



PROJECT PREPARATION GRANT (PPG)

PROJECT TYPE: Full-sized Project

TYPE OF TRUST FUND: GEF Trust Fund

Submission date: July 18, 2011

GEF PROJECT ID:4544

GEF AGENCY PROJECT ID: 4624

COUNTRY:Botswana

PROJECT TITLE:Improved Management Effectiveness of the Chobe-Kwando-Linyanti Matrix of Protected Areas

GEF AGENCY:UNDP

GEF FOCAL AREA(S):BIODIVERSITY

A. PROJECT PREPARATION TIMEFRAME

Start date of PPG	09/01/2011
Completion date of PPG	09/01/2012

B. PROPOSED PROJECT PREPARATION ACTIVITIES

Describe the PPG activities and justifications:

The purpose of this PPG request is to identify priority actions and inform preparation of the Full Sized Project on: *Improved Management Effectiveness of the Chobe-Kwando-Linyanti (CKL) Matrix of Protected Areas.*

Co-financing for the PPG activities has been secured from the Government of Botswana through the *Department of Wildlife and National Parks (DWNP)* and the *Department of Environmental Affairs (DEA)*. Project activities will be carried out together with partners to enable full cost-sharing and involvement in project design . For example, the *University of Botswana*, *DWNP*, *Botswana College of Agriculture*, *CARACAL*, and the *Department of Forestry and Range Resources* will lead collection of most of the baseline information. The *Department of Tourism and the Botswana Tourism Organisation* will lead the work on assessing the carrying capacity of the matrix of PAs. All other project partners and co-financers will be involved in the project design phase through one-on-one consultations, and participation in project development workshops in order to ensure full ownership of the project.

Activities to be covered by PPG funds include:

1. BASELINE STUDIES

The baseline information to be collected will provide a better understanding of the constraints that have impeded more effective management of the Chobe-Kwando-Linyanti (CKL) matrix of PAs. Information to be collected includes:

- Management effectiveness scores of the matrix of PAs (including Chobe National Park (CNP) ,Maikaelelo, Chobe, Sibuyu, Kasane, Kasane Extension, and Kazuma forest reserves, and Numgu Wildlife Management Area,
- PA financing score cards for the matrix of PAs in the Chobe-Kwando-Linyanti landscape,
- Estimate of the current financing gap and options to address the gap
- A biodiversity impact assessment of threats to the matrix of PAs – particularly from tourism, trade and transport
- Selection and mapping of exact areas for targeted interventions in the core PAs and select buffer zones
- Congestion levels of mobile safari vehicles along the CNP Frontage
- Percent of fire incidences in CNP and the Forest Reserves
- Poaching levels of elephants and other key species
- Market analysis of opportunities available for private sector investment in the CKL- for example the potential to increase income generated from nature based tourism by community based organisations in the forest reserves
- Targets and indicators linked to sustainable use
- Current consumption patterns of products from PAs and veldt products.

2.DETAILED ASSESSMENT OF INSTITUTIONAL CAPACITY TO ENGAGE INCO-MANAGEMENT AND IMPLEMENTATION OF OTHER PROJECT ACTIVITIES.

This Institutional assesment will provide information that will result in a clear definition of roles and responsibilities for project implementation. Capacity within the PA institutions is currently suboptimal, and there is no collaborative governance framework in place to encourage other stakeholders including private sector to invest in PA management. For this component, the PPG will finance:

- A detailed asesment of capacity, readiness and effectiveness of institutions at the PA level (*DWNP, DFRR, District Authorities and others*), private sector, civil society and community level, to plan, monitor, regulate, and manage biodiversity, includingengaging in co-management.
- Identification of capacity development needs and opportunities for strengthening capacity at each of the above levels;
- A review of policies and plans guiding the management and co-management of PAs, including zoning of buffers and wildlife dispersal areas
- Identification of shortcomings and gaps in laws and policies that may affect the efficacy of project activities proposed, and recommendations on how to address them, including how gender issues will be incorporated.

3. PROJECT STRATEGY AND BUDGET

During this stage project details will be finalised(*drawing on results from components 1 and 2*)including implementing arrangements, roles and responsibilities for different institutions, financing and quantified indicators against which the project success will be evaluated. These activities will pave the way for effective and efficient implementation of the project and also ensure sustainability. Specific activities for this component to be funded by the PPG include:

- Articulation of the implementing strategy/arrangements for the FSP including institutional arrangements to support project implementation; costs of management unit; inputs required for implementation (consultants and their terms of reference; equipment, travel etc); development of financing plan including securing co-finance letters.
- Validation of the final details of project outcomes, outputs and activities and the results of the studies undertaken in activities 1 and 2. This will include further definition of project risks mitigation measures; indicators and quantified targets - including BD benefits, environmental, economic, organizational, and efficiency indicators
- Costing of the expected Outcomes and outputs; co-financing sources and secure commitments;- including detailed incremental-cost analysis as per GEF guidance: precise definition of baseline projects, activities, budgets, goals and co-financial links to GEF outcomes; definition of GEF incremental value per outcome and output; presentation of results of the incremental cost-analysis in matrices;
- Formulation of monitoring strategy for the project to track project progress and effectiveness.
- Assesment of the alternatives to the project strategy and establishing the cost-effectiveness analysis of the preferred strategy and suite of activities.
- Assessment of social and economic and financial sustainability of proposed project activities including gender aspects. The gender assessment will be aligned with the UNDP's Gender Equality Strategy (2008-2013).
- Definition of the replication strategy for project activities across the national PA system
- ToRs for the key consultants/contracts to be employed by the project
- Finalized project logical framework, with particular emphasis on ecological indicators
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Proposed Project Preparation Activities	Project	Outputs of the PPG Activities	Trust Fund	Grant Amount (a)	Co-financing(b)	Total c = a + b
Component 1 Baseline Studies	1.	Detailed studiesand analyses with information on: <ul style="list-style-type: none"> • Management effectiveness scores of the matrix of PAs (including Chobe National Park (CNP),Maikaelelo, Chobe, Sibuyu, Kasane, Kasane Extension, and Kazuma forest reserves, and Numgu Wildlife Management Area, • PA financing score cards for the matrix of PAs in the Chobe-Kwando-Linyanti landscape, • Estimate of the current financing gap and options to address the gap • A biodiversity impact assessment of threats to the matrix of PAs 	GEFTF	22,210	66,630	88,840

	<ul style="list-style-type: none"> • Identification and mapping of sites for targeted interventions • Congestion levels of mobile safari vehicles along the CNP Frontage • Percent of fire incidences in CNP and the Forest Reserves • Current poaching levels of elephants and other key species • Market analysis of opportunities available for private sector investment in the CKL- for example, the potential to increase income generated from nature based tourism by community based organisations in the forest reserves • Targets and indicators linked to sustainable use including gender aspects. • Current consumption patterns of products from PAs and veldt products, 				
Component 2. Assessment of Institutional Capacity to support co-management and implementation of project activities.	<ul style="list-style-type: none"> • A detailed assessment of capacity, readiness and effectiveness of institutions at the PA level (<i>DWNP, DFRR, District Authorities and others</i>), private sector, civil society and community level, to plan, monitor, regulate, and manage biodiversity, including engaging in co-management. • Identification of capacity development needs and opportunities for strengthening capacity at each of the above levels; • A review of policies and plans guiding the management and co-management of PAs, including zoning of buffers and wildlife dispersal areas • Identification of shortcomings and gaps in laws and policies that may affect the efficacy of project activities proposed, and recommendations on how to address them, including how gender issues will be incorporated. 	GEFTF	32,400	97,200	129,600
Component 3. Project Strategy and Budget.	<ul style="list-style-type: none"> • Articulation of the implementing strategy/arrangements for the FSP including institutional arrangements to support project implementation; costs of management unit; inputs required for implementation (consultants and their terms of reference; equipment, travel etc); development of financing plan including securing co-finance letters. • Validation of the final details of project outcomes, outputs and activities informed by the results of the studies undertaken in activities 1 and 2. This will include further definition of project risks mitigation measures; indicators and quantified targets - including BD benefits, environmental, economic, organizational, and efficiency indicators • Costing of the expected outcomes and outputs; including detailed incremental-cost analysis as per GEF guidance: precise definition of baseline projects, activities, budgets, goals and co-financial links to GEF outcomes; definition of GEF incremental value per outcome and output; presentation of results of the 	GEFTF	36,300	108,900	145,200

	<ul style="list-style-type: none"> incremental cost-analysis in matrices; • Formulation of monitoring strategy for the project to track project progress and effectiveness. • Assessment of the alternatives to the project strategy and establishing the cost-effectiveness analysis of the preferred strategy and suite of activities. • Assessment of social and economic and financial sustainability of proposed project activities including gender aspects. The gender assessment will be aligned with the UNDP's Gender Equality Strategy (2008-2013). • Definition of the replication strategy for project activities across the national PA system • ToRs for the key consultants/contracts to be employed by the project • Finalized project logical framework, with particular emphasis on ecological indicators 				
Total Project Preparation Financing			90,910	272,730	363,640

C. FINANCING PLAN SUMMARY FOR PROJECT PREPARATION GRANT: (\$)

	Project Preparation	Agency Fee
Grant Amount	90,910	9,090
Co-financing	272,730	
Total	363,640	9,090

D. PPG AMOUNT REQUESTED BY AGENCY (IES), FOCAL AREA (S) AND COUNTRY (IES)¹

Trust Fund	GEF Agency	Focal Area	Country Name/ Global	(in \$)		
				PPG (a)	Agency Fee (b)	Total c = a + b
GEFTF	UNDP	Biodiversity	Botswana	90,910	9,090	100,000
Total PPG Amount				90,910	9,090	100,000

E. PPG BUDGET


Cost Items	Total Estimated Person Weeks for Grant (PW)	Grant Amount (\$)	Co-financing (\$)	Total(\$)
Local /Regional consultants *	35	52,500	157,500	210,000
International consultants	6	16,500	49,500	66,000
Travel		21,910	65,730	87,640
Miscellaneous				
Total PPG Budget		90,910	272,730	363,640

*From the East and Southern Africa region

F. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF policies and procedures and meets the GEF Trust Fund criteria for project identification and preparation.

Agency Coordinator, Agency Name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
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Yannick Glemarec, UNDP/GEF Executive Coordinator		July 18, 2011	Alice Ruhweza, RTA EBD	+27 12 874 4992	Alice.Ruhweza@undp.org
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Annex A

Consultants Financed by the Project Preparation Grant (PPG)

Type of Consultant	Position / Titles	\$/Person Week ¹	Estimated PWs ²	Tasks to be Performed
Local/ Regional	Ecologist	1500	5	<ul style="list-style-type: none"> Review existing datasets to establish the current state of ecosystems and status of biological resources in and adjacent to the targeted PAs, including coverage of globally significant biodiversity in the region; Establish a set of ecological indicators for inclusion in the Full Project based on METT methodology or similar; Identify shortfalls in information Identify threatened species and any areas that require urgent intervention; Review other PAs and recommend at least 2 PAs to be used as controls for comparative studies to determine any change in selected taxa populations; Provide a summary of existing information to support ecological monitoring systems for key species and ecosystems including ecological carry capacities in regard to ecotourism, hunting, encroachment and timber extraction activities; Identify shortfalls in information Collect detailed information on types of terrain and vegetation, migration routes, water resources, major threat areas, and other data ecological information pertinent to the mapping process; and Provide recommendations for further ecological and biodiversity activities for the Project
Local/ Regional	Mapping Expert	1500	6	<ul style="list-style-type: none"> Carry out geo-referencing studies to confirm PA boundaries and buffer zones/wildlife dispersal areas, including details on coverage of critical ecosystems such as endemic vegetation zones, faunal and transhumance migration routes and distribution of threatened and other major species. Identify and map wildlife corridors in the mixed use areas Establish basic land clearance boundaries based on analysis of satellite imaging and prepare overview of procedures for regular updating of land clearance data; Analyze and map existing rainfall data to assist with the modeling of longer-term risks associated with climate change; Translate field data into a user friendly GIS data planning format; and Prepare baseline maps for targeted PAs. <p>The expert shall work in close collaboration with the Biodiversity and PA Planning Expert.</p>
Local /Regional	Institutional Expert	1500	4	<p>The expert will:</p> <ul style="list-style-type: none"> Carry out a detailed assessment of capacity, readiness and effectiveness of institutions at the PA level (<i>DWNP, DFRR, District Authorities and others</i>), private sector, civil society and community level, to plan, monitor, regulate, and manage biodiversity, including engaging in co-management. Identify capacity development needs and opportunities for

				<p>strengthening capacity at each of the above levels; using UNDPs Organization Capacity Assessment Tool where appropriate</p> <ul style="list-style-type: none"> • Review of policies and plans guiding the management and co-management of PAs, including zoning of buffers and wildlife dispersal areas • Identify shortcomings and gaps in laws and policies that may affect the efficacy of project activities proposed, and recommendations on how to address them, including how gender issues will be incorporated. • Identify the most effective institutional structures for strengthening and enlarging PA management practices at the targetted levels; • Prepare the Capacity Development Scorecard; <p>The expert shall work in close collaboration with DWNP, DEA, other experts and relevant stakeholders as needed.</p>
Local/ Regional	Socio-Economic Expert	1500	6	<p>The expert will:</p> <ul style="list-style-type: none"> • Assess baseline information on social and economic development in and around PAs including land tenure, gender and resource use issues; • Provide an analysis of the current use/exploitation levels in areas adjacent to the target PAs including a forecast for development in each area; • Collect information on local livelihoods in and adjacent to the target PAs, including resource ownership and management issues; • Identify areas where alternative livelihoods may be required to alleviate over-extraction of local resources • Provide sectoral analysis of potential for tourism strategy development for alternate livelihoods such as regulated hunting, wildlife guides etc; • Provide recommendations for FSP activities; and • Propose a set of socio-economic indicators for FSP. <p>The expert shall work in close collaboration with the other experts and other stakeholders as needed.</p>
International	PA Business Planning/ Finance Expert	2750	6	<p>The PAs economics/financing expert will:</p> <ul style="list-style-type: none"> • Prepare a detailed analysis of existing and potential PA financing opportunities • identify gaps in funding required for effective management of the CKL matrix of PAs • Undertake an economic analysis of the matrix of PAs in the CKL assessing the potential for financing and contributions to national and local economies. • Assess potential for private sector and other investment in financing PAs • Identify strategies and mechanisms for increasing PA financing • Complete the PA Finance Sustainability Scorecard for each of the targetted PAs <p>The PA economics expert shall work in close collaboration with the rest of the experts , DWNP, and other stakeholders as needed.</p>
Local/ Regional	Protected Area Planning Expert	1500	14	<ul style="list-style-type: none"> • The PA Expert will be the overall leader and will in collaboration with other experts and partner institutions, assess the overall effectiveness of the PA system in conserving the full range of ecosystems and biodiversity values in Chobe-Kwando-Linyanti ecosystem, and in maintaining the ecological viability, resilience and integrity of these ecosystems, thus completing the METT for the individual PAs and collaboratively developing time-based targets for improving the METT scores. • Assess the extent of human-wildlife conflicts and prior interventions,

				<p>with outline recommendations</p> <ul style="list-style-type: none"> • Analyze the current monitoring efforts including of indicator species and habitats. • Carry out an analysis of financial planning, management systems, capacities at the Institutional, national, regional and local PA level. Prepare recommendations for changes in practices and required capacity building including specific training and staff development requirements; • Assess cost-effectiveness and incrementality of proposed FSP activities • Establish the different institutions financial requirements for the alternative PA management scenarios and assess the efficacy of different alternatives to improve the financing of the PAs. • Create a financing plan, including co-financing commitments and incremental costs analysis; • Recommended project monitoring and evaluation indicators; • Provide recommendations for ensuring sustainability of project outcomes and define FP implementation schedule <p>The expert shall work in close collaboration with all experts, DWNP, and other relevant stakeholders as needed.</p>
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¹Dollar amount per person week for the local consultant is consistent with the UN Rates for consultants

2. Exchange rates are subject to change

3. Dollar amount per person week for the international consultant is consistent with the UN Rates for international consultants