



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

Re-Submission date: December 12, 2011

GEF PROJECT ID: 4655

GEF AGENCY PROJECT ID: PIMS 4391

COUNTRY (IES): CHINA

PROJECT TITLE: CBPF-MSL – Strengthening the management effectiveness of the sub-system of wetland protected areas for conservation of globally significant biodiversity

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 at the national level. It will also assess the existing capacity of the State Forestry Administration and other selected national institutions having mandate to manage wetland PAs, 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 national institutions to ensure the sustainability of project investments beyond the term of the project plus identify areas needing new or revised laws, regulations or new guidelines to strengthen the wetland PA sub-system management. As per the STAP comment, the possibility will be explored for the project to support the development of graduate programmes focusing on wetland sciences, with possible collaboration with international training centres.

Activity 2: Situation Analysis on National Development and Sector Planning Process

Under this activity, in order to identify the niche for project intervention for mainstreaming wetland PAs, a thorough analysis of the national and provincial development and sector planning process, as well as associated fiscal planning process, will be conducted. The sectors will include the water resources, infrastructure, energy, agriculture and mining. As pointed out in the STAP comments, the water resource management sector is particularly important, given that the programme’s strategic goal of catalyzing the sustainability of wetland PAs depends upon an explicit commitment from water management agencies to enable water allocations and to set thresholds for management action. In-depth situation analysis will be conducted on water resource management and allocation system. The review will include the analysis of the overall development and sector planning

process and the linkage between the planning at local level (counties/prefectures), provincial level (including autonomous regions), and the national level. Simultaneously, the associated fiscal planning process will be reviewed for both national and sector planning.

Activity 3: Profiling of wetland PA sub-system and identification of priorities for consolidation

Under this activity, wetland PA baseline data will be collected to create a definitive list of wetland PAs in China and summarised for % coverage of different vegetation types, eco-regions, key species and management details. Current status should be compared with assessment of needs and the gap calculated that the projects should aim to help fill. Define TOR for conducting PA systems reviews under the projects.

Activity 4: Wetland Biodiversity Health Index Development

This activity will develop a methodological framework for the Wetland Biodiversity Health Index. Biodiversity health is reflected in the ability of a site to maintain its biodiversity values. These 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 building on a scientifically established methodology. Principle species of significant global biodiversity that form the target of the projects will be listed, providing basic distribution and status data. The report will select several suitable indicator species that can be used to assess 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. 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. The national level index should be flexible enough so that it can be adapted to local use by selection of appropriate indicator species and qualities relevant to local conditions. As per the STAP comment, existing indicator frameworks such as the CBD Indicator Framework and the UN MDG Framework will be reviewed for possible application for the biodiversity health index development. Parallel use of a simplified status indicator will also be investigated as a catchment health indicator to provide informative feedback to officials and communities, with the aim of reinforcing wise use. Indicators will be peer reviewed by specialists.

Activity 5: Assessment of PA information and data management system

This activity will assess the current PA information and biodiversity data management system at the national level. It will also 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 of PA system and 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), the consultant should develop plans for increasing capacity to the level of data sharing platform as required by the project. The platform may be a virtual platform involving several data holders rather than a single dedicated new database.

Activity 6: Wetland PA financing needs, 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 national wetland PA system, assessing the PA financing gaps and opportunities for increasing financing. Recommendations will be made for the project interventions to reduce PA financing gaps.

Activity 7: Feasibility analysis and budget

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

(i) assessment of the social, economic and financial sustainability of proposed outputs and activities; (ii) risk analysis; (iii) assessment of complementary initiatives and coordination strategy; (iv) replication strategy for project activities; (v) monitoring and evaluation (M&E) and budget; (vi) financing plan, including co-financing commitments and incremental costs analysis; (vii) incremental analysis; (viii) 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 at the national level for managing sub-systems of wetland PAs, including: (i) a detailed profile and institutional analysis of relevant institutions at national levels, with clear roles in project implementation, based on a thorough assessment using the capacity scorecards; (ii) description of the wetland PA governance at the national level including planning, decision making and budgeting processes; (iii) analysis and recommendations for institutional/agency capacity development activities to strengthen their wetland PA system planning and management capacity and coordination between the agencies; (iv) review of the existing university/post graduate curricula on wetland sciences and needs analysis for project support for academic programme development; (v) recommendation for the implementation arrangements for the project; (vi) a table of national 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) review and analysis of existing official PA management guidelines and concrete recommendations for development of national guidelines for management and zoning of different types of wetland PAs, which provide tailored approaches to address specific threats and protect unique wetland dynamics and biodiversity.	GEF TF	8,000	80,000	88,000
Activity 2: Situation Analysis on National Development and Sector Planning Process	A comprehensive analysis report provisionally titled “Anatomy of the National and Provincial Development and Sector Planning Process and Opportunities for Mainstreaming,” containing: (i) Clear description of the national and provincial development and associated fiscal planning process from local to national level; (ii) in-depth analysis of the water resource management and allocation decision making system; (iii) assessment of the eco-compensation policy and system and potential eco-compensation system development within the Programme (projects); (iv) recommendations on the opportunities for each of the projects under the MSL Programme in terms of wetland PA sub-system mainstreaming intervention and increasing operational budget allocations for biodiversity and ecosystem management activities within the PAs; (v) clear description of the sector planning and associated fiscal planning process from local to national level, covering the water resource, infrastructure, agriculture, energy and mining sectors; (vi) recommendations on concrete steps for establishing officially sanctioned systems for safeguarding wetland PAs from sector practices at national and provincial (Xinjiang, Hainan, Heilongjiang, Inner Mongolia) levels, including: e.g. setting up of standards for infrastructure development and operation, and standards and procedures for mining and issuance of official guidelines for fisheries, aquaculture and agriculture in and around wetland PAs.	GEF TF	10,000	50,000	60,000

<p>Activity 3: Profiling of wetland PA sub-system and identification of priorities for consolidation</p>	<p>Report provisionally entitled “Wetland PA Sub-System in China and Strategy for Consolidation”, including (i) The definitive list of wetland PAs in China with provincial breakdown with the biodiversity features for target wetland PAs under the MSL Programme, and other priority wetlands PAs; (ii) summary of the wetland PA sub-system in terms of % coverage of different vegetation types, wetland types and ecoregions with provincial breakdown, as well as identification of gaps to be filled by the Programme ; (iii) description of the on-going National Wetland Inventory Exercise, including preliminary results and new findings that projects can build on; (iv) a list of identified priority wetlands for inclusion in the wetland PA sub-system with feasibility rating and note on possible obstacles and strategy for PA designation; (v) ToR for further PA system review integrating climate change adaptation consideration; (vi) production of maps (including provincial level wetland PA maps, wetland PAs/vegetation type overlay, wetland PA ecoregions overlay).</p>	<p>GEF TF</p>	<p>10,000</p>	<p>70,000</p>	<p>80,000</p>
<p>Activity 4: Wetland Biodiversity Health Index Development</p>	<p>The final report includes: (i) methodology and guidelines for the wetland BHI; (ii) 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 up to 30 suitable indicator species that can be used to assess conservation impacts of management prescriptions; (iv) Monitoring and reporting needs for these species should be specified including methodology, periodicity and localities for monitoring under the projects; (v) set of status indicators that can be used to show catchment health to provide informative feedback to officials and communities, with the aim of reinforcing wise use.</p>	<p>GEF TF</p>	<p>9,000</p>	<p>50,000</p>	<p>59,000</p>
<p>Activity 5: Assessment of PA information and data management system</p>	<p>Assessment report on PA and wetland information and data management system, including; (i) review of the existing wetland data base and data flow, and SFA’s institutional capacity for updating and maintaining the database, 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 mechanism at national and provincial 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 platform 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>8,000</p>	<p>70,000</p>	<p>78,000</p>
<p>Activity 6: Wetland PA financing needs, management effectiveness assessment and PA site profiling</p>	<p>Complete Financial Sustainability Scorecard Assessment at the national level for wetland PA sub-system management with accurate assessment of currently available PA revenue and budget and clear identification of financing gap and opportunities for increasing financing.</p>	<p>GEF TF</p>	<p>7,000</p>	<p>10,000</p>	<p>17,000</p>

Activity 7: Feasibility analysis and budget	(i) assessment of the social, economic and financial sustainability of proposed outputs and activities; (ii) risk analysis; (iii) assessment of complementary initiatives and coordination strategy; (iv) replication strategy for project activities; (v) monitoring and evaluation (M&E) and budget; (vi) financing plan, including co-financing commitments and incremental costs analysis; (vii) incremental analysis; (viii) assessment of cost-effectiveness of project outputs and outcomes.	GEF TF	18,000	90,000	108,000
Total project preparation financing			70,000	420,000	490,000

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

	Project Preparation	Agency Fee
Grant Amount	70,000	6,300
Co-financing	420,000	
Total	490,000	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 *	60	23,600	50,000	73,600
International consultants*	10.5	31,500	0	31,500
Travel		13,000	35,000	48,000
Workshops and consultations		0	20,000	20,000
Map and data production		0	10,000	10,000
Translation		0	20,000	20,000
Miscellaneous		1,900	5,000	6,900
Baseline project cost (wetland inventory and Ramsar site management)		0	280,000	280,000
Total PPG Budget		70,000	420,000	490,000

* 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		December 12, 2011	Midori Paxton Regional Technical Advisor – EBD, UNDP	+66 818787510	midori.paxton@undp.org

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
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 baseline 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, 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>f) ensure full stakeholder consultation 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 Biodiversity projects in the region;</p> <p>o) 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;</p> <p>b) in collaboration with the legal and institutional capacity development specialist, conduct the review of the analysis of existing official PA management guidelines and make concrete recommendations for the development of national</p>

Type of Consultant	Position / Titles	\$/ Person Week ¹	Estimated PWs ²	Tasks to be performed
				<p>guidelines for management and zoning of different types of wetland PAs, which provide tailored approaches to address specific threats and protect unique wetland dynamics and biodiversity.</p> <p>c) prepare a definitive list of wetland PAs in China with a provincial breakdown detailing the biodiversity features for target wetland PAs under the MSL Programme, and other priority wetlands PAs;</p> <p>d) produce a summary of the wetland PA sub-system in terms of % coverage of different vegetation types, wetland types and ecoregions with provincial breakdown, as well as identification of gaps to be filled by the Programme;</p> <p>e) prepare a description of the on-going National Wetland Inventory Exercise, including preliminary results and new findings that projects can build on;</p> <p>f) prepare a list of identified priority wetlands for inclusion in the wetland PA sub-system with feasibility ratings and notes on possible obstacles and strategies for PA designation;</p> <p>g) produce necessary maps including provincial level wetland PA maps, wetland PAs/vegetation type overlay, and wetland PA ecoregions overlay</p> <p>h) ensure the accuracy of indicator baselines with clear methodologies for monitoring, as well as the feasibility of targets for the project;</p> <p>i) conduct the Financial Sustainability Scorecard Assessment at the national level for wetland PA sub-system management with accurate assessment of currently available PA revenue and budget and clear identification of financing gaps and opportunities for increasing financing;</p> <p>j) conduct necessary Management Effectiveness Tracking Tool (METT) assessment;</p> <p>k) ensure the quality of capacity development scorecard assessments;</p> <p>l) organise the Knowledge, Attitude and Practice (CAP) survey for the project;</p> <p>m) conduct the review of existing indicator framework for wetland biodiversity health and status and coordinate the development of the BD health index, providing technical inputs to the selection of species to be used and BD health assessment and calculate 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	4	<p>The specialist will undertake detailed analysis on systemic (legal/policy) and institutional capacity at the national level for managing sub-systems of wetland PAs, including:</p> <p>a) a detailed profile and institutional analysis of relevant institutions at national levels, with clear roles in project implementation, based on a thorough assessment using the capacity scorecards;</p> <p>b) description of the wetland PA governance at the national level including planning, decision making and budgeting processes;</p> <p>c) analysis and recommendations for institutional/agency capacity development activities to strengthen their wetland PA system planning and management capacity and coordination between the agencies;</p> <p>d) review of existing tertiary academic programmes for wetland sciences and recommendations for project support for educational programme development;</p> <p>e) recommendation for the implementation arrangements for the project;</p> <p>f) a table of national regulations relevant to the project, specifically identifying gaps, conflicts or other areas where regulations need revision or new drafting, based on thorough analysis; and</p> <p>g) review and analysis of existing official PA management guidelines and make concrete recommendations for development of national guidelines for</p>

Type of Consultant	Position / Titles	\$/ Person Week ¹	Estimated PWs ²	Tasks to be performed
				management and zoning of different types of wetland PAs, which provide tailored approaches to address specific threats and protect unique wetland dynamics and biodiversity.
Local	National/Provincial Development and Sector Planning Specialist	1,000	6	<p>The specialist will conduct necessary study to produce a comprehensive analysis report provisionally titled "Anatomy of the National and Provincial Development and Sector Planning Process and Opportunities for Mainstreaming," containing:</p> <ul style="list-style-type: none"> a) a clear description of the national and provincial development and associated fiscal planning process from local to national level; b) assessment of the eco-compensation policy and system and potential eco-compensation system development within the Programme (projects); c) recommendations on the opportunities for each of the projects under the MSL Programme in terms of wetland PA sub-system mainstreaming intervention and increasing operational budget allocations for biodiversity and ecosystem management activities within the PAs; d) a clear description of the sector planning and associated fiscal planning process from local to national level, covering the water resource, infrastructure, agriculture, energy and mining sectors; e) in-depth assessment on water resource management and allocation system and identification of areas for improvements in order to secure sustainability of wetland PAs; f) recommendations on concrete steps for establishing officially sanctioned systems for safeguarding wetland PAs from sector practices at national and provincial (Xinjiang, Hainan, Heilongjiang, Inner Mongolia) levels, including; setting up of standards for infrastructure development and operation, and standards and procedures for mining and issuance of official guidelines for fisheries, aquaculture and agriculture in and around wetland PAs.
Local	Protected Area Information and Data Management Specialist	1,000	4	<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;</p> <ul style="list-style-type: none"> a) review of the existing wetland data base and data flow, and SFA's institutional capacity for updating and maintaining the database, and make recommendations for further consolidation under the project; b) review of current data platforms available for PA management and environmental and biodiversity monitoring and data sharing mechanisms at national and provincial levels, and evaluate data quality and capacity of the various data platform holding agencies; 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 the purposes of undertaking PA systems review and gap analysis, planning for adding climate change resilience to the PA system and monitoring of biodiversity health status throughout the lifetime of the project and beyond; d) develop plans for increasing capacity to the level of data sharing platform as required by the programme. The platform may be a virtual platform involving several data holders rather than a single dedicated new database.

1. Provide dollar amount per person week.

2. Provide person weeks needed to carry out the task.