

## КОНФЕРЕНЦИЯ СТОРОН

### Седьмая сессия

21-23 сентября 2026 года, Тегеран, Исламская Республика Иран

### Проект «Решение проблемы морского мусора и морского пластика - системный подход в Каспийском море»

(Записка временного Секретариата<sup>1</sup>)

В ходе Пятой сессии Конференции Сторон (КС-5) Рамочной конвенции по защите морской среды Каспийского моря (Тегеранской конвенции, ТК), которая состоялась 28-30 мая 2014 года в Ашхабаде, Туркменистан, Стороны «приветствовали участие соответствующих международных организаций и представителей частного сектора, в том числе нефтяной и газовой промышленности, морских транспортных компаний, и призвали продолжить поддержку реализации Тегеранской конвенции и протоколов к ней», а также «призвали всех доноров рассмотреть, продолжить, возобновить или увеличить на двухсторонней или многосторонней основе свою поддержку процессу реализации положений Тегеранской конвенции и протоколов к ней».

Концептуальная записка, разработанная ПРООН и ЮНЕП «Решение проблемы морского мусора и морского пластика - системный подход в Каспийском море», была предоставлена странам в течение 2020 года. Страны-получатели прокомментировали описательную часть концептуальной записки, и полученные комментарии были учтены. Со всеми странами-участницами были проведены дополнительные консультации для обеспечения соответствия региональным и национальным приоритетам. Эти консультации дали возможность прикаспийским государствам поделиться своими взглядами и предложить индивидуальные подходы к реализации. На основе рекомендаций, полученных в ходе этих консультаций, концептуальная записка была доработана с учетом мнения всех участвующих сторон.

Письмом от 10 марта 2021 года, направленным в Постоянное представительство Российской Федерации при международных организациях в Найроби и подписанным г-ном Бруно Поцци, занимавшим в то время должность директора Европейского офиса ЮНЕП, и г-жой Аги Верес, в то время заместителем помощника администратора, заместителем регионального директора Регионального бюро по Европе и СНГ ПРООН, концептуальная записка проекта вместе с письмами одобрения от стран-получателей были представлены для возможного финансирования Российской Федерацией в рамках Официальной помощи развитию. Письмо содержится в Приложении I.

25 декабря 2021 года постановлением Председателя Правительства Российской Федерации Михаила Мишустина было утверждено финансирование из федерального бюджета в размере 4 039 200 долларов США на реализацию совместного проекта ПРООН, ЮНЕП и Тегеранской конвенции «Решение проблемы морского мусора и морского пластика - системный подход в Каспийском море». Постановление приводится в Приложении II.

<sup>1</sup> До формирования постоянного Секретариата и его размещения в Каспийском регионе функции Секретариата осуществляются на временной основе Программой ООН по окружающей среде (ЮНЕП) через её Европейское отделение

В ходе Шестой сессии Конференции Сторон (КС-6) Тегеранской конвенции, состоявшейся 19–21 октября 2022 года в Баку, Азербайджан, Стороны приветствовали разработку и утверждение проекта «Решение проблемы морского мусора и морского пластика - системный подход в Каспийском море» при поддержке Российской Федерации в рамках Официальной помощи развитию.

12 ноября 2024 года временный Секретариат Тегеранской конвенции (ВСТК) объявил об успешном завершении начального этапа проекта. В ходе начальной фазы были проведены дальнейшие уточнения проектных мероприятий для более полного соответствия национальным приоритетам и имеющимся ресурсам. В письме подчёркивается, что полномасштабный проект разработан и готов к началу реализации. Проектная документация представлена в Приложении III.

Проект направлен на предотвращение и уменьшение количества морского мусора в Каспийском море, с особым акцентом на морской пластик, а также на улучшение управления наземными источниками загрязнения, которые влияют на морскую среду. Это будет достигнуто за счет мероприятий, связанных и структурированных по шести ключевым компонентам, каждый из которых направлен на решение одного из важнейших аспектов управления отходами и морским мусором в Каспийском регионе:

1. Сбор и оценка данных о морском мусоре в Каспийском море.
2. Продвижение политических, правовых и нормативных реформ.
3. Улучшение управления пластиковыми отходами в прибрежных регионах.
4. Предварительное определение инвестиционных возможностей в сфере управления отходами через сотрудничество с частным сектором.
5. Расширение прав и возможностей местных сообществ и предприятий для улучшения практики управления отходами.
6. Проактивные коммуникационные усилия и привлечение заинтересованных сторон для обеспечения участия и осведомлённости.

Признавая трансграничный характер морского мусора, проект объединяет национальные и региональные усилия по решению этой важнейшей проблемы. Он соответствует приоритетам Рамочной конвенции по защите морской среды Каспийского моря и протоколов к ней, в частности Московского протокола, и вносит вклад в более широкую повестку дня устойчивого развития.

### **Статус осуществления**

8 апреля 2025 года в виртуальном формате был проведён Учебный семинар для обсуждения и согласования механизмов осуществления и дальнейших шагов. Отчёт по учебному семинару приведён в Приложении VIII.

27–28 ноября 2025 года в Алматы, Казахстан, прошло Региональное совещание по региональным компонентам проекта. Стороны рассмотрели региональные компоненты проекта и подтвердили его роль в качестве ключевого финансового и технического инструмента для поддержки осуществления Московского протокола, призвав к ускорению реализации. Отчёт по Совещанию приведён в Приложении IX.

Участники договорились как можно скорее созвать Комитет по координации проекта для обзора прогресса, уточнения нерешённых вопросов и согласования сроков выполнения мероприятий проекта. Региональные и национальные компоненты были уточнены с учётом предложений по последовательности и объёму, с акцентом на координацию между национальными мероприятиями и региональными приоритетами в рамках Протокола. Стороны призвали к упрощению и внесению корректировок в отдельные компоненты, включая компонент по партнёрствам и гендерный компонент.

Первое заседание Комитета по координации проекта состоялось 17 декабря 2025 года. Среди прочих решений заседание одобрило Проект Полномочий Комитета по координации проекта, региональные и национальные рабочие планы на 2026 год, а также Отчёт по учебному семинару, с

учётом письменных замечаний. Был рекомендован надёжный механизм координации между командами, реализующими проект. Протокол заседания приведён в Приложении X.

ВСТК продвинулся в разработке технических, операционных и институциональных механизмов, необходимых для реализации Проекта. Были проведены консультации с целью уточнения механизмов реализации приоритетных мероприятий в рамках Компонентов 1, 2 и 6, по итогам которых были подготовлены технические задания и технические требования (прилагаются в качестве Приложения XI) для международных и национальных экспертов.

Был заключён Меморандум о взаимопонимании с Партнёром по реализации — Аналитическим центром инициатив развития (ACDI). В настоящее время ведётся подготовка к набору экспертов для первых мероприятий в рамках Компонентов 1 и 2, а также подготовлен первый проект Коммуникационной стратегии Проекта в рамках Компонента 6 (прилагается в качестве Приложения XII).

### **Предлагаемые действия**

Конференция Сторон может пожелать:

- Выразить благодарность Российской Федерации за финансирование проекта в рамках программы Официальной помощи в целях развития.
- Приветствовать начальную фазу проекта и попросить обеспечить, насколько это возможно, чтобы Проект внёс значимый вклад проекта в процесс реализации Конвенции с особым акцентом на поддержку Московского протокола.



Reference: ROE/MA/MB/2021/004

10 March 2021

**Project concept note "Addressing marine litter and marine plastic – a systemic approach in the Caspian Sea"**

Excellency,

We are happy to write to you in connection with the project "Addressing marine litter and marine plastic – a systemic approach in the Caspian Sea", jointly developed by UNEP and UNDP. You may recall that UNEP and UNDP approached the Caspian littoral countries by the letter of 28 February 2019 soliciting support for the development of a joint project.

In this regard, we would like to inform you that relevant consultation with the Caspian littoral countries were held and we are happy to transmit to you the letters of support which are attached to this letter. For your convenience, I enclose the project concept note.

As you may recall the project addresses priority environmental problems in the context of the implementation of the Framework Convention for the Protection of the Marine Environment of the Caspian Sea (Tehran Convention) and its Protocols and supports the implementation of the sustainable development agenda.

The submission of the project concept note for possible funding from the Russian Federation Official Development Assistance Programme was preliminary discussed with the officials from the Ministry of Foreign Affairs as well as the Ministry of Natural Resources and Environment of the Russian Federation.

We look forward to receiving your feedback and stand ready to develop the full-fledged project proposal.

The interim Secretariat of the Tehran Convention will act as a focal point for any matters related to the project development.

Please accept, Excellency, the assurances of our highest consideration,

Bruno Pozzi  
Director  
Europe Office  
UNEP

Agi Veres  
Deputy Assistant Administrator  
Deputy Regional Director  
Regional Bureau for Europe and CIS  
UNDP

H.E Mr. Dmitry Maksimychiev.  
Ambassador Extraordinary and Plenipotentiary  
Embassy of the Russian Federation in the Republic of Kenya  
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**ПРАВИТЕЛЬСТВО РОССИЙСКОЙ ФЕДЕРАЦИИ**  
**РАСПОРЯЖЕНИЕ**

от 25 декабря 2021 г. № 3872-р

МОСКВА

1. Внести в 2021 - 2024 годах за счет средств федерального бюджета до 4039200 долларов США в бюджет Программы развития ООН на финансирование расходов, связанных с реализацией совместного проекта Программы развития ООН и Программы ООН по окружающей среде "Оказание содействия в выработке системного подхода к решению проблемы морского мусора и пластика в Каспийском море", в том числе в 2021 году - до 744800 долларов США, в 2022 году - до 1084800 долларов США, в 2023 году - до 1349800 долларов США и в 2024 году - до 859800 долларов США.

2. МИДу России:

проинформировать Программу развития ООН и Программу ООН по окружающей среде о принятом решении;

осуществить финансирование расходов, указанных в пункте 1 настоящего распоряжения, за счет бюджетных ассигнований, предусмотренных МИДу России в федеральном бюджете на соответствующий год по подразделу "Международные отношения и международное сотрудничество" раздела "Общегосударственные вопросы" классификации расходов бюджетов;

совместно с Минфином России согласовать порядок перечисления средств, предусмотренных пунктом 1 настоящего распоряжения.

Председатель Правительства  
Российской Федерации



М.Мишустин

United Nations Development Programme

**PROJECT DOCUMENT****Regional Project – Azerbaijan, Kazakhstan, Iran, Turkmenistan****Project Title:** Addressing Marine Litter and Marine Plastics – A Systemic Approach in the Caspian Sea**Project Number:** 00129817**Implementing Partner:** UNDP (Istanbul Regional Hub for Europe and the CIS)**Start Date:** September 2024 (Apr2023 initiation)**End Date:** October 2027**PAC Meeting date:** April 2024**Brief Description**

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

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

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

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

|                                                                                                             |  |                                   |                                                |   |
|-------------------------------------------------------------------------------------------------------------|--|-----------------------------------|------------------------------------------------|---|
| Contributing Outcome (RPD):<br><br>OUTCOME #3: Resilience Built to Respond to Systemic Uncertainty and Risk |  | <b>Total resources required:</b>  | <b>\$4,039,200</b><br><br><b>(\$3,999,208)</b> |   |
|                                                                                                             |  | <b>Total resources allocated:</b> |                                                |   |
|                                                                                                             |  |                                   | <b>UNDP TRAC:</b>                              | - |

|                                                                                                                         |  |                    |                           |                    |
|-------------------------------------------------------------------------------------------------------------------------|--|--------------------|---------------------------|--------------------|
| Indicative Output(s) with gender marker:                                                                                |  | <b>\$3,179,400</b> | <b>Donor<sup>2</sup>:</b> | <b>\$4,039,200</b> |
| Output 3.4: Natural resources protected and managed to enhance sustainable productivity and livelihoods (SP Output 4.1) |  |                    | <b>Government:</b>        |                    |
|                                                                                                                         |  |                    | <b>In-Kind:</b>           |                    |
| Gender Marker: 1/2                                                                                                      |  | <b>Unfunded:</b>   |                           | \$859,800          |

Agreed by (signatures):

UNDP

Steliana Nedera  
UNDP IRH Manager

Date:

RBEC

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<sup>2</sup> Total donor allocation \$4,039,200 includes project coordination levy.

## Development Challenge

The Caspian Sea is the largest water body on the Planet which is not connected with the World Ocean and located on the southern border of Asia and Europe. Due to its size, natural conditions and the complexity of hydrological processes the Caspian is classed as a closed inland sea. It occupies a vast depression area in the Earth's crust. The Caspian Sea level is currently 27 m below the mean sea level (MSL). In these

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



conditions, the entire territory of the Caspian Sea covers more than 390 thousand km<sup>2</sup>, volume of water is about 78 thousand km<sup>3</sup>, average depth is 208 m, and the greatest depth of the Sea reaches 1025 m. From North to South the Caspian Sea stretches for 1030 km, with a width of 200 to 400 km.

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

Marine litter (ML) is a new and emerging concern to all Caspian littoral states. Despite its importance, the data on the amount, levels or impacts of ML in the region are very sparse. The pollution of the world's seas and oceans with marine litter today is considered one of the major global environmental concerns. Addressing marine pollution of all kinds is a key target of goal 14 of the UN Sustainable Development Goals (SDGs). At the UN Ocean Conference in June 2017, specifically convened to address SDG 14, member states agreed to urgently take action "to prevent and

significantly reduce marine pollution, including marine debris, plastics and microplastics, [...] solid waste discharges, and [...] pollution from ships" and called for the implementation of long-term and robust strategies to that effect.

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

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

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

end up in the placenta and amniotic fluid of pregnant women is cause for concern, according to researchers.

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

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

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

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

One of the major sources of marine litter is industrial waste that is linked to the overall regional economic development. The countries are generating immense amounts of industrial waste, which is partly linked to the oil and gas sector in the Caspian Sea. A common practice of solid waste management is landfills which provide limited options for recycling valuable secondary materials. The landfills are reported to be overexploited, in poor technical conditions and not following sanitary epidemiological requirements; there is little waste being separated and recycled.

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

The Caspian region of the Russian Federation generates 1.7 million tons of industrial and municipal waste annually, including waste from the metallurgical, oil and gas, chemical, pharmaceutical, construction, textile, processing and other industries. This waste includes 30.2 tons of class 1 hazardous waste; 7,800

tons of class 2 hazardous waste; 39,900 tons of class 3 hazardous waste; 1.3 million tons of class 4 hazardous waste; and 320,200 tons of class 5 hazardous waste (Hazard Classes, GOST 12.1.007-76, 1976). The volume of municipal solid waste, which makes up the majority of production and consumer waste, produced in the Caspian region of the Russian Federation totals 1.3 million tons per year, of which 465,100 tons (33.8 per cent) is produced in coastal municipalities, with urban settlements accounting for 283,100 tons and rural areas for 182,000 tons.

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

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

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

The green landscape, the pleasant climate, the vicinity to the capital, and good access have made the Caspian Region a significant tourist destination. Millions of domestic travellers visit the Caspian provinces every year as tourists, exasperating the waste management system. During the new year holidays, Mazandaran and Gilan are consistently ranked as top destinations, together exceeding 20 million visitor-days. The number of tourists heading to Golestan are considerably less, about a quarter to a third of Mazandaran's.

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

According to the Marine Litter Vital Graphics on the global scale the most common items, constituting over 80 per cent of the litter stranded on beaches are cigarette butts, bags, remains of fishing gear, and food and beverage containers. 90 per cent of the litter collected from sea floor trawls is made up of plastic (Derraik, 2002 and Galgani et al., 2015). Likewise, in the Caspian Sea plastic is the biggest share of marine litter; it is linked to both land-based and sea-based pollution sources. Further monitoring studies are needed to better understand major sources, pathways and accumulation areas of marine litter on the Caspian Sea, as well as to receive the information on top items, to identify corresponding measures that could be taken. It is also important at the same time to prevent and reduce plastic waste generation when and where it is possible, as well as to improve the waste management systems at national levels. The role

of women, and their engagement, shall be considered in these efforts, since, as the primary users of waste management services at the household level and being engaged with various types of work in the waste sector, women have both knowledge and expertise. In order to effectively and sustainably address marine litter coordinated regional efforts by all Caspian littoral states are needed.

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

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

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

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

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

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

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

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

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

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

### Strategy

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

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

**The main outputs** of the project are:

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

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

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

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

#### **Inception Phase**

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

## Results and Partnerships

### Expected Results

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

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

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

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

Under this activity, the following information will be collected:

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

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

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

#### **Activity 1.3 Marine Plastics Value Chain mapping and hotspots identification.**

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

#### **Activity 1.4 Development of marine litter monitoring system/tools.**

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

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

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

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

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

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

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

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

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

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

Illegal dumping is considered a major source of marine litter and waste management issues. It will be addressed by identifying/classifying sources and developing enforcement measures to combat illegal dumping in accordance with national and regional legislation. The following illegal practice in the Caspian

region should be given a special attention: illegal landfills in proximity to the sea, illegal sewage disposal in the sea, illegal dumping in the coastal zone and rivers fluxing in the Sea littering on the beach and other leisure facilities located in proximity to the sea, as well as illegal, unreported and unregulated (IUU) fishing as source of discarded and abandoned nets. The project will support the measures on reclamation of existing landfills and prevention measures for establishing new landfills and dumps in the vicinity of the sea.

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

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

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

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

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

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

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

The project will build on current and planned national initiatives to identify, develop and recommend for application, in consultation with national focal points and selected local authorities, cost-effective tools and means to raise awareness with stakeholders, (including waste collectors and local communities), to generate support for identified approaches including implementation of "Adopt the Beach" or similar activities at selected sites. As mentioned above, women (organisations), in relation to household waste generation will be engaged as both, information sources and potential agents of change. Therefore, also schools and educational institutions, where women are predominately present would be also relevant stakeholders and participants under this activity.

Periodic clean-up actions of the selected beaches should be organized, based on the relevant guidelines and in line with the pertinent monitoring requirements, including the collection of information on types,

quantities, weight and sources of marine litter items found on beaches. They will also undertake awareness campaigns, at national and at local levels on the issue of marine litter stranded at beaches and their effect on the marine and coastal environment.

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

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

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

### **Activity 3.3 Development of Innovative approaches.**

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

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

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

- Developing an accurate and reliable monitoring, data collection and storage system to assist with enforcing regulations.
- Improving guidance on landfill/dumps is the lowest hanging fruit and most important urgent issue to address. For this, the current state of dumps/landfills will be assessed in order to understand the extent of the problems. Solutions will be suggested such as preventing surface water and rain from entering the landfill as much as possible to reduce leachate production (for example via installing covers/caps); establishing sampling wells and groundwater monitoring systems upstream and downstream of landfills; constructing leachate collection, recycling, and treatment systems; improving operational processes such as the application of daily cover; ensuring the slope stability of the waste; and other innovative solutions for improving the dumpsite conditions. Guidance will be

provided on leachate and gas collection and treatment. From an international perspective, the collection and treatment of landfill gasses will contribute to global climate change commitments.

- Guidelines will be reviewed and developed to be enforced for standard operation at disposal sites including regulations for compaction, slope stability considerations, and waste inspection procedures (to ensure that special wastes, agricultural wastes, soil and dirt, C&D wastes, and hazardous wastes do not enter urban landfills). The developed guidelines will then be taught to dump/landfill operators. Also, the health and safety of workers throughout the life-cycle, especially waste sorting and processing workers, will be promoted.
- Improving waste collection, transfer, and storage. Selecting and implementing the optimum waste collection solution (including recyclables) could include waste collection on specific days and specific schedules, using optimal routing for waste collection and positioning of bins, and using appropriate methods for washing, maintenance and repair of waste bins and vehicles. Improvements could also include the collection of household hazardous wastes separately, in order to ensure that chemicals (such as those in batteries) do not end up in the current waste dumps. Since waste collection is the most expensive link in the waste management cycle, optimizing the number, form, and placement of bins will reduce costs. An overall collection strategy will be incorporated in the target area (either manned collection booths and/or unmanned collection bins for segregated recyclables). So, the decision to use which collection method, where, and with what frequency will be made after conducting a robust comparative study of the options at hand. Conducting an appraisal of the current situation of the waste collection fleet, proposing optimum solutions, and acquiring the necessary vehicles is part of this output. Note that decentralized composting and digestion in rural areas (similar to systems widely applied in south and east Asia) could greatly help reduce the burden of waste collection systems. Therefore, such an option will also be investigated, and if favourable, implemented.
- Collecting waste in a segregated manner, the costs associated with processing of the collected waste can be reduced, but the costs of collection go up. Therefore, before any such intervention, it will first be calculated whether or not the procurement of specialized equipment is advantageous from a cost-benefit analysis viewpoint, compared to receiving sorted wastes at collection booths, or single-stream recycling at the MRF plant. If calculations prove to a new and improved fleet with suitable capacity for optimizing collection and/or transfer frequency, providing the fleet will be targeted. This will also reduce the amount of leachate and waste that is leaked or dispersed in the collection and transfer route.
- Life cycle-based databases including data on emptying of waste bins, waste transfer, incoming waste to landfills, etc. will be developed in order to encourage positive behaviour and fine offenders. Note that these are not merely "soft activities", but rather, they require substantial hardware to be able to monitor the entire waste management cycle. This includes the quantitative and qualitative measurement of waste mass and properties throughout the system.
- Considering the shortfalls of the current system, current processing lines will be redesigned if necessary, and operation/control will be improved. The technological and financial feasibility of various investment options and technologies (both domestically available and those available through imports) will be investigated. The economic/financial feasibility of each choice will be clearly calculated by trained economists, so that the most suitable selection is made. Since the suitability of using thermochemical conversion of waste in the region is under question, an in-depth analysis will be conducted by international consultants regarding thermochemical and final sink options.

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

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

##### **Activity 4.1 Identification of markets for recycled and innovative plastics.**

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

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

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

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

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

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

#### **Activity 4.4 Identification of needed waste management investments.**

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

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

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

interactions, processes, stocks, stakeholders) should then be identified and strengthened in the broader system. The development of joint ventures and project companies within the governmental waste management zones will be investigated. The specific reasons as to why collaboration

*of garbage bags, bins and equipment; using sponsors in the educational processes, competitions and festivals; allowing sponsors to install billboards at or near dumpsites which they help remediate etc. Finally, the process of securing international funds such as from the carbon market by Iran's public and private sector will be identified and facilitated.*

among zones has succeeded or failed thus far will be analyzed, to learn more specifically about the challenges before considering the interventions that are required.

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

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

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

#### **Activity 5.1 Small Grant Programs in coastal communities.**

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

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

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

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

Linking closely with activities other components, a regional network will be established to boost cooperation on data collection with regards to the LBS including the marine litter pollution as well as on reduction and prevention. It is envisaged to involve the regional network to the maximum extent in implementing the project to ensure adequate ownership of different players. A deep involvement of marine

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

#### **Activity 6.2 Development of communication and awareness raising strategy.**

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

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

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

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

#### **Resources Required to Achieve the Expected Results**

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

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

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

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

### **Procurement and engagement with partners**

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

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

### **Partnerships**

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

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

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

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

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

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

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

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

- a. **Department of Environment (DOE)** The DOE is mandated with ensuring that Article 50 of the constitution is realized. It must protect the natural resources and ecosystems of the country and rectify prior harms, develop environmental standards, and take an active role in environmental crises. The DOE is responsible for ensuring the proper implementation of the Waste Management Law.
- b. **Ministry of Interior (MOI):** The MOI, in consultation with the DOE and other authorities, must codify the rules, guidelines and executive regulations and supervision of waste management activities such as recycling or disposal across the country. The MOI is responsible for waste management, although the actual implementation of programs and day-to-day activities relevant to waste such as segregation, collection, processing, recycling, composting and landfilling, are managed by village authorities, municipalities, and district administrators.
- c. **Plan and Budget Organization (PBO):** Considering the important role that the PBO has in the planning and supervision of strategic development in the country, its role in waste management is also important. For example, this organization develops the general financial, social and cultural policies of the country, in addition to preparing and auditing the governmental budget.
- d. **Other ministries such as The Ministry of Health and Medical Education (MOHME), The Ministry of Industry, Mine and Trade (MOIMT), The Ministry of Agriculture Jihad (MOAJ), and The Ministry of Petroleum (MOP):** Each of these ministries are responsible for the wastes that are particularly associated with their mandate and services. All these ministries are also responsible for providing education and training to the people and waste generator relevant to their activities. In addition, the ministries must work with the DOE for the codification of the rules and regulations of the wastes relevant to them. After approval, each ministry is responsible for supervising and ensuring the proper implementation of the rules and regulations.
- e. **Institute of Standard and Industrial Research of Iran (ISIRI):** According to Article 3 of the Waste Management Law, ISIRI should work with the relevant ministries to determine and formulate national standards regarding the quality and safety of products produced from waste and recycled materials.
- f. **Local authorities such as municipalities and city councils:** According to Article 7 of the Waste Management Law, the executive management of all urban wastes, except industrial and special wastes, is the responsibility of municipalities. According to Article 8, the municipality can receive regulated fees for the waste services it provides from the producers. Such incomes shall only be spent on waste management related activities. The city council is responsible for ratifying the rules and regulations and waste management fees suggested by the municipality for waste management, in accordance with the MOI.

## Risks and Assumptions

Preliminary, the following risks and assumptions were identified:

- Lack of interest of participating countries to contribute to the preparation and implementation of full size project;
- Difficulties in involvement of national institutions in marine litter data collection process;
- Delay of project start-up because critical staff is not in place and/ or lengthy contracting process, including negotiations with execution entities;
- Capacity constraints of executing entities, local institutions, communities and the private sector may limit the effective implementation of interventions;
- Lack of cooperation by relevant authorities in places, despite expression of interest at central government level;
- Complexity of the proposed interventions and challenges related to getting equal traction with all 4 involved countries;
- Security risks in the Caspian Sea region;
- Involvement of the Russian Federation;

- Risks that project supported legal and policy reforms, and identified waste management options, may have on the environment, climate change and population;
- Mismatch between international donor, top authorities, local authorities, and stakeholders, leading to disagreements, decreased engagement, or incorrect identification of priorities;
- Lack of cooperation of the local people, lack of trust because of previously failed attempts.

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

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

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

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

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

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

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

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

### **Knowledge Management and Digital Solutions<sup>3</sup>**

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

<sup>3</sup> Please see the [Guideline "Embedding Digital in Project Design"](#).

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

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

### **Sustainability and Scaling Up**

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

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

#### ***Financial sustainability***

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

#### ***Institutional sustainability***

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

#### ***Policy level sustainability***

The project addressing marine litter in the Caspian Sea region, where the Moscow Protocol on land-based pollution plays a crucial role, exemplifies policy-level sustainability in several ways. Firstly, the

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

## **Project Management**

### **Cost Efficiency and Effectiveness**

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

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

Implementation will follow the principles below:

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

## **Project Management**

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

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

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

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

UNEP as the Responsible Party in the project will be critical for successful project implementation. The cooperation between UNDP and UNEP will be formalized through UN2UN Agreement.

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

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

The PCU personnel will have the following functions:

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

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

The PCU will also provide annual support to updating the safeguarding assessment and gender analysis. As per the MOU / Contribution agreement signed with the Donor, the GMS rate for the project is 8% of the total budget. Results Framework<sup>4</sup> -

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

<sup>4</sup> UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project.

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

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

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

| Expected Outputs                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Output Indicators                                                                                       | Baseline – year 2024 | Targets per Year                                                                                                                                                                                                                                                                                                                                                                          | Final Target                                                                                                                                    | Data collection methods source |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------|----------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------|
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                         |                      | Y2: National reports elaborate recommendations for approaches in > 3 countries to be explored<br><br>Y3: In at least 3 countries detailed plans for pilot initiatives prepared for future investments to test innovative approaches                                                                                                                                                       |                                                                                                                                                 |                                |
| Overall Output Indicator 3: Pilot projects or support for activities related to enhanced circular economy approaches in coastal regions, in each country                                                                                                                                                                                                                                                                                                          |                                                                                                         |                      | 2024: 4 project concepts<br><br>2027: 4 Pilot projects or activities supported in each country                                                                                                                                                                                                                                                                                            |                                                                                                                                                 |                                |
| <b>Component 4:</b><br><br>Preliminary identification of investments in waste management (UNDP COs)<br><br><i>Activities:</i><br><br><i>Identification of market for recycled and innovative plastics (Activity 4.1)</i><br><br><i>Development of EPR schemes in Caspian region (Activity 4.2)</i><br><br><i>Linking Caspian region industries to global alliances (Activity 4.3)</i><br><br><i>Identification of waste management investments (Activity 4.4)</i> | Regional and national reports, workshops and recommendations on accessing markets for recycled plastics | TBD                  | Y1: Regional report on global experience on markets for recycled and innovative plastics<br><br>Y2: National workshops completed in > 3 countries to assess opportunities (50% women)<br><br>Y2: National reports prepared to highlight best approaches in each country<br><br>Y3: Final workshop on markets for recycled plastics in > 3 countries to assess recommendations (50% women) | > 3 countries have report and recommendations on market details for recycled and innovative plastics                                            | Project reports to PS meetings |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | National workshops and reports on EPR                                                                   | TBD                  | Y2: > 3 national reports (linking with C2) to explore benefits on EPR<br><br>Y3: > 3 national workshops with relevant stakeholders completed to present recommendations on EPR (50% women)                                                                                                                                                                                                | > 3 countries have reports on benefits and recommendations of EPR                                                                               | Project reports to PS meetings |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Identification of national stakeholders, reports and recommendations                                    | TBD                  | Y1: National stakeholders identified<br><br>Y1: Regional and national reports on potential regional and global networks of producers, users and disposers of plastic materials<br><br>Y2: > 3 national reports on recommendations and benefits of linking with global networks, including national stakeholders                                                                           | TCS and national authorities have recommendations on global networks to associate with<br><br>TCS and national authorities have recommendations | Project reports to PS meetings |

| Expected Outputs                                                                                                                                                                                  | Output Indicators                                                                                                                                              | Baseline – year 2024 | Targets per Year                                                                                                                                                                                                                                                                                                                                                                                                                                         | Final Target                                                                                                              | Data collection methods source |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------|--------------------------------|
|                                                                                                                                                                                                   |                                                                                                                                                                |                      | Y3: Recommendations presented to PS meeting on potential global networks to associate with and formation of regional network under TCS                                                                                                                                                                                                                                                                                                                   | ns on regional network creation                                                                                           |                                |
|                                                                                                                                                                                                   | National and regional workshops completed, reports and recommendations submitted to national authorities                                                       | TBD                  | Y1: Regional workshop to agree scope of priorities (50% women)<br>Y2: > 3 national workshops completed to brainstorm national waste management investments (50% women)<br>Y3: > 3 national reports delivered to national authorities and PS meeting on recommendations for waste investments (with outline cost and potential sources identified)                                                                                                        | National authorities have outline proposals for investments to enhance waste management (sites, sources of funding, etc.) | Project reports to PS meetings |
| Overall Output Indicator 4: 4. Relevant investments in waste management identified and supported in each country                                                                                  |                                                                                                                                                                |                      | 2027: Total 4 investments – one per country                                                                                                                                                                                                                                                                                                                                                                                                              |                                                                                                                           |                                |
| <b>Component 5:</b><br>Empowered local communities and enterprises to improve waste management (UNDP COs)<br><br><i>Activities:</i><br><i>Initiate SGP for coastal communities (Activity 5.1)</i> | National identification of SGP, implementation of SGP and reporting of results<br><br>% of female recipients of SGP support, out of total number of recipients | N/A                  | Y1: All countries identify potential SGP opportunities and discussing in national workshops (50% women)<br><br>Y1: National reports recommend SG initiatives and submit to PS meeting for approval<br><br>Y2: At least 3 countries initiate nationally agreed SGPs<br><br>Y2: National workshops to present /review progress of SGPs (50% women)<br><br>Y3: Final presentation and reports from counties undertaking SGPs to share lessons / experiences | Small Grants Programme initiated in at least 3 countries with results shared regionally                                   | Project reports to PS meetings |
| Overall Output Indicator 5: Small Grants programme implemented in each country                                                                                                                    |                                                                                                                                                                |                      | 2025: SGP concept in each country<br><br>2027: SGP implemented in each country                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                           |                                |
| <b>Component 6:</b>                                                                                                                                                                               | 1) Identification of national/local                                                                                                                            | Identified in        | Y1: All countries identify national/local stakeholders to                                                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                           | Project reports                |

| Expected Outputs                                                                                                                                         | Output Indicators                                  | Baseline – year 2024 | Targets per Year                                                                                                                                                                  | Final Target                                                                                                     | Data collection methods source |
|----------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------|----------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|--------------------------------|
| Proactive communication and stakeholder awareness on reducing plastic waste (UNEP TCS)                                                                   | stakeholders (%men / % women)                      | project inception    | participate in regional network (50% women participate in network)                                                                                                                | Sustainably options presented to maintain regional stakeholder network                                           | to PS meetings                 |
| Activities:<br><i>Establishment regional network for national/local stakeholders (Activity 6.1)</i>                                                      | 2) establishment of regional network               |                      | Y2: Establishment of a regional network (meeting virtually) at least once a year (50% women)                                                                                      |                                                                                                                  |                                |
|                                                                                                                                                          | 3) establishment of regional meetings (virtual)    |                      | Y2: Report prepared in each country with recommendations on sustainability of network (including sources of funding if required)                                                  |                                                                                                                  |                                |
| <i>Development of communication and awareness strategies (Activity 6.2)</i>                                                                              | 1) National communication strategy developed       | N/A                  | Y1: Development of regional and national communication / awareness strategies                                                                                                     | Regional and national communication and awareness raising strategies developed highlighting potential solutions. | Project reports to PS meetings |
|                                                                                                                                                          | 2) National awareness raising strategies developed |                      | Y1: > 3 national workshops to confirm strategies                                                                                                                                  |                                                                                                                  |                                |
|                                                                                                                                                          | 3) Implementation                                  |                      | Y2: Strategies raise awareness of activities in over 1000 people per country                                                                                                      |                                                                                                                  |                                |
|                                                                                                                                                          |                                                    |                      | Y2: Delivery of > 3 awareness campaigns in each country to highlight the importance of plastic pollution and solutions such as container deposit laws (50% of participants women) |                                                                                                                  |                                |
|                                                                                                                                                          |                                                    |                      | Y3: Strategies raise awareness of activities in over 1000 people per country                                                                                                      |                                                                                                                  |                                |
|                                                                                                                                                          |                                                    |                      | Y3: Delivery of > 3 awareness campaigns in each country to highlight the importance of plastic pollution and solutions such as container deposit laws (50% of participants women) |                                                                                                                  |                                |
| Overall Output Indicator 6: Communication strategy developed for each country, including relevant awareness raising products and events on ML & plastics |                                                    |                      | 2024: Communication Strategy outline prepared for each country; Establishment of regional networks; Identification of relevant research institutions.                             |                                                                                                                  |                                |
|                                                                                                                                                          |                                                    |                      | 2025: Communication and awareness raising material (to be determined during year 1); Network meetings (to be determined during year 1)                                            |                                                                                                                  |                                |

| Expected Outputs | Output Indicators | Baseline – year 2024 | Targets per Year                                                                                                                                                                                                                                                                                                                                | Final Target | Data collection methods source |
|------------------|-------------------|----------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|--------------------------------|
|                  |                   |                      | <p>2026: Communication and awareness raising material (to be determined during year 2);<br/>Network meetings (to be determined during year 2)</p> <p>2027: Communication Strategy implemented in each country, including events organization;<br/>Multi-stakeholder meeting with main actors in the Regional Network; Report on ML networks</p> |              |                                |

### Monitoring And Evaluation

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

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

### Monitoring Plan

| Monitoring Activity            | Purpose                                                                                                                                                                                                                         | Frequency                                                   | Expected Action                                                                                           | Partners (if joint)                 | Cost (if any) |
|--------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------|-------------------------------------|---------------|
| <b>Track results progress</b>  | Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.                                                                   | Quarterly, or in the frequency required for each indicator. | Slower than expected progress will be addressed by project management.                                    | UNEP TCS and UNDP COs in the region |               |
| <b>Monitor and Manage Risk</b> | Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's | Quarterly                                                   | Risks are identified by project management and actions are taken to manage risk. The risk log is actively | UNEP TCS and UNDP COs in the region |               |

| Monitoring Activity                       | Purpose                                                                                                                                                                                                                                                                                                                                                  | Frequency                                              | Expected Action                                                                                                                    | Partners (if joint)                 | Cost (if any)                                                   |
|-------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|-----------------------------------------------------------------|
|                                           | Social and Environmental Standards, and the Gender Action Plan. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.                                                                                                                                                                                                |                                                        | maintained to keep track of identified risks and actions taken.                                                                    |                                     |                                                                 |
| <b>Learn</b>                              | Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.                                                                                                                                                                                     | At least annually                                      | Relevant lessons are captured by the project team and used to inform management decisions.                                         | UNEP TCS and UNDP COs in the region |                                                                 |
| <b>Annual Project Quality Assurance</b>   | The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.                                                                                                                                                               | Every two years                                        | Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance. | UNEP TCS and UNDP COs in the region |                                                                 |
| <b>Review and Make Course Corrections</b> | Internal review of data and evidence from all monitoring actions to inform decision making.                                                                                                                                                                                                                                                              | At least annually                                      | Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.           | UNEP TCS and UNDP COs in the region |                                                                 |
| <b>Project Report</b>                     | A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period. | Annually, and at the end of the project (final report) |                                                                                                                                    | UNEP TCS and UNDP COs in the region |                                                                 |
| <b>Project Review (Project Board)</b>     | The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture                        | At least annually (in-person or remote)                | Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to    | UNEP TCS and UNDP COs in the region | Virtual meetings – none (2)<br><br>In-person meetings (2) 5,000 |

| Monitoring Activity | Purpose                                                                                                                                | Frequency | Expected Action                | Partners (if joint) | Cost (if any) |
|---------------------|----------------------------------------------------------------------------------------------------------------------------------------|-----------|--------------------------------|---------------------|---------------|
|                     | lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences. |           | address the issues identified. |                     | USD/meeting   |

### Evaluation Plan<sup>5</sup>

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

### Multi-Year Work Plan <sup>67</sup>

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

<sup>5</sup> Optional, if needed

<sup>6</sup> Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

<sup>7</sup> Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

| Expected Outputs                                                                                     | Planned Activities (Quantum)                                                                                                                                                                                                                                                                                                                                                         | Responsible Party UNDP / RP | Fund ID | Donor ID | Budgetary Account Code | Budget Account Description       | Amount year 2023 (USD)* | Amount Year 2024 (USD) | Amount Year 2025 (USD) | Amount Year 2026 (USD) | Amount Year 2027 (USD) | Total (USD) |
|------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------|---------|----------|------------------------|----------------------------------|-------------------------|------------------------|------------------------|------------------------|------------------------|-------------|
| Component 1 Collection and assessment of information and data relevant to the Caspian marine litter. | ACTIVITY 1: Collecting of data and information on ML in the Caspian Sea<br>Activity 1.1 Inventories of land-based sources of pollution including comprehensive review of marine litter information in the Caspian Sea.<br>Activity 1.2 Identification of further scientific research needs to address the gaps in knowledge.<br>Activity 1.3 Marine Plastics Value Chain mapping and | UNEP                        |         |          | 71200                  | International Consultants        |                         | 10,000.00              | 10,000.00              | 10,000.00              |                        | 30,000.00   |
|                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                      |                             |         |          | 71300                  | Local Consultants                |                         | 75,000.00              | 70,000.00              | 60,000.00              |                        | 205,000.00  |
|                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                      |                             |         |          | 71400                  | Service Contracts - individuals  |                         |                        |                        |                        |                        | -           |
|                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                      |                             |         |          | 71600                  | Travels                          |                         | 10,000.00              | 10,000.00              | 10,000.00              |                        | 30,000.00   |
|                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                      |                             |         |          | 72100                  | Contractual services - companies |                         |                        | 30,000.00              | 30,000.00              |                        | 60,000.00   |
|                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                      |                             |         |          | 72500                  | Supplies                         |                         | 5,000.00               | 5,000.00               | 5,000.00               |                        | 15,000.00   |
|                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                      |                             |         |          | 74200                  | Audiovisual & Print production   |                         |                        |                        | 10,000.00              |                        | 10,000.00   |
|                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                      |                             |         |          | 75700                  | Trainings and Workshops          |                         | 25,000.00              | 25,000.00              | 25,000.00              |                        | 75,000.00   |
|                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                      |                             |         |          | 74100                  | Management services              |                         | 8,750.00               | 10,500.00              | 10,500.00              |                        | 29,750.00   |

| Expected Outputs   | Planned Activities (Quantum)                                                                                 | Responsible Party UNDP / RP | Fund ID | Donor ID | Budgetary Account Code | Budget Account Description       | Amount year 2023 (USD)* | Amount Year 2024 (USD) | Amount Year 2025 (USD) | Amount Year 2026 (USD) | Amount Year 2027 (USD) | Total (USD)       |
|--------------------|--------------------------------------------------------------------------------------------------------------|-----------------------------|---------|----------|------------------------|----------------------------------|-------------------------|------------------------|------------------------|------------------------|------------------------|-------------------|
|                    | hotspots identification Activity 1.4 .Development of marine litter monitoring system/tools                   |                             |         |          |                        |                                  |                         |                        |                        |                        |                        |                   |
|                    | <b>Sub-total for Component 1</b>                                                                             |                             |         |          |                        |                                  |                         | <b>133,750.00</b>      | <b>160,500.00</b>      | <b>160,500.00</b>      | <b>-</b>               | <b>454,750.00</b> |
| <b>Component 2</b> | <b>ACTIVITY 2: Improving policy and regulatory frameworks on waste management</b>                            | UNEP                        |         |          | 71200                  | International Consultants        |                         | 10,000.00              | 10,000.00              |                        |                        | 20,000.00         |
|                    |                                                                                                              |                             |         |          | 71300                  | Local Consultants                |                         | 80,000.00              | 60,000.00              | 60,000.00              |                        | 200,000.00        |
|                    |                                                                                                              |                             |         |          | 71400                  | Service Contracts - individuals  |                         |                        |                        |                        |                        | -                 |
|                    |                                                                                                              |                             |         |          | 71600                  | Travels                          |                         | 12,000.00              | 12,000.00              | 12,000.00              |                        | 36,000.00         |
|                    |                                                                                                              |                             |         |          | 72100                  | Contractual services - companies |                         |                        |                        |                        |                        | -                 |
|                    |                                                                                                              |                             |         |          | 72500                  | Supplies                         |                         | 5,000.00               | 5,000.00               | 5,000.00               |                        | 15,000.00         |
|                    |                                                                                                              |                             |         |          | 74200                  | Audiovisual & Print production   |                         |                        | 20,000.00              | 20,000.00              |                        | 40,000.00         |
|                    |                                                                                                              |                             |         |          | 75700                  | Trainings and Workshops          |                         | 25,000.00              | 25,000.00              | 25,000.00              |                        | 75,000.00         |
|                    | Activity 2.1 Review of the national legislation related to pollution from Land-based Sources and Activities. |                             |         |          |                        |                                  |                         |                        |                        |                        |                        |                   |
|                    | Activity 2.2 Supporting the development and                                                                  |                             |         |          |                        |                                  |                         |                        |                        |                        |                        |                   |
|                    |                                                                                                              |                             |         |          | 74100                  | Management services              |                         | 9,240.00               | 9,240.00               | 8,540.00               |                        | 27,020.00         |

| Expected Outputs                                                                     | Planned Activities (Quantum)                                                                                                                                                                      | Responsible Party UNDP / RP | Fund ID | Donor ID  | Budgetary Account Code | Budget Account Description       | Amount year 2023 (USD)* | Amount Year 2024 (USD) | Amount Year 2025 (USD) | Amount Year 2026 (USD) | Amount Year 2027 (USD) | Total (USD)       |
|--------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------|---------|-----------|------------------------|----------------------------------|-------------------------|------------------------|------------------------|------------------------|------------------------|-------------------|
|                                                                                      | approval of container deposit laws. Activity 2.3 Supporting law enforcement to combat illegal dumping. Activity 2.4 Promoting a ban on sales of plastic bags with recommendations on alternatives |                             |         |           |                        |                                  |                         |                        |                        |                        |                        |                   |
|                                                                                      | <b>Sub-total for Component 2</b>                                                                                                                                                                  |                             |         |           |                        |                                  |                         | <b>141,240.00</b>      | <b>141,240.00</b>      | <b>130,540.00</b>      | <b>-</b>               | <b>413,020.00</b> |
| <b>Component 3 Improving management of the plastic waste in the coastal regions.</b> |                                                                                                                                                                                                   |                             |         |           | 71200                  | International Consultants        |                         |                        |                        |                        |                        | -                 |
|                                                                                      |                                                                                                                                                                                                   |                             |         |           | 71300                  | Local Consultants                |                         | 40,000.00              | 40,000.00              | 40,000.00              |                        | 120,000.00        |
|                                                                                      |                                                                                                                                                                                                   |                             |         |           | 71400                  | Service Contracts - individuals  |                         | 4,000.00               | 12,000.00              | 12,000.00              | 12,000.00              | 40,000.00         |
|                                                                                      |                                                                                                                                                                                                   | UNDP COs                    | 30000   | Gov of RF | 71600                  | Travels                          |                         | 4,000.00               | 12,000.00              | 12,000.00              | 12,000.00              | 40,000.00         |
|                                                                                      |                                                                                                                                                                                                   |                             |         |           | 72100                  | Contractual services - companies |                         |                        |                        |                        | 120,000.00             | 120,000.00        |
|                                                                                      |                                                                                                                                                                                                   |                             |         |           | 72500                  | Supplies                         |                         | 2,525.78               | 4,000.00               | 4,000.00               | 3,474.22               | 14,000.00         |
|                                                                                      |                                                                                                                                                                                                   |                             |         |           | 74200                  | Audiovisual & Print production   |                         |                        | 8,000.00               | 8,000.00               | 24,000.00              | 40,000.00         |

|                                                                                                                                                                                                                                                                                                                                                                                                      |       |                         |  |  |                  |                  |                  |                   |                   |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|-------------------------|--|--|------------------|------------------|------------------|-------------------|-------------------|
| <b>ACTIVITY 3:<br/>Improving management of the plastic waste in the coastal regions</b><br>Activity 3.1<br>Promote the separate collection of plastic waste in the coastal regions of the Caspian Sea;<br>Activity 3.2<br>Identification and support of innovative solutions for advanced sorting, chemical recycling and improved polymer;<br>Activity 3.3<br>Development of Innovative approaches. |       |                         |  |  |                  |                  |                  |                   |                   |
|                                                                                                                                                                                                                                                                                                                                                                                                      | 75700 | Trainings and Workshops |  |  | 16,000.00        | 20,000.00        | 20,000.00        | 20,000.00         | 76,000.00         |
| <b>Sub-total for Component 3</b>                                                                                                                                                                                                                                                                                                                                                                     |       |                         |  |  | <b>66,525.78</b> | <b>96,000.00</b> | <b>96,000.00</b> | <b>191,474.22</b> | <b>450,000.00</b> |

| Expected Outputs                                                                                             | Planned Activities (Quantum)                                                                                                                                                                                                                                                                                                                             | Responsible Party UNDP / RP | Fund ID | Donor ID | Budgetary Account Code | Budget Account Description       | Amount year 2023 (USD)* | Amount Year 2024 (USD) | Amount Year 2025 (USD) | Amount Year 2026 (USD) | Amount Year 2027 (USD) | Total (USD) |
|--------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------|---------|----------|------------------------|----------------------------------|-------------------------|------------------------|------------------------|------------------------|------------------------|-------------|
| Component 4 Preliminary identification of investments in waste management through private sector engagement. | ACTIVITY 4: Preliminary identification of investments in waste management through private sector engagement Activity 4.1 Identification of market for recycled and innovative plastics. Activity 4.2 Development of an Extended Producer Responsibility (EPR) schemes in the Caspian states. Activity 4.3 Connect the Caspian states and industries to a |                             |         |          | 71200                  | International Consultants        |                         |                        |                        |                        |                        | -           |
|                                                                                                              |                                                                                                                                                                                                                                                                                                                                                          |                             |         |          | 71300                  | Local Consultants                |                         | 20,000.00              | 20,000.00              | 20,000.00              | 80,000.00              | 140,000.00  |
|                                                                                                              |                                                                                                                                                                                                                                                                                                                                                          |                             |         |          | 71400                  | Service Contracts - individuals  |                         | 4,000.00               | 8,000.00               | 8,000.00               | 8,000.00               | 28,000.00   |
|                                                                                                              |                                                                                                                                                                                                                                                                                                                                                          |                             |         |          | 71600                  | Travels                          |                         | 2,000.00               | 8,000.00               | 8,000.00               | 20,000.00              | 38,000.00   |
|                                                                                                              |                                                                                                                                                                                                                                                                                                                                                          |                             |         |          | 72100                  | Contractual services - companies |                         |                        |                        |                        | 72,000.00              | 72,000.00   |
|                                                                                                              |                                                                                                                                                                                                                                                                                                                                                          |                             |         |          | 72500                  | Supplies                         |                         |                        |                        |                        |                        | -           |
|                                                                                                              |                                                                                                                                                                                                                                                                                                                                                          |                             |         |          | 74200                  | Audiovizual & Print production   |                         |                        | 8,000.00               | 8,000.00               | 16,000.00              | 32,000.00   |
|                                                                                                              |                                                                                                                                                                                                                                                                                                                                                          |                             |         |          |                        |                                  |                         |                        |                        |                        |                        |             |
|                                                                                                              |                                                                                                                                                                                                                                                                                                                                                          |                             |         |          |                        |                                  |                         |                        |                        |                        |                        |             |
|                                                                                                              |                                                                                                                                                                                                                                                                                                                                                          |                             |         |          |                        |                                  |                         |                        |                        |                        |                        |             |
|                                                                                                              |                                                                                                                                                                                                                                                                                                                                                          |                             |         |          | 75700                  | Trainings and Workshops          |                         | 8,000.00               | 8,000.00               | 8,000.00               | 16,000.00              | 40,000.00   |

| Expected Outputs                                                                                       | Planned Activities (Quantum)                                                                                                                                    | Responsible Party UNDP / RP | Fund ID | Donor ID  | Budgetary Account Code | Budget Account Description       | Amount year 2023 (USD)* | Amount Year 2024 (USD) | Amount Year 2025 (USD) | Amount Year 2026 (USD) | Amount Year 2027 (USD) | Total (USD)       |
|--------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------|---------|-----------|------------------------|----------------------------------|-------------------------|------------------------|------------------------|------------------------|------------------------|-------------------|
|                                                                                                        | global alliance; Activity 4.4 Identification of needed waste management investments.                                                                            |                             |         |           |                        |                                  |                         |                        |                        |                        |                        |                   |
|                                                                                                        | <b>Sub-total for Component 4</b>                                                                                                                                |                             |         |           |                        |                                  |                         | <b>34,000.00</b>       | <b>52,000.00</b>       | <b>52,000.00</b>       | <b>212,000.00</b>      | <b>350,000.00</b> |
| <b>Component 5</b><br><b>Empowering local communities and enterprises to improve waste management.</b> | <b>ACTIVITY 5: Empowering local communities and enterprises to improve waste management</b><br><i>Activity 5.1 Small Grant Programs in coastal communities.</i> | UNDP COs                    | 30000   | Gov of RF | 71200                  | International Consultants        |                         |                        |                        |                        |                        | -                 |
|                                                                                                        |                                                                                                                                                                 |                             |         |           | 71300                  | Local Consultants                |                         | 40,000.00              | 40,000.00              | 40,000.00              | 80,000.00              | 200,000.00        |
|                                                                                                        |                                                                                                                                                                 |                             |         |           | 71400                  | Service Contracts - individuals  |                         | 4,000.00               | 12,000.00              | 12,000.00              | 12,000.00              | 40,000.00         |
|                                                                                                        |                                                                                                                                                                 |                             |         |           | 71600                  | Travels                          |                         |                        |                        |                        |                        | -                 |
|                                                                                                        |                                                                                                                                                                 |                             |         |           | 72100                  | Contractual services - companies |                         | -                      | 80,000.00              | 200,000.00             | 280,000.00             | 560,000.00        |
|                                                                                                        |                                                                                                                                                                 |                             |         |           | 72500                  | Supplies                         |                         |                        |                        |                        |                        | -                 |
|                                                                                                        |                                                                                                                                                                 |                             |         |           | 74200                  | Audiovisual & Print production   |                         |                        | 12,000.00              | 12,000.00              |                        | 24,000.00         |
|                                                                                                        |                                                                                                                                                                 |                             |         |           | 75700                  | Trainings and Workshops          |                         | 16,000.00              | 20,000.00              | 20,000.00              | 20,000.00              | 76,000.00         |
|                                                                                                        | <b>Sub-total for Component 5</b>                                                                                                                                |                             |         |           |                        |                                  |                         | <b>60,000.00</b>       | <b>164,000.00</b>      | <b>284,000.00</b>      | <b>392,000.00</b>      | <b>900,000.00</b> |
| <b>Component 6</b><br><b>Communication and Stakeholder Involvement.</b>                                |                                                                                                                                                                 | UNEP                        | 30000   | Gov of RF | 71200                  | International Consultants        |                         | 10,000.00              | 10,000.00              | 20,000.00              |                        | 40,000.00         |
|                                                                                                        |                                                                                                                                                                 |                             |         |           | 71300                  | Local Consultants                |                         | 45,000.00              | 55,000.00              | 80,000.00              |                        | 180,000.00        |
|                                                                                                        |                                                                                                                                                                 |                             |         |           | 71400                  | Service Contracts - individuals  |                         |                        |                        |                        |                        | -                 |
|                                                                                                        |                                                                                                                                                                 |                             |         |           | 71600                  | Travels                          |                         | 15,000.00              | 15,000.00              | 30,000.00              |                        | 60,000.00         |

| Expected Outputs              | Planned Activities (Quantum)                                                                                                                                                                                                                                                                                 | Responsible Party UNDP / RP | Fund ID | Donor ID  | Budgetary Account Code | Budget Account Description       | Amount year 2023 (USD)* | Amount Year 2024 (USD) | Amount Year 2025 (USD) | Amount Year 2026 (USD) | Amount Year 2027 (USD) | Total (USD) |
|-------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------|---------|-----------|------------------------|----------------------------------|-------------------------|------------------------|------------------------|------------------------|------------------------|-------------|
|                               | ACTIVITY 6: Proactive communication and stakeholder awareness on reducing plastic waste<br><i>Activity 6.1<br/>Establishment of a Regional network of regional and local stakeholders.<br/>Activity 6.2<br/>Awareness raising and advocacy - development of communication and awareness raising strategy</i> |                             |         |           | 72100                  | Contractual services - companies |                         |                        |                        |                        |                        | -           |
|                               |                                                                                                                                                                                                                                                                                                              |                             |         |           | 72500                  | Supplies                         |                         |                        |                        |                        |                        | -           |
|                               |                                                                                                                                                                                                                                                                                                              |                             |         |           | 74200                  | Audiovizual & Print production   |                         |                        | 10,000.00              | 20,000.00              |                        | 30,000.00   |
|                               |                                                                                                                                                                                                                                                                                                              |                             |         |           | 75700                  | Trainings and Workshops          |                         | 10,000.00              | 10,000.00              | 10,000.00              |                        | 30,000.00   |
|                               |                                                                                                                                                                                                                                                                                                              |                             |         |           |                        |                                  |                         |                        |                        |                        |                        |             |
|                               |                                                                                                                                                                                                                                                                                                              |                             |         |           | 74100                  | Management services              |                         | 5,600.00               | 7,000.00               | 11,200.00              |                        | 23,800.00   |
|                               | Sub-total for Component 6                                                                                                                                                                                                                                                                                    |                             |         |           |                        |                                  | 85,600.00               | 107,000.00             | 171,200.00             | -                      | 363,800.00             |             |
| Project Management Monitoring | ACTIVITY 7_UNDP: Project                                                                                                                                                                                                                                                                                     | UNDP                        | 30000   | Gov of RF | 67000                  | Staff-NP Costs                   |                         | 15,000.00              | 45,000.00              | 45,000.00              | 45,000.00              | 30,000.00   |
|                               |                                                                                                                                                                                                                                                                                                              |                             |         |           | 71200                  | International Consultants        | 4,375.00                | 50,000.00              |                        |                        | 20,000.00              | 74,375.00   |

| Expected Outputs               | Planned Activities (Quantum)                                               | Responsible Party UNDP / RP | Fund ID | Donor ID  | Budgetary Account Code         | Budget Account Description       | Amount year 2023 (USD)* | Amount Year 2024 (USD) | Amount Year 2025 (USD) | Amount Year 2026 (USD) | Amount Year 2027 (USD) | Total (USD) |   |
|--------------------------------|----------------------------------------------------------------------------|-----------------------------|---------|-----------|--------------------------------|----------------------------------|-------------------------|------------------------|------------------------|------------------------|------------------------|-------------|---|
| Monitoring and Evaluation      | management and evaluation<br>Project Initiation Plan<br>Project Management | Subtotal UNDP               |         |           | 71400                          | Contractual services-individuals | 1,707.94                | 13,917.06              | 10,000.00              | 10,000.00              | 10,000.00              | 165,625.00  |   |
|                                |                                                                            |                             |         |           | 71600                          | Travels                          |                         | 5,000.00               | 10,000.00              | 10,000.00              | 5,000.00               | 30,000.00   |   |
|                                |                                                                            |                             |         |           | 72500                          | Supplies                         |                         | 570.30                 | 800.00                 | 800.00                 | 800.00                 | 2,970.30    |   |
|                                |                                                                            |                             |         |           |                                |                                  | 6,082.94                | 84,487.41              | 65,800.00              | 65,800.00              | 80,800.00              | 302,970.35  |   |
|                                |                                                                            |                             |         |           | 67000                          | Staff-NP/IP DPC/DSS Costs        |                         | 47,500.00              | 72,500.00              | 72,500.00              | 72,500.00              | 265,000.00  |   |
|                                | ACTIVITY 7_UNEP: Project management                                        | UNEP                        | 30000   | Gov of RF | 71200                          | International Consultants (UNV)  |                         | 30,000.00              | 30,000.00              | 30,000.00              | 30,000.00              | 120,000.00  |   |
|                                |                                                                            |                             |         |           | 71400                          | Contractual services-individuals |                         |                        |                        |                        |                        |             | - |
|                                |                                                                            |                             |         |           | 71600                          | Travels                          |                         | 12,500.00              | 15,285.05              | 12,500.00              | 12,500.00              | 52,785.05   |   |
|                                |                                                                            |                             |         |           | 72200                          | Equipment and furniture          |                         |                        |                        |                        |                        |             | - |
|                                |                                                                            |                             |         |           | 72500                          | Supplies                         |                         |                        |                        |                        |                        |             | - |
| 74200                          |                                                                            |                             |         |           | Audiovizual & Print production |                                  |                         |                        |                        |                        |                        | -           |   |
| 75700                          |                                                                            |                             |         |           | Trainings and Workshops        |                                  |                         |                        |                        |                        |                        | -           |   |
| 74100                          |                                                                            |                             |         |           | Management services            |                                  | 6,300.00                | 8,244.95               | 8,050.00               | 8,050.00               | 30,644.95              |             |   |
|                                | subtotal UNEP                                                              |                             |         |           |                                | -                                | 96,300.00               | 126,029.95             | 123,050.00             | 123,050.00             | 468,429.95             |             |   |
|                                | Sub-total Project Management                                               |                             |         |           |                                | 6,082.94                         | 180,787.41              | 191,829.95             | 188,850.00             | 203,850.00             | 771,400.30             |             |   |
| Subtotal                       |                                                                            |                             |         |           |                                | 6,082.94                         | 701,903.19              | 912,569.95             | 1,083,090.00           | 999,324.22             | 3,702,970.30           |             |   |
| General Management Services 8% |                                                                            |                             |         |           |                                | 486.64                           | 56,152.26               | 73,005.60              | 86,647.20              | 79,945.94              | 296,237.62             |             |   |
| Total costs                    |                                                                            |                             |         |           |                                | 6,569.58                         | 758,055.45              | 985,575.55             | 1,169,737.20           | 1,079,270.16           | 3,999,207.92           |             |   |

\* Project Initiation Plan costs

## Governance and Management Arrangements

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

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

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

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

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

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

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

Specific responsibilities of the PSC include the following:

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

- Agree or decide on project tolerances as required, within the parameters set in UNDP policies, and provide direction and decisions for exceptional situations when the project tolerances are exceeded. The budget revision up to 25% to re-phase activities among years, will not require prior approval of the PSC.
- Advise on major and minor amendments to the project within the parameters set by UNDP and the donor.
- Provide high-level direction and recommendations to the project management unit to ensure that the agreed deliverables are produced satisfactorily according to plans.
- Receive and address project level grievance, including overseeing whatever specific compliance and stakeholder response (or grievance) mechanisms have been put in place so that individuals and communities potentially affected by the project have access to effective mechanisms and procedures for raising concerns about the social and environmental performance of the project<sup>8</sup>.
- Engage in the low value grant selection process where there is no Grant Selection Committee, as guided by the UNDP policy on Low Value Grants.
- Act as an informal consultation mechanism for stakeholders.

### Composition of the Project Steering Committee:

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

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

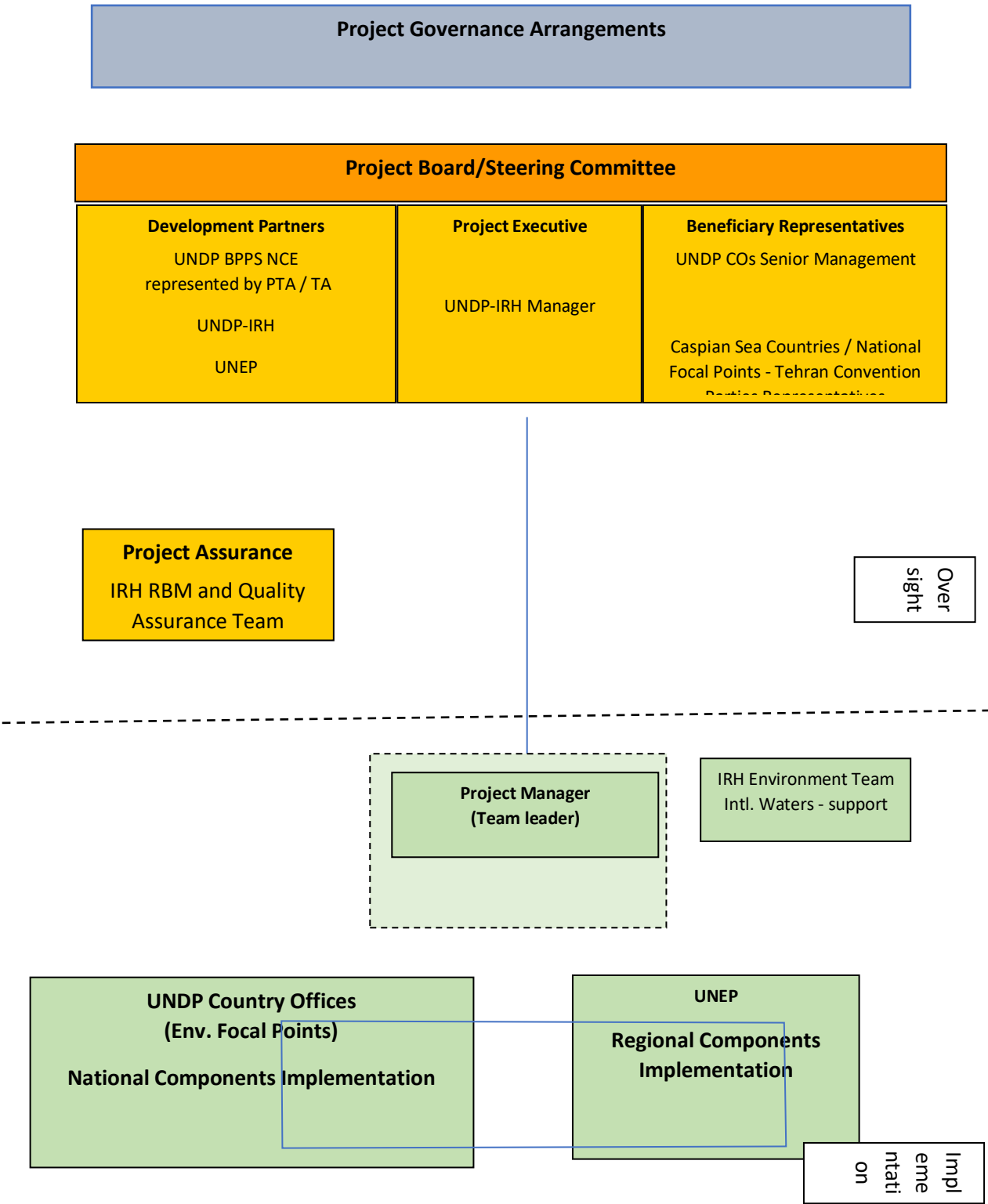
### Support Functions to the PSC

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

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

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

<sup>8</sup> The responsibilities of the board in this regard should follow [UNDP's Social and Environmental Standards](#) (SES) as codified in the PPM. It should be noted that while a project board can play a role in addressing or assisting with the compliance and stakeholder response (or grievance) mechanisms put in place for a given project (as part of their quality assurance and oversight function), this will be in addition to and does not substitute for UNDP's core responsibility to ensure compliance with the SES throughout the project management cycle as part of UNDP's Programming Quality Assurance system.



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

## Legal Context

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

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

## Risk Management

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the [project funds]<sup>9</sup> [UNDP funds received pursuant to the Project Document]<sup>10</sup> are used to provide support to individuals or entities associated with terrorism, that the recipients of any amounts provided by UNDP hereunder do not appear on the United Nations Security Council Consolidated Sanctions List, and that no UNDP funds received pursuant to the Project Document are used for money laundering activities. The United Nations Security Council Consolidated Sanctions List can be accessed via <https://www.un.org/securitycouncil/content/un-sc-consolidated-list>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. In the implementation of the activities under this Project Document, UNDP as the Implementing Partner will handle any sexual exploitation and abuse ("SEA") and sexual harassment ("SH") allegations in accordance with its regulations, rules, policies and procedures.
6. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
7. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor, and sub-recipient:
  - a. Consistent with the Article III of the SBA *[or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP's property in such responsible party's,

<sup>9</sup> To be used where UNDP is the Implementing Partner

<sup>10</sup> To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

subcontractor's and sub-recipient's custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:

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

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

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

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

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

**ANNEXES**

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

ASM-06673 - Quality Assurance - Design

Procedure Year: 2024

Overall Project Risk Categorization: ● Highly Satisfactory

Procedure Status: Approved

Procedure Name: ASM-06673

Procedure Department: HQ - Reg Centre - Istanbul      Procedure Type: Design

Record Owner: Rayza Oblitas

Created by: Rayza Oblitas,4/22/2024, 3:22 AM    Last Modified by: Abusabeeb Elsadig,9/16/2024, 6:01 AM

Decision:

QA Summary/Project Board Comments:

| RELATED PROJECTS(1) |                            |          |                      |            |            |
|---------------------|----------------------------|----------|----------------------|------------|------------|
| NAME                | DEPARTMENT                 | STATUS   | ATLAS PROJECT NUMBER | START DATE | END DATE   |
| 00129817            | HQ - Reg Centre - Istanbul | On Going | 00140799             | 12/20/2021 | 12/31/2027 |

| RELATED SESPS(1) |                                                     |                |
|------------------|-----------------------------------------------------|----------------|
| PARENT PROCEDURE | PROCEDURE TYPE                                      | PROCEDURE YEAR |
| ASM-06674        | SESP (Social and Environmental Screening Procedure) | 2024           |

Approval History

Approval Date: Mon Sep 16 00:00:00 GMT 2024  
<abusabeeb.elsadig@undp.org>

Approved By: Abusabeeb Elsadig

| APPROVAL HISTORY           |                     |          |                   |
|----------------------------|---------------------|----------|-------------------|
| STEP NAME                  | DATE                | STATUS   | ASSIGNED TO       |
| Submitted for Approval     | 2024-09-16 06:01:52 | Approved | Abusabeeb Elsadig |
| Approval Request Submitted | 2024-09-12 02:29:40 | Started  | Vladimir Mamaev   |

QA Questionnaire:

Strategic

Status: Complete

Quality Rating: Highly Satisfactory

**1. Does the project specify how it will contribute to higher level change through linkage to the programme's Theory of Change?**

☒ 3: The project is clearly linked to the programme's theory of change. It has an explicit change pathway that explains how the project will contribute to outcome level change and why the project's strategy will likely lead to this change. This analysis is backed by credible evidence of what works

☐ effectively in this context and includes assumptions and risks.

☐ 2: The project is clearly linked to the programme's theory of change. It has a change pathway that explains how the project will contribute to outcome-level change and why the project strategy will likely lead to this change.

☐ 1: The project document may describe in generic terms how the project will contribute to development results, without an explicit link to the programme's theory of change.

**\*Note: Projects not contributing to a programme must have a project-specific Theory of Change. See alternative question under the information icon for these cases.**

**\*Note: Risk management must be done for criteria with score of 1.**

The project design describes the development challenges and a Theory of Change (TOC) is presented in the ProDoc – Annex 4. The TOC is based on the logical links between outputs, outcomes and expected impacts taking into account the barriers, risks and assumptions identified.

## 2. Is the project aligned with the UNDP Strategic Plan?

3: The project responds to at least one of the development settings as specified in the Strategic Plan and adapts at least one Signature Solution. The project's RRF includes all the relevant SP output indicators. (all must be true)

2: The project responds to at least one of the development settings as specified in the Strategic Plan. The project's RRF includes at least one SP output indicator, if relevant. (both must be true)

1: The project responds to a partner's identified need, but this need falls outside of the UNDP Strategic Plan. Also select this option if none of the relevant SP indicators are included in the RRF.

**\*Note: Risk management must be done for criteria with score of 1.**

### Evidence (Enter a short explanation or upload a document that provides evidence for your response)

The project is linked with the UNDP Strategic Plan, 2022-2025, and the Integrated Results and Resources Framework (IRRF). It lines up with

Signature Solution 4: Environment, Result 4.1: Natural resources protected and managed to enhance sustainable productivity and livelihoods and Result 4.2 Public and Private Investment Mechanisms mobilized for biodiversity, water, oceans and climate solutions. The Project is

relevant to the Regional Programme Outcome 3: Resilience built to respond to systemic uncertainty and risk/ Output 3.4: Natural resources

protected and managed to enhance sustainable productivity and livelihoods.

The Project Results Framework has indicators and targets that are relevant to the UNDP SP and IRRF. This project will contribute to the

following Sustainable Development Goals: SDG 6, SDG 11, SDG 13, SDG 15. The project is consistent with national country programmes.

## 3. Is the project linked to the programme outputs? (i.e., UNSDCF/CPD, RPD or Strategic Plan IRRF for strategic interventions not part of a programme)

☐ YES

☒ NO

**\*Note: Project QA cannot be approved by Project QA Approver when the response is "No".**

### Evidence (Enter a short explanation or upload a document that provides evidence for your response)

Within the UNDP Strategic Plan, 2022-2025, the project is contributing to the Development Outputs, inked to Result 4.1 (Indicator 4.1.2 Natural resources that are managed under a sustainable use, conservation, access, and benefit-sharing regime) and Result 4.2 (Indicator 4.2.1 Number of people directly benefitting from mechanisms for biodiversity, water, oceans, and climate solutions funded by public and/or private sector resources). The project contributes to the Regional Programme Outcome 3: Resilience built to respond to systemic uncertainty and risk/ Output 3.4: Natural resources protected and managed to enhance sustainable productivity and livelihoods (SP Output 4.1)/ Output indicator

3.4.1: Natural resources that are managed under a sustainable use, conservation, access, and benefit-sharing regime.

Relevant  
Satisfactory

Status: Complete

Quality Rating: Highly

## 4. Does the project identify target groups, and particularly those marginalized, vulnerable and left further behind

**(LNOB)**

3: The LNOB target groups are clearly specified, prioritising discriminated, and marginalized groups left furthest behind, identified through a rigorous process based on evidence.

2: The LNOB target groups are clearly specified, prioritizing groups left furthest behind. 1: The LNOB target groups are not clearly specified.

**\*Note: Risk management must be done for criteria with score of 1. Projects that build institutional capacity should still identify targeted groups to justify support.**

**Evidence (Enter a short explanation or upload a document that provides evidence for your response)**

Annexes to the Project Document provide Stakeholder analysis and engagement plans and a Gender Analysis and Action Plan.

**5. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design?**

3: Knowledge and lessons learned backed by credible evidence from sources such as evaluation, corporate policies/strategies, and/or monitoring have been explicitly used, with appropriate referencing, to justify the approach used by the project.

2: The project design mentions knowledge and lessons learned backed by evidence/sources but have not been used to justify the approach selected.

1: There is little, or no mention of knowledge and lessons learned informing the project design. Any references made are anecdotal and not backed by evidence.

**\*Note: Risk management must be done for criteria with score of 1.**

**Evidence (Enter a short explanation or upload a document that provides evidence for your response)**

Through Component 6 (Proactive communication and stakeholder awareness on reducing plastic waste – to be executed by UNEP Tehran Convention Secretariat) a detailed plan will be prepared during project inception. It is planned to use the UNDP experience from the Black

Sea project, as well as coordinate with relevant national activities in the project beneficiary countries. Where appropriate the project will also make links with the GEF IW:LEARN programme and the GEF Integrated Programme on Circular Economy to address plastic waste.

6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national / regional / global partners and other actors?

3: An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project, including identification of potential funding partners. It is clear how results achieved by partners will complement the project's intended results and a communication strategy is in place to communicate results and raise visibility vis-à-vis key partners. Options for south-south and triangular cooperation have been considered, as appropriate. (all must be true)

2: Some analysis has been conducted on the role of other partners in the area where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project, with unclear funding and

communications strategies or plans.

1: No clear analysis has been conducted on the role of other partners in the area that the project intends to work. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been

considered, despite its potential relevance.

**\*Note: Risk management must be done for criteria with score of 1.**

**Evidence (Enter a short explanation or upload a document that provides evidence for your response)**

UNDP has Country Office representation in all the Caspian Sea countries who will be responsible for project execution of Components 3, 4 and 5. IRH office has experience with implementation of the marine regional projects ( the Black Sea). The project will also be supported via the UNEP administered Tehran Convention Secretariat (executing Components 1, 2 and 6). The Tehran Convention serves as an overarching governance framework which lays down the general requirements and the institutional mechanism for environmental protection and

sustainable development in the Caspian Sea region.

Principled  
Satisfactory

Status: Complete

Quality Rating:

7. Does the project apply a human rights-based approach?

3: The project is guided by human rights and incorporates the principles of accountability, meaningful participation, and non-discrimination in the project's strategy. The project upholds the relevant international and national laws and standards. Any potential adverse impacts on enjoyment of

human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. (all must be true)

2: The project is guided by human rights by prioritizing accountability, meaningful participation and non-discrimination. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget. (both must be true)

1: No evidence that the project is guided by human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered

**\*Note: Risk management must be done for criteria with score of 1.**

**Evidence (Enter a short explanation or upload a document that provides evidence for your response)**

Human rights issues were considered during project development and potential adverse impacts on enjoyment of human rights were

identified and assessed under the SESP process. A safe, clean, healthy and sustainable environment is integral to the full enjoyment of a wide range of human rights, including the rights to life, health, food, water and sanitation. Therefore, the project fits well in the overall concept of human rights.

**8. Does the project use gender analysis in the project design?**

3: A participatory gender analysis has been conducted and results from this gender analysis inform the development challenge, strategy and

expected results sections of the project document. Outputs and indicators of the results framework include explicit references to gender equality, and specific indicators measure and monitor results to ensure women are fully benefitting from the project. (all must be true)

2: A basic gender analysis has been carried out and results from this analysis are scattered (i.e., fragmented and not consistent) across the

development challenge and strategy sections of the project document. The results framework may include some gender sensitive outputs and/or activities but gender inequalities are not consistently integrated across each output. (all must be true)

1: The project design may or may not mention information and/or data on the differential impact of the project's development situation on gender relations, women and men, but the gender inequalities have not been clearly identified and reflected in the project document.

**\*Note: Risk management must be done for criteria with score of 1.**

**Evidence (Enter a short explanation or upload a document that provides evidence for your response)**

A gender analysis has been carried out and results of this analysis are provided in the form of project recommendations (incorporated into project design) and a gender action plan. Both are provided in Annex 7 of the ProDoc. The project results framework includes targets for women's meaningful participation in the project.

**9. Did the project support the resilience and sustainability of societies and/or ecosystems?**

3: Credible evidence that the project addresses sustainability and resilience dimensions of development challenges, which are integrated in the project strategy and design. The project reflects the interconnections between the social, economic and environmental dimensions of sustainable

development. Relevant shocks, hazards and adverse social and environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. (all must be true)

2: The project design integrates sustainability and resilience dimensions of development challenges. Relevant shocks, hazards and adverse social and environmental impacts have been identified and assessed, and relevant management and mitigation measures incorporated into project design and

budget. (both must be true)

☐ 1: Sustainability and resilience dimensions and impacts were not adequately considered.

**\*Note: Risk management must be done for criteria with score of 1.**

**Evidence (Enter a short explanation or upload a document that provides evidence for your response)**

The project is building capacity to assist with reducing the quantity of ML (and specifically plastic waste) discharge to water courses and marine locations. This will assist with enhancing the environmental status of the marine environment that will benefit ecosystem services provided and reduce impacts on human health from plastic waste (micro plastics and additives –e.g. POPs) reduced.

10. **Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks? The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of the preparation and dissemination of reports and communication materials; organization of events, workshops, or training; strengthening capacities of partners to participate in international negotiations and conferences; partnership coordination (including UN coordination) and management of networks; and global/regional projects with no country-level activities as well as Development Effectiveness projects and Institutional Effectiveness projects. [If yes, upload the completed checklist. If SESP is not required, Select all exemption criteria that apply.]**

- ☐ Y  
☐ es  
☐ N  
☐ o

SESP not required because project consists solely of (Select all exemption criteria that apply)

**\*Applicable only to option "SESP not required"**

1: Preparation and dissemination of reports, documents and communication materials 2: Organization of an event, workshop, training

3: Strengthening capacities of partners to participate in international negotiations and conferences 4: Partnership coordination (including

☐ UN coordination) and management of networks

☒ 5: Global/regional projects with no country level activities (e.g. knowledge management, inter-governmental processes) 6: UNDP acting as Administrative Agent

☐ 7: Development Effectiveness projects and Institutional Effectiveness projects

**\*Note: Project QA cannot be approved by Project QA Approver when the response is "No".**

**Evidence (Enter a short explanation or upload a document that provides evidence for your response)**

The SESP has been carried out during the project preparation and relevant SESP Report is included as Annex 2 of the ProDoc. Environmental Social Management Framework (ESMF) and other SES frameworks/plans will be developed as needed.

Management & Monitoring  
 Satisfactory

Status: Complete

Quality Rating:

11. **Does the project have a strong results framework?**

☐ 3: The project's selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators that measure the key expected development changes, each with credible data sources and populated baselines and targets, including gender sensitive, target group focused, sex-disaggregated indicators where appropriate. (all must be true)

2: The project's selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of target group focused, sex-disaggregated indicators, as appropriate. (all must be true)

1: The project's selection of outputs and activities are not at an appropriate level; outputs are not accompanied by SMART, results-oriented

indicators that measure the expected change and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators. (if any is true)

**\*Note: Risk management must be done for criteria with score of 1.**

**Evidence (Enter a short explanation or upload a document that provides evidence for your response)**

The project results framework specifies outcome-level targets and indicators. The project results framework is populated by result-oriented and SMART indicators. The baseline is specified in all cases unless the outcome indicator is designed to measure the introduction of

something that does not yet exist. The project also includes gender sensitive, target group-focused, and sex-disaggregated indicators. The

results framework will be reviewed during the inception phase and might be refined as needed.

**12. Is the project's governance mechanism clearly defined in the project document, including composition of the project board?**

3: The project's governance mechanism is fully defined. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. (all must be true)

2: The project's governance mechanism is defined; specific institutions are noted as holding key governance roles, but individuals may not have

been specified yet. The project document lists the most important responsibilities of the project board, project director/manager and quality assurance roles. (all must be true)

1: The project's governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided.

**\*Note: Risk management must be done for criteria with score of 1.**

**Evidence (Enter a short explanation or upload a document that provides evidence for your response)**

The project's Governance and Management Arrangements are provided in the Chapter VIII of the Project Document. It specifies the role of the UNDP IRH, COs and UNEP (Responsible party), overall organizational structure considering the Project Quality Assurance, Project

Management Unit, Expert Groups and Country teams. The ProDoc also lists the roles and responsibilities of the project board, the project manager, and quality assurance roles for both UNDP and the implementing partner.

13. **Have the project risks been identified using the risk assessment tools (Project Quality Assurance, Social and Environmental Screening Procedure, Partner Capacity Assessment Tool, Harmonized Approach to Cash Transfer, Private Sector Due Diligence, etc., if applicable), with clear plans stated to manage and mitigate each risk?**

3: Project risks related to the achievement of results are fully described in the project risk register, based on comprehensive analysis drawing on the programme's theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis such as

funding potential and reputational risk. Risks have been identified through a consultative process with key internal and external stakeholders, including consultation with the UNDP Security Office as required. Clear and complete plan in place to manage and mitigate each risk, including security risks,

reflected in project budgeting and monitoring plans. (both must be true)

2: Project risks related to the achievement of results are identified in the initial project risk register based on a minimum level of analysis and consultation, with mitigation measures identified for each risk.

1: Some risks may be identified in the initial project risk register, but no evidence of consultation or analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified, no initial risk log is included with the project document and/or no security risk management process has taken place for the project.

**\*Note: Risk management must be done for criteria with score of 1.**

**Evidence (Enter a short explanation or upload a document that provides evidence for your response)**

Project risks related to the achievement of results are fully described in the project risk log. Risks have been identified based on stakeholder consultation and on results from the SESP. Mitigation measures are provided for each risk identified. Potential means to monitor and manage risks, will be the responsibility of the Project Manager, supported by appropriate technical support... e.g. consultants responsible to SESP, Gender Action Plan and technical experts.

Efficient

Status: Complete

Quality Rating: Highly

Satisfactory

14. **Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design?**

☒ Y  
☐ es  
☐ N  
☐ o

**\*Note: Risk management must be done when the response is "No".**

**Evidence (Enter a short explanation or upload a document that provides evidence for your response)**

UNDP IRH has specific experience with implementation of marine environmental projects (current EU funded EU4EMBLAS – for the Black Sea, as well as GEF funded Black Sea Large Marine Ecosystems project). UNEP as a Responsible Party in the project is implementing 3 regional

components related to data collection, development of policies and stakeholder awareness. UNEP is administering the Tehran Convention

Secretariat, which is currently the coordinating body for the implementation of the Tehran Convention on Protection of the Marine

Environment of the Caspian Sea . Therefore, DIM modality, as well as selection of the UNEP as the RP is a cost efficient option to implement present project.

15. **Is the budget justified and supported with valid estimates?**

3: The project's budget is at the activity level with funding sources, and is specified for the duration of the project period in a multi-year budget. Realistic resource mobilisation plans are in place to fill unfunded components. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget. Adequate costs for monitoring, evaluation, communications and security have been incorporated.

2: The project's budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget, but no funding plan is in place. Costs are supported with valid estimates based on prevailing rates.

1: The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget.

**\*Note: Risk management must be done for criteria with score of 1.**

**Evidence (Enter a short explanation or upload a document that provides evidence for your response)**

The project budget is provided at the component/activity level, with funding source and is specified for the duration of the project in a multi- year budget. Currently the funding is secured by 75%. The regional components are expected to be implemented in full, while the nationally implemented components are currently foreseen as partially implemented, depending on funds availability. Costs are supported with estimates using benchmarks from similar projects. Additional planning will take place during project inception and subject to approval by the Project Board/Steering Committee.

16. **Is the Country Office / Regional / Global Project fully recovering the costs involved with project implementation?**

3: The budget fully covers all project costs that are attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement,

human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.)

2: The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant. 1: The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project.

**\*Note: Risk management must be done for criteria with score of 1. The budget must be revised to fully reflect the costs of implementation before the project commences.**

The project is implemented under DIM, therefore its budget fully covers all project costs attributable to the project and in accordance with prevailing UNDP policies, including all costs related to the project management, quality assurance, procurement, finance & administration, etc..

**Evidence (Enter a short explanation or upload a document that provides evidence for your response)**

Effective  
Satisfactory

Status: Complete

Quality Rating:

**17. Have targeted groups, and particularly those marginalized, vulnerable, and left further behind (LNOB), been engaged in the design of the project?**

☐ 3: Credible evidence that all targeted groups, prioritising discriminated, vulnerable and marginalized populations that will be involved in or affected by the project, have been actively engaged in the design of the project. The project has an explicit strategy to identify, engage and ensure the meaningful participation of target groups as stakeholders throughout the project, including through monitoring and decision-making (e.g.,

representation on the project board, inclusion in samples for evaluations, etc.)

2: Some evidence that key targeted groups have been consulted in the design of the project. 1: No evidence of engagement with

☐ targeted groups during project design.

☐ Not Applicable

**\*Note: Risk management must be done for criteria with score of 1.**

**Evidence (Enter a short explanation or upload a document that provides evidence for your response)**

The key stakeholders, national and international were involved in project preparation and inputs have been considered in the Project

Document. Further consultations and refinement of the project activities is expected during project inception phase and where necessary will be the subject of updates to the SESP and approval by the Project Board/Steering Committee.

**18. Does the project plan for adaptation and course correction if regular monitoring activities, evaluation, and lesson learned demonstrate there are better approaches to achieve the intended results and/or circumstances change during implementation?**

☐ Y

☐ es

☐ N

☐ o

**\*Note: Risk Management must be done when the response is "No".**

**Evidence (Enter a short explanation or upload a document that provides evidence for your response)**

The Monitoring & Evaluation plan is set in the Project Document – Chapter VI. The project provides for the collection of lessons learned and communication of these results to project management and other stakeholders during project implementation. Adaptive management is an essential feature of all UNDP projects. The principal mechanism for this is through meetings of the project steering committee (board) which can make modifications to the project design.

**19. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.**

☐ Y

☐ es

N  
O

**\*Note: Risk management must be done when the response is "No".**

**Evidence (Enter a short explanation or upload a document that provides evidence for your response)**

The gender marker for all project outputs is scored at GEN 1 with potential for GEN2, depending on the budgetary allocations, activities targeting and encouraging gender mainstreaming are fully considered in the project.

**20. Have societal digital risks and opportunities been taken into account when designing the project's approach and have digital or data technology solutions been considered to enhance the efficiency, effectiveness and scalability of project results?**

3: To the extent possible, societal digital risks and opportunities have been investigated when designing the strategy and Theory of Change, and the potential use of digital or data technologies in project activities has been considered in line with UNDP's digital standards and data principles. (All must be true)

2: Only the potential use of digital or data solutions in project activities has been considered in line with UNDP's digital standards and data

principles, but there is no or limited evidence that aspects of inclusive digital societies have been considered in the design of the strategy or Theory of Change.

1: Neither societal digital risks and opportunities, nor digital or data technology solutions were specifically considered in the project design or,

UNDP's digital standards and data principles are not taken into account when intending to use digital or data technology solutions in project activities.

Digital considerations are not relevant to this project.

**\*Applicable only to option "Digital considerations are not relevant"**

1: Societal digital transformation is not a government or contextual priority 2: A non-digital approach yields higher effectiveness and efficiency

3: Other (specify in the "Evidence" section)

**\*Note: Risk management must be done for criteria with score of 1.**

**Evidence (Enter a short explanation or upload a document that provides evidence for your response)**

The project (Component 6) will involve the establishment of knowledge management and awareness raising activities (under the coordination of UNEP TC). The linkages with existing systems within UNEP TC will be further elaborated during project inception, including review of the potential use of digital or data solutions in project activities.

Sustainability & National Ownership

Status: Complete

Quality Rating:

Exemplary



21. **Have national / regional / global partners led, or proactively engaged in, the design of the country / regional / global project, respectively?**

3: National / regional / global partners have full ownership of the country / regional / global project and led the process of the development of the project jointly with UNDP.

2: The project has been developed by UNDP in close consultation with national / regional / global partners. 1: The project has been developed by UNDP with limited or no engagement with national partners.

**\*Note: Risk management must be done for criteria with score of 1.**

**Evidence (Enter a short explanation or upload a document that provides evidence for your response)**

The 4 beneficiary countries in the project have full ownership of the project and contributed to the process of the development of the Project Document. Further fine-tuning of the project activities is foreseen during the inception phase. The role of UNEP TC. This is key to the long

term sustainability of the results within the region through the Commission.

22. **Are key institutions and systems identified, and is there a strategy for strengthening specific / comprehensive capacities based on capacity assessments conducted?**

3: The project has a strategy for strengthening specific capacities of national institutions and/or actors based on a completed capacity assessment.

This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly.

2: A capacity assessment has been completed. There are plans to develop a strategy to strengthen specific capacities of national institutions and/or actors based on the results of the capacity assessment.

1: Capacity assessments have not been carried out Not Applicable

**\*Note: Risk management must be done for criteria with score of 1.**

**Evidence (Enter a short explanation or upload a document that provides evidence for your response)**

The project does not specify particular institutions, where the capacity building will be needed. However, during the inception phase or during project implementation relevant institutions may be identified.

23. **Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.) to the extent possible?**

Y

es

N

o

Not Applicable

**\*Note: Risk management must be done when the response is "No".**

**Evidence (Enter a short explanation or upload a document that provides evidence for your response)**

Not applicable to this regional project. The project is DIM, therefore UNDP administrative and financial rules and procedures will be applied. Where relevant, UNEP as a responsible party will use own financial and admin procedures, as UN agency. At the same time, UNDP and UNEP will work closely with national partners as needed.

24. Is there a clear transition arrangement / phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation and communications strategy)?

Y  
es  
N  
o

**\*Note: Risk management must be done when the response is "No".**

**Evidence (Enter a short explanation or upload a document that provides evidence for your response)**

The project will support the strengthening of the capacities of the beneficiary countries, as well as the capacities of the Tehran Convention

Secretariat. Involvement of the TC Secretariat will ensure that that countries will agree the results/recommendations made by the project and through the role of UNEP TC in the region the sustainability of the project results and follow-up actions where relevant will be facilitated.

ASM-06674 - SESP (Social and Environmental Screening Procedure)

Procedure Year: 2024

Overall Project Risk Categorization:  Moderate

Procedure Status: Approved

Procedure Name: ASM-06674

Procedure Type: Design

Procedure Department: HQ - Reg Centre - Istanbul

Record Owner: Rayza Oblitas

Created by: Rayza Oblitas,4/22/2024, 3:24 AM Last Modified by: Abusabeeb Elsadig,9/16/2024, 5:59 AM

| RELATED PROJECTS(1) |                            |          |                      |            |            |
|---------------------|----------------------------|----------|----------------------|------------|------------|
| NAME                | DEPARTMENT                 | STATUS   | ATLAS PROJECT NUMBER | START DATE | END DATE   |
| 00129817            | HQ - Reg Centre - Istanbul | On Going | 00140799             | 12/20/2021 | 12/31/2027 |

| RELATED QAS(1)   |                            |                |
|------------------|----------------------------|----------------|
| PARENT PROCEDURE | PROCEDURE TYPE             | PROCEDURE YEAR |
| ASM-06673        | Quality Assurance - Design | 2024           |

Triggered Requirements:

## Assessment

Status: Incomplete

Is assessment required? (Question only required for Moderate, Substantial and High Risk projects)

Targeted assessment(s) required?

es

Comments (for instance, please indicate the assessment type) (10000 Characters maximum)

Project will ensure that recommendations it provides for improving the plastic waste management policy and legal framework, and proposed solutions for plastic waste management are screened against the UNDP SES screening criteria, and consequently subject to targeted SE impact assessment. This will be conducted during project implementation.

Environmental and Social Impact Assessment (ESIA) required?

No

If yes, please indicate the status?

Comments (10000 Characters maximum)

Strategic Environmental and Social Assessment (SESA) required?

No

If yes, please indicate the status?

Comments (10000 Characters maximum)

## Management Plans

Status: Incomplete

Are management plans required? (Question only required for Moderate, Substantial and High Risk projects)

Targeted management plan(s) required?

Yes

Completed

Comments (for instance, please indicate the type of management plan) (10000 Characters maximum)

To be elaborated during the development of the full proposal: Gender Action Plan, Stakeholder Engagement Plan

No

If yes, please indicate the status?

Comments (10000 Characters maximum)

Environmental and Social Management Framework (ESMF) required?

No

If yes, please indicate the status?

Comments (10000 Characters maximum)

Identified Risks & Treatments:

Principle & Standard: Gender Equality and Women's Empowerment

Risk Significance:  Moderate

Triggered Principles:



Risk Significance:  Moderate

Event:

There is a risk that the Project may insufficiently involve women in their design and implementation or may not provide women with sufficient opportunities to utilize the benefits offered through them.

P2.9 adverse impacts on gender equality and women and girls’ situation P2.10 discrimination against women

Causes:

This risk applies horizontally throughout the project.

Women are not informed and involved in the project activities, as well as not sufficiently informed about the health impact of plastics pollution, relevant waste management practices, etc.

Impact:

The project might not be implemented in a gender-responsive manner, and sufficiently tackle structural changes of gender inequality. The project might discriminate against women or girls or reinforce gender-based discrimination and/or inequalities.

| RELATED TREATMENTS(1)    |                 |                        |        |          |
|--------------------------|-----------------|------------------------|--------|----------|
| ACTIVITIES FOR TREATMENT | EXPECTED EFFECT | TIME PLAN FOR COMPLETE | STATUS | COMMENTS |

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                |           |             |                                                                                                                                                                                                                                                                                                                                                                                        |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|-------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>The Project shall:</p> <ul style="list-style-type: none"> <li>· Use, to the extent possible, sex-disaggregated data in the project and activities' design</li> <li>· Understand impacts on women and girls, as well as the potential of women and girls to contribute to project implementation.</li> <li>· Promote meaningful and equitable participation of women and men.</li> <li>· Not discriminate against women or girls or reinforce gender-based discrimination and/or inequalities.</li> </ul> <p>Women organizations are included in the SEP, mentioned above.</p> <p>More information on specific actions for the project to mainstream gender equality in project activities is available in the</p> | <ul style="list-style-type: none"> <li>· Proper information and involvement of women / women groups in the project implementation •</li> </ul> <p>Health effects of microplastics on women is considered in identifying relevant research topics, women role in plastic waste management is recognized and women sufficiently participate in and benefit from the project.</p> | 6/30/2028 | Not Started | <p>Though it is still unknown how harmful microplastics are to human health, the fact that they are present in the human body and even end up in the placenta and amniotic fluid of pregnant women is cause for concern, according to researchers. Women, still predominantly responsible for household food and goods supply, may therefore be considered as agents for change in</p> |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|-------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

| RELATED TREATMENTS(1)                                                                                                                                               |                 |                        |        |                                                                                         |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|------------------------|--------|-----------------------------------------------------------------------------------------|
| ACTIVITIES FOR TREATMENT                                                                                                                                            | EXPECTED EFFECT | TIME PLAN FOR COMPLETE | STATUS | COMMENTS                                                                                |
| Gender Analysis and Action Plan (GAAP), enclosed to the project document.<br><br>Project plans to hire an expert on gender mainstreaming in project implementation. |                 |                        |        | decreasing the use of, especially household, plastics, and its transformation to waste. |

**Principle & Standard:** Accountability

**Risk Significance:** ■ Moderate

**Triggered Principles:** ✓

**Risk Significance:** ■ Moderate

**Event:**

There is a risk that the Project may involve or lead to exclusion of potentially affected and interested stakeholders, from being informed on and being engaged in relevant project activities and decisions that may affect them? This may result in raising their concerns and grievances.

P4.13 potential exclusion of affected stakeholders

P4.14 risks of grievances from potentially affected stakeholders

**Causes:**

This risk applies horizontally throughout the project but is mainly related to the Components 2,3, 4, 5, and 6. The relevant stakeholders are not informed and involved in the project activities.

**Impact:**

The project might not provide relevant stakeholders with opportunities to express their views on matters that affect them or might not adequately consider them and respond to them. This would violate UNDP commitments in SES part C, paragraph 20.

| RELATED TREATMENTS(1)    |                 |                        |        |          |
|--------------------------|-----------------|------------------------|--------|----------|
| ACTIVITIES FOR TREATMENT | EXPECTED EFFECT | TIME PLAN FOR COMPLETE | STATUS | COMMENTS |

|  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                                                                                                                                                                                                                        |           |         |  |  |
|--|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|---------|--|--|
|  | <p>Project has one component specifically focused on stakeholders' engagement. Component 6 Proactive Communication and Stakeholder Involvement (by UN Environment TC Secretariat) plans to establish a regional network of regional and local stakeholders, and to design and implement communication and awareness raising strategy.</p> <p>This component will be in line with the UNDP SES requirements for stakeholders' It will build on and complete the preliminary Stakeholder analysis and accompanying Stakeholder Engagement Plan (SEP), included in the project document. Preliminary SEP identifies key groups of stakeholders, including climate change, waste management focused NGOs, women organizations, and local, including female entrepreneurs, their role in the project and methods for their involvement in the specific project components that may concern them.</p> <p>Within the actions above, the project shall ensure that consultation processes will:</p> | <ul style="list-style-type: none"><li>• Properly designed and implemented SEP result in participative process of project activities' design and implementation.</li><li>• Relevant stakeholders are properly informed and involved in the project activities</li></ul> | 6/30/2028 | Ongoing |  |  |
|--|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|---------|--|--|

| RELATED TREATMENTS(1)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                 |                        |        |          |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|------------------------|--------|----------|
| ACTIVITIES FOR TREATMENT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | EXPECTED EFFECT | TIME PLAN FOR COMPLETE | STATUS | COMMENTS |
| <ul style="list-style-type: none"> <li>· Be initiated early in the relevant project activities' initiation, continued iteratively throughout the project life cycle, and adjusted as risks and impacts arise.</li> <li>· Be based on prior and timely disclosure of accessible, understandable, relevant and adequate information, including draft documents and plans.</li> <li>· Address social and environmental risks and adverse impacts, and the proposed measures and actions to address these.</li> <li>· Be gender and age-inclusive and responsive.</li> <li>· Dully consider the views obtained in proposal design and implementation</li> </ul> |                 |                        |        |          |

**Principle & Standard:** Standard 8: Pollution Prevention and Resource Efficiency

**Risk Significance:** ■ Moderate

**Triggered Principles:** ✓

**Risk Significance:** ■ Moderate

**Event:**

There is a risk that the project activities with currently unknown design parameters may not meet UNDP Social and Environmental Standards - (activities related to Project supported policy, legal and regulatory frameworks)

P3.0 sustainability and resilience

S1.14 transboundary environmental concerns

**Causes:**

This risk is related to the Component 2, where project will support revision of countries' waste legislation, development and approval of new legislation and the enforcement of the selected existing legislation. Policy, legal and regulatory frameworks are not designed properly.

**Impact:**

The project might fail to integrate environmental & social aspects in its support to the countries' plastic waste management policy, reforms, i.e , the supported waste management practices may have negative impact in domestic and transboundary context.

| RELATED TREATMENTS(1)    |                 |                        |        |          |
|--------------------------|-----------------|------------------------|--------|----------|
| ACTIVITIES FOR TREATMENT | EXPECTED EFFECT | TIME PLAN FOR COMPLETE | STATUS | COMMENTS |

|  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                                                                                                                                                                                                     |           |             |                                                                                                                                                                                                                                                                        |  |
|--|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|-------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
|  | <p>Project already plans to follow the existing best practice in the waste legislation revisions and ensure these are in line with the sustainability and resilience development objectives.</p> <p>Considering the high environmental, climate and social, including health, risks related to the waste management sector, project provided recommendations for improving policy, legal and regulatory framework shall be:</p> <ul style="list-style-type: none"><li>· Screened against the UNDP SES principle and standards.</li><li>· Assessed in terms of their compliance with the relevant national and</li></ul> | <ul style="list-style-type: none"><li>· Proposed revisions to national policy and legal frameworks support environmentally and socially sustainable plastic waste management •</li><li>Proposed waste management practices do not have negative impacts on environment and public health.</li></ul> | 6/30/2028 | Not Started | <p>Generation, management, and processing of waste, especially of plastics, is the sector involving considerable risk to the environment, human health, and well-being.</p> <p>Waste management laws, strategies, policies, and regulations set the principles and</p> |  |
|--|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|-------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|

| RELATED TREATMENTS(1)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                 |                        |        |                                                                                                                                     |  |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------|------------------------|--------|-------------------------------------------------------------------------------------------------------------------------------------|--|
| ACTIVITIES FOR TREATMENT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | EXPECTED EFFECT | TIME PLAN FOR COMPLETE | STATUS | COMMENTS                                                                                                                            |  |
| <p>international policy and legal framework for environmental and health impact assessment and protection, framework for combating climate change, for environmental justice, occupational health and safety, and other relevant areas.</p> <p>· Consulted with and communicated to affected and interested stakeholders (see the enclosed SEP)</p> <p>Project shall involve relevant technical expertise to support the simplified SESA process mentioned above. Information on involving SE safeguards expert is included in the draft Project Document and its budget.</p> |                 |                        |        | <p>requirements for the long-term sectoral development and create the framework for waste management actions and interventions.</p> |  |

**Risk Significance:** ■ Moderate

**Event:**

There is a risk that the project activities with currently unknown design parameters may not meet UNDP Social and Environmental Standards - project-recommended plastics waste management options, innovations, business models and private sector investments, once implemented, may contribute to climate change, involve impacts on environment, and on local communities' and workers' health and well-being. .

P3.0 sustainability and resilience

P1.5 inequitable or discriminatory impacts on affected populations

P2.9 adverse impacts on gender equality and women and girls' situation S1.14 transboundary environmental concerns

S2.4 GHG increases

S7.5 discriminatory working conditions S7.6 occupational health

and safety risks S8.2 waste generation

S8.3 use of hazardous materials

**Causes:**

The risk is related to the Components 3, 4, 5 .

Component 3 identifying and recommending plastic waste management options, innovations, business models and private sector investments.

Component 4 preliminary identifying investments in waste management through private sector engagement

Component 5 designing and implementing Small Grants Programme (SGP) aiming at improving separate containers collection and waste management at large

**Impact:**

The project might fail to integrate environmental, climate change and social considerations in recommended plastic waste management solutions and areas for investment.

| RELATED TREATMENTS(1)                                                                                                                                                                                                                                                                                 |                                                                                                                                        |                        |             |                                                                                                                                                                   |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------|------------------------|-------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| ACTIVITIES FOR TREATMENT                                                                                                                                                                                                                                                                              | EXPECTED EFFECT                                                                                                                        | TIME PLAN FOR COMPLETE | STATUS      | COMMENTS                                                                                                                                                          |
| Proposed solutions and areas for future investment, shall be screened against the UNDP SES principles and standards, and consequently, likely significant environmental and social effects (covering the direct effects and any relevant indirect, secondary, cumulative, and synergistic effects) of | · Solutions recommended by projects support environmentally and socially sustainable plastic waste management. • Project recommended / | 6/30/2028              | Not Started | Under the component 3 the project will not be involved in the construction or operation of waste handling facilities. It will rather promote the innovative waste |

| RELATED TREATMENTS(1)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                             |                        |        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------|------------------------|--------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| ACTIVITIES FOR TREATMENT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | EXPECTED EFFECT                                                                             | TIME PLAN FOR COMPLETE | STATUS | COMMENTS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| <p>the proposed options shall be identified.</p> <p>Proposed solutions (for future investments) shall:</p> <ul style="list-style-type: none"> <li>· In case of technologies, apply the criteria for Best Available Technology and Best Environmental Technology.</li> <li>· Apply the Prevention – Reuse – Recycle – Recovery – Disposal hierarchy.</li> <li>· Not significantly contribute to GHGs emissions.</li> <li>· Promote options for waste reuse, recovery, recycling, treatment, and disposal that is safe for the environment and human health and includes the appropriate control of emissions and residues.</li> </ul> <p>To ensure the above, each proposed solution shall be subject to targeted SE impact assessment depending on its character (soft measure or technology- based measure) and thematic focus).</p> <p>Recommended solutions with envisaged SE impact shall include suggestions on such impact management.</p> <p>In setting up and applying SGP, the project shall put in place a process to direct grants towards inclusive and clean waste management community projects. To do so, the project shall ensure that:</p> <ul style="list-style-type: none"> <li>· Each SGP application is screened against UNDP SES screening criteria</li> <li>· Applications with the envisaged SE risks and impacts include</li> </ul> | <p>supported action will not have negative impact on environment and local communities.</p> |                        |        | <p>management solutions by:</p> <ul style="list-style-type: none"> <li>•needs assessment and preparation of a concept or a project documentation or a feasibility study for a sorting or recycling facility</li> <li>•supporting of the existing facilities (upgrade with new technologies, including training of staff)</li> <li>•site visits for selected experts to such facility in the region</li> <li>•supporting research and education (targeting technical sector of higher education)</li> </ul> <p>Project also plans to identify market possibilities for recycled and innovative plastics to be further take up by private sector, and the investment needs .</p> <p>Considering the soft character of the proposed project activities in this component, the project does not</p> |

measures of impacts' avoidance or minimization and management.

envisage the extensive labour work involvement. Some minor labour work may be needed in case the project supports upgrade of existing facilities with the technology upgrade.

**Principle & Standard:** Human Rights

**Risk Significance:**  Low

**Triggered Principles:**

**Risk Significance:**  Low

**Event:**

There is a risk related to the infrastructure development linked to the Small Grants Programme - if not designed properly – it may undermine sustainability and resilience of community projects it supports.

P3.0 overall SES risk  
management S3.1  
infrastructure development  
risks

This risk is related to the Component 5, designing and implementing Small Grants Programme (SGP) aiming at improving separate containers collection and waste management at large (Improper design of the SGP – low sustainability, without assessment of risks and impacts)

#### Causes:

#### Impact:

The project may not prevent, minimize and manage risks from construction and other interventions to communities and workers in accordance with national standards and best practices followed by international organizations in the region.

| RELATED TREATMENTS(1)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                     |                        |             |                                                                                                                                                                                                                                                                  |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|-------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| ACTIVITIES FOR TREATMENT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | EXPECTED EFFECT                                                                                                                                                                                                                                                                                                                                                     | TIME PLAN FOR COMPLETE | STATUS      | COMMENTS                                                                                                                                                                                                                                                         |
| <p>In setting up and applying SGP, the project shall:</p> <ul style="list-style-type: none"> <li>· put in place a systematic process to identify, assess, mitigate and manage its potential social and environmental risks and impacts.</li> <li>· consider relevant principles of sustainable finance system and shall put in place a process to direct grants towards inclusive and clean waste management community projects.</li> </ul> <p>If applicable, any construction or infrastructure activities supported by the SGP should:</p> <ul style="list-style-type: none"> <li>· have design-, management- and (where relevant) decommissioning plans that meet applicable country norms/standards and follow international best practices used by international organizations working in the region. These plans shall be prepared by qualified professionals who are certified for such design process and cleared by the competent authorities.</li> <li>· be constructed and operated by the experienced</li> </ul> | <ul style="list-style-type: none"> <li>· Construction or infrastructure activity supported by SGP, if any, comply with national standards and best practices followed by international organizations in the region.</li> <li>· SGP/pilot activities completed with sustainable results and without negative impact on environment and local communities.</li> </ul> | 6/30/2028              | Not Started | Project-supported Small Grant Programme will provide financial and technical support to projects aiming at improving separate containers collection and waste management at large. The priorities will be given to community actions, young entrepreneurs, etc.. |

|                                                                                                                                                                                                                                                                                               |  |  |  |  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|--|--|
| contractor(s) having relevant certifications and permits for the relevant works.<br>· be before the beginning of their actual use/operation approved (and where needed certified) by either competent authorities or independent professionals not involved in their design and construction. |  |  |  |  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|--|--|

### Questionnaire:

Step 1 – Integrate the SES Programming Principles

Status: Complete

Question 1 – How Does the project Integrate the Programming Principles in Order to Strengthen Social and Environmental Sustainability?

Briefly describe in the space below how the project mainstreams the human rights-based approach (32000 Characters maximum)

All project interventions will follow the UNDP Guidelines on equity, fairness, and equal distribution of benefits among beneficiaries, and will be developed together with various stakeholders to ensure that no rights or laws are infringed by the proposed activities. This project will

ensure that the principles of accountability and the rule of law, participation and inclusion, and equality and non-discrimination are

considered by ensuring that there is an effective communication for the various stakeholders to share their insights and suggestions on the project, as well as their complaints if the project is not aligned with human-rights' principles. In case there would an indication of human rights violation within the project activities' implementation, project management team will seek the redress. In case of no satisfactory response, discontinuation of the project shall be considered.

Even though the project aims to support mainly upstream and soft measures, such as review of the countries' legal and policy framework for waste management, and identification of best-practice waste management options, the project aims to ensure the meaningful, effective, and informed participation of stakeholders in the formulation, implementation, monitoring, and evaluation of the project activities. Project will do so mainly applying its Stakeholders' Engagement Plan (SEP) to be further specified and implemented within the Component 6 specifically

designed to support awareness raising and stakeholders' engagement. Stakeholders' engagement will be in line with the UNDP SES requirements as well as with the provisions in the national laws on free access to information.

Focusing on waste management, the project will work both with the national authorities to set up the regulatory framework that ensures the population the right to live in a clean and healthy environment, and with local communities who will be directly engaged in project activities.

Activity 5.1 Small Grants Programme is directly targeted at financial and technical support for local communities to implement local waste management solutions beneficial for all. Project will ensure that such support is provided in a transparent and fair manner.

There are no known indigenous peoples and/or ethnic groups and/or internally displaced peoples known to inhabit the specific areas of the interventions. However, prior to undertaking any intervention, additional stakeholder engagement will be conducted to ensure that any ethnic groups and/or internally displaced peoples are fully consulted to ensure the project will not impact on them and/or their cultures/traditions. If any people are found to be located within the area, the project will comply with the respective UNDP Social and Environment Standard.

**Briefly describe in the space below how the project is likely to improve gender equality and women's empowerment (32000 Characters maximum)**

The waste sector is assumed to be gender neutral, but gender inequalities and norms are embedded in almost every aspect of waste management, leading to a gendered division of labour. Yet, currently, most waste management policies are gender blind. Division of labor in the waste sector based on conventional gender roles and stereotypes. Women are often excluded from higher-income and decision-making positions. When waste management formalizes, women are often marginalized and replaced by men, contrasting their active roles in informal settings. Women are less likely to be business owners or entrepreneurs in the sector. The participation of women in the waste management sector is often seen as 'organic' as it represents an extension of their caregiving role – much like how women are responsible for waste management as a part of their household responsibilities, they are seen to be providing a similar service at a more communal level.

Women are also physiologically more vulnerable to the impacts of exposure to toxic materials. There is a higher likelihood of bioaccumulation of the lipophilic compounds released during burning of plastic. This exposure not only increases the risk for women but also for their future children. Women may be both affected by poor waste management practices and contribute to the problem of plastic, household waste generation. Women, still predominantly responsible for household food and goods supply, may therefore be considered as agents for change in decreasing the use of, especially household, plastics, and its transformation to waste.

In the Caspian countries, women are central to the development of coastal areas and to national economies. They play a key role in food production, in tourism, and perform most of the unpaid care work in coastal areas. Women and girls often face restricted access to productive resources, such as land, agricultural inputs, finance and credit, extension services, and technology. Traditional and cultural norms make it more difficult for women to gain access to public services, markets and institutions, social protection, and decent employment opportunities.

Project will consider all the facts mentioned above in the process of project design and implementation. It will promote and support women's voices, women's leadership, and women's agency in waste management. As the waste sector modernizes and applies new technologies that may require greater education and training, it is essential that women are included in this process. Project will contribute to changing attitudes about gender norms through awareness-raising campaigns, training, and research to collect sex and gender-disaggregated data as crucial to addressing gender inequality in the waste sector. It is also important to bring men and boys, as well as women and girls, into the conversation, as gender is not just about women.

A Gender Analysis and Action Plan (GAAP) will be prepared to inform the set-up of indicators and an Action Plan for gender equality. As such, the Gender Analysis and Action Plan will also stipulate accountability for gender-related outcomes. During project implementation (and as part of the Gender Action Plan), stakeholder consultation will be undertaken to assess project activities in relation to gender, age and other important matters. The GAAP will be modified depending on stakeholder consultation prior to and during the implementation of the project.

**Briefly describe in the space below how the project mainstreams sustainability and resilience (32000 Characters maximum)**

The project expects to leverage sustainable development economic, social, and environmental benefits. Reducing and better treatment of marine waste litter will have a positive impact on marine and coastal ecosystems. It will reduce negative impact on coastal communities' health and well-being and on their income generation.

Focusing on the upstream activities – waste management legislation and policies review, and on recommending best-practice and environmentally sustainable plastic waste management processes and procedures, the economic, social, and environmental benefits will reach beyond coastal ecosystems and communities. If designed and implemented

well, they will have a positive impact on the environment (air, water, and soil quality, GHGs emissions' reduction) and communities on national levels.

All project activities having potentially certain level of social and environmental risks will be assessed and managed following the UNDP SES

requirements and the relevant national legislation and policies. See the Part B for more detailed information on risks and relevant A&M measures.

### Briefly describe in the space below how the project strengthens accountability to stakeholders (32000 Characters maximum)

Project will ensure accountability and transparency of proposed technical and financial support. Project has one component specifically focused on stakeholders' engagement. Component 6 Proactive Communication and Stakeholder Involvement (by UN Environment TC Secretariat) plans to establish a regional network of regional and local stakeholders, and to design and implement communication and awareness raising strategy.

Project will provide [potentially affected] stakeholders with opportunities to express their views at all key points in the project decision-making process on matters that affect them & early and effective stakeholder engagement throughout the assessment and management of potential social and environmental risks and impacts. It will engage stakeholders in gender-responsive, culturally sensitive, non-discriminatory, and

inclusive manner and shall provide differentiated measures to allow the effective participation of disadvantaged or vulnerable groups, including persons with disabilities. Where conditions for inclusive participation are unfavorable, the project shall undertake additional measures to ensure effective stakeholder engagement.

The project will use a transparent, fair, and free-to-access Grievance Redress Mechanism (GRM). Furthermore, stakeholders will have access to the UNDP Stakeholder Response Mechanism and the Social and Environmental Compliance Unit (SECU). Information on how to access these mechanisms will be provided to the stakeholders at the inception meeting and will be available at the project website throughout the project implementation timespan. UNDP's Information Disclosure Policy, which is guided by openness, with the underlying presumption that any

information concerning UNDP programmes and operations is available to the public, will apply to the project.

maximum)

### Step 2.1 - SES Risk Screening Checklist (Programming Principles)

Status: Complete

#### Human Rights

No Yes

**P.1 Have local communities or individuals raised human rights concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?**

**P.2 Is there a risk that duty-bearers (e.g. government agencies) do not have the capacity to meet their obligations in the project?**

**P.3 Is there a risk that rights-holders (e.g. project-affected persons) do not have the capacity to claim their rights?**

Yes

Would the project potentially involve or lead to:

**P.4 Adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?**

**with disabilities?**

**P.5 Inequitable or discriminatory impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups, including persons with disabilities?**

**P.6 Restrictions in availability, quality of and/or access to resources or basic services, in particular to marginalized individuals or groups, including persons**

No Yes

No

P.7 **Exacerbation of conflicts among and/or the risk of violence to project-affected communities and individuals?**

No Gender Equality and Women's Empowerment

Have

P.8 **women's groups/leaders raised gender equality concerns regarding the project, (e.g. during the stakeholder engagement process, grievance processes, public statements)?**

No

Would the project potentially involve or lead to:

Adver

Yes

P.9

**se impacts on gender equality and/or the situation of women and girls?**

P.10 **Reproducing discriminations against**

**women based on gender, especially**

**regarding participation in design and**

**implementation or access to opportunities**

**and benefits?**

Yes

Yes

P.11 **Limitations on 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?**

P.12 **Exacerbation of risks of gender-based violence?**

No

Sustainability and Resilience: Screening questions regarding risks associated with sustainability and resilience are encompassed by the Standard- specific questions below

Accountability

Would the project potentially involve or lead to:

P.13 **Exclusion of any potentially affected**

**stakeholders, in particular marginalized**

**groups and excluded individuals (including**

**persons with disabilities), from fully**

**participating in decisions that may affect**

**them?**

Yes

P.14 **Grievances or objections from potentially affected stakeholders?**

Yes

P.15 **Risks of retaliation or reprisals against stakeholders who express concerns or grievances, or who seek to participate in or to obtain information on the project?** No

## Step 2.2 - SES Risk Screening Checklist (Project-Level Standards)

Status:

### Complete Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management

Would the project potentially involve or lead to:

- 1.1 **Adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?** Yes
- 1.2 **Activities within or adjacent to critical habitats and/or environmentally sensitive areas, including (but not limited to) 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?** Yes
- 1.3 **Changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods?** Yes
- 1.4 **Risks to endangered species?** No
- 1.5 **Exacerbation of illegal wildlife trade?** No
- 1.6 **Introduction of invasive alien species?** No
- 1.7 **Adverse impacts on soil?** Yes
- 1.8 **Harvesting of natural forests, plantation development, or reforestation?** No
- 1.9 **Significant agricultural production?** No
- 1.10 **Animal husbandry or harvesting of fish populations or other aquatic species?** No
- 1.11 **Significant extraction, diversion or containment of surface or ground water?** No
- 1.12 **Handling or utilization of genetically modified organisms/living modified organisms?** No
- 1.13 **Utilization of genetic resources?** No
- 1.14 **Adverse transboundary or global environmental concerns?** Yes

### Standard 2: Climate Change and Disaster

Risks Would the project potentially

involve or lead to:

- 2.1 **Areas subject to hazards such as earthquakes, floods, landslides, severe winds, storm surges, tsunami or volcanic eruptions?** Yes
- 2.2 **Outputs and outcomes sensitive or vulnerable to potential impacts of climate change or disasters** No
- 2.3 **Direct or indirect increases in vulnerability to climate change impacts or disaster risks now or in the future (also known as maladaptive or negative coping practices)?** No
- 2.4 **Increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?** Yes

### Standard 3: Community Health, Safety and Security

Would the project potentially involve or lead to:

- 3.1 **Construction and/or infrastructure development (e.g. roads, buildings, dams)?** Yes
- 3.2 **Air pollution, noise, vibration, traffic,**

**injuries, physical hazards, poor surface water quality due to runoff, erosion, sanitation?**

Yes

3.3 Harm or losses due to failure of structural elements of the project (e.g. collapse of buildings or infrastructure)?

### 3.4 Risks of water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable and noncommunicable diseases, nutritional disorders, mental health?

Yes Yes

Yes

**3.5 Transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?**

**3.6 Adverse impacts on ecosystems and ecosystem services relevant to communities' health (e.g. food, surface water purification, natural buffers from flooding)?**

### 3.7 Influx of project workers to project areas?

Yes

### 3.8 Engagement of security personnel to protect facilities and property or to support project activities?

No

## Standard 4: Cultural Heritage

Would the project potentially involve or lead to:

- 4.1 **Activities adjacent to or within a Cultural Heritage site?** No
- 4.2 **Significant excavations, demolitions, movement of earth, flooding or other environmental changes?** No
- 4.3 **Adverse impacts to 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** No

Cultural Heritage may also have inadvertent adverse impacts)

- 4.4 **Alterations to landscapes and natural features with cultural significance?** No
- 4.5 **Utilization of tangible and/or intangible forms (e.g. practices, traditional knowledge) of Cultural Heritage for commercial or other purposes?** No

#### Standard 5: Displacement and Resettlement

Would the project potentially involve or lead to:

- 5.1 **Temporary or permanent and full or partial physical displacement (including people without legally recognizable claims to land)?** No
- 5.2 **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 **Risk of forced evictions?** No
- 5.4 **Impacts on or changes to land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?** No

#### Standard 6: Indigenous Peoples

Would the project potentially involve or lead to:

- 6.1 **Areas where indigenous peoples are present (including project area of influence)?** No
- 6.2 **Activities located on lands and territories claimed by indigenous peoples?** No
- 6.3 **Impacts (positive or negative) to 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)?** No
- 6.4 **The 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 **The utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?** No
- 6.6 **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 **Adverse impacts on the development priorities of indigenous peoples as defined by them?** No
- 6.8 **Risks to the physical and cultural survival of indigenous peoples?** No
- 6.9 **Impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?** No

Standard 7: Labour and Working Conditions

Would the project potentially involve or lead to: (note: applies to project and contractor workers)

- 1.1

Working conditions that do not meet national labour laws and international commitments?

Yes
- 1.2

Working conditions that may deny freedom of association and collective bargaining?

No
- 1.3

Use of child labour?

No
- 1.4

Use of forced labour?

No
- 1.5

Discriminatory working conditions and/or lack of equal opportunity?

Yes

1.6 Occupational health and safety risks due to physical, chemical, biological and psychosocial hazards (including violence and harassment) throughout the project life-cycle?

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8.1 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?

Yes

Yes

8.2 The generation of waste (both hazardous and non-hazardous)?

Yes

|                                                                                                   |    |
|---------------------------------------------------------------------------------------------------|----|
| The manufacture, trade, release, and/or use of hazardous materials and/or chemicals?              | Ye |
| The use of chemicals or materials subject to international bans or phase-outs?                    | s  |
| The application of pesticides that may have a negative effect on the environment or human health? | Ye |
| Significant consumption of raw materials, energy, and/or water?                                   | s  |

Approval History

Approval Date: Mon Sep 16 00:00:00 GMT 2024  
<abusabeeb.elsadig@undp.org>

Approved By: Abusabeeb Elsadig

Confirmed Date:

Connfirmed By:

PAC/Board Date:

PAC/Board Meeting minutes uploaded:

| STEP NAME                  | DATE                | STATUS   | ASSIGNED TO       |
|----------------------------|---------------------|----------|-------------------|
| Cleared for PAC/Board      | 2024-09-16 05:59:46 | Approved | Abusabeeb Elsadig |
| Confirmed by PAC/Board     | 2024-09-16 05:59:46 | Pending  | Steliana NEDERA   |
| Approval Request Submitted | 2024-09-12 00:57:54 | Started  | Marcela Fabianova |

## Annex3UNDPRisklog

Title of the project:

## Addressing Marine Litter and Marine Plastics–A Systemic Approach in the Caspian Sea (Caspian Marine Litter project)

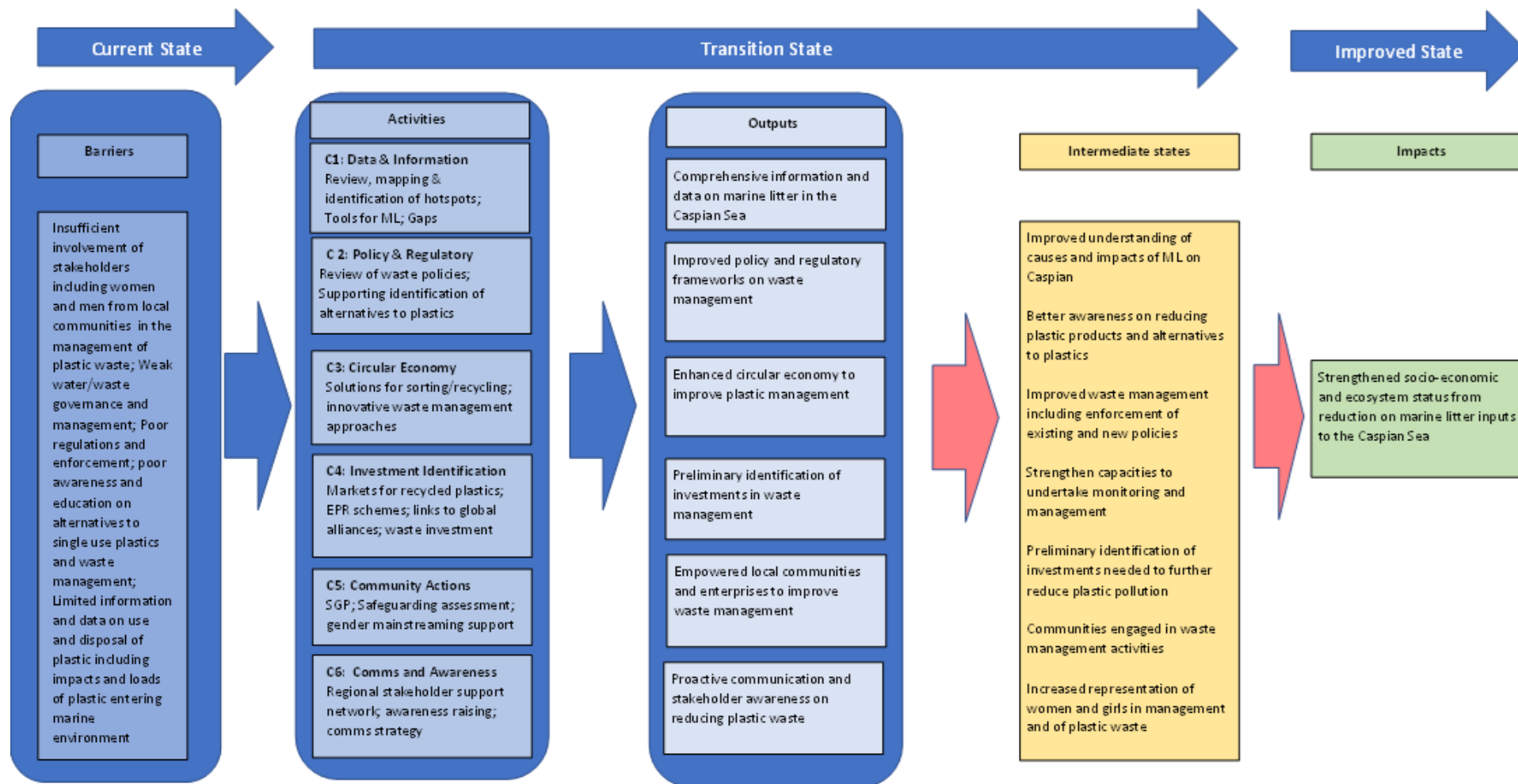
| Type of risk<br>Category: primary -<br>secondary<br>Impact / likelihood | owner             | Date<br>identified<br>/Validity | Event ( risk<br>description)                                                                                                                                                    | Cause<br>(description<br>)                                                                    | Impact<br>(description)                                                                                                 | Actions treatment (incl.<br>date)                                                                                                                                                                                                  | Responsib<br>le for<br>actions | Expected<br>results from<br>treatment                                                                                                        | comment                   |
|-------------------------------------------------------------------------|-------------------|---------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|
| Political<br>Government<br>commitment<br><br>I=1<br>L=<br>2             | UNDP,<br>TCS/UNEP | Jan –<br>Dec 2022               | Lack of interest of<br>participating<br>countries to<br>contribute to the<br>preparation and<br>implementation of<br>full size project                                          | In general, the<br>environmental<br>protection may<br>not be<br>priority for the<br>countries | Slow process of<br>the ProDoc<br>development,<br>limited feedback<br>from the key<br>stakeholders                       | During the project design<br>phase, the TC<br>Secretariat/UNEP will<br>facilitate the consultation<br>process with the relevant<br>national representatives, in<br>cooperation with the ProDoc<br>development team and<br>UNDP COs | UNDP, UNEP                     | The project<br>activities well<br>defined in the<br>ProDoc and pre-<br>discussed with<br>the countries.                                      | 2022 risk<br>not critical |
| Organizational<br>Human<br>Resources I=2<br>L=3                         | UNDP,<br>TCS/UNEP | Jan –<br>Dec 2022               | Delay of project start-<br>up because critical<br>staff is not in place<br>and/ or lengthy<br>contracting process,<br>incl. negotiations with<br>execution entities             | Lengthy<br>contracting<br>process                                                             | Slow process in<br>the project<br>implementation<br>as<br>result of delays in<br>the recruitment of<br>the<br>staffing. | During the project design<br>phase Staffing table and<br>recruitment strategy outlined<br>with concrete timelines to<br>avoid delays in commencing<br>the programme.                                                               | UNDP, UNEP                     | The proje<br>ct management<br>we<br>ll defined in the<br>ProDoc.                                                                             | 2022 risk<br>not critical |
| Operational<br>Leadership<br>and management<br>I=2<br>L=<br>2           | UNDP,<br>TCS/UNEP | Jan –<br>Dec 2022               | Capacity constraints<br>of executing entities,<br>local institutions,<br>communities and the<br>private sector may<br>limit the effective<br>implementation of<br>interventions | Capacity<br>constraints                                                                       | Not<br>effective<br>implementation of<br>interventions                                                                  | Capacity assessment of<br>executing entities, local<br>institutions, communities<br>and the private sector and<br>programmatic response                                                                                            | UNDP, UNEP                     | Capacity<br>assessment<br>addresses<br>constraints of<br>executing entities,<br>local institutions,<br>communities and<br>the private sector | 2022 risk<br>not critical |

|  |                                                  |                   |                   |                                                |                          |                                             |                                                                                             |  |                                                                                                                                 |                           |
|--|--------------------------------------------------|-------------------|-------------------|------------------------------------------------|--------------------------|---------------------------------------------|---------------------------------------------------------------------------------------------|--|---------------------------------------------------------------------------------------------------------------------------------|---------------------------|
|  | Political<br>Political<br>instability I=3<br>L=1 | UNDP,<br>TCS/UNEP | Jan –<br>Dec 2022 | Security risks in<br>the Caspian<br>Sea region | Political<br>instability | Delays in the<br>project<br>implementations | Allowing maximum<br>implementation flexibility in<br>case of the occurrence of the<br>risk. |  | The risk can<br>be<br>minimalised<br>and<br>overcome<br><br>b<br><br>y maintaining<br>maximum<br>implementation<br>flexibility. | 2022 risk<br>not critical |
|--|--------------------------------------------------|-------------------|-------------------|------------------------------------------------|--------------------------|---------------------------------------------|---------------------------------------------------------------------------------------------|--|---------------------------------------------------------------------------------------------------------------------------------|---------------------------|

□ Impact: 1-limited / 2-Low / 3-Moderate / 4-High / 5-Extreme

□ Likelihood: 1-Not Likely / 2-Low Likelihood / 3-Moderately Likely / 4-Highly Likely / 5 – expected

## Annex4TheoryofChange



**Assumptions:** Willingness of counties to work together with TC; National stakeholders welcome this initiative; (See Risks and Assumptions – above)

**Drivers:** Global concerns on marine litter and plastic pollution; Impacts on environmental status, ecosystem services and human health from plastic pollution and additives in plastics.

## Annex 5: Project Steering Committee Terms of Reference and TORs of key management positions.

### UNDP Standard Terms of Reference (ToR) for the Project Steering Committee of the Project:

#### Addressing Marine Litter and Marine Plastics -A systemic Approach in the Caspian Sea

#### I. Background

All UNDP projects must be governed by a multi-stakeholder board or committee established to review performance based on established monitoring and evaluation metrics and high-level implementation issues to ensure quality delivery of results. For the purpose of this ToR and to ensure standardization, henceforth, as regards project documentation, such a body shall only be referred to by one of two names: 'Project Board' or 'Project Steering Committee.'<sup>6</sup> The [Project Board or Project Steering Committee] is the most senior, dedicated oversight body for a UNDP 'Development Project', which is defined in the PPM as an instrument where UNDP "Delivers outputs where UNDP has accountability for design, oversight and quality assurance of the entire project."

#### II. Duties and Responsibilities

The two prominent (mandatory) roles of the [Project Board or Project Steering Committee] are as follows:

- 1) **High-level oversight of the project** (as explained in the ["Provide Oversight"](#) section of the PPM). This is the primary function of the Project Steering Committee. The Project Steering Committee reviews evidence of project performance based on monitoring, evaluation and reporting, including progress reports, monitoring missions' reports, evaluations, risk logs, quality assessments, and the combined delivery report. The Project Steering Committee is the main body responsible for taking corrective actions as needed to ensure the project achieves the desired results. And its function includes oversight of annual (and as-needed) assessments of any major risks to the programme or project, and related decisions/agreements on any management actions or remedial measures to address them effectively.

The Project Steering Committee also carries the role of quality assurance of the project taking decisions informed by, among other inputs, the project quality assessment. In this role the Board is supported by the quality assurer, whose function is to assess the quality of the project against the corporate standard criteria. This function is performed by a UNDP programme or monitoring and evaluation officer to maintain independence from the project manager regardless of the project 's implementation modality.

The Project Steering Committee reviews updates to the project risk log.

- 2) **Approval of key project execution decisions** (as explained in the ["Manage Change"](#) section of the PPM). The Project Steering Committee has an equally important, secondary role in approving certain adjustments above provided tolerance levels, including substantive programmatic revisions (major/minor amendments), budget revisions, requests for suspension or extension and other major changes (subject to additional funding partner/donor requirements).

<sup>6</sup> Please insert the appropriate entity name in the relevant sections in the document. Where this ToR refers to "Board" it is intended to apply to both these entities and should be changed accordingly to match the entity chosen for the specific project

The Project Steering Committee is responsible for making management decisions by consensus when required, including the approval of project plans and revisions, and the project manager's tolerances. The Project Steering Committee approves annual work plans and reviews updates to the project risk log.

Within the overall governance and management arrangements of the project, the role of the Project Steering Committee as regards these two key functions (*'High-level oversight of the project'* and *'Approval of key project execution decisions'*) is distinct from the roles of entities involved in the implementation of the project, namely the implementing partner (IP), responsibilities parties (if applicable), service providers and project staff.

In order to ensure UNDP's ultimate accountability, the Project Steering Committee decisions should be made in accordance with [the Quality Standards for Programming](#) that shall ensure management for development results, best value money, fairness, integrity, transparency and effective national and international competition. An effective Project Steering Committee needs credible data, evidence, quality assurance and reporting to aid decision making (see next section on supporting functions to the Board). The Project Steering Committee also needs to be accountable to protect against conflicts of interest and fraud.

Specific responsibilities of the Project Steering Committee include the following:

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints, and promote gender equality and social inclusion (LNOB) in the project implementation;
- Review project performance based on monitoring, evaluation and reporting, including standard quality assurance checks, progress reports, risk logs, spot checks/audit reports and the combined delivery report;
- Address any high-level project issues as raised by the project manager and project assurance;
- Provide guidance on emerging and/or pressing project risks and agree on possible mitigation and management actions to address specific risks (including ensuring compliance with UNDP's Social and Environmental Standards, Fraud/corruption, Sexual Exploitation and Abuse and Sexual Harassment);
- Agree or decide on project manager's tolerances as required, within the parameters set by UNDP ([Manage Change](#) in the PPM) and the donor, and provide direction and decisions for exceptional situations when the project manager's tolerances are exceeded;
- Advise on major and minor amendments to the project within the parameters set by UNDP and the donor;
- Agree or decide on a project suspension or cancellation, if required; (note that for GEF and GCF projects it is UNDP that decides to suspend or cancel a project and the Project Steering Committee is informed/consulted only).
- Provide high-level direction and recommendations to the project management unit to ensure that the agreed deliverables are produced satisfactorily according to plans.
- Receive and address project level grievance, including overseeing whatever specific compliance and stakeholder response (or grievance) mechanisms have been put in place so that individuals and communities potentially affected by the project have access to effective mechanisms and procedures for raising concerns about the social and environmental performance of the project<sup>7</sup>.
- Engage in the low value grant selection process where there is no Grant Selection Committee, as guided by the [Low Value Grants – UNDP Operational Guide](#).

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

Additional responsibilities of the Project Steering Committee can include, but are not limited to, the following :

- Ensure coordination between the various donors and government-funded projects and programmes;
- Ensure coordination with multiple government agencies and their participation in project activities;
- Appraise the annual project implementation report, including the quality assessment rating report;
- Act as an informal consultation mechanism for stakeholders;
- Approve the Project Inception Report and evaluation reports and corresponding management responses;
- Review the final project report package during an end-of-project review meeting to discuss lessons learned and opportunities for scaling up;

### III. Composition of the Project Steering Committee

The Project Board comprises members with decision-making mandate from the following entities:

- UNDP Istanbul Regional Hub
- Management of participating UNDP Country Offices
- National Representatives of the Tehran Convention parties

The Project Board will contain of the following distinct roles:

- **Project Executive:** UNDP Istanbul Regional Hub, represented by IRH Manager, who chairs the Project Steering Committee.
- **Beneficiary Representatives:** UNDP Resident Representatives (RRs) in Azerbaijan, Iran, Kazakhstan, and Turkmenistan (representing the interests of those groups of stakeholders who will ultimately benefit from the project in each of the participating country). The RRs may designate the respective DRRs as their alternates on the PSC. The national stakeholders as the members of the Steering Committee will be the representatives from the countries- Tehran Convention Parties representatives.
- **Development Partners:** comprising of representatives from UNDP BPPS, IRH Environment Team and UNEP
- **Project Assurance** – to supports the Project Board by carrying out objective and independent project oversight and monitoring functions. This role will be held by the IRH Quality Assurance Team.

### IV. Standard Project Steering Committee Protocols

The Project Steering Committee (PSC) must meet one time annually at a minimum. It is recommended that the timing of board meetings be agreed upon in advance and corresponds to key project reporting or work planning milestones. The PSC will meet at project start, to guide the inception phase; at least once a year to discuss project progress and substantial project implementation issues; at the end of the project to review conclusions of draft final report. When necessary ad-hoc Committee meetings can be organized. The PSC can take place in person, on-line or via email-exchange.

The PSC meetings are valid if all three key roles (Executive, Supplier, Beneficiary) are represented at the meetings or in the virtual decisions.

Members, who are unable to attend the meeting should notify the Chairperson/s and the Project Manager in writing with contact details of their replacement or delegating their mandate to another Committee member. To facilitate efficient implementation of the project, the decisions of the SC meeting are adopted if at least one representative for each of the three key roles described above was present in the meeting/review. UNDP is responsible for the organization of the Project Board meetings and follow up.

Project Steering Committee members cannot receive remuneration from project funds for their participation in the Board. However, it is allowable for board members to be reimbursed from project funds for certain

reasonable, qualified expenses related to travel or lodging to attend board meetings, as per UNDP rules and procedures.

Unless otherwise specified, Project Steering Committee decisions are made by unanimous consensus. If a consensus cannot be reached within the Board, the final decision shall rest with the UNDP representative on the Project Steering Committee or a UNDP staff member with delegated authority as the programme manager.<sup>8</sup>

It is required that as per internationally recognized professional standards and principles of sound governance, conflicts of interest affecting board members in performing their duties must be formally disclosed if not avoidable. Where a board member has a specific personal conflict of interest with a given matter before the board, he/she must recuse oneself from their participation in a decision. No board member can vote or deliberate on a question in which he/she has a direct personal or pecuniary interest not common to other members of the board.

All board members should be presented with a ToR for the Project Steering Committee, which will include the responsibilities already outlined and indicate agreed board practices and logistics.

## **V. Standard Outputs of Project Steering Committee Meetings**

In its oversight function, the Project Steering Committee will (at a minimum) review and assess the following project-related evidence at each meeting:

- Assessment of project progress to date against project output indicators (as documented in the project document results framework)
- Approval/review of annual work plans
- Assessment of the relevant Monitoring & Evaluation mechanisms, including all evaluations<sup>9</sup>
- Review and assessment of the Project Risk Log (with updating/amendments as needed)
- Assessment of project spending, based on a review of the combined delivery report
- Review of required resources versus available funding (if applicable) and steps taken to reduce funding gap identified at the project design stage

This will be in addition to the review and approval of any required project execution decisions.

The output of every Project Steering Committee should be a written record (minutes) that captures the agenda and issues discussed and the agreed upon action items and decisions (if applicable). Each report should clearly document the members attending the meeting (as well as all participants in the meeting) and the modality used to agree on a certain action or decision (whether formal voting or no-objection or other mechanism). All records of board meetings should be documented and kept by UNDP in their quality assurance function.

## **VI. Support Functions to the Project Steering Committee**

The joint UNDP/UNEP Project Coordination Unit will act as the Secretariat of the Project Steering Committee and is responsible for preparation of all documents for the Committee meetings, timely notification of Committee members and observers about the forthcoming meeting and the project progress (including project reports and work plans), technical and organisational coordination of the meetings and their minutes. The Secretariat drafts the agenda and circulates it to the Committee members for agreement one month before the meeting. The minutes of meeting shall be prepared within two weeks after the meeting takes place and circulated for comments. The SC members shall respond within two weeks after receiving the minutes. If the Project manager receives no comments, tacit agreement is assumed. Final version of minutes shall be circulated within 30 calendar days after the meeting.

<sup>8</sup> UNDP has this special right since the ultimate legal and fiduciary accountability for a UNDP project, irrespective of modality, rests with UNDP and UNDP must (in line with its obligations to donors and to the Executive Board) be able to ensure that no action is taken by any body in a UNDP project that contravenes UNDP rules and regulations.

<sup>9</sup> Including audit reports and spot checks.

## Indicative tasks of the Project team

### Project Manager

The key tasks of the PMA are the following:

- Coordinate the work of Project Coordination Unit and whole team of project experts, coordinate with the Responsible Parties implementing the individual components. Assure timely and quality implementation of all project activities, including quality control of all produced outputs;
- Liaise directly with the UNDP Country Offices, national stakeholders and representatives appointed by the ministries in the Project Steering Committee (PSC) and national focal points;
- Represent the project at various events, facilitate coordination with other relevant projects, initiatives, international institutions and other stakeholder.
- Contribute to the preparation of progress reports, according to the donor requirements, containing technical description of progress, including problem encountered, planned activities, as well as provide inputs for all reports required within UNDP project monitoring scheme.
- Provide substantive inputs into all technical reports to be prepared and carry out various activities arising during the project implementation.
- Plan the activities of the project and monitor progress against the initial quality criteria; review and appraise detailed project plans;
- Mobilize goods and services to initiative activities, including drafting TORs and work specifications;
- Manage the realization of project outputs through activities;
- Address project issues as raised by the Project Board;
- Monitor events as determined in the Monitoring & Communication Plan, and update the plan as required;
- Monitor financial resources and accounting to ensure accuracy and reliability of financial reports;
- Manage and monitor the project risks as initially identified in the Project Brief appraised by the LPAC, submit new risks to the Project Board for consideration and decision on possible actions if required; update the status of these risks by maintaining the Project Risks Log;
- Be responsible for managing issues and requests for change by maintaining an Issues Log.
- Prepare the Project Quarterly Progress Report and the Annual review Report;
- Share relevant information on the project achievement with all interested parties;
- Assure that all project deliverables have been produced satisfactorily;
- Provide direction and guidance to project team/consultants;
- Identify and obtain any support and advice required for the management, planning and control of the project;
- Identify follow-on actions and submit them for consideration to the Project Board.
- Support the preparation of the multi-year work plan and QUANTUM reports covering activity definition, updated risk log and the monitoring schedule plan;
- Support the financial reporting and control mechanisms through Combined Delivery Reports (CDR) which is a mandatory official report reflecting the expenses and funds utilized on a project, and other QUANTUM reporting tools;

### Other foreseen positions:

#### Project assistant

#### SESP expert (if needed)

#### Evaluation expert

## Annex 6: Stakeholder Engagement Plan

### PRELIMINARY STAKEHOLDERS' ENGAGEMENT PLAN

#### 1. Introduction

The regional project 'Addressing Marine Litter and Marine Plastics – A Systemic Approach in the Caspian Sea', to be implemented in Azerbaijan, Iran, Kazakhstan, and Turkmenistan, aims to improve the management of the land-based sources of pollution that are likely to affect the marine environment of the Caspian Sea. This will be achieved through amending the policy and regulatory frameworks on waste management, comprehensive promotion of a circular economy/life-cycle approach, carrying out investments in waste management as well as strengthening sustainable consumption and production patterns, in particular changing behavioral consumers' change. Marine litter is a transboundary, national, and regional problem that needs to be addressed. Therefore, the project will have both regional and national activities.

Responsible parties and project management unit will make sure that potential, both negative and positive social and environmental risks, related to its implementation, will be addressed. The following potential risks have been identified by the UNDP Social and Environmental Screening Procedure (SESP):

Risk 1: Project may involve or leads to exclusion of potentially affected and interested stakeholders, from being informed on and being engaged in relevant project activities and decisions that may affect them? This may result in raising their concerns and grievances.

Risk 2: Project may insufficiently involve women in their design and implementation or may not provide women with sufficient opportunities to utilize the benefits offered through them.

Risk 3: Project supported policy, legal and regulatory frameworks, if not designed properly, may support waste management practices with negative impact on environment and affected communities in both domestic and transboundary context.

Risk 4: Some project-recommended plastics waste management options, innovations, business models and private sector investments, once implemented, may contribute to climate change, involve impacts on environment, and on local communities' and workers' health and well-being.

Risk 5: Small Grants Programme - if not designed properly – may undermine sustainability and resilience of community projects it supports.

This document shall be considered as the preliminary Stakeholders Engagement Plan, since the identification of the exact stakeholders to be involved in each country will happen during the inception phase. Component 6 of the project 'Proactive communication and Stakeholders' Involvement' is specifically focused on establish a regional network of regional and local stakeholders, and on designing and implementing communication and awareness raising strategy.

#### 2. Regulations and Requirements

##### 2.1 Countries' relevant regulation and requirements

Regarding the state policies, it is important to emphasize that the dialogue between the Governments and civil society, and provision of information to public, in the field of environment, is continuously done through set of laws and international agreements: laws on free access to information; access to information and public participation provisions in laws on Environmental Impact Assessment (EIA) and Strategic Environmental Assessment (SEA); the Aarhus Convention on Access to Information, Public

Participation in Decision-Making and Access to Justice in Environmental Matters, and the Espoo Convention on Environmental Impact Assessment in a Transboundary Context, its public participation provisions.

The dialogue gains additional importance through communication, which is realised through the work of the Aarhus Centres (two at the state and two at the NGO level). The Aarhus Centres act as a bridge between the NGOs, local administration and the private sector and support environmental assessment and participatory decision-making. They also work to facilitate access to information in environmental matters for the public and to raise awareness of environmental and health-related risks.

**Table 1: Policy framework for stakeholders' engagement in the project countries**

| Country             | Legal framework                                                                                                                                                                                                                                                                                                                         | Aarhus centers                                                                                                                                                                                               |
|---------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Azerbaijan</b>   | Law of the Republic of Azerbaijan on Access to Information (2005); Law on EIA of RAZ (2013); Regulations for Control Over EIA and SEA (2019); Regulations for Application of State and Public Ecological Expertise (2020); Regulations for SEA Application – <b>waiting for adoption???</b> ; party to the Aarhus and Espoo conventions | Azerbaijan hosts an Aarhus Centre in the capital city of Baku which focuses primarily on supporting the access to environmental information for the public. The Aarhus Centre operates since 2003.           |
| <b>Iran</b>         | Publication and Free Access to Information Act (2009); legal base for EIA and SEA in the National Development Plans; EIA directive (2011);                                                                                                                                                                                              | NA                                                                                                                                                                                                           |
| <b>Kazakhstan</b>   | Law of the RK on Access to Information (2015); Environmental Code of the RK – EIA, SEA and transboundary assessments chapters; Interim Instruction on the Procedure of Environmental Impact Assessment of Planned Economic Activity (EIA) in the Republic of Kazakhstan (2017); party to the Aarhus and Espoo conventions               | In Kazakhstan, there are fifteen Aarhus Centres across the country. The mission of Zhaiyk Caspian Aarhus Centre is to implement the norms of the Aarhus Convention on the territory of Zhaiyk-Caspian basin. |
| <b>Turkmenistan</b> | Law of Turkmenistan About information and its protection (2014, amend. In 2021); Law of Turkmenistan About Environmental Assessment (2019 amend.); party to the Aarhus and Espoo conventions                                                                                                                                            | The Aarhus Centre in Ashgabat operates since 2012. The Aarhus Centre focuses on facilitating access to information on environmental issues.                                                                  |

## 2.2 UNDP principles and requirements

UNDP is committed to meaningful, effective and informed stakeholder engagement in the design and implementation of all UNDP projects. UNDP's commitment to stakeholder engagement arises from internal policies, procedures and strategy documents as well as key international human rights instruments, principles and numerous decisions of international bodies, particularly as they relate to the protection of citizens' rights related to freedom of expression and participation. Key provisions and requirements are formulated in the UNDP's [Social and Environmental Standards \(SES\)](#), the [SES Guidance Note of Stakeholder Engagement](#), and on Gender Equality and Empowerment.

*Principle definitions and key concepts of stakeholder engagement*

As per the UNDP SES Guidance Note of Stakeholder Engagement, project stakeholders are considered as the following:

Persons, groups, or institutions with an interest in the project or the ability to influence the project outcomes, either positively or negatively. Stakeholders may be directly or indirectly affected by the project. The range of potential stakeholders is diverse and may include target beneficiary groups, locally affected communities or individuals, national and local government authorities, civil society organizations (CSOs) and non- governmental organizations (NGOs) (both domestic and at times international), politicians, religious leaders, the academic community, private sector entities, other special interest groups, UN agencies and donors.

Stakeholder analysis is the process of identifying a project's key stakeholders and assessing their interests in the project and the ways in which these stakeholders may influence the project's outcomes. Stakeholder analysis provides the foundation for planning stakeholder engagement throughout the project cycle.

Stakeholder engagement is an overarching term that encompasses a range of activities and interactions with stakeholders throughout the project cycle. The SES defines stakeholder engagement as an ongoing process that may involve, to varying degrees, the following elements:

- stakeholder analysis and planning
- disclosure and dissemination of information
- consultation and meaningful participation
- dispute resolution and grievance redress
- stakeholder involvement in monitoring and evaluation
- ongoing reporting to affected communities and other stakeholders.

The extent to which the project may impact various stakeholder rights and interests and the power and influence of certain stakeholders will affect needed engagement strategies and approaches. Stakeholder analysis, together with project screening and assessment of social and environmental risks (SESP), assists in developing appropriate engagement strategies for different stakeholder groups, which will then be articulated in the project's stakeholder engagement plan.

### 3. Summary of any previous stakeholder engagement activities

- *If any stakeholder engagement activities had been undertaken to date, including information disclosure and/or consultation, provide the following details:*
  - *Type of information disclosed, in what forms and languages (e.g., oral, brochure, reports, posters, radio, etc.), and how it was disseminated*
  - *Locations and dates of any meetings undertaken to date*
  - *Individuals, groups, and/or organizations that have been consulted*
  - *Key issues discussed and key concerns raised*
  - *Responses to issues raised, including any commitments or follow-up actions*
  - *Process undertaken for documenting these activities and reporting back to stakeholders*

### 4. Project Stakeholders

The following stakeholder groups have been preliminary identified, based on the focus and character (preliminary upstream and soft measures) of the project. As mentioned above, more comprehensive stakeholder analysis and engagement plan, including the capacity building measures will be developed during the inception phase, and within the project Component 6 'Proactive communication and Stakeholders' Involvement'.

#### List of stakeholder groups:

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

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

Names of the specific organizations will be provided during the inception phase.

## 5. Stakeholder Engagement Program

The goal of this Stakeholder Engagement Plan is to offer a mechanism for all stakeholders of the project to be engaged as early as possible in the implementation process and throughout project duration, and to facilitate a feedback mechanism that ensures that stakeholders' views and concerns inform project adaptive management. Project stakeholders have been preliminary identified firstly, as broadly defined groups possessing convergent sectoral interests, and secondly, as individual entities with specific interests and roles in the project region.

Stakeholder engagement processes should be planned to ensure that all key stakeholders are fully familiar with the project objectives and project activities and that they remain committed to and supportive of the related activities in the project. To secure their participation in related disclosure activities and knowledge dissemination, the relevant stakeholders will be contacted and engaged with using different strategies and methods that best suit their contributions and interests.

As emphasized in the UNDP Guidance Note, methods used may vary according to the target audience and can include the following:

- Interviews with stakeholder representatives and key informants
- Surveys, polls, and questionnaires
- Public meetings, workshops, and/or focus groups with specific groups
- Participatory methods
- Other traditional mechanisms for consultation and decision-making.

Regional network of regional and local stakeholders will be established, and the communication and awareness raising strategy will be developed and implemented within the project component 6 'Proactive communication and Stakeholders' Involvement', to be implemented by UNEP Teheran Convention Secretariat.

Views of women are considered and described in the Gender Analysis and Gender Action Plan.

The implementation of the Stakeholders' Engagement Plan is crucial for the success of the project, for the effectiveness and feasibility of proposed legal changes and (plastic) waste management options. It will thereby improve decision-making and performance through improved risk management as it

will secure for the project and communities to identify, prevent, and mitigate environmental and social risks and their impacts that could occur if the project recommended options are not well thought of. The plan will have a direct contribution to improving national policy - obtaining perceptions about a project, which can act as a catalyst for changes and improvements in waste management systems and technological options. On a project level the plan will secure identification, monitoring and reporting on impacts - understanding a project's impact on stakeholders, evaluating and reporting back on mechanisms to address these impacts; and managing stakeholder expectations - consultation with the stakeholders also provides the opportunity for the project to know and manage stakeholder attitudes and expectations.

Stakeholders will continue to be identified on a continuing basis by identifying various stakeholder categories that may be affected by, or be interested in, the Project and specific individuals, groups, and organizations within each of these categories taking into account:

- the expected project area and impact, that is the geographical area over which it may cause impacts (both positive and negative) over its lifetime, and therefore the localities within which people and businesses could be affected;
- The nature of the impacts that could arise and therefore the types of national/local government entities, NGOs, academic and research institutions and other bodies that may have an interest in these issues.

The table below describes the information on why stakeholders are relevant for the project, types of methods that will be used to communicate to each of the stakeholder groups, responsibilities and timeline. It needs to be stressed again, that only types of stakeholders are being identified in the table below and the particular institutions and entities will be listed during the inception phase and continuously, within the Component 6 planning and implementation.

| Stakeholders                                                                                                                | Why Included (interests)                                                                                                                                                                                                                                      | Relevant Project Outcomes and Outputs | Participation Methods                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                           | Timeline                                                                                                               |
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| Tehran Convention <sup>10</sup> Secretariat                                                                                 | It will ensure the coordinated regional efforts in addressing marine litter, by all Caspian littoral states. It will have a major role in consultation and coordination with the national beneficiaries.                                                      | Component 1, 2, and 6 specifically;   | <p>Hosting the project coordination office; member of the project Steering Committee; A Project Management Unit (PMU) will be established by IRH in coordination with the Tehran Convention (TC) Secretariat.</p> <p>Stakeholders' engagement means in in the project component 6:</p> <ul style="list-style-type: none"> <li>- Establishment of a Regional network of regional and local stakeholders - focused mainly on data collection and platform for engaging in a dialogue and enhanced cooperation with all the project stakeholders' groups</li> <li>- Development and implementation of communication and awareness raising strategy – applying various awareness raising instruments, incl. campaigns, public programmes, and training.</li> </ul> | <p>Hosting the project coordination office</p> <p>Project coordination</p> <p>Consultation and coordination with the national beneficiaries.</p> <p>Implementation of the project components 1, 2 and 6 specifically;</p> | <p>Throughout project duration</p> <p>Regular meetings of Project Management Unit (at least once a month); M&amp;E</p> |
| State agencies / ministries responsible for waste management, and / or for the Caspian environment management or monitoring | The respective agencies / ministries are the central government executive bodies responsible for the development of legislative and strategic framework in the field of waste management and the Caspian environment management. The agencies are responsible | The whole project                     | <p><u>Partnerships, meetings, workshops, conferences:</u></p> <p>Respective state agencies will act as an Implementing Partner for the Project and will be members of Project Steering Committee. They will provide guidance, validate project deliverables, enable and coordinate project activities, assist the project with cross-sectoral communication, provide technical expertise, facilitate access to sites and locations, promote project results, address logistical issues and support overall project management.</p>                                                                                                                                                                                                                             | As members of the project SC to oversee and provide guidance on implementation.                                                                                                                                           | Throughout project implementation: Regular meetings of Project Steering Committee (at least 2 times a year), M&E       |

<sup>10</sup> Framework Convention for the Protection of the Marine Environment of the Caspian Sea, the Tehran Convention

| Stakeholders                                                                                                                 | Why Included (interests)                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Relevant Project Outcomes and Outputs | Participation Methods                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                        | Timeline                          |
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|                                                                                                                              | <p>for the implementation of the Tehran convention.</p> <p>The respective agencies own the data on marine litter and waste in general.</p>                                                                                                                                                                                                                                                                                                                                  |                                       | <p><u>Activity reports, web-based meeting platforms, site visits</u></p> <p>Respective state agencies will review and validate project reports and products and promote project's progress through media channels (website, social media, etc).</p> <p>Communication will be achieved through regular and ad-hoc Project Steering Committee meetings and other official face-to-face and online meetings as well as through official writing.</p>                                                                                                                                                                                                                              |                                                                                                        |                                   |
| National health and environment authorities responsible for EIA, promotion of circular economy, ministries – EIA departments | <p>Generation, management, and processing of waste, especially of plastics, is the sector involving considerable risk to the environment, human health, and well-being.</p> <p>These authorities shall be consulted to ensure that project activities especially in components 2, 3, 4, and 5 shall consider aspects of environmental and health impact, incl. transboundary, assessment and protection, framework for combating climate change, environmental justice,</p> | Component 2                           | <p><u>Partnerships, meetings, workshops, focus groups:</u></p> <p>The respective authorities shall be consulted and engaged, e.g. via working groups, to ensure that project activities especially in components 2, 3, 4, and 5 consider aspects of environmental and health impact, incl. transboundary, assessment and protection, framework for combating climate change, environmental justice, occupational health and safety, and other relevant areas.</p> <p><u>Activity reports, web-based meeting platforms, site visits</u></p> <p>The respective authorities will review and if needed provide comments to the recommendations for the respective legal reform</p> | <p>Provide technical support and guidance.</p> <p>Support data collection and monitoring (Comp. 1)</p> | Throughout project implementation |

| Stakeholders          | Why Included (interests)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | Relevant Project Outcomes and Outputs | Participation Methods                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                 | Timeline                          |
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|                       | occupational health and safety, and other relevant areas. considered in revised legal documents.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                 |                                   |
| Municipal governments | <p>The project will provide assistance to the Caspian countries to review their waste legislation on both national and local level (Comp 2). In doing so, minimum requirements, based on existing best practice will be used to maximize their effectiveness considering different local contexts.</p> <p>Local governments have an important role in the establishment and implementation of the waste management system.</p> <p>Jurisdiction of local governments regarding waste management is achieved through the work of the various municipal bodies, including environment protection,</p> | The whole project                     | <p><b><i>Engage, Communicate, Inform, Respond</i></b></p> <p><u>Partnerships, meetings, workshops, focus groups:</u><br/>Regular meetings to support implementation of the project.</p> <p><u>Engage, Communicate, Inform, Respond</u><br/>Municipal governments will play a key role in the project activities dedicated to a) review of marine litter information, b) review of relevant information, c) collaboration with the private sector, and d) community engagement.</p> <p>The project will secure the participation of the Union of Municipalities (UoM). The project will partner with the UoM to secure appropriate information dissemination to all municipalities regarding project implementation and results and ensure community engagement in project activities and endeavors. Special focus will be placed on the cooperation with the coastal municipalities. Municipal governments will be involved also via regional network to be established by the UNEP – Component 6.</p> | <p>To be defined during the inception phase</p> <p>Role related to participation in the to-be established regional network.</p> | Throughout project implementation |

| Stakeholders                       | Why Included (interests)                                                                                                                                                                                                                                                                                                                               | Relevant Project Outcomes and Outputs | Participation Methods                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |                                                                              | Timeline                          |
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|                                    | development (and in some municipalities, development agencies), secretariats for planning, urbanism and construction, secretariats for public utilities and many other.                                                                                                                                                                                |                                       | <u>Activity reports, web-based meeting platforms, site visits</u><br>Representatives of municipalities will actively contribute to the review & approval of regular project progress reports.<br>Communication will be achieved through regular and ad-hoc Project Steering Committee meetings and other official face-to-face and online meetings as well as through official writing.<br><br><u>Publications, newsletters, news coverages:</u><br>Representatives of municipalities will also be informed of the project's results through a series of thematic publications, regular project newsletters, and coverage in social media, website, national, regional press and TV. |                                                                              |                                   |
| Academia and research institutions | Additional research is needed to fill-in the significant gap in knowledge especially with regards to the economic damages associated with the marine litter impacts on the ecosystem, human health, recreational & leisure, agriculture and animal husbandry, fishery industry or navigation. A special focus will be put on the impact of plastic and | Component 1                           | <u>Partnerships, meetings, workshops, conferences, research collaboration:</u><br>Initial face to face or virtual meetings with representatives of academia to explain project needs and to ensure proper planning and coordination of project activities, especially of the Component 1.<br><br>Regular meetings to support implementation of joint works and activities as outlined in the Component 1 in the Project Document.                                                                                                                                                                                                                                                    | Data and information provision<br><br>Beneficiary of the project Component 1 | During Component 1 implementation |

| Stakeholders                                                                                                                                                                                                                                                               | Why Included (interests)                                                                                                                                                                                                                                                                                                                                                                                                                                                | Relevant Project Outcomes and Outputs           | Participation Methods                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                       | Timeline                                                                  |
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|                                                                                                                                                                                                                                                                            | microplastics. Academia and research institutions will both be involved in specifying those gaps and will be expected to conduct the further research.                                                                                                                                                                                                                                                                                                                  |                                                 | <u>Activity reports, web-based meeting platforms, site visits</u><br>Academia representatives and institutions will provide oral and written inputs to the reports and recommendations for further research, as stated in the Activity 2.1 in the Project Document.                                                                                                                                                                                                                                                                                                                                                                              |                       |                                                                           |
| Environment, climate change, waste management, as well as gender-focused NGOs<br><br>Project may cooperate with the Coalitions of NGOs if such exist in the countries:<br><br>ARGO Civil Society Development Association in Azerbaijan Turkmenistan Civic Solidarity Group | Non-governmental organizations (NGOs) in the respective areas often serve the following functions, relevant for the project:<br><ul style="list-style-type: none"><li>- Promoting good international practice based approached in waste management</li><li>- Observing compliance of both government and citizens with the waste management requirements and standards</li><li>- Educate both governments and public on waste management approaches and their</li></ul> | Component 5 and 6; Comp. 3 and 4 where relevant | <u>Partnerships, meetings, workshops, research collaboration:</u><br>Initial face to face or virtual meetings with representatives of CSOs and NGOs to explain project goals and to ensure proper planning and coordination of project activities.<br><br>Regular meetings to support implementation of joint works and activities, as outlined mainly in the Component 6.<br><br>Participation of CSOs and NGOs will ensure adequate representation of public opinion and local stakeholder interests in the project activities and endeavours. Through gender-focused NGOs, gender equality throughout project implementation will be ensured. | Informal partnerships | Throughout the project implementation, to be specified in the Component 6 |

| Stakeholders                       | Why Included (interests)                                                                                                                                                                                   | Relevant Project Outcomes and Outputs | Participation Methods                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                               | Timeline                                            |
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|                                    | <p>economic, social and environmental benefits</p> <ul style="list-style-type: none"> <li>- Promote communication between government and communities, including women (associations)</li> </ul>            |                                       | <p>NGOs and CSOs could also help in promoting project results and help to build upon existing achievements and initiatives already initiated especially on the local level. CSOs and NGOs will be encouraged to take active roles in implementing project activities, ensure synergies with their ongoing initiatives in the field of relevance, and support</p> <p><u>Activity reports, web-based meeting platforms, site visits</u></p> <p>Communication will be achieved through meetings and through official writing.</p> <p><u>Publications, newsletters, news coverages:</u></p> <p>CSOs and NGOs will also be informed of the project's results through a series of thematic publications, regular project newsletters, and coverage in social media, website, national, regional press and TV. These activities shall be specified in the awareness raising and communication strategy to be developed within the project's Component 6.</p> |                               |                                                     |
| Business associations, enterprises | Business associations and enterprises, mainly those active in waste management, processing, recovery, recycling, and / or disposal, will be a key target group of the project in the activities focused on | Component 4 and 3                     | <p><u>Partnerships, meetings, workshops, conferences, research collaboration:</u></p> <p>Specific, business-oriented meetings will be organized to support implementation of joint works and activities as outlined in the Component 4 and partially in Component 3.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Project beneficiary (Comp. 4) | Mainly during the Component 3 and 4 implementations |

| Stakeholders                                                      | Why Included (interests)                                                                                                                                                                                                                                                                                                    | Relevant Project Outcomes and Outputs | Participation Methods                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                 | Timeline                                      |
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|                                                                   | identification and support of innovative solutions for advanced sorting, chemical recycling and improved polymer; on identification of sustainable investments in waste management; Identification of markets for recycled and innovative plastics, and on application of the Extended Producer Responsibility (EPR) scheme |                                       | <p>Under the Activity 4.3, the project will seek possible <u>partnerships</u> with the global alliance from plastics value chain, including major plastic-producing and plastic-using corporations and processing companies. In doing so the project will encourage and promote <u>membership and participation</u> of the Caspian States and industries in relevant <u>multi regional and global initiatives and alliances</u> for the sustainable management and reduction of waste generation and disposal, including meetings of the Parties of the Tehran Convention and its LBS Protocol.</p> <p><u>Consultation meetings and training</u> will be organized to support development and application of an Extended Producer Responsibility (EPR) scheme in the Caspian states.</p> |                                 |                                               |
| Supermarkets and other retailers (related to ban on plastic bags) | <p>Project will promote a ban on sales of plastic bags with recommendations on alternatives (Activity 2.4)</p> <p>In case countries accept and officially introduce such ban (not necessarily during the project implementation) the supermarkets and other retailers will be affected. Therefore, it is important</p>      | Activity 2.4                          | <p><u>Partnerships, meetings, workshops, conferences, research collaboration:</u></p> <p>Project will invite retailers and supermarkets' managers to the relevant meetings; Project may conduct interviews and / or surveys with them.</p> <p><u>Publications, newsletters, news coverages:</u></p> <p>If applicable, project may partner with supermarkets and retailers on producing and / or disseminating written materials, or online campaigns (radio, TV, social media) among customers, promoting</p>                                                                                                                                                                                                                                                                            | Affected stakeholders, partners | During Activity 2.4 implementation and beyond |

| Stakeholders                                                                                                                      | Why Included (interests)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | Relevant Project Outcomes and Outputs | Participation Methods                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                               | Timeline                                                         |
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|                                                                                                                                   | to engage options in early stage of consulting such options.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                       | alternatives to plastic bags, explaining economic and environmental benefits                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                               |                                                                  |
| Local, incl. female entrepreneurs (tourism providers, fishers, farmers), and coastal communities, including women – beneficiaries | <p>Selected local entrepreneurs and coastal communities will be direct beneficiaries of the project implemented Small Grants Programme (SGP).</p> <p>Coastal communities, incl. local entrepreneurs (tourism providers, fishers, farmers) are good source of information on the amounts and types of marine litter generated and disposed of, on the status of coastal environment related to marine litter and on impact it has on their livelihood.</p> <p>Not necessarily during the project implementation, the coastal communities, incl. local entrepreneurs (tourism providers, fishers,</p> | The whole project                     | <p><u>Publications, newsletters, news coverages:</u></p> <p>Local communities and entrepreneurs will be informed of the project's plans and results through official communication handled by the project team/Implementing Partner and channeled through municipal resources as well as project-based communication means such as regular project newsletters, and coverage in social media, website, national, municipal press and TV. These will be further specified in the Communication and Awareness Raising Strategy to be developed within the Component 6. As part of SES risk mitigation, the project will ensure early disclosure of information and engagement on all activities that may affect local communities. A Grievance Redress Mechanism (see below) will be developed as a mechanism for addressing possible grievances and complaints associated.</p> <p><u>Partnerships, meetings, workshops, research collaboration:</u></p> <p>Initial face to face or virtual meetings with representatives of local communities and entrepreneurs to explain project goals and to ensure proper planning and coordination of project activities.</p> | Beneficiaries (SGP) and affected stakeholders | Throughout the whole project; Specifically in Component 5 and 6. |

| Stakeholders                             | Why Included (interests)                                                                                                                                                                                                                                                                                                                                                                            | Relevant Project Outcomes and Outputs               | Participation Methods                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                       | Timeline                                            |
|------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|-----------------------------------------------------|
|                                          |                                                                                                                                                                                                                                                                                                                                                                                                     |                                                     | Method                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Responsibility        |                                                     |
|                                          | farmers) will be affected by the project activities.                                                                                                                                                                                                                                                                                                                                                |                                                     | <p>Local community representatives and institutions will be informed and asked for inputs where their livelihoods are concerned, and where they can be a good source of information (e.g. on the amounts and types of marine litter generated and disposed of, on the status of coastal environment related to marine litter and on impact it has on their livelihood)</p> <p>Meetings, workshops, and training to raise awareness and build capacity for participating in the SGP scheme.</p>                                                                                                                                                                                  |                       |                                                     |
| Schools and other education institutions | <p>Project will develop and apply cost-effective tools and means to raise awareness with stakeholders, (including waste collectors and local communities), on on negative effects of the inappropriate waste management as well as on simple solutions which could make an immense impact on addressing marine litter especially plastic.</p> <p>Schools and education institutions may play an</p> | <p>Component 3, Activity 3.1</p> <p>Component 6</p> | <p><u>Partnerships, meetings, workshops, conferences, research collaboration:</u><br/>36</p> <p><u>Project will invite representatives of schools and other educational institutions to the relevant meetings; Project may conduct interviews and / or surveys with them. Project will find the modality how to involve schools in capacity development and awareness rising activities.</u></p> <p><u>Besides being beneficiaries of the project awareness rising and capacity development actions, schools could also help in promoting project results and help to build upon existing achievements and initiatives already initiated especially on the local level.</u></p> | Informal partnerships | Especially during Component 6, and the Activity 3.1 |

| Stakeholders                                                                                                                                                                                                   | Why Included (interests)                                                                                                                                                                                                                                                             | Relevant Project Outcomes and Outputs | Participation Methods                                                                                                                                                                                                                  |                       | Timeline                     |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|------------------------------|
|                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                      |                                       | Method                                                                                                                                                                                                                                 | Responsibility        |                              |
|                                                                                                                                                                                                                | important role in improving of marine litter literacy. Cooperation with such institutions may increase the sustainability of the project results in terms of promotion and awareness-rising.                                                                                         |                                       |                                                                                                                                                                                                                                        |                       |                              |
| Relevant regional institutions and agencies<br><br>(e.g. Coordinating Committee on Hydrometeorology and Pollution Monitoring of the Caspian Sea (CASPCOM), UN Environment Programme's Regional Seas Programme) | Cooperation with such institutions will support cost effectiveness and efficiency of project thanks to utilizing their knowledge and experience. This is especially in improving the regulatory framework and in identifying innovative solutions for marine litter waste management | Component 2 and 3                     | <u>Partnerships, meetings, workshops, research collaboration:</u><br><br>Initial face to face or virtual meetings with representatives of regional institutions to explain project goals and agree on the potential cooperation.<br>36 | Informal partnerships | Throughout the whole project |

## 7. Resources and Responsibilities

Project will design its stakeholder engagement activities within its Component 6: Proactive Communication and Stakeholder Involvement. The UN Environment Tehran Convention (TC) Secretariat is responsible for implementing this component. Following the design, stakeholders' engagement will be carried out throughout the whole project implementation, under the coordination of the UN Environment TC Secretariat and UNDP.

### Budget for stakeholders' engagement

- USD 400,000.00 is allocated for the Component 6: Communication and Stakeholder Involvement.
- Budget allocation for the SE activities will be specified during the inception phase, within the planning and implementation of the Component 6, where the concrete stakeholders and means of their involvement are specified.

## 8. Grievance Mechanism

A *Grievance Redress Mechanism (GRM)* is a structured process designed to address and resolve concerns, complaints, or disputes raised by external stakeholders, such as community members, beneficiaries, or partners, in the context of UNDP projects. GRM is required for all projects rated Moderate, Substantial, or High Risk in the SES screening.

The *Stakeholder Response Mechanism (SRM)* is a backstopping mechanism for addressing project grievances when the UNDP project-level stakeholder engagement processes and GRMs have not successfully resolved issues of concern.

*Social and Environmental Compliance Unit (SECU)* responds to complaints that UNDP may not be meeting its social and environmental commitments. UNDP established the Social and Environmental Compliance Unit (SECU) to ensure accountability to individuals and communities. SECU-specific inquiries shall be sent via email to: [SECUHOTLINE@UNDP.ORG](mailto:SECUHOTLINE@UNDP.ORG)

UNDP Country Office management normally leads in Stakeholder Response Mechanism at the CO level; the headquarters host the SRM at the corporate level.

UNDP's project-level GRMs are usually based in Implementing Partner (IP) or created for the project. Oversight is being provided by the Project Board (UNDP Quality Assurance) and linked to the SRM. Complainants can choose where to bring the complaint first and can escalate.

Since this project is regional (multi-country) with direct implementation mechanism (DIM), UNDP COs serve the role of Implementation Partners. It is therefore preliminary suggested that project designates the project Steering Committee as the project-GRM. The ToR for such GRM will be developed during the ESMF elaboration, and further consulted and agreed upon during the inception phase, with the government and international partner, in this case UNEP representatives, representatives of potential GRM users, and representatives of any civil society, business, or other groups with a stake in the GRM's design and operation. GRM mechanism will not incur any costs and the same mechanism remains in place for the duration of the project.

It is recommended that the IRH C/Q Assurance Team serves the role of SRM in this project.

GRM entities, roles and responsibilities, as well as contact points will be described in the ESMF and agreed upon during the inception phase.

## **9. Monitoring and Reporting**

Despite that the project has a moderate-risk assessment based on its SES, stakeholders will remain engaged in monitoring during project implementation. This will allow them to continue to assess whether any measures previously instituted continue to be responsive to any or potential conflicts or grievances. If these were to become unresponsive or cease to be functional, stakeholders can immediately inform the process to develop and implement improved measures. Updated and revised measures will be presented at project board meetings and at the broader stakeholder group meetings.

The project implementation will be monitored constantly through regular UNDP project implementation monitoring procedures. These include regular meetings between the project team and UNDP Country Office staff, Project Steering Committee meetings, the annual Project Implementation Report (which includes sections on risk monitoring), and the regular UNDP risk log. This also includes monitoring by the UNDP Country Offices gender specialist and safeguards specialist (if such function exists). In terms of third-party monitoring, the Project Steering Committee will include a wide array of stakeholders who will be regularly informed about the project activities. The project will have a mid-term review and terminal evaluation conducted by external independent evaluation experts.

## Annex 7: Gender Analysis and Plan

### 1. GENDER AND WASTE NEXUS

#### Physiological aspect

Women are physiologically more vulnerable to the impacts of exposure to toxic materials. There is a higher likelihood of bioaccumulation of the lipophilic compounds released during burning of plastic. This exposure not only increases the risk for women but also for their future children.

Toxins including DDT, BPA and pesticides adhere to microplastic that can be accidentally ingested by small aquatic life. Once ingested, the toxins bio-magnify as they move up the food chain, accumulating in birds, sea life and possibly humans.<sup>11</sup> UNEP's 2021 report *From Pollution to Solution* warned that chemicals in microplastics "are associated with serious health impacts, especially in women". These can include changes to human genetics, brain development and respiration rates, among other health issues. Though it is still unknown how harmful microplastics are, the fact that they are present in the human body and even end up in the placenta and amniotic fluid of pregnant women is cause for concern, according to researchers.<sup>12</sup>

#### Opportunities in labor market and decision-making

The waste sector is assumed to be gender neutral, but gender inequalities and norms are embedded in almost every aspect of waste management, leading to a gendered division of labour. Yet, currently, most waste management policies are gender blind. Division of labor in the waste sector based on conventional gender roles and stereotypes. Women are often excluded from higher-income and decision-making positions. When waste management formalizes, women are often marginalized and replaced by men, contrasting their active roles in informal settings.

Women are less likely to be business owners or entrepreneurs in the sector. The participation of women in the waste management sector is often seen as 'organic' as it represents an extension of their caregiving role – much like how women are responsible for waste management as a part of their household responsibilities, they are seen to be providing a similar service at a more communal level.

There are positive stereotypes in some cases that support women's participation in the sector. Often, they are seen as more trustworthy, faithful, and dependable and they are likely to work for longer. They are also considered more dedicated and have a higher attention to detail and thus preferred for activities such as plastic sorting. However, there is a downside to such stereotypes as women are also seen as lacking in assertiveness and ambition, which might affect the interest that clients show in patronizing women-led plastic collection and recycling businesses. Even in countries with formal systems, such as in Europe, there were some reported incidences of discriminatory hiring due to greater perceived 'suitability' of men to leadership positions.<sup>13</sup>

11

[https://wedocs.unep.org/bitstream/handle/20.500.11822/41534/women\\_plastic\\_waste.pdf?sequence=3&isAllowed=y](https://wedocs.unep.org/bitstream/handle/20.500.11822/41534/women_plastic_waste.pdf?sequence=3&isAllowed=y)

<sup>12</sup> <https://www.unep.org/resources/pollution-solution-global-assessment-marine-litter-and-plastic-pollution>

<sup>13</sup> [https://wedocs.unep.org/bitstream/handle/20.500.11822/41534/women\\_plastic\\_waste.pdf?sequence=3&isAllowed=y](https://wedocs.unep.org/bitstream/handle/20.500.11822/41534/women_plastic_waste.pdf?sequence=3&isAllowed=y)

## Women as agents for change

Women are vital agents of change in moving towards more efficient, sustainable, and fair waste management. As the primary users of waste management services at the household level and being engaged with various types of work in the waste sector, women have both knowledge and expertise. Mainstreaming gender in the waste sector and strengthening the participation of women in the waste sector can lead to more efficient and effective waste management operations.

One area where women can take an immediate leadership role is in the minimization and separation of household waste, but men also need to become involved and take on a greater—and eventually equal—share of household responsibility for domestic waste management. This strategy can help reduce overall waste through reduction of waste, as well as recycling and composting.

Other areas, where women may play significant role in waste reduction is tourism, both producing and being affected by waste, and agriculture and cultivation, in relation to control of pesticides adhering to microplastic that can be accidentally ingested by small aquatic life. Women are also involved in weekly religious events, which are associated with generation of huge volume of plastic-waste.

It is also essential to promote and support women's voices, women's leadership, and women's agency in waste management. As the waste sector modernizes and applies new technologies that may require greater education and training, it is essential that women are included in this process.

Changing attitudes about gender norms through awareness-raising campaigns, training, and research to collect sex and gender-disaggregated data are crucial to addressing gender inequality in the waste sector.

It is also important to bring men and boys, as well as women and girls, into the conversation, as gender is not just about women.<sup>14</sup>

## **2. SITUATION ANALYSIS**

Situation analysis and action plan shall be based on the following, project-related, facts:

- Chemicals in microplastics “are associated with serious health impacts, especially in women”.<sup>15</sup>
- Female entrepreneurs may be more affected by marine litter in the coastal areas.
- Women may be both affected by poor waste management practices and contribute to the problem of plastic, especially household waste generation.
- Women, still predominantly responsible for household food and goods supply, may be considered as agents for change in plastic, especially household, waste generation.
- Women are often excluded from higher-income and decision-making positions.

### **2.1 Socio-economic context**

Gender equality in the Caspian countries is guaranteed by the Constitutions, the set of national legislation and by ratified international conventions. However, gender inequality persists, due to the lack of understanding about gender-based discrimination, as well as because of the lack of institutional capacities to implement the legislation. The level of participation of women in political and economic decision-making

<sup>14</sup> [Gender and Waste management | International Environmental Technology Centre \(unep.org\)](https://www.unep.org/gender-and-waste-management)

<sup>15</sup> UNEP, From Pollution to Solution: A global assessment of marine litter and plastic pollution, 2021, UNEP

both on national and local levels remains low; in a men-dominated society, women have limited access to resources.<sup>16</sup>

In the Caspian countries, as in many parts of the world, the disparities in economic opportunities for women and men are rooted in patriarchal norms and traditional gender roles. These deeply ingrained social norms impede the realization of legal provisions on gender equality. Traditional gender roles in the household leave women bearing the burden of unpaid domestic and care work – a fundamental obstacle to their entering and rising in the labour market or setting up their own enterprises. Women also find it harder to come by opportunities for professional development, including skills training and networking, which are key to their economic empowerment and independence. Confidence, capital and connections, easily available to men, elude most women.

In such a context, giving women spaces to meet, network, exchange ideas, forge partnerships, attract capital, gain confidence and grow professionally can have transformative impacts. In rural and remote areas especially, such spaces can be instrumental in helping women to learn more about their rights, discover untapped potential, and overcome obstacles that once seemed insurmountable.

### 2.1.1 Country-specific information

There is a considerable gap in gender-related data and information in all countries involved in the project. Data gaps are mainly in the following areas: key labor market indicators, such as the gender pay gap, gender and poverty, physical and sexual harassment, women's access to assets (including land), and gender and the environment. These and many other gender-related areas lack comparable methodologies for regular monitoring.<sup>17</sup>

#### Azerbaijan<sup>18</sup>

Some progress on women's rights has been achieved. Employment rates among women, although relatively high (67 percent), are lower than among men (72 percent).

In general, women find it harder than men to get jobs in well-paid sectors, such as energy or industry. They tend to be employed mainly in underpaid sectors traditionally regarded as feminine, such as education, health care and services.

Women and girls aged 15+ spend 25.4% of their time on unpaid care and domestic work, compared to 8.9% spent by men.

Only 26 percent of the country's entrepreneurs are women.

Country's Labour Code currently prohibits women from working in 204 professions.<sup>19</sup>

As of February 2021, only 18.2% of seats in parliament were held by women.

<sup>16</sup> <https://worldpopulationreview.com/country-rankings/gender-equality-by-country>

<sup>17</sup> <https://data.unwomen.org/countries>

<sup>18</sup> [Country Fact Sheet | UN Women Data Hub](#)

<sup>19</sup> [UN women's rights committee publishes findings on Azerbaijan, Bolivia, Mongolia, Morocco, Namibia, Portugal, Türkiye and United Arab Emirates | OHCHR](#)

**Iran<sup>20</sup>**

- 16.7% of women aged 20–24 years old who were married or in a union before age 18. The adolescent birth rate is 31.1 per 1,000 women aged 15–19 as of 2018, down from 33.2 per 1,000 in 2017.
- Iran currently has one of the lowest rates of female labor force participation (around 14% in 2022), ranking Iran 5th lowest in the world.<sup>21</sup>
- Considerably lower number of women have the ICT skills and 56% is the proportion of female individuals who own a mobile telephone, compared to 79.55% of male individuals.
- Women's unemployment rate is 15.8%, which is double the rate for men (7.7%). Women and girls aged 15+ spend 21% of their time on unpaid care and domestic work, compared to 5.2% spent by men.
- Proportion of women in managerial positions, and proportion of women in senior and middle management positions is 18.9% and 19.8% respectively.
- As of February 2021, only 5.6% of seats in parliament were held by women.

**Kazakhstan<sup>22</sup>**

- Among the countries of Central Asia, Kazakhstan is a leader in progress on gender equality. Kazakhstan improved its overall ranking and jumped 18 positions to 62nd place in the Global Gender Gap Index 2023<sup>23</sup>.
- Nevertheless, persistent gender imbalances remain, particularly for wages and access to employment and career opportunities. In 2022, the gender wage gap in 2022 was 21.7 per cent in favor of men.<sup>24</sup>
- The country has eliminated gender gaps in education levels and shown improvements in economic and political opportunities. While the number of women in government and in parliament continues to grow, progress is still insignificant. As of February 2021, 27.1% of seats in parliament were held by women.
- Women and girls aged 15+ spend 19.9% of their time on unpaid care and domestic work, compared to 5.9% spent by men.

**Turkmenistan**

- As of February 2021, 25% of seats in parliament were held by women.
- Female unemployment rate is lower than male: 2.3 to 5.3% respectively.
- Proportion of adults (15 years and older) with an account at a financial institution or mobile-money-service provider (% of adults aged 15 years and older) is 35.5 for women and 45.7 for men.

<sup>20</sup> <https://data.unwomen.org/country/iran-islamic-republic-of>

<sup>21</sup> UNDP Gender Equality Strategy, 2023 - 2027

<sup>22</sup> <https://data.unwomen.org/country/kazakhstan>

<sup>23</sup> A report designed to measure gender equality among 146 countries.

<sup>24</sup> <https://eca.unwomen.org/en/where-we-are/kazakhstan>

## 2.2 National legal and policy frameworks and measures

In Azerbaijan, Kazakhstan and Turkmenistan, and Iran<sup>25</sup>, gender equality is guaranteed by the country's constitution and legislation. The constitutions prohibit discrimination based on gender, including workplace discrimination.

### Azerbaijan

The 21-article Law of the Republic of Azerbaijan on State Guarantees of Equal Rights for Women and Men aims to eliminate all forms of gender-based discrimination and ensure gender equality in the political, economic, social, and cultural spheres. Law to prevent domestic violence was adopted in 2010. The Joint Plan of Action on the Prevention of Domestic Violence (2016–2018) was signed by several national ministries, which aims to strengthen inter-institutional cooperation on violence prevention and response. The State Program on the Implementation of the Employment Strategy promoting youth, especially women, employment in the tourism sector, establishing a network of business centers, and providing financial literacy training. Specific budgetary allocations have been made to ensure a steady increase in the gender mainstreaming process and all State programmes and services committed to ensure gender equality at all levels and all spheres. The country promotes girls' careers in science, technology, engineering, and mathematics. It pledges to introduce new legislation to help working women—including flexible working and accessible childcare. Azerbaijan ratified the Convention on the Elimination of All Forms of Discrimination Against Women in 1995 and signed its optional protocol in 2000. Several Gender Information Centers operate in the country.<sup>26</sup>

### Kazakhstan

Kazakhstan was one of the first Central Asian countries to establish a national entity to promote gender equality - the National Commission on Women, Family and Demographic Policy. Its Gender Equality Strategy for 2006 - 2016 established measures to create and improve legislation in the interests of gender equality. The updated Concept of Family and Gender Policy until 2030 now includes plans to increase to 30 per cent by 2030 the share of women at decision-making levels in executive, representative and judicial authorities, state, quasi-state, and corporate sectors. The same policy sets steps to decrease domestic violence against women, improve the gender wage gap, and increase women's ownership of assets. Kazakhstan has ratified the Beijing Declaration and Platform for Action (1995), the Convention on the Elimination of All Forms of Discrimination Against Women, the Convention on the Political Rights of Women (1999), the Convention on the Nationality of Married Woman (1999), and eight fundamental Conventions of the International Labour Organization (ILO), and the 2030 Agenda for Sustainable Development.<sup>27</sup> In 2021, Kazakhstan joined two Coalitions of Action of the Global Forum "Generation of Equality", committing to combat gender-based violence and ensure economic justice and rights. This led to the abolishment of the list of prohibited professions for women.

### Turkmenistan

Turkmenistan's constitution guarantees equal rights to women and men under Article 18 1. However, in practice, women face political and societal discrimination. Women are not allowed to form independent women's organizations, and all such organizations must be registered under the Women's Union of Turkmenistan.<sup>28</sup> Turkmenistan's government has recently adopted the National Action Plan for Gender Equality (NAPGE) for 2021-2025, which identifies national goals, objectives, and priorities to continue advancement in the realization of gender equality in all spheres of people's lives at national and local levels. The seven strategic areas of that plan include further enhancement of the legislation, ensuring gender-responsive healthcare, fostering equal access to education, prevention, and response to gender-based

<sup>25</sup> The explicit use of the Persian equivalent of the word 'gender' has been avoided in these documents. They refer to women empowerment.

<sup>26</sup> <https://www.unwomen.org/en/get-involved/step-it-up/commitments/azerbaijan>

<sup>27</sup> [Kazakhstan | UN Women – Europe and Central Asia](#)

<sup>28</sup> <https://humanrightshouse.org/articles/nhc-women-second-class-citizens-in-turkmenistan/>

violence, economic empowerment of women and girls, advancing women's participation on all levels, including the political and social dimensions. Country promotes gender equality also within the framework of the National Action Plan for Human Rights for 2021-2025. Turkmenistan ratified the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW) in 1997 and signed its Optional Protocol in 2009.

## Iran

The most important policies concerning women are set in the Five-Year Economic, Social and Cultural Development Plan of the Islamic Republic of Iran, also referred to as the National Development Plan (NDP). Almost all previous NDPs have included measures aiming at women's empowerment, such as the improvement of women's participation in policymaking and the activities of the civil society, and creation of gender balance in the labor market to address the increasing number of educated women. However, after the change in presidency administration in 2021, it decided to adjust it based on its new policy priorities. This has meant an increasing emphasis on the goals of Family and Youth Protection Act, which aims at enhancing home-based jobs for women, incentivizing pregnancy of women employees, financial backing for infertility treatment, and supporting marriage among youth. Alongside the NDP, there is an extensive network on laws, policies, regulations, and other legal documents relating to women's status in Iran. Article 20 of the constitution sets men and women as equal before law and gives equal human, political, economic, social, and cultural rights to both genders. Article 21 calls for the government to secure the rights of women in all respect, according to Islamic criteria. Iran is not signatory of other key pillars of the international gender equality space, such as the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW), which makes the policy framework unbalanced and incomplete in some dimensions.

### 2.3 UNDP gender mainstreaming framework

Gender mainstreaming is core organization objective of UNDP. The UNDP Gender Equality Strategy 2022-2025 is aligned with the 2030 Development Agenda and UNDP's Strategic Plan. The strategy recognizes gender equality as a human right as well as instrumental to the achievement of sustainable development. The promotion of gender equality and the empowerment of women is central to the mandate of UNDP and intrinsic to its development approach. This effort includes advocating for women's and girls' equal rights, combating discriminatory practices and challenging the roles and stereotypes that affect inequalities and exclusion.

UNDP programmes and projects are informed by gender analysis in their design and implementation. UNDP seeks to identify and integrate the different needs, constraints, contributions and priorities of women, men, girls and boys into its programming.<sup>2</sup> Both women and men are able to participate meaningfully and equitably, have equal access to programme and project resources, and receive comparable social and economic benefits.

UNDP programmes and projects promote gender equality and the empowerment of women. UNDP strengthens interventions tackling structural changes and remove the institutional, societal, political and legal barriers to accelerate gender equality and women's empowerment and will go beyond counting numbers of beneficiaries by sex. UNDP focuses on empowering and creating agency for women and men and closing gender gaps.

### 3. PROJECT RESPONSES

In accordance with the above analysis of the most important aspects of gender equality in the Caspian countries, the gender issues which are of the importance of the Project implementation can be summarized as follows:

- Women are physiologically more vulnerable to the impacts of exposure to toxic materials.
- Distribution of resources between women and men is uneven - men own more land, immovable properties, businesses, etc.
  - Women are underrepresented among high-level decision-makers in national and local institutions and public enterprises that implement legislation and standards for environmental, including waste management policies. It compromises the possibility to consider the diversity of opinions, ideas and experiences in the decision-making process.
- As the primary users of waste management services at the household level and being engaged with various types of work in the waste sector, women have both knowledge and expertise.
- Women are vital agents of change in moving towards more efficient, sustainable, and fair waste management.

Based on the results, recommendations, and best practices, as well as in accordance with UNDP SES guidance on gender equality, the Project will focus on the following gender equality aspects:

- Collection and generation of gender-disaggregated data, to the extent possible, considering the fact, that there are considerable gender data gaps in the countries', as mentioned in the Situation analysis above.
- Balanced representation and meaningful participation of women and men in key project activities, including those related to capacity building and management planning for waste management, waste management related research and valorization studies, plastic waste threat and risk assessments, .....
- Engagement and mobilization of individuals, local women groups, women NGOs, etc. to participate in its implementation of the Project and to benefit from capacity development and business opportunities that are created under the relevant Project components.

### 4. GENDER ACTION PLAN

| Activity                                                                                                                                                                          | Project component/ activity | Gender indicator                                                                                                                                               | Budget                                       |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------|
| Collect the existing, or generate the gender-disaggregated data and information, to the extent possible                                                                           | Component 1                 | Marine litter assessment system and monitoring system contains / does not contain the gender-disaggregated data                                                | 10,000 USD                                   |
| Address the gender – plastic pollution – circular economy nexus in relevant research topics identified by the project; and if feasible, include it as the specific research topic | Component 1                 | Proportion of recommended research topics that address gender – plastic pollution – circular economy nexus                                                     |                                              |
| Provide mechanisms for enhanced participation of women (associations) in the project-supported policy, legal and regulatory framework review and development                      | Component 2                 | Number of women professionals engaged in the project-supported regulatory framework review and development                                                     | Covered by the cost of project gender expert |
| Capacitate the public institutions responsible for project-supported sectoral legislation and policies design and implementation to mainstream gender equality in their work      | Component 2                 | Gender considerations analyzed and gender issues mainstreamed in reviewed and produced laws, policies, strategies and mechanisms for (marine) waste management | 10,000 USD                                   |

## КОНФЕРЕНЦИЯ СТОРОН

### Седьмая сессия

21-23 сентября 2026 года, Тегеран, Исламская Республика Иран

| Activity                                                                                                                                                                                                             | Project component/ activity                     | Gender indicator                                                                                                                                                                                                         | Budget                                       |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------|
| Engage women technicians, entrepreneurs, and women business association in identification of the innovative and sustainable waste management technologies and schemes and of the needed waste management investments | Component 3<br>Component 4                      | Number of women, women entrepreneurs, and women business associations participating in the respective components' implementation                                                                                         | Covered by the cost of project gender expert |
| Include criteria to the SGP's awarding scheme for promoting women access to its financial and technical support Programme (SGP)                                                                                      | Component 5                                     | Proportion of women receiving SGP technical and financial support                                                                                                                                                        | 3,000 USD                                    |
| Provide mechanisms to engage women (organizations) in the project implementation and to reach out to women (associations) in awareness raising and communication activities                                          | Component 6<br>The whole project, as applicable | Number of women engaged in project implementation<br><br>Number of men and women as participants of project awareness raising and communication events and as recipients of awareness raising and communication products | Covered by the cost of project gender expert |
| Involvement of gender-equality expert (optional; if needed)                                                                                                                                                          | For the whole project implementation            | Contract between UNDP and gender expert                                                                                                                                                                                  | 20,000 USD*                                  |

\* In case there will be a need for the extra expertise, , this role could also be fulfilled by the social and environmental safeguards expert, in case there is a need for one.

The budget in the table above is indicative. It shall be revised to reflect the results of the inception phase, when it will be clear who in the project will be responsible for gender mainstreaming in the projects, and whether such person will only oversee the mainstreaming process, or he/she will support it substantively.

## 5. MONITORING

Monitoring against the gender-related indicators shall be conducted as an integral part of the overall project monitoring. Gender-related monitoring shall be done either by the PMU, in case it has the capacity to do so, or by the person with the gender equality specific expertise. Budget needed for such gender expert (if applicable) shall be reflected in the overall project budget.



*With financial support from the  
Russian Federation*

**Addressing Marine Litter and Marine Plastics  
– A Systemic Approach in the Caspian Sea**

**INCEPTION REPORT**

**December 2025**

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#### Abbreviations:

|          |                                            |
|----------|--------------------------------------------|
| CEP      | Caspian Environment Programme              |
| COP      | Conference of the Parties                  |
| COS      | Civil Society Organizations                |
| CRMLAP   | Caspian Regional Marine Litter Action Plan |
| IRH      | Istanbul Regional Hub (UNDP)               |
| LBS      | Land-based Sources                         |
| ML       | Marine Litter                              |
| NAP      | National Action Plan                       |
| NGO      | Non-Governmental Organizations             |
| RAP      | Regional Action Plan                       |
| SGP      | Small Grants Programme                     |
| UNDP     | United Nations Development Programme       |
| UNDP CO  | UNDP Country Office                        |
| UNEP     | United Nations Environment Programme       |
| UNEP TSC | UNEP Tehran Convention Secretariat         |

#### INTRODUCTION

Marine litter, including plastic waste, represent one of the main pressures to marine and coastal environments. Significant efforts are ongoing at national, regional and global levels aiming at preventing and reducing their generation. Despite these articulated efforts, the problem of marine litter is persisting and strengthened actions are required to be taken at all levels and across sectors. In the Caspian Sea region, one of such initiatives is the project “Addressing Marine Litter and Marine Plastics – A Systemic Approach in the Caspian Sea” The project is funded by the Russian Federation and

implemented by UNDP through its Istanbul Regional Hub (IRH). UNEP Tehran Convention Secretariat is a Responsible Party to the project.

The project aims to improve the management of the sea – based and land-based sources of pollution that are likely to affect the marine environment of the Caspian Sea. This will be achieved through comprehensive data collection and analysis by the project beneficiary countries, focusing on the primary sources, pathways, and hotspots of marine litter. Based on this analysis, the project intends to support the amendment of policy and regulatory frameworks on waste management, where deemed appropriate and necessary by participating countries. Additionally, it seeks to identify or carry out investments in waste management and promote sustainable consumption and production patterns. This includes encouraging changes in consumer behavior, from one-time actions such as purchasing reusable cups to sustainable habits such as consistently reusing items like shopping bags. Recognizing that marine litter is a transboundary, national, and regional issue, the project encompasses both regional and national activities to address this critical challenge effectively.

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

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

In order to achieve the specific objectives of the project, six thematic and one management components are foreseen:

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

Component 2: Strengthening Legal, Policy and Planning Frameworks for Coastal Land-Based Pollution Control in the Caspian Region

Component 3: Improving management of the plastic waste in the coastal regions

Component 4: Preliminary identification of investments in waste management

Component 5: Empowering local communities and enterprises to improve waste management

Component 6: Proactive Communication and Stakeholder Involvement

### **Structure of the Report**

The “Chapter 1: Synopsis” provides in brief the key facts about the project – its objectives, results and outcomes as well as list of the activities to be implemented.

The “Chapter 2: Background on the Project” describes the environmental and development context of the projects, target groups, links with other initiatives in the region,

Details on the activities to be implemented are elaborated in the “Chapter 3: Project Components and Activities”.

The overall project management, implementation arrangements and monitoring are described in the “Chapter 4: Project Management and Implementation Arrangements”.

The indicative time schedule for the project activities and the provisional budget are provided in the Chapters 5 and 6.

The Annexes of the report include the Project Logframe, Terms of Reference for the Project Steering Committee and Minutes from the Inception Workshop.

## 6 Project Synopsis

|                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                                |
|-----------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Project Title: Addressing Marine Litter and Marine Plastics – A Systemic Approach in the Caspian Sea                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Donor: Russian Federation                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Beneficiary Countries: Azerbaijan, Kazakhstan, Iran, Turkmenistan                                                                             |                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Implementation period:                                                                                                                        | September 2024 – October 2027                                                                                                                                                                                                                                                                                                                                                                                                  |
| Total funding                                                                                                                                 | \$ 4,039,200                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>OBJECTIVES</b>                                                                                                                             |                                                                                                                                                                                                                                                                                                                                                                                                                                |
| Overall Objective                                                                                                                             | <b>The overall objectives:</b> <ul style="list-style-type: none"> <li>Prevent and reduce marine litter in the Caspian Sea, with a particular focus on marine plastics.</li> <li>Enhance the overall management of coastal land-based pollution sources, especially plastics, that may impact the marine environment of the Caspian Sea</li> </ul>                                                                              |
| <b>Components and Results</b>                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                |
| <b>Component 1: Collection and assessment of information and data relevant to the Caspian marine litter (UNEP)</b>                            |                                                                                                                                                                                                                                                                                                                                                                                                                                |
| <u>Outcomes:</u>                                                                                                                              | Improved knowledge on Marine litter and plastic waste in the Caspian Sea, through availability of Consolidated reports on situation with Marine Litter in the Caspian Sea, including identification of knowledge gaps and recommendations on monitoring tools                                                                                                                                                                  |
| <b>Component 2: Strengthening Legal, Policy and Planning Frameworks for Coastal Land-Based Pollution Control in the Caspian Region (UNEP)</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                |
| <u>Outcomes:</u>                                                                                                                              | Legal, policy and planning framework for LBS pollution control at the national level strengthened, through availability of National reports and recommendations on coastal land-based sources of pollution, regional guidelines for integrated coastal area management planning and regional and national plans of actions based on pollution source control and containing measures and timetables, under the Moscow Protocol |
| <b>Component 3: Improving management of the plastic waste in the coastal regions (UNDP COs / UNEP)</b>                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                |
| <u>Outcomes:</u>                                                                                                                              | Plastic waste management in the in coastal regions of the Caspian Sea improved, through implementation and replication of pilot activities related to enhanced circular economy approaches with sustainable results                                                                                                                                                                                                            |
| <b>Component 4: Preliminary identification of investments in waste management (UNDP COs / UNEP)</b>                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                |
| <u>Outcomes:</u>                                                                                                                              | Relevant investments in waste management identified and supported in each country                                                                                                                                                                                                                                                                                                                                              |
| <b>Component 5: Empowering local communities and enterprises to improve waste management (UNDP COs / UNEP)</b>                                |                                                                                                                                                                                                                                                                                                                                                                                                                                |
| <u>Outcomes:</u>                                                                                                                              | Local coastal communities and enterprises strengthened to improve plastic waste management, through implementation of a Small Grants Programme                                                                                                                                                                                                                                                                                 |
| <b>Component 6: Proactive Communication and Stakeholder Involvement (UNEP)</b>                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                |

|                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|----------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Outcomes:</b>           | Stakeholder engagement in the marine litter pollution prevention strengthened, through implementation of National communication strategies and awareness campaigns,                                                                                                                                                                                                                                                                                                                          |
| <b>ACTIVITIES</b>          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| <b>Component 1:</b>        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| <b>Activity</b>            | Activity 1.1: Inventories of coastal land-based sources of pollution including comprehensive review of marine litter information in the Caspian Sea<br>Activity 1.2: Identification further scientific research needs<br>Activity 1.3: Development of the guidelines for the marine litter monitoring                                                                                                                                                                                        |
| <b>Component 2:</b>        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| <b>Activity</b>            | Activity 2.1: Review of the national legislation related to pollution from Coastal Land-based Sources and Activities<br>Activity 2.2: Guidelines facilitating the application of an integrated approach to the development of coastal areas<br>Activity 2.3: Develop or update National Action Plans (NAPs) for land-based pollution control under the Moscow Protocol                                                                                                                       |
| <b>Component 3:</b>        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| <b>Activity</b>            | Activity 3.1: Promote the separate collection of plastic waste in the coastal regions of the Caspian Sea<br>Activity 3.2: Identification and support of innovative solutions for advanced sorting and recycling<br>Activity 3.3: Development of innovative approaches                                                                                                                                                                                                                        |
| <b>Component 4:</b>        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| <b>Activity</b>            | Activity 4.1: Identification of market for recycled plastic waste<br>Activity 4.2: Development of a national Extender Producer Responsibility (EPR) schemes in Caspian states<br>Activity 4.3: Identification of needed waste management investments                                                                                                                                                                                                                                         |
| <b>Component 5:</b>        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| <b>Activity</b>            | Activity 5.1: Small Grants Programme for coastal communities                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>Component 6:</b>        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| <b>Activity</b>            | Activity 6.1: Development of communication and awareness raising strategy<br>Activity 6.2. Support the Caspian Sea Day: Coastal Clean-up & Environmental Awareness                                                                                                                                                                                                                                                                                                                           |
| <b>Project Management:</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| <b>Activity</b>            | Project Management UNDP / UNEP                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| <b>Note:</b>               | The inception period commenced with the Inception Workshop held in March 2025. Throughout this phase, beneficiary countries and the donor provided inputs on the project log frame. In addition, a regional project meeting took place in Almaty on 27–28 November 2025. This Inception Report reflects the inputs gathered during the inception period, which have informed and finalized the project's framework. On this basis, the project will now proceed to the implementation phase. |

## 6 Background of the project

### 1.2 Environmental context

Marine litter is an increasingly problematic issue for the Caspian region. The problem is growing in certain parts of the sea, and no regional action has been taken to address the problem. Marine litter

can take a variety of forms, such as textile, rubber, metals and plastics. Sources of marine litter in the Caspian Sea originate from sources including urban waste management, coastal tourism, improperly disposed hazardous waste, fishing, and shipping as well as many others. It is reported that plastic items, including PET bottles and other single use plastic packaging are common items composing marine litter in the Caspian region. No reliable quantitative information is available on marine litter at the regional level. National Reports further indicate that with the economic recovery in the region the marine litter is on the increase. Since data on marine litter is scarce, it is likely that the extent of marine litter is even greater than visual observation, and that sources such as illegal dumping from vessels might contribute significantly to marine litter (Caspian Environment Programme, 2009). In order to fill the knowledge gap on the level of marine litter pollution on the Caspian Sea an appropriate monitoring system should be established, taking into account the Tehran Framework Convention for the Protection of the Marine Environment of the Caspian Sea and the national laws and regulations of the Caspian Sea littoral states. It is expected that the current project would practically support the existing Caspian Regional Marine Litter Action Plan (CRMLAP) and the monitoring programme (reference).

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

Waste generation varies across the region. Although some countries may experience stagnant levels of waste generation there are others with increasing levels due to higher consumption patterns and increased urbanization as more people move to the cities. Marine litter hot spots in the Caspian Sea region appear to reflect the population distribution. One of the major sources of marine litter is industrial waste that is linked to the overall regional economic development.

According to the Marine Litter Vital Graphics on the global scale the most common items, constituting over 80 per cent of the litter stranded on beaches are cigarette butts, bags, remains of fishing gear, and food and beverage containers. 90 per cent of the litter collected from sea floor trawls is made up of plastic (Derraik, 2002 and Galgani et al., 2015). Likewise, in the Caspian Sea plastic is the biggest share of marine litter; it is linked to both land-based and sea-based pollution sources. Further monitoring studies are needed to better understand major sources, pathways and accumulation areas of marine litter on the Caspian Sea, as well as to receive the information on top items, to identify corresponding measures that could be taken. It is also important at the same time to improve the waste management systems at national levels.

## **2.2 Development context and implementation strategy**

### **Tehran Convention**

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

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

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

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

### **Related strategies, programmes and projects**

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

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

The project will encourage the use the information and lessons learnt from other regions work on marine litter and will propose schemes to introduce marine litter indicators, baselines and assessments, in harmonised manner and based on the relevant best practices carried out in other sea basins.

### **3.2 Beneficiary countries and target groups**

Geographically, the project is covering the Caspian Sea region, and the beneficiary countries are, Azerbaijan, Kazakhstan, Iran and Turkmenistan. The Russian Federation, as a donor, is not a direct beneficiary of the project.

The main target groups include organizations responsible for water management and protection of the marine environment in the beneficiary countries (i.e. national environmental and health authorities; public and private entities engaged in waste management and processing; coastal municipalities; NGOs specialized on environment, climate change, waste management, etc.).

Relevant national agencies/scientific organizations dealing with monitoring and water resources management and protection of the marine environment shall be recipient institutions of the technical

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

In addition, educational institutions, school, relevant Civil Society Organizations (CSOs), as well as general public shall be involved in the awareness raising and data-sharing activities planned in the project.

### **Stakeholder engagement in the project**

The preliminary identified project beneficiaries and interested stakeholders are:

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

Stakeholder engagement processes should be implemented to ensure that all key stakeholders are fully familiar with the project objectives and project activities and that they remain committed to and supportive of the related activities in the project. To secure their participation in related disclosure activities and knowledge dissemination, the relevant stakeholders will be contacted and engaged with using different strategies and methods that best suit their contributions and interests.

## **6 Project Components and Activities**

The Caspian Marine Litter Project will implement a number of activities, that are grouped within six substantive Components (3 regional and 3 national) and Project Management component. The detailed description of activities planned under each result are presented in the chapter below.

The Regional Components will be implemented by UNEP – through the UNEP Tehran Convention Secretariat. The National Components will be implemented by the UNDP Country Offices. Close cooperation with the UNDP COs is foreseen also in implementation of the Regional Components.

### **1.2 Component 1: Collection and assessment of information and data relevant to the Caspian marine litter.**

Activities under this component will be aimed at obtaining comprehensive information on marine litter in the Caspian region. In order to understand the overall view of the marine litter issue and effectively address it in the following stages of the project's additional, and to the extent possible, and information have to be gathered. The main objective of this component is to gather already existing information in a cohesive manner and further analyse it as well as support collection of the new data and information

on marine litter, and its economic, environmental impacts, by relevant research institutions in Caspian countries. The knowledge and data gathered under this component will serve as the basis for an effective implementation of the subsequent components.

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

Under this activity, the following information will be collected:

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

### **Activity 1.2 Identification further scientific research needs.**

Given the previous endeavours of the Caspian countries to address the land-based source of pollution including the marine litter issue, there is a need for further scientific research especially with regards to the economic damages associated with the marine litter impacts on the ecosystem, recreational & leisure, agriculture and animal husbandry, fishery industry or navigation. A special focus will be put on the impact of plastic waste and the needs for further research to identify means to address plastic pollution. Differentiated impact of plastic pollution on health and income generation, It may be addressed as the cross-cutting issue in suggested research, or the research looking at this subject specifically may be conducted. Feasibility of such research, considering for instance the data availability, and its modality should be discussed and agreed upon with relevant stakeholders to ensure effective implementation moving forward. This activity will also identify means to enhance the cooperation between national research institutes within the Caspian Sea basin, sharing of monitoring and analysis techniques that will support peer-to-peer learning and exchanges.

### **Activity 1.3 Development of the guidelines for the marine litter monitoring**

This activity focuses on preparing harmonized regional guidelines to support consistent monitoring of marine litter in the Caspian Sea. The guidelines will define common classification systems, data reporting formats, and quality assurance requirements to ensure comparability of information across countries. Once adopted, they will serve as a practical tool for national authorities and scientific institutions, enabling reliable data collection, assessment of pollution trends, and informed decision-making to support implementation of the Moscow Protocol.

## **ACTIVITY OVERVIEW**

| <b>Component 1: Collection and assessment of data relevant to the Caspian Marine Litter (UN Environment TC Secretariat)</b> |                                                                           |                                                                                                                                              |                                        |
|-----------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------|
| <b>Activities</b>                                                                                                           | <b>Deliverables overall / milestones</b>                                  | <b>Partnership<sup>[1]</sup></b>                                                                                                             | <b>Indicative time frame/ comments</b> |
| Activity 1.1<br>Inventories of coastal land-based sources of pollution                                                      | 4 Draft national Coastal LBS inventories including the ML waste pollution | <b>Azerbaijan</b> – Ministry of Ecology and Natural Resources;<br><b>Kazakhstan</b> – Ministry of Ecology and Natural Resources; Caspian Sea |                                        |

|                                                                                |                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |  |
|--------------------------------------------------------------------------------|-------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| including comprehensive review of marine litter information in the Caspian Sea | 4 National Coastal LBS inventories finalized, and regional assessment drafted | Research Institute (CSRI); Kazhydromet – National Hydrometeorological Service of Kazakhstan, NAO “Kazakh Research Institute of the Caspian Sea”, JSC “Zhasyl damu”;                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |  |
|                                                                                | Recommendations                                                               | <b>Iran</b> – Department of Environment (DoE); Iranian National Institute for Oceanography and Atmospheric Science (INIOAS);<br><b>Turkmenistan</b> – Ministry of Agriculture and Environmental Protection<br><br><b>Russian Federation</b> – Federal Service for Hydrometeorology and Environmental Monitoring (Roshydromet); State Oceanographic Institute; P.P. Shirshov Institute of Oceanology – Caspian Branch; Caspian Marine Scientific Research Institute (Kaspmniz); Russian State Hydrometeorological University                                                                                                                                                                                                                                                                          |  |
| Activity 1.2 Identification further scientific research needs                  | National and regional workshops completed                                     | <b>Azerbaijan</b> – Ministry of Ecology and Natural Resources;<br><b>Kazakhstan</b> – Ministry of Ecology and Natural Resources; Kazhydromet – National Hydrometeorological Service of Kazakhstan, NAO “Kazakh Research Institute of the Caspian Sea”, JSC “Zhasyl damu”;<br><b>Iran</b> – Department of Environment (DoE); Iranian National Institute for Oceanography and Atmospheric Science (INIOAS);<br><b>Turkmenistan</b> – Ministry of Agriculture and Environmental Protection<br><b>Russian Federation</b> – Federal Service for Hydrometeorology and Environmental Monitoring (Roshydromet); State Oceanographic Institute; P.P. Shirshov Institute of Oceanology – Caspian Branch; Caspian Marine Scientific Research Institute (Kaspmniz); Russian State Hydrometeorological University |  |
|                                                                                | Preliminary report                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |  |
|                                                                                | Final report with recommendations                                             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |  |
|                                                                                |                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |  |
| Activity 1.3                                                                   | First draft of regional guidelines for for the                                | <b>Azerbaijan</b> – Ministry of Ecology and Natural Resources;                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |  |

|                                                                |                                                                           |                                                                                                                                                                                                                                                                                                                                                                                             |  |
|----------------------------------------------------------------|---------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| Development of the guidelines for the marine litter monitoring | marine litter monitoring.                                                 | <b>Kazakhstan</b> – Ministry of Ecology and Natural Resources;; Kazhydromet – National Hydrometeorological Service of Kazakhstan, NAO “Kazakh Research Institute of the Caspian Sea”, JSC “Zhasyl damu”;                                                                                                                                                                                    |  |
|                                                                | Consultations to review draft regional guidelines                         |                                                                                                                                                                                                                                                                                                                                                                                             |  |
|                                                                | Report on agreed regional guidelines for for the marine litter monitoring | <b>Iran</b> – Department of Environment (DoE); Iranian National Institute for Oceanography and Atmospheric Science (INIOAS);                                                                                                                                                                                                                                                                |  |
|                                                                | Guidance document                                                         | <b>Turkmenistan</b> – Ministry of Agriculture and Environmental Protection<br><br><b>Russian Federation</b> – Federal Service for Hydrometeorology and Environmental Monitoring (Roshydromet); State Oceanographic Institute; P.P. Shirshov Institute of Oceanology – Caspian Branch; Caspian Marine Scientific Research Institute (Kaspmniz); Russian State Hydrometeorological University |  |

## 2.2 Component 2: Strengthening Legal, Policy and Planning Frameworks for Coastal Land-Based Pollution Control in the Caspian Region

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

This component focuses on enhancing national and regional capacities to manage pollution from land-based sources through legal reform, strategic planning, and coordinated action. It includes a review of national legislation to align with the Protocol for the Protection of the Caspian Sea against Pollution from Coastal Land-Based Sources and Activities; the development of regional guidelines for integrated coastal area management planning, with attention to marine debris and coastal vulnerability; and the development or update of National Action Plans (NAPs) in line with the Moscow Protocol, incorporating clear measures and implementation timelines for pollution control.

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

The project will provide assistance to the Caspian countries with a preparation to review their legislation related to pollution from Coastal Land-based Sources and Activities. on both national and local level. In doing so, minimum requirements, based on existing best practices, will be used to maximize their effectiveness considering different local contexts. These efforts will aim to bring the national legislation of the countries in line with the requirements of the Protocol for the Protection of the Caspian Sea against Pollution from Land-based Sources and Activities to the Tehran Convention, which entered into force in 2023.

**Activity 2.2 Guidelines facilitating the application of an integrated approach to the development of coastal areas**

The project will support the development of regional guidelines for integrated coastal area management planning. This will include conducting a comprehensive assessment of the vulnerability of coastal areas to marine debris pollution, taking into account the increasing risks posed by sea-level fluctuations and associated coastal dynamics. The guidelines will aim to inform evidence-based policy and planning processes at both national and regional levels.

**Activity 2.3 Develop National Action Plans (NAPs) for Coastal land-based pollution control under the Moscow Protocol.**

Develop regional and national action plans to control pollution at its sources, in line with the Moscow Protocol of the Tehran Convention, including specific measures and implementation timelines, where appropriate.

Plans shall consider common emission limits, environmental quality standards or objectives and timelines for implementing pollution control measures. The NAPs should also aim for significant reductions of pollutants from point sources, as in accordance with the Moscow Protocol.

**ACTIVITY OVERVIEW**

| <b>Component 2: Strengthening Legal, Policy, and Planning Frameworks for Coastal Land-Based Pollution Control in the Caspian Region . (UN Environment TC Secretariat)</b> |                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                         |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|
| <b>Activities</b>                                                                                                                                                         | <b>Deliverables overall / milestones</b>                                                 | <b>Partnership<sup>2</sup></b>                                                                                                                                                                                                                                                                                                                                                                                                                    | <b>Indicative time frame / Comments</b> |
| Activity 2.1<br>Review of the national legislation related to pollution from Coastal Land-based Sources and Activities                                                    | National studies on Coastal LBS related legislation with recommendations on enhancements | <b>Azerbaijan</b> – Ministry of Ecology and Natural Resources;<br><b>Kazakhstan</b> – Ministry of Ecology and Natural Resources; Caspian Sea Research Institute (CSRI); Kazhydromet – National Hydrometeorological Service of Kazakhstan<br><b>Iran</b> – Department of Environment (DoE);<br><b>Turkmenistan</b> – Ministry of Agriculture and Environmental Protection<br><b>Russian Federation</b> – Ministry of ecology and natural resources |                                         |
|                                                                                                                                                                           | National workshop                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                         |
| Activity 2.2<br>Guidelines facilitating the                                                                                                                               | First draft of regional guidelines for integrated coastal                                | <b>Azerbaijan</b> – Ministry of Ecology and Natural Resources;                                                                                                                                                                                                                                                                                                                                                                                    |                                         |

|                                                                                                                         |                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                       |  |
|-------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| application of an integrated approach to the development of coastal areas                                               | area management planning developed.                                                                                                                               | <b>Kazakhstan</b> – Ministry of Ecology and Natural Resources; Caspian Sea Research Institute (CSRI); Kazhydromet – National Hydrometeorological Service of Kazakhstan<br><br><b>Iran</b> – Department of Environment (DoE);<br><b>Turkmenistan</b> – Ministry of Agriculture and Environmental Protection<br><b>Russian Federation</b> – Ministry of ecology and natural resources                                                                   |  |
|                                                                                                                         | Consultations to review draft regional guidelines                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                       |  |
|                                                                                                                         |                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                       |  |
|                                                                                                                         | Consultation conducted to review the draft assessment document                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                       |  |
|                                                                                                                         | Regional guidelines for integrated coastal area management finalized.                                                                                             |                                                                                                                                                                                                                                                                                                                                                                                                                                                       |  |
|                                                                                                                         |                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                       |  |
|                                                                                                                         |                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                       |  |
| Activity 2.3<br>Develop National Action Plans (NAPs) for Coastal land-based pollution control under the Moscow Protocol | Draft content outlines of 4 National Action Plans (NAPs) and 1 Regional Action Plan for coastal land-based pollution control under the Moscow Protocol developed. | <b>Azerbaijan</b> – Ministry of Ecology and Natural Resources;<br><b>Kazakhstan</b> – Ministry of Ecology and Natural Resources; Caspian Sea Research Institute (CSRI); Kazhydromet – National Hydrometeorological Service of Kazakhstan<br><br><b>Iran</b> – Department of Environment (DoE);<br><b>Turkmenistan</b> – Ministry of Agriculture and Environmental Protection<br><b>Russian Federation</b> – Ministry of ecology and natural resources |  |
|                                                                                                                         | Initial national and regional consultations held to review and refine content.                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                       |  |
|                                                                                                                         | Revised drafts of the 4 NAPs and the Regional Action Plan developed based on initial feedback.                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                       |  |
|                                                                                                                         | A second round of consultations conducted in each participating country and at the regional level for validation.                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                       |  |
|                                                                                                                         | Final versions of the 4 National Action Plans and the Regional Action Plan developed                                                                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                       |  |
|                                                                                                                         |                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                       |  |

### 3.2 Component 3: Improving management of the plastic waste in the coastal regions

Component 3 will focus on national initiatives to identify country specific measures to improve management of the plastic waste (based on international best practices and reflecting national concerns) to be implemented. The component is implemented by respective UNDP Country Offices and

UNEP TSC, which will allow reflecting the national situation and support integration of the proposed activities with ongoing and planned national initiatives on waste management. During the project inception phase, national consultations were carried out and the country actions were identified under each planned activity.

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

The project will build on current and planned national initiatives to identify, develop and recommend effective tools and means to raise awareness with stakeholders on the plastic waste separation in the coastal regions. This will be done in consultation with the national focal points, steering committee and relevant local authorities. The stakeholders will include waste collectors, local communities, CSOs/NGOs, local municipalities, schools and educational institutions.

Planned activities in the countries, as identified during the project inception phase are covering implementation of “Adopt the Beach” or similar activities at selected sites, periodic clean-up actions at the selected beaches, linked with marine litter monitoring (collection of info on marine litter), as well as other country specific action.

#### **Iran:**

- Promotion of Plastic Waste Separation in Coastal Areas through strengthening ongoing and planned national efforts in the Caspian Sea region by promoting the separation of plastic waste and supporting cost-effective tools and awareness measures among key stakeholders
- Building on participatory approaches such as “Adopt the Beach,” the periodic clean-up actions at selected coastal sites will be organized in line with established monitoring guidelines. Local awareness campaigns will also be conducted to highlight the environmental impacts of stranded marine litter and encourage community contribution in coastal area waste management.

#### **Kazakhstan**

- Develop a concept and launch community-based initiatives such as “Adopt a Beach”, “Fishing for Litter”, and/or others to foster local responsibility for coastal cleanliness. These could be implemented within the framework of the TazaKazakhstan campaign and in collaboration with the Fisheries Committee of the Ministry of Agriculture of Kazakhstan and “Zhasyl Damu” JSC.
- Organize targeted awareness-raising and educational campaigns to increase public understanding of the marine litter issue and promote behavior change. These efforts could be aligned with the Taza Kazakhstan initiative and the ongoing work of “Zhasyl Damu” JSC.

#### **Turkmenistan**

- Consultations with national partners in the private sector and NGOs are needed, awareness Campaigns on ML issue, beach Activities – Regular Clean-Ups
- The work with the private sector and NGOs; Sharing the information on the innovative solutions of neighboring repairing countries experience for advanced sorting and recycling and application of national approaches taking into account climatic features

#### **Azerbaijan**

- The activity to promote the separate collection of plastic waste in the coastal regions of the Caspian Sea will focus on Azerbaijan’s national initiatives aimed at identifying country-specific measures to improve waste management. Further details will be elaborated in the activity workplan by UNEP TCS in consultation with the Government of Azerbaijan.

### **Activity 3.2 Identification and support of innovative solutions for advanced sorting and recycling**

Under this activity the project is planning to conduct an analysis and recommend options based on prevailing techniques and practices. This will include identifying the cost effectiveness of using and

applying them in the diverse locations and settings of the coastal areas of the Caspian Sea countries. The aim of this is to support the adoption of new approaches to sorting, recycling.

During the project inception phase, national consultations were carried out and the country specific actions were identified:

Iran:

- Analyzing prevailing waste management techniques and practices within the Caspian region to identify cost-effective and practical options for improving plastic sorting and recycling systems. This analysis will guide the adoption of innovative and sustainable waste management approaches tailored to local conditions.
- Proposed activities include identifying recyclable marine litter items, supporting research and education through collaboration with universities and waste authorities, and deploying separate collection bins and cleaning equipment on selected beaches to establish “clean beach” models.

Kazakhstan

- Assessment of needs at the national and regional levels and development of a concept, project documentation, or feasibility study for the establishment of plastic sorting or recycling facilities (potentially in collaboration with “Zhasyl Damu” JSC), with a focus on replicating successful practices in other regions.
- Support in identifying potential sources of financing, including consideration of establishing a regional accelerator or solutions lab.
- (All activities should be feasible for implementation in small settlements.)

Turkmenistan

- The work with the private sector and NGOs;
- Sharing the information on the innovative solutions of neighbouring repairing countries experience for advanced sorting and recycling

Azerbaijan

- Under the activity identification and support of innovative solutions for advanced sorting and recycling, the aim of this is to support the adoption of new approaches to sorting, recycling. Further details will be elaborated in the activity workplan by UNEP TCS in consultation with the Government of Azerbaijan.

### **Activity 3.3 Development of Innovative approaches to plastic waste management in coastal regions.**

The project will be seeking to assist the countries to develop innovative science-based approaches and business models, or designing for sustainability, to help minimize plastic waste at source, as well as single use plastics, while achieving further economic, environmental and social benefits.

Iran

- This is merged with Activities 3.1 and 3.2 and is addressed within the scope of those components.

Kazakhstan

- Analysis of existing policies and practices both in the region and internationally, particularly regarding the monitoring of plastic waste movement and the introduction of restrictions on the use, production, or import of single-use plastics. This should include an assessment of their applicability to the national and local context (a review of best national and international practices to inform future improvements in policy and regulatory frameworks, including requirements for marine vessels).

- Development of evidence-based proposals to improve data collection, monitoring, and reporting systems in order to strengthen oversight and ensure transparency. Special focus should be placed on digital solutions for monitoring and controlling plastic waste in coastal areas, in line with the Government's digital transformation agenda. Alternatively, proposals may target standards, labeling, and incentives for transitioning to sustainable packaging (e.g., incentives for eco-design - such as linking waste collection fees to packaging sustainability, where packaging that is easier to collect and recycle is subject to lower fees).

#### Turkmenistan

- Study of international experience and application of national approaches taking into account climatic features
- Improving waste collection, transfer and storage
- Workshops on data collection, monitoring methodologies.

#### Azerbaijan

- The activity aims to support in designing innovative, science-based solutions and sustainable business models to reduce plastic waste at its source. These approaches will promote environmental, economic, and social benefits while encouraging more sustainable production and consumption patterns. Further details will be elaborated in the activity workplan by UNEP TCS in consultation with the Government of Azerbaijan.

### ACTIVITY OVERVIEW

#### Kazakhstan

| Component 3 Improving management of the plastic waste in the coastal regions (UNDP)                     |                                                                                 |                                                                            |                                 |
|---------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------|----------------------------------------------------------------------------|---------------------------------|
| Activities                                                                                              | Deliverables overall / milestones                                               | Partnership                                                                | Indicative time frame / comment |
| Activity 3.1 Promote the separate collection of plastic waste in the coastal regions of the Caspian Sea | National consultations with key stakeholder facilitated                         | Ministry of Ecology and natural resources, local akimats, local NGOs, etc. | During third quarter            |
|                                                                                                         | Analysis of best practices of community-based initiatives                       |                                                                            | December                        |
| Activity 3.2 Identification and support of innovative solutions for advanced sorting and recycling      | Needs at the national and regional levels assessed                              | Ministry of Ecology and natural resources, local akimats, local NGOs, etc. | During third quarter            |
|                                                                                                         |                                                                                 |                                                                            |                                 |
| Activity 3.3 Development of Innovative approaches to plastic waste management in coastal regions        | Existing policies and practices both in the region and internationally analysed | Ministry of Ecology and natural resources, local akimats, local NGOs, etc. | During third quarter            |
|                                                                                                         |                                                                                 |                                                                            |                                 |

## Turkmenistan

| Component 3 Improving management of the plastic waste in the coastal regions (UNDP)                     |                                                                                                                             |                                                                                                                  |                                  |
|---------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|----------------------------------|
| Activities                                                                                              | Deliverables overall / milestones                                                                                           | Partnership                                                                                                      | Indicative time frame / comment  |
| Activity 3.1 Promote the separate collection of plastic waste in the coastal regions of the Caspian Sea | Consultations with national partners in the private sector and NGOs are needed                                              | Ministry of Environment protection, Local Khakimlik, local NGOs, etc.                                            | During second and third quarters |
|                                                                                                         | Awareness Campaigns on ML issue                                                                                             |                                                                                                                  |                                  |
|                                                                                                         | Beach Activities – Regular Clean-Ups                                                                                        |                                                                                                                  |                                  |
| Activity 3.2 Identification and support of innovative solutions for advanced sorting and recycling      | The work with the private sector and NGOs;                                                                                  | Ministry of Environment protection, Local Khakimlik, local NGOs, Union of Industrialists and Entrepreneurs, etc. | During second and third quarters |
|                                                                                                         | Sharing the information on the innovative solutions of neighbouring countries experience for advanced sorting and recycling |                                                                                                                  | During second and third quarters |
| Activity 3.3 Development of Innovative approaches to plastic waste management in coastal regions        | Study of international experience and application of national approaches taking into account climatic features              | Ministry of Environment protection, Local Khakimlik, local NGOs, Union of Industrialists and Entrepreneurs, etc. | During second and third quarters |

## Iran

| Component 3 Improving management of the plastic waste in the coastal regions (UNDP)                           |                                                                      |             |                                 |
|---------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------|-------------|---------------------------------|
| Activities                                                                                                    | Deliverables overall / milestones                                    | Partnership | Indicative time frame / comment |
| Activity 3.1 Promote the separation of plastic waste in the coastal regions of the Caspian Sea                | At least 2 community per year contribute in beach clean-up campaigns | DOE<br>MOI  | Q4 2025 – Q4 2026               |
| Activity 3.2 Identification and support of implementation of solutions for sorting, remediation and recycling | At least 1 solution identified/implemented per year in coastal area  | DOE<br>MOI  | Q4 2025 – Q4 2026               |

**Azerbaijan- Further details will be elaborated in the activity workplan by UNEP TCS in consultation with the Government of Azerbaijan.**

| <b>Component 3 Improving management of the plastic waste in the coastal regions (UNEP- Tehran Convention Secretariat)</b> |                                                                                                                                                                                                                                                                                                         |                     |                                       |
|---------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|---------------------------------------|
| <b>Activities</b>                                                                                                         | <b>Deliverables overall / milestones</b>                                                                                                                                                                                                                                                                | <b>Partners hip</b> | <b>Indicative time frame/ comment</b> |
| Activity 3.1 Promote the separate collection of plastic waste in the coastal regions of the Caspian Sea                   | The activity to promote the separate collection of plastic waste in the coastal regions of the Caspian Sea will focus on Azerbaijan's national initiatives aimed at identifying country-specific measures to improve waste management.                                                                  |                     |                                       |
| Activity 3.2 Identification and support of innovative solutions for advanced sorting and recycling                        | Under the activity identification and support of innovative solutions for advanced sorting and recycling, the aim of this is to support the adoption of new approaches to sorting, recycling.                                                                                                           |                     |                                       |
| Activity 3.3 Development of Innovative approaches to plastic waste management in coastal regions                          | The activity aims to support in designing innovative, science-based solutions and sustainable business models to reduce plastic waste at its source. These approaches will promote environmental, economic, and social benefits while encouraging more sustainable production and consumption patterns. |                     |                                       |

#### **4.2 Component 4: Preliminary identification of investments in waste management**

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

During the project inception phase, national consultations were carried out and the country specific actions were identified under each planned activity.

##### **Activity 4.1 Identification of markets for recycled plastic waste.**

The main purpose of this activity is to analyse and organize a review of waste recycling capacities, including collection; processing; re-use and marketing, within the Caspian countries' densely populated

regions of their coastal areas. It is expected to identify market possibility for recycled waste to be further adopted by the private sector.

Iran:

- Analyzing waste recycling capacities in densely populated Caspian coastal regions to identify market opportunities for recycled materials and compost, strengthen Iran's public-private partnerships, and understand past collaboration challenges.
- Best practices for contracting waste services will be reviewed, management inefficiencies and conflicts addressed, and frameworks developed to enhance private sector participation through accountable and legally compliant public-private partnerships in integrated waste management.

Kazakhstan

- Conduct an analysis and review of existing waste management infrastructure, including collection, sorting, recycling capacities, and access to markets for secondary raw materials/products.
- Carry out an assessment of current municipal solid waste management programs in three regions (Atyrau, Mangystau, and West Kazakhstan), identifying barriers and opportunities for private sector investment.

Turkmenistan

- Analysis of the work of existing private sector
- Review of waste recycling capacities in the Balkan region/coastal areas
- Conduct assessment existing waste management infrastructure in the mentioned region

Azerbaijan

- National activities will align with the objective of assessing and organizing a comprehensive review of waste recycling capacities in the densely populated coastal regions of the Caspian countries. **Further details will be elaborated in the activity workplan by UNEP TCS in consultation with the Government of Azerbaijan.**

#### **Activity 4.2 Development of a national Extended Producer Responsibility (EPR) scheme in the Caspian states.**

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

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

Iran

- Activities 4.2 and 4.3 will be merged into Activity 4.1, under which the related issues will be addressed.

Kazakhstan

- Conducting a review/analysis of existing financing measures (such as Extended Producer Responsibility (EPR), local environmental payments, and others) and their applicability in the context of Mangystau, Atyrau, and West Kazakhstan regions, with identification of barriers and opportunities.

- Development of proposals to strengthen existing financial mechanisms or to introduce complementary green financing instruments (such as green bonds, blended finance, or others).

#### Turkmenistan

- Awareness raising on EPR with State & private sector;
- Explore the possibility of implementing Extended Producer Responsibility (EPR) in Turkmenistan.

#### Azerbaijan

- The project will support the evaluation and review of existing systems, as well as explore the potential for economic incentives and alternative financing mechanisms for EPR within the Caspian Sea region. Further details will be elaborated in the activity workplan by UNEP TCS in consultation with the Government of Azerbaijan.

### Activity 4.3 Identification of needed waste management investments.

The main output of this activity will be information on the required investments in waste management on the local and national level. This information will include sustainable and inclusive financing and policy recommendations with regards to the further improvement of the waste management in the Caspian countries.

#### Iran

- Activities 4.2 and 4.3 will be merged into Activity 4.1, under which the related issues will be addressed.

#### Kazakhstan

- Development of regional investment plans for municipal waste management programs in three regions (Atyrau, Mangystau, and West Kazakhstan), with consideration of establishing a regional investment project pipeline for waste management, taking into account the activities under 4.1 and 4.2.
- Development of a standardized investment plan template for municipal waste management programs to enable scaling at the national level, including an assessment of infrastructure needs.

#### Turkmenistan

- Conduct an analysis/assessment of national legislation to determine the presence of provisions aimed at investment in the waste management sector.
- Develop a "roadmap" for the implementation of the waste management investment plan for the regional program.

#### Azerbaijan

- This activity will generate information to guide investment planning for waste management at various administrative levels. Further details will be elaborated in the activity workplan by UNEP TCS in consultation with the Government of Azerbaijan.

## ACTIVITY OVERVIEW

### Kazakhstan

| Component 4: Preliminary identification of investments in waste management |                         |         |             |                                 |
|----------------------------------------------------------------------------|-------------------------|---------|-------------|---------------------------------|
| Activities                                                                 | Deliverables milestones | overall | Partnership | Indicative time frame / comment |
|                                                                            |                         |         |             |                                 |

|                                                                                                               |                                                                                                       |                                                                      |                       |
|---------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------|-----------------------|
| Activity 4.1<br>Identification of markets for recycled plastic waste                                          | Analysis and review of existing waste management infrastructure conducted                             | Ministry of Ecology and natural resources, local akimats, Damu etc.  | During third quarter  |
|                                                                                                               |                                                                                                       |                                                                      |                       |
| Activity 4.2<br>Development of a national Extended Producer Responsibility (EPR) scheme in the Caspian states | Review/analysis of existing financing measures and their applicability in the local context conducted | Ministry of Ecology and natural resources, local akimats, Damu, etc. | During fourth quarter |
|                                                                                                               | Develop ToR to hire experts/companies to analyse EPR efficiency                                       |                                                                      | During fourth quarter |
|                                                                                                               |                                                                                                       |                                                                      |                       |
| Activity 4.3<br>Identification of needed waste management investments                                         | Analysis of municipal waste management programs in three regions                                      | Ministry of Ecology and natural resources, local akimats, Damu, etc. | During fourth quarter |
|                                                                                                               | Develop ToR to hire experts/companies to develop financial instruments                                |                                                                      | During third quarter  |

### Turkmenistan

| Component 4: Preliminary identification of investments in waste management                                    |                                                                                                                              |                                                             |                                  |
|---------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------|----------------------------------|
| Activities                                                                                                    | Deliverables overall / milestones                                                                                            | Partnership                                                 | Indicative time frame / Comment  |
|                                                                                                               |                                                                                                                              |                                                             |                                  |
| Activity 4.1<br>Identification of markets for recycled plastic waste                                          | Analysis of the work of existing private sector                                                                              | Ministry of Environment protection,                         | During second and third quarters |
|                                                                                                               | Review of waste recycling capacities in the Balkan region/coastal areas                                                      | Local Khakimlik, local NGOs, Union of                       |                                  |
|                                                                                                               | Conduct assessment existing waste management infrastructure in the mentioned region                                          | Industrialists and Entrepreneurs, etc.                      |                                  |
|                                                                                                               |                                                                                                                              |                                                             |                                  |
| Activity 4.2<br>Development of a national Extended Producer Responsibility (EPR) scheme in the Caspian states | Analysis of the existing situation for the implementation of the Extended Producer Responsibility scheme of the manufacturer | Ministry of Environment protection, Local Khakimlik,        | During second and third quarters |
|                                                                                                               | Develop ToR to hire experts/companies to analyse EPR efficiency                                                              | local NGOs, Union of Industrialists and Entrepreneurs, etc. |                                  |
|                                                                                                               |                                                                                                                              |                                                             |                                  |
| Activity 4.3<br>Identification of needed                                                                      | Conduct an analysis/assessment of national legislation to determine the presence of provisions aimed                         | Ministry of Environment protection                          | During second and third quarters |

|                              |                                                                                                                                                               |  |
|------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| waste management investments | at investment in the waste management sector.<br>Develop a "roadmap" for the implementation of the waste management investment plan for the regional program. |  |
|                              | Develop ToR to hire experts/companies to develop financial instruments                                                                                        |  |

## Iran

| Component 4: Preliminary identification of investments in waste management            |                                                   |             |                                 |
|---------------------------------------------------------------------------------------|---------------------------------------------------|-------------|---------------------------------|
| Activities                                                                            | Deliverables overall / milestones                 | Partnership | Indicative time frame / Comment |
| Identification of markets for recycled waste and needed waste management investments. | Report of identified markets for recycled plastic | DOE<br>MOI  | Q4 2025 – Q4 2026               |

**Azerbaijan- Further details will be elaborated in the activity workplan by UNEP TCS in consultation with the Government of Azerbaijan.**

| Component 4: Preliminary identification of investments in waste management                                 |                                                                                                                                                                                                              |             |                                 |
|------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------|---------------------------------|
| Activities                                                                                                 | Deliverables overall / milestones                                                                                                                                                                            | Partnership | Indicative time frame / Comment |
| Activity 4.1 Identification of markets for recycled plastic waste                                          | National activities will align with the objective of assessing and organizing a comprehensive review of waste recycling capacities in the densely populated coastal regions of the Caspian countries.        |             |                                 |
| Activity 4.2 Development of a national Extended Producer Responsibility (EPR) scheme in the Caspian states | The project will support the evaluation and review of existing systems, as well as explore the potential for economic incentives and alternative financing mechanisms for EPR within the Caspian Sea region. |             |                                 |
| Activity 4.3 Identification of needed waste management investments                                         | This activity will generate information to guide investment planning for waste management at various administrative levels.                                                                                  |             |                                 |

## 5.2 Component 5 Empowering local communities and enterprises to improve waste management

Managing waste properly is essential for building sustainable and liveable cities, but it remains a challenge for many countries and cities including in the Caspian Sea region. Effective waste management requires significant initial investments in building up the necessary infrastructure.

During the project inception phase, national consultations were carried out and the country specific actions were identified under each planned activity.

#### Activity 5.1 Small Grant Programs in coastal communities.

A Small Grant Programme will provide financial and technical support to projects aiming at improving separate containers collection and waste management at large. In line with the UNDP Social and Environmental principles and standards, principles of sustainable financing will be followed to direct the grant financial resources towards sustainable, inclusive and resilient waste management approaches.

Country specific actions:

Iran:

- Reviewing various proposals aimed at improving waste management practices and allocate small grants to selected initiatives. Projects may originate from public or private entities, including start-ups, knowledge-based companies, and technology transfer initiatives.

Kazakhstan

- The Small Grants Programme (SGP) - for example, to support the establishment of waste collection and sorting points in villages and coastal settlements, the development of digital and IT solutions for waste management, and the implementation of environmental campaigns and awareness-raising activities - particularly taking into account activities 3.2 and 4.3:
  - o It will be developed with a focus on supporting community-led actions, particularly those empowering women.
  - o Priority will be given to initiatives that promote sustainable development, demonstrate tangible impact, and have the potential for replication.

Turkmenistan

- Workshop on SGP to identify key areas for intervention – inclusive approach
- Develop selection criteria and implement SGP projects.

Azerbaijan

- At the national level, coastal communities will be involved aiming at improving separate containers collection and waste management at large. Further details will be elaborated in the activity workplan by UNEP TCS in consultation with the Government of Azerbaijan.

#### ACTIVITY OVERVIEW

Kazakhstan

| Component 5 Empowering local communities and enterprises to improve waste management (UNDP) |                                                                |                         |                                 |
|---------------------------------------------------------------------------------------------|----------------------------------------------------------------|-------------------------|---------------------------------|
| Activities                                                                                  | Deliverables overall / milestones                              | Partnership             | Indicative time frame / comment |
| Activity 5.1 Small Grant Programs in                                                        | National workshop facilitated to discuss the SGP opportunities | Ministry of Ecology and | During third quarter            |

|                     |                                                                                       |                   |                       |
|---------------------|---------------------------------------------------------------------------------------|-------------------|-----------------------|
| coastal communities | Report recommending SGP criteria developed and provided to Project Steering Committee | natural resources | During fourth quarter |
|                     | Implement SGP projects                                                                |                   |                       |

**Turkmenistan**

| Component 5 Empowering local communities and enterprises to improve waste management (UNDP) |                                                                                                                  |                                                            |                                 |
|---------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------|---------------------------------|
| Activities                                                                                  | Deliverables overall / milestones                                                                                | Partnership                                                | Indicative time frame / comment |
| Activity 5.1 Small Grant Programs in coastal communities                                    | Conduct a working meeting to inform the public, including vulnerable groups, about the SGP.                      | Ministry of Environment protection, Local Khakimlik, NGOs. | During third quarter            |
|                                                                                             | Develop an application form for participation in the SGP and specify all necessary selection criteria within it. |                                                            | During third quarter            |
|                                                                                             | Implement SGP projects                                                                                           |                                                            |                                 |

**Iran**

| Component 5 Empowering local communities and enterprises to improve waste management (UNDP) |                                                                  |                |                                |
|---------------------------------------------------------------------------------------------|------------------------------------------------------------------|----------------|--------------------------------|
| Activities                                                                                  | Deliverables overall / milestones                                | Partnership    | Indicative time frame/ comment |
| Activity 5.1 Provision of grants in the form of SGP for coastal communities                 | At least one proposal for small grant is developed and supported | DOE, MOI, NGOs | Q4 2025 – Q4 2026              |
|                                                                                             |                                                                  |                |                                |

**Azerbaijan-** Further details will be elaborated in the activity workplan by UNEP TCS in consultation with the Government of Azerbaijan.

| Component 5 Empowering local communities and enterprises to improve waste management (UNDP/UNEP TCS) |                                                                                                                                               |             |                                |
|------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------|-------------|--------------------------------|
| Activities                                                                                           | Deliverables overall / milestones                                                                                                             | Partnership | Indicative time frame/ comment |
| Activity 5.1 Small Grant Programs in coastal communities                                             | At the national level, coastal communities will be involved aiming at improving separate containers collection and waste management at large. |             |                                |

## 6.2 Component 6: Proactive Communication and Stakeholder Involvement

Stakeholder analysis, engagement and stakeholder management are arguably the most instrumental for successful project delivery. The importance of the stakeholder engagement cannot be underestimated in such a complex issue as the life cycle of the product and waste management. In addition, the involvement of the public and making the people aware of the responsibility for their waste footprint is crucial for changing the status quo. The identified stakeholders, as well as their role and way of engagement are preliminary specified in the Stakeholders' Engagement Plan – Annex 6.

**Activity 6.1 Development of communication and awareness raising strategy.**

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

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

This activity will build on the activities in all project components to enhance peer-to-peer learning and exchanges and improve basin-wide awareness and cooperation. It will showcase existing practices in different countries and regions (including activities to be developed under output 2) where the container deposit laws have been adopted. The results should be widely spread via media, social networks, etc. In order to enlarge the ownership of the local communities the programme of “Adopt a Beach” will be implemented. The Caspian countries will take a stock of Marine Litter Training Module, developed by UNEP and translated into Russian and other national languages, in order to increase the involvement of schools and further improvements of marine litter literacy and awareness raising.

**Activity 6.2. Support the Caspian Sea Day: Coastal Clean-up & Environmental Awareness**

This activity aims to strengthen public engagement and raise awareness on marine litter and environmental protection through participation in Caspian Sea Day events. Support will be provided for organizing coordinated coastal clean-up actions, educational activities, and outreach campaigns involving local communities, schools, youth groups, and civil society organizations. The initiative will promote responsible waste management, encourage behavioural change, and highlight the importance of reducing pollution and protecting the Caspian Sea ecosystem.

**ACTIVITY OVERVIEW**

| <b>Component 6: Proactive Communication and Stakeholder Involvement (UN Environment TC Secretariat)</b> |                                                                                             |                                                                                                                                                                                                                                                                                                                                                                          |                                        |
|---------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------|
| <b>Activities</b>                                                                                       | <b>Deliverables overall / milestones</b>                                                    | <b>Partnership</b>                                                                                                                                                                                                                                                                                                                                                       | <b>Indicative time frame / Comment</b> |
| Activity 6.1<br>Development of communication and awareness raising strategy                             | Development of regional and national communication and awareness strategies                 | <b>Azerbaijan</b> – Ministry of Ecology and Natural Resources;<br><b>Kazakhstan</b> – Ministry of Ecology and Natural Resources; Caspian Sea Research Institute (CSRI); Kazhydromet – National Hydrometeorological Service of Kazakhstan<br><b>Iran</b> – Department of Environment (DoE);<br><b>Turkmenistan</b> – Ministry of Agriculture and Environmental Protection |                                        |
|                                                                                                         | National meetings to confirm strategies                                                     |                                                                                                                                                                                                                                                                                                                                                                          |                                        |
|                                                                                                         | National awareness campaigns to highlight the importance of plastic pollution and solutions |                                                                                                                                                                                                                                                                                                                                                                          |                                        |

|                                                                                         |                                                      |                                                                                                                                                                                                       |  |
|-----------------------------------------------------------------------------------------|------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
|                                                                                         |                                                      | <b>Russian Federation</b> – Ministry of ecology and natural resources                                                                                                                                 |  |
|                                                                                         |                                                      |                                                                                                                                                                                                       |  |
| Activity 6.2<br>Support the Caspian Sea Day: Coastal Clean-up & Environmental Awareness | Caspian Sea day celebrations plan developed          | <b>Azerbaijan</b> – Ministry of Ecology and Natural Resources;                                                                                                                                        |  |
|                                                                                         | Caspian Sea day celebrations held                    | <b>Kazakhstan</b> – Ministry of Ecology and Natural Resources; Caspian Sea Research Institute (CSRI); Kazhydromet – National Hydrometeorological Service of Kazakhstan                                |  |
|                                                                                         | Reports received on the Caspian Sea day celebrations | <b>Iran</b> – Department of Environment (DoE);<br><b>Turkmenistan</b> – Ministry of Agriculture and Environmental Protection<br><b>Russian Federation</b> – Ministry of ecology and natural resources |  |

## 6 Project Management and Implementation Arrangements

The project is funded by the Russian Federation and implemented by UNDP under DIM modality through its Istanbul Regional Hub (IRH), as the lead office and UNDP Country Offices. UNEP (Tehran Convention Secretariat) is a Responsible Party to the project.

The UNDP Country Offices will be implementing project components 3, 4 and 5, that are covering the national activities in the beneficiary countries of Kazakhstan, Turkmenistan and Iran. Involvement of national institutions is foreseen as relevant. In Azerbaijan, UNEP will support implementation of the national activities through the Tehran Convention Secretariat.

### 1.2 Project Steering Committee

As per the Monitoring Plan, the SC will meet at project start, to review inception findings; at least once a year to be briefed on project progress and provide strategic steer on how to address substantial project implementation issues; at the end of the project to review conclusions of draft final report, and whenever it may be deemed necessary. Its views and conclusions will be taken into account by UNDP in further project implementation. While meetings in person are preferred, cost-implications may warrant that some of the SC meetings will take place virtually.

#### Project Organisation Structure

## 2.2 Monitoring and Evaluation

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

- Track results progress (at least every 6 months): Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.
- Monitor and Manage Risk (at least annually): Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.
- Lessons Learn (annually): Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.
- Annual Project Quality Assurance (annually/biannually): The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.
- Review and Make Course Corrections (at least annually): Internal review of data and evidence from all monitoring actions to inform decision making.
- Reporting (annually): A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk log with mitigation measures, and any evaluation or review reports prepared over the period.
- Project Review (Project Board) (annually): The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.
- Final Evaluation (at the project end): Final assessment of a project's achievements, effectiveness, and sustainability upon completion against expected outcomes and provides lessons learned to improve future programming and inform accountability.

For the project planning and progress monitoring the following reports will be prepared:

- Inception Report
- Annual Progress reports;
- Final report including lessons learned and recommendations for future (Exit Strategy)
- Final project evaluation report.

Where relevant, the proposed activities will be screened against UNDP Social and Environmental principles and standards<sup>[3]</sup>.

## 6 Time Plan

| Expected Outputs                          | Planned Activities                                              | Responsible Party | Budgetary Account Code                           | Q1 | Q2 | Q3 | Q4 | Q5 | Q6 | Q7 | Q8 |
|-------------------------------------------|-----------------------------------------------------------------|-------------------|--------------------------------------------------|----|----|----|----|----|----|----|----|
| Component 1: Collection and assessment of | <b>ACTIVITY 1:</b><br><i>Collecting of data and information</i> | UNEP              | 1.1 Inventories of coastal land-based sources of |    |    |    |    |    |    |    |    |

|                                                                                                                                   |                                                                                 |                   |                                                                                                                |  |  |  |  |  |  |  |  |  |
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| information and data relevant to the Caspian marine litter.                                                                       | on ML in the Caspian Sea                                                        |                   | pollution including comprehensive review of marine litter information in the Caspian Sea                       |  |  |  |  |  |  |  |  |  |
|                                                                                                                                   |                                                                                 |                   | 1.2 Identification further scientific research needs                                                           |  |  |  |  |  |  |  |  |  |
|                                                                                                                                   |                                                                                 |                   | 1.3 Development of the guidelines for the marine litter monitoring.                                            |  |  |  |  |  |  |  |  |  |
| Component 2<br>Strengthening Legal, Policy and Planning Frameworks for Coastal Land-Based Pollution Control in the Caspian Region | ACTIVITY 2:<br>Improving policy and regulatory frameworks on waste management   | UNEP              | 2.1 Strengthening Legal, Policy and Planning Frameworks for Land-Based Pollution Control in the Caspian Region |  |  |  |  |  |  |  |  |  |
|                                                                                                                                   |                                                                                 |                   | 2.2 Guidelines facilitating the application of an integrated approach to the development of coastal areas      |  |  |  |  |  |  |  |  |  |
|                                                                                                                                   |                                                                                 |                   | 2.3 Develop National Action Plans (NAPs) for land-based pollution control under the Moscow Protocol.           |  |  |  |  |  |  |  |  |  |
| Component 3<br>Improving management of the plastic waste in the coastal regions.                                                  | ACTIVITY 3:<br>Improving management of the plastic waste in the coastal regions | UNDP COs/<br>UNEP | 3.1 Improving management of the plastic waste in the coastal regions                                           |  |  |  |  |  |  |  |  |  |
|                                                                                                                                   |                                                                                 |                   | 3.2 Identification and support of innovative solutions for advanced sorting and recycling                      |  |  |  |  |  |  |  |  |  |
|                                                                                                                                   |                                                                                 |                   | 3.3 Development of Innovative approaches to plastic waste management in coastal regions                        |  |  |  |  |  |  |  |  |  |
| Component 4<br>Preliminary                                                                                                        | ACTIVITY 4:<br>Preliminary                                                      | UNDP COs/<br>UNEP | 4.1 Identification of markets for                                                                              |  |  |  |  |  |  |  |  |  |

## 6 Provisional Budget

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|--------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|------------|------------|------------|------------|
|                                                                                      | <p><i>further scientific research needs</i></p> <p><i>Activity 1.3 . Development of the guidelines for the marine litter monitoring</i></p>                                                                                                                                                                                                                                           |          |            |            |            |            |
| <b>Component 2. Policy, Legal and Regulatory Reforms</b>                             | <p><i>Activity 2.1 Review of the national legislation related to pollution from Land-based Sources and Activities</i></p> <p><i>Activity 2.2 Guidelines facilitating the application of an integrated approach to the development of coastal areas</i></p> <p><i>Activity 2.3 Develop National Action Plans (NAPs) for land-based pollution control under the Moscow Protocol</i></p> | UNEP     | 141,240.00 | 141,240.00 | 130,540.00 | 413,020.00 |
| <b>Component 3. Improving management of the plastic waste in the coastal regions</b> | <p><i>Activity 3.1 Promote the separate collection of plastic waste in the coastal regions of the Caspian Sea</i></p> <p><i>Activity 3.2 Identification and support of innovative solutions for advanced sorting and</i></p>                                                                                                                                                          | UNDP COs | 4,000.00   | 156,000.00 | 280,000.00 | 440,000.00 |

|                                                                                                                          |                                                                                                                                                                                                                                                                                                                                    |               |                |            |            |            |
|--------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|----------------|------------|------------|------------|
|                                                                                                                          | <i>recycling<br/>Activity 3.3<br/>Development<br/>of Innovative<br/>approaches to<br/>plastic waste<br/>management in<br/>coastal regions</i>                                                                                                                                                                                      |               |                |            |            |            |
| <b>Component 4.<br/>Preliminary<br/>identification<br/>of investments<br/>in waste<br/>management</b>                    | <i>Activity 4.1<br/>Identification<br/>of markets for<br/>recycled plastic<br/>waste<br/>Activity 4.2<br/>Development<br/>of a national<br/>Extended<br/>Producer<br/>Responsibility<br/>(EPR) scheme<br/>in the Caspian<br/>states<br/>Activity 4.3<br/>Identification<br/>of needed<br/>waste<br/>management<br/>investments</i> | UNDP COs      | 4,000.00       | 130,000.00 | 206,000.00 | 340,000.00 |
| <b>Component 5.<br/>Empowering<br/>local<br/>communities<br/>and enterprises<br/>to improve<br/>waste<br/>management</b> | <i>Activity 5.1<br/>Small Grant<br/>Programs in<br/>coastal<br/>communities</i>                                                                                                                                                                                                                                                    | UNDP COs      | 4,000.00       | 440,000.00 | 444,000.00 | 888,000.00 |
| <b>Component 6.<br/>Communicatio<br/>n and<br/>Stakeholder<br/>Involvement</b>                                           | <i>Activity 6.1<br/>Development<br/>of<br/>communicatio<br/>n and<br/>awareness<br/>raising strategy<br/>Activity 6.2<br/>Support the<br/>Caspian Sea<br/>Day: Coastal<br/>Clean-up &amp;<br/>Environmental<br/>Awareness</i>                                                                                                      | UNEP          | 85,600.00      | 107,000.00 | 171,200.00 | 363,800.00 |
| <b>Project<br/>Management</b>                                                                                            |                                                                                                                                                                                                                                                                                                                                    | UNEP/UND<br>P | 224,667.9<br>4 | 219,920.92 | 330,302.35 | 774,891.21 |

|                                  |    |  |                   |                     |                     |                     |
|----------------------------------|----|--|-------------------|---------------------|---------------------|---------------------|
| <b>Monitoring and Evaluation</b> |    |  |                   |                     |                     |                     |
| <b>Subtotal</b>                  |    |  | <b>585,257.94</b> | <b>1,366,660.92</b> | <b>1,722,542.35</b> | <b>3,674,461.21</b> |
| General Management Services      | 8% |  | 46,820.64         | 109,332.87          | 137,803.39          | 293,956.90          |
| <b>Total project budget</b>      |    |  | <b>632,078.58</b> | <b>1,475,993.80</b> | <b>1,860,345.74</b> | <b>3,968,418.11</b> |
| coordination levi / transfers    |    |  | <b>70,781.89</b>  |                     |                     | <b>70,781.89</b>    |
| <b>Total Funding</b>             |    |  | <b>702,860.46</b> | <b>1,475,993.80</b> | <b>1,860,345.74</b> | <b>4,039,200.00</b> |

The budget includes costs according to UNDP/UNEP budget categories for International Consultants, Local Consultants, Service Contracts – individuals, Labour Costs - UN Volunteers, Temporary assignments, Travels, Contractual services -companies, Supplies, Audiovisual & Print product, Trainings and Workshops, Direct support costs, Management services

#### ANNEX 1: PROJECT LOGFRAME

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

| <b>Expected Outputs</b>                                                                                                                      | <b>Output Indicators</b>             | <b>Baseline – year 2025</b> | <b>Targets per Year</b>                                                                                                                                                   | <b>Final Target</b>                                             | <b>Data collection methods source</b> |
|----------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------|-----------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------|---------------------------------------|
| <b>Component 1:</b><br>Collection and assessment of information and data relevant to the Caspian marine litter (UNEP TCS)<br><br>Activities: | Reports and recommendations approved | No report                   | Y1: 4 Draft national LBS inventories including the ML waste pollution<br>Y2: 4 National LBS inventories finalized, and regional assessment drafted<br>Y3: Recommendations | Consolidated nation and regional reports on ML delivered to TCS | Project reports to PSC meetings       |

|                                                                                                                                                                                         |                                                                                    |                                |                                                                                                                                                                                                                                                                                                                       |                                                                                                  |                                 |
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| <i>Inventories of coastal land-based sources of pollution including comprehensive review of marine litter information in the Caspian Sea (Activity 1.1)</i>                             | Reports and recommendations approved                                               | TBD                            | Y1: National and regional workshops completed<br>Y2: Preliminary report prepared by TC WG<br>Y3: Final report with recommendations approved by TC                                                                                                                                                                     | Recommendations to address gaps in information delivered to TCS                                  | Project reports to PSC meetings |
| <i>Identification further scientific research needs (Activity 1.2)</i><br><i>Development of the guidelines for the marine litter monitoring (Activity 1.3)</i>                          | Workshops completed, reports and recommendations approved                          | TBD                            | Y1: Monitoring design workshop completed at national and regional level<br>Y1: Recommendations to TCS on <i>guidelines for the marine litter monitoring</i> (methodology & tools)<br>Y2: Report on agreed ML monitoring approach designed at national / Regional level<br>Y3: Guidance documents drafted and approved | Tools and recommendations submitted to TCS on monitoring of ML                                   | Project reports to PS meetings  |
| Overall Output Indicator 1. Consolidated reports on situation with ML in the Caspian Sea, including identification of further scientific needs, and recommendations on monitoring tools |                                                                                    |                                | 2025: Report outline<br>2026: 4 national reports Draft report on ML (regional and national) /<br>2027: 5 Consolidated nation and regional reports on ML delivered to TCS                                                                                                                                              |                                                                                                  |                                 |
| <b>Component 2:</b><br>Strengthening Legal, Policy and Planning Frameworks for Coastal Land-Based Pollution Control in the Caspian Region (UNEP TCS)                                    | National reports and recommendations on coastal LBS and recommendations for change | SoE and other regional reports | Y1: National studies completed on LBS related legislation with recommendations on enhancements<br>Y2: National workshops to present report/ recommendations                                                                                                                                                           | Recommendations on any modifications to national legislation / policy pertaining to ML delivered | Project reports to PSC meetings |

|                                                                                                                                                                                                                                                                               |                                                                                              |     |                                                                                                                                                                                                                                                                                                               |                                                                                                                         |                                 |
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| <i>Activities:</i><br><i>Review of the national legislation related to pollution from Land-based Sources and Activities (Activity 2.1)</i><br><br><i>Guidelines facilitating the application of an integrated approach to the development of coastal areas (Activity 2.2)</i> | Regional guidelines for integrated coastal area management planning delivered to PSC meeting | TBD | Y1: National stakeholder surveys undertaken to assess possible approaches<br>Y2: Draft Regional guidelines for integrated coastal area management planning;<br>Y3: Regional meeting to present Regional guidelines for integrated coastal area management planning (representatives of informal waste sector) | Agreed Regional guidelines for integrated coastal area management planning;                                             | Project reports to PSC meetings |
| <i>Develop or update National Action Plans (NAPs) for coastal land-based pollution control under the Moscow Protocol (Activity 2.3)</i>                                                                                                                                       | National reports and recommendations / action plans for coastal LB pollution control         | TBD | Y2: National workshops completed on preparation of a national action plan for coastal LBS pollution control<br>Y2: Draft action plan prepared for >3 countries<br>Y3: Final National Action Plans >3 countries and a Regional Plan prepared                                                                   | Project delivers draft laws in at least 3 countries National Action Plans and the Regional Action Plan agreed processes | Project reports to PSC meetings |
| Overall Output Indicator 2: National reports and recommendations for coastal LBS pollution, Guidelines for integrated coastal area management planning and action plans for pollution control                                                                                 |                                                                                              |     | 2025: Outlines for the national reports, guidelines, assessment<br>2026: National consultation workshops completed in all countries<br>2026: Draft Guidelines for integrated coastal area management and Action Plans<br>2027: National Action Plans and                                                      |                                                                                                                         |                                 |

|                                                                                                |                                                                                                                                                                                                                                                                                                             |                                                                           | Regional Action Plan submitted for adoption (under Moscow Protocol of Tehran Convention)                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                                            |                                 |
|------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------|
| <b>Component 3:</b><br>Improving management of the plastic waste in the coastal regions (UNDP) | Workshops completed, report and recommendations, awareness campaigns                                                                                                                                                                                                                                        | TBD                                                                       | Y1: National workshops completed to identify options to separate plastic waste<br>Y2: National recommendations on waste separation<br>Y3: National awareness campaigns to address plastic waste developed in > 3 countries (reaching > 1000 people per country)                                                                                                                                                                                              | Recommendations and awareness approaches to reduce plastic waste available in at least 3 countries delivered to national waste and environment authorities | Project reports to PSC meetings |
|                                                                                                | <i>Activities:</i><br><i>Promoting separation of plastic waste in coastal regions (Activity 3.1)</i><br><i>Identification of innovative solutions for sorting and recycling (Activity 3.2)</i><br><i>Development of innovative approaches to plastic waste management in coastal regions (Activity 3.3)</i> | Regional and national reports, workshops and plans for future investments | Y1: Regional information/ experience exchanged on possible innovative solutions to sorting/recycling based on regional and global best practices<br>Y2: National workshops completed in > 3 countries to examine potential approaches sorting/recycling<br>Y2: National reports elaborate recommendations for approaches in > 3 countries to be explored<br>Y3: In at least 3 countries detailed plans for pilot initiatives prepared for future investments | > 3 countries have detailed (including outline costs) for pilot projects to test innovative approaches                                                     | Project reports to PSC meetings |

|                                                                                                                                                                                                           |                                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                                                                                                                                                                                                                           |                                                                                                                                             |
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| Regional and national reports, workshops and plans for future investments                                                                                                                                 | TBD                                                                                                     | Y1: Regional information/ experience exchanged highlighting best practices on innovative approaches to addressing ML<br>Y2: National workshops completed in > 3 countries to examine potential approaches to ML reduction<br>Y2: National reports elaborate recommendations for approaches in > 3 countries to be explored<br>Y3: In at least 3 countries detailed plans for pilot initiatives prepared for future investments to test innovative approaches | > 3 countries have detailed (including outline costs) for pilot projects to test innovative approaches                                                                                                                                                    | Project reports to PSC meetings                                                                                                             |
| Overall Output Indicator 3: Pilot projects or support for activities related to enhanced circular economy approaches improving management of the plastic waste in the in coastal regions, in each country |                                                                                                         | 2026: 4 project concepts<br>2027: 4 Pilot projects or activities supported in each country                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                           |                                                                                                                                             |
| <b>Component 4:</b><br>Preliminary identification of investments in waste management (UNDP COs)<br><br><i>Activities:</i><br><i>Identification of market for recycled plastic waste (Activity 4.1)</i>    | Regional and national reports, workshops and recommendations on accessing markets for recycled plastics | TBD                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Y1: Report on experience on markets for recycled plastics<br>Y2: National workshops completed in > 3 countries to assess opportunities<br>Y2: National reports prepared to highlight best approaches in each country<br>Y3: Final workshop on markets for | > 3 countries have report and recommendations on market details for recycled and innovative plastics<br><br>Project reports to PSC meetings |

|                                                                                                                                                                                    |                                                                                                                                                            |     |                                                                                                                                                                                                                                                                                       |                                                                                                                           |                                 |
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| <i>Development of National EPR schemes in Caspian region (Activity 4.2)</i><br><i>Identification of needed waste management investments (Activity 4.3)</i>                         |                                                                                                                                                            |     | recycled plastics in > 3 countries to assess recommendations                                                                                                                                                                                                                          |                                                                                                                           |                                 |
|                                                                                                                                                                                    | National workshops and reports on EPR                                                                                                                      | TBD | Y2: > 3 national reports (linking with Component 2) to explore benefits on EPR<br>Y3: > 3 national workshops with relevant stakeholders completed to present recommendations on national EPR                                                                                          | > 3 countries have reports on benefits and recommendations of EPR                                                         | Project reports to PSC meetings |
|                                                                                                                                                                                    | National workshops completed, reports and recommendations submitted to national authorities                                                                | TBD | Y2: > 3 national workshops completed to brainstorm national and international waste management investments<br>Y3: > 3 national reports delivered to national authorities and PS meeting on recommendations for waste investments (with outline cost and potential sources identified) | National authorities have outline proposals for investments to enhance waste management (sites, sources of funding, etc.) | Project reports to PSC meetings |
| Overall Output Indicator 4: 4. Relevant investments in waste management identified and supported in each country                                                                   |                                                                                                                                                            |     | 2027: Total 4 investments – one per country                                                                                                                                                                                                                                           |                                                                                                                           |                                 |
| <b>Component 5:</b><br>Empowering local communities and enterprises to improve waste management (UNDP COs)<br><br><i>Activities:</i><br>SGP for coastal communities (Activity 5.1) | National identification of SGP, implementation of SGP and reporting of results<br>% of female recipients of SGP support, out of total number of recipients | N/A | Y1: All countries identify potential SGP opportunities and discussing in national workshops<br>Y1: National reports recommend SG initiatives and submit to PS meeting for approval<br>Y2: At least 3 countries initiate nationally agreed SGPs                                        | Small Grants Programme initiated in at least 3 countries with results shared regionally                                   | Project reports to PSC meetings |

|                                                                                                                                                                                                                                                                                                     |                                                                                                                         |     |                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                    |                                 |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------|-----|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|---------------------------------|
|                                                                                                                                                                                                                                                                                                     |                                                                                                                         |     | Y2: National workshops to present /review progress of SGPs<br>Y3: Final presentation and reports from counties undertaking SGPs to share lessons / experiences                                                                                                                                                                                                                                                                                     |                                                                                                                    |                                 |
| Overall Output Indicator 5: Small Grants programme implemented in each country                                                                                                                                                                                                                      |                                                                                                                         |     | 2026: SGP concept in each country<br>2027: SGP implemented in each country                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                    |                                 |
| <b>Component 6:</b><br>Proactive Communication and Stakeholder Involvement (UNEP TCS)<br><br><i>Activities:</i><br><i>Development of communication and awareness strategies (Activity 6.1)</i><br><i>Support the Caspian Sea Day: Coastal Clean-up &amp; Environmental Awareness (Activity 6.2)</i> | 1) National communication strategy developed<br>2) National awareness raising strategies developed<br>3) Implementation | N/A | Y1: Development of regional and national communication / awareness strategies<br>Y1: > 3 national meeting to confirm strategies<br>Y2: Strategies raise awareness of activities in over 1000 people per country<br>Y2: Delivery of > 3 awareness campaigns – one in each country to highlight the importance of plastic pollution reduction and possible solutions<br>Y3: Strategies raise awareness of activities in over 1000 people per country | Regional and national communication and awareness raising strategies for plastic marine litter pollution reduction | Project reports to PSC meetings |
|                                                                                                                                                                                                                                                                                                     | 1) Caspian Sea Day celebration plans developed<br>2) Caspian Sea Day celebrations held                                  |     | Y1: Caspian Sea day celebration plan developed & the celebrations held<br>Y2: Caspian Sea day celebration plan                                                                                                                                                                                                                                                                                                                                     | National Caspian Sea day celebrations held                                                                         | Project reports to PSC meetings |

|                                                                                                                                                             |  |                                                                                                                                                                                                                                                                                                                                                                                             |  |  |
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|                                                                                                                                                             |  | developed & the celebrations held<br>Y3: Caspian Sea day celebration plan developed & the celebrations held                                                                                                                                                                                                                                                                                 |  |  |
| Overall Output Indicator 6:<br>Communication strategy developed for each country, including relevant awareness raising products and events on ML & plastics |  | 2025:<br>Communication and awareness raising material (to be determined during year 1);<br>Network meetings (to be determined during year 1)<br>2026:<br>Communication and awareness raising material (to be determined during year 2);<br>Network meetings (to be determined during year 2)<br>2027:<br>Communication Strategy implemented in each country, including events organization; |  |  |

**Definitions:** “Impact” means the primary and secondary, long-term effects produced by the Action. “Outcome” means the likely or achieved short-term and medium-term effects of an Action’s outputs. “Output” means the products, capital goods and services which result from an Action’s activities. “Indicator” is the quantitative and/or qualitative factor or variable that provides a simple and reliable means to measure the achievement of the Results of an Action. “Baseline” means the starting point or current value of the indicators. “Target” (or results Goal) means the quantitatively or qualitatively measurable level of expected output, outcome or impact of an Action. A “logical framework matrix” (or “logframe matrix”) is a matrix in which results, assumptions, indicators, targets, baselines, and sources of verification related to an action are presented.

The intervention logic tells how, in a given context, the activities will lead to the outputs, the outputs to the outcome(s) and the outcome(s) to the expected impact. The most significant assumptions developed in this thinking process are to be included in the logframe matrix.

**ANNEX 2: TERMS OF REFERENCE FOR THE PROJECT STEERING COMMITTEE****UNDP Standard Terms of Reference (ToR) for the****Project Steering Committee of the Project:****Addressing Marine Litter and Marine Plastics -A systemic Approach in the Caspian Sea****I. Background**

All UNDP projects must be governed by a multi-stakeholder board or committee established to review performance based on established monitoring and evaluation metrics and high-level implementation issues to ensure quality delivery of results. For the purpose of this ToR and to ensure standardization, henceforth, as regards project documentation, such a body shall only be referred to by one of two names: 'Project Board' or 'Project Steering Committee.'<sup>[4]</sup> The Project Steering Committee is the most senior, dedicated oversight body for a UNDP 'Development Project', which is defined in the PPM as an instrument where UNDP "Delivers outputs where UNDP has accountability for design, oversight and quality assurance of the entire project."

**II. Duties and Responsibilities**

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

- 2) **High-level oversight of the project** (as explained in the ["Provide Oversight"](#) section of the PPM). This is the primary function of the Project Steering Committee. The Project Steering Committee reviews evidence of project performance based on monitoring, evaluation and reporting, including progress reports, monitoring missions' reports, evaluations, risk logs, quality assessments, and the combined delivery report. The Project Steering Committee is the main body responsible for taking corrective actions as needed to ensure the project achieves the desired results. And its function includes oversight of annual (and as-needed) assessments of any major risks to the programme or project, and related decisions/agreements on any management actions or remedial measures to address them effectively.

The Project Steering Committee also carries the role of quality assurance of the project taking decisions informed by, among other inputs, the project quality assessment. In this role the Board is supported by the quality assurer, whose function is to assess the quality of the project against the corporate standard criteria. This function is performed by a UNDP programme or monitoring and evaluation officer to maintain independence from the project manager regardless of the project 's implementation modality.

The Project Steering Committee reviews updates to the project risk log.

- 2) **Approval of key project execution decisions** (as explained in the ["Manage Change"](#) section of the PPM). The Project Steering Committee has an equally important, secondary role in approving certain adjustments above provided tolerance levels, including substantive programmatic revisions (major/minor amendments), budget revisions, requests for suspension or extension and other major changes (subject to additional funding partner/donor requirements).

The Project Steering Committee is responsible for making management decisions by consensus when required, including the approval of project plans and revisions, and the project manager's tolerances. The Project Steering Committee approves annual work plans and reviews updates to the project risk log.

Within the overall governance and management arrangements of the project, the role of the Project Steering Committee as regards these two key functions (*'High-level oversight of the project' and 'Approval of key project execution decisions'*) is distinct from the roles of entities involved in the implementation of the project, namely the implementing partner (IP), responsibilities parties, service providers and project staff.

In order to ensure UNDP's ultimate accountability, the Project Steering Committee decisions should be made in accordance with [the Quality Standards for Programming](#) that shall ensure management for development results, best value money, fairness, integrity, transparency and effective national and international competition. An effective Project Steering Committee needs credible data, evidence, quality assurance and reporting to aid decision making (see next section on supporting functions to the Board). The Project Steering Committee also needs to be accountable to protect against conflicts of interest and fraud.

Specific responsibilities of the Project Steering Committee include the following:

- Review project performance based on monitoring, evaluation and reporting, including standard quality assurance checks, progress reports, risk logs, spot checks/audit reports and the combined delivery report;
- Address any high-level project issues as raised by the project manager and project assurance;
- Provide guidance on emerging and/or pressing project risks and agree on possible mitigation and management actions to address specific risks (including ensuring compliance with UNDP's Social and Environmental Standards, Fraud/corruption, Sexual Exploitation and Abuse and Sexual Harassment);
- Agree or decide on project manager's tolerances as required, within the parameters set by UNDP ([Manage Change](#) in the PPM) and the donor, and provide direction and decisions for exceptional situations when the project manager's tolerances are exceeded;
- Advise on major and minor amendments to the project within the parameters set by UNDP and the donor;
- Agree or decide on a project suspension or cancellation, if required; (note that for GEF and GCF projects it is UNDP that decides to suspend or cancel and project and the Project Steering Committee is informed/consulted only).
- Provide high-level direction and recommendations to the project management unit to ensure that the agreed deliverables are produced satisfactorily according to plans.
- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints, and promote women empowerment and social inclusion in the project implementation.<sup>[5]</sup>
- Receive and address project level grievance, including overseeing whatever specific compliance and stakeholder response (or grievance) mechanisms have been put in place so that individuals and communities potentially affected by the project have access to effective mechanisms and procedures for raising concerns about the social and environmental performance of the project<sup>[6]</sup>.
- Engage in the low value grant selection process where there is no Grant Selection Committee, as guided by the [Low Value Grants – UNDP Operational Guide](#).

Additional responsibilities of the Project Steering Committee can include, but are not limited to, the following :

- Ensure coordination between the various donors and government-funded projects and programmes;
- Ensure coordination with multiple government agencies and their participation in project activities;
- Appraise the annual project implementation report, including the quality assessment rating report;
- Act as an informal consultation mechanism for stakeholders;

- Approve the Project Inception Report and evaluation reports and corresponding management responses;
- Review the final project report package during an end-of-project review meeting to discuss lessons learned and opportunities for scaling up;

### III. Composition of the Project Steering Committee

The Project Board comprises members with decision-making mandate from the following entities:

- Development Partner (donor) Russian Federation
- UNDP Istanbul Regional Hub
- Management of participating UNDP Country Offices
- National Representatives of the Tehran Convention parties

The Project Board will contain of the following distinct roles:

- **Project Executive:** UNDP Istanbul Regional Hub, represented by IRH Manager, who chairs the Project Steering Committee.
- **Beneficiary Representatives:** UNDP Resident Representatives (RRs), representing the interests of those groups of stakeholders who will ultimately benefit from the project in each of the participating country. The RRs may designate the respective DRRs as their alternates on the PSC. The national stakeholders as the members of the Steering Committee will be the representatives from the countries- Tehran Convention Parties representatives.
- **Development Partners:** comprising of representatives from the donor, UNDP BPPS, IRH Environment Team and UNEP
- **Project Assurance** – to supports the Project Board by carrying out objective and independent project oversight and monitoring functions. This role will be held by the IRH Quality Assurance Team.

### IV. Standard Project Steering Committee Protocols

The Project Steering Committee (PSC) must meet one time annually at a minimum. It is recommended that the timing of board meetings be agreed upon in advance and corresponds to key project reporting or work planning milestones. The PSC will meet at project start, to guide the inception phase; at least once a year to discuss project progress and substantial project implementation issues; at the end of the project to review conclusions of draft final report. When necessary ad-hoc Committee meetings can be organized. The PSC can take place in person, on-line or via email-exchange.

The PSC meetings are valid if all three key roles (Executive, Supplier, Beneficiary) are represented at the meetings or in the virtual decisions.

Members, who are unable to attend the meeting should notify the Chairperson/s and the Project Manager in writing with contact details of their replacement or delegating their mandate to another Committee member. To facilitate efficient implementation of the project, the decisions of the SC meeting are adopted if at least one representative for each of the three key roles described above was present in the meeting/review. UNDP is responsible for the organization of the Project Board meetings and follow up.

Project Steering Committee members cannot receive remuneration from project funds for their participation in the Board. However, it is allowable for board members to be reimbursed from project funds for certain reasonable, qualified expenses related to travel or lodging to attend board meetings, as per UNDP rules and procedures.

Unless otherwise specified, Project Steering Committee decisions are made by unanimous consensus. If a consensus cannot be reached within the Board, the final decision shall rest with the UNDP representative on the Project Steering Committee or a UNDP staff member with delegated authority as the programme manager. [\[7\]](#)

It is required that as per internationally recognized professional standards and principles of sound governance, conflicts of interest affecting board members in performing their duties must be formally disclosed if not avoidable. Where a board member has a specific personal conflict of interest with a given matter before the board, he/she must recuse oneself from their participation in a decision. No board member can vote or deliberate on a question in which he/she has a direct personal or pecuniary interest not common to other members of the board.

All board members should be presented with a ToR for the Project Steering Committee, which will include the responsibilities already outlined and indicate agreed board practices and logistics.

#### **V. Standard Outputs of Project Steering Committee Meetings**

In its oversight function, the Project Steering Committee will (at a minimum) review and assess the following project-related evidence at each meeting:

- Assessment of project progress to date against project output indicators (as documented in the project document results framework)
- Approval/review of annual work plans
- Assessment of the relevant Monitoring & Evaluation mechanisms, including all evaluations<sup>[8]</sup>
- Review and assessment of the Project Risk Log (with updating/amendments as needed)
- Assessment of project spending, based on a review of the combined delivery report
- Review of required resources versus available funding (if applicable) and steps taken to reduce funding gap identified at the project design stage

This will be in addition to the review and approval of any required project execution decisions.

The output of every Project Steering Committee should be a written record (minutes) that captures the agenda and issues discussed and the agreed upon action items and decisions (if applicable). Each report should clearly document the members attending the meeting (as well as all participants in the meeting) and the modality used to agree on a certain action or decision (whether formal voting or no-objection or other mechanism). All records of board meetings should be documented and kept by UNDP in their quality assurance function.

#### **VI. Support Functions to the Project Steering Committee**

The joint UNDP/UNEP Project Coordination Unit will act as the Secretariat of the Project Steering Committee and is responsible for preparation of all documents for the Committee meetings, timely notification of Committee members and observers about the forthcoming meeting and the project progress (including project reports and work plans), technical and organisational coordination of the meetings and their minutes. The Secretariat drafts the agenda and circulates it to the Committee members for agreement one month before the meeting. The minutes of meeting shall be prepared within two weeks after the meeting takes place and circulated for comments. The SC members shall respond within two weeks after receiving the minutes. If the Project manager receives no comments, tacit agreement is assumed. Final version of minutes shall be circulated within 30 calendar days after the meeting.

#### **II. Functions and Tasks of the Committee**

1. Review of project progress and relevant reports;
2. Alteration and amendment of the project within the existing strategy and approval of the workplan for the following executing period;
3. Support to the project team in the project implementation;
4. Evaluation of project results and advice for improvements;
5. Other tasks as agreed by the Committee.

#### **III. Observers:**

## Project Steering Committee members

| No. | Organisation                | Position                                                                                                                                                     |
|-----|-----------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------|
|     | <b>SC Members</b>           |                                                                                                                                                              |
|     | Steliana Nedera             | UNDP Istanbul Regional Hub Manager                                                                                                                           |
|     | Faig Mutallimov             | Azerbaijan, National Convention Liaison Officer                                                                                                              |
|     |                             | National Focal Point Azerbaijan                                                                                                                              |
|     | Omid Sedighi Savadkouhi     | National Focal Point Iran<br>General Director, Marine Pollution investigation and Combat Bureau, Department of Environment                                   |
|     | Ruslan Tukenov,             | National Focal Point Kazakhstan<br>Director of Waste Management Department of the Ministry of Ecology and Natural Resources                                  |
|     | Meretdurdy Bayramov         | National Focal Point Turkmenistan<br>Ministry of Environmental Protection of Turkmenistan, Head of Dept. for Coordination of Int. Projects                   |
|     | Elena Melnik                | National Focal Point Russian Federation<br>Ministry of Foreign Affairs of the Russian Federation, First Secretary, Department of International Organizations |
|     | Ayshanie Medagangoda - Labé | UNDP Iran, Resident Representative, a.i                                                                                                                      |
|     | Katarzyna Wawiernia         | UNDP Kazakhstan, Resident Representative                                                                                                                     |
|     | Narine Sahakyan             | UNDP Turkmenistan, Resident Representative                                                                                                                   |
|     | <b>Observers</b>            |                                                                                                                                                              |
|     | Zahra Alavian               | Iran, National Convention Liaison Officer                                                                                                                    |
|     | Nazgul Alimsurina,          | Liaison contact Kazakhstan<br>Head of Division on Municipal Waste of the Waste Management Department of MENR                                                 |
|     | Serik Akhmetov              | Kazakhstan, National Convention Liaison Officer                                                                                                              |
|     | Gozel Orazdurdyeva          | Turkmenistan, National Convention Liaison Officer                                                                                                            |
|     | Khurshid Alam               | UNDP Iran, Deputy Resident Representative                                                                                                                    |
|     | Assel Nurbekova,            | UNDP Kazakhstan, Head of Energy & Environment unit                                                                                                           |
|     | Farhat Orunov               | UNDP Turkmenistan, Programme Analyst                                                                                                                         |
|     | Tina Stoum                  | UNDP Istanbul Regional Hub, Regional Programme Chief                                                                                                         |
|     | Odetta Cato                 | UNDP IRH Project Manager                                                                                                                                     |
|     | Maria Pogkozeva             | UNDP IRH Technical Advisor for Marine Litter                                                                                                                 |
|     | Marcela Fabianova           | UNDP IRH Water Programme Analyst                                                                                                                             |
|     | Mahir Aliyev                | UNEP TCS, Regional Coordinator                                                                                                                               |
|     | Mateusz Benko               | UNEP TCS, Convention Officer                                                                                                                                 |
|     | <b>Secretariat</b>          |                                                                                                                                                              |
|     | UNDP Istanbul Regional Hub  | UNDP IRH Team indicated in the list above                                                                                                                    |

The Steering Committee Member can also nominate an alternative person to participate at a respective SC meeting, or invite other relevant persons that will have the observer status.

[1] Partnership: The Russian Federation, as the donor, is not a beneficiary of the project. Partners referenced are in an advisory capacity (refer to the Project Document). No project activities are implemented within, or for the direct benefit of, the donor.

[2] Partnership: The Russian Federation, as the donor, is not a beneficiary of the project. Partners referenced are in an advisory capacity (refer to the Project Document). No project activities are implemented within, or for the direct benefit of, the donor.

[3] <https://popp.undp.org/policy-page/social-and-environmental-standards>

[4] Please insert the appropriate entity name in the relevant sections in the document. Where this ToR refers to “Board” it is intended to apply to both these entities and should be changed accordingly to match the entity chosen for the specific project

[5] UNDP Country Office applies this guidance within its national context, drawing on national strategies and local-level structures.

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

[7] UNDP has this special right since the ultimate legal and fiduciary accountability for a UNDP project, irrespective of modality, rests with UNDP and UNDP must (in line with its obligations to donors and to the Executive Board) be able to ensure that no action is taken by any body in a UNDP project that contravenes UNDP rules and regulations.

[8] Including audit reports and spot checks.

**Региональное совещание по региональным компонентам проекта «Решение проблемы морского мусора и морского пластика – системный подход в Каспийском море», выполняемым ЮНЕП, в поддержку реализации Московского протокола 27-28 ноября 2025 года, Алматы, Казахстан**

Совещание по региональным компонентам проекта «Решение проблемы морского мусора и морского пластика – системный подход в Каспийском море» было открыто заявлениями делегаций Азербайджанской Республики, Исламской Республики Иран, Республики Казахстан, Российской Федерации и Туркменистана, а также представителей Секретариата. Совещание выразило признательность Российской Федерации за финансовую поддержку проекта, предоставленную в рамках программы официальной помощи развитию.

После принятия Повестки дня Секретариат представил обзор проекта. Было отмечено, что цель проекта заключается в укреплении регионального сотрудничества и национального потенциала для предотвращения, сокращения и контроля морского мусора и морского пластика из наземных источников. Российская Федерация и другие Стороны призвали ускорить реализацию проекта. Участники совещания поддержали запрос донора и Сторон о проведении заседания Руководящего комитета проекта в кратчайшие сроки в целях рассмотрения прогресса, уточнения нерешённых вопросов и обсуждения графика осуществления мероприятий по проекту.

Участники обменялись мнениями о стратегической роли проекта. Было достигнуто общее понимание того, что проект должен служить практическим инструментом, а также источником финансовой и технической поддержки для содействия реализации Московского протокола. Делегации подчеркнули, что региональные компоненты проекта должны быть чётко согласованы с приоритетами, определёнными в рамках Протокола. Участники совещания далее обсудили три региональных компонента проекта. Делегации рассмотрели объём и последовательность мероприятий и представили предложения, направленные на уточнение их формулировок. Обновлённые названия мероприятий приведены в Приложении I к настоящему отчёту.

Совещание также заслушало презентацию менеджера по управлению проектами ПРООН, посвящённую национальным компонентам проекта. Представитель ПРООН отметила, что Компонент 3 направлен на определение мер, специфичных для каждой страны, по укреплению систем обращения с пластиковыми отходами, в то время как Компонент 4 будет сосредоточен на предварительной идентификации приоритетных инвестиций в сферу обращения с отходами. В рамках Компонента 5 ПРООН будет поддерживать местные сообщества и малые предприятия во внедрении улучшенных практик обращения с отходами. Делегации приняли информацию к сведению и подчеркнули важность координации национальных и региональных мероприятий по проекту. Презентация ПРООН приводится в Приложении II.

Делегации также обсудили составляющую проекта, посвящённую гендерным вопросам. Ряд Сторон отметили, что этот вопрос в его текущем виде не отражает региональных приоритетов, и запросили его исключение. Совещание рассмотрело раздел проекта, касающийся партнёрств и сотрудничества. Делегации запросили упрощение данного компонента.

Участникам совещания также было предложено представить дополнительные письменные комментарии по региональным компонентам проекта и сопроводительной документации не

позднее **10 декабря 2025 года**, чтобы Секретариат мог учесть поступившие предложения при подготовке следующей версии рабочего плана по проекту.

В заключительных замечаниях участники подчеркнули общую заинтересованность в проведении первого заседания Руководящего комитета проекта в максимально короткие сроки в целях обеспечения своевременных руководящих указаний по проекту и ускорения его реализации.

**STEERING COMMITTEE MEETING****“Addressing Marine Litter and Marine Plastics – A Systemic Approach in the Caspian Sea”**

List of participants:

| <b>N o.</b> | <b>Organisation</b>     | <b>Position</b>                                                                                                                                                                                                                                |
|-------------|-------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1           | Steliana Nedera         | UNDP Istanbul Regional Hub Manager                                                                                                                                                                                                             |
| 2           | Tina Stoum              | UNDP Istanbul Regional Hub, Regional Programme Chief                                                                                                                                                                                           |
| 3           | Mehman Nabiyeu,         | Azerbaijan, Head of the Sector of the Environmental Policy Department, Ministry of Ecology and Natural Resources                                                                                                                               |
| 4           | Yashar Karimov          | Azerbaijan, Deputy Head of the International Relations Department, Ministry of Ecology and Natural Resources                                                                                                                                   |
| 5           | Omid Sedighi Savadkouhi | Iran, National Focal Point<br>General Director, Marine Pollution investigation and Combat Bureau, Department of Environment                                                                                                                    |
| 6           | Afsaneh Hassani         | Iran, Head of Environmental Conventions, Centre of International Affairs, Department of Environment                                                                                                                                            |
| 7           | Zahra Alavian           | Iran, National Convention Liaison Officer                                                                                                                                                                                                      |
| 8           | Ruslan Tukenov,         | Kazakhstan, National Focal Point,<br>Director of Waste Management Department of the Ministry of Ecology and Natural Resources                                                                                                                  |
| 9           | Serik Akhmetov          | Kazakhstan, National Convention Liaison Officer                                                                                                                                                                                                |
| 10          | Meretdurdy Bayramov     | Turkmenistan, National Focal Point<br>Head<br>International Projects Coordination Division<br>Department for the Coordination of International Environmental Cooperation and Projects<br>Ministry of Environmental Protection of Turkmenistan, |
| 11          | Gozel Orazdurdyeva      | Turkmenistan, National Convention Liaison Officer                                                                                                                                                                                              |
| 12          | Elena Melnik            | Russian Federation, National Focal Point<br>Ministry of Foreign Affairs, First Secretary, Department of International Organizations                                                                                                            |
| 13          | Ekaterina Fotina        | Russian Federation, Senior Advisor<br>Permanent Mission of the Russian Federation to the United Nations Office and other international organizations in Geneva                                                                                 |
| 14          | Tatiana Butylina        | Russian Federation, National Convention Liaison Office<br>Deputy Director<br>ANO “Centre for International Projects”                                                                                                                           |
|             |                         |                                                                                                                                                                                                                                                |

|    |                    |                                              |
|----|--------------------|----------------------------------------------|
| 15 | Khurshid Alam      | UNDP Iran, Deputy Resident Representative    |
| 16 | Reza Fallah        | UNDP Iran, Specialist                        |
| 17 | Zahra Golshan      | UNDP Iran, Programme Associate               |
| 18 | Alua Baizhomartova | UNDP Kazakhstan, Programme Analyst           |
| 19 | Aizhan Baimukanova | UNDP Kazakhstan, Programme Associate         |
| 20 | Farhat Orunov      | UNDP Turkmenistan, Programme Analyst         |
| 21 | Odetta Cato        | UNDP IRH Project Manager                     |
| 22 | Maria Pogkozeva    | UNDP IRH Technical Advisor for Marine Litter |
| 23 | Marcela Fabianova  | UNDP IRH Water Programme Analyst             |
| 24 | Lilia Spasova      | UNDP IRH Project Associate                   |
| 25 | Pem Wangdi         | UNDP IRH Regional RBM, PPM and QA Specialist |
| 26 | Ozlem Altug        | UNDP IRH Country Programme Specialist        |
| 27 | Mahir Aliyev       | UNEP TCS, Regional Coordinator               |
| 28 | Mateusz Benko      | UNEP TCS, Convention Officer                 |
| 29 | Kristina Russkikh  | UNEP TCS, Communication and Advocacy Officer |
| 30 | Gultan Abdinova    | UNEP TCS, Intern                             |

### 1. Opening remarks

Steliana Nedera, Manager of the UNDP Istanbul Regional Hub and Chairperson of the meeting, welcomed participants and noted that the project is implemented by UNDP and UNEP as responsible party, with funding from the Russian Federation, and acknowledged representatives from the Ministry of Foreign Affairs of the Russian Federation, UNEP, and partner countries including Kazakhstan, Turkmenistan, Azerbaijan, and Iran. The Chair outlined the meeting objectives, including confirmation of the Steering Committee Terms of Reference, review of the inception phase and consultations, endorsement of the inception report, and approval of the 2026 work plan, including national components; in the absence of objections, the agenda was adopted.

Elena Melnik, representing the Ministry of Foreign Affairs of the Russian Federation, delivered welcome remarks and addressed expectations for the meeting outcomes and work planned for 2026.

On behalf of the donor, she welcomed the organization of this meeting and emphasized the Russian Federation's commitment to preserving the Caspian Sea's ecosystems and preventing pollution, noting previous cooperation with UNDP, GEF, and other UN bodies alongside Caspian states. Russian

Federation looks forward to accelerated implementation and seeks a clear action plan with timelines for monitoring and activities. There were several amendments proposed since April to reflect specifics of national country legislations and it was highlighted the need for compliance with national legislation, coordination with authorities, and regional activities should also align with existing agreements, particularly the Tehran Convention. From the donor perspective it is important to utilize the Russian expertise and Russian Federation looks forward to the Secretariat's report, member states' comments, and wished a productive meeting.

Mahir Aliyev, Regional Coordinator of the UNEP Tehran Convention Secretariat, highlighted the transition from inception to implementation, expressed appreciation to the Russian Federation, and emphasized the project's role in supporting the Moscow Protocol under the Tehran Convention. He also confirmed that UNEP jointly with UNDP will focus to speed-up the project implementation to catch-up on the delays and appreciated interest and involvement of the countries in the project.

The Chair thanked the speakers and reaffirmed UNDP's commitment to close collaboration, before inviting the Project Manager to proceed with the agenda and Terms of Reference.

## **2. Terms of Reference for the Project Steering Committee**

The Terms of Reference for the Project Steering Committee were presented.

The SC is the highest oversight and decision-making body for the project, responsible for strategic guidance, quality assurance, accountability for results, and alignment with UNDP, donor, and UNEP requirements.

### **Annual SC Cycle**

- Minimum one meeting per year, aligned with key reporting and planning milestones
- Review of project performance, annual implementation reports, risk logs, and quality assessments, combined delivery reports, and funding gaps, ensuring risk mitigation measures are in place
- Approval of annual work plans and revisions

### **Meeting Frequency**

- At project start (inception phase)
- At least once annually for progress and implementation issues
- At project closure to review final results
- Ad-hoc meetings may be organized as needed

Outputs of PSC meetings include formal minutes capturing decisions and action points, prepared within two weeks. UNDP IRH Team will act as Secretariat, ensuring agendas and documents are circulated in advance.

## **3. Presentation of Regional Components**

The Regional Components were presented by Mahir Aliyev, emphasizing their alignment with the Moscow Protocol. The Component 1 is focused on building the knowledge base, identifying research needs, and developing monitoring guidelines. A consultation meeting in Almaty outlined the first year's timeline for tasks. Despite initial delays, the project aims to accelerate implementation. The component 2 will include reviewing national legislation, developing guidelines, and preparing National Action Plans. It was explained that the envisaged activities involve primarily desk-based work during the initial phase. This includes the development of Terms of Reference for consultants and technical activities, agreement on procedures for implementation and ensuring resource availability for hiring of consultants. These preparatory actions will enable consultants to commence technical work in early 2026.

Component 6 focuses on proactive communication and stakeholder involvement. This component is described as an ongoing process within the Tehran Convention framework, aimed at supporting advocacy for environmental sustainability in the Caspian region. Specific activities include:

- Development of a communication and awareness-raising strategy
- Support for activities related to Caspian Sea Day, celebrated annually on 12 August since the Tehran Convention entered into force in 2006
- Creation of conditions for consistent implementation of awareness activities and broader stakeholder engagement

It was noted that, following UNDP's closure of CO in Azerbaijan in 2025, activities originally envisaged for UNDP will be implemented by the UNEP TCS. The components remain the same as in other Caspian littoral states; however, implementation in Azerbaijan will be carried out through UNEP TCS. Specific activities will be identified and incorporated into the work plan in early 2026 following consultations with national counterparts.

#### **4. National Components – Summary by UNDP IRH PM**

The Project Manager summarized the expected components and timelines agreed with country offices. The multi-year work plan is integrated in the Inception report.

**Kazakhstan**-Presentation was done by Alua Baizhomartova, UNDP Programme Analyst. Key 2025 achievements were the project launch, institutional setup, stakeholder engagement, incorporation of activities into an inter-regional roadmap approved by the Deputy Prime Minister, and establishment of the Kazakh Research Caspian Institute of the Caspian Sea, as a national scientific analytical platform for implementation and data generation. Two ToRs for analytical and investment-related components were prepared. It was noted that this initial work in 2025 was critical to ensure the national ownership and sustainability of the project. The year 2026 will be strongly implementation oriented and will focus on practical pilot activities in coastal region, data and systems strengthening, and investment preparation and private sector engagement.

##### 2026 Activity plan:

- Develop analytical and methodological frameworks for plastic waste monitoring
- Improve classification, accounting, and reporting systems; integrate monitoring into digital systems and EPR mechanisms
- Implement pilot activities in coastal regions (adopt-a-beach, periodic clean-ups, fishing-for-litter schemes)
- Assess waste management infrastructure and secondary plastic markets; prepare regional investment plans; link planning with EPR and private sector engagement
- Launch small grants program to support community-led initiatives

**Turkmenistan**- Presentation of national activities was done by Farhat Orunov, UNDP Programme Analyst. He confirmed that the project is very timely, and the Caspian Sea and its ecological status are of high priority for the national government. The activities of the current project will build-up on the results of the currently completed GEF project. All is planned in consultation with the Ministry of Environmental Protection, closely engaging with the national representative for Tehran Convention.

##### 2026 Activity plan:

- Introductory seminar for stakeholders (government, municipalities, private sector, NGOs, community groups)
- Mapping and assessment of private sector enterprises involved in waste collection, sorting, and recycling
- Regular beach clean-ups (at least two), one prior to Caspian Sea Day

- Study on feasibility of implementation of Polluter Pays Principle; review of national legislation and regulatory framework; development of roadmap for implementation of a waste management plan, specifically for Balkan region
- Awareness workshop on small grants program; engaging local communities, NGOs, as well as private sector; development of application criteria by end of 2026

**Iran:** Introductory remarks were made by Khurshid Alam (Deputy Resident Representative of Iran CO), he congratulated UNDP, UNEP, and Caspian Sea country partners on the high-impact project, appreciated the collaboration and support of the Russian Federation, and emphasized the role of the Steering Committee in exploring ways to scale up the initiative to achieve greater impact in protecting the Caspian Sea ecosystem.

Presentation of national activities in 2026 was done by Reza Fallah, UNDP Project Specialist. He noted that there was a consultation process that involved multiple beneficiaries including Department of Environment, Fisheries Organization, and Ports & Maritime Organization. Planned activities were slightly re-structured in order to improve efficiency, while the overall planned objectives remained unchanged.

#### 2026 Activities:

- Promote plastic waste separation in coastal areas; organize periodic clean-ups aligned with monitoring guidelines
- Analyze existing waste management practices; identify practical options for sorting and recycling
- Assess recycling capacities in densely populated coastal areas; review best practices in contracting waste management services
- Implement small grants program to support eligible public and private initiatives
- Timeline:
  - Q1: Consultancy to review policies and regulations; capacity assessment; identification of target areas; capacity-building workshops
  - Q3–Q4: Public awareness campaigns; pilot innovative solutions; call for proposals for small grants

## **5. Discussion**

- Members highlighted the importance of coordination and cross-learning among country offices.
- It was agreed to share all presentations after the meeting and allow 10 days for written feedback.
- Azerbaijan's work plan will be shared by end of Q1 2026 following consultations by UNEP TCS.
- Monthly coordination calls will be established starting January 2026.
- The Russian Federation requested clarity on expert engagement and procurement processes. UNDP confirmed that procurement is open and transparent, and proposed to share Q1 procurement pipelines with the UNDP Russia Trust Fund office.

## **6. Decisions**

- i. Endorsed the Terms of Reference of Project Steering Committee.
- ii. Endorsed in principle the regional and national workplans for 2026, as well as the Inception Report, subject to written feedback within deadline.

- iii. Recommended an active coordination arrangement between implementing project teams to ensure quicker implementation and for any troubleshooting as needed. Minimum a monthly call between focal points in UNEP-UNDP teams in countries and central units.
- iv. Confirmed the timeline for Azerbaijan work plan, by UNEP.
- v. Secretariat to circulate presentations and draft minutes for further written feedback; comments due within 9<sup>th</sup> of January.

## 7. Closing and next steps

The meeting concluded with appreciation for the collaborative efforts and exchange of holiday greetings, and it was agreed to circulate presentations and draft minutes, collect written comments within 10 days (by 9<sup>th</sup> of January given the holiday season), schedule monthly coordination calls starting January 2026, share the Azerbaijan work plan by end of Q1 2026, and prepare a consolidated regional work plan by end of January 2026.

|                                                                              |  |
|------------------------------------------------------------------------------|--|
| <b>Prepared by:</b><br>Odeta Cato<br>Regional Project Manager                |  |
| <b>Approved by:</b><br>Steliana Nedera<br>UNDP Istanbul Regional Hub Manager |  |
| Mahir Aliyev<br>UNEP Tehran Convention Secretariat<br>Regional Coordinator   |  |

## TECHNICAL TASK 1

### Component 1: Collection and Assessment of Information and Data Relevant to Marine Litter in the Caspian Sea

#### *Activity 1.1: Inventories of Coastal Land-Based Sources of Pollution and Comprehensive Review of Marine Litter Information*

##### 1. Background and Rationale

This activity is undertaken within the framework of the Tehran Convention and directly supports implementation of the Moscow Protocol on the Protection of the Caspian Sea Against Pollution from Land-Based Sources and Activities. In accordance with Article 7 of the Tehran Convention and the objectives of the Moscow Protocol, Contracting Parties are required to prevent, reduce and control pollution of the marine environment from Land-Based Sources.

Marine litter, particularly plastic waste, has been identified as an increasing environmental concern in the Caspian Sea region. However, reliable and comparable quantitative information on sources, pathways, composition and accumulation patterns remains limited. The absence of harmonised national inventories and consolidated regional analysis constrains effective policy development and implementation of agreed regional measures, including the Caspian Regional Marine Litter Action Plan.

Activity 1.1 is designed to establish a robust knowledge base through the preparation of national inventories of coastal Land-Based Sources of pollution related to marine litter, followed by regional-level consolidation and assessment. The activity ensures that national expertise and data form the primary basis of all assessments, while regional-level synthesis enhances comparability and supports coordinated implementation of the Moscow Protocol.

The delineation of responsibilities between national consultants and the implementing partner is intended to ensure complementarity, avoid duplication, and strengthen national ownership while ensuring regional harmonisation.

##### 2. Objective of the Activity

The objective of Activity 1.1 is to:

- Compile and systematise existing national information on coastal Land-Based Sources of pollution contributing to marine litter
- Assess available data on the volume, composition, distribution, sources and pathways of marine litter
- Identify information gaps and priority areas for further investigation
- Produce a regional assessment based on consolidated national inventories to support implementation of the Moscow Protocol.

##### 3. Scope of Work

###### 3.1 National-Level Work (National Consultants)

Under the guidance of the Secretariat and in consultation with relevant national authorities and stakeholders, the National Consultants will undertake the following tasks:

1. Conduct a comprehensive desk review of existing national data, studies, monitoring reports and assessments related to:

- Coastal Land-Based Sources of waste pollution (including point and diffuse sources)
  - Marine litter occurrence, composition and distribution in coastal and marine areas
  - Sectoral contributions (e.g., municipal waste, tourism, fisheries, shipping, industry).
2. Prepare a national inventory of coastal Land-Based Sources of pollution contributing to marine litter, taking into account the relevant source categories reflected in Annex I to the Moscow Protocol, including:
    - Identification and characterisation of major pollution sources
    - Available quantitative data on waste generation and pathways to the marine environment
    - Identification of hotspots, where data is available.
  3. Analyse data gaps and limitations, including:
    - Gaps in monitoring systems;
    - Lack of harmonised methodologies
    - Areas requiring further research or data collection.
    - Engage relevant national stakeholders (government institutions, research organisations, and other relevant entities) to validate findings and ensure accuracy and completeness of the inventory.
  4. Prepare a Draft National Inventory Report in accordance with a common structure agreed at regional level.
  5. Revise and finalise the National Inventory Report based on feedback from the Secretariat and regional review processes.

Deliverable (National Level):

- Final National Coastal Land-Based Sources Inventory Report, including identified data gaps and recommendations for strengthening information systems.

### **3.2 Regional Consolidation and Assessment (Implementing Partner)**

Building on the national inventory reports prepared by the National Consultants, the Implementing Partner will undertake the following tasks:

1. Review and analyse the national inventory reports to ensure methodological coherence and comparability across countries.
2. Consolidate national findings into a regional comparative framework, identifying:
  - Common trends and patterns
  - Regional hotspots
  - Shared data gaps and methodological inconsistencies
  - Priority transboundary or region-wide concerns.
3. Develop a Regional Assessment Report on Coastal Land-Based Sources of Marine Litter in the Caspian Sea, synthesising national findings and providing:
  - Comparative analysis
  - Regional-level conclusions
  - Recommendations to support coordinated implementation of the Moscow Protocol.
4. Present regional findings in consultation settings, as required, and incorporate feedback to finalise the regional assessment.

Deliverable (Regional Level):

- Final Regional Assessment Report on Coastal Land-Based Sources of Marine Litter in the Caspian Sea.

#### **4. Expected Outputs**

The activity will result in:

- A harmonised set of National Coastal Land-Based Sources Inventory Reports for participating countries
- A consolidated Regional Assessment Report based on national findings
- Identification of key knowledge gaps and priority areas for further scientific and policy attention
- Strengthened regional knowledge base to support implementation of the Moscow Protocol.

#### **5. Coordination and Institutional Arrangements**

The activity will be coordinated by the Secretariat of the Tehran Convention. National Consultants will work in close consultation with designated national authorities. The Implementing Partner will coordinate regional consolidation efforts in consultation with the Secretariat and based strictly on nationally validated information.

All outputs will be prepared in English and, where appropriate, supported by national-language reference materials.

## **TECHNICAL TASK 2**

### **Component 1: Collection and Assessment of Information and Data Relevant to Marine Litter in the Caspian Sea**

#### *Activity 1.2: Identification of Further Scientific Research Needs and Analytical Gaps*

##### **1. Background and Rationale**

Building upon the national inventories and regional assessment prepared under Activity 1.1, this activity aims to deepen the analytical understanding of marine litter in the Caspian Sea by identifying priority research needs and knowledge gaps. While existing data provide an initial overview of sources and distribution patterns, significant gaps remain regarding the environmental, economic and social impacts of marine litter, particularly plastic pollution.

In the context of the Tehran Convention and in support of the objectives of the Moscow Protocol, strengthening the scientific basis for decision-making is essential to enable effective prevention, reduction and control of pollution from Land-Based Sources. Improved understanding of impacts and data limitations will contribute to more targeted policy responses and enhanced regional cooperation.

This activity ensures that research priorities are identified primarily on the basis of nationally validated information, while regional-level analysis facilitates harmonised approaches and collaboration across the Caspian Sea region.

The delineation of responsibilities between national consultants and the implementing partner is intended to ensure complementarity, avoid duplication, and strengthen national ownership while ensuring regional harmonisation.

##### **2. Objective of the Activity**

The objective of Activity 1.2 is to:

- Identify key scientific, technical and analytical gaps related to marine litter in the Caspian Sea

- Assess priority research needs at national and regional levels, with particular attention to plastic pollution
- Analyse available information on environmental and socio-economic impacts of marine litter
- Propose areas for enhanced cooperation among research institutions within the Caspian Sea basin.

### **3. Scope of Work**

#### **3.1 National-Level Work (National Consultants)**

Under the guidance of the Secretariat and in consultation with relevant national authorities and research institutions, the National Consultants will undertake the following tasks:

1. Review findings from Activity 1.1 and other relevant national sources to identify:
  - Gaps in quantitative and qualitative data
  - Limitations in existing monitoring systems
  - Methodological inconsistencies affecting comparability.
2. Assess available information on the environmental and socio-economic impacts of marine litter, including, where data allow:
  - Impacts on marine and coastal ecosystems
  - Impacts on fisheries, navigation, tourism, and other economic sectors
  - Potential differentiated impacts related to plastic pollution, including implications for livelihoods and income generation.
3. Identify priority areas for further scientific research at national level, considering feasibility, data availability and institutional capacity.
4. Consult relevant academic and research institutions to evaluate existing expertise and opportunities for strengthening national and regional cooperation.
5. Prepare a Draft National Report on Research Needs and Analytical Gaps, including recommendations for priority research themes and potential modalities for implementation.
6. Revise and finalise the National Report based on feedback from the Secretariat and regional review processes.

Deliverable (National Level):

- Final National Report on Research Needs and Analytical Gaps, including prioritised recommendations.

#### **3.2 Regional Consolidation and Analytical Framework (Implementing Partner)**

Building on the national reports prepared by the National Consultants, the Implementing Partner will undertake the following tasks:

1. Review and compare national findings to identify common research gaps, recurring data limitations and shared priority themes.
2. Develop a regional analytical overview of priority research needs related to marine litter, with particular attention to plastic pollution and cross-sectoral impacts.
3. Propose options for enhancing cooperation among research institutions in the Caspian Sea basin, including knowledge exchange, harmonised methodologies and peer-to-peer collaboration.

4. Prepare a Regional Analytical Report on Research Needs, consolidating national inputs and outlining regional-level recommendations to support implementation of the Moscow Protocol.
5. Present findings in consultation settings, as appropriate, and incorporate feedback to finalise the regional analytical report.

Deliverable (Regional Level):

- Final Regional Analytical Report on Research Needs and Gaps.

#### **4. Expected Outputs**

The activity will result in:

- A set of National Reports identifying scientific and analytical gaps related to marine litter
- A consolidated Regional Analytical Report outlining priority research themes
- Identification of feasible and cooperative research pathways within the Caspian Sea basin
- Strengthened scientific foundation for future policy and monitoring measures under the Moscow Protocol.

#### **5. Coordination and Institutional Arrangements**

The activity will be coordinated by the Secretariat of the Tehran Convention. National Consultants will work in consultation with designated national authorities and research institutions. The Implementing Partner will consolidate national inputs and facilitate regional-level analytical coherence in coordination with the Secretariat.

All outputs will be prepared in English and, where appropriate, supported by national-language reference materials.

### **TECHNICAL TASK 3**

#### **Component 1: Collection and Assessment of Information and Data Relevant to Marine Litter in the Caspian Sea**

##### *Activity 1.3: Development of Regional Guidelines for Marine Litter Monitoring*

#### **1. Background and Rationale**

Effective implementation of the Moscow Protocol requires the availability of reliable, comparable and regularly updated information on marine litter. At present, national monitoring systems across the Caspian Sea region do not systematically include harmonised marine litter indicators, and methodologies differ in scope and application.

Building on the knowledge base and analytical findings generated under Activities 1.1 and 1.2, this activity aims to support the development of harmonised regional guidelines for marine litter monitoring. These guidelines are intended to facilitate comparability of data, strengthen national monitoring systems, and support evidence-based decision-making under the Tehran Convention framework.

The activity is designed to ensure that national experience, existing monitoring practices and institutional capacities form the foundation of the guidelines, while regional consolidation ensures coherence and alignment with the objectives of the Moscow Protocol.

The delineation of responsibilities between national consultants and the implementing partner is intended to ensure complementarity, avoid duplication, and strengthen national ownership while ensuring regional harmonisation.

## **2. Objective of the Activity**

The objective of Activity 1.3 is to:

- Review existing national monitoring approaches related to marine litter
- Identify methodological gaps and inconsistencies affecting data comparability
- Develop harmonised regional guidelines for marine litter monitoring in the Caspian Sea
- Support gradual integration of marine litter indicators into national monitoring systems.

## **3. Scope of Work**

### **3.1 National-Level Inputs (National Consultants)**

Under the guidance of the Secretariat and in consultation with relevant national authorities and monitoring institutions, the National Consultants will undertake the following tasks:

1. Review existing national environmental monitoring systems to identify:
  - Current inclusion (if any) of marine litter indicators
  - Sampling methodologies and frequency
  - Data management and reporting practices.
2. Identify strengths, limitations and institutional capacities relevant to marine litter monitoring.
3. Assess feasibility of integrating harmonised marine litter monitoring elements into existing national systems, taking into account available resources and institutional arrangements.
4. Provide structured national inputs outlining:
  - Existing practices
  - Key constraints
  - Practical recommendations for harmonised monitoring approaches.
5. Participate in consultation processes to review draft regional monitoring guidelines and provide technical feedback.

Deliverable (National Level):

- National Input Register of Marine Litter Monitoring Practices and Capacities
- Technical comments on draft regional monitoring guidelines.

### **3.2 Development of Regional Monitoring Guidelines (Implementing Partner)**

Based on the inputs provided by National Consultants and in consultation with the Secretariat, the Implementing Partner will undertake the following tasks:

1. Analyse national monitoring practices to identify common elements, methodological divergences and areas suitable for harmonisation.
2. Develop a draft set of Regional Guidelines for Marine Litter Monitoring, including:
  - Proposed common classification systems

- Core indicators and parameters
  - Recommended sampling and reporting approaches
  - Basic quality assurance and data comparability principles.
3. Circulate the draft guidelines for consultation and incorporate feedback from national experts and relevant stakeholders.
  4. Finalise the Regional Guidelines for Marine Litter Monitoring, ensuring that they are practical, adaptable and supportive of national implementation.

Deliverable (Regional Level):

- Final Regional Guidelines for Marine Litter Monitoring.

#### **4. Expected Outputs**

The activity will result in:

Structured national assessments of existing marine litter monitoring practices

- A harmonised set of Regional Guidelines for Marine Litter Monitoring
- Improved comparability of marine litter data across the Caspian Sea region
- Strengthened technical foundation for long-term monitoring under the Moscow Protocol framework.

#### **5. Coordination and Institutional Arrangements**

The activity will be coordinated by the Secretariat of the Tehran Convention. National Consultants will work in consultation with designated national authorities and monitoring institutions. The Implementing Partner will consolidate national inputs and draft the regional guidelines in coordination with the Secretariat and based strictly on nationally validated information.

All outputs will be prepared in English and, where appropriate, supported by national-language reference materials.

### **TECHNICAL TASK 4**

#### **Component 2: Strengthening National and Regional Policy and Planning Frameworks Related to Land-Based Sources of Marine Pollution**

*Activity 2.1: Analysis of National Legislative and Policy Frameworks Related to Land-Based Sources of Marine Litter*

##### **1. Background and Rationale**

Effective prevention and reduction of marine litter from Land-Based Sources require coherent legal, regulatory and policy frameworks at national level. While the Moscow Protocol provides the regional legal framework for addressing pollution from Land-Based Sources and activities, its practical implementation depends on alignment with and strengthening of national legislation and policy instruments.

At present, approaches to regulating waste management, pollution control and marine environmental protection vary across the Caspian Sea region. A structured analysis of existing national frameworks is

therefore necessary to identify strengths, gaps and opportunities for enhanced alignment with the objectives of the Moscow Protocol.

This activity is designed to provide an analytical overview of relevant national legislative and policy instruments, without assessing compliance, and to identify areas where further development or coordination may be beneficial.

The delineation of responsibilities between National Consultants and the Implementing Partner is intended to ensure complementarity, avoid duplication, and strengthen national ownership while ensuring regional harmonisation.

## **2. Objective of the Activity**

The objective of Activity 2.1 is to:

- Map and analyse national legislative and policy frameworks relevant to Land-Based Sources of marine litter
- Identify gaps in existing instruments
- Examine the extent to which current frameworks support prevention and reduction of marine litter
- Provide a regional comparative overview to inform future policy dialogue under the Moscow Protocol framework.

## **3. Scope of Work**

### **3.1 National-Level Analysis (National Consultants)**

Under the guidance of the Secretariat and in consultation with relevant national authorities, the National Consultants will undertake the following tasks:

1. Identify and review national legislation, regulations and policy instruments relevant to:
  - Waste management and circular economy measures
  - Pollution control from Land-Based Sources
  - Marine and coastal environmental protection
  - Sector-specific regulations relevant to marine litter (e.g., fisheries, shipping, tourism, industry).
2. Analyse the institutional responsibilities and coordination mechanisms related to implementation and enforcement.
3. Identify strengths and good practices within the national framework.
4. Identify gaps, overlaps or inconsistencies that may affect effective prevention and reduction of marine litter from Land-Based Sources.
5. Prepare a Draft National Legislative and Policy Analysis Report.
6. Revise and finalise the report based on feedback from the Secretariat and regional review processes.

Deliverable (National Level):

- Final National Legislative and Policy Analysis Report.

### **3.2 Regional Comparative Overview (Implementing Partner)**

Building on the national reports prepared by the National Consultants, the Implementing Partner will undertake the following tasks:

1. Review and compare national legislative analyses to identify common trends, divergences and areas of shared concern.
2. Develop a regional comparative overview highlighting:
  - Common regulatory approaches
  - Institutional coordination models
  - Shared policy gaps or challenges
  - Opportunities for strengthened regional dialogue.
3. Prepare a Regional Comparative Report synthesising national findings in a neutral and analytical manner.
4. Present key findings in consultations and incorporate feedback to finalise the regional report.

Deliverable (Regional Level):

- Final Regional Comparative Report on Legislative and Policy Frameworks.

### **4. Expected Outputs**

The activity will result in:

- A set of National Legislative and Policy Analysis Reports
- A Regional Comparative Report outlining common approaches and identified gaps
- Enhanced understanding of policy and regulatory landscapes relevant to marine litter in the Caspian Sea region
- Strengthened basis for future policy dialogue under the Moscow Protocol framework.

### **5. Coordination and Institutional Arrangements**

The activity will be coordinated by the Secretariat of the Tehran Convention. National Consultants will work in consultation with designated national authorities. The Implementing Partner will consolidate national analyses and prepare the regional overview in coordination with the Secretariat and based strictly on nationally validated information.

All outputs will be prepared in English and, where appropriate, supported by national-language reference materials.

## **TECHNICAL TASK 5**

## **Component 2: Strengthening National and Regional Policy and Planning Frameworks Related to Land-Based Sources of Marine Pollution**

### *Activity 2.2: Development of Regional Guidance on Integrated Coastal Zone Management (ICZM) in Relation to Marine Litter*

#### **1. Background and Rationale**

Land-Based Sources of marine litter are closely linked to coastal development, urbanisation, tourism, industry and other land-sea interactions. Integrated Coastal Zone Management (ICZM) provides a strategic framework to address such interactions in a coordinated and cross-sectoral manner.

Within the framework of the Tehran Convention and in support of the objectives of the Moscow Protocol, strengthening the integration of marine litter considerations into coastal planning processes can enhance prevention and reduction measures at source. However, approaches to coastal planning and ICZM vary across the Caspian Sea region.

This activity aims to support the development of regional guidance on integrating marine litter considerations into ICZM processes, building upon national experiences and existing policy frameworks. The guidance is intended to be supportive and adaptable to national contexts.

The delineation of responsibilities between national consultants and the implementing partner is intended to ensure complementarity, avoid duplication, and strengthen national ownership while ensuring regional harmonisation.

#### **2. Objective of the Activity**

The objective of Activity 2.2 is to:

- Review national coastal planning and ICZM-related frameworks in relation to marine litter
- Identify opportunities for integrating marine litter prevention and reduction measures into coastal management processes
- Develop regional guidance to support incorporation of marine litter considerations into ICZM approaches across the Caspian Sea region.

#### **3. Scope of Work**

##### **3.1 National-Level Inputs (National Consultants)**

Under the guidance of the Secretariat and in consultation with relevant national authorities, the National Consultants will undertake the following tasks:

1. Review existing national coastal planning instruments, ICZM strategies (where available), and related sectoral policies to assess:
  - The extent to which marine litter considerations are addressed
  - Existing coordination mechanisms among relevant institutions
  - Planning instruments relevant to land-based pollution control in coastal zones.
2. Identify practical entry points for integrating marine litter prevention and reduction measures into coastal management processes.
3. Highlight national good practices and challenges in implementing integrated coastal approaches relevant to marine litter.
4. Prepare a structured National Input Note outlining findings and recommendations for integration of marine litter considerations into ICZM-related processes.

5. Participate in consultations to review draft regional ICZM guidance and provide technical feedback.

Deliverable (National Level):

- National Input Report on Integration of Marine Litter Considerations into Coastal Management Frameworks
- Technical comments on draft regional ICZM guidance.

### **3.2 Development of Regional ICZM Guidance (Implementing Partner)**

Based on the structured national inputs and in consultation with the Secretariat, the Implementing Partner will undertake the following tasks:

1. Analyse national coastal management practices to identify common elements, challenges and opportunities for harmonised approaches.
2. Develop draft Regional Guidance on Integrating Marine Litter Considerations into ICZM Processes, including:
  - Strategic planning considerations
  - Cross-sectoral coordination approaches
  - Illustrative measures and planning tools
  - Suggested monitoring and evaluation elements linked to marine litter prevention.
3. Circulate the draft guidance for consultation and incorporate feedback from national experts and stakeholders.
4. Finalise the Regional ICZM Guidance, ensuring that it remains adaptable to national legal and institutional contexts.

Deliverable (Regional Level):

- Final Regional Guidance on Integrating Marine Litter into ICZM Processes.

### **4. Expected Outputs**

The activity will result in:

- Structured national assessments of coastal management frameworks in relation to marine litter
- A Regional Guidance document supporting integration of marine litter considerations into ICZM processes
- Strengthened cross-sectoral understanding of land-sea linkages affecting marine litter
- Enhanced policy coherence supporting implementation of the Moscow Protocol framework.

### **5. Coordination and Institutional Arrangements**

The activity will be coordinated by the Secretariat of the Tehran Convention. National Consultants will work in consultation with designated national authorities. The Implementing Partner will consolidate national inputs and prepare the regional guidance in coordination with the Secretariat and based strictly on nationally validated information.

All outputs will be prepared in English and, where appropriate, supported by national-language reference materials.

## TECHNICAL TASK 6

### Component 2: Strengthening National and Regional Policy and Planning Frameworks Related to Land-Based Sources of Marine Pollution

#### Activity 2.3: Development or Strengthening of National Action Plans (NAPs) on Marine Litter

##### 1. Background and Rationale

National Action Plans (NAPs) provide an operational instrument for translating policy commitments into concrete measures, timelines and responsibilities. In the context of the Tehran Convention and in support of the objectives of the Moscow Protocol, development or strengthening of National Action Plans on marine litter can facilitate coordinated implementation of prevention and reduction measures at national level.

While some countries may already have relevant strategies or action plans addressing waste management, marine protection or Land-Based pollution, dedicated and coherent planning instruments focused specifically on marine litter may require further development or consolidation.

This activity is designed to provide technical support for the preparation or strengthening of National Action Plans on marine litter, ensuring alignment with national priorities and institutional frameworks, while enabling regional exchange of experience and coherence of overall approaches.

The delineation of responsibilities between national consultants and the implementing partner is intended to ensure complementarity, avoid duplication, and strengthen national ownership while ensuring regional harmonisation.

##### 2. Objective of the Activity

The objective of Activity 2.3 is to:

- Support development or updating of National Action Plans addressing marine litter
- Ensure that NAPs reflect national priorities, institutional arrangements and capacities
- Promote exchange of experience among Caspian Sea countries on planning approaches and implementation mechanisms
- Contribute to coherent regional progress under the Moscow Protocol framework.

##### 3. Scope of Work

#### 3.1 National-Level Development of NAPs (National Consultants)

Under the guidance of the Secretariat and in consultation with relevant national authorities and stakeholders, the National Consultants will undertake the following tasks:

1. Review existing national strategies, action plans and policy instruments relevant to marine litter and Land-Based Sources of pollution.
2. Identify gaps or areas requiring strengthening in relation to marine litter prevention, reduction and monitoring.
3. Facilitate consultations with relevant institutions and stakeholders to ensure broad ownership and feasibility of proposed measures.
4. Draft or update a National Action Plan on Marine Litter, including:
  - Clear objectives and priority measures
  - Defined institutional responsibilities
  - Indicative timelines

- Monitoring and reporting elements.

5. Revise and finalise the National Action Plan based on feedback from competent national authorities.

Deliverable (National Level):

- National Action Plan on Marine Litter (or agreed updated version).

### **3.2 Regional Exchange and Synthesis (Implementing Partner)**

Based on the National Action Plans developed or updated by National Consultants, the Implementing Partner will undertake the following tasks:

1. Review national NAPs to identify common approaches, priority themes and innovative measures.
2. Facilitate regional consultations or exchange mechanisms to share experiences, lessons learned and good practices among countries.
3. Prepare a Regional Overview Note summarising key elements of national NAPs, without duplicating or substituting national planning processes.
4. Identify opportunities for voluntary alignment or cooperation among countries in implementing priority measures.

Deliverable (Regional Level):

- Summary Report on Regional Exchange of Experience Regarding National Action Plans.

### **4. Expected Outputs**

The activity will result in:

- Development or strengthening of National Action Plans addressing marine litter
- Enhanced national coordination and clarity of responsibilities
- Increased exchange of experience among Caspian Sea countries
- Improved coherence of national measures contributing to the objectives of the Moscow Protocol.

### **5. Coordination and Institutional Arrangements**

The activity will be coordinated by the Secretariat of the Tehran Convention. National Consultants will work in consultation with designated national authorities and relevant stakeholders. The Implementing Partner will facilitate regional exchange and prepare the regional overview strictly on the basis of nationally validated National Action Plans and in coordination with the Secretariat.

All outputs will be prepared in English and, where appropriate, supported by national-language reference materials.

## **TECHNICAL TASK 7**

### **Component 6: Regional Communication, Stakeholder Engagement and Awareness-Raising**

*Activities 6.1 and 6.2: Development and Implementation of Regional Communication, Stakeholder Engagement and Caspian Sea Day Awareness Initiatives*

#### **1. Background and Rationale**

Addressing marine litter and plastic pollution requires not only technical and regulatory measures, but also strengthened communication, stakeholder engagement and sustained public awareness. Within the framework of the Tehran Convention and in support of cooperation under the Moscow Protocol, coordinated regional communication mechanisms and visible awareness initiatives are essential to ensure ownership, transparency and long-term impact.

Activities 6.1 and 6.2 are designed to establish a coherent regional communication and stakeholder engagement framework, while also delivering concrete awareness-raising actions at regional and national levels, including Caspian Sea Day events. Strategic design and operational implementation will be clearly differentiated to ensure efficiency, accountability and political balance.

## **2. Objective of the Activities**

The objective of Activities 6.1 and 6.2 is to:

- Develop a Regional Communication and Awareness-Raising Strategy related to marine litter and plastic pollution in the Caspian Sea
- Establish and operationalise a Regional Stakeholder Engagement Network
- Implement coordinated awareness-raising initiatives at regional and national levels
- Organise and support Caspian Sea Day celebrations in alignment with agreed regional messaging
- Strengthen long-term sustainability of communication mechanisms under the Tehran Convention framework.

## **3. Scope of Work**

### **3.1 International Consultant: Regional Coordination and Strategy**

Under the supervision of the Secretariat, the International Consultant will:

1. Conduct a regional stakeholder analysis based on national inputs and existing networks.
2. Develop a Regional Communication and Awareness-Raising Strategy, including:
  - Key messages and target audiences
  - Communication channels and tools
  - Roles and coordination mechanisms
  - Monitoring indicators and sustainability considerations.
3. Facilitate establishment and operationalisation of a Regional Stakeholder Engagement Network.
4. Provide strategic guidance and messaging framework for Caspian Sea Day and other awareness activities to ensure consistency across countries.
5. Facilitate regional consultations on the draft strategy and integrate feedback.
6. Finalise the Regional Communication and Awareness-Raising Strategy.
7. Prepare a final report outlining achievements, lessons learned and recommendations for long-term sustainability of communication mechanisms.

Deliverables (International Consultant):

- Operational Regional Stakeholder Network.
- Final Regional Communication and Awareness-Raising Strategy.

### 3.3 Implementing Partner: Operational Implementation of Awareness Activities

The Implementing Partner, under the coordination of the Secretariat and in alignment with the approved Regional Communication Strategy, will:

1. Organise and implement regional awareness-raising initiatives, including regional Caspian Sea Day events.
2. Provide logistical and organisational support for national Caspian Sea Day celebrations and related awareness activities in participating countries.
3. Develop and disseminate communication materials consistent with the approved regional messaging framework.
4. Support media outreach and visibility actions at regional and national levels.
5. Document implemented activities and provide consolidated reporting on awareness initiatives.

Deliverables (Implementing Partner):

- Organisation of regional Caspian Sea Day event(s).
- Support to national Caspian Sea Day celebrations.
- Communication and awareness materials produced and disseminated.
- Consolidated activity and visibility report.

#### 4. Expected Outputs

The combined activities will result in:

- A coordinated Regional Communication and Awareness-Raising Strategy
- An operational Regional Stakeholder Engagement Network
- Harmonised regional and national awareness initiatives
- Enhanced visibility of marine litter actions under the Tehran Convention framework
- Strengthened stakeholder ownership and long-term communication sustainability.

#### 5. Coordination and Institutional Arrangements

The activities will be coordinated by the Secretariat of the Tehran Convention. The International Consultant will be responsible for strategic design and regional coordination, while the Implementing Partner will ensure operational implementation of awareness initiatives at regional and national levels.

National authorities and designated Convention Liaison Officials will provide inputs, facilitate national-level engagement and support event organisation.

All outputs will be prepared in English and, where appropriate, supported by national-language reference materials.



### Terms of Reference (ToR)

Project: Addressing Marine Litter and Marine Plastic – A Systemic Approach in the Caspian Sea

Assignment: Inventory of coastal land-based sources of pollution including comprehensive review of marine litter information in the Caspian Sea

## Background

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

The project “Addressing Marine Litter and Marine Plastics – A Systemic Approach in the Caspian Sea”, which is funded by the Russian Federation and co-implemented by UNDP and UNEP/Tehran Convention Secretariat, aims to improve the management of the land-based and sea-based sources of pollution that are likely to affect the marine environment of the Caspian Sea. This will be achieved through comprehensive data collection and analysis by the project beneficiary countries, focusing on the primary sources, pathways, and hotspots of marine litter.

The project intends to support the amendment of policy and regulatory frameworks on waste management, comprehensive promotion of a circular economy, carrying out investments in waste management, as well as strengthening sustainable consumption and production patterns.

To achieve its objectives, the project comprises six thematic components:

|             |                                                                                                                    |
|-------------|--------------------------------------------------------------------------------------------------------------------|
| Component 1 | Collection and assessment of information and data relevant to the Caspian marine litter                            |
| Component 2 | Strengthening legal, policy and planning frameworks for coastal land-based pollution control in the Caspian region |
| Component 3 | Improving management of plastic waste in the coastal regions                                                       |
| Component 4 | Preliminary identification of investments in waste management                                                      |
| Component 5 | Empowering local communities and enterprises to improve waste management                                           |
| Component 6 | Proactive Communication and Stakeholder Involvement                                                                |

## Objective

Coastal land-based sources of pollution and marine litter are an increasingly problematic issue for the Caspian region. No reliable quantitative information is available at the regional or national level. To fill the existing knowledge gap, an appropriate monitoring system needs to be established at the regional level under the auspices of Tehran Convention and at the national level in accordance with the national laws and regulations of the Caspian littoral states.

The goal under Component 1 of the project is to collect and assess data and information relevant to coastal land-based sources of pollution and marine litter from the Caspian littoral states.

In this connection, services of a **National Consultant** are sought to assist the Secretariat of the Framework Convention for the Protection of the Marine Environment of the Caspian Sea (Tehran Convention Secretariat) with Component 1, Activity 1.1 ***“Inventories of coastal land-based sources of pollution including comprehensive review of marine litter information in the Caspian Sea”***.

The National Consultancy assignment involves:

- Conducting a detailed review of coastal land-based sources of pollution, including comprehensive review of marine litter information in [Country]
- Gathering and analysis of already existing information in a cohesive and systemic manner
- Synthesis of the obtained information into a **National Inventory Report**.

## Assignment

Under the supervision of the Tehran Convention Secretariat, the National Consultant will:

- Review existing national and regional documentation on coastal land-based sources of pollution and marine litter.
- Identify and engage relevant governmental authorities, research institutions, NGOs, and stakeholders.
- Compile an inventory of coastal land-based sources of pollution and marine litter.
- Collect quantitative data on:
  - Volume,
  - Spatial distribution,
  - Composition (including plastics),
  - Sources and transport pathways.
- Assess environmental and socio-economic impacts.

- Map relevant institutional and governance structures.
- Identify gaps in data, monitoring, and policy implementation.
- Develop recommendations to improve national monitoring systems.
- Prepare and submit reports as required.

The National Consultant will:

- Report directly to the Project Manager/Head of the Tehran Convention Secretariat.
- Work in close coordination with designated National Convention Liaison Officials (NCLOs).
- Submit all deliverables to the Tehran Convention Secretariat for review and approval.

Evaluation and acceptance of outputs will be conducted by the Tehran Convention Secretariat in consultation with relevant project partners and NCLOs.

## **Qualifications**

The National Consultant shall possess the following qualifications and expertise:

### Education

- Advanced university degree (Master's or equivalent) in environmental sciences, biology, environmental engineering, waste management, environmental policy, or a closely related field.
- A first-level university degree with additional years of relevant experience may be accepted in lieu of an advanced degree.

### Professional Experience

- Minimum 7 years of progressively responsible professional experience in marine environmental protection, biological sciences, waste management, coastal land-based sources of pollution assessments, or related fields.
- Demonstrated experience in research, data collection, environmental monitoring, and preparation of technical assessment reports.
- Proven knowledge of marine litter and plastic pollution issues at national or regional level.
- Experience working with governmental institutions, environmental agencies, research institutes, and/or international organizations.

- Familiarity with the Framework Convention for the Protection of the Marine Environment of the Caspian Sea (Tehran Convention) and regional environmental governance mechanisms is highly desirable.

#### Technical Competencies

- Strong analytical and quantitative data assessment skills.
- Experience in compiling inventories and environmental baseline assessments.
- Knowledge of national legislation and institutional frameworks related to waste management and marine protection.
- Ability to synthesize scientific and policy information into clear, structured reports.

#### Language Requirements

- The official working languages of the Tehran Convention are English and Russian. Fluency in either language (written and oral) is required. Knowledge of both languages is highly desirable.

#### **Deliverables**

The National Consultant is expected to produce a National Inventory Report, which at the minimum will include:

1. Inventory of coastal land-based sources of pollution, including marine plastic and marine litter (point sources and diffuse sources) along the categories indicated in Annex 1 to the Moscow Protocol.
2. A quantitative information on the volume, distribution, composition, sources and pathways of the marine litter waste pollution.
3. Overview of the institutions addressing coastal land-based sources of pollution and marine litter in [Country].

| Deliverable                     | Description                                                                                                                                          | Timeline |
|---------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
| Workplan & Methodology          | Detailed methodology, work plan, and data sources                                                                                                    | Month 1  |
| Draft National Inventory Report | Comprehensive draft including inventory of point and diffuse sources of marine litter, quantitative assessment, institutional overview, and findings | Month 2  |

|                                 |                                         |         |
|---------------------------------|-----------------------------------------|---------|
| Final National Inventory Report | Final report incorporating TCS comments | Month 3 |
|---------------------------------|-----------------------------------------|---------|

All deliverables shall be submitted:

- In electronic format MS Word format, with datasets in Excel format where applicable.
- In English and/or Russian.

### Contract Duration

The duration of this consultancy assignment is expected to be 3 months from the date of contract signature with a total number of 30 working days allocated during this time period.

### Indicative Remuneration

The Consultant shall be paid an all-inclusive daily fee at an indicative rate of USD 170 per working day for a total duration of 30 working days, commensurate with qualifications, experience, and deliverables. Payment will be made against approved deliverables and in accordance with the UN financial procedures.

### Travel

Possible travel within the country of assignment will be organised by the Tehran Convention Secretariat in accordance with the applicable UN rules and regulations and in addition to the determined consultancy remuneration rate.



### Terms of Reference (ToR)

Project: Addressing Marine Litter and Marine Plastic – A Systemic Approach in the Caspian Sea

Assignment: Review of the national legislation related to pollution from land-based sources and activities

## Background

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

The project “Addressing Marine Litter and Marine Plastics – A Systemic Approach in the Caspian Sea”, which is funded by the Russian Federation and co-implemented by UNDP and UNEP/Tehran Convention Secretariat, aims to improve the management of the land-based and sea-based sources of pollution that are likely to affect the marine environment of the Caspian Sea. This will be achieved through comprehensive data collection and analysis by the project beneficiary countries, focusing on the primary sources, pathways, and hotspots of marine litter.

The project intends to support the amendment of policy and regulatory frameworks on waste management, comprehensive promotion of a circular economy, carrying out investments in waste management, as well as strengthening sustainable consumption and production patterns.

To achieve its objectives, the project comprises six thematic component:

|             |                                                                                                                    |
|-------------|--------------------------------------------------------------------------------------------------------------------|
| Component 1 | Collection and assessment of information and data relevant to the Caspian marine litter                            |
| Component 2 | Strengthening legal, policy and planning frameworks for coastal land-based pollution control in the Caspian region |
| Component 3 | Improving management of plastic waste in the coastal regions                                                       |
| Component 4 | Preliminary identification of investments in waste management                                                      |
| Component 5 | Empowering local communities and enterprises to improve waste management                                           |
| Component 6 | Proactive Communication and Stakeholder Involvement                                                                |

## **Objective**

Pollution from Coastal Land-Based Sources and Activities (LbS) is regulated through a combination of environmental, water, waste, industrial, agricultural, urban planning, and maritime legislation. However, national legal frameworks vary across the Caspian littoral States in terms of scope, coherence, enforcement mechanisms, and alignment with regional and international obligations.

Services of a **National Consultant** are sought to support the Secretariat of the Framework Convention for the Protection of the Marine Environment of the Caspian Sea (Tehran Convention Secretariat – TCS) in the implementation of Component 2, Activity 2.1 “**Review of the national legislation related to pollution from Land-based Sources and Activities**”.

To support harmonization and effective implementation of the Tehran Convention and its relevant Protocols, a review is required to analyse and assess the national legal and regulatory framework governing pollution from Coastal Land-Based Sources and Activities.

The Consultant will prepare a **Review of the National Legislation on Pollution from LbS** in [Country], focusing on:

- Applicable laws, by-laws, regulations and standards
- Gaps, inconsistencies, and overlaps
- Alignment with the Tehran Convention and Protocol for the Protection of the Caspian Sea against Pollution from Land-based Sources and Activities (Moscow Protocol)
- Recommendations for strengthening and enhancing the legislative framework.

## **Assignment**

Under the supervision of the Tehran Convention Secretariat, the National Consultant will:

- Identify and compile all relevant national legal instruments regulating pollution from Coastal Land-Based Sources and Activities.
- Evaluate alignment with obligations under the Tehran Convention and Moscow Protocol.
- Identify legal gaps, inconsistencies, and overlaps.
- Develop clear, practical, and prioritized recommendations for legislative enhancement.
- Prepare and submit required reports.

The National Consultant will:

- Report directly to the Project Manager/Head of the Tehran Convention Secretariat.
- Work in close coordination with designated National Convention Liaison Officials (NCLOs).
- Submit all deliverables to the Tehran Convention Secretariat for review and approval.

Evaluation and acceptance of outputs will be conducted by the Tehran Convention Secretariat in consultation with relevant project partners and NCLOs.

## **Qualifications**

The National Consultant shall possess the following qualifications and expertise:

### Education

- Advanced university degree (Master's or equivalent) in environmental law, public law, international environmental law, environmental policy, or closely related field.
- A first-level university degree with additional relevant experience may be accepted in lieu of an advanced degree.

### Professional Experience

- Minimum of 7 years of progressively responsible experience in environmental legislation, regulatory analysis, or environmental governance.
- Demonstrated experience in legal drafting, legislative reviews, or policy reform processes.
- Experience working with governmental legal frameworks and regulatory institutions.
- Familiarity with marine environmental protection and pollution control legislation.
- Knowledge of the Tehran Convention framework and regional environmental governance in the Caspian Sea region is highly desirable.

### Technical Competencies

- Strong analytical skills in legislative and regulatory review.
- Ability to interpret and analyse complex legal texts.
- Experience in identifying legal gaps and formulating actionable legislative recommendations.
- Ability to produce structured, policy-oriented legal analysis reports.

### Language Requirements

- The official working languages of the Tehran Convention are English and Russian. Fluency in either language (written and oral) is required. Knowledge of both languages is highly desirable.

## Deliverables

The Consultant will deliver a **National Review of Legislation Related to Pollution from Coastal Land-Based Sources and Activities (LbS)** in [Country] containing:

1. A comprehensive review of existing national legislation governing pollution from Coastal Land-Based Sources and Activities.
2. Identification of legal gaps, inconsistencies, and overlaps.
3. Evaluation of alignment with the Tehran Convention and the Moscow Protocol.
4. Concrete recommendations for legislative enhancement.

| Deliverable            | Description                                                                                                                                                        | Timeline |
|------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
| Workplan & Methodology | Methodology, workplan, list of legislation to be analysed                                                                                                          | Month 1  |
| Draft National Review  | Structured compilation of applicable legal instruments and responsible institutions; Legal analysis, gap assessment, alignment review, preliminary recommendations | Month 2  |
| Final National Review  | Final report incorporating TCS comments                                                                                                                            | Month 3  |

All deliverables shall be submitted:

- In electronic format MS Word format, with datasets in Excel format where applicable.
- In English and/or Russian.

## Contract Duration

The duration of this consultancy assignment is expected to be 3 months from the date of contract signature with a total number of 30 working days allocated during this time period.

### **Indicative Remuneration**

The Consultant shall be paid an all-inclusive daily fee at an indicative rate of USD 170 per working day for a total duration of 30 working days, commensurate with qualifications, experience, and deliverables. Payment will be made against approved deliverables and in accordance with the UN financial procedures.

### **Travel**

Possible travel within the country of assignment will be organised by the Tehran Convention Secretariat in accordance with the applicable UN rules and regulations and in addition to the determined consultancy remuneration rate.



**Tehran Convention**  
**Communication and Awareness-Raising Strategy**  
**(2026-2030)**

*Draft*

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## List of Acronyms and Abbreviations

| Acronym           | Meaning                                                                                                 |
|-------------------|---------------------------------------------------------------------------------------------------------|
| COP               | Conference of the Parties                                                                               |
| IDEA              | International Dialogue for Environmental Action                                                         |
| IMO               | International Maritime Organization                                                                     |
| LBS               | Land-Based Sources                                                                                      |
| MEA               | Multilateral Environmental Agreement                                                                    |
| Moscow Protocol   | Protocol for the Protection of the Caspian Sea against Pollution from Land-based Sources and Activities |
| NCLO              | National Convention Liaison Officer                                                                     |
| NGO               | Non-Governmental Organization                                                                           |
| SPP               | Science-Policy Platform                                                                                 |
| OSPRI             | Oil Spill Preparedness Regional Initiative                                                              |
| Tehran Convention | Framework Convention for the Protection of the Marine Environment of the Caspian Sea                    |
| UNEP              | United Nations Environment Programme                                                                    |
| Approx.           | Approximately                                                                                           |
| Tab.              | Table                                                                                                   |

## Note on Terminology

For the purposes of this Strategy, the term “**Tehran Convention**” refers to the Framework Convention for the Protection of the Marine Environment of the Caspian Sea and its associated Protocols. The term “**Moscow Protocol**” refers to the Protocol for the Protection of the Caspian Sea against Pollution from Land-based Sources and Activities.

The Strategy has been developed in the framework of the project “*Addressing Marine Litter and Marine Plastics – A Systemic Approach in the Caspian Sea*” and supports communication and awareness-raising activities related to implementation of the Moscow Protocol. At the same time, the Strategy is intended to support the broader objectives, visibility and stakeholder engagement efforts of the Tehran Convention framework.

References to communication, awareness-raising and stakeholder engagement activities should therefore be understood as applying both to project-related activities and, where appropriate, to the wider work of the Tehran Convention and its Protocols.

*The Caspian is a story of hope*

## **Executive Summary**

As the Tehran Convention marks the 20<sup>th</sup> anniversary of its entry into force, the Caspian Sea faces a range of intertwined environmental challenges, including sea level decline and fluctuation, pollution from land-based sources, marine litter and marine plastics, climate change impacts, biodiversity loss and ecosystem degradation. These challenges increasingly affect coastal communities, sustainable development, and the long-term environmental well-being of the region.

At the same time, growing scientific knowledge, broadening stakeholder engagement and increased public interest in Caspian issues create new opportunities to strengthen regional cooperation and promote environmental action. Good communication and awareness-raising are essential to ensure that scientific knowledge, policy commitments and project results are translated into adequate decision-making, stakeholder involvement, and positive environmental outcomes.

This Communication and Awareness Raising Strategy has been developed in the framework of the project “*Addressing Marine Litter and Marine Plastics – A Systemic Approach in the Caspian Sea*” and supports implementation of the Tehran Convention, its Protocols and related initiatives. While particular attention is given to marine litter and pollution from land-based sources in support of the Moscow Protocol, the Strategy also responds to broader environmental challenges affecting the Caspian Sea and seeks to strengthen the visibility, accessibility and impact of communication under the Tehran Convention framework.

The Strategy understands communication as a strategic instrument to be applied in supporting regional cooperation, knowledge-sharing, stakeholder engagement, practical action and public awareness.

Building on existing communication mechanisms and institutional practices, it seeks to strengthen outreach to a broader range of stakeholders, including governments, municipalities, scientific institutions, civil society organisations, private-sector partners, communities, media and the wider public.

The Strategy is guided by four Strategic Objectives:

**Strategic Objective 1:** Support regional cooperation and implementation of the Tehran Convention and its Protocols through enhanced information exchange, knowledge sharing, stakeholder engagement and interagency cooperation.

**Strategic Objective 2:** Strengthen knowledge, scientific interaction, capacity and participation among governmental, municipal, academic, educational, community and private-sector stakeholders, while increasing public awareness of environmental challenges affecting the Caspian Sea.

**Strategic Objective 3:** Promote and demonstrate practical solutions, innovative approaches and activities that contribute to the environmental protection and sustainable development of the Caspian Sea, while highlighting opportunities for cooperation, investment and positive environmental outcomes.

**Strategic Objective 4:** Strengthen the visibility, accessibility and communication capacity of the Tehran Convention and its partners, enhancing awareness of environmental challenges and solutions while supporting partnerships, stakeholder engagement and resource mobilization opportunities.

Communication activities implemented under the Strategy will be guided by four overarching Key Messages:

- 1. The Caspian Sea is a shared responsibility.**
- 2. Knowledge informs action.**
- 3. Practical action drives positive change.**
- 4. The Caspian Sea is a story of cooperation and opportunity.**

These messages provide a unified narrative context for communication products, stakeholder engagement activities and awareness-raising campaigns undertaken under the Convention and related project activities.

Implementation will combine digital communication, science-policy dialogue, government engagement, public awareness activities, storytelling and strategic partnerships. Existing flagship initiatives, including Caspian Sea Day and Adopt-a-Beach activities, will continue to play an important role, complemented by strengthened digital outreach, knowledge-sharing and innovative communication approaches where resources permit.

Recognizing the importance of partnerships, the Strategy promotes cooperation with governments, National Convention Liaison Officers (NCLOs), municipalities, universities, Academies of Science, NGOs, private-sector actors, media, and international partners.

It also recognizes the importance of strengthening communication and cooperation within UNEP itself, broadening awareness of the Tehran Convention across relevant Divisions, Regional Offices, the Regional Seas Programme and other MEA Secretariats in order to support visibility, knowledge exchange, partnerships and resource mobilization.

Progress will be measured with a practical Monitoring and Evaluation framework focused on stakeholder engagement, knowledge-sharing, visibility, outreach and communication effectiveness. Implementation will build primarily on existing resources and institutional mechanisms, while seeking opportunities to leverage partnerships, innovation and additional support where appropriate.

The Strategy is guided by the conviction that while the Caspian Sea faces significant environmental challenges, its future remains a matter of collective choice and action. Through stronger cooperation, informed decision-making, practical solutions and effective communication, the Tehran Convention can continue to serve as the principal platform for regional environmental cooperation in the Caspian Sea.

## 1. Introduction

Since entering into force in 2006, the Tehran Convention has been the primary platform for regional environmental cooperation in the Caspian Sea. For many years, it provided the sole legal framework in the region. Over the past two decades, it has supported continued governance and policy dialogue, knowledge exchange, and legal and institutional mechanisms for the protection of the marine environment.

Under the auspices of the Convention, important progress has been achieved, including the adoption and entry into force of several auxiliary Protocols. The Convention remains a platform through which all five Caspian littoral states continue to cooperate on shared environmental challenges.

As the Convention marks the 20<sup>th</sup> anniversary of its entry into force, the Caspian region faces a range of environmental challenges, comprising sea level fluctuation, pollution from land-based sources including marine litter and marine plastics, climate change impacts, and threats to its fragile ecosystem. Addressing these challenges requires continued intergovernmental cooperation, stronger science-policy engagement, increased action by municipalities, communities, the private sector and other stakeholders.

Building on two decades of regional environmental cooperation, the Tehran Convention is entering a new phase focused on strengthening governance and policy, knowledge-sharing, stakeholder engagement, practical action and communication to support implementation of the Convention and its Protocols and contribute to a sustainable future for the Caspian Sea.

This Strategy seeks to support that transition by building upon already existing mechanisms and strengthening established practices<sup>11</sup>, while enhancing the visibility, accessibility and impact of communication efforts undertaken under the Convention framework and related project activities.

This Communication and Awareness Raising Strategy is developed in the framework of the project “Addressing Marine Litter and Marine Plastics – A Systemic Approach in the Caspian Sea”, which supports implementation of the Protocol for the Protection of the Caspian Sea against Pollution from Land-based sources and Activities (Moscow Protocol). As such, particular attention is given to strengthening awareness, knowledge-sharing, stakeholder engagement and communication related to marine litter and pollution from land-based sources, while also supporting broader objectives of the Tehran Convention and its Protocols.

## 2. Situation Analysis

### 2.1 Evolving Environmental Challenges in the Caspian Region

The Caspian Sea is facing a range of interconnected environmental challenges that increasingly affect ecosystems, coastal communities and economic activities across the region. As environmental pressures are complex and interconnected (e.g. the impact of climate change on sea level decline, pollution and ecosystem decline), the need for effective communication, information exchange, and

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<sup>11</sup> The development of the Strategy was guided *inter alia* by the Tehran Convention Public Participation Strategy of 2010, adopted at the Third Meeting of the Conference of the Parties to the Tehran Convention and attached to this Strategy as Annex IV; the Report on Civil Society Engagement of 2022, adopted at the Sixth Meeting of the Conference of the Parties, attached to this Strategy as Annex V; and other relevant documents.

engagement of a broad range of stakeholders becomes increasingly important to support decision-making and regional cooperation.

Over the recent period, particular attention has been drawn to the decline in the Caspian Sea level, which has significant implications for coastal ecosystems, biodiversity, infrastructure, economic activities and local communities. Growing concern regarding these developments has heightened public, scientific and policy interest in the environmental future of the Caspian Sea and reinforced the importance of strong regional cooperation in the framework of the Tehran Convention.

Moreover, pollution from land-based sources, including marine litter and marine plastics, remains an important challenge affecting the marine and coastal environment, as well as the day-to-day lives of the coastal communities. This impacts ecosystems, coastal areas and human well-being, while underlining the importance of improved waste management, prevention measures and coordinated action at regional, national and local levels. As implementation of the Moscow Protocol advances, there is a growing need to communicate environmental risks, practical solutions and lessons learned among stakeholders.

The marine environment of the Caspian Sea also faces pressures such as biodiversity loss, ecosystem degradation and threats to species of ecological and cultural significance, such as the Caspian seal and Caspian sturgeon. These challenges require not only scientific understanding and adequate policy responses, but also greater awareness of the general public, and wider partner engagement to support long-term preservation efforts.

Climate change is a cross-cutting challenge that increasingly influences many of the environmental issues affecting the Caspian Sea. Its impacts interact with existing pressures and contribute to uncertainty regarding future environmental conditions in the region.

As a result, there is growing demand for accessible, credible and policy-relevant information that can support both decision-making and public understanding.

Against this background, effective communication can strengthen understanding of environmental challenges, facilitate knowledge exchange and promote practical solutions that support implementation of the Tehran Convention and its Protocols.

## **2.2 Science, Knowledge and Communication Needs**

The Caspian region benefits from a traditionally robust, substantial body of scientific knowledge and expertise developed through national Academies of Science, universities, research institutions and international partnerships. Over the recent decades, significant studies have been undertaken on the environmental conditions of the Caspian Sea, including issues related to pollution, sea level fluctuation and decline, climate change and ecosystem health.

At the same time, the environmental challenges facing the Caspian Sea grow increasingly complex. Understanding their causes, implications and potential responses requires continuous scientific efforts, data collection, and regional knowledge exchange. What is more, scientific assessments might at times reflect differing perspectives regarding the scale, urgency or drivers of specific environmental issues, highlighting the importance of dialogue, informed discussions, and continued research cooperation across the region.

While the body of scientific knowledge continues to grow, a persistent challenge lies in ensuring that scientific findings are effectively translated into actionable recommendations to support policy development, practical decision-making, and public understanding. National governments, municipalities, and other stakeholders require accessible, actionable and policy-relevant information

rather than purely technical scientific outputs. Therefore, strengthening the connection between scientific knowledge and policy processes represents an important priority for regional environmental governance.

The Tehran Convention provides an important convening platform to facilitate regional knowledge exchange and promote cooperation among scientific, technical and policy communities. Through its meetings, expert processes, project activities and partnerships, the Convention contributes to the dissemination of information and the sharing of experiences among Caspian states. At the same time, there remains scope to strengthen the interpretation, communication and practical application of scientific findings.

The establishment of a science-policy dialogue mechanism under the Convention framework is an important tool to enhance dialogue between scientific and policy communities and support the translation of scientific knowledge into practical recommendations and decision-making. By bringing together researchers, experts, policymakers and other stakeholders, such a mechanism can contribute to a more informed and coordinated response to emerging environmental challenges in the Caspian region.

In this context, communication and awareness-raising also play an essential role in supporting knowledge-sharing, facilitating science-policy dialogue and improving access to information. Strengthening these functions will help ensure that knowledge generated through scientific research, project implementation and regional cooperation can contribute to environmental action and sustainable development across the Caspian region.

### 2.3 Current Communication Landscape

Over the past two decades, communication under the Tehran Convention has primarily supported intergovernmental cooperation, technical dialogue and implementation of Convention processes. Existing communication efforts have largely focused on meetings, reports, technical outputs, official correspondence, project activities and other mechanisms that facilitate information exchange among governments, experts and institutions directly involved in implementation of the Convention and its Protocols.

As a result, awareness of the Convention is generally strongest among stakeholders that regularly participate in Convention processes, including Environment Ministries, National Convention Liaison Officers (NCLOs), technical experts and institutions engaged in regional environmental cooperation. At the same time, awareness among broader stakeholder groups, including municipalities, media, students, communities and the general public, remains more limited.

Table 1: Current state of awareness of the Tehran Convention and its activities.

| Stakeholder Group                                                  | Current Awareness of the Tehran Convention* |
|--------------------------------------------------------------------|---------------------------------------------|
| Environment Ministries and relevant government authorities         | High                                        |
| National Convention Liaison Officers (NCLOs)                       | High                                        |
| Participants in Convention processes and expert groups             | High                                        |
| Universities and scientific institutions working on Caspian issues | Moderate to High                            |
| Coastal municipalities and local authorities                       | Moderate                                    |

| Stakeholder Group                                  | Current Awareness of the Tehran Convention* |
|----------------------------------------------------|---------------------------------------------|
| Environmental NGOs and civil society organizations | Moderate                                    |
| Private sector                                     | Low to Moderate                             |
| Journalists and media                              | Low                                         |
| Students and youth                                 | Low                                         |
| General public                                     | Very Low                                    |

\*Indicative assessment based upon initial observation

While the Convention benefits from well-established institutional networks and communication mechanisms, communication capacity remains limited and outreach beyond traditional stakeholder groups is relatively modest. Digital communication channels remain underutilized, and there is room to improve the accessibility, visibility and dissemination of information generated through Convention processes and related project activities. As environmental challenges affecting the Caspian Sea attract growing public and policy attention, strengthening communication efforts will become increasingly important.

## 2.4 Emerging Communication Needs

A key emerging need relates to strengthening the communication of scientific knowledge and improving the translation of technical information into policy-relevant, accessible and actionable messages. Effective science-policy communication will be increasingly important in supporting informed decision-making, stakeholder engagement and public understanding.

Another emerging need is to broaden communication and engagement beyond traditional Convention stakeholders. While governments, NCLOs and technical experts remain central to implementation of the Convention, increasing attention is being directed toward municipalities, scientific institutions, universities, civil society organizations, communities and other stakeholders that can contribute to environmental action and awareness-raising efforts.

At the same time, there is an opportunity to improve the overall quality and visibility of information generated through the Convention processes. Advances in digital communication, combined with growing public interest in environmental issues affecting the Caspian Sea, create new possibilities to expand outreach to broader audiences.

The twentieth anniversary of the Convention's entry into force provides an opportunity to reflect on achievements to date, while communicating the continuing relevance of regional environmental cooperation in addressing emerging challenges. As implementation of the Convention, its Protocols, and related initiatives continues to evolve, communication will play an increasingly important role in supporting cooperation, promoting practical action and strengthening understanding of shared environmental priorities across the region.

These emerging needs provide the foundation for the Strategic Objectives and Communication Activities laid out in Sections 4 and 6, respectively, of this Strategy.

### 3. Stakeholder Analysis

Implementation of the Tehran Convention and its Protocols depends upon the engagement of a diverse range of stakeholders operating at regional, national and local levels. While the Convention remains an intergovernmental framework and governments continue to play a central role in decision-making and implementation, effective communication and awareness-raising increasingly require engagement beyond traditional institutional structures.

The stakeholder groups identified under this Strategy have been selected based on their ability to contribute to environmental governance, knowledge generation and dissemination, practical action, public awareness and implementation of Convention-related activities. Different stakeholder groups perform distinct but complementary roles in supporting regional cooperation and environmental protection efforts across the Caspian region.

Government institutions, including Environment Ministries and other relevant national authorities, remain the primary stakeholders under the Convention framework. As the principal decision-makers and implementers of national commitments, their continued engagement is essential for advancing implementation of the Convention and its protocols, including the Moscow Protocol on the Protection of the Caspian Sea against Pollution from Land-based Sources and Activities. National Convention Liaison Officers (NCLOs) serve as key national coordination and communication partners, facilitating information exchange between the Convention framework and national institutions. Depending on the status of designation, National Environment Information Officers (NEIOs), may also contribute to information dissemination and knowledge-sharing activities<sup>12</sup>.

Municipal authorities are becoming increasingly important stakeholders in addressing environmental challenges affecting the Caspian Sea. Coastal cities and urban centres (e.g. Baku, Aktau, Astrakhan, Turkmenbashi, Bender Anzali, etc.), play an important role in areas such as waste management, environmental awareness, local planning and community engagement. Strengthening communication and cooperation with municipalities can support practical implementation of environmental initiatives and promote local ownership of solutions.

Universities, Academies of Science, research institutions and scientific experts represent an important source of knowledge and evidence relevant to environmental decision-making. Their role is particularly important in supporting science-policy dialogue, improving understanding of emerging environmental challenges and contributing to the development of evidence-based recommendations. The planned science-policy dialogue activities, for instance, the network of scientists mentioned in COP6 Decision 16<sup>13</sup>, provide an opportunity to strengthen collaboration between scientific and policy communities and improve the communication of scientific knowledge to decision-makers and other stakeholders.

Civil society organizations, environmental NGOs and community-based initiatives can contribute to awareness-raising, public engagement and implementation of practical activities. Existing partnerships demonstrate the potential value of strategic collaboration in expanding outreach and supporting environmental initiatives. At the same time, engagement approaches should remain responsive to national contexts and stakeholder priorities across the region.

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<sup>12</sup> Draft TORs of NEIOs are included in this Strategy as Annex VI.

<sup>13</sup> Draft TORs of the network of scientists are included as Annex VII.

Media organizations, journalists and communication professionals represent important multipliers for communication and awareness-raising efforts. Their ability to translate technical information into accessible public narratives can contribute significantly to increasing awareness of environmental challenges affecting the Caspian Sea, communicating achievements under the Tehran Convention framework, and broadening the reach of key messages among wider audiences.

The private sector also represents a potential partner in promoting environmental awareness, innovation and practical solutions. Engagement with private sector actors, including relevant industries, waste management operators and other stakeholders, may support implementation of environmental initiatives and contribute additional expertise, resources, outreach opportunities and potential support for resource mobilization efforts.

Communities, youth and the public represent important audiences for communication and awareness-raising activities. While their direct involvement in Convention processes may be limited, greater awareness of environmental challenges affecting the Caspian Sea can contribute to informed public discourse, support practical action and strengthen recognition of the importance of regional environmental cooperation.

Finally, UNEP Divisions, Regional Offices, Regional Seas Programme and other MEA Secretariats also represent important institutional partners. Strengthening communication and cooperation within UNEP increases the visibility of the Tehran Convention in the organizational matrix, facilitates information exchange, supports broader UNEP priorities, and creates opportunities for collaboration and resource mobilization. Regular engagement within UNEP entities supports dissemination of Convention achievements and strengthens collaboration within the organization.

## 3.1. Stakeholder Matrix

Table 2

| Stakeholder Group                                                 | Baseline                                                                                                                                                                                                                     | Outcome                                                                                                                                                                                                         | Output                                                                                                                | Activity                                                                                                                                          | Indicators                                                                                                                                 | Priority |
|-------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------|----------|
| <b>Environment Ministries and Relevant Government Authorities</b> | Varying levels of engagement on environmental challenges affecting the Caspian Sea, including marine litter, pollution from land-based sources, climate change impacts and sea level decline; competing national priorities. | Strengthened interagency cooperation, policy dialogue and information exchange among Caspian states in support of implementation of the Tehran Convention, its Protocols and related environmental commitments. | Enhanced regional cooperation and national ownership of environmental protection and sustainable development efforts. | Regional consultations; technical meetings; policy dialogues; dissemination of project findings, scientific knowledge and policy recommendations. | Participation in regional activities; contributions to policy discussions; uptake of recommendations; evidence of interagency cooperation. | High     |
| <b>National Convention Liaison Officers (NCLOs)</b>               | Established focal points with strong institutional knowledge; varying levels of engagement and capacity.                                                                                                                     | Actively facilitate national coordination, stakeholder engagement and dissemination of Convention- and project-related information and results.                                                                 | Improved communication between regional and national levels and strengthened implementation support.                  | Regular coordination mechanisms; information packages; peer exchange; targeted briefings.                                                         | Number of dissemination activities supported; participation in project activities; information shared nationally.                          | High     |
| <b>Major Coastal Municipal Authorities</b>                        | Uneven waste management practices and varying levels of engagement on marine litter and                                                                                                                                      | Participate in project and Convention-related activities and apply lessons learned to local environmental management, waste                                                                                     | Increased adoption of practical approaches to support local environmental management, improve waste management,       | Workshops; peer learning exchanges; demonstration activities; sharing of good practices; awareness campaigns.                                     | Municipalities engaged; pilot activities implemented; lessons documented and shared.                                                       | High     |

| Stakeholder Group                                                            | Baseline                                                                                                                                                                                                    | Outcome                                                                                                                                                             | Output                                                                                                                                                                                                                                                          | Activity                                                                                                                   | Indicators                                                                                                                   | Priority |
|------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------|----------|
|                                                                              | broader environmental issues.                                                                                                                                                                               | management and pollution prevention efforts.                                                                                                                        | reduce marine litter and contribute to broader environmental objectives.                                                                                                                                                                                        |                                                                                                                            |                                                                                                                              |          |
| <b>Universities, National Academies of Science and Research Institutions</b> | Significant scientific expertise and environmental knowledge exist across the region, but opportunities for regional scientific cooperation, knowledge exchange and science-policy dialogue remain limited. | Strengthen scientific interaction, contribute evidence-based knowledge and support science-policy dialogue relevant to environmental governance of the Caspian Sea. | Improved scientific cooperation, stronger science-policy engagement and enhanced understanding of environmental challenges affecting the Caspian Sea, including marine litter, pollution from land-based sources, climate change impacts and sea level decline. | Scientific exchanges; technical workshops; participation in monitoring and research activities; science-policy engagement. | Institutions participating; studies and data contributions; technical outputs produced; science-policy activities conducted. | High     |
| <b>Secondary Schools and Educators</b>                                       | Environmental awareness activities implemented inconsistently across the region.                                                                                                                            | Increase awareness of environmental challenges affecting the Caspian Sea and encourage youth participation in environmental stewardship activities.                 | Increased environmental awareness and youth engagement in marine litter prevention and broader environmental protection efforts.                                                                                                                                | Educational materials; Caspian Sea Day activities; school-based initiatives; awareness campaigns.                          | Schools participating; students reached; educational activities conducted.                                                   | Medium   |
| <b>NGOs and Community Organizations</b>                                      | Role and influence vary considerably across countries;                                                                                                                                                      | Support awareness-raising, community mobilization, stakeholder                                                                                                      | Increased outreach capacity, community participation and visibility of                                                                                                                                                                                          | Partnerships with established organizations; local events; community                                                       | Number of partner organizations engaged; community activities                                                                | Medium   |

| Stakeholder Group                                                                                                                   | Baseline                                                                                                   | Outcome                                                                                                                                                            | Output                                                                                                                           | Activity                                                                                                                                         | Indicators                                                                                                                  | Priority |
|-------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------|----------|
|                                                                                                                                     | partnerships exist in some contexts.                                                                       | engagement and implementation of practical environmental initiatives.                                                                                              | environmental issues affecting the Caspian Sea.                                                                                  | initiatives; awareness activities.                                                                                                               | supported; outreach activities implemented.                                                                                 |          |
| <b>Industry and Private Sector (including waste management, recycling, tourism, maritime and relevant oil and gas stakeholders)</b> | Engagement on environmental issues is uneven and often project-specific.                                   | Participate in dialogue, partnerships and initiatives supporting environmental awareness, innovation, practical solutions and sustainable development.             | Increased private-sector contribution to environmental initiatives, innovation, awareness-raising and partnership opportunities. | Roundtables; knowledge-sharing events; engagement through existing industry partnerships and networks; exploration of partnership opportunities. | Businesses engaged; joint initiatives supported; participation in project activities; partnership opportunities identified. | Medium   |
| <b>Media, Journalists and Communication Professionals</b>                                                                           | Environmental reporting and coverage of Tehran Convention activities vary significantly across the region. | Increase visibility of Caspian environmental issues, Tehran Convention activities and project achievements.                                                        | Broader dissemination of key messages and improved public access to environmental information.                                   | Media briefings; press materials; storytelling initiatives; journalist engagement; multimedia content.                                           | Media coverage generated; journalists engaged; communication products disseminated; audience reach.                         | Medium   |
| <b>Coastal Communities</b>                                                                                                          | Awareness and participation levels vary across locations.                                                  | Participate in initiatives supporting protection of coastal and marine environments and increased awareness of environmental challenges affecting the Caspian Sea. | Increased community ownership of local environmental challenges and practical environmental action.                              | Adopt-a-Beach activities; clean-up campaigns; community events; awareness activities.                                                            | Participants engaged; community activities conducted; local initiatives supported.                                          | Medium   |
| <b>General Public and Beach Users</b>                                                                                               | Limited awareness of environmental challenges affecting                                                    | Greater awareness of environmental challenges, practical                                                                                                           | Increased public visibility of environmental                                                                                     | Media outreach; social media; website content; Caspian Sea Day                                                                                   | Reach of awareness activities; website and social media metrics;                                                            | Low      |

| Stakeholder Group                                            | Baseline                                                                                                                                                   | Outcome                                                                                                           | Output                                                                                                                                          | Activity                                                                                                                                                                                             | Indicators                                                                                                                                                                                  | Priority |
|--------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------|
|                                                              | the Caspian Sea and the role of individual actions in addressing them.                                                                                     | solutions and regional cooperation efforts under the Tehran Convention.                                           | challenges affecting the Caspian Sea, practical solutions, regional cooperation efforts and project results.                                    | campaigns; communication products.                                                                                                                                                                   | public participation figures.                                                                                                                                                               |          |
| <b>UNEP Divisions, Regional Offices and MEA Secretariats</b> | Awareness and engagement with Tehran Convention activities vary across UNEP entities; cooperation often depends on specific projects or personal networks. | Stronger institutional visibility and integration of the Tehran Convention within UNEP programmes and priorities. | Increased collaboration, knowledge exchange and participation in joint initiatives, communication activities and resource mobilisation efforts. | Internal briefings; knowledge-sharing; participation in UNEP coordination mechanisms; contributions to corporate communication products; engagement with Thematic Divisions, Regional Offices, MEAs. | Number of collaborative initiatives; participation in UNEP coordination processes; references to Tehran Convention activities in UNEP communications; partnership opportunities identified. | Medium   |

#### **4. Strategic Objectives**

The present Communication and Awareness Raising Strategy is designed to support implementation of the Tehran Convention, its relevant Protocols, as well as UNEP-led components of the project “Addressing Marine litter and Marine Plastics – A Systemic Approach in the Caspian Sea” through targeted communication, knowledge-sharing, stakeholder engagement and awareness-raising activities.

The Strategy recognizes that effective communication enables timely and efficient achievement of project outcomes, facilitating cooperation among Caspian littoral states, supporting the dissemination of knowledge and data, promoting practical solutions, and encouraging stakeholder participation at regional, national and local levels.

Communication and awareness-raising activities will ensure that project results, lessons learned, and good practices are effectively communicated to relevant stakeholders and translated into practical action wherever possible.

Recognizing the transboundary nature of marine litter and pollution from land-based sources, the Strategy will support regional cooperation under the Framework Convention for the Protection of the Marine Environment of the Caspian Sea (Tehran Convention) and its Protocols, while promoting stakeholder engagement and awareness-raising activities reflecting national realities.

Given the limited communication resources available under the project, priority will be placed on engaging stakeholders with the greatest potential to influence policy development, implementation of practical solutions, knowledge dissemination and public participation.

These Strategic Objectives are designed to support both the immediate communication needs of the marine litter project and the longer-term communication priorities of the Tehran Convention as a regional environmental governance framework.

##### **Strategic Objective 1: Support regional cooperation and implementation of the Tehran Convention and its Protocols through enhanced information exchange, knowledge sharing, stakeholder engagement and interagency cooperation.**

The Caspian Sea is a shared ecosystem facing common environmental challenges that require coordinated action and continuous cooperation among all littoral states. Effective communication and information exchange are essential to support implementation of the Tehran Convention and its Protocols, including the Protocol for the Protection of the Caspian Sea against Pollution from Land-based sources and Activities (Moscow Protocol), which provides the principal regional framework for addressing pollution originating from land-based sources, including marine litter.

Under this objective, communication and awareness-raising activities will facilitate the dissemination of knowledge generated under the Convention, as well as technical information, policy recommendations and lessons learned among governments, National Convention Liaison Officers (NCLOs), technical institutions and other relevant stakeholders. Particular emphasis will be placed on promoting regional dialogue and interagency exchange, sharing of experience and good practices related to implementation of the Moscow Protocol, the results of the present Project, and other relevant commitments under the Tehran Convention framework.

By strengthening information exchange and stakeholder engagement at the regional level, the Strategy will contribute to enhanced cooperation and support collective efforts to address marine litter and pollution from land-based sources throughout the Caspian region.

Particular attention will also be given to strengthening communication and coordination among relevant national and regional institutions, building greater interagency cooperation in addressing environmental challenges affecting the Caspian Sea.

**Strategic Objective 2: Strengthen knowledge, scientific interaction, capacity and participation among governmental, municipal, academic, educational, community and private-sector stakeholders, while increasing public awareness of environmental challenges affecting the Caspian Sea.**

Addressing complex environmental issues such as marine litter and pollution from land-based sources, sea level decline, and climate change, necessitates broad and active involvement of stakeholders whose decisions, expertise and actions influence the marine and coastal environment. Effective communication can play an important role in strengthening understanding of these environmental challenges, facilitating knowledge exchange, and encouraging good practices across sectors and stakeholder groups. Particular attention will be given to strengthening scientific interaction and exchange among researchers, universities, Academies of Science, technical institutions and policymakers across the Caspian region, recognizing their importance in generating knowledge, supporting monitoring, and informing evidence-based decision-making.

Under this objective, communication and awareness-raising activities will support the dissemination of scientific, technical and policy-relevant information, promote exchange of experience and good practices, and encourage participation in Tehran Convention-led initiatives.

Activities will strengthen links between scientific knowledge and policy processes, including through support to regional knowledge-sharing mechanisms and science-policy exchange. Dialogue with municipalities, educational institutions, community organizations and relevant private-sector actors will contribute to building capacity, fostering collaboration and encouraging practical actions that support the objectives of the Tehran Convention and the Moscow Protocol.

Activities under this objective will also seek to increase public understanding of environmental challenges affecting the Caspian Sea and encourage greater awareness among communities, educational institutions and other stakeholder groups.

**Strategic Objective 3: Promote and demonstrate practical solutions, innovative approaches and activities that contribute to the environmental protection and sustainable development of the Caspian Sea, while highlighting opportunities for cooperation, investment and positive environmental outcomes.**

While communication on environmental issues often focuses on risks and challenges, activities under this objective will also seek to highlight positive examples, practical solutions and successful initiatives that demonstrate the potential for meaningful action and positive environmental outcomes in the Caspian region.

Flagship communication events have the potential to translate knowledge and policy commitments accumulated in the framework of the Tehran Convention, its Protocols and project activities (e.g. in Components 1 and 2 of the present Project) into visible actions. This objective focuses on promoting practical solutions, highlighting successful approaches and encouraging broad participation in activities that support protection, preservation and sustainable management of the marine environment of the Caspian Sea, as well its role as a cultural and national identity heritage.

Particular emphasis will be placed on communicating lessons learned from project activities, demonstrating innovative approaches and facilitating experience exchange among stakeholders across the region that contribute to reducing marine litter and pollution from land-based sources.

Communication and awareness-raising activities under this objective may support a range of initiatives that demonstrate tangible action at regional, national and local levels. These may include:

- Community-based activities such as the Adopt-a-Beach initiative
- Events organized in connection with Caspian Sea Day
- Youth engagement activities
- Environmental and art exhibitions , food festivals
- Digital and innovative communication tools
- Partnerships that promote practical solutions to environmental challenges.

Opportunities to develop new regional engagement initiatives, including concepts such as a Caspian Regatta and other activities celebrating the shared environmental and cultural heritage of the Caspian Sea, may also be explored where appropriate.

Through these efforts, the Strategy will seek to strengthen participation, encourage sharing and upscaling of successful practices, and increase visibility of environmental action throughout the Caspian region.

**Strategic Objective 4: Strengthen the visibility, accessibility and communication capacity of the Tehran Convention and its partners, enhancing awareness of environmental challenges and solutions while supporting partnerships, stakeholder engagement and resource mobilization opportunities.**

Effective communication is essential to ensure that project results, scientific knowledge, practical solutions and stakeholder achievements reach relevant audiences and contribute to broader awareness, engagement and action.

Building on the knowledge generated through the project and the experiences of participating stakeholders, this objective will enhance the visibility of efforts undertaken to address marine litter and pollution from land-based sources.

It will also support communication of relevant activities and achievements under the broader Tehran Convention framework. Particular attention will be given to translating technical information and project outcomes into accessible, engaging and audience-appropriate communication products.

Improved visibility and accessibility of information can also contribute to stronger partnerships, greater stakeholder engagement and enhanced opportunities for resource mobilization in support of the Tehran Convention and related environmental initiatives.

Activities under this objective may include strengthening digital communication platforms, enhancing the visibility and accessibility of information through the Tehran Convention website and related channels, expanding the use of visual and multimedia content, and promoting storytelling approaches that highlight practical solutions, stakeholder experiences, project achievements and broader regional cooperation efforts.

The Strategy will also encourage collaboration with communication professionals, journalists, educational institutions, partner organizations and other relevant actors to broaden the reach of key messages and support the development of a stronger regional communication network.

Through these efforts, the Strategy aims to promote public understanding of environmental challenges facing the Caspian Sea, strengthen long-term institutional capacity and visibility, increase recognition of regional environmental cooperation, and support engagement in the protection of the marine environment. This will contribute to further consolidation of the Tehran Convention as the principal regional platform for environmental cooperation in the Caspian Sea.



## **5. Key Messages**

The communication and awareness-raising activities undertaken under this Strategy will be guided by a set of overarching messages designed to support implementation of the Tehran Convention and its Protocols, promote understanding of environmental challenges affecting the Caspian Sea, and encourage greater cooperation and engagement among stakeholders. These messages may be adapted and tailored for different audiences, communication products and activities.

### **1. The Caspian Sea is a shared responsibility**

The Caspian Sea is a unique and shared ecosystem whose protection depends on cooperation among all five littoral states and the active engagement of governments, scientific institutions, municipalities, communities, the private sector and individuals. Protecting the Caspian Sea is a collective responsibility that requires coordinated action at regional, national and local levels.

### **2. Knowledge informs action**

Addressing environmental challenges affecting the Caspian Sea requires strong scientific cooperation, effective knowledge exchange and evidence-based decision-making. Scientific research, monitoring and science-policy dialogue provide the foundation for practical solutions and effective environmental governance.

### **3. Practical action drives positive change**

Governments, institutions, businesses, communities and individuals all have a role to play in protecting the Caspian Sea and supporting sustainable development. Practical actions, innovation, responsible behaviour and local initiatives can contribute to reducing environmental pressures and improving the long-term health of the marine and coastal environment.

### **4. The Caspian Sea is a story of cooperation, opportunity and hope**

While the Caspian Sea faces significant environmental challenges, it is also a source of shared opportunity. Regional cooperation, scientific knowledge, innovation and practical action can contribute to positive environmental outcomes, sustainable economic development and stronger resilience across the region. The future of the Caspian Sea is not predetermined; through collective effort and investment, positive change is possible.

## **Public-Facing Messages**

The following messages may be used and adapted in awareness-raising campaigns, outreach activities and communication products:

- “The Caspian does not have to be a tale of despair. It can also be a story of hope.”
- “The Caspian is yours to take care of.”
- “Invest in the Caspian, and it will reward you.”

## **6. Communication Activities and Channels**

The Strategic Objectives outlined in Section 4 of this Strategy will be implemented through a combination of approaches, activities and channels designed to support regional cooperation, knowledge sharing, stakeholder engagement, practical action and visibility under the Tehran Convention framework.

Building on already existing communication mechanisms and long-term practices established within the Convention, the current Strategy aims to strengthen the effectiveness and reach of communication efforts, while at the same time responding to evolving Member States' priorities and emerging environmental challenges in the Caspian region.

Against the background of limited communication resources, the Strategy will prioritise activities and partnerships that provide the greatest potential for impact, support the dissemination of project results and good practices, and contribute to the long-term visibility of information related to the Tehran Convention and its Protocols.

The Activities described below are intended to complement one another, creating an effective engagement framework at regional, national and local levels.

### **6.1 Digital Tools and Platforms**

Digital communication is the primary resource to improve the visibility and broad dissemination of information related to the Tehran Convention, its Protocols, and project activities under its framework.

Particular attention will be given to communicating knowledge, data, and lessons learned on marine litter and pollution from Land-based sources generated through implementation of the present project and activities supporting the Moscow Protocol.

The Tehran Convention website will remain the principal digital communication platform for the Convention, serving as the primary repository for information, knowledge products, project results, publications, news and stakeholder resources. Efforts will continue to strengthen the functionality, accessibility, and format of the website in order to improve user experience and facilitate access to relevant information for a broad range of stakeholders. The website will also serve as the primary platform for communicating scientific outputs, policy recommendations, project achievements and opportunities for stakeholder engagement under the Convention framework.

Furthermore, the website should progressively evolve as a regional knowledge and visibility hub, providing access to Convention and Protocol information, project results, publications, news, events, communication materials and other resources relevant to stakeholders across the Caspian region.

On this basis, to complement existing communication mechanisms, the Secretariat will explore opportunities to further expand its digital outreach. Subject to availability of resources, this might include visual content, short videos, digital storytelling and other formats to communicate complex environmental issues and project achievements in a more accessible and engaging manner.

### **6.2 Science-Policy Dialogue**

Effective and comprehensive environmental governance is directly linked to access to reliable scientific knowledge and the ability to translate that knowledge into practical policy and management responses. Building upon the activities undertaken under Component 1 of the Project and broader efforts under the Tehran Convention framework, communication activities will support the dissemination of scientific

information, technical findings, assessments and good practices relevant to the protection of the Caspian marine environment.

Particular attention will be given to strengthening the science-policy mechanism for dialogue among decision-makers and the scientific community. It is expected to facilitate communication of scientific findings, support the development of science-grounded policy recommendations, and contribute to a clearer and more integrated understanding of environmental challenges affecting the Caspian Sea: including sea level decline and fluctuation, climate change impacts, ecosystem degradation, marine litter and pollution from land-based sources.

The Strategy will encourage cooperation and information exchange among universities, research institutions, national Academies of Science, and other knowledge partners across the region.

Communication activities may include dissemination of technical reports, policy briefs, scientific assessments, conference outcomes, and other products.

### **6.3 Government Engagement and Regional Dialogue**

Continuous regional dialogue is central to the implementation of the Tehran Convention and its Protocols. Communication activities will seek to strengthen information exchange, cooperation and engagement among governments, NCLOs, municipalities and other stakeholders involved in environmental governance and protection of the Caspian Sea.

Coordination among Environment Ministries, relevant government bodies and NCLOs, considering their important role in facilitating implementation of Convention commitments and dissemination of information at the national level, will be particularly important. In this regard, existing mechanisms under the Tehran Convention, including meetings of the Conference of the Parties, technical sessions of specialized Protocols, and other Convention processes, will continue to serve as important platforms for information exchange, stakeholder engagement and communication.

Particular attention will be given to strengthening communication and cooperation among government institutions whose mandates influence the environmental condition of the Caspian Sea, including authorities responsible for environment, water resources, fisheries, transport, climate change, waste management and coastal development. Improved interagency dialogue can support more coordinated implementation of national and regional environmental priorities.

Engagement with coastal municipalities and local authorities will also be encouraged, recognizing their principal role in addressing environmental challenges such as marine litter, pollution from land-based sources, and waste management. Major Caspian urban centres will be given particular focus.

### **6.4 Public Awareness Activities**

Public awareness activities play an important role in promoting understanding of environmental challenges affecting the Caspian Sea and encouraging broader participation in environmental protection efforts. Communication activities under the Strategy will increase awareness of issues such as marine litter, pollution from Land-based sources, ecosystem degradation and other emerging environmental challenges, while promoting practical actions that contribute to protection of the marine environment.

Caspian Sea Day will remain the flagship initiative of the Tehran Convention and an important platform to communicate project achievements and environmental priorities under the Convention. The annual celebration provides opportunities to engage stakeholders through coordinated awareness-raising

activities across the region. With the 20<sup>th</sup> anniversary of the Convention's entry into force coming up, it will be an opportunity to demonstrate achievements, lessons learned and future priorities.

The Strategy will support initiatives that encourage practical engagement in environmental stewardship. These may include activities such as the Adopt-a-Beach initiative, beach clean-up campaigns, local awareness events and other activities.

Educational and outreach activities targeting universities, youth groups and other interested audiences will also be encouraged, recognizing their important role in fostering long-term awareness and engagement. Such activities may draw upon scientific knowledge, good practices and lessons learned generated through project implementation and broader Tehran Convention processes.

The Strategy will further encourage the exploration of cultural, sporting and educational initiatives that promote awareness of the Caspian Sea and strengthen a shared sense of Caspian identity. Subject to availability of resources, this may include exhibitions, public events, regional campaigns and other flagship initiatives capable of bringing greater visibility to environmental cooperation efforts and the objectives of the Tehran Convention.

### **6.5 Storytelling and Visibility**

Because good communication practice is not only the dissemination of information, but also the ability to communicate both challenges and solutions in an accessible manner, the Strategy will support efforts to strengthen the visibility of the Tehran Convention, its Protocols and related activities through clear and consistent communication of project achievements, lessons learned and emerging priorities.

Communicating the challenges facing the Caspian Sea, including sea level decline and fluctuation, pollution from land-based sources, marine litter and broader ecosystem pressures, will be important. At the same time, communication efforts should highlight examples of regional cooperation, policy development, scientific collaboration and practical actions undertaken to address these challenges.

Consistent with the Key Messages of this Strategy, communication efforts will seek to balance communication of environmental risks with communication of solutions, achievements and opportunities. This will reinforce the message that the future of the Caspian Sea remains a story of cooperation, opportunity and hope.

The Strategy will encourage the documentation and dissemination of good practices, case studies, project results, lessons learned, and success stories generated through implementation of projects and other Convention-related activities. Such materials may be communicated through publications, website content, multimedia products, visual materials, interviews and other communication formats, subject to available resources and capacities.

As the Convention marks two decades since its entry into force, communication efforts should also contribute to documenting and communicating the history, achievements and continued relevance of regional environmental cooperation in the Caspian Sea. By strengthening the visibility of environmental challenges, practical solutions and cooperative achievements, the Strategy seeks to enhance understanding of the value of regional cooperation and support continued engagement in implementation of the Convention and its Protocols.

### **6.6 Strategic Partnerships**

Cooperation with a broad range of partners at regional, national and local levels is a prerequisite for effective communication. Conscious of limited resources available, the Strategy will seek to strengthen

and expand partnerships that can support knowledge-sharing and public awareness related to the Tehran Convention, its Protocols, and project activities under its framework.

Partnerships with universities, national Academies of Science, research institutions, and other knowledge organizations will play an important role in supporting communication and strengthening science-policy dialogue in the Caspian region.

The Strategy will also encourage cooperation with municipalities, civil society organizations, environmental NGOs (including existing partners), community groups and educational institutions in support of awareness-raising activities, public engagement initiatives and practical actions related to marine litter, pollution from land-based sources and broader environmental challenges affecting the Caspian Sea.

Where appropriate, partnerships with the private sector may be explored, particularly actors with proven interest and expertise in environmental management, marine protection, waste management, technological innovation and related fields. Strategic partnerships may also contribute to resource mobilization through increased visibility of the Convention, joint initiatives, and strengthened engagement with potential funding partners.

The Strategy will further seek to strengthen cooperation with communication professionals, journalists, media organizations and other outreach partners to increase the visibility of Convention activities and achievements. Opportunities to engage digital and technological partners may also be explored, where appropriate.

Cooperation with international and regional organizations, including existing partners such as the International Maritime Organization (IMO), OSPRI and other relevant institutions, will continue to support knowledge exchange, outreach and communication efforts across the region.

The Strategy will also seek to strengthen communication and collaboration within UNEP itself, including with relevant Thematic Divisions, Regional Offices and corporate communication functions, in order to enhance visibility of the Tehran Convention, promote knowledge exchange and identify opportunities for cooperation, joint initiatives and resource mobilization.

Through these partnerships, the Strategy seeks to extend the reach, effectiveness and sustainability of communication and awareness-raising activities while supporting implementation of the Tehran Convention and its Protocols.

## **7. Monitoring and Evaluation Framework**

Implementation of this Strategy will be monitored through quantitative and qualitative indicators to assess progress towards the Strategic Objectives, support sustainable management, and identify opportunities for strengthening communication and awareness-raising efforts under the Tehran Convention framework.

Given the evolving nature of communication processes, the indicators presented below may be further refined during implementation. Monitoring will draw upon existing reporting mechanisms under the Tehran Convention, project documentation, digital analytics, stakeholder feedback, event reports and other relevant sources of information.

Monitoring results should be reviewed periodically and used to inform planning, improve communication approaches, strengthen stakeholder engagement and identify emerging opportunities. The Monitoring Framework should be applied in a practical and proportionate manner, taking into account available resources and capacities within the Tehran Convention Secretariat and partner institutions.

**7.1 Monitoring and Evaluation Framework Table**

Table 3

| Strategic Objective                                                                                                                                                                                                                                                                       | Expected Outcome                                                                                                                                                                         | Indicators                                                                                                                                                                                                                                                                                                                                                                                        | Means of Verification                                                                                                                      |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------|
| Strategic Objective 1: Support regional cooperation and implementation of the Tehran Convention and its Protocols through enhanced information exchange, knowledge sharing, stakeholder engagement and interagency cooperation.                                                           | Strengthened cooperation, information exchange and coordination among institutions and stakeholders involved in implementation of the Tehran Convention and its Protocols.               | <p>Number of regional and national knowledge-sharing and communication activities conducted.</p> <p>Participation of relevant ministries, NCLOs, technical institutions and partner organizations.</p> <p>Evidence of strengthened interagency cooperation and exchange of information.</p> <p>Dissemination and uptake of policy recommendations, technical guidance and knowledge products.</p> | Meeting reports; event documentation; stakeholder feedback; publications; project reports; Secretariat records.                            |
| Strategic Objective 2: Strengthen knowledge, scientific interaction, capacity and participation among governmental, municipal, academic, educational, community and private-sector stakeholders, while increasing public awareness of environmental challenges affecting the Caspian Sea. | Increased scientific interaction, stronger science-policy dialogue, enhanced stakeholder engagement and improved public awareness of environmental challenges affecting the Caspian Sea. | <p>Number of science-policy dialogue activities, knowledge-sharing events and technical exchanges conducted.</p> <p>Participation of municipalities, educational institutions, scientific institutions and community organizations in awareness-raising and knowledge-sharing activities.</p>                                                                                                     | Event reports; participant lists; science-policy outputs; stakeholder surveys and feedback; communication products; project documentation. |

| Strategic Objective                                                                                                                                                                                                                                                                                        | Expected Outcome                                                                                                                                                                                               | Indicators                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Means of Verification                                                                                                                        |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                                                                | <p>Evidence of increased dissemination and use of scientific and technical information.</p> <p>Increased awareness of key environmental issues among target stakeholder groups.</p>                                                                                                                                                                                                                                                                                                           |                                                                                                                                              |
| Strategic Objective 3: Promote and demonstrate practical solutions, innovative approaches and activities that contribute to the environmental protection and sustainable development of the Caspian Sea, while highlighting opportunities for cooperation, investment and positive environmental outcomes. | Increased visibility, replication and support for practical solutions, environmental action and innovative approaches contributing to protection of the Caspian Sea and sustainable development of the region. | <p>Participation in Caspian Sea Day, Adopt-a-Beach and related awareness-raising initiatives.</p> <p>Number of innovative communication and engagement approaches piloted or promoted.</p> <p>Number of good practices, case studies, success stories or practical solutions documented and communicated through Tehran Convention communication channels.</p> <p>Evidence of stakeholder engagement in activities promoting environmental stewardship and positive environmental action.</p> | Campaign reports; event documentation; media coverage; stakeholder feedback; partner reports; communication products; project documentation. |

| Strategic Objective                                                                                                                                                                                                                                                                                       | Expected Outcome                                                                                                                                                                                                                    | Indicators                                                                                                                                                                                                                                                                                                                                                                                  | Means of Verification                                                                                                                    |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Strategic Objective 4: Strengthen the visibility, accessibility and communication capacity of the Tehran Convention and its partners, enhancing awareness of environmental challenges and solutions while supporting partnerships, stakeholder engagement and resource mobilization opportunities.</p> | <p>Increased visibility, recognition and accessibility of information related to the Tehran Convention and its achievements, contributing to stronger partnerships, stakeholder engagement and resource mobilization potential.</p> | <p>Growth in website usage and engagement with digital communication platforms.</p> <p>Media coverage and visibility of Tehran Convention activities, achievements and key messages.</p> <p>Number of communication and outreach partnerships established.</p> <p>Evidence of increased stakeholder engagement, partnership opportunities and interest from potential funding partners.</p> | <p>Website analytics; communication records; media monitoring; partnership documentation; stakeholder feedback; Secretariat reports.</p> |

## Annexes

### Annex I – Indicative Implementation Arrangements

Implementation of this Strategy will be coordinated by the Tehran Convention Secretariat, working in close cooperation with NCLOs, government institutions, project partners and other stakeholders. Communication and awareness-raising activities will be implemented using existing institutional mechanisms wherever possible, while progressively strengthening communication capacities and partnerships developed under the present Project.

The Secretariat will provide overall strategic direction, coordination and quality assurance for implementation of the Strategy. This will include oversight of communication planning, development of key communication products, management of digital communication platforms, coordination of regional awareness-raising activities, and engagement with partners and stakeholders.

NCLOs will support dissemination of information at national level, facilitate engagement with relevant institutions and stakeholders, and contribute to communication and awareness-raising activities where appropriate. They will also serve as important channels for identifying national communication opportunities, stakeholder engagement priorities and emerging communication needs.

Government institutions, municipalities, universities, Academies of Science, NGOs, community organizations and private-sector partners will contribute to implementation through participation in communication activities, provision of technical expertise, support to awareness-raising initiatives and promotion of project and Convention-related activities within their respective constituencies.

Where necessary, specialised support may be provided through consultants, communication professionals, interns, volunteers or partner organizations to support specific communication products, campaigns, digital platforms, events and outreach activities.

Implementation will be undertaken in a phased and resource-conscious manner, building upon existing mechanisms and strengthening established practices. Priority will be given to activities that support implementation of the Tehran Convention and its Protocols, including the Moscow Protocol, while also contributing to broader communication, visibility and stakeholder engagement objectives under the Convention framework.

### Indicative Roles and Responsibilities

**Table 4**

| Function                                          | Lead Responsibility           | Supporting Actors                                 |
|---------------------------------------------------|-------------------------------|---------------------------------------------------|
| Strategic oversight and coordination              | Tehran Convention Secretariat | Project partners, NCLOs                           |
| Communication planning and implementation         | Tehran Convention Secretariat | Consultants, interns, communication professionals |
| National dissemination and stakeholder engagement | NCLOs                         | Government institutions, partner organizations    |

| <b>Function</b>                                    | <b>Lead Responsibility</b>              | <b>Supporting Actors</b>                                  |
|----------------------------------------------------|-----------------------------------------|-----------------------------------------------------------|
| Science-policy communication and knowledge-sharing | TC Secretariat                          | Universities, Academies of Science, research institutions |
| Website and digital communications                 | TC Secretariat                          | Consultants, technical service providers                  |
| Awareness-raising campaigns and flagship events    | TC Secretariat                          | NCLOs, municipalities, NGOs, partner organizations        |
| Community outreach and local initiatives           | Municipalities, NGOs and local partners | Secretariat, NCLOs                                        |
| Media relations and storytelling activities        | TC Secretariat                          | Media partners, communication professionals               |
| Monitoring and reporting                           | TC Secretariat                          | Project partners and participating stakeholders           |

## Annex II – Indicative Resource Requirements

Implementation of this Strategy will be undertaken primarily through existing Tehran Convention and project resources, supplemented where appropriate by partnerships, in-kind contributions, consultant support and future resource mobilization efforts.

Resource requirements will vary depending on the scope and scale of activities undertaken. The categories below provide an indicative overview of areas where financial, technical or human resources may be required during implementation.

The indicative resource requirements presented below are intended to provide approximate estimates of the relative level of effort and resources that may be required during implementation.

**Table 5**

| Category                                        | Description                                                                                                                  | Indicative Resource Requirement |
|-------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------|---------------------------------|
| Website Enhancement and Digital Platforms       | Website improvements, technical maintenance, user experience enhancements, content management and digital tools.             | Medium                          |
| Communication Products and Publications         | Reports, policy briefs, fact sheets, newsletters, educational materials and promotional products.                            | Medium                          |
| Multimedia and Visual Content                   | Videos, infographics, photography, storytelling products and digital content.                                                | Medium                          |
| Science-Policy Communication Activities         | Communication support for the science-policy work, dissemination of scientific findings and knowledge products.              | Medium                          |
| Awareness-Raising Campaigns and Flagship Events | Caspian Sea Day, Adopt-a-Beach activities, exhibitions, outreach campaigns and public engagement initiatives.                | Medium–High                     |
| Media and Outreach Activities                   | Media engagement, journalist briefings, communication partnerships and outreach initiatives.                                 | Medium                          |
| Capacity-Building and Stakeholder Engagement    | Workshops, consultations, training activities and stakeholder exchanges.                                                     | Medium                          |
| Consultant and Technical Support                | Specialized communication, design, digital and technical expertise where required.                                           | Medium                          |
| Interns, Volunteers and Outreach Support        | Support for content development, social media management, event assistance and awareness-raising activities.                 | Low–Medium                      |
| Innovative and Pilot Initiatives                | Exploration of new communication approaches, digital tools and flagship engagement concepts, subject to available resources. | Variable                        |

The Strategy will seek, where appropriate, to leverage existing resources, establish strategic partnerships and identify opportunities for additional support that may contribute to implementation of communication and awareness-raising activities under the Tehran Convention framework.

**Annex III – Activity Calendar****Table 6**

| <b>Activity</b>                            | <b>Frequency</b>  | <b>Lead</b>        | <b>Support</b>                           |
|--------------------------------------------|-------------------|--------------------|------------------------------------------|
| Caspian Sea Day                            | Annual            | Secretariat        | NCLOs, municipalities, NGOs              |
| Website updates                            | Ongoing           | Secretariat        | Consultant, technical providers          |
| Science-Policy communications              | Ongoing           | Secretariat        | Universities, Academies of Science       |
| Adopt-a-Beach                              | Annual / periodic | Municipal partners | NGOs, communities                        |
| Media engagement                           | Ongoing           | Secretariat        | Journalists, communication professionals |
| Social media and digital content           | Ongoing           | Secretariat        | Interns, consultants                     |
| Regional knowledge-sharing events          | Periodic          | Secretariat        | NCLOs, academic institutions             |
| Stakeholder consultations and coordination | Periodic          | Secretariat        | NCLOs, partner institutions              |

**Annex IV – TC Public Participation Strategy**

**[placeholder]**

**Annex V – Report of the Civil Society**

**[placeholder]**

**Annex VI – TORs of National Environmental Information Officers**

**[placeholder]**

## Annex VI – TORs of Network of Scientists

### Draft Terms of Reference and arrangements for the Scientific Network of the Caspian Sea Region

For the purposes of the present **Terms of Reference** (ToRs), the term “Scientific Network of the Caspian Sea Region” **refers to** a network of interested researchers and experts collaborating on various scientific aspects of the Caspian environment impacted by climate change, **with a specific focus on developing information and educational activities related to the climate change challenges of the Caspian Sea region, including sea level fluctuations.**

#### Objectives of the Scientific Network:

- To promote the exchange of information and results of scientific research among scientists **within and beyond** the Caspian Sea region.
- To provide advisory opinions and **foster** dialogue between science, policy, and practice through the mechanisms of the Tehran Convention, CASPCOM, **and other relevant platforms.**
- To contribute to the development and implementation of regional projects in the fields of biodiversity, hydrology, and climatology of the Caspian Sea.
- To promote and contribute to the region-wide studies of Caspian Sea water level fluctuations and their impacts.
- To develop and implement a research agenda for the Caspian region, **aligning with international frameworks and conventions like UNFCCC, CBD, and others.**
- **To systematize information on UNEP activities and other relevant initiatives for dissemination to the public and stakeholders.**
- **To raise awareness of the environmental challenges facing the Caspian Sea marine environment within and beyond the scientific community.**
- **To further develop cooperation with Caspian Sea initiatives and strengthen regional capacity for hydrometeorological and climate-related research.**

#### Structure and Membership:

The Scientific Network of the Caspian Sea Region consists of an Organizing Committee and an unrestricted number of members. Membership is free, voluntary, and open **to representatives of the scientific community. Members may be invited to participate in events related to the Tehran Convention and its protocols.**

#### Organizing Committee:

The Organizing Committee is the managing body of the Scientific Network. It consists of five members (one **representative** from each Caspian littoral state) and is presided over by a non-executive Chair. Decisions of the Committee will be made by consensus, with **provisions** to record dissenting opinions.

#### Functions of the Organizing Committee:

- Organize itself and nominate a Chair.

- Promote the Scientific Network among interested parties; members will maximize public knowledge and interest in the Network within their respective countries.
- Encourage, coordinate, and oversee the participation of the Caspian states, international organizations, and other stakeholders.
- Plan and undertake necessary activities at both regional and national levels.
- Convene a task force of experts to prepare proposals on relevant issues for the Tehran Convention and its protocols.
- Develop and share information and educational materials related to climate change and its impacts on the Caspian Sea.
- Systematize and share relevant information on UNEP and other global programmes and conventions.

#### Responsibilities of the Chair:

In consultation with the Tehran Convention Secretariat (TCS) and CASPCOM, the Chair will:

- Convene meetings of the Organizing Committee and inform participants of agreed meeting dates.
- Dispatch draft agendas and supporting documents no later than one week before meetings.
- Preside over meetings and moderate discussions.
- Facilitate resolutions to disagreements and divisions among members.
- Issue meeting reports and inform the broader Scientific Network about outcomes.