



PROJECT PREPARATION GRANT (PPG)

PROJECT TYPE: Full-sized Project

TYPE OF TRUST FUND: GEF Trust Fund

Submission date: January 15, 2013

GEF PROJECT ID: 5088

GEF AGENCY PROJECT ID: 4955 (UNDP)

COUNTRY: Dominican Republic

PROJECT TITLE: Conserving Biodiversity in Coastal Areas Threatened by Rapid Tourism and Physical Infrastructure Development

GEF AGENCY: UNDP

GEF FOCAL AREA: Biodiversity

A. PROJECT PREPARATION TIMEFRAME

Start date of PPG	15-04-2013
Completion date of PPG	01-09-2014

B. PROPOSED PROJECT PREPARATION ACTIVITIES (\$)

Describe the PPG activities and justifications: The PPG process will engage national stakeholders and will support specific studies and analyses which will result in the full preparation of the project “Conserving Biodiversity in Coastal Areas Threatened by Rapid Tourism and Physical Infrastructure Development”.

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 resources mobilized for co-funding and will support activities under the following three components:

- Validation and baseline analyses of target sites for on-the-ground intervention in the FSP;
- In-depth analysis of national and local capacities related to biodiversity conservation in areas targeted by current and future tourism development (institutional and financial frameworks for management; control and enforcement);
- Consultations and negotiations for finalizing the details of the FSP; full costing; definition of implementation arrangements etc.
- **Validation of target sites; species and baselines to take into account during on-the-ground intervention in the FSP**
- **Pilot areas targeted by the project:** a list of target areas was developed during the process of drafting the PIF. PPG resources will be used to fund more detailed characterizations and analyses of the conditions of each of the proposed areas, with particular attention to their importance as refugia for target endangered species, the nature and magnitude of threats that currently or potentially affect them, and their socioeconomic, political, productive, institutional contexts and programmatic baselines. This information will be generated through a combination of field visits to each of the areas (including consultations with local stakeholders), and consultations and discussions with leading conservation biologists and practitioners in the country (through bilateral meetings and workshops).
- **Biological monitoring:** PPG resources will be used to design the monitoring system for measuring

biodiversity benefits to be derived from the FSP. This will include estimation of baseline values of the populations of the target species in each target site. It will also include making estimates of technical, logistical and financial resources for both the monitoring of indicators during the FSP and those needed to design the longer term biological monitoring system to be set up as part of the adaptive management framework for guiding the implementation of cost effective species conservation. The results of these analyses will be used to guide the formulation of the project's logical framework

- **Analysis of opportunities to maximize social and gender benefits:** 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. On the basis of this review, a stakeholder participation plan will be developed for the implementation phase of the project, including proposals of specific 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. In addition, specific attention will be paid to identifying opportunities for actively promoting the social and economic status of women while at the same time contributing to the conservation of the endangered species.
- **In depth analysis of national and local capacities related to the conservation of BD in areas targeted by current and future tourism development**
- **Review of institutional framework:** an analysis will be carried out of the adequacy of the current institutional framework and capacities in relation to the conservation of BD in areas targeted by the tourism sector, at both central and local levels. The analysis will highlight bottlenecks or areas of weakness that will require attention by the project and propose strategies for addressing them, such as the strengthening of the capacities of existing institutions or the modification of institutional structures or inter-institutional relationships in the context of a proposed update of the National Tourism Development Plan recently announced by the Government. The results of the analysis will be presented as a capacity assessment matrix using the UNDP format adjusted as needed for application to issues related to BD conservation in tourism areas, and will be used to develop capacity indicators together with corresponding baseline and target values, for inclusion in the results framework of the project.
- **Review of the legal and policy framework:** an assessment of current laws and regulations for integrating biodiversity conservation objectives in the tourism sector will be carried out. Relevant policy framework will be analyzed, including an assessment of the Strategic Environmental Assessment (SEA) guidelines and its use in the tourism sector. Other key on-going policy plans such as the National Tourism Plan, the National Land-use Plan, as well as the Strategic Master Plans for the tourism development regions/zones will be assessed in view of identifying feasible modalities for integrating biodiversity conservation in these plans. This assessment will also include biodiversity and protected areas strategies and plans.
- **Review of tourism permitting, certification and enforcement mechanisms:** The permitting system (including EIA) for establishing standards and certification of ecotourism and nature-based tourism will be assessed in view of developing a nation-wide or region-based system of certifying ecotourism enterprises, products and services. This is expected to inform the design of a suitable mechanism for surveillance, enforcement and prosecution in the Dominican Republic, including institutional structures and staffing needs to implement such systems
- **Review of provisions and capacities for territorial land use planning and resource management planning:** a review will be carried out of the existing regulatory and institutional framework for territorial land use and resource management planning and its implications for sustainable tourism development and BD conservation. The review will highlight and prioritize aspects to be improved and will recommend strategies to be applied by the project to manage these. This will be accompanied by recommendations of indicators, for inclusion in the results framework of the project, of the impacts of the activities of the

project in relation to territorial land use and resource management planning

- Development of key project design elements** This will include validation of the 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. Consultations will be undertaken with relevant projects to optimize complementarity and define specific coordination mechanisms. 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.

List of 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; species and baselines for on-the-ground intervention in the FSP	1.1. Assessment of biodiversity in the tourism development regions/zones and their surrounding protected areas: <ul style="list-style-type: none"> - Threat analysis on BD from tourism. This will also include the buffer zones between the high tourism concentration sites and the protected areas in order to capture all the threats from tourism on biodiversity in the ecological corridor linking the protected areas to the tourism regions/zones - Mapping of the exact targeted areas. - Identification of biodiversity status and pressure indicators and their targets linked to ecotourism and nature-based tourism. - Assessment of market options based on tourism arrivals and willingness to pay for ecotourism and nature-based tourism products. - Assessment of the potential for community-based sustainable livelihoods development to ensure the involvement of the local population in the target areas in ecotourism and nature based tourism. - Current capacities and management effectiveness scores for the major PAs in the selected project sites and proposals for the strengthening of capacities and management instruments - Identification of the key elements of a biological monitoring strategy for the FSP including proposals of indicators of the biological impact of the project, to be included in its results framework, together with proposed measurement methods and estimates of costs and baseline values per site - Annex for the Project Document justifying the sites selected in terms of their potential to contribute to project objectives, including matrices presenting results of objective ranking process and threat analysis on BD from tourism - Annex for the Project Document with details of the 	GEFTF	20,000	80,000	100,000

	<p>sites identified, including summarized information on their globally important biodiversity, the threats that affect them, their socioeconomic, political, productive and institutional contexts</p> <p>1.2. Opportunities to maximize social and gender benefits summarized into</p> <ul style="list-style-type: none"> – A stakeholder and participation plan – Recommendations of strategies for maximizing social and gender benefits in conservation programmes – Baseline and target values of social indicators of the project 				
<p>2. In depth analysis of national and local capacities related to the conservation of BD in areas targeted by current and future tourism development</p>	<p>2.1. Review of institutional framework including:</p> <ul style="list-style-type: none"> – Document analyzing the institutional framework and presenting quantitative and qualitative descriptions of capacity gaps of key institutions (such as MA, MITUR and their regional dependencies) that constitute barriers to the effective implementation of a sustainable tourism development strategy and the strengthened management of the selected target PAs in a context of an expected increase in tourism volume – Document analyzing financial conditions and cross-sectoral financial mechanisms in place at present to support BD conservation in the tourism sector and recommendations of strategies for addressing financing gaps and allowing funds to be made available in a timely, adequate and efficient manner – Matrices of the capacities of key institutions for inclusion as an appendix of the Project Document – Proposals of corresponding strategies for capacity strengthening – Definition of mechanisms and systems for monitoring and for the management of information in support of the implementation of the National Tourism Development Plan – Recommendation of additional indicators of the impacts of the project’s activities in relation to the institutional framework for the conservation of BD in Tourism areas <p>2.2 Review of the legal and policy framework</p> <ul style="list-style-type: none"> – Institutional capacity assessment of key stakeholders involved in mainstreaming biodiversity into tourism planning and implementation. – Assessment of current policies, laws and regulations for integrating biodiversity conservation in the tourism sector, with special 	GEFTF	28,538	160,000	188,538

	<p>focus on land-use planning and SEAs.</p> <p>2.3 Review of tourism permitting, certification and enforcement mechanisms</p> <ul style="list-style-type: none"> – Assessment of tourism permitting, certification and enforcement mechanisms, including EIA and identification of minimum requirements to establish efficient standards and certification of ecotourism and nature-based tourism, in view of developing a nation-wide or region-based system of certifying ecotourism enterprises, products and services. This should also inform the design of a suitable mechanism for surveillance, enforcement and prosecution in the Dominican Republic. <p>2.3 Review of provisions and capacities for territorial land use planning and resource management planning including:</p> <ul style="list-style-type: none"> – A document analyzing the existing regulatory and institutional framework for territorial land use and resource management planning and its implications for the conservation of BD in tourism areas highlighting and prioritizing aspects to be improved and recommending strategies to be applied by the project to manage these. – Recommendations of indicators, for inclusion in the results framework of the project, of the impacts of the activities of the project in relation to territorial land use and resource management planning 				
3. Development of key project design elements	<p>3.1 Project M&E plan including baseline levels, indicators, methodologies and targets to track project progress and effectiveness;</p> <p>3.2 Project advocacy, partnership and communication plan; including the Establishment of multi-stakeholder platform to design the project. This will include key tourism stakeholders and the authorities responsible for the tourism development in Samana – Los Haitises areas and in the Montecristi area. Special attention will also be given to the involvement of local community groups and local administration.</p> <p>3.3 Cost-effectiveness analysis protocol to identify optimal interventions, assess lessons learned and best practices, and outline replication strategies</p>	GEFTF	28,600	80,000	108,600
Total Project Preparation Financing			77,138	320,000	397,138

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

	Project Preparation	Agency Fee
Grant Amount	77,138	7,328
Co-financing	320,000	
Total	397,138	7,328

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

Trust Fund	GEF Agency	Focal Area	Country Name	Amount (in \$)		
				PPG (a)	AgencyFee (b)	Total c = a + b
GEF TF	UNDP	Biodiversity	Dominican Republic	77,138	7,328	84,466
Total PPG Amount				77,138	7,328	84,466


E. PPG BUDGET

Cost Items	Total Estimated Person Weeks for GEF Grant (PW)	Grant Amount (\$)	Co-financing (\$)	Total (\$)
Local consultants /local staff *	36.1	40,500	260,000	300,500
International consultants*	10.40	28,600	-	28,600
Travel**		4,038	6,000	10,038
Office space and equipment			43,000	43,000
Miscellaneous (communications; electricity; translation costs etc)		1,000	5,000	6,000
Workshops and consultations (including site level validations; logframe workshops etc)		3,000	6,000	9,000
Total PPG Budget		77,138	320,000	397,138

* See notes on Annex A for the required detailed information. The co-financing here refers to the cost of Government Staff allocated to the PPG for a) coordination of PPG activities and overall management of process (negotiation of co-financing; compatibility with national policies etc); b) technical inputs on different issues at national level and local level (including staff time in target areas); (iii) staff time of co-financing partners in definition of final project design; implementing arrangements and budget allocations.

** Travel costs: Travel cost will cover: a) local travel for local consultants to project pilot sites (cost for terrestrial travel and per diems), which are located in different geographical areas requiring multiple trips from the PPG project team between sites and Santo Domingo; and b) travel to Santo Domingo 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 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		January 15, 2013	Lyes Ferroukhi, Regional Technical Adviser, EBD	+507 302-4576	lyes.ferroukhi@undp.org

Annex A

Consultants Financed by the Project Preparation Grant (PPG)

Type of Consultants	Position / Titles	\$/Person Week ¹	Estimated PWs ²	Tasks to be Performed
Local	1. Lead natural resource specialist	1,250	17.6	<p>Coordination role:</p> <ul style="list-style-type: none"> - Overall coordination of national experts and PPG experts hired for specific tasks - Guiding the process of data collection, systematization and national validation of findings. - Development of project advocacy, partnership and communication plan; - Facilitate dialogue and coordination with key stakeholders of the project at national and local level including MA, MITUR, Ministry of Economy and Finance, Tourism operators and private sector , local authorities and communities - Close coordination with the international expert on project planning and monitoring and with the PPG national director to ensure the timely completion of the project development and documentation. <p>Technical role:</p> <ul style="list-style-type: none"> - Ensure technical validation of the identity and estimated areas of areas to be targeted by the project as well as project targets and indicators - Definition of the technical and financial resources that are required for the implementation of the strategies identified, to permit the calculation of the project budget and the definition of the staffing and implementation arrangements of the project - Develop an action plan for mainstreaming gender issues in the project and define the specific activities in which women will benefit from the initiatives promoted by the project. - Gender sensitive review of stakeholders who will be involved in, or potentially affected by, the project, including consultations with the stakeholders in question, as appropriate. - Development of gender-sensitive stakeholder participation plan for the implementation phase of the project, including proposals of specific mechanisms that will enable stakeholders' interests to be taken into account in an ongoing manner in project decisions. - Development of recommendations for maximizing the social and gender benefits of

				<p>the project's interventions</p> <ul style="list-style-type: none"> - Proposal of relevant, measurable and gender-sensitive indicators for the impacts of the project on social conditions. - Design of the monitoring system for measuring the biodiversity benefits to be derived from the FSP, including estimation of baseline values in each site - Estimation of technical, logistical and financial resources for both the monitoring of indicators during the FSP and those needed to design the longer term biological monitoring system to be set up as part of the adaptive management framework for guiding the implementation of the cost effective conservation of sensitive coastal ecosystems
Local	2. Biodiversity and conservation expert	1,000	3.7	<ul style="list-style-type: none"> - Conduct baseline biodiversity assessment, including identification of critical threats of tourism on biodiversity - Analyze available historical data and regional data to assess likely key trends in biodiversity resources and the impact of tourism - Identify biodiversity impact indicators of status or pressure as part of the project's M&E, and provide specific baselines and targets for the identified indicator - Identify key gaps and needs in biological monitoring data - Conduct the environmental threats analysis of tourism activities by documenting current and potential threats to biodiversity - Complete the METT for the individual PAs in selected areas and collaboratively developing time-based targets for improving the METT scores in close coordination with current GEF funded PA finance project
Local	3. Environmental System Information and mapping expert	1,000	3.7	<ul style="list-style-type: none"> - Carry out geo-referencing studies to confirm tourism regions/zones and PA boundaries and ecological corridors between the PAs and the tourism regions/zones; including details on coverage of critical ecosystems such as endemic vegetation zones, faunal migration routes and distribution of threatened and other major species. - Translate field data into a user friendly GIS data planning format; and prepare baseline maps for targeted PAs, tourism regions/zones and relevant ecological corridors - Assess the different information systems used by the various tourism sector operators and environmental authorities with emphasis on quality of information, relevance, compatibility, availability, and opportunities for collaboration in the field of BD conservation.

				<ul style="list-style-type: none"> - Provide recommendations for integrating information management platforms. - Design the roadmap to implement the recommendations provided. - Recommendation of indicators, for inclusion in the results framework of the project
Local	4. Sustainable tourism development expert	1,000	3.7	<ul style="list-style-type: none"> - Analyze potential entry points for mainstreaming BD conservation into the current and future tourism policies - Assess the tourism permitting, certification and enforcement mechanisms, including EIA, standards and certification of ecotourism and nature-based tourism. - Conduct a preliminary market analysis and concept for ecotourism and nature-based tourism including assessment of tourist's willingness to pay for premium tourism products - Conduct preliminary economic feasibility studies and market assessment for specific activities in ecotourism and nature-based tourism - Undertake quantitative socio-economic assessment of the main local communities in the targeted tourism regions/zones and livelihoods strategies based on natural resource use - Document community-level governance structures to be leveraged for community-based natural resource management - Identify community-based livelihood development activities based on sustainable use of biodiversity - Propose a set of socio-economic indicators for the project's M&E strategy - Establish a baseline and target for the ecotourism and nature-based tourism indicators of the project
Local	5. Policy and institutional expert	1,000	7.4	<ul style="list-style-type: none"> - Analysis of the adequacy of the institutional framework and capacities in relation to the conservation of BD in the tourism sector, at both central and local levels, and highlighting bottlenecks or areas of weakness that will require attention by the project. - Identified capacity development needs and tools for planning, mainstreaming , monitoring and enforcement of tourism regulations and for addressing social considerations as well as threats on biodiversity at the level of the pilot regions/zones and the PAs - Development of strategies for addressing the identified areas of institutional weakness, such as the strengthening of the capacities of existing national and local institutions or the

				<p>modification of institutional structures or inter-institutional relationships</p> <ul style="list-style-type: none"> - Generation of capacity assessment matrix using the UNDP format, together with capacity indicators and corresponding baseline and target values, for inclusion in the results framework of the project. - Review of the existing regulatory and policy frameworks for territorial land use and resource management planning and its implications for the conservation of BD in areas targeted by the tourism sector, highlighting and prioritizing aspects to be improved. - Make recommendations on the necessary steps for incorporating the proposed changes in land use planning instruments and sector planning as well as to improve coordination, collaboration and implementation abilities of local, regional, and national stakeholders including the private sector. - Develop a road map and recommendations for the implementation of a Strategic Environmental Assessment (SEA) in relation to the current and future tourism policy including which stakeholders should be involved as well as the what information is required for the strengthening of the SEA. - Identified capacity development needs for planning, monitoring and enforcement of tourism regulations and their threats on biodiversity at the level of the pilot regions/zones and the PAs. - Identifying feasible modalities for integrating biodiversity conservation in existing policies and regulations. - Recommendation of indicators, for inclusion in the results framework of the project, of the impacts of the activities of the project in relation to territorial land use and resource management planning
International	6. Monitoring and evaluation specialist	2,750	10.4	<ul style="list-style-type: none"> - Provision of guidance to the methodologies for the data collection for project planning and monitoring with particular attention to the approach for describing and quantifying the baseline expenditure; - Provision of overall orientation to PPG team in relation to GEF requirements for project planning and monitoring; - In conjunction with the PPG experts and national staff; and based on outputs of PPG studies, validation of the final details of project outcomes, outputs and activities based on a logical framework analysis, and the results of the studies undertaken - Assessment of existing monitoring and

				<p>evaluation systems of relevant institutions in the Dominican Republic and provision of guidance and orientation on indicators and quantified targets to track project progress and effectiveness</p> <ul style="list-style-type: none"> - Construction of an appropriate monitoring and evaluation system and plan for the project that will:- (a) enable the adoption of adaptive management strategies during project implementation; (b) facilitate the evaluation of the project on completion; and (c) provide the basis for a future integrated M&E system for endangered species conservation and provide inputs to project risk mitigation measures
--	--	--	--	---