



GLOBAL ENVIRONMENT FACILITY
INVESTING IN OUR PLANET

Naoko Ishii
CEO and Chairperson

October 18, 2018

Dear Council Member:

UNDP as the Implementing Agency for the project entitled: ***Dominican Republic: Mainstreaming Conservation of Biodiversity and Ecosystem Services in Productive Landscapes in Threatened Forested Mountainous Areas***, has submitted the attached proposed project document for CEO endorsement prior to final approval of the project document in accordance with UNDP procedures.

The Secretariat has reviewed the project document. It is consistent with the proposal approved by Council in June 2016 and the proposed project remains consistent with the Instrument and GEF policies and procedures. The attached explanation prepared by UNDP satisfactorily details how Council's comments and those of the STAP have been addressed. I am, therefore, endorsing the project document.

We have today posted the proposed project document on the GEF website at www.TheGEF.org. If you do not have access to the Web, you may request the local field office of UNDP or the World Bank to download the document for you. Alternatively, you may request a copy of the document from the Secretariat. If you make such a request, please confirm for us your current mailing address.

Sincerely,

Naoko Ishii
Chief Executive Officer and Chairperson

Attachment: GEFSEC Project Review Document
Copy to: Country Operational Focal Point, GEF Agencies, STAP, Trustee



GEF-6 REQUEST FOR PROJECT ENDORSEMENT/APPROVAL

PROJECT TYPE: Full-sized Project

TYPE OF TRUST FUND: GEF Trust Fund

For more information about GEF, visit TheGEF.org

PART I: PROJECT INFORMATION

Project Title: Mainstreaming Conservation of Biodiversity and Ecosystem Services in Productive Landscapes in Threatened Forested Mountainous Areas			
Country(ies):	Dominican Republic	GEF Project ID: ¹	9424
GEF Agency(ies):	UNDP	GEF Agency Project ID:	5761
Other Executing Partner(s):	Ministry of Environment and Natural Resources FAO	Submission Date:	5/30/2018
GEF Focal Area (s):	Multi-focal Areas: Biodiversity, Land Degradation, SFM	Project Duration (Months)	72
Integrated Approach Pilot	IAP-Cities <input type="checkbox"/> IAP-Commodities <input type="checkbox"/> IAP-Food Security <input type="checkbox"/>		Corporate Program: SGP <input type="checkbox"/>
Name of Parent Program	[if applicable]	Agency Fee (\$)	776,735

A. FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES²

Focal Area Objectives/Programs	Focal Area Outcomes	Trust Fund	(in \$)	
			GEF Project Financing	Co-financing
BD-4 Program 9	Outcome 9.1 Increased area of production landscapes and seascapes that integrate conservation and sustainable use of biodiversity into management. Outcome 9.2 Sector policies and regulatory frameworks incorporate biodiversity considerations.	GEFTF	4,720,183	31,182,125
LD-3 Program 4	Outcome 3.2: Integrated landscape management practices adopted by local communities based on gender sensitive needs.	GEFTF	705,594	4,660,140
SFM-3	Outcome 5: Integrated landscape restoration plans to maintain forest ecosystem services are implemented at appropriate scales by government, private sector and local community actors, both women and men.	GEFTF	2,750,388	18,165,112
Total project costs			8,176,165	54,007,377

B. PROJECT DESCRIPTION SUMMARY

Project Objective: Mainstream the conservation of biodiversity and ecosystem services in public policies and practices to effectively buffer current and future threats across productive mountain landscapes

Project Components/Programs	Financing Type ³	Project Outcomes	Project Outputs	Trust Fund	(in \$)	
					GEF Project Financing	Confirmed Co-financing
Component 1: Systemic landscape management framework	TA	1.1 Effective cross sectoral governance of 3 threatened mountain landscapes (dry forest 19,902 ha, broadleaf forest 6,909.39 ha, pine forest	1.1.1 Decision making tools for planning and enforcement safeguard ecologically sensitive areas, including: - Strategic Environmental Assessment of infrastructure or	GEFTF	1,606,115	9,600,000

¹ Project ID number remains the same as the assigned PIF number.

² When completing Table A, refer to the excerpts on [GEF 6 Results Frameworks for GETF, LDCF and SCCF](#) and [CBIT programming directions](#).

³ Financing type can be either investment or technical assistance.

		<p>1,431.77 ha) protects biodiversity patterns and process, resulting in:</p> <ul style="list-style-type: none"> - Environmental agendas and Municipal Development Plans covering 58,000 ha of productive landscape maintain/ increase areas of priority ecosystems. - Municipal Land Use Plans for buffer zones along Protected Areas. - Watershed resilience to Climate Change increases through special categories of land use and criteria for CC, BD, SFM and LD. - Ecosystem connectivity increases between priority ecosystems 	<p>productive development programs.</p> <ul style="list-style-type: none"> - Monitoring of endemic and native species in priority zones of Madre de las Aguas. - Landscape-level land use considers vulnerability to CC impacts, land and forest degradation in target areas. - Proscriptions of land uses in sensitive areas and special categories of land use in target areas (e.g. Madre de las Aguas MAB). - Guidelines for community-based environmental plans based on participatory analyses of resource management options and zoning. 			
		<p><u>1.2 Strengthened landscape management</u> across institutions sustains conservation outcomes, resulting from:</p> <ul style="list-style-type: none"> - Inventory and planning instruments incorporate practices that guarantee ecosystem connectivity and integrity - Increased inter-institutional coordination in the application and monitoring of standards - Compliance indicator: Decrease in infractions derived from illicit activities - At least 10% increase in Capacity Development Scorecard ratings in target institutions - Financial sustainability options for ecosystem management in productive landscapes are tested in Sierra de Neyba and Ozama. 	<p><u>1.2.1 Institutional capacities for ensuring compliance</u> with the provisions of environmental regulations and land use plans, including:</p> <ul style="list-style-type: none"> - Maps and database updated and integrated in an inter-institutional Geographic Information System to include biological importance, fragility and productive potential of the target areas. - Remote sensing and Geographical Information Systems to detect unauthorized changes of land use, water capture/quality, erosion and sedimentation, hot spots, bathymetries, weather stations and monitoring plots. - Strengthening of early warning system of fires and planning of fire management and control, including characterization of land units according to fire risk - Platforms for collaboration in monitoring and enforcement. - Increased technical capacity to promote sustainable production compatible with BD conservation and CC resilience; apply regulations and uphold the legal framework; coordinate effectively. <p><u>1.2.2 Financial sustainability/ Financing framework for</u></p>			

			<p>landscape management –</p> <ul style="list-style-type: none"> - Mainstreaming environmental sustainability criteria in coffee/cocoa credit policy, increase in availability of credits through national and local financial institutions - Establishment of sectorial credit mechanisms for sustainable management of production landscapes - Establishment of an Integral Compensation for Watershed Services scheme 			
		<p>1.3 Effective local participation in planning:</p> <ul style="list-style-type: none"> - Local capacity to plan and implement conservation corridors that connect BD-friendly productive ecosystems with priority forests, watersheds and PAs. - Local capacity to generate, use to monitor and share geographic, socio-economic, and biophysical information for spatial planning and management. 	<p>1.3.1 Local participation mechanisms for effective participation in land use planning.</p>			
<p>Component 2:</p> <p>Conservation compatible production systems in threatened mountain ecosystems and conservation corridors</p>	TA	<p>2.1 Improved flows of global environmental benefits in key production zones:</p> <ul style="list-style-type: none"> - Biodiversity: Reduction in threats / Improvement in habitat quality and connectivity in unprotected priority landscapes, including environmental goods and services through coverage: <ul style="list-style-type: none"> o # hectares dedicated to sustainable production; o # hectares of productive and/or conservation forests o Ecological restoration in priority connectivity zones (degraded zones, corridors, sustainable farming, 	<p>2.1.1 Capacities for the development, transfer and application of sustainable management of production systems, enabling farmers to implement resource management practices that generate BD, SFM and LD benefits, including:</p> <ul style="list-style-type: none"> - Integrated training modules for extension agents, aimed at encouraging sustainable land management - Integrated training and extension modules for producers, focusing on BD- and LD-friendly production practices - 3 Pilot/Demonstration Units under integrated management promoting biological connectivity in key areas for the demonstration and replication of BD-friendly productive options. - Integrated fire management applied to the target areas including: <ul style="list-style-type: none"> o Prescribed burning, supported by technical 	GEFTF	3,324,850	19,160,000

		forests) <ul style="list-style-type: none"> - SFM: Reduction in frequency and intensity/ area of wildfires in target areas as measured by decrease in: <ul style="list-style-type: none"> o # fires in pilot areas o # hectares affected by fires in pilot areas. o # of tons of CO₂e mitigated (annual target 81,858 tCO₂-eq) through avoided deforestation - Land Degradation: Reduced soil erosion rates in areas under improved management 	training and equipment <ul style="list-style-type: none"> o Fire readiness across land holdings, farm-level plans and technical support <p>2.1.2 Ecological restoration initiatives implemented in areas affected by fires and other degrading activities that are key to the targeted production programs and resilience to CC.</p> <ul style="list-style-type: none"> - Watershed protection zones, - Buffer zones of Protected Areas - Connectivity zones for priority forests - Promotion of Private Protected Areas strengthens connectivity. 			
Component 3: Sustainable livelihoods mainstream BD-friendly practices	TA	3.1 BD-friendly production systems and livelihoods mainstreamed in agriculture, forestry and tourism sectors , as indicated by: <ul style="list-style-type: none"> - Application of agroforestry, sustainable forest management and sustainable tourism systems resulting in reduced soil erosion rates and increased biological connectivity across 3,000 ha - # Micro-enterprises adopting BD-friendly production systems 	3.1.1 Promotion of sustainable livelihoods in communities associated with pilot areas, <ul style="list-style-type: none"> - Establishment of a financially sustainable extension package for SLM and BD-friendly production techniques. - Design and implementation of business plans - Business development support / supply chain initiatives: for small producers. - Credit Access Package established for the promotion of sustainable livelihoods: - 3 Pilot Ecotourism units functioning in target communities. - 3 Local SFM Pilots functioning as models of options for sustainable forestry <p>3.1.2 Women and youth livelihoods promoted, including their empowerment and participation at local level</p>	GEFTF	2,351,200	19,775,948
4. Knowledge Management and M&E		4.1 Knowledge effectively managed in support of the conservation of BD and ecosystem services in productive landscapes in threatened forested mountainous areas	4.1.1 Communication strategy and citizen mobilization campaign with gender and age considerations, improves knowledge and practices of sustainable management of threatened mountain landscapes.	GEFTF	504,658	2,900,000
Subtotal					7,786,823	51,435,948

Project Management Cost (PMC) ⁴	GEFTF	389,342	2,571,429
Total project costs		8,176,165	54,007,377

C. CONFIRMED SOURCES OF CO-FINANCING FOR THE PROJECT BY NAME AND BY TYPE

Please include evidence for co-financing for the project with this form.

Sources of Co-financing	Name of Co-financier	Type of Cofinancing	Amount (\$)
Donor Agency	FAO	In-kind	100,000
GEF Agency	UNDP	Grants	2,500,000
Recipient Government	Ministry of Environment	Grants	5,100,000
Recipient Government	Ministry of Environment	In-kind	5,400,000
Recipient Government	Ministry of Agriculture	Grants	16,000,000
Recipient Government	Ministry of Agriculture	In-kind	23,310,000
Other	CODOCAFE	Grants	750,000
Other	CODOCAFE	In-kind	415,000
Private Sector	Santo Domingo Water Fund	Grants	321,000
Other	FEDOMU	Grants	87,227
Other	FEDOMU	In-kind	24,150
Total Co-financing			54,007,377

D. TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES), FOCAL AREA AND THE PROGRAMMING OF FUNDS

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b) ^{b)}	Total (c)=a+b
UNDP	GEFTF	Dominican Republic	Biodiversity	(select as applicable)	4,720,183	448,417	5,168,600
UNDP	GEFTF	Dominican Republic	Land Degradation	(select as applicable)	705,594	67,031	772,625
UNDP	GEFTF	Dominican Republic	Sustainable Forest Management	SFM	2,750,388	261,287	3,011,675
Total GEF Resources					8,176,165	776,735	8,952,900

a) Refer to the Fee Policy for GEF Partner Agencies

⁴ For GEF Project Financing up to \$2 million, PMC could be up to 10% of the subtotal; above \$2 million, PMC could be up to 5% of the subtotal. PMC should be charged proportionately to focal areas based on focal area project financing amount in Table D below.

E. PROJECT'S TARGET CONTRIBUTIONS TO GLOBAL ENVIRONMENTAL BENEFITS⁵

Provide the expected project targets as appropriate.

Corporate Results	Replenishment Targets	Project Targets
1. Maintain globally significant biodiversity and the ecosystem goods and services that it provides to society	Improved management of landscapes and seascapes covering 300 million hectares	58,000 Hectares
2. Sustainable land management in production systems (agriculture, rangelands, and forest landscapes)	120 million hectares under sustainable land management	3,000 Hectares
4. Support to transformational shifts towards a low-emission and resilient development path	750 million tons of CO _{2e} mitigated (include both direct and indirect)	195,303 metric tons ⁶

F. DOES THE PROJECT INCLUDE A “NON-GRANT” INSTRUMENT? No

(If non-grant instruments are used, provide an indicative calendar of expected reflows to your Agency and to the GEF/LDCF/SCCF/CBIT Trust Fund) in Annex D.

PART II: PROJECT JUSTIFICATION

A. DESCRIBE ANY CHANGES IN ALIGNMENT WITH THE PROJECT DESIGN WITH THE ORIGINAL PIF⁷

1. The final project design is aligned to the original PIF; it preserves its main objective, strategy and structure. However, small adjustments were made to the project framework based on analyses and discussions with project partners and key stakeholders during the PPG, aiming to improve precision in outputs and indicators so as to best achieve the outcomes and the overall objective.

A.1. *Project Description*. Elaborate on:

- 1) the global environmental and/or adaptation problems, root causes and barriers that need to be addressed;
 2. N/A: The core challenges identified during project preparation are not substantially different from those identified in the original PIF.
- 2) the baseline scenario or any associated baseline projects,
 3. N/A: The Project Document contains expanded information and analysis regarding the baseline scenario and associated baseline projects. This represents a strong and well-reasoned platform for project implementation.
- 3) the proposed alternative scenario, GEF focal area⁸ strategies, with a brief description of expected outcomes and components of the project,

⁵ Update the applicable indicators provided at PIF stage. Progress in programming against these targets for the projects per the *Corporate Results Framework* in the [GEF-6 Programming Directions](#), will be aggregated and reported during mid-term and at the conclusion of the replenishment period.

⁶ Deforestation in Dominican Republic is due to a number of factors including forest fires and clearing for agriculture and other uses. The FAO EX-ACT tool was used to estimate the carbon benefits associated with the project. The forest type selected for calculations was Tropical Moist. The project is expected to lead to a decrease in the national level of deforestation for the time period of the project. The sequestration was calculated based on a 20-year period. **The annual carbon sequestration is estimated to be 195,303 tCO₂-eq.**

⁷ For questions A.1 –A.7 in Part II, if there are no changes since PIF, no need to respond, please enter “NA” after the respective question.

⁸ For biodiversity projects, in addition to explaining the project’s consistency with the biodiversity focal area strategy, objectives and programs, please also describe which [Aichi Target\(s\)](#) the project will directly contribute to achieving.

4. N/A: Section IV of the Project Document contains a detailed narrative regarding the expected outcomes and components of the project.

4) [incremental/additional cost reasoning](#) and expected contributions from the baseline, the GEFTF, LDCF, SCCF, CBIT and [co-financing](#);

5. N/A: The GEF [increment](#) will support the mainstreaming of ecosystem-friendly practices in productive landscapes. As mentioned in the Baseline, individual efforts and interventions need additional support to become systemic across Agriculture and Forestry sectors, as well as associated sectors such as Tourism.

6. The [Cofinancing](#) that has been committed is expected to provide important synergies to the baseline and GEF increment. All cofinancing institutions were contacted and confirmed during the PPG phase.

5) [global environmental benefits](#) (GEFTF) and/or [adaptation benefits](#) (LDCF/SCCF);

7. N/A: The project will lead to major GEBs in three focal areas (BD4, LD3, SFM) through a multi-focal landscape approach to address the challenges described in the baseline. Integrated landscape management is indispensable for delivering the multiple environmental benefits required for maintaining a multi-functional and biodiversity-rich productive landscape in the Dominican Republic. 6) innovativeness, sustainability and potential for scaling up.

A.2. *Child Project?* If this is a child project under a program, describe how the components contribute to the overall program impact.

8. N/A

A.3. [Stakeholders](#). Identify key stakeholders and elaborate on how the key stakeholders engagement is incorporated in the preparation and implementation of the project. Do they include civil society organizations (yes /no)? and indigenous peoples (yes /no)? ⁹

9. The project has identified key project stakeholders (e.g. national institutions, local communities, women, children, elderly, the poor and vulnerable) and outlines a strategy in Annex M to ensure stakeholders are engaged throughout project implementation. Stakeholders include target groups (the intended beneficiaries of the project)

Stakeholders	Project Implementation Role
Ministry of Environment and Natural Resources (MA) <ul style="list-style-type: none"> – Vice Ministry of Protected Areas and Biodiversity; VM of Forest Resources – VM of Soils and Water – Planning and Development Directorate 	MA is the GEF focal point and the public agency responsible for the formulation of national policy related to the environment and natural resources and to ensure the sustainable use and management of renewable natural resources and the environment. MA will be in charge of guiding activities related to BD conservation, and policy issues through the implementation of national plans and policies related to conservation of BD. MA will expand ecotourism policies (developed in the Reengineering of PA project) and existing synergies with MITUR and other key stakeholders. MA will also guide activities related with SLM and erosion/degradation prevention, including strategic coordination with other Ministries and Local governments. Additionally, MA will lead sustainable forest management and forest fires prevention activities, in order to guarantee the protection and expansion of existing forest ecosystems. The Vice Ministry of Protected Areas and Biodiversity will lead the day to day execution of the project, ensuring appropriate engagement of specific dependent Vice Ministries and Directorates which will need to be involved to a greater or lesser degree with specific aspects of implementation.
Ministry of Agriculture (MAgr) <ul style="list-style-type: none"> – Vice Ministry of Planning – Planning Directorate 	Institution responsible of the formulation and guidance of agricultural policies in the DR. MAgr supports producers to improve their competitiveness and access to markets, in order to guarantee food security, employment generation, increase of foreign profits, and improvement of livelihoods.

⁹ As per the GEF-6 Corporate Results Framework in the GEF Programming Directions and GEF-6 Gender Core Indicators in the Gender Equality Action Plan, provide information on these specific indicators on stakeholders (including civil society organization and indigenous peoples) and gender.

	<p>MAgr, MA and the Administrative Ministry of the Presidency are key stakeholders in one of the major government baseline initiatives: the agroforestry development project, which will be implemented in two of the three selected pilot sites (Sierra de Neyba Southern Slope and Upper Nizao), and as such will play a major role in complementing the project's actions.</p> <p>MAgr will be engaged at different levels in project implementation, by providing advice at the senior and the technical/political levels. Through their extension system, MAgr will contribute with technical accompaniment and capacity building to farmers, will be engaged in the implementation of interconnected GIS platforms, and will provide cash and in-kind co-financing for the provision of seeds, plants, post-harvest infrastructure, and improvement of inter-farm access roads, among others.</p>
CODOCAFE (Dominican Council of Coffee)	Public – private organization responsible of guiding coffee policies and supporting the development of the sector and producers. It will be engaged in the promotion of sustainable coffee production in two of the pilot sites (Nizao and Sierra de Neyba), will provide advice at technical/policy levels in this domain, and will contribute with cash and in-kind financing to complement project actions to strengthen diversified BD friendly coffee production.
National Cocoa Commission	Public – private organization responsible of designing the national cocoa policy, supporting increase and rehabilitation of cocoa farms, and improving cocoa quality. It will provide advice at the technical/policy levels to improve cocoa cultures, particularly in the Yamasa pilot site.
MEPYD –Ministry of Economy, Planning and Development – General Directorate of Territorial Planning and Development (DGODT)	MEPYD coordinates the National Planning and Public Investment System. It holds responsibility for territorial planning and plays a key role in the approval of national budgets, public investment projects and so on. MEPYD is currently engaged in different territorial planning processes at the local level, and will be an important stakeholder for the formulation and implementation of development and land use plans in the 10 municipalities comprised in the pilot zones. DGODT will provide policy guidance and will be engaged in the processes related with the formulation and implementation of Municipal Development Plans and Land Use Plans, as well as in the establishment of governance platforms at municipal and provincial levels in the pilot zones.
MITUR - Ministry of Tourism. – Directorate of Ecotourism	MITUR regulates and promotes the tourism sector. Should be considered for the development of any agro-ecotourism activity in pilot sites, in close coordination with MA.
Municipalities, including FEDOMU (Dominican Federation of Municipalities)	Responsible for overseeing land-use management at local level, within their areas of jurisdiction, for ensuring that management strategies are appropriate to local needs and for ensuring that the needs of local stakeholders are taken into account in the definition of management strategies. The municipalities will benefit from and will be engaged in the territorial planning activities to be carried out by the project (formulation and implementation of Municipal Development Plans & Land Use Plans, development of the SDG monitoring platforms and establishment of Municipal Development Councils).
Local communities	Local communities and rural users of natural resources and their grassroots organizations will be direct beneficiaries of the project in terms of enhancing capacities for governance systems, planning issues, participation tools. Through their grassroots associations, the local communities will take part in the different participation and consultation platforms to be promoted by the project and will be beneficiaries of the different planned activities.
NGOs	The civil society organizations considered in this plan make an important contribution to the management of Pas, and the management of buffering zones, particularly productive mountain landscapes. They have been consulted during the PPG phase and will be involved early on in providing technical assistance for the implementation of the project. NGOs such as Pronatura, Fundación REDDDOM, ADESJO, CIEPO and FLORESTA, can contribute in the development of sustainable livelihoods, due to their strong field record and know-how of the context, and their experience working with farmers in the pilot sites.
FAO	Will provide guidance and assistance in the application of the forest fire management package.
UNDP	Serves as the implementing agency of GEF co-financed projects.

10. and other potentially affected groups, as described below:

A.4. *Gender Equality and Women's Empowerment*. Elaborate on how gender equality and women's empowerment issues are mainstreamed into the project implementation and monitoring, taking into account the differences, needs, roles and priorities of women and men.

11. The objective of the Project's gender strategy is to maximize the possibility that ecosystems in productive landscapes have a positive impact on gender equality and open opportunities for stronger participation and decision-making amongst stakeholders such that women have a voice in the use and management of their territories and benefit from productive activities. The project strategy follows a proactive gender and intergenerational approach in analyzing the point of engagement (for men, women and youth) in each of its components, as well as the opportunities in the pilot areas and strategic allies to be strengthened. The project considers the interests, needs and priorities of men and women to ensure an approach of inclusive strategies in the rehabilitation of productive landscapes. From the gender perspective, the project contributes through the following:

- Measurement of progress and / or achievements in indicators disaggregated by sex and other specific indicators for monitoring. (Objective level)
- Sustainability, from the construction of a gender strategy for the productive management of the landscape with MA, environmental agendas (at the provincial level) with a gender focus, as well as the strengthening of municipal development plans in the incorporation of the gender approach. (Component 1)
- Awareness and empowerment interventions: training at different levels will promote the importance of generating spaces for men and women to participate in decision-making about their territories. These trainings will be at the level of environment technicians in the pilot areas, officials of organizations involved in the project, as well as in the associative base levels identified. (Project-wide)
- Actions to generate opportunities at the associative level: emphasis will be placed on women's groups organized to support local initiatives such as livelihoods identified by themselves. Output 3.1.2 specifically supports the development and promotion of activities that engage women and youth, and support their access to financing livelihoods. (Component 3)
- Strengthening of existing initiatives: the project will replicate the experience of MA's reforestation brigades, where the heads of each brigade are women and receive a payment. (Component 2)
- Visibility: in the communication and awareness campaigns, the gender approach will be included in all the messages that are transmitted. (Component 4)

12. The incorporation of the gender perspective during the project is associated with the promotion of affirmative actions to ensure the participation of women in the training and decision-making spaces in ecosystems with a landscape approach, as well as in the execution of specific activities as described in the ProDoc Section IV. This strategy also considers that biodiversity conservation is, to the same extent, a social issue and an environmental problem: the success of sustainable conservation depends mainly on the use that different groups of people give to natural resources.

13. The gender approach strategy considers aspects that identify the different contexts for each of the pilot areas in their interests and needs, promoting a more equitable participation in the spaces for decision making regarding the management and conservation of resources. Likewise, the project will seek to ensure that the benefits and services generated by the sustainable use of biodiversity are distributed more equitably among different stakeholders and social actors. Equal attention to different groups will encourage biodiversity management actions to improve the economic and social development of communities while reducing competition and conflicts related to natural resources.

14. The basic strategic lines to consider in mainstreaming are:

- i. Institutional strengthening of the gender approach in the organizational and functional structure of the Ministries of Environment and Agriculture, through their gender units.
- ii. Sensitization to gender issues of the team responsible for project implementation (PMU).
- iii. Conservation and sustainable use of natural goods and services with gender equity.

- iv. Implementation of a national gender strategy for the sustainable management of productive landscapes.

15. In order to ensure equality, these criteria are integrated into the project design. For example, women represented 25% of the participants in consultative meetings for the National Plan of Cocoa, but it is estimated that 10% a truly involved in cocoa production activities. Culturally, women carry a large burden related to home and family care, and as such, the project’s activities must include these considerations in their design and execution.

In addition, 1) did the project conduct a gender analysis during project preparation (yes /no)?

16. Please see Annex G of the Project Document.

2) did the project incorporate a gender responsive project results framework, including sex-disaggregated indicators (yes /no)?

17. Please refer to the Project Results Framework provided in Annex A of this document.

3) what is the share of women and men direct beneficiaries (women X%, men X%)? ¹⁰

18. The Project aims to work directly with 1500 producers, of which it is estimated that 1200 (80%) are men and 300 (20%) are women. Furthermore, the project will support capacity development for approximately 350 people from a variety of Institutions (MA, MAGri, local governments, extension agents) – the gender information for these participants will be available once the trainings commence, as documented by attendance records.

19. Please see ProDoc Section IV for further detail.

A.5 Risk. Elaborate on indicated risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, the proposed measures that address these risks at the time of project implementation.(table format acceptable):

20. As per standard UNDP requirements, the Project Coordinator will monitor risks quarterly and report on the status of risks to the UNDP Country Office. The UNDP Country Office will record progress in the UNDP ATLAS risk log. Risks will be reported as critical when the impact and probability are high (i.e. when impact is rated as 5, and when impact is rated as 4 and probability is rated at 3 or higher). Management responses to critical risks will also be reported to the GEF in the annual PIR.

Project risks					
Description	Type	Impact & Probability	Mitigation Measures	Owner	Status
Local community grievances	<i>Other (Social)</i>	P= 1 I= 3	Regular consultations will be carried out with local communities to ensure that all potential local community grievances are discussed and that the principle of Free, Prior and Informed Consent (FPIC) is applied. In the socialization workshops celebrated in pilot zones and with national stakeholders during the PPG phase, participants have expressed their favorable view towards the project, which is perceived as a win-win opportunity for communities and producers, and for the	<i>PMU Coordinator</i>	<i>Reducing</i>

¹⁰ Same as footnote 8 above.

			<p>environmental, agriculture, and land-planning authorities.</p> <p>The project will liaise with the Ministry of Environment and its Direction of Social Participation. It should also be noted that the REDD+ intervention in Dominican Republic will strengthen mechanisms to address local community grievances (i.e Grievance Redress Mechanism GRM).</p> <p>The project will also liaise with local governments, responsible of establishing and guiding Local Development Committees, and of applying land-use regulations.</p> <p>The project will also establish an Interinstitutional Technical Committee, with the responsibility of discussing and proposing technical orientation to the project activities. This Committee will also have the responsibility of responding to any grievance that may arise during project implementation</p>		
Duty bearers do not have the capacity to meet their obligations in the Project	<i>Operational</i>	P= 1 I= 3	<p>Institutional capacity building and expansion are key elements of the project and will also facilitate execution and the meeting of project obligations.</p> <p>In addition, the collaboration of FAO in the design and implementation of a municipal early warning system for prevention, management and control of fires, and in the implementation of Component 2, will add experience and credibility during project implementation</p>	<i>PMU Coordinator</i>	<i>Reducing</i>
Rights- holders do not have the capacity to claim their rights	<i>Operational</i>	P= 1 I= 2	All project interventions with rural communities will be carried out based on the principle of free prior and informed consent (FPIC).	<i>PMU Coordinator</i>	<i>Reducing</i>
Project activities proposed within or adjacent to critical habitats and/or environmentally	<i>Environmental</i>	P= 1 I= 1	Pilot sites were chosen based on proximity to critical ecosystems and protected areas so as to promote connectivity as well as promote the private reserve	<i>PMU Coordinator</i>	<i>Reducing</i>

sensitive areas, including legally protected areas			model as an attractive option for private landowners		
Project involves reforestation	<i>Environmental</i>	P= 1 I= 1	Pilot sites that include reforestation will promote native species as a key element for stimulating ecosystem connectivity and reduce land degradation	<i>PMU Coordinator</i>	<i>Reducing</i>
Political support to establish cross sectoral integration between Ministries as well as support decentralized management at site level is not forthcoming.	<i>Political Strategic</i>	P = 1 I = 1 Relevant Ministries like Agriculture and MEPYD's DGODT have been involved in the consulting process carried out during the PPG phase. They have expressed their support for the project, which is a win-win opportunity for all.	The project will mitigate this risk by seeking presidential and ministerial support and mandate for the initiative, as well as promotion and facilitation of policy dialogue, joint planning and problem solving between the relevant ministries, in particular, Agriculture and Environment, and also MEPYD. The project will also invest in training and awareness raising.	<i>PMU Coordinator</i>	<i>Reducing</i>
Conflicts of interest between productive and environmental sectors. Political support for policy changes including fiscal policy adjustments and investment from the coffee/cocoa private sector is not forthcoming.	<i>Political Strategic</i>	P = 1 I = 1	The project will promote mechanisms for conflict resolution and will invest in education, training and awareness raising regarding the potential for synergies between productive and environmental considerations. A dialogue with industry will be undertaken as part of the process of revising policies and regulations—to obtain industry buy in and address concerns, so as to improve compliance. At an early stage the project will facilitate public-private sector policy dialogue with key trade associations. Emphasis on improving competitiveness, quality and security both of investments and of clients will be key.	<i>PMU Coordinator</i>	<i>No change</i>
Extreme natural events	<i>Other (Climate Change and Variability)</i>	P = 5 I = 5 The DR, as part of the Caribbean region, is prone to extreme events associated with Climate Change and Variability.	Emphasis on promoting the diversity and resilience of natural and productive ecosystems to extreme natural events.	<i>PMU Coordinator</i>	<i>No change</i>
Climate change-induced changes in mountain ecosystem health and possible	<i>Other (Climate Change)</i>	P = 3 I = 5 The baseline already considers those CC	The project will support the increase in management capacities of mountain areas which will increase coping	<i>PMU Coordinator</i>	<i>No change</i>

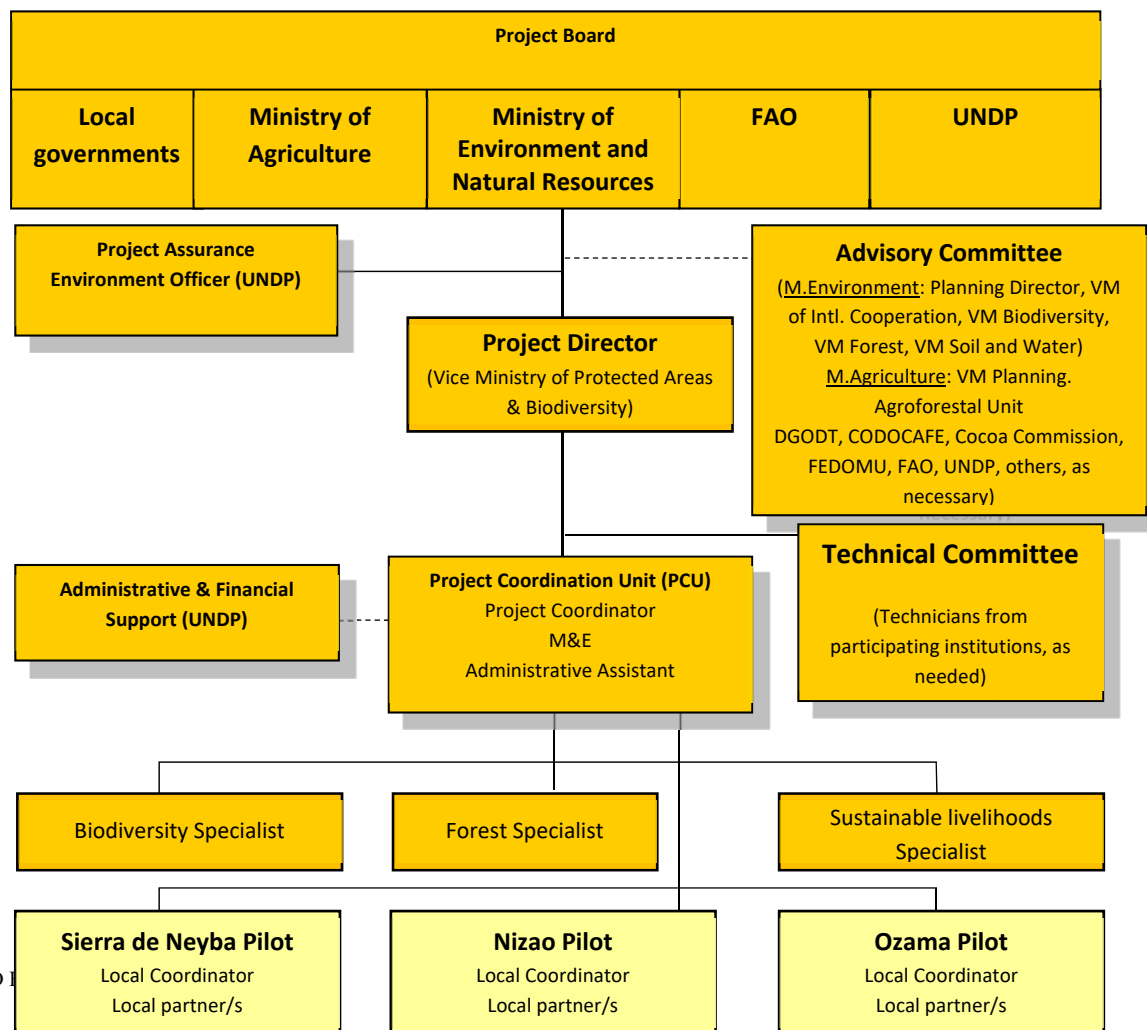
unforeseen challenges for biodiversity further undermine ecosystem functionality and services on which productive sectors depend, changing the baseline and increasing costs of necessary interventions.		induced changes, particularly in coffee/cocoa, which were severely affected by plagues during the drought experienced by the DR and the Caribbean in 2014-2015. That is why P is estimated in 3, during the project life.	capacities and resilience to climate change impacts. In particular, mainstreaming BD, SFM, and LD criteria within the planning instruments and practices for land use, and the introduction of sustainable production models will mitigate the implications of alternative climate change scenarios for BD status, such as spatial migration and fragmentation of ecosystems, changes in reproductive biology of target biota and increases in the frequency of forest fires.		
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A.6. *Institutional Arrangement and Coordination.* Describe the institutional arrangement for project implementation. Elaborate on the planned coordination with other relevant GEF-financed projects and other initiatives.

21. Roles and responsibilities of the project’s governance mechanism: The project will be implemented following UNDP’s national implementation modality, according to the Standard Basic Assistance Agreement between UNDP and the Government of the Dominican Republic, and the Country Programme.

22. The **Implementing Partner** for this project is the Ministry of Environment and Natural Resources. The Implementing Partner is responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP resources. FAO will act as responsible party.

23. The project organisation structure is as follows:



24. The **Project Board** (also called the Project Steering Committee) is responsible for making by consensus, management decisions when guidance is required by the Project Coordinator, including recommendation for UNDP/Implementing Partner approval of project plans and revisions. The Project Board will have strategic decision-making, non-executive powers, In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. In case a consensus cannot be reached within the Board, final decision shall rest with the UNDP Programme Manager. The terms of reference for the Project Board are contained in Annexes. The Project Board will be comprised of Senior Management representatives from the Ministry of Environment, Ministry of Agriculture, Representatives of local governments of the pilot sites, FAO and UNDP. Representatives of other stakeholders may also be included in the PSC, as deemed appropriate and necessary. The PSC will meet at least once per year to review project progress and review upcoming work plans and corresponding budgets.

25. An **Advisory Committee** will be established with technical-political representatives from institutions with actions directly related with the project goals, in order to maintain an integral approach, ensure appropriate coordination and synergies. This Committee will meet quarterly, and will be comprised of Vice Ministries and Directors from the Ministry of Environment (VM International Cooperation, VM Biodiversity and Protected Areas, VM Forest Resources, VM Soil and Water, Director of Planning), Ministry of Agriculture (VM of Planning), Presidential Agroforestry Unit, Dirección General de Ordenamiento y Desarrollo Territorial (DGODT), CODOCAFE, National Cocoa Commission, Dominican Federation of Municipalities (FEDOMU), FAO, UNDP, and others, as necessary. It will have the responsibility to solve in the first instance coordination problems encountered by the project.

26. There will also be a **Technical Supervision Committee**, which will discuss all key project technical decisions, including the review of TORs proposed by the PCU, the hiring of specialists, the adjudication of contracts and the revision of Annual Work Plans and Annual Budgets. This Committee will be a critical link between the PMU, the rest of Ministry of Environment and other partners' staff, in case of need.

27. Day to day management and coordination of activities will be carried out under the responsibility of a **Project Coordination Unit** (PCU) and corresponding staff. In terms of key Project staff, a nominated senior Ministry of Environment (Vice Minister xxx) staff will become the **National Project Director** (NPD), and will be responsible for oversight of the Project and will maintain overall responsibility and accountability. The National Project Director will establish and provide overall guidance to the PCU, and will be responsible for overseeing the work undertaken by the PCU team.

28. A **National Project Coordinator** (PC) will be contracted by UNDP based on a recruitment process and request from Ministry of Environment and will be responsible for running the project on a day-to-day basis on behalf of the Implementing Partner within the constraints laid down by the PSC. The National Project Coordinator function will end when documentation required by the GEF and UNDP has been completed and delivered (operational closure of the project). In addition to the Project Coordinator, the PCU will be composed of the following staff: a **Biodiversity Specialist**, a **Forest Specialist**, a **Sustainable Livelihoods Specialist**, a Monitoring and Evaluation Assistant and an Administrative Assistant. Administrative and professional personnel will interact on an ongoing basis with the PC and the PCU technical and professional teams, according to needs arising during project implementation.

29. The **project assurance** role will be provided by UNDP DR Environment Programme Officer.

30. Additional quality assurance will be provided by the UNDP Regional Technical Advisor as needed.

Governance role for project target groups:

31. The key government institution being targeted through this project for institutional strengthening, namely, the Ministry of Environment, will have decision-making powers through its position on the Project Steering Committee. It will also provide technical inputs through the Advisory and the Technical Committees. Other key stakeholders such as Ministry of Agriculture, the Agroforestry Unit, DGODT, National Cocoa Commission, CODOCAFE, FEDOMU and local community groups will provide inputs during project implementation to ensure that their opinions are taken into consideration.

32. FAO, as responsible party, will contribute with its expertise and will be responsible of activities related with forest fire preparedness and prevention. It will participate in the NSC, the Advisory and the Technical Committees. All the activities will be planned and implemented in coordination with the PMU.

33. Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information: In order to accord proper acknowledgement to the GEF for providing grant funding, the GEF logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GEF will also accord proper acknowledgement to the GEF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy¹¹ and the GEF policy on public involvement¹².

34. Project management: The project staff will be based in Santo Domingo, in the Dominican Republic and will work out of the Ministry of Environment and Natural Resources. The project will be executed under national implementation modality (NIM), with execution by the Ministry of Environment and Natural Resources.

Additional Information not well elaborated at PIF Stage:

A.7 *Benefits*. Describe the socioeconomic benefits to be delivered by the project at the national and local levels. How do these benefits translate in supporting the achievement of global environment benefits (GEF Trust Fund) or adaptation benefits (LDCF/SCCF)?

35. In recent decades, the Dominican Republic has maintained a constant economic growth, reaching 6.4% in 2015, and 7.4% in 2016. In the first semester of 2017, GDP growth decelerated to 4%. Since 2014, it has been considered one of the countries with High Human Development, with 0.722 in 2016, although high disparities are hidden behind the national average. One of the most significant achievements has been the attainment of the target set in the Millennium Development Goals of reducing extreme poverty to 5.2%. Furthermore, good macroeconomic performance is evidenced by indicators of stable inflation and the start of new public policies (in 2012) for promoting rural micro credit projects, sustained investment of 4% of GDP in pre-university education, increased health insurance, literacy programs, and the expansion in coverage of the Conditional Cash Transfer program. However, important challenges persist in the country regarding redistribution and inclusion. According to the 2008 Human Development Report, while the general population is registered as economically Medium-high, there are important gaps in distribution of wealth and resources. Indeed, the majority of communities that live below the poverty line are found in mountainous areas (>500m) and represent some of the poorest and most marginalized segments of the Dominican population. This population is also the most vulnerable to Climate Change events. Dedicated to smallholder farming, and struggling to grow enough food for their families, rural montane communities are increasingly faced with severe land and water degradation problems, which steadily undermine their productivity and livelihoods.

36. The Project aims to address these challenges by working directly with 1500 producers, of which it is estimated that 1200 (80%) are men and 300 (20%) are women. Furthermore, the project will support capacity development for approximately 350 people from a variety of Institutions (MA, MAGri, local governments, extension agents). Through Component 3, the project will promote BD-friendly production systems and livelihoods in agriculture, forestry and tourism sectors. This support will provide results through Output 3.1.1 Promotion of sustainable livelihoods in communities associated with pilot areas from Component 2, that demonstrate appropriate management, access to financing mechanisms, training, and implementation of clean technologies.

¹¹ See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/

¹² See https://www.thegef.org/gef/policies_guidelines

37. The establishment of a financially sustainable extension service will review best practices, share experiences and support local stakeholders' adoption of the agreed best practices and biodiversity friendly production models. This will be complemented by the design and implementation of business plans, which will promote associativity in the development of sustainable productive activities in the three pilot sites. The project will also facilitate *Business development support / supply chain initiatives*: create conditions in small producers to ensure they have the capacity to insert themselves within the supply chain and develop it to guarantee value-added in production. Among the options identified during the PPG are: Agro-ecotourism, Production/nurseries of native plant/tree species for sustainable production systems, apiculture, short-cycle crops (mango, onion, potatoes, carrots and other crops that could benefit from more sustainable practices). For the successful implementation of business plans, the project will also support the building of postharvest small infrastructure for coffee waste management, coffee and cocoa drying and fermentation, and storage facilities.

38. This component will support a number of micro-enterprises adopting BD-friendly production systems. This includes ecotourism and other value chains. There are several alternative forms of tourism (ecotourism, agrotourism, agrobiodiversity, bird watching tourism, and others) that can be developed as value-chain activities, complementary to the sustainable production systems promoted by the project. The best suited options for each pilot site will be established in the design of site-specific ecotourism destination packages in the abovementioned business plans.

39. To bolster the effort to adopt BD-friendly livelihoods and production, the project will also support the design and implementation of 3 credit lines (1 per pilot site) with BD friendly production requirements. Thus, the project will enhance access to credit for the development of sustainable production systems and the development of small business that contribute to the diversification of the local economy. Financial mechanisms and credit facilities will be developed through Component 3 to benefit those producers who agree to adopt sustainable practices and to protect prioritized ecosystemic services.

40. The interventions described above provide important opportunities for the project to support the establishment and testing of tools/instruments to promote BD friendly livelihoods. Ultimately, livelihoods would not only be productive, but also linked to small and medium-sized enterprise (SME) opportunities. For example, the development of SME for local eco/agro-tourism and other small businesses linked to sustainable production, could serve to demonstrate benefits at the product level with the development of value chains as incentives. The restoration of mountain landscapes would require a mix of long-cycle crops, cocoa, coffee in the upper regions, among others – all of which would provide added sources of income and opportunity beyond the environmental benefits associated with BD-friendly production practices.

6000 additional people in the pilot sites will benefit from BD-friendly production systems, micro-enterprises and livelihoods in agriculture, forestry and tourism sectors under Component 3, of which 4,800 are men and 1,200 are women.

A.8 Knowledge Management. Elaborate on the knowledge management approach for the project, including, if any, plans for the project to learn from other relevant projects and initiatives (e.g. participate in trainings, conferences, stakeholder exchanges, virtual networks, project twinning) and plans for the project to assess and document in a user-friendly form (e.g. lessons learned briefs, engaging websites, guidebooks based on experience) and share these experiences and expertise (e.g. participate in community of practices, organize seminars, trainings and conferences) with relevant stakeholders.

41. In the context of this GEF project "Mainstreaming Conservation of Biodiversity and Ecosystem Services in Productive Landscapes in Threatened Forested Mountainous Areas" in the Dominican Republic, knowledge management is understood "*as a set of methods, processes and tools that facilitate the creation, capture, exchange, adaptation and implementation of tacit and explicit knowledge with the objective of efficiently accomplishing the expected outcomes and contribute to the desired impact*" of the project¹³.

¹³ *Systematization for Knowledge Transfer*. Methodological Series on Knowledge Management, Sharing Knowledge for Development Project. Knowledge Management Unit. UNDP Regional Centre for Latin America and the Caribbean.

42. Knowledge management will therefore be incorporated as one important tool of project management for the documentation of project implementation, and the creation of an institutional memory that will be key to support visibility and capacity development, so that BD, SFM, LD, and gender sensitive criteria are not only applied in the pilot sites where the project will focus, but spread out to influence the policies and practices of the stakeholders involved, in particular the Ministries of Planning, the Environment, and Agriculture; CODOCAFE and CONACADO; as well as farmers and forest producers organizations and entrepreneurs in the rural areas throughout the country.

43. By supporting the Ministries of the Environment and Agriculture in the design of a gender strategy for the sustainable management of productive mountain landscapes, and by designing and implementing a training package for technicians, extension agents and farmers using a variety of strategies that include technical accompaniment and farm schools, the knowledge management strategy of the project not only targets the population that will ultimately mainstream BD and ecosystem conservation in productive practices, but also takes care of the best suited methods to produce changes in farming practices, taking into account the low educational and income-generating level that characterizes those farmers in the selected pilot sites.

44. Furthermore, this knowledge management strategy also addresses how to mainstream BD, SFM, LD, and gender and age sensitivity criteria in productive practices, through a set of activities aimed at improving existing guidelines and manuals for land use and municipal development plans, and for access to credit with the incorporation of such criteria. The project focuses on the production of knowledge products, and the wider communication and dissemination of project lessons and experiences to support the replication and scaling-up of project results throughout the Dominican Republic, as well as internationally through South-South cooperation.

45. One key feature of this knowledge strategy is the incorporation of systematization in the design of the project, so that systematization of knowledge transfer can itself become a monitoring instrument to support results based management, contributing to learning before, during and after the implementation, as well as providing input for mid-term and final evaluations.

46. The knowledge management strategy will be implemented through the following activities:

- Facilitate the design and implementation of a systematization process throughout project implementation to identify, document and share best practices, lessons learned and case studies, including evidence of the special contribution of women and youth to the sustainability of threatened mountain landscapes.
- Support the development and implementation of a communication strategy and citizen mobilization campaign with gender and age considerations, to improve knowledge and practices of sustainable management of threatened mountain landscapes.
- Support the development of a Knowledge Sharing Fair on Sustainable Management of Mountain Landscapes, based on the experience of the three pilot sites where sustainable production systems and livelihoods will be implemented.

47. Further information is provided in ProDoc Section III. Component 4, Section IV Partnerships and Stakeholder Engagement, as well as Annex M Communication/Stakeholder Engagement Plan.

B. Description of the consistency of the project with:

B.1 *Consistency with National Priorities.* Describe the consistency of the project with national strategies and plans or reports and assessments under relevant conventions such as NAPAs, NAPs, ASGM NAPs, MIAs, NBSAPs, NCs, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURs, INDCs, etc.:

48. This Project is consistent with Article 14 of the new Constitution of the Dominican Republic which establishes the state's responsibility to conserve ecological equilibrium and in addition it supports the following national priorities and plans:

49. The **National Development Strategy 2030 (END)** has an explicit relevant objective - *the protection and sustainable use of ecosystems goods and services, biodiversity and natural heritage, including marine resources.*

Under this objective the Strategy includes 14 lines of action. Specific short-term goals include increasing forest cover by 1.1% or 400 square km. Additionally, it targets the establishment of a National Land Use Plan, implementation of PES for water, strengthening of the environmental permitting system in the Ministry of Environment (MA), installation of Regional Environmental Managers and the creation of local work commissions to combat desertification in arid areas.

50. The **National Biodiversity Strategy and Action Plan (NBSAP) 2011-2020** provides a framework for interventions in support of biodiversity conservation and SLM. The NBSAP includes goals to increase investment in biodiversity, an analysis of perverse financial subsidies and incentives that negatively affect biodiversity, and a plan to reduce, reform and eliminate them. It also includes evaluations and actions to reduce the ecological footprint of government and business in the environment; a reduction by 25% of habitat loss and degradation; and a national campaign to finance the implementation of the strategy. The NBSAP is currently being updated, and the sixth national report is under preparation.

51. The project will also contribute to a number of other goals within the MA's programs, as mentioned in the Baseline.

52. With regards to the **United Nations Convention to Combat Desertification and Drought (UNCCD)**, the Dominican Republic, through the Ministry of Environment and Natural Resources as Focal Point, supported by the Vice Ministry of Land and Water and the Interagency Technical Group (GTI) has established voluntary Land-Degradation Neutrality (LDN) targets, through an internal process of consultation and evaluation of goals in the context of the Convention on Biological Diversity and Climate Change taking into account the intrinsic link of these specifications under "Land Degradation Neutrality: from Concept to Practice", using the UNCCD LDN indicator framework for voluntary national targets and monitor their achievement using an approach based on indicators:

- a) The synoptic utilization of trends in land cover / land use.
- b) Trends in land productivity.
- c) Trends in carbon storage in the soil available in global databases.

53. The DR has determined that voluntary LDN targets are of utmost importance to achieve the country's environmental and socio-economic objectives as well as create synergies between the Convention of the United Nations Convention to Combat Desertification (UNCCD) and the Sustainable Development Goals (SDGs) as agreed at COP 12, held in October 2015 in Ankara, Turkey.

54. As mentioned above, the project will also support GoDR's efforts to meet commitments related to the Sustainable Development Goals with regards to:

- 1) Sectoral consistency
- 2) Financial coherence (investments in the field)
- 3) Policy coherence (conservation, mining, biofuel, food security)
- 4) Spatial alignment
- 5) Catalytic investments

C. DESCRIBE THE BUDGETED M &E PLAN:

55. The project results as outlined in the project results framework will be monitored annually and evaluated periodically during project implementation to ensure the project effectively achieves these results.

56. Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the [UNDP POPP](#) and [UNDP Evaluation Policy](#). While these UNDP requirements are not outlined in this project document, the UNDP Country Office will work with the relevant project stakeholders to ensure UNDP M&E requirements are met in a timely fashion and to high quality standards. Additional mandatory GEF-specific

M&E requirements (as outlined below) will be undertaken in accordance with the [GEF M&E policy](#) and other relevant GEF policies.

57. In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Report. This will include the exact role of project target groups and other stakeholders in project M&E activities including the GEF Operational Focal Point and national/regional institutes assigned to undertake project monitoring. The GEF Operational Focal Point will strive to ensure consistency in the approach taken to the GEF-specific M&E requirements (notably the GEF Tracking Tools) across all GEF-financed projects in the country. This could be achieved for example by using one national institute to complete the GEF Tracking Tools for all GEF-financed projects in the country, including projects supported by other GEF Agencies.

M&E Oversight and monitoring responsibilities:

58. Project Coordinator: The Project Coordinator (PC) is responsible for day-to-day project management and regular monitoring of project results and risks, including social and environmental risks. The PC will ensure that all project staff maintain a high level of transparency, responsibility and accountability in M&E and reporting of project results. The PC will inform the Project Board, the UNDP Country Office and the UNDP-GEF RTA of any delays or difficulties as they arise during implementation so that appropriate support and corrective measures can be adopted.

59. The Project Coordinator will develop annual work plans based on the multi-year work plan included in Annex A, including annual output targets to support the efficient implementation of the project. The PC will ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality. This includes, but is not limited to, ensuring the results framework indicators are monitored annually in time for evidence-based reporting in the GEF PIR, and that the monitoring of risks and the various plans/strategies developed to support project implementation (e.g. gender strategy, KM strategy etc..) occur on a regular basis.

60. Project Board: The Project Board will take corrective action as needed to ensure the project achieves the desired results. The Project Board will hold project reviews to assess the performance of the project and appraise the Annual Work Plan for the following year. In the project's final year, the Project Board will hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to highlight project results and lessons learned with relevant audiences. This final review meeting will also discuss the findings outlined in the project terminal evaluation report and the management response.

61. Project Implementing Partner: The Implementing Partner is responsible for providing any and all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary and appropriate. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes, and is aligned with national systems so that the data used by and generated by the project supports national systems.

62. UNDP Country Office: The UNDP Country Office will support the Project Coordinator as needed, including through annual supervision missions. The annual supervision missions will take place according to the schedule outlined in the annual work plan. Supervision mission reports will be circulated to the project team and Project Board within one month of the mission. The UNDP Country Office will initiate and organize key GEF M&E activities including the annual GEF PIR, the *independent mid-term review* and the independent terminal evaluation. The UNDP Country Office will also ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality.

63. The UNDP Country Office is responsible for complying with all UNDP project-level M&E requirements as outlined in the [UNDP POPP](#). This includes ensuring the UNDP Quality Assurance Assessment during implementation is undertaken annually; that annual targets at the output level are developed, and monitored and reported using UNDP corporate systems; the regular updating of the ATLAS risk log; and, the updating of the UNDP gender marker on an annual basis based on gender mainstreaming progress reported in the GEF PIR and the UNDP ROAR. Any quality concerns flagged during these M&E activities (e.g. annual GEF PIR quality assessment ratings) must be addressed by the UNDP Country Office and the Project Coordinator.

64. The UNDP Country Office will retain all M&E records for this project for up to seven years after project financial closure in order to support ex-post evaluations undertaken by the UNDP Independent Evaluation Office (IEO) and/or the GEF Independent Evaluation Office (IEO).

65. UNDP-GEF Unit: Additional M&E and implementation quality assurance and troubleshooting support will be provided by the UNDP-GEF Regional Technical Advisor and the UNDP-GEF Directorate as needed.

66. **Audit**: The project will be audited according to UNDP Financial Regulations and Rules and applicable audit policies on NIM implemented projects.¹⁴

Additional GEF monitoring and reporting requirements:

67. Inception Workshop and Report: A project inception workshop will be held within two months after the project document has been signed by all relevant parties to, amongst others:

- a) Re-orient project stakeholders to the project strategy and discuss any changes in the overall context that influence project implementation;
- b) Discuss the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms;
- c) Review the results framework and finalize the indicators, means of verification and monitoring plan;
- d) Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E; discuss the role of the GEF OFP in M&E;
- e) Update and review responsibilities for monitoring the various project plans and strategies, including the risk log; Environmental and Social Management Plan and other safeguard requirements; the gender strategy; the knowledge management strategy, and other relevant strategies;
- f) Review financial reporting procedures and mandatory requirements, and agree on the arrangements for the annual audit; and
- g) Plan and schedule Project Board meetings and finalize the first year annual work plan.

68. The Project Coordinator will prepare the inception report no later than one month after the inception workshop. The inception report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board.

69. GEF Project Implementation Report (PIR): The Project Coordinator, the UNDP Country Office, and the UNDP-GEF Regional Technical Advisor will provide objective input to the annual GEF PIR covering the reporting period July (previous year) to June (current year) for each year of project implementation. The Project Coordinator will ensure that the indicators included in the project results framework are monitored annually in advance of the PIR submission deadline so that progress can be reported in the PIR. Any environmental and social risks and related management plans will be monitored regularly, and progress will be reported in the PIR.

70. The PIR submitted to the GEF will be shared with the Project Board. The UNDP Country Office will coordinate the input of the GEF Operational Focal Point and other stakeholders to the PIR as appropriate. The quality rating of the previous year's PIR will be used to inform the preparation of the subsequent PIR.

71. Lessons learned and knowledge generation: Results from the project will be disseminated within and beyond the project intervention area through existing information sharing networks 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. The project will identify, analyse and share lessons learned that might be beneficial to the design and implementation of similar projects and disseminate these lessons widely. There will be continuous information exchange between this project and other projects of similar focus in the same country, region and globally.

72. GEF Focal Area Tracking Tools: The following GEF Tracking Tool(s) will be used to monitor global environmental benefit results: BD 4:9, LD 3:4, SFM.

¹⁴ See guidance here: <https://info.undp.org/global/popp/frm/pages/financial-management-and-execution-modalities.aspx>

73. The baseline/CEO Endorsement GEF Focal Area Tracking Tools for BD, LD and SFM – submitted in Annex D to this project document – will be updated by the Project Coordinator/Team and shared with *the* mid-term review consultants and terminal evaluation consultants (not the evaluation consultants hired to undertake the MTR or the TE) before the required review/evaluation missions take place. The updated GEF Tracking Tools will be submitted to the GEF along with the completed Mid-term Review report and Terminal Evaluation report.

74. Independent Mid-term Review (MTR): An independent mid-term review process will begin after the second PIR has been submitted to the GEF, and the MTR report will be submitted to the GEF in the same year as the 3rd PIR. The MTR findings and responses outlined in the management response will be incorporated as recommendations for enhanced implementation during the final half of the project’s duration. The terms of reference, the review process and the MTR report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the [UNDP Evaluation Resource Center \(ERC\)](#). As noted in this guidance, the evaluation will be ‘independent, impartial and rigorous’. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. The GEF Operational Focal Point and other stakeholders will be involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the UNDP-GEF Directorate. The final MTR report will be available in English and will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and approved by the Project Board.

75. Terminal Evaluation (TE): An independent terminal evaluation (TE) will take place upon completion of all major project outputs and activities. The terminal evaluation process will begin three months before operational closure of the project allowing the evaluation mission to proceed while the project team is still in place, yet ensuring the project is close enough to completion for the evaluation team to reach conclusions on key aspects such as project sustainability. The Project Coordinator will remain on contract until the TE report and management response have been finalized. The terms of reference, the evaluation process and the final TE report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the [UNDP Evaluation Resource Center](#). As noted in this guidance, the evaluation will be ‘independent, impartial and rigorous’. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. The GEF Operational Focal Point and other stakeholders will be involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the UNDP-GEF Directorate. The final TE report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board. The TE report will be publically available in English on the UNDP ERC.

76. The UNDP Country Office will include the planned project terminal evaluation in the UNDP Country Office evaluation plan, and will upload the final terminal evaluation report in English and the corresponding management response to the UNDP Evaluation Resource Centre (ERC). Once uploaded to the ERC, the UNDP IEO will undertake a quality assessment and validate the findings and ratings in the TE report, and rate the quality of the TE report. The UNDP IEO assessment report will be sent to the GEF IEO along with the project terminal evaluation report.

77. Final Report: The project’s terminal PIR along with the terminal evaluation (TE) report and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the Project Board during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

Mandatory GEF M&E Requirements and M&E Budget:

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget ¹⁵ (US\$)		Time frame
		GEF grant	Co-financing	
Inception Workshop	UNDP Country Office	USD 8,000		Within two months of

¹⁵ Excluding project team staff time and UNDP staff time and travel expenses.

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget ¹⁵ (US\$)		Time frame
		GEF grant	Co-financing	
				project document signature
Inception Report	Project Coordinator	None	None	Within two weeks of inception workshop
Standard UNDP monitoring and reporting requirements as outlined in the UNDP POPP	UNDP Country Office	None	None	Quarterly, annually
Measurement of outstanding baseline values	Project Coordinator	18,000		Year 1
Monitoring of indicators in project results framework	Project Coordinator	Per year: USD 4,000		Annually
GEF Project Implementation Report (PIR)	Project Coordinator and UNDP Country Office and UNDP-GEF team	None	None	Annually
NIM Audit as per UNDP audit policies	UNDP Country Office	Per year: USD 5,000		Annually or other frequency as per UNDP Audit policies
Lessons learned and knowledge generation	Project Coordinator			Annually
Monitoring of environmental and social risks, and corresponding management plans as relevant	Project Coordinator UNDP CO	None		On-going
Addressing environmental and social grievances	Project Coordinator UNDP Country Office BPPS as needed	None		
Project Board + Advisory Committee meetings	Project Board Advisory Committee UNDP Country Office Project Coordinator	Per year: USD 1,000		At minimum annually
Supervision missions	UNDP Country Office	None ¹⁶		Annually
Oversight missions	UNDP-GEF team	None ¹⁶		Troubleshooting as needed
Knowledge management as outlined in Outcome 4	Project Coordinator	8,000 (1% of GEF grant)		On-going
GEF Secretariat learning missions/site visits	UNDP Country Office and Project Coordinator and UNDP-GEF team	None		To be determined.
Mid-term GEF Tracking Tool to be updated	Project Coordinator	USD 7,000		Before mid-term review mission takes place.
Independent Mid-term Review (MTR) and management response	UNDP Country Office and Project team and UNDP-GEF team	USD 35,000		Between 2 nd and 3 rd PIR.
Terminal GEF Tracking Tool to be updated	Project Coordinator	USD 7,000		Before terminal evaluation mission takes place
Independent Terminal Evaluation (TE) included in UNDP evaluation plan, and management response	UNDP Country Office and Project team and UNDP-GEF team	USD 45,000		At least three months before operational closure
Translation of MTR and TE reports	UNDP Country Office	USD 10,000		


¹⁶ The costs of UNDP Country Office and UNDP-GEF Unit's participation and time are charged to the GEF Agency Fee.

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget ¹⁵ (US\$)		Time frame
		GEF grant	Co-financing	
into English				
TOTAL indicative COST Excluding project team staff time, and UNDP staff and travel expenses		<i>USD198,000</i>		

PART III: CERTIFICATION BY GEF PARTNER AGENCY(IES)

A. GEF Agency(ies) certification

This request has been prepared in accordance with GEF policies¹⁷ and procedures and meets the GEF criteria for CEO endorsement under GEF-6.

Agency Coordinator, Agency name	Signature	Date (MM/dd/yyyy)	Project Contact Person	Telephone	Email
Adriana Dinu, UNDP- GEF Executive Coordinator.		05/30/2018	Lyes Ferroukhi, Regional Technical Advisor	+507 302- 4576	lyes.ferroukhi@undp.org

¹⁷ GEF policies encompass all managed trust funds, namely: GEFTF, LDCF, SCCF and CBIT

ANNEX A: PROJECT RESULTS FRAMEWORK :

<p>This project will contribute to the following Sustainable Development Goal (s):</p> <p>SDG 1: End poverty in all its forms everywhere Indicators 1.2.1., 1.2.2.</p> <p>SDG 5: Achieve gender equality and empower all women and girls Indicator 5.5.2</p> <p>SDG 11: Make cities and human settlements inclusive, safe, resilient and sustainable Indicator 11.3.2</p> <p>SDG 15: Protect, restore and promote sustainable use of terrestrial ecosystem, sustainably management forest, combat desertification, and halt and reverse land degradation and halt biodiversity loss Indicators 15.1.1., 15.2.1., 15.3.1., 15.9.1</p>					
<p>This project will contribute to the following country outcome included in the UNDAF/Country Programme Document:</p> <p>CPD 2018-2022 Outcome 1.2: <i>By 2022, the Dominican Republic will have increased its social and environmental sustainability and its resilience to climate change impacts and other natural hazards by promoting sustainable production and consumption patterns, encouraging adequate land use, and effectively managing its natural resources, watersheds and disaster risks.</i></p> <p>2.1 Conservation and sustainable use of natural capital increased and strengthened.</p> <p>- 2.1.1: <i>Number of municipalities with sustainable conservation, use and production schemes.</i></p> <p>- 2.1.2: <i>Number of instruments that help expand and diversify the productive base through sustainable use of biodiversity.</i></p> <p>- 2.1.3: <i>Number of people with improved sustainable livelihoods through natural resource management and ecosystem services.</i></p>					
<p>This project will be linked to the following output of the UNDP Strategic Plan:</p> <p>Output 1.3: Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste.</p>					
	Objective and Outcome Indicators	Baseline	Mid-term Target	End of Project Target	Assumptions
<p>Project Objective: Mainstream the conservation of biodiversity and ecosystem services in public policies and practices to effectively buffer current and future threats across productive mountain landscapes</p>	<p><u>Mandatory Indicator 1:</u> # of new partnership mechanisms with funding for sustainable management solutions of natural resources, ecosystem services, chemicals and waste at national and/or sub-national level</p>	0	<p>4 established to promote the project's model:</p> <p>1 National 3 Local (1 in each pilot)</p>	<p>4 functioning to promote the project's model:</p> <p>1 National 3 Local (1 in each pilot)</p>	
	<p><u>Mandatory Indicator 2:</u> # of additional people benefitting from livelihoods strengthened through solutions for management of natural resources, ecosystem services, chemicals and waste (disaggregated by sex).</p>	0	<p>6000</p> <p>-4,800 men -1,200 women</p>	<p>6000</p> <p>-4,800 men -1,200 women</p>	<p>Interest and commitment of stakeholders/ producers to adopt sustainable practices and/or engage in alternative livelihoods such as tourism activities.</p>
	<p><u>Mandatory Indicator 3:</u> # direct project beneficiaries.</p>	0	<p>1500 producers trained</p> <p>-1200 men -300 women</p> <p>350 people trained in Institutions (MA, MAgri, local governments, extension agents)</p>	<p>1500 producers trained</p> <p>-1200 men -300 women</p> <p>350 people trained in Institutions</p>	<p>Interest and availability of women to engage and adopt alternative sustainable livelihoods.</p> <p>Interest of local and foreign tourists to visit mountain landscapes.</p>

	<i>Indicator 4:</i> Total area of productive mountain landscapes covered by improved planning and governance frameworks	0 hectares	58,000 hectares	58,000 hectares	Political will and commitment of local governments, civil society and MA
	<i>Indicator 5:</i> Level of capacity to sustainably manage productive mountain landscapes (as measured by UNDP Capacity Development Scorecard ¹⁸)	Total: 28 I3: 2 I4: 1 I5: 2 I9: 2 I10: 2 I11: 2	Total: tbd (5% increase) At least a 5% increase in ratings in target institutions	Total: tbd (71%) At least 10% increase in ratings in target institutions	Commitment of local stakeholders to conservation and sustainable productive systems in selected areas.
Component 1: Systemic landscape management framework Outcome 1.1 Effective cross sectoral governance of 3 threatened mountain landscapes protects biodiversity patterns and processes. Outcome 1.2 Strengthened landscape management across institutions sustains conservation outcomes. Outcome 1.3 Effective local participation in planning	<i>Indicator 6:</i> # of decision making tools for planning and enforcement strengthened to ensure landscape sustainability [i.e. ensure that infrastructure, productive/ extractive activities and forest clearance are not located in ecologically sensitive areas] ¹⁹ : <ul style="list-style-type: none"> – Strategic Environmental and Social Assessment (SESA) for threatened mountain landscapes – Gender strategy for productive landscape management – # Province-level gender-sensitive environmental agendas that consider BD, SFM, and LD in pilot areas – # Municipal Development Plans (MDP) mainstream BD, SFM, and LD considerations, as well as gender sensitivity – # Municipal Land Use Plans (LUP) consider BD, SFM, and LD and 	0 SESA for threatened mountain landscapes	1 SESA for threatened mountain landscapes: Year 1: criteria defined Mid Term: SESA used to guide policy and planning decisions (especially the below PEA, LUP and MDP)		The results of the SESA will determine critical issues as well as guidelines for the formulation and implementation of MDP/PMD and LUP/POT at the local level.
		0% - MA has a gender strategy but not with respect to productive landscapes	50% - Gender Strategy for Sustainable Productive Landscape Management formulated	100% - Gender Strategy implemented with MA and MAgrri technicians in HQ and Provincial offices	
		0 – Provincial Environmental Agendas are not implemented in the pilot areas.	4 Provincial Environmental Agendas formulated.	4 Provincial Environmental Agendas published and adopted	Commitment to planning processes at provincial levels in Baoruco, Independencia, Ocoa, Monte Plata
		0 Municipal Devt. Plans	4 Municipal Devt. Plans formulated in the pilot	10 Municipal Development Plans formulated in pilot	Commitment to planning processes at municipal levels

¹⁸ Emphasis on Indicators 3 (Existence of Cooperation with Stakeholders Groups); 4 (Degree of Environmental Awareness of stakeholders), 5 (Access and Sharing of Environmental Information by Stakeholders); 9 (Extent of Environmental Planning Strategy Development Process); 10 (Existence of an Adequate Environmental Policy and Regulatory Framework); and 11 (Adequacy of the Environmental Information Available for Decision Making).

¹⁹ BD4/9 Indicator 9.2 The degree to which sector policies and regulatory frameworks incorporate biodiversity considerations and implement the regulations; SFM3 Indicator 5: Area of forest resources restored in the landscape, stratified by forest management actors.

	formulated by consensus between local and national stakeholders.		zones	zones and at least 4 published/ adopted and under implementation	
	– # of special categories of land use that guarantee sustainable use of BD	0 Municipal LUP	5 municipal LUP formulated	10 LUP formulated in pilot zones and at least 3 implemented	Commitment to planning processes at municipal levels
		0	5	10 (categories of sustainable land use established by LUP) -private conservation areas -MAB Program in Madre de las Aguas	Commitment to sustain BD friendly productive landscapes among municipalities and producers' organizations
	<u>Indicator 7:</u> Establishment of interinstitutional coordination platform for improved governance, monitoring and enforcement, involving Government institutions at the central, local and private sector levels, as well as community-based organizations.	0% - State of the art GIS capabilities exist in MA, but no interinstitutional coordination.	50% - Maps and database updated and integrated in an inter-institutional GIS to include biological importance, fragility and productive potential of the target areas.	100% - GIS operating in MA offices in pilot zones and interconnected with MAgri and local governments [eventually Regional Offices of the Planning ministry (MEPYD) could be interconnected as well]	Political will and technical capacity to establish interinstitutional coordination platform.
	– % interconnection of GIS				
	– % implementation productive landscapes monitoring system including BD, SFM and LD criteria				
	– % implementation SDG Monitoring System established by project				
– % registration of infractions denounced via Linea Verde hotline and documented in MA Provincial HQ Registry of Infractions	BD monitoring guidelines exist but no integrated BD-LD-SFM system for Productive Landscapes	Year 1: System established Mid Term: Productive Landscapes Monitoring System functioning and providing annual data	100% Productive Landscapes Monitoring System functioning and providing data	Political will and technical capacity at national and local levels to establish and maintain monitoring system. Local interest in pursuing monitoring exercises of key indicators.	
– % implementation of National Early Warning System(EWS) for fires	0 – Dominican Republic has established the indicators to be monitored	Year 1: SDG Monitoring System established with protocol defined for implementation in 4 target municipalities Mid Term: SDG Monitoring System functioning and	100% SDG Monitoring System functioning and providing data	Political will and technical capacity at national and local levels to establish and maintain monitoring system.	

			providing annual data		
		0% Linea Verde designed but not implemented	100%: "Linea Verde" operating in 3 pilot sites and Registry improved in 4 provincial HQ.	100%: "Linea Verde" operating in 3 pilot sites and Registry improved in 4 provincial HQ.	Commitment to establish Linea Verde and improve Registry of infractions in 4 provincial headquarters of MA.
		Early warning system exists but the flow of information is deficient, slow and intermittent; a proposal has been elaborated	Year 1: Proposal for strengthening EWS updated and adopted Mid Term: Early Warning System functioning	100%: EWS for fires functioning in pilot sites. 30%: EWS for fires functioning at national level.	
	<u>Indicator 8:</u> Availability of financial mechanisms for sustainable management of production:	Banco Agricola and FEDA offer specialized funds for conventional productive systems, but no sustainability criteria	3 Agreements for credit mechanisms for sustainable productive activities	3 Credit mechanisms functioning (1 per pilot)	Financial institutions (including private banks) are receptive and supportive of sustainable resource management and productive practices
	– # sectorial credit mechanisms for sustainable management of production landscapes (coffee/cocoa production , under agroforestry or analogous forest schemes, including associated sustainable livelihoods)				
	– # financial mechanisms associated with ecosystem services	0 - Current initiatives are too resource-specific and/or geographically limited for general application and overall Ecosystem Service consideration	1 financial mechanism designed and management/ implementation arrangements agreed upon	At least 1 financial mechanism for ecosystem services functioning in the pilot sites	
	<u>Indicator 9:</u> Local participation mechanisms for land use planning:	0	4 established (Neyba, La Descubierta, Yamasa, Rancho Arriba)	4 municipalities actively engaged in planning processes through municipal development councils	
	– # municipal development councils operating in pilot zone municipalities with stakeholder involvement at different levels				
– # of watershed mechanisms established and operating	1 Commission for the rehabilitation and development of the Ozama and Isabela river basins was established by	1 watershed mechanism operating as a dialog and coordination platform in the Nizao pilot zone.	3 watershed mechanisms operating as dialog and coordination platforms in the Nizao, Sierra de Neyba, and Ozama	Political will and commitment of local stakeholders in the pilot zones to actively engage in dialog platforms at watershed and micro-watershed levels.	

		presidential decree, involving MA and different public, private and community stakeholders.	Local producers supported by the project in the Yamasá pilot zone actively participating in the Ozama-Isabela Presidential Commission.	(Yamasá) pilot zones.		
<p>Component 2:</p> <p>Conservation compatible production systems in threatened mountain ecosystems and conservation corridors</p> <p>Outcome 2.1 Improved flows of global environmental benefits in key production zones</p>	<p><i>Indicator 10:</i> Total area with coverage that guarantees ecosystemic services as well as restoration and connectivity:</p> <ul style="list-style-type: none"> – # hectares forest resources restored/sustainably managed in the landscape²⁰ – # hectares dedicated to sustainable production systems – # hectares applying soil conservation practices that reduce soil erosion rate^{21,22} 	1000 Hectares	2000 Hectares maintained or increased	3000 Hectares maintained or increased	<p>Coordination of efforts by technical institutions, especially CODOCAFE and the Cocoa Commission responsible for promoting the planting of these crops, to agree on methods of extension and training for producers and technicians</p> <p>Commitment of local stakeholders to conservation and sustainable productive systems in selected areas.</p>	
		7500 ha of cocoa with organic production methods (no certified organic coffee in pilot sites)	9,200	10,200		Additional ha. 1,800 Coffee 900 Cocoa
		0 ha. reduce erosion	800 ha ²³ .	1,200 ha.		
	<p><i>Indicator 11:</i> Capacity of MA and target communities to apply integrated fire management (prevention, mitigation, control, and restoration of landscapes):</p> <ul style="list-style-type: none"> – # of ha affected by forest fires in the three pilot zones – # Brigades for fire control established with Infrastructure/Towers, equipment, manual, etc. 	<p>In Nizao pilot zone due to slash & burn agriculture</p> <p>725.9 ha in 2015 114.8ha in 2016</p> <p>No data available in the other pilot zones.</p>	<p>Data registration will be improved in the three pilot areas.</p> <p>Registers show a reduction in affected number of ha.</p> <p>Data to be completed in the first year of implementation.</p>	<p>Data registration shows a significant reduction in the areas affected.</p> <p>Data to be completed in the first year of implementation.</p>	<p>Commitment of local stakeholders to engage in integrated fire management</p>	

²⁰ SFM3 Indicator 5: Area of forest resources restored in the landscape, stratified by forest management actors

²¹ LD3/P4 Indicator 3.2: Application of integrated natural resource management (INRM) practices in wider landscapes

²² Including but not limited to stone dead barriers, crop stubble, deviation channels, slope ditches, bank terraces, etc.

²³ Soil management and conservation practices will be applied on a total of 300 hectares until the end of the project. Although this represents a small part of each farm, its impact covers an area that is at least 4 times larger (1,200 ha).

		1 Brigade in San José de Ocoa	5 (1 Yamasá, 1 Rancho Arriba, 2 in Neyba) + 1 existing in San José de Ocoa	7 (1 Yamasá, 2 Rancho Arriba, 3 in Neyba) + 1 existing in San José de Ocoa	
Component 3: Sustainable livelihoods mainstream BD-friendly practices Outcome 3.1 BD-friendly production systems and livelihoods mainstreamed in agriculture, forestry and tourism sector	<i>Indicator 12:</i> # of tools/instruments to promote BD friendly livelihoods	1 (Cocoa & coffee organic certification)	1 (organic certification) 3 BD friendly technological packages adding value to coffee and cocoa production designed and agreed upon in pilot zones. Design of 3 credit lines (1 per pilot site) with BD friendly production requirements.	1 (organic certification) 3 BD friendly technological packages adding value to coffee and cocoa production incorporated in model farms in pilot sites. 3 credit lines implemented (1 per pilot site) with BD friendly production requirements.	
	<i>Indicator 13:</i> # of viable business plans for sustainable economic activities developed and implemented.	0	Year 1: consolidate associations Mid-term: 3 designed and approved (1 per theme per pilot zone)	3 implemented (1 per theme and per pilot zone)	
	<i>Indicator 14:</i> Credit Access Package facilitates the adoption of sustainable production and livelihoods: – # Credit mechanisms for sustainable livelihoods – % producers with access to credit	Commercial Banks have a “green credit line” but do not finance small agricultural producers, due to risks associated with the activities. 2 financial institutions support micro-enterprises, 1 of which specializes in microcredits for	Year 2: Credit Access Package elaborated Mid-term: 3 credit mechanisms established with local institutions (1 per pilot)	3 local entities (1 per pilot) with a financing mechanism functioning for microenterprises dedicated to productive activities, including agro-ecotourism	Financial institutions (including private banks) are receptive and supportive of sustainable resource management and productive practices

		women.			
		0% support for producers to transition from conventional to sustainable production	70 % Producers in the pilot sites aware of financing options for sustainable productive activities.	50% Producers in the pilot sites accessing financing options for sustainable productive activities	
	<i>Indicator 15</i> : # of micro enterprises adopting BD friendly production systems	0	6 micro-entrepreneurial initiatives developing in pilot zones.	6 micro-entrepreneurial initiatives functioning in pilot zones.	Interest and active Community participation
Component 4: Knowledge Management and M&E Outcome 4.1 Knowledge effectively managed	<i>Indicator 16</i> : Knowledge management methods, processes and tools mainstreamed throughout project implementation.	0	1 KM strategy designed and implemented in pilot zones. Annual planning incorporates systematization activities.	1 KM strategy designed and implemented in pilot zones. Annual planning incorporates systematization activities.	Interest and active participation of public and private sector stakeholders, as well as civil society. Receptiveness among institutions to communications related to environmental sustainability in production landscapes

ANNEX B: RESPONSES TO PROJECT REVIEWS (from GEF Secretariat and GEF Agencies, and Responses to Comments from Council at work program inclusion and the Convention Secretariat and STAP at PIF).

Comment	Response	Reference
<p><u>GEF Secretariat:</u></p> <p>During PPG please ensure that the sustainability of project activities is accounted for, particularly 3.1 (Livelihoods) and 1.2.2 (Financial Sustainability, now 1.1.2).</p>	<p>The sustainability of the project activities is accounted for through the inclusion of periodic capacity building at local and national levels; the strengthening of MA field offices in the pilot areas; the design of financial instruments/ lines of credit to be negotiated with relevant institutions; as well as the provision of business plan development to support sustainable livelihoods diversification in the pilot communities.</p>	<p>ProDoc Section V. Feasibility iv. Sustainability</p>
<p>Please clarify relationship with MAB (as it is mentioned in Table B and para 37). Also, clarify how the sustainability of the CISA program benefits (environmental services protected) will be ensured along with the financial sustainability of the program. Lastly, please ensure that ecotourism support is both innovative and has a clear tie to supporting the delivery of global environmental benefits.</p>	<p>Madre de las Aguas is an extraordinarily BD rich landscape at the heart of the Central range, and is the source of hundreds of streams and water courses, among them some of the country's most important rivers like Yuna, Nizao, Blanco and Ocoa. The GoDR is in the midst of establishing an UNESCO's Man and the Biosphere Programme (MAB) in Madre de las Aguas. Through Output 1.1.1, the project will support the establishment of special categories of land use that guarantee sustainable use of BD in target areas, including a special category of land use in a sensitive area to be developed based on the needs/characteristics of the Madre de las Aguas Biosphere Reserve. This will be put into practice in Output 2.1.2. Furthermore, Output 1.2.1 will promote monitoring of the status of key endemic and native species in priority zones of Madre de las Aguas associated with the pilot sites, as well as any potential changes in species composition as a result of project interventions, i.e. establishment of corridors in Output 2.1.2.</p> <p>The sustainability of the Integral Compensation for Environmental Services scheme (Compensación Integral para Servicios Ambientales – CISA) benefits will be ensured/strengthened through Output 1.2.2 Financial Sustainability. Taking into account lessons learned from the GEF Sabana Yegua project, this project will not establish a traditional PES scheme <i>per se</i>, rather it will promote an Integral Compensation for Environmental Services scheme (Compensación Integral para Servicios Ambientales – CISA), which works with the different sectors in the area to help improve services and living conditions in the local communities as compensation. For example, rather than paying cash to the communities, they provide micro-credits to Small- and Medium-Enterprises (SMEs), incentives to local producers that adopt sustainable land-use practices, among others. The project will build on these experiences, and those of existing mechanisms (described in the Barriers section and Annex K), such that by mid-term, 1 financial mechanism is designed and the management/ implementation arrangements have been agreed upon. Subsequently, by project end, at least 1 financial mechanism for ecosystem services should be functioning in the pilot sites.</p> <p>Additionally, an alliance will be made with a recently established water fund in Ozama and Nizao watersheds</p>	<p>ProDoc IV. Results: Outputs 1.1.1, 1.2.1 and 2.1.2</p> <p>Output 1.2.2</p> <p>Outcome 2 Pilots and</p>

	<p>(Santo Domingo Water Fund) which is currently in capitalization stage. This fund provides financing following the project sustainability criteria and beneficiaries.</p> <p>Protected Areas in the South are an important resource for developing sustainable nature-based tourism in nearby communities to complement the traditional tourism sector. The Ministry of Environment, through the Reengineering Project of the SINAP (National System of Protected Areas) has worked in the National Parks and provided infrastructure for incorporating public use, so as to serve as a platform for different tour operators and small hotels to offer tours to them and expand their offerings to tourists. Through Component 3 and the pilots in Component 2, the project will ensure the support provided to the development of ecotourism is both innovative and has a clear tie to supporting the delivery of global environmental benefits. The project will provide business development support for supply chain initiatives: create conditions in small producers to ensure they have the capacity to insert themselves within the supply chain and develop it to guarantee value-added in production. This includes ecotourism and other value chains. There are several alternative forms of tourism (ecotourism, agrotourism, agrobiodiversity, bird watching tourism, and others) that can be developed as value-chain activities, complementary to the sustainable production systems promoted by the project. Within the Business Plans resulting from Output 3.1.1, the best suited options for each pilot site will be established in the design of site-specific ecotourism destination packages. In particular, the PPG phase determined cost-effective options for project support such as the design and construction of 3 interpretation trails with adequate signage within agroforestry systems in each pilot site; the enabling of accommodation spaces for visitors in 10 local households in Ozama and Nizao pilot sites; and the enabling of visitor reception and orientation facilities in each pilot site.</p>	Output 3.1.1
<p><u>STAP:</u></p> <p>While many of the outputs are planned technical activities, the most important barrier discussed is the <u>lack of implementation</u>. STAP therefore recommends that serious consideration be given to increasing the emphasis on obtaining on-the-ground practical experience by implementing its objectives in the three landscapes. This would slightly change the wording of the <u>Project Objective</u> to emphasize more practice, and less policy. The wording and emphasis (including outputs) of <u>Component 2</u> should also be modified to reflect the use of a bottom up approach, using clear targets in terms of land protected, poverty reduction, etc. to focus the project and to drive changes to the enabling environment in terms of higher level policy/practice and technical approaches/applications. In addition, STAP recommends greater use of lessons from such approaches to mainstreaming, including local government planning approaches, democratic</p>	<p>There is political will to approve and implement the National Law of Territorial Ordinance within the lifetime of the project. Thus, the project provides an opportunity to strengthen it through local mechanisms in Component 1 and put it into practice in the pilot sites in Component 2. Through Output 1.1.1, this National Law will be bolstered by the establishment of a Strategic Environmental and Social Assessment (SESA) for threatened mountain landscapes. The project will support the strengthening of capacity development mechanisms to include BD, SFM, LD, and gender sensitivity criteria as well as facilitate the formulation of 4 Provincial Environmental Agendas, with BD and ecosystem services conservation criteria, and their implementation in the pilot areas (Component 2). The project will engage in the formulation and implementation of new Municipal Development Plans to ensure the inclusion of BD, SFM, LD, and gender sensitivity criteria. Furthermore, support will be provided for the elaboration and application of Municipal Land Use Plans, mainstreaming BD, SFM and LD criteria. At least 4 MDPs in the pilot areas will receive capacity building and implementation support in Component</p>	Output 1.1.1, Component 2 pilots

<p>catchment committees/ communities and principles of collective action (please see Eleanor Ostrom's work in this area).</p>	<p>2. To bolster these efforts, the project will facilitate the establishment and strengthening of 2 watershed councils in the pilot zones of Rancho Arriba and Yamasá.</p> <p>While the project strives to strengthen the policy framework for productive practices, it emphasizes a bottom-up approach for sustainability. During the PPG, clear targets were identified in terms of application of sustainable practices, potential areas for connectivity, voluntary private protected areas, and livelihoods for poverty reduction. Through the activities proposed for the 3 pilot areas, the project aims to drive changes to the enabling environment in terms of higher level policy/practice and technical approaches/applications. As such, the wording of the project has been adjusted to reflect the emphasis on local implementation and experiences. Furthermore, the project has taken into account the lessons learned from previous and ongoing initiatives at national and local levels to ensure effective mainstreaming and adoption of gender-sensitive BD, LD and SFM considerations in productive practices and livelihoods.</p>	
<p>STAP recommends that during the PPG a stronger understanding of the relationship between small scale farmers, trends in cocoa and coffee industries, land sales and environmental pathways as it develops its intervention strategy should be undertaken. As noted, when marginal smallholders go out of business, what happens to this land? The processes and root causes driving these trends need to be better understood. What are the implications, for instance, of supporting the development of (and subsidizing) coffee/cocoa production, biodiversity mainstreaming, and land management activities as described versus using these same subsidies more directly for biodiversity through tourism development, PES, etc. STAP would encourage proponents to review the recommendations in the STAP Publication "Payments for Environmental Services" http://www.stapgef.org/payments-for-environmental-services-and-the-global-environment-facility/.</p>	<p>Coffee and cocoa are traditional crops in the DR that rely heavily on small farming (3.5 ha in average). Land use and cover studies show that coffee and cocoa play an important role in keeping forest cover and ecosystems services. However, in recent years, Coffee and Cocoa have been severely affected by plagues (such as rust for coffee and monilia for cocoa), particularly during the drought experienced by the DR and the Caribbean in 2014-2015. This prompted many producers to pursue land use changes that accentuate biodiversity losses and land degradation. Rather than abandon their lands, farmers turned to alternative crops, such as avocado, that are more lucrative in the short-term but cause severe degradation to the forest ecosystems in the long term (soil, nutrients, vegetation cover).</p> <p>Initiatives like the Cocoa Life programme and the REDDOM/USAID project for sustainable cocoa production in the DR use similar approaches of addressing community, youth, livelihoods and environmental challenges, and offer training to women and youth in income-generating activities and management of micro enterprises. CONACADO's efforts to improve the farm and commercialization phases in cocoa production, among others, are not only improving the opportunities for income-generation and BD conservation, but offering women and the younger generation new and attractive opportunities to remain in their communities. Furthermore, the government's Agroforestry Program is promoting coffee planting in association with forest and fruit crops, by providing incentives aimed at improving living conditions and recovering forest cover. This GEF project builds on and adds value to these experiences by mainstreaming BD, SFM, LD, gender and age sensitive criteria in productive practices in mountain landscapes in the pilot sites, thus increasing the opportunities to improve living conditions while protecting ecosystem services and GEBs.</p>	<p>ProDoc IV. Results and Partnerships (ii. Partnerships)</p>

<p>STAP requests that the issue of "more sustainable practices" and "alternative land uses" is evaluated carefully, taking a systems thinking approach. Are they really available and/or viable, and do they really have positive environmental impacts, or is this merely hopeful wishful thinking? Where do they exist, what is the evidence base that they are better, and if they are, why have they not already been adopted?</p>	<p>Producers in the pilot areas are aware of organic practices as required for the various certifications available in DR, particularly for cocoa. However, they often do not specifically emphasize the incorporation or promotion of BD, LD and/or SFM considerations (i.e. interspersing complementary endemic nitrogen-fixing species) that complement the focal or “valued” species (coffee, cocoa). There are a number of small-scale, local initiatives that demonstrate positive impacts of different sustainable practices. For example, recent experiments in the Libón river basin, in the northwestern border zone with Haiti, and one of the main tributaries to the Artibonito River, have succeeded in introducing native and endemic species for reforestation, along with pinus caribea, with high acceptance among forest producers. With the support of the GIZ sponsored Libón Verde project, the Ministry of the Environment is already collecting seeds and producing plants of some five or six of the native and endemic species in the nurseries located in the northern border province of Dajabón. This is an important step forward, but is limited in scale and geographical application. The project will build upon this experience through Output 2.1.2. The project has identified the other actors engaged in these small-scale experiences in each pilot area and will coordinate with them to adjust them to the characteristics and needs of the pilot areas and develop replicable models for further, more wide-scale implementation in the future:</p> <ul style="list-style-type: none"> • Sierra de Neyba: CIEPO, Floresta, World Vision, FUNDASUR, FEMARE, FEDOMU (ASOMURE) • Nizao: ADESJO, FEDOMU (ASOMUREVA), USAID, PRONATURA • Ozama: CNC, Conacado, forestry cooperatives, NGOs such as REDDOM, USAID 	<p>ProDoc IV. Results: Component 2</p>
<p>STAP compliments the criteria used to select landscapes, and the limited and manageable scope of the project. On the specific issue of planning for mainstreaming and sustainable production, STAP would urge proponents to review STAP's recently published guidelines on "Designing Projects in a Rapidly Changing World": https://www.thegef.org/sites/default/files/publications/STAP-RaptaGuidelines-2016.pdf</p>	<p>The RAPTA (Resilience, Adaptation Pathways and Transformation Assessment) Framework offers practical guidance in how to apply the concepts of resilience, adaptation and transformation in planning projects so they are better designed to deliver valuable, durable outcomes in the face of high uncertainty and rapid change. The project’s design considers the RAPTA Framework’s focus on learning, on testing assumptions and improving the knowledge base through the development and implementation of a variety of capacity building tools and practices in Components 1,2 and 3, and their systematization in Component 4. The project agrees with STAP that it is this focus that will break the cycle of business-as-usual investment in productive systems in the DR’s mountain landscapes that does little to fundamentally change the dynamics of complex systems and poverty in producer communities. Through the capacity building activities and hands-on interventions in the selected pilots, the project promotes a strong commitment to building the knowledge systems and learning culture to support this shift. The deliberate provision and strengthening of extension agents and farmer schools in Components 2 and 3, ensures the adoption of structured learning in recognition of the need for learning and capacity building to be at the core of efforts to manage social–ecological systems. Through this process, and</p>	<p>ProDoc IV. Results: Components 2 and 3</p>

	<p>the associated monitoring systems, project stakeholders will systematically fill critical knowledge gaps and test assumptions over time.</p>	
<p>The GEBs are well defined. Barrier 1 is wordy, and does not reflect the meat of the argument that there is little practical on-the-ground experience in the application and compliance of policy. Likewise, barrier 2 might focus more on municipal authorities following the narrative. Barrier 3 is fine, though the narrative around the issue of sustainable land use practices is weak and sometimes confusing.</p> <p>The link between improving production and contributing to biodiversity is not made (p11). The text on productive sectors and their links to economics and biodiversity impact, although quite long (p7-10) is insufficiently clear (para 4 exactly repeats para 3). How exactly does cocoa and coffee contribute to biodiversity, and when small holders go out of production what are the alternatives: does land revert to forest, or does it get incorporated into large commercial plantations? Understanding these pathways is important for project design. For instance, without clarity one could argue that the project subsidizes marginal farming (coffee/cocoa) of land that could revert to forest.</p>	<p>The Barriers section has been revised to provide a clearer connection with the narrative and expected GEBs. In particular, the text of Barrier 1 has been adjusted to reflect that there is limited on-the-ground experience in the application and compliance of policy and financial mechanisms, while Barrier 2 includes additional information on municipal and local capacity gaps.</p> <p>As mentioned above, in recent years, Coffee and Cocoa have been severely affected by plagues, particularly during the drought experienced by the DR and the Caribbean in 2014-2015. This prompted many producers to pursue land use changes that accentuate biodiversity losses and land degradation. Rather than abandon their lands, farmers turned to alternative crops, such as avocado, that are more lucrative in the short-term but cause severe degradation to the forest ecosystems in the long term (soil, nutrients, vegetation cover).</p> <p>The Project promotes the conservation/expansion of coffee and cocoa cultures and the diversification of farms through agroforestry, analogous forest and other similar sustainable models (BD, SFM and LD friendly) which result in quick gains in terms of income-generation for the farmers and their families, and contribute to the preservation of BD and associated ecosystem services. Specifically, shade coffee and cocoa cultures contribute to the retention of forest coverage and avoided land degradation. The use of shade in coffee and cocoa production promotes native forest cover, which in turn provides important habitat for flora (ferns, bromeliads and orchids) and fauna (amphibians, reptiles and bats). These crops have a long lifespan (on average 100 years), so they promote soil stability and avoid erosion in fragile mountain landscapes that are prone to mudslides, especially in times of high precipitation and winds from increasingly frequent severe climatic events. They also contribute to ecosystem services such as the provision of fresh water to downstream communities, including the nation’s capital city of Santo Domingo. Furthermore, the diversification of coffee and cocoa farms reduces the vulnerability to plagues, making them more resilient to climate changes, and contributes to the protection of biodiversity, ultimately increasing BD connectivity between productive mountain landscapes in the pilot sites with neighboring protected areas.</p> <p>The productive systems promoted by this GEF project around coffee and coca discourage agricultural and/or forest management practices that can impact negatively on BD like cutting and burning, and in general, fire as a means of cleaning the land; the use of agrochemicals, including chemical fertilizers and pesticides, tillage, monocultures on large tracts of land, and the introduction of potentially invasive alien species. Their success in terms of BD conservation rests on the maintenance of vegetation cover, and on the closest possible approximation to the functional</p>	<p>ProDoc III. Strategy: Barriers</p>

	<p>structure of the ecosystem, the sustainable use of the soil and the connectivity with protected areas.</p> <p>Protocols will be established for the monitoring of biodiversity, coordinated with the National Biodiversity Monitoring System and the instances for its management. Monitoring will be carried out at the level of species richness of selected taxa (emphasis on endemic species, threatened and vulnerable to climate change), flora (ferns, bromeliads and orchids) and fauna (amphibians, reptiles and bats).</p> <p>The models promoted by the project contribute significantly to the achievement of the Aichi Goals and global and national strategies for the conservation and use of biological diversity under the Convention on Biological Diversity.</p>	
<p>The incremental cost reasoning for this project is strong. It builds on past initiatives (p21/22, p11-12), and its main goal is to take policy into practice. The reasoning would be even stronger if it focused, as its priority, in making the three landscapes work, using the multi-stakeholder forms and actions taken as a learning process that contributes to scalability (please look at the UNDP/GEF South African Grasslands Project for how "short hook" strategies (solving problems in the field, and getting to indicators for biodiversity) were translated into "long hook" approaches (changes in policies and approaches) through such a process, the key to which was high quality technical facilitation.</p>	<p>Indeed, a guiding principle of this project is using the multi-stakeholder forms and actions that contribute to scalability through interventions that have a high quality technical facilitation. The strategic importance of both coffee and cocoa production in the country highlight the relevance of this project and the potential for scalability/replicability based on the experiences of the proposed demonstration pilot projects. The project will provide strong technical capacity building to solve problems in the field, and acquire indicators for BD, SFM, LD and the SDGs. In turn, these relatively low-cost interventions are expected to have a high level impact on the planning and policy framework that will have a greater impact throughout the relevant sectors in the long term.</p>	<p>ProDoc IV. Results</p>
<p>The stakeholder analysis is strong. The role of municipalities and local communities in implementation could be emphasized, including an assessment of their capacity to take on these roles (the PIF states that this area has been chosen partly because some communities have some governance capacity, but does not elaborate on this).</p>	<p>Indeed the role of municipalities and local communities is essential to the success of this project. During the PPG, several site visits were made, in part to assess the current capacity (and needs) of these crucial stakeholders/partners with regards to implementing the tools to be developed in coordination with the project, such as the Province-Level Environmental Agendas, Municipal Development Plans and Municipal Land Use Plans, as well as the Linea Verde, Integrated Fire Management strategy/brigades, and Monitoring systems for BD/LD/SFM and SDGs. The elaboration process of these tools will have a strong participatory character so as to provide hands-on development of capacity to adopt and implement these planning tools. The project will also support the implementation and strengthening of existing mechanisms such as the Watershed Councils and establishment of extension services through farmer field schools.</p>	<p>ProDoc IV. Results and Partnerships (ii. Partnerships and iii. Stakeholder Engagement)</p>
<p>Perhaps the biggest assumption (risk) is whether land use models are available to carry the aspirations of this project. It is easy to talk about introducing more sustainable models. But are these available? The availability of such models (or not) and supportive science/extension services should be included as a risk.</p>	<p>For the introduction of more sustainable models this project builds on the achievements of 3 earlier GEF funded initiatives through UNDP: Sustainable Land Management in the Upper Sabana Yegua Watershed System, Artibonito Binational project, and Capacity Development for SLM in the DR, and from other successful experiences of application of simple-but-effective sustainable management practices of natural resources, like the Libón Verde binational project, and the REDDOM/USAID project for sustainable cocoa production in the DR. There will be continuous information</p>	<p>ProDoc IV. Results and Partnerships (v. South-South and Triangular Cooperation (SSTrC))</p>

	exchange between this project and other projects of similar focus to share knowledge, lessons learned and good practices.	
On a minor note, the description on the baseline (p11-12) is both unclear (para 23) and incomplete (the important paragraphs 26 and 27).	The text provided in the Project Document has been expanded to provide clear and complete information, particularly with regards to the Presidential targets and National Forest Fire Management Plan.	ProDoc Section II Development Challenge - Baseline
<p><u>GEF Council:</u></p> <p><u>Germany</u> agrees with the proposal which aims to strengthen landscape management and generate environmental benefits, with a particular focus on biodiversity and ecosystem services.</p> <p><u>Suggestions for improvements to be made during the drafting of the final project proposal</u></p> <ul style="list-style-type: none"> Germany suggests to carefully revise the planned amount of co-funding in the full proposal by the Dominican Ministry of Agriculture (54 Mio \$ US) and verify if this amount can realistically be made available, especially 15 Mio \$ US in cash. 	All Co-financing Commitment letters are provided in Annex S of the Project Document. As stipulated in its Cofinancing Commitment letter, the Ministry of Agriculture is indeed committed to ensuring the investment of US\$16 Million in cash for the production of plants, nurseries, maintenance of inter-farm access roads, production of organic fertilizers, and Knowledge Management; provision of small in-farm infrastructure for organic production, equipment for plague control in cocoa and coffee cultures. MAgri has also committed US\$23 Million in-kind through extension agents for accompaniment to producers, and the establishment of interinstitutional coordination platforms (personnel, logistics and equipment). This commitment reflects the government's prioritization of water and agroforestry by both MA and MAgri: 2017 is the "Year of Agroforestry" as evidenced in the establishment of the government Agroforestry Program and creation of a specific Agroforestry Unit, while 2016-2020 is considered the "Quadrennium of water". Details of all co-financing commitments are available in Section IX Financial Planning and Management of the Project Document.	CEO EndApp Table C, ProDoc Section IX Financial Planning, Annex S

Response to Secretariat Comments

Project:	Mainstreaming Conservation of Biodiversity and Ecosystem Services in Productive Landscapes in Threatened Forested Mountainous Areas	GEF ID:	9424
Country:	Dominican Republic	GEF Agency ID:	5761

Questions	Secretariat Comment at CEO Endorsement Review	Response	Response added to text
2. Is the project structure/ design appropriate to achieve the expected outcomes and outputs?	<p>May 15, 2018</p> <p>No, thank you for the revisions but please address the following:</p> <ul style="list-style-type: none"> - There is a fundamental assumption that increased production will mean that farmers won't expand into existing habitat. However, increased revenue per hectare can have the opposite effect, making "unused land" more appealing. Particularly for coffee which can potentially expand to higher altitudes with climate change. How will the project address this challenge? - 	<p>The Project supports a series of actions in three pilot zones outside the limits of neighboring protected areas. These zones have been subjected to land and forest degradation due to over-use, thus making the gains in coverage and biological connectivity greater than the risk of expansion to existing habitat.</p> <p>It is true that increased revenue in any crop may increase plantation in non-appropriate zones, but fortunately the country has put in place norms and institutions to avoid such risk, particularly in protected areas and buffer zones. Without the authorization of the Ministry of the Environment, any plantation of the kind would become illegal and therefore subjected to destruction. It is important to keep in mind that both the ministries of the Environment and Agriculture have signed co-financing agreements with this project, indicating their commitment to this endeavor.</p> <p>Two of the actions supported by the Project contribute to reduce the risk referred to in the comment: (i) the formulation and implementation of land use plans in the pilot sites municipalities, as a land planning tool articulated with sustainable production models, and (ii) the strengthening of in situ monitoring, control and oversight capacity in the Ministry of the Environment, in close coordination with local governments and other public and private stakeholders.</p> <p>It is worth noting that as any other crop, coffee needs special environmental conditions. The ideal temperature is between 17 and 26°C. Below 16 °C sprouts burn and</p>	ProDoc Section V Feasibility: Risk Management p. 56

Questions	Secretariat Comment at CEO Endorsement Review	Response	Response added to text
		<p>above 27 °C there is a greater risk of dehydration, with photosynthesis reduction. Appropriate height is between 900 and 1,600 meters above sea level. At lower heights production costs rise, due to reduced grain quality, and at higher altitudes plants growth diminishes. These conditions in themselves hinder expansion to “unused lands” such as the protected areas near the pilot zones.</p> <p>In addition to signing co-financing letters for this Project, the Ministries of the Environment and Agriculture hold the greatest responsibility in the Dominican government Agroforestry Program, which shares common goals with this Project such as increased coverage and halting slash and burn agriculture’s expansion to protected areas by promoting agroforestry systems. These agroforestry systems, like the ones promoted by this project, are one of the strategies used in protected areas buffer zones due to their biodiversity-friendly nature and their contribution to support the flow of vital ecosystems services such as soils protection, nutrients cycle, protection of water resources, species habitats, carbon fixation and disaster prevention.</p>	
	<p>Please mention the KBAs near the areas where the project will be working as it helps bolster the case for working on mainstreaming in these particular landscapes.</p>	<p>While the three pilots were chosen primarily for their importance for watershed management, they are near important Key Biodiversity Areas (KBA):</p> <p>Model A: Sierra de Neyba</p> <p>The Project’s pilot site is in the southern slopes of western Sierra de Neiba, which is the main access to the top of the Sierra de Neiba Key Biodiversity Area (KBA). The southern slope has been severely deforested, and most of the original forest remains at the mountain top of the sierra, which is both a national protected area (Sierra de Neiba National Park) and an important Dominican Republic KBA.</p> <p>The area forms a natural corridor between Sierra de Neiba National Park and Lago</p>	<p>Annex H ProDoc Section IV Results, Component 2, Pilot Sites p. 31-33</p>

Questions	Secretariat Comment at CEO Endorsement Review	Response	Response added to text
		<p>Enriquillo National Park in the lowlands, at the base of Sierra de Neiba. Lago Enriquillo is the biggest inland lake of the insular Caribbean; it is a hypersaline below-sea-level lake with important biodiversity values, including the only breeding population of the American Crocodile (<i>Crocodylus acutus</i>) in the Dominican Republic and in Hispaniola.</p> <p>The KBAs in the Dominican Republic were first identified as Important Bird Areas (IBAs; AICAS by its Spanish acronym) (Perdomo, L. et al. 2010. Áreas Importantes para la Conservación de las Aves en la Republica Dominicana. Grupo Jaragua y el Programa IBA-Caribe de BirdLife International: Republica Dominicana. Santo Domingo, República Dominicana).</p> <p>The project documents refer to this KBA as:</p> <p>AICAS/IBAS), Sierra de Neiba Project site, Sierra de Neiba (DO004) and Lago Enriquillo (DO005) (Perdomo et al., 2010), Sierra de Neiba KBA and Lago Enriquillo KBA (CEPF, 2009).</p> <p>Model B: Nizao</p> <p>This site is within the Cordillera Central Biodiversity Corridor. Two of the main KBAs within this corridor are Valle Nuevo KBA, to the northwest, and Loma La Humeadora KBA, to the southeast.</p> <p>They are referred to as: Valle Nuevo AICA DO011 and Montaña La Humeadora, AICA DO015. Also, as KBAs in CEPF (2009)</p> <p>Model C: Ozama</p> <p>The Ozama River Middle watershed site is of prime importance for the ecosystem services it provides, in particular water. It is of first importance for fresh water supply to Santo Domingo city, the capital city of the Dominican Republic and surroundings. While it is not close to any particular KBA, the document refers to Important Bird Areas (AICA in</p>	

Questions	Secretariat Comment at CEO Endorsement Review	Response	Response added to text
		<p>Spanish):</p> <p>AICA DO 018 Los Haitises and AICA DO 015 La Humeadora (Perdomo et al., 2010) and KBA Los Haitises and La Humeadora (CEPF, 2009).</p>	
<p>6. Are relevant tracking tools completed?</p>	<p>May 15, 2018</p> <p>No, for the carbon calculations – the table is missing the type of activities implemented that lead to carbon sequestration and the baseline scenario which is needed for the accounting of GHG emissions reduction. In addition, the table only provides carbon storage in the above ground biomass. The below ground carbon storage should also be included in this assessment.</p> <p>To provide a complete analysis including the net emissions reductions of the GEF project the GEF recommends the use of the EX-ACT tool. The GEF also recommends the use of the carbon benefits project.</p>	<p>The full ExACT tool is provided separately. In the scenario without a project, the combined effects of greenhouse gases GHG and carbon sequestration total about -14,306,905 tons of CO2-e, equal to -124 tCO2-e during the entire analysis, or -6.2 tCO2-e per hectare /year.</p> <p>The comparison of the gross results between the scenario without and with the project presents the difference achieved through the execution of the project, which is also called the carbon balance of the project. It represents a total of -3,906,055 tCO2-e of avoided emissions or an increase in carbon sequestration during the entire duration of the full 20-year analysis. This amounts to a reduction in emissions of -34 tCO2-e per hectare for the entire duration or, -1.7 tCO2-e per hectare per year. The annual carbon sequestration is estimated to be 195,303 tCO2-eq.</p>	<p>Annexes</p> <p>CEO Endorsement Request, Table E</p>

ANNEX C: STATUS OF IMPLEMENTATION OF PROJECT PREPARATION ACTIVITIES AND THE USE OF FUNDS²⁴

A. Provide detailed funding amount of the PPG activities financing status in the table below:

PPG GRANT APPROVED AT PIF: US\$ 180,000			
<i>PROJECT PREPARATION ACTIVITIES IMPLEMENTED</i>	<i>GETF/LDCF/SCCF/CBIT AMOUNT (\$)</i>		
	<i>BUDGETED AMOUNT</i>	<i>AMOUNT SPENT TODATE</i>	<i>AMOUNT COMMITTED</i>
Project Preparation Grant for concluding the Project Document UNDP-GEF “Mainstreaming Conservation of Biodiversity and Ecosystem Services in Productive Landscapes in Threatened Forested Mountainous Areas”.	180,000.00	98,354.32	46,574.14
TOTAL	180,000.00	98,354.32	46,574.14

²⁴ If at CEO Endorsement, the PPG activities have not been completed and there is a balance of unspent fund, Agencies can continue to undertake the activities up to one year of project start. No later than one year from start of project implementation, Agencies should report this table to the GEF Secretariat on the completion of PPG activities and the amount spent for the activities. Agencies should also report closing of PPG to Trustee in its Quarterly Report.

ANNEX D: CALENDAR OF EXPECTED REFLOWS (if non-grant instrument is used)

Provide a calendar of expected reflows to the GEF/LDCF/SCCF/CBIT Trust Funds or to your Agency (and/or revolving fund that will be set up)

N/A



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United Nations Development Programme

Project Document template for nationally implemented projects
financed by the GEF/LDCF/SCCF Trust Funds

Project title: Mainstreaming Conservation of Biodiversity and Ecosystem Services in Productive Landscapes in Threatened Forested Mountainous Areas	
Country: Dominican Republic	Implementing Partner: Ministry of Environment and Natural Resources
Management Arrangements: National Implementation Modality (NIM)	
UNDAF/Country Programme Outcome: By 2022, the Dominican Republic will have increased its social and environmental sustainability and its resilience to climate change impacts and other natural hazards by promoting sustainable production and consumption patterns, encouraging adequate land use, and effectively managing its natural resources, watersheds and disaster risks.	
UNDP Strategic Plan Output: Growth is inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded (Strategic Plan 2014-2017).	
UNDP Social and Environmental Screening Category: Low Risk	UNDP Gender Marker: GEN2
Atlas Project ID/Award ID number: 106286	Atlas Output ID/Project ID number: 107101
UNDP-GEF PIMS ID number: 5761	GEF ID number: 9424
Planned start date: February 2018	Planned end date: January 2024
LPAC date: TBD	
Brief project description: The project proposes a multi-focal landscape approach (BD, LD, SFM) to address threats to the biodiversity and ecosystem services of productive mountain landscapes. Integrated landscape management is indispensable for delivering the multiple environmental benefits required for maintaining a multi-functional and biodiversity-rich productive landscape in the Dominican Republic. The project overall objective is to mainstream the conservation of biodiversity and ecosystem services in public policies and practices to effectively buffer current and future threats across productive mountain	

landscapes.

The proposed project is aligned with **BD 4: Mainstream Biodiversity Conservation and Sustainable Use into Production Landscapes/Seascapes and Sectors**, specifically **Program 9: Managing the Human-Biodiversity Interface**. In compliance with GEF *Outcome 9.1*, the project will support an increased area of production landscapes that integrate conservation and sustainable use of biodiversity into management. This will be accomplished through supporting the development and application of land-use plans and practices that include environmental sustainability criteria to guarantee ecosystem health, connectivity and resilience in montane areas. The project is also aligned with *Outcome 9.2* and will support the incorporation of biodiversity considerations in Sector policies and regulatory frameworks.

With regards to **LD 3: Reduce pressures on natural resources by managing competing land uses in broader landscapes**, the project will focus on the application of **Program 4: Scaling-up sustainable land management through the Landscape Approach**. The project will contribute to *Outcome 3.2* by supporting efforts to scale-up policies, practices, and incentives for improving production landscapes with environmental benefits, and will encourage wider application of innovative tools and practices for natural resource management.

Finally, the project is also aligned with **SFM 3: Restored Forest Ecosystems: Reverse the loss of ecosystem services within degraded forest landscapes**. In particular, the project will contribute to *Outcome 5* by supporting the development and application of integrated landscape restoration plans to maintain forest ecosystem services. The project will support the implementation of these plans at appropriate scales by government, private sector and local community actors. This will be achieved through the development and application of production and management practices that restore forests and ecosystem services and ultimately contribute to increasing connectivity of native species. Ultimately, the project will support the protection and increase of vegetation cover that is key to mitigating climate change.

FINANCING PLAN

GEF Trust Fund	USD 8,176,165
(1) Total Budget administered by UNDP	USD 8,176,165

PARALLEL CO-FINANCING (all other co-financing that is not cash co-financing administered by UNDP)

UNDP (Grant)	USD 2,500,000
Government: Ministry of Environment (Grant)	USD 5,100,000
Government: Ministry of Environment (In-kind)	USD 5,400,000
Government: Ministry of Agriculture (Grant)	USD 16,000,000
Government: Ministry of Agriculture (In-kind)	USD 23,310,000
FAO (In-kind)	USD 100,000
CODOCAFE (Grant)	USD 750,000
CODOCAFE (In kind)	USD 415,000
Santo Domingo Water Fund (Grant)	USD 321,000
Dominican Federation of Municipalities (FEDOMU) (Grant)	USD 87,227

Dominican Federation of Municipalities (FEDOMU) (In-kind)	USD 24,150	
(2) Total co-financing	USD 54,007,377	
(3) Grand-Total Project Financing (1)+(2)	USD 62,183,542	
SIGNATURES		
Signature: Francisco Dominguez Brito Minister of Environment and Natural Resources	Agreed by Government	Date/Month/Year:
Signature: Lorenzo Jiménez de Luis UNDP Resident Representative	Agreed by UNDP	Date/Month/Year:

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LIST OF ACRONYMS

AWP	Annual Work Plan
BD	Biodiversity
CBD	Convention of Biological Diversity
CC	Climate Change
DGODT	General Directorate for Land Use Planning
DPC	Direct Project Costs
DR	Dominican Republic
FEDOMU	Dominican Federation of Municipalities
EU	European Union
FAO	Food and Agriculture Organization
FCPF	Forest Carbon Partnership Facility
GEF	Global Environment Facility
GIS	Geographic Information System
GTI	Technical Interinstitutional Group of the Vice Ministry of Soils and Water
GTZ/GIZ	German Cooperation Agency
IDB	Inter American Development Bank (Banco Interamericano de Desarrollo)
IUCN	International Union of Conservancy Nature
LD	Land Degradation
LDN	Land Degradation Neutrality
LUP	Land Use Plan
MA	Ministry of Environment
MAgr	Ministry of Agriculture
MDP	Municipal Development Plan
M&E	Monitoring & Evaluation
MEPYD	Ministry of Planning, Economy and Development
METT	Management Effectiveness Tracking Tools
MTE	Mid-term Evaluation
NBSAP	National Biodiversity Strategy Action Plan
NGO	Non-government Organization
NPAS	National Protected Area System
PA	Protected Area
PES	Payment for Environmental Services
PIRs	Annual Project Implementation Reviews
PPG	Project Preparation Grant
REDD	Reduction of Emissions Caused by Deforestation and Forest Degradation
RSC	Regional Service Center
SFM	Sustainable Forest Management
UNCCD	United Nations Convention to Combat Desertification
UNDAF	United Nations Development Assistance Framework
UNEP	United Nations Environment Program
UNFCCC	United Nations Framework Convention on Climate Change

II. DEVELOPMENT CHALLENGE

1) Global environmental and/or adaptation problems, root causes and barriers that need to be addressed:

Biodiversity

1. The Dominican Republic is one of the most biologically diverse countries in the Caribbean. The country has the highest altitudinal range in the region, extending from below sea level in the Enriquillo Lake area to 3,175m at Pico Duarte. Mountain ranges account for around 27% of the national territory and produce a great diversity of habitat from pine forests to mangroves, and create over 30 major watersheds of which 16 are the most important. There are 17 zones that catch the majority of the country's surface water: in the Central Mountain Range, Madre de las Aguas concentrates the major number of surface water catchment zones, which feed into 3 of the country's most important rivers. 6,000 plant species have been documented including 300 species of orchid. Of the 306 species of birds reported for Hispaniola¹, approximately 140 are residents in the DR. It is also important for at least 136 migratory species during the North American Winter. The DR's avifauna has exceptionally high levels of endemism with 34 species²; 23 species are classified as Globally Threatened.

2. The country's complex and diverse array of habitats supports a high degree of unique and globally significant biodiversity, in recognition of which it has been identified as a "Caribbean Hotspot". The country's terrestrial biodiversity shares an additional 30% co-endemism rate with the island of Cuba, making the Dominican flora and fauna of critical importance to the Antillean biodiversity profile. Three of the nation's terrestrial ecosystems - the Hispaniola pine forest, the Hispaniola humid forests, and the wetlands of the Enriquillo basin - are listed among the top conservation priorities in the Latin America and Caribbean Ecoregions.

Socioeconomic Context:

3. In recent decades, the Dominican Republic has maintained a constant economic growth, reaching 6.4% in 2015, and 7.4% in 2016. In the first semester of 2017, GDP growth decelerated to 4%. Since 2014, it has been considered one of the countries with High Human Development, with 0.722 in 2016, although high disparities are hidden behind the national average. One of the most significant achievements has been the attainment of the target set in the Millennium Development Goals of reducing extreme poverty to 5.2%. Furthermore, good macroeconomic performance is evidenced by indicators of stable inflation and the start of new public policies (in 2012) for promoting rural micro credit projects, sustained investment of 4% of GDP in pre-university education, increased health insurance, literacy programs, and the expansion in coverage of the Conditional Cash Transfer program. However, important challenges persist in the country regarding redistribution and inclusion. According to the 2008 Human Development Report, while the general population is registered as economically Medium-high, there are important gaps in distribution of wealth and resources. Indeed, the majority of communities that live below the poverty line are found in mountainous areas (>500m) and represent some of the poorest and most marginalized segments of the Dominican population. This population is also the most vulnerable to Climate Change events. Dedicated to smallholder farming, and struggling to grow enough food for their families, rural montane communities are increasingly faced with severe land and water degradation problems, which steadily undermine their productivity and livelihoods.

Productive sectors:

¹ Latta et al., 2006

² Perdomo y Arias, 2008

Agriculture:

4. Agriculture is a very important sector in the Dominican Republic in terms of food production, revenue, and employment. In recent years, the sector has represented, on average, 8.2% of GDP, with average annual growth of 4.4%. In 2016, it decelerated to 6% of the GDP, and in the first semester of 2017 it grew 6%, compared with the same period of 2016. Agricultural production is predominantly carried out by small farmers, and while the sector has posted positive GDP growth during the past decade, productivity for most crops is 50 percent below the regional average, a gap that is partly due to poor research, outdated practices and lack of access to the newest technologies.

5. Agricultural activities are diverse in the DR, focusing on staple goods for local consumption such as plantains, potatoes, yucca, beans, and rice, and a significant production of eggs, milk, poultry, pork meat, and beef. It is estimated that the local production meets between 60%-70% of the country's demand, the rest is met through imports. Meanwhile, export-oriented agricultural production is dominated by items such as cocoa beans and its by-products, coffee beans, coconuts, mangoes, spices, fruits, vegetables, and herbs. The DR is the world's largest exporter of organic bananas and organic cocoa, exporting a considerable amount of organic coffee and tropical fruits as well. While the country has a varied and consistent agricultural output, almost half of its exports are of little value-added, leaving a great unexploited potential for value-added products.

6. The Dominican Republic has a very strong and dynamic tourism industry, which generates a large demand for agri-food products of many kinds, both locally-produced and imported. The National Hotels and Restaurants Association (ASONAHORES), estimates the annual consumption of food and beverages of the tourism industry at over US\$500 million, and is expected to keep increasing with the construction of more hotels.

7. Agriculture has renewed importance in the national and international public debate. A rethinking of the situation of agriculture in the Dominican Republic is in order because it is a key strategic sector for food security and sovereignty, reduction of poverty, and political and economic stability.

Cocoa:

8. Cocoa production is an important economic agricultural activity for DR, representing 0.6% of the GNP; in 2015, Cocoa production generated USD 261 million in exports. Cocoa is produced in 8 regions, in approximately 36,236 farms covering approximately 2.4 million *tareas* (150 mil has.). Cocoa production has created about 2.4 million jobs nationwide and generates permanent jobs for 40,000 farmers and about 150,000 temporary jobs, while agribusiness generates more than 100,000 permanent jobs.

9. Of the 3 levels of quality derived from the Cocoa plant, *criollo* is the most common in DR. A plantation can function for an average of 80 years and is therefore considered an important contributor to the country's forest cover as well as stability for watersheds. There are several options for certification in DR: Organic, Fair-trade, Bird-friendly, and Biodynamic (organic without certification). As such, DR is the world's largest producer of certified cocoa. While the profit differential between certified and non-certified cocoa is minimal, organic production is attractive to small producers since it is more cost-effective, requiring less investment in additives such as chemical pesticides. However, large-scale producers do not experience the same advantage with organic production and instead consider it to be much more labor-intensive than the price increase warrants. Bean and pulp extraction has a low environmental impact and requires no permit except for pruning, which must be authorized by MA. As such, cocoa production is deemed an ideal activity in buffer zones of Protected Areas.

Coffee:

10. Coffee production has historically been an important economic agricultural activity in DR and in 2000, the Dominican Coffee Council (CODOCAFE) was created to develop strategies and policies to regulate, maintain and improve the development of the coffee industry, including the grouping of

distinct subsectors linked to its production and commercialization. Coffee is produced in 8 regions, covering approximately 2.2 million *tareas* (138,365 has.) and generates about 46,000 permanent jobs and about 70,000 temporary jobs, while agribusiness generates more than 4,000 permanent jobs. The most important production zones are found in the country's mountainous regions: the central mountains, the northern mountains, the Sierra de Neyba and the Sierra Bahoruco. Shade-coffee without fertilizers and pruning is the dominant production type, representing 92% of the country's production, while full-sun coffee with fertilizers and pruning represents the remaining 8%³. Coffee cultivation is key to the conservation of forest cover in mountainous areas of the country. Furthermore, it is also very important in the economy of small farmers living in mountain areas. Indeed, 19% of the country's farms grow coffee. The waterways of 18 provinces are fed by rivers and streams of coffee growing areas; the National District's waterways are fed by the San Cristobal-Bani-Ocoa coffee zone.

11. In the cultivation and marketing of coffee there are three types of companies that can be classified by their labor, working capital and level of technology on:

1. Capitalist (technified and/or modern) covers 9,434 hectares and produces 50% of national production;
2. Renewed Family (moderately technified) covers 18,868 ha and produces 20% of national production; and,
3. Traditional Family (not modernized) covers 89,937 ha and produces 30% of national production.

12. The area planted for coffee helps sequester about 12.7 million kilograms of CO₂ every day. In recent years, the production of this crop has been affected by notable losses due to the incidence of pests and diseases (rust) (some reports indicate the loss of 40% of production). Added to that is the impact of the severe drought affecting the Caribbean due to El Niño.

Forestry:

13. According to the 2012 Study on Land Use and Cover, forests cover 18,923.45 km², equivalent to 39.24% of the country's surface area. This coverage consists of open and dense coniferous forest, broadleaf cloud forest, humid and semi-humid, dry forest, the forest of freshwater wetlands (dragon trees) and brackish wetlands (mangrove). Forest cover is interspersed with areas of intense agriculture and grazing and is under threat from these activities. Regarding the processing of wood, according to the Vice Ministry of Forest Resources, there are 247 primary industries authorized of which 217 are in operation. The processing capacity is 177,840 cubic meters / year yet only 43% is being used. 33% of the mills only process pine wood, while 67% use a ratio of 20% other species and 80% pine. These mills are mostly located in the same municipalities where there are ongoing projects for management plans for both natural forests and plantations. At present there are a total of 921 forest management plans duly approved by the Ministry of Environment and Natural Resources, which cover a total area of 64,605.85 hectares (1,027.233 *tareas*), distributed throughout the country. Domestic production accounts for about 17% of domestic consumption of sawn wood and almost the entire consumption of round or unprocessed wood.

Tourism:

14. While the Dominican Republic is renowned for its coastal tourism, the southern region of the country has great potential for developing ecotourism based on its natural treasures. Protected Areas in the South are an important resource in the supply of nature-based tourism to complement the traditional tourism sector. The Ministry of Environment, through the Reengineering Project of the SINAP (National System of Protected Areas) has worked in the National Parks and provided infrastructure for

³ Diagnostico de Caficultura Dominicana, 2009.

incorporating public use, so as to serve as a platform for different tour operators and small hotels to offer tours to them and expand their offerings to tourists. In 2010, a comprehensive study was conducted, "Study of the National Strategic Plan for Development of Ecotourism in the Dominican Republic", by the International Cooperation Agency of Japan (JICA) and the Ministry of Tourism, through which a series of actions were compiled to develop sustainable tourism throughout the country, including the southern region of the country. This study has important implications for promoting sustainable development in the southern region. There are also some ecotourism initiatives, particularly in the interior of the country, many of which are strongly linked to rural and community tourism. The REDOTUR (Nonprofit Association (AFL) created by Resolution No. 057 of September 11, 2009, as established by Law 122-05, promotes the Dominican ecotourism sector organizations, their services and products in national and international markets in a joint inter-agency coordination process, promoting environmental, social and cultural responsibility, in a competitive and sustained environment, ensuring quality and safety in companies in order to contribute to a better quality of life. There is potential to expand these initiatives and make better livelihoods and contribute to conservation.

Threats to Biodiversity and Ecosystem Services in DR can be categorized as:

15. According to the Ministry of Environment's Fourth National Biodiversity Report (2010), the principle factors affecting biodiversity in mountain areas are:

- Conversion of habitats, mainly by expansion of agriculture and livestock, the expansion of tourism development and mining shares.
- Degradation of habitats and ecosystems functions, mostly caused by forest fires as well as land and water pollution
- Climate change

16. Conversion of Natural Habitat and Ecosystems: Ecosystems are mainly lost through habitat destruction. Deforestation and fragmentation of forests in the form of forest clearance to allow for urbanization, infrastructure development, agriculture developments, timber logging both commercial and small-scale (mostly illegal), forest fires and mining operations have been the main forces behind deforestation and land degradation. An estimated 24% of the country's surface area is threatened by incompatible land use practices. Between 1993-1997, the agricultural sector grew at an average rate of 5 percent per year and tourism grew by 15 percent. These rates have continued to increase. In 2004, agricultural activities and pasture lands occupied 46.35 percent of the national territory.

17. Degradation of habitats and ecosystems functions: Two of the leading causes of habitat degradation in the country are: (1) forest fires; and (2) terrestrial and aquatic pollution. Increasing frequency and magnitude of forest fires represents a threat to biodiversity through the drastic reduction of populations and changes in the species composition. Between 1962 and 2004, there were 5,629 fires that affected a total area of 2,828 km². The areas most affected by wildfires are particularly pine forests and dry habitats in protected areas within the Cordillera Central and the Sierra de Bahoruco. The most destructive fires in history occurred in March 2005, affecting an area of 200 km². The threat of forest fires is exacerbated by the abandonment of rural areas. Historic low-productivity/return associated with cocoa and coffee production has led to the abandonment of many former production sites. Without proper management and oversight, these sites are vulnerable to forest fires, illicit activities. Furthermore, 12% of the country's Arid and Semiarid regions are under high and very high risk of erosion.

18. Vulnerability/impact of extreme climate events/conditions: Increasing temperatures will continue to strain agricultural systems and groundwater availability and quality due to the possibility of hotter and drier conditions. Increased frequency and intensity of flooding due to the combination of more intense

storms and environmental degradation is likely to disproportionately affect already sensitive systems (e.g., livelihoods on the edge, people in poverty, coastal infrastructure). Populations on the margin of the economy (particularly those located in urban areas of Los Mina, Hoyo de Puchula, Fracatán, La Esperanza, and el Hoyo de Elias) as well as rural small farmers are more sensitive to impacts of disasters (floods, dry periods, and landslides) because they have limited resources with which to influence and increase adaptive capacity. Coastal zones (particularly mangroves and coral reefs) are particularly sensitive to sea-level rise and more extreme storms because of existing problems with critical habitat destruction from development pressures and overfishing, among other threats. Local livelihoods are very sensitive to these same factors, which will likely increase the risk to coastal communities of flooding, diminish fisheries stocks, and degrade natural tourist attractions in the absence of more comprehensive resource management planning. Agriculture and tourism sectors, as well as residential households, are highly dependent on ground and surface water supply, which are sensitive to localized land use and likely to experience decreasing recharge and quality due to evaporation and salt water intrusion. The quality of the water is worsened by inadequate sewage management, where most raw sewage is dumped into the aquifer through injection wells called “pozos filtrantes” or directly into rivers and the ocean⁴.

Baseline scenario

19. The baseline investment for this project consists of approximately US\$482.2 Million, of which approximately \$54 Million will be redirected as co-financing.

20. The Government’s Agroforestry Program is the most relevant government action related to this Project and will impact an area of 38,354 ha. The Ministries of Agriculture, the Environment, and Administrative of the Presidency are the major partners in this endeavor, which comprises three pillars: a) Provision of sustainable income; b) Reforestation and restauration of critical areas, and c) Social development. The second pillar targets the reforestation of 20,440 ha, and the social pillar includes training, awareness raising, waste management, and a subsidy of 5,000 DOP per household, which will be awarded under contract to those producers living in deprived zones, like Sierra de Neyba southern slope, who mostly rely on low value and non-sustainable livelihoods, as an incentive to adopt more environment-friendly production methods. The government’s agroforestry program targets coffee and avocado as the crops that will help in the reforestation process, but BD conservation and the preservation of ecosystemic services are not directly included in the scope of the program, thus offering an excellent opportunity for complementarity and co-financing, especially since two of the pilot zones targeted by this GEF Project are partially included in the government’s initiative (Sierra de Neyba and Nizao). The Agroforestry Program represents a total investment of USD 162.2 million over a three-year period, and the Ministry of Agriculture is committing USD 16 Million (cash) and USD 23.3 Million (in kind) to be redirected as co-financing for the implementation of this project.

21. The Quisqueya Verde National Reforestation Plan is a social investment initiative of the Dominican government created by Executive Decree No. 138-97 in 1997. Its main objective is to improve the living conditions of rural populations by planting 44 million trees throughout the country, particularly along the Dominico-Haitian border, generating employment, protection of the environment and the coordination between government institutions and the civil society organizations that work in favor of sustainable development. The Plan promotes a more efficient control of vulnerable areas and reforestation, resulting in a decrease in forest fires and an increase in forest cover over the last decade (from 22% to 39.24% of the DR territory)⁵. The reforestation is done by community brigades that

⁴ USAID, Dominican Republic Climate Change Vulnerability Assessment Report, 2013, p. 49

⁵ Ministry of the Environment and Natural Resources. 2012 study on Land Use and Cover.

receive an economic compensation, as well as technical guidance and oversight, plants and materials from MA, through the Vice Ministry of Forest Resources and the local offices. One of these brigades has been active in the pilot zone of Sierra de Neyba, in the mountain landscapes of La Descubierta. The successful Quisqueya Verde methodology is being incorporated by the MA in the government's Agroforestry Program. Budget allocations for Quisqueya Verde for the next five years are approximately USD 81.42 Million. The GEF project will work in synergy with both Quisqueya Verde and the government's Agroforestry Program through the promotion of sustainable productive models in the mountain landscapes of the three pilot zones and the provision of additional support for the reforestation and fire control brigades, using the Quisqueya Verde method. As such, the Ministry of Environment is committing to redirect USD 5.1 Million (cash) and USD 5.4 Million (in kind) as co-financing for this GEF project.

22. National Forest Fire Management Plan. This Plan is based on the DR National Strategy for Fire Management 2016-2025, designed by the Ministry of Environment and Natural Resources, as part of the National Reforestation Plan Quisqueya Verde, and is therefore included in the budget allocations for Quisqueya Verde mentioned above. The Forest Fire Management Plan emphasizes the participation of selected sectors to contribute with the national fire management policy in risk areas, promoting the involvement of the government at the central, provincial, and municipal levels, of NGOs and civil society, to coordinate and unify efforts in implementation. The National Forest Fire Management Plan comprises actions for prevention, mitigation, control, and restoration of landscapes, and for understanding the ecology of areas affected by forest fires, due to the considerable impact of the latter on the associated forest resources, ecosystems and biodiversity.

23. Although the major cause of deforestation in the DR is the expansion of agriculture (55%), forest fires are responsible for 7% of the loss of forests⁶. Forests cover 18,923.45 km² (39.24% of the DR territory)⁷, and this is attributed in part to the decrease of forest fires, thanks to the implementation of a policy of fire control in vulnerable areas, and the implementation of reforestation programs and recovery of degraded areas, carried out by the Ministry of the Environment through the National Quisqueya Verde Plan⁸, as mentioned above.

24. The Government's formulation of a National Land Use Plan aims to mainstream adaptation to climate change and risk management. This action is being developed under the responsibility of the Ministry of Planning, Economy and Development's Land Use Planning Directorate -DGODT, with the active involvement of the Ministry of the Environment, in line with their respective mandates. A National Law of Territorial Ordinance was drafted and presented to Congress but has not been approved yet. Once approved, there is an urgent need to provide working models to demonstrate how to put this into practice in productive landscapes.

25. At the local level, territorial planning capacities of local governments will be enhanced through an alliance between DGODT and the Dominican Federation of Municipalities (FEDOMU). Planning tools like guidelines and procedures for the formulation of Municipal Development Plans (MDPs) and Land Use Plans (LUPs) have been developed, mainstreaming climate change adaptation and risk management. However, BD, SFM, and LD criteria are not included, thus opening an opportunity for complementarity and synergies with this GEF project to support mainstreaming of those missing criteria in the existing

⁶ REDDCCAD/GIZ Programme. Identification of Causes of Deforestation and Forest Degradation in the Dominican Republic. Final Report. Consultant Pablo J. Ovalles U. Santo Domingo, Dominican Republic. September 2011.

⁷ Ministry of the Environment and Natural Resources. 2012 study on Land Use and Cover.

⁸ (<http://jlsupport.com/cmbll/index.php/en-ejecucion/quisqueya-verde>).

planning tools. This would build upon draft guidelines elaborated by UNDP for municipalities, and assist local governments in the three targeted pilot zones to formulate and implement MDPs and LUPs under this broader scope, focusing on the establishment of special zoning for threatened productive mountain landscapes. MEPYD's DGODT and FEDOMU's regional affiliated associations are considered to be key stakeholders in the territorial planning efforts of the project. FEDOMU has expressed interest in working hand in hand with this GEF project, to support the territorial and development planning processes in the municipalities included in the pilot sites, and is committing USD 87,227 (cash) and USD 24,150 (in kind) to be redirected as co-financing for the implementation of this project.

26. National Cocoa Plan: DR is interested in stimulating an increase in cocoa production to satisfy an excess in demand. The National Cocoa Plan focuses on improving conditions for producers. It has been formulated under the leadership of the National Cocoa Commission, with UNDP support, under a participatory platform that involves all stakeholders from the public and private sector, civil society and development partners. Of the country's 36-40 thousand producers, 85% are small-scale (farms of less than 5 hectares). Small farmers are at a disadvantage because of low production, which translates into fewer resources to (re)invest in the integrity and management of the farm, thereby entering a vicious cycle of low production. As such, the production is insufficient to attract and maintain the interest of producers resulting in an increase of small-scale producers selling their farms. Furthermore, subsistence agriculture characterized by short cycles is labor intensive with small yields that often lead to degraded mountainsides that increase erosion and impact water quality downstream. However, through the adoption of best practices in production, harvesting and processing, cocoa production has the potential to be beneficial to the environment. Indeed, it could provide important forest cover for watersheds, thereby maintaining/increasing connectivity between PAs, habitat for endemic species, soil/bank stability, water production and quality. In response to this, the Plan needs to promote the integration of sound management and nature-based farming, as well as provide training for farmers, youth, women, and improve living conditions with access to schools, medical attention, recreation options, etc. The National Cocoa Plan proposes the transformation of cocoa production around three pillars (Farm, Associativity and Community) and has provided important guidance for the PPG phase, during which an analysis of different practices was conducted to define a minimum portfolio of practices/techniques to be included into the training package for technicians, extension agents and producers, and to eventually be integrated/mainstreamed into the Cocoa Plan as well, and to include BD friendly criteria as requirements for access to credit and/or access to other financial and technical resources. The estimated investment during a 10-year period is 22.8M. As such, while the Cocoa Plan has not yet been officialized, its proposals have been assumed by the private sector.

27. Private initiatives in Cocoa. The cocoa subsector has experienced significant agro-industrial growth and diversification driven by private initiatives. Encouraged by the consensus built around the Cocoa Plan, companies work directly with associations of producers, providing support to achieve higher quality cocoa in the process stage, introducing drying under controlled environment and cutting-edge technologies. Individual associations of producers as well as those linked to CONACADO have made significant progress in the farm phase by using material with better genetic quality and in the marketing phase. Furthermore, some companies have developed agricultural tourism activities around cocoa.

28. Dominican Republic is among only 15 countries recognized by the World Cocoa Organization as a producer of fine cocoa and aroma. However, some experts in the field argue that this element should be exploited internally in terms of industrialization. Among the challenges facing the cocoa sector is generating "final" products locally, since currently there are few companies dedicated to that.

29. In the Dominican Republic, the average area under cultivation of cocoa are farms of about 3.5 hectares and more than 90% of the production provided by these producers with an average yield of 9.54 quintals per hectare (about 60 pounds per hectare), about 60% of plantations are less than 5 hectares, 25% farms are between 5 and 10 hectares and the remaining 15% is made up of farms larger than 11 hectares.

30. In the cocoa producing areas, there were around 6,750 producers dedicated to the production of the fruit under an organic scheme in the Dominican Republic, a figure that has increased to more than 10,000 at present, of which the National Confederation of Cacaocultores (CONACADO) has a 49.8% shared, followed by Nazari Rizek with 15.8% and then Commercial Roig, with 13.2%. The rest is shared between Munné y Compañía, J. Paiwwonsky e Hijos, Cortés Hermanos, García y Mejía and the Association of Cacao Producers of Cibao (APROCACI), among others.

31. The *Cocoa Life Programme*, currently under implementation in the Dominican Republic, is a holistic, verified program created by Mondelēz International and partners to transform the lives and livelihoods of cocoa producers and their communities within the cocoa value chain. The Programme is based on three principles: (i) farmer-centric, (ii) empowered by strong partnerships and (iii) aligned with our sourcing. The Programme intends to transform cocoa farming communities by addressing farming, communities, youth, livelihoods and environmental challenges. In addition, Cocoa Life has embedded women's empowerment and the elimination of child labor as cross-cutting themes. Cocoa Life values the opportunities of synergies with this GEF project, and will invest US\$1.1 Million through the following actions planned until 2019:

- Production of high quality cocoa plants and associated farming materials,
- Capacity building and technical assistance to introduce sustainable farming practices,
- Support to cocoa communities to plan and implement community development plans,
- Training addressed to youth and women in small business management,
- Identification of opportunities to generate additional income associated with sustainable cocoa production
- Capacity building to identify and guarantee the implementation of environmentally-friendly farm management practices to maintain cocoa ecosystems and protect the landscape.

32. National Coffee Plan: The DR is striving to revitalize the coffee industry which has been recently plagued by drought, causing major losses. The government is currently undertaking a census of the country's forests, as part of the REDD initiative, aimed at reducing forest emissions and enhance carbon stocks in forests while contributing to national sustainable development. The government also created the Agroforestry Program, which is aimed at promoting mainly coffee planting in association with forest and fruit crops, not only to recover the coffee industry, but also to improve forest cover with a crop that generates sustainable livelihoods, contributes to income and jobs in mountain areas, and represents a culture deeply rooted in the country's traditions. As mentioned above, the government Agroforestry Program represents a total investment of USD 162.2 million over a three-year period, and the National Coffee Plan is included in this investment. The Dominican Coffee Council (CODOCAFE), is the entity responsible for the planning and execution of coffee policies in the country, in coordination with the Ministry of Agriculture. It has expressed support to this GEF project and is committing to redirect USD 750,000 (cash) and USD 415,000 (in kind) as co-financing for this GEF project.

33. The strategy used recently through the programs related to coffee production is focused on the production of sustainable patterns, agro-ecological production practices, new technology, renovation

of coffee plantations, diversification, strengthening the organizational structure and participation, as part of a network; train community leaders; support coffee quality improvement; supply necessary equipment to coffee farmers; provide technical assistance to guarantee the correct application of the technology promoted; supply technical personnel to support creation of demonstrative plots; train farmers in plots rehabilitation; supply equipment and technical personnel to perform coffee tests; and utilize the local organized coffee producers organizations' experience and contacts in the international market to commercialize coffee. The strategy will be greatly strengthened by this project, with the incorporation of BD, SFM, LD and gender criteria.

34. Private initiatives in Coffee: Coffee has had significant contributions from the private sector. On the one hand, many organizations work in positioning a quality coffee in the market and with its own brand. Also, the main industry in the sector has developed large investment projects and has introduced new varieties to promote better crops.

35. Fundación Sur Futuro is one of the organizations that has assumed as priorities since its creation, the protection of the environment, sustainable rural development and sustainable land management. Among the initiatives promoted with the cooperation of public and private institutions and international organizations, is production under a controlled environment and support to small coffee growers through the certification label Café Monte Bonito, the first coffee certification brand in the Dominican Republic. It was developed by Fundación Sur Futuro with the support of the Dominican Coffee Council (Codocafe), whose co-financing commitment to this GEF project has been mentioned above. The main objective of this initiative is to improve the quality of life of coffee farmers in the southern region, in Padre Las Casas, Las Yayas, Guayabal, Los Fríos and Peralta, in Azua province; and Bohechío in San Juan province, where the aromatic grain is produced through a quality product suitable for export to the international market. Any producer that complies with the regulations for the certification label Café Monte Bonito can access through Fundación Sur Futuro.

36. Santo Domingo Water Fund. This is a public-private financial mechanism established to promote the preservation of watersheds and their water catchment capacities, thus contributing to the conservation of biodiversity and to the well-being of the communities. It is currently engaged in the protection of the Nizao and the Ozama watersheds, both providers of fresh water for the Great Santo Domingo, and it has expressed support for this GEF project, whose objectives are in line with those of the Water Fund. From the benefits capitalized so far through the trust created by the Santo Domingo Water Fund to support the restoration of Nizao and Ozama watersheds, it is committing USD 321,000 as co-financing for this GEF project.

37. There is another initiative known as Product Environmental Footprint (PEF), which is a Multicriteria methodology to measure the environmental behavior of a good or service throughout its life cycle. The PEF pilot project comes from the "Single Market for Green Products" initiative of the Commission of the Environment of the European Commission. Its aim is to support a unified metric for a single market, thus promoting transparency and fair competition, and its ultimate purpose is to provide incentives for reporting and reducing environmental impacts. PEF supports the efforts of Latin American coffee producers / exporters to reduce the environmental footprint of coffee, and the Dominican Republic is part of these efforts, which represents another opportunity for synergies with this GEF project.

38. Presidential targets⁹: Within the Results / Progress matrix of the Presidential Goals, CODOCAFE is responsible for the following:

- Increased forest cover (59,000 ha in 4-yr term)

⁹ Annual Report CODOCAFE 2016.

- Watershed management of priority watersheds: Yuna, Ozama, Yaque del Sur
- Project in Polo, Barahona Province: Renovation of 19,103 tareas (1,201.82 ha) with 3,992,203 Roya tolerant coffee plants, benefiting about 344 producers.
- Coffee growers in Villa Nizao, Paraíso, Barahona Province: Sowing more than 3,280,000 coffee plants, with which some 15,619 tareas (982.33 ha) have been renovated. Installation of four demonstration plots
- Project in Arroyo Cano, San Juan Province: Sowing of 656,838 coffee plants with varieties resistant to Roya, renewing about 4,371 tareas (274.91 ha).
- Designation of a technician to give advice on crop management, labor support for the plant production process; installation of three demonstration plots to train the producers; distribution of products for control of rust for 5,503 tareas (346.1 ha) of organic and conventional coffee intervened, among others.

39. In line with the above-mentioned presidential targets, in July 2014, the President of the Dominican Republic issued decree 260-14, declaring as a high national priority the rehabilitation, sanitation, preservation, and sustainable use of the high, medium and low watershed of the Ozama and Isabela Rivers¹⁰, and creating a Presidential Commission to carry out studies and consultation to formulate proposals and action plans, and to build consensus among the different public and private stakeholders related to the problematic situation of the Ozama-Isabela rivers. The Ozama-Isabela Commission formulated a strategic plan that was endorsed by all stakeholders, including NGOs and community organizations representing the marginalized population located along the Ozama and Isabella rivers in the capital city of Santo Domingo. Different government institutions and private enterprises are contributing to the rehabilitation and sanitation efforts, gathering thus far the support and active participation of the beneficiaries. The investment estimated for the next five years through different government institutions and private stakeholders to comply with presidential targets than can be related to this project surpasses 10,000 million DOP (nearly USD 208 million), mostly on the low watershed. No co-financing commitments with this GEF project have been made, although there is an opportunity for synergies and complementarities with the actions that are being implemented in neighboring micro-watersheds to the Yamasá pilot site.

40. Private participation in forest management. Currently, there are a total of 921 forest management plans duly approved by the Ministry of the Environment and Natural Resources, covering a total area of 64,605.85 hectares (1,027,233 tareas) distributed throughout the country. Domestic production accounts for approximately 17% of domestic consumption of sawn timber and almost all consumption of round or unprocessed timber. Studies conducted between 2010-2012 show that forest cover has been steadily increasing in the areas where most forest management plans are concentrated (upper Yaque del Norte river basin and upper-medium Artibonito river basin, around the municipality of Restauración).

41. REDD. Since 2010, the Dominican Republic participates in the Regional Program REDD/CCAD-GIZ, whose purpose is to aid member countries of the Central American Integration System (SICA) to carry out the actions needed to develop sustainable compensation mechanisms to reduce CO2 emissions caused by deforestation and forest degradation. The REDD/CCAD-GIZ program is articulated around three components: i) Intersectoral Dialog; ii) Sustainable Compensation Mechanisms; and iii) Monitoring and Report. Each of these components is coordinated by a regional and a national responsible person. In the DR, the REDD/CCAD-GIZ focal point is the Ministry of Environment and

¹⁰ The Isabela River is one of Ozama's major tributaries.

Natural Resources. The REDD/CCAD-GIZ program has provided technical assistance to carry out different studies and to develop capacities to update the national inventory on forests and to set out a national monitoring system on forests, complying with the requirements for Monitoring, Report and Verification under REDD+. Starting in 2012, the Regional Program assisted the DR in the development of a Readiness Preparation Proposal (R-PP) to access the Forest Carbon Partnership Facility (FCPF) implemented through the World Bank.

42. The World Bank assisted the DR's efforts in the formulation of the R-PP, approved by the FCPF in November 2014. This document included, among other elements: (i) a preliminary assessment of the drivers of deforestation and forest degradation; (ii) reasoning and actions related to strategic REDD+ options; (iii) a preliminary methodology to define its emissions reference level based on past emission rates and future emissions estimates; (iv) a Monitoring, Reporting and Verification (MRV) system for REDD+; (v) actions for integrating environmental and social considerations into the REDD+ Readiness process; (vi) a National REDD+ Strategy (ENA-REDD+); and (vii) the proposed institutional arrangements for a REDD+ regime. The Participants Committee (PC) of the FCPF issued a resolution at its 16th meeting in December 2013 to provide access to the DR to a \$3.8 M grant for five years to move ahead with REDD+ readiness. To assist in the REDD+ readiness process, the Bank signed a Country Participation Agreement with the DR in June 24, 2014.

43. The grant supports the development of REDD+ actions that will strengthen sectoral policies and programs conducive to the adoption of land use practices to improve resilience to climate change, and mitigate greenhouse emissions, and to address not only drivers of deforestation and forest degradation, but the underlying causes that limit restoration efforts in critical rural landscapes with severe loss of biodiversity, and soil cover and fertility, thus opening great opportunities for synergies and complementarities with this GEF project.

44. Land Degradation Neutrality. In October 2016, the Ministry of the Environment launched the National Program for Land Degradation Neutrality, which lays out a participatory process that involves the different stakeholders in the identification of national targets and indicators to achieve land degradation neutrality, under the leadership of the Technical Interinstitutional Group (GTI), which operates under the Vice Ministry of Soils and Water. Different thematic tables have been established to carry out the tasks set forth in the Program, involving representatives from public sector institutions, international agencies, and NGOs. As a result, the national targets for Land Degradation Neutrality have been set by consensus. This GEF project has mainstreamed those targets in the sustainable production models it will promote in the selected pilot sites, and will work closely with GTI in the monitoring of erosion and land degradation.

45. With regards to nature-based tourism, the Ministry of Environment, through the Reengineering Project of the SINAP (National System of Protected Areas) has provided infrastructure in the National Parks to encourage and facilitate public use, so as to serve as a platform for different tour operators and small hotels to offer tours to the NPs and expand their offerings to tourists. In 2010, an exhaustive study was carried out by the International Cooperation Agency of Japan (JICA) and the Ministry of Tourism: "Review of the National Strategic Plan for the Development of Ecotourism in the Dominican Republic". This study compiles a series of suggested actions to develop sustainable tourism in the country as a whole, and provides useful information for promoting sustainable development in the southern region, which have been taken into account during the PPG phase, i.e. incorporating recommendations for the development of agro-ecotourism initiatives in the pilot zones.

46. The Program for the Strengthening of the Caribbean Biological Corridor (CBC), which has an allocation of EUR 3.5 Million (nearly USD 4.125 Million) in the Caribbean Indicative Program for the 11th European Development Fund, is implemented via an administrative and technical arrangement with

UNEP, through the Secretariat of the CBC, which is based in the Dominican Republic. The general objective of this program is to build a strong and sustainable regional approach for the conservation and management of terrestrial and marine biodiversity in the Caribbean. Through its support for the CBC, the European Union will contribute approximately USD 1.09 Million to finance sustainable production practices along the Dominican part of the CBC, thus providing a strong complementarity with this GEF Project, and creating a great opportunity for the achievement of results in both projects.

47. The above-described Baseline demonstrates that the Dominican Republic has an extensive portfolio of environmental and sectoral policies and regulations regarding land-use and sustainable use of natural resources. However, the following Barriers section demonstrates that there is very little practical on-the-ground experience in their application and compliance, and insufficient regard for the incorporation of gender- and age-sensitive BD, LD, SFM considerations for ecosystem integrity and services in productive mountain landscapes. Consequently, the baseline projects are not sufficient to achieve the **long-term solution** to the threats affecting the biodiversity of priority mountainous areas in Dominican Republic.

III. STRATEGY

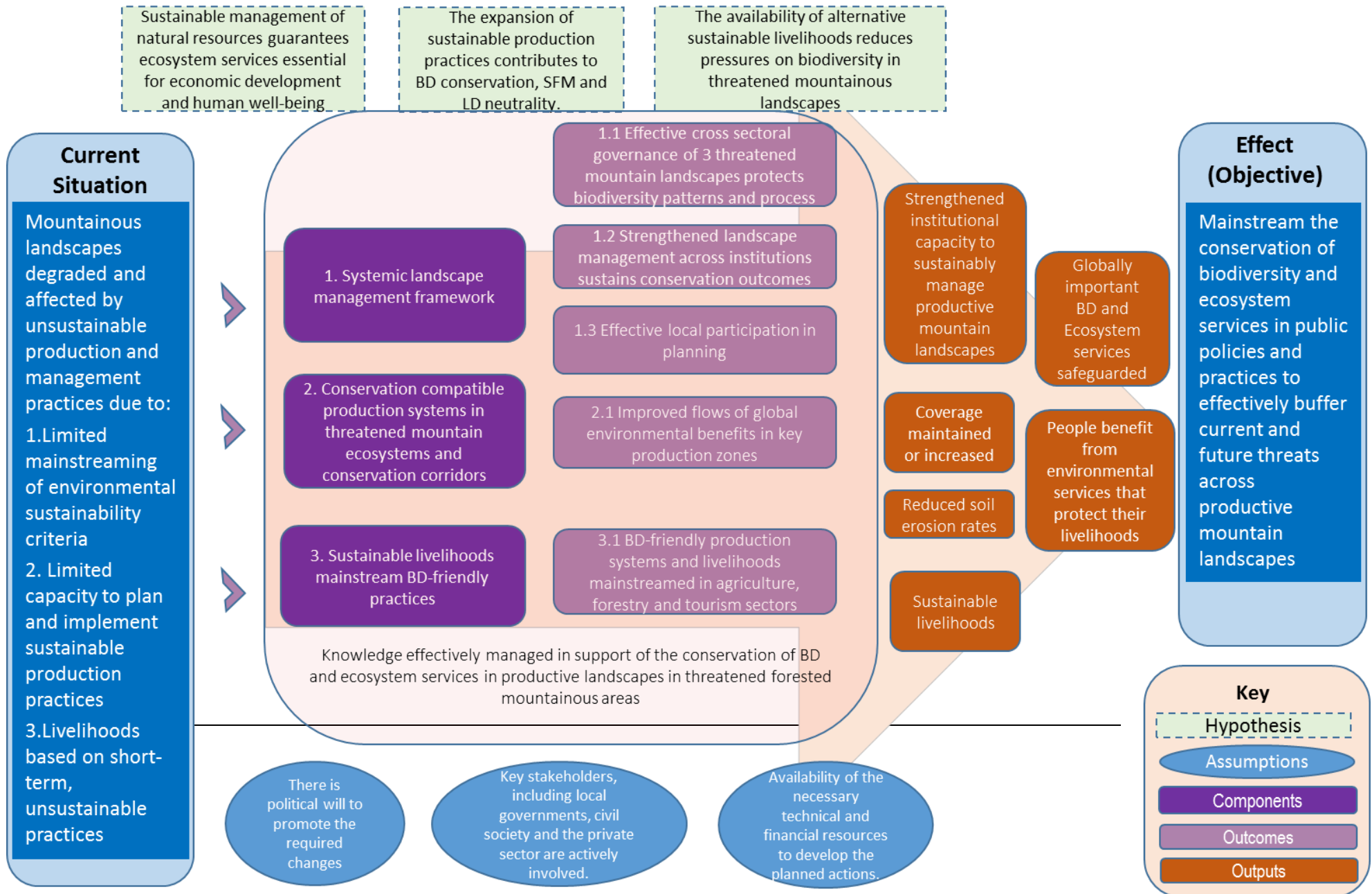
Long-term Solution/Theory of Change

48. The long-term solution to the degradation of fragile mountain landscapes is the formalized protection through conservation and permitted mixed uses of the areas, with regard to established thresholds and carrying capacity of mountain ecosystems.

49. The Project intends to surmount the three main barriers and the main threats to biodiversity conservation identified in the analysis of the current situation, by laying out the foundations of long-term public policy regarding the use and conservation of fragile mountain landscapes, encouraging activities that restore degraded areas and ensure long-term survival of these ecosystems. Additionally, increased interinstitutional capacity across sectors and government levels to use existing and newly established policy, compliance and monitoring instruments will establish a favorable regulatory environment so that public officials and local producers can work together to improve the overall management and use of threatened mountain landscapes.

50. The project will promote a landscape approach to the conservation of threatened ecosystems that will benefit all the mountain ranges of the country. It will specifically promote field interventions in 3 landscapes, that have been confirmed during the PPG phase: **(I) South side of the Sierra de Neyba (La Descubierta mountain landscapes); (II) Corridors that connect Valle Nuevo NP, La Humeadora NP, and Barbacoa Reserve (Rancho Arriba mountain landscapes); and (III) Mid-watershed of Ozama River (Yamasá mountain landscapes)**. These areas have been identified as containing particularly high levels of biodiversity of global importance, generating environmental goods and services of national importance, and being vulnerable to a number of threats of both anthropic and natural origin. Each of these areas contains a wide diversity of ecosystems, stretching from the coast up to the summits of the country's most important mountain ranges. These areas are also of major importance for cocoa and coffee production, which constitute the mainstay of the local economy, but are at risk of losing their productivity.

Theory of Change: Sustainable Productive Mountainous Landscapes



Barriers

51. The project will work to address the following **barriers** to conservation and sustainable use of productive mountain landscapes:

Barrier 1: Limited mainstreaming of environmental sustainability criteria that guarantee the conservation/resilience of ecosystems and biodiversity in land-use policies and plans in mountainous areas.

52. While the Dominican Republic has an extensive portfolio of environmental and sectoral policies and regulations regarding land-use and sustainable use of natural resources, there is very little practical on-the-ground experience in their application and compliance. Decisions regarding land-use planning oftentimes do not take into account the locations, nature and magnitude of environmental values, biological integrity and connectivity, threats, the implications of climate change or the livelihood support needs of local communities. A national planning framework is missing in practice: Although a National Law of Territorial Ordinance was proposed, it has yet to be approved in Congress. Since 2014, there is an ongoing interministerial agreement between the Planning and Environmental ministries for the formulation of the National Land Use Plan, and the drafting of Regionalization and Land Use bills, to comply with constitutional and National Development Strategy mandates. The project occurs at a time of political will to move this process forward, based on the legal mandates conferred to the Planning and Environment Ministries and to the municipalities by the Constitution, the National Development Strategy Law 1-12, the environmental law 64-00, the laws that govern the National Planning and Public Investment System (496-06 and 498-06), and the law 176-07 of the National District and the Municipalities. It's feasible the Law on Territorial Ordinance will be approved within the lifetime of the project, and is an opportunity for the project to test it/ put it into practice in the pilot sites, which comprise 10 municipalities. While there is existing regulation that defines the mandates of MA and the General Direction of Territorial Ordinance in matters of land-use planning, the lack of a national law is a barrier to the development of further policy and operational plans and programs of different sectoral institutions. Furthermore, current regulations do not adequately incorporate considerations such as tradeoffs and synergies between environmental and development considerations and regional biological connectivity.

53. There are also deficiencies in the mechanisms for informed and balanced decision-making in relation to the cocoa and coffee sectors with implications for the status of biodiversity, the sustainability of the natural resource base, and resilience to climate change. Informed and balanced environmental decision-making (for example through Environmental Impact Assessment (EIA), Strategic Environmental Assessment (SEA) and territorial land use planning) is further hindered, however, by the inadequacy of mechanisms for ensuring that decision-makers are aware of and have timely access to the kinds of information that are required to maximize the objectivity of decision-making. This is exacerbated by the weak position of Environment as a sector and its perception as a barrier rather than ally to productive sectors.

54. This is accompanied by a lack of financial mechanisms to prevent negative externalities from inappropriate land uses. The economic costs generated by the negative externalities of production processes often go unnoticed and are, therefore, not considered in the formulation of investment policies and decisions. This is reflected in the absence of taxes and rates that reflect the environmental costs of production and consumption decisions. Compensations for Ecosystem Services would have greater validity and options if accepted by community agricultural producers, as long as they are valued higher than alternative land uses. However, this is not currently the case, and thus there is a tendency for farmers to prefer to pursue economic activities that generate more income and that perpetuate the degradation of the environment. The development of adequate financial mechanisms that internalize

the value of ecosystem services of natural capital is limited by the lack of clear guidelines and a strategy to define them. Consequently, local producers don't have access to financial options to support their adjustment to more sustainable, BD/LD/SFM-friendly production practices. According to Law 64-00, the Ministry of Environment and Natural Resources, as the guiding entity of Natural Capital, should establish clear rules and a framework of adequate incentives to recognize and internalize the value of ecosystem services in natural landscapes, protected areas and productive landscapes.

Barrier 2: Limited capacity of sectors and producers to develop and apply plans and measures to avoid production practices that degrade mountain ecosystems.

55. As identified in the Capacity Development Scorecard (Annex O), there are capacity gaps at institutional and local levels to develop and apply plans and measures to avoid production practices that degrade mountain ecosystems. Even though there is a rudimentary understanding of the value of biodiversity and environmental services, municipal authorities have limited capacity to: 1) collect, process, monitor, and evaluate the status of biodiversity and the ecosystem services it generates in cocoa and/or coffee farms and nearby forests; 2) develop and implement activities that enhance biodiversity such as conservation corridors between cocoa/coffee farms and nearby forests; and 3) identify cocoa/ coffee farms that are likely to go into unsustainable land uses. Furthermore, available technical knowledge and up-to-date information generated by organizations is not incorporated into municipal planning processes. This is particularly true regarding information related to biodiversity conservation and sustainable use, as such information is not considered integral to any of the existing municipal sector-based institutions and processes.

56. These gaps result in limited access by local people to alternative, more sustainable practices for cocoa and coffee production in vulnerable watersheds and for managing and exploiting other NTFP resources in a sustainable manner. This situation is compounded by a lack of consistency and harmonization between agencies and institutions and limited clarity on the environmental sustainability of alternative management practices. Although the legislation defines the roles and responsibilities of the various institutions to create and implement sustainable productive practices, there is a lack of coordination in decision-making and on-the-ground interventions. Furthermore, there is a lack of incentives and gender-sensitive financial mechanisms to promote investment to improve and update the cocoa and coffee sectors with clean technology. The government's Agroforestry Program has opened a new window of opportunity to address this weakness and to engage the Ministries of Agriculture and the Environment in a coordinated effort to ensure that environmental sustainability is mainstreamed in productive methods along mountain landscapes in the pilot zones and promoted at national scale. However, it does not have adequate resources to engage the municipalities to create capacity and provide on-the-ground experiences.

57. The GoDR has specialized financing sources for agricultural activities, such as the Agricultural Bank and the Special Fund for Agricultural Development (FEDA), as well as an area of banking dedicated to the promotion of micro, small and medium enterprises, with lines of financing for production in Fondomicro, Banca Solidaria and the Association for the Development of Women (ADOPEM), the latter supporting primarily women's initiatives. Additionally, within formal banking, commercial banks have specialized lines of credit for microenterprises, which include support for productive activities. However, the risks associated with the uncertainty of agricultural production limit the investment of private banks in supporting small producers, which constitutes a major barrier in the availability of funds to support sustainable productive activities. The incorporation of lines of credit in formal banking requires changes in the financial scheme to reduce requirements that small producers cannot meet in rural areas.

Barrier 3: Livelihoods rely on short-term, unsustainable practices

58. The intense work input of rural populations does not provide a sustainable livelihood to support these populations in the long-term and lift them out of poverty. Furthermore, there is a lack of opportunities to develop a sustainable value of chain of current products or promote other productive ventures. Among other livelihood options that can be promoted in the pilot zones, agroforestry, beekeeping, and agro-ecotourism have been identified. One of the main challenges for agro-ecotourism development in the pilot zones, especially in the southern slope of Sierra de Neyba is the lack of trained personnel at all levels implicit in hosting tourism, and the inadequacy of access roads. Interagency cooperation is needed to provide unified forces to break down barriers and provide public security, access to roads in good condition, public transport, financial facilities, among other needs. Current security and transport/road conditions hamper producers' ability to get their products out, thus an improvement in these conditions would serve as an incentive to motivate the development of productive activities by providing the potential to move other products (agricultural, NTFP) to market.

59. In general, with regards to gender/youth engagement in productive activities, the intensity of work hours invested in producing coffee/cocoa, for example, is not always compatible with the other responsibilities associated with women (family/home duties) and/or youth (school). There is also a low rate of return for production – the price of coffee is not very attractive. The local price is higher than the international price. As such there is a need for developing productive practices that also incorporate these important community members and ensure an income that has the potential to lift them out of poverty.

60. The long-term **solution** to these barriers is to promote ecosystem connectivity and resilience beyond the limits of Protected Areas and demonstrate sustainable planning and production models in the agricultural, agroforestry and forestry sectors, e.g. cocoa and coffee. To inform this long term solution, consideration has been given to the lessons learned from other relevant initiatives, such as the financial mechanisms for sustainable land management (Integral Compensation for Environmental Services scheme from GEF Sabana Yegua project, and the recently established Santo Domingo Water Fund), local environmental governance mechanisms such as the watershed councils from the GEF Artibonito and the Libón Verde binational projects, provincial and municipal development councils, the National Cocoa Plan (Ministry of Agriculture, National Cocoa Commission and UNDP), the Cocoa Life Program (Mondelez) and local and community sustainable livelihoods promotion (GEF/SGP/UNDP, REDDOM, and Libón Verde), among others. Ultimately, this will protect core refuge for endemic flora and fauna while addressing fragmentation from production practices in the landscape as a whole, and promoting connectivity at a landscape level. To accomplish this, the following is needed:

- Influence Plans for land-use, (re)zoning, incentives, etc. to demonstrate greater value-added from incorporating BD conservation /ecosystem services considerations in relevant sectors.
- Dialogue with decision-makers regarding land use to stimulate uses/practices that are compatible with conservation and promote productivity and connectivity.
- Mainstream/Integrate BD conservation criteria in determining product quality.
- Promote BD-friendly and income generating production practices.
- Increase awareness of the economic costs associated with climatic events and poor land management practices.
- Promote increased ecosystem connectivity/integrity within the framework of reducing national vulnerability so as to increase climate change resilience (drought, precipitation patterns, etc.).
- Reduce the impact of harmful practices that disrupt the flow of ecosystem services, and influence the incentives that promote these practices.

IV. RESULTS AND PARTNERSHIPS

i. Expected Results:

61. The project proposes a multi-focal landscape approach (BD, LD, SFM) to address the challenges described in the baseline. Integrated landscape management is indispensable for delivering the multiple environmental benefits required for maintaining a multi-functional and biodiversity-rich productive landscape in the Dominican Republic.

62. The **project overall objective** is to mainstream the conservation of biodiversity and ecosystem services in public policies and practices to effectively buffer current and future threats across productive mountain landscapes.

63. The proposed project is aligned with ***BD 4: Mainstream Biodiversity Conservation and Sustainable Use into Production Landscapes/Seascapes and Sectors***, specifically ***Program 9: Managing the Human-Biodiversity Interface***. In compliance with GEF *Outcome 9.1*, the project will support an increased area of production landscapes that integrate conservation and sustainable use of biodiversity into management. This will be accomplished through supporting the development and application of land-use plans and practices that include environmental sustainability criteria to guarantee ecosystem health, connectivity and resilience in montane areas. The project is also aligned with *Outcome 9.2* and will support the incorporation of biodiversity considerations in Sector policies and regulatory frameworks.

64. With regards to ***LD 3: Reduce pressures on natural resources by managing competing land uses in broader landscapes***, the project will focus on the application of ***Program 4: Scaling-up sustainable land management through the Landscape Approach***. In particular, it will contribute to *Outcome 3.2: Integrated landscape management practices adopted by local communities based on gender sensitive needs*. The project will support efforts to scale-up policies, practices, and incentives for improving production landscapes with environmental benefits, and will encourage wider application of innovative tools and practices for natural resource management.

65. Finally, the project is also aligned with ***SFM 3: Restored Forest Ecosystems: Reverse the loss of ecosystem services within degraded forest landscapes***. In particular, the project will contribute to *Outcome 5: Integrated landscape restoration plans to maintain forest ecosystem services are implemented at appropriate scales by government, private sector and local community actors, both women and men*. It will do this by supporting the development and application of integrated landscape restoration plans to maintain forest ecosystem services. The project will support the implementation of these plans at appropriate scales by government, private sector and local community actors. This will be achieved through the development and application of production and management practices that restore forests and ecosystem services and ultimately contribute to increasing connectivity of native species. Ultimately, the project will support the protection and increase of vegetation cover that is key to mitigating climate change.

66. In order to remove the barriers detailed above and achieve global environmental benefits, the financial resources of GEF will be invested in an incremental way to the aforementioned baseline initiatives, as detailed below:

Component 1: Systemic landscape management framework. (Total cost: US\$11,206,115: GEF \$1,606,115; Co-financing: \$9,600,000)

67. This component will incorporate sustainable land management and biodiversity conservation objectives and safeguards in land use policy and planning processes through the following Outcomes:

Outcome 1.1 Effective cross sectoral governance of 3 threatened mountain landscapes (dry forest 19,902 ha, broadleaf forest 6,909.39 ha, pine forest 1,431.77 ha) protects biodiversity patterns and processes, resulting in:

- **Environmental land use plans covering 58,000 ha of productive landscape strategically maintain/increase areas of priority ecosystems** (e.g. dry forest, broadleaf forest and pine forest) especially adjacent to Protected Areas.
- **Land use plans for buffer zones along Protected Areas** with a focus on threat/risk management and economically sustainable practices, especially tourism.
- **Increases in watershed resilience to Climate Change** through the establishment of special categories of land use that guarantee sustainable use of BD, and the incorporation of CC, BD, SFM and LD criteria in the management of natural resources.
- **Increases in ecosystem connectivity**, as indicated by increases in connectivity, integrity and resilience indices and reduction in distance between priority ecosystems

68. Outcome 1.1. will be achieved through Output 1.1.1 decision making tools for planning and enforcement to ensure that infrastructure, productive/extractive activities and forest clearance are not located in ecologically sensitive areas.

69. The project will conduct participatory analyses of existing planning tools (resource management options and zoning) and coordination structures to identify opportunities for mainstreaming BD, SFM, LD, and gender sensitivity criteria in planning tools for productive threatened mountain landscapes. Based on these analyses, the Municipal Development Plans and LUP Guidelines and associated planning tools will be strengthened to mainstream BD, SFM and LD criteria and gender sensitivity, resulting in:

- **Strategic Social and Environmental Assessment** of the impacts of infrastructural or productive development programs in vulnerable watersheds. Specifically, the project will develop criteria and policy guidelines for the establishment of a Strategic Environmental and Social Assessment (SESA) for threatened mountain landscapes. By Year 1, the criteria for the SESA will be defined and by Mid Term, the SESA will be used to guide policy and planning decisions (especially the PEA, LUP and MDP described below) with the aim of facilitating sustainable management of threatened mountain landscapes.
- **Gender strategy for productive landscape management:** MA has a gender strategy but not with respect to productive landscapes. The project will support MA and MAgr in the development of a gender strategy for the sustainable management of productive landscapes, to be ready for implementation by mid-term. The project will then endeavor to ensure that this Gender Strategy for Sustainable Productive Landscape Management is under full implementation with MA and MAgr technicians in HQ and Provincial offices by project end.
- **Province-level gender-sensitive environmental agendas** that consider BD, SFM, and LD in pilot areas: Currently, The existing legal framework clearly defines the roles and responsibilities of the Planning and Environment Ministries, as well as those of local governments in relation with land use planning (Constitution and specific laws: 64-00, 496-06, 498-06, and 176-07). However, Provincial Environmental Agendas (PEA) are not implemented in the pilot areas. Thus, the

project will support the strengthening of capacity development mechanisms to include BD, SFM, LD, and gender sensitivity criteria as well as facilitate the formulation of 4 PEAs, with BD and ecosystem services conservation criteria (Independencia, Bahoruco, San José de Ocoa & Monte Plata).

- **Municipal Development Plans (MDP)** mainstream BD, SFM, and LD considerations, as well as gender sensitivity: Only three of the municipalities in the pilot zones have previously formulated their mandatory municipal development plan (Yamasá, La Descubierta and Neyba), each with a duration of up to 4 years. This presents an opportunity to engage in the formulation and implementation of the new plans to ensure the inclusion of BD, SFM, LD, and gender sensitivity criteria. Specifically, the project will formulate/update 10 Municipal Development Plans, and support the implementation of 4 MDPs (La Descubierta, Neyba, Rancho Arriba and Yamasá).
- **Municipal Land Use Plans (LUP)** consider BD, SFM, and LD and formulated by consensus between local and national stakeholders. Only one of the target municipalities in pilot zones (Neyba) is currently engaged in a land use planning process, but does not include BD, SFM, LD and gender sensitivity criteria. An ongoing initiative for land use planning that mainstreams climate change is under way in the Enriquillo region under the leadership of FEDOMU, with the assistance of DGODT and AECID financing. Furthermore, an interinstitutional platform has been established for the implementation of the Enriquillo region's LUP in the municipality of Neyba, Bahoruco province, which falls within the Sierra de Neyba pilot zone. The project will build upon this experience such that by mid-term, 5 municipal LUP are formulated, and by project end 10 LUP exist in the pilot zones. Of these 10 LUP, the project will support the implementation of 3 LUP in the pilot zones (La Descubierta, Rancho Arriba and Yamasá). To bolster these efforts, the project will facilitate the establishment and strengthening of 2 watershed councils in the pilot zones of Rancho Arriba and Yamasá.
- **Proscriptions of land uses** in sensitive areas. The project will support the establishment of at least 10 special categories of land use that guarantee sustainable use of BD in target areas (in other words, categories of sustainable land use established by LUP). In particular, the project will promote private conservation areas (within specific pilot areas in Component 2) and the GoDR's efforts toward establishing an UNESCO's Man and the Biosphere Programme (MAB) in Madre de las Aguas¹¹, which aims to make use of natural and social sciences to foster the sustainable use and conservation of biological diversity in the Madre de las Aguas area, around Valle Nuevo national park.
- **Landscape-level land use plans take into account vulnerability to climate change impacts, land and forest degradation:** applied in pilot sites and harmonized with the National Territorial Ordinance Plan, covering the whole of the target areas, defining priority areas for conservation and connectivity, including buffer zones along target sites, and the range of specific uses and management regimes appropriate to different site types, based on reliable, standardized and uniform data on vulnerability to CC and ecosystem degradation, and potential for ecosystem-based adaptation solutions.

Outcome 1.2 Strengthened landscape management across institutions (national, including Local govt, M. of Env, M. of Agriculture, M. of Economy through the Direction of Land Planning, among others as required) sustains conservation outcomes, resulting from:

¹¹ Madre de las Aguas is an extraordinarily BD rich landscape at the heart of the Central range, and is the source of hundreds of streams and water courses, among them some of the country's most important rivers like Yuna, Nizao, Blanco and Ocoa.

- **Inventory and planning instruments** in place that incorporate practices that guarantee ecosystem connectivity and integrity.
- **Increased inter-institutional coordination** in the application and monitoring of standards (via the establishment of a coordination platform)
- **Registration of infractions derived from illicit activities** denounced via Linea Verde hotline and documented in MA Provincial HQ Registry of Infractions
- **At least 10% increase in Capacity Development Scorecard ratings** in target institutions
- **Proposal of financial sustainability options** for ecosystem management in productive landscapes

70. Part of Outcome 1.2. will be achieved through Output 1.2.1 institutional capacities for ensuring compliance with the provisions of environmental regulations and land use plans, including:

- **Updated and accurate maps and database integrated in an inter-institutional Geographical Information Systems** and documents making information on the biological importance, fragility and productive potential of the target areas available as supports to planning decision-making at different levels. Currently, state of the art GIS capabilities exist in MA, but there is no interinstitutional coordination. The project will support the updating of maps and databases to include biological importance, fragility and productive potential of the target areas such that by mid-term, these can be integrated in an inter-institutional GIS.

An interinstitutional platform has been established to support the formulation of the Enriquillo region's LUP in the municipality of Neyba, Baoruco province, which falls within the Sierra de Neyba pilot zone. The project will build upon this and the experience related to the national Climate Change platform, engaging the municipal council, technical committee of the town council, securing a local office with computer and software that permits sharing of information, among other logistical matters to support the interconnection of GIS platforms between MA, MAgri and local governments in pilot zones. By project end, the GIS will be operating in MA offices in pilot zones and interconnected with MAgri and local governments (via mancommunities or municipal associations, to be determined per each pilot's context). Eventually, Regional Offices of the Planning ministry (MEPYD) could be interconnected as well. It is envisioned that the establishment of this interinstitutional coordination platform will ultimately improve governance, monitoring and enforcement, and involve Government institutions at the central and local levels, as well as private sector and community-based organizations.

- **Monitoring of the status of endemic and native species** in priority zones of Madre de las Aguas, as well as any potential changes in species composition as a result of project interventions, i.e. establishment of corridors. Currently, BD monitoring guidelines exist but there is no integrated BD-LD-SFM system for Productive Landscapes. In order to achieve this, during Year 1, the project will collaborate with MA and other relevant stakeholders (farmers associations, forest producers, hydropower and water supply utilities, among others), to establish an integrated Productive Landscapes Monitoring System that includes BD-LD-SFM features. By Mid Term, the Productive Landscapes Monitoring System should be functioning and providing annual data. Implementation of this System will be paramount to the monitoring of key biodiversity features (functional biodiversity; selected taxa species: orchids, amphibians, reptiles, bats) in sustainable production models so as to feed the abovementioned GIS/maps databases for long term planning and sustainability.

- **Remote sensing and Geographical Information Systems applied to target areas** to detect unauthorized changes of land use, water capture/quality, erosion and sedimentation, hot spots, bathymetries, weather stations and monitoring plots, including the necessary training to manage, interpret and apply acquired information. This will be linked directly to the GIS in Output 1.1.1, which will keep updated and accurate records of information on the biological importance, fragility and productive potential of the target areas. As such, these records will provide the basis for determining inappropriate land use changes, which will be registered in the monitoring and enforcement platform described below.
- **Platforms for collaboration in monitoring and enforcement**, involving Government institutions (executive and judicial branches) at the central and local levels, as well as private sector and community-based organizations. The project will contribute to the strengthening of provincial offices of MA, M Agri and other institutions involved in land use planning and monitoring, as well as the Municipal Environment Management Units (UGAM) and local/municipal development councils. The project will support the development of mechanisms for monitoring and responding to environmental violations. Specifically, the project will enable the full implementation of Linea Verde, a complaint hotline that has been designed by MA, but not yet executed. By Mid-term, “Linea Verde” will be operating in the project’s 3 pilot sites and the existing Registry will be improved in 4 provincial HQ. The project will work closely with MA partners to profit from the institutional commitment to establish Linea Verde and improve Registry of infractions in 4 provincial headquarters of MA. The operationalization of “Linea Verde” in the 3 pilot sites will require the establishment of a Linea Verde team, equipment, and training.

Furthermore, the project will develop a model for SDG monitoring at the local level and engage local and national stakeholders to ensure implementation. The Dominican Republic has established the SDG indicators to be monitored and Annex J describes how this project can contribute to measuring and monitoring the DR’s progress towards achieving those related to the project. It is envisioned that the project will establish the SDG Monitoring System during Year 1, with a protocol defined for implementation in 4 target municipalities. It is expected that the SDG Monitoring System will be functioning and providing annual data for the chosen indicators by the project’s Mid Term, allowing for a robust set of data by project end.

- **System for early warning of fires and for planning of fire management and control**, including characterization of land units according to fire risk (determined by factors such as vegetation type and proximity to agricultural areas, settlements and roads), vulnerability and ecological responses to fire, and definition of corresponding response strategies in the case of fire outbreaks. It is envisioned that the project will facilitate the implementation of a National Early Warning System (EWS) for fires. An early warning system exists, but the flow of information is slow and intermittent. A proposal was elaborated to enhance the EWS and enable a more efficient flow of information, but is out of date and not yet implementable. The project will update this proposal for strengthening the EWS and accompany the process to ensure its adoption. This will entail designing and implementing a municipal early warning system for prevention, management and control of fires, to strengthen MA’s national fire strategy (including guidelines, protocols, and operational manuals). The Fire Baseline will be updated, including cartography (forest fuel maps, detection and surveillance towers, access roads, and fire scars). The FAO will be instrumental in the formation/training of brigades as well as simulation exercises in Component 2. By Mid Term, the Early Warning System will be fully functional in the project pilot sites. As in all project activities, the engagement of key local

stakeholders will be crucial to ensuring the full implementation of the Municipal and overarching National EWS for fires.

- **Increased technical capacity** of key stakeholders and partners to promote sustainable production options compatible with BD conservation and CC resilience; apply regulations and uphold the legal framework; coordinate effectively. Recipients of this capacity development will include local government, MA, MAgri, M. of Economy through the Direction of Land Planning, among others as required. The Capacity Development Scorecard was applied during the PPG to identify strengths and weaknesses in the institutional capacity to promote sustainable production and management with BD, LD and SFM criteria. In particular, the project expects to impact the level of capacity to sustainably manage productive mountain landscapes with emphasis on Indicators 3 (Existence of Cooperation with Stakeholders Groups); 4 (Degree of Environmental Awareness of stakeholders), 5 (Access and Sharing of Environmental Information by Stakeholders); 9 (Extent of Environmental Planning Strategy Development Process); 10 (Existence of an Adequate Environmental Policy and Regulatory Framework); and 11 (Adequacy of the Environmental Information Available for Decision Making).

71. This Outcome will be further bolstered by Output 1.2.2 Financial sustainability/ Financing framework for landscape management through:

- **Mainstreaming environmental sustainability criteria in coffee/cocoa credit policy**, increase in availability of credits through national and local financial institutions.
- **Establishment of sectorial credit mechanisms** for sustainable management of production landscapes. As described in Annex K Financial Components, the country has specialized financing sources for agricultural activities, such as the Agricultural Bank and the Special Fund for Agricultural Development (FEDA). In the area of banking dedicated to the promotion of micro, small and medium enterprises, there are lines of financing for production in Fondomicro, Banca Solidaria and the Association for the Development of Women (ADOPEM), the latter supporting primarily women's initiatives. While these institutions offer specialized funds for conventional productive systems, they do not incorporate sustainability criteria. Therefore, the Project will focus on establishing alliances with the Agricultural Bank and ADOPEM for the financing of productive activities and enterprises in the pilot areas. By mid-term, the project aims to have negotiated 3 Agreements for credit mechanisms for sustainable productive activities and see the implementation of 3 Credit mechanisms by project end (1 per pilot). To achieve this, the project has defined the following actions:
 - Define the implementation strategy for financial mechanisms that recognize ecosystemic services value (including institutional arrangements)
 - Assess current status of ecosystemic services in pilot zones (economic value and priority)
 - Select the type of financial mechanisms to apply
 - Identify potential financing sources
 - Develop all necessary instruments (i.e. guidelines and operational manuals) for the operationalization and management of financial mechanisms
 - Design credit lines for the financing of sustainable productive systems (including agro-ecotourism)
 - Identify and select financing/credit agencies in pilot zones

- **Establishment of an Integral Compensation for Watershed Services scheme.** Taking into account lessons learned from the GEF Sabana Yegua project, this project will not establish a traditional Payment for Environmental Services (PES) scheme *per se*, rather it will promote an Integral Compensation for Environmental Services scheme (*Compensación Integral para Servicios Ambientales – CISA*), which works with the different sectors in the area to help improve services and living conditions in the local communities as compensation, such as infrastructure to improve post-harvest activities of coffee and cocoa in pilot sites (dryers, silos, etc.), as well as community infrastructure, provision of genetic material, assistance and technical support in the transition from non-sustainable to sustainable production forms. Rather than paying cash to the communities, they could also provide micro-credits to Small- and Medium-Enterprises (SMEs), incentives to local producers that adopt sustainable land-use practices, among others. The project will build on these experiences, and those of existing mechanisms (described in the Barriers section and Annex K), such that by mid-term, 1 financial mechanism is designed and the management/ implementation arrangements have been agreed upon. Subsequently, by project end, at least 1 financial mechanism for ecosystem services should be functioning in the pilot sites.

Outcome 1.3 Effective local participation in planning:

- **Local capacity to plan and implement conservation corridors** that connect cocoa and/or coffee farms and other BD-friendly productive ecosystems with nearby priority forests, watersheds and Protected Areas/Spaces.
- **Local capacity to generate, use to monitor and share geographic, socio-economic, and bio-physical information** needed for spatial planning and management purposes.

72. This outcome will be achieved through Output 1.3.1 Local participation mechanisms (10 municipalities) for effective participation in land use planning as well as programs that increase collective benefit through additional alliances. The project will promote increased organization among communities and producers through the establishment and strengthening of local networks in coordination with the central level for coordination, management and conflict management related to unsustainable management of natural resources. It will ensure that at the local level, pilot sites' structures and coordination capacities and effective participation are established.

73. Furthermore, these local participation mechanisms will be crucial to the Design and implementation of a participatory Monitoring Plan with BD, LD, and SFM criteria for the conservation and sustainable production systems in mountain landscapes

74. The project will work to strengthen local capacity to plan and implement conservation corridors that connect cocoa and/or coffee farms and other BD-friendly productive ecosystems with nearby priority forests, watersheds and Protected Areas/Spaces. An important mechanism for this is the effective functioning of Municipal Development Councils in pilot zone municipalities with stakeholder involvement at different levels. Currently, no Municipal Development Councils (MDCs) exist in the project's pilot zones; the MDC¹² is one of the six instances of the National Planning and Public Investment System established by law 498-06, which includes Regional and Provincial Development Councils as well. MDC functions include the formulation of development strategies for the municipality,

¹² MDCs are integrated by the local mayor, the president of the municipal assembly, the chairperson for each municipal district, a representative of municipal business associations and/or commerce and production chambers, a representative of municipal high education institutions, a representative of professional associations, and a representative of farmers associations, neighbor organizations and NGOs recognized by their work in the community.

the promotion of citizens' participation, and the formulation of land use plans, among others. In coordination with MEPY's Land Use Planning Directorate DGODT and local governments, the project would support the establishment of these MDCs as a participatory mechanism, aiming to establish 4 MDCs in Neyba, La Descubierta, Yamasá and Rancho Arriba by mid-terms. The project will accompany the operating of these MDCs to ensure that by project end, 4 municipalities are actively engaged in planning processes through their respective MDCs.

75. To complement the establishment of the MDCs, the project will also strengthen local capacity to generate, use, monitor and share geographic, socio-economic, and bio-physical information needed for spatial planning and management purposes. Currently, there is 1 Commission for the rehabilitation and development of the Ozama and Isabela river basins (the Yamasá pilot site falls within the Ozama basin), which was established by presidential decree in 2014, involving MA and different public, private and community stakeholders. However, there is very limited local capacity to generate, use, monitor and share geographic, socioeconomic and bio-physical information. To address this, the project will establish 1 watershed mechanism as a dialogue and coordination platform in the Nizao pilot zone by mid-term. The project will also foster the active participation of local producers supported by the project in the Yamasá pilot zone in the Ozama-Isabela Presidential Commission. By Project end, 2 watershed mechanisms will be operating as dialogue and coordination platforms in the Nizao and Ozama (Yamasá) pilot zones¹³.

76. Ultimately, the Outputs described above will make the following contributions to the National System / Framework and will support the pilot interventions in Component 2:

- a) Build upon agricultural pre-census applied in 2015 (our current BL) and analysis of results – update results for coffee, cocoa, fruit, and other priority products
- b) Monitor and measure coverage of pilot areas, but provides a proven/tested tool/methodology for further implementation nation-wide
- c) Engage institutions to define a methodology of erosion monitoring/measurement (based on lessons learned from Artibonito, Plan Sierra, Sabana Yegua)
- d) Update and support the BD monitoring system (including CC factors)
- e) Develop the capacities necessary for implementing the BD monitoring system, including Protocol/Guide for involving women and youth
- f) Develop Land Use Plans (LUP) / Environmental Agendas and Municipal Development Plans
- g) Create/Promote spaces/opportunities for stakeholder involvement and decision-making (in cooperation with Provincial and Municipal Councils)

Component 2: Conservation compatible production systems in threatened mountain ecosystems and conservation corridors (Total cost: US\$22,484,850: GEF \$3,324,850; Co-financing: \$19,160,000)

77. Under this component, the project will work to improve the connectivity of key biodiversity between production systems and forest protected areas through the development of capacities to realize sustainable forest landscape management and promote CC-resilient production systems in

¹³ The Sierra de Neyba area of La Descubierta where the Project will intervene does not follow the same watershed logic as in the other Project sites.

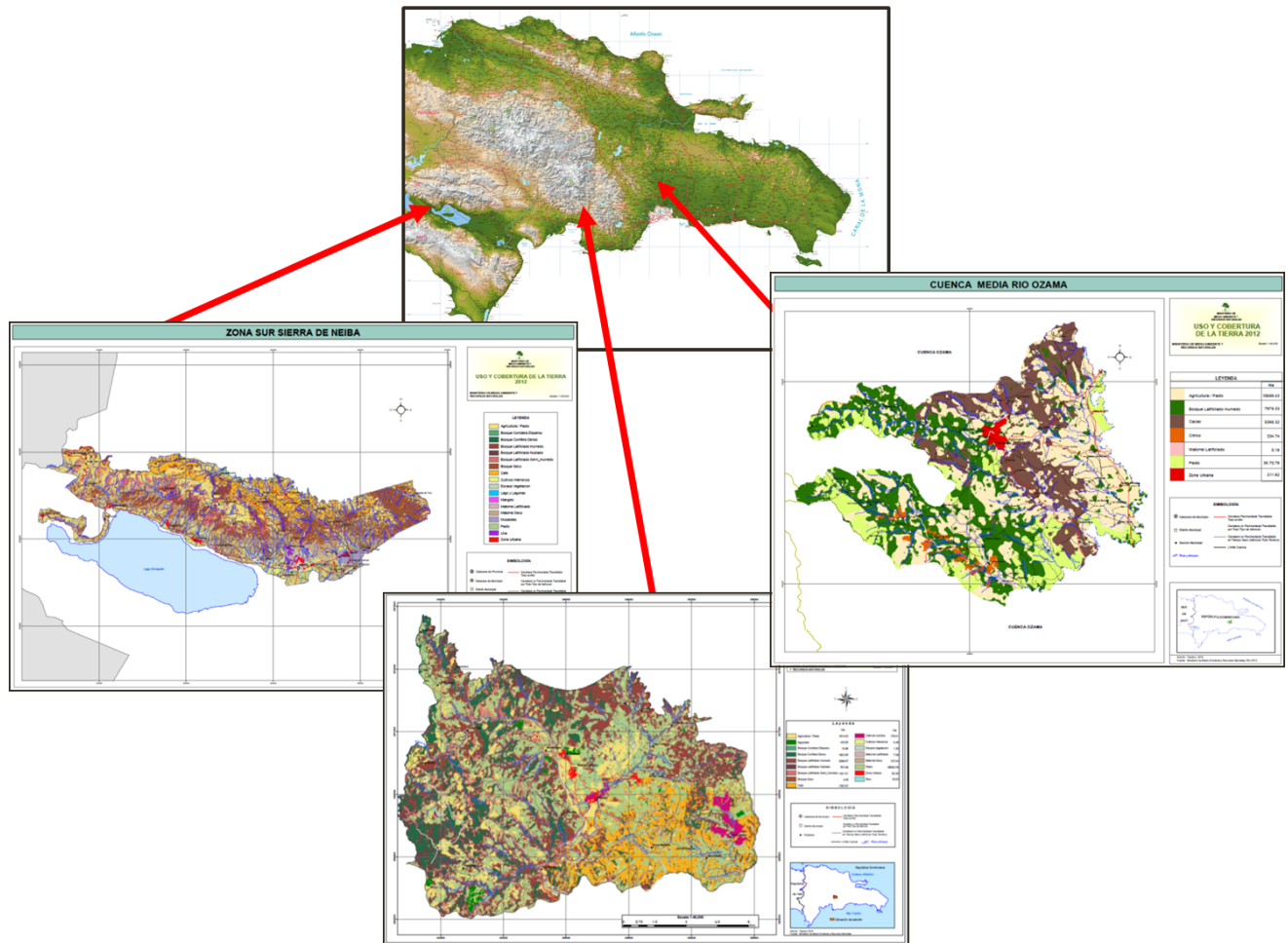
target areas. Annex H provides a detailed description of the pilot sites and interventions to be implemented through this project, and is summarized as follows:

78. A preliminary selection exercise was conducted to determine potential intervention areas, based on the following criteria:

- Spaces with important biodiversity to conserve
- Spaces that are close to protected areas (PA) / basins.
- Threat of degradation
- Vulnerability to fire / CC
- Locations where there is opportunity to establish / expand sustainable production systems
- Locations where there is opportunity to develop value chains
- Areas where there are organized local communities
- Potential synergies with other projects
- Cofinancing

79. As a result of this initial analysis, the project will support interventions in the following target areas:

- I. **Southern slope of the Sierra de Neyba mountain range**
- II. **Corridors that connect Valle Nuevo NP, La Humeadora NP, Barbacoa Reserve**
- III. **Mid-watershed of Ozama River (Colinas Bajas)**



I. South side of the Sierra de Neyba mountain range.

80. The southern slope of the Sierra de Neyba mountain range spans across parts of the provinces of Independencia and Baoruco, both classified in the category of Low Human Development, with 28 and 30, respectively. Some of the territories pertaining to Independencia province are located in the border zone with Haiti, amongst them La Descubierta municipality, whose mountain landscapes will be the focus of attention for the development of sustainable productive models. The area of intervention is close to several Protected Areas: Sierra de Neyba NP, Anacaona NP, Las Caobas N. M., and Lake Enriquillo NP.

1. Existing resources and biodiversity values / current productive activities / needs:

- The site is in the southern slopes of western Sierra de Neiba, which is the main access to the top of the Sierra de Neiba Key Biodiversity Area (KBA).
- BD Values include Pine forest, cloud forest, mahogany forests (remnants)
- High rate of endemism

- Globally significant biodiversity includes endemic and migratory birds, such as *Turdus swalesi*, *Calyptophilus frugivorus* and *Priotelus roseigaster*, endemics and under threat; endemic and endangered frogs, such as *Eleutherodactylus parabates* (CR), and both endemic and threatened land mammals, *Solenodon paradoxus* y *Plagiodontia aedium*.

Sphaerodactylus schuberti, the Neiba Agave Sphaero is a critically endangered (CR) species that is endemic with a very restricted known geographic distribution. This small gecko has not been found in any area but the proximity of the type locality, in the southern slopes of Sierra de Neiba. The project's pilot in this area will contribute to the sustainable management of crops and agroforestry, significantly contributing to the conservation of this unique species¹⁴.

Anolis placidus is a restricted range distribution anole species, endemic to Sierra de Neiba, Dominican Republic. This is a very peculiar twig anole, which will benefit from actions in this pilot site. It has being assessed as critically endangered (CR) by the recent (2018) National Red List¹⁵.

- Large portion of dry forest outside PAs. Outdated forest management plans with FEPROBOSUR. Urgent need to update management plans.
- Dry Forest Producers Associations are already established.
- Current production focuses on coffee, avocado, short-cycle crops.
- Area subject to desertification and heavily degraded. See map of aridity index.

2. What can/needs to be done:

- Increase protection zone, increase forest cover in areas of pine forest transition.
- Promote restoration through dry forest management.
- Work with promoting sustainable forest production, stop advancing agricultural frontier.
- Management and prevention of charcoal production.
- Fire monitoring sites
- Coffee production
- Promote alternative agroforestry systems and livelihoods
- Work on forest protection, sustainable production (coffee, avocado), sustainable forest management, carbon, ecotourism
- Value chains: Beekeeping, Charcoal, Forest certification, Coffee

3. Other actors in the area:

¹⁴ Inchaustegui, S., Landestoy, M. & Hedges, B. 2016. *Sphaerodactylus schuberti*. The IUCN Red List of Threatened Species.

¹⁵ Ministerio Ambiente, 2018, en imprenta

- CIEPO, Floresta, World Vision, FUNDASUR, FEMARE, FEDOMU (ASOMURE)

81. The project will contribute to strengthen the planning capacities of six municipalities by providing technical support for the formulation/updating of their Municipal Development Plans, mainstreaming BD, SFM, and LD considerations, as well as gender sensitivity, and/or providing technical support in the formulation of their Land Use Plans (LUP), with BD, SFM, and LD criteria, and through participation and consensus among local and national stakeholders. The municipalities of La Descubierta (Independencia province) and Neyba (Baoruco province) will receive additional technical assistance for the implementation of their LUP, as a pioneering experience of application of special land use categories that guarantee sustainable use of BD in mountain landscapes.

82. Furthermore, within the southern slope of the Sierra de Neyba, a sustainable production model will be established in the mountain landscapes of La Descubierta, a municipality whose limits are the Sierra de Neyba NP to the north, Enriquillo Lake to the south; the municipality of Postrer Río to the east, and the Republic of Haiti to the west. Enriquillo Lake is a RAMSAR site and an important part of the Jaragua-Bahoruco-Enriquillo Biosphere Reserve, very rich in globally significant biodiversity.

83. The area has been severely deforested, with very little natural vegetation left, in particular between the intramontane middle elevations small valley of Los Pinos del Eden, and the higher altitudes in Sierra de Neyba National Park. Important areas of the Sierra de Neyba Southern Slope are also subjected to desertification and heavily degraded. Most natural ecosystems and vegetation are those included in the surrounding protected areas. The project's promotion of sustainable landscapes in the areas will contribute greatly to stabilize and reverse erosive tendencies and facilitate connectivity.

II. Corridors that connect Valle Nuevo NP, La Humeadora NP, Barbacoa Reserve (southern part that drains toward Ocoa / La Nuez, Nizao River watershed).

84. A major part of the corridors that connect Valle Nuevo NP, La Humeadora NP, and Barbacoa Reserve falls within the territory of San José de Ocoa province. The municipality of Rancho Arriba, in the eastern side of those corridors is the one chosen for the implementation of this pilot.

1. Existing resources and biodiversity values / current productive activities / needs:

- This site is within the Cordillera Central Biodiversity Corridor. Two of the main KBAs within this corridor are Valle Nuevo KBA, to the northwest, and Loma La Humeadora KBA, to the southeast.
- BD Values include humid broadleaf forest, cloud forest and dense pine forest
- Globally significant biodiversity includes endangered and endemic species of birds, such as *Loxia megaplaga*. *Osteopilus vastus* and *Hyla heiprini*, two of the Hispaniolan endemic and endangered treefrogs, are present and protected within their areas; *Osteopilus dominicanensis* is also widespread, endemic, but highly vulnerable to climate change.

Osteopillus dominicensis is the most widely distributed frog species of the Dominican Republic, being found in almost all available habitats, from sea level to high elevations and dry to cloud forests. As such, when assessed by the present IUCN Red List Assessment, which does not include any climate change parameters, it comes out as a species of Least Concern (LC) (IUCN, 2018). Nonetheless, IUCN assessed all birds, amphibians and coral species' vulnerability to climate change based on a systematic trait-based assessment. Of the species assessed, the

potential vulnerability to climate change (High or low) does not necessarily correspond to the same threatened category established through regular IUCN Red List assessment methodology. One of the most contrasting cases is the case of *Osteopilus dominicensis*, which is a species of Least Concern under the non-climate change vulnerability IUCN Red List assessment¹⁶, but when analyzed under the IUCN methodology, based on species systematic traits, it is a species of high vulnerability to climate change¹⁷.

- Area of vital importance for water supply
- Problems with fire and land degradation; high slope area requires coverage restoration.
- Problems with strawberry growers and greenhouses: water pollution, water resources channeled by private producers (producing water imbalance).
- Coffee production.

2. What can/needs to be done:

- Sustainable land management
- Sustainable forest management
- Protection of headwaters
- Strengthen management of buffer zones.

3. Other actors in the area / opportunities for cofinancing:

- ADESJO, FEDOMU (ASOMUREVA), USAID, PRONATURA, MAgri.

85. The project will establish sustainable production systems to effectively buffer current and future threats to BD, SFM, and LD in the mountain landscapes of Rancho Arriba, within the corridors that connect Valle Nuevo NP, La Humeadora NP, and Barbacoa Reserve (Nizao). It will do this by promoting BD-friendly production systems and livelihoods mainstreamed in agriculture and forestry in the pilot site.

III. Mid-watershed of Ozama River (Colinas Bajas)

86. This area coincides with the buffer zone of Los Haitises National Park. The Ozama watershed provides very important ecological services to the Great Santo Domingo, where the capital of the country is located. To the northwest is the Aniana Vargas National Park, to the west, La Humeadora National Park, and to the southeast Sierra Prieta Biological Reserve. The area has been subject of much anthropogenic uses for historically long times, and little natural landscapes exist out of the protected areas. The strengthening and increment of sustainable productive systems in the zone, particularly cocoa, will maintain and increase the connectivity among protected areas, in particular, for the Valle Nuevo-Nizao-La Humeadora-Ozama corridor, at present under the process to be submitted to UNESCO MAB program to be declared as a biosphere reserve. It is the area with the most favorable conditions of the three target sites chosen for this Project; it provides a good opportunity to show how to connect landscapes between production areas.

¹⁶ IUCN Red List <http://www.iucnredlist.org>

¹⁷ Foden, W. B. 2013. Identifying the World's Most Climate Change Vulnerable Species: A Systematic Trait-Based Assessment of all Birds, Amphibians and Corals. PLoS ONE 8(6): e65427.

1. Existing resources and biodiversity values / current productive activities / needs:
 - BD Values include humid broadleaf forest
 - Forest management
 - Cocoa production
2. What can/needs to be done:
 - Sustainable forest management
 - Cocoa production
 - Agrotourism
 - Sustainable land management.
3. Other actors in the area / opportunities for cofinancing:
 - Productive forest clusters Colinas bajas (CNC), Conacado, forestry cooperatives, various NGOs (REDDOM/USAID)

87. The maintenance of productive sustainable landscapes and livelihoods is of crucial importance to maintain the ecological services provided not only to the municipality of Yamasá, where most of the cocoa production of this zone is concentrated, but also to the greater Santo Domingo area. Cocoa and coffee are among the friendliest BD agro-systems, allowing for important species of bat, birds, reptiles and amphibians to maintain important populations, in particular, giant anoles (*Anolis baletus*) and other anole species, galiwasps (*Celestus spp*), and amphibians (Hylids and eleutherodactylids), endemic and threatened. Thus, it is of utmost importance to preserve cocoa in this pilot zone. Accordingly, the project will promote strong incentives for local farmers to continue with cocoa production in sustainable ways that consider BD, SFM, and SLM criteria. Specifically, the project will work with local producers to ensure BD-friendly production systems and livelihoods are mainstreamed in agriculture and forestry in the threatened mountain landscapes of Yamasá, within the mid-watershed of the Ozama River (Colinas Bajas).

88. These areas are characterized by the following land cover and use:

Land Cover and Use (Ha) in Target Areas				
Type	Neiba	Nizao	Ozama	Total
Grass/agriculture	27,057.72	5,697.25	16,244.23	48,999.2
Barren land	2,027.49	272.27	241.05	2,540.81
Broadleaf Forest:				
a. Semi-humid	2,087.92			2,087.92
b. Mature	260.08	19.42		279.5
c. Secondary	1,775.05	2,766.92	3,075.00	7,616.97

Cocoa			4,037.48	4,037.48
Coffee	5,453.71	3,249.00		8,702.71
Coconut			14.83	14.83
African Palm	20.67			20.67
Broadleaf plantations		37.77	73.31	111.08
Avocado		103.59		103.59
Broadleaf scrub/bush	4,093.93	2,258.46	3,967.46	6,719.85
Urban Zone	1,216.04	63.42	352.57	1,632.03
Pine Forest:				
a. Dense	4.96	1,275.04	56.59	1,336.59
b. Disperse	2.15			2.15
c. Plantation		54.13	38.90	93.03
Dry forest	19,902.98			19,902.98
Dry scrub/bush	11,564.10			11,564.10
High Mangroves	17.83			17.83
Lake and lagoons	56.46	6.14	56.16	118.76

Source: Ministry of Environment 2014 land use and cover maps.

89. Building on Component 1, the project's pilot interventions in the above areas will support the following Outcome:

Outcome 2.1 Improved flows of global environmental benefits in key production zones, as indicated by the total area of the 3 pilot areas (image-based) with coverage, restoration and connectivity that guarantees ecosystemic services:

- **Biodiversity: Reduction in threats / Improvement in habitat quality and connectivity** in unprotected priority landscapes, including environmental goods and services through coverage:
 - **Hectares dedicated to sustainable production:** Currently, approximately 8500 ha. are managed with organic production methods. This comprises mostly cocoa (currently 7,500 ha) and coffee. The project will work with producers to promote and expand sustainable production across a total of 11,200 ha., including an additional area of 1,800 ha. of Coffee in Rancho Arriba and La Descubierta; and 900 ha. of Cocoa in Yamasá.

- **Hectares of productive and/or conservation forests** restored/ sustainably managed in the landscape¹⁸: The project aims to maintain the 1,000 Hectares that currently make up the baseline of MA's reforestation brigades that include forest and soil management practices, and increase this coverage to 2,000 ha. by mid-term and ultimately 3,000 ha. by project end.
- **Ecological restoration in priority connectivity zones** through the implementation of an ecological restoration strategy in degraded areas in coordination with production systems (degraded zones, corridors, sustainable farming, forests). This will include reforestation with native species of areas affected by fires, as well as natural regeneration. The delimitation of the restored areas and monitoring of improved zones will be part of the BD Monitoring System to be established in Component 1.
- **SFM: Reduction in frequency and intensity/ area of wildfires** in target areas. The project will strengthen the capacity of local and community groups, assist in the acquisition of equipment and tools for control, as well as facilitate the formation of community brigades, as described below.
- **Land Degradation: Reduced soil erosion rates** in areas under improved management: Soil management and conservation practices that reduce the soil erosion rate¹⁹ will be applied to a total of 300 hectares by the end of the project. These practices include, but are not limited to stone dead barriers, crop stubble, deviation channels, slope ditches, bank terraces, etc. Although this represents a small part of each farm, its impact covers an area that is at least 4 times larger (1,200 ha).

90. This Outcome will be achieved through 2 Outputs. Output 2.1.1 Capacities for the development, transfer and application of sustainable management of production systems, enabling farmers to implement resource management practices that generate BD, SFM and LD benefits, including:

- Socialization of the sustainable production systems amongst key stakeholders/ beneficiaries
- Characterization of farms in the selected pilot areas (area, crops, production practices, etc.)
- Design and implementation of a gender and age-sensitive extension package tailored to each sustainable production system, consisting of:
 - **Integrated training modules for extension agents**, resulting in more effective and participatory delivery of extension services aimed at encouraging sustainable land management;
 - **Integrated training and extension modules for producers**, focusing on BD- and LD-friendly production practices;
 - **3 Pilot/Demonstration Units under integrated management** promoting biological connectivity in key areas and functioning as foci for the demonstration and replication of BD-friendly productive options (e.g. agriculture, forestry, agroforestry) and integrated approaches to natural resource management, with strategies for BD management, replication and training.

¹⁸ SFM3 Indicator 5: Area of forest resources restored in the landscape, stratified by forest management actors

¹⁹ LD3/P4 Indicator 3.2: Application of integrated natural resource management (INRM) practices in wider landscapes

91. In order to bolster the implementation of a National Early Warning System (EWS) for fires in Component 1, this Output will also ensure that **integrated fire management (IFM) is applied to the target areas**. This will be led by FAO, as a Responsible Party for providing its technical expertise on activities related to forest fire management, and assuring technical assistance specifically linked to this, including:

- **Prescribed burning**, supported by technical training and equipment;
- **Fire readiness** across land holdings, backed by farm-level plans and technical support, including equipment.

92. As mentioned earlier, fires are mostly caused by slash and burn farming practices, according to MA's limited records. To address this, the project will apply an IFM package to the target areas (aligned with MA strategies) to ensure an increased capacity for integrated fire management. It will do this through the establishment of Community Brigades for fire control, ensuring the construction of the necessary detection Infrastructure/Towers, acquisition of protection equipment and materials, elaboration and distribution of an IFM manual, data collection and monitoring (including Tracking Tools) and relevant training.

93. There is currently 1 Brigade in San José de Ocoa, which will serve as an example and opportunity for the exchange of experiences. By project end, 7 Fire Brigades will be fully-established and functioning (1 Yamasá, 2 in Rancho Arriba, 3 in Neyba and 1 existing in San José de Ocoa). It is expected that these efforts will result in fewer hectares of forest affected by fires in the three pilot zones, as well as maintaining an estimated mitigation capacity of 81,858 tCO₂-eq through avoided deforestation²⁰.

94. The above Output would be complemented by Output 2.1.2 Ecological restoration initiatives implemented in areas affected by fires and other degrading activities that are key to the targeted production programs and resilience to CC, with emphasis on:

- Watershed protection zones,
- Buffer zones of Protected Areas
- Connectivity zones for priority forests

95. The Project will build upon the previous GEF-supported Reengineering Project of the SINAP (National System of Protected Areas) through the **promotion of Private Conservation Areas** in order to strengthen connectivity through instruments of formal recognition. Indeed, the establishment of private/co-managed reserves and/or conservation areas is deemed an important catalyst for restoration and fostering connectivity. The private/co-management model from the PA Project provides an opportunity to include BD-friendly production systems and enhance connectivity. Furthermore, by supporting the development and application of production methods that promote ecosystem connectivity, the project will indirectly promote restoration of some of the degraded landscapes in PA buffer zones. One of the mechanisms envisioned is the establishment of biological corridors that facilitate the natural flow of flora and fauna between PAs and productive landscapes.

96. During the PPG phase, local and institutional stakeholders were engaged through field visits, interviews and workshops (1 national level and 3 local in pilot zones) to determine how to develop

²⁰ Deforestation in Dominican Republic is due to a number of factors including forest fires and clearing for agriculture and other uses. The FAO EX-ACT tool was used to estimate the carbon benefits associated with the project. The forest type selected for calculations was Tropical Moist. The project is expected to lead to a decrease in the national level of deforestation for the time period of the project. The sequestration was calculated based on a 20-year period. The annual carbon sequestration is estimated to be 81,858 tCO₂-eq.

these corridors, where they are feasible, and who the key actors to involve are. Research and/or scientific data were used where available to support the project's proposals. The project will build upon the PPG's findings and confirm and promote opportunities for private conservation landscapes, including for example, the mapping of the territories and facilitating the agreement process to achieve the desired conservation modality (e.g. reserve or conservation area, or keeping a % of the farm). These efforts will bolster the project's support toward the establishment of the "Madre de las Aguas" Biosphere Reserve.

97. Key to this output is the Production of plants (native species) either in association with other producers, or individually in-farm.

- Purchase of plants to selected nurseries.
- Identify places and establish agreements with producers.
- Technical accompaniment for plantation and silvocultural works
- Establishment and maintenance of plantations

98. There is a tradition of using non-native species for providing shade/reforestation. Honduran Caoba is currently one of the most favored species for forestry activities, especially in coffee and cocoa productive zones, due to its rapid growth and high commercial demand and profitability. Recent experiments in the Libón river basin, in the northwestern border zone with Haiti, and one of the main tributaries to the Artibonito River, have succeeded in introducing native and endemic species for reforestation, along with *pinus caribea*, with high acceptance among forest producers. With the support of the GIZ sponsored Libón Verde project, the Ministry of the Environment is already collecting seeds and producing plants of some five or six of the native and endemic species in the nurseries located in the northern border province of Dajabón. This is an important step forward, but is limited in scale and geographical application. The project will build upon this experience through this Output.

99. In addition to the training and extension packages to implement sustainable production models, in the pilot zones, the project will implement the Productive Landscapes Monitoring System with BD/SFM/LD criteria established in Component 1. Permanent monitoring sites will be established within the pilot areas and local monitors will be trained to enable periodic monitoring of key biodiversity features (functional biodiversity; selected taxa species: orchids, amphibians, reptiles, bats) in sustainable production models so as to feed the GIS/maps databases for long term planning and sustainability.

100. Furthermore, the project will implement the SDG monitoring at the local level and engage local stakeholders to collect relevant data periodically as determined necessary in accordance with each selected SDG Indicator. Annex J provides additional detail as to the specific indicators this project aims to measure and contribute to.

Component 3: Sustainable livelihoods mainstream BD-friendly practices (Total cost: US\$ 22,127,148; GEF \$2,351,200; Co-financing: \$ 19,775,948)

101. The project will achieve this Component through support to **3.1 BD-friendly production systems and livelihoods mainstreamed in agriculture, forestry and tourism sectors**. This support will provide results through Output 3.1.1 Promotion of sustainable livelihoods in communities associated with pilot areas from Component 2, that demonstrate appropriate management, access to financing mechanisms, training, and implementation of clean technologies.

102. The **establishment of a financially sustainable extension service** will review best practices, share experiences and support local stakeholders' adoption of the agreed best practices and biodiversity friendly production models. This will be comprised of:

- Implementation of an extension package for sustainable livelihoods, especially via farmer field schools (complementary to the training package for producers, involving a commitment from the producers to adopt and replicate sustainable practices).
- Extension agents will accompany farmers in plantation and harvest techniques.
- Implementation of the Credit Access Package for the promotion of sustainable livelihoods.
- Provision of gender and age-sensitive technical support to associations for the development of business plans.

103. **The design and implementation of business plans** will be essential for the achievement of the Outputs envisaged under Component 3. During the PPG phase, leader organizations were identified in Nizao (Rancho Arriba) and Ozama (Yamasá) pilot sites, and the need to build such organization was identified in Sierra de Neyba (La Descubierta) pilot site. Specifically, in Rancho Arriba, support will be given to strengthen capacities for local nuclei or associations affiliated with ADESJO and CODOCAFE leader organizations, while in Yamasá, support will be given to local associations affiliated with the CONACADO leader organization. In La Descubierta, on the other hand, support will be given to the existing grass-root farmers associations to complete the process of formation of a cooperative to fulfill the requirements for implementing their business plan. By supporting the design and implementation of business plans, the Project will promote associativity in the development of sustainable productive activities in the three pilot sites. This will be achieved by:

- Assisting producers' organizations in the design and implementation of participatory and gender-sensitive business plans for sustainable production (cocoa, coffee and associated livelihoods), including road maps as required.
- Support the design and implementation of gender and age-sensitive training modules that will build or enhance local capacities in:
 - Empowerment for integration and participation in decision making
 - Ecotourism (hospitality /food services and local tourism guiding
 - Skills development in basic accounting, administration, financial management and trading
 - Skills to form and operate micro enterprises
 - Branding and development of skills to access new markets
 - Access to and management of financing.

104. The project will complement this accompaniment through **Business development support / supply chain initiatives**: create conditions in small producers to ensure they have the capacity to insert themselves within the supply chain and develop it to guarantee value-added in production. Currently, none of the pilot areas have a viable business plan for sustainable economic activities. By Year 1, the project will support producers in their efforts to consolidate associations, such that by Mid-term, 3 Business Plans for sustainable economic activities will have been designed and approved (1 per theme per pilot zone). The project will accompany this process to ensure that by project end, 3 of these Business Plans are implemented (1 per theme and per pilot zone). Among the options identified during

the PPG are: Agro-ecotourism, Production/nurseries of native plant/tree species for sustainable production systems, apiculture, short-cycle crops (mango, onion, potatoes, carrots and other crops that could benefit from more sustainable practices). For the successful implementation of business plans, the project will also support the building of postharvest small infrastructure for coffee waste management, coffee and cocoa drying and fermentation, and storage facilities.

105. This component will support a number of **micro-enterprises adopting BD-friendly production systems**. This includes **ecotourism and other value chains**. There are several alternative forms of tourism (ecotourism, agrotourism, agrobiodiversity, bird watching tourism, and others) that can be developed as value-chain activities, complementary to the sustainable production systems promoted by the project. The best suited options for each pilot site will be established in the design of site-specific ecotourism destination packages in the abovementioned business plans. In particular, the PPG phase determined cost-effective options for project support such as the design and construction of 3 interpretation trails with adequate signage within agroforestry systems in each pilot site; the enabling of accommodation spaces for visitors in 10 local households in Ozama and Nizao pilot sites; and the enabling of visitor reception and orientation facilities in each pilot site. In the Sierra de Neyba pilot site, the project will also provide materials for apiaries management.

106. The interventions described above provide important opportunities for the project to support the establishment and testing of tools/instruments to promote BD friendly livelihoods. Currently, the only instrument available to promote BD friendly livelihoods is Organic Certification (cocoa & coffee). However, this does not include all of the criteria promoted by this project. As such, by Mid-Term, the project will build upon this organic certification via 3 BD-friendly technological packages that add value to coffee and cocoa production, designed and agreed upon in pilot zones. By project end, the project aims to accompany the Organic Certification with 3 BD friendly technological packages adding value to coffee and cocoa production incorporated in model farms in pilot sites.

107. While Ecolabeling does not necessarily guarantee price premiums, it attracts buyers who increasingly desire quality assurance, fair-trade and environmentally-sound production principles. Thus, the project's interest in promoting ecolabeling is not focused on improving prices, but rather on open market access. It is important to note that the market niche of the DR is organic fine aromatic cocoa. In this regard, all the measures that the project can promote to guarantee this market are welcome, in addition to directly contributing to the conservation of BD.

108. Future sustainability will be determined by the market. The project will promote small and medium producers of cocoa and coffee to take advantage of the differentiated markets based on experiences of success that stimulate the producers to continue in that direction. The opportunities for climate-smart produced goods are increasing and this will produce sufficient attraction for producers to remain in these niche markets after the project is finished.

109. **Credit Access Package established** for the promotion of sustainable livelihoods: To bolster the effort to adopt BD-friendly livelihoods and production, the project will also support the design and implementation of 3 credit lines (1 per pilot site) with BD friendly production requirements. Thus, the project will enhance access to credit for the development of sustainable production systems and the development of small business that contribute to the diversification of the local economy. Financial mechanisms and credit facilities will be developed through Component 3 to benefit those producers who agree to adopt sustainable practices and to protect prioritized ecosystemic services.

110. Currently, Commercial Banks have a "green credit line" but do not finance small agricultural producers, due to risks associated with the activities. Thus, the project will bolster efforts by financial institutions to support micro-enterprises, 1 of which should specialize in microcredits for women. By

Project end, 3 local entities (1 per pilot) will have a functioning financing mechanism for microenterprises dedicated to productive activities, including agro-ecotourism. Some of the Credit options under consideration include:

- Certification of products coming from production systems friendly to birds and biodiversity.
- Carbon Bond Scheme for agroforestry systems, under the Plan Vivo or Rainforest Alliance modality.
- Establishment of rates for large water users for a PES scheme, agreed with the Water Fund for Santo Domingo.
- Agreements with the Agricultural Bank and ADOPEM for the establishment of green credit lines for sustainable production in the pilot zones.
- Establishment of a Guarantee Fund, with micro capital grants provided by the project, for the management of the resources directed to the investment in productive sustainable activities in the pilot sites with local institutions, under an escorted credit scheme²¹.
- Establishment of ecotourism destination packages with basic infrastructure and capacity building put in place for them to be run by the community.
- Credit line for Agrotourism and Ecotourism initiatives.
- Credit line for activities of manufacture and crafts with local products.

111. Furthermore, even when producers have access to credit, there is no support for producers to transition from conventional to sustainable production. Thus, the project would support Producers in the pilot sites to make them aware of financing options for sustainable productive activities via the business plans to promote sustainable production in mountain landscapes. The aim is for 50% Producers in the pilot sites to have access to financing options for sustainable productive activities by project end. Among these, the project will support:

- **3 Pilot Ecotourism units functioning** as models of options for sustainable tourism that includes organization and generation of capacities for communities with potential for rural tourism, agricultural tourism, adventure and/or ecotourism, or as a destination of protected spaces.
- **3 Local SFM Pilots functioning** as models of options for sustainable forestry.

112. This will be complemented by Output 3.1.2 Women and youth livelihoods will be promoted, including their empowerment and participation at the local level through:

- Capacity building
- Insertion within value chains,
- Improvement of income,

²¹ Pursuant to UNDP's Guidance on Micro Capital Grants, the project will work with local NGOs to support the establishment and strengthening of BD, LD friendly production and livelihoods in the target areas. This is envisioned to include support in planning as well as material goods such as equipment and infrastructure associated with each case. Through the Micro Capital Grants, all resources awarded to local NGOs and producers will be expended within the project timeframe with concrete outputs, per the Standard Grant Agreement (Micro-Capital Grant Agreement).

- Integration/participation in decision making at the local level.
- Existing gender relationships will be expanded and consolidated based on the valuation of women and youth potential and recognizing their role as revitalizing agents of local economies.

113. Of particular importance is the **implementation of gender and age-sensitive business plans** to support the formalization, strengthening and development of management skills, which include:

- The design of ecotourism destination packages in each pilot site (taking into account the National Strategic Plan for the Development of Ecotourism)
- The design of brands for products to be marketed
- The design and implementation of marketing campaigns of enterprises and brands
- Support to local organizations in pilot sites to access and manage financing/credit mechanisms
- Establishment and operation of gender and age-sensitive micro enterprises, and
- Access to markets consuming sustainable products developed through the project.

114. Ultimately, livelihoods would not only be productive, but also linked to small and medium-sized enterprise (SME) opportunities. For example, the development of SME for local eco/agro-tourism and other small businesses linked to sustainable production, could serve to demonstrate benefits at the product level with the development of value chains as incentives. The restoration of mountain landscapes would require a mix of long-cycle crops, cocoa, coffee in the upper regions, among others – all of which would provide added sources of income and opportunity beyond the environmental benefits associated with BD-friendly production practices.

Component 4: Knowledge Management and M&E (Total cost: US\$ 3,404,658; GEF \$504,658; Co-financing: \$2,900,000)

115. This component, through Outcome 4.1, is dedicated to ensuring that knowledge is effectively managed in support of the conservation of BD and ecosystem services in productive landscapes in threatened forested mountainous areas. To achieve this, the project will pursue the establishment of a knowledge management strategy that focuses on the production of knowledge products, and the wider communication and dissemination of project lessons and experiences to support the replication and scaling-up of project results. Furthermore, during implementation, the project will seek out lessons learned from other GEF projects regarding ecolabels and PES (and other compensation schemes) in Latin America and the Caribbean.

116. In particular, **Output 4.1.1** will support the development and implementation of a **communication strategy and citizen mobilization campaign** with gender and age considerations, to improve knowledge and practices of sustainable management of threatened mountain landscapes.

117. During Year 6, the project will support the development of a Knowledge Sharing Fair on Sustainable Management of Mountain Landscapes, based on the experience of the three pilot sites where sustainable production systems and livelihoods will be implemented.

118. Furthermore, the project will facilitate the design and implementation of a systematization process throughout project implementation to identify, document and share best practices, lessons learned and case studies, including evidence of the special contribution of women and youth to the

sustainability of threatened mountain landscapes. This will ultimately contribute to the project's sustainability by enabling replication throughout the Dominican Republic, as well as internationally through South-South cooperation.

Consistency of the project with National strategies and plans or reports and assessments under relevant conventions if applicable, i.e. NAPAs, NAPs, NBSAPs, national communications, TNAs, NCSAs, NIPs, PRSPs, NPFE, Biennial Update Reports, etc.:

119. This Project is consistent with Article 14 of the new Constitution of the Dominican Republic which establishes the state's responsibility to conserve ecological equilibrium and in addition it supports the following national priorities and plans:

120. The **National Development Strategy 2030 (END)** has an explicit relevant objective - *the protection and sustainable use of ecosystems goods and services, biodiversity and natural heritage, including marine resources*. Under this objective the Strategy includes 14 lines of action. Specific short-term goals include increasing forest cover by 1.1% or 400 square km. Additionally, it targets the establishment of a National Land Use Plan, implementation of PES for water, strengthening of the environmental permitting system in the Ministry of Environment (MA), installation of Regional Environmental Managers and the creation of local work commissions to combat desertification in arid areas.

121. The **National Biodiversity Strategy and Action Plan (NBSAP)** 2011-2020 provides a framework for interventions in support of biodiversity conservation and SLM. The NBSAP includes goals to increase investment in biodiversity, an analysis of perverse financial subsidies and incentives that negatively affect biodiversity, and a plan to reduce, reform and eliminate them. It also includes evaluations and actions to reduce the ecological footprint of government and business in the environment; a reduction by 25% of habitat loss and degradation; and a national campaign to finance the implementation of the strategy. The NBSAP is currently being updated, and the sixth national report is under preparation.

122. The project will also contribute to a number of other goals within the MA's programs, as mentioned in the Baseline.

123. With regards to the **United Nations Convention to Combat Desertification and Drought (UNCCD)**, the Dominican Republic, through the Ministry of Environment and Natural Resources as Focal Point, supported by the Vice Ministry of Land and Water and the Interagency Technical Group (GTI) has established voluntary Land-Degradation Neutrality (LDN) targets, through an internal process of consultation and evaluation of goals in the context of the Convention on Biological Diversity and Climate Change taking into account the intrinsic link of these specifications under "Land Degradation Neutrality: from Concept to Practice", using the UNCCD LDN indicator framework for voluntary national targets and monitor their achievement using an approach based on indicators:

- a) The synoptic utilization of trends in land cover / land use.
- b) Trends in land productivity.
- c) Trends in carbon storage in the soil available in global databases.

124. The DR has determined that voluntary LDN targets are of utmost importance to achieve the country's environmental and socio-economic objectives as well as create synergies between the Convention of the United Nations Convention to Combat Desertification (UNCCD) and the Sustainable Development Goals (SDGs) as agreed at COP 12, held in October 2015 in Ankara, Turkey.

125. As mentioned above, the project will also support GoDR's efforts to meet commitments related to the Sustainable Development Goals with regards to:

- 1) Sectoral consistency
- 2) Financial coherence (investments in the field)
- 3) Policy coherence (conservation, mining, biofuel, food security)
- 4) Spatial alignment
- 5) Catalytic investments

ii. Partnerships:

126. During implementation, the project will work with partners to achieve results at the local and national levels:

127. In the strengthening of planning capacities envisaged under Outcome 1, one major partner will be DGODT, the land use planning responsible entity within MEPYD, which is currently engaged in different territorial planning processes at the local level. Other important partners in this domain will be the Dominican Federation of Municipalities and its regional affiliated associations in the pilot zones, local governments, NGOs, producers organizations and cooperatives, and community and producers grass-root organizations. FAO will also be an important partner to achieve results under Outcome 1, particularly in relation with the development of a national early warning system for fires.

128. In the achievement of results related with Outcome 2, a major partner will be the Ministry of Agriculture, which together with the Administrative Ministry of the Presidency and the Ministry of Environment, are key stakeholders in one of the major government baseline initiatives: the agroforestry development project, which will be implemented in parts of two of the three selected pilot sites (Southern Slope of Sierra de Neyba and Upper Nizao). The Ministry of Agriculture is committed with co-financing and will provide extension agents who will be trained and will provide technical accompaniment to producers in the targeted zones in the implementation of sustainable productive models and sustainable livelihoods practices. CODOCAFE and the National Cocoa Commission will also be important stakeholders to achieve results in the selected pilot zones. FAO will also play a role in the implementation of field schools, under Outcome 2. The EU financed project for the strengthening of the Caribbean Biological Corridor will provide 3.5 million Euros for the DR, Haiti and Cuba, and some of its actions will be linked to this project, particularly in the southern slope of Sierra de Neyba pilot site. The project will benefit from some of the actions being developed by the Ministry of the Environment under the World Bank financed readiness preparation project for REDD+ under the FCPF, particularly in relation with the development of GIS capabilities, forest inventory, safeguards, and monitoring systems, among others.

129. With regards to Outcome 3, the project will benefit from the lessons learned and practices implemented so far by the ongoing REDDOM project, sponsored by USAID, which is promoting sustainable production systems in the upper Ozama basin, near the Ozama (Yamasá) pilot zone, and from the GIZ sponsored Libón Verde binational project, in the northwestern border zone between Haiti and the DR, which is promoting sustainable livelihoods, reforestation, sustainable forest management and coffee/cocoa recovery in degraded areas of that international watershed. The majority of the abovementioned stakeholders participated in the PPG's consultation process and activities (individual and group meetings as well as workshops).

130. This project will build on and complement a number of initiatives in the areas of biodiversity conservation and sustainable tourism development. GEF/UNDP/MA's Re-Engineering of the PA system project focused on establishing the institutional and legal framework required to facilitate the financial sustainability of the PA system. The current project will build upon relevant results from that project with regards to promoting corridors between PAs, expanding the biodiversity monitoring system, and the promotion of private PAs. The project will also incorporate lessons learnt in the field of local land use planning and application of natural resource management tools from 3 earlier GEF funded initiatives implemented through UNDP:

- Sustainable Land Management in the Upper Sabana Yegua Watershed System,
- Artibonito Binational project, and
- Capacity Development for SLM in DR.

131. The project will build upon the experiences and results of the Poverty-Environment Initiative which developed models and tools: Vulnerability Index to Climate Shocks designed to identify and reduce the vulnerability of poor populations, and a series of Guides for Land Use Planning for municipalities. During the PPG phase, the project discussed coordination mechanisms with the GEF SGP initiatives, as well as with key partners such as EU, FAO, IDB, UNEP, USAID, the World Bank and TNC and build upon the work currently underway described in the baseline section. The project will incorporate experiences learnt and scale up relevant site-specific management and planning tools developed by these partners. In particular the project will capitalize on the progress made on tourism diversification and private sector engagement in the 3 pilot areas. Furthermore, FAO has implemented a number of forestry-related initiatives in the last decade, including the elaboration of forest management plans. The lessons learnt from these initiatives will be key to FAO's role as Responsible Party in the development and implementation of parts of Component 2.

132. Ultimately, this project will support the consolidation of models produced by these other projects, especially those related to territorial governance for sustainable development. As such, this project is a logical complement to previous/current GEF investments, providing an innovative approach to put in practice these governance models in productive areas that promote connectivity and sustainable development with important contributions to a holistic portfolio for the country.

iii. Stakeholder engagement:

133. The project has identified key project stakeholders (e.g. national institutions, local communities, women, children, elderly, the poor and vulnerable) and outlines a strategy in Annex M to ensure stakeholders are engaged throughout project implementation. Stakeholders include target groups (the intended beneficiaries of the project) and other potentially affected groups, as described below:

Stakeholders	Project Implementation Role
Ministry of Environment and Natural Resources (MA) – Vice Ministry of Protected Areas and Biodiversity; VM of Forest Resources – VM of Soils and Water – Planning and	MA is the GEF focal point and the public agency responsible for the formulation of national policy related to the environment and natural resources and to ensure the sustainable use and management of renewable natural resources and the environment. MA will be in charge of guiding activities related to BD conservation, and policy issues through the implementation of national plans and policies related to conservation of BD. MA will expand ecotourism policies (developed in the Reengineering of PA project) and existing synergies with MITUR and other key stakeholders. MA will also guide activities related with SLM and erosion/degradation prevention, including strategic coordination with other Ministries and Local governments. Additionally, MA will lead sustainable forest management and forest fires prevention activities, in order to guarantee the

Development Directorate	<p>protection and expansion of existing forest ecosystems.</p> <p>The Vice Ministry of Protected Areas and Biodiversity will lead the day to day execution of the project, ensuring appropriate engagement of specific dependent Vice Ministries and Directorates which will need to be involved to a greater or lesser degree with specific aspects of implementation.</p>
<p>Ministry of Agriculture (MAgr)</p> <ul style="list-style-type: none"> – Vice Ministry of Planning – Planning Directorate 	<p>Institution responsible of the formulation and guidance of agricultural policies in the DR. MAgr supports producers to improve their competitiveness and access to markets, in order to guarantee food security, employment generation, increase of foreign profits, and improvement of livelihoods.</p> <p>MAgr, MA and the Administrative Ministry of the Presidency are key stakeholders in one of the major government baseline initiatives: the agroforestry development project, which will be implemented in two of the three selected pilot sites (Sierra de Neyba Southern Slope and Upper Nizao), and as such will play a major role in complementing the project’s actions.</p> <p>MAgr will be engaged at different levels in project implementation, by providing advice at the senior and the technical/political levels. Through their extension system, MAgr will contribute with technical accompaniment and capacity building to farmers, will be engaged in the implementation of interconnected GIS platforms, and will provide cash and in-kind co-financing for the provision of seeds, plants, post-harvest infrastructure, and improvement of inter-farm access roads, among others.</p>
CODOCAFE (Dominican Council of Coffee)	<p>Public – private organization responsible of guiding coffee policies and supporting the development of the sector and producers. It will be engaged in the promotion of sustainable coffee production in two of the pilot sites (Nizao and Sierra de Neyba), will provide advice at technical/policy levels in this domain, and will contribute with cash and in-kind financing to complement project actions to strengthen diversified BD friendly coffee production.</p>
National Cocoa Commission	<p>Public – private organization responsible of designing the national cocoa policy, supporting increase and rehabilitation of cocoa farms, and improving cocoa quality. It will provide advice at the technical/policy levels to improve cocoa cultures, particularly in the Yamasa pilot site.</p>
<p>MEPYD –Ministry of Economy, Planning and Development</p> <ul style="list-style-type: none"> – General Directorate of Territorial Planning and Development (DGODT) 	<p>MEPYD coordinates the National Planning and Public Investment System. It holds responsibility for territorial planning and plays a key role in the approval of national budgets, public investment projects and so on. MEPYD is currently engaged in different territorial planning processes at the local level, and will be an important stakeholder for the formulation and implementation of development and land use plans in the 10 municipalities comprised in the pilot zones. DGODT will provide policy guidance and will be engaged in the processes related with the formulation and implementation of Municipal Development Plans and Land Use Plans, as well as in the establishment of governance platforms at municipal and provincial levels in the pilot zones.</p>
<p>MITUR - Ministry of Tourism.</p> <ul style="list-style-type: none"> – Directorate of Ecotourism 	<p>MITUR regulates and promotes the tourism sector. Should be considered for the development of any agro-ecotourism activity in pilot sites, in close coordination with MA.</p>
Municipalities, including FEDOMU (Dominican Federation of Municipalities)	<p>Responsible for overseeing land-use management at local level, within their areas of jurisdiction, for ensuring that management strategies are appropriate to local needs and for ensuring that the needs of local stakeholders are taken into account in the definition of management strategies. The municipalities will benefit from and will be engaged in the territorial planning activities to be carried out by the project (formulation and implementation of Municipal Development Plans & Land Use Plans, development of the SDG monitoring platforms and establishment of Municipal Development Councils).</p>
Local communities	<p>Local communities and rural users of natural resources and their grassroots organizations will be direct beneficiaries of the project in terms of enhancing capacities for governance systems, planning issues, participation tools. Through their grassroots associations, the local communities will take part in the different participation and consultation platforms to be promoted by the project and will be beneficiaries of the different planned activities.</p>

NGOs	The civil society organizations considered in this plan make an important contribution to the management of Pas, and the management of buffering zones, particularly productive mountain landscapes. They have been consulted during the PPG phase and will be involved early on in providing technical assistance for the implementation of the project. NGOs such as Pronatura, Fundación REDDDOM, ADESJO, CIEPO and FLORESTA, can contribute in the development of sustainable livelihoods, due to their strong field record and know-how of the context, and their experience working with farmers in the pilot sites.
FAO	Will provide guidance and assistance in the application of the forest fire management package.
UNDP	Serves as the implementing agency of GEF co-financed projects.

iv. Mainstreaming gender:

134. UNDP prioritizes gender mainstreaming as the main strategy to achieve gender equality. Gender mainstreaming is the process of assessing the implication for women and men of any planned action, in all areas and at all levels. It is a strategy for making women’s as well as men’s concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of projects so that women and men benefit equally. Failure to address gender issues leads to inefficiencies, unsustainable results and exacerbates and perpetuates inequities. Project preparation has ensured that gender consideration become an integral part of the proposed project strategy. During the project’s development, the mandatory UNDP gender marking was applied. This required that the project be rated for gender relevance in UNDP’s ATLAS system and includes a brief analysis of how the project plans to achieve its environmental objective by addressing the differences in the roles and needs of women and men. While this GEF-financed project does not have a specific gender component, it strives to be gender responsive or gender transformative, where appropriate, using the gender results effectiveness scale included in the UNDP evaluation of gender mainstreaming in UNDP.

135. Furthermore, gender marking implies the production of the following data by the project’s year 2 and by its end:

- Total number of full-time project staff that are women
- Total number of full-time project staff that are men
- Total number of Project Board members that are women
- Total number of Project Board members that are men
- The number of jobs created by the project that are held by women
- The number of jobs created by the projects that are held by men

136. The objective of the Project’s Gender Strategy is to maximize the possibility that ecosystems in productive landscapes have a positive impact on gender equality and open opportunities for stronger participation and decision-making amongst stakeholders such that women have a voice in the use and management of their territories and benefit from productive activities. On the other hand, it must be considered that biodiversity conservation is, to the same extent, a social issue and an environmental problem: the success of sustainable conservation depends mainly on how different groups of people use natural resources.

137. The incorporation of the gender perspective during the project is associated with the promotion of affirmative actions to ensure the participation of women in the training and decision spaces in ecosystems with a landscape approach, as well as in the execution of specific activities such as:

Component 1: Framework for systemic landscape management

- Gap analysis to mainstream criteria of BD, sustainable forest management, soil degradation and gender perspective in planning tools for threatened mountain productive landscapes
- Strengthen the guidelines for Municipal Development Plans and POTs, to mainstream criteria of BD, Sustainable Forest Management, Soil Degradation and gender perspective.
- To support the Ministries of MA and MAgr in developing a gender strategy for the sustainable management of productive landscapes

Component 2: Production systems compatible with conservation in threatened mountain ecosystems and conservation corridors

- Design and implement an extension package with a gender perspective and sensitive to generational differences, adapted to each of the productive systems.

Component 3: Promoting livelihoods, mainstreaming biodiversity friendly practices

- Provide technical support to the associations, gender-sensitive and with generational differences, for the development of business plans.
- Training workshops, with sensitivity to gender and generational differences, for women's, farmers' and young people's associations, to improve their integration/ participation in decision-making and for the recognition of their roles in local economies.
- Training workshops, gender-sensitive and gender-sensitive, to promote women and youth in microenterprises and to strengthen value chains.
- Capacity building, gender-sensitive and generational differences, of local tourism organizations, including training and exchange of experiences with local artisans, tour guides, business and restaurant managers, etc...

Component 4: Knowledge Management and M&E

- Development and implementation of a communication strategy (paper and virtual) and a citizen mobilization campaign, taking into account gender perspective and generational differences.
- Systematization of good practices, lessons learned and case studies, including evidence of the special contribution of women and young people to the sustainability of threatened mountain landscapes.

138. These actions aim to contribute the following considerations for the project throughout its lifespan:

- a) Recognize and involve women and young people as local development agents.
- b) Consider that the needs of women are different from those of men.
- c) Sex-disaggregated data collection.
- d) Potentialize women's skills and resources (in associativity).
- e) Strengthening women's participation in social institutions and organizations. It will be important to ensure a balance in the training of men and women to enable effective participation.

- f) Incorporate gender into training courses for environmental and/or forestry promoters.
- g) Disseminate experiences and systematize the project's successes in productive ecosystems with the incorporation of the gender perspective in the three pilot areas.

139. As a result of the PPG identification process in the three pilot areas (Sierra de Neyba, Ozama and Nizao), the decision was made to incorporate an intergenerational approach, since the majority of producers are older people (these being concerned for their own reliance on production). This involves sharing skills, knowledge and experiences among women, youth and elderly in order to reduce gender and intergenerational gaps and inequalities. In each of the pilot areas, the project identified local partners with experience in developing productive initiatives with youth and women's groups, as described in the Pilot Fact Sheets (Annex H).

Basic strategic lines to consider in mainstreaming gender:

1. Institutional strengthening of the gender approach in the organizational and functional structure of the Ministry of Environment and Agriculture, through its gender units.
2. Sensitization of the team responsible for developing the project to gender issues.
3. Conservation and sustainable use of natural goods and services with gender equity
4. Implementation of a national gender strategy for the sustainable management of productive landscapes

140. In order to ensure equality, these criteria are integrated into the project design. For example, women represented 25% of the participants in consultative meetings for the National Plan of Cocoa, but it is estimated that 10% is truly involved in cocoa production activities. Culturally women carry a large burden related to home and family care, and as such, the project preparation and implementation activities were carefully designed to include these considerations in their execution.

v. South-South and Triangular Cooperation (SSTrC):

141. This project will build on and complement a number of initiatives in the areas of biodiversity conservation and sustainable tourism development. GEF/UNDP/MA's Re-Engineering of the PA system project focused on establishing the institutional and legal framework required to facilitate the financial sustainability of the PA system. The current project will build upon relevant results from that project with regards to promoting corridors between PAs, expanding the biodiversity monitoring system, and the promotion of private PAs. The project will also incorporate lessons learnt in the field of local land use planning and application of natural resource management tools from 3 earlier GEF funded initiatives through UNDP: Sustainable Land Management in the Upper Sabana Yegua Watershed System, Artibonito Binational project, and Capacity Development for SLM in DR, and from other successful experiences of application of simple-but-effective sustainable management practices of natural resources, like the Libón Verde binational project, and the REDDOM/USAID project for sustainable cocoa production in the DR. The project will build upon the experiences and results of the Poverty-Environment Initiative which developed models and tools: Vulnerability Index to Climate Shocks designed to identify and reduce the vulnerability of poor populations, and a series of Guides for Land Use Planning for municipalities. During the PPG phase, the project identified coordination opportunities and mechanisms with the GEF SGP initiatives to benefit mutually from experiences and capacity building, as well as with key partners mentioned in previous sections.

142. Ultimately, this project will support the consolidation of models produced by these other projects, especially those related to territorial governance for sustainable development. As such, this

project is a logical complement to previous/current GEF investments, providing an innovative approach to put in practice these governance models in productive areas that promote connectivity and sustainable development with important contributions to a holistic portfolio for the country.

V. FEASIBILITY

i. Cost efficiency and effectiveness:

143. The project strategy is expected to deliver maximum results with available resources. A preliminary selection exercise was conducted to determine the most cost-effective intervention areas, based on the following criteria:

Criteria	Neyba	Nizao	Ozama
Spaces with important biodiversity to conserve	Southern mountain range of the North Paleo Island of Hispaniola, with important endemic biodiversity (new vertebrate species still being discovered), and much threatened by deforestation. Original cloud forest remaining only in the protected mountain ridge. Altitudinal transect from under sea level to above 1,000 meters.	Important upper Cordillera Central that contributes to create connectivity between two important protected areas, very important for endemic and endangered Hispaniolan frogs.	Middle Ozama river watershed contributes to conservation of endemic low and middle lands endemic amphibians, reptiles and amphibians, endangered and some vulnerable to climate change.
Spaces that are close to protected areas (PA) / basins.	Sierra de Neiba, NP Las Caobas, NM Lago Enriquillo, NP Isla Cabritos, NP	La Humeadora, NP Valle Nuevo, NP	Aniana Vargas, NP Humadales del Ozama, NP Loma Novillero, FR La Humeadora, NP
Threat of degradation	Intensive agricultural practices in slope areas	Inappropriate intensive agricultural practices in slope areas and overgrazing	Inappropriate intensive agricultural practices in slope areas and overgrazing
Vulnerability to fire / CC	High vulnerability and fire risk for agricultural practices and Pinus Forest	Medium vulnerability and fire risk for agricultural practices	Medium vulnerability and fire risk for Broadleaf Forest
Locations where there is opportunity to establish / expand sustainable production systems	Municipalities of Neyba and La Descubierta (ordenamiento) Productive Systems in the communities of Los Pinos del Edén, Angel Felix, Sabana Real	Municipality of Rancho Arriba Productive Systems in the communities of La Jina, La Vigía y Los Morrones Microcuenca Rio Banilejo	Municipality of Yamasá Productive Systems in the communities of Cuenca media del Ozama.
Locations where there is opportunity	Low opportunity	Medium opportunity	High opportunity

to develop value chains			
Areas where there are organized local communities	NGOs present in the area: CIEPO World Vision LEMBA ASOMURE Fundacion Taigüey Floresta	ADESJO FEDECARES PRONATURA CODOCAFE	Productive forest clusters Colinas bajas (CNC), Conacado, forestry cooperatives, various NGOs (REDDOM/USAID), FAO
Potential synergies with other initiatives	Debt swap Caribbean Biological Corridor	Fondo de Agua PES - Watershed	Fondo de Agua Santo Domingo
Cofinancing Potential	Ministerio de Agricultura Proyecto Ministerio de Medio Ambiente	Ministerio de Agricultura Proyecto Ministerio de Medio Ambiente EGEHID (Empresa Generadora de Electricidad)	Ministerio de Agricultura Proyecto Ministerio de Medio Ambiente Comisión Nacional del Cacao CONACADO

144. Furthermore, the project considers lessons learned from previous GEF-supported initiatives such as Sabana Yegua, Artibonito, and especially the National System of Protected Areas.

145. The GEF increment will support the mainstreaming of ecosystem-friendly practices in productive landscapes. As mentioned in the Baseline, individual efforts and interventions need additional support to become systemic across Agriculture and Forestry sectors, as well as associated sectors such as Tourism.

146. The Cofinancing that has been committed is expected to provide important synergies to the baseline and GEF increment. For example, the Ministry of the Environment will contribute with personnel, logistics, and guidelines for the development of activities related with local territorial planning, the establishment of interinstitutional coordination platforms for improved governance, monitoring and enforcement; the implementation of a productive landscapes monitoring system that includes BD, SFM and LD criteria; the implementation of a National Early Warning System (EWS) for fires; the provision of plants for reforestation with native and endemic species; and Knowledge Management to complement the activities contemplated in Components 1, 2, and 4. The Ministry of Agriculture will contribute with the production of plants; the establishment of nurseries; maintenance of inter-farm access roads; production of organic fertilizers and provision of small in-farm infrastructure for organic production, equipment for plague control in cocoa and coffee cultures; logistics, personnel and equipment, including extension agents for the accompaniment of producers; as well as the coordination platforms, to complement the activities programmed under Components 1, 2, and 3, and the Knowledge Management activities programmed under Component 4. CODOCAFÉ will provide plants as well as personnel, logistics and equipment to complement the development of activities contemplated under Components 2 and 3. The Santo Domingo Water Fund will support the restoration of degraded areas in the Nizao and Ozama pilot sites by orienting financing from the capitalization of its trust to complement the sustainable livelihoods and sustainable production financing mechanisms envisaged under Component 3. FEDOMU has committed to work hand in hand with this GEF project to support the territorial and development planning processes in the municipalities included in the pilot sites. FAO's cofinancing will be focused on leading forest fire management activities and contributing

with its expertise and technical assistance in the development of a National Early Warning System for Fires in Component 1, as well as the implementation of Component 2. UNDP's cofinancing will support the strengthening of social protection and continued fight against extreme poverty in the target areas. All cofinancing institutions were contacted and confirmed during the PPG phase.

ii. Risk Management:

147. As per standard UNDP requirements, the Project Coordinator will monitor risks quarterly and report on the status of risks to the UNDP Country Office. The UNDP Country Office will record progress in the UNDP ATLAS risk log. Risks will be reported as critical when the impact and probability are high (i.e. when impact is rated as 5, and when impact is rated as 4 and probability is rated at 3 or higher). Management responses to critical risks will also be reported to the GEF in the annual PIR.

Project risks

Description	Type	Impact & Probability	Mitigation Measures	Owner	Status
Local community grievances	<i>Other (Social)</i>	P= 1 I= 3	Regular consultations will be carried out with local communities to ensure that all potential local community grievances are discussed and that the principle of Free, Prior and Informed Consent (FPIC) is applied. In the socialization workshops celebrated in pilot zones and with national stakeholders during the PPG phase, participants have expressed their favorable view towards the project, which is perceived as a win-win opportunity for communities and producers, and for the environmental, agriculture, and land-planning authorities. The project will liaise with the Ministry of Environment and its Direction of Social Participation. It should also be noted that the REDD+ intervention in Dominican Republic will strengthen mechanisms to address local community grievances (i.e Grievance Redress Mechanism GRM). The project will also liaise with local governments, responsible of establishing and guiding Local Development Committees, and	<i>PMU Coordinator</i>	<i>Reducing</i>

			<p>of applying land-use regulations.</p> <p>The project will also establish an Interinstitutional Technical Committee, with the responsibility of discussing and proposing technical orientation to the project activities. This Committee will also have the responsibility of responding to any grievance that may arise during project implementation</p>		
Duty bearers do not have the capacity to meet their obligations in the Project	<i>Operational</i>	P= 1 I= 3	<p>Institutional capacity building and expansion are key elements of the project and will also facilitate execution and the meeting of project obligations.</p> <p>In addition, the collaboration of FAO in the design and implementation of a municipal early warning system for prevention, management and control of fires, and in the implementation of Component 2, will add experience and credibility during project implementation</p>	<i>PMU Coordinator</i>	<i>Reducing</i>
Rights- holders do not have the capacity to claim their rights	<i>Operational</i>	P= 1 I= 2	All project interventions with rural communities will be carried out based on the principle of free prior and informed consent (FPIC).	<i>PMU Coordinator</i>	<i>Reducing</i>
Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas	<i>Environmental</i>	P= 1 I= 1	Pilot sites were chosen based on proximity to critical ecosystems and protected areas so as to promote connectivity as well as promote the private reserve model as an attractive option for private landowners	<i>PMU Coordinator</i>	<i>Reducing</i>
Project involves reforestation	<i>Environmental</i>	P= 1 I= 1	Pilot sites that include reforestation will promote native species as a key element for stimulating ecosystem connectivity and reduce land degradation	<i>PMU Coordinator</i>	<i>Reducing</i>
Political support to establish cross sectoral integration between Ministries as well as support	<i>Political Strategic</i>	P = 1 I = 1 Relevant Ministries like Agriculture and MEPYD's DGODT have been	The project will mitigate this risk by seeking presidential and ministerial support and mandate for the initiative, as well as promotion and facilitation of	<i>PMU Coordinator</i>	<i>Reducing</i>

decentralized management at site level is not forthcoming.		involved in the consulting process carried out during the PPG phase. They have expressed their support for the project, which is a win-win opportunity for all.	policy dialogue, joint planning and problem solving between the relevant ministries, in particular, Agriculture and Environment, and also MEPYD. The project will also invest in training and awareness raising.		
Conflicts of interest between productive and environmental sectors. Political support for policy changes including fiscal policy adjustments and investment from the coffee/cocoa private sector is not forthcoming.	<i>Political Strategic</i>	P = 1 I = 1	The project will promote mechanisms for conflict resolution and will invest in education, training and awareness raising regarding the potential for synergies between productive and environmental considerations. A dialogue with industry will be undertaken as part of the process of revising policies and regulations—to obtain industry buy in and address concerns, so as to improve compliance. At an early stage the project will facilitate public-private sector policy dialogue with key trade associations. Emphasis on improving competitiveness, quality and security both of investments and of clients will be key.	<i>PMU Coordinator</i>	<i>No change</i>
Extreme natural events	<i>Other (Climate Change and Variability)</i>	P = 5 I = 5 The DR, as part of the Caribbean region, is prone to extreme events associated with Climate Change and Variability.	Emphasis on promoting the diversity and resilience of natural and productive ecosystems to extreme natural events.	<i>PMU Coordinator</i>	<i>No change</i>
Climate change-induced changes in mountain ecosystem health and possible unforeseen challenges for biodiversity further undermine ecosystem functionality and services on which productive sectors depend, changing the baseline and	<i>Other (Climate Change)</i>	P = 3 I = 5 The baseline already considers those CC induced changes, particularly in coffee/cocoa, which were severely affected by plagues during the drought experienced by the DR and the Caribbean in 2014-2015. That is why P is estimated in 3, during	The project will support the increase in management capacities of mountain areas which will increase coping capacities and resilience to climate change impacts. In particular, mainstreaming BD, SFM, and LD criteria within the planning instruments and practices for land use, and the introduction of sustainable production models will mitigate the implications of alternative climate change scenarios for BD	<i>PMU Coordinator</i>	<i>No change</i>

increasing costs of necessary interventions.		the project life.	status, such as spatial migration and fragmentation of ecosystems, changes in reproductive biology of target biota and increases in the frequency of forest fires.		
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148. The Project supports a series of actions in three pilot zones outside the limits of neighboring protected areas. These zones have been subjected to land and forest degradation due to over-use, thus making the gains in coverage and biological connectivity greater than the risk of expansion to existing habitat. While increased revenue in any crop may increase plantation in non-appropriate zones, but fortunately the country has put in place norms and institutions to avoid such risk, particularly in protected areas and buffer zones. Without the authorization of the Ministry of the Environment, any plantation of the kind would become illegal and therefore subjected to destruction. It is important to keep in mind that both the ministries of the Environment and Agriculture have signed co-financing agreements with this project, indicating their commitment to this endeavor.

149. Two of the actions supported by the Project contribute to reduce the risk referred to in the comment: (i) the formulation and implementation of land use plans in the pilot sites municipalities, as a land planning tool articulated with sustainable production models, and (ii) the strengthening of in situ monitoring, control and oversight capacity in the Ministry of the Environment, in close coordination with local governments and other public and private stakeholders.

150. It is worth noting that as any other crop, coffee needs special environmental conditions. The ideal temperature is between 17 and 26°C. Below 16°C sprouts burn and above 27°C there is a greater risk of dehydration, with photosynthesis reduction. Appropriate height is between 900 and 1,600 meters above sea level. At lower heights production costs rise, due to reduced grain quality, and at higher altitudes plants growth diminishes. These conditions in themselves hinder expansion to “unused lands” such as the protected areas near the pilot zones.

151. In addition to signing co-financing letters for this Project, the Ministries of the Environment and Agriculture hold the greatest responsibility in the Dominican government Agroforestry Program, which shares common goals with this Project such as increased coverage and halting slash and burn agriculture’s expansion to protected areas by promoting agroforestry systems. These agroforestry systems, like the ones promoted by this project, are one of the strategies used in protected areas buffer zones due to their biodiversity-friendly nature and their contribution to support the flow of vital ecosystems services such as soils protection, nutrients cycle, protection of water resources, species habitats, carbon fixation and disaster prevention.

Social and environmental safeguards:

152. This project adheres to the objectives and requirements of the UNDP Social and Environmental Standards (SES), and fully integrates the Overarching Policy and Principles 2 (Gender Equality and Women’s Empowerment) and 3 (Environmental Sustainability). In addition, it complies with Project Level Standards 1 (Biodiversity Conservation and Sustainable Natural Resource Management) and partially 2 (Climate Change Mitigation and Adaptation). This project proposes a multi-focal landscape approach (BD, LD, SFM) to address threats to the biodiversity and ecosystem services of productive mountain landscapes in the Dominican Republic. Environmental considerations are then an integral part of the proposed project strategy, as is gender and youth sensitivity. As shown in Annex F UNDP

Social and Environmental Screening Protocol, this project is neither moderate nor high risk, thus an environmental and social management plan is not necessary. Nonetheless, the project's activities include a Social and Environmental Strategic Assessment, which will determine critical issues as well as guidelines for the formulation and implementation of Municipal Development Plans and Land Use Plans. They also offer monitoring opportunities to determine if current and/or new risks require a specific mitigation strategy. In particular, the operation of the Linea Verde hotline will serve as an important tool for denouncing illicit activities and reporting grievances. Any environmental and social grievances will be reported to the GEF in the annual PIR.

iv. Sustainability and Scaling Up:

153. The environmental, productive, social and financial aspects of sustainability are closely related and will be addressed by the project in an integrated manner:

154. Environmental sustainability will be ensured by supporting the incorporation of principles of sustainability into norms and plans that govern practices of productive landscapes, particularly in the Agriculture, Forestry and Tourism sectors, and into landscape level plans that will as a result take into account the productive potential and vulnerability of different landscape units and habitats. For example, this GEF project has mainstreamed the national targets for *Land Degradation Neutrality* in the sustainable production models it will promote in the selected pilot sites, and will work closely with GTI in the monitoring of erosion and land degradation in those sites. The national LDN targets are:

- To reach LDN in 2030, taking as a reference the baseline for 2010.
- To increase forest coverage by at least 8.5% by 2030.
- To improve by 2025, 30,000 hectares of dry forest that show early deterioration signs and decreasing land productivity.
- To reduce by 50% (42,000 ha) the area affected by forest fires in protected areas of the Central, Sierra de Neyba and Bahoruco mountain ranges by 2030.
- To improve net primary productivity of agriculture in 20,000 hectares by 2025.
- By 2030, 20% (14,000 ha) of crops in mountain landscapes (slopes higher or equal 15%) have been intervened to reduce erosion.
- 100,000 hectares of Bush and Grass have improved net primary productivity by 2030.
- 20,000 hectares of Bush and Grasslands have experienced natural regeneration with pine and broadleaf forest by 2030.
- By 2020, 30 pilot municipalities have received support in the application of land use plans in zones with critical high levels of land degradation.

155. Productive sustainability will be safeguarded by promoting management prescriptions that respect the ecosystems' regenerative capacity, promoting regeneration and ensuring the viability of associated species such as pollinator populations by promoting tree species diversity and biodiversity connectivity within the target areas. Agriculture has renewed importance in the national and international public debate. A rethinking of the situation of agriculture in the Dominican Republic is in order because it is a key strategic sector for food security and sovereignty, reduction of poverty, and political and economic stability. Agriculture is also key for sustainable development policies, due to its reliance on natural resources. By promoting sustainable production systems in threatened mountain landscapes, this project will provide opportunities to advance Dominican agriculture along a conservation-friendly pathway. This is directly linked to environmental sustainability because of the importance of biodiversity and ecosystem stability in mountain landscapes to ensure the associated ecosystem services they provide.

156. Social sustainability will be ensured by promoting the active participation of local stakeholders in the definition of management prescriptions and zoning, and in decision-making. The project’s Social and Gender Analysis and associated Strategy (summarized above and in detail in Annex G) provide guidance to maximize impact and sustainability at local and national levels.

157. Financial sustainability will be assured through Component 1 via the mainstreaming of environmental sustainability criteria in coffee/cocoa credit policy to increase the availability of credits through national and local financial institutions; the establishment of sectorial credit mechanisms for sustainable management of production landscapes. This will be bolstered by the establishment of a credit access package in Component 3 to stimulate access to credit for the development of sustainable production systems and the development of small businesses that contribute to the diversification of the local economy. Furthermore, the Project will evaluate the possibility of reorienting the MARENA Fund to support the target areas. The Fund Works through several different programs and accounts, which opens a call for bids when they go through replenishment. The project will coordinate with MA to include an opportunity for opening a call for bids to BD conservation areas in productive landscapes and biological corridors. The Project will support the development of various credit options, and will promote financial incentives for the production chain of coffee and cocoa. Furthermore, taking into account a lesson learned from the GEF Sabana Yegua project, this project will not establish a traditional PES scheme *per se*, rather it will promote an Integral Compensation for Environmental Services scheme (*Compensación Integral para Servicios Ambientales – CISA*), which works with the different sectors in the area to help improve services and living conditions in the local communities as compensation. For example, rather than paying cash to the communities, they provide micro-credits to SMEs, incentives to local producers that adopt sustainable land-use practices, among others. In the Nizao pilot zone (Ranch Arriba), such a scheme will be promoted in alliance with the Santo Domingo Water Fund, with consideration to the important number and magnitude of water users (drinking and irrigation) and the hydropower public utility (EGEHID).

158. Furthermore, GEF investment in this project represents an important opportunity to impact SDGs – both directly and as a catalyst for other sources of financing and support. It serves as a platform for the country to fulfill its SDG Agenda through catalytic investment in the following areas:

SDG	Selected SMART Indicator ²²
Goal 1. End poverty in all its forms everywhere	1.4 By 2030, ensure that all men and women, in particular the poor and the vulnerable, have equal rights to economic resources, as well as access to basic services, ownership and control over land and other forms of property, inheritance, natural resources, appropriate new technology and financial services, including microfinance 1.5 By 2030, build the resilience of the poor and those in vulnerable situations and reduce their exposure and vulnerability to climate-related extreme events and other economic, social and environmental shocks and disasters
Goal 5. Achieve gender equality and empower all women and girls	5.5 Ensure women’s full and effective participation and equal opportunities for leadership at all levels of decision-making in political, economic and public life 5.a Undertake reforms to give women equal rights to economic

²² The Dominican Republic is undergoing a review of the SDGs to determine which indicators will be applicable. These will be added to the project as they become available. The final ambition to test these SDGs will be refined during the PPG according to the national decision.

	resources, as well as access to ownership and control over land and other forms of property, financial services, inheritance and natural resources, in accordance with national laws
Goal 6. Ensure availability and sustainable management of water and sanitation for all	6.5 By 2030, implement integrated water resources management at all levels, including through transboundary cooperation as appropriate 6.6 By 2020, protect and restore water-related ecosystems, including mountains, forests, wetlands, rivers, aquifers and lakes
Goal 15. Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss	15.1 By 2020, ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands, in line with obligations under international agreements 15.2 By 2020, promote the implementation of sustainable management of all types of forests, halt deforestation, restore degraded forests and substantially increase afforestation and reforestation globally 15.3 By 2030, combat desertification, restore degraded land and soil, including land affected by desertification, drought and floods, and strive to achieve a land degradation-neutral world

159. This proposed project will also generate GEBs by contributing to Aichi Targets #1, 2, 7, 11, 12, and 14, for each of which national adapted targets have been set, as shown in the table below:

Aichi Biodiversity Global Target	Aichi Biodiversity National Target	Project Outputs	Selected SMART Indicators
<i>Target 1:</i> By 2020, at the latest, people are aware of the values of biodiversity and the steps they can take to conserve and use it sustainably.	Target 1. National awareness campaign on the value of biological diversity.	1.2.1 1.2.2 1.3.1 2.1.1 3.1.1 3.1.2	<ul style="list-style-type: none"> • Trends in awareness, attitudes and public engagement in support of biodiversity • Trends in identification, assessment and establishment and strengthening of incentives that reward positive contribution to biodiversity and ecosystem services and penalize adverse impacts
<i>Target 2:</i> By 2020, at the latest, biodiversity values have been integrated into national and local development and poverty reduction strategies and planning processes and are being incorporated into national accounting, as appropriate, and reporting systems.	Target 2. Biodiversity values strengthened in national planning processes and financing mechanism.	1.1.1 1.2.1	<ul style="list-style-type: none"> • Trends in integration of biodiversity and ecosystem service values integrated in sector and development policies
<i>Target 7:</i> By 2020 areas under	Target 7. Promotion of	2.1.1	<ul style="list-style-type: none"> • Trends in pressures from

<i>agriculture, aquaculture and forestry are managed sustainably, ensuring conservation of biodiversity.</i>	sustainable agriculture, aquaculture and forestry to reduce impacts on biodiversity.	3.1.1	unsustainable agriculture, forestry, and other production ²³ <ul style="list-style-type: none"> Trends in proportion of products derived from sustainable sources²⁴
Target 11: <i>By 2020, at least 17 % of terrestrial and inland water, and 10 % of coastal and marine areas, especially areas of particular importance for biodiversity and ecosystem services, are conserved through effectively and equitably managed, ecologically representative and well-connected systems of protected areas and other effective area-based conservation measures, and integrated into the wider landscapes and seascapes.</i>	Target 11. Strengthening National Protected Areas System.	1.1.1 1.3.1 2.1.1 2.1.2	<ul style="list-style-type: none"> Trends in the connectivity of protected areas and other area based approaches integrated into landscapes and seascapes
Target 12: <i>By 2020 the extinction of known threatened species has been prevented and their conservation status, particularly of those most in decline, has been improved and sustained.</i>	Target 12. Improved conservation status of threatened	2.1.1 2.1.2	<ul style="list-style-type: none"> Trends in distribution of selected species
Target 14: <i>By 2020, ecosystems that provide essential services, including services related to water, and contribute to health, livelihoods and well-being, are restored and safeguarded, taking into account the needs of women, indigenous and local communities, and the poor and vulnerable.</i>	Target 14. Increase connectivity among protected ecosystems, increasing local participation and women participation in management and benefits sharing.	2.1.1 2.1.2 3.1.1 3.1.2	<ul style="list-style-type: none"> Trends in area of degraded ecosystems restored or being restored Trends in benefits that humans derive from selected ecosystem services

160. This UNDP/GEF project envisages the scaling up of the landscape approach at a broader scale based on the valuable information and lessons learned from the proposed pilot experiences. By incorporating national targets in pilot projects and creating a feedback loop to adjust the national framework to these experiences, the project will thus develop the capacity of institutions and

²³ In the proposed project, this SMART indicator will be measured through 1 operative indicator: (i) Trends in areas of forest, agricultural and other productive ecosystems under sustainable management.

²⁴ In the proposed project, this SMART indicator will be measured through 2 operative indicators: (i) number and volume of certified products commercialized under certification schemes; and (ii) number of producers who have adopted sustainable production systems.

producers to expand the coverage and programmatic scope to include additional producers in the target areas as well as the potential to replicate practices in other provinces. Although, the type of productive systems may vary depending on the region, the potential for sustainable coffee and cocoa in various regions has already been identified in their respective National Plans and constitutes a viable economic and sustainable production option for local farmers.

161. It is important to note that this scaling up does not imply expansion into remaining habitat. Rather, the government is interested in reactivating and strengthening existing cocoa and coffee plantations because it recognizes that these are important contributors to maintaining and extending vital forest coverage. The Project will support the rehabilitation of old and/or abandoned plantations and thus the proponents are confident that the risk of expansion into remaining habitat is negligible. Both cocoa and coffee are scryophyte species that grow and develop under shade, so there is no practice of replacing native vegetation. On the contrary, they both encourage and create new coverage in places that were previously cleared for cultivation or other uses. Thus, by promoting the cultivation of cocoa and coffee, the Project ensures that forest cover is established and maintained. Furthermore, cocoa does not occur at heights where it can compete with the natural forest. The Project would promote cocoa practices that serve as a more sustainable alternative to livestock and/or shift away from less productive cocoa practices. In the case of coffee, the risk of expansion is deemed to be low since the needs of harvesting practices make it very difficult to expand in areas with natural coverage. Additionally, the sowing of these crops requires financial support from the government or from institutions linked to cocoa or coffee, and these institutions will not allocate resources to plant in areas of remaining habitat. Ultimately, the availability of easily accessible land, combined with improved practices through the project to guarantee long-term productivity and income, cancel out any risk of expansion into remaining habitat and present important opportunities for scaling up.

VI. PROJECT RESULTS FRAMEWORK

<p>This project will contribute to the following Sustainable Development Goal (s):</p> <p>SDG 1: End poverty in all its forms everywhere Indicators 1.2.1., 1.2.2.</p> <p>SDG 5: Achieve gender equality and empower all women and girls Indicator 5.5.2</p> <p>SDG 11: Make cities and human settlements inclusive, safe, resilient and sustainable Indicator 11.3.2</p> <p>SDG 15: Protect, restore and promote sustainable use of terrestrial ecosystem, sustainably management forest, combat desertification, and halt and reverse land degradation and halt biodiversity loss Indicators 15.1.1., 15.2.1., 15.3.1., 15.9.1</p>					
<p>This project will contribute to the following country outcome included in the UNDAF/Country Programme Document:</p> <p>CPD 2018-2022 Outcome 1.2: <i>By 2022, the Dominican Republic will have increased its social and environmental sustainability and its resilience to climate change impacts and other natural hazards by promoting sustainable production and consumption patterns, encouraging adequate land use, and effectively managing its natural resources, watersheds and disaster risks.</i></p> <p>2.1 Conservation and sustainable use of natural capital increased and strengthened.</p> <p>- 2.1.1: <i>Number of municipalities with sustainable conservation, use and production schemes.</i></p> <p>- 2.1.2: <i>Number of instruments that help expand and diversify the productive base through sustainable use of biodiversity.</i></p> <p>- 2.1.3: <i>Number of people with improved sustainable livelihoods through natural resource management and ecosystem services.</i></p>					
<p>This project will be linked to the following output of the UNDP Strategic Plan:</p> <p>Output 1.3: Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste.</p>					
	Objective and Outcome Indicators	Baseline	Mid-term Target	End of Project Target	Assumptions
<p>Project Objective: Mainstream the conservation of biodiversity and ecosystem services in public policies and practices to effectively buffer current and future threats across productive mountain landscapes</p>	<p><u>Mandatory Indicator 1:</u> # of new partnership mechanisms with funding for sustainable management solutions of natural resources, ecosystem services, chemicals and waste at national and/or sub-national level</p>	0	<p>4 established to promote the project's model:</p> <p>1 National 3 Local (1 in each pilot)</p>	<p>4 functioning to promote the project's model:</p> <p>1 National 3 Local (1 in each pilot)</p>	
	<p><u>Mandatory Indicator 2:</u> # of additional people benefitting from livelihoods strengthened through solutions for management of natural resources, ecosystem services, chemicals and waste (disaggregated by sex).</p>	0	<p>6000</p> <p>-4,800 men -1,200 women</p>	<p>6000</p> <p>-4,800 men -1,200 women</p>	<p>Interest and commitment of stakeholders/ producers to adopt sustainable practices and/or engage in alternative livelihoods such as tourism activities.</p>
	<p><u>Mandatory Indicator 3:</u> # direct project beneficiaries.</p>	0	<p>1500 producers trained</p> <p>-1200 men -300 women</p> <p>350 people trained in Institutions (MA, MAGri, local governments, extension agents)</p>	<p>1500 producers trained</p> <p>-1200 men -300 women</p> <p>350 people trained in Institutions</p>	<p>Interest and availability of women to engage and adopt alternative sustainable livelihoods.</p> <p>Interest of local and foreign tourists to visit mountain landscapes.</p>
	<p><u>Indicator 4:</u> Total area of productive mountain landscapes covered by improved</p>	0 hectares	58,000 hectares	58,000 hectares	<p>Political will and commitment of local governments, civil society and</p>

	planning and governance frameworks				MA
	<i>Indicator 5:</i> Level of capacity to sustainably manage productive mountain landscapes (as measured by UNDP Capacity Development Scorecard ²⁵)	Total: 28 I3: 2 I4: 1 I5: 2 I9: 2 I10: 2 I11: 2	Total: tbd (5% increase) At least a 5% increase in ratings in target institutions	Total: tbd (71%) At least 10% increase in ratings in target institutions	Commitment of local stakeholders to conservation and sustainable productive systems in selected areas.
Component 1: Systemic landscape management framework Outcome 1.1 Effective cross sectoral governance of 3 threatened mountain landscapes protects biodiversity patterns and processes. Outcome 1.2 Strengthened landscape management across institutions sustains conservation outcomes. Outcome 1.3 Effective local participation in planning	<i>Indicator 6:</i> # of decision making tools for planning and enforcement strengthened to ensure landscape sustainability [i.e. ensure that infrastructure, productive/ extractive activities and forest clearance are not located in ecologically sensitive areas] ²⁶ : – Strategic Environmental and Social Assessment (SESA) for threatened mountain landscapes – Gender strategy for productive landscape management – # Province-level gender-sensitive environmental agendas that consider BD, SFM, and LD in pilot areas – # Municipal Development Plans (MDP) mainstream BD, SFM, and LD considerations, as well as gender sensitivity – # Municipal Land Use Plans (LUP) consider BD, SFM, and LD and formulated by consensus between local	0 SESA for threatened mountain landscapes	1 SESA for threatened mountain landscapes: Year 1: criteria defined Mid Term: SESA used to guide policy and planning decisions (especially the below PEA, LUP and MDP)		The results of the SESA will determine critical issues as well as guidelines for the formulation and implementation of MDP/PMD and LUP/POT at the local level.
		0% - MA has a gender strategy but not with respect to productive landscapes	50% - Gender Strategy for Sustainable Productive Landscape Management formulated	100% - Gender Strategy implemented with MA and MAgri technicians in HQ and Provincial offices	
		0 – Provincial Environmental Agendas are not implemented in the pilot areas.	4 Provincial Environmental Agendas formulated.	4 Provincial Environmental Agendas published and adopted	Commitment to planning processes at provincial levels in Baoruco, Independencia, Ocoa, Monte Plata
		0 Municipal Devt. Plans	4 Municipal Devt. Plans formulated in the pilot zones	10 Municipal Development Plans formulated in pilot zones and at least 4 published/ adopted and under implementation	Commitment to planning processes at municipal levels

²⁵ Emphasis on Indicators 3 (Existence of Cooperation with Stakeholders Groups); 4 (Degree of Environmental Awareness of stakeholders), 5 (Access and Sharing of Environmental Information by Stakeholders); 9 (Extent of Environmental Planning Strategy Development Process); 10 (Existence of an Adequate Environmental Policy and Regulatory Framework); and 11 (Adequacy of the Environmental Information Available for Decision Making).

²⁶ BD4/9 Indicator 9.2 The degree to which sector policies and regulatory frameworks incorporate biodiversity considerations and implement the regulations; SFM3 Indicator 5: Area of forest resources restored in the landscape, stratified by forest management actors.

	and national stakeholders.	0 Municipal LUP	5 municipal LUP formulated	10 LUP formulated in pilot zones and at least 3 implemented	Commitment to planning processes at municipal levels
	– # of special categories of land use that guarantee sustainable use of BD	0	5	10 (categories of sustainable land use established by LUP) -private conservation areas -MAB Program in Madre de las Aguas	Commitment to sustain BD friendly productive landscapes among municipalities and producers' organizations
	<i>Indicator 7:</i> Establishment of interinstitutional coordination platform for improved governance, monitoring and enforcement, involving Government institutions at the central, local and private sector levels, as well as community-based organizations.	0% - State of the art GIS capabilities exist in MA, but no interinstitutional coordination.	50% - Maps and database updated and integrated in an inter-institutional GIS to include biological importance, fragility and productive potential of the target areas.	100% - GIS operating in MA offices in pilot zones and interconnected with MAgrí and local governments [eventually Regional Offices of the Planning ministry (MEPYD) could be interconnected as well]	Political will and technical capacity to establish interinstitutional coordination platform.
	– % interconnection of GIS				
	– % implementation productive landscapes monitoring system including BD, SFM and LD criteria				
	– % implementation SDG Monitoring System established by project	BD monitoring guidelines exist but no integrated BD-LD-SFM system for Productive Landscapes	Year 1: System established Mid Term: Productive Landscapes Monitoring System functioning and providing annual data	100% Productive Landscapes Monitoring System functioning and providing data	Political will and technical capacity at national and local levels to establish and maintain monitoring system. Local interest in pursuing monitoring exercises of key indicators.
	– % registration of infractions denounced via Linea Verde hotline and documented in MA Provincial HQ Registry of Infractions				
– % implementation of National Early Warning System(EWS) for fires	0 – Dominican Republic has established the indicators to be monitored	Year 1: SDG Monitoring System established with protocol defined for implementation in 4 target municipalities Mid Term: SDG Monitoring System functioning and providing annual data	100% SDG Monitoring System functioning and providing data	Political will and technical capacity at national and local levels to establish and maintain monitoring system.	
	0% Linea Verde designed but not implemented	100%: "Linea Verde" operating in 3 pilot sites and Registry improved	100%: "Linea Verde" operating in 3 pilot sites and Registry improved	Commitment to establish Linea Verde and improve Registry of infractions in 4 provincial	

			in 4 provincial HQ.	in 4 provincial HQ.	headquarters of MA.
		Early warning system exists but the flow of information is deficient, slow and intermittent; a proposal has been elaborated	Year 1: Proposal for strengthening EWS updated and adopted Mid Term: Early Warning System functioning	100%: EWS for fires functioning in pilot sites. 30%: EWS for fires functioning at national level.	
	<i>Indicator 8:</i> Availability of financial mechanisms for sustainable management of production:	Banco Agrícola and FEDA offer specialized funds for conventional productive systems, but no sustainability criteria	3 Agreements for credit mechanisms for sustainable productive activities	3 Credit mechanisms functioning (1 per pilot)	Financial institutions (including private banks) are receptive and supportive of sustainable resource management and productive practices
	– # sectorial credit mechanisms for sustainable management of production landscapes (coffee/cocoa production , under agroforestry or analogous forest schemes, including associated sustainable livelihoods)				
	– # financial mechanisms associated with ecosystem services	0 - Current initiatives are too resource-specific and/or geographically limited for general application and overall Ecosystem Service consideration	1 financial mechanism designed and management/ implementation arrangements agreed upon	At least 1 financial mechanism for ecosystem services functioning in the pilot sites	
	<i>Indicator 9:</i> Local participation mechanisms for land use planning:	0	4 established (Neyba, La Descubierta, Yamasá, Rancho Arriba)	4 municipalities actively engaged in planning processes through municipal development councils	
	– # municipal development councils operating in pilot zone municipalities with stakeholder involvement at different levels				
	– # of watershed mechanisms established and operating	1 Commission for the rehabilitation and development of the Ozama and Isabela river basins was established by presidential decree, involving MA and different public, private and community	1 watershed mechanism operating as a dialog and coordination platform in the Nizao pilot zone. Local producers supported by the project in the Yamasá pilot zone actively participating in the Ozama-Isabela	3 watershed mechanisms operating as dialog and coordination platforms in the Nizao, Sierra de Neyba, and Ozama (Yamasá) pilot zones.	Political will and commitment of local stakeholders in the pilot zones to actively engage in dialog platforms at watershed and micro-watershed levels.

		stakeholders.	Presidential Commission.			
<p>Component 2:</p> <p>Conservation compatible production systems in threatened mountain ecosystems and conservation corridors</p> <p>Outcome 2.1 Improved flows of global environmental benefits in key production zones</p>	<p>Indicator 10: Total area with coverage that guarantees ecosystemic services as well as restoration and connectivity:</p> <ul style="list-style-type: none"> – # hectares forest resources restored/ sustainably managed in the landscape²⁷ – # hectares dedicated to sustainable production systems – # hectares applying soil conservation practices that reduce soil erosion rate^{28, 29} 	1000 Hectares	2000 Hectares maintained or increased	3000 Hectares maintained or increased	<p>Coordination of efforts by technical institutions, especially CODOCAFE and the Cocoa Commission responsible for promoting the planting of these crops, to agree on methods of extension and training for producers and technicians</p> <p>Commitment of local stakeholders to conservation and sustainable productive systems in selected areas.</p>	
		7500 ha of cocoa with organic production methods (no certified organic coffee in pilot sites)	9,200	10,200		Additional ha. 1,800 Coffee 900 Cocoa
		0 ha. reduce erosion	800 ha ³⁰ .	1,200 ha.		
	<p>Indicator 11: Capacity of MA and target communities to apply integrated fire management (prevention, mitigation, control, and restoration of landscapes):</p> <ul style="list-style-type: none"> – # of ha affected by forest fires in the three pilot zones – # Brigades for fire control established with Infrastructure/Towers, equipment, manual, etc. 	<p>In Nizao pilot zone due to slash & burn agriculture</p> <p>725.9 ha in 2015</p> <p>114.8ha in 2016</p> <p>No data available in the other pilot zones.</p>	<p>Data registration will be improved in the three pilot areas.</p> <p>Registers show a reduction in affected number of ha.</p> <p>Data to be completed in the first year of implementation.</p>	<p>Data registration shows a significant reduction in the areas affected.</p> <p>Data to be completed in the first year of implementation.</p>	<p>Commitment of local stakeholders to engage in integrated fire management</p>	
	1 Brigade in San José de Ocoa	5 (1 Yamasá, 1 Rancho Arriba, 2 in Neyba) + 1 existing in San José de Ocoa	7 (1 Yamasá, 2 Rancho Arriba, 3 in Neyba) + 1 existing in San José de Ocoa			

²⁷ SFM3 Indicator 5: Area of forest resources restored in the landscape, stratified by forest management actors

²⁸ LD3/P4 Indicator 3.2: Application of integrated natural resource management (INRM) practices in wider landscapes

²⁹ Including but not limited to stone dead barriers, crop stubble, deviation channels, slope ditches, bank terraces, etc.

³⁰ Soil management and conservation practices will be applied on a total of 300 hectares until the end of the project. Although this represents a small part of each farm, its impact covers an area that is at least 4 times larger (1,200 ha).

<p>Component 3:</p> <p>Sustainable livelihoods mainstream BD-friendly practices</p> <p>Outcome 3.1 BD-friendly production systems and livelihoods mainstreamed in agriculture, forestry and tourism sector</p>	<p><i>Indicator 12:</i> # of tools/instruments to promote BD friendly livelihoods</p>	<p>1</p> <p>(Cocoa & coffee organic certification)</p>	<p>1 (organic certification)</p> <p>3 BD friendly technological packages adding value to coffee and cocoa production designed and agreed upon in pilot zones.</p> <p>Design of 3 credit lines (1 per pilot site) with BD friendly production requirements.</p>	<p>1 (organic certification)</p> <p>3 BD friendly technological packages adding value to coffee and cocoa production incorporated in model farms in pilot sites.</p> <p>3 credit lines implemented (1 per pilot site) with BD friendly production requirements.</p>	
	<p><i>Indicator 13:</i> # of viable business plans for sustainable economic activities developed and implemented.</p>	<p>0</p>	<p>Year 1: consolidate associations</p> <p>Mid-term: 3 designed and approved (1 per theme per pilot zone)</p>	<p>3 implemented (1 per theme and per pilot zone)</p>	
	<p><i>Indicator 14:</i> Credit Access Package facilitates the adoption of sustainable production and livelihoods:</p> <ul style="list-style-type: none"> – # Credit mechanisms for sustainable livelihoods – % producers with access to credit 	<p>Commercial Banks have a “green credit line” but do not finance small agricultural producers, due to risks associated with the activities.</p> <p>2 financial institutions support micro-enterprises, 1 of which specializes in microcredits for women.</p>	<p>Year 2: Credit Access Package elaborated</p> <p>Mid-term: 3 credit mechanisms established with local institutions (1 per pilot)</p>	<p>3 local entities (1 per pilot) with a financing mechanism functioning for microenterprises dedicated to productive activities, including agro-ecotourism</p>	<p>Financial institutions (including private banks) are receptive and supportive of sustainable resource management and productive practices</p>
		<p>0% support for producers to transition from conventional to sustainable production</p>	<p>70 % Producers in the pilot sites aware of financing options for sustainable productive activities.</p>	<p>50% Producers in the pilot sites accessing financing options for sustainable productive activities</p>	
	<p><i>Indicator 15:</i> # of micro enterprises adopting BD friendly production systems</p>	<p>0</p>	<p>6 micro-entrepreneurial</p>	<p>6 micro-entrepreneurial</p>	<p>Interest and active Community participation</p>

			initiatives developing in pilot zones.	initiatives functioning in pilot zones.	
<p>Component 4:</p> <p>Knowledge Management and M&E</p> <p>Outcome 4.1 Knowledge effectively managed</p>	<p><i>Indicator 16:</i> Knowledge management methods, processes and tools mainstreamed throughout project implementation.</p>	0	<p>1 KM strategy designed and implemented in pilot zones.</p> <p>Annual planning incorporates systematization activities.</p>	<p>1 KM strategy designed and implemented in pilot zones.</p> <p>Annual planning incorporates systematization activities.</p>	<p>Interest and active participation of public and private sector stakeholders, as well as civil society.</p> <p>Receptiveness among institutions to communications related to environmental sustainability in production landscapes</p>

VII. MONITORING AND EVALUATION (M&E) PLAN

162. The project results as outlined in the project results framework will be monitored annually and evaluated periodically during project implementation to ensure the project effectively achieves these results.

163. Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the [UNDP POPP](#) and [UNDP Evaluation Policy](#). While these UNDP requirements are not outlined in this project document, the UNDP Country Office will work with the relevant project stakeholders to ensure UNDP M&E requirements are met in a timely fashion and to high quality standards. Additional mandatory GEF-specific M&E requirements (as outlined below) will be undertaken in accordance with the [GEF M&E policy](#) and other relevant GEF policies.

164. In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Report. This will include the exact role of project target groups and other stakeholders in project M&E activities including the GEF Operational Focal Point and national/regional institutes assigned to undertake project monitoring. The GEF Operational Focal Point will strive to ensure consistency in the approach taken to the GEF-specific M&E requirements (notably the GEF Tracking Tools) across all GEF-financed projects in the country. This could be achieved for example by using one national institute to complete the GEF Tracking Tools for all GEF-financed projects in the country, including projects supported by other GEF Agencies.

M&E Oversight and monitoring responsibilities:

165. Project Coordinator: The Project Coordinator (PC) is responsible for day-to-day project management and regular monitoring of project results and risks, including social and environmental risks. The PC will ensure that all project staff maintain a high level of transparency, responsibility and accountability in M&E and reporting of project results. The PC will inform the Project Board, the UNDP Country Office and the UNDP-GEF RTA of any delays or difficulties as they arise during implementation so that appropriate support and corrective measures can be adopted.

166. The Project Coordinator will develop annual work plans based on the multi-year work plan included in Annex A, including annual output targets to support the efficient implementation of the project. The PC will ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality. This includes, but is not limited to, ensuring the results framework indicators are monitored annually in time for evidence-based reporting in the GEF PIR, and that the monitoring of risks and the various plans/strategies developed to support project implementation (e.g. gender strategy, KM strategy etc..) occur on a regular basis.

167. Project Board: The Project Board will take corrective action as needed to ensure the project achieves the desired results. The Project Board will hold project reviews to assess the performance of the project and appraise the Annual Work Plan for the following year. In the project's final year, the Project Board will hold an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to highlight project results and lessons learned with relevant audiences. This final review meeting will also discuss the findings outlined in the project terminal evaluation report and the management response.

168. Project Implementing Partner: The Implementing Partner is responsible for providing any and all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary and appropriate. The Implementing Partner

will strive to ensure project-level M&E is undertaken by national institutes, and is aligned with national systems so that the data used by and generated by the project supports national systems.

169. UNDP Country Office: The UNDP Country Office will support the Project Coordinator as needed, including through annual supervision missions. The annual supervision missions will take place according to the schedule outlined in the annual work plan. Supervision mission reports will be circulated to the project team and Project Board within one month of the mission. The UNDP Country Office will initiate and organize key GEF M&E activities including the annual GEF PIR, the *independent mid-term review* and the independent terminal evaluation. The UNDP Country Office will also ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality.

170. The UNDP Country Office is responsible for complying with all UNDP project-level M&E requirements as outlined in the UNDP POPP. This includes ensuring the UNDP Quality Assurance Assessment during implementation is undertaken annually; that annual targets at the output level are developed, and monitored and reported using UNDP corporate systems; the regular updating of the ATLAS risk log; and, the updating of the UNDP gender marker on an annual basis based on gender mainstreaming progress reported in the GEF PIR and the UNDP ROAR. Any quality concerns flagged during these M&E activities (e.g. annual GEF PIR quality assessment ratings) must be addressed by the UNDP Country Office and the Project Coordinator.

171. The UNDP Country Office will retain all M&E records for this project for up to seven years after project financial closure in order to support ex-post evaluations undertaken by the UNDP Independent Evaluation Office (IEO) and/or the GEF Independent Evaluation Office (IEO).

172. UNDP-GEF Unit: Additional M&E and implementation quality assurance and troubleshooting support will be provided by the UNDP-GEF Regional Technical Advisor and the UNDP-GEF Directorate as needed.

173. **Audit**: The project will be audited according to UNDP Financial Regulations and Rules and applicable audit policies on NIM implemented projects.³¹

Additional GEF monitoring and reporting requirements:

174. Inception Workshop and Report: A project inception workshop will be held within two months after the project document has been signed by all relevant parties to, amongst others:

- a) Re-orient project stakeholders to the project strategy and discuss any changes in the overall context that influence project implementation;
- b) Discuss the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms;
- c) Review the results framework and finalize the indicators, means of verification and monitoring plan;
- d) Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E; discuss the role of the GEF OFP in M&E;
- e) Update and review responsibilities for monitoring the various project plans and strategies, including the risk log; Environmental and Social Management Plan and other safeguard

³¹ See guidance here: <https://info.undp.org/global/popp/frm/pages/financial-management-and-execution-modalities.aspx>

requirements; the gender strategy; the knowledge management strategy, and other relevant strategies;

f) Review financial reporting procedures and mandatory requirements, and agree on the arrangements for the annual audit; and

g) Plan and schedule Project Board meetings and finalize the first year annual work plan.

175. The Project Coordinator will prepare the inception report no later than one month after the inception workshop. The inception report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board.

176. GEF Project Implementation Report (PIR): The Project Coordinator, the UNDP Country Office, and the UNDP-GEF Regional Technical Adviser will provide objective input to the annual GEF PIR covering the reporting period July (previous year) to June (current year) for each year of project implementation. The Project Coordinator will ensure that the indicators included in the project results framework are monitored annually in advance of the PIR submission deadline so that progress can be reported in the PIR. Any environmental and social risks and related management plans will be monitored regularly, and progress will be reported in the PIR.

177. The PIR submitted to the GEF will be shared with the Project Board. The UNDP Country Office will coordinate the input of the GEF Operational Focal Point and other stakeholders to the PIR as appropriate. The quality rating of the previous year's PIR will be used to inform the preparation of the subsequent PIR.

178. Lessons learned and knowledge generation: Results from the project will be disseminated within and beyond the project intervention area through existing information sharing networks 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. The project will identify, analyse and share lessons learned that might be beneficial to the design and implementation of similar projects and disseminate these lessons widely. There will be continuous information exchange between this project and other projects of similar focus in the same country, region and globally.

179. GEF Focal Area Tracking Tools: The following GEF Tracking Tool(s) will be used to monitor global environmental benefit results: BD 4:9, LD 3:4, SFM.

180. The baseline/CEO Endorsement GEF Focal Area Tracking Tools for BD, LD and SFM – submitted in Annex D to this project document – will be updated by the Project Coordinator/Team and shared with *the* mid-term review consultants and terminal evaluation consultants (not the evaluation consultants hired to undertake the MTR or the TE) before the required review/evaluation missions take place. The updated GEF Tracking Tools will be submitted to the GEF along with the completed Mid-term Review report and Terminal Evaluation report.

181. Independent Mid-term Review (MTR): An independent mid-term review process will begin after the second PIR has been submitted to the GEF, and the MTR report will be submitted to the GEF in the same year as the 3rd PIR. The MTR findings and responses outlined in the management response will be incorporated as recommendations for enhanced implementation during the final half of the project's duration. The terms of reference, the review process and the MTR report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the [UNDP Evaluation Resource Center \(ERC\)](#). As noted in this guidance, the evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. The GEF Operational Focal Point and other stakeholders will be involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the

UNDP-GEF Directorate. The final MTR report will be available in English and will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and approved by the Project Board.

182. **Terminal Evaluation (TE):** An independent terminal evaluation (TE) will take place upon completion of all major project outputs and activities. The terminal evaluation process will begin three months before operational closure of the project allowing the evaluation mission to proceed while the project team is still in place, yet ensuring the project is close enough to completion for the evaluation team to reach conclusions on key aspects such as project sustainability. The Project Coordinator will remain on contract until the TE report and management response have been finalized. The terms of reference, the evaluation process and the final TE report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the [UNDP Evaluation Resource Center](#). As noted in this guidance, the evaluation will be ‘independent, impartial and rigorous’. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. The GEF Operational Focal Point and other stakeholders will be involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the UNDP-GEF Directorate. The final TE report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board. The TE report will be publically available in English on the UNDP ERC.

183. The UNDP Country Office will include the planned project terminal evaluation in the UNDP Country Office evaluation plan, and will upload the final terminal evaluation report in English and the corresponding management response to the UNDP Evaluation Resource Centre (ERC). Once uploaded to the ERC, the UNDP IEO will undertake a quality assessment and validate the findings and ratings in the TE report, and rate the quality of the TE report. The UNDP IEO assessment report will be sent to the GEF IEO along with the project terminal evaluation report.

184. **Final Report:** The project’s terminal PIR along with the terminal evaluation (TE) report and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the Project Board during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

Mandatory GEF M&E Requirements and M&E Budget:

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget ³² (US\$)		Time frame
		GEF grant	Co-financing	
Inception Workshop	UNDP Country Office	USD 8,000		Within two months of project document signature
Inception Report	Project Coordinator	None	None	Within two weeks of inception workshop
Standard UNDP monitoring and reporting requirements as outlined in the UNDP POPP	UNDP Country Office	None	None	Quarterly, annually

³² Excluding project team staff time and UNDP staff time and travel expenses.

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget ³² (US\$)		Time frame
		GEF grant	Co-financing	
Measurement of outstanding baseline values	Project Coordinator	18,000	-	Year 1
Monitoring of indicators in project results framework	Project Coordinator	Per year: USD 4,000 Total: 24,000	-	Annually
GEF Project Implementation Report (PIR)	Project Coordinator and UNDP Country Office and UNDP-GEF team	None	-	Annually
NIM Audit as per UNDP audit policies	UNDP Country Office	Per year: USD 5,000 Total: 30,000	-	Annually or other frequency as per UNDP Audit policies
Lessons learned and knowledge generation	Project Coordinator		-	Annually
Monitoring of environmental and social risks, and corresponding management plans as relevant	Project Coordinator UNDP CO	None	-	On-going
Addressing environmental and social grievances	Project Coordinator UNDP Country Office BPPS as needed	None	-	
Project Board + Advisory Committee meetings	Project Board Advisory Committee UNDP Country Office Project Coordinator	Per year: USD 1,000 Total: 6,000	-	At minimum annually
Supervision missions	UNDP Country Office	None ³³	-	Annually
Oversight missions	UNDP-GEF team	None ³³	-	Troubleshooting as needed
Knowledge management as outlined in Outcome 4	Project Coordinator	USD 8,000 (1% of GEF grant)	-	On-going
GEF Secretariat learning missions/site visits	UNDP Country Office and Project Coordinator and UNDP-GEF team	None	-	To be determined.
Mid-term GEF Tracking Tool to be updated	Project Coordinator	USD 7,000	-	Before mid-term review mission takes place.
Independent Mid-term Review (MTR) and management response	UNDP Country Office and Project team and UNDP-GEF team	USD 35,000	-	Between 2 nd and 3 rd PIR.
Terminal GEF Tracking Tool to be updated	Project Coordinator	USD 7,000	-	Before terminal evaluation mission takes place
Independent Terminal Evaluation (TE) included in UNDP evaluation plan, and	UNDP Country Office and Project team and	USD 45,000	-	At least three months before

³³ The costs of UNDP Country Office and UNDP-GEF Unit's participation and time are charged to the GEF Agency Fee.

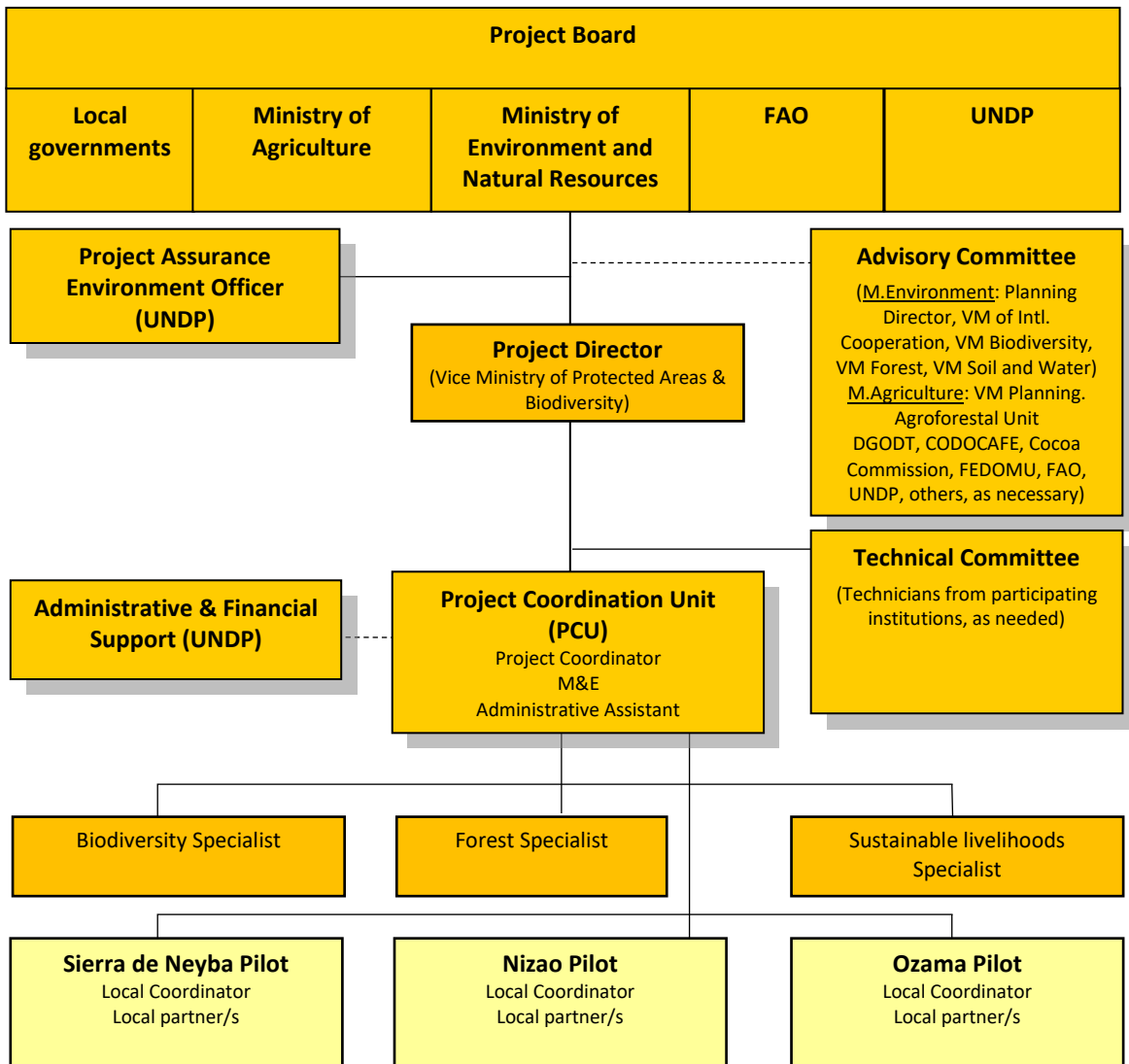
GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget ³² (US\$)		Time frame
		GEF grant	Co-financing	
management response	UNDP-GEF team			operational closure
Translation of MTR and TE reports into English	UNDP Country Office	USD 10,000	-	
TOTAL indicative COST Excluding project team staff time, and UNDP staff and travel expenses		<i>USD198,000</i>		

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

185. Roles and responsibilities of the project's governance mechanism: The project will be implemented following UNDP's national implementation modality, according to the Standard Basic Assistance Agreement between UNDP and the Government of the Dominican Republic, and the Country Programme.

186. The **Implementing Partner** for this project is the Ministry of Environment and Natural Resources. The Implementing Partner is responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP resources. FAO will act as responsible party.

187. The project organisation structure is as follows:



188. The **Project Board** (also called Project Steering Committee) is responsible for making by consensus, management decisions when guidance is required by the Project Coordinator, including recommendation for UNDP/Implementing Partner approval of project plans and revisions. The Project Board will have strategic decision-making, non-executive powers. In order to ensure UNDP’s ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. In case a consensus cannot be reached within the Board, final decision shall rest with the UNDP Programme Manager. The terms of reference for the Project Board are contained in Annexes. The Project Board will be comprised of Senior Management representatives from the Ministry of Environment, Ministry of Agriculture, Representatives of local governments of the pilot sites, FAO and UNDP. Representatives of other stakeholders may also be included in the PSC, as deemed appropriate and necessary. The PSC will meet at least once per year to review project progress and review upcoming work plans and corresponding budgets.

189. An **Advisory Committee** will be established with technical-political representatives from institutions with actions directly related with the project goals, in order to maintain an integral approach, ensure appropriate coordination and synergies. This Committee will meet quarterly, and will be comprised of Vice Ministries and Directors from the Ministry of Environment (VM International Cooperation, VM Biodiversity and Protected Areas, VM Forest Resources, VM Soil and Water, Director of Planning), Ministry of Agriculture (VM of Planning), Presidential Agroforestry Unit, Dirección General de Ordenamiento y Desarrollo Territorial (DGODT), CODOCAFE, National Cocoa Commission, Dominican Federation of Municipalities (FEDOMU), FAO, UNDP, and others, as necessary. It will have the responsibility to solve in the first instance coordination problems encountered by the project.

190. There will also be a **Technical Supervision Committee**, which will discuss all key project technical decisions, including the review of TORs proposed by the PCU, the hiring of specialists, the adjudication of contracts and the revision of Annual Work Plans and Annual Budgets. This Committee will be a critical link between the PMU, the rest of Ministry of Environment and other partners' staff, in case of need.

191. Day to day management and coordination of activities will be carried out under the responsibility of a **Project Coordination Unit** (PCU) and corresponding staff. In terms of key Project staff, a nominated senior Ministry of Environment (Vice Minister of Protected Areas & Biodiversity) staff will become the **National Project Director** (NPD), and will be responsible for oversight of the Project and will maintain overall responsibility and accountability. The National Project Director will establish and provide overall guidance to the PCU, and will be responsible for overseeing the work undertaken by the PCU team.

192. A **National Project Coordinator** (PC) will be contracted by UNDP based on a recruitment process and request from Ministry of Environment and will be responsible for running the project on a day-to-day basis on behalf of the Implementing Partner within the constraints laid down by the PSC. The National Project Coordinator function will end when documentation required by the GEF and UNDP has been completed and delivered (operational closure of the project). In addition to the Project Coordinator, the PCU will be composed of the following staff: a **Biodiversity Specialist**, a **Forest Specialist**, a **Sustainable Livelihoods Specialist**, a Monitoring and Evaluation Assistant and an Administrative Assistant. Administrative and professional personnel will interact on an ongoing basis with the PC and the PCU technical and professional teams, according to needs arising during project implementation.

193. The **project assurance** role will be provided by UNDP DR Environment Programme Officer.

194. Additional quality assurance will be provided by the UNDP Regional Technical Advisor as needed.

195. Governance role for project target groups:

196. The key government institution being targeted through this project for institutional strengthening, namely, the Ministry of Environment, will have decision-making powers through its position on the Project Steering Committee. It will also provide technical inputs through the Advisory and the Technical Committees. Other key stakeholders such as Ministry of Agriculture, the Agroforestry Unit, DGODT, National Cocoa Commission, CODOCAFE, FEDOMU and local community groups will provide inputs during project implementation to ensure that their opinions are taken into consideration.

197. FAO, as responsible party, will contribute with its expertise and will be responsible of activities related with forest fire preparedness and prevention. It will participate in the NSC, the Advisory and the

Technical Committees. All the activities will be planned and implemented in coordination with the PMU.

198. Agreement on intellectual property rights and use of logo on the project’s deliverables and disclosure of information: In order to accord proper acknowledgement to the GEF for providing grant funding, the GEF logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GEF will also accord proper acknowledgement to the GEF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy³⁴ and the GEF policy on public involvement³⁵.

199. Project management: The project staff will be based in Santo Domingo, in the Dominican Republic and will work out of the Ministry of Environment and Natural Resources.

200. The project will be executed under national implementation modality (NIM), with execution by the Ministry of Environment and Natural Resources.

IX. FINANCIAL PLANNING AND MANAGEMENT

201. The total cost of the project is USD 62,183,542. This is financed through a GEF grant of USD 8,176,165, and USD 54,007,377 in parallel co-financing. UNDP, as the GEF Implementing Agency, is responsible for the execution of the GEF resources and the cash co-financing transferred to UNDP bank account only.

202. Parallel co-financing: The actual realization of project co-financing will be monitored during the mid-term review and terminal evaluation process and will be reported to the GEF. The planned parallel co-financing will be used as follows:

Co-financing source	Co-financing type	Co-financing amount	Planned Activities/Outputs
Government: Ministry of Environment	Grant	USD 5,100,000	Local territorial planning, monitoring systems, EWS for fires, provision of plants, Knowledge Management (KM)
Government: Ministry of Environment	In-kind	USD 5,400,000	Support for coordination platforms and territorial planning processes (personnel, equipment and logistics),
Government: Ministry of Agriculture	Grant	USD 16,000,000	Production of plants, nurseries, maintenance of inter-farm access roads, production of organic fertilizers, and KM. Provision of small in-farm infrastructure for organic production, equipment for plague control in cocoa and coffee cultures.
Government: Ministry of Agriculture	In-kind	USD 23,310,000	Extension agents for accompaniment to producers, coordination platforms (personnel, logistics and equipment)
FAO	In-kind	USD 100,000	Forest fires management and implementation of

³⁴ See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/

³⁵ See https://www.thegef.org/gef/policies_guidelines

			Component 2.
CODOCAFE	Grant	USD 750,000	Provision of plants and other complementary activities for Components 2 and 3.,
CODOCAFE	In kind	USD 415,000	Personnel, equipment and logistics for the activities programmed under Components 2 and 3.
UNDP	Grant	USD 2,500,000	Strengthening of social protection and continued fight against extreme poverty in the target areas.
SANTO DOMINGO WATER FUND	Grant	USD 321,000	Support the restauration of degraded areas in the Nizao and Ozama pilot sites, by orienting financing to complement the sustainable livelihoods and sustainable production financing mechanisms envisaged under Component 3.
Dominican Federation of Municipalities (FEDOMU)	Grant	USD 87,227	Personnel dedicated to developing planning mechanisms for the target municipalities.
Dominican Federation of Municipalities (FEDOMU)	In-kind	USD 24,150	Logistical support to activities in pilot municipalities.

UNDP Direct Project Services as requested by Government:

203. As per the Determination and Decision of UNDP's Executive Board on the Cost Recovery Policy over Regular and Other Resource-funded projects, the GEF contribution is subject to UNDP's cost recovery as follows:

(i) Direct Project Costs (DPC) incurred in the provision of the Services to projects by UNDP. These costs shall be unequivocally related to specific administrative/financial activities and transactional services clearly identified, and charged annually as per the UNDP Universal Price List. The DPC may include the following:

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

204. Budget Revision and Tolerance: As per UNDP requirements outlined in the UNDP POPP, the project board will agree on a budget tolerance level for each plan under the overall annual work plan allowing the project Coordinator to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the Project Board. Should the following deviations occur, the Project Coordinator and UNDP Country Office will seek the approval of the UNDP-GEF team as these are considered major amendments by the GEF:

- a) Budget re-allocations among components in the project with amounts involving 10% of the total project grant or more;
- b) Introduction of new budget items/or components that exceed 5% of original GEF allocation.

205. Any over expenditure incurred beyond the available GEF grant amount will be absorbed by non-GEF resources (e.g. UNDP TRAC or cash co-financing).

206. Refund to Donor: Should a refund of unspent funds to the GEF be necessary, this will be managed directly by the UNDP-GEF Unit in New York.

207. Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP. On an exceptional basis only, a no-cost extension beyond the initial duration of the project will be sought from in-country UNDP colleagues and then the UNDP-GEF Executive Coordinator.

208. Operational completion: The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Terminal Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-project review Project Board meeting. The Implementing Partner through a Project Board decision will notify the UNDP Country Office when operational closure has been completed. At this time, the relevant parties will have already agreed and confirmed in writing on the arrangements for the disposal of any equipment that is still the property of UNDP.

209. Financial completion: The project will be financially closed when the following conditions have been met:

- a) The project is operationally completed or has been cancelled;
- b) The Implementing Partner has reported all financial transactions to UNDP;
- c) UNDP has closed the accounts for the project;
- d) UNDP and the Implementing Partner have certified a final Combined Delivery Report (which serves as final budget revision).

210. The project will be financially completed within 12 months of operational closure or after the date of cancellation. Between operational and financial closure, the implementing partner will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the UNDP-GEF Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

X. TOTAL BUDGET AND WORK PLAN

Total Budget and Work Plan			
Atlas Proposal or Award ID:	106286	Atlas Primary Output Project ID:	107101
Atlas Proposal or Award Title:	Mainstreaming Conservation of Biodiversity and Ecosystem Services in Productive Landscapes in Threatened Forested Mountainous Areas		
Atlas Business Unit	DOM10		
Atlas Primary Output Project Title	Mainstreaming Conservation of Biodiversity and Ecosystem Services in Productive Landscapes in Threatened Forested Mountainous Areas		
UNDP-GEF PIMS No.	5761		
Implementing Partner	Ministry of Environment and Natural Resources		

GEF Component/Atlas Activity	Responsible Party (Atlas Implementing Agent)	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Amount Year 5 (USD)	Amount Year 6 (USD)	Total (USD)	See Budget Note	
Component 1: Systemic landscape management framework	MA	62000	GEF	71300	Local Consultants	59,030	221,000	67,500	800	0	15,500	363,830	1	
				71400	Contractual Services-Individual	23,000	35,000	35,000	35,000	35,000	12,000	175,000	2	
				71600	Travel	800	15,600	2,800	12,000	800	800	32,800	3	
				72100	Contractual Services-Companies	101,000	193,000	115,000	50,000	50,000	0	509,000	4	
				72200	Equipment & Furniture	84,500	0	0	0	0	0	84,500	5	
				72400	Communic & Audio Visual Equip.	15,000	21,000	0	0	0	15,000	51,000	6	
				72800	Information Technology Equip.	44,000	40,000	10,000	0	0	0	94,000	7	
				73400	Rental & Maint of Equipment		18,000					18,000	8	
				74200	Audio Visual&Print Prod Costs	4,000	32,685	44,000	0	0	21,000	101,685	9	
				74500	Miscellaneous	5,000	7,000	7,500	7,000	7,000	5,000	38,500	10	
				73400	Rental & Maint of Equipment	5,100	5,100	5,100	5,100	5,100	5,100	30,600	11	
				75700	Training, workshop, meetings	8,500	24,500	4,000	4,000	4,000	4,000	49,000	12	
					<i>UNDP Sub Total Comp. 1</i>			<i>349,930</i>	<i>612,885</i>	<i>290,900</i>	<i>113,900</i>	<i>101,900</i>	<i>78,400</i>	<i>1,547,915</i>
		FAO	62000	GEF	71300	Local Consultants	8,750	19,350	0	0	0	0	28,100	F1
					71600	Travel	1,600	4,000	0	0	0	0	5,600	F2
				73400	Rental & Maint of Equipment	2,000	2,000			2,000		6,000	F3	
				74200	Audio Visual&Print Prod Costs		7,500					7,500	F4	
				75700	Training, workshop, meetings	5,000	6,000	0	0	0	0	11,000	F5	

					<i>FAO Sub-Total Comp. 1</i>	17,350	38,850	0	0	2,000	0	58,200		
					Sub-Total Comp. 1	367,280	651,735	290,900	113,900	103,900	78,400	1,606,115		
Component 2: Conservation compatible production systems in threatened mountain ecosystems and conservation corridors	MA	62000	GEF	71200	International Consultants	86,000	31,700	25,000	15,000	5,000	0	162,700	13	
				71300	Local Consultants	5,250	20,250	6,500	6,500	6,500	6,500	51,500	14	
				71400	Contractual Services-Individual	52,000	94,000	94,000	94,000	94,000	33,000	461,000	15	
				71600	Travel	14,400	44,640	46,400	46,400	32,960	21,200	206,000	16	
				72100	Contractual Services-Companies	165,000	480,400	235,400	210,400	22,000	0	1,113,200	17	
				72200	Equipment & Furniture	135,600	0	0	0	0	0	135,600	18	
				72300	Materials & Goods	3,500	7,000	7,000	7,000	7,000	7,000	38,500	19	
				73400	Rental & Maint of Equipment	17,000	75,500	78,500	78,500	78,500	30,500	358,500	20	
				74200	Audio Visual&Print Prod Costs	0	14,000	0	0	0	5,000	19,000	21	
				74500	Miscellaneous	7,000	8,000	8,000	9,000	8,000	6,000	46,000	22	
				75700	Training, workshop, meetings	8,000	10,000	12,000	0	0	6,000	36,000	23	
		<i>UNDP Sub-Total Comp. 2</i>	<i>493,750</i>	<i>785,490</i>	<i>512,800</i>	<i>466,800</i>	<i>253,960</i>	<i>115,200</i>	<i>2,628,000</i>					
		FAO	62000	GEF	71200	International Consultants	75,000	0	75,000	0	75,000	0	225,000	F6
					71600	Travel	20,000	800	800	800	800	0	23,200	F7
				72100	Contractual Services	0	162,000	52,000	0	0	0	214,000	F8	
				72300	Equipment	56,100	22,000	42,000	0	56,100	0	176,200	F9	
				75700	Training, workshop, meetings	0	27,260	17,660	8,510	2,510	2,510	58,450	F10	
					<i>FAO Sub-Total Comp. 2</i>	<i>151,100</i>	<i>212,060</i>	<i>187,460</i>	<i>9,310</i>	<i>134,410</i>	<i>2,510</i>	<i>696,850</i>		
					Sub-Total Comp. 2	644,850	997,550	700,260	476,110	388,370	117,710	3,324,850		
Component 3: Sustainable livelihoods mainstream BD-friendly practices	MA	62000	GEF	71300	Local Consultants	0	7,000	69,500	78,000	70,500	76,500	301,500	24	
				71400	Contractual Services-Individual	37,500	64,500	64,500	64,500	64,500	23,000	318,500	25	
				71600	Travel	2,400	4,800	8,000	8,000	8,000	4,000	35,200	26	
				72100	Contractual Services-Companies	43,000	214,000	482,000	439,000	84,000	27,000	1,289,000	27	
				72300	Materials & Goods	0	0	5,000	5,000	0	0	10,000	28	
				73400	Rental & Maint of Equipment	10,000	25,000	25,000	25,000	25,000	7,000	117,000	29	

				74500	Miscellaneous	5,000	7,000	8,000	8,000	7,000	5,000	40,000	30
				72600	Micro Capital Grant	0	0	240,000	0	0	0	240,000	31
					Sub-Total Comp. 3	97,900	322,300	902,000	627,500	259,000	142,500	2,351,200	
Component 4: Knowledge Management and M&E	MA	62000	GEF	71200	International Consultants	0	0	25,000	0	0	35,000	60,000	32
				71300	Local Consultants	29,000	8,000	20,000	0	0	40,000	97,000	33
				71400	Contractual Services- Individual	11,000	22,000	22,000	22,000	22,000	18,000	117,000	34
				72100	Contractual Services- Companies	3,000	5,000	5,000	5,000	5,000	0	23,000	35
				74100	Professional Services	0	5,000	5,000	5,000	5,000	5,000	25,000	36
				74200	Audio Visual&Print Prod Costs	10,000	10,000	15,000	5,000	5,000	16,000	61,000	37
				74500	Miscellaneous	2,000	3,000	3,000	2,658	2,000	2,000	14,658	38
				75700	Training, workshop, meetings	16,000	5,000	10,000	15,000	5,000	56,000	107,000	39
					Sub-Total Comp. 4	71,000	58,000	105,000	54,658	44,000	172,000	504,658	
					Project Total w/o PMC	1,181,030	2,029,585	1,998,160	1,272,168	795,270	510,610	7,786,823	
Project Management Costs (PMC)	MA	62000	GEF	71400	Contractual Services- Individual	30,250	43,000	43,000	43,000	43,000	28,000	230,250	40
				72200	Equipment & Furniture	15,000	0	0	0	0	0	15,000	41
				72400	Communic & Audio Visual Equip	16,500	5,000	5,000	5,000	5,000	2,500	39,000	42
				72500	Office Supplies	1,000	2,000	2,000	2,000	1,500	500	9,000	43
				72800	Information Technology Equip	6,500	1,500	1,500	1,500	1,500	1,500	14,000	44
				73400	Rental & Maint of Equipment	892	1,900	1,900	1,900	1,000	500	8,092	45
				74500	Miscellaneous	5,000	7,000	7,000	7,000	7,000	0	33,000	46
				74596	Direct Project Costs	5,000	8,000	8,000	8,000	8,000	4,000	41,000	47
					Sub-Total PMC	80,142	68,400	68,400	68,400	67,000	37,000	389,342	
					Project Total w/ PMC	1,261,172	2,097,985	2,066,560	1,340,568	862,270	547,610	8,176,165	

Summary of
Funds:

	Amount Year 1	Amount Year 2	Amount Year 3	Amount Year 4	Amount Year 5	Amount Year6	Total
GEF	1,261,172	2,097,985	2,066,560	1,340,568	862,270	547,610	8,176,165
UNDP	250,000	500,000	500,000	500,000	500,000	250,000	2,500,000
Ministry of Environment	1,500,000	3,000,000	3,000,000	1,500,000	1,000,000	500,000	10,500,000
Ministry of Agriculture	3,500,000	10,000,000	10,000,000	10,000,000	5,000,000	810,000	39,310,000
CODOCAFE	165,000	400,000	400,000	150,000	25,000	25,000	1,165,000
Santo Domingo Water Fund	0	0	0	150,000	150,000	21,000	321,000
FAO	30,000	70,000	0	0	0	0	100,000
FEDOMU	27,845	41,766	41,766				111,377
TOTAL	6,734,017	16,109,751	16,008,326	13,640,568	7,537,270	2,153,610	62,183,542

BUDGET NOTES

GEF Outcome/Atlas Activity	Budget note	Atlas Budgetary Account Code	ERP/ATLAS Budget Description/ Input	Total	Budget note
Component 1.	UNDP as Responsible Party				
	1	71300	Local Consultants	363,830	<p>28,000: 4 consultancies of 20 days each @ \$350/day to strengthen the Municipal Devt Plans and LUP Guidelines to mainstream BD, SFM and LD criteria and gender sensitivity in Year 1</p> <p>28,000: Consultancy of 80 days @ \$350/day to support the formulation of environmental Agendas in 4 provinces in Year 2</p> <p>18,000: 3 Technicians in GIS to support the collection of municipal statistics and support the establishment and management of an information system @ \$500/month/technician for 12 months in 3 pilot zones (Descubierta, Rancho Arriba and Yamasá)</p> <p>24,500: Consultancy to support the technical process for establishing a special category of land use in a sensitive area: Madre de las Aguas Biosphere Reservation @ \$350/day for 70 days</p> <p>11,300: Technical support to improve registry capacity in "Línea Verde" located in pilot sites (consultancy @ \$350/day for 30 days + fieldtrips (10 @\$80))</p> <p>21,000: Consultant @ \$350/day for 60 days to support update database and GIS with biological information in pilot sites in Years 2 and 6</p> <p>15,750: Training to improve capacities for the interconnection of GIS platforms between MA, Magri and local government in pilot sites @ \$300/day for 52.5 days</p> <p>Consultancy to support data management within the monitoring system @ 250/day for 40 days</p> <p>10,000: Consultancy to support data management within the monitoring system @ 250/day for 40 days</p> <p>15,280: Design of an SDG monitoring model and guide @ \$350/day for 40 days + field trips (16@\$80), including capacity building at pilot sites and relevant national institutions responsible for SDG monitoring</p> <p>12,000: Design of a dashboard at municipal level to monitor SDG targets, aligned with the national monitoring platform @ \$300/day*40 days</p> <p>24,500: Consultancy to carry out Interinstitutional consultations, identify financing sources and reach agreements on financial mechanisms for sustainable</p>

				<p>production to be applied in pilot sites @ \$350/day for 70 days</p> <p>Design of instruments to operate and manage financial mechanisms (line of credit, seed-fund), including capacity building among key stakeholders @ \$60,000</p> <p>Design of financial tools (line of credit, Institutional Agreements and Capacity bldg of implementers) and capacity building for using them @ \$50,000</p> <p>Consultancy to setup Institutional agreements for the operation of a seed-fund, including capacity building for its operation@ \$35,000</p> <p>10,500: Consultancy to design a gender strategy for sustainable management in mountain productive landscapes @ \$350/day for 30 days</p>
2	71400	Contractual Services-Individual	175,000	<p>145,000: BD specialist @ \$29,000/year during years 1-5</p> <p>30,000: Project Coordinator (part of salary corresponding to technical contributions to the component)</p>
3	71600	Travel	32,800	<p>5,600: DSA to Madre de las Aguas @ \$80/day for 70 days</p> <p>2,400: DSA to support field work related with the operationalization of the monitoring system @ \$80/day for 30 days</p> <p>20,000: Surveys and focal groups to collect information of SDG indicators in pilot sites (@ \$5,000/site + central level)</p> <p>4,800: DSA @\$80/day for 10 days/year to monitor SDG and coordinate between the central / local levels</p>
4	72100	Contractual Services	509,000	<p>75,000: Company or temporal association to develop a Social & Environmental Strategic Assessment@ \$75,000</p> <p>160,000: Companies or temporal associations to support the formulation of 10 Municipal Devt Plans @ \$15,000/each, and provide training to technicians of 4 Municipalities @ \$2,500 each</p> <p>100,000: Companies or temporal associations to support the formulation of 10 LUP in pilot zones @ \$ 9,000/each, and provide training for implementation to technicians of 3 Municipalities @ \$2,500 each and support to 2 watershed councils @\$1,250 each</p> <p>45,000: Companies or temporal associations to support the identification and prioritization of appropriate land use actions in PA buffer zones within the 3 pilot sites @ \$15,000 each</p> <p>55,000: Professional services to design a participatory monitoring plan and system with BD, LD and SFM criteria and provide capacity building to key stakeholders</p> <p>26,000: Contractual Services to design an Ecosystem Services Strategy</p> <p>48,000: Contractual services to carry out an Economic Valuation and</p>

				prioritization of ecosystemic services in each Pilot site
5	72200	Equipment & Furniture	84,500	80,000: Purchase of land transport units for attending violation reports in pilot sites: 2 vehicle type jeeps 4 x 4 (est. \$40,000 each) 4,500: Office equipment to establish Línea Verde units in pilot sites (desk, chairs, boards)
6	72400	Communic & Audio Visual Equip.	51,000	Satellite images purchase Equipment for BD monitoring in pilot sites (binoculars, camera traps, portable weather stations, frogloggers)
7	72800	Information Technology Equip.	94,000	Basic computer equipment to support the implementation of Municipal Devt Plans and LUP Computer equipment to establish the environmental violation report and processing system in pilot sites (software, PC, network materials, printers, interconnection equipment) Computer equipment to improve the interconnection of GIS platforms between MA, Magri and local governments
8	73400	Rental & Maint of Equipment	18,000	Equipment for sediment monitoring (sediment traps, scales, driers) in pilot sites
9	74200	Audio Visual & Print Prod Costs	101,685	Diagramation and printing of SESA results document Diagramation and printing of the environmental Agendas Diagramation and printing of Municipal Dev Plans and LUP guidelines and other related documents Audiovisual and printing material to expand Línea Verde scope and results Printing materials of the Monitoring Plan Diagramation and printing of SDG related materials Diagramation and printing of the gender strategy
10	74500	Miscellaneous	38,500	Miscellaneous
11	73400	Rental & Maint of Equipment	30,600	Maintenance costs of vehicles
12	75700	Training, workshop, meetings	49,000	8 Workshops and meetings @ \$2000/each to support the formulation and validation of environmental agendas Capacity building to "Línea Verde" staff in pilot sites (system users at the local level) Meetings with key stakeholders to identify targets and monitor SDG targets at pilot sites

FAO as Responsible Party					
	F1	71300	Local Consultants	28,100	8,750: Consultancy to design a municipal early warning system for the prevention, management and control of fires, to strengthen the MA national fire strategy @ \$350/day for 25 days 19,350: Consultancy to update fires baseline, identification of institutions and organizations, fuel maps (including access routes and fire detection towers location) in pilot sites, @ \$350/day for 45 days, including field work @\$80x45
	F2	71600	Travel	5,600	DSA for field work to support: municipal early warning system @ \$80/day *40 days DSA for field work to support fires baseline @ \$80/day *30 days
	F3	73400	Rental & Maint of Equipment	6,000	Fuel for vehicles to support field work
	F4	74200	Audio Visual & Print Prod Costs	7,500	Printing materials
	F5	75700	Training, workshop, meetings	11,000	Workshops and meetings to design the EWS Capacity building for the operation of the early warning system
			TOTAL COMPONENT 1	1,606,115	
UNDP as Responsible Party					
Component 2.	13	71200	International Consultants	162,700	Contractual services to design a Gender and age-sensitive extension package tailored to each sustainable production system, with a BD/LD approach, consisting of: i. integrated training modules for technicians and extension agents; ii. Integrated training modules for trainers; iii. integrated training and extension modules for farmers. @ \$70,000 Contractual services for providing training modules to: i. technicians and extension agents and ii. Trainers @ \$80,000 International consultancy to support the establishment of "Madre de las Aguas" Biosphere Reserve @ \$500/day for 20 days + flight ticket @ \$2,700
	14	71300	Local Consultants	51,500	Consultancy to identify potential PA/conservation areas within productive landscapes to be promoted in the pilot sites and support its establishment @ \$350/day * 50 days (participatory process with farm owners, mapping, elaboration of guidelines and technical support). This includes the promotion of small conservation spaces within the farms to favor connectivity and

				<p>functionality of ecosystems. i.e.in a 0.63 ha farm, a proportion of 0.0625 ha is left as wild space.</p> <p>Consultancies to train and supervise local monitors for the monitoring of BD/SFM/LD in monitoring sites @ \$300/day for 30 days</p> <p>Consultancies for the periodic monitoring of permanent BD/SFM/LD monitoring sites. This will be connected with the design of the training package for technicians and extension agents @ \$50/day for 500.</p>
15	71400	Contractual Services- Individual	461,000	<p>145,000: Pr forest specialist @ \$29,000/year during years 1-5</p> <p>30,000: Project Coordinator (part of salary corresponding to technical contributions to the component)</p> <p>106,000: Local Coordinator 1 @ \$21,200/year during years 1-5</p> <p>106,000: Local Coordinator 2 @ \$21,200/year during years 1-5</p> <p>37,000: Driver 1 @ \$7,500/year during years 1-5</p> <p>37,000: Driver 2 @ \$7,500/year during years 1-5</p>
16	71600	Travel	206,000	<p>Travel costs to provide technical assistance to reforestation brigades and transportation of plants</p> <p>DSA to carry on field visits for the establishment and follow up of the BD/SFM/LD monitoring sites and periodic monitoring @ \$50/day for 500 days</p> <p>Domestic travel of staff monthly to/from pilot sites</p>
17	72100	Contractual Services Companies	1,113,200	<p>Contractual services for mapping and characterize farms in selected pilot areas (geo -reference, area, crops, etc) @ \$45,000</p> <p>Contractual services for the establishment of model experimental farms for each sustainable model (0.0625 ha each) under integrated management promoting biological connectivity for the demonstration of BD-friendly productive options in the 3 pilot sites @\$26,000</p> <p>Establishment of nurseries in Community associations (Identify places and establish agreements with owners; Install nurseries, plantations and silvicultural areas) @ \$417,000</p> <p>150,000: Purchase of high quality cocoa plants to establish specified areas for nurseries inside the beneficiary farms, to dispose of quality vegetative material for repopulation</p> <p>432,000: Establishment of reforestation brigades (6 brigades during 3 years in pilot sites @ \$2,000/brigade/month)</p> <p>43,200: Technical Assistance to reforestation brigades (6 brigades during 3yrs in pilot sites @\$200/brigade/month)</p>
18	72200	Equipment & Furniture	135,600	<p>Purchase of land transport units for implementation in pilot areas: 3 vehicle type jeeps 4 x 4) (est. \$40,000 each)</p> <p>Purchase of 3 motorcycles for the implementation of pilot programs in areas</p>

				Type Honda or Yamaha DT @ 5,200/ each
19	72300	Materials & Goods	38,500	Insurance for project vehicles car and motorcycles
20	73400	Rental & Maint of Equipment	358,500	Transportation costs for periodic monitoring of the BD/SFM/LD monitoring sites Fuel for vehicles throughout the project; lubricants and vehicle maintenance during the project Vehicles maintenance during the project life
21	74200	Audio Visual & Print Prod Costs	19,000	Diagramation and printing of brochure-type guidelines for the establishment of PA/conservation areas within farms Audiovisual and printing materials of special land use model at Madre de las Aguas
22	74500	Miscellaneous	46,000	Unforeseen costs and other expenses
23	75700	Training, workshop, meetings	36,000	Meetings to discuss, promote and socialize sustainable production systems to be implemented with key stakeholders / beneficiaries, including MA and MAgri (Santo Domingo, and pilot sites) Workshops (3) to validate production models with beneficiaries on the ground Workshops (4) to train local monitors for the monitoring of BD/SFM/LD in monitoring sites
FAO as Responsible Party				
F6	71200	International Consultants	225,000	Establishment and operation of forest fire brigades (6 Brigades of 15 person each, 2 in each pilot @ \$2,500/month during 5 months/year in years 1, 3 and 5)
F7	71600	Travel	23,200	Fire readiness: capacity building of MA technicians, through learning of best practices from other countries (1 exchange for 5 persons) Natural regeneration in selected areas in Sierra de Neyba and Nizao sites @ \$80/day (delimitation of area and monitoring)
F8	72100	Contractual Services	214,000	Fire readiness: building of a forest fire detection tower in Sierra de Neyba Implementation of prescribed burning actions to prevent forest fires in selected areas of 2 pilot sites (Sierra de Neyba and Nizao) Implementation of demonstrative fire prevention measures through the establishment of live barriers in sites vulnerable to forest fires at Sierra de Neyba and Nizao (materials, equipment, field work, monitoring) Rehabilitation and reforestation in selected areas affected by fires with native species in Sierra de Neyba and Rancho Arriba / 1 in each site (materials, field work, monitoring)

	F9	72300	Equipment	176,200	126,000: Equipment for 6 forest fire brigades (picks, backpack water pumps, machetes, sleepers, personal protection equipment) @ \$7,000/brigade/years 1,3 and 5 28,200: Personal protection equipment for forest fire brigades (clothing, antismoke masks, lamps adjustable to helmets, helmets, gloves, caps) @ \$2,350/brigade for 6 brigades, in years 1 and 5 Fire readiness: equipment of a forest fire detection tower in Sierra de Neyba (bedding, chairs, kitchen appliances, solar energy, radios, compass, meteorological kit, binoculars, flash lights) @ \$22,000
	F10	75700	Training, workshop, meetings	58,450	Annual planning for Fire readiness (1 meeting/year @ \$2,510 each) Trainings for fire readiness: Fire Management Basic Techniques for Forest Firefighters, 16/one day trainings in pilot sites @ \$1,500 each (includes fuel, transportation, lodging for instructors, materials, meals) Trainings for fire readiness: Basic Training for Forest Firefighters, 6/one day trainings, 2 in each pilot site @ \$1,550 each: meals, materials, fuel and transportation, lodging for instructors) Trainings for fire readiness: Use of forest fire data collection instruments,6/one day training in each pilot site @ \$ 1,600 each (meals, materials, fuel and transportation, lodging for instructors) Trainings to improve capacities of the forest fire brigades on prescribed burning (1 in Sierra de Neyba, 1 in Nizao @ \$1,500 each: meals, materials, fuel and transportation, lodging for instructors)
			TOTAL COMPONENT 2	3,324,850	
Component 3:	24	71300	Local Consultants	301,500	21,000: Design of ecotourism destination packages in each pilot site @ \$7000/pilot site 84,000: Technical support to access and manage financing/credit mechanisms through local organizations 67,500: Technical support to establish and operate gender and age-sensitive micro enterprises 75,000: Technical support to access markets consuming sustainable products developed through the project 54,000: Technical support to ensure mainstreaming gender and age-sensitiveness in the implementation of business plans.
	25	71400	Contractual Services- Individual	318,500	106,000: Local Coordinator 3 @ \$21,200/year during years 1-5 37,000: Driver 3 @ \$7,400/year during years 1-5 145,500: Pr livelihoods specialist @ \$29,100/year during years 1-5 30,000: Project Coordinator (part of salary corresponding to technical contributions to the component)

26	71600	Travel	35,200	Travel costs @ \$80/day
27	72100	Contractual Services	1,289,000	<p>90,000: Contractual services to design participatory and gender-sensitive business plans including road maps as required, in the three pilot sites for sustainable production (cocoa, coffee and associated livelihoods @ \$30,000 each)</p> <p>240,000:"Capacity building at local level, gender and age-sensitive, to support the implementation of business plans in pilot sites (consultancies to design and facilitate training modules) @ :</p> <ol style="list-style-type: none"> 1. Ecotourism (hospitality /food services and local tourism guiding) @ \$15,000/pilot site 2. Empowerment for integration and participation in decision making @ \$15,000/pilot site 3. Skills development in basic accounting, administration, financial management and trading @\$10,000/pilot site 4. Skills to form and run micro enterprises @ \$15,000/pilot site 5. Branding and development of skills to access new markets @ \$10,000/pilot site 6. Access to and management of financing @ \$15,000/pilot site" <p>108,000: Contractual services to implement Farmer Field Schools (complementary to training package): 54 workshops / 3 FFS/year @ \$2,000 each session</p> <p>216,000: Technical Assistance to farmers from Extension agents in plantation and harvest techniques</p> <p>95,000: Technical assistance to support the formalization, strengthening and development of management skills to implement business plans</p> <p>20,000: Design of brands for products to be marketed</p> <p>50,000: Design and implement marketing campaigns of gender and age-sensitive local enterprises and brands</p> <p>70,000: "Ecotourism:</p> <ol style="list-style-type: none"> 1. Design and construction of 3 interpretation trails and signaling within agroforestry systems in pilot sites (1 trail in each pilot site @ \$5,000/trail.) 2. Enabling of accommodation spaces for visitors on 10 local families (5/pilot site in Ozama and Nizao @ \$ 4,000 each). 3. Enabling of visitor reception and orientation facilities in each pilot site @ \$ 5,000 each. " <p>400,000: Building of postharvest small infrastructure (coffee waste management coffee and cocoa drying and fermentation and storage facilities).</p>

	28	72300	Materials & Goods	10,000	Purchase of materials for apiaries management
	29	73400	Rental & Maint of Equipment	117,000	Fuel for vehicles to provide technical assistance
	30	74500	Miscellaneous	40,000	Unforeseen costs and other expenses
	31	72600	Micro Capital Grant	240,000	Capital contribution to a seed fund to support BD, LD friendly production, in the form of smaller grants provided according to UNDP Guidance on Micro-Capital Grants. The project will work with local NGOs to support the establishment and strengthening of BD, LD friendly production and livelihoods in the target areas. This is envisioned to include support in planning as well as material goods such as equipment and infrastructure associated with each case. Through the Micro Capital Grants, all resources awarded to local NGOs and producers will be expended within the project timeframe with concrete outputs.
			TOTAL COMPONENT 3	2,351,200	
Component 4.	32	71200	International Consultants	60,000	25,000: Mid Term Evaluation Intl Consultant 35,000: Final Term Intl Consultant
	33	71300	Local Consultants	97,000	16,000: Consultancy for the development and implementation of a communication strategy and a citizen mobilization campaign @ \$400/day for 40 days 15,000: Lessons learned and systematization of experiences 9,000: Inception workshop + mid-term M&E workshop + Final workshop facilitator @ \$3,000 each 18,000: Consultancy for measurement of outstanding baseline values : \$450/day + other costs (travel, etc) for 40 days 7,000: 1 consultancy @ \$350/day for 20 days to update and organize indicator values in preparation for external review 10,000: Mid Term Evaluation Ntl consultant 15,000: Final Term Ntl consultant 7,000: 1 consultancy @ \$350/day for 20 days to update and organize indicator values (TT) in preparation for external review
	34	71400	Contractual Services- Individual	117,000	M&E assistant @ \$22,000/year during years 1-6 (partial salary for the inception period in Year 1 and Project closure in Year 6)
	35	72100	Contractual Services	23,000	Social media campaign

	36	74100	Professional Services	25,000	Auditing firm
	37	74200	Audio Visual & Print Prod Costs	61,000	Translation of MTR and TE into English Design, printing and audiovisual material to implement a communication strategy Printing and audiovisual material of systematization products
	38	74500	Miscellaneous	14,658	Unforeseen costs and other expenses
	39	75700	Training, workshop, meetings	107,000	Field exchanges between local farmers Knowledge Sharing Fair on Sustainable Management of Mountain Landscapes, including field visits to pilot sites, exhibition of products, audiovisual material, booklets, posters, presentations and discussions about key central success factors achieved through the project. Inception Workshop + mid-term M&E workshop + Final workshop @ \$54000/each Annual M&E workshops + annual monitoring of indicators in project results framework Project Board + Advisory Committee meetings
			TOTAL COMPONENT 4	504,658	
Project Management Costs (PMC)	40	71400	Contractual Services-Individual	230,250	Project coordinator @ \$45,000/year, during years 1-6 (\$30,000 in PMC and \$5,000 each in Components 1-3 corresponding to technical contributions as stipulated in TOR) Adm Assistant @ \$13,000/year during years 1-6
	41	72200	Equipment & Furniture	15,000	Equipment of Local Coordination Offices in pilot sites: 1 desk with 3 chairs, 1 filing cabinet with 3 drawers, office supplies @ \$ 5000 / each set.
	42	72400	Communic & Audio Visual Equip	39,000	Communication services for project staff , printers, data show
	43	72500	Office Supplies	9,000	Office supplies (folders, writing tools, prints and copying costs)
	44	72800	Information Technology Equip	14,000	2 PC for project team, 7 laptops for project team + printing supplies
	45	73400	Rental & Maint of Equipment	8,092	Office equipment

	46	74500	Miscellaneous	33,000	Unforeseen costs and other expenses
	47	74596	Direct Project Costs	41,000	Estimated costs of Direct Project Services requested by the GoM to UNDP for executing services (procurement; travel etc.) and as requested by the GoM through the Letter of Agreement (Annex S). Direct project service costs will be charged at the end of each year based on the UNDP Universal Pricelist (UPL) or the actual corresponding service cost. The amounts indicated here are estimations based on the services indicated in the Letter of Agreement, however as part of annual project operational planning the direct project services to be requested during that calendar year would be defined and the amount included in the yearly budgets.
			TOTAL Project Management Costs	389,342	
			GRAND TOTAL Project	8,176,165	

XI. LEGAL CONTEXT

211. This Project Document shall be the instrument referred to as such in Article I of the Standard Basic Service Agreement between the Government of the Dominican Republic and the United Nations Development Programme, signed by the parties on 11 June, 1974 and ratified by the National Congress through Resolution No. 73 on 5 November 1974. The host country implementing agency shall, for the purpose of the Standard Basic Service Agreement, refer to the government co-operating agency described in that Agreement.

212. The UNDP Resident Representative in Santo Domingo is authorized to effect in writing the following types of revision to this Project Document, provided that he/she has verified the agreement thereto by the UNDP-GEF Unit and is assured that the other signatories to the Project Document have no objection to the proposed changes: (i) Revision of, or addition to, any of the annexes to the Project Document; (ii) Revisions which do not involve significant changes in the immediate objectives, outputs or activities of the project, but are caused by the rearrangement of the inputs already agreed to or by cost increases due to inflation;(iii) Mandatory annual revisions which re-phase the delivery of agreed project inputs or increased expert or other costs due to inflation or take into account agency expenditure flexibility; and (iv) Inclusion of additional annexes and attachments only as set out here in this Project Document.

213. Consistent with the Article III of the Standard Basic Assistance Agreement, the responsibility for the safety and security of the implementing partner and its personnel and property, and of UNDP's property in the implementing partner's custody, rests with the implementing partner.

214. The implementing partner shall:

- a) Put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
- b) Assume all risks and liabilities related to the implementing partner's security, and the full implementation of the security plan.

215. 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 this agreement.

216. The implementing partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

217. Any designations on maps or other references employed in this project document do not imply the expression of any opinion whatsoever on the part of UNDP concerning the legal status of any country, territory, city or area or its authorities, or concerning the delimitation of its frontiers or boundaries.

XII. RISK MANAGEMENT

218. Consistent with the Article III of the SBAA, the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:

- a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
- b) assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan.

219. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner's obligations under this Project Document.

220. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml.

221. 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>).

222. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

223. 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.

224. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using UNDP funds. The Implementing Partner will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.

225. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner 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.

226. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes. The Implementing Partner

shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', responsible parties', 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 the Implementing Partner to find a solution.

227. The signatories to this Project Document will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

228. Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

229. UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement.

230. Where such funds have not been refunded to UNDP, the Implementing Partner 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 the Implementing Partner for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

231. *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.

232. Each contract issued by the Implementing Partner 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 the Implementing Partner shall cooperate with any and all investigations and post-payment audits.

233. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, 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.

234. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled "Risk Management Standard Clauses" are included, *mutatis mutandis*, in all sub-contracts or sub-agreements entered into further to this Project Document.

XIII. MANDATORY ANNEXES

- A. Multi year Workplan
- B. Monitoring Plan
- C. Evaluation Plan
- D. GEF Tracking Tools at baseline (BD 4:9, LD 3:4, SFM)
- E. Terms of Reference for Project Board, Project Coordinator and other positions as appropriate
- F. UNDP Social and Environmental and Social Screening Template (SESP)
- G. Social and Gender Analysis
- H. Fact Sheets on Pilot Sites
- I. Guiding Principles of the Sustainable Production and Business Plan Models
- J. Proposed Models for Monitoring SDGs and Aichi Targets at the Local Level
- K. Analysis of Current Financial Options and Guide to Access Financing at the Local Level
- L. List of people consulted during project development
- M. Stakeholder Engagement plan
- N. Knowledge Management Strategy
- O. Capacity Development Scorecard
- P. UNDP Project Quality Assurance Report
- Q. UNDP Risk Log
- R. Results of the capacity assessment of the project implementing partner and HACT micro assessment
- S. Letters of Co-financing Commitment
- T. DPC Letter of Agreement between UNDP and MA

Annex A: Multi Year Work Plan:

Task	Responsible Party	Year 1				Year 2				Year 3				Year 4				Year 5				Year 6			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Project Start and Inception Workshop	UNDP MA	x	x																						
Measurement of outstanding baseline values	PMU		x	x	x																				
Updating and organization of indicator values in preparation for external Mid-term review	PMU											x													
Mid Term Evaluation	UNDP												x												
Updating and organization of indicator values in preparation for external Final evaluation	PMU																							x	
Final evaluation	UNDP																								x
Financial audits	UNDP						x				x				x				x				x		
Component 1: Systemic landscape management framework																									
Establish interinstitutional agreements at national and local levels	PMU			x	x																				
Develop criteria and policy guidelines for the sustainable management of threatened mountain landscapes through a SESA	PMU			x	x	x																			
Participatory analyses of existing planning tools and coordination structures	PMU			x																					
Formulate 4 provincial environmental agendas, with BD and ecosystem services conservation criteria (Independencia, Bahoruco, San José de Ocoa & Monte Plata)	PMU					x	x	x	x																
Strengthen the Municipal Devt Plans and LUP Guidelines to mainstream BD, SFM and LD criteria and gender sensitivity.	PMU			x	x																				
Update maps and database to include biological importance, fragility and productive potential of the target areas.	PMU					x	x	x	x																
Formulate/update 10 Municipal Development Plans	PMU					x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x				

Establishment and implementation of an extension package for sustainable livelihoods, especially via farmer field schools	PMU					x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x		
Design participatory and gender-sensitive business plans including road maps as required, in the pilot sites for sustainable production (cocoa, coffee and associated livelihoods)	PMU							x	x	x	x													
Support the implementation of the Credit Access Package for the promotion of sustainable livelihoods	PMU									x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Design and implement training modules for capacity building at local level, gender and age-sensitive, to support the implementation of business plans in pilot sites: 1. Empowerment for integration and participation in decision making 2. Ecotourism (hospitality /food services and local tourism guiding) 3. Skills development in basic accounting, administration, financial management and trading 4. Skills to form and operate micro enterprises 5. Branding and development of skills to access new markets 6. Access to and management of financing	PMU			x	x	x	x	x	x	x	x	x												
Establish farmers field schools for producers (complementary to the training package for producers -this involves a commitment from the producers to adopt and replicate sustainable practices)	PMU				x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x				
Accompaniment of farmers by extension agents in plantation and harvest techniques	PMU				x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x			
Support the formalization, strengthening and development of management skills to implement business plans	PMU					x	x	x	x															
Design of ecotourism destination packages in each pilot site	PMU					x	x	x	x	x	x	x												
Design of brands for products to be marketed	PMU												x	x	x	x								
Design and implement marketing campaigns of gender and age-sensitive local enterprises and brands	PMU												x	x	x	x	x	x	x	x	x	x	x	x
Support local organizations in pilot sites to access and	PMU									x	x	x	x	x	x	x	x	x	x	x	x	x	x	x

Annex B: Monitoring Plan - The Project Coordinator will collect results data according to the following monitoring plan.

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
Project objective from the results framework	<i>Mandatory Indicator 1:</i> # of new partnership mechanisms with funding for sustainable management solutions of natural resources, ecosystem services, chemicals and waste at national and/or sub-national level	Number of mechanisms, strategies, agreements or plans (national or subnational)	The PMU will follow up with relevant stakeholders/potential partners to support the formation of new partnerships. Application of the GEF PIR	Annually Reported in DO tab of the GEF PIR	PMU	GEF PIR	Political will, interest and active participation of public and private sector stakeholders, as well as civil society.
	<i>Mandatory Indicator 2:</i> # of additional people benefitting from livelihoods strengthened through solutions for management of natural resources, ecosystem services, chemicals and waste (disaggregated by sex).	Population or families in pilot areas who improve their jobs and livelihoods through management of natural resources, ecosystem services and/or sustainable production practices	Survey via field visits to pilot communities	Annually Reported in DO tab of the GEF PIR	PMU	Survey results	Interest and commitment of producers to adopt sustainable practices. Interest of local stakeholders to engage in alternative livelihood activities.

	<u>Mandatory Indicator 3:</u> # direct project beneficiaries.	Producers/ families who are direct beneficiaries of the project activities and results (they should improve their livelihoods or incomes as a result of the project)	Survey via field visits to pilot communities	Annually Reported in DO tab of the GEF PIR	PMU	Survey results	Interest and commitment of producers to adopt sustainable practices. Interest of local stakeholders to engage in alternative livelihood activities. Interest and availability of women to engage and adopt alternative sustainable livelihoods.
	<u>Indicator 4:</u> Total area of productive mountain landscapes covered by improved planning and governance frameworks	Number of hectares covered by the planning/use mechanisms achieved under Components 1 and 2	Application of BD, LD and SFM Tracking Tools	At Project start, mid-term and end	PMU	BD, LD and SFM Tracking Tools	Local stakeholders adopt sustainable practices promoted in the other components and comply with the legal framework to regulate use of resources in threatened mountain ecosystems
	<u>Indicator 5:</u> Level of capacity to sustainably manage productive mountain landscapes (as measured by UNDP Capacity Development Scorecard ³⁶)	Capacity to sustainably manage productive mountain ecosystems (using UNDP Capacity Scorecard)	Application of Capacity Development Scorecard in working session with relevant institutions	At Project start, mid-term and end	PMU, UNDP	UNDP Capacity Development Scorecard	Political will and commitment of local governments, civil society and MA/MAgri

³⁶ Emphasis on Indicators 3 (Existence of Cooperation with Stakeholders Groups); 4 (Degree of Environmental Awareness of stakeholders), 5 (Access and Sharing of Environmental Information by Stakeholders); 9 (Extent of Environmental Planning Strategy Development Process); 10 (Existence of an Adequate Environmental Policy and Regulatory Framework); and 11 (Adequacy of the Environmental Information Available for Decision Making).

<p>Project Outcome 1</p>	<p><i>Indicator 6:</i> # of decision making tools for planning and enforcement strengthened to ensure landscape sustainability [i.e. ensure that infrastructure, productive/ extractive activities and forest clearance are not located in ecologically sensitive areas]³⁷</p>	<p>Number of instruments established in each site or by type.</p>	<ul style="list-style-type: none"> – Strategic Environmental and Social Assessment (SESA) for threatened mountain landscapes – Gender strategy for productive landscape management – # Province-level gender-sensitive environmental agendas that consider BD, SFM, and LD in pilot areas – # Municipal Development Plans (MDP) mainstream BD, SFM, and LD Plans (LUP) consider BD, SFM, and LD considerations, as well as gender sensitivity 	<p>Annually Reported in DO tab of the GEF PIR</p>	<p>PMU</p>	<p>Document of each mechanism/plan</p>	<p>The results of the SESA will determine critical issues as well as guidelines for the formulation and implementation of MDP/PMD and LUP/POT at the local level.</p> <p>Political will and commitment to planning processes of national, provincial and local stakeholders.</p> <p>Commitment to sustain BD friendly productive landscapes among municipalities and producers’ organizations</p>
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³⁷ BD4/9 Indicator 9.2 The degree to which sector policies and regulatory frameworks incorporate biodiversity considerations and implement the regulations; SFM3 Indicator 5: Area of forest resources restored in the landscape, stratified by forest management actors.

			<ul style="list-style-type: none"> - # Municipal Land Use Plans (LUP) consider BD, SFM and LD and formulated by consensus between local and national stakeholders. - # of special categories of land use that guarantee sustainable use of BD 	Annually			
	<p><i>Indicator 7:</i> Establishment of interinstitutional coordination platform for improved governance, monitoring and enforcement, involving Government institutions at the central, local and private sector levels, as well as community-based organizations.</p>	<p>Progress and advances of establishing and interconnecting the platform and related mechanisms between institutions</p>	<ul style="list-style-type: none"> - % interconnection of GIS - % implementation on productive landscapes monitoring system including BD, SFM and LD criteria - % implementation on SDG Monitoring System established 	<p>Annually Reported in DO tab of the GEF PIR</p>	<p>PMU, FAO</p>	<p>Information/maps generated by platform Linea Verde records and Registry of Infractions</p>	<p>Political will and technical capacity at national and local levels to establish interinstitutional coordination platform. Commitment to establish Linea Verde and improve Registry of infractions in 4 provincial headquarters of MA. Political will and technical capacity at national and local levels to establish and maintain monitoring systems.</p>

			<ul style="list-style-type: none"> by project – % registration of infractions denounced via Linea Verde hotline and documented in MA Provincial HQ Registry of Infractions – % implementation of National Early Warning System(EWS) for fires 				
	<i>Indicator 8:</i> Availability of financial mechanisms for sustainable management of production	Number of financial mechanisms	<ul style="list-style-type: none"> – # sectorial credit mechanisms for sustainable management of production landscapes – # financial mechanisms associated with ecosystem services 	Annually Reported in DO tab of the GEF PIR	PMU	Financial documents, credit agreements	Financial institutions (including private banks) are receptive and supportive of sustainable resource management and productive practices
	<i>Indicator 9:</i> Local participation mechanisms for land use	Number of mechanisms	– # municipal development	Annually	PMU	Council minutes/ records	Political will and commitment of local

	planning:	established and running	<p>councils operating in pilot zone municipalities with stakeholder involvement at different levels</p> <ul style="list-style-type: none"> - # of watershed mechanisms established and operating 				stakeholders in the pilot zones to actively engage in dialog platforms at watershed and micro-watershed levels.
Project Outcome 2	<i>Indicator 10:</i> Total area with coverage that guarantees ecosystemic services as well as restoration and connectivity	Number of hectares covered by the planning/use mechanisms achieved under Components 1 and 2	<ul style="list-style-type: none"> - # hectares forest resources restored/sustainably managed in the landscape³⁸ - # hectares dedicated to sustainable production systems - # hectares applying soil conservation practices that reduce soil 	Annually	PMU	Aerial photographs (drones, satellite)	<p>Coordination of efforts by technical institutions, especially CODOCAFE and the Cocoa Commission responsible for promoting the planting of these crops, to agree on methods of extension and training for producers and technicians</p> <p>Commitment of local stakeholders to conservation and sustainable productive systems in selected areas.</p>

³⁸ SFM3 Indicator 5: Area of forest resources restored in the landscape, stratified by forest management actors

			erosion rate ^{39, 40}				
	<i>Indicator 11:</i> Capacity of MA and target communities to apply integrated fire management (prevention, mitigation, control, and restoration of landscapes)	Measure fire prevention and management capacity	<ul style="list-style-type: none"> - # of ha affected by forest fires in the three pilot zones - # Brigades for fire control established with Infrastructure /Towers, equipment, manual, etc. 	Reported in DO tab of the GEF PIR	PMU, FAO	Data registration in pilot areas IFM Manual	Commitment of local stakeholders to engage in integrated fire management
Project Outcome 3	<i>Indicator 12:</i> # of tools/instruments to promote BD friendly livelihoods	Number of BD friendly technological packages adding value to coffee and cocoa production incorporated in model farms in pilot sites. Number of credit lines implemented with BD friendly production requirements.	<ul style="list-style-type: none"> -organic certification -BD friendly technological packages adding value to coffee and cocoa production incorporated in model farms in pilot sites. -credit lines implemented (1 per pilot site) with BD friendly production requirements. 	Reported in DO tab of the GEF PIR	PMU	Project and financial documents	Commitment of local stakeholders to conservation and sustainable productive systems in selected areas.
	<i>Indicator 13:</i> # of viable business plans for sustainable economic activities developed and	<i>Number of business plans</i>	<i>-consolidated associations</i>	Annually Reported	PMU	<i>Business plans</i>	

³⁹ LD3/P4 Indicator 3.2: Application of integrated natural resource management (INRM) practices in wider landscapes

⁴⁰ Including but not limited to stone dead barriers, crop stubble, deviation channels, slope ditches, bank terraces, etc.

	implemented.		<i>-business plans</i>	in GEF PIR			
	<i>Indicator 14:</i> Credit Access Package facilitates the adoption of sustainable production and livelihoods	Number of credit mechanisms and people accessing them	<ul style="list-style-type: none"> – # Credit mechanisms for sustainable livelihoods – % producers with access to credit 	Reported in DO tab of the GEF PIR	PMU	Financial documents	Financial institutions (including private banks) are receptive and supportive of sustainable resource management and productive practices
	<i>Indicator 15:</i> # of <u>micro enterprises</u> adopting BD friendly production systems		– # micro-entrepreneurial initiatives functioning in pilot zones.	Annually	PMU	Project documents	<i>Interest and active Community participation</i>
Project Outcome 4	<i>Indicator 16:</i> Knowledge management methods, processes and tools mainstreamed throughout project implementation.			Annually Reported in DO tab of the GEF PIR	PMU	KM Strategy document	Interest and active participation of public and private sector stakeholders, as well as civil society. Receptiveness among institutions to communications related to environmental sustainability in production landscapes
Mid-term GEF Tracking Tool (if FSP project only)		N/A	Standard GEF Tracking Tool available at www.thegef.org Baseline GEF Tracking Tool included in Annex.	After 2 nd PIR submitted to GEF	PMU	Completed GEF Tracking Tool	
Terminal GEF Tracking Tool	N/A	N/A	Standard GEF Tracking Tool available at	After final PIR submitted	PMU	Completed GEF Tracking Tool	

			www.thegef.org Baseline GEF Tracking Tool included in Annex.	to GEF			
Mid-term Review (if FSP project only)	N/A	N/A	To be outlined in MTR inception report	Submitted to GEF same year as 3 rd PIR	Independent evaluator	Completed MTR	
Environmental and Social risks and management plans, as relevant.	N/A	N/A	Updated SESP and management plans	Annually	Project Coordinator UNDP CO	Updated SESP	

Annex C: Evaluation Plan

Evaluation Title	Planned start date Month/year	Planned end date Month/year	Included in the Country Office Evaluation Plan	Budget for consultants	Other budget (i.e. travel, site visits etc...)	Budget for translation
Mid-Term Evaluation	Year 3		YES	USD 35,000		
Terminal Evaluation	End of Year 6		Yes	USD 50,000		
Total evaluation budget				USD85,000		

Annex D: GEF Tracking Tools.

Please see separate files attached to the submission.

Annex E: Terms of References for key project staff and main sub-contracts

Following are the terms of reference for project management and governance. They include:

- Terms of Reference of the Project Steering Committee
- Terms of Reference of the Project Management Unit (PMU), which will be staffed by the following, nationally-recruited positions:
 - Project Coordinator (full-time)
 - M&E Assistant (full-time)
 - Administrative Assistant (full-time)
 - Biodiversity Specialist (full-time)
 - Forest Specialist (full-time)
 - Sustainable Livelihoods Specialist (full-time)

These will be further discussed and fine-tuned during the inception workshop so that roles and responsibilities and UNDP GEF reporting procedures are defined. During this workshop the Terms of Reference for specific consultants and subcontracts will be fully discussed and, for those consultancies to be undertaken in the first 6 months of the project, full Terms of Reference will be drafted along with the detailing of processes for selection and hiring.

Project Steering Committee

The PSC will be composed of Senior Management representatives from the Ministry of Environment and Natural Resources, Ministry of Agriculture, Representatives of local governments from the pilot sites, FAO and UNDP. Representatives of other key stakeholders may also be included in the PSC, as deemed appropriate and necessary.

The PSC will meet at least once per year to review project progress and review upcoming work plans and corresponding budgets, as well as provide strategic advice as necessary. It will be responsible for making management decisions by consensus when guidance is required by the Project Coordinator.

The PSC will have strategic decision-making, non-executive powers. Decisions should be made in accordance with standards that shall ensure management for development results, best value for money, fairness, integrity, transparency and effective international competition.

Terms of Reference for Project Coordinator

I. General Responsibilities:

The Project Environmental Coordinator (PC) is a full-time position for the duration of the project. He/she shall liaise directly with the National Project Director at the Ministry of Environment, the UNDP Dominican Republic Country Office (CO) and project partners in order to develop the annual work plan for the project. He/she will report to the Project Director and the UNDP-CO Environment Unit in Santo Domingo. He/she shall be responsible for the overall management and coordination of all aspects of the UNDP-GEF Project, in general and in particular. He/she will provide overall supervision for the project staff in the Program

Management Unit (PMU). He/she will focus primarily on the policy and technical aspects of the project, as well as guiding and supervising all external policy relations. He/she shall be responsible for delivery of all substantive, managerial and financial reports from and on behalf of the Project. Yet, while signing off on all financial and logistical matters, the day-to-day management of such project aspects will be delegated to his/her deputy, the Project Administrator.

The PC shall liaise directly with designated Government officials, Members of the Project Steering Committee, the Implementing Agency (M. of Environment), the responsible party (FAO), the Ministry of Agriculture, the UNDP CO in Santo Domingo and UNDP-GEF Regional Technical Unit, Panama, existing and potential additional project donors, the GEF National Focal Point, and others as deemed appropriate and necessary by the Project Steering Committee or by the Project Coordinator him/herself. The budget and associated work plan will provide guidance on the day-to-day implementation of the approved Project Document and on the integration of the various donor-funded parallel initiatives.

II. Duties/ Key Results Expected

- *Management of project staff, consultants and contractors:*
 - Manage the staff of the Project Management Unit;
 - Coordinate the process of hiring project consultants and contractors, including validating the Terms of Reference for assignments;
 - Guide, supervise and evaluate the performance of the consultants and contractors that provide services to the project in order to ensure that responsibilities are met.
- *Provide technical and strategic orientation for the implementation of project activities in accordance with the established intervention strategy:*
 - Prepare the Annual Operational Plan of the project based on the Project Document, under the general supervision of the Project Steering Committee and in consultation and coordination with the project staff, UNDP/GEF and relevant donors;
 - Coordinate project activities and ensure that they are carried out in the time required and that they meet the required quality standards;
 - Validate project financial and technical progress reports;
 - Establish guidelines for the work in order to coordinate the different project components;
 - Provide technical orientation for all project results and verify achievement of objectives and indicators;
 - Represent the project in related meetings and fora within the region and at the global level, as required;
 - Carry out financial supervision and ensure the adequate utilization of the resources, adhering to UNDP/GEF administrative norms in place;
- *Ensure appropriate project follow-up, monitoring and evaluation:*

- Adjust the framework for monitoring and evaluation as required, based on the Results Framework and Monitoring and Evaluation Plan set out in the Project Document, in order to monitor project progress;
- Ensure that all required progress reports are prepared and submitted according to the expected format and timeline required by UNDP/GEF ;
- Participate in bilateral and multilateral meetings with UNDP.
- *Ensure appropriate coordination of the activities between the different project outcomes and maintain close coordination with stakeholders:*
 - Ensure coherence among the different project elements and related activities carried out or financed by other donor organizations;
 - Promote and establish close linkages with the Ministry of Environment and Natural Resources, other stakeholders, as well as other related GEF projects at the national and where appropriate regional level;
 - Ensure appropriate coordination with activities led by FAO in the context of this initiative.
 - Facilitate and ensure coordination with other relevant projects, both implemented by UNDP and by other cooperation agencies.
- *Ensure knowledge management:*
 - Guide the design of mechanisms to exchange experiences and lessons learned;
 - Supervise the implementation of information management mechanisms in order to ensure evaluation, monitoring and replication of activities.

III. Competencies (standard required competencies)

- Demonstrate integrity by modeling UN values and ethical standards;
- Demonstrate sensitivity and adaptation irrespective of culture, gender, religion, race, nationality and age;
- Ability to treat all people fairly without favoritism;
- Possess excellent communication skills and work in networks (written, verbal, interpersonal);
- Ability to share knowledge and experience, and to actively work toward continuous learning and personal development;
- Ability to lead teams effectively and possess skills for conflict resolution;
- Have good interpersonal and teamwork skills and ability to work on multicultural teams;
- Decision making capacity, pro-active approach and sense of initiative;
- Possess communication and negotiation skills;
- Demonstrate the ability to perform specialized activities related to the project;
- Able to work with minimal supervision;
- Proficient in word processing, spreadsheets, email systems, databases, presentations and project management.

IV. Minimum Required Qualifications

Education:

- Master's in environment, administration, climate, engineering or other related field.

Experience:

- At least 5 years of relevant professional experience, including solid track record of managing environmental projects;
- Proven management skills, including extensive experience and expertise, human resource management and budgeting.
- Experience in climate change or GHG mitigation, preferably with emphasis on the monitoring and reporting of emissions by sector;
- Familiarity with the modalities, rules and regulations of the UNDP and the GEF is highly desirable, as well as prior experience in working with cooperation agencies;
- Demonstrated experience in the implementation of projects with government;
- Solid experience in project monitoring and/or evaluation.

Language Requirements:

Mastery of Spanish and English.

Other:

Willingness to travel within and outside of the country, as required.

Terms of Reference for the Project M&E Assistant

General Responsibilities:

The M&E Assistant is a full-time position for the duration of the project. The M&E Assistant shall report directly to the Project Coordinator (PC) and will act as the Deputy Project Coordinator in the absence of the PC.

Specific Duties:

The M&E Assistant is responsible for organizing and implementing the necessary activities for project monitoring and for carrying out administrative duties, under the supervision and guidance of the Project Coordinator, and will have the following specific duties:

- Work closely under the supervision of, and in close coordination with, the Project Coordinator;
- Assist the Project Coordinator in the adjustment and implementation of the monitoring and evaluation framework based on the project's Results Framework and the Monitoring and Evaluation Plan set out in the Project Document, to monitor project progress;
- Propose strategies, elaborate, applicate and systematize tools for monitoring and evaluation;

- Elaborate quarterly reports to UNDP and annual reports to GEF, in close collaboration with the Project Coordinator and the Project Management Unit (PMU);
- Implement the Monitoring and Evaluation Plan approved by the Project Coordinator and by the Project Director;
- Keep an updated registry of co-financing and leverage of resources during all the years of Project implementation;
- Monitor that the Project database has all the information on investments from other institutions and projects in relation with climate change;
- Prepare monthly, quarterly and annual reports on the different project components upon demand from involved stakeholders, especially the Ministry of Environment and UNDP;
- Monitor the appropriate filing (physical and digital) of all activities and documents produced in the context of the Project;
- Maintain updated information on indicators and monitor these based on the activities carried out and results achieved;
- Support the Project Coordinator in the drafting of Terms of Reference for hiring consultants, and in the analysis and revision of consultants' technical reports, technical reports submitted by personnel, and reports from other counterparts;
- Hold regular coordination meetings with Project Director and participate in the meetings of work groups established under the Project;
- Support the elaboration of the visibility plan for Project closure, and the disclosure of results achieved and lessons learned in the framework of the Project;
- Monitor, in coordination with the Project Management Unit, the Project financial situation and analyze transactions to ensure conformity with agreed Outcomes, Outputs, Objectives, Budget and Work Plan;
- Support organization of project committee meetings including meetings of the technical committee and Project Steering Committee;
- Comply with the internal working procedures of the Project Coordinator, ensuring the proper implementation of UNDP administrative procedures;
- Support the execution and participate in the activities of the Project following instructions from the National Coordinator.
- In absence of the Project Coordinator represent the project in related meetings and fora within the region and at the global level, as required;
- Carry out the Project final evaluation, in coordination with the Project Management Unit;
- Provide support in disseminating project results and lessons learned.

Qualifications

- Academic: Bachelor's degree in one of following areas: administration, biology, environmental studies or science, engineering, social sciences or other related field.
- Previous experience of 3-5 years in project reporting, monitoring and evaluation in initiatives related with environment.

- Experience in working with the Government of the Dominican Republic from previous involvement in project management in Dominican Republic;
- Track record with UNDP and GEF modalities, rules and regulations will be desirable
- Skills: Excellent communication skills; very competent in word processing, spread sheets and data base management computer programmes; excellent management and facilitation skills.
- Language(s): Native Spanish, and strong command of English, proven ability to prepare reports in English.
- Other: Excellent interpersonal and team leading skills
- Highly motivated; able to work with little supervision; and a willingness to occasionally travel outside Santo Domingo to project sites and for regional and international meetings.

Terms of Reference for Project Administrative Assistant

General Responsibilities:

The Administrative Assistant is a full-time position for the duration of the project. The Administrative Assistant will provide administrative, logistical and financial support to project implementation in line with UNDP rules and procedures. He/she will report to the Project Coordinator.

Specific Duties:

The incumbent will assist the Project Coordinator and the M&E Assistant with the administration and monitoring of the aspects of project implementation under his/her responsibility, especially procurement, financial, budgetary and administration. Moreover, duties will include:

Duties/ Key Expected Results

I. Administrative/ human resources/ financial management

- Prepare budget revisions using the ATLAS system and retrieve other financial information as needed;
- Maintain appropriate records and processes cancellation of unliquidated obligations at year end;
- Prepare correspondence, financial reports, charts, graphics, tables, etc.;
- Arrange appointments and meetings and travel for the Project team as required; receive visitors and help to answer inquiries;
- Provide logistical and administrative support for project activities, as required;
- Draft routine correspondence in Spanish and English;
- Assist the auditing process with the firm hired by UNDP for such purpose;

- Perform other related duties within the purview of the project and as assigned by the Project M&E Assistant or Project Coordinator.

II. Human resources

- Assist in the drafting of contracts for services/works and associated amendments as required;
- Review subcontractors invoices and check supporting documentation to ensure that services provided and claimed are in conformity with the terms of the contract;
- Check availability of funds, verify and forward Certification for Payments/invoices from consultants/firms to UNDP and follow up on pending matters to ensure that prompt action is taken;
- Initiate ATLAS actions where appropriate, and forward directly to the Approving or Certifying Officer.

II. Procurement

- Assist in preparing all necessary documentation for Procurement of goods and services through requests for quotations (RFQ), invitations to bid (ITB), requests for proposals (RFP) or any other appropriate means in accordance with the rules and regulations;
- Open and evaluate offers;
- Prepare submissions for a Contract Review Committee (UNDP/MA) as necessary;
- Assist in the preparation of Purchase Orders, Contracts, Long Term Agreements or their Amendments;
- Follow up to completion and inform clients. Monitor expenditures against allocations;
- Maintain records on the procurement process to ensure full transparency and accountability;
- Draft all correspondence related to procurement matters.

II. Knowledge management

- Design and update charts and tables utilizing graphic software; initiate, update and track computer-assisted processing of financial, personnel or other categories of action;
- Prepare reports and monitor expenditures as appropriate;
- Establish and maintain working files on all procurement and financial activities;
- Maintain database on procurement suppliers.

III. Client Services and organisational work ethics and culture

- Actively work with clients to exchange information on a variety of procurement processes and
- transaction issues to deliver correct and timely services;
- Respond to incoming calls and to the extent possible, answer questions directly from UNDP, MA consultants, companies etc. regarding various project matters.

Required Competencies & Knowledge

The following competencies are required:

- The ability to work with figures.
- The ability to draft written communications in Spanish, and English.
- Demonstrated excellent organization skills and sound judgment.
- Conscientious and efficient in meeting deadlines.
- Results focused.
- The ability to organize and use time efficiently and effectively.
- The ability to work in a team environment and to use tact and discretion when dealing with both internal and external partners.
- Work closely under the supervision of, and in close coordination with, the Project Coordinator and/or the Project M&E Assistant;
- Comply with the internal working procedures of the Project Coordinator, ensuring the proper implementation of UNDP administrative procedures.

Qualifications/Experience/Language

- Education: Secondary education with experience and training in accounting/business practices.
- Experience: 3 –5 years work experience in administration and operations, preferably with experience in the procurement and financial management field.
- Language: Fluency in Spanish. Working knowledge of English is an asset.
- Other essential Skills: Knowledge of word processing, spreadsheet software, MS Windows and use of internet.
- Other desirable Skills: Familiarity with UNDP and MA systems used for procurement and payment activity (such as ATLAS)
- Previous experience within the UN system or with GEF projects will be an asset

Terms of Reference for Project Biodiversity Specialist

General Responsibilities:

The Project Biodiversity Specialist is a full-time position for years 1-5 of the project. The Biodiversity Specialist shall report directly to the Project Coordinator (PC) and will hold the responsibility for developing tools and evidence to demonstrate that by introducing sustainable land uses and BD friendly management practices in threatened mountain landscapes, it is possible to achieve multiple gains in reduction of biodiversity loss and land degradation, increase in biological connectivity, increase in forest coverage, adaptation to climate change, and increase in agriculture yields, within the scope of the Project Results Framework.

Specific Duties:

- Provide technical and strategic insights to Project Coordinator for the implementation of project activities related with BD conservation and ecosystem services, within the scope of the Project Results Framework and the Annual Work Plan;
- Develop BD conservation and ecosystem services contents for training and workshop materials that are adaptable to the educational levels, cultural, gender, social, and ecological contexts of pilot sites;
- Develop criteria for mainstreaming BD criteria in planning tools/instruments to be enhanced by the project;
- Develop BD criteria for the development of an integrated Productive Landscapes Monitoring System that includes BD-LD-SFM features in the pilot sites, within the scope of the Project Results Framework;
- Assist Ministry of the Environment personnel in the implementation of BD conservation activities envisaged under the scope of the Project Results Framework and Annual Work Plan;
- Apply technical expertise to identify illustrative examples of successful sustainable land use and agricultural approaches for mountain landscapes, favouring cultures like coffee and cocoa, in collaboration with the Forest and Sustainable Livelihoods Specialists;
- To assist the Project Coordinator in the preparation of Terms of Reference for hiring consultants in the matters of his/her expertise;
- To assist Project Coordinator and M&E Assistant in the monitoring of consultants' delivery of services and review of consultants' reports, in the matters of his/her expertise;
- Document results of the application of sustainable production practices and the application of special categories of land use that guarantee sustainable use of BD, and assist Project Coordinator in the dissemination of such results to a variety of audiences, including the Ministries of Environment, Planning, and Agriculture, local governments, policy makers, academics and practitioners, and the general public;
- Work closely under the supervision of, and in close coordination with, the Project Coordinator.

Qualifications:

- Advanced degree in biodiversity conservation or related field (such as forestry or wildlife management) is required;
- At least five years of work experience in biodiversity conservation;
- Experience in working with the Government of the Dominican Republic from previous involvement in project management in Dominican Republic;
- Track record with UNDP and GEF modalities, rules and regulations will be desirable;
- Skills: Strong computer skills, including MS Office and familiarity with databases;
- Language(s): Spanish, and strong command of English, proven ability to prepare reports in English.

Terms of Reference for Project Forest Specialist

General Responsibilities:

The Project Forest Specialist is a full-time position for years 1-5 of the project. The Forest Specialist shall report directly to the Project Coordinator (PC) and will hold the responsibility for developing tools and evidence to demonstrate that by introducing sustainable land uses and SFM practices in threatened mountain landscapes, it is possible to achieve multiple gains in reduction of biodiversity loss and land degradation, increase in biological connectivity, increase in forest coverage, adaptation to climate change, and increase in agriculture yields, within the scope of the Project Results Framework.

Specific Duties:

- Provide technical and strategic insights to Project Coordinator for the implementation of project activities related with SFM, within the scope of the Project Results Framework and the Annual Work Plan;
- Develop SFM contents for training and workshop materials that are adaptable to the educational levels, cultural, gender, social, and ecological contexts of pilot sites;
- Develop criteria for mainstreaming SFM criteria in planning tools/instruments to be enhanced by the project;
- Develop SFM criteria for the development of an integrated Productive Landscapes Monitoring System that includes BD-LD-SFM features in the pilot sites, within the scope of the Project Results Framework;
- Apply technical expertise to identify illustrative examples of successful sustainable land use and agricultural approaches for mountain landscapes, favouring cultures like coffee and cocoa, in collaboration with the Biodiversity and Sustainable Livelihoods Specialists;
- To assist the Project Coordinator in the preparation of Terms of Reference for hiring consultants in the matters of his/her expertise;
- To assist Project Coordinator and M&E Assistant in the monitoring of consultants' delivery of services and review of consultants' reports, in the matters of his/her expertise;
- Document results of the application of sustainable production practices and the application of special categories of land use that guarantee SFM, and assist Project Coordinator in the dissemination of such results to a variety of audiences, including the Ministries of Environment, Planning, and Agriculture, local governments, policy makers, academics and practitioners, and the general public;
- Work closely with FAO in the implementation of the System for early warning of fires and for planning of fire management and control, within the framework of the Project Results Framework and Annual Work Plan;
- Assist Ministry of Environments in the implementation of reforestation and recovery of degraded areas in pilot sites, within the framework of Quisqueya Verde and the Project Results Framework and Annual Work Plan;
- Work closely under the supervision of, and in close coordination with, the Project Coordinator.

Qualifications

- Advanced degree in forestry is required;
- At least five years of work experience in sustainable forest management;
- Experience in working with the Government of the Dominican Republic from previous involvement in project management in Dominican Republic;
- Track record with UNDP and GEF modalities, rules and regulations will be desirable;
- Skills: Strong computer skills, including MS Office and familiarity with databases;
- Language(s): Spanish, and strong command of English, proven ability to prepare reports in English.

Terms of Reference for Project Sustainable Livelihoods Specialist

General Responsibilities:

The Project Sustainable Livelihoods Specialist is a full-time position for years 1-5 of the project. The Sustainable Livelihoods Specialist shall report directly to the Project Coordinator (PC) and will hold the responsibility for the development and implementation of tools and strategies to increase evidence to demonstrate that by introducing sustainable land uses, SFM and BD friendly management practices in livelihoods in threatened mountain landscapes, it is possible to achieve multiple gains in conservation and to increase market-based economic opportunities in conservation corridors and buffer zones in the pilot sites.

Specific Duties:

- Provide technical and strategic insights to Project Coordinator for the implementation of project activities related with sustainable livelihoods, within the scope of the Project Results Framework and the Annual Work Plan;
- Provide technical and managerial oversight in the development and implementation of strategies to increase market-based economic opportunities in the pilot sites under the Project Results Framework
- Develop sustainable livelihoods contents for training and workshop materials that are adaptable to the educational levels, cultural, gender, social, and ecological contexts of pilot sites;
- Assist Ministry of Agriculture extension agents and FAO personnel in the implementation of field schools and the provision of technical assistance to support sustainable livelihoods under the scope of the Project Results Framework and Annual Work Plan;
- Apply technical expertise to identify illustrative examples of successful sustainable livelihoods practices, and for the development of value chains suited to the specific characteristics of the mountain landscapes in the pilot sites, in collaboration with the Biodiversity and Forest Specialists;

- To assist the Project Coordinator in the preparation of Terms of Reference for hiring consultants in the matters of his/her expertise;
- To assist Project Coordinator and M&E Assistant in the monitoring of consultants' delivery of services and review of consultants' reports, in the matters of his/her expertise;
- Document results of the application of sustainable production practices in livelihoods and value chains, and assist Project Coordinator in the dissemination of such results to a variety of audiences, including the Ministries of Agriculture Planning, and the Environment, local governments, policy makers, academics and practitioners, and the general public;
- Work closely under the supervision of, and in close coordination with, the Project Coordinator.

Qualifications:

- Degree in Socio-Economic Development, Rural Development/Natural Resource Management or other related field, or equivalent combination of education and experience is required;
- At least five years of work experience;
- Experience in working with the Government of the Dominican Republic from previous involvement in project management in Dominican Republic;
- Track record with UNDP and GEF modalities, rules and regulations will be desirable;
- Skills: Strong computer skills, including MS Office and familiarity with databases;
- Language(s): Spanish, and strong command of English, proven ability to prepare reports in English.
- Knowledge and/or experience integrating gender in livelihoods interventions;
- Excellent training skills;
- Cross-cultural sensitivity.

V. Other consultancies and subcontracts

Additional national and international experts will be hired to lead key project components and/or provide technical assistance and expertise on specific issues at critical moments during the project's life. This will be developed by the Project Coordinator, assisted by the National Project Director and UNDP Dominican Republic, with criteria and details as outlined in the Inception Workshop. The ToRs and hiring of key consultants will be undertaken in liaison with UNDP Dominican Republic and the Regional Coordination Unit (RCU) in Panama. The details of this will be determined in the Inception Workshop and will form part of the Inception Report. Administrative and logistical support staff will be hired to oversee day-to-day implementation.

For the delivery of specific outcomes/activities other subcontracts will be required; for this purpose the project might seek the services of local organizations (e.g., NGOs, universities, research institutions, consulting groups). These contracts will be issued according to UNDP guidelines. Following the procedures and approaches determined in the Inception Workshop the detailed ToRs will be prepared by the Project Coordinator, assisted by the National Project Director and UNDP Dominican Republic, according to the schedule of activities; where appropriate these will be discussed with the RCU.

Annex F: Social and Environmental Screening Template

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

Project Information

Project Information	
1. Project Title	Mainstreaming Conservation of Biodiversity and Ecosystem Services in Productive Landscapes in Threatened Mountainous Areas
2. Project Number	PIMS 5761
3. Location (Global/Region/Country)	Dominican Republic

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

QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?
<p>Briefly describe in the space below how the Project mainstreams the human-rights based approach</p> <p>The project will adopt a fully inclusive approach to ensure that all key stakeholders are consulted and participate in project activities, including women, youth and other groups. This will enable any concerns and grievances with regard to proposed project activities to be discussed and solutions sought to address them. Training will also be provided to stakeholders to strengthen coordination and conflict resolution skills in communities.</p> <p>Awareness raising activities and the education campaign will reach out to vulnerable groups, including children, youth and women to increase understanding of the harmful impacts of current practices related to productive activities and increase knowledge of suitable alternatives that incorporate criteria for BD conservation, SFM and LD.</p> <p>A training package with BD, SFM, LD, gender and youth criteria will be developed for technicians, extension agents and trainers to assist and accompany producers to identify and adopt more environmentally-friendly technologies and practices that meet their needs and have a high likelihood of uptake. The project will strengthen enforcement of existing land-use planning guidelines and policies as well as enhance institutional capacity and presence in the field to ensure compliance and support the restoration of degraded landscapes.</p> <p>The project execution and implementation agencies will be held accountable for all activities implemented by the project. Regular project monitoring and evaluation and reporting will be carried out, including through periodic financial audits.</p>
<p>Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment</p> <p>During the PPG phase a detailed analysis has been made of the differential impacts of sectoral practices on men and women and that is why gender-related concerns are to be mainstreamed in the training packages to be developed, as well as in the numbers of beneficiaries in the three pilot sites. In addition to mainstreaming BD, SFM, and LD criteria, the planning tools/instruments to be developed under Component 1 are all gender and youth inclusive, as are the credit access packages and the financial mechanisms. Representatives of women's CBOs and producers' organizations have been consulted during the PPG phase, and have participated in the socialization workshops celebrated in the pilot zones to validate the strategical approach designed for the project. Consultations have also taken place with representatives from the gender units of both the Ministries of Environment and Agriculture, and with national NGOs like PRONATURA, which has a very active participation in the promotion of analogous forest models in different parts of</p>

the country, with a clear gender inclusive approach. The project development team has also liaised with the gender coordination group that is linked with implementation of Dominican Republic's United Nations Development Assistance Framework (UNDAF).

The project itself will contribute to gender equality and women's empowerment. All project consultations, training and activities will be open to the participation of both men and women. Women will benefit from project interventions to improve the management of the environmental impacts of productive activities through reduced contamination of water bodies resulting in improved quality of water, and indirectly through improved security from stronger institutional presence and collaboration in rural communities. Disaggregated indicators will be monitored to measure project impacts on men and women.

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

The focus of the project is on improving the environmental sustainability of productive activities in mountain landscapes, particularly agriculture, agroforestry, forestry and tourism practices in Dominican Republic. This will be achieved through significant institutional strengthening to put into practice and ensure compliance with existing policies and regulations, greater inter-institutional collaboration, awareness raising and extensive training and provision of guidance to promote uptake of less environmentally harmful production practices in the agricultural, agroforestry, forestry and tourism sectors; and enhancement of local governments capacities for land use planning and for the establishment of special categories of land use that guarantee sustainable use of BD.

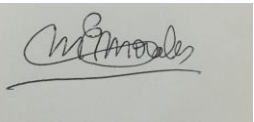
Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses).</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i>			QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?
Risk Description	Impact and Probability (1-5)	Significance (Low, Moderate, High)	Comments	Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.
Risk 1: Local community grievances	I:3 P:1	Low		Regular consultations will be carried out with local communities to ensure that all potential local community grievances are discussed and that the principle of Free, Prior and Informed Consent (FPIC) is applied. In the socialization workshops celebrated in pilot zones and with national stakeholders during the PPG phase, participants have expressed their favorable view towards the project, which is perceived as a win-win opportunity for communities and producers, and for the environmental, agriculture, and land-planning authorities. The project will liaise with the Ministry of Environment and its Direction of Social Participation. It should also be noted that the REDD+ intervention in Dominican Republic will strengthen mechanisms to address local community grievances (i.e Grievance Redress Mechanism GRM). The project will also liaise with local governments, responsible of

				<p>establishing and guiding Local Development Committees, and of applying land-use regulations.</p> <p>The project will also establish an Interinstitutional Technical Committee, with the responsibility of discussing and proposing technical orientation to the project activities. This Committee will also have the responsibility of responding to any grievance that may arise during project implementation.</p>
Risk 6: Duty bearers do not have the capacity to meet their obligations in the Project	I:3 P:1	Low		<p>Institutional capacity building and expansion are key elements of the project and will also facilitate execution and the meeting of project obligations.</p> <p>In addition, the collaboration of FAO in the design and implementation of a municipal early warning system for prevention, management and control of fires, and in the implementation of Component 2, will add experience and credibility during project implementation.</p>
Risk 7: Rights- holders do not have the capacity to claim their rights	I:2 P:1	Low		<p>All project interventions with rural communities will be carried out based on the principle of free prior and informed consent (FPIC).</p>
Risk 1.2: Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas	I:1 P:1	Low		<p>Pilot sites were chosen based on proximity to critical ecosystems and protected areas so as to promote connectivity as well as promote the private reserve model as an attractive option for private landowners.</p>
Risk 1.6- Project involves reforestation	I:1 P:1	Low		<p>Pilot sites that include reforestation will promote native species as a key element for stimulating ecosystem connectivity and reduce land degradation.</p>
	QUESTION 4: What is the overall Project risk categorization?			
	Select one (see SESP for guidance)		Comments	
	<i>Low Risk</i>	<input checked="" type="checkbox"/>	The project has incorporated mitigation measures for the potential risks in its design.	
	<i>Moderate Risk</i>	<input type="checkbox"/>		
	<i>High Risk</i>	<input type="checkbox"/>		
	QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?			
	Check all that apply		Comments	
	<i>Principle 1: Human Rights</i>	<input checked="" type="checkbox"/>	The ability to address local community grievances is classified as a low risk as such issues will be discussed through regular consultations with affected communities. The FPIC principle will be applied consistently with the project. Furthermore, the	

			REDD+ initiative will strengthen mechanisms to address local community grievances. The ability of rights holders to claim their rights is also considered a low risk as local inhabitants have various mechanisms in place to do so. Finally, the capacity of duty bearers to meet their obligations is considered a moderate risk due to institutional weaknesses associated with putting into practice existing policies and regulations on land-use planning and productive activities in vulnerable landscapes. However, the project will strengthen MA, the executing agency, and will benefit from UNDP support through NIM. Furthermore, FAO, which has substantial experience in SFM and fire management, will be a responsible party for the execution of some aspects of the project under Components 2 and 2.
	Principle 2: Gender Equality and Women's Empowerment	✓	A gender strategy will be formulated and implemented with MA and MAgrri technicians in HQ and Provincial offices.
	1. Biodiversity Conservation and Natural Resource Management	✓	Reforestation activities for connectivity and rehabilitation of degraded areas will use native tree species, which will also strengthen the ecosystems within and surrounding PAs. As such, there is a low risk associated with this principle.

Final Sign Off

Signature	Date	Description
QA Assessor 	16 Oct. 2017	UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

SESP Attachment 1. Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		
Principles 1: Human Rights		Answer (Yes/No)
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? ⁴¹	No
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5.	Are there measures or mechanisms in place to respond to local community grievances?	Yes
6.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	Yes
7.	Is there a risk that rights-holders do not have the capacity to claim their rights?	Yes
8.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
9.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
Principle 2: Gender Equality and Women's Empowerment		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	No
3.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	No
Principle 3: Environmental Sustainability: Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?	No

⁴¹ Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

	<i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	Yes
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	Yes
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	No
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant ⁴² greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
Standard 3: Community Health, Safety and Working Conditions		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No

⁴² In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	No
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	No
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
Standard 4: Cultural Heritage		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
Standard 5: Displacement and Resettlement		
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	Is there a risk that the Project would lead to forced evictions? ⁴³	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
Standard 6: Indigenous Peoples		
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	No
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3	Would the proposed Project potentially affect the rights, lands and territories of indigenous peoples (regardless of whether Indigenous Peoples possess the legal titles to such areas)?	No
6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No

⁴³ Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

6.4	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.5	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.6	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.7	Would the Project potentially affect the traditional livelihoods, physical and cultural survival of indigenous peoples?	No
6.8	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
Standard 7: Pollution Prevention and Resource Efficiency		
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No

Annex G: Social and Gender Analysis

☞ INTERNATIONAL LEGAL FRAMEWORK

The Dominican State signed in 1979 and ratified in 1982 the Convention on the Elimination of all Forms of Discrimination against Women (CEDAW). The country also ratified the Optional Protocol in 2001, which entered into force in June 2002.

It is important to consider that within the framework of the project "*Conservation of Ecosystem Goods and Services in threatened productive mountainous landscapes*", article 14 of **CEDAW** affirms that States Parties will take into account the special problems facing rural women and their important role in the economic survival of their families, including their work in the non-monetary sectors of the economy. CEDAW also indicates that women's participation must be fostered at all levels of development planning.

In line with this, it is imperative to note that gender roles affect the economic, political, social, and ecological opportunities and constraints faced by men and women. Recognizing the role of women as the primary manager of land and resources is therefore crucial to the success of a biodiversity policy.

Women all over the world are in touch with natural resources as food and livelihood providers. However, despite their role in knowledge and management of natural resources, the needs and roles of women in biodiversity conservation policies and plans are often not considered. It is relevant to ponder the decision taken by the Conference of the Parties in the Convention on Biological Diversity (Republic of Korea, October 2014), which recognizes the importance of gender considerations for the achievement of the Goals of Aichi for Biological Diversity. Similarly, the States are encouraged to give due consideration to gender issues in their national biodiversity strategies and action plans.

The ***Convention on Biological Diversity*** (CBD) is compatible with the conservation of biological diversity and the fair and equitable distribution of the benefits derived from the sustainable use of natural resources. The incorporation of gender equality is fundamental to achieving CBD objectives since the livelihoods of women and men depend on these natural resources. The CBD, therefore, promotes gender equality through the inclusion of gender considerations in the Convention preamble and through dozens of decisions, which led to the adoption of a Gender Action Plan in 2008 and a Gender Action Plan updated in 2014.

The ***Aichi Goals*** transcend the mere protection of biological diversity and address aspects of sustainable development. They cover a range of characteristics, from reducing direct pressures on biodiversity and integrating the environment into the various sectors, to promoting sustainable use and participation of all in the benefits derived from the use of biodiversity and services ecosystems.

The Aichi Goals seek to respond to these considerations, as well as to request Parties of the CBD to integrate nature as an asset and a capital in economic and social planning (Goal 2 and others), as well as to establish an adequate governance to ensure equitable distribution of benefits (Goals 16, 18 and 19, among others).

To the extent that social relations are changing, the relationships that women and men establish with nature are also changing, so they must be analyzed in their material, social and cultural reality, according to the varied ecosystems and environmental scenarios. Female knowledge on the conservation and use of biodiversity is often underestimated or under-explored⁴⁴, as well as their intervention in conservation programs and policies.

⁴⁴ "Women, agrobiodiversity users and protectors". Recovered from: <http://www.fao.org/FOCUS/S/Women/Biodiv-s.htm>

Using the gender approach in biodiversity management allows (Rodríguez, 2004):

- To visualize the *links between the various social actors* present in an ecosystem. For example, it identifies the role of women and men in relation to the use of certain natural resources.
- Recognize that both have particular needs and interests, different aspirations and *contribute in a different way to the conservation and sustainable management of biodiversity*.
- Identify the diversity of actors, their interests and needs, *promoting a more equitable participation in the spaces for decision making* regarding the management and conservation of resources. Natural resource development and management initiatives that exclude women as actors or interest groups that ignore half of the population affect the efficiency and effectiveness of the actions promoted.
- Ensure that the *benefits and services generated by the sustainable use of biodiversity are distributed more equitably* among different stakeholders and social actors. Equal attention to different groups will encourage biodiversity management actions to improve the economic and social development of communities while reducing competition and conflicts related to natural resources.
- *Avoid reproducing relationships of inequality* and subordination that violate human rights and the principles of social justice.

The Sustainable Development Goals (SDGs)

One of the most important outcomes of the United Nations Conference on Sustainable Development Rio+20 was the decision of governments to develop and approve a series of Sustainable Development Objectives (SDOs) focused on sustainable development. The preamble to Agenda 2030 states: “We are determined to protect the planet from degradation, including through sustainable consumption and production, sustainably managing its natural resources and taking urgent action on climate change, so that it can support the needs of the present and future generations” (United Nations, 2015a, p. 40).

The project “*Preservation of Ecosystem Goods and Services in Threatened Productive Mountainous Landscapes*” will contribute to the goals of the proposed Objective 5, regarding the achievement of *gender equality and empowerment for all women and girls*, of the SDG Agenda 2030 for Sustainable Development. Within its 9 goals, the project will contribute to the following, having been selected as a goal by the country:

5.5 Ensure the *full and effective participation of women and equal leadership opportunities* at all decision-making levels in political, economic and public life.

5.5.2 *Proportion of women in managerial positions*

The project will work through the different actions in a transversal way in the 3 components of the project, contributing especially with the goal 5.5 (*full and effective participation of women and equal opportunities*), creating impacts to achieve it through:

Indicator 6: # of decision making tools for planning and enforcement strengthened to ensure landscape sustainability:

6.2 *Gender strategy for productive landscape management*

6.3 *# Province-level gender-sensitive environmental agendas that consider BD, SFM, and LD in pilot areas*

6.4 *# Municipal Development Plans (MDP) mainstream BD, SFM, and LD considerations, as well as gender sensitivity*

➤ NATIONAL LEGAL FRAMEWORK

Under the **Constitution of the Dominican Republic**, in its section on civil and political rights, article 39 (Right to Equality) section 4 states that “*Women and men are equal before the law. Any act whose purpose or effect is to impair or nullify the recognition, enjoyment or exercise on an equal footing of the fundamental rights of women and men is prohibited. The necessary measures will be promoted to ensure the eradication of inequalities and gender discrimination*”. That is why the project will contribute through its landscape approach, with a holistic vision of the territory raised in the three pilot areas of the project, considering human welfare as part of the ecosystem services.

In **Law 1-12 of the National Development Strategy (END 2030)**, it includes several aspects to be considered from a gender perspective to be reflected in the present project as it is in its chapter III of the Transversal Policies, in articles 12⁴⁵ and 15⁴⁶, as well as within its general objective “*2.3 Equal rights and opportunities*”. It is here, where the project will strengthen, through the Ministry of Environment and its Social Participation Department and Gender unit, the incorporation of the gender approach in the technical strategy of project development, adopting actions to guarantee equality of opportunities in the different actions that are developed.

The **General Law on Environment and Natural Resources** (64-00) does not contain any gender approach that can be considered to support its development.

Law No. 496-06 does not contain any aspect with a gender perspective to consider.

Law No. 176-07, in its article 6, considers the concept of “*gender equality: In the exercise of power, municipalities should have a gender mainstreaming principle, in terms of ensuring equal access to opportunities for women in all their initiatives*”. On the other hand, article 21 “a 4% dedicated to educational, gender and health programs”, from which the project will promote local strengthening for the development of gender strategies that favor the implementation of productive ecosystems. Components 1 and 3 of the project will be supplemented by article 226 “*Paragraph II. – Municipalities, in their gender programs will establish work methodologies for social awareness and mobilization, as well as to ensure an adequate environment for the exercise of their rights and the support they require for the full exercise of this right.*”

The **Public Investment and Planning Act** (No. 498-06) do not contain any gender-sensitive aspects to consider.

The Second **National Plan for Gender Equality and Equity, (PLANEG II)** of the Ministry of Women (2007-2017), establishes⁴⁷ that *gender equality is based on human rights*, and human development can only be understood in relation to respect for these human rights of women and men in education, health, housing, work, equality before the law, respect for their physical integrity, freedom of expression, movement and political participation, among others.

In its third chapter 3 (*Strengthening economic empowerment and promoting women's poverty reduction*), one of its basic objectives is “*to guarantee equal opportunities and working conditions*”

⁴⁵ Article 12. *Gender Approach*. - *All plans, programs, projects and public policies should incorporate the gender approach in their respective fields of action, in order to identify situations of discrimination between men and women and take actions to guarantee equality and gender equity.*

⁴⁶ Article 15. *Social Participation*. - *Social participation in the formulation, execution, monitoring and evaluation of public policies should be promoted through the creation of spaces and institutional mechanisms that facilitate citizen co-responsibility, gender equality, access to information, transparency, accountability, social oversight and fluidity in State-society relations.*

⁴⁷ PLANEG II (page 22 “strategic and methodological aspects”).

between women and men, focusing on interventions aimed at low-income women from urban and rural areas and young women seeking their first job.”

As in its fifth chapter, it raises that in the environment in its third objective, it addresses the *integration of women in the management and conservation of natural resources and protection of the environment*. It is suggested that public policy initiatives be based on studies on the impact of these variables on the lives of women and that they actively participate in all decision-making processes related to natural resources and the environment, given the incidence they have in the quality of the daily life of women, especially the marginalized rural and urban, as well as the valuable contribution that women make to the preservation of resources.

Among PLANEG II lines of action, the project contributes to the following:

5.3.1.3 Incorporation of the gender perspective into the contents of existing natural resources management plans.

5.3.2.1 Develop and implement training plans on the proper management of natural resources and conservation of the environment, according to the characteristics of the areas of residence, directed at women throughout the national territory.

5.3.2.2 Develop and implement credit schemes for rural women for the development of initiatives that promote the appropriate use of natural resources.

5.3.2.3 Implement forest management plans, integrated management of water resources and soil conservation, specifically for women in depressed areas.

5.3.2.4 Strengthen and expand the reforestation plans of the most important river basins to recover their forest cover, integrating organized rural women groups into their implementation.

5.3.3.1 Develop and implement a training plan on the proper management of natural resources according to the characteristics of the areas of residence, aimed at rural women throughout the national territory.

5.3.3.3 Design and implement gender sensitization and education workshops aimed at the technical and managerial staff of the Ministries of Environment and Agriculture.

1. NATIONAL CONTEXT ON GENDER

At the end of 2015, the Dominican Republic recorded 32.3% of the population in moderate poverty and 7.0% in extreme poverty, with reductions of 31.1% in moderate poverty and 52.9% in extreme poverty between 2006 and 2016. However, there are still significant gaps that maintain inequalities, mostly gender-based, as existing protection policies and systems are insufficient. In male-headed households, overall poverty stands at 23% and 30.6% in female-headed households.

According to MEPyD⁴⁸, while extreme poverty reached 10.8% in the rural area, it was 5.4% in urban areas. The report states that the poverty rate for women between the ages of 25 and 49 is 1.2 times that of men in the same age range.

The Dominican Republic remains one of the most unequal countries in the region. The Gini index has shown minimal distributional improvements, not proportional to the high economic growth experienced (-9.6% between 2000 and 2016). The country's Human Development Index (HDI) for 2015 (0.722) adjusted for inequality declined 21.7%. The main sources of inequality are found in living standards (28.1%), followed by education (19.9%) and health (16.8%).

⁴⁸ Report on the evolution of poverty 2014-2015. Ministry of Economy, Planning and Development. 2015.

61% of the population lives in provinces with medium-low or low human development (with almost all the border provinces located in these categories), where the poorest 20% receive only 6.1% of the total national income. According to the National Index of Gender Inequality (IDG⁴⁹, by acronym in Spanish), 47% of the provinces have a medium-high or high gender inequality, which demonstrates limitations to the human development of women in terms of economic inclusion, political participation, physical security and reproductive health.

In specific terms, the Gini⁵⁰ index for the year 2016 was established at 0.4683 for the country, which represents an increase of the index in 0.012 points compared to 2015, when it registered 0.4564. In other words, in 2016 inequality increased leading to a decline in the distribution of wealth, as observed in the Bulletin of Official Statistics of Monetary Poverty presented by the Ministry of Economy, Planning and Development (MEPyD).

By the end of 2017, there will be a National Plan of Action for the sustainable development of cocoa, with the objective of transforming the sector and ensuring its continuous growth, environmental sustainability and social welfare of the producers and their communities. This Plan will be a reference so that the project can contribute to the objective of “transforming the Dominican cocoa subsector to guarantee its continuous growth, environmental sustainability and social welfare of cocoa farmers and their communities in a period of 10 years, and in consideration of the transversal axes of gender and youth.”

The Strategic Plan of the Dominican Coffee Council (2016-2018) proposes in its policy for human development and gender recognition "to manage the implementation of a solidarity program, as well as productive projects that include gender and generational change, considering processes of productive, artisan, agroindustrial, commercial, educational and ethical changes as part of the integral growth of the coffee family.”

➔ PROJECT STRATEGY

The objective of the gender strategy in the project “*Conservation of Ecosystem Goods and Services in Threatened Productive Mountain Landscapes*” is to maximize the possibility that ecosystems in productive landscapes have a positive impact on gender equality and open opportunities for stronger participation and decision-making amongst stakeholders such that women have a voice in the use and management of their territories and benefit from productive activities. On the other hand, it must be considered that biodiversity conservation is, to the same extent, a social issue and an environmental problem: the success of sustainable conservation depends mainly on how different groups of people use natural resources.

In the context of biodiversity conservation, this implies the exploration of the differentiated relationships between women and men, with respect to their environment, resources and the benefits derived from such relationships⁵¹. By themselves, the differences between men and women do not

⁴⁹ “The Gender Inequality Index is an indicator of inequality. It reveals the loss of potential human development due to the disparity between the achievements of men and women in two dimensions, namely, empowerment and economic situation, and reflects a country's position on normative ideals related to the dimension of women's health. In general, the Gender Inequality Index reflects the extent to which women are disadvantaged in these dimensions. *Human Development Reports* (UNITED NATIONS DEVELOPMENT PROGRAMME)

⁵⁰ The Gini coefficient is based on the conception that, in order to have equality, income should be equitably distributed among the entire population. The coefficient is a number that takes values between 0 and 1, which represent distributive equality and total concentration respectively.

⁵¹ Tobin, B. and Aguilar, L. (2007). *Mainstreaming Gender Equality and Equity in ABS Governance*, page 13. San José, Costa Rica: UICN.

cause inequality. Despite some progress in the Dominican Republic, the reality is that gender inequality is rooted in social structures and it is also expressed in unequal access and control of natural resources, and in the distribution of benefits derived from the use of such resources. It is for this reason that in the process of developing the project *“Conservation of Ecosystem Goods and Services in Threatened Productive Mountainous Landscapes”*, a landscape approach was executed, where the participation of all the actors is fundamental.

One of the most significant inequalities between women and men is the lack of women's participation in decision-making processes that are related to their lives and communities. The incorporation of the gender perspective during the project is associated with the promotion of affirmative actions to ensure the participation of women in the training and decision-making spaces in ecosystems with a landscape approach. Furthermore, a result of the identification process in the three pilot areas (Sierra de Neyba, Ozama and Nizao) was the decision to incorporate an intergenerational approach, since the majority of producers are older people (these being a concern for their own reliance on production). This will involve sharing skills, knowledge and experiences among women, young and old in order to reduce gender and intergenerational gaps and inequalities. The following lists the specific gender and intergenerational considerations in the execution of specific activities in each of the project's components:

Component 1: Framework for systemic landscape management

- Gap analysis to mainstream criteria of BD, sustainable forest management, soil degradation and gender perspective in planning tools for threatened mountain productive landscapes.
- Strengthen the guidelines for Municipal Development Plans and POTs, to mainstream criteria of BD, Sustainable Forest Management, Soil Degradation and gender perspective.
- To support the Ministries of MA and MAgr in developing a gender strategy for the sustainable management of productive landscapes.

Component 2: Production systems compatible with conservation in threatened mountain ecosystems and conservation corridors

- Design and implement an extension package with a gender perspective and sensitive to generational differences, adapted to each of the *productive* systems.

Component 3: Promoting livelihoods, mainstreaming biodiversity friendly practices

- Provide technical support to the associations, gender-sensitive and with generational differences, for the development of business plans.
- Training workshops, with sensitivity to gender and generational differences, for women's, farmers' and young people's associations, to improve their integration/ participation in decision-making and for the recognition of their roles in local economies.
- Training workshops, gender-sensitive and gender-sensitive, to promote women and youth in microenterprises and to strengthen value chains.
- Capacity building, gender-sensitive and generational differences, of local tourism organizations, including training and exchange of experiences with local artisans, tour guides, business and restaurant managers, etc.

Component 4: Knowledge Management and M&E

- Development and implementation of a communication strategy (paper and virtual) and a citizen mobilization campaign, taking into account gender perspective and generational differences.
- Systematization of good practices, lessons learned and case studies, including evidence of the special contribution of women and young people to the sustainability of threatened mountain landscapes.

- These actions aim to contribute with the following considerations that the project will have to take into account throughout the 6 years:
- Recognize and involve women and young people as local development agents.
- Consider that the needs of women are different from those of men.
- Sex-disaggregated data collection
- Strengthen women's skills and resources (in associativity).
- Strengthen women's participation in social institutions and organizations. It will be important to ensure a balance in the training of men and women to enable effective participation.
- Incorporate gender into training courses for environmental and/or forestry promoters.
- Disseminate experiences and systematize the project's successes in productive ecosystems with the incorporation of the gender perspective in the three pilot areas.

Basic strategic lines to consider in mainstreaming gender:

1. Institutional strengthening of the gender approach in the organizational and functional structure of the Ministry of Environment and Agriculture, through its gender units.
2. Sensitization of the team responsible for developing the project to gender issues.
3. Conservation and sustainable use of natural goods and services with gender equity
4. Implementation of a national gender strategy for the sustainable management of productive landscapes

Added value of gender mainstreaming in the sustainable management of productive landscapes:

- Increases efficiency;
- Ensures the incorporation of important knowledge, skills and experience;
- Increases sustainability;
- It contributes to the fight against poverty;
- It guarantees compliance with human rights;
- Avoids increasing gender inequality.

Cocoa Value Chain:

The project proposes in its third component actions for the cocoa family, especially young people and women, to improve their livelihoods. Therefore, consideration should be given to the motivation and recruitment meetings of youth and women, to the formation of on-farm work groups and other activities included in the work plans, already formed micro-entrepreneurs groups of women in the cocoa value chain (such as the one that exists in CONACADO of Block 2), establish relations of exchange of experiences with other groups.

Coffee value chain:

The project sets out a work strategy in which men and women work together. So that women and men have the opportunity to learn from each other. Those who joined the program understood that the main mission was to enable growth and opportunities for women.

Annex H: Pilot Sites: Threats and Strategies for Mainstreaming Conservation of Biodiversity and Ecosystem Services in Productive Landscapes in Threatened Forested Mountainous Areas

Model A: Sierra de Neyba

Model B: Nizao

Model C: Ozama

Objective of the project:

Mainstream the conservation of biodiversity (BD) and ecosystem services in public policies and practices at the local level (provincial, municipal and community) to effectively buffer current and future threats across productive mountain landscapes.

Objective of the Demonstration pilot projects: To establish sustainable production systems in three threatened mountain ecosystems and conservation corridors to effectively buffer current and future threats to BD, SFM, and LD across productive mountain landscapes.

The Dominican Republic is one of the countries that contribute most to the insular Caribbean hotspot region, due in part to its complex geotectonics, which has produced an array of different and in many cases isolated habitats, which in turn has allowed for species speciation and diversification to occur to a great extent⁵². Thus, many Dominican species are endemic with natural limited geographical distribution. This particularity makes native biodiversity very sensitive to habitat fragmentation and destruction. This is in part reflected in the number of recognized endangered species:

- IUCN's Global Amphibians Assessment (GAA) determined that 82% of known and assessed species (all endemic and of global biodiversity significance) were threatened (CR, EN or VU)⁵³.
- The National Botanical Garden assessed 1,388 vascular plants, of which 1,330 were determined to be threatened (813 CR, 249 EN and 268 VU), representing around 24% of the known vascular plants of the Dominican Republic (5,500 species⁵⁴).
- Of 124 reptiles present in the Dominican Republic⁵⁵, 47 (38%) are listed under the three main threatened categories of the IUCN Red List⁵⁶.

Although the Dominican Republic has established an important and extensive Protected Areas System (SINAP), biodiversity inside them is not completely protected: important forest loss occurred from 2000 to 2014 inside some of the most relevant protected areas of the country^{57,58}.

⁵² Brace, S. et al., 2012. Population history of the Hispaniolan hutia *Plagiodontia aedium* (Rodentia: Capromyidae): testing the model of ancient differentiation on a geotectonically complex Caribbean island. *Mol Ecol.* 2012 May; 21(9):2239-53.

⁵³ Stuart, S.N., Hoffmann, M., Chanson, J.S., Cox, N.A., Berridge, R.J., Ramani, P., and Young, B.E. (eds.) (2008). *Threatened Amphibians of the World*. Lynx Edicions, Barcelona, Spain; IUCN, Gland, Switzerland; and Conservation International, Arlington, Virginia, USA

⁵⁴ Ministerio de Educación Superior, Ciencia y Tecnología et al. 2016. *Lista Roja de la Flora Vascular en República Dominicana*. Santo Domingo, República Dominicana.

⁵⁵ Caribherp <http://www.caribherp.org>

⁵⁶ IUCN Red List <http://www.iucnredlist.org>

⁵⁷ Martínez, J. R., 2014. Las 9 áreas protegidas que mayor cantidad absoluta de cobertura boscosa han perdido entre 2000 y

Knowledge of the Dominican biodiversity is still being clarified. Several species groups (*Pholidoscelis*, *Anolis*, and others) have been considered as single species with multiple subspecies. With the advent of molecular genetics techniques, these are beginning to be clarified. Such is the case of the Green anoles of Hispaniola, which recently increased from 8 to 16 recognized species⁵⁹. This highlights the need for biodiversity conservation beyond protected areas and sites of recognized species.

While the three pilots were chosen primarily for their importance for watershed management, they contain important habitat for these endemic species. It is important to note, however, that it is difficult to highlight national endemic species of global importance, since in many cases the threatened species are endemic to Hispaniola, not only the DR.

A preliminary selection exercise was conducted to determine potential intervention areas, based on the following criteria:

- Spaces with important biodiversity to conserve
- Spaces that are close to protected areas (PA) / basins.
- Threat of degradation
- Vulnerability to fire / CC
- Locations where there is opportunity to establish / expand sustainable production systems
- Locations where there is opportunity to develop value chains
- Areas where there are organized local communities
- Potential synergies with other projects
- Cofinancing

Criteria	Neyba	Nizao	Ozama
Spaces with important biodiversity to conserve	Southern mountain range of the North Paleo Island of Hispaniola, with important endemic biodiversity (new vertebrate species still being discovered), and much threatened by deforestation. Original cloud forest remaining only in the protected mountain ridge. Altitudinal transect from under sea level to above 1,000 meters.	Important upper Cordillera Central that contributes to create connectivity between two important protected areas, very important for endemic and endangered Hispaniolan frogs.	Middle Ozama river watershed contributes to conservation of endemic low and middle lands endemic amphibians, reptiles and amphibians, endangered and some vulnerable to climate change.
Spaces that are close to protected areas (PA) /	Sierra de Neiba, NP	La Humeadora, NP	Aniana Vargas, NP

2014. Geografía Física – República Dominicana (www.geografiafisica.or).

⁵⁸ Hansen, C. et al. 2013. High-Resolution Global Maps of 21st-Century Forest Cover Change. Science 15 Nov 2013: Vol. 342, Issue 6160, pp. 850-853.

⁵⁹ Köhler, G. and S. B. Hedges. 2013. A revision of the green anoles of Hispaniola with description of eight new species (Reptilia, Squamata, Dactyloidae). Novitates Caribaea 9: 1-135, 2016.

basins.	Las Caobas, NM Lago Enriquillo, NP Isla Cabritos, NP	Valle Nuevo, NP	Humedales del Ozama, NP Loma Novillero, FR La Humeadora, NP
Threat of degradation	Intensive agricultural practices in slope areas	Inappropriate intensive agricultural practices in slope areas and overgrazing	Inappropriate intensive agricultural practices in slope areas and overgrazing
Vulnerability to fire / CC	High vulnerability and fire risk for agricultural practices and Pinus Forest	Medium vulnerability and fire risk for agricultural practices	Medium vulnerability and fire risk for Broadleaf Forest
Locations where there is opportunity to establish / expand sustainable production systems	Municipalities of Neyba and La Descubierta (ordenamiento) Productive Systems in the communities of Los Pinos del Edén, Angel Felix, Sabana Real	Municipality of Rancho Arriba Productive Systems in the communities of La Jina, La Vigía y Los Morrones Microcuenca Rio Banilejo	Municipality of Yamasá Productive Systems in the communities of Cuenca media del Ozama.
Locations where there is opportunity to develop value chains	Low opportunity	Medium opportunity	High opportunity
Areas where there are organized local communities	NGOs present in the area: CIEPO, World Vision. LEMBA ASOMURE Fundacion Taigüey Floresta	ADESJO FEDECARES PRONATURA CODOCAFE	Productive forest clusters Colinas bajas (CNC), Conacado, forestry cooperatives, various NGOs (REDDOM/USAID), FAO
Potential synergies with other initiatives	Debt swap Caribbean Biological Corridor	Fondo de Agua PES - Watershed	Fondo de Agua Santo Domingo
Cofinancing Potential	Ministerio de Agricultura Proyecto Ministerio de Medio Ambiente	Ministerio de Agricultura Proyecto Ministerio de Medio Ambiente EGEHID (Empresa Generadora de Electricidad)	Ministerio de Agricultura Proyecto Ministerio de Medio Ambiente Comisión Nacional del Cacao CONACADO

Model A: Sierra de Neyba

Objective To establish a sustainable production system to effectively buffer current and future threats to BD, SFM, and LD in the mountain landscapes of La Descubierta municipality in the southern Slope of the Sierra de Neyba mountain range.

Key Issues: Global biodiversity conservation, sustainable forest and land use, Sustainable agriculture, coverage, land use planning, community ownership, stakeholder participation, innovative financing (BD, SFM, and LD friendly), strengthened local planning capacities.

BACKGROUND/JUSTIFICATION

Description of the area of intervention

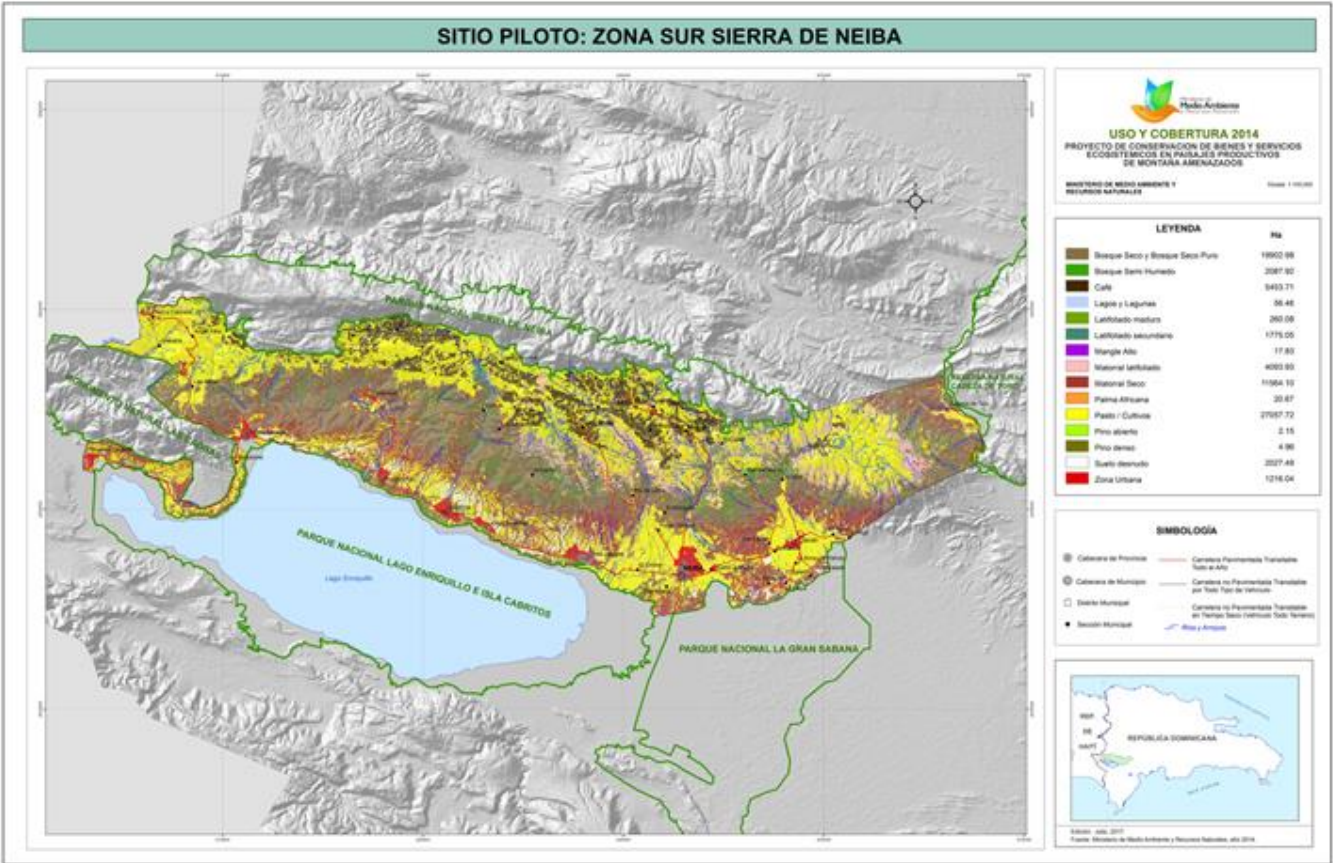
The southern slope of the Sierra de Neyba mountain range spans across parts of the provinces of Independencia and Baoruco, both classified in the category of Low Human Development, with 28 and 30, respectively⁶⁰. Some of the territories pertaining to Independencia province are located in the border zone with Haiti, amongst them La Descubierta municipality, whose mountain landscapes will be the focus of attention for the development of sustainable productive models. The area of intervention is close to several Protected Areas: Sierra de Neyba NP, Anacaona NP, Las Caobas N. M., and Lake Enriquillo NP.

The political and administrative division in the Sierra de Neyba pilot zone is as follows⁶¹:

PILOT SITE	PROVINCE	MUNICIPALITY	MUNICIPAL DISTRICT
	Independencia	La Descubierta	
		Postrer Río	Guayabal
	Baoruco	Neyba	El Palmar
		Galván	El Salado
		Villa Jaragua	
		Los Ríos	La Clavellina

⁶⁰ Human Development Map of the Dominican Republic. UNDP, 2013.

⁶¹ The table only shows those municipalities located in the southern slope of the Sierra de Neyba mountain range.



Independencia has a total population of 52,589 (2010 census), with 58.1% of the households living in poverty (23.7% in extreme poverty)⁶².

Only 61.1% of the young people in Independencia have completed primary school, which explains why the unemployment rate among young people reaches 12.1%, which is above the national average. The literacy gender parity index for the province is 0.99.

The labor force in the Independencia province is 81.8% men and 18.2% women, representing the highest rate of female participation in the labor force in the whole Enriquillo region⁶³. However, in broad terms the gender inequality index (GDI) at the provincial level is 0.424 ("medium-low"), with a series of inequalities in three important aspects of human development: reproductive health (0.054), empowerment (0.191), and income (0.419). It should be noted that the GINI index for the Enriquillo region in 2016 was 0.469, which shows that there is no great income inequality among the citizens of that region.

Baoruco has a total population of 97,313, with 52.2% of the households living in poverty (19.8% in extreme poverty)⁶⁴. 28.7% of the population is employed (69.7% men and 30.29% women)⁶⁵.

⁶² Spatial dimension of monetary poverty, 2011. Ministry of Economy, Planning, and Development (MEPYD).

⁶³ Central Bank: National Labor Force Survey (April and October 2016).

⁶⁴ MEPYD. Op.Cit.

⁶⁵ ONE: 2010 census.

The two provinces of Independencia and Baoruco will be assisted, through the Ministry of Environment (MA), in the formulation of province-level gender-sensitive environmental agendas with BD, SFM, and LD criteria.

The project will contribute to strengthen the planning capacities of the six municipalities shown on the table of political and administrative division (encompassing the municipal districts) by providing technical support for the formulation/updating of their Municipal Development Plans, mainstreaming BD, SFM, and LD considerations, as well as gender sensitivity, and/or providing technical support in the formulation of their Land Use Plans (LUP), with BD, SFM, and LD criteria, and through participation and consensus among local and national stakeholders. The municipalities of La Descubierta (Independencia province) and Neyba (Baoruco province) will receive additional technical assistance for the implementation of their LUP, as a pioneering experience of application of special land use categories that guarantee sustainable use of BD in mountain landscapes

Furthermore, within the southern slope of the Sierra de Neyba, a sustainable production model will be established in the mountain landscapes of La Descubierta, a municipality whose limits are the Sierra de Neyba NP to the north, the Enriquillo lake to the south; the municipality of Postrer Río to the east, and the Republic of Haiti to the west. Enriquillo lake is a RAMSAR site and an important part of the Jaragua-Baoruco-Enriquillo Biosphere Reserve, very rich in globally significant biodiversity.

La Descubierta has an extension of 192.7 Km², and a population of 8,310 in 2010, of which 78.77% lives in poor households. The mean annual temperature has a range of 32 to 34 °C. La Descubierta is 23 km apart from Jimaní, which concentrates government offices and banks, one official entrance gate to Haiti, and a quite active binational market that attracts customers from all over the region. La Descubierta is located in the middle of a trans-urban corridor that connects Jimaní, the Independencia province capital, with Neyba, the Baoruco province capital, and the most important urban settlement in the Enriquillo region.

La Descubierta comprises a small urban settlement and the mountain rural sections of Ángel Félix (which comprises the “parajes” or communities of Sabana Real and Bonete) and Los Pinos (which comprises the “parajes” or communities of Charco Largo, Palo alto, Granada, El Bejuco, La Cañaita, Los Pinos del Edén, Guasosa, El Arroyo, La Plena, El Cao, Acitrón, El Cantón, Cruce de Granada, El Naranja, Los Borbollones, Cerros, and Los Trates). The two above mentioned rural sections conform the intervention area of the Project for the establishment of productive landscapes in the southern slope of the Sierra de Neyba.

The chosen mountain landscapes of La Descubierta are populated by approximately 1000 inhabitants, according to information provided by the local government. Los Pinos is the most developed of the two sections, with some services infrastructure in place such as an elementary multi-grade school (up to fourth grade), a primary health attention unit, an in-household water supply system, and electrification. The communities belonging to Ángel Félix have access to multi-grade elementary schools, but none of the other above-mentioned services in place, and one of their major difficulties is the lack of access roads. full cycle of basic and secondary education is only available in the urban settlement of La Descubierta, making it impossible to travel on a daily basis due to the limitation of access roads and transportation means, and to the limited income of the families.

Both sections of Los Pinos and Ángel Félix are included in the agrarian settlement AC-62, established in the late 1970’s by the Dominican Agrarian Institute. Current production in these mountain landscapes focuses on short-cycle crops and to a minor extent coffee (357 ha), which has been grown since long in

these communities, but was affected by plagues during the drought that affected most of the Dominican territory from 2014 to 2015. There is an increasing interest in recovering and strengthening coffee coverage, as expressed by the producers during the PPG phase. Despite its soil damaging potential, during the PPG phase a great interest was also shown by producers towards avocado, due to its rapid income generating feature.

Existing resources and biodiversity values

BD Values include Pine forest, cloud forest, and mahogany forests (remnants).

Sierra de Neiba mountain range is located in the southwest of the Dominican Republic, forming together with the Montagnes de Trou d'Eau in Haiti, the southernmost mountain range of the north paleo island of Hispaniola, with high global biodiversity values. From north to south, it goes from below sea level (Enriquillo lake) to above 1,000 masl, and from dry to very humid forests. The Project's pilot site is in the southern slopes of western Sierra de Neiba, which is the main access to the top of the Sierra de Neiba Key Biodiversity Area (KBA). The southern slope has been severely deforested, and most of the original forest remains at the mountain top of the sierra, which is both a national protected area (Sierra de Neiba National Park) and an important Dominican Republic KBA. In particular, the pilot site area is out of but surrounded by several important protected areas: Sierra de Neiba national park in the north, Las Caobas National Monument to the southeast, and Lago Enriquillo, a Ramsar site and an important component of the Jaragua- Bahoruco-Enriquillo Biosphere Reserve, to the south. Further to the east is Anacaona National Park.

The area forms a natural corridor between Sierra de Neiba National Park and Lago Enriquillo National Park in the lowlands, at the base of Sierra de Neiba. Lago Enriquillo is the biggest inland lake of the insular Caribbean; it is a hypersaline below-sea-level lake with important biodiversity values, including the only breeding population of the American Crocodile (*Crocodylus acutus*) in the Dominican Republic and in Hispaniola.

Sierra de Neyba is also an Import Bird Area of the Dominican Republic. Globally significant biodiversity includes endemic and migratory birds, such as *Turdus swalesi*, *Calyptophilus frugivorus* and *Priotelus roseigaster*, endemics and under threat; endemic and endangered frogs, such as *Eleutherodactylus parabates* (CR), and both endemic and threatened land mammals, *Solenodon paradoxus* y *Plagiodontia aedium*.

Sphaerodactylus schuberti, the Neiba Agave Sphaero is a critically endangered (CR) species that is endemic with a very restricted known geographic distribution. This small gecko has not been found in any area but the proximity of the type locality, in the southern slopes of Sierra de Neiba. The project's pilot in this area will contribute to the sustainable management of crops and agroforestry, significantly contributing to the conservation of this unique species⁶⁶.

Anolis placidus is a restricted range distribution anole species, endemic to Sierra de Neiba, Dominican Republic. This is a very peculiar twig anole, which will benefit from actions in this pilot site. It has being assessed as critically endangered (CR) by the recent (2018) National Red List⁶⁷.

The area, in particular between the intramontane middle elevations small valley of Los Pinos del Eden, and the higher altitudes in Sierra de Neyba National Park, has been severely deforested, with very little natural vegetation left. Most natural ecosystems and vegetation are those included in the surrounding

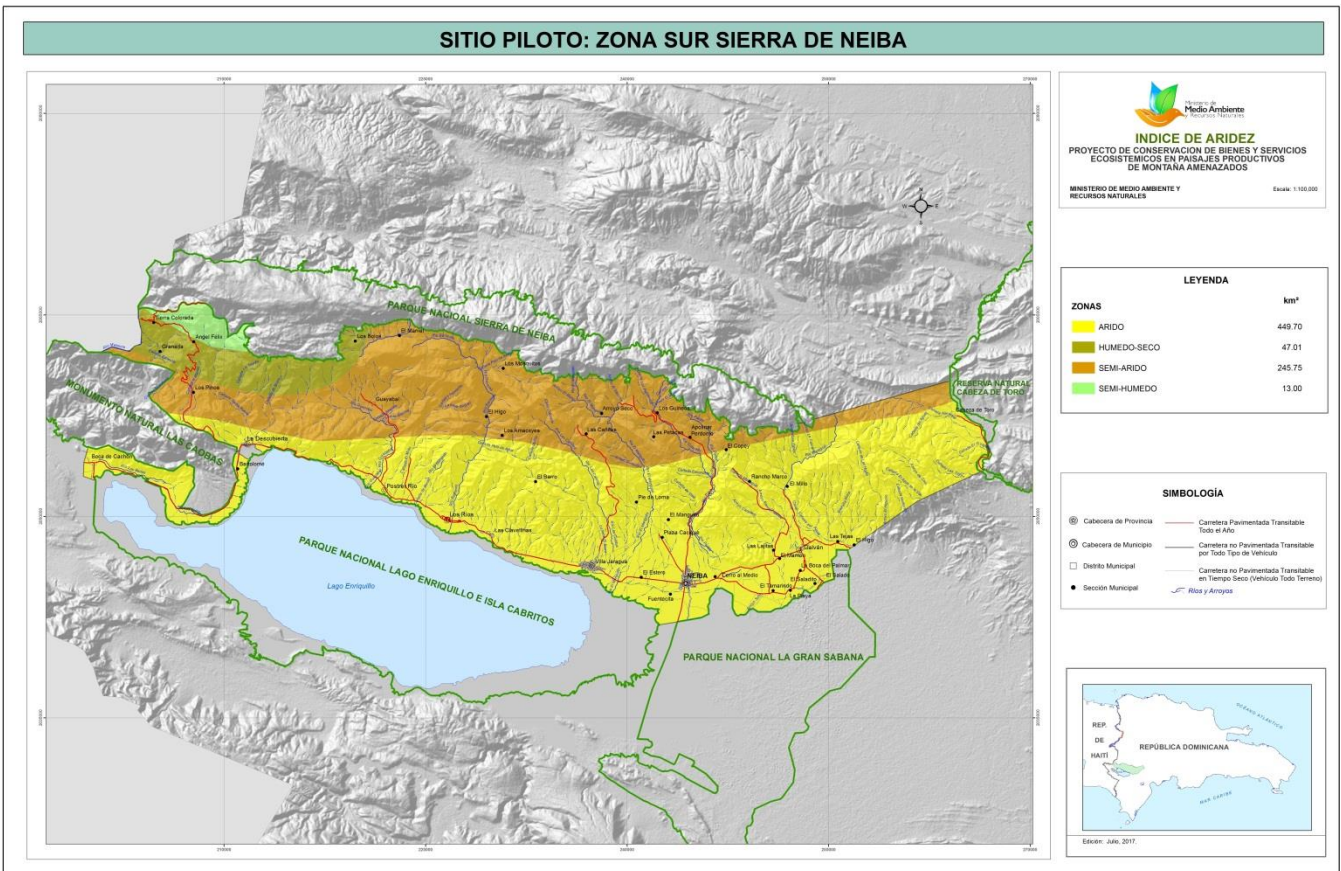
⁶⁶ Inchaustegui, S., Landestoy, M. & Hedges, B. 2016. *Sphaerodactylus schuberti*. The IUCN Red List of Threatened Species.

⁶⁷ Ministerio Ambiente, 2018, en imprenta

protected areas. Promotion of sustainable landscapes in the areas will contribute greatly to their connectivity.

A large portion of dry forest exists in the Sierra de Neyba lowlands, outside PAs, where Dry Forest Producers Associations are already established, with outdated forest management plans prepared with the support of their organization, FEPROBOSUR. Since their action territory falls out of the mountain landscapes, these actors will not be considered for the promotion of sustainable production models, but will be included in the governance efforts promoted by the project.

Important areas of the Sierra de Neyba Southern Slope are subjected to desertification and heavily degraded, as shown in the map of aridity index below.



Three community reforestation brigades sponsored by the Ministry of Environment (MA) have been active in the selected mountain landscapes of La Descubierta since 2008, keeping a close collaboration with a Haitian brigade that has survived as a result of the binational Frontera Verde initiative.

The chosen communities show an openness to embrace sustainable production methods, having previously been sensitized by the environmental education efforts developed by the local NGO CIEPO, by the experience of the reforestation community brigades, and by the agroforestry initiatives promoted by the NGO FLORESTA, which has a high level of recognition among the community leadership.

The producers of the different communities are organized in associations, and are currently undergoing a transformation process towards the formation of cooperatives, in order to gain access to fairer markets. Women leaders play an important role within these associations, and an important feature of the reforestation brigades sponsored by the Ministry of Environment is that they are all coordinated by women.

PROJECT OUTCOMES AND OUTPUTS

The Overall objective of the project is to establish sustainable production systems to effectively buffer current and future threats to BD, SFM, and LD in the mountain landscapes of La Descubierta, in the southern Slope of the Sierra de Neyba mountain range.

The project will meet this goal through the following strategic result:

BD-friendly production systems and livelihoods mainstreamed in agriculture and forestry in the threatened mountain landscapes of La Descubierta, part of the southern slope of the Sierra de Neyba mountain range.

The Outcome: An operational framework for sustainable management of mountain productive landscapes. Specifically, the pilot in La Descubierta will produce the following outputs, activities and sub-activities:

Output A.1 Landscape level planning tools established and applied by key stakeholders

Activities:

- Enhance operational and outreach capacities of the Ministry of Environment provincial headquarters in Independencia province.
- Formalization of agreement with the Ministry of Agriculture to engage extension agents.
- Support the formulation of two provincial environmental agendas in Independencia and Baoruco, mainstreaming BD, SFM, LD and gender sensitivity criteria.
- Support six local governments (La Descubierta, Postrer Río, Los Ríos, Villa Jaragua, Neyba, and Galván) in the formulation/updating of Municipal Development Plans (MDP) – with BD, SFM, and LD criteria and gender sensitive.
- Support La Descubierta and Neyba local governments in the implementation of their MDPs.
- Support the six local governments of La Descubierta, Postrer Río, Los Ríos, Villa Jaragua, Neyba, and Galván in the formulation of land use plans (LUP) -with BD, SFM and LD criteria.
- Support the local governments of La Descubierta and Neyba in the implementation of their LUPs.
- Socialization of the sustainable production models proposed by the project for La Descubierta threatened mountain landscapes of Los Pinos and Ángel Félix with key stakeholders and beneficiaries.
- Operationalization of “Línea Verde” at provincial level in Independencia.
- Support the interconnection of GIS platforms between MA, MAgri and local governments in the southern slope of Sierra de Neyba.
- Implement a participatory monitoring system of BD, LD, SFM
- Engage local stakeholders in decision making processes at provincial and municipal levels.

Output A.2: Sustainable production modules and practices implemented in La Descubierta mountain landscapes (southern slope of Sierra de Neyba).

Activities:

- Characterization of farms and selection of best suited sustainable practices to be applied.
- Application of training module for producers (with BD, SFM, LD and gender criteria) tailored to the characteristics of these mountain landscapes.
- Implement a municipal early warning system in La Descubierta for prevention, management and control of fires.
- Implement ecological restoration activities, as part of the implementation of BD friendly production systems (includes reforestation, natural regeneration, and monitoring).

Output A.3. A sustainable livelihoods package established in La Descubierta mountain landscapes (southern slope of Sierra de Neyba).

- Establish farmers field schools for producers with accompaniment by extension agents -this involves a commitment from the producers’ associations to adopt and replicate sustainable practices.
- Support the associations in the development of business plans (gender and age sensitive).
- Implementation of a Credit Access Package for the promotion of sustainable livelihoods -this involves a commitment from the producers to adopt sustainable practices.
- Develop entrepreneurial capacities by training and exchange of experiences (gender and age sensitive).

STAKEHOLDERS

The table below presents a map of local, regional and national stakeholders that are relevant for the Sierra de Neyba pilot sites, classified by their level of importance for the project as High (H), Medium (M) of Low (L):

PILOT SITE	LOCAL/REGIONAL STAKEHOLDERS	LEVEL OF IMPORTANCE FOR THE PROJECT			NATIONAL STAKEHOLDERS	LEVEL OF IMPORTANCE FOR THE PROJECT		
		H	M	L		H	M	L
Southern slope of the Sierra de Neyba mountain range, below Sierra de Neyba NP	Producers grass-root associations from the mountain communities of La Descubierta, around the sections of Los Pinos and Ángel Félix (a cooperative is currently under formation, in a joint effort that engages all the communities). Women in Action Asociación de Mujeres en Acción.	X			Ministry of the Environment and Natural Resources (MA)	X		

	CIEPO	X			Ministry of Agriculture (MAgr)	X		
	Floresta	X			Administrative Ministry of the Presidency	X		
	World Vision			X	MEPYD –Ministry of Economy, Planning and Development, through DGODT	X		
	FUNDASUR			X	Ministry of Energy and Mines, through the program Harvesting Good Water	X		
	Federation of Women Farmers from the Enriquillo Region (FEMARE)		X		CODOCAFE	X		
	Local government of La Descubierta municipality.	X			Dominican Federation of Municipalities (FEDOMU)	X		
	Association of Municipalities of the Enriquillo Region (ASOMURE), affiliated to the Dominican Municipalities Federation (FEDOMU)	X						
	Dry forest producers			X				
	LEMBA			X				

REPLICABILITY

The implementation of the actions envisaged for the three Outcomes of this pilot project will certainly have a very positive impact in the wide pilot area of the southern slope of Sierra de Neyba, serving as a major replicating tool for the adoption of sustainable production models and sustainable livelihoods practices in the threatened mountain landscapes of this territory.

Model B: Nizao

Objective To establish a sustainable production system to effectively buffer current and future threats to BD, SFM, and LD in the upper mountain landscapes of the municipality of Rancho Arriba, within the corridors that connect Valle Nuevo NP, La Humeadora NP, and Barbacoa Reserve.

Key Issues: Sustainable agriculture, coverage, land use planning, community ownership, stakeholder participation, innovative financing (BD, SFM, and LD friendly), strengthened local planning capacities.

BACKGROUND/JUSTIFICATION

Description of the area of intervention

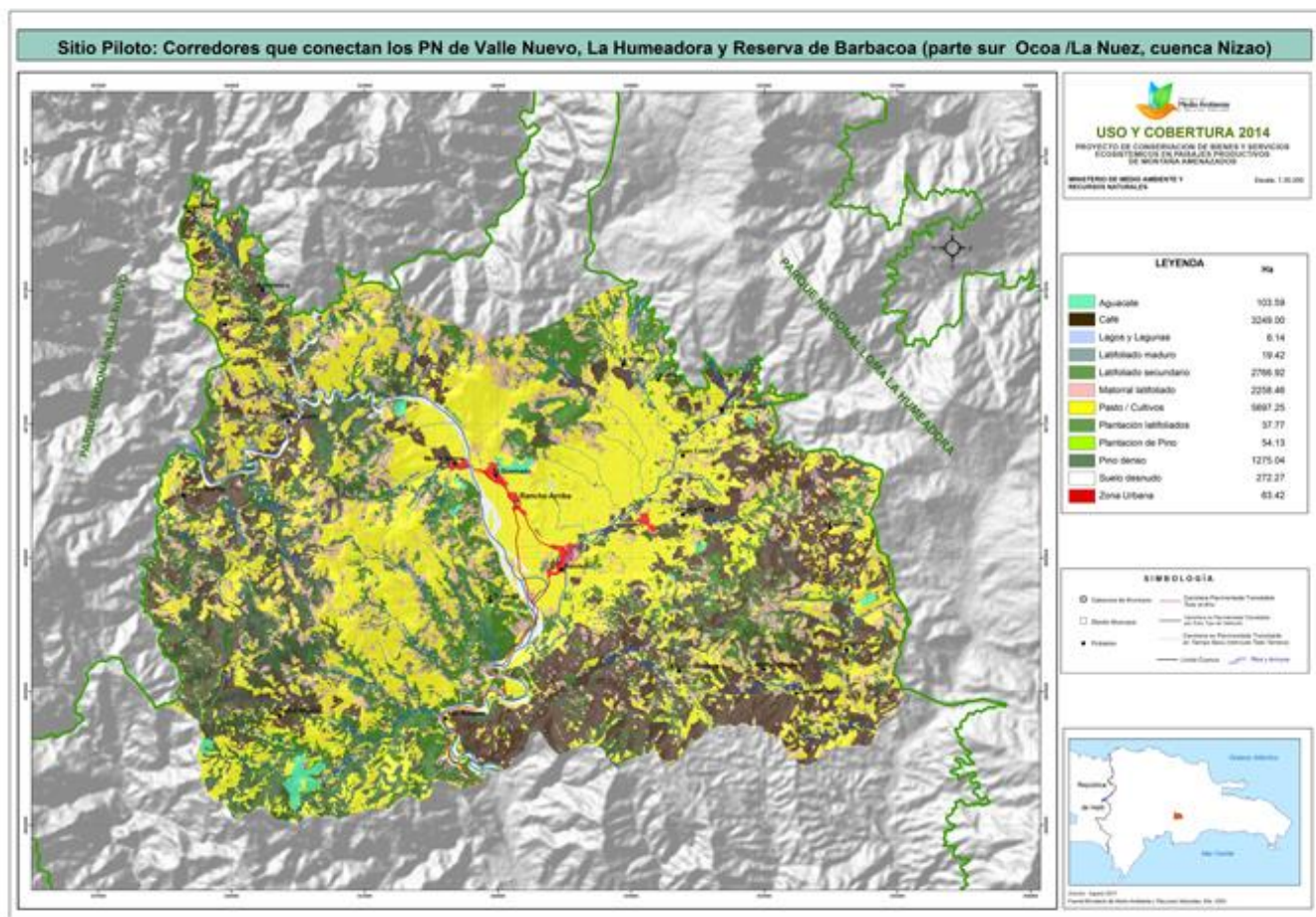
A major part of the corridors that connect Valle Nuevo NP, La Humeadora NP, and Barbacoa Reserve falls within the territory of San José de Ocoa province, whose political and administrative division is shown in the table below. The municipality of Rancho Arriba, in the eastern side of those corridors is the one chosen for the implementation of this pilot.

UPPER NIZAO (CORRIDORS CONNECTING 3 PA)	San José de Ocoa	San José de Ocoa	La Ciénaga Nizao - Las Auyamas El Pinar El Naranjal
		Sabana Larga	
		Rancho Arriba	

San José de Ocoa is located in the geomorphologic zone of Sierra de Ocoa, which is part of the Central mountain range (Cordillera Central) of the Dominican Republic. Ocoa belongs to the administrative region Valdesia, to the Central region of the Ministry of Agriculture and to the Ozama-Nizao hydrologic region.

San José de Ocoa covers a territory of 853.43 km². Its limits are La Vega and Monseñor Nouel provinces to the north; San Cristóbal province to the east; Peravia province to the south; and Azua province to the west. Its coordinates are 18° 43' north latitude and 70° 55' western longitude.

The remarkable agriculture development of this province is mainly sustained by the production of vegetables and fruits (onion, peppers, tomatoes, potato, cabbage, avocado, strawberries and mango), in mountain landscapes. The province also holds an extraordinary development of protected environment agriculture, with outstanding economic yielding. The agriculture land area in these mountain landscapes covers a surface of 5697.25 ha, while coffee covers 3249 ha, as shown in the map below:



The Nizao river watershed have hydraulic infrastructure of national significance, such as the hydropower and irrigation complexes of Jigüey-Aguacate and Valdesia, the latter providing 6 m³/sec for the supply of water of the great Santo Domingo area, the largest population settlement in the Dominican Republic (over 3 million), which includes the capital city of Santo Domingo.

San José de Ocoa has a population of 59,544 (2010 census). 39.3% of the households live in poverty and 22.3% in extreme poverty. This pilot project will concentrate in the municipality of Rancho Arriba, which has a population of 10,299 people, with 75.4% of the households living in poverty.

Existing resources and biodiversity values.

The Cordillera Central of the Dominican Republic, as its name implies, is the central, most extensive, and with higher elevations mountain range of the country. It includes several life zones, with Humid and Very Humid Forest in the area of this pilot site. This site is within the Cordillera Central Biodiversity Corridor. Two of the main KBAs within this corridor are Valle Nuevo KBA, to the northwest, and Loma La Humeadora KBA, to the southeast. The site is located between two very important national protected areas, Valle Nuevo National Park, to the northwest, and La Humeadora National Park, to the northeast. Both are important because of their significant national and global biodiversity, due to their role in providing very important ecological services related to water availability and others. They are also recognized as

Important Bird Areas. Among the birds, *Loxia megaplaga*, and endangered and endemic species. *Osteopilus vastus* and *Hyla heiprini*, two of the Hispaniolan endemic and endangered treefrogs, are present and protected within their areas, as is also the widespread, endemic, but highly vulnerable to climate change, *Osteopilus dominicanesis*.

Osteopillus dominicensis is the most widely distributed frog species of the Dominican Republic, being found in almost all available habitats, from sea level to high elevations and dry to cloud forests. As such, when assessed by the present IUCN Red List Assessment, which does not include any climate change parameters, it comes out as a species of Least Concern (LC) (IUCN, 2018). Nonetheless, IUCN assessed all birds, amphibians and coral species' vulnerability to climate change based on a systematic trait-based assessment. Of the species assessed, the potential vulnerability to climate change (High or low) does not necessarily correspond to the same threatened category established through regular IUCN Red List assessment methodology. One of the most contrasting cases is the case of *Osteopilus dominicensis*, which is a species of Least Concern under the non-climate change vulnerability IUCN Red List assessment⁶⁸, but when analyzed under the IUCN methodology, based on species systematic traits, it is a species of high vulnerability to climate change⁶⁹.

PROJECT OUTCOMES AND OUTPUTS

The Overall objective of the project is to establish sustainable production systems to effectively buffer current and future threats to BD, SFM, and LD in the mountain landscapes of Rancho Arriba, **within the corridors that connect Valle Nuevo NP, La Humeadora NP, and Barbacoa Reserve (Nizao)**

The project will meet this goal through the following strategic results:

BD-friendly production systems and livelihoods mainstreamed in agriculture and forestry in the threatened mountain landscapes of Rancho Arriba, within **the corridors that connect Valle Nuevo NP, La Humeadora NP, and Barbacoa Reserve (Nizao)**.

The Outcome: An operational framework for sustainable management of mountain productive landscapes. Specifically, the pilot in Rancho Arriba will produce the following outputs, activities and sub-activities:

Output A.1 Landscape level planning tools established and applied by key stakeholders

Activities:

- Enhance operational and outreach capacities of the Ministry of Environment provincial headquarters in San José de Ocoa province.
- Formalization of agreement with the Ministry of Agriculture to engage extension agents.
- Support the formulation of one provincial environmental agenda in San José de Ocoa, mainstreaming BD, SFM, LD and gender sensitivity criteria.

⁶⁸ IUCN Red List <http://www.iucnredlist.org>

⁶⁹ Foden, W. B. 2013. Identifying the World's Most Climate Change Vulnerable Species: A Systematic Trait-Based Assessment of all Birds, Amphibians and Corals. PLoS ONE 8(6): e65427.

- Support three local governments (San José de Ocoa, Sabana Larga and Rancho Arriba) in the formulation/updating of Municipal Development Plans (MDP) – with BD, SFM, and LD criteria and gender sensitive.
- Support Rancho Arriba local government in the implementation of their MDPs.
- Support the three local governments of San José de Ocoa, Sabana Larga and Rancho Arriba in the formulation of land use plans (LUP) -with BD, SFM and LD criteria.
- Support the local government of Rancho Arriba in the implementation of its LUPs.
- Socialization of the sustainable production models proposed by the project for Rancho Arriba threatened mountain landscapes with key stakeholders and beneficiaries.
- Operationalization of “Línea Verde” at provincial level in San José de Ocoa.
- Support the interconnection of GIS platforms between MA, MAgri and local governments in the wide pilot zone.
- Implement a participatory monitoring system of BD, LD, SFM
- Engage local stakeholders in decision making processes at provincial and municipal levels.

Output A.2: Sustainable production modules and practices implemented in the mountain landscapes of Rancho Arriba, within the corridors that connect Valle Nuevo NP, La Humeadora NP, and Barbacoa Reserve (Nizao).

Activities:

- Characterization of farms and selection of best suited sustainable practices to be applied.
- Application of training module for producers (with BD, SFM, LD and gender criteria) tailored to the characteristics of these mountain landscapes.
- Implement a municipal early warning system in Rancho Arriba for prevention, management and control of fires.
- Implement ecological restoration activities, as part of the implementation of BD friendly production systems (includes reforestation, natural regeneration, and monitoring).

Output A.3. A sustainable livelihoods package established in Rancho Arriba mountain landscapes, within the corridors that connect Valle Nuevo NP, La Humeadora NP, and Barbacoa Reserve (Nizao)

- Establish farmers field schools for producers with accompaniment by extension agents -this involves a commitment from the producers’ associations to adopt and replicate sustainable practices.
- Support the associations in the development of business plans (gender and age sensitive).
- Implementation of a Credit Access Package for the promotion of sustainable livelihoods -this involves a commitment from the producers to adopt sustainable practices.
- Develop entrepreneurial capacities by training and exchange of experiences (gender and age sensitive).

STAKEHOLDERS

The table below presents a map of local, regional and national stakeholders that are relevant for ***the corridors that connect Valle Nuevo NP, La Humeadora NP, and Barbacoa Reserve (Nizao)***, classified by their level of importance for the project as High (H), Medium (M) or Low (L):

PILOT SITE	LOCAL/REGIONAL STAKEHOLDERS	LEVEL OF IMPORTANCE FOR THE PROJECT			NATIONAL STAKEHOLDERS	LEVEL OF IMPORTANCE FOR THE PROJECT		
		H	M	L		H	M	L
Upper Nizao; corridors that connect Valle Nuevo NP, La Humeadora NP, Barbacoa Reserve.	San José de Ocoa Development Association (ADESJO)	X			Ministry of the Environment and Natural Resources (MA)	X		
	Youth and Nature		X		Ministry of Agriculture (MAgr)	X		
	Cooperative of Producers under Controlled Environment		X		Administrative Ministry of the Presidency	X		
	Grass-root producers' associations of Rancho Arriba, including women's associations (all affiliated to the Federation)	X			MEPYD –Ministry of Economy, Planning and Development, through DGODT	X		
	Local governments of San José de Ocoa, Sabana Larga, and Rancho Arriba (including those of the municipal districts belonging to San José de Ocoa and Sabana Larga)	X			Ministry of Energy and Mines, through the program Harvesting Good Water	X		
	Association of Municipalities of the Valdesia Region (ASOMUREVA), affiliated to the Dominican Municipalities Federation (FEDOMU)	X			Hydropower Generation Enterprise.		X	
		X			CODOCAFE	X		
					Dominican Federation of Municipalities (FEDOMU)	X		

REPLICABILITY

The implementation of the actions envisaged for the three Outcomes of this pilot project will certainly have a very positive impact in the wide pilot area of the corridors that connect Valle Nuevo NP, La Humeadora NP, and Barbacoa Reserve (Nizao), serving as a major replicating tool for the adoption of sustainable production models and sustainable livelihoods practices in the threatened mountain landscapes of this territory, whose potential for sustainable production is enormous.

Model C: Ozama

Objective To establish a sustainable production system to effectively buffer current and future threats to BD, SFM, and LD in the upper mountain landscapes of the municipality of Yamasá, within the mid-watershed of the Ozama River (Colinas Bajas).

Key Issues: Sustainable agriculture, coverage, land use planning, community ownership, stakeholder participation, innovative financing (BD, SFM, and LD friendly), strengthened local planning capacities.

BACKGROUND/JUSTIFICATION

Description of the area of intervention

The municipality of Yamasá, within the mid-watershed of the Ozama River (Colinas Bajas), belongs to the province of Monte Plata, in the Higuamo region, whose IDH is 30 (UNDP, 2013). Monte Plata has a population of 185,956 inhabitants. Yamasá has a population of 55,348, with 74.5% of its households living in poverty, and 23.3% in extreme poverty (census 2010). The political and administrative division of Monte Plata province is shown in the table below:

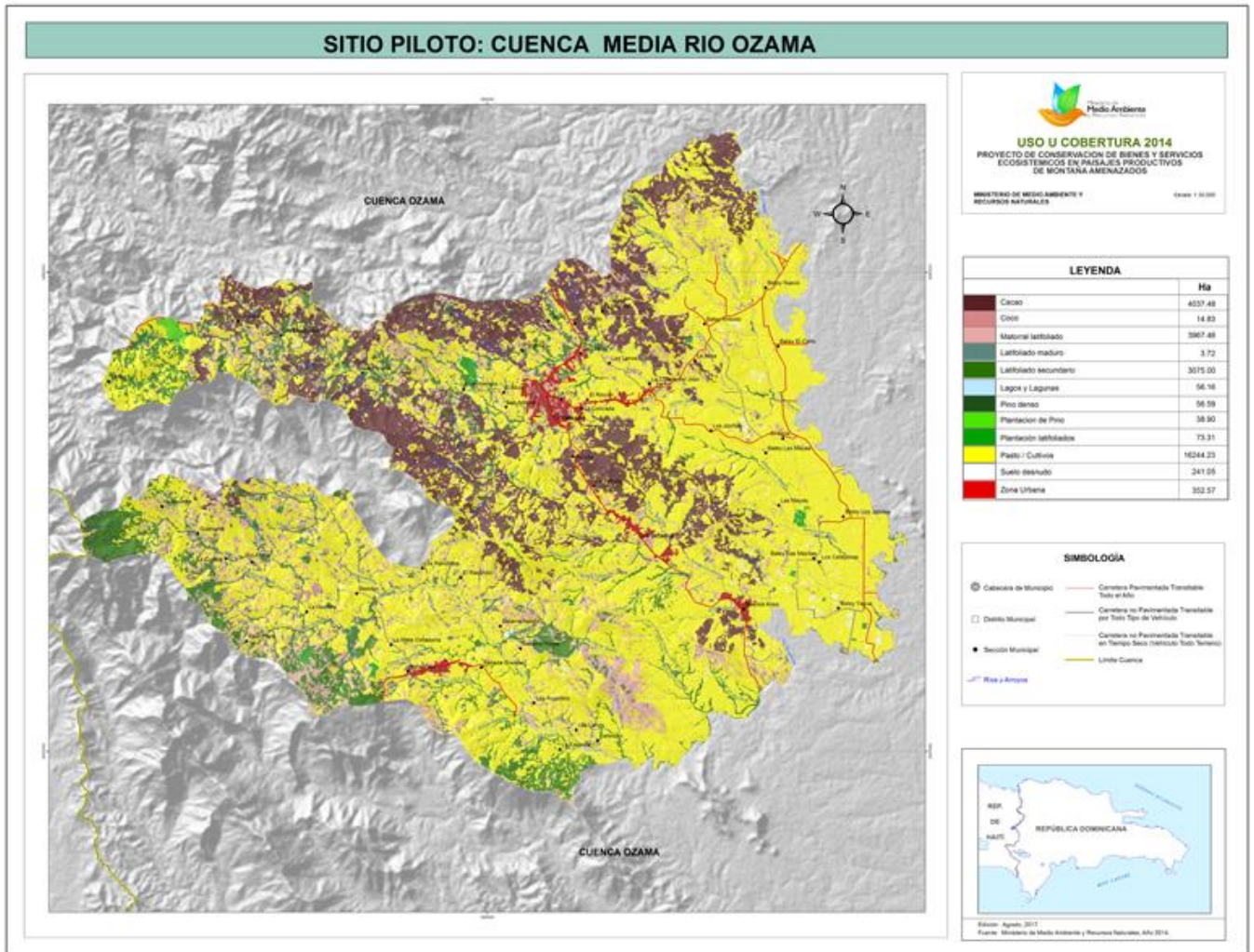
POLITICAL AND ADMINISTRATIVE DIVISION IN THE OZAMA (YAMASÁ) PILOT ZONE

PILOT SITE	PROVINCE	MUNICIPALITY	MUNICIPAL DISTRICT
MID WATERSHED OF OZAMA RIVER	Monte Plata	Monte Plata	Don Juan Chirino Boyá
		Bayaguana	
		Sabana Grande de Boyá	Gonzalo Majagual
		Yamasá	Los Botados Mamá Tingó
		Peralvillo	

The Ozama watershed provides very important ecological services to the Great Santo Domingo, where the capital of the country is located. To the northwest is the Aniana Vargas National Park, to the west, La Humeadora National Park, and to the southeast Sierra Prieta Biological Reserve. The area has been subject of much anthropogenic uses for historically long times, and little natural landscapes exist out of the protected areas. The strengthening and increment of sustainable productive systems in the zone, particularly cocoa, will maintain and increase the connectivity among protected areas, in particular, for the Valle Nuevo-Nizao-La Humeadora-Ozama corridor.

This area is at present under the process to be submitted to UNESCO MAB program to be declared as a biosphere reserve. Maintenance of productive sustainable landscapes and livelihoods is of crucial importance to maintain the ecological services provided not only to the municipality of Yamasá, where most of the cocoa production of this zone is concentrated, but also to the Great Santo Domingo. That is why it is so important to preserve cocoa in this pilot zone, since cocoa and coffee are among the friendliest BD agro-systems, allowing for important species of bat, birds, reptiles and amphibians to

maintain important populations, in particular, giant anoles (*Anolis baleatus*) and other anole species, galiwasps (*Celestus spp*), and amphibians (Hylids and eleutherodactylids), endemic and threatened. Promoting strong incentives for local farmers to continue with cocoa production in sustainable ways is of key importance to BD, SFM, and SLM. Cocoa production in the Yamasá area covers an area of 4037.48 ha, as shown in the map below.



PROJECT OUTCOMES AND OUTPUTS

The Overall objective of the project is to establish sustainable production systems to effectively buffer current and future threats to BD, SFM, and LD in the mountain landscapes of Yamasá municipality, within the mid-watershed of the Ozama River (Colinas Bajas).

The project will meet this goal through the following strategic result:

BD-friendly production systems and livelihoods mainstreamed in agriculture and forestry in the threatened mountain landscapes of Yamasá, within the mid-watershed of the Ozama River (Colinas Bajas).

The Outcome: An operational framework for sustainable management of mountain productive landscapes. Specifically, the pilot in Yamasá will produce the following outputs, activities and sub-activities:

Output A.1 Landscape level planning tools established and applied by key stakeholders

Activities:

- Enhance operational and outreach capacities of the Ministry of Environment provincial headquarters in Monte Plata province.
- Formalization of agreement with the Ministry of Agriculture to engage extension agents.
- Support the formulation of one provincial environmental agenda in Monte Plata, mainstreaming BD, SFM, LD and gender sensitivity criteria.
- Support the local government of Yamasá in the formulation/updating of its Municipal Development Plan (MDP) – with BD, SFM, LD, and gender sensitive criteria.
- Support Yamasá local government in the implementation of the MDP.
- Support the local government of Yamasá in the formulation of a land use plan (LUP) -with BD, SFM and LD criteria.
- Support the local government of Yamasá in the implementation of the LUP.
- Socialization of the sustainable production models proposed by the project for Yamasá threatened mountain landscapes.
- Operationalization of “Línea Verde” at provincial level in Monte Plata.
- Support the interconnection of GIS platforms between MA, MAGri and the local governments in Monte Plata province.
- Implement a participatory monitoring system of BD, LD, SFM
- Engage local stakeholders in decision making processes at provincial and municipal levels.

Output A.2: Sustainable production modules and practices implemented in Yamasá mountain landscapes

Activities:

- Characterization of farms and selection of best suited sustainable practices to be applied.
- Application of training module for producers (with BD, SFM, LD and gender criteria) tailored to the characteristics of these mountain landscapes.
- Implement a municipal early warning system in Yamasá for prevention, management and control of fires.
- Implement ecological restoration activities, as part of the implementation of BD friendly production systems (includes reforestation, natural regeneration, and monitoring).

Output A.3. A sustainable livelihoods package established in Yamasá mountain landscapes.

- Establish farmers field schools for producers with accompaniment by extension agents -this involves a commitment from the producers’ associations to adopt and replicate sustainable practices.
- Support the associations in the development of business plans (gender and age sensitive).
- Implementation of a Credit Access Package for the promotion of sustainable livelihoods -this involves a commitment from the producers to adopt sustainable practices.

- Develop entrepreneurial capacities by training and exchange of experiences (gender and age sensitive).

STAKEHOLDERS

The table below presents a map of local, regional and national stakeholders that are relevant for the Yamasá pilot site, within the mid-watershed of the Ozama River (Colinas Bajas), classified by their level of importance for the project as High (H), Medium (M) or Low (L):

PILOT SITE	LOCAL/REGIONAL STAKEHOLDERS	LEVEL OF IMPORTANCE FOR THE PROJECT			NATIONAL NATIONAL STAKEHOLDERS	LEVEL OF IMPORTANCE FOR THE PROJECT		
		H	M	L		H	M	L
Mid-watershed of Ozama River (Colinas Bajas)	Amor y Lucha Federation of Associations (25 organizations affiliated). H.Q. in La Cuchilla.	X			Ministry of the Environment and Natural Resources (MA)	X		
	Block 2 of CONACADO, with H.Q. in Yamasá Cooperative of CONACADO in Yamasá	X			Ministry of Agriculture (MAgr)	X		
	Santo Domingo Water Fund	X			MEPYD –Ministry of Economy, Planning and Development, through DGODT	X		
	ADEMI (a credit entity specialized in micro-financing)		X		Ministry of Energy and Mines, through the program Harvesting Good Water	X		
	Local government of the Yamasá municipality	X			Presidential Commission for Ozama-Isabela Watersheds	X		
	Association of Municipalities of the Higuamo Region (ASOMUREHI), affiliated to the Dominican Municipalities Federation (FEDOMU)	X			National Cocoa Commission	X		
	REDDOM (USAID)	X			Dominican Federation of Municipalities (FEDOMU)	X		
	PRONATURA: NGO with expertise in promoting sustainable production models, including the	X						

	Ozama watershed.							
	ENDA: NGO with expertise in promoting sustainable forest management in the vicinity of the Ozama watershed		X					

REPLICABILITY

The implementation of the actions envisaged for the three Outcomes of this pilot project will certainly have a very positive impact in the wide pilot area of the mid-watershed of the Ozama River (Colinas Bajas), serving as a major replicating tool for the adoption of sustainable production models and sustainable livelihoods practices in the threatened mountain landscapes of this territory.

Annex I: GUIDING PRINCIPLES OF THE SUSTAINABLE PRODUCTION AND BUSINESS PLAN MODELS

THE SUSTAINABLE PRODUCTIVE LANDSCAPES OF DOMINICAN MOUNTAINS (PPSMD)

INTRODUCTION

The Dominican Republic, as part of the Island of Hispaniola and the insular Caribbean, contributes significantly to the region being characterized as one of the most important global biodiversity hotspots, because of its high biological diversity and endemism (Caribbean Hotspot). Hispaniola contributes significantly to this, being the most geotectonically complex Caribbean island, formed by two paleoislands separated by a marine channel some 10,000 years ago. The Cul-de-Sac-Valle de Neiba represents the remaining of this old marine channel, with the two biggest Caribbean lakes, Enriquillo and Azuei. All this leads to the existence of a great biological diversity with very high levels of endemism.

However, the Dominican Republic does not escape the global crisis of biodiversity, with its own peculiarities. For example, 86% of Dominican amphibians, all endemic, are on the IUCN Red List of Threatened Species, as well as in the national Red List. Likewise, about 26% of the country's vascular plants meet with some degree of threat. The country is party to the Convention on Biological Diversity, committed to the Aichi Targets and the Global Strategy for Biodiversity Conservation, through its National Strategy for the Conservation and Sustainable Use of Biodiversity 2011-2020. One of the most important causes of biodiversity loss, which in turn leads to the reduction and / or loss of ecosystem services, is the change in land use, among others, the development of unsustainable productive landscapes. This has occurred extensively throughout our planet, and an alternative that has been sought is to shift towards sustainable productive landscape models.

This document seeks to define the Sustainable Productive Landscape model promoted through the Ministry of Environment and Natural Resources and the Ministry of Agriculture, in principle, within the framework of the GEF / UNDP / MA / MAgric project.

CONTEXT

Within the Global Environment Facility (GEF) funding framework, the project will support the development and implementation of integrated landscape restoration plans to maintain the services of forest ecosystems. It will support the implementation of these plans at appropriate scales by the government, the private sector and local community stakeholders. It will be achieved through the development and application of production and management practices that restore forests and ecosystem services and, ultimately, contribute to increased connectivity of native species. It will support the protection and enhancement of vegetation cover that is key to mitigating climate change.

It will also contribute to:

The Aichi Goals # 1, 2, 7, 11, 12 and 14, under the Convention on Biological Diversity.

The Neutrality of Voluntary Land Degradation under the United Nations Convention to Combat Desertification and Drought (UNCCD), the National Development Strategy (END), and the Sustainable Development Goals (SDG). The model also includes a gender and age sensitive approach.

THE PPSMD MODEL

Objective: To generate actions to assess the magnitude of biodiversity associated with productive practices and their natural environment, and identify priority actions to ensure and / or improve their

persistence in the landscape-level system, at the policy, instrument, and implementation level on the terrain.

Characteristics: There is a public sense that productive activities are contrary to the persistence of biodiversity. In order to analyze and eventually change these paradigms and achieve actions to improve biodiversity, it is necessary to analyze productive activities on a "landscape scale", so that productive activities and the preservation of biodiversity are two sides of the same coin, integral parts of a "Productive Sustainable Landscape".

BIODIVERSITY (BD)

The productive systems must be biodiversity friendly, for which practices of agricultural or forest management that can impact it negatively are not allowed.

This excludes:

- Use of cutting and burning, and in general, fire as a means of clearing the land;
- Use of agrochemicals, including chemical fertilizers and pesticides;
- Tillage;
- Monocultures on large tracts of land;
- Introduction of potentially invasive alien species.

The models should promote the maintenance of vegetation cover, the closest possible approximation to the functional structure of the ecosystem, the sustainable use of the soil and the connectivity with protected areas. Vegetable species used for shading should preferably be native species.

Monitoring:

Protocols will be established for the monitoring of biodiversity in coordination with the National Biodiversity Monitoring System and the institutions charged with its management. Monitoring will be carried out at the level of species richness of selected taxa (emphasis on endemic species, threatened and vulnerable to climate change), flora (ferns, bromeliads and orchids) and fauna (amphibians, reptiles and bats).

CBD and Aichi Goals:

The model contributes significantly to the achievement of the Aichi Goals and global and national strategies for the conservation and use of biological diversity under the Convention on Biological Diversity.

Ecosystem Services

The main ecosystem services provided by sustainable productive landscapes will be recognized and a selection will be made of the priority ones to be monitored. This includes the monitoring of key aspects of functional biodiversity.

Significantly, the monitoring of the phenology of identified key plants, both cultivated and non-cultivated, and their linkage with pollinators should be carried out.

SUSTAINABLE FOREST MANAGEMENT (SFM)

In addition to the aforementioned biodiversity considerations, production systems will include, *inter alia*:

Coffee: The coffee should always be grown in shade. High yield varieties will be used. It will be possible to intersperse other productive species, with the purpose of favoring financial sustainability. Vegetable

species used for shading should preferably be native species. Where this is not feasible, the reasons for non-feasibility should be substantiated. Shade coffee is considered one of the most environmentally friendly agro-cultures.

Cocoa: Agriculture equally friendly with biodiversity, under shade and without the use of agrochemicals.

Forestry: Forestry for the production of wood and other goods and services will give preference to the use of native species (eg *Pinus occidentalis* vs. *Pinus caribaea*) and avoid the use of invasive alien species.

Beekeeping: Apiculture is an environmentally sustainable activity, which favors productivity and can generate additional income.

Natural Areas of Voluntary Protection: The sustainable productive landscape must promote ecosystem services, for which the presence of Natural Areas of Voluntary Protection plays a role of great importance, favoring connectivity and ecosystemic functionality. Even small extensions interspersed with crops can greatly increase sustainability. As the name implies, these will be established on a voluntary basis and can be integrated into other productive mechanisms, such as beekeeping and ecotourism.

SUSTAINABLE LAND MANAGEMENT (SLM)

Soil is one of the most important resources of the ecosystem. Its degradation leads to an impoverishment of the same with important losses of its biodiversity and associated ecological services. The Dominican Republic suffers high rates of erosion of its soils. The sustainable productive mountain landscape model must pay particular attention to the conservation and sustainable use of land.

United Nations Convention to Combat Desertification and Drought (UNCCD): The model will contribute to voluntary measures taken by the country for the Neutrality of Land Degradation under the framework of this convention.

Ecotourism

There are several alternative forms of tourism (ecotourism, agritourism, agribiodiversity, bird watching tourism, others) that can be developed as complementary activities. The National Strategic Plan for the Development of Ecotourism will be taken into account as a base document.

CLIMATE CHANGE

The model should follow predictions on national, local, ecosystemic and species-specific vulnerability presented in the National Reports to the United Nations Framework Convention on Climate Change (UNFCCC).

POLICIES, INSTRUMENTS AND TRANSVERSALIZATION

Guidelines for land management under the "Sustainable Productive Landscapes of the Dominican Mountains" model are in line with the National Development Strategy 2030 (END), as well as Agenda 2030 and the Sustainable Development Goals (SDG). These should be mainstreamed in the corresponding policies and instruments, including the Municipal Development Plans and the Municipal Plans of Territorial Ordering. An SDG Monitoring System for municipalities will be developed and applied by the project.

STANDARDS AND CERTIFICATION

To the extent that progress is made with the implementation of this model, and based on the first experiences and lessons learned, they will develop more formal standards for the application of the

model, as well as mechanisms for the certification of sustainable production systems and their respective products and services.

CREATION OF THE BRAND "SUSTAINABLE PRODUCTION LANDSCAPES OF DOMINICAN MOUNTAINS (PPSMD)"

The mi-term objective is to establish a brand of origin and environmental and social commitment for marketing them nationally and internationally. This could be called, for example, "PRODUCTOMONTANASDOMINICANAS".

This mechanism on sustainable productive landscapes contributes to ensure the environmental and economic sustainability of productive activities.

Example: Sustainable Productive Coffee Model (generic for coffee and cocoa)

The productive unit tries to develop in the framework of an ecological system, which seeks to produce in a closed circuit. In other words, it mainly uses its own or local resources (compost, manure, green manure, directed fallow, etc.).

- The green manure favors the life of the soil, preserves and increases the humus content and improves the water supply. In this way improves the feeding of plants that increases their defenses against pests and diseases.
- Permanent and uniform coverage protects tropical soils from washing, laundering and excessive heat.
- Organic agriculture integrates animal husbandry within the production unit.
- Associated crops and crop rotation balance the mutual demands of plants, allow optimum use of soil and space, and reduce pest or disease attacks, thereby reducing the risks of poor harvesting.
- The integration of trees into the crop system (agroforestry, agroforestry) reduces water consumption in times of drought and creates a favorable microclimate. Trees improve the supply of plants with nutrients and contribute to protection against erosion. They are also suppliers of firewood, wood, fodder and a large variety of fruits.
- The management of weeds, pests and diseases is done mechanically and manually. The control of pests and diseases is carried out by means of crop rotation and association, as well as by means of biological preparations based on plants.
- For pesticide control, no pesticides or other synthetic chemicals are used. Preventive management of pests and diseases is sought mainly through various cultural practices.

Conditions for an Ecological Coffee consider the following aspects:

- Practices of organic production in the field of agriculture and livestock.
- Environmental Protection.
- Social and economic aspects of the people involved in the productive process.
- Organic coffee is grown in a sustainable production system where the use of fertilizers, herbicides, fungicides, pesticides or any other type of chemical-synthetic product is prohibited.
- The coffee can only be described as "organic" if it verifies that in the productive unit a program of ecological management of all the areas of cultivation is implemented.

The management plan considers aspects of soil conservation, continuous rejuvenation of coffee and other perennial crops, incorporation of different kinds of shrub (from creeping to arboreal) as well as the arboreal component for shade, production of firewood, fruits and wood.

Both the crops established in the production unit and the raising of animals should be managed under the principles of ecological agriculture.

Soil fertility must be maintained through the use of the available resources and the recycling of the harvest residues in the same productive unit.

Together with the development of organic coffee, in each production unit should be considered the improvement of living conditions and the environment.

Technological model of sustainable coffee production: Productive Indicators

- Densities (more than 300 plants / task)
- Uniform layout (to contour)
- Selective pruning per coffee plant or other system
- Defrost 1 to 2 times / year
- Annual coffee replanting
- Shade management: Shade regulated, even distribution
- Intensive use of fertilizers: 2 fertilizers with organic fertilizers (from 1 kg / plant) and 1 with Kmag (> 30 gr / plant) and foliar applications.
- Integrated Management of Pests and Diseases (cultural practices, biological control, ethological (traps) and use of mineral broths)
- Weed management with manual and mechanical weeding and trimming (3 to 4 times / year), starter of behucos and selective management to maintain coverage.
- Yield: 1.5 to 2.00 qq gold coffee / homework.

II. BUSINESS PLANS

The Project will support the development of business plans in each of the three pilot sites, to promote associativity in the development of sustainable productive activities.

During the PPG phase, leader organizations were identified in Nizao (Rancho Arriba) and Ozama (Yamasá) pilot sites, and the need to build such organization was identified in Sierra de Neyba (La Descubierta) pilot site. In Rancho Arriba, support will be given to strengthen capacities for local nuclei or associations affiliated to leader organizations ADESJO and CODOCAFE, while in Yamasá, support will be given to local cocoa associations affiliated to leading organization CONACADO. In La Descubierta, on the other hand, support will be given to the existing grass-root farmers' associations to complete the process of formation of a cooperative that fulfills the requirements to implement their business plan.

The design of a business plan is a participatory process by which the participants agree on a business strategy incorporating the different productive activities and livelihoods that they aspire to promote and develop. The business plan will develop a vision for the future and will identify immediate and long term actions to orient the development of productive capacities.

The business plans should provide essential information on the technical, commercial, social, environmental, and financial viability of the different productive activities and value chains it promotes and on the risks associated with them. The project proposes a multi-focal landscape approach (BD, LD, SFM) to address threats to the biodiversity and ecosystem services of productive mountain landscapes, by offering BD friendly, youth and gender sensitive technological packages adding value to coffee and cocoa production incorporated in pilot sites. These comprise a training package for trainers, technicians and extension agents and for farmers, tailored to the specific needs of the three pilot sites; support to farmers in the implementation of learned skills through the processes of planting, harvesting, and trading; and finally the development of business plans, which will be essential for the overall success of the project.

The proposed business plans comprise the following:

- Identification of gaps and requirements to develop value chains in sustainable production of coffee, cocoa, and associated livelihoods.
- Strengthening of value chains through capacity building, training, and post-harvest management.
- Formalization, development and strengthening of associativity, and the skills of the organizations in basic accounting, administration, financial management and trading.
- Identification and development of infrastructure needs for post-harvest management.
- Access to and management of financing mechanisms.
- Development of skills to form and run small and medium enterprises
- Branding and development of skills to access new markets

Annex J: Model for Monitoring SDGs and Aichi Targets at the Local Level

This project represents an important opportunity to contribute to the Sustainable Development Goals (SDGs) – both directly and as a catalyst for other sources of financing and support. The Project will contribute to the country’s efforts to achieve the SDGs by establishing a working model for monitoring the following Goals/Targets and Indicators within the context of the project’s interventions:

SDG 1: End poverty in all its forms everywhere

1.2 By 2030, reduce at least by half the proportion of men, women and children of all ages living in poverty in all its dimensions according to national definitions

Indicator 1.2.1. Proportion of population living below the national poverty line, by sex and age

The poverty maps reveal the following situation in each of the pilot municipalities:

Rancho Arriba	La Descubierta	Yamasá	Neiba
General poverty 75.4%	General Poverty 78.8%	General Poverty 74.5%	General Poverty 74.6%
Extreme Poverty 32.4%	Extreme Poverty 46.0	Extreme Poverty 23.3%	Extreme Poverty 35.3%

Source: MEPYD, 2014. Poverty Map.

The Project proposes to use the database of **Sistema Único de Beneficiarios (SIUBEN)** and small local surveys as a reference for determining changes in poverty in the project’s pilot areas. The changes will be measured twice during the project life as a percent of the total population or households and reported by municipal governments.

Indicator 1.2.2 Proportion of men, women and children of all ages living in poverty in all its dimensions according to national definitions

According to current national definitions, the extreme poverty threshold (the income needed to get a minimum level of calories intake per day) per head in September 2016 was RD\$2,138.14⁷⁰. The general poverty threshold (the income needed to purchase the minimal basket of goods and services) was RD\$4,644.08

The Project proposes to use the database of **Sistema Único de Beneficiarios (SIUBEN)** and small local surveys as references for determining changes in poverty in the project’s pilot areas per men, women and children. The changes will be measured in percent twice during the project life and reported by municipal governments.

SDG 5: Achieve gender equality and empower all women and girls

5.5 Ensure women’s full and effective participation and equal opportunities for leadership at all levels of decision-making in political, economic and public life

Indicator 5.5.2 Proportion of women in managerial positions

⁷⁰ USD\$ 1 = RD\$46.15 (September 2016).

The Project proposes that database of **Superintendencia de Pensiones (SIPEN)**, complemented by small local surveys, be used as a reference for determining the proportion of women in managerial positions, measured indirectly from the participation of women in the labor force in the high levels of salary in the pilot zones. The changes will be measured in percent twice during the project life and reported by municipal governments.

SDG 11: Make cities and human settlements inclusive, safe, resilient and sustainable

11.3 By 2030, enhance inclusive and sustainable urbanization and capacity for participatory, integrated and sustainable human settlement planning and management in all countries

Indicator 11.3.2 Proportion of cities with a direct participation structure of civil society in urban planning and management that operate regularly and democratically

The project proposes to use the criteria of existence of Land Use Plan, developed following the guidelines issued by MEPYD's DGODT, as an indirect indicator of participation of people in the urban and management planning in the pilot zones' municipalities.

SDG 15: Protect, restore and promote sustainable use of terrestrial ecosystem, sustainably management forest, combat desertification, and halt and reverse land degradation and halt biodiversity loss

15.1 By 2020, ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands, in line with obligations under international agreements

Indicator 15.1.1. Forest area as a proportion of total land area

The Project proposes to use updated land-use maps produced by the Ministry of Environment to measure twice during the life of the project on the proportion of forests in the total land area covered by the project's interventions in each of the pilot zones, and reported by municipal governments.

15.2 By 2020, promote the implementation of sustainable management of all types of forests, halt deforestation, restore degraded forests and substantially increase afforestation and reforestation globally

Since 2010, the Dominican Republic participates in the Regional Program REDD/CCAD-GIZ, to aid member countries of the Central American Integration System (SICA) to carry out the actions needed to develop sustainable compensation mechanisms to reduce CO2 emissions caused by deforestation and forest degradation. The REDD/CCAD-GIZ program is articulated around three components: i) Intersectoral Dialog; ii) Sustainable Compensation Mechanisms; and iii) Monitoring and Report. Each of these components is coordinated by a regional and a national responsible person. In the DR, the REDD/CCAD-GIZ focal point is the Ministry of Environment and Natural Resources.

The REDD/CCAD-GIZ program has provided technical assistance to carry out different studies and to develop capacities to update the national inventory on forests and to set out a national monitoring system on forests, complying with the requirements for Monitoring, Report and Verification under REDD+. Starting in 2012, the Regional Program assisted the DR in the development of a Readiness Preparation Proposal (R-PP) to access the Forest Carbon Partnership Facility (FCPF) implemented through the World Bank.

The World Bank assisted the DR's efforts in the formulation of the R-PP, approved by the FCPF in November 2014. This document included, among other elements: (i) a preliminary assessment of the drivers of deforestation and forest degradation; (ii) reasoning and actions related to strategic REDD+ options; (iii) a preliminary methodology to define its emissions reference level based on past emission rates and future emissions estimates; (iv) a Monitoring, Reporting and Verification (MRV) system for REDD+; (v) actions for integrating environmental and social considerations into the REDD+ Readiness process; (vi) a National REDD+ Strategy (ENA-REDD+); and (vii) the proposed institutional arrangements for a REDD+ regime.

The FCPF grant supports the development of REDD+ actions that will strengthen sectoral policies and programs conducive to the adoption of land use practices to improve resilience to climate change, and mitigate greenhouse emissions, and to address not only drivers of deforestation and forest degradation, but the underlying causes that limit restoration efforts in critical rural landscapes with severe loss of biodiversity, and soil cover and fertility, thus opening great opportunities for synergies and complementarities with this GEF project.

In order to implement REDD initiatives and contribute to the SDGs, the country must ensure the monitoring of emissions from deforestation and degradation and have the necessary information and capacities for reporting to the UNFCCC. To achieve economies of scale, much of the information needed should be generated at the regional level. Thus, the Program seeks to strengthen the technical and coordination capacities of the regional and national institutions in charge of Monitoring.

The REDD / CCAD-GIZ Program through its Monitoring, Reporting and Verification Component has as its objective "The decision makers and institutions required to report to the UNFCCC have the necessary data material on the monitoring of CO2 emissions from deforestation and degradation of forests".

Indicator 15.2.1. Progress towards sustainable forest management

The Project proposes to measure the progress towards sustainable forest management by the proportion of forested land and of land under forest management plans in the pilot zones as percentage of total land area of the municipality or province, through the updated land use maps produced by the Ministry of the Environment. The progress towards sustainable forest management is related to the REDD Program through its component for monitoring, report and verification, including the measurement of CO2 emissions from forest degradation and deforestation.

15.3 By 2030, combat desertification, restore degraded land and soil, including land affected by desertification, drought and floods, and strive to achieve a land degradation-neutral world.

Indicator 15.3.1. Proportion of land that is degraded over total land area

The Dominican Republic, through the Ministry of Environment and Natural Resources as Focal Point, supported by the Vice Ministry of Land and Water and the Interagency Technical Group (GTI) has established voluntary Land-Degradation Neutrality (LDN) targets, through an internal process of consultation and evaluation of goals in the context of the Conventions on Biological Diversity and Climate Change, taking into account the intrinsic link of these specifications under "Land Degradation Neutrality: from Concept to Practice", using the UNCCD LDN indicator framework for voluntary national targets and monitoring their achievement using an approach based on indicators:

a) The synoptic utilization of trends in land cover / land use.

b) Trends in land productivity.

c) Trends in carbon storage in the soil available in global databases.

15.9 By 2020, integrate ecosystem and biodiversity values into national and local planning, development processes, poverty reduction strategies and accounts

This will be measured using the national red list of endangered species.

Indicator 15.9.1 Progress towards national targets established in accordance with Aichi Biodiversity Target 2 of the Strategic Plan for Biodiversity 2011-2020

Progress in the indicator will be measured through the reports on compliance with Aichi's Biodiversity National Targets. This project will generate GEBs by contributing to Aichi Targets #1, 2, 7, 11, 12, and 14, for each of which national adapted targets have been set, as shown in the table below:

Aichi Biodiversity Global Target	Aichi Biodiversity National Target	Project Outputs	Selected SMART Indicators
<i>Target 1: By 2020, at the latest, people are aware of the values of biodiversity and the steps they can take to conserve and use it sustainably.</i>	Target 1. National awareness campaign on the value of biological diversity.	1.2.1 1.2.2 1.3.1 2.1.1 3.1.1 3.1.2	Trends in awareness, attitudes and public engagement in support of biodiversity Trends in identification, assessment and establishment and strengthening of incentives that reward positive contribution to biodiversity and ecosystem services and penalize adverse impacts
<i>Target 2:</i> <i>By 2020, at the latest, biodiversity values have been integrated into national and local development and poverty reduction strategies and planning processes and are being incorporated into national accounting, as appropriate, and reporting systems.</i>	Target 2. Biodiversity values strengthened in national planning processes and financing mechanism.	1.1.1 1.2.1	Trends in integration of biodiversity and ecosystem service values integrated in sector and development policies
<i>Target 7:</i> <i>By 2020 areas under agriculture, aquaculture and</i>	Target 7. Promotion of sustainable	2.1.1	Trends in pressures from unsustainable agriculture, forestry,

<i>forestry are managed sustainably, ensuring conservation of biodiversity.</i>	agriculture, aquiculture and forestry to reduce impacts on biodiversity.	3.1.1	and other production ⁷¹ Trends in proportion of products derived from sustainable sources ⁷²
Target 11: <i>By 2020, at least 17 % of terrestrial and inland water, and 10 % of coastal and marine areas, especially areas of particular importance for biodiversity and ecosystem services, are conserved through effectively and equitably managed, ecologically representative and well-connected systems of protected areas and other effective area-based conservation measures, and integrated into the wider landscapes and seascapes.</i>	Target 11. Strengthening National Protected Areas System.	1.1.1 1.3.1 2.1.1 2.1.2	Trends in the connectivity of protected areas and other area based approaches integrated into landscapes and seascapes
Target 12: <i>By 2020 the extinction of known threatened species has been prevented and their conservation status, particularly of those most in decline, has been improved and sustained.</i>	Target 12. Improved conservation status of threatened	2.1.1 2.1.2	Trends in distribution of selected species
Target 14: <i>By 2020, ecosystems that provide essential services, including services related to water, and contribute to health, livelihoods and well-being, are restored and safeguarded, taking into account the needs of women, indigenous and local communities, and the poor and vulnerable.</i>	Target 14. Increase connectivity among protected ecosystems, increasing local participation and women participation in management and benefits sharing.	2.1.1 2.1.2 3.1.1 3.1.2	Trends in area of degraded ecosystems restored or being restored Trends in benefits that humans derive from selected ecosystem services

⁷¹ In the proposed project, this SMART indicator will be measured through 1 operative indicator: (i) Trends in areas of forest, agricultural and other productive ecosystems under sustainable management.

⁷² In the proposed project, this SMART indicator will be measured through 2 operative indicators: (i) number and volume of certified products commercialized under certification schemes; and (ii) number of producers who have adopted sustainable production systems.

Annex K: Analysis of Current Financial Options & Guide to Access Financing at the Local Level

1. The context of Ecosystem Services:

Ecosystem services can be defined as those aspects or components of ecosystems used passively or actively to produce individual or collective well-being. (Brendan Fisher, Turner, & Morling, 2009). Ecosystem services also include the structure or components of ecosystems and their functions or processes, which become services if people can benefit from them (Brendan Fisher et al., 2009). The Millennium Ecosystem Assessment initiative (2005) proposes a general classification of services derived from ecosystems, which consists of four broad categories:

- **Provision services:** the provision of natural resources (renewable, non-renewable, continuous), keys to economic activities of production, subsistence and consumption. They include tangible goods such as: fibers, fuels, water, food, etc.
- **Regulatory services:** these services are key to the stabilization of ecosystems, and among them are the regulation of air quality, climate regulation, erosion control, water purification and waste treatment, control of diseases and vectors, etc.
- **Cultural Services:** Cultural services are related to the non-material benefits gained by individuals and populations as well as religious and spiritual values. These services include: cultural diversity, religious and spiritual values, knowledge systems (traditional and scientific), amenities and aesthetic enjoyment, among others.
- **Life support services:** these services determine the overall functioning of ecosystems as they are necessary for the production of the remaining ecosystem services. These services include: soil formation, photosynthesis, the hydrological cycle and other similar cycles such as carbon or hydrogen, among others.

These services are present in the pilot areas selected for the interventions of this project. The concept of sustainable productive landscapes involves territorial management, considering the protection of the landscape that allows the provision of services, productive activities and human well-being. A balanced and sustainable development model implies recognizing that natural capital, in addition to providing raw materials, is a source of well-being and security for the population. This intrinsic relationship between environmental quality, the availability of resources and the well-being of the people justifies the social effort to improve the way and the purposes of taking advantage of nature (Balvanera et al, 2011).

2. Barriers, market failures and perverse incentives

In the context of rural development and changes in land use, a series of market failures associated with social costs resulting from environmental degradation are rooted in three main elements: (a) information asymmetries regarding the value of ecosystem services territory, in terms of ignoring the environmental impacts of changes in land use, (b) the lack of mechanisms to incorporate negative externalities into the cost structure of rural productive units, and (c) the status of public goods in natural ecosystems.

The investments that an economic agent decides to carry out on the land depend, in a large extent, on the return of the profitability that it expects. This factor has a high impact on land use in the context of the rural economy. Decisions on alternative uses are conditioned to the information that the economic agent has about the value of the land and the resources present there. With little information about the social benefit that conservation lands can provide, it is tempting to exploit land and natural resources in ways that degrade the environment. The State plays a fundamental role in sending the appropriate signals to the market on the real value of the land and the ecosystem services of the territories. Without this clear information, it fails to establish the most appropriate land uses that have positive externalities.

Similarly, the lack of mechanisms that allow the incorporation of negative externalities of economic agents perpetuates the inappropriate use of land. The economic costs generated by the negative externalities of production processes often go unnoticed and are, therefore, not considered in the formulation of investment policies and decisions. This is reflected in the absence of taxes and rates that reflect the environmental costs of production and consumption decisions.

Compensations for Ecosystem Services will have validity and greater options if accepted by community agricultural producers, as long as they are valued higher than alternative land uses. If this is not the case, there is a risk that farmers will prefer to continue economic activities that generate more income and that perpetuate the degradation of the environment.

The lack of clear guidelines and a strategy that defines the context of adequate financial mechanisms to internalize the value of ecosystem services of natural capital is a barrier that limits the development of these mechanisms. The Ministry of Environment and Natural Resources, as the guiding entity of Natural Capital, should establish clear rules and a framework of adequate incentives, according to Law 64-00 to recognize and internalize the value of ecosystem services in natural landscapes, protected areas and productive landscapes.

Although it is important to create the legal and operational structures that allow the participation of the largest possible number of actors in the transactions of certificates of environmental services, they themselves will not ensure the success of the scheme, since policy factors can inhibit the adoption of the scheme at national level and the conservation objectives sought with the different regulations. Another type of policy failure or barriers may compromise the expansion of the scheme and delay the urgency that some measures must be implemented to curb the loss of environmental services and forested areas. One of the policy failures is that of "perverse" or inadequate incentives, which arise when a created incentive has undesirable results, contrary to the interests of the creators of the incentive. For example, in some countries of the continent, subsidies that promote agriculture and livestock also reverse the conservation of biodiversity.

Current initiatives are too resource-specific and/or geographically limited for general application and overall Ecosystem Service consideration:

- Payment for Hydrologic Environmental Services in the Yaque del Norte Basin (PSA-CYN).
- Migratory Thrush Protection Program, which includes payment for carbon sequestration and protection of biodiversity under the Plan Vivo scheme.
- REDD Pilot Project, designed and in the process of implementation in the Yaque del Norte basin.

Other related mechanisms include:

- Water Funds for Santo Domingo and Santiago.
- Experiences of certification of agricultural products such as bananas, cocoa and coffee.
- Successful experiments in analog forestry (agroforestry systems with native species and sustainable production, imitating the canopy of the primary forest).

Building upon the experiences of the abovementioned instruments, the scheme to be developed by the Ministry of Environment must include three main components:

- Maintain and / or improve the condition of conservation of the natural ecosystems that are the basis of natural capital in the provision of ecosystem services as sustenance for social and economic development.
- Control and / or manage threats that put in risk the safe provision of ecosystem services for the social and economic development of the region, the country and the world.
- Promote and manage the social benefits provided by the natural capital through the promotion and sustainable use of ecosystem services provided by the natural capital to the development.

3. Payment for Environmental Services/ Integral Compensation for Environmental Services (CISA) scheme

The value of the water resource can be measured both in economic terms (its productive value), and in terms of quality of life (access to clean potable water). The downstream water users therefore have an interest in SLM activities in the upper watershed Ozama and Nizao which will ensure a continued supply of the resource, and the project will capitalize on this to establish Payment for Environmental Services or Integral Compensation for Environmental Services (CISA) mechanisms from downstream water users to help finance the SLM activities upstream. During the project's design phase, two services were identified for potential compensation schemes: Potable Water and Hydroelectric Energy. The detailed design, negotiation, and operationalization of these schemes will be done during the project's implementation.

Potable Water

Potable water users in Santo Domingo City, are currently charged an average tariff of \$3.78 USD per household per month, though a majority only pay five or six months of service a year or not at all. Water gauges at every household are being installed in some parts of Santo Domingo and it is expected that within three to five years, gauges will also be installed in the complete city.

The project will work with the CAASD and the Santo Domingo Water Fund to design and set up this compensation scheme. This is a public-private partnership for the protection and restoration of the Ozama and Nizao basins, both in the area of influence of the project. It is recognized that it is a slow process to accustom individual water users to pay for a resource which many believe should be delivered free of charge, and as a right for all. The project is also likely to meet a general skepticism towards paying user fees in a country where there is little confidence that a tangible benefit will be received in return. A water valuation study will be performed, along with a willingness to pay survey, as important inputs to the design and implementation of the mechanism.

Hydroelectric Energy

Hydroelectric energy produced at Nizao infrastructure is estimated in at 431.26 gigawatts per hour per year. The state-owned Empresa Electrica del Sur (EDESUR) distributes this energy through the national grid system. The current tariff is set according to differentiated consumption levels but the average price for a low to medium class household is 10 cents/ kw/ hour USD, one of the highest rates in the world and rising. EDESUR, along with EDENORTE (a sister company serving the northern part of the country) belong to the Dominican Corporation of Electricity Companies (Corporacion Dominicana de Empresas Electricas CDEE). CDEE manages a large operational fiscal deficit due to high energy subsidies they provide to the lowest income classes in the country, the high percentage of users that do not pay for their service, along with other problems produced by the sale and later reacquisition of Edesur and Edenorte from a Spanish company.

The extremely complicated energy situation in the country will make it extraordinarily challenging for the project to establish a successful payment for environmental services scheme with the energy sector. The project will continue to consider this as an option if the situation becomes more stable. This would require the elaboration of estimates of the value of productive capacity lost to sedimentation, and the monetary value represented by the reduction in sedimentation resulting from the project's actions. These estimates would be used in negotiations with the power company to ensure their participation in a compensation scheme.

4. Financial options and access to financing at the local level

The country has specialized financing sources for agricultural activities, such as the Agricultural Bank and the Special Fund for Agricultural Development (FEDA). In the area of banking dedicated to the promotion of micro, small and medium enterprises, there are lines of financing for production in Fondomicro, Banca Solidaria and the Association for the Development of Women (ADOPEM), the latter supporting primarily women's initiatives.

Within Formal Banking, commercial banks have specialized lines of credit for microenterprises, which include support for productive activities. However, the risks associated with the uncertainty of agricultural production limit the investment of private banks in supporting small producers, which constitutes a major barrier in the availability of funds to support productive activities. The incorporation of lines of credit in formal banking requires changes in the financial scheme to reduce requirements that small producers cannot meet in rural areas. The framework of this project does not contemplate macro-level actions to change formal banking guidelines.

Project actions, therefore, should focus on establishing alliances with the Agricultural Bank and ADOPEM for the financing of productive activities and enterprises in the pilot areas. Additionally, with local entities, establishment of a guarantee fund in each of the pilot sites for the promotion of microcredit for productive activities associated with ecotourism schemes, agrotourism and complementary small businesses.

5. Intervention proposals for pilot sites

The productive activities prioritized in the pilots are those related to the promotion of 2000 hectares of coffee production under agroforestry systems in the areas of Sierra de Neyba and Rancho Arriba, distributed in 1,000 hectares of intervention in each of these pilot sites. These interventions will include a technology package that includes technical assistance and provision of coffee seedlings in rust-resistant varieties, quality native forest species and other native fruit and agricultural products that

complement agroforestry farms. In the area of Yamasá, the establishment of 1,000 ha of cocoa with supply of high-yielding plants, under an analogous forestry scheme, which includes native forest species and different options of agricultural crops, which complement the basic basket.

The proposed financial mechanisms are as follows:

- Certification of products of production systems friendly to birds and biodiversity.
- Carbon Bond Scheme for agroforestry systems, under the Plan Vivo or Rainforest Alliance modality.
- Establishment of rates for large water users for a PES/Compensation scheme, agreed with the Water Fund for Santo Domingo.
- Agreements with the Agricultural Bank and ADOPEM for the establishment of green credit lines for sustainable production in the intervention area.
- Establishment of a Guarantee Fund, with a seed fund, for the management of the resources directed to the investment in productive sustainable activities in the pilot sites with local institutions, under an escorted credit scheme.⁷³
- Establishment of routes for visits to natural areas of interest in the area, and packages of services run by the community.
- Selection and preparation of farms for agrotourism visits.

⁷³ Pursuant to UNDP's Guidance on Micro Capital Grants , the following types of activities are supported by grants for non-credit purposes:

- a. Strengthening the institutional capacity of local NGOs and CBOs;
- b. Supporting community-based self-help initiatives, which may include income-generating activities designed to alleviate poverty;
- c. Promoting advocacy activities and networking between civil society organizations (CSOs), government and donors; and
- d. Supporting NGOs and CBOs involved with local environmental protection and poverty eradication activities.

The project will work with local NGOs to support the establishment and strengthening of BD, LD friendly production and livelihoods in the target areas. This is envisioned to include support in planning as well as material goods such as equipment and infrastructure associated with each case. Through the Micro Capital Grants, all resources awarded to local NGOs and producers will be expended within the project timeframe with concrete outputs.

Where a micro-capital grant is to be provided, a Standard Grant Agreement (Micro-Capital Grant Agreement) must be established between the designated institution of the programme or project and the recipient institution. The Grant Agreement sets out:

- (a) the responsibilities of each party;
- (b) the activities to be undertaken;
- (c) the outputs to be produced;
- (d) the performance criteria for the release of future tranches of funding;
- (e) duration of activities;
- (f) reporting arrangements for credit related purposes.

- Support for minimum infrastructure improvements for housing and food.
- Credit line for Agrotourism and Ecotourism initiatives.
- Credit line for activities of manufacture and crafts with local products.

6. Indicators of the results framework and for monitoring

Based on selected indicators for the evaluation of financial mechanisms, a monitoring and follow-up process is established. The monitoring and follow-up of the financial mechanisms and their results will allow the improvements and adjustments to the instruments and processes that are implemented. In addition, it will allow the definition of new processes and instruments according to the new requirements that are identified. This means that the implementation of financial mechanisms responds to a dynamic approach with the ability to adapt to space and time.

The financial mechanisms, seek to guarantee processes of conservation of the natural capital. The impact of the mechanism on social and economic aspects of the population is expected. That is why it is important to be able to monitor aspects related to economic activities and the improvement of the conditions of family income, and social in general.

In this sense, the monitoring of aspects related to the production and improvement of families is proposed, with the monitoring of previously selected indicators:

1. Design of a set of indicators for the monitoring of each financial instrument.
2. Analysis of costs for the installation and operation of the Monitoring System at an institutional level of the financial mechanisms.
3. Creation of the monitoring system for economic instruments.
4. Monitoring of the management of financial mechanisms.

Annex L: LIST OF PEOPLE THAT WERE CONSULTED IN WORKSHOPS AND MEETINGS DURING PPG PHASE

TECHNICAL MEETINGS AND PILOT SITES VISITS:

NAME	INSTITUTION OR ORGANIZATION	PHONE NUMBER	E-MAIL ADDRESS
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NATIONAL WORKSHOP TO VALIDATE PROJECT RESULTS FRAMEWORK

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Annex M: Stakeholder Engagement Plan

In broad terms, a stakeholder can be defined as any person, group or organization that affects, or can be affected, by an action⁷⁴. Therefore, the stakeholder has an interest in the project, can influence the process of the project, may have important information or data to share, and may have influence to advocate for the decisions at different levels. This stakeholder engagement plan identifies the key project stakeholders and outlines a strategy to ensure that they are engaged throughout project implementation. These key stakeholders include target groups of producers and their organizations in the threatened mountain landscapes of the three pilot zones (Sierra de Neyba southern slope; the corridors that connect Valle Nuevo NP, La Humeadora NP, and Barbacoa Reserve; and the mid-watershed of Ozama river), as well as provincial authorities of Independecia, Baoruco, San José de Ocoa and Monte Plata, local governments, NGO's, and the ministries of Environment, Agriculture; and Planning, Economy and Development, among others. In the agriculture sector, the National Cocoa Commission and the Dominican Coffee Council (CODOCAFE) are also to be mentioned among key stakeholders, as well as the financing entities like Banco Agrícola and FEDA.

The objective of this project is to mainstream the conservation of biodiversity and ecosystem services in public policies and practices at the local level (provincial, municipal and community) to effectively buffer current and future threats across productive mountain landscapes. To achieve its objective, the implementation strategy relies in a broad governance scheme that involves public, private and community based stakeholders, and in the establishment of sustainable production systems in three threatened mountain ecosystems and conservation corridors to effectively buffer current and future threats to Biodiversity (BD), Sustainable Forest Management (SFM), and Land Degradation (LD).

The selected pilot zones are:

- a) **The southern slope of the Sierra de Neyba mountain range, below the Sierra de Neyba NP**, comprising part of the provinces of Independencia and Baoruco, Enriquillo region, where the project will make synergies with the government Agro-forestry Program, focusing in the threatened mountain landscapes of La Descubierta municipality, in Independencia province, comprising the communities or rural sections of Los Pinos and Ángel Félix, where reforestation efforts from the Ministry of Environment have been going for the past eight years, and where some 400 hectares of coffee remain in the highest lands. Since Neyba is the capital of the Baoruco province, and the second most important human settlement in the Enriquillo region, the project will provide support to the local authorities to increase their development and territorial planning capacities, mainstreaming BD, SFM, LD, and gender sensitivity criteria.

- b) **The corridors that connect Valle Nuevo NP, La Humeadora NP, and Barbacoa Reserve along the southern part that drains towards the Nizao river watershed.** Along this area the Project interventions will focus in promoting sustainable production systems in the threatened mountain landscapes of the Rancho Arriba municipality, comprising the communities of Los Morrones, La Jina and La Vigía, where coffee farms cover an area of approximately 1000 hectares. In addition to this, the project will offer support to provincial authorities and local

⁷⁴ The Nature Conservancy: Involving Stakeholders for Setting Environmental Flows.

governments in strengthening their development and territorial planning capacities, mainstreaming BD, SFM, LD, and gender sensitivity criteria.

- c) **The mid-watershed of Ozama River (Colinas Bajas)**, where the project interventions will focus on the threatened mountain landscapes of the municipality of Yamasá, Monte Plata province. The Ozama river basin supplies water for the Great Santo Domingo, which comprises the capital city of Santo Domingo (the National District), and the Santo Domingo province, which together conform the largest human settlement of the Dominican Republic with nearly three million inhabitants (2010). The communities settled in these mountain landscapes have a long tradition of harvesting cocoa, and the project aims to strengthen this crop, promoting sustainable production systems in an area of nearly 1,500 hectares, and supporting local governments and provincial authorities in strengthening their development and territorial planning capacities, mainstreaming BD, SFM, LD, and gender sensitivity criteria.

The table below shows the political and administrative division of the pilot zones, excluding those municipalities outside the scope of the project, which will provide support to four provinces in the selected area (Independencia, Baoruco, San José de Ocoa, and Monte Plata), for the development of their planning and coordination capacities; will provide support to ten local governments in the participatory formulation and implementation of their municipal development plans and their land use plans, in line with the targets for mid-term and end of project shown in the Project Results Framework.

POLITICAL AND ADMINISTRATIVE DIVISION IN THE PILOT ZONES

PILOT SITE	PROVINCE	MUNICIPALITY	MUNICIPAL DISTRICT
SOUTHERN SLOPE OF SIERRA DE NEYBA	Independencia	La Descubierta	
		Postrer Río	• Guayabal
	Baoruco	Neyba	• El Palmar
		Galván	• El Salado
		Villa Jaragua	
		Los Ríos	• La Clavellina
UPPER NIZAO (CORRIDORS CONNECTING 3 PA)	San José de Ocoa	San José de Ocoa	• La Ciénaga • Nizao-Las Auyamas • El Pinar • El Naranjal
		Sabana Larga	
		Rancho Arriba	
MID WATERSHED OF OZAMA RIVER	Monte Plata	Yamasá	• Los Botados

To achieve the project expected results, it will be necessary to involve key stakeholders at the national level, mostly ministries responsible for policy formulation and enforcement in areas of interest for the project, as well as a wide variety of stakeholders that are presented in the table below, highlighting their foreseen role in the implementation of the project.

Stakeholders	Project Implementation Role
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<p>Ministry of Environment and Natural Resources (MA)</p> <ul style="list-style-type: none"> – Vice Ministry of Protected Areas and Biodiversity; VM of Forest Resources – VM of Soils and Water – Planning and Development Directorate 	<p>MA is the GEF focal point and the public agency responsible for the formulation of national policy related to the environment and natural resources and to ensure the sustainable use and management of renewable natural resources and the environment. MA will be in charge of guiding activities related to BD conservation, and policy issues through the implementation of national plans and policies related to conservation of BD. MA will expand ecotourism policies (developed in the Reengineering of PA project) and existing synergies with MITUR and other key stakeholders. MA will also guide activities related with SLM and erosion/degradation prevention, including strategic coordination with other Ministries and Local governments. Additionally, MA will lead sustainable forest management and forest fires prevention activities, in order to guarantee the protection and expansion of existing forest ecosystems.</p> <p>The Vice Ministry of Protected Areas and Biodiversity will lead the day to day execution of the project, ensuring appropriate engagement of specific dependent Vice Ministries and Directorates which will need to be involved to a greater or lesser degree with specific aspects of implementation.</p>
<p>Ministry of Agriculture (MAgr)</p> <ul style="list-style-type: none"> – Vice Ministry of Planning – Planning Directorate 	<p>Institution responsible of the formulation and guidance of agricultural policies in the DR. MAgr supports producers to improve their competitiveness and access to markets, in order to guarantee food security, employment generation, increase of foreign profits, and improvement of livelihoods.</p> <p>MAgr, MA and the Administrative Ministry of the Presidency are key stakeholders in one of the major government baseline initiatives: the agroforestry development project, which will be implemented in two of the three selected pilot sites (Sierra de Neyba Southern Slope and Upper Nizao), and as such will play a major role in complementing the project's actions.</p> <p>MAgr will be engaged at different levels in project implementation, by providing advice at the senior and the technical/political levels. Through their extension system, MAgr will contribute with technical accompaniment and capacity building to farmers, will be engaged in the implementation of interconnected GIS platforms, and will provide cash and in-kind co-financing for the provision of seeds, plants, post-harvest infrastructure, and improvement of inter-farm access roads, among others.</p>
<p>CODOCAFE (Dominican Council of Coffee)</p>	<p>Public – private organization responsible of guiding coffee policies and supporting the development of the sector and producers. It will be engaged in the promotion of sustainable coffee production in two of the pilot sites (Nizao and Sierra de Neyba), will provide advice at technical/policy levels in this domain, and will contribute with cash and in-kind financing to complement project actions to strengthen diversified BD friendly coffee production.</p>
<p>National Cocoa Commission</p>	<p>Public – private organization responsible of designing the national cocoa policy, supporting increase and rehabilitation of cocoa farms, and improving cocoa quality. It will provide advice at the technical/policy levels to improve cocoa cultures, particularly in the Yamasa pilot site.</p>
<p>MEPYD –Ministry of Economy, Planning and Development</p> <ul style="list-style-type: none"> – General Directorate of Territorial Planning and Development (DGODT) 	<p>MEPYD coordinates the National Planning and Public Investment System. It holds responsibility for territorial planning and plays a key role in the approval of national budgets, public investment projects and so on. MEPYD is currently engaged in different territorial planning processes at the local level, and will be an important stakeholder for the formulation and implementation of development and land use plans in the 10 municipalities comprised in the pilot zones. DGODT will provide policy guidance and will be engaged in the processes related with the formulation and implementation of Municipal Development Plans and Land Use Plans, as well as in the establishment of governance platforms at municipal and provincial levels in the</p>

	pilot zones.
MITUR - Ministry of Tourism. – Directorate of Ecotourism	MITUR regulates and promotes the tourism sector. Should be considered for the development of any agro-ecotourism activity in pilot sites, in close coordination with MA.
Municipalities, including FEDOMU (Dominican Federation of Municipalities)	Responsible for overseeing land-use management at local level, within their areas of jurisdiction, for ensuring that management strategies are appropriate to local needs and for ensuring that the needs of local stakeholders are taken into account in the definition of management strategies. The municipalities will benefit from and will be engaged in the territorial planning activities to be carried out by the project (formulation and implementation of Municipal Development Plans & Land Use Plans, development of the SDG monitoring platforms and establishment of Municipal Development Councils).
Local communities	Local communities and rural users of natural resources and their grassroots organizations will be direct beneficiaries of the project in terms of enhancing capacities for governance systems, planning issues, participation tools. Through their grassroots associations, the local communities will take part in the different participation and consultation platforms to be promoted by the project and will be beneficiaries of the different planned activities.
NGOs	The civil society organizations considered in this plan make an important contribution to the management of Pas, and the management of buffering zones, particularly productive mountain landscapes. They have been consulted during the PPG phase and will be involved early on in providing technical assistance for the implementation of the project. NGOs such as Pronatura, Fundación REDDDOM, ADESJO, CIEPO and FLORESTA, can contribute in the development of sustainable livelihoods, due to their strong field record and know-how of the context, and their experience working with farmers in the pilot sites.
FAO	Will provide guidance and assistance in the application of the forest fire management package.
UNDP	Serves as the implementing agency of GEF co-financed projects.

In the previous table key stakeholders that need to be considered for project implementation in general are defined, while the table below presents a map of local, regional and national stakeholders that are relevant for each of the selected pilot sites, classified by their level of importance for the project as High (H), Medium (M) or Low (L):

PILOT SITE	LOCAL/REGIONAL STAKEHOLDERS	LEVEL OF IMPORTANCE FOR THE PROJECT			NATIONAL STAKEHOLDERS	LEVEL OF IMPORTANCE FOR THE PROJECT		
		H	M	L		H	M	L
Southern slope of the Sierra de Neyba mountain range,	Producers grass-root associations from the mountain communities of La Descubierta, around the sections of Los Pinos and Ángel Félix (a cooperative	X			Ministry of the Environment and Natural Resources (MA)	X		

PILOT SITE	LOCAL/REGIONAL STAKEHOLDERS	LEVEL OF IMPORTANCE FOR THE PROJECT			NATIONAL STAKEHOLDERS	LEVEL OF IMPORTANCE FOR THE PROJECT		
		H	M	L		H	M	L
below Sierra de Neyba NP	is currently under formation, in a joint effort that engages all the communities). Women in Action Association (Asociación de Mujeres en Acción).							
	CIEPO	X			Ministry of Agriculture (MAgr)	X		
	Floresta	X			Administrative Ministry of the Presidency	X		
	World Vision			X	MEPYD –Ministry of Economy, Planning and Development, through DGODT	X		
	FUNDASUR			X	Ministry of Energy and Mines, through the program Harvesting Good Water	X		
	Federation of Women Farmers from the Enriquillo Region (FEMARE)		X		CODOCAFE	X		
	Local government of La Descubierta municipality.	X			Dominican Federation of Municipalities (FEDOMU)	X		
	Association of Municipalities of the Enriquillo Region (ASOMURE), affiliated to the Dominican Municipalities Federation (FEDOMU)	X						
	Dry forest producers			X				
	LEMBA			X				
Upper Nizao; corridors	San José de Ocoa Development Association (ADESJO)	X			Ministry of the Environment and Natural Resources	X		

PILOT SITE	LOCAL/REGIONAL STAKEHOLDERS	LEVEL OF IMPORTANCE FOR THE PROJECT			NATIONAL STAKEHOLDERS	LEVEL OF IMPORTANCE FOR THE PROJECT		
		H	M	L		H	M	L
that connect Valle Nuevo NP, La Humeadora NP, Barbacoa Reserve.					(MA)			
	Youth and Nature		X		Ministry of Agriculture (MAgr)	X		
	Cooperative of Producers under Controlled Environment		X		Administrative Ministry of the Presidency	X		
	Grass-root producers' associations of Rancho Arriba, including women's associations (all affiliated to the Federation)	X			MEPYD –Ministry of Economy, Planning and Development, through DGODT	X		
	Local governments of San José de Ocoa, Sabana Larga, and Rancho Arriba (including those of the municipal districts belonging to San José de Ocoa and Sabana Larga)	X			Ministry of Energy and Mines, through the program Harvesting Good Water	X		
	Santo Domingo Water Fund	X						
	Association of Municipalities of the Valdesia Region (ASOMUREVA), affiliated to the Dominican Municipalities Federation (FEDOMU)				Hydropower Generation Enterprise.		X	
					CODOCAFE	X		
				Dominican Federation of Municipalities (FEDOMU)	X			
Mid-watershed of Ozama River (Colinas Bajas)	Amor y Lucha Federation of Associations (25 organizations affiliated). H.Q. in La Cuchilla.	X			Ministry of the Environment and Natural Resources (MA)	X		
	Block 2 of CONACADO, with H.Q. in Yamasá CONACADO's Cooperative in Yamasá	X			Ministry of Agriculture (MAgr)	X		
	Santo Domingo Water Fund	X			MEPYD –Ministry of Economy, Planning and Development, through DGODT	X		

PILOT SITE	LOCAL/REGIONAL STAKEHOLDERS	LEVEL OF IMPORTANCE FOR THE PROJECT			NATIONAL STAKEHOLDERS	LEVEL OF IMPORTANCE FOR THE PROJECT		
		H	M	L		H	M	L
	ADEMI (a credit entity specialized in micro-financing)		X		Ministry of Energy and Mines, through the program Harvesting Good Water	X		
	Local government of the Yamasá municipality	X			Presidential Commission for Ozama-Isabela Watersheds	X		
	Association of Municipalities of the Higuamo Region (ASOMUREHI), affiliated to the Dominican Municipalities Federation (FEDOMU)	X			National Cocoa Commission	X		
	PRONATURA: NGO with expertise in promoting sustainable production models, including the Ozama watershed.	X			Dominican Federation of Municipalities (FEDOMU)	X		
	REDDOM FOUNDATION	X						
	ENDA: NGO with expertise in promoting sustainable forest management in the vicinity of the Ozama watershed		X			X		

Stakeholders engaging mechanisms

Mechanisms for stakeholders' engagement will operate at different levels and under different modalities, to ensure the overall governance of the project, to ensure that stakeholders interests and points of view are duly represented, and to ensure the advocacy for decisions at different levels from those who hold a position of power. In as much as possible, duplication of efforts and straining people with an overload of meetings will be avoided. The proposed mechanisms are described hereinafter:

Advisory Committee: This technical and political figure has been proposed as an essential part of the management arrangements for the implementation of the project, to guarantee a good coordination and synergy between key ministries (MA, MAgr, and MEPYD), specialized entities responsible for the coffee and cocoa subsectors (CODOCAFE, and the Cocoa Commission), the organization that represent the municipalities (FEDOMU), as well as UNDP (GEF implementation agency for this project), and FAO. The Advisory Committee will meet once every quarter.

Thematic Tables: In attention to the three policy issues that this Project addresses in terms of conservation, and to the interest placed in the engagement of local governments in planning processes aimed at mainstreaming BD, SFM, LD, and gender sensitive criteria, and learning from the good practices developed by the Arbibonito project, thematic tables are proposed to address (at least) the central issues that follow:

- (i) Biodiversity
- (ii) Land Degradation
- (iii) Sustainable Forest Management
- (iv) Sustainable Livelihoods
- (v) Coffee
- (vi) Cocoa, and
- (vii) Territorial Planning

Each thematic table will be coordinated by a stakeholder chosen by consensus, and will be integrated on a voluntary basis among the different stakeholders involved. Terms of Reference for the operation of these tables will be drafted at the Start and Inception phase. Project specialists will provide guidance to these tables, where government and non-government national and local stakeholders will discuss and reach consensus to address the problems related with the issues of their concern.

Provincial and Municipal Development Councils: Considering that these councils have been established by legal mandates, the project will provide support to make them operational, and to engage provincial and municipal level actors in planning and sustainable development processes, respecting the hierarchies and the processes in place in each of the provinces or municipalities in the pilot zones. The regional associations of municipalities affiliated to FEDOMU will be key players in these participatory mechanisms, as well as governors and mayors.

Watershed Mechanisms: The Ministry of Environment promotes the organization of different stakeholders around watershed committees or councils. In previous experiences co-financed by GEF, or sponsored by other financing sources, the organization of community stakeholders in micro-watershed committees has proven very successful, and could be the ideal space to engage community leaders and to reaffirm their commitment with the project goals.

Fora at national and sub-national levels to promote sustainable management of productive mountain landscapes. These spaces can be used for capacity development, bringing together national and international experts, for the exchange of experiences, and for the promotion of local products based on sustainable practices.

Cross-cutting: science based decision-making, gender sensitivity, sharing of data and information through interconnected platforms, knowledge transfer, mutual respect, education and communication (key for stakeholders' engagement).

All the activities programmed in the Multi-Year Work Plan for **Component 4: Knowledge Management and M&E**, contribute to the engagement of stakeholders and to reaching a common vision.

Annex N: KNOWLEDGE MANAGEMENT STRATEGY

In the context of this GEF project “Mainstreaming Conservation of Biodiversity and Ecosystem Services in Productive Landscapes in Threatened Forested Mountainous Areas” in the Dominican Republic, knowledge management is understood “*as a set of methods, processes and tools that facilitate the creation, capture, exchange, adaptation and implementation of tacit and explicit knowledge with the objective of efficiently accomplishing the expected outcomes and contribute to the desired impact*” of the project⁷⁵.

Knowledge management will therefore be incorporated as one important tool of project management for the documentation of project implementation, and the creation of an institutional memory that will be key to support visibility and capacity development, so that BD, SFM, LD, and gender sensitive criteria are not only applied in the pilot sites where the project will focus, but spread out to influence the policies and practices of the stakeholders involved, in particular the Ministries of Planning, the Environment, and Agriculture; CODOCAFE and CONACADO; as well as farmers and forest producers organizations and entrepreneurs in the rural areas throughout the country.

By supporting the Ministries of the Environment and Agriculture in the design of a gender strategy for the sustainable management of productive mountain landscapes, and by designing and implementing a training package for technicians, extension agents and farmers using a variety of strategies that include technical accompaniment and farm schools, the knowledge management strategy of the project not only targets the population that will ultimately mainstream BD and ecosystem conservation in productive practices, but also takes care of the best suited methods to produce changes in farming practices, taking into account the low educational and income-generating level that characterizes those farmers in the selected pilot sites.

Furthermore, this knowledge management strategy also addresses how to mainstream BD, SFM, LD, and gender and age sensitivity criteria in productive practices, through a set of activities aimed at improving existing guidelines and manuals for land use and municipal development plans, and for access to credit with the incorporation of such criteria. The project focuses on the production of knowledge products, and the wider communication and dissemination of project lessons and experiences to support the replication and scaling-up of project results throughout the Dominican Republic, as well as internationally through South-South cooperation.

One key feature of this knowledge strategy is the incorporation of systematization in the design of the project, so that systematization of knowledge transfer can itself become a monitoring instrument to support results based management, contributing to learning before, during and after the implementation, as well as providing input for mid-term and final evaluations.

The knowledge management strategy will be implemented through the following activities:

- Facilitate the design and implementation of a systematization process throughout project implementation to identify, document and share best practices, lessons learned and case

⁷⁵ *Systematization for Knowledge Transfer*. Methodological Series on Knowledge Management, Sharing Knowledge for Development Project. Knowledge Management Unit. UNDP Regional Centre for Latin America and the Caribbean.

studies, including evidence of the special contribution of women and youth to the sustainability of threatened mountain landscapes.

- Support the development and implementation of a communication strategy and citizen mobilization campaign with gender and age considerations, to improve knowledge and practices of sustainable management of threatened mountain landscapes.
- Support the development of a Knowledge Sharing Fair on Sustainable Management of Mountain Landscapes, based on the experience of the three pilot sites where sustainable production systems and livelihoods will be implemented.

Annex O: Capacity Development Scorecard

Project Name: Mainstreaming Conservation of Biodiversity and Ecosystem Services in Productive Landscapes in Threatened Forested Mountainous Areas

Project/Programme Cycle Phase: Project Elaboration

Date: September 12th, 2017

Capacity Result / Indicator	Staged Indicators	Rating	Score	Comments	Next Steps	Contribution to which Outcome
CR 1: Capacities for Engagement						
Indicator 1: Degree of legitimacy/ mandate of lead environmental organizations	Organizational responsibilities for environmental management are not clearly defined	0	3			
	Organizational responsibilities for environmental management are identified	1				
	Authority and legitimacy of all lead organizations responsible for environmental management are partially recognized by stakeholders	2				
	Authority and legitimacy of all lead organizations responsible for environmental management recognized by stakeholders	3				
Indicator 2: Existence of operational co-management mechanisms	No co-management mechanisms are in place	0	2			
	Some co-management mechanisms are in place and operational	1				
	Some co-management mechanisms are formally established through agreements, MOUs, etc.	2				
	Comprehensive co-management mechanisms are formally established and are operational/functional	3				
Indicator 3: Existence of cooperation with stakeholder groups	Identification of stakeholders and their participation/involvement in decision-making is poor	0	2			Outcome 1
	Stakeholders are identified but their participation in decision-making is limited	1				
	Stakeholders are identified and regular consultations mechanisms are established	2		Within the environmental and planning legal frameworks, there are different instruments to identify and guarantee key stakeholders involvement and participation:	The project will contribute to strengthen effective cooperation and development of consultation processes at different levels: 1. Establishment of Municipal Development	

Capacity Result / Indicator	Staged Indicators	Rating	Score	Comments	Next Steps	Contribution to which Outcome
				<ul style="list-style-type: none"> - EIA regulations - Watershed Committees - Provincial and Municipal Development Councils However, some of these mechanisms do not operate as conceived and consultation processes are weak or are not applied.	Councils in the target areas 2. Strengthening of watershed committees	
	Stakeholders are identified and they actively contribute to established participative decision-making processes	3				
Total score for CR1			7			
CR 2: Capacities to Generate, Access and Use Information and Knowledge						
Indicator 4: Degree of environmental awareness of stakeholders	Stakeholders are not aware about global environmental issues and their relevant possible solutions	0	1			Outcome 1 Outcome 2 Outcome 3
	Stakeholders are aware about global environmental issues, but not about the possible solutions	1		Even though there is a rudimentary understanding of the value of biodiversity and environmental services, local planning doesn't address environmental agendas. Low educational level of local farmers in mountain areas hinder their access to environmentally friendly capacity building activities. Business as usual + subsistence production practices in mountain areas do not mainstream bd/sustainable considerations.	A wide capacity building program will be established at the pilot sites tailored to local needs (at i. establishment of Local Development Councils, ii. Design of Provincial environmental Agendas, iii. Farmer field schools, iv. Extension agents training and technical support, v. fire prevention brigades training)	
	Stakeholders are aware about global environmental issues and the possible solutions, but do not know how to participate	2				
	Stakeholders are aware about global environmental issues, and are actively participating in the implementation of related	3				

Capacity Result / Indicator	Staged Indicators	Rating	Score	Comments	Next Steps	Contribution to which Outcome
	solutions					
Indicator 5: Access and sharing of environmental information by stakeholders	The environmental information needs are not identified, and the information management infrastructure is inadequate	0	2			Outcome 1 Outcome 2
	The environmental information needs are identified but the information management infrastructure is inadequate	1				
	The environmental information is partially available and shared among stakeholders, but is not covering all aspects and/or the information management infrastructure is limited	2		DIARENA (M. Environment) produces environmental information that cover the whole country; however some data is not updated, there are weaknesses in analysis capacity to transform data into information for decision making and the flow of information is low and intermittent among decision makers. This information is not available at the local level.	Different monitoring systems are going to be designed/ improved and implemented, such as: SDG at local level, Biodiversity in productive landscapes, fire monitoring system and early warning system, "Línea Verde" system for tracking environmental infractions. Special emphasis will be placed to interconnect GIS platforms between sectorial institutions both at the central and local level.	
	Comprehensive environmental information is available and shared through an adequate information management infrastructure	3				
Indicator 6: Existence of environmental education programmes	No environmental education programmes are in place	0	2			
	Environmental education programmes are partially developed and partially delivered	1				
	Environmental education programmes are fully developed but partially delivered	2				
	Comprehensive environmental education programmes exist and are being delivered	3				
Indicator 7: Extent of the linkage between environmental research/science and policy development	No linkage exist between environmental policy development and science/research strategies and programmes	0	1			
	Research needs for environmental policy development are identified but	1				

Capacity Result / Indicator	Staged Indicators	Rating	Score	Comments	Next Steps	Contribution to which Outcome
	are not translated into relevant research strategies and programmes					
	Relevant research strategies and programmes for environmental policy development exist but the research information is not responding fully to the policy research needs	2				
	Relevant research results are available for environmental policy development	3				
Indicator 8: Extent of inclusion/use of traditional knowledge in environmental decision-making	Traditional knowledge is ignored and not taken into account into relevant participative decision-making processes	0	2			
	Traditional knowledge is identified and recognized as important, but is not collected and used in relevant participative decision-making processes	1				
	Traditional knowledge is collected but is not used systematically into relevant participative decision-making processes	2				
	Traditional knowledge is collected, used and shared for effective participative decision-making processes	3				
Total score for CR2			8			
CR 3: Capacities for Strategy, Policy and Legislation Development						
Indicator 9: Extent of the environmental planning and strategy development process	The environmental planning and strategy development process is not coordinated, and does not produce adequate environmental plans and strategies	0	2			Outcome 1 Outcome 2 Outcome 3
	The environmental planning and strategy development process does produce adequate environmental plans and strategies but they are not implemented or used	1				
	Adequate plans and strategies are produced but they are only partially implemented because of funding constraints and/or other problems	2		There are several environmental planning and operation instruments with limited and uneven application (Yaqué del Norte PES, Fondo de	Operationalize coordination structures Strengthen capacity building Promote better access and use of	

Capacity Result / Indicator	Staged Indicators	Rating	Score	Comments	Next Steps	Contribution to which Outcome
				Ecodesarrollo Sabana Yegua; Interministerial Agreement for the Development of the National Land Use Plan, Interministerial Agreement for Sustainable Land Management, Agroforestry Programme). The main gaps that need to be addressed in order to strengthen an environmental approach within these processes are: i. fragmented approach within sectors, ii. weak capacities to coordinate between, central/local and inter-institutional levels, iii. Political will to include environmental considerations in decision making, iv. Lack of access to credit for small farmers applying BD friendly practices.	information Business plans with BD approach	
	The environmental planning and strategy development process is well coordinated by the lead environmental organizations and produces the required environmental plans and strategies; which are being implemented	3				
Indicator 10: Existence of an adequate environmental policy and regulatory frameworks	The environmental policy and regulatory frameworks are insufficient; they do not provide an enabling environment	0	2			Outcome 1
	Some relevant environmental policies and laws exist, but few are implemented and enforced	1				
	Adequate environmental policy and legislation frameworks exist, but there are problems in implementing and enforcing them	2		The framework and the instruments exist, but compliance and enforcement are weak.	“Línea verde” Operationalization of existing interinstitutional structures 2030 Agenda	
	Adequate policy and legislation frameworks are implemented and provide an adequate	3				

Capacity Result / Indicator	Staged Indicators	Rating	Score	Comments	Next Steps	Contribution to which Outcome
	enabling environment; a compliance and enforcement mechanism is established and functions					
Indicator 11: Adequacy of the environmental information available for decision-making	The availability of environmental information for decision-making is lacking	0	2			Outcome 1 Outcome2
	Some environmental information exists, but it is not sufficient to support environmental decision-making processes	1				
	Relevant environmental information is made available to relevant decision-makers, but the process to update this information is not functioning properly	2		No information available at the local level Lack of analysis of information for decision making Information is not updated in a systemic way Information is not accessible	Coordination platform Information system 2030 Agenda for SDG Strengthening of planning framework at the local level (Provincial and Municipal Development Councils, LUP) Use of information in sustainable production models and in the development of business plans	
	Political and administrative decision-makers obtain and use updated environmental information to make environmental decisions	3				
Total score for CR3			6			
CR 4: Capacities for Management and Implementation						
Indicator 12: Existence and mobilization of resources	The environmental organizations don't have adequate resources for their programmes and projects, and the requirements have not been assessed	0	2			
	The resource requirements are known but are not being addressed	1				
	The funding sources for these resource requirements are partially identified, and the resource requirements are partially addressed	2				
	Adequate resources are mobilized and available for the functioning of the lead environmental organizations	3				

Capacity Result / Indicator	Staged Indicators	Rating	Score	Comments	Next Steps	Contribution to which Outcome
Indicator 13: Availability of required technical skills and technology transfer	The necessary required skills and technology are not available and the needs are not identified	0	2			
	The required skills and technologies needs are identified as well as their sources	1				
	The required skills and technologies are obtained but their access depend on foreign sources	2				
	The required skills and technologies are available and there is a national-based mechanism for updating the required skills and for upgrading the technologies	3				
Total score for CR4			4			
CR 5: Capacities to Monitor and Evaluate						
Indicator 14: Adequacy of the project/programme monitoring process	Irregular project monitoring is being done without an adequate monitoring framework detailing what and how to monitor the particular project or programme	0	1			
	An adequate resourced monitoring framework is in place but monitoring is irregularly conducted	1				
	Regular participative monitoring of results is being conducted, but this information is only partially used by the project/programme implementation team	2				
	Monitoring information is produced timely and accurately and is used by the implementation team to learn and possibly to change the course of action	3				
Indicator 15 – Adequacy of the project/programme evaluation process	None or ineffective evaluations are being conducted, with no adequate evaluation plan or the necessary resources	0	2			
	An adequate evaluation plan is in place, but evaluation activities are irregularly conducted	1				
	Evaluations are being conducted as per an adequate evaluation plan, but the evaluation results are only partially used by the project or programme implementation	2				

Capacity Result / Indicator	Staged Indicators	Rating	Score	Comments	Next Steps	Contribution to which Outcome
	team					
	Effective evaluations are conducted timely and accurately and are used by the implementation team and the Agencies and GEF Staff to correct the course of action, if needed, and to learn for further activities.	3				
Total score for CR5			3			
Combined total score for CR1-CR5			28			

Annex P: Design & Appraisal Stage Quality Assurance Report

Design & Appraisal Stage Quality Assurance Report

Overall Project Rating:	Exemplary
Decision:	Approve: The project is of sufficient quality to continue as planned. Any management actions must be addressed in a timely manner.
Project Number:	00106286
Project Title:	Transversalizar la conservación de biodiversidad y servicios ecosistémicos en el manejo de paisajes productivos de montaña
Project Date:	01-Mar-2018

Strategic

Quality Rating: Exemplary

1. Does the project's Theory of Change specify how it will contribute to higher level change? (Select the option from 1-3 that best reflects the project)

- 3: The project has a theory of change with explicit assumptions and clear change pathway describing how the project will contribute to outcome level change as specified in the programme/CPD, backed by credible evidence of what works effectively in this context. The project document clearly describes why the project's strategy is the best approach at this point in time.
- 2: The project has a theory of change. It has an explicit change pathway that explains how the project intends to contribute to outcome-level change and why the project strategy is the best approach at this point in time, but is backed by limited evidence.
- 1: The project does not have a theory of change, but the project document may describe in generic terms how the project will contribute to development results, without specifying the key assumptions. It does not make an explicit link to the programme/CPD's theory of change.

Evidence

Management Response

The project's Theory of change specifies the scope of the actions of the project, considering the assumptions, components, outcomes and outputs, while regarding several hypotheses and exposing the scaled-up impact of the set of components and outcomes. See Theory of Change document attached as evidence.

2. Is the project aligned with the thematic focus of the UNDP Strategic Plan? (select the option from 1-3 that best reflects the project)

- 3: The project responds to one of the three areas of development [work](#) as specified in the Strategic Plan; it addresses at least one of the proposed new and emerging [areas](#); an issues-based analysis has been incorporated into the project design; and the project's RRF includes all the relevant SP output indicators. (all must be true to select this option)
- 2: The project responds to one of the three areas of development [work](#) as specified in the Strategic Plan. The project's RRF includes at least one SP output indicator, if relevant. (both must be true to select this option)
- 1: While the project may respond to one of the three areas of development [work](#) as specified in the Strategic Plan, it is based on a sectoral approach without addressing the complexity of the development issue. None of the relevant SP indicators are included in the RRF. This answer is also selected if the project does not respond to any of the three areas of development work in the Strategic Plan.

Evidence

The Project is aligned with the UNDP Strategic Plan "Sustainable Development" area. Furthermore, its Results Framework evidence its linkage to the Strategic Plan output 1.3: Solutions developed at national and sub-national levels for sustainable management of natural resources, ecosystem services, chemicals and waste. In addition, the Project Results Framework will contribute with two Strategic Plan indicators. See Project Result Framework document attached as evidence.

Relevant

Quality Rating: Exemplary

3. Does the project have strategies to effectively identify, engage and ensure the meaningful participation of targeted groups/geographic areas with a priority focus on the excluded and marginalized? (select the option from 1-3 that best reflects this project)

- 3: The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. Beneficiaries will be identified through a rigorous process based on evidence (if applicable.)The project has an explicit strategy to identify, engage and ensure the meaningful participation of specified target groups/geographic areas throughout the project, including through monitoring and decision-making (such as representation on the project board) (all must be true to select this option)
- 2: The target groups/geographic areas are appropriately specified, prioritising the excluded and/or marginalised. The project document states how beneficiaries will be identified, engaged and how meaningful participation will be ensured throughout the project. (both must be true to select this option)
- 1: The target groups/geographic areas are not specified, or do not prioritize excluded and/or marginalised populations. The project does not have a written strategy to identify or engage or ensure the meaningful participation of the target groups/geographic areas throughout the project.
- Not Applicable

Evidence

Management Response

Pilot areas were defined and established based in the Project Targets criteria, together with the technical team of the Ministry of Environment. These criteria for the pilot areas were: Areas with high importance biodiversity for conservation; areas nearby Protected Areas/basins; areas threatened by degradation; vulnerable areas to fires and climate change; areas with opportunities to establish/extend sustainable production systems; areas with opportunities to develop value chains; areas with organized local communities; synergy potentiality with other projects; co-financing. See Project Document attached as evidence; see Annex H (Fact Sheets on Pilot Sites) in the Project Document as an evidence. The project has identified key project

stakeholders (e.g. national institutions, local communities, women, children, elderly, the poor and vulnerable) and outlines a strategy in Annex M to ensure stakeholders are engaged throughout project implementation. Stakeholders include target groups (the intended beneficiaries of the project) and other potentially affected groups. See stakeholder engagement in the Project Document as evidence.

4. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design? (select the option from 1-3 that best reflects this project)

- 3: Knowledge and lessons learned (gained e.g. through peer assist sessions) backed by credible evidence from evaluation, corporate policies/strategies, and monitoring have been explicitly used, with appropriate referencing, to develop the project's theory of change and justify the approach used by the project over alternatives.
- 2: The project design mentions knowledge and lessons learned backed by evidence/sources, which inform the project's theory of change but have not been used/are not sufficient to justify the approach selected over alternatives.
- 1: There is only scant or no mention of knowledge and lessons learned informing the project design. Any references that are made are not backed by evidence.

Evidence

Management Response

The Project will execute activities based in a baseline scenario which will compile information of policies/strategies and projects to better shape the project contents. See baseline scenario in Project Document attached as evidence. In addition, the project will incorporate lessons learnt in the field of local land use planning and application of natural resources management tools from 3 earlier GEF funded initiatives through UNDP: Sustainable Land Management in the Upper Sabana Yegua Watershed System, Artibonito Binational project, and Capacity Development for SLM in

DR. The project will build upon the experiences and results of the Poverty-Environment Initiative which developed models and tools: Vulnerability Index to Climate Shocks designed to identify and reduce the vulnerability of poor populations, and a series of Guides for Land Use Planning for municipalities. See South-South and Triangular Cooperation in Project Document attached as evidence.

5. Does the project use gender analysis in the project design and does the project respond to this gender analysis with concrete measures to address gender inequities and empower women? (select the option from 1-3 that best reflects this project)

- 3: A participatory gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men, and it is fully integrated into the project document. The project establishes concrete priorities to address gender inequalities in its strategy. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. (all must be true to select this option)
- 2: A gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men. Gender concerns are integrated in the development challenge and strategy sections of the project document. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. (all must be true to select this option)
- 1: The project design may or may not mention information and/or data on the differential impact of the project's development situation on gender relations, women and men, but the constraints have not been clearly identified and interventions have not been considered.

Evidence

Management Response

The Project includes a sound analysis in order to address gender inequities and women empowerment. As result, the Project includes a strategy for mainstreaming gender. Therefore, there are 6 indicators disaggregated by sex in

the Project Results Framework, as well as a gender-based approach output is included in the Project Results Framework. See Mainstreaming gender and Project Results Framework in the Project Document attached as evidence.

6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national partners, other development partners, and other actors? (select the option from 1-3 that best reflects this project)

- 3: An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project. It is clear how results achieved by relevant partners will contribute to outcome level change complementing the project's intended results. If relevant, options for south-south and triangular cooperation have been considered, as appropriate. (all must be true to select this option)
- 2: Some analysis has been conducted on the role of other partners where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project. Options for south-south and triangular cooperation may not have not been fully developed during project design, even if relevant opportunities have been identified.
- 1: No clear analysis has been conducted on the role of other partners in the area that the project intends to work, and relatively limited evidence supports the proposed engagement of UNDP and partners through the project. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance.

Evidence

Management Response

The Project includes a stakeholder engagement plan, which specifies the strategy to ensure stakeholders are engaged throughout Project implementation. Stakeholders include target groups and other potentially affected groups. See stakeholder engagement in the Project Document attached as evidence. In addition, a South-South and Triangular Cooperation Strategy has been considered. See South-South and Triangular

Cooperation (SSTrC) in the Project Document as evidence. Furthermore, the Project will capitalize FAO's expertise on forest fires.

Social & Environmental Standards

Quality Rating: Exemplary

7. Does the project seek to further the realization of human rights using a human rights based approach? (select from options 1-3 that best reflects this project)

- 3: Credible evidence that the project aims to further the realization of human rights, upholding the relevant international and national laws and standards in the area of the project. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. (all must be true to select this option)
- 2: Some evidence that the project aims to further the realization of human rights. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget.
- 1: No evidence that the project aims to further the realization of human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered.

Evidence

Management Response

Potential adverse impacts were identified and assessed in the SESP and the stakeholders analysis, and it was identified as a low impact project. Targeted stakeholders participated in the project design and their opinions and priorities were considered within the project framework workplan and budget. A solid capacity building strategy has been designed in the project framework.

8. Did the project consider potential environmental opportunities and adverse impacts, applying a precautionary approach? (select from options 1-3 that best reflects this project)

- 3: Credible evidence that opportunities to enhance environmental sustainability and integrate poverty-environment linkages were fully considered as relevant, and integrated in project strategy and design. Credible evidence that potential

adverse environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. (all must be true to select this option).

2: No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Credible evidence that potential adverse environmental impacts have been identified and assessed, if relevant, and appropriate management and mitigation measures incorporated into project design and budget.

1: No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Limited or no evidence that potential adverse environmental impacts were adequately considered.

Evidence

Management Response

The Project includes a risk log, with potential social and environmental risks that might prevent the project objectives from being achieved, and proposed measures that address these risks to be further developed during the project design. In addition, a Social and Environmental Screening Procedure (SESP) has been conducted to identify potential social and environmental impacts and risks. See risk log and SESP in the Project Document attached as evidence.

9. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks? [If yes, upload the completed checklist as evidence. If SESP is not required, provide the reason(s) for the exemption in the evidence section. Exemptions include the following:

- Preparation and dissemination of reports, documents and communication materials
- Organization of an event, workshop, training
- Strengthening capacities of partners to participate in international negotiations and conferences
- Partnership coordination (including UN coordination) and management of networks
- Global/regional projects with no country level activities (e.g. knowledge management, inter-governmental processes)
- UNDP acting as Administrative Agent

Yes

- No
- SESP not required

Evidence

See SESP document attached as evidence.

Management & Monitoring

Quality Rating: Highly Satisfactory

10. Does the project have a strong results framework? (select from options 1-3 that best reflects this project)

- 3: The project's selection of outputs and activities are at an appropriate level and relate in a clear way to the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators that measure all of the key expected changes identified in the theory of change, each with credible data sources, and populated baselines and targets, including gender sensitive, sex-disaggregated indicators where appropriate. (all must be true to select this option)
- 2: The project's selection of outputs and activities are at an appropriate level, but may not cover all aspects of the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of gender sensitive, sex-disaggregated indicators, as appropriate. (all must be true to select this option)
- 1: The results framework does not meet all of the conditions specified in selection "2" above. This includes: the project's selection of outputs and activities are not at an appropriate level and do not relate in a clear way to the project's theory of change; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change, and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators.

Evidence

Management Response

The outputs and outcomes of the Project are established in an appropriate level, and there are indicators oriented to achieve the results, including gender sensitive and sex disaggregated indicators. See Project Results Framework as evidence.

11. Is there a comprehensive and costed M&E plan with specified data collection sources and methods to support evidence-based management, monitoring and evaluation of the project?

- Yes
- No

Evidence

See Project document as evidence. Special attention to the Monitoring and Evaluation section.

12. Is the project's governance mechanism clearly defined in the project document, including planned composition of the project board? (select from options 1-3 that best reflects this project)

- 3: The project's governance mechanism is fully defined in the project document. 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 to select this option).
- 2: The project's governance mechanism is defined in the project document; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The prodoc lists the most important responsibilities of the project board, project director/manager and quality assurance roles. (all must be true to select this option)
- 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.

Evidence

Management Response

The project's governance mechanism is fully defined in the project document, in the Institutional arrangements are defined the Project Board members and the institutional roles. See Institutional arrangements in the Project Document as evidence.

13. Have the project risks been identified with clear plans stated to manage and mitigate each risks? (select from options 1-3 that best reflects this project)

- 3: Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis. Clear and complete plan in place to manage and mitigate each risk. (both must be true to select this option)
- 2: Project risks related to the achievement of results identified in the initial project risk log with mitigation measures identified for each risk.
- 1: Some risks may be identified in the initial project risk log, but no evidence of analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified and no initial risk log is included with the project document.

Evidence

Management Response

Find attached the Project's Risk Assessment log as evidence.

Efficient

Quality Rating: Exemplary

14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include: i) using the theory of change analysis to explore different options of achieving the maximum results with the resources available; ii) using a portfolio management approach to improve cost effectiveness through synergies with other interventions; iii) through joint operations (e.g., monitoring or procurement) with other partners.

- Yes
- No

Evidence

There are specific measures for ensuring maximum results with available resources, with reference to evidence on similar approaches in the country. The project includes a Theory of Change analysis for achieving maximum results; a cost efficiency and effectiveness section, and a baseline study which considers other interventions. See cost efficiency and effectiveness, baseline scenario and Theory of Change in the Project Document as evidence.

15. Are explicit plans in place to ensure the project links up with other relevant on-going projects and initiatives, whether led by UNDP, national or other partners, to achieve more efficient results (including, for example, through sharing resources or coordinating delivery?)

- Yes
- No

Evidence

The baseline scenario will identify other relevant on-going projects and initiatives and compile information of policies/strategies to better shape the project contents. See baseline scenario in Project Document attached as evidence. Furthermore, this project will build on and complement a number of initiatives in the areas of biodiversity conservation and sustainable tourism development. GEF/UNDP/MA's Re-Engineering of the PA system project focused on establishing the institutional and legal framework required to facilitate the financial sustainability of the PA system. The current project will build upon relevant results from that project with regards to promoting corridors between PAs, expanding the biodiversity monitoring system, and the promotion of private PaA.

16. 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. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget.
- 2: The project's budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget. Costs are supported with valid estimates based on prevailing rates.
- 1: The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget.

Evidence

See Multi-Year Workplan document attached as evidence.

17. Is the Country Office fully recovering the costs involved with project implementation?

- 3: The budget fully covers all direct project costs that are directly 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 direct project costs that are directly attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant.
- 1: The budget does not reimburse UNDP for direct project costs. UNDP is cross-subsidizing the project and the office should advocate for the inclusion of DPC in any project budget revisions.

Evidence

Management Response

The costs of any anticipated or known Direct Project Costs has been clearly documented in the Project Information Form (PIF for GEF projects) or project concept or proposal (for Adaptation Fund projects) submitted for approval. The recovering costs are considered in the project document.

Effective

Quality Rating: Exemplary

18. Is the chosen implementation modality most appropriate? (select from options 1-3 that best reflects this project)

- 3: The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted, and there is evidence that options for implementation modalities have been thoroughly considered. There is a strong justification for choosing the selected modality, based on the development context. (both must be true to select this option)
- 2: The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted and the implementation modality chosen is consistent with the results of the assessments.
- 1: The required assessments have not been conducted, but there may be evidence that options for implementation modalities have been considered.

Evidence

Management Response

In 2016 a desk review was conducted for the partner agency (Ministry of Environment). In the past, UNDP DO has executed several projects with these institutions under the same management arrangement (NIM). The review undertaken didn't reveal necessary to change the modality with the partners, and neither the context requires further changes. See Desk Review attached as evidence.

19. Have targeted groups, prioritizing marginalized and excluded populations that will be affected by the project, been engaged in the design of the project in a way that addresses any underlying causes of exclusion and discrimination?

- 3: Credible evidence that all targeted groups, prioritising marginalized and excluded populations that will be involved in or affected by the project, have been actively engaged in the design of the project. Their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change which seeks to address any underlying causes of exclusion and discrimination and the selection of project interventions.
- 2: Some evidence that key targeted groups, prioritising marginalized and excluded populations that will be involved in the project, have been engaged in the design of the project. Some evidence that their views, rights and any constraints have been analysed and incorporated into the root cause analysis of the theory of change and the selection of project interventions.
- 1: No evidence of engagement with marginalized and excluded populations that will be involved in the project during project design. No evidence that the views, rights and constraints of populations have been incorporated into the project.
- Not Applicable

Evidence

The project has identified key project stakeholders (e.g. national institutions, local communities, women, children, elderly, the poor and vulnerable) and outlines a strategy in Annex M to ensure stakeholders are engaged throughout project implementation. Stakeholders include target groups (the intended beneficiaries of the project) and other

potentially affected groups, as described in the stakeholder engagement section in the Project Document (see for evidence). Furthermore, there are documents that may be used as evidence: participation lists of workshops conducted on pilot areas during the Project drafting phase, agenda of the results framework workshop.

20. Does the project conduct regular monitoring activities, have explicit plans for evaluation, and include other lesson learning (e.g. through After Action Reviews or Lessons Learned Workshops), timed to inform course corrections if needed during project implementation?

- Yes
- No

Evidence

All the GEF projects must do annual reports for the donor consideration, as well as mid-term evaluation and final evaluation. The UNDP Country Office has a Monitoring & Evaluation platform in which the project will be participating.

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

- Yes
- No

Evidence

Management Response

The Project will include a gender dimension, including collection of disaggregated data and gender indicators, as well as a gender-based approach output. Therefore, the Project is scored GEN2. Moreover, gender has been mainstreamed into all project outputs with a comprehensive gender strategy designed specifically for the Project.

22. Is there a realistic multi-year work plan and budget to ensure outputs are delivered on time and within allotted

resources? (select from options 1-3 that best reflects this project)

- 3: The project has a realistic work plan & budget covering the duration of the project at the activity level to ensure outputs are delivered on time and within the allotted resources.
- 2: The project has a work plan & budget covering the duration of the project at the output level.
- 1: The project does not yet have a work plan & budget covering the duration of the project.

Evidence

The Multi Year Work Plan is designed at activity level within Project duration. See Multi Year Work Plan document attached as evidence.

Sustainability & National Ownership

Quality Rating: Exemplary

23. Have national partners led, or proactively engaged in, the design of the project?

- 3: National partners have full ownership of the project and led the process of the development of the project jointly with UNDP.
- 2: The project has been developed by UNDP in close consultation with national partners.
- 1: The project has been developed by UNDP with limited or no engagement with national partners.
- Not Applicable

Evidence

As a NIM Project, the Ministry of Environment and Natural Resources has led the process from the beginning and guided the approach and actions to be developed.

24. Are key institutions and systems identified, and is there a strategy for strengthening specific/ comprehensive capacities based on capacity assessments conducted? (select from options 0-4 that best reflects this project):

- 3: The project has a comprehensive strategy for strengthening specific capacities of national institutions based on a systematic and detailed capacity assessment that has been completed. This strategy includes an approach to regularly monitor national capacities using

clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly.

- 2.5: A capacity assessment has been completed. The project document has identified activities that will be undertaken to strengthen capacity of national institutions, but these activities are not part of a comprehensive strategy to monitor and strengthen national capacities.
- 2: A capacity assessment is planned after the start of the project. There are plans to develop a strategy to strengthen specific capacities of national institutions based on the results of the capacity assessment.
- 1.5: There is mention in the project document of capacities of national institutions to be strengthened through the project, but no capacity assessments or specific strategy development are planned.
- 1: Capacity assessments have not been carried out and are not foreseen. There is no strategy for strengthening specific capacities of national institutions.
- Not Applicable

Evidence

The Capacity Development Scorecard was used in order to identify needs of capacity strengthening. Some criteria and indicators were prioritized to be strengthened, which are indicators at objective level.

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

- Yes
- No
- Not Applicable

Evidence

The Project will contribute to establish/strengthen several national and local systems: 1. Sustainable Development Goals monitoring at a local level (the 3 first pilot areas of the _____)

country); 2. National Biodiversity Monitoring System; 3. National Environmental Monitoring System: monitoring, use and vegetation cover, monitoring of erosion and sedimentation. Additionally, implementation and project tracking will be conducted by the Ministry of Environment, as implementing agency. In addition, UNDP will get engaged in the M&E and will support procurement processes.

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

- Yes
- No

Evidence

The Project is implemented by the government and aims to strengthen coordination platforms and information handling to support local governments (LUP + Municipal Development Councils + Municipal planning environmental agendas), and also through a component of sustainable financing.

Quality Assurance Summary/PAC Comments

The rules and principles of the guidelines have been fulfilled for the Quality Assurance of the Project, and the analysis provided is correct.

Annex Q. UNDP Risk Log

Project Title: Mainstreaming Conservation of Biodiversity and Ecosystem Services in Productive Landscapes in Threatened Forested Mountainous Areas			Award ID: 000106286	Date: September 2017	
Project risks					
Description	Type	Impact & Probability	Mitigation Measures	Owner	Status
Local community grievances	<i>Other (Social)</i>	P= 1 I= 3	<p>Regular consultations will be carried out with local communities to ensure that all potential local community grievances are discussed and that the principle of Free, Prior and Informed Consent (FPIC) is applied. In the socialization workshops celebrated in pilot zones and with national stakeholders during the PPG phase, participants have expressed their favorable view towards the project, which is perceived as a win-win opportunity for communities and producers, and for the environmental, agriculture, and land-planning authorities.</p> <p>The project will liaise with the Ministry of Environment and its Direction of Social Participation. It should also be noted that the REDD+ intervention in Dominican Republic will strengthen mechanisms to address local community grievances (i.e Grievance Redress Mechanism GRM).</p> <p>The project will also liaise with local governments, responsible of establishing and guiding Local Development Committees, and of applying land-use regulations.</p>	<i>PMU Coordinator</i>	<i>Reducing</i>

			The project will also establish an Interinstitutional Technical Committee, with the responsibility of discussing and proposing technical orientation to the project activities. This Committee will also have the responsibility of responding to any grievance that may arise during project implementation		
Duty bearers do not have the capacity to meet their obligations in the Project	<i>Operational</i>	P= 1 I= 3	Institutional capacity building and expansion are key elements of the project and will also facilitate execution and the meeting of project obligations. In addition, the collaboration of FAO in the design and implementation of a municipal early warning system for prevention, management and control of fires, and in the implementation of Component 2, will add experience and credibility during project implementation	<i>PMU Coordinator</i>	<i>Reducing</i>
Rights- holders do not have the capacity to claim their rights	<i>Operational</i>	P= 1 I= 2	All project interventions with rural communities will be carried out based on the principle of free prior and informed consent (FPIC).	<i>PMU Coordinator</i>	<i>Reducing</i>
Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas	<i>Environmental</i>	P= 1 I= 1	Pilot sites were chosen based on proximity to critical ecosystems and protected areas so as to promote connectivity as well as promote the private reserve model as an attractive option for private landowners	<i>PMU Coordinator</i>	<i>Reducing</i>
Project involves reforestation	<i>Environmental</i>	P= 1 I= 1	Pilot sites that include reforestation will promote native species as a key element for stimulating ecosystem connectivity and reduce land degradation	<i>PMU Coordinator</i>	<i>Reducing</i>
Political support to establish cross sectoral integration between Ministries as well as support decentralized	<i>Political Strategic</i>	P = 1 I = 1 Relevant Ministries like Agriculture and MEPYD's	The project will mitigate this risk by seeking presidential and ministerial support and mandate for the initiative, as well as promotion and facilitation of policy dialogue, joint planning and problem solving between the relevant ministries, in particular,	<i>PMU Coordinator</i>	<i>Reducing</i>

management at site level is not forthcoming.		DGODT have been involved in the consulting process carried out during the PPG phase. They have expressed their support for the project, which is a win-win opportunity for all.	Agriculture and Environment, and also MEPYD. The project will also invest in training and awareness raising.		
Conflicts of interest between productive and environmental sectors. Political support for policy changes including fiscal policy adjustments and investment from the coffee/cocoa private sector is not forthcoming.	<i>Political Strategic</i>	P = 1 I = 1	The project will promote mechanisms for conflict resolution and will invest in education, training and awareness raising regarding the potential for synergies between productive and environmental considerations. A dialogue with industry will be undertaken as part of the process of revising policies and regulations—to obtain industry buy in and address concerns, so as to improve compliance. At an early stage the project will facilitate public-private sector policy dialogue with key trade associations. Emphasis on improving competitiveness, quality and security both of investments and of clients will be key.	<i>PMU Coordinator</i>	<i>No change</i>
Extreme natural events	<i>Other (Climate Change and Variability)</i>	P = 5 I = 5 The DR, as part of the Caribbean region, is prone to extreme events associated with Climate Change and Variability.	Emphasis on promoting the diversity and resilience of natural and productive ecosystems to extreme natural events.	<i>PMU Coordinator</i>	<i>No change</i>
Climate change-induced changes in mountain ecosystem health and possible unforeseen challenges for biodiversity further undermine ecosystem	<i>Other (Climate Change)</i>	P = 3 I = 5 The baseline already considers those CC induced changes, particularly in coffee/cocoa, which were	The project will support the increase in management capacities of mountain areas which will increase coping capacities and resilience to climate change impacts. In particular, mainstreaming BD, SFM, and LD criteria within the planning instruments and practices for land use, and the introduction of sustainable production models will mitigate the implications of alternative	<i>PMU Coordinator</i>	<i>No change</i>

<p>functionality and services on which productive sectors depend, changing the baseline and increasing costs of necessary interventions.</p>		<p>severely affected by plagues during the drought experienced by the DR and the Caribbean in 2014-2015. That is why P is estimated in 3, during the project life.</p>	<p>climate change scenarios for BD status, such as spatial migration and fragmentation of ecosystems, changes in reproductive biology of target biota and increases in the frequency of forest fires.</p>		
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Annex R: Results of the capacity assessment of the project implementing partner and HACT micro assessment

Al servicio
de las personas
y las naciones

Documentos de Referencia consultados:

Auditorías Previas al Asociado en la Implementación: No Si Fecha: _____

Evaluaciones de Capacidad Realizadas al AI No Si Fecha: mayo 2016

Micro evaluaciones realizadas anteriormente No Si Fecha: _____

Experiencia de la Oficina País con el AI: No Si Fecha: 2000

Valoración del Asociado en la implementación relativa al manejo financiero de sus operaciones:

El Ministerio de Medio Ambiente y Recursos Naturales de la República Dominicana, creado en el año 2000, es el organismo encargado de elaborar, ejecutar y fiscalizar las políticas nacionales sobre medio ambiente y recursos naturales, promoviendo y estimulando las actividades de preservación, protección, restauración y uso sostenible de los mismos.

Desde la creación de este Ministerio, el PNUD ha firmado aproximadamente 25 acuerdos con el mismo, dando lugar a una excelente relación y estrecha colaboración entre ambas instituciones, sin presentarse hasta el momento inconvenientes significativos.


Dicha institución no ha sido objeto de microevaluaciones ni auditorías por parte del PNUD. Sin embargo, múltiples proyectos cuya ejecución ha estado bajo su responsabilidad han sido evaluados por expertos internacionales en el medio término y/o fase final de su ciclo de vida. De igual forma, han sido auditados financieramente por auditores externos locales. Los resultados tanto de las evaluaciones como de las auditorías de estos proyectos han sido satisfactorios en su generalidad.

Por lo anterior, catalogamos esta institución como de riesgo bajo.

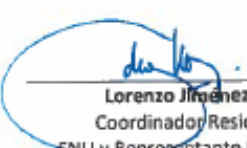
Nivel de Riesgo estimado: Alto Medio Bajo

Modalidad de Transferencia en Efectivo recomendada²: Pagos directos (en algunos casos por procesos realizados por el PNUD en otros casos por el gobierno) y avance de caja chica para gastos mínimos

Realizado por³:


Cécile Ivon Hernández
Nombre y Apellido
Cargo GRABACG

Autorizado por:


Lorenzo Jiménez de Luis
Coordinador Residente del
SNU y Representante Residente del
PNUD

¹ - La revisión de escritorio (Desk Review) está destinada a los Asociados en la Implementación considerados como no evaluados (Non-assessed) En estos casos, la Oficina debe limitar el número de actividades asignadas al Asociado en la Implementación al mínimo posible.

- Para las actividades asignadas al Asociado en la Implementación, en la medida de lo posible deberán priorizarse los pagos directos en lugar de las transferencias de efectivo o de los reembolsos. Siguiendo las valoraciones de riesgo, utilizando los procedimientos para los socios no evaluados, la oficina deberá llevar a cabo inspecciones puntuales en pagos específicos, particularmente para los ítems de alto costo y en procesos clave. La naturaleza de estas valoraciones dependerá de las actividades y seleccionadas requiere de experiencia y capacidad de juicio considerable. Asimismo, deberá tenerse en cuenta el progreso en la realización de actividades programáticas y en la capacidad de entrega de productos.

² Si la valoración HACT recomienda la transferencia directa y es inevitable realizarlas, el monto transferido de cada ítem debe limitarse al mínimo valor que pueda ser viable para el proyecto.

³ Como mínimo, el personal seleccionado para las revisiones de escritorio deberá (a) contar con al menos 5 años de experiencia en finanzas/ contabilidad y en el manejo de programas (b) Tener un entendimiento del Asociado en la Implementación, el Marco de HACT y de los objetivos de las revisiones de escritorio y (c) ser independiente del Gerente de Proyecto.

Annex T: DPC Letter of Agreement for UNDP Direct Project Services between UNDP and MA

STANDARD LETTER OF AGREEMENT BETWEEN UNDP AND THE GOVERNMENT OF DOMINICAN REPUBLIC FOR THE PROVISION OF SUPPORT SERVICES

Dear Mr. Francisco Dominguez Brito
Minister – Ministry of Environment and Natural Resources

1. Reference is made to consultations between officials of the Government of *Dominican Republic* (hereinafter referred to as “the Government”) and officials of UNDP with respect to the provision of support services by the UNDP country office for nationally managed programmes and projects. UNDP and the Government hereby agree that the UNDP country office may provide such support services at the request of the Government through its institution designated in the relevant programme support document or project document, as described below.
2. The UNDP country office may provide support services for assistance with reporting requirements and direct payment. In providing such support services, the UNDP country office shall ensure that the capacity of the Government-designated institution is strengthened to enable it to carry out such activities directly. The costs incurred by the UNDP country office in providing such support services shall be recovered from the administrative budget of the office.
3. The UNDP country office may provide, at the request of the designated institution, the following support services for the activities of the programme/project:
 - (a) Identification and/or recruitment of project and programme personnel;
 - (b) Identification and facilitation of training activities;
 - (c) Procurement of goods and services;
4. The procurement of goods and services and the recruitment of project and programme personnel by the UNDP country office shall be in accordance with the UNDP regulations, rules, policies and procedures. Support services described in paragraph 3 above shall be detailed in an annex to the programme support document or project document, in the form provided in the Attachment hereto. If the requirements for support services by the country office change during the life of a programme or project, the annex to the programme support document or project document is revised with the mutual agreement of the UNDP resident representative and the designated institution.
5. The relevant provisions of the Standard Basic Assistance Agreement (SBAA) between the Government of Dominican Republic and the United Nations Development Programme, signed by the parties on June 11th, 1974, including the provisions on liability and privileges and immunities, shall apply to the provision of such support services. The Government shall retain overall responsibility for the nationally managed programme or project through its designated institution. The responsibility of the UNDP country office for the provision of the support services described herein shall be limited to the provision of such support services detailed in the annex to the programme support document or project document.

6. Any claim or dispute arising under or in connection with the provision of support services by the UNDP country office in accordance with this letter shall be handled pursuant to the relevant provisions of the SBAA and the project document.
7. The manner and method of cost-recovery by the UNDP country office in providing the support services described in paragraph 3 above shall be specified in the annex to the programme support document or project document.
8. The UNDP country office shall submit progress reports on the support services provided and shall report on the costs reimbursed in providing such services, as may be required.
9. Any modification of the present arrangements shall be effected by mutual written agreement of the parties hereto.
10. If you are in agreement with the provisions set forth above, please sign and return to this office three signed copies of this letter. Upon your signature, this letter shall constitute an agreement between your Government and UNDP on the terms and conditions for the provision of support services by the UNDP country office for nationally managed programmes and projects.

Yours sincerely,

Signed on behalf of UNDP
Mr. Lorenzo Jiménez de Luis
Resident Coordinator of the United Nations System
and Resident Representative of UNDP
[Date]

Signed on behalf of the Government
Mr. Francisco Dominguez Brito
Minister of Environment and Natural Resources
[Date]

Attachment

DESCRIPTION OF UNDP COUNTRY OFFICE SUPPORT SERVICES

1. Reference is made to consultations between the Ministry of Environment and Natural Resources, the institution designated by the Government of Dominican Republic and representatives of UNDP with respect to the provision of support services by the UNDP country office for the nationally managed GEF-funded project ID PIMS 5761 Mainstreaming Conservation of Biodiversity and Ecosystem Services in Productive Landscapes in Threatened Forested Mountainous Areas (Award ID 00106286) “the Project”.

2. In accordance with the provisions of the Letter of Agreement (LOA) signed on [date of signature] and the project document, the UNDP country office shall provide support services for the Project as described below.

3. Support services to be provided:

Support services*	Schedule for the provision of the support services	Cost to UNDP of providing such support services (where appropriate)	Amount and method of reimbursement of UNDP (where appropriate)
1. Payments, disbursements and other financial transactions	During project implementation	3,900 USD	Direct Project Costs (DPC)
2. Recruitment of staff, project personnel, and consultants	During project implementation	8,200 USD	Direct Project Costs (DPC)
3. Procurement of services and equipment, and disposal/sale of equipment	During project implementation	11,300 USD	Direct Project Costs (DPC)
4. Organization of training activities, conferences, and workshops, including fellowships	During project implementation	5,000 USD	Direct Project Costs (DPC)
5. Travel authorizations, visa requests, ticketing, and travel arrangements	During project implementation	7,100 USD	Direct Project Costs (DPC)
6. Shipment, customs clearance, vehicle registration, and accreditation	During project implementation	5,500 USD	Direct Project Costs (DPC)
TOTAL		Up to 41,000 USD	

* UNDP direct project support services will be defined yearly, and for those executed during the period, direct project costs will be charged quarterly based on the UNDP Universal Pricelist (UPL) or the actual corresponding service cost

Description of functions and responsibilities of the parties involved:

4. As described in the Project Document (Management Arrangements), the project will be executed under national implementation modality (NIM), with execution by the Ministry of

Environment and Natural Resources following UNDP's Programme and Operations Policies and Procedures, per its role as implementing agency. Execution of the project will be subject to oversight by a Project Steering Committee (described in the Project Document). Day-to-day coordination will be carried out under the supervision of a Project Coordination Unit and corresponding staff. The Ministry of Environment will take responsibility for different outcomes/activities according to existing capacities and field realities, ensuring effective and efficient use of GEF resources.

5. As described in the Project Document, the functions of the Participants are the following:

6. The Ministry of Environment and Natural Resources is responsible for the fulfilment of the project's results. Its main responsibilities are to:

- Lead the project implementation with the support of the PCU.
- Designate a representative to act as a permanent liaison between UNDP and the Project Coordinator, and to participate in the Project Steering Committee meetings, and others as required, to ensure that the necessary inputs are available to execute the project.
- Prove the technical and administrative capacity to develop the project.
- Monitor the project's work plan and progress.
- Provide the name and describe the functions of the person or persons authorized to deal with UNDP concerning the project's matters.
- Approve Terms of Reference for technical personnel and consultancies for project implementation.
- Participate in the selection process of the consultants and approve all hiring and payment request.
- Provide the name and describe the functions of the person or persons authorized to sign the project's budget and/or substantive revisions of the project.

7. United Nations Development Programme (UNDP) has the responsibility to:

- Designate a Programme officer responsible for providing substantive and operational advice and to follow up and support the project's development activities.
- Advise the project on management decision making, as well as to guarantee quality assurance.
- Be part of the project's Steering Committee and other Committees or Groups considered part of the project structure.
- Administer the financial resources agreed in the revised work plan and approved by the project's Steering Committee, and inform the National Implementing Partner of its origin and destination.
- Co-organize and participate in the events carried out in the framework of the Project.
- Use national and international contact networks to assist the project's activities and establish synergies between projects in common areas and/or in other areas that would be of assistance when discussing and analyzing the project.
- Provide Support in the development and instrumentation of the project's gender strategy.