



PROJECT PREPARATION GRANT (PPG)

PROJECT TYPE: Full-sized Project

TYPE OF TRUST FUND: GEF Trust Fund

Submission date: March 21, 2012

GEF PROJECT ID: TBD

GEF AGENCY PROJECT ID: 4716

COUNTRY(IES): Cuba

PROJECT TITLE: A landscape approach to the conservation of threatened mountain ecosystems

GEF AGENCY(IES): UNDP

GEF FOCAL AREA(S): Biodiversity

A. PROJECT PREPARATION TIMEFRAME

Start date of PPG	July 2012
Completion date of PPG	December 2013

B. PROPOSED PROJECT PREPARATION ACTIVITIES (\$)

Describe the PPG activities and justifications:

The PPG process will engage stakeholders and will support specific studies and analyses which will result in the full preparation of the project “A landscape approach to the conservation of threatened mountain ecosystems”. The final result of these analyses and consultations will be the Full Project Document and CEO Endorsement Request for the above mentioned project that will be submitted to GEF Sec within the agreed upon timeframe and with all support documentation required including co-financing confirmation letters.

The overall approach for the project strategy and main components of the project were identified during the preparation of the PIF. However to enable the final assessment and definition of priority actions PPG resources are being requested. These will be used to support more detailed analyses and consultation and to define the roles and responsibilities of different institutions for project implementation. PPG resources will be supplemented with co-funding resources mobilized by the Government of Cuba. All of the local consultancies foreseen for the PPG phase will be carried out by permanent staff members of the same GoC institutions that will be involved in project execution, which will maximize their ownership of the project design and take advantage of the major scientific capacities and field experience of these Cuban staff members.

The PPG process will support the following activities:

1) Validation of target sites and baselines for on-the-ground intervention in the FSP

- **Validation of identity and estimated areas of PAs to be targeted by the project:** validated proposals will be generated for protected areas that have not yet been approved, taking into account conservation priorities, biological processes and social and productive considerations at landscape level, and flows of environmental goods and services.
- **Analysis of biological and ecosystem aspects:** based on a review of secondary literature regarding the identity and ecological/biogeographical characteristics of priority elements of biodiversity, complemented by limited field validation, proposals will be developed of the location of key areas for biological connectivity, and their corresponding management strategies. A biodiversity monitoring plan will be developed for application during the project implementation phase, including indices and corresponding baseline and target values for connectivity, integrity and ecosystem resilience, and definition of biological indicator species together with corresponding baseline and target values. An environmental monitoring plan will be developed, including the definition of key indicators (e.g. BOD, sediment load, aquatic invertebrate indicator species and flow variability in major water courses in the target areas, and sediment load and improvement of reef health in marine areas adjoining target areas) together with corresponding baseline and target values
- **Development of natural resource management options and corresponding monitoring plan.** Based on a

review of experiences to date in Cuba and in similar situations elsewhere in Latin America and the Caribbean and on consultations with local communities, an initial menu of productive options will be developed for application in the target areas, with potential to generate environmental benefits (e.g. improving habitat value and biological connectivity, or reducing contamination of aquatic ecosystems). This will be accompanied by a plan for the monitoring of the uptake and impacts (positive and negative) of these options, including indicators and corresponding baseline and target values (e.g. frequency of wildfires, adoption of agroforestry and silvopastoral practices, reduction in emissions of liquid wastes).

- 2) **Analysis of opportunities to maximize social and gender benefits, and development of stakeholder strategy:** a review will be carried out of the stakeholders who will be involved in, or potentially affected by, the project, including consultations with the stakeholders in question, as appropriate; and the effectiveness and capacities of the mechanisms that currently exist for stakeholder participation will be reviewed. A stakeholder participation plan will be developed for the implementation phase of the project, including proposals of specific mechanisms (or modifications to existing mechanisms) that will enable stakeholders' interests to be taken into account in an ongoing manner in project decisions. Recommendations will be developed of strategies for maximizing the social benefits of the project's interventions, and relevant and measurable indicators will be proposed for the impacts of the project on social conditions. Particular attention will be paid to gender aspects: the stakeholder analysis will be made 'gender sensitive', distinguishing between the interests and needs of men and women and the potential implications of the project for each; recommendations will be developed of how to ensure that women are able to participate effectively in the participation mechanisms of the project and for their interests thereby to be reflected in project decisions; and recommendations will be developed of gender-sensitive indicators for inclusion in the monitoring and evaluation system of the project.

3) **In depth analysis of national and local capacities**

- **Institutional analysis:** an analysis will be carried out of the adequacy of the institutional framework and capacities in relation to the introduction of a landscape-wide, ecosystem-based and multi-sector approach to the management of environmentally sensitive areas in Cuba, at both central and local levels, highlighting bottlenecks or areas of weakness that will require attention by the project and proposing strategies for addressing them, such as the strengthening of the capacities of existing institutions or the modification of institutional structures or inter-institutional relationships. An evaluation will be carried out of the existing extension system in mountain areas, taking into account the results of the BASAL project, identifying limiting factors and needs for strengthening and training. The results of the analysis will be presented as a capacity assessment matrix, and will be used to develop capacity indicators together with corresponding baseline and target values, for inclusion in the results framework of the project. On the basis of the analysis, a training programme will be developed for local coordinators and decision makers of MININT, MINFAR, MINAG, MINBAS, MINTUR, MINCONS, CITMA, MINSAP and INRH in issues related to the conservation and sustainable use of biodiversity, based on evaluation of current state of knowledge, costed proposals will be developed for the strengthening of the installed capacities of local forest fire brigades and for the strengthening of capacities and systems for forest and ecosystem inventory.
- **Review of information management systems and needs.** Proposals will be developed for an integrated interinstitutional information management system to be developed by the project to support decision making for sustainable natural resource management in the target areas. This will be based on the results of the institutional stakeholder analysis and the review of institutional capacities, and integrated with the development of the M&E strategy of the project, and will specify the precise types of information required by each of the actors, channels for information flow, and mechanisms for efficient analysis, storage and dissemination of information.
- **Review of provisions for natural resource management planning.** A review will be carried out of the existing regulatory and institutional framework for environmental land use planning (*ordenamiento ambiental*), highlighting and prioritizing aspects to be improved and recommending strategies to be applied by the project to manage these. A similar review will be carried out in relation to forest management plans and agroforestry plans, and proposals will also be developed for improvements to the criteria for the selection of forest sites and species, to be confirmed and validated during the implementation phase of the project.

4) **Validation of key project design elements.**

- This will include validation of the final details of project outcomes, outputs and activities based on a logical

framework analysis, and the results of the studies listed above. This will include further definition of project risks mitigation measures; final validation of indicators and quantified targets formulation of project M&E plan, to track project progress and effectiveness. The implementing strategy/arrangements for the FSP will be defined, 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. The expected Outcomes and outputs will be costed, co-financing sources will be confirmed and commitments secured, and ToRs for main consultants/contracts for the FSP will be developed.

Proposed Project Preparation Activities	Outputs of the PPG Activities	Trust Fund	Grant Amount (a)	Co-financing (b)	Total c = a + b
1. Validation of target sites and baselines for on-the-ground intervention in the FSP	<p>Protected areas in the project area</p> <ul style="list-style-type: none"> - Validated proposals for protected areas that have not yet been approved, taking into account conservation priorities, biological processes and social and productive considerations at landscape level, and flows of environmental goods and services <p>Biological and ecosystem aspects</p> <ul style="list-style-type: none"> - Proposals for connectivity zones - Biodiversity monitoring plan, including indices and corresponding baseline and target values for connectivity, integrity and ecosystem resilience, and definition of biological indicator species together with corresponding baseline and target values - Environmental monitoring plan, including definition of key indicators (e.g. BOD, sediment load, aquatic invertebrate indicator species and flow variability in major water courses in the target areas, and sediment load and improvement of reef health in marine areas adjoining target areas) together with corresponding baseline and target values <p>Natural resource management options</p> <ul style="list-style-type: none"> - Proposals of natural resource management practices with potential to generate environmental benefits - Monitoring plan for natural resource management impacts, including indicators and corresponding baseline and target values (e.g. frequency of wildfires, adoption of agroforestry and silvopastoral practices, <p>Social/gender benefits and stakeholder participation</p> <ul style="list-style-type: none"> - Details of key leading actors and institutions to coordinate and participate in the Project - Definitions of coordination groups for each intervention area together with corresponding arrangements allowing them to support Project implementation - Stakeholder participation strategy document, based on analysis of effectiveness and capacities of current participation mechanisms (reduction in emissions of liquid wastes) 	GEFTF	29,000	71,000	100,000
2. In depth analysis of national and local capacities	<p>Institutional analysis</p> <ul style="list-style-type: none"> - Proposal for training programme for local coordinators and decision makers of MININT, MINFAR, MINAG, MINBAS, MINTUR, MINCONS, CITMA, MINSAP and INRH in issues related to the conservation and sustainable use of biodiversity, based on evaluation of current state of knowledge - Costed proposals for strengthening of the executing agencies of the project (IES, IIAF, CNAP) - Costed proposal for strengthening of the installed capacities of local forest fire brigades - Proposal for strengthening of capacities and systems for forest and ecosystem inventory 	GEFTF	22,000	73,000	95,000

	<ul style="list-style-type: none"> - Evaluation of the existing extension system in mountain areas, taking into account the results of the BASAL project, identifying limiting factors and needs for strengthening and training. <p>Information management</p> <ul style="list-style-type: none"> - Proposal for integrated interinstitutional information management system to be developed by the project to support sustainable natural resource management in the target areas <p>NRM and environmental management planning</p> <ul style="list-style-type: none"> - Strategy document for project support to the implementation of environmental land use planning, with corresponding baseline values and targets - Strategy document for project support to the improvement of forestry management and agroforestry plans, with corresponding baseline values and targets - Proposals for improvements to the criteria for the selection of forest sites and species 				
3. Development of key project design elements.	<ul style="list-style-type: none"> - Project M&E plan including baseline levels, indicators, methodologies and targets to track project progress and effectiveness; - Cost-effectiveness analysis protocol to identify optimal interventions, assess lessons learned, and outline replication strategies 	GEFTF	48,875	86,500	135,375
Total Project Preparation Financing			99,875	230,500	330,375

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

	Project Preparation	Agency Fee
Grant Amount	99,875	9,987
Co-financing	230,500	
Total	330,375	9,987

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

Trust Fund	GEF Agency	Focal Area	Country Name/ Global	(in \$)		
				PPG (a)	Agency Fee (b)	Total c = a + b
GEFTF	UNDP	Biodiversity	Cuba	99,875	9,987	109,862
Total PPG Amount				99,875	9,987	109,862


E. PPG BUDGET

Cost Items	Total Estimated Person Weeks for Grant (PW)	Grant Amount (\$)	Co-financing (\$)	Total (\$)
Local consultants *	0	0	64,000	64,000
International consultants*	12.5	33,875	0	33,875
Travel**		30,000	40,000	70,000
Activity coordination		0	30,000	30,000
Equipment		6,000	40,000	46,000
Workshops		30,000	56,500	86,500
Total PPG Budget		99,875	230,500	330,375

* Annex A for Consultant cost details should be prepared first before completing this table. See notes on Annex A for the required detailed information.

** Travel costs: Travel cost will cover: a) local travel for local consultants to project pilot sites (cost for terrestrial travel), which are located in different geographical areas requiring multiple trips from the PPG project team between sites and Havana; and b) travel to Cuba and per diems for international expert on project planning and monitoring.

F. GEF AGENCY CERTIFICATION

This request has been prepared in accordance with GEF policies and procedures and meets the GEF LDCF/SCCF/NPIF Trust Fund criteria for project identification and preparation.					
Agency Coordinator, Agency Name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
Yannick Glemarec, UNDP/GEF Executive Coordinator		March 21, 2012	Lyes Ferroukhi, Regional Technical Advisor, EBD	+507 302- 4510	Lyes.ferroukhi@undp.org

Annex A

Consultants Financed by the Project Preparation Grant (PPG)

Type of Consultant	Position / Titles	\$ / Person Week¹	Estimated PWs²	Tasks to be Performed
International	Biodiversity specialist	2,500	2 GEF	<ul style="list-style-type: none"> - Provision of methodological guidance on the design of connectivity zones - Design of biodiversity monitoring plan, including indices of connectivity, integrity and ecosystem resilience, and recommendation of biological indicator species together with corresponding baseline and target values - Design of environmental monitoring plan, including recommendation of key indicators (e.g. BOD, sediment load, aquatic invertebrate indicator species and flow variability in major water courses in the target areas, and sediment load and improvement of reef health in marine areas adjoining target areas)
International	Monitoring and evaluation specialist	2,750	10.5 GEF	<ul style="list-style-type: none"> - Validation of the final details of project outcomes, outputs and activities based on a logical framework analysis, and the results of the studies listed above. - Confirmation of project risk mitigation measures - Final validation of indicators and quantified targets formulation of project M&E plan, to track project progress and effectiveness. - Definition of the implementing strategy/arrangements for the FSP will be defined, 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. - Budgeting of the expected Outcomes and outputs will be costed - Confirmation of co-financing sources and securing of corresponding commitments - Development of ToRs for main consultants/contracts for the FSP

¹ Dollar amount per person week.

² Person weeks needed to carry out the task.