |
| <i>1. Biodiversity Conservation and Natural Resource Management</i>   |                          |                              | <input checked="" type="checkbox"/>  |   |

|  |   |                          |  |
|--|---|--------------------------|--|
|  | <b>2. Climate Change Mitigation and Adaptation</b>        | X                        |  |
|  | <b>3. Community Health, Safety and Working Conditions</b> | <input type="checkbox"/> |  |
|  | <b>4. Cultural Heritage</b>                               | <input type="checkbox"/> |  |
|  | <b>5. Displacement and Resettlement</b>                   | <input type="checkbox"/> |  |
|  | <b>6. Indigenous Peoples</b>                              | <input type="checkbox"/> |  |
|  | <b>7. Pollution Prevention and Resource Efficiency</b>    | <input type="checkbox"/> |  |

**Final Sign Off**

| <b>Signature</b>  | <b>Date</b> | <b>Description</b>  |
|---|-------------|---|
| Reis Lopez Rello<br>Regional Technical Advisor<br>QA Assessor           | 14 May 2018 | UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have “checked” to ensure that the SESP is adequately conducted.  |
| Anne Marie Sloth<br>UNDP Resident Representative<br>a.i.<br>QA Approver |             | UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have “cleared” the SESP prior to submittal to the PAC. |
| Anne Marie Sloth<br>UNDP Resident Representative<br>a.i.<br>PAC Chair   |             | UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.  |

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

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

<sup>6</sup> Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

|   |   |     |
|---|---|-----|
| 1.1   | <p>Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?</p> <p><i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i></p>  | No  |
| 1.2   | <p>Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?</p>  | Yes |
| 1.3   | <p>Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)</p>   | No  |
| 1.4   | <p>Would Project activities pose risks to endangered species?</p>   | No  |
| 1.5   | <p>Would the Project pose a risk of introducing invasive alien species?</p>   | No  |
| 1.6   | <p>Does the Project involve harvesting of natural forests, plantation development, or reforestation?</p>  | Yes |
| 1.7   | <p>Does the Project involve the production and/or harvesting of fish populations or other aquatic species?</p>  | No  |
| 1.8   | <p>Does the Project involve significant extraction, diversion or containment of surface or ground water?</p> <p><i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i></p>  | No  |
| 1.9   | <p>Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)</p>   | No  |
| 1.10  | <p>Would the Project generate potential adverse transboundary or global environmental concerns?</p>   | No  |
| 1.11  | <p>Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area?</p> <p><i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i></p> | No  |
| <b>Standard 2: Climate Change Mitigation and Adaptation</b> |   |     |
| 2.1   | <p>Will the proposed Project result in significant<sup>7</sup> greenhouse gas emissions or may exacerbate climate change?</p>   | No  |
| 2.2   | <p>Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?</p>   | Yes |
| 2.3   | <p>Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)?</p> <p><i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i></p>  | No  |

<sup>7</sup> In regards to CO<sub>2</sub>, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

| <b>Standard 3: Community Health, Safety and Working Conditions</b> |   |    |
|--|---|----|
| 3.1  | Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?   | No |
| 3.2  | Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?   | No |
| 3.3  | Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?  | No |
| 3.4  | Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)   | No |
| 3.5  | Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?   | No |
| 3.6  | Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?  | No |
| 3.7  | Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?   | No |
| 3.8  | Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?  | No |
| 3.9  | Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?   | No |
| <b>Standard 4: Cultural Heritage</b>                               |   |    |
| 4.1  | Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts) | No |
| 4.2  | Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?  | No |
| <b>Standard 5: Displacement and Resettlement</b>                   |   |    |
| 5.1  | Would the Project potentially involve temporary or permanent and full or partial physical displacement?   | No |
| 5.2  | Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?  | No |
| 5.3  | Is there a risk that the Project would lead to forced evictions? <sup>8</sup>   | No |
| 5.4  | Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?  | No |
| <b>Standard 6: Indigenous Peoples</b>                              |   |    |
| 6.1  | Are indigenous peoples present in the Project area (including Project area of influence)?   | No |

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

|   |  |    |
|---|--|----|
| 6.2   | Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?   | No |
| 6.3   | <p>Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?</p> <p><i>If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i></p> | No |
| 6.4   | Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?   | No |
| 6.5   | Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?   | No |
| 6.6   | Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?  | No |
| 6.7   | Would the Project adversely affect the development priorities of indigenous peoples as defined by them?  | No |
| 6.8   | Would the Project potentially affect the physical and cultural survival of indigenous peoples?   | No |
| 6.9   | Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?   | No |
| <b>Standard 7: Pollution Prevention and Resource Efficiency</b> |  |    |
| 7.1   | Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?   | No |
| 7.2   | Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?   | No |
| 7.3   | <p>Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs?</p> <p><i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i></p>   | No |
| 7.4   | Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?  | No |
| 7.5   | Does the Project include activities that require significant consumption of raw materials, energy, and/or water?   | No |

### Reducing Vulnerability to Climate Change in the Lake Bakhtegan Basin

#### I. Introduction

This gender assessment aims to provide an overview of the gender situation in Iran, with a specific focus on vulnerabilities due to climate change in the Lake Bakhtegan Basin, identify gender issues that are relevant to the project, and to examine potential gender mainstreaming opportunities. The assessment was based upon available data from studies conducted by the Government of Islamic Republic of Iran (GIRI), donor agencies, and multilateral development banks; and includes:

1. Undertaking a desktop review and aligning approaches in this proposal with the national priorities of Iran.
2. Incorporating information and lessons learned from past studies and assessments on gender in Iran from the Government of Iran, the United Nations, civil society organizations, and multilateral development banks.
3. Conducting stakeholder consultations and engaging women affected by the project and incorporating all points raised; and
4. Integrating gender considerations in the project indicators, targets and activities, identifying women as leaders and decision-makers.

#### Gender inequality and social inclusion in Iran

Generally speaking, Iranian women and girls made remarkable progress in education, health and sanitation in the past decades, despite diverse challenges the country has been tackling with since its establishment in late 70's. The life expectancy at birth is, now, 76.2 years old. The rate is 77.3 for women and 75.1 for men. This indicator has dramatically increased for women from 63 years old in 1991 and 74 years old in 2012. Currently, 68.5% of the population over 25 years old have at least some secondary education. This rate is 65.8% for female and 70.9% for male population. There is also a number of observable and marked changes in the socio-economic status of women's life in both urban and rural areas. The rate of women's labor force participation (LFP) increased from 9.1% in 1996 and 13.8% in 2012 to 16.8% in 2016. By 2014, certain laws of the Civil Code had been amended and put into practice with an aim to support women's rights such as increase in girls' marriage age, alimony, heritage, and child custody.<sup>1</sup>

Over the recent years, the GIRI achieved several of its objectives regarding women's empowerment. Based on the Fifth National Development Plan Law for 2011-2015 and the general policies of the Sixth National Development Plan approved in 2015, numerous initiatives were taken that responded favorably to women's needs. One basic change has been the promotion of the level of women's national machinery to the Vice Presidency for Women and Family Affairs (VPWFA), formerly known as The Centre for Women and Family Affairs. Consequently, the institutional mechanism for gender mainstreaming was strengthened. Furthermore, article 101 of the Sixth National Development Plan emphasized on gender mainstreaming in all policies, programs and projects of executive bodies by applying the 'gender justice' approach. 'Gender Justice', different from 'Gender Equality', is defined as an approach complying with Islamic teachings. It states that 'women must be respected, they must be shielded from harassment, that men are not entitled to bully or use violence against women just because of their physical strength or because of having a larger body than women'.<sup>2</sup> The VPWFA has been assigned to develop indicators that assess 'gender justice' goal achievements at national level. It is also responsible for strengthening the position of VPWFA throughout the executive bodies.

Besides, a centralized budget has been allocated to VPWFA for mainstreaming a gender balance and ensuring women's empowerment. The Budget Law for 2018 -2019 shows an increase of %38.17 in this budget.<sup>3</sup> Also, the executive bodies have the permission to spend one percent of their budget on issues related to women, family, and the youth within the framework of their own executive body.

#### Gender Inequality Index

Through the years, several indices have developed to quantify the concept of gender inequality. The United Nations Development Program (UNDP) uses the Gender Inequality Index (GII) and Gender Development Index (GDI). The GDI considers the gender gaps on human development between men and women regarding three main dimensions of health (measured by female and male life expectancy at birth), education (measured by female and male expected years of schooling for children and mean years for adults aged 25 years and older) and command over economic resources (measured by female and male estimated GNI per capita). The Human Development Index (HDI) for Iran in 2017 ranks the country as the 60<sup>th</sup> out of 189 countries and territories, after Kazakhstan in Central Asia and before Seychelles in Africa. However, its rank drops to 109 out of 164 countries when the value of HDI is adjusted to inequality among men and women.<sup>4</sup>



In other words, the issue of gendered inequality still persists. According to the most recent UNDP Report for 2018, the inequality in education and income is 4.9% and 19.7%, respectively.<sup>5</sup>

GII is a composite measure that shows inequality in achievement between women and men in reproductive health, empowerment and the labor market while with a measures achievement in human development in three areas: health, education, and command over economic resources. Iran has a GII of 0.461 in 2017 and ranks 109 out of 189 countries assessed.<sup>6</sup>

Another, index, the Global Gender Gap Index (GGGI) of the World Economic Forum, examines the gap between men and women in four categories: economic participation and opportunity, educational attainment, health and survival; and political empowerment. Out of 144 countries, Iran rank based on GGGI in 2017 is given below.

**Table 1- Comparison of Iran GGGI in 2006 and 2017**

| Description                            | 2017 |                    | 2006             |       |
|--|------|--------------------|------------------|-------|
|  | Rank | Score <sup>7</sup> | Rank             | Score |
| Economic participation and opportunity | 140  | 0.357              | 113              | 0.359 |
| Educational attainment                 | 100  | 0.965              | 80               | 0.954 |
| Health and survival                    | 135  | 0.963              | 52               | 0.978 |
| Political empowerment                  | 136  | 0.046              | 109              | 0.031 |
| Gender Gap Index                       | 140  | 0.583              | 108 (out of 115) | 0.580 |

Source: *The Global Gender Gap Report 2017*

All in all, Iran reversed some of its progress on certain indices, but made modest progress on the Economic Participation and Opportunity and Political Empowerment sub-indices.<sup>8</sup>

Gendered-base income gap especially appear wide in oil economies such as Iran. It is likely to be the result of low women's LFP, limited involvement in paid employment and high rate of women's unemployment.<sup>9</sup> On the other hand, the oil income has made it affordable for several countries in the region, including Iran, to develop the male breadwinner model as an ideal of the family in which men earn a family wage and provide while wives do domestic labor and care for family members.<sup>10</sup> This is quite a different pattern that is widespread in Southeast Asia and non-oil producing economies that women's labor is needed in export-oriented industries and other private sectors. In rural areas, this pattern becomes more complicated since women do lots of agricultural activities though the contribution of their labor to household income is not estimated.

### Poverty

According to the most recent data, women's estimated gross national income per capita is 19% of men.<sup>11</sup> It implies that the trend of feminization of poverty is an issue, especially of the female headed households (FHHs). Yet, the prevalent model of men as main breadwinners makes the GIRI to primarily protect women that by any reason are not supported by their male kinships. As a result, a number of strategies have been adopted to reduce poverty among FHHs. Getting widowed or divorced, as a woman, does not necessarily endanger the family's safety and security. Yet, in many cases, when the deceased husband is the sole breadwinner the whole survived members of the family become vulnerable to poverty, economic inequality and social exclusion.

In any case, articles 39 and 230 of the Fifth National Development Plan explicitly emphasize on developing women's specific programs to prevent social harms and to help with economic development of women. They also aim to enhance the capacity of women managers, to promote women and their family's health status and to improve capacity of public sector to fulfill women and their family's needs more efficiently. The same articles focus on FHHs and women with 'inappropriate guardians', in specific, to ensure their self-reliance. Generally, the State Welfare Organization (SWO), Municipalities, Imam Khomeini Relief Foundation (IKRF) and the Foundation of Martyrs and Veterans Affairs (FMVA) provide various required services for FHHs. Since a decade ago, there has been a shift from offering mere cash support to capacity building for FFHs. Consequently, the FHHs that refer to these centers and/or are identified through outreach activities are organized in Self Help Groups (SHGs) and Peer Support Groups to get empowered. These groups receive

training and counselling services regarding social, single-parenting, resilience and economic and livelihood skills.

Another recent example, as reported by the Laws and Regulations Portal of the GIRI, is that all government bodies have been required to give priorities to recruitment of FHHs' children since 2009.<sup>12</sup> Some women identified as FHHs, especially those that have lost their breadwinner in the war and are supported by the FMVA through regular monthly pensions, are also given priorities by the official loan-provider institutions such as Imam Reza Mehr Fund. Such loans are paid to individual applicants to start a home-based economic livelihood. To get a more distinct picture, some figures from 2011 are given here. At that time, the proportion of FHHs to the whole number of households was 12.1%. The Imam Khomeini Relief Foundation (IKRF), the SWO, and the FMVA covered respectively more than 53%, 3%, and 13% of FHHs. Therefore, the ones left without relief coverage consisted about 3.19% of the whole households in the country at that time.<sup>13</sup>

In recent years, especially after the adoption of the Charter of Citizenship Rights, more attention was given to women with special needs. Several articles of this charter guarantee the right of women to health, medical and educational programs and facilities. Under each related article, certain activities have been carried out. For instance, a national task force was established to formulate and implement a comprehensive plan for the empowerment of FHHs. This was a response to the 0.5 percent increase in the number of FHHs in the latest national census (2015-2016) and also to the necessity for integrating measures taken by diverse entities. Currently, 12.5% of all households are headed by women.<sup>14</sup> At present, the SWO covers the needs of 1,200 Peer Support Groups with 7,000 members. Besides, SWO has developed a Social Security document, which is to be finalized soon. Based on this document, in addition to current therapeutic interventions related to the physical and mental health of female household heads to ensure their access to health measures, regular health screening of all its supported FHHs will be followed. Similar actions have been undertaken by the IKRF, which supports 31.6 percent of total population of FHHs estimated in 2017. It is worth noting that the IKRF covers various groups of women with vulnerabilities.

In order to cope with feminization of poverty in general, other measures are also taken. For instance, married women can appeal to certain Marriage Laws and Regulation to demand their husbands the payment of the marriage portion and alimony and/or payment of *quantum meruit* (fair equivalent remuneration) and, in case of divorce, giving half share of the husband's property gained during the marriage.

## Health

To know the situation of health in Iran, from a gender perspective, it is essential to examine the maternal mortality and adolescent birth rates. The latest data indicate that for every 100,000 live births, 25 women die from pregnancy related causes; and the adolescent birth rate is 25.0 births per 1,000 women of ages 15-19. This is a great achievement since the ratio for South Asia countries are 176 and 32.1, respectively. Furthermore, the same indicators for countries with high HDI are 38 and 26.6.<sup>15</sup> In other words, Sustainable Development Goal (SDG) 3.1 and SDG 3.7 have already fulfilled. Another issue that guarantees women's health is that the adolescent fertility rate at the national level has been very low (0.56 per 1000 women). Review of 2016 National Census results shows that the total country fertility rate was 2.08 children per woman. The fertility rates for urban and rural areas were 2.48 and 1.86, respectively.<sup>16</sup> According to UNDP estimation, the fertility rate, in general, keeps on dropping further to 1.6 in 2015-2020.<sup>17</sup>

Regarding quality of health care, a standard survey, measuring lost health expectancy and number of physicians and hospital beds, found out that 57% of respondents were satisfied with the quality.<sup>18</sup> It should be noted that nearly all of the primary and most of secondary and tertiary hospitals and rehabilitation facilities are public and run by the Ministry of Health and Medical Education (MOHME). The MOHME has established a network of rural health houses supported by rural health centers that deliver primary health care (PMC) free of charge.<sup>19</sup> Other services are to be financed by private insurance premiums and out-of-pocket payments. The health and medical care expenses vary from household to household and urban to rural areas, based on the access to public health facilities and health insurance. According to recent official data, expenses for non-food items consisted 62% of total expenses of an average rural household, out of which 16% was spent on health-related requirements. For an average urban household, 76.6% of its total expenses is spent on non-food items, out of which health-related requirements includes 14%. In other words, people living in urban areas spend less money than rural people on their health care.<sup>20</sup>

## Education

According to the official information on education, there has been a persistent increase in the total literacy rate (above 6 years old) during the last decades, reaching 87.6 % in 2016.<sup>21</sup> In comparison with other provinces, Fars Province stands as high as other nine top provinces with a rate of 85.1-91.5 percent.<sup>22</sup> Another indicator that shows educational progress in the country is the net enrolment rate for the first year of primary school that increased from 96.8% to 97.8% during 2011 to 2016. In the academic year of 2015-

2016, the net enrolment rate for the whole primary level (i.e. 6-11 years old) was 98.6%, with a minor gap of 0.1% between boys and girls.<sup>23</sup> The gap was more for the net enrolment for secondary level of education (12-14 years old). The total rate of this indicator was 93%, but the figure for boys and girls were 94.9% and 91.1%, respectively. And, the gap grows when the net enrolment for high school education is considered. The total rate of this indicator for the same academic year was estimated as 80.2%. The rate was 82.5% for boys and 77.9% for girls. These figures vary from province to province and urban to rural areas. Yet, the total gender gap is trivial across the 31 provinces.<sup>24</sup> It is noteworthy that the gender gap becomes reversed in tertiary education. In academic year of 2014-2015, the rate for female PhD candidates increased to 57%.<sup>25</sup> In any case, the indicator for Sustainable Development Goal 4.6 (SDG4.6), which measures population with at least some secondary education, is 65.8% for women and 70.9% for men.<sup>26</sup>

It is assumed that the quality and quantity of education at different levels are affected by population changes in Iran. The high fertility rate of 1980's increased the demand for different subsequent levels of education at the time, though it is now putting pressure on jobs market. On the other hand, the recent fertility decline resulted in less pressure for primary and secondary schooling, but provided some space for paying attention to the quality of educational systems. Nevertheless, the rural-urban differentiation is still prevalent. Although the population of rural people has dropped to 26% the inequality in education standards has not diminished. Furthermore, within the rural areas, the gender gap was notified and announced by authorities; out of each 100 school children 48 were school girls. This is extra to the difference between quality of education in rural and urban areas.<sup>27</sup>

### Political Participation and Decision-Making Status

Numerous legal frameworks, overarching documents, laws and regulations are at work to serve as the guarantee for the Iranian Constitution Law that emphasizes on women's rights in accordance with Islamic criteria. Yet, the rate of women's political participation, as mainly measured by the share of seats in the Islamic Consultative Assembly, is as low as 5.9%.<sup>28</sup> This rate drastically reduces the GII (and other standard indexes) for the GIRI. However, there had been an improvement in the political status of women after the most recent election in 2016. Currently, 17 seats belong to women representatives, which marks a 3% progress compared with previous election result in 2012.

In final months of 2017, six women deputy ministers and 46 director generals were appointed. This significant change was due to a decree submitted by the President to all ministers to ensure that 30% of all high level and managerial posts should be allocated to women by 2020. There are also about 700 assistant judges, advisors and deputy prosecutors in courts and are authorized to issue judicial verdicts, most of whom work in family courts. It is also notable that in the past five years the number of civil society organizations engaged in activities in favor of women and family affairs has increased from 1,100 in 2012 to 2,722 in 2017.<sup>29</sup> Furthermore, according to official data on recent election of Villages Islamic Councils in 2017, there were 208,237 registered candidates, out of which 9,539 were women (4.58%). The rate for women candidates for both city and village councils comprised 6.03%- an increase since the previous election, when they made up 4.38%.<sup>30</sup>

### Labor force

Since 2006, Statistical Center of Iran has taken into account a gender approach in collecting and analyzing specific statistical data related to labor force and employment. Table 2 shows a recent survey results. As indicated, 40.3% of the working age population was economically during March 21, 2017 to March 20, 2018. A review of employment in major economic sectors shows that services sector holds the biggest share of employment with 50.4% of the total, followed by manufacturing sector with 32% and agriculture sector with 17.6 %. Besides, Table 2 shows that women's economic participation rate is generally much lower than men. Yet, in agriculture sector the rate stands higher for women compared to men. Another noteworthy point is that 44.1% of men work more than standard hours though the total rate stands lower in rural areas.<sup>31</sup> Generally speaking, the latter indicator is in line with the prevalent male breadwinner model illuminated above.

As observed above, more than a half of employed women work at services sector, majority of whom being recruited by the government entities. According to the studies conducted by the Strategic Information and Data Center of the Ministry of Cooperatives, Labor, and Social Welfare (MOCLSW), women's share of employment in public sector had increased by 2.5 percent in 2014-2016, though gender gap is persistent.<sup>32</sup>

**Table 2- Labor force Indicators by sex, urban and rural areas (in percent)**

| Labor force Indicator | Total | Men | Women | Urban Areas | Rural Areas |
|-----------------------|-------|-----|-------|-------------|-------------|
|                       |       |     |       |             |             |

|  |      |      |      |      |      |
|--|------|------|------|------|------|
| economic activity of population aged 10 and over   | 40.3 | 64.5 | 16.0 | 39.7 | 42.4 |
| unemployed rate of population 15-29  | 25.3 | 20.8 | 41.0 | 27.6 | 18.6 |
| employment ratio   | 35.5 | 57.9 | 12.8 | 34.3 | 38.9 |
| employment share in agriculture sector   | 17.6 | 16.8 | 21.3 | 5.4  | 50.0 |
| employment share in manufacturing sector   | 32.0 | 33.5 | 25.5 | 34.5 | 25.5 |
| employment share in services sector  | 50.4 | 49.8 | 53.2 | 60.1 | 24.4 |
| the contribution of the employed aged 15 and over with regular working hours of more than 49 | 38.8 | 44.1 | 14.5 | 40.6 | 33.8 |

**Source: SCI, A Selection for Labor Force Survey Results, 2018.**

The unemployment rate of the youths aged 15-29 indicates that 25.3% of the active population was unemployed. This indicator stands higher for women and urban areas than men and rural areas. A similar survey in 2016, breaks down this rate to the youth aged 20-29 and shows that 32.6% of men and 56.1% of women at this age were unemployed. As in most Middle East and North African (MENA) countries unemployment of the youth in Iran is high, too. Ironically, the more educated persons face with less job opportunities. This pattern holds true for both men and women. Unemployment rate for men and women with higher education stood 25.3% and 37.6%, respectively.<sup>33</sup> Given the above figures, the rate of economic participation of men is four times more than women and, on the other hand, unemployment rate of young women is nearly 2.5 times more than young men. As a result, the youth, in general, and young women, in particular, experience increased stress of being trapped in poverty and social exclusion. Of course, some efforts have been made to balance the inequality. For instance, in 2014, the VPWFA submitted a bill entitled "Amendment of Certain Articles of the Labor Law" to the Parliament approved by the Cabinet that would further eliminate certain discriminations in employment more than ever.<sup>34</sup>

It has also been argued that the figure for women's unemployment does not reflect the reality of the paid and unpaid employment of women in Iran because many of them are engaged in the informal sector. Besides, the majority of women working in rural areas are at the status of unpaid family worker. Since most of the rural women's work remains outside the cash sector, they are basically excluded from economically active population in the national census. According to the official statistics, women who work on family farms are considered as housewives. In any case, currently, rural women comprise 32.9% of total employment rate for women and 18.1% of total rural employment rate. They undertake 60% of farming, 63% of husbandry activities and a great deal of orchard farming.<sup>35</sup>

Given the increase in the number of female university graduates and the limited job opportunities for women in formal sector, certain policies practices have been developed to increase their capacity to run home-based economic activities and or small and medium size businesses since 2010. Reinforcing home-based businesses (HBBs) has resulted in emergence of women's entrepreneurship in urban as well as in rural areas.<sup>36</sup>

#### [Access to resources](#)

One major source for women's economic empowerment is their access to financial resources. Therefore, several financial institutions have been authorized to facilitate women's access to loans and grants. The Iran Banking Scheme was developed in 2010 with an aim to expand vocational opportunities for women, help vulnerable people, reduce poverty among women, make familiar the rural and urban women with banking activities, and encourage them to start saving accounts. The scheme included four projects, each of which targeted one group of women. Rural FHHs could join one project that allowed them to open a current account with or without accessing to personal cheque books in various branches of the Agriculture Bank. They could enjoy electronic banking facilities such as opening a special account titled "future", receiving loans to buy goods of basic needs or livelihood facilities, purchasing production equipment or items for their houses, as well as benefitting from services of life and accidents insurance. Other rural women could open a current account, but without accessing to cheque books. They could still enjoy electronic banking facilities for buying car or goods of basic needs, benefit from services of life and accidents insurance, or even get loans for purchasing production tools or house items. Another project supported all rural girl students that study in an accredited university by allowing them open a current account without accessing to personal cheque books in the Agriculture Bank.<sup>37</sup>

Currently, Mehr Iran Savings Scheme was designed around the financial needs of women who can contribute money on a regular basis in order to reach a financial goal on a short or long term basis to get an interest-free loan.<sup>38</sup> Yet, this scheme does not directly target rural women. Agriculture Bank of Iran, targets rural women and girls with the aim of empowering them economically. Hazrat Fatima Scheme has been devised with the purpose of creating jobs for rural educated girls, promoting their status in their families and societies, orienting rural girls with banking operations, and empowering rural girls to actively participate in economic affairs.<sup>39</sup> Besides, it supports women-headed households to set up their small enterprise via its *Qard-al-Hassanah* (interest free with slight percentage of service charge) resources.<sup>40</sup> Another example is Omid Entrepreneurship Fund (OEF) that has already established 600 women's micro-credit funds with 18,209 members, aiming to enhance women's economic participation.<sup>41</sup>

Rural women's access to land was very limited until 2009 because the inheritance law did not authorize the wife to receive a share from the land of her deceased husband. Now, the amendment of Articles 946 to 948 of the Civil Code of Iran lets the wife inherit from the value of her share from the land. In such cases the current value of the land shall be assessed and paid to the wife. If the heirs refuse to pay the price of the land, then the wife can acquire the real property itself. The amendment was a response to the loss of rural women's economic status after their husband's death.

Access to other resources vary from province to province and social group to social group. In 2017, access to internet was measured as 53.2% of total population and as of 52.1% of women's population.<sup>42</sup> Actually, this has opened up an opportunity for rural women to sell their products to buyers that live far from village.<sup>43</sup>

### Gender-based Violence

Since the Fourth National Development Plan, which sanctioned legal measures for the prevention of violence against women for the first time, the GIRI has been able to enforce more measures regarding the prevention of violence women and strengthened government organs involved with social services to offer support to victims. Namely, telephone lines of free advice were launched and social support centers for the socially vulnerable girls were established, and centers for temporary settlement of women asylum-seekers and victims of violence were opened. The most recent effort has been drafting a comprehensive bill for women's security against violence in 2016.<sup>44</sup> This bill that includes a set of precautionary, supportive, preventive and criminalization measures to support women against various types of violence such as family violence awaits parliament ratification.

Due to the reinforced position of the VPWFA, it could persuade the legislative, judicial and executive institutes to put the issue of violence against women on their agenda and help with its prevention and control. Accordingly, several offices affiliated to the SWO have taken actions and provided services to different target groups.<sup>45</sup> Besides, in 2016-2017, the VPWFA supported its affiliated civil society organizations to implement various projects at provincial levels to encourage the participation of men, women and families in combating violence against women. Two of these initiatives included life skills training for 1,120 women aged 15-35 living in Ilam Province, in areas where fatal suicide is prevalent. The projects aimed to increase the individual resilience of their target groups.<sup>46</sup>

## II. Mechanisms to address gender inequality in Iran - legal and administrative framework

The VPWFA, in collaboration with its counterparts in the Women's Fraction of Islamic Consultative Assembly and the Judiciary, along with the Women and Family Socio-Cultural Council as a policy-making body affiliated to the Supreme Council of Cultural Revolution and the Special Committee for Women and Youth in the Secretariat of the Expediency Discernment Council of the System, is responsible to set policies and action plans for promoting women's situation in Iran. On the other hand, the VPWFA in collaboration with its partners at ministries, implements its programs with an allocated budget. The budget is annually approved by the Islamic Consultative Assembly. The total budget is allocated to two sets of action plans; one is spent on women related activities and another on family related interventions including the budget to implement projects in partnership with its affiliated civil society organizations. Comparing the VPWFA budgets for 2015 and 2016, an increase of 8.2% is observed. In 2016, the share of family related interventions was 90% of total budget of the VPWFA. The VPWFA also allocated about 17% of its budget to implement projects in partnership with its affiliated civil society organizations.<sup>47</sup>

Based upon a letter of agreement between the VPWFA and the MoE an extensive training program was implemented on individual, domestic and social rights and responsibilities, for secondary high school students and their parents and teachers in 15 provinces in 2016. The same training was extended for another year to cover 4.0 percent of total female secondary high school students and 2.1 percent of total male secondary high school students. Moreover, to further enhance the managerial skills of women at national, provincial and local levels of government, the VPWFA, in collaboration with Ministry of Interior, organized 90

training workshops for 2,250. At present, a data bank of all women managers at national, provincial and local levels records and makes them available for planning purposes.<sup>48</sup>

On the other hand, the Women and Family Bureau of the Governmental Discretionary Punishment Organization, supervised by the Ministry of Justice, formulated the Corporate Responsibility towards Family, as an approach to prevent social vulnerabilities of its female employees by keeping the balance between domestic and work responsibilities. Furthermore, in order to facilitate marriage among the young generation, the same organization, which is mandated to protect consumers' rights, has targeted businesses related to wedding ceremonies so that they respect the regulations for offering less costly services to customers.<sup>49</sup>

Regarding rural women, two entities are engaged to promote women's status. One is Rural and Pastoralist Women's Development Bureau (RWDB) of the Agricultural Research, Education and Extension Organization (AREEO), affiliated to the Ministry of Jihad Agriculture (MOJA). Its main responsibilities include, but not limited to, designing and implementing training programs for rural women so that women can contribute more efficiently to agricultural production and livelihood of rural families. The RWDB is also expected to increase the self-confidence of rural women to play a more active role.<sup>50</sup>

Another department, Central Organization for Rural Cooperatives of Iran (CORC), supports the formation of women's cooperatives and provides training for their members. According to CORC, there were 324 rural women cooperatives with 63,383 members in 2,214 villages back in 2012. Cooperatives established and run by rural men amounted to over 2,941 cooperatives with 4,500,868 members in 56,252 villages at the same time.<sup>51</sup> It is estimated that 110 Women' Micro-credit funds are supervised by these cooperatives and supported technically by 14,000 women facilitators of the RWDB.<sup>52</sup> Compared with 1994 when there were only 12 active rural women's cooperatives,<sup>53</sup> this figure shows a drastic change in the Iranian gender policy though it is still incomparable with the total membership of men in rural institutions and cooperatives.

### **III. Gender and social inclusion in the context of climate variability and environment change of Bakhtegan Lake Basin**

Due to the deterioration of situation in rural areas of Bakhtegan Lake basin, there has been a flow of rural-urban migration. A number of surveys in Fars Province (and elsewhere) shows that men tend to migrate to nearby towns and cities in search of job opportunities, leaving women, young children and the elderly behind in villages.<sup>54</sup> As a result of migration, the rate of population growth for rural areas in Fars Province has dropped to minus 0.59. Authorities believe that incessant and intense drought has negatively affected 1/3 of the whole population in Fars Province, who make a living by agricultural and related activities.<sup>55</sup> The share of agricultural activities was estimated to be 19.6% of total labor force from March 21, 2017 to March 20, 2018. According to official data, the rate of employment for rural women, aged 15-29, in Fars Province, is 63.52% that 25% of whom work in agriculture sector.<sup>56</sup> The rates for unemployment and economic participation were estimated as 10.8% and 40.5%, respectively.<sup>57</sup> Currently, sources of income of an average rural household are as follows: 31.1% of agricultural activities, 30.3% of paid jobs and 38.5% other sources such as pension and subsidies.<sup>58</sup> So one major threat for rural households is gradual loss of means of subsistence, if the ecological situation remains unchanged or worsens or they do not find substitutes for their agricultural activities. Rural women's role in bringing an income generated from new livelihood options and/or increased income, due to quality improvement of productions, is significant. Rural women getting organized in a group can play a collective role to reduce the impact of economic hardship in their community.

### **IV. Gender analysis and recommendations**

#### **Gender analysis**

Overview of linkages between gender and climate variability and change in the context of present project reveals that rural men and women can potentially contribute to and benefit from project interventions, each in their own ways, under the condition that these interventions are community based and consider the socio-economic necessities. To bring rural women into the planning and implementation of the project and prepare the ground for their active participation in processes such as adaptation, food security and agriculture, wise water resource management, and disaster risk reduction require extra efforts. Despite the fact that rural women have always been contributing to family income, caution must be taken on how to directly and explicitly engage them in income earning activities so that existing gender relations do not inhibit their efforts. As similar experiences indicate, rural women partake in livelihood projects if such activities are in harmony with their family needs and do not seriously challenge their domestic role and responsibilities. Otherwise, additional and different facilitation approaches are needed to ensure that project interventions not only harm but enhance their status at village level. Given the gender norms, initiatives such as Rural Women's Trust Funds, might have mixed impacts on rural women in target areas; they empower women (economically and socially) on one hand, and expose them to new challenges outside their private sphere. It is true that women-only groups step in and show great interest for non-farm and/or complementary agricultural activities, but

they also have to deal with challenges rooted in the prevalent male breadwinner model if project interventions are not appropriately modified.

A number of case studies have examined challenges and needs of such rural women groups in Fars Province and concluded that i) many of these groups are necessity-driven, and not market-opportunity driven groups. Therefore their motivation, either individually or collectively, are based on their household needs. This justifies why a sustainable livelihood project should help rural women's groups learn about market requirements; ii) any formal and non-formal education for rural women to reduce the negative impact of gender stereotypes is significant because access to knowledge and skills enable them to get effectively engaged in economic activities other than subsistence agriculture; iii) gender raising awareness and advocacy on women's economic empowerment would be effective when both men and women at different levels and positions were targeted; iv) best practices, so far, have focused on capacity building at related but separate levels of individual (resulting in self-confidence, self-esteem, etc.), collective (increasing communication, communal work, participatory community action...) and institutional (including legal, financial a) abilities.<sup>59</sup>

It is needed to know that, in Fars Province, several different agencies have targeted rural women in their micro-credit programs. The oldest one began by the MOJA 10 years ago. It aimed to promote home-based economical activities for rural women. It has also been the largest credit provider for rural women. As elsewhere, the program consisted of two components of Women Microcredit Funds (WMFs) and Self-Help Groups (SHGs). Extension women officers from the MOJA help rural women get organized in a group and start collecting their savings and setting up a record of repayments. Meanwhile, the MOJA offers some training on agricultural activities. After a year or so, once a group accumulates certain amount of capital, the MOJA will inject some fund and the group can also borrow money from the Bank of Agriculture. As WMFs grow, they can join the County WMF and later to National WMF and enjoy the benefits of the GIRI systematic financial support. A main difference between WMF and SHG was in the way the initial investment was provided. WMFs received financial support from the MOJA whereas SHGs basically relied on their own saving. According to a survey conducted in Fars, there were 28 SHGs and 40 WMFs groups in Fars Province, with 434 and 2000 members, respectively, at the time of survey.<sup>60</sup> Currently, the RWDB, the government entity in charge rural and pastoral women's affairs, has signed a memorandum of understanding with OEF and Cooperative Development Bank to provide WMFs in Fars Province with certain amount of credit without any sort of collateral as security for the requested loan.<sup>61</sup> According to OEF, there are 85 of such WMFs with 3,120 members in rural areas of Estahban, Eqdid, Fasa, Marvdasht, Kazerun, and Shiraz counties as well as in pastoralist regions in Firuzabad, Fasa and Mamasani counties. Each WMF consists of 30-50 members. OEF provides each WMF with a loan of Rls.150,000,000 (\$3,571) so that rural women can get access to more credits to improve their livelihoods.<sup>62</sup>

There are two points to note; one is that these loans with low rate of interest are to be used for income generation purposes. None of credit providing agencies enforces any condition on rural women to use the loans on water-friendly agricultural or non-agricultural purposes. Actually, no specific indicators have been defined to monitor the impact of such activities on water resources. The main drive for enhancing rural and pastoralist women's economic empowerment has traditionally been poverty reduction purposes, believing that poverty is one of the sources for overuse of natural resources. Furthermore, the different training that group members may receive would neither necessarily focus on sustainable agriculture techniques nor conservation of water resources. Not any advantage, nor any priority, is normally given to loan takers for planning and implementing water-friendly initiatives. Since the head of the WMFs is responsible for bank repayments, neither she nor any group member is willing to take any risk of running innovative economic initiatives. Any project that aims to promote livelihoods that are in line with conservation of water resources should heavily invest on awareness raising and capacity building of not only its beneficiaries at grass roots level but also on increasing the knowledge and affecting the attitude of its stakeholders, who are in charge of implementing, supporting and monitoring the project.

The second issue is that present mechanisms within credit provider agencies as well as government bodies responsible for rural and pastoralist women's empowerment cannot allow them to expand their support to Rural Women's Trust Funds during and after their establishment unless a strong lobbying strategy is developed. Examples of such limitations are i) County and National WMFs that are affiliated to the MOJA integrate only those WMFs established by the RWDB into its own structure, and ii) facilities such as use of government and/or cooperative shops for selling rural products are exclusively given to WMFs established by the RWDB.

In addition to lobbying with the MOJA, other options are to be sought to ensure the sustainability of Rural Women's Trust Funds during and upon exit of AF project. One way is to identify a range of other stakeholders that might support rural women's engagement in project sites. At province level, some organizations and departments are engaged with rural women's entrepreneurship. For instance, the Employment Department

of MOCLSW is specifically supporting existing WMFs for collecting, growing and packaging of herbal plants.<sup>63</sup> Another organization, Center for Women Entrepreneurs and Traders of Fars Province, also supports rural women entrepreneurs by offering different services, from professional consultation and certified training to establishing *Qard-al-Hassanah* Funds.<sup>64</sup>

There are other not-for-profit enterprises at national level that have built up experiences regarding enhancement of entrepreneurship, two of which are as follows: The Professional Association Iranian of Women Entrepreneurs (AIWE), founded in 2004, having a working group on agriculture and environment and providing training and fund raising supports nationwide.<sup>65</sup> Another one, Dastadast Social Enterprise that started its activities in 2013, providing opportunities for selling marginalized women's home-based products on line as well as offering training for improvement of quality of products and packaging.<sup>66</sup> Both organizations work with rural women, too.

The gender analysis undertaken at the onset and design of this project acts as an entry point for gender mainstreaming throughout implementation. Stakeholder consultations took place in April and October 2018 at field and national levels. Results from the consultations are detailed below in the Stakeholder engagement section and Gender Action Plan and are included in full as an additional annex to this proposal.

The gender analysis, through desk review, stakeholder engagement and consultation enabled:

- Engagement, development and input into the design of the Reducing Vulnerability to Climate Change in the Lake Bakhtegan Basin project and the approach moving forward;
- Demonstration of the need for gender-disaggregated data and indicators to establish a baseline in which to measure improvements and identify areas of focus; and
- Establishment of recommendations to incorporate into the Gender Action Plan.

### Project design and implementation

Addressing gender within the project design and implementation, this proposal works to identify and integrate interventions to provide gender responsive and transformative results. As rural and pastoralist women can play a role in response to climate variability, chronic drought and environmental degradation, this proposal seeks to address the risks and burdens they face in situations of economic hardship and to support them in taking a part in decision making processes.

The project design and implementation will take into consideration the following gender implications:

- Specific strategies to include/target marginalized rural and pastoralist women, especially FHHs, households with temporary migrant breadwinners and households with low income breadwinners;
- Differing conservation incentives faced by women;
- Identification of gaps between rural men and women in their access to and control of resources and opportunities through the use of sex-disaggregated data enabling development of a gender action plan to close those gaps, devoting resources and expertise for implementing such strategies, monitoring the results of implementation, and holding individuals and institutions accountable for outcomes that promote gender equality.
- Advocacy and awareness is adjusted to most effectively reflect gender-specific differences. Strategies used in the project are then tailored, taking into account such differences;
- Inclusion of a Gender Specialist position / provision of advice within the project to implement gender related activities.

During project implementation, qualitative assessments will be conducted on the gender-specific benefits that can be directly associated to the project. This will be incorporated in the annual Project Performance Report (PPR), Mid-Term Report, and Terminal Evaluation. Indicators to quantify the achievement of project objectives in relation to gender equality will include men and women who had access to affordable solutions, number of men and women employed from the jobs created by the project, training opportunities, knowledge management and information dissemination.

### Stakeholder engagement

The stakeholder consultations and engagement of women's organizations ensure that strategic needs of women for empowerment are addressed at the local as well as the national level. The involvement of women's organizations in the project design, aided in identifying relevant gender issues within the country's social context, and implementing and monitoring the gender aspects of the project. In addition to organizing a workshop in Estahban in April 2018 to inform project interventions and target sites, a consultation session was held with representatives of Department of Environment, Ministry of Energy, and UNDP to discuss the further integration of gender in the project in Tehran in October 2018. An additional annex to this proposal shows the full results from the stakeholder engagement, which details the specific issues and difficulties that



women face in responding to the increasing threat of water vulnerability and scarcity of Lake Bakhtegan basin and how this is related to women's security.

Specific issues raised in last consultation included:

- Maintain direct relations with stakeholders that are specifically responsible for women's empowerment such as the VPWFA<sup>67</sup> and the RWDB as well as organizations and government departments that implement programs on women's entrepreneurship;
- Assess the applicability of prevailing models for formation of a rural women's fund to present project

### Monitoring and evaluation

Through onset analysis, data has been collated to establish a baseline. This data shall be monitored against throughout implementation and evaluation.

The analysis identified the differences between men and women within at-risk populations. In order to monitor and evaluate progress of the project, the following indicators can be measured:

Quantitative outcomes:

- 100% of female-headed households as beneficiaries;
- Over 50% of rural and pastoralist women as beneficiaries;
- Improvements in health and well-being through pattern of nutrition and food security, measured by household expenditure on health and medical care and access to health and medical centers;
- Improvements in secondary education of girls and boys, measured by number of school drop-outs caused by economic hardship;
- Improved livelihoods through households' capacity to respond to their immediate needs and measured by household income and expenditure trend analysis;
- 90% of targeted households in 10 villages of the Bakhtegan Lake Basin reduce their coping strategies compared with baseline;
- Number of Rural Women's Trust Funds in targeted areas;
- Number of HHBs in targeted areas;
- Number of business development services component targeting 60% of rural women entrepreneur groups.

Qualitative outcomes:

- Opportunities to generate additional income. Women are more likely to respond to incentives that address their family's basic needs, such as better health and nutrition, linking to Reducing Vulnerability to Climate Change in the Lake Bakhtegan Basin project;
- Time-saving for women as a result of lower hours in labor required for agricultural and water management practices prior to the implementation of the project;
- Contribution to improved self-esteem and empowerment of women in the community;
- Expanded involvement in public and project decision-making as a result of initiation of women into active participation in income generating activities;
- Support for training and educational activities which may include activities related to climate change, agriculture, leadership, business, finance, entrepreneurship and decision-making, thereby enabling empowerment and involvement (or increased involvement) of women to participate with confidence in meetings at local level;
- Effectiveness of awareness raising.

## V. Proposed Gender Action Plan

This Gender Action plan (GAP) provides suggested entry points for gender-responsive actions to be taken under each of the Activity areas of the project. In addition, specific indicators are also proposed to measure and track progress on these actions at the activity level. This can be incorporated into the detailed M&E plan which will be developed at the start of implementation, and provides concrete recommendations on how to ensure gender (including disaggregated data) continues to be collected and measured throughout implementation. Moreover, a gender-specific budget has been allocated to output diversification of income resources of rural households in 10 project sites, tailored towards women's economic empowerment.

| Objective   | Actions   | Indicator and Targets | Responsible Institution |
|---|---|-----------------------|-------------------------|
| Activity 1.1 : An integrated model for climate risk and | - Arrange separate group meetings to collect data | Baseline: 0           | MoE                     |

|  |   |  |                  |
|--|---|--|------------------|
| climate change assessment supports medium and long term decision making  | from rural women and children for adopting local data as much as possible into SimClim system;<br>- Share the final processed information with women and children beneficiaries to show the use of SimClim software in practice   | Target: 80%-90% of beneficiaries<br>Indicator:<br>- age and gender disaggregated data on participants  |                  |
| Activity 1.2 A land and water use planning framework is developed and implemented to support decision making   | - Organize consultative participatory workshops for rural women to map land and water resources and their use   | Baseline: 0<br>Target: 80%-90% of beneficiaries<br>Indicator:<br>- number of meetings;<br>- number of participants   | MoE / DoE        |
| Activity 1.3 Community engagement, empowerment and ownership in decision making is supported through local community monitoring  | - Facilitate presence of Rural Women's Trust Funds representatives in public consultation meetings;<br>- Provide technical assistance to Rural Women's Trust Funds to report on their activities and progress   | Baseline: 0<br>Target: 80%-90% of beneficiaries<br>Indicator:<br>- age and gender disaggregated data on participants;<br>- number of presentations by Rural Women's Trust Funds              | MoE / DoE / MoJA |
| Activity 1.4 A GIS based data and information management system and an information portal system are developed to facilitate more informed, effective and timely decision making | - Arrange separate group meetings to collect data from rural women and the youth for adopting local data as much as possible into information portal system;<br>- Share the final processed information with the same women and the youth to show the use of GIS based data and information management system in practice.  | Baseline: 0<br>Target: 80%-90% of beneficiaries<br>Indicator:<br>- age and gender disaggregated data on participants   | MoE              |
| Activity 2.1 Climate smart agriculture practices are adopted in target areas   | - Provide information on FHHs; ownership, access and control of land;<br>- Facilitate the presence of women farmers in training courses for climate smart agriculture practices, where possible;<br>- Ensure targeted men and women farmers equally benefit from project interventions  | Baseline: 0<br>Target: 90%-100% of FHHs<br>Indicator:<br>- gender disaggregated data on beneficiaries  | MoJA             |
| Activity 2.2 Sustainable livelihoods are adopted by vulnerable households in target villages   | - Conduct a gendered need and agency-based vulnerability assessment in target villages;<br>- Categorize and prioritize needs that can be addressed by promotion of non-agriculture and/or complementary agricultural economic activities by rural women;<br>- Form a Rural Women's Trust Fund in each target village;<br>- Assess the social, economic, environmental | Baseline: 0<br>Target: 90%-100% of beneficiaries<br>Indicator:<br>- number of established Rural Women's Trust Funds;<br>- number of members;<br>- number of supported livelihood initiatives | MoJA             |

|   |   |   |                  |
|---|---|---|------------------|
|   | <p>and climate change rationale of proposed activities from the group members to select the most appropriate ones;</p> <ul style="list-style-type: none"> <li>- Facilitate the launch of selected livelihoods by Rural Women's Trust Fund;</li> <li>- Continuous monitoring and provision of extra financial and/or technical support for sustainability of launched livelihoods.</li> </ul>    |   |                  |
| <p>Activity 3.1 A range of watershed management measures are implemented in target areas aimed at increasing resilience to drought risks</p>            | <ul style="list-style-type: none"> <li>- Carry out public advocacy on participatory IWM through events, publications and other media, with a focus on role of rural women and the youth;</li> <li>- Support the formation of women and/or the youth volunteer group(s) to watch community wise use of water resources</li> </ul>  | <p>Baseline: 0<br/>Target: 80%-90% of beneficiaries<br/>Indicator:<br/>- age and gender disaggregated data on volunteer groups</p>  | DoE              |
| <p>Activity 3.2 Landscape rehabilitation to restore functionality of ecosystem services to increase climate resilience.</p>                             | <ul style="list-style-type: none"> <li>- Facilitate presence of Rural Women's Trust Funds representatives in public consultation meetings to express their views;</li> </ul>  | <p>Baseline: 0<br/>Target: 80%-90% of beneficiaries<br/>Indicator:<br/>- age and gender disaggregated data on participants;<br/>- number of presentations by Rural Women's Trust Funds</p>                                | DoE              |
| <p>Activity 4.1 A comprehensive communications, education and capacity building programme on climate resilience is implemented</p>                      | <ul style="list-style-type: none"> <li>- Organize a series of raising awareness workshops for women farmers on sustainable agriculture, cultivation of resistant species, participatory IWM approaches, links between health, food security and water use, good practices of women's engagement in IWM;</li> <li>- Organize exchange visits for members of Rural Women's Trust Funds</li> </ul> | <p>Baseline: 0<br/>Target: 90%-100% of beneficiaries<br/>Indicator:<br/>- number of participants;<br/>- number of capacity building events;<br/>- number of exchange visits</p>   | MoE / DoE / MoJA |
| <p>Activity 4.2 A Bakhtegan Basin Council is formed to facilitate the long-term sustainable and climate resilient management of the Bakhtegan Basin</p> | <ul style="list-style-type: none"> <li>- Facilitate presence of Rural Women's Trust Funds representatives in management meetings to express their views;</li> <li>- Support candidacy of women for LB Basin Council election</li> </ul>   | <p>Baseline: 0<br/>Target: 70%-80% of beneficiaries<br/>Indicator:<br/>- age and gender disaggregated data on participants;<br/>- number of presentations by Rural Women's Trust Funds;<br/>- number of elected women</p> | MoE / DoE / MoJA |

**Gender disaggregated data of direct and indirect beneficiaries of AF project**

| No. | Indicator   | Direct beneficiary   | Indirect beneficiary  | Men     | Women   |
|-----|---|--|---|---------|---------|
|     | Number of villages (disaggregated by households) in the Bakhtegan Basin with increased resilience to climate variability and change.  |  | The entire population of Bakhtegan basin 854,093 people<br>Indirect benefits to the entire population of the Bakhtegan Basin through communications and awareness raising | 469,751 | 384,341 |
|     |   | At basin level and it target villages at least 900 women will be involved thorough alternative livelihood practices and more than 1500 will be involved in smart agriculture activities. |   |         | 2,400   |
|     |   | At least 2700 youth will be benefitted from project activities by being involved in local technical cooperatives, smart agriculture and alternative livelihood projects.                 |   | 1,620   | 1,040   |
|     | 1.3 Number of households and farmers regularly participating and using the community monitoring system.   | 40 villages, involving 13,011 households (Which 5,200 of them are Women) and 12,821farmers (which 3,900 are women)   |   | 16,732  | 9,100   |
|     | 2.1 Number of farmers with climate smart agriculture practices.   | 4,425 farmers and gardeners (1,325 women ) from the 15 target villages will be practicing climate smart agriculture  |   | 3,100   | 1,325   |
|     | 4.1 Number of key beneficiaries and decision makers aware and trained by the project on wetland ecosystem services and climate change- related drought (disaggregated by gender). |  | The entire population of Bakhtegan basin 854,093 people<br>Indirect benefits to the entire population of the Bakhtegan Basin through communications and awareness raising |         |         |
|     |   | At least 200 government expert/staff trained on climate change impacts and adaptation strategies (at least 100 women).   |   | 100     | 100     |

<sup>1</sup> UNDP, 2018 a; Vice Presidency for Women and Family Affairs, 2015. p. 27.

<sup>2</sup> Supreme Leader Office, 2018.

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- <sup>3</sup> Mehrkhaneh, 2017.
- <sup>4</sup> UNDP, 2018 d.
- <sup>5</sup> UNDP, 2018 c. p. 31.
- <sup>6</sup> UNDP, 2018 e.
- <sup>7</sup> Inequality = 0.00; Equality = 1.00.
- <sup>8</sup> World Economic Forum, 2017. pp. 180-181.
- <sup>9</sup> Moghadam, 2005.
- <sup>10</sup> Solati, 2017.
- <sup>11</sup> UNDP, 2018 c. p. 35.
- <sup>12</sup> Laws and Regulation Portals of Islamic Republic of Iran, 2009.
- <sup>13</sup> Vice Presidency for Women and Family Affairs, 2015. pp. 14-15.
- <sup>14</sup> Ministry of Foreign Affairs. 2018. *Islamic Republic of Iran ICPD Review (Draft Version)*. p.30.
- <sup>15</sup> UNDP, 2018 c. p. 5; UNDP, 2018 e.
- <sup>16</sup> Ministry of Foreign Affairs, 2018. p. 36.
- <sup>17</sup> UNDP, 2018 c. p. 45.
- <sup>18</sup> Ibid. pp. 73, 82.
- <sup>19</sup> Currently, there are 1,108 health houses and 137 health centers in Fars Province. More information on each country of the provinces is available (in Farsi) at: <http://roostanet.knti.ir/index.aspx?pageid=2419&p=1>
- <sup>20</sup> Statistical Center of Iran, 2016 a. pp.7-10.
- <sup>21</sup> Statistical Center of Iran, 2016 b.
- <sup>22</sup> Statistical Center of Iran, 2016 c.
- <sup>23</sup> Ministry of Foreign Affairs, 2018. pp. 26-27.
- <sup>24</sup> Ibid. p. 26.
- <sup>25</sup> Vice Presidency for Women and Family Affairs, 2015. p. 2.
- <sup>26</sup> UNDP, 2018 e.
- <sup>27</sup> Interview with the Minister of Education on September 23, 2017 available (in Farsi) at <http://shabestan.ir/TextVersionDetail/660453>
- <sup>28</sup> UNDP, 2018 e.
- <sup>29</sup> Vice Presidency for Women and Family Affairs, 2018 b. p. 29.
- <sup>30</sup> Ministry of Interior, 2017.
- <sup>31</sup> Statistical Center of Iran, 2018 a. p. 6.
- <sup>32</sup> Strategic Information and Data Centre of the MOCLSW, 2018. p.2; Strategic Information and Data Centre of the MOCLSW, 2014. pp. 1-2. Both documents are available (in Farsi) at <http://amarkar.ir/Main/Products>.
- <sup>33</sup> Ministry of Foreign Affairs, 2018. pp. 17-18.
- <sup>34</sup> Vice Presidency for Women and Family Affairs, 2015. p. 36.
- <sup>35</sup> Shaditalab, 2017.
- <sup>36</sup> Sarfaraz, 2011; Modarressi, 2016; Bahramitash, 2014; Movahedi, 2012.
- <sup>37</sup> Vice Presidency for Women and Family Affairs, 2015. pp. 71-72.
- <sup>38</sup> Qarz Al-Hasaneh Mehr Iran Bank, 2018.
- <sup>39</sup> Bank of Agriculture, n.d. a.
- <sup>40</sup> Bank of Agriculture, n.d. b.
- <sup>41</sup> OEF, July 2017; IRNA, April 2017.
- <sup>42</sup> UNDP, 2018 c. p. 69.
- <sup>43</sup> As observed in field visits to the Conservation of Iranian Wetlands Project (CIWP) pilot sites in West and East Azerbaijan, Iran.
- <sup>44</sup> Vice Presidency for Women and Family Affairs, 2018 c, p. 14.
- <sup>45</sup> Annex One (Table 3) gives more detailed information on main activities of each SWO Office since 2014.
- <sup>46</sup> Ministry of Foreign Affairs, 2018. p. 32.
- <sup>47</sup> Vice Presidency for Women and Family Affairs, 2016.
- <sup>48</sup> Vice Presidency for Women and Family Affairs, n.d. b.
- <sup>49</sup> *Governmental Discretionary Punishment Organization*, 2017, pp. 8, 11.
- <sup>50</sup> More information on its responsibilities and objectives are available in Farsi at <http://tarvij.areeo.ac.ir/HomePage.aspx?TabID=22037&Site=tarvij.areeo.ac&Lang=fa-IR>
- <sup>51</sup> More information on cooperatives are available in Farsi at <http://corc.ir/Portal/Home/Default.aspx?CategoryID=1d0890df-5a5e-4970-b5a8-998c5ff6ee31>
- <sup>52</sup> ICANA, 2018.
- <sup>53</sup> FAO, n.d.
- <sup>54</sup> MENARID, 2017; Ministry of Foreign Affairs, 2018. p. 49; Keshavarz, 2013. p. 114; Shamsoddini, 2010, p. 85.
- <sup>55</sup> Statistical Center of Iran, 2017.
- <sup>56</sup> Vice Presidency for Women and Family Affairs, n.d. a.
- <sup>57</sup> Statistical Center of Iran, 2018 a.
- <sup>58</sup> Statistical Center of Iran, 2016 a. pp. 11, 13.

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<sup>59</sup> Maleksaeidi-Ghasredashti, 2013; Amini, 2017.

<sup>60</sup> Tayebi, 2016.

<sup>61</sup> MOJA, October 2018.

<sup>62</sup> Based on official Exchange of Rate, as given by the Central Bank of Iran ([https://www.cbi.ir/default\\_en.aspx](https://www.cbi.ir/default_en.aspx))

<sup>63</sup> MOCLSW, September 2018.

<sup>64</sup> More information is available in Farsi at <http://shccima.ir/banoo/>.

<sup>65</sup> More information is available at <https://www.linkedin.com/company/association-of-iranian-women-entrepreneurs/>.

<sup>66</sup> More information is available in Farsi at <http://dastadast.ir/>.

<sup>67</sup> Actually, the VWFA organized a conference on women and climate change in late October 2018. Further information is available in English and Farsi at <http://women.gov.ir/en/news/9514/%E2%80%98women-main-role-makers-in-combat-with-climate-change%E2%80%99;> <http://www.president.ir/fa/106612;> <https://www.yjc.ir/fa/print/6705606>

Annex One

Table 3- Government Entities Combating Violence against Women

| Name of Office                     | Activity  | Target Group  |
|------------------------------------|---|---|
| Socially-Distressed Affairs Office | Establishment of 26 support and rehabilitation centers in 23 provinces  | socially-distressed girls and women   |
|                                    | Establishment of 31 health clinics  | girls prone to social disorders   |
|                                    | Establishment of 185 family intervention centers to reduce divorce and separation in 31 provinces                                     | married couples   |
|                                    | Providing support to those suffering from gender identity disruption  | individuals   |
|                                    | Establishment of daily supportive-educational centers in four provinces   | children and families   |
|                                    | Establishment of safe houses/ shelters in 17 centers in 15 provinces  | women and girls exposed to violence and women victims of violence   |
| Social Emergencies Center          | Rendering specialized services to 26,000 people in 168 centers of intervention in individual, familial and social crises              | socially-distressed women and girls; women and girls prone to crisis; bullied and harassed spouses; runaway girls and couples suffering from severe family disputes |
|                                    | Providing mobile social emergency services through launching 300 active automobiles across the country                                |   |
|                                    | Identification of 118,939 people in need of receiving specialized services  |   |
|                                    | Launching a telephone hotline (123) with 153 extension lines across the country   |   |
|                                    | Rendering community-based social services and launching 146 social services bases active illegal settlements and vulnerable districts |   |

Source: Vice Presidency for Women and Family Affairs, 2018 c

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## **ANNEX 10 - ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK**

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Please refer to Environmental and Social Management Framework document

## ANNEX 11 – A BREAKDOWN OF THE IE MANAGEMENT FEE

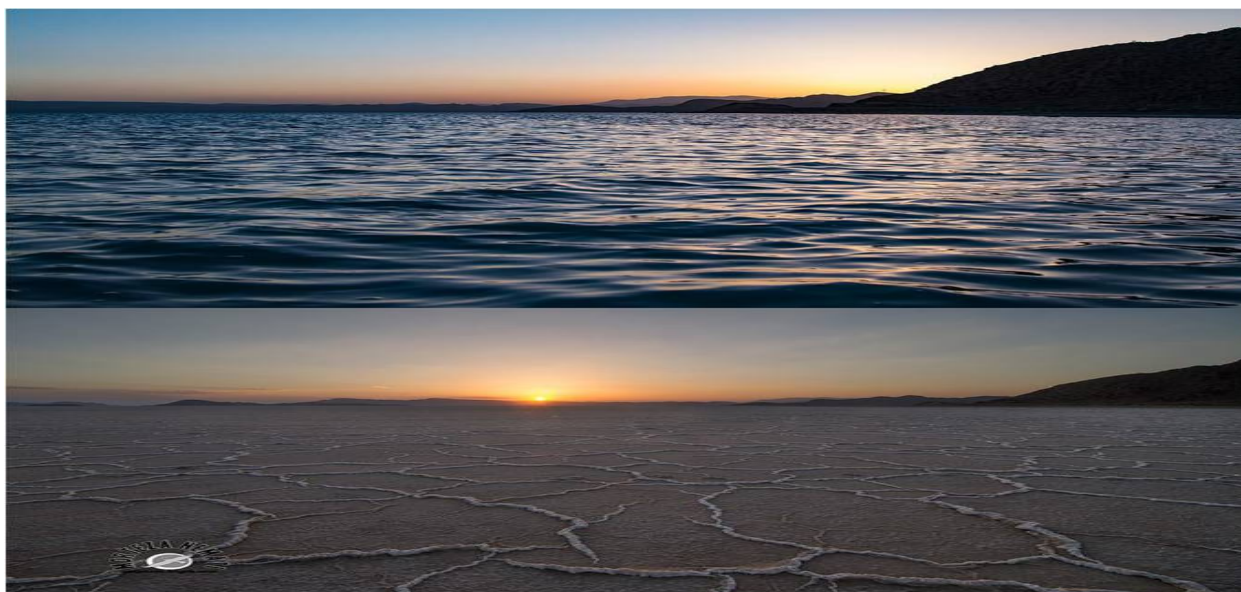
### UNDP Fees for Support to Adaptation Fund Project for “Reducing vulnerability to climate change in the Lake Bakhtegan Basin”

| Category   | Services Provided by UNDP  | UNDP Fee (8.5%) |
|--|--|-----------------|
| <b>Identification, Sourcing and Screening of Ideas</b> | <p>Provide information on substantive issues in adaptation associated with the purpose of the Adaptation Fund (AF).</p> <p>Engage in upstream policy dialogue related to a potential application to the AF.</p> <p>Verify soundness &amp; potential eligibility of identified idea for AF.</p>   | \$38,644        |
| <b>Feasibility Assessment / Due Diligence Review</b>   | <p>Provide up-front guidance on converting general idea into a feasible project/programme.</p> <p>Source technical expertise in line with the scope of the project/programme.</p> <p>Verify technical reports and project conceptualization.</p> <p>Provide detailed screening against technical, financial, social and risk criteria and provide statement of likely eligibility against AF requirements.</p> <p>Determination of execution modality and local capacity assessment of the national executing entity.</p> <p>Assist in identifying technical partners. Validate partner technical abilities. Obtain clearances from AF.</p>  | \$115,933       |
| <b>Development &amp; Preparation</b>                   | <p>Provide technical support, backstopping and troubleshooting to convert the idea into a technically feasible and operationally viable project/programme.</p> <p>Source technical expertise in line with the scope of the project/programme needs.</p> <p>Verify technical reports and project conceptualization.</p> <p>Verify technical soundness, quality of preparation, and match with AF expectations.</p> <p>Negotiate and obtain clearances by AF. Respond to information requests, arrange revisions etc.</p>  | \$154,577       |
| <b>Implementation</b>                                  | <p>Technical support in preparing TORs and verifying expertise for technical positions.</p> <p>Provide technical and operational guidance project teams.</p> <p>Verification of technical validity / match with AF expectations of inception report.</p> <p>Provide technical information as needed to facilitate implementation of the project activities.</p> <p>Provide advisory services as required.</p> <p>Provide technical support, participation as necessary during project activities.</p> <p>Provide troubleshooting support if needed. Provide support and oversight missions as necessary.</p> <p>Provide technical monitoring, progress monitoring, validation and quality assurance throughout.</p> <p>Allocate and monitor Annual Spending Limits based on agreed work plans.</p> <p>Receipt, allocation and reporting to the AFB of financial resources.</p> | \$347,798       |

| <b>Category</b>                 | <b>Services Provided by UNDP</b>   | <b>UNDP Fee (8.5%)</b> |
|---------------------------------|--|------------------------|
|                                 | Oversight and monitoring of AF funds.<br>Return unspent funds to AF.   |                        |
| <b>Evaluation and Reporting</b> | Provide technical support in preparing TOR and verify expertise for technical positions involving evaluation and reporting.<br>Participate in briefing / debriefing.<br>Verify technical validity / match with AF expectations of all evaluation and other reports<br>Undertake technical analysis, validate results, and compile lessons.<br>Disseminate technical findings | \$115,933              |
| <b>Total</b>                    |  | \$772,885              |



**Summary of The local consultant final report on supporting local community participation in Proposal for  
Adaptation to Climate Change in the Bakhtegan Basin**



Kamjan rehabilitee society

Fars- Iran

December2017

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**Current status:**

In the recent years due to a vast climate change and decreasing in precipitation amount, drought has been threatening wetlands, biodiversity and livelihoods in Bakhtegan basin severely. Unsustainable agriculture and water extraction are destroying Bakhteganbasin (table 4 and 5).

Currently, these two lakes are in their most critical conditions. Bakhtegan and Kamjan are completely dry and about only 10-20% of the area of Tashk Lake, near Gomban spring, still has some water. The drying out of wetlands have affected not only the biodiversity but also the Agricultural areas and local livelihoods. As a result of drought, the temperature rises so the warm and dry conditions predominate in these areas. The winds continuously blow and reduce the humidity. The drought in Fars province over the last few years and its unfavorable effect on the Estahban's famous fig is undermining the economy of the people of Estahban. As the dust increases in the region, diseases such as cancer, respiratory diseases, and infertility are reported in the region. Also the rates of poverty and migration have increased dramatically specially in downstream towns such as Kherame.

Table 3: Agricultural land areas of Bakhtegan basin in each of the districts (Jihad-2017)

| Agricultural land areas of Bakhtegan basin in each of the districts |                |
|---|----------------|
| Districts   | Area (hectare) |
| Abade   | 20679          |
| Eatahban  | 6516           |
| Eghlid  | 102670         |
| Arsenjan  | 23861          |
| Pasargad  | 19606          |
| Kherame   | 49386          |
| Khorambid   | 20786          |
| Shiraz  | 51128          |
| Sepidan   | 39423          |
| Neyriz  | 15608          |
| Bavanat   | 17116          |
| Marvdasht   | 116119         |
| Total   | 482898         |

## AN OVERVIEW OF THE STUDY

### 1. MISSION PLAN:

One of the main objectives of our assignment is to raise awareness, build capacity and identify regional opportunities, in order to do so, first the target groups were identified. Since there are experiences in defining an integrated management plan for Bakhtegan wetland and a couple of workshops were held for identifying the basin's stakeholders, we know the target groups that we are dealing with. The direct target group includes the key governmental authorities at both provincial and local level (Governor Office, villages' councils, Regional water Recourses Company, MOJA, Department of environment and department of Natural resources), farmers, local communities with a focus on women, etc. The indirect target groups are NGOs, some local reporters and newsmen with whom we have connections. The next step is to hold participatory workshops. These workshops are to be held in 3 pilots and the named target groups are going to be invited. The impact of local communities on water consumption, the impact of climate change and the consequences of drought on these counties was considered in selecting the counties and the invited stakeholders.

As these people are already involved with the team in other workshops on bakhtegan basin issues, the other objective of this program which is to initiate, facilitate and steer for attracting public participation and stakeholders has been met and the target groups are willing to cooperate. Educational-consultative meetings with the village citizens in the upstream of the basin were held. Educational programs were held for the students in different occasions in Kharamesh County. Climate change and its consequences was published in a form of a brochures which were distributed in the local community. Figure5



*Figure 1 local community awareness raising in the bakhtegan basin villages*

The chosen pilots are in both downstream and upstream of the basin. Kherame and Estahban are located downstream and Marvdasht is located upstream. In these participatory workshops, the stakeholder's points of view on their livelihood issues, the impacts of drought on their lives and the challenges that the authorities are facing in Bakhtegan basin management will be heard. To support developing a proposal on climate change adaptation via sustainable water and agriculture management for Bakhtegan Lake restoration and livelihood resilience, field visits of these 3 pilots are planned. These field visits will give a general overview of water and land conflicts, the threatening factors such as dams, illegal wells, excessive water extractions and unsustainable water consumption in agriculture and also impacts of drought on different parts of the basin.

The first meeting was held in the provincial governmental office of Fars. In this meeting a short presentation, regarding the existence of similar patterns of destructive effects of climate change in the other places of the world, and the disclosure of the requested information for the drafting of the proposal, was given by the international advisor Gavin Kenney. Representatives of the Fars Regional Water Authority, the Agricultural Jihad Organization, the Natural Resources and Watershed Management Organization of the province, described their actions in the basin and gave related data. At the end of the meeting, it was decided that all the executive organizations were required to collect the information requested by the advisers, and submit them to the DOE Office within 2 days.



*Figure6: consultative meetings with the related authorities in Shiraz*

## **CONSULTATIVE MEETINGS IN DOWNSTREAM COUNTIES**

After holding the meeting with the representative of the executive organizations, the upstream and downstream of the basin was visited in 4 days and 3 meetings were held with the participation of the local stakeholders in Kherame, Estahban and Marvdasht counties as it comes in the followings.

### **2. THE OUTPUTS OF THE CONSULTATIVE MEETINGS IN THE DOWNSTREAM COUNTIES**

#### **First workshop: 2017 December 15<sup>th</sup>**

Venue: Kherame County (with the participation of both Kherame and Arsenjan counties stakeholders)

The participants profile:

Table 6 the participants in Kherame meeting

| Name                     | Organization   | Position   | Phone number |
|--------------------------|--|--|--------------|
| Argive                   | Kherame County governmental office                               | county governor  |              |
| AlirezaGhaedi            | Kherame County government office                                 | Deputy   |              |
| Khoram                   | district, named Central, governmental office                     | Head   |              |
| Zarei                    | district, named Korbali, governmental office                     | Head   |              |
| Gavin Kenny              | UNDP   | International consultant   |              |
| Reis Lopez               | UNDP   |  |              |
| Ahmad aliZare            | Arsenjan County governmental office                              | Deputy   | 09177157440  |
| Hassan Ebrahimi          | Arsenjan DOE   | Chief  | 0917291367   |
| SeyedJafarMusavi         | Arsenjan jihad agricultural organization                         | Deputy   | 09177287352  |
| OmidFarvardin            | The representative of the gardeners and farmers of Fars province |  | 09177097051  |
| SeyedZeynolabedinHashemi | Ghalat-e-sabz association  | NGO Secretary  | 09171293255  |
| Seyed Ahmad Hashemi      | Arsenjan Natural resources organization                          | Deputy   | 09176848598  |
| HamidrezaEbrahimi        |  | NGO  | 093762333004 |
| Mohammad aliHamedi       | Royan company National consultant                                | Project manager  | 0912576092   |
| Mehdi Zarekani           | Royan company National consultant                                | general manager  | 09122095545  |
| HosseinRanjbar           | County Natural resources organization                            | Expert   | 09171383283  |
| MasumeMohammadi          | Kherame County governmental office                               | Expert   | 09177173283  |
| MortezaZare              | The representative of the county council in the province council |  | 09171106476  |
| Hamid Karimi             | The central district council                                     | chief  | 0917112829   |
| Mohammad Amin Bahmanpour | The Islamic council of Kherame County                            | chief  | 09177071998  |
| Mansour Shiravani        | Kherame DOE  | chief  | 09173309644  |
| Ali Marzoughi            | Rooyan Company National consultant                               | expert   | 09123264286  |
| HamidrezaSoleymani       | Organization of Forests, Rangeland and Watershed Management      | A member of the high council   | 09123107715  |
| AbdolhosseinDehghani     | Agricultural trade union   | Vice president   | 09171884130  |
| KavoosiHemati            | Agricultural jihad Organization of the county                    | chief  | 09173101814  |
| BehboodJameshi           |  | A Village headman  | 09178357935  |
| SaiideIzadi              | Irrigation office of the county                                  | chief  | 09177189040  |
| Leila Juliaie            | Local consultant(Fars DOE)                                       | Facilitator (head of the wildlife monitoring department of Fars DOE) |              |

|                 |                  |  |             |
|-----------------|------------------|--|-------------|
| Pardis Valavi   | Local consultant |  | 09171109134 |
| SirousZare      | Local consultant |  |             |
| MehrasaMehrdadi | DOE              |  |             |

The first workshop was held in Kheramegovernmental office with the participation of the governmental and local stakeholders from Kherame and Arsenjan counties. It was requested from the participants to discuss the impacts of drought on the natural resources and their livelihoods.

The impacts of climate change and drought on the cities and villages of the downstream of the basin from the participants' point of view:

38. Creation of new water rightsfrom Kor river
39. Change in the local community livelihoods
40. Being obliged to have illicit jobs in the cities
41. Compulsory change of cultivar pattern
42. Conflicts between government and people
43. Water Conflicts among basin counties
44. not considering the environmental water flowrights in the allocation of water resources
45. Increase in divorce (according to available documents at the court counseling center), depression and crime rates
46. Increased dustwinds
47. Increased water consumption(agriculture and household)
48. Increased digging new illegal wells
49. Increased agricultural production costs and lack of economic feasibility
50. Closure of the agricultural section
51. Farmers' debts to banks and compulsory escape from the region
52. Migration to shiraz
53. The loss of immigrants' social structure and culture can cause a grief reaction. Depressive symptoms including significant decline in self-esteem andself-identity can be seen among them.
54. Increased crime
55. Damages to conversion industries
56. loss of livelihood avenues in Korbali
57. students are forced to leave school due to poverty
58. loss of agricultural insurances
59. Change in the usage of dams from power generation to agricultural water supply
60. Land degradation and land use change
61. Increased skin diseases
62. loss of the wetland biodiversity
63. groundwater-level declines of approximately 200 meters
64. Saltwater intrusion
65. Decrease in agricultural productions
66. Cultural bereavement, a paramount aspect of the migrant's experience
67. The area under cultivation has been declined, for example in some areas it has been declined to 1500 hectares from 4300 hectares
68. Livestock reduction, Hassan Abad village is a case that can be mentioned as an example .This village was famous for its buffalos, and now the number of buffaloes has dropped from 1,000 to 230.
69. Changes in wetland area with high fluctuations
70. Reduced wet surfaces
71. Temperature fluctuations between night and day
72. Increasing desertification
73. Overgrazing and rangeland loss\*
74. Indiscriminate exploitation of the forest products such as*Pistaciaatlantica*, cumin and thyme\*

\*Exploitation management of rangelands and forests, monitoringforests and rangelands, and collaborative conservation are the proposed solutions for the conservation of forests and rangelands.





Figure 2: advisory meeting in Kherame

In the second part of the workshop, the participants presented their solution suggestions for Climate Adaptation. The suggestions provided by the participants are:

6. promote sustainable alternative livelihoods such as:
  - sewing
  - carpet weaving
  - local chicken raising(local chicken farming)
  - Local Bread Production
  - Packaging workshops
  - Local dairy production
  - Ornaments and leather productions( they should be trained first)
  - Horse training and launching riding clubs
- 2- Setting up rural small grants
- 3- Eco-tourism projects and attracting tourist considering the potentials of the region such as:
  - A place named Qanat in Arsenjan
  - Pomegranate festival in Arsenjan
  - Bird watching
  - Agro tourism and rural tourism
  - local foods festivals
  - traditional and religious ceremonies like Taaziee
- 4- establishing private hunting districts
- 5- planting *Carthamustinctorius*

The challenges of implementing these suggested solutions were discussed to be:

- Incompatibility with existing laws
- Inconsistencies between executive authorities
- The lack of license for selling local productions Due to the lack of sanitary and standard permits

So with trainings for the development of home-based businesses, doing feasibility studies and creating a market for more sustainable alternative businesses, these challenges can be overcome. In the afternoon Jamishi and Kamjan villages were visited. Jamishi village used to be famous for raising buffalos in the margins of Kamjan wetland and producing milk and other dairy products. But with the dry out of the wetland this livelihood is severely affected by the drought and the number of the herds are notably reduced. The villagers have lost their livelihood sources and due to the lack of water the agriculture is not common in this village.

Kamjan village, which is located in the margin of the wetland is one of the other villages which is affected by the drought. In the past years Kamjan wetland was a resource for the livelihood of the villagers. Hunting birds, raising buffalos and animal husbandry in the margin of the wetland used to boost the lives of local people. The drying of the wetland due to the construction of drains and the reduction of groundwater resources in the agricultural section resulted in the migration of the villagers. Two decades after the wetland was dried, a number of locals led the drainage

water to the wetland, causing a part of the Kamjan wetland to be restored. In this village, we can see new livelihood patterns. During this field visit, a mushroom breeding unit was visited.



Figure9: visiting mushroom workshop in Kamjan village

**The second workshop: 2017 December 16<sup>th</sup>**

Venue: Estahban County (with the participation of both Estahban and Neyriz counties stakeholders)

The participants profile:

Table 4 the participants in Neyriz meeting

| Name                   | Organization  | Position        | Phone number  |
|------------------------|---|-----------------|---|
| Ali Rahvar             | Neyriz County governmental office   | Deputy          |   |
| Hashem nia             | district, named Central, governmental office  | Chief           |   |
| HosseinMomtazian       | Neyriz County governmental office   | expert          |   |
| FereydoonHeydari       | The water resources office of Neyriz county   |                 | 09173234887<br>Faridonheydari@gmail.com   |
| Nader Ziyaee           | district, named Roniz, governmental office  | Chief           | 09171323150   |
| Mohammad aliHamedi     | Royan company National consultant   | Project manager | 0912576092  |
| Hassan Baniasadi       | Natural resources organization of Neyriz  |                 | 09173304503   |
| Hamid Elahi            | The representative of Estahban county farmers                                       |                 | 09171300274<br>Elahiamid47@gmail.com  |
| SomayeRanjbar          | The representative of Estahban county women and also a member of the county council |                 | <a href="mailto:Ranjbarsomaveh63@gmail.com">Ranjbarsomaveh63@gmail.com</a><br>09174350266 |
| Mohammad Izade         | The water resource office of Estahban county  |                 | 09163010459   |
| Mojahed Mehdi Alishahi | Natural resources organization of Estahban  |                 | 09173316475<br>Estahban.gis@gmail.com   |
| MehrzadJangali         | A member of Estahban council  |                 | 09172572658   |
| RasoolHajibagheri      | GoroohemardomididebanEstahban   | NGO             | 09171305874   |
| SeyedEsmailJalali      | Agricultural jihad Organization of Neyriz   |                 | 09177182289   |
| JavadMehdipoor         | Neyriz DOE  | Chief           | javadmahdepoor@yahoo.com  |

|                              |  |  |             |
|------------------------------|--|--|-------------|
| MohammadhosseinMalekhosseini | Agricultural jihad Organization                            |  | 09173328344 |
| Ali Marzoughi                | Rooyan Company National consultant                         | expert   | 09123264286 |
| Mehdi Zarekani               | Royan company National consultant                          | general manager  | 09122095545 |
| Gavin Kenny                  | UNDP   | International consultant   |             |
| Reis Lopez                   | UNDP   |  |             |
| HamidrezaSoleymani           | Organization of Forests Rangeland and Watershed Management | A member of the high council   | 09123107715 |
| AliakbarSafaii               | DOE of Estahban  | chief  | 09363637815 |
| Leila Julaie                 | Local consultant(Fars DOE)                                 | Facilitator (head of the wildlife monitoring department of Fars DOE) |             |
| Pardis Valavi                | Local consultant   |  | 09171109134 |
| SirousZare                   | Local consultant   |  |             |
| MehrasaMehrdadi              | DOE  |  |             |

Based on the comment of the international consultants, in the second workshop the focus was on **Approachestoadaptation** based on current conditions. In the beginning, the existing approaches which have been used by the stakeholders for dealing with the situation caused by drought had been discussed (With a focus on the local community livelihood and the supports that they receive from authorities). Then it was requested from the participants to submit their solution suggestions. The challenges for implementing these solutions were also discussed. The outputs of this session are provided in table 1.



Figure 3: Estahban consultative meeting



Figure 4: Estahban meeting



Figure 5: Defining a management structure

Table 5: The output of the first section of workshop

| The existing approaches to climate change adaptation in Estahban and Neyriz counties | The received supports for implementing approaches  | Solution suggestions  | Challenges for implementing the suggested approaches   |
|--|--|---|--|
| Production and planting of medicinal plants (Mormak)<br><i>Commiphoramolomo</i>      | Getting loans from local small grants which is run by local communities(26 active grant boxes in the region) | Training (change in the consumption trend and putting new productions like mushroom in the household food basket) | Lack of proper market for selling alternative crops and other local productions  |
| Greenhouse cultivation of Cucurbits and vegetables                                   | Loans from aid committee (just for the supported members)  | Organic productions   | Lack of balance between supply and demand  |
| At home jobs (Pomegranate sauce, dried herbs, sewing and cloth productions)          | Labor office loans   | Creating conversion and processing industries for fig   | Dust is an obstacle in producing organic crops and it causes an increase in diseases and pests(tick)                     |
| Expanding the fig gardens in Neyriz  | Omid(Hope)Entrepreneurship Fund  | Preventing the expansion of gardens and farm lands  | The failure of the local fund in Neyriz due to the inability of the recipients to pay the payments                       |
| Local dairy production (relying on rural small business loan)                        | Agricultural jihad organization loans for under pressure Irrigation  | Dry farming in steep lands  | Lack of Saffron Processing   |
| saffron cultivation and its expansion  |  | Processing industry for pomegranate in Neyriz   | Not having the license for selling local productions Due to the lack of sanitary and standard permits                    |
| Industrial production by using Fig separator machine in Sohl Abad village            |  | Expansion of stone mining   | The proximity of the villages with the National Park and the prohibiting rules for the establishment of small industries |
| Creating artificial habitat for the trapped in the dried wetland newborn flamingos   |  | Neyriz white cement factory   |  |

|   |  |  |  |
|---|--|--|--|
| Implementation of Desertification Project in Tom Shuli region |  | Using waste water in industry                            |  |
|   |  | Using Channel Terraces to supply water and soil for figs |  |

In the second part of the workshop, the Governance status, the legislation and the impact of different levels (national, provincial, local) on decision making was illustrated as in the following diagram. It was concluded from this part that in the current managing structure, no place has been considered for native communities and NGOs.

\*The supply council is under the supervision of the provincial governor. In cases where enforcing laws and Executive actions results in social conflicts, they will have a meeting in which proper decisions, sometimes with more flexibility than the existing laws, will be made.

Part 2:

In the final section, we tried to reach a management-executive approach to engage all stakeholders in decision making and implementation of projects for sustainable livelihoods and resilience of natural resources in drought-compliant conditions at selected sites. To reach a structure in which decisions will be made with the participation of the beneficiaries of the Bakhtegan Basin, participants agreed on a local-level structural formation in the catchment area consisting of representatives of government stakeholders, local communities and NGOs. It was emphasized that stakeholders from both the upstream and downstream of the basin should be involved in the committee or council.

After holding the advisory meeting in Estahban the saffron farms, the dried out Bkhtegan wetland and the nearby villages were visited.



Figure 15: saffron farms in Estahban



Figure 16: Fig farms in Ghasham Ghavi village



Figure 6: Stakeholders in Estahban workshop

### 3. THE OUTPUTS OF THE MEETING IN THE COUNTIES LOCATED IN THE UPSTREAM OF THE BAKHTEGAN BASIN

#### The third workshop: 2017 November 18<sup>th</sup>

Venue: Marvdasht County with the participation of both Marvdasht and Pasargad counties stakeholders

The list of the participants:

Table 6 the participants of the meeting in Marvdasht

| Name                   | Organization  | Position           | Phone number |
|------------------------|---|--------------------|--------------|
| ShahrokhRostami        | The Kor district, of Marvdasht County, government office    | The district mayor | 09173243599  |
| Mohammad GhasemGhasemi | The central district of Marvdasht county, government office | The district mayor | 09173281636  |
| Mohammad aliZare       | The Marvdasht county water resources organization           | Chief              | 09173039693  |
| AbolhassanKeshavarz    | Marvdasht county DOE  | Chief              | 09171272191  |
| Hamid Rousta           | Marvdasht county natural resources organization             | Chief              | 0917720610   |
| HoseinPourkave         | Marvdasht county agriculture of Jihad organization          | Expert             | 09173280257  |
| Mehdi Baseri           | Marvdasht county agriculture of Jihad organization          | Expert             | 09171092291  |
| MehrzadMokarami        | Maravdasht county DOE                                       | Expert             | 09171271667  |
| Ali poursalehi         | water resources organization                                | Chief              | 09176706060  |
| RahimeHemati           | A NGO from Pasargad County                                  |                    | 09175576467  |
| AbdolahAlizade         | NGO   |                    | 09171262862  |
| BabakSarvari           | NGO   |                    | 09179287110  |
| Reis Lopez Rello       | UNDP  |                    |              |
| Ali Marzoughi          | national consultant   |                    | 09123364386  |
| HamidrezaSoleymani     | The forests, rangelands and watersheds organization         |                    | 09123107715  |

|                 |                  |  |             |
|-----------------|------------------|--|-------------|
| Majid Soufi     | Local consultant |  | 09171100681 |
| SirousZare      | local consultant |  | 09178191719 |
| GhasemZare      | NGO              |  | 09173366326 |
| MehrasaMehrdadi | DOE              |  |             |
| Mojdekhalife    | NGO              |  | 09179672915 |



*Figure 7: Marvdasht meeting*

#### **Advisory meeting in Marvdasht County**

The next workshop of the advisory workshops on adaptation strategies for climate change in the Bakhtegan Basin was held in the upstream of the basin in Marvdasht governorate on November 18, 2017.

This workshop was held with the participation of the representatives of governmental organizations, local community, the representatives from UNDP, Gavin Kenny, the international consultant and Reis Lopez, Technical Director of Climate Change at UNDP Regional Office in Bangkok.

In this workshop each of the participants expressed their points of view on the existing problems of the upstream of the basin and the ways to adapt to climate change.

#### **Challenges:**

- Lack of water for agricultural purposes
- Major government policies for the employment of agriculture and horticulture
- The effects of under pressure irrigation projects are not clear for the farmers
- increased under cultivation area after saving water with drip irrigation
- the unsustainable development of agriculture
- consumption of water is 4 times more than the industrial production
- desertification in Ramjerd
- natural resources destruction
- Increased sediment load entering the Droodzan dam
- Land subsidence
- Cracked lands around cultural heritages (Persepolis and Naghsh-e-Rostam)
- Illegal well drilling (2000 illegal wells in the riverbed)
- Having different perspectives in water policies

- The conversion of dry farms to gardens (over 2 to 3 thousand hectares of Eghlid lands turned into gardens that caused the dryness of the Kor river)
- Unlimited issuance of greenhouse licenses
- Increased under cultivation agricultural lands (the under cultivation lands used to be fixed and everyone was satisfied with what they had. But now these lands are increased without considering the climate)
- high demand among farmers for drilling deep wells
- The lack of farmers awareness about the lack of water resources
- Cutting down trees for fuel in Kamfirooz, due to the lack of gas
- households relying on agriculture for their livelihoods
- The lack of market for alternative crops (currently over 14,000 hectares and 14 herbal species are cultivated by local people in Kamfirooz. unfortunately, the products are stored in warehouses due to low sales.)
- Removing agricultural joint stock companies, which leads to land fragmentation and increased water consumption

The currently used solutions:

- Livestock and dairy production
- Conversion industries such as: tomato paste, Pickled cucumber
- Installing volumetric meters on wells
- Cultivation of low-water plants such as: saffron, pistachios

Suggestions:

- Granting no-cultivation subsidies to farmers for livelihood
- Crop Pattern Change Program
- Restoration of agricultural corporations
- Using local human resources for job opportunities
- Restoring the biodiversity of the region
- Construction of watering places
- creation of the garment industry in the Counties
- creation of ecotourism and handicrafts( carpet, killim , stones and etc.) as an alternative job
- Construction of tourist cottages
- using urban sewage for petrochemical consumptions
- recycling industrial water
- giving licenses to food conversion businesses ( pickles, tomato paste, salty cucumber )
- developing handicrafts
- subcultural training
- Using indigenous knowledge
- Development of household businesses
- Allocation of industrial stocks to farmers
- Restore and development of handicrafts
- Production workshops(processing, packaging, marketing)



- Low-water plants cultivation such as saffron and pistachio
- Local community training by agricultural Jihad organization
- Restoration of vegetation cover
- The presence of a sociologist in the region for training
- Watershed plans implementation
- salt-tolerant plants cultivation
- camel raising and breeding

It is understood from the workshop that the upstream of the basin is affected by the drought but its access to water resources is not completely limited yet. But it is predicted that in the upcoming years the upstream Counties will face a crisis as it is in the downstream of the basin right now. In this region the agriculture section, especially rice cultivation, consumes a large amount of water and over exploitation of forest sources such as wood and Pistacia atlantica is very common.

After the meeting with the stakeholders, the actual impacts of the drought on historical places such as Takhtejamshid and Naghshe Rostam, also the Doroodzan dam and some alternative livelihoods there were visited.

## TARGET VILLAGES SELECTION

---

After holding each of the downstream and upstream workshops, meetings were held to wrap up the observations and the completion of the proposal in the meeting room of Fars DOE. During these meetings it was decided that the local consultant should introduce villages in each of the four zones of the basin as pilots for implementing sustainable agriculture and alternative livelihoods projects. Considering the upcoming criteria 20 villages were selected with a special emphasis on zone 1 and 4 which were the most affected areas from climate change:

### 4. THE CRITERIA FOR THE SELECTION OF VILLAGES FOR OUTPUT 2.1 (SMART AGRICULTURE):

The selection of villages has been conducted on the basis of consultation with the county authorities, farmers, NGOs and also field experiences. The following items were considered as well:

6. Successful experiences, such as low-water and drought resistant crop with high income: the villages that cultivate saffron, safflower and pistachio as an alternative for rice
7. Successful research and development experiences in reducing water consumption for agricultural purposes. We can have these village farmers' cooperation in implementing sustainable agriculture projects.
8. Existence of potentials, including the support of village officials and the presence of leading farmers
9. The location of the villages and their impact on the surrounding villages

The most vulnerable communities:

The vulnerable communities are consisted of farmers, owners of processing industries, livestock breeders, owners of agricultural machinery and etc.

The most vulnerable community is farmers. They have lost their source of income due to the drought. The farmers in zone 2 are rice farmers and in the other zones have dry farms of wheat and barley. Among these farmers the farmers of zone 4 are the most damaged ones. In zone 1 and 3 the gardeners are from damaged groups from the drought.

The most vulnerable groups are Farm payday workers including rural women, Construction workers in the agricultural sector, owners of processing industries and agricultural inputs such as fertilizers, seeds, pesticides and etc. the rural women and children are the second most vulnerable groups. Teens and young people left school because of poverty. The increased diseases especially in zone 4 puts pressure on the families and especially women. Among livestock breeders, the ones in zone 1 and 4 are more damaged due to the loss of rangeland.

It is estimated that the project will cover 11507 hectares of the farmlands and gardens. About 2.33% of the farm lands and 0.12% of the gardens in zone 1, 2, 3 and 4 of the basin will be covered. The direct influenced households will be 3490.

The gathered informations from different governmental authorities were submitted to the national consultant.

## 5. THE CRITERIA FOR THE SELECTION OF VILLAGES FOR OUTPUT 2.2 (ALTERNATIVE LIVELIHOODS):

The selection of villages has been conducted on the basis of consultation with the county authorities, NGOs and also field experiences.

The first criteria for selection of these villages was based on covering each of the four defined zones. The other criteria include:

**1. Signs of enthusiasm and initiatives from the communities**, including the women. We can see Initiatives for Development in some of these villages as a few progressive people have started their own small enterprises although these enterprises are not providing them with enough income. Also a concern about their environment can be seen in these villages, as a local NGO has started working in Aliabad village and they were participating in other environmental projects and reporting environmental invasions to the DOE office. Their attitudes to Outsiders and government are acceptable.

**2. The location of the villages** and their impact on the surrounding villages

**3. Coherence of village community**,

**4. Capacity**, it seems that no other project is presently making demands on the villagers.

**5. Accessibility**, by road the villages are accessible by all vehicles throughout the year.

**6. Village management**, the selected villages have cooperative and accessible village chairmen

**7. Biodiversity**, the impact of the villages' livelihoods on their surrounding biodiversity was considered.

## 6. TARGET VILLAGES

**Sharghabad**: the reason for the selection of this village is that the water resource of this village is Gomban spring while this spring is the only existing water resource for Tashk wetland and also the fact that they invade wetland lands for agricultural purposes. It was intended to consider alternative livelihoods besides sustainable agriculture, so their livelihood would be less dependent on agriculture.

**Emamzade Esmail village**: the village has vast grape lands. They exploit forest resources (Zagros). There is a conflict between local community and wildlife (such as brown bear) due to the competition over food supplies. It can be predicted that the alternative livelihood in this village can be a help to the conservation of the forest and water resources.

**Kordshul**: this village which is located in zone 1, Pasargad County, is damaged in agriculture section due to the reduction of the groundwater level.

**Aliabad**: this village is located in Marvdasht County, Kamfirooz district. This region is famous for rice cultivation but due to the overuse of water resources some of the villages such as Aliabad have faced difficulties in agriculture, their livelihood used to rely on rice cultivation.

**Doroodzan and Bande amir**: these villages use surface water resources (Kor River), ground water resources, fertilizers and pesticides. They cultivate water consuming crops and the downstream water right is used for unsustainable agriculture in this region. Reduction of the livelihood reliability of these villages on agriculture is one of the reasons for their selection.

**Kamjan, Jamishi and Jazin** are the downstream villages that are located in zone 4 and their livelihoods which rely on agriculture, animal husbandry and buffalo raising are completely lost, in other words people have lost their income sources. In these villages even providing drinking water for the residents seems to be facing difficulties. Poverty, unemployment and migration is so obvious in these villages and their first priority is their livelihood. Earlier in Kamjan the alternative livelihoods were introduced to some extent so they are willing to cooperate in the upcoming relevant projects.

**Jazin**: it is located in zone 4 and is selected due to its proximity to Tashk wetland. It is located in a situation between downstream villages and zone 3 villages and the well water becomes saline and the local community has turned into cultivating pistachio.

**Khane kat:** this village is close to Bakhtegan wetland and has lost its groundwater resources, its fig lands has been severely damaged and every year the villagers invade Bakhtegan wildlife shelter lands and turn these lands to their fig farms. This cause a major conflict between local community and DOE.

## SOCIO-ECONOMIC CONDITIONS IN THE FOUR ZONES

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### 7. SOCIO-ECONOMIC AND ENVIRONMENTAL STATUS OF THE AREA IN EACH OF THE FOUR ZONES:

**Zone1:** the branches of the Kor River, which originate from Mount Bel in Eghlid, are located in this zone. Kaftar wetland, the first entry point for aquatic migratory birds, is located in Zone 1 and has been dry due to the drought since 2007 and the biodiversity of this wetland has completely disappeared. On the other hand, the livelihood of the villagers in the region was dependent on the fishery, which is why there is no livelihood source at the moment. Reduction of precipitation in this area and uncontrolled water exploitation from the upstream areas of Kaftar wetland (Dasht-e-Nemdan) caused drought and decline in groundwater levels in zone 1. In this zone, the Siwand dam is built on the Siwand River and MullaSadra on the Kor River. The Sivand River is dry and Kor River has water in the rainy years. These cases in zone 1 are summarized as follows:

#### Environmental conditions:

6. Dried Kaftar wetland
7. Reduction of flow into dams of MollaSadra and Sivand
8. Reduction of biodiversity in the upstream
9. Reduction in precipitation and increased temperature, Evaporation and transpiration
10. Increased conflicts between wildlife and residents of the catchment area

#### Socioeconomics conditions:

8. Reduced income from aquaculture
9. Reduced farmer and dairy farmers' income
10. Increased unemployment
11. Increasing mental and psychological problems
12. Increased divorce rate
13. Increased migration from villages to the city margins
14. Increased poverty

**Zone2.** Although in the counties of Zone 2, water flow in water resources has decreased in recent years due to decreased precipitation, but compared to other parts of the basin, there is no crisis. However, rice farms and fish farming are threatening the water resources of this basin. Due to the size of the area under cultivation, wildlife habitats being captured and harvesting of forest products, there is conflict with hogs and bears. These cases in Zone 2 are summarized as follows:

#### Environmental conditions:

6. Decreased precipitation
7. Decreased water flow into the Doroodzan dam
8. Drozden dam lake became an alternative habitat for aquatic birds of the region
9. Increased water exploitation from water resources
10. The conflict between farmers and gardeners

#### Socioeconomic conditions:

4. Increased rice farms
5. Villagers preference to cultivate rice and have fish ponds
6. Conflict with downstream counties over water

**Zone3:** In this zone the water scarcity and its impact on the region's agriculture are being revealed. Agriculture in Zone 3 is moving towards changing the cultivation pattern and growing safflower. The proximity of Bamu National Park to some villages where having livestock is prevalent has created conflicts between livestock breeders and leopards.in this zone Kor River, which joins the Siwand River at the Khan Bridge in Marvdasht, is dry most of the year.

These cases in Zone 3 are summarized as follows:

#### Environmental conditions:

5. Dried Kor river
6. Destruction of the habitats of birds, pond turtles and aphanus fishes
7. Decreased springs flow
8. Conflicts between livestock breeders and leopards

Socioeconomic conditions:

6. Conflict with upstream farmers in spring when the water for agricultural purposes are being shared
7. Dried wells
8. Migration to cities
9. Increased unemployment rates
10. tendency to change the pattern of cultivation toward safflower

**Zone 4:** This zone is the most damaged part of the basin. In this zone the Bakhtegan, Tashk and Kamjan wetlands are located. The Tashkh and Bakhtegan wetlands were dried since 2007 and the Kamjan wetland have dried up completely since the mid-1960s. Reduced rainfall amount in this zone, the physical changes in the basin, increased water harvesting, especially in the upstream, the construction of dams and upstream waterworks projects have caused severe crisis in the areas of biodiversity and economic in zone 4. Thousands of migratory birds used to come to these wetlands in winter, this population has been severely reduced or completely vanished over the past years. Wind erosion and dust storms in the area have damaged the crops and the health of the inhabitants of the wetland.

These cases in Zone 4 are summarized as the following:

Environmental conditions:

8. reduced precipitations
9. dried wetlands
10. severely reduced migratory birds
11. destruction of hatching habitats
12. dried springs
13. the increased conflicts between farmers and birds
14. wind erosion and increased dust storms

Socioeconomic conditions:

9. Unemployment
10. Increased migration
11. The growing trend of poverty
12. Increased divorce and crime rates
13. Decreased quality of farm crops and fruits such as fig
14. Increased rate of diseases(physical and mental)
15. Land destruction
16. Conflict with DOE, natural resources organization and water resources management organization

*Table 7: selected villages*

| Selected villages |              |      |                         |        |
|-------------------|--------------|------|-------------------------|--------|
| No.               | Village name | zone | County                  | Output |
| 1                 | Khosroshirin | 1    | Abade                   | 2.1    |
| 2                 | Ali abad     | 1    | Abade                   | 2.1    |
| 3                 | Kaftar       | 1    | Eghlid                  | 2.1    |
| 4                 | Hossein Abad | 2    | Marvdasht               | 2.1    |
| 5                 | Bizjan Olya  | 2    | Marvdasht               |        |
| 6                 | Bidgol       | 2    | Marvdasht               |        |
| 7                 | Fotooh Abad  | 2    | Marvdasht               |        |
| 8                 | Doroodzan    | 2    | Marvdasht               |        |
| 9                 | Hesar        | 2    | Marvdasht               |        |
| 10                | Haji abad    | 2    | Sepidan(Beyza district) | 2.1    |

|    |                |   |                          |     |
|----|----------------|---|--------------------------|-----|
| 11 | Bakyan         | 2 | Marvdasht( Kor district) | 2.1 |
| 12 | Kuhak          | 3 | Shiraz                   | 2.1 |
| 13 | Bandeamir      | 3 | Shiraz                   | 2.1 |
| 14 | Sharghabad     | 4 | Arsenjan                 | 2.1 |
| 15 | Zinabad        | 4 | Kherame                  | 2.1 |
| 16 | Ali abadmalek  | 4 | Arsenjan                 | 2.1 |
| 17 | Emamzadeesmail | 1 | Eghlid                   | 2.2 |
| 18 | Kordeshul      | 1 | Pasargad                 | 2.2 |
| 19 | Ali abad       | 2 | Marvdasht                | 2.2 |
| 20 | Doroodzan      | 2 | Marvdasht                | 2.2 |
| 21 | Bandeamir      | 3 | Shiraz                   | 2.2 |
| 22 | Kamajan        | 4 | Kherame                  | 2.2 |
| 23 | Jamishi        | 4 | Kherame                  | 2.2 |
| 24 | Jazin          | 4 | Neyriz                   | 2.2 |
| 25 | Khanekateh     | 4 | Estahban                 | 2.2 |

## 8. LIST OF ALTERNATIVE LIVELIHOOD DISCUSSED AND DEVELOPED BY LOCAL COMMUNITIES

**Activity 1.** A qualitative and quantitative livelihood assessment and developing a livelihood monitoring system

- Define scope and content of the assessment
- Collection of data from the field and data analysis
- Prepare TORs for field workers
- Recruitment of field workers
- An understanding of the local labor market demand and supply
- An understanding of local economic market opportunities and identification of opportunities and capacities for livelihoods diversification at the local level,
- Coping mechanisms in priority districts
- Consultative meetings with all stakeholders to agree on the methodology, and expected outcomes

**Activity 2.** Generate sustainable off-farm work and self-employment opportunities for farmers exiting the rice sector (Off-farm livelihoods comprised two sub components: development of small and micro-enterprises and support for vocational training\*).

Off-farm technical and vocational training options through curriculum development to all members of the farm household should be provided. In order to do so, we need to attract the participation of the vocational training center.

**1. Mushroom production:** We aimed for developing home based activities. To set up a home-based activity such as mushroom production, an investment of 5000 dollars is needed.

**2. Dairy production**

**3. Bee keeping**

**4. Tomato paste and pomegranate sauce:**

**5. Tailoring and embroidery:** Practical Action's work on livelihood diversification includes training in off-farm activities. This includes tailoring and embroidery as alternative sources of income that can be full time or part time activities. These skills can also be used at different times of year when agricultural work is in low demand and extra income is needed. The initial investment for this activity is around 1500 dollars.

**6. Carpet weaving:** to set up a carpet weaving workshop the first step is to train women, although the inheritance of carpet weaving is transmitted to rural women. The vocational organization trains carpet weavers at the professional technical centers for free. After spending three months of free training, the money needed to start a carpet business can be obtained from the Ministry of Industry and mines as a loan. The license of carpet workshop can be obtained from the Ministry of Industry and Mines by providing a professional technical degree. One way to sell products is to represent them in the exhibition of the organization of industry and mines. Exquisite products can also find demands in a foreign market. The initial investment for the activity of carpet weaving is 2000-2500 dollars.

## **7. Processing production and packaging**

**Activity 3.** Attracting effective support for establishment and operation of small and microenterprises (The Department of Labor and Social Welfare and the industry and Mines Organization support the manufacturing workshops and small companies, both for issuing start-up licenses and for loans.)

**Activity 4.** Provide access to savings and credit services in rural communities to facilitate livelihood activities and improve quality of life:

**Activity 5.** Provide hygiene/ quality certificate for local food products:

- Negotiating with the related organizations.
- Using of the legal system to get certificate

**Activity 6.** Marketing and advertising for local products:

- Preparing markets for local products in big cities
- Introducing goods in the national and international festivals
- Websites designing.

**Activity 7.** Assist government in reviewing trade and market related legislation

**Activity 8.** Provide advisory service to the private sector through studies, workshops, training, identifying appropriate technologies and quality systems, and developing linkages with markets;



ADAPTATION FUND

# Environmental and Social Management Framework (ESMF)

Project Title:

**Reducing vulnerability to climate change in the Lake Bakhtegan Basin**

Implementing Entity:

**United Nations Development Programme**

AF project ID:

**IRN/MIE/Water/2018/1**

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## EXECUTIVE SUMMARY

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A preliminary analysis and screening identified a number of limited potential social and environmental risks associated with the project activities. This Environmental and Social Management Framework (ESMF) has been prepared to address these risks during project implementation.

## 1 INTRODUCTION

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1. This Environmental and Social Management Framework (ESMF) has been prepared in support of the project titled Reducing vulnerability to climate change in the Lake Bakhtegan Basin in Iran that UNDP has prepared together with the Government of Iran.
2. The project has been reviewed for generic impacts against the 15 environmental and social principals that are the basis of the AF ESP (Appendix 1) and with UNDP's Social and Environmental Screening Procedure (SESP, Appendix 2). The screening and preliminary analysis found that certain project activities could generate a number of limited adverse social and environmental impacts. The screening resulted in an overall social and environmental risk categorization of "Moderate." The ESMF is designed to avoid, and where avoidance is not possible, mitigate and manage these limited potential impacts.

### 1.1 OVERVIEW OF THE PROJECT

3. The objective of the project is to increase the resilience of communities and the natural environment of the Bakhtegan basin to climate variability and change through integrated watershed management.
4. The project objective will be achieved by the following components:
  1. Knowledge of climate risk, climate change and the environmental situation is strengthened to support development of long-term climate resilience in the Bakhtegan Basin using a decision support system;
  2. The resilience of communities in the Bakhtegan Basin is strengthened through implementation of climate smart agriculture and alternative livelihoods;
  3. The resilience of the natural environment of the Bakhtegan Basin is strengthened;
  4. Capacity at the local, regional and national level is strengthened for improved governance and decision making in relation to climate risk management and effective implementation of adaptation measures.
5. The situation in the Bakhtegan Basin is complex, involving the interplay of multi-decadal mismanagement of water, inappropriate land use, drought and climate change. As the heart of the Persian Empire, Fars Province has a very long history of water use for agriculture and other purposes. It is clearly evident that the hydrological system of the Bakhtegan Basin is in a state of collapse, with no surface water currently flowing to the middle and lower parts of the basin and extraction of ground water that is far in excess of recharge rates. There is now a serious threat of an irreversible situation that will lead to loss of livelihoods, environmental and human health and biodiversity. Without active intervention a worse case situation could develop where the basin becomes much less habitable leading to mass migration of people and permanent loss of natural ecosystems and the many plant and animal species they support.
6. The main opportunity for this project therefore is to provide a foundation for building resilience to climate change in the basin through a holistic, integrated, watershed management approach. This project seeks to implement such an approach through the following measures: a) strengthening knowledge of climate risk, climate change and the environmental situation to support development of long-term climate resilience in the Bakhtegan basin; b) strengthening the resilience of communities in the Bakhtegan Basin through implementation of climate smart agriculture and alternative livelihoods; c) strengthening the resilience of the natural environment of the Bakhtegan Basin through introduction of soil and water conservation measures in

rangeland and forest areas, and supporting restoration and conservation of national parks and protected areas; d) strengthening capacity to support better governance and decision making in relation to climate risk management and implementation of effective adaptation responses at local, regional and national levels.

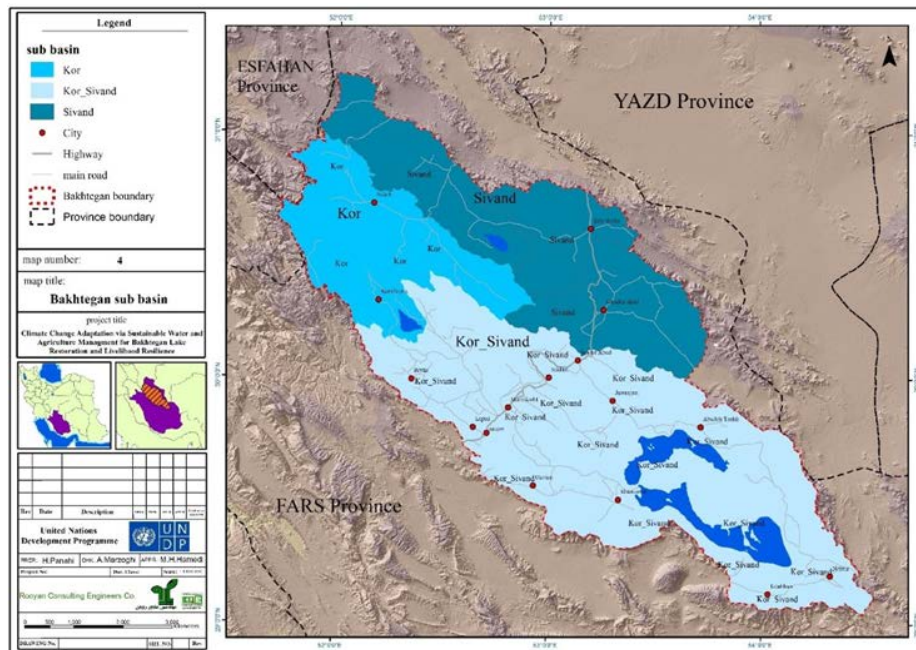


Figure 1 – The three main sub-basins within the Bakhtegan Basin (target area)

7. The project is compliant with the legislation, technical/implementation system under the Technical and Implementation System Bureau<sup>1</sup> (TISB), and associated national standards, under the Institute of Standards & Industrial Research of Iran (ISIRI)<sup>2</sup>, the Water Industrial Standard<sup>3</sup> (WIS) and will seek to strengthen these by mainstreaming climate change adaptation guidelines as per the Third National Communication of climate change and the National Climate Change Policy for Iran.
8. There are various relevant laws and regulations for protection and improvement of the environment; Land and Coastal; water fair distribution; Regulations on rivers, anchors, mussels, marshes, natural ponds and water supply networks, irrigation and drainage and the general environmental policy under the supreme leader's announcement.

<sup>1</sup> <http://isiri.gov.ir/portal/home/?331765/ISIRI-Portal>

<sup>2</sup> <http://sama.mporg.ir/sites/publish/SitePages/Home.aspx>

<sup>3</sup> <http://www.waterstandard.wrm.ir/>

### 1.1.1 Summary of Activities

9. The proposed project will have the following activities:

| Project Components  | Expected Outputs  | Project Activities   |
|---|---|--|
| <b>1. Knowledge of climate risk, climate change and the environmental situation is strengthened to support development of long-term climate resilience in the Bakhtegan basin using a decision support system</b> |   |  |
|   | 1.1 Integrated model for climate risk and climate change assessment | <ul style="list-style-type: none"> <li>• The selected climate model will be customized for the Bakhtegan Basin.</li> <li>• Training in the data applied and selected climate model will be undertaken to facilitate assessments of climate change and climate risk for the Bakhtegan Basin</li> <li>• Application of selected climate and hydrologic models will focus on comprehensive modelling of climate change and climate risk in the Bakhtegan Basin, with a specific focus on surface and ground water resources under current and future climate conditions.</li> </ul>   |
|   | 1.2 Water and land use planning                                     | <ul style="list-style-type: none"> <li>• Public participation in planning process</li> <li>• Development of an integrated WLUP framework for the Bakhtegan Basin</li> <li>• Analysis of existing land-use and policies by using remote sensed data and GIS analysis</li> <li>• Analysis of existing water resources (surface and sub-surface) and systems</li> <li>• Analysis of data from existing water uses from both surface and ground water</li> <li>• Projections of future water supply and demands based on the results of the future climate projections that will be formulated in Output 1.1</li> <li>• Identification, review and assessment (including costing) of water and land resource options</li> <li>• Identification review and assessment (including costing) of supply side and demand side options</li> </ul> |

|   |  |   |
|---|--|---|
|   | 1.3 Local community monitoring                           | <ul style="list-style-type: none"> <li>• Participatory engagement with targeted communities, farmers and households to identify and agree on a set of vulnerability and resilience indicators which will be used for local community monitoring.</li> <li>• Development of a mobile app to facilitate reporting on the agreed indicators and provision of this to all targeted communities and households.</li> <li>• Installation of a water monitoring system with participating farmers from Output 2.1 to measure and quantify water reductions from the introduction of climate smart practices.</li> <li>• Quarterly site visits to all participating communities to verify and review information provided through the mobile apps.</li> <li>• In conjunction with Output 1.4, development and dissemination of information based on the local community monitoring</li> </ul> |
|   | 1.4 Data and information management for decision support | <ul style="list-style-type: none"> <li>• Data and information management for decision support will focus on the development of a GIS platform that integrates all relevant data and information layers generated for and through the project.</li> <li>• Establishment of the information/data portal system (TIPS) to facilitate completion to disseminate the needs all the stakeholders based on the national, provincial and local scales.</li> </ul>   |
| <p><b>2. The resilience of communities in the Bakhtegan Basin is strengthened through implementation of climate smart agriculture and alternative livelihoods</b></p> |  |   |

|  |                                      |  |
|--|--------------------------------------|--|
|  | <p>2.1 Climate smart agriculture</p> | <ul style="list-style-type: none"> <li>• Development and implementation of Climate Smart Agriculture Plans</li> <li>• Market research, including value chain analyses, on alternative crops and cropping systems that are suited to a dryland environment under changing climate conditions.</li> <li>• Extension of existing knowledge and applied research results to participating farmers.</li> <li>• Development and implementation of a new applied research programme at the MOJA research station in Marvdasht.</li> <li>• Widespread extension of the results of the new research programme to farmers, particularly focusing on Zones 1, 2 and 3 where the greatest reductions in water use are required and there is an urgent need for climate smart agricultural practices.</li> <li>• Support for extension of existing certified organic agriculture initiatives in Zone 4, to encompass additional crops such as pistachio and other agricultural products from all other Zones.</li> <li>• Based on the results of the market research, development of a unique brand for the Bakhtegan Basin.</li> </ul>   |
|  | <p>2.2 Alternative livelihoods</p>   | <ul style="list-style-type: none"> <li>• A qualitative and quantitative livelihood assessment, including development and implementation of a livelihood monitoring system.</li> <li>• Off-farm technical and vocational training for all participating household members</li> <li>• Development of small micro-enterprises</li> <li>• Attracting effective support for establishment and operation of small and microenterprises.</li> <li>• Provide access to savings and credit services in rural communities to facilitate livelihood activities and improved quality of life.</li> <li>• Provide hygiene and quality certificates for local food products, including negotiating with the related organizations and providing legal assistance to get the required certificates.</li> <li>• Marketing and advertising for local products including: markets for local products in big cities; introducing goods to national and international festivals, website design.</li> <li>• Work with government agencies, through the mechanism of the Bakhtegan Basin Council (Output 4.2) to review trade and market related legislation.</li> <li>• Provide advisory services to the private sector through studies, workshops, training, identifying appropriate technologies and quality systems, and developing linkages with markets.</li> </ul> |



| <b>3. The resilience of the natural environment of the Bakhtegan Basin is strengthened</b>  |   |   |
|---|---|---|
|   | 3.1 Ecosystem conservation in the Bakhtegan Basin         | <ul style="list-style-type: none"> <li>• Development and implementation of an Integrated Watershed Management (IWM) plan</li> <li>• Implementation of integrated watershed management adaptation activities by local people, with support from MOJA, involving a range of physical options and interventions.</li> <li>• A comprehensive extension, communication and education programme (through Output 1.4) to disseminate results and information as widely as possible throughout the Bakhtegan Basin.</li> </ul>  |
|   | 3.2 Rehabilitation and conservation in protected areas    | <ul style="list-style-type: none"> <li>• Participatory engagement with communities to develop rehabilitation, monitoring and management plans for all the above wetland, national parks, protected areas and hunting prohibited areas</li> <li>• Biodiversity monitoring</li> <li>• Rehabilitation and conservation work in the Kamjan Wetland</li> <li>• Rehabilitation and conservation work in Bamou and Bakhtegan National Parks</li> </ul>   |
| <b>4. Capacity at the local, regional and national level is strengthened for improved governance and decision making in relation to climate risk management and effective implementation of adaptation measures</b> |   |   |
|   | 4.1 Communications, education and capacity building       | <ul style="list-style-type: none"> <li>• Education and capacity building will involve development of resource materials, training of facilitators, and facilitation of participatory workshops with all identified target groups and participating authorities</li> <li>• Communications will include the use of video to share stories within the basin and more widely, publication and dissemination of training materials, brochures and posters, sms messaging, television programmes and communication through the arts (e.g. poetry and painting)</li> </ul>   |
|   | 4.2 A functional framework for Bakhtegan Basin management | <ul style="list-style-type: none"> <li>• Conducting a thorough review of existing national frameworks and policies relating to climate change adaptation and land and water resources planning and management.</li> <li>• Establish an integrated water and land management system that incorporates considerations of climate change and natural elements of the total water cycle alongside the realities of human resource use.</li> <li>• Development of a comprehensive plan for allocating water and land resources in a sustainable and climate resilient manner.</li> <li>• Promoting agricultural productivity while remaining attentive to the economic, security, and political concerns related to the harvesting and extraction, supplying, storage, and consumption of water in the Bakhtegan Basin.</li> </ul> |

|  |                             |   |
|--|-----------------------------|---|
|  | 4.3 Bakhtegan Basin Council | <ul style="list-style-type: none"> <li>• Establishment of a Bakhtegan Basin Council under existing Fars Province structures.</li> </ul> |
|--|-----------------------------|---|

## 1.2 POTENTIAL SOCIAL AND ENVIRONMENTAL IMPACTS

10. Preliminary analysis has identified a range of potential limited social and environmental impacts associated with various project activities. These potential impacts are summarized in Table 1.
11. The project has been reviewed against the 15 AF ES principles (Appendix 1) and with UNDP's Social and Environmental Screening Template (Appendix 2) and the project deemed to be a moderate risk (Category B) project. Discussions on the impact assessment are provided in Appendix 1 and 2, which provided the rationale for the project being classified as a moderate risk. This ESMF provides further discussion below.
12. The Project includes some activities that have yet to be fully defined, these are considered to be Unidentified Sub-Projects (USPs) by AF. Consideration has been given to potential risks of the USPs, however as specific details are not known, then risks cannot be known for certain. Therefore, reassessment of risks of the USPs will be required during implementation. Section 3.2 describes the procedures to address environmental and social impacts and risk, including the screening process required for USPs.

Table 1 Summary of potential impacts and mitigations

| Activity   | Potential Social and Environmental Impact   | Potential Project Benefit  | Mitigation   | Monitoring  |
|--|---|--|--|---|
| <b>Output 1.1 – Integrated model for climate risk and climate change assessment</b>  |   |  |  |   |
| <p>Customise appropriate climate model for the Bakhtegan Basin.</p> <p>Training in the data applied and selected climate model will be undertaken to facilitate assessments of climate change and climate risk for the Bakhtegan Basin.</p> <p>Application of selected climate and hydrologic models will focus on comprehensive modelling of climate change and climate risk in the Bakhtegan Basin, with a specific focus on surface and ground water resources under current and future climate conditions.</p> | <p>Selection of model - No physical impacts, but incorrect model will no provide reliable outputs</p> <p>Potential bias if training not equitable.</p> <p>Modelling does not have any physical or social impacts per se, however its use can have so models need to be appropriate, calibrated and tested</p> | <p>Appropriate modelling can provide those that have been trained with a powerful tool for planning and decision making.</p> | <p>Ensure training available to those that need it irrespective of gender or social status</p> | <p>Assessment of model prior to adoption</p> <p>Mid-term review</p> |
| <b>Output 1.2 Water and land use planning (WLUP)</b>   |   |  |  |   |

|  |   |  |   |  |
|--|---|--|---|--|
| <p>Public participation –in the planning, design and implementation of this Output.</p> <p>Development of an integrated WLUP framework for the Bakhtegan Basin.</p> <p>Analysis of existing land-use and policies by using remote sensed data and GIS analysis.</p> <p>Analysis of existing water resources (surface and sub-surface) systems.</p> <p>Analysis existing water uses data.</p> <p>Projections of future water supply and demands based on the results of the future climate</p> <p>Introduction of WLUP at the Bakhtegan Basin</p> <p>Identification, review and assessment (including costing) of water and land resource options.</p> <p>Identification review and assessment (including</p> | <p>Potentially affected stakeholders, in particular marginalized groups, could potentially be excluded from fully participating in decisions that may affect them</p> <p>Lack of data for meaningful data</p> <p>Resistance to WLUP</p> <p>Conflict between users</p> | <p>Improved buy-in/ownership through participation</p> <p>Basin-wide approach to water and land management</p> <p>Plans tailored to villages / sub-bains</p> <p>Assessments based on real data (remote sensing / GIS) therefore decisions based on reality rather than heresay</p> | <p>All stakeholders, representing communities, authorities and industry, will be involved</p> <p>Initiate data collection and review early to identify any gaps/weaknesses</p> <p>Disseminate data widely</p> <p>Ensure users know how to access and interpret data – capacity building</p> <p>Bring groups together to share data, stories and issues to reduce tensions and conflict and encourage ownership of issues and solutions.</p> | <p>Consultation and capacity building workshops;</p> <p>supervision</p> <p>Mid-term review</p> |
|--|---|--|---|--|

|   |   |   |  |   |
|---|---|---|--|---|
| costing) of supply side and demand side options.  |   |   |  |   |
| <b>Output 1.3 Local Community Monitoring</b>  |   |   |  |   |
| <p>Participatory engagement with targeted communities, farmers and households to identify and agree on a set of vulnerability and resilience indicators which will be used for local community monitoring.</p> <p>Development of a mobile app to facilitate reporting of indicators.</p> <p>Installation of water monitoring system.</p> <p>Quarterly site visits to verify and review information provided through the mobile apps.</p> <p>Development and dissemination of information based on the local community monitoring.</p> | <p>Risk that if process not sufficiently inclusive that not all community adequately represented and full agreement with indicators may not be achieved. This could lead to bias.</p> <p>App only available to those with access to appropriate technology.</p> <p>Site visits are unlikely to have any adverse impacts – need to ensure appropriate sites are visited to minimise bias.</p> <p>Information needs to be in a form that is easily understood by community.</p> | <p>Community buy-in on monitoring indicators</p> <p>App will provide two way reporting.</p> <p>Site visits will assist in maintaining veracity of reporting.</p> <p>Community stays informed. Data and information will be accessible to all project stakeholders, from individual householders and farmers through to national level policy makers</p> | <p>Involve full range of stakeholders in agreeing indicators, design of app, and reporting.</p> <p>Ensure app is designed for easy use by all stakeholders.</p> <p>Site visits must capture range of communities/issues – ensure sufficient data is verified.</p> <p>Develop reporting tools in consultation with end users.</p> | <p>Consultation and workshops;</p> <p>Site visits</p> <p>Annual reviews;</p> <p>Mid-term review</p> |

| <b>Output 1.4 Data and information management for decision support</b>   |   |  |  |   |
|--|---|--|--|---|
| <p>Development of a GIS platform.</p> <p>Establishment of an information/data portal system (TIPS).</p>  | <p>No adverse impacts anticipated from the development of GIS or TIPS as long as data is sufficiently accessible to users.</p> <p>Not all users will have access to GIS software</p> <p>Risk that needs of all users not met.</p> | <p>GIS gives a readily understood spatial representation of results/data. GIS is a universal tool, so can be upscaled.</p> <p>A multi-user platform will be developed so that information will be available to wide range of stakeholders.</p>   | <p>Develop reporting tools in consultation with end users</p>  | <p>Consultation</p> <p>Mid-term review</p>  |
| <b>Output 2.1 Climate Smart Agriculture</b>  |   |  |  |   |
| <p>Development and implementation of Climate Smart Agriculture Plans and alternative livelihood practices.</p> <p>Market research, including value chain analyses, on alternative crops and cropping systems that are suited to a dryland environment.</p> <p>Research on new crops and cropping systems for dryland environments.</p> | <p>Risk of non-acceptance of changes/alternate livelihoods.</p> <p>New crops inappropriate</p> <p>Misunderstanding of Bakhtegan Basin brand or failure to appropriately target brand</p>  | <p>Maladaptive practices will be reduced/ceased.</p> <p>Diversitification of livelihoods</p> <p>Reduced pressure on land and water resources.</p> <p>Builds on existing initiatives.</p> <p>New market chains developed and Basin brand developed enabling wider recognition of produce from the region.</p> <p>Migration from rural areas reduced</p> | <p>Participatory engagement with farmers will be designed to ensure that they are committed to such changes - participation, empowerment and ownership building are keys to success.</p> <p>Identify suitable markets in which to develop value chains. Ensure market chains get end-to-end support.</p> <p>Research programme to be as action focused as possible.</p> <p>Make Bakhtegan Basin brand something that local communities can relate to and be proud of, as well as meet marketing needs.</p> | <p>Consultation workshops</p> <p>Mid-term review</p> <p>Market survey</p> <p>Community survey</p> |

|  |   |  |   |   |
|--|---|--|---|---|
| <p>Extension of the results of the new research programme to farmers.</p> <p>Development of a unique brand for the Bakhtegan Basin.</p> <p>A comprehensive extension, communication and education programme.</p>   |   |  | <p>Establish working groups in each Zone.</p>   |   |
| <p><b>Output 2.2 Alternative Livelihoods</b></p>   |   |  |   |   |
| <p>Qualitative and quantitative livelihood assessment and development/implementation of a livelihood monitoring system.</p> <p>Off-farm technical and vocational training for all participating household members.</p> <p>Development of small micro-enterprises and attraction of support for them, including access to savings and credit services.</p> <p>Provide hygiene and quality certificates for local food products, including negotiating</p> | <p>Micro-enterprises can have physical impacts if not appropriately managed eg waste by-products, prevention of child labour etc</p> <p>Access to credit if not adequately supported can lead to debt</p> <p>There is a risk of potentially reproducing discrimination against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits</p> | <p>Communities will have a greater understanding of livelihood options available.</p> <p>Capacity will be built.</p> <p>Existing capacity will be drawn - 'training the trainers' and mentoring approach.</p> <p>Access to finance will assist micro-enterprises to flourish</p> <p>Communities will have more diversified economic bases</p> <p>Appropriate technologies and quality systems introduced.</p> <p>Linkages with markets improved.</p> | <p>Adopt participatory approach, ensue vulnerable groups no excluded.</p> <p>Assess village needs (eg. labour supply and demand)</p> <p>Assess options, opportunities and capacities for livelihoods diversification at the local level.</p> <p>Provide specific support to women eg via Rural Women's Trust Fund</p> <p>Support viable, upscalable livelihood options</p> <p>Enterprises will need to meet applicable laws and requirements so that they do not have negative social or environmental impacts.</p> | <p>Annual reviews</p> <p>Mid-term review</p> <p>Market survey</p> |

|  |  |   |   |  |
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| <p>with the related organizations and providing legal assistance to get the required certificates.</p> <p>Marketing and advertising for local products.</p> <p>Work with government agencies to review trade and market related legislation.</p> <p>Provide advisory services to the private sector.</p> |  | <p>Local brand recognition increased and markets expanded.</p> <p>Migration from rural areas reduced, with consequent reduction in health issues and crime.</p>   |   |  |
| <p>Output 3.1 – Ecosystem Conservation in the Bakhtegan Basin</p>  |  |   |   |  |
| <p>Development and implementation of an Integrated Watershed Management (IWM) plan.</p> <p>Implementation of integrated watershed management adaptation activities by local people, with support from MOJA.,</p> <p>A comprehensive extension, communication and</p>                                     | <p>Development of IWMP can have adverse impacts if the plan does not consider the needs of the wider community and particularly marginalised people.</p> <p>Implementation of the IWMP will include a range of physical options eg small earth dams, check dams, groundwater recharge, revegetation and changed agricultural practices. These activities can have adverse impacts if not appropriately managed, this</p> | <p>Development of plan will be participatory, which will result in a holistic plan that meets the expectations of the broader community.</p> <p>An integrated, multi-faceted, approach will provide the necessary conditions to support conservation of the soil and water resources of the Bakhtegan Basin.</p> <p>Enhancement of the natural environment - ecological</p> | <p>Develop IWMP in a participatory manner involving broad range of stakeholders, including women and vulnerable groups.</p> <p>Revegetation to utilise appropriate species – avoid introduction of potential weed species.</p> <p>Incorporate good environmental management practices into IWMP – develop separate ESMPs if required.</p> <p>Improve agricultural practices eg contour and strip cropping, introduction of permits systems,</p> | <p>Annual reviews</p> <p>Mid-term review</p> |



|   |   |  |   |   |
|---|---|--|---|---|
| education programme to disseminate results and information as widely as possible throughout the Bakhtegan Basin.  | can be achieved through the development of environmental management practices or plans as part of the IWMP.   | service provided by Bakhtegan basin improved.<br><br>Awareness and ownership by communities of the need to continue protecting the natural environment | cooperative grazing and rangeland conservation measures.<br><br>Communicate results regularly to communities  |   |
| <b>Output 3.2 Rehabilitation and Conservation in Protected Areas</b>  |   |  |   |   |
| Engage with communities to develop rehabilitation, monitoring and management plans for all wetlands, national parks, protected areas and hunting prohibited areas.<br><br>Biodiversity monitoring<br><br>Rehabilitation and conservation work in the Kamjan Wetland and Bamou and Bakhtegan National Parks. | Potential to exclude some members of community.<br><br>Not all community members may agree to required approach / solutions.<br><br>Risk of agrochemicals entering wetlands<br><br>Poor monitoring will lead to spurious data and may result in poor decision making<br><br>Physical disturbance of wetland bed | Internationally important (Ramsar) wetlands improved.<br><br>Community tensions reduced and collective understanding of solutions achieved             | Ensure fully participatory approach that includes all relevant stakeholder groups.<br><br>Aim for concensus and buy in of management plan so community owns problems and solutions.<br><br>Select appropriate indicators for monitoring<br><br>Undertake biodiversity monitoring at appropriate time intervals dependent upon indicators<br><br>Training in monitoring techniques and dissemination of methodology so that consistency in approach is achieved between observers. | Consultation workshops<br><br>Annual reviews<br><br>Mid-term review |
| <b>Output 4.1 Eductation, capacity building and communications</b>  |   |  |   |   |

|  |  |   |   |  |
|--|--|---|---|--|
| <p>Education and capacity building</p> <p>Communicate data and information relating to the project widely throughout the Bakhetegan Basin.</p>   | <p>Potential to marginalise some stakeholders</p>  | <p>Capacity of provincial officials, farmers, households and communities increased</p> <p>All stakeholders in Basin have a deeper understanding of the issues and challenges they face and solutions required.</p> <p>Results generated by project will be widely communicated</p>  | <p>Assessment of training/capacity needs and identification of all target groups and participating authorities.</p> <p>Conduct education and capacity building in a participatory manner</p> <p>Communications to use multi-media platforms.</p>  | <p>Mid term reviews</p> <p>Capacity building workshops</p> <p>Supervision missions</p>   |
| <p><b>Output 4.2 A functional framework for Bakhtegan Basin management</b></p>   |  |   |   |  |
| <p>Review of existing national frameworks and policies relating to climate change adaptation and land and water resources planning and management.</p> <p>Establish an integrated water and land management system that incorporates considerations of climate change and natural elements of the total water cycle alongside the realities of human resource use.</p> <p>Develop a comprehensive plan for</p> | <p>No physical impacts associated with the undertaking of the activity, however the outcomes can result in adverse impacts if tasks not appropriately undertaken:</p> <p>Risk of duplication or creation of bias or gaps if review is not comprehensive and considers interaction between various frameworks and policies.</p> <p>Inequity of allocation of water and land resources if development of plan is not fully participatory.</p> <p>Women may be excluded from decision-making or not adequately participate in the</p> | <p>Any deficiencies or weaknesses in national frameworks and policies will be identified and amended as appropriate so that governance mechanisms are more efficient and effective.</p> <p>IWLMS - This will involve the use of a “national spatial strategy plan” approach based on natural water basins. IWLS will guide and inform the provincial environmental working group under the Environmental High Council of Iran at the highest national scale.</p> <p>Women receive an equitable share of benefits and that</p> | <p>Focus on identifying key gaps and needs, particularly in relation to the efficiency and effectiveness of current governance mechanisms from national level all the way through to local farmers.</p> <p>Ensure development of IWLMS is fully participatory among all stakeholders in the Bakhtegan Basin.</p> <p>IWLS plan to be work from the ground up, be informed by climate change and natural resource issues and constraints and the national policy and planning context.</p> <p>Promotion of measures and techniques that reduce inequality between men and women</p> | <p>Capacity building workshops;</p> <p>Annual reviews;</p> <p>Gender assessment;</p> <p>Use of disaggregated indicators related to gender equality and women’s empowerment;</p> <p>Mid-term review</p> |

|   |   |  |   |  |
|---|---|--|---|--|
| <p>allocating water and land resources in a sustainable and climate resilient manner.</p> <p>Promote agricultural productivity while remaining attentive to the economic, security, and political concerns.</p> | <p>design/implementation of the project</p> <p>Women might have unequal access to resources and/ or access to opportunities and benefits</p> <p>If not appropriately informed, the IWLMS may fail to take into account appropriate climate, natural processes and economic realities.</p>                           | <p>their status and interests are not marginalized</p> <p>Promoting ag productivity - The main function of this activity is to ensure that agricultural water resources are used not only efficiently but in a socially, economically and climate resilient manner</p> | <p>Participatory processes to include specially designed methodologies that enhance the participation of</p> <p>Work village by village and between villages to develop water and land resources allocation plan</p>  |  |
| <p><b>Output 4.3 – Bakhtegan Basin Council</b></p>  |   |  |   |  |
| <p>Establish Bakhtegan Basin Council (BCC) under existing Fars Province structures.</p>   | <p>BCC may not be given sufficient authority or be accepted.</p> <p>Bakhtegan Basin Council may not be representative of all stakeholders</p> <p>Potentially affected stakeholders, in particular marginalized groups, could potentially be excluded from fully participating in decisions that may affect them</p> | <p>Builds on existing Fars provincial structures and also the existing management plan for the Bakhtegan wetland.</p> <p>Functions of taskforce will be extended to incorporate adaptation to climate change.</p>  | <p>Ensure BCC has mandate to undertake necessary tasks.</p> <p>BBC to take account of national, provincial and local realities eg alignment with national plans and policies, address the need for food and water security, need for protection of natural resources.</p> <p>Promote inclusive consultation by Council</p> <p>Build capacity of BCC members</p> | <p>Inception assessment; mid-term review; consultation workshops; supervision missions</p> |

Specific risks related to individual Unidentified Sub-Projects cannot be identified at this stage. These will be individually assessed against the AF 15 Principles, on a site-by-site basis, when such projects are identified. See table 5 on pre-screening checklist



## 2 LEGAL AND INSTITUTIONAL FRAMEWORK FOR ENVIRONMENTAL AND SOCIAL MATTERS

### 2.1 LEGISLATION, POLICIES AND REGULATIONS

13. The Islamic Republic of Iran has a semi-democratic political system established after the Islamic Revolution of 1979. The political system is based upon governance by an Islamic jurist.
14. The following legislation is relevant to the project (Table 2):

*Table 2 Relevant Iranian Legislation*

| National Legislations                             | Objective/Relevance  | Authority |
|---|--|-----------|
| Constitution                                      | "After the Islamic Revolution, the government enshrined environmental protection in the Constitution. "In the Islamic Republic of Iran protection of the environment, in which present and future generations should enjoy a transcendent social life, is regarded as a public duty," reads <b>Article 50</b> . "Therefore, economic and any other activity, which results in pollution or irremediable destruction of the environment is prohibited."   |           |
| Environmental Protection and Enhancement Law 1974 | The Environmental Protection Law specifies rules and measures for the protection and management of the environment. The objectives of this Law, consisting of 21 articles, are the protection and improvement of the environment. Appropriate measures must be taken by the department of Environment (DOE) and the High Council for Environmental Protection in order to: (a) Preserve the ecological balance; (b) Prevent and control waste and noise pollution considered harmful to the environment; (c) Establish a system of supervision and monitoring for wildlife and marine resources; (d) Conduct environmental scientific research aimed at protecting and improving the environment; (e) Adopt effective measures against polluting units in order to prevent air, water, and soil pollution; (f) Arrange public training courses in order to raise awareness about environmental protection and improvement; and (g) Establish limitations for hunting and shooting in some protected areas. | DOE       |
| Regulations on Environmental Protection Law 1975. | These Regulations were adopted in accordance with article 21 of the Environmental protection Law. The text is divided into 9 Chapters. "National parks", "Natural resources", "Wildlife shelters", "Important protected areas" have been defined in Chapter I. Basic principles and rules, which govern these areas and their limitations, have been defined in Chapter II. Remaining chapters spell out provisions for strengthening the prevention, control on hunting, shooting, and grazing in these designated areas. Sections on regulations concerning inspection of polluting units, emphasis on promotion of  | DOE       |

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|   | environmental education and formulation of standards for improving environmental quality with cooperation of relevant organization are also included in this text.   |  |
| Act on plant varieties registration, control and certification of seedlings 2003                              | The Act sets up the Seed and Seedling Registration and Certification Research Institute, which supervises and regulates the identification of both new plant varieties and breeders' rights, as well as issue a patent for the newly certified registered seed and seedling varieties. Article 3 refers to non improved and wild plant genetic resources, whose patenting procedures shall be restricted to the State. Further the Act establishes that varieties prevalent in the country shall be given priority in the registration process.  |  |
| Comprehensive Program of Public Education on Environment 2009   | The Act aims to reduce environmental degradation and increase the sustainable use of natural resources through training of various groups of population.   |  |
| Executive By-Law on improved utilization of water in agriculture 1996   | This By-Law consists of 4 Chapters and 3 Annexes making provisions for the improved utilization of water in agriculture by presenting some methods on behalf of the Ministries of Agriculture (MOA) and Energy (MOE).Chapter 1, general description and issues: (a) Supplying a method for improvement in utilization according with Annex 3; (b) Establishment of expert committee with representatives from MOA and MOE; (c) Supplying a comprehensive agricultural and watershed management plan in each region after 3 months of approving this By-Law; (d) MOA will prepare a cultivation plan for each region taking into consideration national and regional policies; and (e) MOA commits to establish legal bodies for the land that is under the coverage of water delivery system.Chapter 2, delivery volumes in irrigation networks. The Regional Water Organization will deliver required water to consumers according to the new methods of consumption which can reduce water usage or limit delivery particularly during incidences of drought.Chapter 3, controlling water volume in deep and semi-deep wells. The Regional Water Organization is required to determine the exact water needs for agricultural land using deep and semi- deep wells 3 months following approval of this By-Law. |  |
| Instruction of Assignment of National and Public Resources for Agricultural and Non-agricultural Purpose 2008 | The Instructions lay down provisions on assignment of national and public resources for agricultural and non-agricultural purposes.  |  |

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| Iran Water Law and Methods of Nationalization of Water 1968                                     | The purpose of the Law is to nationalize all internal waters and recognize the Ministry of the Energy as a responsible authority for maintaining and exploiting of water resources. The Ministry is responsible to determine the permitted water consumption for domestic, agriculture and industry sectors, as well as to establish the official tariff for each. For any use of public water, as well as groundwater resources, a special authorization is required from the Ministry.                |  |
| Iran Water Law and the manner of water nationalization 1968                                     | The Law provides for the nationalization of river basins and of other water resources, the public use of water resources, the concession of permits consenting use of aforesaid resources and the relative prescriptions. It also defines and set the charges due for water utilisation, the conditions involved in using water resources and for their protection from polluting and wasting.  |  |
| Law on Agricultural Labour 1974   | The purpose of this Act, which consists of 40 articles, is to regulate obligations governing employment conditions in agricultural jobs. Thus, it provides comprehensive definitions for a number of basic relevant concepts, such as agricultural worker, agricultural job, agricultural employer, agricultural labour contract and wage. According to this Act, agricultural jobs include all jobs related to farming, gardening, animal husbandry, fishery, forestry and any related technical jobs. |  |
| Law on Biosecurity 2009   | The Law, which consists of 11 articles, aims to regulate provisions on production, domestic or cross-border transshipment, importation, exportation, trade, supply and consumption of genetically modified organisms.   |  |
| Law on Conservation and Protection of Natural Resources and Forest Reserves of the Country 1992 | The Act aims to protect and rehabilitate the natural forests and resources. The Acts considers particular species of trees and plants as national forest reserves and prohibits their cutting. In case of necessity, these species may only be cut with permission obtained by the Ministry of Agriculture. Any violation of this Act shall be punished by imprisonment and fine.   |  |

## 2.2 ENVIRONMENTAL IMPACT ASSESSMENT REGULATIONS

15. Iran's parliament (Majlis) on Thursday approved bills, mandating the administration to ensure the implementation of strategic environmental assessment (SEA) and environmental impact assessment (EIA).
16. Within the framework of the sixth five-year national development plan (2017-2021) are bills, mandating the administration to ensure the implementation of strategic environmental assessment (SEA) and environmental impact assessment (EIA).

17. SEA is a systematic decision support process, aiming to ensure that environmental and possibly other sustainability aspects are considered effectively in policy, plan and program making, while EIA is the assessment of the environmental consequences of a plan, policy, program, or concrete projects prior to the decision to move forward with the proposed action by individuals or companies in all aspects of the projects run by the private or the public sector.
18. . The Department of Environment (DoE) is the main government body in Iran responsible for assessing environmental impacts. The Department operates under the Environmental Protection and Enhancement Act (1972, as amended in 1991). Under Article 6 of the Guidelines on Environmental Impact Assessment (1997), the implementing bodies of major development projects should prepare an EIA report covering the points required by the DoE and related by-laws. Article 7 states that reports on EIA shall cover both the construction period and the operation period.
19. All project activities will be assessed for risk and the DoE consulted regarding the need for SEA or EIA, which will be undertaken if required.

### 2.3 MULTILATERAL ENVIRONMENTAL AGREEMENTS

20. Iran is a signatory to a number of international and regional agreements and conventions, which are relevant to the project. They include:
- 1992 United Nations Framework Convention on Climate Change
  - 1997 Kyoto Protocol to the United Nations Framework Convention on Climate Change
  - 1972 Convention Concerning the Protection of the World Cultural and Natural Heritage
  - 1992 Convention on Biological Diversity
  - 1971 Convention on Wetlands of International Importance (Ramsar)
  - 2000 Cartagena Protocol on Biosafety on the Convention on Biological Diversity
  - Paris Agreement 2015 - The Paris Agreement's central aim is to strengthen the global response to the threat of climate change by keeping a global temperature rise this century well below 2 degrees Celsius above pre-industrial levels and to pursue efforts to limit the temperature increase even further to 1.5 degrees Celsius. Additionally, the agreement aims to strengthen the ability of countries to deal with the impacts of climate change. The Agreement also provides for enhanced transparency of action and support through a more robust transparency framework.
  - 2008 Memorandum of Understanding concerning the Conservation of Migratory Birds of Prey in Africa and Eurasia
  - 2001 International Treaty on Plant Genetic Resources for Food and Agriculture
  - 2001 Stockholm Convention on Persistent Organic Pollutants
  - 1998 Memorandum of Understanding concerning Conservation Measures for the Siberian Crane
  - 1998 Rotterdam Convention on the Prior Informed Consent for Certain Hazardous Chemicals and Pesticides in International Trade
  - 1994 Memorandum of Understanding concerning Conservation Measures for the Slender-billed Curlew
  - 1994 United Nations Convention to Combat Desertification in those Countries Experiencing Serious Drought and/or Desertification, particularly Africa.
  - 1979 Convention on the Conservation of Migratory Species of Wild Animals



- 1973 Convention on International Trade in Endangered Species of Wild Fauna and Flora
- 1951 International Plant Protection Convention

## 2.4 REFERENCES, STANDARDS, TORs, AND GUIDELINES

21. The following are references, standards, Terms of Reference and guidelines that govern the implementation of climate change adaptation measures in the Bakhtegan Basin:

| <b>References/Standards/TORs/Guidelines</b>   | <b>Issued by &amp; Date</b> | <b>Subject</b>                |
|---|-----------------------------|-------------------------------|
| Guideline to harvest the river bed material   | WIS (2011)                  | Water and Environmental       |
| Guideline for Environmental Impact Assessment (EIA) on River Engineering projects         | WIS (1998)                  | Water and Environmental       |
| Guideline for Environmental Impact Assessment (EIA) on water and sewage projects          | WIS (1999)                  | Water and Environmental       |
| Guideline for studying the big dam's reservoirs   | WIS (2011)                  | Water and Environmental       |
| Guideline for monitoring surface water  | WIS (2009)                  | Water and Environmental       |
| Guideline for monitoring sub-surface water  | WIS (2012)                  | Water and Environmental       |
| Environmental criteria for reusing recycle and sewage water                               | WIS (2011)                  | Water and Environmental       |
| Fundamental of environmental issues to design artificial recharge projects                | WIS (2010)                  | Water and Environmental       |
| Term of References for Soil and Watershed Management studies                              | WIS (1994 & 1996)           | Water Resources Management    |
| Term of References for Sub-surface water studies  | WIS (2001)                  | Water Resources Management    |
| Guideline for water sampling  | WIS (1999)                  | Water Resources Management    |
| Term of References for Water Artificial Recharge studies                                  | WIS (2001)                  | Water Resources Management    |
| Guideline for agricultural wells rehabilitation and restoration                           | WIS (2002)                  | Water Resources Management    |
| Applied guideline for using GIS & RS in Hydrology studies in various Iranian water basins | WIS (2013)                  | Water Resources Management    |
| Guideline to calculate Probable Maximum Flood (PMF)                                       | WIS (2013)                  | Water Resources Management    |
| A Revision on the Current Studies of EIA,SEA and the Proposed Adaptive Needs              | CZM <sup>4</sup> (2015)     | Environment Impact Assessment |
| The Guideline of Sustainable Agriculture  | CZMP (2015)                 | Sustainable Agriculture       |
| The Guideline on Sustainable Tourism  | CZMP (2015)                 | Sustainable Tourism           |
| The Guideline on Sustainable Use of Forests   | CZMP (2015)                 | Sustainable Use of Forests    |
| The Guideline on Sustainable Use of Rangelands  | CZMP (2014)                 | Sustainable Use of Rangelands |

<sup>4</sup> These guidelines have resulted from the Central Zagros Mountain Project (CZMP)

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|---|-------------|--|
| The Guideline on Sustainable Use of Water Resources           | CZMP (2014) | Sustainable Use of Water Resources       |
| The Guideline on the Effluent Management in the Rural Areas   | CZMP (2013) | Effluent Management in the Rural Areas   |
| The Guideline on the Solid Waste Management of the Rural Area | CZMP (2013) | Solid Waste Management in the Rural Area |
| The Guideline on Sustainable Aquaculture                      | CZMP (2013) | Sustainable Aquaculture                  |

## 2.5 AF AND UNDP SOCIAL AND ENVIRONMENTAL STANDARDS

### 2.5.1 AF Environmental and Social Principles

22. The project has been developed in accordance with the AF ESP. The project elements have been screened against the 15 principles that form the basis of the AF ESP. The details of the screening, potential risk and proposed high level mitigations are contained in Appendix 1.
23. Screening against the 15 principles determined that the project is of Moderate risk. It is important to note that full details of all components are not yet known, where this is the case then the activities that have yet to be fully described are considered to be unidentified sub-projects (USPs).
24. During implementation of the project, USPs will be defined and then screened to ensure that they comply with the AF ESP. The process for screening is described below in Section 3.

### 2.5.2 UNDP SES

25. UNDP's Social and Environmental Standards (SES) have been applied during development of the project. The SES objectives are to: (i) strengthen the social and environmental outcomes of programmes and Projects; (ii) avoid adverse impacts to people and the environment; (iii) minimize, mitigate, and manage adverse impacts where avoidance is not possible; (iv) strengthen UNDP and partner capacities for managing social and environmental risks; and (v) ensure full and effective stakeholder engagement, including through a mechanism to respond to complaints from project-affected people.
26. UNDP will not support activities that do not comply with national law and obligations under international law, whichever is the higher standard (hereinafter "Applicable Law"). UNDP seeks to support governments to adhere to their human rights obligations and empower individuals and groups, particularly the most marginalized, to realize their rights and to ensure that they fully participate throughout UNDP's programming cycle.
27. UNDP's SES have been reviewed by the Adaptation Fund and it was determined that the SES address the requirements of the Adaptation Fund's Environmental and Social Policy.
28. The project was screened with UNDP's Social and Environmental Screening Procedure (see Appendix 2) which resulted in a "Moderate" (e.g. Category B) overall project social and environmental risk categorization. It was determined that the following UNDP Social and Environmental Standards were particularly relevant to the project:

- Principle 1: Human Rights

- Principle 2: Gender Equality and Women's Empowerment
- Standard 1: Biodiversity Conservation and Natural Resource Management
- Standard 2: Climate Change Mitigation and Adaptation
- Standard 3: Community Health, Safety and Working Conditions
- Standard 6: Indigenous Peoples
- Standard 7: Pollution Prevention and Resource Efficiency

### 3 ESMF REQUIREMENTS AND PROCEDURES FOR SCREENING, ASSESSMENT AND MANAGEMENT

#### 3.1 OBJECTIVES AND REQUIREMENTS OF THE ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK

29. An ESMF is a management tool used to assist in addressing potential adverse social and environmental impacts associated with project activities. To ensure the environmental and social objectives of the projects are met and adverse impacts are avoided and/or mitigated, this ESMF will be used by the project implementers.
30. The ESMF identifies steps for screening potential social and environmental issues and impacts of particular project activities as their specific locations are further defined and for preparing and approving appropriate action plans for avoiding, and where avoidance is not possible, reducing, mitigating, and managing adverse impacts.
31. The environmental and social objectives of the project and ESMF are to:
- increase climate resilience and adaptive capacity of stakeholders in the Bahktegan Basin;
  - protect forest, rangeland and important ecosystems related to water resources;
  - implement on the ground adaptation measures for forest, land and water resources management in the targeted areas;
  - improve national , regional and local capacities;
  - strengthen knowledge, information management, and monitoring systems on climate change vulnerability and adaptive capacity;
  - promote sustainable livelihoods and management practices in utilization of natural resources;
  - adopt the best practicable means available to prevent or minimise environmental impact and ensure compliance with applicable laws, regulations and standards;
  - describe monitoring procedures required to identify social and environmental impacts.

#### 3.2 SCREENING PROCEDURES OF THE ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK

32. The proposed project contains Unidentified Sub Projects (USPs), which are integral to the overall project aims. Each on-the-ground intervention is to be identified and formulated in conjunction with local people. As such, detailed screening for adverse impacts cannot take place at this stage of project development. This ESMF outlines the broad approach to be taken to USPs, in order to establish potential project impacts and individual Environmental and Social Management Plans on a case by case basis, commensurate with the scale and foreseen impacts of the project, and fully compliant with AF Principles.
33. All project activities with a physical footprint will be screened and assessed. Screening will be done against the 15 AF Environmental and Social Principles.
34. As part of the assessment against Iranian Law (Principle 1), activities will be assessed against DOE requirements to determine whether an EIA will be required. DOE is responsible to assess any SEAs or EIAs that may be required.

35. No activities considered potentially “high risk” will be permitted.
36. In addition, project activities will be screened against the following “negative list” or “exclusion list”. The following subprojects or activities will be deemed ineligible for the Adaptation of Communities for the Bakhtegan Basin in Iran if they:
- Involve significant conversion or degradation of natural habitats and/or may cause measureable adverse impacts to critical natural habitats;
  - Risk the introduction of alien and potentially invasive alien species;
  - May negatively affect endangered species;
  - Involve physical or economic displacement of people;
  - Could result in damage or loss to cultural heritage;
  - Do not meet minimum design standards with poor design or construction quality, particularly <sup>[SEP]</sup>if located in vulnerable areas;
  - Require or involve:
    - Production or trade in any product or activity deemed illegal under host country laws or regulations or international conventions and agreements;
    - Purchase, application or storage of harmful pesticides or hazardous materials;
    - Production or activities involving forced labor / harmful child labor;
    - Production or trade in wood or other forestry products from unmanaged forests;
    - Trade in wildlife or wildlife products regulated under CITES (Convention on International Trade in Endangered Species of Wild Fauna and Flora). <sup>[SEP]</sup>
37. This section sets out a process for screening sub-projects and associated elements during project implementation. Any sub-project and associated elements developed during the Project should be evaluated according to the screening process described below to determine the potential risk of associated environmental and social impacts, and associated mitigation options.
38. The process consists of the following steps:
- Step1: at the time of preparing Terms of Reference for each sub-project or associated element (TA or services delivery component), each sub-project or associated element shall be screened and categorized, with a decision made to proceed with further project formulation, or to “design out” potential adverse impacts, by modifying the proposal to ensure it remains within Category B or C, and identify relevant safeguards instruments.
  - Step 2: Preparation of required safeguards instruments (ESMP) including stakeholder consultations as necessary
  - Step 3: Review of prepared safeguards instruments as per Iran and AF safeguards policies; additional stakeholder consultations as deemed necessary.
  - Step 4: Disclosure of approved instruments locally and on UNDP’s website.
  - Step 5: Implementation – monitoring, reporting and remedial measures. Ongoing consultations and community engagement.

- Step 6: Reporting of USP development/monitoring/results to AF as per required reporting schedule.

39. While the types of adaptation technologies have been provisionally identified, specific locations, owners and site-specific scope of measures will be defined during the project implementation. All these technologies have been piloted before by UNDP through past and on-going projects. The scope of activities will be limited in size. However, once the exact location/sites, "owners" and beneficiary communities for these measures will be defined, the project will carry out additional risk screening and assessments, over and above the assessment for generic impacts undertaken to date.

40. UNDP will carry out social and environmental risks pre-screening and screening, consultations, assessment and monitoring during the project implementation in accordance with the AF safeguards policy. The project will follow Adaptation Fund Guidance document for Implementing Entities on compliance with the Adaptation Fund Environmental and Social Policy, as well as UNDP safeguards policy and the national laws and standards. Prior to any on-site investment decision, and within three months of initial potential project identification the project will conduct:

(a) Targeted stakeholder consultation and beneficiary consultations (conducted and documented);

(b) detailed screening/identification of risks and applicable principles (UNDP SESP screening will be updated and a screening against AF 15 principles will be conducted);

(c) Impact assessment (scope of ESIA in each case/sub-project will depend on the results of risk screening for specific site-based measures); and

(d) monitoring.

41. In addition, the following targeted assessments and mitigation/management measures will be required:

- Gender analysis in the initial phase of the project to assess divisions of labor and women's role and access to resources in order to develop recommendations on how the project will promote women's equality and empowerment. As a result, the Gender Action Plan will be updated.
- Vulnerability screening and assessment (marginalized and vulnerable groups assessment) will be carried out to prioritize communities and groups for adaptation interventions.

A pre-screening of project proposals is planned to highlight relevant issues for attention, and to facilitate the elimination of proposed projects or activities likely to result in unavoidable and significant adverse social or environment impacts. Pre-screening will take place within three months of a specified proposed activity with a potential location chosen. The exercise will utilize the following checklist. Note that this is not intended for as a complete screening procedure, but a preliminary exercise to highlight relevant issues and concerns.

The pre-screening assists in establishing whether or not a proposed project contravenes the exclusion list, shortcomings in particular areas, management capabilities of executing partners, and the extent of further assessment required to ensure full compliance with the AF ESP requirements.

Pre-screening at an early stage in the project formulation process in many cases enables adverse environmental and social impacts to be identified, leaving open the possibility of "designing out" such impacts, rather than reducing, mitigating, or compensating, post-hoc.

**Table 3: Pre-screening checklist**

| Principle   | Actions Required  |
|---|---|
| <p>Principle 1: Compliance with the Law.</p>            | <p>Describe how the Project will ensure compliance with applicable domestic and international laws.</p> <p>Identify any proposed project activity which requires permission or permits from any government agency? (E.g. planning, environmental, construction, water extraction, emissions, use/storage of restricted substances).</p> <p>Does local law require an EIA to be conducted?</p> <p>For each such instance, describe legal requirement, any steps already taken, and the plan to achieve compliance with relevant domestic and international laws.</p> |
| <p>Principle 2: Access and Equity.</p>                  | <p>Describe the proposed process the project will use to ensure inclusivity of all targeted beneficiaries, including marginalized or vulnerable groups.</p> <p>Describe how the project will ensure fair and equitable access to benefits that is inclusive, and does not impede access to basic services and land rights.</p> <p>Describe how the project will ensure full participation by marginalized or vulnerable groups.</p>   |
| <p>Principle 3: Marginalized and Vulnerable Groups.</p> | <p>Identify and quantify marginalized and vulnerable groups.</p> <p>Describe how the project will avoid imposing adverse impacts on marginalized and vulnerable groups.</p> <p>Identify any adverse impacts that each marginalized and vulnerable group are likely to experience.</p> <p>Describe how the impacts are not disproportionate compared to non-marginalized and non-vulnerable groups</p> <p>Describe how impacts on these groups will be monitored.</p>  |
| <p>Principle 4: Human Rights.</p>                       | <p>How does the Project ensure adherence to, and promote international human rights?</p>  |

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| <p>Principle 5: Gender Equality and Women's Empowerment.</p> | <p>What actions are envisaged to ensure that both women and men have equal opportunities to participate in all aspects of the project, receive comparable social and economic benefits, and do not suffer disproportionate adverse effects?</p> <p>Identify whether any proposed project elements fail to address the needs, or the access to benefits, of either gender on legal, regulatory, or customary grounds. Describe the project's proposed methods for avoiding this.</p>  |
| <p>Principle 6: Core Labour Rights:</p>                      | <p>Do the project activities meet with the requirements of the core labour standards as identified by the International Labour Organization?</p> <p>Describe how the project will, in its operation, ensure adherence to:</p> <ul style="list-style-type: none"> <li>• Freedom of association and the effective recognition of the right to collective bargaining;</li> <li>• Elimination of all forms of forced or compulsory labour (conventions ILO 29 and ILO 105);</li> <li>• Elimination of worst forms of child labour (conventions ILO 138 and ILO 182);<sup>16</sup></li> <li>• Elimination of discrimination in respect of employment and occupation (conventions ILO 100 and ILO 111).</li> </ul>   |
| <p>Principle 7: Indigenous Peoples.</p>                      | <p>Does the project impact indigenous peoples in the area?</p> <p>Identify the presence/non-presence of indigenous peoples in the project area and any potential project impacts (eg. restriction of access to ecosystem services).</p> <p>If present, describe how the project will ensure consistency with 2007 UN Declaration on the Rights of Indigenous Peoples (UNDRIP).</p>   |
| <p>Principle 8: Involuntary Resettlement.</p>                | <p>Do current project proposals entail any need for involuntary resettlement or loss or restrictions of access to resources ?</p> <p>Identify any instances where people may be compelled (either indirectly or directly) to move their homes, businesses, or where their livelihoods may be adversely affected by the project. This will include instances where their access to resources (including water), is restricted or qualified in any way (eg through introduced pricing arrangements).</p> <p>(Note that "Involuntary resettlement" refers to both physical displacement (relocation or loss of shelter) and to economic displacement (loss of assets or access to assets that leads to loss of income sources or other means of livelihood).</p>  |
| <p>Principle 9: Protection of Natural Habitats.</p>          | <p>Does the project involve conversion or degradation of critical natural habitats? This includes any that are legally protected, officially proposed for protection, recognized by authoritative sources for their high conservation value, or recognized as protected by traditional or indigenous local communities.</p> <p>Identify the presence of natural habitats in or near the project area of natural habitats</p> <p>Identify the potential of the project/programme to impact directly, indirectly, or cumulatively upon natural habitats.</p> <p>Describe the location of the critical habitat in relation to the project and why it cannot be avoided, as well as its characteristics and critical value.</p> <p>For each affected critical natural habitat, provide a brief description of the nature and the extent of the impact.</p> |



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| <p>Principle 10: Conservation of Biological Diversity.</p>         | <p>How is the project designed to avoid any significant or unjustified reduction or loss of biological diversity or the introduction of known invasive species?</p> <p>Identify:</p> <ul style="list-style-type: none"> <li>• the presence in or near the project area of known important biological diversity;</li> <li>• the project's potential for a significant or unjustified reduction or loss of biological diversity, and</li> <li>• potential to introduce known invasive species</li> </ul>  |
| <p>Principle 11: Climate change.</p>                               | <p>Do any aspects of the project result in any significant or unjustified increase in greenhouse gas emissions or other drivers of climate change?</p> <p>Identify any equipment the project will use which may be the cause of significant or unjustified emissions.</p>   |
| <p>Principle 12: Pollution Prevention and Resource Efficiency.</p> | <p>Does the project meet applicable international standards for maximizing energy efficiency and minimizing material resource use, the production of wastes, and the release of pollutants?</p> <p>Will the project be investing in equipment for irrigation, water pumping, or other energy-consuming equipment?</p> <p>Describe how the project minimizes, in a reasonable and cost-effective way, the resources that will be used by the project. This applies to all sources and forms of energy, to water, and to other resources and materials inputs.</p> <p>Identify where the project might produce waste or the release of pollutants, including GHGs. Describe arrangements for managing these wastes and/or pollutants.</p> |
| <p>Principle 13: Public Health.</p>                                | <p>Do any aspects of the project risk potentially significant negative impacts on public health?</p> <p>Consult with local health authorities regarding potential project health impacts.</p>   |
| <p>Principle 14: Physical and Cultural Heritage.</p>               | <p>Identify, through local stakeholder consultation, the presence of cultural heritage sites in or near the project. If any such sites exist,</p> <p>Describe the location and the nature of the resource, and the protective measures to be taken.</p> <p>Does the project avoid the alteration, damage, or removal of any physical cultural resources, cultural sites, and sites with unique natural values recognized as such at the community, national or international level. Does the project involve restriction of public access to, or use of, such physical and cultural resources?</p>  |
| <p>Principle 15: Lands and Soil Conservation.</p>                  | <p>Does the project promote soil conservation and avoid degradation or conversion of productive lands or land that provides valuable ecosystem services?</p> <p>Identify the presence of fragile soils (e.g. soils on the margin of a desert area, coastal soils, soils located on steep slopes, rocky areas with very thin soil) within the project area. Describe how these will/will not be impacted by the project.</p> <p>Will the project lead to an increase in the use of surface water?</p> <p>Will the project entail groundwater extraction?</p>   |

1. On identification of a proposed sub-project/activity, the proposal is checked against the Negative List/Exclusion List by the project proposer. This could be a community, a community member, member of the project team, or the proposed project contractor. If the proposer states that any of the risks identified will be unavoidable, the proposal can be dismissed at this stage.
2. The proposer of the sub-project/activity is then required to present the proposal with a brief description of the activity, its specific objectives, a description of how it meets local needs, and how it fits into the wider project Components. This initial description will contain the results of the pre-screening exercise, based on the AF ESP Principles, which will highlight any areas of particular concern. UNDP's Project Management Unit will assist in this process if required.
3. The Project Management Unit will then undertake a site visit to the proposed location, to conduct a high-level scoping of the sub-project/activity, to verify the pre-screening highlighting any areas of environmental and social concern, to check on legal and technical feasibility, to make a provisional list of key stakeholders, and to assess the management capacity of the EE.
4. The PMU will produce an activity description/technical specification outlining the project's aims and objectives against local needs, any evident legal and regulatory issues, an estimate of likely technical and financial requirements, and a high-level verification that the project targets the intended beneficiaries. The level of impact assessment required to ensure adherence to the AF Principles will be established, including a list of stakeholders and a methodology for consulting them created, appropriate to the size of the project proposed.
5. A formal assessment of potential Environmental and Social Impacts, including gender issues, will be conducted appropriate to the size of the project. Responsibility for this will rest with the PMU. If required under national legislation, or if impacts are envisaged as high or moderate, a third party contractor may be employed. However, Sub-Projects are envisaged as small, with low Environmental and Social impacts, and any use of specialist ESIA contractors will be exceptional. The assessment format will follow the 15 Principles of the AF ESP. The scope of the study will vary according to requirements, but in all cases it will be comprehensive, including all identified risks and impacts, required avoidance or mitigation measures, an analysis of gender issues, and will be conducted with full on-site stakeholder consultation. The assessment will be conducted in a participatory and inclusive manner to identify beneficiary and affected communities and individuals, paying particular attention to adverse and beneficial project impacts on identified poor and vulnerable groups. It will include a detailed ESMP, detailing monitoring arrangements, ongoing stakeholder participation and consultation, and a project-level grievance mechanism, all appropriate to its size and potential impact.
6. The overall project ESMP will be updated to include monitoring and evaluation procedures for the sub-project.

### 3.3 ENVIRONMENTAL AND SOCIAL ASSESSMENT PROCEDURES OF THE ESMF

42. All project activities that are determined to present potential "moderate risks" will be assessed according to DOE environmental assessment regulations and procedures. Targeted forms of assessment are to be undertaken, addressing the specific potential social and environmental risks presented by the activity. No "high risk" activities are permitted.
43. All such project activities will be required to obtain the appropriate permits from the regulatory authorities.

44. The Project's stakeholder engagement plan (Section 4) will be fully implemented.
45. In addition, the following targeted assessments and mitigation/management measures will be required:
- Gender assessment in the initial phase of the project to assess divisions of labor and women's role and access to resources in order to develop recommendations on how the project will promote women's equality and empowerment.
  - Marginalized and vulnerable groups assessment in the project inception to prioritize communities and groups for adaptation interventions.
  - Appropriate erosion and sediment control for micro water infrastructure and will be undertaken during all stages of the project.
  - There will be no release of pollution and/or chemicals as a result of the project activities.
  - Appropriate waste management procedures will be followed.
  - Community safety measures will be employed regarding construction and micro water infrastructure activities.
  - No project activities will take place on lands and/or territories claimed by indigenous peoples without their Free, Prior Informed Consent (FPIC).
46. **Timing of assessments:** In all cases, social and environmental assessments and adoption of appropriate mitigation plans/measures must be completed, disclosed, and discussed with stakeholders prior to initiation of any project activities that may cause adverse social and environmental impacts.
47. The ESMF will be updated from time to time by the project team/PMU in consultation with the UNDP staff to incorporate any needed changes as particular project activities are designed in detail and any needed assessments are undertaken.

## 4 STAKEHOLDER ENGAGEMENT PLAN

### 4.1 INTRODUCTION

48. The Adaptation of Communities for the Bakhtegan Basin in Iran involves a wide range of stakeholder engagement activities. These are outlined below.
49. The project was discussed with a wide range of stakeholders including relevant government organisations, NGOs, and individual community members and approved by the Government. On-ground consultation has been undertaken during the design of the project, including:

| Organisation consulted               | Role/Responsibility  | Issues addressed   | Project components       |
|--------------------------------------|--|--|--------------------------|
| National Technical Committee (NTC)   | Cross-departmental committee overseeing development of the AF proposal on behalf of the Iranian Government<br><br>Provided conceptual and technical guidance an input to the project development process | Identified the Bakhtegan Basin as the project location<br><br>Project scope and management arrangements<br><br>Feedback and comments on the project proposal | Components 1, 2, 3 and 4 |
| Department of Environment            | Responsible for natural resources management, with a particular project focus on protected wetland areas   | Provided technical input into the formulation of Component 3   | Components 1, 2, 3 and 4 |
| Ministry of Energy                   | Responsible for water resources management   | Developed a pre-proposal that guided the formulation of Component 1  | Components 1, 2, 3 and 4 |
| Ministry of Jihad Agriculture        | Responsible for agriculture and food security  | Provided technical input into the formulation of Component 2   | Components 1, 2, 3 and 4 |
| United Nations Development Programme | Provided technical and administrative support during the   | Input to project formulation and design  | Components 1, 2, 3 and 4 |

|  |  |   |                       |
|--|--|---|-----------------------|
|  | proposal preparation, organised the project development mission to Iran and the Bakhtegan Basin  | Contributions and support to the National Technical Committee<br><br>Project management and institutional arrangements                                |                       |
| Fars Provincial Government                               | Responsible for the management of land and water resources in the Bakhtegan Basin<br><br>Provided an overview of the situation in the basin<br><br>Assisted in gathering requested data for the national consultants from stakeholders | Identification of issues and needs within the Bakhtegan Basin<br><br>Information on existing activities and initiatives                               | Components 2, 3 and 4 |
| Kharameh County Government and community representatives | Responsible for local decision making in relation to land and water resources management<br><br>Coordination between different County authorities and assisted with the workshops  | Provided information of the issues being experienced in Kharameh County, actions that are already being taken and what additional support is required | Components 2 and 3    |
| Estabhan County Government and community representatives | Responsible for local decision making in relation to land and water resources management<br><br>Coordination between different County authorities and assisted with the workshops  | Provided information of the issues being experienced in Estabhan County, actions that are already being taken and what additional support is required | Components 2 and 3    |

|   |   |  |                    |
|---|---|--|--------------------|
| Marvdasht County Government and community representatives | Responsible for local decision making in relation to land and water resources management<br><br>Coordination between different County authorities and assisted with the workshops | Provided information of the issues being experienced in Marvdasht County, actions that are already being taken and what additional support is required | Components 2 and 3 |
| Non-Governmental Organizations                            | Participation in consultative workshops   | Provided information of the issues being experienced, existing livelihoods and alternative ones  | Components 2 and 3 |

## 4.2 PROJECT STAKEHOLDERS

The stakeholders in the table will continue to be informed and/or engaged by the project along with the following:

- Farmers and community producer associations
- Villagers
- Protected area managers
- Educational institutions
- International NGOs and partner organisations (i.e. World Vision, Habitat for Humanity, etc.)
- Agriculture schools
- Religious institutions
- Women's groups
- Technology providers
- Financial institutions
- Produce markets and manufacturers
- Water associations
- Forestry cooperatives

## 4.3 STAKEHOLDER ENGAGEMENT PROGRAM

50. The Stakeholder Engagement Program seeks to set the procedures for ensuring consultation and stakeholder engagement during assessment, development of action plans, and monitoring of social and environmental impacts associated with specific project activities, including information disclosure requirements.

51. The UNDP and DOE will develop and release project-related information to communities, organisations and municipalities where the project is implementing its activities. In order to do so, the project will make use of:
- Newspapers, local radio podcasts, and local television
  - Brochures, leaflets, non-technical summary documents and technical reports
52. In addition, UNDP information disclosure requirements are to be addressed. The draft UNDP Social and Environmental Screening Procedure (SESP) will be made available to project stakeholders prior to project approval, and the final SESP will be made available upon approval. If/when site-specific, targeted environmental and social assessments are required, the draft assessment and findings, including specific management measures, will be made available to project stakeholders for public comment. Final assessments and plans will be disclosed upon completion. Summary reports of assessment findings should be disclosed. Stakeholders will be notified on the availability of draft and final documents.
53. The project will ensure that women and other relevant groups such as indigenous groups, elderly, and youth receive an equitable share of benefits and that their status and interests are not marginalized. Participatory processes will include specially designed methodologies that enhance the participation of women and these other groups; therefore, it is expected to enhance the inclusion of their views into the activities of the project, using existing mechanisms for representing their views such as the municipal units and units, community-based organisations, community development associations, forestry cooperatives. The project does not foresee any change or negative impact on the current livelihood of indigenous groups or their natural resource base. In case any project activity requires a formal process of Free and Informed Prior Consent (FIPC), then the project will follow due process either under existing national mechanisms or current international standards, eg the 169 ILO Convention, the Declaration by United Nations on the Rights of Indigenous Peoples, and Jurisprudence produced by the Inter-American Human Rights system.
54. The Stakeholder Engagement Program will build on various activities and methods, including the promotion of participatory processes, joint decision-making, and partnerships undertaken with local communities, NGOs, and local governments. The project will support the operationalization and formalization of the Bakhtegan Basin Council, which is envisaged as a key multi-stakeholder coordination, consultations and information sharing mechanism involving national and municipal entities, as well as community based- and civil society organisations. The project will also support exchange visits, training, and capacity building initiatives.
55. Stakeholder engagement activities and required technical assistances will be funded by the project's budget as part of specific Outputs.
56. The project team will develop and release updates on the project on a regular basis to provide interested stakeholders with information on project status. Updates may be via a range of media (e.g. print, radio, social media or formal reports).
57. Key project materials are to be made available in Persian and local languages if appropriate.

#### 4.4 COMPLAINTS REGISTER AND GRIEVANCE REDRESS

58. The project will include a complaints and grievance redress process. A publicized telephone number will be maintained throughout the project to serve as a point of contact for enquiries and

concerns. All enquiries, concerns and complaints will be recorded on a register and the appropriate manager will be informed. Where there is a community issue raised, the following information will be recorded:

- time, date and nature of enquiry, complaint or concern;
- type of communication (e.g. telephone, letter, personal contact);
- name, contact address and contact number;
- response and investigation undertaken as a result of the enquiry, complaint or concern; and
- actions taken and name of the person taking action.

59. All enquiries, complaints and concerns will be investigated and a response given to the complainant in a timely manner. The National Project Coordinator will be responsible for undertaking a review of all enquiries, complaints and concerns and ensuring progress toward resolution of each matter.
60. Some enquiries, complaints and concerns may require an extended period to address. The complainant(s) will be kept informed of progress towards rectifying the concern.
61. Wherever possible, the project team will seek to resolve the complaint as soon as possible, and thus avoid escalation of issues.
62. Any complaint will be advised to the UNDP within 24 hours of receiving the complaint.
63. A summary list of complaints received and their disposition must be published in a report produced every six months.
64. The project complaints and grievance process has been designed to be problem-solving mechanism with voluntary good-faith efforts. The Grievance Redress Mechanism is not a substitute for the legal process. The Grievance Redress Mechanism will as far as practicable, try to resolve complaints and/or grievances on terms that are mutually acceptable to all parties. When making a complaint and/or grievance, all parties must act at all times, in good faith and should not attempt to delay and or hinder any mutually acceptable resolution.
65. In addition to the project-level and national grievance redress mechanisms, complainants have the option to access UNDP's Accountability Mechanism, with both compliance and grievance functions. The Social and Environmental Compliance Unit investigates allegations that UNDP's Standards, screening procedure or other UNDP social and environmental commitments are not being implemented adequately, and that harm may result to people or the environment. The Social and Environmental Compliance Unit is housed in the Office of Audit and Investigations, and managed by a Lead Compliance Officer. A compliance review is available to any community or individual with concerns about the impacts of a UNDP programme or project. The Social and Environmental Compliance Unit is mandated to independently and impartially investigate valid requests from locally impacted people, and to report its findings and recommendations publicly.
66. The Stakeholder Response Mechanism offers locally affected people an opportunity to work with other stakeholders to resolve concerns about the social and environmental impacts of a UNDP project. Stakeholder Response Mechanism is intended to supplement the proactive stakeholder



engagement that is required of UNDP and its Implementing Partners throughout the project cycle. Communities and individuals may request a Stakeholder Response Mechanism process when they have used standard channels for project management and quality assurance, and are not satisfied with the response (in this case the project level grievance redress mechanism). When a valid Stakeholder Response Mechanism request is submitted, UNDP focal points at country, regional and headquarters levels will work with concerned stakeholders and Implementing Partners to address and resolve the concerns. Visit [www.undp.org/secu-srm](http://www.undp.org/secu-srm) for more details. The relevant form is attached at the end of the ESMF.

67. See Appendix 3 for further guidance on accessing UNDP's Accountability Mechanism.
68. Complaints regarding projects/programmes supported by the Fund can also be filed with the secretariat at the following address: Adaptation Fund Board secretariat Mail stop: MSN P-4-400 1818 H Street NW Washington DC 20433 USA Tel: 001-202-478-7347 [afbsec@adaptation-fund.org](mailto:afbsec@adaptation-fund.org) 35. The secretariat will respond promptly to all such complaints. Where appropriate, the secretariat will refer complainants to a grievance mechanism identified by the implementing entity as the primary place for addressing complaints.

## 5 IMPLEMENTATION AND OPERATION

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### 5.1 GENERAL MANAGEMENT STRUCTURE AND RESPONSIBILITIES

70. The proposed governance structure for the project and beyond is based on the existing management plan for the Bakhtegan-Tashk wetlands that has already been prepared by the DoE of Fars province and UNDP of Iran to combat drought. The intention to build on this existing mechanism represents a focus on ensuring participation of all relevant stakeholders to address the consequences of water and land resource mismanagement and adapt to the unfolding negative impacts of climate change in the Bakhtegan Basin. This includes working to ensure maximum participation from local people.
71. At the highest level in Fars Province the Fars provincial governor, as the highest local official, will oversee the project's goal of building resilience to climate change in the Bakhtegan Basin. The Director General of the DOE in Fars Province will serve as the secretary. Under this provincial leadership there will be a working group that is headed by the Director General of the DOE from Fars province. The Provincial Working Group will be made up of county level representatives from Marvdasht, Arsanjan, Neyriz, Kherame, Estahban and Pasargad counties. From each county it will include the local governor, head of DOE, head of water and sewage system, MOJA and head of the natural resources office. Local NGOs will also be represented. Most importantly, a mechanism will be established for direct community input and engagement to ensure that decisions being made are workable and fully owned at the community level.
72. UNDP Iran will support project implementation by assisting in monitoring project budgets and expenditures, recruiting and contracting project personnel and consultant services, subcontracting and procuring equipment. UNDP Iran will also monitor the project implementation and achievement of the project outcomes/outputs and ensure the efficient use of donor funds through an assigned UNDP Programme Officer to support the Council to objectively and independently oversee and monitor the project.

#### 5.1.1 Administration of ESMF

73. DOE (as national executing agency) will be responsible for the revision or updates of this document during the course of work.
74. The ESMF will be part of the project documentation.
75. UNDP is accountable for the provision of specialist advice on environmental and social issues to the delivery organisations (eg contractors and/or NGOs). During operations the delivery organisations will be accountable for implementation of the ESMF measures. Personnel working on the projects have accountability for preventing or minimising environmental and social impacts.
76. The delivery organisation (e.g. contractor) will maintain and keep all administrative and environmental records, which would include a log of complaints together with records of any measures taken to mitigate the cause of the complaints.
77. The delivery organisation will be responsible for the day to day compliance of the ESMF. Any incidents, including non-conformances to the procedures of the ESMF are to be recorded using an Incident Record and the details entered into a register. For any incident that causes or has the potential to cause material or serious environmental or social harm, the delivery organization

shall notify the Project Manager as soon as possible. The delivery organisation/contractor must cease work until remediation has been completed.

### 5.1.2 Monitoring, review and auditing

78. The ESMF and its procedures are to be reviewed at least every 6 months by the Project Board/Steering Committee. The objective of the review is to update the document to reflect knowledge gained during the course of project delivery/construction and to reflect new knowledge and changed community standards (values).

79. The ESMF will be reviewed and amendments made if:

- There are relevant changes to environmental conditions or generally accepted environmental practices; or
- New or previously unidentified environmental risks are identified; or
- Information from the project monitoring and surveillance methods indicate that current control measures require amendment to be effective; or
- There are changes to environmental legislation that are relevant to the project; or
- There is a request made by a relevant regulatory authority; or
- Any changes are to be developed and implemented in consultation with UNDP Staff.

## 5.2 CAPACITY BUILDING AND TRAINING

80. Delivery organisations have the responsibility for ensuring systems are in place so that relevant employees, contractors and other workers are aware of the environmental and social requirements for construction, including the ESMF.

81. All project personnel will attend an induction that covers health, safety, environment and cultural requirements.

82. All workers engaged in any activity with the potential to cause serious environmental harm (e.g. handling of hazardous materials) will receive task specific environmental training.

## 5.3 BUDGET FOR ESMF IMPLEMENTATION

83. The ESMF implementation will rely on funding from specific activities within the project's total budget, and will be considered in the stakeholder or site-specific design of the activities. ESMF activities are also aligned with the Monitoring & Evaluation framework, particularly those for the inception assessment, mid-term and final reviews and site visits and supervision missions.

## 6 ENVIRONMENTAL AND SOCIAL IMPACT MITIGATION STRATEGIES

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84. This section outlines strategies to manage potential environmental and social risks associated with the key thematic risk areas. This section further addresses the need for monitoring and reporting of environmental performance with the aim of communicating the success and failures of control procedures, distinguish issues that require rectification and identify measures that will allow continuous improvement in the processes by which the projects are managed.
85. The strategies outlined here form the basis of Environmental and Social Management Plans (ESMPs) that will be applied to the project. Based on the risks identified for individual activities (including USPs), the appropriate impact mitigation strategies can be selected to create an ESMP specific for that activity. Alternatively, applied collectively, the mitigation strategies can be applied to the whole project, thus the ESMF effectively becomes an ESMP.

### 6.1 SEDIMENT AND EROSION CONTROL

86. Soil erosion depends on several parameters such as type of soil, slope, vegetation, the nature of topography and rainfall intensity. The loss of soil stability and soil erosion can take place due to the removal of vegetation cover, and numerous construction activities. It can cause the loss of soil fertility and induce slope instability. Land preparation for the MIMIP could result in blockage or alteration of natural flow paths causing changes in the drainage patterns in the area. Effective and efficient mitigation measures can not only reduce but could improve the conditions over the existing conditions.
87. Activities that have the potential to cause erosion should only be undertaken after consideration of likely weather conditions.

#### 6.1.1 Performance Criteria

88. The following performance criteria are set for the projects:
- no build-up of sediment in the aquatic environments and/or surface and/or groundwater as a result of construction and operation activities;
  - no degradation of water quality on or off site of all projects;
  - all water exiting the MIMIP sites and/or into groundwater systems is to have passed through best practice erosion, drainage and sediment controls; and
  - effective implementation of site-specific EDSCP.
89. By following the management measures set out in the ESMP, construction and operation activities of the projects will not have a significant impact as a result of sedimentation across the broader area.

#### 6.1.2 Monitoring

90. A standardized sediment control monitoring program has been developed for the projects (Table 3). The program is subject to review and update at least every two months from the date of issue. The Contractor will be required to:
- conduct site inspections on a weekly basis or after rainfall events exceeding 20 mm in a 24-hour period;
  - develop a site-specific checklist to document non-conformances to this ESMP or any applicable EDSCPs; and
  - communicate the results of inspections and/or water quality testing and ensure that any issues associated with control failures are rapidly rectified and processes are put in place to ensure that similar failures are not repeated.

### 6.1.3 Reporting

91. All sediment and erosion control monitoring results and/or incidents will be tabulated and reported as outlined in the ESMP. The PMU and UNDP must be notified immediately in the event of any suspected instances of material or serious environmental harm, or if a determined level with respect to erosion and sediment control is exceeded.

Table 4 Erosion and sediment control measures

| Issue   | Control activity (and source)  | Action timing               | Responsibility               | Monitoring & reporting |
|---|--|-----------------------------|------------------------------|------------------------|
| E1: Loss of soil material and sedimentation to the surface and/or groundwater systems from site due to earthwork activities | E1.1: Develop and implement an EDSCP for any surface works, embankments and excavation work, water crossings and stormwater pathways.  | Construction phase          | Contractor                   | Maintain records       |
|   | E1.2: Ensure that erosion and sediment control devices are installed, inspected and maintained as required.  | Construction phase          | Construction Site Supervisor | Maintain records       |
|   | E1.3: Schedule/stage works to minimize cleared areas and exposed soils at all times.   | Pre and during construction | Construction Site Supervisor | Maintain records       |
|   | E1.4: Incorporate the design and location of temporary and permanent EDSC measures for all exposed areas and drainage lines. These shall be implemented prior to pre-construction activities and shall remain onsite during work | Pre and during construction | Construction Site Supervisor | Maintain records       |
|   | E1.5: Schedule/stage proposed works to ensure that vegetation disturbance and earthworks are carried out during periods of lower rainfall and wind speeds.   | Pre and during construction | Construction Site Supervisor | Maintain records       |
|   | E1.6: Schedule/stage works to minimize the duration of stockpiling topsoil material. Vegetate stockpiles if storage required for long periods.   | During construction         | All Personnel                | Maintain records       |
|   | E1.7: Locate stockpile areas away from drainage pathways, waterways and sensitive locations.   | Pre and during construction | Contractor                   | Maintain records       |

| Issue   | Control activity (and source)  | Action timing                 | Responsibility                | Monitoring & reporting |
|---|--|-------------------------------|-------------------------------|------------------------|
| E1: Loss of soil material and sedimentation to the surface and/or groundwater systems from site due to earthwork activities   | E1.9: Design stormwater management measures to reduce flow velocities and avoid concentrating runoff.  | Pre and during construction   | Contractor                    | Maintain records       |
|   | E1.10: Include check dams in drainage lines where necessary to reduce flow velocities and provide some filtration of sediment. Regularly inspect and maintain check dams.                | Pre and during construction   | Contractor                    | Maintain records       |
|   | E1.11: Mulching shall be used as a form of erosion and sediment control and where used on any slopes (dependent on-site selection), include extra sediment fencing during high rainfall. | During construction           | All Personnel                 | Maintain records       |
|   | E1.12: Bunding shall be used either within watercourses or around sensitive/dangerous goods as necessary.  | During construction           | All Personnel                 | Maintain records       |
|   | E1.13: Grassed buffer strips shall be incorporated where necessary during construction to reduce water velocity.   | During construction           | Construction Site Supervisor  | Maintain records       |
|   | E1.14: Silt fences or similar structures to be installed to protect from increased sediment loads.   | During construction           | Construction Site Supervisors | Maintain records       |
| E1.15: Excess sediment in all erosion and sediment control structures (for example sediment basins, check dams) shall be removed when necessary to allow for adequate holding capacity. | During construction  | Construction Site Supervisors | Maintain records              |                        |

E2: Soil  
Contamination

E2.1: If contamination is uncovered or suspected, undertake a Stage 1 preliminary site contamination investigation. The contractor should cease work if previously unidentified contamination is encountered and activate management procedures and obtain advice/permits/approval (as required).

Construction phase

All Personnel

Daily and maintain  
records



| Issue                        | Control activity (and source)   | Action timing                    | Responsibility                          | Monitoring & reporting     |
|------------------------------|---|----------------------------------|---|----------------------------|
| E2: Soil Contamination       | E2.3: Drainage control measures to ensure runoff does not contact contaminated areas (including contaminated material within the project footprints) and is directed/diverted to stable areas for release.                              | Construction phase               | All Personnel                           | Daily and maintain records |
|                              | E2.4: Avoid importing fill that may result in site contamination and lacks accompanying certification/documentation. Where fill is not available through on-site cut, it must be tested in accordance with geotechnical specifications. | Construction phase               | All Personnel                           | Maintain records           |
|                              | E2.5: Remediate areas of contamination under the guidance of an appropriately qualified and experienced professional.   | Construction phase               | Construction Site Supervisor / UNDP     | Maintain records           |
| E3. Poor maintenance of ESCs | E3.1: Regularly check and clear debris from trash racks/drain grates  | Construction and Operation phase | Construction Site Supervisor / Operator | Maintain records           |
|                              | E3.2: Regularly inspect all pits and oil/sediment traps for sediment accumulation and remove as necessary.  | Operation                        | Contractor                              | Monthly                    |

## 6.2 AIR QUALITY

### 6.2.1 Background

92. All construction activities have the potential to cause air quality nuisance.
93. Existing air quality reflects urban areas, with dust being the main air quality nuisance.
94. Workers involved in construction and operation activities should be familiar with methods minimizing the impacts of deleterious air quality and alternative construction procedures as contained in Iran legislation or good international industry practice.

### 6.2.2 Performance Criteria

95. The following performance criteria are set for the construction of the project:
  - release of dust/particle matter must not cause an environmental nuisance;
  - undertake measures at all times to assist in minimizing the air quality impacts associated with construction and operation activities; and
  - corrective action to respond to complaints and/or grievances is to occur within 48 hours.

### 6.2.3 Monitoring

96. A standardized air monitoring program has been developed for the projects (Table 4). The program is subject to review and update at least every two months from the date of issue. Importantly:
  - the requirement for dust suppression will be visually observed by site personnel daily and by project staff when undertaking routine site inspections; and
  - Vehicles and machinery emissions – visual monitoring and measured when deemed excessive.

### 6.2.4 Reporting

97. All air quality monitoring results and/or incidents will be tabulated and reported as outlined in the ESMP. The UNDP and PMU must be notified immediately in the event of any suspected instances of material or serious environmental harm, or if a determined level with respect to air quality is exceeded.

Table 5 Air Quality Management Measures

| Issue  | Control activity (and source)   | Action timing               | Responsibility               | Monitoring & reporting     |
|--|---|-----------------------------|------------------------------|----------------------------|
| A.1 Increase in dust levels at sensitive receptors | A1.1: Implement effective dust management measures in all areas during design, construction and operation.  | Pre and during construction | All Personnel                | Daily and maintain records |
|  | A1.2: Restrict speeds on roads and access tracks.   | During construction         | Construction Site Supervisor | Daily and maintain records |
|  | A1.3: Manage dust/particulate matter generating activities to ensure that emissions do not cause an environmental nuisance at any sensitive locations | During construction         | Construction Site Supervisor | Daily and maintain records |
|  | A1.4: Construction activities should minimize risks associated with climatic events (check forecasts).  | During construction         | Construction Site Supervisor | Daily and maintain records |
|  | A1.5: Implement scheduling/staging of proposed works to ensure major vegetation disturbance and earthworks are minimized.                             | Entire construction         | Construction Site Supervisor | Daily and maintain records |
|  | A1.6: Locate material stockpile areas as far as practicable from sensitive receptors. Cover if appropriate.   | During construction         | Construction Site Supervisor | Daily and maintain records |
|  | A1.7: Source sufficient water of a suitable quality for dust suppression activities complying with any water restrictions.                            | During construction         | Construction Site Supervisor | Daily and maintain records |
|  | A1.8: Schedule revegetation activities to ensure optimum survival of vegetation species.  | During construction         | Construction Site Supervisor | Maintain records           |

|  |                     |                              |                  |
|--|---------------------|------------------------------|------------------|
| A1.9: Rubbish receptacles should be covered and located as far as practicable from sensitive locations | During construction | Construction Site Supervisor | Maintain records |
|--|---------------------|------------------------------|------------------|

| Issue   | Control activity (and source)   | Action timing                     | Responsibility                      | Monitoring & reporting     |
|---|---|-----------------------------------|-------------------------------------|----------------------------|
| A2. Increase in vehicle / machinery emissions | A2.1 Ensure vehicles/machines are switched off when not in use.   | During construction and Operation | Construction Site Supervisor / UNDP | Daily and maintain records |
|   | A2.2 Ensure only vehicles required to undertake works are operated onsite.  | During construction               | Construction Site Supervisor        | Daily and maintain records |
|   | A2.3 Ensure all construction vehicles, plant and machinery are maintained and operated in accordance with design standards and specifications.  | During construction and Operation | Construction Site Supervisor / UNDP | maintain records           |
|   | A2.4 Develop and implement an induction program for all site personnel, which includes as a minimum an outline of the minimum requirements for environmental management relating to the site. | Pre and during construction       | Construction Site Supervisor        | Maintain records           |
|   | A2.5 Locate construction vehicle/plant/equipment storage areas as far as practicable from sensitive locations.  | During construction               | Construction Site Supervisor        | Daily and maintain records |
|   | A2.6 Direct exhaust emissions of mobile plant away from the ground.   | During construction               | Construction Site Supervisor        | Daily and maintain records |
|   | A2.7: Mount protective canvasses on all trucks which transport material that could generate dust  | During construction               | Contractor                          | Daily and maintain records |

|          |  |           |            |                  |
|----------|--|-----------|------------|------------------|
|          | A2.8: Site exhaust emitting equipment, such as generators, so that emissions do not cause nuisance to nearby receptors | Operation | Contractor | Maintain records |
| A3: Odor | A2.1: Ensure waste and other potential odor sources do not cause nuisance to nearby receptors                          | Operation | Contractor | Maintain records |

## 6.3 NOISE AND VIBRATION

### 6.3.1 Background

98. All construction and operation activities have the potential to cause noise nuisance. Vibration disturbance to nearby residents and sensitive habitats is likely to be caused through the use of vibrating equipment. Blasting is not required to be undertaken as part of the project.
99. The use of machinery or introduction of noise generating facilities could have an adverse effect on the environment and residents if not appropriately managed.
100. Contractors involved in construction activities should be familiar with methods of controlling noisy machines and alternative construction procedures as contained within specific Iran legislation or in its absence, good international industry practice may be used if the legislation has not been enacted.
101. Potential noise sources during construction may include:
- heavy construction machinery;
  - power tools and compressors;
  - delivery vehicles and vessels.

### 6.3.2 Performance Criteria

102. The following performance criteria are set for the construction of the projects:
- noise from construction and operational activities must not cause an environmental nuisance at any noise sensitive place;
  - undertake measures at all times to assist in minimizing the noise associated with construction activities;
  - no damage to off-site property caused by vibration from construction and operation activities; and
  - corrective action to respond to complaints and/or grievances is to occur within 48 hours.

### 6.3.3 Monitoring

103. A standardized noise monitoring program has been developed for the projects (Table 5). The program is subject to review and update at least every six months from the date of issue. Importantly, the site supervisor will:
- ensure equipment and machinery is regularly maintained and appropriately operated; and
  - carry out potentially noisy construction activities during 'daytime' hours only.

### 6.3.4 Reporting

104. All noise monitoring results and/or incidents will be tabulated and reported as outlined in the ESMF. The UNDP and PMU must be notified immediately in the event of any suspected instances of material or serious environmental harm, or if a determined level with respect to noise is exceeded

Table 6 Noise and Vibration Management Measures

| Issue                      | Control activity (and source)   | Action timing               | Responsibility                     | Monitoring & reporting     |
|----------------------------|---|-----------------------------|------------------------------------|----------------------------|
| N1: Increased noise levels | N1.1: Select plant and equipment and specific design work practices to ensure that noise emissions are minimized during construction and operation including all pumping equipment.                   | All phases                  | Construction Site Supervisor / PMU | Maintain records           |
|                            | N1.2: Specific noise reduction devices such as silencers and mufflers shall be installed as appropriate to site plant and equipment.  | Pre and during construction | Construction Site Supervisor       | Maintain records           |
|                            | N1.3 Minimize the need for and limit the emissions as far as practicable if noise generating construction works are to be carried out outside of the hours: 7am-5.30pm                                | Construction phase          | All Personnel                      | Daily and maintain records |
|                            | N1.4: Consultation with nearby residents in advance of construction activities particularly if noise generating construction activities are to be carried out outside of 'daytime' hours: 7am-5.30pm. | Construction phase          | All Personnel                      | Daily and maintain records |
|                            | N1.5 The use of substitution control strategies shall be implemented, whereby excessive noise generating equipment items onsite are replaced with other alternatives.                                 | Construction phase          | All Personnel                      | Daily and maintain records |
|                            | N1.6 Provide temporary construction noise barriers in the form of solid hoardings where there may be an impact on specific residents.   | Construction phase          | Construction Site Supervisor       | Daily and maintain records |
|                            | N1.7 All incidents complaints and non-compliances related to noise shall be reported in accordance with the site incident reporting procedures and summarized in the register.                        | Construction phase          | Construction Site Supervisor       | Maintain records           |
|                            | N1.8 The contractor should conduct employee and operator training to improve awareness of the need to minimize excessive noise in work practices through implementation of measures.                  | Pre and during construction | Construction Site Supervisor       | Maintain records           |

|   |           |     |                  |
|---|-----------|-----|------------------|
| N1.9: Permanent noise producing equipment should be either sited or fitted with acoustic shielding such that it does not cause noise nuisance to nearby receptors | Operation | DoE | Maintain records |
|---|-----------|-----|------------------|

| Issue                             | Control activity (and source)  | Action timing               | Responsibility               | Monitoring & reporting |
|-----------------------------------|--|-----------------------------|------------------------------|------------------------|
| N2. Vibration due to construction | N2.1: Identify properties, structures and habitat locations that will be sensitive to vibration impacts resulting from construction and operation of the project.                    | Pre and during construction | Construction Site Supervisor | Maintain records       |
|                                   | N2.2: Design to give due regard to temporary and permanent mitigation measures for noise and vibration from construction and operational vibration impacts.                          | Pre-construction            | Construction Site Supervisor | Maintain records       |
|                                   | N2.3: All incidents, complaints and non-compliances related to vibration shall be reported in accordance with the site incident reporting procedures and summarized in the register. | Construction phase          | Construction Site Supervisor | Maintain records       |
|                                   | N2.4: During construction, standard measure shall be taken to locate and protect underground services from construction and operational vibration impacts.                           | Construction phase          | Construction Site Supervisor | Maintain records       |



## 6.4 SURFACE WATER

### 6.4.1 Background

105. Water is a valuable resource, particularly in Iran where water is often limited. Construction activities have the potential to divert or contaminate surface waters.
106. Having water of a quality that is fit for purpose is important. Poor water quality can be detrimental to both terrestrial and aquatic flora and fauna.
107. Specific water quality issues include:
- Degradation of forest cover for farming, and subsequent invasive plants;
  - Agricultural chemicals;
  - Upland urbanisation increasing pressure on water resource catchments; and
  - Community behaviour and land tenure
108. By undertaking some of the works proposed as part of this project, the project will improve water quality at proposed sites.
109. No baseline data has been collected at the site; however, prior to the commencement of works, baseline data will be collected to develop a suitable monitoring regime.

### 6.4.2 Performance Criteria

110. The following performance criteria are set for the construction of the projects:
- no significant decrease in water quality as a result of construction and operational activities;
  - water quality shall conform to any approval conditions stipulated by AF, DoE and/or other government departments, or in the absence of such conditions follow a 'no worsening' methodology; and
  - effective implementation of site-specific EDSCPs.

### 6.4.3 Monitoring

111. The program is subject to review and update at least every two months from the date of issue. The site supervisor will be required to conduct a visual inspection as a part of the daily site inspection checklist and take water samples as appropriate for nitrates, phosphates, faecal coliforms, heavy metals, turbidity and oil/grease within or adjacent to their work area.
112. Table 6 outlines the monitoring required.

### 6.4.4 Reporting

113. All water quality monitoring results and/or incidents will be tabulated and reported as outlined in the ESMP. The UNDP and PMU must be notified immediately in the event of any suspected instances of material or serious environmental harm, or if a determined level with respect to water quality is exceeded.

Table 7 Water Quality Management Measures

| Issue  | Control activity (and source)   | Action timing                           | Responsibility                       | Monitoring & reporting   |
|--|---|---|--------------------------------------|--|
| W1: Eutrophication of surrounding aquatic environments and impacts from elevated nutrients | W2.1 Minimise the release of clays and very fine silts into the aquatic environment through the installation of sediment basins, rock checks and sediment fences in appropriate places. Sediment control structures to be inspected regularly.  |   | All Personnel                        | Weekly reporting to PMU/UNDP                                       |
|  | W2.2 Manage the application of fertilisers and other chemicals (if required during rehabilitation/revegetation of any site) to ensure that over application does not occur.   | Post Construction                       | Site Supervisor                      | Maintain records   |
| W2: Elevated suspended solids and other contaminants in surface water systems.             | W2.1: Develop and implement a site-specific Erosion, Drainage and Sediment Control Plan (EDSCP) to address drainage control, sediment and erosion control and stockpiling of materials including soil during construction of all components of the projects. EDSC measures to be inspected regularly to ensure all devices are functioning effectively. | Pre-Earthworks / construction works     | Construction Site Supervisor         | Initial set up and then as required with reporting to UNDP and PMU |
|  | W2.2: Designated areas for storage of fuels, oils, chemicals or other hazardous liquids should have compacted impermeable bases and be surrounded by a bund to contain any spillage. Refueling to be undertaken in areas away from water systems.   | Entire construction and operation phase | All Personnel                        | Weekly with reporting to UNDP                                      |
|  | W2.3: Conduct water quality monitoring in locations where discharges could occur  | Entire construction and operation phase | DoE                                  | As required with reporting to UNDP                                 |
|  | W2.4: Schedule works in stages to ensure that disturbed areas are stabilized and/or revegetated   | Avoid undertaking bulk                  | Construction Site Supervisor and DoE | Maintain records   |

progressively and as soon as practicable after completion of works.

W2.5: Construction materials will not be stockpiled in proximity to aquatic environment that may allow for release into the environment. Construction equipment will be removed from in proximity to the aquatic environment at the end of each working day or if heavy rainfall is predicted

earthworks during wet season

Entire construction and operation phase

Construction Site Supervisor

Maintain records

## 6.5 GROUNDWATER

### 6.5.1 Background

114. Groundwater conditions will vary across the region. Groundwater plays a key role in meeting the water needs of various user-sectors in Iran.
115. Contamination of groundwater can occur from a range of activities that facilitate movement of contaminants from either the surface or sub-surface layers into aquifers.

### 6.5.2 Performance Criteria

116. The following performance criteria are set for the project:
- no significant decrease in the quality and quantity of groundwater as a result of construction and operational activities in proximity to the projects;
  - effective implementation of site-specific EDSCPs and other measures to protect groundwater.
117. By following the management measures set out in the ESMF, the project will not have a significant impact on water quality across the broader area.

### 6.5.3 Monitoring

118. Refer to Table 7 for the monitoring requirements for groundwater.
119. Where it is proposed to use groundwater, testing should be undertaken to assess its suitability. Where groundwater recharge is proposed, a groundwater baseline should first be determined.
120. Monitoring of any nearby well should be done both before, during and after works.

### 6.5.4 Reporting

121. All water quality monitoring results and/or incidents will be tabulated and reported as outlined in the ESMF. The UNDP and PMU must be notified immediately in the event of any suspected instances of material or serious environmental harm, or if a determined level with respect to water quality is exceeded.

Table 8 Groundwater management measures

| Issue   | Control activity (and source)  | Action timing              | Responsibility                    | Monitoring & reporting                |
|---|--|----------------------------|-----------------------------------|---------------------------------------|
| GW 1: Increase of gross pollutants, hydrocarbons, metals and other chemical pollutants into the groundwater and/or surface water environment. | GW1.1: Prevent contaminated surface water from entering aquifers via surface substrate and wells - protect from runoff and flooding and keep surrounds clean.  | All phases                 | All Personnel                     | Weekly                                |
|   | GW1.2: Designated areas for storage of fuels, oils, chemicals or other hazardous liquids should have compacted impermeable bases and be surrounded by a bund to contain any spillage. Refueling to be undertaken in areas away from water systems. | Construction and operation | All Personnel                     | Weekly with reporting to UNDP and PMU |
|   | GW1.3: Check all vehicles, equipment and material storage areas daily for possible fuel, oil and chemical leaks. Undertake refueling at designated places away from water systems.   | All phases                 | All Personnel                     | Daily and maintain records            |
|   | GW 1.4: Minimize the use of herbicides, pesticides and other chemicals and use only biodegradable herbicides that have minimal impact on water quality and fauna. Use only as per directions   | All phases                 | Contractor Site Supervisor / UNDP | Monthly reporting to PMU and UNDP     |

## 6.6 TERRESTRIAL AND AQUATIC FLORA AND FAUNA

### 6.6.1 Background

122. The project areas vary in the type and quality of vegetation. The habitats range from mountainous ecosystems to wetlands. There are forested rangelands, river terraces, plains and clay pans, rivers and lakes. Many of the project areas are heavily disturbed and modified and therefore represent degraded habitat for terrestrial flora and fauna.

### 6.6.2 Performance Criteria

123. The following performance criteria are set for the construction of the projects:

- no clearance of vegetation outside of the designated clearing boundaries;
- no deleterious impacts on aquatic environments and terrestrial habitats;
- no introduction of new weed species as a result of construction activities; and
- no increase in existing weed proliferation within or outside of any project footprint as a result of construction activities.

### 6.6.3 Monitoring

124. A flora and fauna monitoring program will be implemented (Table 8).

125. Weed monitoring will be undertaken and appropriate action taken in the event of alien or noxious species being identified.

126. The delivery organization will, when undertaking works, compile a weekly report to UNDP outlining:

- any non-conformances to this ESMF;
- the areas that have been rehabilitated during the preceding week; and
- details of the corrective action undertaken.

### 6.6.4 Reporting

127. All flora and fauna monitoring results and/or incidents will be tabulated and reported as outlined in the ESMF. The UNDP must be notified in the event of any suspected instances of death to native fauna and where vegetation is detrimentally impacted.

Table 9 Flora and Fauna Management Measures

| Issue                                      | Control Activity (and Source)   | Action Timing                | Responsibility                      | Monitoring and Reporting           |
|--|---|------------------------------|-------------------------------------|------------------------------------|
| FF1. Habitat loss and disturbance of fauna | FF1.2: Minimize noise levels and lighting intrusion throughout construction and operation in the vicinity of any sensitive locations.             | During construction          | Construction Site Supervisor        | Daily and maintain records         |
|  | FF1.3: Ensure that all site personnel are made aware of any sensitive fauna/habitat areas and the requirements for the protection of these areas. | During construction          | Construction Site Supervisor        | Daily and maintain records         |
|  | FF1.4 Minimize disturbance to on-site fauna and recover and rescue any injured or orphaned fauna during construction and operation.               | During construction          | Construction Site Supervisor        | Daily and maintain records, report |
| FF2. Introduced flora and weed species     | FF2.1: Implement an ESCP to reduce the spread of weeds through erosion and sediment entering any waterways and therefore spreading.               | Pre and during construction  | Construction Site Supervisor        | Maintain records                   |
|  | FF2.2: Revegetate disturbed areas using native and locally endemic species that have high habitat value.  | During construction          | Construction Site Supervisor        | As required and maintain records   |
|  | FF2.3: Environmental weeds and noxious weeds within the project footprints shall be controlled.   | During and post construction | Construction Site Supervisor / UNDP | Maintain records                   |

## 6.7 SOCIAL MANAGEMENT AND POPULATION

### 6.7.1 Background

128. The Bakhtegan Basin has a population of 854,093 people. Communities within the Bakhtegan Basin, particularly in the rural areas, have strong social networks and support systems. However, the unfolding land and water crisis has had serious social impacts.

129. The loss of rural livelihoods, in particular through lack of water, environmental degradation and declining production, has directly resulted in migration to urban areas, loss of self-esteem, increased divorce rates, increased drug use and addiction and increased crime.

### 6.7.2 Performance Criteria

130. The following performance criteria are set for the project:

- the community has been consulted and project elements have been designed with their informed consultation and participation throughout the project development;
- all stakeholders are appropriately represented;
- avoid adverse impacts to local community during construction and operations and where not possible, minimize, restore or compensate for these impacts;
- cultural heritage is not adversely impacted;
- community health and safety is protected and overall well-being benefits derived from the project;
- complaint and grievance mechanisms are put in place and proactively managed; and
- long-term social benefits are achieved.

131. Local stakeholders and community members have a key role to play in the implementation and monitoring of the project.

132. Consultation with stakeholders will continue. This will help ensure that stakeholders continue to be aware of the project, its progress and any changes in the project. It will also assist in identifying any issues as they arise.

133. UNDP and PMU will be responsible for advisory support and extensions services to local beneficiaries along with being responsible for distributing material inputs and providing technical training and backstopping in the implementation of program activities.

### 6.7.3 Reporting

134. Records of all consultations are to be kept and reported on monthly basis.

135. The UNDP and PMU must be notified in the event of any individual or community complaint or dissatisfaction and ensure the Grievance Redress Mechanism is complied with.



Table 10 Social Management and Population Measures

| Issue  | Control activity (and source)   | Action timing               | Responsibility               | Monitoring & reporting                  |
|--|---|-----------------------------|------------------------------|---|
| SM1: Community Consultation  | SM1.1 Implement Stakeholder Engagement Plan   | All phases                  | PMU/UNDP                     | Maintain records                        |
|  | SM1.2 Include indigenous representation – include local governance mechanisms in consultation and decision making processes | All phases                  | PMU/UNDP                     | Maintain records                        |
|  | SM1.3: Ensure compliance with the Grievance Redress Mechanism process   | All phases                  | PMU/UNDP                     | Maintain records                        |
| SM2: Damage or disturbance to physical cultural resources during works                   | SM2.1: Should any physical cultural resources be discovered during works the WB Chance Finds Procedure is to be applied     | Pre and during construction | Construction Site Supervisor | During works and immediately notify PMU |
| SM3: Public nuisance caused by construction/operation activities (e.g. noise, dust etc.) | SM3.1: Carry out community consultation prior to undertaking activities   | Pre-construction            | PMU/UNDP                     | Maintain records                        |
|  | SM3.2: Implement appropriate management plans (refer to Noise, Air, ESCP, and Waste sections of the ESMF and ESMP)          | Construction and operation  | PMU/UNDP                     | Daily and maintain records              |
|  | SM3.3: Ensure compliance with the Grievance Redress Mechanism process   | All phases                  | PMU/UNDP                     | Maintain records                        |

## 6.8 LAND OWNERSHIP AND CUSTOMARY TENURE

136. No involuntary resettlement is proposed as part of the project.

### 6.8.1 Performance Criteria

137. The following performance criteria are set for the project:

- the community has been consulted and project elements have been designed with their informed consultation and participation throughout the project;
- all stakeholders are appropriately represented;
- land owners are dealt with openly and fairly
- complaint and grievance mechanisms are put in place and proactively managed; and
- long-term social benefits are achieved.

138. Consultation with stakeholders will continue. This will help ensure that stakeholders continue to be aware of the project, its progress and any changes in the project. It will also assist in identifying any issues as they arise.

139. The UNDP and PMU will be responsible for advisory support and extensions services to local beneficiaries along with being responsible for distributing material inputs and providing technical training and backstopping in the implementation of activities.

### 6.8.2 Reporting

140. Records of all consultations are to be kept and reported on monthly basis. Any land use agreements must be in writing.

141. The PMU and UNDP must be notified in the event of any individual or community complaint or dissatisfaction and ensure the Grievance Redress Mechanism is complied with.

Table 11 Social Management Measures

| Issue                                   | Control activity (and source)  | Action timing                           | Responsibility | Monitoring & reporting |
|---|--|---|----------------|------------------------|
| LO1: Ensure no impact on Land Ownership | LO1.1: There shall be no displacement or resettlement associated with project.   | Entire construction and operation phase | PMU/UNDP       | Maintain records       |
|   | LO1.2: Ensure all access is undertaken consistent with signed voluntary agreements   | Pre-construction                        | PMU/UNDP       | Maintain records       |
|   | LO1.3: All activities will be undertaken in full compliance with the Iran laws and AF Standards, with the most stringent requirements being complied with. | Entire construction and operation phase | PMU/UNDP       | Maintain records       |
|   | LO1.4: Ensure compliance with the Grievance Redress Mechanism process  | Entire construction and operation phase | PMU/UNDP       | Maintain records       |

## 6.9 GENDER

### 6.10 BACKGROUND

142. Women in the Iran face multiple barriers to equal opportunities and a life free from violence and coercion.

143. There is a risk of potentially reproducing discrimination against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits as women may be excluded from decision-making or not adequately participate in the design/implementation of the Project. As a result, they might have unequal access to resources and/ or access to opportunities and benefits. Mitigation measures described in this section aim to remove or minimise this risk.

144. A separate report on Gender has been prepared.

#### 6.10.1 Performance Criteria

145. The following performance criteria are set for the project:

- Increased opportunities and employment of women sector;
- Reduction in gender-based violence (zero target);
- Increased representation of women and vulnerable groups in decision making processes;
- long-term social benefits are achieved.

146. The PMU and UNDP will be responsible for advisory support and extensions services to local beneficiaries along with being responsible for distributing material inputs and providing technical training and backstopping in the implementation of activities.

#### 6.10.2 Reporting

147. Records of all consultations/reports/incidents are to be kept and reported on monthly basis.

148. The PMU and UNDP must be notified in the event of any individual or community report

Table 12 Gender Measures

| Issue                                      | Control activity (and source)   | Action timing | Responsibility | Monitoring & reporting |
|--|---|---------------|----------------|------------------------|
| GE1: Gender Equality and Women Empowerment | GE1.1: Incorporate 'equal employment opportunity' and in particular 'equal career progression' statements in sectoral strategies and policies | All phases    | PMU/UNDP       | Maintain records       |
|  | GE1.2: Raise the profile and visibility of women employed   | All phases    | DoE            | Maintain records       |
|  | GE1.3 Increase numbers of women in decision making positions within the maritime sector and related government agencies                       | All phases    | PMU/UNDP       | Maintain records       |
| GE2: Gender based violence                 | GE2.1: Raise community awareness  | All phases    | PMU/UNDP       | Maintain records       |

## 6.11 EMPLOYMENT, LABOR AND WORKING CONDITIONS

### 6.11.1 Background

149. The project has been designed with the assistance of stakeholders and aims to provide benefits to the broader community. Notwithstanding, as with any project, some dissatisfaction can occur, and conflicts may arise where individuals are unable to be provided employment. It is important that potential areas of tension are recognized early, and appropriate actions taken to avoid or minimize conflict

### 6.11.2 Performance Criteria

150. The following performance criteria are set for the MIMIP:

- ensure compliance with Iran labor and occupational health and safety laws, with obligations under international law, and consistency with the principles and standards embodied in the International Labor Organization fundamental conventions, including freedom of association, elimination of discrimination in employment and occupation, elimination of forced or compulsory labor and Good International Industry Practice with respect to labor and occupational health and safety, and
- ensure no forms of child labor
- where possible, local residents will be employed first for all activities;
- all employees and contractors will be paid equitably;
- where practicable, preference should be given to women for any employment;
- ensure workers' health and safety is protected and overall well-being benefits derived from the project;
- ensure workers are trained in occupational health and safety;
- ensure workers are provided appropriate personal protective equipment suitable for their duties; and
- complaint and grievance mechanisms are put in place and proactively managed

151. Local stakeholders and community members have a key role to play in the implementation and monitoring of the project and therefore preference should be given to them with respect to employment with respect to the relevant Codes.

152. Consultation with stakeholders will continue. This will help ensure that stakeholders continue to be aware of the project, its progress and any changes in the project. It will also assist in identifying any issues as they arise.

153. The PMU and UNDP will be responsible for advisory support and extensions services to local beneficiaries along with being responsible for distributing material inputs and providing technical training and backstopping in the implementation of activities.

### 6.11.3 Reporting

154. Records of all consultations are to be kept and reported on monthly basis.

155. The PMU and UNDP must be notified in the event of any individual or community complaint or dissatisfaction and ensure the Grievance Redress Mechanism is complied with.

Table 13 Social Management Measures

| Issue  | Control activity (and source)  | Action timing                           | Responsibility                             | Monitoring & reporting |
|--|--|---|--|------------------------|
| WC1: Poor Employment, Labor and Working Conditions | WC1.1: Ensure compliance with Iran labor and occupational health and safety laws and Good International Industry Practice with respect to labor and occupational health and safety   | Entire construction and operation phase | PMU, UNDP and Construction Site Supervisor | Maintain records       |
|  | WC1.2: Employ local residents and women first where practicable and where consistent with WB procurement protocols   | Entire construction and operation phase | PMU, UNDP and Contractor                   | Maintain records       |
|  | WC1.3: Ensure workers' health and safety is protected and overall well-being benefits derived from the project   | Entire construction and operation phase | Contractor / UNDP                          | Maintain records       |
|  | WC1.4: Ensure workers are trained in occupational health and safety in compliance with Iran laws and Good International Industry Practice. Prepare OHS plans and JSAs as appropriate | Entire construction and operation phase | Contractor                                 | Maintain records       |
|  | WC1.5: Ensure workers are provided appropriate personal protective equipment suitable for their duties   | Entire construction and operation phase | Construction Site Supervisor / UNDP        | Maintain records       |

## 6.12 WASTE MANAGEMENT

### 6.12.1 Background

156. The preferred waste management hierarchy and principles for achieving good waste management is as follows:

- waste avoidance (avoid using unnecessary material on the projects);
- waste re-use (re-use material and reduce disposing);
- waste recycling (recycle material such as cans, bottles, etc.); and
- waste disposal (all putrescible and/or contaminated waste to be dumped at approved landfills).

157. The key waste streams generated are likely to include:

- the excavation wastes during earthworks, maintenance of drains and sediment traps etc;
- wastes from equipment maintenance eg liquid hazardous wastes from cleaning, repairing and maintenance of engines. Likewise, leakage or spillage of fuels/oils within the site needs to be managed and disposed of appropriately;
- processing wastes
- non-hazardous liquid wastes will be generated through the use of workers' facilities such as toilets; and

158. Workers involved in construction and operational activities should be familiar with methods minimizing the impacts of their activities to minimize the footprint to that essential for the works. By doing these activities, the project should minimize the impact of waste generated by the project.

### 6.12.2 Performance Criteria

159. The following performance criteria are set for the construction of the projects:

- waste generation is minimized through the implementation of the waste hierarchy (avoidance, reduce, reuse, recycle);
- no litter will be observed within the project area or surrounds as a result of activities by site personnel;
- no complaints received regarding waste generation and management;
- any waste from on-site portable sanitary facilities will be sent off site for disposal by a waste licensed contractor; and
- waste oils will be collected and disposed or recycled off-site, local oil companies or shipped for recycling.

### 6.12.3 Monitoring

160. A waste management monitoring program has been developed for the projects (Table 14). The program is subject to review and update at least every two months from the date of issue.



#### 6.12.4 Reporting

161. The UNDP as implementing agency must be notified immediately in the event of any suspected instances of material or serious environmental harm, or if a determined level with respect to waste is exceeded.

Table 14 Waste Management Measures

| Issue  | Control activity (and source)   | Action timing               | Responsibility               | Monitoring & reporting      |
|--|---|-----------------------------|------------------------------|-----------------------------|
| WM1: Production of wastes and excessive use of resources | WM1.1: Preference shall be given to materials that can be used to construct the project that would reduce the direct and indirect waste generated.  | Pre and during construction | Construction Site Supervisor | Maintain records            |
|  | WM1.2: Daily waste practices shall be carried out unless these are delegated to the activities of external waste management bodies.   | During construction         | Construction Site Supervisor | Daily and maintain records  |
|  | WM1.3: The use of construction materials shall be optimized in terms of achieving sustainability and where possible a recycling policy adopted.   | During construction         | Construction Site Supervisor | Weekly and maintain records |
|  | WM1.4: Separate waste streams shall be maintained at all times into. “general domestic waste”, “construction waste” and “contaminated waste”. Specific areas on-site shall be designated for the temporary management of the various waste streams. | During construction         | Construction Site Supervisor | Weekly and maintain records |
|  | WM1.5: Recyclable waste (including oil and some construction waste) shall be collected separately and disposed of correctly.  | During construction         | Construction Site Supervisor | Weekly and maintain records |
|  | WM1.6: “General domestic waste” (particularly food waste) shall be sufficiently covered to ensure that wildlife does not have access.   | During construction         | Construction Site Supervisor | Daily                       |
|  | WT1.7: Fuel and lubricant leakages from vehicles and plant shall be immediately rectified   | During construction         | Construction Site Supervisor | Daily and maintain records  |

| Issue                                    | Control activity (and source)  | Action timing       | Responsibility                     | Monitoring & reporting      |
|--|--|---------------------|------------------------------------|-----------------------------|
| WM2:<br>Management and disposal of waste | WM2.1: Develop and implement a Waste Management Plan   | Pre-construction    | Construction Site Supervisor       | Maintain records            |
|  | WM2.2: Provide bins for use by both staff and visitors   | All phases          | Contractor                         | Weekly                      |
|  | WM2.3: Disposal of waste shall be carried out in accordance with Iran law  | During construction | Contractor                         | Weekly and maintain records |
|  | WM2.4: Any contaminated waste shall be disposed of at an approved facility.  | All phases          | Construction Site Supervisor / PMU | Weekly and maintain records |
|  | WM2.5: Fuel and lubricant leakages from vehicles and plant shall be immediately rectified.   | All phases          | Construction Site Supervisor / PMU | Daily and maintain records  |
| WM3: Asbestos                            | WM3.1: Where there is a risk of asbestos being present (e.g. lagging on pipes, building materials, insulation etc.), an assessment should be carried out by a qualified professional. All work in areas where there may be an asbestos risk is to stop until an assessment has been carried out. | Pre-construction    | UNDP / Contractor                  | Maintain records            |
|  | WM3.2: Asbestos management plan is to be prepared by a qualified person. Removal and disposal is to be undertaken as per plan, by suitably trained personnel.  | Pre-construction    | UNDP / Contractor                  | Maintain records            |
|  | WM3.3: Asbestos material is to be contained and disposed of off-island (WM3.2 is to identify approved disposal location)   | Construction        | Construction Site Supervisor       | Maintain records            |
| WM4:<br>Contaminated Waste               | WM4.1 Develop a Contaminated Waste Management Plan   | Pre-construction    | UNDP / Contractor                  | Maintain records            |

## 6.13 EMERGENCY MANAGEMENT MEASURES

### 6.13.1 Background

162. In the event of actions occurring, which may result in serious health, safety and environmental (catastrophic) damage, emergency response or contingency actions will be implemented as soon as possible to limit the extent of environmental damage.
163. The PMU will need to incorporate emergency responses into the project complying with the requirements under the Occupational, Health and Safety Policy of the delivery organization and the relevant Iran legislation.

### 6.13.2 Performance Criteria

164. The following performance criteria are set for the construction of the projects:
- no incident of fire outbreak;
  - no failure of water retaining structures;
  - no major chemical or fuel spills;
  - no preventable industrial or work-related accidents;
  - provide an immediate and effective response to incidents that represent a risk to public health, safety or the environment; and
  - minimize environmental harm due to unforeseen incidents.

### 6.13.3 Monitoring

165. An emergency response monitoring program has been developed for the projects (Table 15). The program is subject to review and update at least every six months from the date of issue. Importantly, visual inspections will be conducted by Contractor daily with reporting to UNDP/PMU staff on a weekly basis (minimum) noting any non-conformances to this ESMF.

### 6.13.4 Reporting

166. The PMU/UNDP must be notified immediately in the event of any emergency, including fire or health related matter including those that have resulted in serious environmental harm.

Table 15 Emergency Management Measures

| Issue   | Control activity (and source)  | Action timing                | Responsibility                      | Monitoring & reporting       |
|---|--|------------------------------|-------------------------------------|------------------------------|
| E1. Fire and Emergency management and prevention strategies implemented | E1.1: Develop an Emergency Response Plan.  | Pre-construction / Operation | UNDP / Construction Site Supervisor | Maintain records             |
|   | E1.2: All personnel to be familiar with and trained in the implementation of the Emergency Response Plan.                          | All phases                   | All personnel                       | Maintain records             |
|   | E1.3 Flammable and combustible liquids bunding/storage areas to be designed in accordance with appropriate international standards | All phases                   | Construction Site Supervisor        | Daily and maintain records   |
|   | E1.4: Fire extinguishers are to be available on site   | All phases                   | Construction Site Supervisor        | Daily and maintain records   |
|   | E1.5: No open fires are permitted within the project area  | All phases                   | All personnel                       | Daily                        |
|   | E1.6: Communication equipment and emergency protocols to be established prior to commencement of construction activities.          | Pre-construction             | Construction Site Supervisor        | Maintain records             |
|   | E1.7: Train all staff in emergency preparedness and response (cover health and safety at the work site).                           | Construction and Operation   | UNDP                                | Maintain records             |
|   | E1.8: HSE / First Aid officers to be designated and provided with appropriate training. Staff to be advised who they are.          | All phases                   | UNDP / Construction Site Supervisor | Maintain records             |
|   | E1.9: Check and replenish First Aid Kits   | Construction and Operation   | UNDP/ Construction Site Supervisor  | Monthly and maintain records |
|   | E1.10: Use of Personal Protection Equipment. Staff to be issued with appropriate PPE and trained in use                            | Construction and Operation   | Construction Site Supervisor        | Daily and maintain records   |

Appendix 1: Assessment Against AF ES Principles

| Principle                  | Component 1 - A data and information management system for decision support and communications is developed and implemented to support development of long-term climate resilience in the Bakhtegan basin | Component 2 - The resilience of communities in the Bakhtegan Basin is strengthened through implementation of climate smart agriculture and alternative livelihoods  | Component 3 - The resilience of the natural environment of the Bakhtegan Basin is strengthened   | Component 4: Institutional Capacity at the local, regional and national level is strengthened for improved governance and decision making in relation to climate risk management and effective implementation of adaptation measures                | Overall potential risk in the project |
|----------------------------|---|---|--|---|---------------------------------------|
| 1. Compliance with the Law | <p><u>Risk:</u> None<br/> <u>Evidence:</u> the project will comply with all regulation as stipulated by Iranian laws and the ESP.</p>   | <p><u>Risk:</u> Yes<br/> <u>Probability:</u> Low<br/> <u>Evidence:</u> proposed activities will require further screening as part of implementation to ensure that any proposed agricultural activities or livelihoods are permissible in the selected locations and to confirm whether any EIAs &amp;/or permits will be required before works commence.<br/> <u>Mitigation Measures:</u> the ESMF contains a 'negative list' to proclude activities that might have a 'high' risk.<br/> DoE is both the EA and a Responsible Party for delivery of all Outputs.<br/> DoE is responsible for the implementation of the ESMF as well as</p> | <p><u>Risk:</u> None<br/> <u>Evidence:</u> project will build on existing laws and the Fars provincial structures and also the existing management plan for the Bakhtegan Wetland that has already been defined by the DoE of Fars province.</p> | <p><u>Risk:</u> None<br/> <u>Evidence:</u> this component is focussed on providing information and capacity building to improve management and enhance compliance with laws and regulations. Of themselves, the activities do not trigger laws.</p> | Low                                   |

|                      |  |   |   |   |          |
|----------------------|--|---|---|---|----------|
|                      |  | compliance with relevant E&S laws.  |   |   |          |
| 2. Access and equity | <p><b>Risk:</b> Yes<br/> <b>Probability:</b> Low<br/> <b>Evidence:</b> fundamental issue within communities in the Bakhtegan Basin is a lack of in-depth awareness and ownership of the seriousness of climate change impacts. Risk is that information access is restricted or difficult to access.</p> <p><b>Mitigation measures:</b> The software selected software is open architecture platform and has been used extensively throughout the world. Output is focussed on education and capacity building of all stakeholders, but in particular focusing on training of trainers and building awareness and capacity of participating households, farmers and communities. There will be a communications programme aimed at wide dissemination of results from Component 1 throughout the Bakhtegan Basin</p> | <p><b>Risk:</b> Yes<br/> <b>Probability:</b> Moderate<br/> <b>Evidence:</b> Output has a focus on behaviour changes. Although already some households engaged in alternative livelihood activities, the extension of these practices is limited by access to knowledge and skills, access to finance and appropriate market information and expertise. This affects the ability of vulnerable groups to access opportunities to take up alternate livelihoods. There are anecdotal reports of both success and failures with the Rural Women's Trust Fund.</p> <p><b>Mitigation Measures</b><br/> Project activities will be designed to provide fair and equitable access to benefits in a manner that is inclusive. Activities will not exacerbate existing inequities, particularly with respect to marginalised or vulnerable groups.</p> | <p><b>Risk:</b> Yes<br/> <b>Probability:</b> Moderate<br/> <b>Evidence:</b> Communities are having to make use of areas outside those historically farmed or draw on diminishing water resources. The project seeks to rehabilitate/revegetate areas to increase the resilience of the Bakhtegan wetlands. Project activities could restrict availability and/or quality of, and access to, resources.</p> <p><b>Mitigation Measures:</b><br/> implement ESMF, SAP and GAP.<br/> Ensure consultation is extensive and potentially impacted groups targeted. Assess land use and value of ecosystem services and reliance upon them. Alternative livelihoods to be identified.</p> | <p><b>Risk:</b> Yes<br/> <b>Probability:</b> Low<br/> <b>Evidence:</b> There is no existing governance structure specifically for the Bakhtegan Basin, so representation and access to capacity building may not be equitable.</p> <p><b>Mitigation measures:</b> Implement SEP and GAP. Project to be broad in its focus and provision of information. Ensure training available to those that need it irrespective of gender or social status.<br/> Train-the-trainer to allow knowledge to be passed on.</p> | Moderate |

|                                       |   |  |   |   |          |
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| 3. Marginalized and vulnerable groups | <p><u>Risk:</u> yes<br/> <u>Probablility:</u> Low<br/> <u>Evidence:</u> Marginalised groups could potentially be excluded from fully participating in decisions that may affect them.<br/> <u>Mitigation Measures:</u> Implement stakeholder plan to provide inclusive consultation. Implement GAP.</p> | <p><u>Risk:</u> Yes<br/> <u>Probability:</u> Low<br/> <u>Evidence:</u> Exposure to opportunities reduces risk of exclusion. Farmers in Lake Urmia is evident as the framers now lead the farmer to farmer exchanges on knowledge and information, so process has become community owned.<br/> <u>Mitigation Measures:</u> Participatory approach (impement SEP and GAP). Sub-activities to be screened to identify risks to specific vulnerable groups and mitigate (ESMF). Target women entrepreneurs and women-headed households. Include a strong emphasis on supporting those in the most vulnerable communities, particularly in Zones 1 and 4.</p> | <p><u>Risk:</u> Yes<br/> <u>Probability:</u> Moderate<br/> <u>Evidence:</u> As noted above, project activities could restrict availability and/or quality of, and access to, resources – in particular, to marginalised individuals or groups.<br/> <u>Mitigation Measures:</u> Project to adopt a participatory approach. Implement SEP, GAP and ESMF.</p>                                     | <p><u>Risk:</u> Yes<br/> <u>Probability:</u> Moderate<br/> <u>Evidence:</u> Marginalised are not always represented, particularly as part of institutions eg there is no existing governance structure specifically for the Bakhtegan Basin. Therefore may be overlooked in training and other capacity building activities.<br/> <u>Mitigation Measures:</u> Output 4 will provide a comprehensive and inclusive approach to education and informing as many people as possible in the Bakhtegan Basin about the current situation, its causes, and the increasing role of climate change. Adopt multiple approaches and platforms, and will include education and capacity building of local communities, local authorities and provincial government. Implement SEP and GAP.</p> | Moderate |
| 4. Human Rights                       | <p><u>Risk:</u> None<br/> <u>Evidence:</u> Output will not impinge on any human rights.</p>   | <p><u>Risk:</u> None<br/> <u>Evidence:</u> Project will not force farmers to change or take up alternative livelihoods. A GRM is available to resolve any grievances</p>   | <p><u>Risk:</u> None<br/> <u>Evidence:</u> Project preparation and planned implementation process follows a human-rights based approach. In the face of climate change impacts and unsustainable land and water management and agricultural practices, the project supports the Iranian government's efforts to ensure access to sustainable livelihoods, water and productive land through</p> | <p><u>Risk:</u> Yes<br/> <u>Probability:</u> Low<br/> <u>Evidence:</u> not equal representation or exclusion from decision making<br/> <u>Mitigation Measures:</u> project will adopt a broad participatory approach<br/> A GRM is available to resolve any grievances</p>  | Low      |



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|  |  |  | integrated land and water resources management and restoration and conservation of critical ecosystems.<br>A GRM is available to resolve any grievances   |  |          |
| 5. Gender Equity and Women's Empowerment | <p><u>Risk:</u> Yes<br/><u>Probability:</u> Low<br/><u>Evidence:</u> Women may not be adequately represented in participation of planning and design of parameters.<br/><u>Mitigation measures:</u> GAP has been developed. Project will organize consultative participatory workshops for rural women to provide feedback</p> | <p><u>Risk:</u> Yes<br/><u>Probability:</u> Moderate<br/><u>Evidence:</u> The Project could potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits if not given adequate focus.<br/><u>Mitigation Measures:</u> Project will not maintain or exacerbate gender inequality or the consequences of gender inequality. The GAP will be implemented and targets will be to give women and men equal opportunities.</p> | <p><u>Risk:</u> Yes<br/><u>Probability:</u> Moderate<br/><u>Evidence:</u> The Project could potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities.<br/><u>Mitigation Measures:</u> it is recognised that such work needs to involve active engagement with and participation of local communities. The GAP will be implemented.</p> | <p><u>Risk:</u> yes<br/><u>Probability:</u> Moderate<br/><u>Evidence:</u> Women may not be adequately represented with regards to decision-making or participation in the design/implementation of the project's activities. As a result, they may have limited access to resources, opportunities and benefits.<br/><u>Mitigation Measures:</u> participatory approach, implement GAP, target women (including for train the trainer)</p> | Moderate |
| 6. Core Labour Rights                    | <p><u>Risk:</u> None<br/><u>Evidence:</u> This output does not impinge upon labour rights.</p>   | <p><u>Risk:</u> Yes<br/><u>Probability:</u> Low<br/><u>Evidence:</u> Farming and cottage industries can include child labour.<br/><u>Mitigation Measures:</u> The alternative livelihoods will be implemented based on the experiences and best practices generated by the UNDP all around the country in past 30 years</p>  | <p><u>Risk:</u> None<br/><u>Evidence:</u> Relevant labour laws will apply to the project.</p>   | <p><u>Risk:</u> None<br/><u>Evidence:</u> This output does not impinge upon labour rights.</p>   | Low      |

|                             |   |  |   |   |          |
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|                             |   | including GEF large scale projects and Iran Small Grants Programme. The project will promote employment through the support of micro-enterprises and promotion of alternate livelihoods. Improved agricultural practices should enable farmers to dedicate more time to productive farming. Relevant labour laws will apply to the project. The Project will also monitor carefully and enforce necessary measures so that there is no child labor involved in its activities. |   |   |          |
| 7. Indigenous Peoples       | <u>Risk:</u> None<br><u>Evidence:</u> No indigenous people have been identified in the project area   | <u>Risk:</u> None<br><u>Evidence:</u> No indigenous people have been identified in the project area  | <u>Risk:</u> None<br><u>Evidence:</u> No indigenous people have been identified in the project area   | <u>Risk:</u> None<br><u>Evidence:</u> No indigenous people have been identified in the project area | Low      |
| 8. Involuntary Resettlement | <u>Risk:</u> none<br><u>Evidence:</u> This component involves data collation, modelling, creation of decision making tool and community engagement. No relocation activities involved | <u>Risk:</u> None<br><u>Evidence:</u> some villages, and some households in villages, are already self-organising in terms of adopting alternative livelihood practices. Project will be improving farmer technical knowledge and capacity (CS agriculture practices) and providing alternate livelihoods. This output does not involve resettlement of people.  | <u>Risk:</u> Yes<br><u>Probability:</u> Moderate<br><u>Evidence:</u> There has been encroachment into natural areas and continued use may be incompatible with rehabilitation/restoration works.<br><u>Mitigation Measures:</u> wide consultation, community buy-in to WLUP, identification and education as to ecological service values to communities. | <u>Risk:</u> None<br><u>Evidence:</u> output requires no resettlement                               | Moderate |

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| 9. Protection of Natural Habitats        | <p><u>Risk:</u> none<br/> <u>Evidence:</u> Output is a data management/planning exercise. Will include mapping of natural areas.</p>   | <p><u>Risk:</u> Yes<br/> <u>Probability:</u> Low<br/> <u>Evidence:</u> Historically farmers have expanded into natural habitats to try to obtain sufficient harvest in an effort to compensate for resource shortages. Farmers are already shifting to alternative crops and/or expanding areas of lower water demanding crops. The risk of natural habitats being impinged upon remains.<br/> <u>Mitigation Measures:</u> project will extend existing alternative livelihood practices within the Bakhtegan Basin aimed at diversifying household incomes away from dependence on land based, water dependent activities.</p> | <p><u>Risk:</u> Yes<br/> <u>Probability:</u> Low<br/> <u>Evidence:</u> The Basin where the project is located is a sensitive area under duress, which is why the project has been formulated. Project activities aim to reduce existing (and future) pressures on the lake. So probability of activities occurring in sensitive area is high, but the degree of adverse impact is low. ESMF implementation will assist in avoiding impacts to sensitive areas.<br/> <u>Mitigation Measures:</u> implement ESMF</p> | <p><u>Risk:</u> None<br/> <u>Evidence:</u> Output does not take place in natural habitats.</p>    | Low |
| 10. Conservation of Biological Diversity | <p><u>Risk:</u> none<br/> <u>Evidence:</u> Modelling does not have any physical or social impacts per se, however its use can have so models need to be appropriate, calibrated and tested</p> | <p><u>Risk:</u> Yes<br/> <u>Probability:</u> Low<br/> <u>Evidence:</u> Ecological services utilised by communities. Some of these uses are incompatible with long-term survival of the ecosystems and maintenance of diversity. Alternate livelihoods to be developed.<br/> <u>Mitigation Measures:</u> The project will build on past efforts in the Kamjan Marshes, Bamou and</p>   | <p><u>Risk:</u> Yes<br/> <u>Probability:</u> Low<br/> <u>Evidence:</u> there is currently encroachment into natural habitats, this results in reduced diversity and ultimately degradation of those habitats. Mitigation Measures: develop WLUPs via participatory process. Undertake revegetation using appropriate species. Project will benefit from experiences from two GEF projects implemented in Iran:</p>   | <p><u>Risk:</u> None<br/> <u>Evidence:</u> output does not directly impact biological systems</p> | Low |

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|                    |  | <p>Bakhtegan National Parks, Margoun waterfall and Tang-e-Bostank protected areas and both Basiran and KouhSiahArsanjan hunting prohibited area with a strong emphasis on participatory engagement between the DOE other related authorities and local communities. Such an approach is essential to recover and maintain ecosystems services in the basin that will enhance climate resilience not only of the communities relying on these services but to the natural environment itself. Mapping and development of integrated land use plans will increase protection of natural areas. Assessment of sub-activities, as per ESMF, will identify risks further and reject any that have high risks.</p> | <p>Conservation of Iranian wetlands project and Conservation of Zagros mountains landscape. The common feature of the two project is the participatory platform provided for effective participation of stakeholders relating to both forest/rangeland and wetlands ecosystems. Assess sub-activities as per ESMF.</p>    |  |     |
| 11. Climate Change | <p><u>Risk:</u> None<br/><u>Evidence:</u> Output does not include any activities that have potential to impact or be impacted by climate change.</p> | <p><u>Risk:</u> Yes<br/><u>Probability:</u> Low<br/><u>Evidence:</u> The project is aiming to increase resilience of communities to climate change, however, the basin is already significantly impacted by both anthropogenic and climate impacts.</p>  | <p><u>Risk:</u> None<br/><u>Evidence:</u> Project activities will not result in any significant or unjustified increase in GHG emissions or other drivers of climate change. The project's designed activities directly support implementation of ecosystem-based adaptation, including climate-smart agriculture and</p> | <p><u>Risk:</u> None<br/><u>Evidence:</u> historically there has been a silo-based approach by government departments to climate change. This joint AF proposal demonstrates a change and a willingness to collaborate. Capacity building activities will not directly contribute to climate change.</p> | Low |

|   |   |   |   |   |                 |
|---|---|---|---|---|-----------------|
|   |   | <p><u>Mitigation Measures:</u> introduction of climate smart practices. Shift of livelihoods to non-land/water based activities (note, these need to be assessed prior to implementation to ensure that maladaptation is avoided)</p>   | <p>sustainable land management in agro-ecological landscapes. Such actions include</p>  |   |                 |
| <p>12. Pollution Prevention and Resource Efficiency</p> | <p><u>Risk:</u> None<br/><u>Evidence:</u> Existing systems will be utilised, including data collection, software and media. Their use will not result in pollution or excessive energy usage. Nor will consultation or information dissemination.</p> | <p><u>Risk:</u> Yes<br/><u>Probability:</u> Moderate<br/><u>Evidence:</u> Prolonged intensive use of groundwater has resulted in salinisation of wells. Alternative livelihoods could produce waste streams that currently do not exist in the region eg dairy waste, processing and packaging by-products, dyes and fabric waste etc.<br/><u>Mitigation Measures:</u> Project activities will be designed and implemented in a way that meets applicable international standards for maximising energy efficiency and minimising material resource use, the production of wastes, and the release of pollutants. Project interventions are not expected to produce any significant amounts of waste or other pollutants. Any potential opportunities</p> | <p><u>Risk:</u> None<br/><u>Evidence:</u> Output does not involve polluting activities or energy use. Water demands will be slight (some watering of seedlings may be required)</p> | <p><u>Risk:</u> None<br/><u>Evidence:</u> No polluting activities occur as a result of Output 4. However, improved capacity and collaboration should lead to better resource utilisation.</p> | <p>Moderate</p> |

|                                    |   |   |   |   |          |
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|                                    |   | identified for improved resource efficiency and pollution reduction during the project development phase will be captured in the project design. Implement ESMF, including screening of sub-activities and undertaking EIAs if required.  |   |   |          |
| 13, Public Health                  | <u>Risk:</u> None<br><u>Evidence:</u> no activities that have health risks associated with them proposed. | <u>Risk:</u> Yes<br><u>Probability:</u> Moderate<br><u>Evidence:</u> Livelihood activities include manual labour, machinery, transport, some chemicals etc. These have OHS risks associated with them.<br><u>Mitigation Measures:</u> Screen all sub-activities as per ESMF and undertake EIA if required. Implement good industry practices and OHS practices. Compliance with relevant laws | <u>Risk:</u> Yes<br><u>Probability:</u> Moderate<br><u>Evidence:</u> Small-scale soil conservation/reforestation activities proposed. These activities involve manual labour and potentially some machinery, so could pose some safety risks to workers implementing them.<br><u>Mitigation Measures:</u> Screen all sub-activities as per ESMF and undertake EIA if required. Implement good industry practices and OHS practices. Compliance with relevant laws | <u>Risk:</u> None<br><u>Evidence:</u> Output focussed on training and capacity building - no activities that have health risks associated with them proposed. | Moderate |
| 14. Physical and Cultural Heritage | <u>Risk:</u> None<br><u>Evidence:</u> Output is a data management/planning exercise.                      | <u>Risk:</u> Yes<br><u>Probability:</u> Low<br><u>Evidence:</u> Farming already occurring and CS techniques would be applied to existing areas of farming. Alternative livelihoods generally small scale  | <u>Risk:</u> Low<br><u>Evidence:</u> Project seeks to restore/rehabilitate areas. Risk primarily associated with access and any minor earthworks that may be required.<br><u>Mitigation Measures:</u> Consult with local communities re:  | <u>Risk:</u> None<br><u>Evidence:</u> Output has no activities that could impact on PCH   | Low      |

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|                                |  | <p>footprint and non-site specific, so can avoid any PCH.</p> <p><u>Mitigation Measures:</u><br/>Project activities will be designed so as to avoid the damage to, or removal of, any physical cultural resources, cultural sites, and sites with unique natural values recognized as such at the community, national or international level.</p>  | <p>potential for PCH. Screen all sub-activities. Design to avoid impacts to any PCH. Develop a Chance Finds procedure.</p>   |  |          |
| 15. Land and Soil Conservation | <p><u>Risk:</u> None<br/><u>Evidence:</u> Output does not include any physical activities that could impact land and soil conservation</p> | <p><u>Risk:</u> Yes<br/><u>Probability:</u> Moderate<br/><u>Evidence:</u> Output will continue to promote farming (physical use of land). There is on-going encroachment into rangeland and forested areas for fruit production and other activities.<br/><u>Mitigation Measures:</u> introduction of WLUPs. Increase CS agriculture practices (including soil and water conservation techniques) and reduce pressure through diversity of livelihoods. Activities that have a physical impact on land should be screened and subjected to the ESMF.</p> | <p><u>Risk:</u> Yes<br/><u>Probability:</u> Low<br/><u>Evidence:</u> Output involves activities that include the physical disturbance of soils (reforestation and water conservation structures). Without proper design and implementation, such activities can result in erosion and sedimentation.<br/><u>Mitigation Measures:</u> rehabilitation and restoration of forests and rangelands, improved protection for reserves and National Parks (in particular wetlands) it is expected that the project will support soil conservation. Implementation of ESMF will minimise impacts. The adaptive water management activities may involve construction of embankments and check</p> | <p><u>Risk:</u> None<br/><u>Evidence:</u> Output 4 is focussed on training, capacity building, informing people and informed decision making. These activities have no direct impact on land and soil consultation. However, improved decision making can have considerable positive impact.</p> | Moderate |

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|  |  |  | dams; contouring, strip cropping, that will imply some earth works. To avoid any adverse effects on soil conditions, the project will ensure compliance with environmental impact assessment procedures of DOE. In addition, the project will follow technical guidance developed by previous projects in the Bakhtegan Basin. |  |  |
|--|--|--|--|--|--|



## Appendix 2: UNDP Social and Environmental Screening

### Project Information

| <b>Project Information</b>             |   |
|--|---|
| 1. Project Title                       | Adaptation of Communities for the Bakhtegan Basin in Iran |
| 2. Project Number                      |   |
| 3. Location<br>(Global/Region/Country) | Iran  |

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

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

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

The Bakhtegan Basin is located in the northeast of Fars Province in the south of Iran and is home to 854,093 people. It is the heart of Persian civilization and culture, with the ruins of Persepolis and other important archaeological sites located within the basin. The basin's hydrological system is collapsing, resulting already in a situation that is an environmental, social and economic disaster. The social costs of the drying of the Bakhtegan Basin are already manifesting. Migration is an important issue. In parts of Kharimeh, in the lower part of the basin, 100 percent of jobs have been destroyed. Social cohesion has been lost, with displaced farmers and their families moving to urban fringe areas where they no longer have their self-respect.

The Project preparation and planned implementation process follows a human-rights based approach. In the face of climate change impacts and unsustainable land and water management and agricultural practices, the project supports the Iranian government's efforts to ensure access to sustainable livelihoods, water and productive land through integrated land and water resources management and restoration and conservation of critical ecosystems.

The project will directly benefit families who are especially vulnerable to the impacts of climate change, through the design and implementation of concrete adaptation measures for more efficient agricultural practices and use of water resources, along with diversification of livelihoods. Providing families with alternatives and improving community economic bases will also help reduce the migration of rural communities to urban fringe and the associated increase in crime, divorce, violence and drug use.

The main opportunity for this project therefore is to provide a foundation for building resilience to climate change in the basin through a holistic, integrated, watershed management approach. To achieve this will require a completely different way of thinking and acting, with a shift in thinking required from the current mind-set of high water dependence and use to the already new reality of a dryland environment with water scarcity. This can only be achieved through a process of participatory engagement with both the immediately affected vulnerable communities and those who are less vulnerable but are practising unsustainable water and land use and management practices to the detriment of all.

Potential project-related concerns and/or grievances of local communities will be addressed through a complaint's register along with a Grievance Redress Mechanism consistent with the UNDP's Stakeholder Response Mechanism: Overview and Guidance (2014). The Grievance Redress Mechanism will be designed in consideration of the specific local context and draws on existing processes and procedures for the resolution of complaints and grievances

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

Communities within the Bakhtegan Basin, particularly in the rural areas, have strong social networks and support systems. However, the unfolding land and water crisis has had serious social impacts. The loss of rural livelihoods, in particular through lack of water, environmental degradation and declining production, has directly resulted in migration to urban areas, loss of self-esteem, increased divorce rates, increased drug use and addition and increased crime.

The project is designed to build on and enhance these existing social structures and initiatives and therefore has a strong foundation to work from to ensure the social sustainability of project outcomes. This will be achieved in two key ways. Firstly, the strong focus on education and capacity building in a participatory manner which builds long-term ownership will directly strengthen the social sustainability of participating individuals and communities. Secondly, the communication of project results widely to all people

throughout the Bakhtegan Basin combined with an emphasis on sharing stories and fostering constructive dialogue between communities in different parts of the basin will provide enduring social benefits to the whole population.

Consultation workshops have been held within the Bakhtegan Basin, along with visits to potential project sites and villages. In each workshop there was an introductory presentation on the project followed by an overview from the local governor, and then a facilitated process with participants to identify issues and needs. The needs of women were specifically identified in the workshops. This included an extended discussion in the Estabhan workshop on the Rural Women's Trust Fund, which is a mechanism for support women who are seeking to develop alternative livelihood practices. One of the main foci of this fund is gender equity, with the goal of empowering women. This discussion highlighted the fact that this fund has had successes and failures and that the project needs to learn from these lessons to ensure that it works effectively.

To ensure that the project does not exclude women, or increases the inequality gap, a gender analysis will be undertaken in the first phase of the project to assess divisions of labor and women's role and access to resources and to develop recommendations on how project will promote women's equality and empowerment, including participation in project decision-making. Measures will ensure that women receive an equitable share of benefits and that their status and interests are not marginalized.

Female representation in project decision-making bodies will be ensured. Participatory processes will include specially designed methodologies that enhance the participation of women and therefore enhance the inclusion of their views into the activities of the project, using existing mechanisms for representing women's views, such as the Rural Womens's Trust Fund and other women's associations.

For monitoring, disaggregated and measurable data related to gender equality and empowerment of women will be incorporated. Furthermore, when possible, measures and techniques that can have a positive impact by closing the gap of inequality between men and women will be promoted.

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

The current crisis in the Bakhtegan Basin is first and foremost an environmental crisis. The environmental issues in the basin are large, widespread and complex. This project cannot address them all and it cannot undo the progressive, and rapid, changes that have arisen since the 1960s that have resulted in the drying of the Bakhtegan Wetland and is now threatening the whole hydrological system of the basin.

The project has therefore been carefully designed to encompass what can be realistically achieved and sustained within a climate change adaptation context. Specifically, it is deliberately focused on the current dryland environment that is now prevailing. The rationale for this approach is that even if there is a climate shift in coming years towards wetter than average conditions which ease the situation, there will have been a significant raising of awareness and implementation of actions that are designed to conserve water and protect and enhance the environment. These actions will be supported by the strengthened institutional and technical capabilities which have been summarised above.

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

| <p><b>QUESTION 2: What are the Potential Social and Environmental Risks?</b><br/> <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i></p> | <p><b>QUESTION 3: What is the level of significance of the potential social and environmental risks?</b><br/> <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i></p> |  |                        | <p><b>QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?</b></p> |
|---|---|--|------------------------|--|
| <p><b>Risk Description</b></p>  | <p><b>Impact and Probability (1-5)</b></p>  | <p><b>Significance (Low, Moderate, High)</b></p> | <p><b>Comments</b></p> | <p><b>Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.</b></p>      |
| <p>Risk 1: There a risk that duty-bearers do not have the capacity to meet their obligations in the Project</p>   | <p>I = 3<br/>P = 3</p>  | <p><b>Mod</b></p>                                |                        | <p>Capacity building will be undertaken</p>  |
| <p>Risk 2: The Project could potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits if not given adequate focus.</p>  | <p>I = 3<br/>P = 1</p>  | <p><b>Low</b></p>                                |                        | <p>The project will focus on having appropriate participation and involvement of women. Implement ESMF and Gender Action Plan.</p>   |

|   |                |            |  |   |
|---|----------------|------------|--|---|
| Risk 3: Project activities are proposed within or adjacent to critical habitats and/or environmentally sensitive areas. | I = 1<br>P = 4 | <b>Low</b> | The Basin where the project is located is a sensitive area under duress, which is why the project has been formulated. | Project activities aim to reduce existing (and future) pressures on the lake. So probability of activities occurring in sensitive area high (4) but degree of adverse impact low (1). ESMF implementation will assist in avoiding impacts to sensitive areas.   |
| Risk 4: the Project involve harvesting of natural forests, plantation development, or reforestation                     | I = 2<br>P = 4 | <b>Mod</b> |  | Severely degraded habitats are to be revegetated.   |
| Risk 5: The potential outcomes of the Project could be sensitive or vulnerable to potential impacts of climate change   | I = 2<br>P = 3 | <b>Mod</b> |  | The project is aiming to increase resilience of communities to climate change, however, the basin is already significantly impacted by both anthropogenic and climate impacts. The shift of livelihoods, particularly agricultural practices, will go a long way to increasing resilience, but none the less some risk of continuing climate change impacts exists. |
| [add additional rows as needed]   |                |            |  |   |
| <b>QUESTION 4: What is the overall Project risk categorization?</b>   |                |            |  |   |
| <b>Select one (see <a href="#">SESP</a> for guidance)</b>   |                |            |  | <b>Comments</b>   |
| <i>Low Risk</i> <input type="checkbox"/>  |                |            |  |   |
| <i>Moderate Risk</i> <input checked="" type="checkbox"/>  |                |            |  |   |
| <i>High Risk</i> <input type="checkbox"/>   |                |            |  |   |
| <b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</b>    |                |            |  |   |
| <b>Check all that apply</b>   |                |            |  | <b>Comments</b>   |
| <i>Principle 1: Human Rights</i> <input checked="" type="checkbox"/>  |                |            |  |   |
| <i>Principle 2: Gender Equality and Women's Empowerment</i> <input checked="" type="checkbox"/>                         |                |            |  |   |

|  |   |                          |  |
|--|---|--------------------------|--|
|  | <b>Principle 3: Environmental Sustainability</b>                    | X                        |  |
|  | <b>1. Biodiversity Conservation and Natural Resource Management</b> | X                        |  |
|  | <b>2. Climate Change Mitigation and Adaptation</b>                  | X                        |  |
|  | <b>3. Community Health, Safety and Working Conditions</b>           | <input type="checkbox"/> |  |
|  | <b>4. Cultural Heritage</b>   | <input type="checkbox"/> |  |
|  | <b>5. Displacement and Resettlement</b>                             | <input type="checkbox"/> |  |
|  | <b>6. Indigenous Peoples</b>  | <input type="checkbox"/> |  |
|  | <b>7. Pollution Prevention and Resource Efficiency</b>              | <input type="checkbox"/> |  |

### Final Sign Off

| <b>Signature</b> | <b>Date</b> | <b>Description</b>  |
|------------------|-------------|---|
| QA Assessor      |             | UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have “checked” to ensure that the SESP is adequately conducted.  |
| QA Approver      |             | UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have “cleared” the SESP prior to submittal to the PAC. |
| PAC Chair        |             | UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.  |

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

| <b>Checklist Potential Social and Environmental Risks</b>   |  |                        |
|---|--|------------------------|
| <b>Principles 1: Human Rights</b>                           |  | <b>Answer (Yes/No)</b> |
| 1.  | Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?                                | No                     |
| 2.  | Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? <sup>5</sup> | No                     |
| 3.  | Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?  | No                     |
| 4.  | Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?                                     | No                     |
| 5.  | Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?   | Yes                    |
| 6.  | Is there a risk that rights-holders do not have the capacity to claim their rights?  | No                     |
| 7.  | Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?  | No                     |
| 8.  | Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?   | No                     |
| <b>Principle 2: Gender Equality and Women's Empowerment</b> |  |                        |
| 1.  | Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?   | No                     |
| 2.  | Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?                                | Yes                    |
| 3.  | Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?             | No                     |
| 4.  | Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services?           | No                     |

<sup>5</sup> Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

|   |     |
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| <p><i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i></p>   |     |
| <p><b>Principle 3: Environmental Sustainability:</b> Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below</p>   |     |
| <p><b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b></p>   |     |
| <p>1.1 Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?<br/><br/><i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i></p>  | No  |
| <p>1.2 Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?</p>  | Yes |
| <p>1.3 Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)</p>   | No  |
| <p>1.4 Would Project activities pose risks to endangered species?</p>   | No  |
| <p>1.5 Would the Project pose a risk of introducing invasive alien species?</p>   | No  |
| <p>1.6 Does the Project involve harvesting of natural forests, plantation development, or reforestation?</p>  | Yes |
| <p>1.7 Does the Project involve the production and/or harvesting of fish populations or other aquatic species?</p>  | No  |
| <p>1.8 Does the Project involve significant extraction, diversion or containment of surface or ground water?<br/><br/><i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i></p>  | No  |
| <p>1.9 Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)</p>   | No  |
| <p>1.10 Would the Project generate potential adverse transboundary or global environmental concerns?</p>  | No  |
| <p>1.11 Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area?<br/><br/><i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the</i></p> | No  |



|   |   |     |
|---|---|-----|
| <i>same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i> |   |     |
| <b>Standard 2: Climate Change Mitigation and Adaptation</b>   |   |     |
| 2.1   | Will the proposed Project result in significant <sup>6</sup> greenhouse gas emissions or may exacerbate climate change?   | No  |
| 2.2   | Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?  | Yes |
| 2.3   | Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)?<br><i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i> | No  |
| <b>Standard 3: Community Health, Safety and Working Conditions</b>  |   |     |
| 3.1   | Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?   | No  |
| 3.2   | Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?   | No  |
| 3.3   | Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?  | No  |
| 3.4   | Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)   | No  |
| 3.5   | Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?   | No  |
| 3.6   | Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?  | No  |
| 3.7   | Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?   | No  |
| 3.8   | Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?  | No  |
| 3.9   | Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?   | No  |
| <b>Standard 4: Cultural Heritage</b>  |   |     |
| 4.1   | Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or   | No  |

<sup>6</sup> In regards to CO<sub>2</sub>, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

|  |   |    |
|--|---|----|
|  | religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)   |    |
| 4.2  | Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?  | No |
| <b>Standard 5: Displacement and Resettlement</b> |   |    |
| 5.1  | Would the Project potentially involve temporary or permanent and full or partial physical displacement?   | No |
| 5.2  | Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?  | No |
| 5.3  | Is there a risk that the Project would lead to forced evictions? <sup>7</sup>   | No |
| 5.4  | Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?  | No |
| <b>Standard 6: Indigenous Peoples</b>            |   |    |
| 6.1  | Are indigenous peoples present in the Project area (including Project area of influence)?   | No |
| 6.2  | Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?  | No |
| 6.3  | Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?<br><i>If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i> | No |
| 6.4  | Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?  | No |
| 6.5  | Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?  | No |
| 6.6  | Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?   | No |
| 6.7  | Would the Project adversely affect the development priorities of indigenous peoples as defined by them?   | No |

<sup>7</sup> Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

|   |   |    |
|---|---|----|
| 6.8   | Would the Project potentially affect the physical and cultural survival of indigenous peoples?  | No |
| 6.9   | Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?  | No |
| <b>Standard 7: Pollution Prevention and Resource Efficiency</b> |   |    |
| 7.1   | Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?  | No |
| 7.2   | Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?  | No |
| 7.3   | Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs?<br><i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i> | No |
| 7.4   | Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?   | No |
| 7.5   | Does the Project include activities that require significant consumption of raw materials, energy, and/or water?  | No |

## APPENDIX 3 GUIDANCE FOR SUBMITTING A REQUEST TO THE SOCIAL AND ENVIRONMENTAL COMPLIANCE UNIT (SECU) AND/OR THE STAKEHOLDER RESPONSE MECHANISM (SRM)

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### Guidance for Submitting a Request to the Social and Environmental Compliance Unit (SECU) and/or the Stakeholder Response Mechanism (SRM)

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#### **Purpose of this form**

- **If you use this form, please put your answers in bold writing to distinguish text**
- **The use of this form is recommended, but not required. It can also serve as a guide when drafting a request.**

This form is intended to assist in:

- (1) Submitting a request when you believe UNDP is not complying with its social or environmental policies or commitments and you are believed you are being harmed as a result. This request could initiate a 'compliance review', which is an independent investigation conducted by the Social and Environmental Compliance Unit (SECU), within UNDP's Office of Audit and Investigations, to determine if UNDP policies or commitments have been violated and to identify measures to address these violations. SECU would interact with you during the compliance review to determine the facts of the situation. You would be kept informed about the results of the compliance review.

and/or

- (2) Submitting a request for UNDP "Stakeholder Response" when you believe a UNDP project is having or may have an adverse social or environmental impact on you and you would like to initiate a process that brings together affected communities and other stakeholders (e.g., government representatives, UNDP, etc.) to jointly address your concerns. This Stakeholder Response process would be led by the UNDP Country Office or facilitated through UNDP headquarters. UNDP staff would communicate and interact with you as part of the response, both for fact-finding and for developing solutions. Other project stakeholders may also be involved if needed.

Please note that if you have not already made an effort to resolve your concern by communicating directly with the government representatives and UNDP staff responsible for this project, you should do so before making a request to UNDP's Stakeholder Response Mechanism.

**Confidentiality** If you choose the Compliance Review process, you may keep your identity confidential (known only to the Compliance Review team). If you choose the Stakeholder Response Mechanism, you can choose to keep your identity confidential during the initial eligibility screening and assessment of your case. If your request is eligible and the assessment indicates that a response is appropriate, UNDP staff will discuss the proposed response with you, and will also discuss whether and how to maintain confidentiality of your identity.

### Guidance

When submitting a request please provide as much information as possible. If you accidentally email an incomplete form, or have additional information you would like to provide, simply send a follow-up email explaining any changes.

### Information about You

Are you...

1. A person affected by a UNDP-supported project?

Mark "X" next to the answer that applies to you: Yes: No:

2. An authorized representative of an affected person or group?

Mark "X" next to the answer that applies to you: Yes: No:

*If you are an authorized representative, please provide the names of all the people whom you are representing, and documentation of their authorization for you to act on their behalf, by attaching one or more files to this form.*

3. First name:

4. Last name:

5. Any other identifying information:

6. Mailing address:

7. Email address:

8. Telephone Number (with country code):

9. Your address/location:

10. Nearest city or town:

11. Any additional instructions on how to contact you:

12. Country:

### What you are seeking from UNDP: Compliance Review and/or Stakeholder Response

You have four options:

- Submit a request for a Compliance Review;
  - Submit a request for a Stakeholder Response;
  - Submit a request for both a Compliance Review and a Stakeholder Response;
  - State that you are unsure whether you would like Compliance Review or Stakeholder Response and that you desire both entities to review your case.
13. Are you concerned that UNDP's failure to meet a UNDP social and/or environmental policy or commitment is haWHEREng, or could harm, you or your community? Mark "X" next to the answer that applies to you: Yes: No:

14. Would you like your name(s) to remain confidential throughout the Compliance Review process?

Mark "X" next to the answer that applies to you:            Yes:            No:

If confidentiality is requested, please state why:

15. Would you like to work with other stakeholders, e.g., the government, UNDP, etc. to jointly resolve a concern about social or environmental impacts or risks you believe you are experiencing because of a UNDP project?

Mark "X" next to the answer that applies to you:            Yes:            No:

16. Would you like your name(s) to remain confidential during the initial assessment of your request for a response?

Mark "X" next to the answer that applies to you:            Yes:            No:

If confidentiality is requested, please state why:

17. Requests for Stakeholder Response will be handled through UNDP Country Offices unless you indicate that you would like your request to be handled through UNDP Headquarters. Would you like UNDP Headquarters to handle your request?

Mark "X" next to the answer that applies to you:            Yes:            No:

If you have indicated yes, please indicate why your request should be handled through UNDP Headquarters:

18. Are you seeking both Compliance Review and Stakeholder Response?

Mark "X" next to the answer that applies to you:            Yes:            No:

19. Are you unsure whether you would like to request a Compliance Review or a Stakeholder Response? Mark "X" next to the answer that applies to you:            Yes:            No:

**Information about the UNDP Project you are concerned about, and the nature of your concern:**

20. Which UNDP-supported project are you concerned about? (if known):

21. Project name (if known):

22. Please provide a short description of your concerns about the project. If you have concerns about UNDP's failure to comply with its social or environmental policies and commitments, and can identify these policies and commitments, please do (not required). Please describe, as well, the types of environmental and social impacts that may occur, or have occurred, as a result. If more space is required, please attach any documents. You may write in any language you choose

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23. Have you discussed your concerns with the government representatives and UNDP staff responsible for this project? Non-governmental organisations?

Mark "X" next to the answer that applies to you:            Yes:            No:

If you answered yes, please provide the name(s) of those you have discussed your concerns with

Name of Officials You have Already Contacted Regarding this Issue:

| First Name | Last Name | Title/Affiliation | Estimated Date of Contact | Response from the Individual |
|------------|-----------|-------------------|---------------------------|------------------------------|
|------------|-----------|-------------------|---------------------------|------------------------------|

24. Are there other individuals or groups that are adversely affected by the project?

Mark "X" next to the answer that applies to you:            Yes:            No:

25. Please provide the names and/or description of other individuals or groups that support the request:

| First Name | Last Name | Title/Affiliation | Contact Information |
|------------|-----------|-------------------|---------------------|
|------------|-----------|-------------------|---------------------|

Please attach to your email any documents you wish to send to SECU and/or the SRM. If all of your attachments do not fit in one email, please feel free to send multiple emails.

Submission and Support

To submit your request, or if you need assistance please email: [project.concerns@undp.org](mailto:project.concerns@undp.org)