



PROJECT PREPARATION GRANT (PPG)
PROJECT TYPE: Full-sized Project
TYPE OF TRUST FUND: GEF TRUST FUND

Submission date: November 22, 2011

GEF PROJECT ID: 4653
GEF AGENCY PROJECT ID: PIMS 4596
COUNTRY (IES): CHINA
PROJECT TITLE: CBPF-MSL - Strengthening the management effectiveness of protected area landscape in Altai Mountains and Wetlands
GEF AGENCY (IES): UNDP
GEF FOCAL AREA(s): Biodiversity

A. PROJECT PREPARATION TIMEFRAME

Start date of PPG	01/10/2012
Completion date of PPG	12/10/2012

B. PROPOSED PROJECT PREPARATION ACTIVITIES (\$)

The PPG will co-finance the following preparatory activities as listed below. The activities will be supported by partners and will include providing a response to advice given by the STAP reviewers, GEF SEC and Council.

Activity 1: Systemic and institutional capacity for managing the sub-system of wetland PAs

Funding support from the PPG will be used to conduct a rapid review of the existing legal and policy framework and official guidelines pertaining to wetland PA management in Xinjiang UAR. The review will be closely coordinated with a systemic and institutional capacity review for the national level project and other provincial projects under the CBPF-MSL Programme. Therefore the review will also identify incoherence and gaps in legal and policy framework between the national and provincial level and recommendations for addressing the problems. This activity will also assess the existing capacity of the Xinjiang Forestry Department and the Altai Forestry Bureau, pertaining to planning, establishment and management of a system of protected areas to protect globally significant wetlands, as well as to protect their biodiversity and vital catchments, and to ensure better mainstreaming of wetlands conservation into the broader development landscape and planning processes. The UNDP Capacity Development Scorecard will be used for the assessment and the focus of this assessment will be on identifying the capacity development needs of the different departments to ensure the sustainability of project investments beyond the term of the project plus identifying areas needing new or revised laws, regulations or fresh guidelines to strengthen wetland PA sub-system management.

Activity 2: Biodiversity Status assessment and assessment of monitoring and reporting needs, adaptation of national level biodiversity health index.

Adapting the national level biodiversity health index developed under the national project PPG, this activity will list the principle species of significant global biodiversity that form the target of the project. For each of the sites using this index, a baseline survey will be undertaken which will also select indicators and target species for subsequent surveys. These indicator species should be suitable for assessing conservation impacts of management prescriptions. Monitoring and reporting needs for these species should be specified including methodology, periodicity and localities for monitoring under the project. Indicators should include key wetland birds, important aquatic fauna – e.g. fish and mollusks; selected indicator insects; endangered mammals; major components of vegetation; incidence of invasive alien species (IAS). Biodiversity health is reflected in the ability of a site to maintain its biodiversity values. This will

vary significantly from site to site. The biodiversity index which is being developed for this project includes two components: 1) score of habitat suitability for important biodiversity and 2) status of important biodiversity. The score does not necessarily indicate stability. Many wetland sites are very dynamic but what we are interested in is the ability of the biota to adapt to or even thrive with the changes. This will become increasingly important as climate and water flow patterns change

Activity 3: Assessment of PA information and data management system in XUAR

This activity will evaluate the existing information and data management system in XUAR and at the Altai Prefectural level, with the aim of establishing a viable data sharing platform for enhanced management of the provincial PA system and AMWL PA cluster. The activity will involve evaluation of the possible data holders of wetlands and biodiversity information to assess which departments/bureaus should be involved in collating and managing biodiversity and wetland data for the purposes of undertaking PA systems review and gap analysis, planning for adding climate change resilience to the PA system and the monitoring of biodiversity health status through the lifetime of the project. On the basis of current capacity (GIS etc.) and data quality (species and habitat distribution and status), this activity should develop plans for increasing capacity to the level of a data sharing platform as required by the project.

Activity 4: Knowledge Attitudes and Practices (KAP) Survey, community participation and gender assessment

Design and conduct sampling by directly interviewing representative samples of local communities, local media and local government officers within the province and around the proposed demsites. The survey should assess current pre-project levels of Knowledge of wetlands and biodiversity importance; Attitudes towards conservation and development of wetland areas and Practices that currently impact wetlands' health and functionality. The results of this survey will lead to the design of appropriate awareness campaign and communication strategy for the project and also can be used in monitoring awareness impacts later in the life of the project. This activity will also conduct local stakeholder consultations in the AMWL, in order to ensure their consent to the project, full participation in project development and implementation. In the consultation process, a gender assessment will be incorporated reviewing the role of both females and males in the project development and implementation and potential impacts of the project on each gender group.

Activity 5: Wetland PA financing needs and management effectiveness assessment and PA site profiling

This activity will assess current levels of funding of PA operations and protective management in relation to estimated needs. Financial Scorecards will be completed for the AMWL PA cluster, assessing the PA financing gaps and opportunities for increasing financing. Recommendations will be made for the project interventions to reduce PA financing gaps. Management Effectiveness Tracking Tool (METT) will be applied to each of the PA sites in the AMWL PA cluster.

Activity 6: Profiling of the Altai Mountains and Wetland Landscape (AMWL) PA cluster and initial design of co-management activities

Under this activity, a list of XUAR PAs will be compiled with PA categories, management authorities and key biological / ecosystem features. A more detailed profile of the AMWL will also be compiled, addressing the physical, environmental and socioeconomic context, biodiversity significance, threats, management barriers and suggested actions for improvement. This will be supplemented with a table and map showing the vegetation and ecosystem types in the area as well as land uses including the location of PAs. Based on the analysis of the spatial distribution of the AMWL PAs, gaps and opportunities will be identified for PA expansion to be supported by the project. Staffing levels and capacity will be assessed in the AMWL cluster PAs regarding visitor levels and other human activity pressure. The operational budgets will also be assessed. In addition, this activity will collect baseline data on distribution, activities and the socio-economic situation of local communities living within and adjacent to the demonstration PAs. It will develop plans for monitoring key impacting human activities. Guided by the global and regional (Altai Sayan Ecoregion) experiences and lessons on co-management, appropriate levels and mechanisms of co-management activities with local communities will be designed, as well as required alternative livelihood interventions.

Activity 7: Feasibility analysis and budget

Based on the above analysis, the full project strategy will be developed. This will include:

(i) assessment of the social, economic and financial sustainability of proposed outputs and activities; (ii) quantification of tangible socioeconomic benefits with gender dimensions; (iii) risk analysis; (iv) assessment of complementary initiatives and coordination strategies including the possibility for collaboration with the GEF/WB Lake Aibi Project; (v) review of the outputs and achievements from a range of projects in the Altai Sayan Ecoregion and development of a plan to build on them; (vi) replication strategy for project activities; (vii) monitoring and evaluation (M&E) and budget; (viii) financing plan, including co-financing commitments and incremental costs analysis; (ix) incremental analysis; (x) assessment of cost-effectiveness of project outputs and outcomes.

List of Proposed Project Preparation Activities	Outputs of the PPG Activities	Trust Fund	Grant Amount (a)	Co-financing (b)	Total c = a+b
Activity 1: Systemic and institutional capacity for managing the sub-system of wetland PAs	Detailed analysis report on systemic (legal/policy) and institutional capacity in Xinjiang UAR for managing the sub-system of wetland PAs, including: (i) a detailed profile and institutional analysis of relevant institutions at provincial, prefectural and sub-prefectural levels, with clear roles in project implementation, based on a thorough assessment using the capacity scorecards; (ii) description of the protected area governance at the national, provincial, sub-provincial and site levels including planning, decision making and budgeting processes and identification of conflicts and gaps; (iii) identification of incoherence and gaps in legal and policy framework between the national and provincial level and recommendations for addressing the problems; (iv) analysis and recommendations for institutional capacity development activities to strengthen their wetland PA system planning and management capacity and coordination between the agencies; (v) recommendation for the implementation arrangements for the project; (vi) a table of provincial and prefectural regulations relevant to the project, specifically identifying gaps, conflicts or other areas where regulations need revision or new drafting, based on thorough analysis; and (vii) recommend the legal framework for the provincial PA legislation, providing tailored approaches to address specific threats and to protect unique wetland dynamics and biodiversity in Xinjiang.	GEF TF	8,000	70,000	78,000
Activity 2: Biodiversity Status assessment and assessment of monitoring and reporting needs, adaptation of national level biodiversity health index.	The final report including: (i) assessment of the biodiversity status, monitoring and reporting in the AMWL PA cluster; (ii) a list of the principle species of significant global biodiversity that form the target of the project, providing the baseline data including basic distribution and population and threat status data; (iii) selection of suitable indicator species that can be used to assess conservation impacts of management prescriptions in the target PAs; (iv) specification of monitoring and reporting needs for these species including methodology, periodicity and localities for monitoring under the projects.	GEF TF	10,000	50,000	60,000

<p>Activity 3: Assessment of PA information and data management system in XUAR</p>	<p>Assessment report on PA and wetland information and data management system in XUAR and Altai Prefecture, including; (i) review of the existing wetland data base and data flow at the provincial and sub-provincial levels, and recommendations for further consolidation under the project; (ii) review of current data platforms available for PA management and environmental and biodiversity monitoring and data sharing mechanisms at the provincial and prefectural levels, and evaluate data quality and capacity of the various data platform holding agencies; (iii) evaluation of the possible data holders of wetlands and biodiversity information to assess which agencies should be involved in collating and managing biodiversity and wetland data for purposes of undertaking PA systems review and gap analysis, planning for adding climate change resilience to PA system and monitoring of biodiversity health status through the lifetime of the project and beyond; (iv) plans for increasing capacity to the level of data sharing platforms as required by the programme. The platform may be a virtual platform involving several data holders rather than a single dedicated new database.</p>	<p>GEF TF</p>	<p>5,000</p>	<p>60,000</p>	<p>65,000</p>
<p>Activity 4: Knowledge Attitudes and Practices (KAP) Survey, community participation and gender assessment</p>	<p>(i) KAP survey baseline results at provincial and local levels, indicating understanding among decision makers and the public on the value of wetlands and PA system and identifying areas where awareness and knowledge management needs to be strengthened; (ii) Record of community consultations and community participation plans for the projects with thorough gender analysis integrated in the plan.</p>	<p>GEF TF</p>	<p>12,000</p>	<p>60,000</p>	<p>72,000</p>
<p>Activity 5: Wetland PA financing needs and management effectiveness assessment and PA site profiling</p>	<p>Complete GEF BD-1 Tracking Tools, containing: (i) Financial Sustainability Scorecard Assessment for the AMWL PA cluster, with accurate assessment of currently available PA revenue and budget and clear identification of financing gaps and opportunities for increasing financing ; (ii) Management Effectiveness Tracking Tool (METT) assessment for each of the PAs in the AMWL PA cluster.</p>	<p>GEF TF</p>	<p>6,000</p>	<p>50,000</p>	<p>56,000</p>
<p>Activity 6: Profiling of the Altai Mountains and Wetland Landscape (AMWL) PA cluster and initial design of co-management activities</p>	<p>XUAR and AMWL PA Profile entailing: (i) general profile of XUAR PA; (ii) PA landscape profiles with map and information detailing physical, environmental and socioeconomic context, biodiversity significance, threats, management barriers and suggested actions for improvement.; (iii) a table and map showing the vegetation and ecosystem types in the area as well as land uses including the location of PAs; (iv) assessment of the pressure and plans for reduction of overgrazing and illegal mining with baseline and targets; (v) gaps and opportunities for PA expansion for enhancing wetland protection to be supported by the project; (vi) profile of individual PAs including staffing, PA objectives, management structure, management capacity (management plans, budget, management facilities etc) and climate change implications; (vii) develop a project plan for enhancing management effectiveness of the PAs; (iix) assessment of the income of the park residents and determination of the baseline and target; (ix) review of global and ecoregion-wide (Altai-Sayan) assessment of community co-management</p>	<p>GEF TF</p>	<p>11,000</p>	<p>10,000</p>	<p>21,000</p>

	opportunities within the AMWL and plans for project intervention for establishment of co-management system.				
Activity 7: Feasibility analysis and budget	(i) assessment of the social, economic and financial sustainability of proposed outputs and activities; (ii) quantification of tangible socioeconomic benefits with gender dimensions; (iii) risk analysis; (iv) assessment of complementary initiatives and coordination strategies including the possibility for collaboration with the GEF/WB Lake Aibi Project; (v) review of the outputs and achievements from a range of projects in the Altai Sayan Ecoregion and development of a plan to build on them; (vi) replication strategy for project activities; (vii) monitoring and evaluation (M&E) and budget; (viii) financing plan, including co-financing commitments and incremental costs analysis; (ix) incremental analysis; (x) assessment of cost-effectiveness of project outputs and outcomes.	GEF TF	18,000	90,000	108,000
Total project preparation financing			70,000	390,000	460,000

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

	Project Preparation	Agency Fee
Grant Amount	70,000	6,300
Co-financing	390,000	
Total	460,000	6,300

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

TRUST FUND	GEF Agency	Focal Area	Country Name/ Global	(in \$)		
				PPG (a)	Agency Fee (b)	Total c = a + b
Total PPG Requested						

¹ No need to provide information for this table if it is a single focal area, single country and single GEF Agency project.


E. PPG BUDGET REQUEST

Cost Items	Total Estimated Person Weeks for Grant (PW)	Grant Amount (\$)	Co-financing (\$)	Total (\$)
Local consultants *	24	25,600	35,000	60,600
International consultants*	10.5	31,500	0	31,500
Travel		11,900	35,000	46,900
Workshops and consultations		0	10,000	10,000
Map and data production		0	10,000	10,000
Translation		0	15,000	15,000
Miscellaneous		1,000	5,000	6,000
Baseline project cost (piloting of advanced technology for wetland restoration in the AMWL)		0	280,000	280,000
Total PPG Budget		70,000	390,000	460,000

* Annex A for Consultant cost details should be prepared first before completing this table. See notes on Annex A for the required detailed information. This table is the sum of all local and international consultants presented in Annex A.

F. GEF AGENCY (IES) CERTIFICATION

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

Agency Coordinator, Agency name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
Yannick Glemarec GEF Executive Coordinator, UNDP		November 7, 2011	Midori Paxton Regional Technical Adviser – EBD, UNDP	+66 818787510	midori.paxton@undp.org

Consultants Financed by the Project Preparation Grant (PPG)

Type of Consultant	Position / Titles	\$/ Person Week ¹	Estimated PWs ²	Tasks to be performed
International	Wetland Biodiversity Conservation and Strategic Planning Specialist	3,000	10.5	<p>The specialist will serve as team leader in collating inputs of different team specialists and take the lead in collaboration with key stakeholders, implementing and executing agencies in designing the full project document. The work involves facilitating the following process;</p> <p>a) evaluate current levels of management effectiveness of stakeholder agencies and evaluate budget levels and sustainability of funding for core operations essential for good governance and management of key wetland PAs - using METT score sheets and financial sustainability score sheets to establish baselines and targets for the project;</p> <p>b) review policy and legal framework in relation to the establishment, mainstreaming and management of a system of wetland protected areas within a broader landscape and development context, identifying contradictions or critical gaps which may hamper the progress of implementation, and suggest measures to remove the barriers;</p> <p>c) assess staffing levels and current levels of competence; identify staff recruitment needs and additional training required under the project, and assess needs for revision of existing draft competence standards vis-à-vis wetland PA management;</p> <p>d) recommend priority activities to be covered under the project in support of strengthening the law enforcement system, and suggest appropriate indicators with baseline information;</p> <p>e) determine key equipment or infrastructure that should be provided under co-financing;</p> <p>During the process, the specialist will:</p> <p>f) ensure full stakeholder consultation including communities in the target landscape so as to ensure project ownership and full participation in implementation through generating buy-in on the project contents;</p> <p>g) review baseline information delivered by the local experts;</p> <p>h) develop the threats and root causes matrix, and the description of the barriers to the effective management of the wetland PAs;</p> <p>i) carry out an incremental analysis and cost effectiveness analysis of the project strategy;</p> <p>j) assess the sustainability of suggested project outcomes and outputs;</p> <p>k) assess global environmental benefits sought from the project;</p> <p>l) propose a project monitoring and evaluation framework with a set of measurable impact and progress indicators;</p> <p>m) develop budget plans for the project</p> <p>n) ensure linkages with other government, donor and GEF PA and wetland Biodiversity projects in the region;</p> <p>o) prepare necessary ToRs for the project staff and key consultancies ;</p> <p>p) take the lead in collating the inputs of different team specialists and draft the full project document and CEO request. Revise as necessary to satisfy all parties.</p>
Local	Protected Area Planning and Management Specialist	1,200	8	<p>The specialist will act as the lead national consultant to ensure generation of necessary information for project formulation. The specialist will:</p> <p>a) provide technical input pertaining to protected area planning and management in China and Xinjiang UAR;</p> <p>b) prepare a definitive list of wetland PAs in XUAR with a prefectural breakdown</p>

Type of Consultant	Position / Titles	\$/ Person Week ¹	Estimated PWs ²	Tasks to be performed
				<p>detailing the biodiversity features, staffing details, management structure, management capacity (management plans, budget, management facilities etc) and climate change implications, for the target wetland PAs in the AMWL under the project;</p> <p>c) produce a summary of the wetland PA sub-system in Xinjiang UAR in terms of % coverage of different vegetation types, wetland types and ecoregions with provincial breakdown, as well as identify gaps to be filled by the project;</p> <p>d) prepare a list of identified priority wetlands in XUAR and in particular in the AMWL, with feasibility ratings and notes on possible obstacles and strategies for PA designation;</p> <p>e) prepare a profile of the AMWL with map and information detailing physical, environmental and socioeconomic context, biodiversity significance, threats, management barriers and suggested actions for improvement;</p> <p>f) produce necessary maps including wetland PAs/vegetation type overlay, and wetland PA / land use overlay for the AMWL and the cluster PAs;</p> <p>g) ensure the accuracy of indicator baselines with clear methodologies for monitoring, as well as the feasibility of targets for the project;</p> <p>h) conduct the Financial Sustainability Scorecard Assessment at the AMWL PA cluster management with accurate assessment of currently available PA revenue and budget and clear identification of financing gaps and opportunities for increasing financing;</p> <p>i) conduct necessary Management Effectiveness Tracking Tool (METT) assessment for each of the AMWL PAs;</p> <p>j) ensure the quality of capacity development scorecard assessments;</p> <p>k) collect information on the government and partners' baseline activities, as well as complementary activities by various partner organisations.</p> <p>l) organise the Knowledge, Attitude and Practice (CAP) survey for the project;</p> <p>m) coordinate the application of the BD health index in the target, and calculate of the baseline biodiversity health index and targets to be achieved by the project;</p> <p>n) Assist team leader to organise stakeholder consultation sessions in order to solicit inputs and ensure stakeholder involvement in and buy-in to the project.</p>
Local	Legal and Institutional Capacity Development Specialist	1,000	3	<p>The specialist, in close collaboration with the team leader and the PA planning and management specialist will undertake analysis on systemic (legal/policy) and institutional capacity at the provincial and sub-provincial levels for managing sub-systems of wetland PAs with particular focus on the AMWL, including:</p> <p>a) review policy and legal framework in XUAR in relation to the establishment, mainstreaming and management of a system of wetland protected areas within the broader landscape and development context, identifying contradictions or critical gaps which may hamper the progress of implementation, and suggest measures to remove the barriers;</p> <p>b) assess the capacity of various agencies, in respect of their roles, functions and/or responsibilities and their influence on, and importance in, the implementation of the proposed project; their capacity constraints, strengths and weaknesses in supporting or implementing project activities, in view of identifying the capacity development needs of the different stakeholder groups to ensure the sustainability of project investments beyond the term of the project;</p> <p>c) conduct the capacity scorecard assessments for the XUAR and Altai Prefecture governments;</p> <p>b) describe the protected area governance at the provincial and sub-provincial and site levels in Xinjiang UAR including planning, decision making and budgeting processes;</p> <p>c) analyse and recommend institutional capacity development activities to</p>

Type of Consultant	Position / Titles	\$/ Person Week ¹	Estimated PWS ²	Tasks to be performed
				<p>strengthen their wetland PA system planning and management capacity and coordination between the agencies;</p> <p>d) recommend the implementation arrangements for the project;</p> <p>e) develop a table of provincial and prefectural regulations relevant to the project, specifically identifying gaps, conflicts or other areas where regulations need revision or new drafting, based on thorough analysis;</p> <p>f) recommend the legal framework for the provincial PA legislation, providing tailored approaches to address specific threats and to protect unique wetland dynamics and biodiversity in Xinjiang.</p>
Local	Socioeconomics and Community Co-Management Specialist	1,000	6	<p>The specialist, in close collaboration with the team leader and the PA planning and management specialist will:</p> <p>a) review the socioeconomic situations of the local communities in the AMWL and their activities (including grazing and harvesting of natural resources) and assess the extent of pressure on biodiversity and wetland PAs as well as alternatives;</p> <p>b) collect baseline data on distribution, activities and socioeconomic situation of local communities living within and adjacent to the demonstration NRs including income levels;</p> <p>c) conduct thorough consultation with the local communities on the project plans to solicit their full input and ensure their consent to the project and participation;</p> <p>d) conduct a gender analysis, examining the role of both females and males in the project development and implementation and potential impacts of the project on each gender group;</p> <p>e) develop plans for monitoring key impacting human activities;</p> <p>f) examine opportunities, feasibility and design proposals for inclusion within the project of appropriate levels and mechanisms of co-management activities with local communities;</p> <p>g) design any required alternative livelihood interventions for the project;</p> <p>h) identify communication needs for the project including key messages, target audiences, channels of communication, communication training needs, and technical and human resource needs;</p> <p>i) cost and describe the communication activities to be covered under the project.</p> <p>j) prepare TOR for communications staff to be hired by the project</p>
Local	Protected Area Information and Data Management Specialist	1,000	3	<p>In order to design the knowledge management component of the project, the specialist will visit and review the current data platforms available for wetland health monitoring and data sharing. The specialist will:</p> <p>a) review the existing wetland data base and data flow at the provincial and sub-provincial levels and make recommendations for further consolidation under the project;</p> <p>b) review current data platforms available for PA management and environmental and biodiversity monitoring, and data sharing mechanisms at the provincial and prefectural levels, and evaluate data quality and the capacity of the various data platform holding agencies;</p> <p>c) evaluate the possible data holders of wetlands and biodiversity information to assess which agencies should be involved in collating and managing biodiversity and wetland data for purposes of undertaking PA systems review and gap analysis, planning for adding climate change resilience to PA system and monitoring of biodiversity health status through the lifetime of the project and beyond;</p> <p>d) develop plans for increasing capacity to the level of data sharing platforms required by the programme. The platform may be a virtual platform involving</p>

Type of Consultant	Position / Titles	\$/ Person Week ¹	Estimated PWs ²	Tasks to be performed
				several data holders rather than a single dedicated new database.
Local	Biodiversity Conservation Specialist	1,000	4	<p>In close collaboration with the team leader and the PA management specialist, the specialist will:</p> <ul style="list-style-type: none"> a) assess the biodiversity status, monitoring and reporting in the AMWL PA cluster; b) compile a list of the principle species of significant global biodiversity that form the target of the project, providing the baseline data including basic distribution and population and its trend, as well as threat status data; c) selection of suitable indicator species that can be used to assess conservation impacts of management prescriptions in the target PAs; d) specify monitoring and reporting needs for these species including methodology, periodicity and localities for monitoring under the projects; e) specify any training that would be required to upgrade PA staff or local collaborators to undertake monitoring and reporting work; e) calculate baseline biodiversity health index and targets to be achieved by the project.

1. Provide dollar amount per person week.
2. Provide person weeks needed to carry out the task.