



## PROJECT PREPARATION GRANT (PPG)

**PROJECT TYPE:** Full-sized Project

**TYPE OF TRUST FUND:** GEF Trust Fund

**Submission date:** 12/03/2012

**Resubmission date:** 12/10/2012

**Resubmission date:** 16/01/2013

**GEF PROJECT ID:** 4865

**GEF AGENCY PROJECT ID:** 719

**COUNTRY(IES):** China

**PROJECT TITLE:** Expansion And Improvement Of Biodiversity Conservation And Sustainable Use Of Natural Resources In The Greater Shennongjia Area, Hubei Province

**GEF AGENCY(IES):** UNEP, (select), (select)

**GEF FOCAL AREA(S):** Biodiversity

### A. PROJECT PREPARATION TIMEFRAME

Start date of PPG	02/01/2013
Completion date of PPG	08/31/2014

### B. PROPOSED PROJECT PREPARATION ACTIVITIES (\$)

Describe the PPG activities and justifications: Supporting the preparation of the full-size project: Expansion and Improvement of Biodiversity Conservation and Sustainable Use of Natural Resources in the Greater Shennongjia Area, Hubei Province

NOTE: The GEF incremental contribution will support all PPG components complementing inputs by the project proponents and partners, and focusing on the provision of expertise and guidance that is either not available in country and/or that will complement and help develop national capacity for the design and implementation of the project

The PPG process will engage stakeholders and will support activities that will inform the preparation of the full project document and CEO Endorsement Request for the Full-Size Project (FSP) "Expansion And Improvement Of Biodiversity Conservation and Sustainable Use of Natural Resources In The Greater Shennongjia Area, Hubei Province, China". These documents will be submitted to the GEF following further information gathering and stakeholder consultation, and will be accompanied by co-financing letters in line with pledges made in the PIF. The respective partners and co-financers will be fully engaged in the project design phase; one-on-one consultations, working group meetings, and project development workshops will be convened for the purpose. The project partners listed as co-financers to the PIF have ensured proportional co-funding for the PPG, and will fully participate in the preparation of the full-size project documentation. In this way, the involvement of co-funding partners will be fully ensured. The PPG activities will consolidate and supplement the existing information supplied in the PIF on the state of ecosystems in the target area, with a focus on assessing the management effectiveness of existing protected areas and biodiversity conservation efforts, defining the flow of ecosystem services, assessing the main socio-economic factors at play and identifying the role and plan for involvement of indigenous communities. The PPG will address comments of the GEF Secretariat, STAP, and Council. The PPG activities will take into account the lessons learnt from previous GEF projects in the same region and province of China and projects of other agencies and donors relevant to the subject matter of the project. The project's technical feasibility and economic viability will be assessed as will the risks associated with its implementation.

The PPG activities will also ensure that (a) all review points raised in the GEF Review Sheets are duly addressed in the project document and its annexes and clearly referred to in the CEO endorsement request; (b) all STAP comments and review points are duly addressed in a specific table presented as an annex to the project document and referred to in the CEO Endorsement request, and (c) any comments raised from the GEF council on the PIF are addressed in the project document and summarised in an annex to the project document, and clearly referred to in the CEO Endorsement request. In order to achieve these objectives, the PPG has been organized into the following components and activities:

Component 1. Environmental & Social Assessment, collating and review of existing baseline information, including all specialised consultancies required for obtaining, analysing, and interpreting the needed data for project design and definition of baseline and targets for inclusion GEF Tracking Tools for Biodiversity

This component will include assessment of the policy and regulatory framework underpinning the current effectiveness protected areas and their level of integration within the wider land-use and development plans for the GSA. This will also include a review of the options available to improve PA coverage and inter-connectivity among existing PAs. A rapid assessment and broad classification of the existing flow of critical ecosystem services, will also be performed using 'tier 1' methodologies for the Greater Shennongjia Area. This component will also assess the current level of involvement and legal issues with regards to the rights and role of indigenous peoples in the conservation and sustainable management of biodiversity and natural resources, in the GSA. This will also entail the pre-identification of existing opportunities for the definition of Payment for Ecosystem Services (PES) schemes within the GSA. Preparatory activities under this component will result in the following outputs: (i) information gathered and policy and regulatory gaps defined with respect to: the current status of biodiversity in the broader GSA, current PA effectiveness and needs/opportunities for an expanded PA network, role of local communities and their level of involvement BD conservation and natural resources management, mapping of current flow of selected critical ecosystem services from the core mountain forested area of the GSA to surrounding landscapes and communities, and associated opportunities for developing PES schemes involving local community groups; (ii) confirmation of policy and regulatory gaps to be addressed by the project and definition of the key entry points of the project; (iii) detailed definition of the baseline government and non-government programs and financing schemes underpinning the GEF investment in the target areas.

Component 2. Project development and stakeholder consultation workshops, supported and facilitated by high-level national and international experts in several disciplines (ref. Annex A)

This PPG component is relevant for all PIF outcomes, and is designed to ensure that implementation arrangements, partnership strategies and capacities are in place and adequate for the successful project implementation and its sustainability. Funding support from the PPG will be used to conduct: (i) stakeholder consultations and analysis: defining roles, functions and/or responsibilities of the key stakeholder institutions and groups (Ministries, agencies, scientific institutes, local authorities, NGOs, CSOs, private sector and local indigenous communities); (ii) assessment of capacity constraints (including NGOs, CSOs and local communities, as well as government partners involved at local, regional and central level) in supporting and/or implementing project activities and capacity building needs and measures to address these needs. Further, the focus of this component will be on identifying potential incentives and the capacity development needs of the various stakeholder groups to ensure the effectiveness and sustainability of the project interventions and results beyond the term of the project.

This PPG component will be implemented in close consultation also with the UNDP/GEF Wetland Project being prepared in the same province (GEF ID 4823), to ensure maximum synergy as of project design. Key activities and outputs will include:

- Stakeholder consultations at local, regional and central level, including detailed analysis of the roles, functions and responsibilities of different players (governmental, community and indigenous groups,

research institutions and NGOs/CSOs as well as private sector) with respect to regulating, planning, implementing activities affecting the conservation and sound management of wildlife resources, protected areas management and conservation and enhancement of carbon stocks in the target areas;

- Define the capacity needs and technical requirements (software, hardware, on-the-ground presence) for the development and implementation of all project activities;
- Define the targets and scope of the capacity development element of the project: who will be trained, on which topics, by whom and using which training approach and tools.
- Analysis of the level of interest and support/resistance from the main stakeholders for introduction of participatory planning practices and improved conservation and management of biodiversity within and outside protected areas in the GSA. This will also contribute to the risks management strategy of the project.
- Definition of the capacity of the key national stakeholders to implement and sustain the proposed project activities, with recommendations for capacity building activities to be supported by the project, with particular focus on indigenous communities and relevant government departments;
- Feasibility analysis of different options for the implementation of the project activities and project governance. This will include the selection and detailed description of the preferred implementation and governance arrangements for the project, ensuring closest coordination with UNDP/GEF wetlands project 4823. A stakeholder Involvement plan, Communication Plan and a Public Participation plan will be outlined for finalisation and formalization at project inception;
- Action plan for incorporation of gender and indigenous peoples aspects in the project, with quantifiable baseline and target indicators, as per GEF and UNEP guidelines and also line with GEF Council Paper GEF/C.42/Inf.03 of May 7, 2012.
- Environmental and social safeguards checklist updated and mitigation measures identified at pre-PIF stage are assessed and expanded upon, as per UNEP guidelines.

NOTE: Key technical outputs listed in this section will also be documented through separate specific reports or papers that may also be used as annexes to the CEO submission if and as appropriate. The ultimate deliverable of the PPG will be the full documentation for submission for CEO Endorsement.

<b>List of Proposed Project Preparation Activities</b>	<b>Output of the PPG Activities</b>	<b>Trust Fund</b>	<b>Grant Amount (a)</b>	<b>Co-financing (b)</b>	<b>Total c = a + b</b>
1. Environmental & Social Assessment, collating and review of existing baseline information, including all specialised consultancies required for obtaining, analysing, and interpreting the needed data for project design and definition of baseline and targets for inclusion GEF Tracking Tools for Biodiversity	Draft project document developed as per UNEP standards, including Monitoring and Evaluation plan and Logical Framework (including baseline, targets and indicators), in line with the GEF Tracking Tools. The document will include information for the Biodiversity Tracking Tool and expected accomplishments The project submission for CEO Endorsement will therefore include the	GEF TF	31,818	65,000	96,818

	<p>review and accurate analysis of existing information on biodiversity conservation in the Greater Shennongjia area of the Hubei province, including i.e. socio-economic, gender and indigenous people issues, environmental and social safeguards study, etc. The above information will be collected, translated and analysed as a collaborative effort between major national institutions and international agencies involved in Biodiversity conservation, monitoring and rehabilitation efforts in the target area as outlined in the PIF document</p>				
<p>2. Project development and stakeholder consultation workshops, supported and facilitated by high-level national and international experts in several disciplines (ref. Annex A)</p>	<p>Revised draft project document reviewed and endorsed by all key project partners including all major national and international agencies and research institutions involved in biodiversity conservation and land use planning and management in the Greater Shennongjia Area</p> <p>A core team of national and international experts and an overarching Steering Committee is</p>	<p>GEF TF</p>	<p>50,374</p>	<p>100,000</p>	<p>150,374</p>

	also established as the basis for the subsequent implementation of the full-sized project				
4. PPG management and support costs	PPG timely implemented within GEF timelines  Establishment of a capable management team as well as efficient and solid execution and administrative arrangements that will underpin and facilitate the timely execution of the full-size project	GEF TF	0	35,000	35,000
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
<b>Total Project Preparation Financing</b>			<b>82,192</b>	<b>200,000</b>	<b>282,192</b>

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

	<b>Project Preparation</b>	<b>Agency Fee</b>
Grant Amount	82,192	7,808
Co-financing	200,000	
<b>Total</b>	<b>282,192</b>	<b>7,808</b>

**D. PPG AMOUNT REQUESTED BY AGENCY(IES), FOCAL AREA(S) AND COUNTRY(IES)<sup>1</sup>**

Trust Fund	GEF Agency	Focal Area	Country Name/ Global	(in \$)		
				PPG (a)	Agency Fee (b)	Total c = a + b
GEF TF	UNEP	Biodiversity	China	82,192	7,808	90,000
(select)	(select)	(select)				0
(select)	(select)	(select)				0

(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
<b>Total PPG Amount</b>				<b>82,192</b>	<b>7,808</b>	<b>90,000</b>

<sup>1</sup> 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


Cost Items	Total Estimated Person Weeks for Grant (PW)	Grant Amount (\$)	Co-financing (\$)	Total(\$)
Local consultants *	41.20	34,200	40,000	74,200
International consultants*	8.80	21,000	10,000	31,000
Travel		10,818	20,000	30,818
Logistics, Operations and Translation Services		16,174	50,000	66,174
stakeholder workshops			45,000	45,000
PPG Management and support costs			35,000	35,000
<b>Total PPG Budget</b>		<b>82,192</b>	<b>200,000</b>	<b>282,192</b>

\* 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.

\*\* Travel costs include: (a) local travel for national experts and consultants to-from and within the project area (b) international and local travel costs for international consultants supporting project design as outlined in Annex A.

\*\*\* Logistics, Operations and Translation Services costs include: cost for translation of essential project documents from Chinese into English and *vice versa* for use in project development and in consultative workshop(s); translation services for national and international experts and for international workshop if/as required; miscellaneous logistics and operational costs associated with the organization of meetings and consultative workshops at the local level in the GSA, such as i.e. reimbursement of local transport costs to facilitate participation by local communities in PPG consultations, as well as organization of site visits to the remote mountain areas of the GSA by national and international experts to meet with local partners.

#### F. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF/LDCF/SCCF policies and procedures and meets the GEF/LDCF/SCCF criteria for project identification and preparation.					
Agency Coordinator, Agency name	Signature	DATE (MM/dd/yyyy)	Project Contact Person	Telephone	Email Address
Maryam Niamir-Fuller, Director, GEF Coordination Office, UNEP,		01/16/2013	Edoardo Zandri, Task Manager, DEPI, GEF BD/LD	+254 20 762 4380	Edoardo.zandri@unep.org

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**Annex A**

**Consultants Financed by the Project Preparation Grant (PPG)**

<b>Type of Consultant</b>	<b>Position / Titles</b>	<b>\$/ Person Week<sup>1</sup></b>	<b>Estimated PWs<sup>2</sup></b>	<b>Tasks to be Performed</b>
Local	National Project Coordinator	1800	4.00	Manage and coordinate PPG implementation, including reporting, consultants, operations and administration. Lead and coordinate inputs from national team of experts and liaise with international advisors, partner institutions and UNEP, contribute to project design on the management, financial, operational, administrative and governance elements of the project documentation. Coordinate the provision of all elements of the project document, including all annexes, including co-financing letters required. Lead and coordinate inputs from all national and international team, and be responsible for the preparation of the final project documents for submission to the GEF
Local	Biodiversity Conservation Expert	1800	2.00	Advise on biodiversity conservation, protected areas and land degradation issues. Collect, review and analyse existing information for input in the project documentation. Draft relevant sections of the project documentation, including the Environmental safeguards section, lead/support/facilitate consultation with all stakeholders in this specific field
Local	Forest Management And Land Use Planning Experts	1800	3.00	Advise on issues related to Forest Management and Land Use Planning, with specific reference and expertise in the Greater Shennonjia Area context. Collect, review and analyse existing information for input in the project documentation, draft relevant sections of the project documentation, lead/support/facilitate consultation with all stakeholders in this specific field
Local	Socio-Economics And Gender Mainstreaming Experts	1800	5.00	Advise on socio-economic and gender-related issues, with specific expertise on the Greater Shennonjia area's context. Collect, review and analyse existing information for input in the project documentation, in line with Government of China, GEF and



				UNEP policies (including coordination of the project Environmental and Social safeguards Assessment). Draft relevant sections of the project documentation, including the social safeguards section, lead/support/facilitate consultation with all stakeholders in this specific field
Local	Communications And Outreach Expert	1800	2.00	Develop a project communications and stakeholder identification and outreach strategy for inclusion in the project document
Local	Indigenous Peoples Expert	1800	2.00	Advise on indigenous peoples issues, with specific expertise on the Greater Shennonjia area's context. Collect, review and analyse existing information for input in the project documentation, in line with Government of China, GEF and UNEP policies (including contributing to the Environmental and Social safeguards Assessment). Draft relevant sections of the project documentation, including the social safeguards section, lead/support/facilitate consultation with all stakeholders in this specific field
International	Biodiversity Conservation And Protected Areas Management Advisor	3500	2.00	Advise on biodiversity conservation and protected areas management issues, contributing the international best practices and guidelines as relevant to the RF context and based on lessons learned from other GEF projects. Collect, review and analyse existing information in light of latest international best practice guidelines, for input in the project documentation. Draft relevant sections of the project documentation, lead/support/facilitate consultation with all stakeholders in this specific field; coordinate activities of all international consultants; assist the national coordinator and act as Team Leader for international consultants. Assist with assembling of the project document and provision of co-financing letters; oversee the editing/polishing of English text of the final project document before submission to UNEP and the GEF
International	(1) Forestry And Land Use Planning Advisor(S) (2) Socio-Economics	3500	4.00	(1) Advise on issues related to Forest Management and conservation and land use planning. Contribute with international best practices and

	<p>Advisor, (3) Indigenous Peoples And Gender Mainstreaming Advisors</p>			<p>guidelines as relevant to the Greater Shennonjia Area's context and based on lessons learned from other projects. Collect, review and analyse existing information in light of latest international best practice guidelines, for input in the project documentation. Assist and support national experts in drafting all relevant sections of the project documentation, including logical framework and M&amp;E framework, and lead/support/facilitate consultation with all stakeholders in these specific fields.</p> <p>(2)and (3) Advise on socio-economics, sustainable natural resources management, ecosystem services, IP, gender mainstreaming issues, contributing the international best practices and guidelines as relevant to the specific context of the Greater Shenionjia area and based on lessons learned from other projects. Collect, review and analyse existing information in light of latest international best practice guidelines, for input in the project documentation. Assist and support national experts in drafting all relevant sections of the project documentation, including logical framework and M&amp;E framework, and lead/support/facilitate consultation with all stakeholders in these specific fields.</p>
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<sup>1</sup> Provide dollar amount per person week.

<sup>2</sup> Provide person weeks needed to carry out the task