



# PROJECT PREPARATION GRANT (PPG)

PROJECT TYPE: Full-sized Project

TYPE OF TRUST FUND: GEF Trust Fund

Submission date: April 16, 2012

GEF PROJECT ID: 4835

GEF AGENCY PROJECT ID: 4732

COUNTRY(IES): Georgia

PROJECT TITLE: Expansion and Improved Management Effectiveness of Adjara Region's Protected Areas

GEF AGENCY(IES): UNDP

GEF FOCAL AREA(S): Biodiversity

## A. PROJECT PREPARATION TIMEFRAME

Start date of PPG (tentative)	May 1, 2012
Completion date of PPG (tentative)	April 30, 2013

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

Describe the PPG activities and justifications:

The PPG process will engage stakeholders and will support activities that will inform the preparation of the complete project document and CEO Endorsement Request for the Full-Size Project (FSP) “*Expansion and Improved Management Effectiveness of Adjara Region’s Protected Areas*”. This document 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, as appropriate. The project partners listed as co-financers in the PIF will have ensured proportional co-funding for the PPG, and will fully participate in the preparation of the medium-size project documentation. In this way the involvement of co-financing partners will be ensured. The PPG activities will consolidate and supplement the existing information supplied in the PIF on the state of biodiversity and protected area system in Georgia and specifically in the Adjara Region, as well as in the economic landscapes around and between the protected areas in Adjara Region. The PPG will address comments of the GEF Secretariat made at the PIF stage. The PPG activities will take into account the lessons learnt from previous UNDP-GEF projects in Georgia, and initiatives 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. In order to achieve these objectives, the PPG has been organized into the following activities:

**PPG Activity 1. Elaborate on and analyse the ‘baseline project investments’ -- with particular focus on the policy, regulatory and methodological setting of the project for the expansion and improved protected areas management in the Adjara region of Georgia**

Preparatory activities under this component will result in the following outputs: (i) information gathered and policy and regulatory gaps defined in regard to planning, operating and expanding the protected area system in the Adjara Region, including establishment and operation of buffer zones and corridors: analysis of the relevant laws, regulations, policies and programmes, taking note of the best international practices; (ii) confirmation of policy and regulatory gaps to be addressed by the project and definition of entry points

of the project; (iii) detailed definition of the baseline programs.

These activities will seek to expand the description of the ‘baseline project’ contained in the PIF. This description will need to be much more detailed at PRODOC stage. Apart from producing data on existing and planned investments that are of relevance to the project, the ancillary aim of this activity is to programme co-financing.

- Assessment of the current state of protection of biodiversity in the Adjara Region. Development of an action plan (with activities, roles and responsibilities) for the expansion of PAs in the Adjara Region with specific attention paid to the establishment of the Machakhela National Park;
- Detailed description of pressures from human activities on the ecosystems of Adjara region (specifically on Mtirala and Kintrishi PA complexes and the planned Machakhela National Park); quantification of their impacts in terms of species and habitat loss, habitat fragmentation;
- Assessment of the strengths, weaknesses, existing clauses and gaps within the legal and regulatory framework governing establishment of buffer zones;
- Analysis of legislative, policy and methodological approach for engagement of communities / local people and other stakeholders e.g. NGOs, local administration, in the management of natural resources in Adjara Region, in and around protected areas.
- Collect detailed data on the government’s investments in the environment sector in general and relating to biodiversity and PA management more specifically. This will be done in close collaboration with the Ministry of Finance and the Ministry of Environmental Protection, as well as with the Autonomous Republic of Adjara. Results will be broken down by type and purpose of investment, and by recipient body (including government institutions at the national and local levels). An analysis of expenditure will be undertaken (e.g. delivery/ current and near future funding situations, relative to objectives, as well as longer-term financing trends).
- Confirm data on donor-funded, non-governmental and private sector investments in the environment sector in general and in the arena of biodiversity and PA management. The information can be presented in matrix form, where the different interventions will be identified and described; the sources of funding, committed amounts in USD-equivalent and respective duration of the interventions will be documented and the key beneficiaries and implementing agents mentioned.
- Identify the key barriers to an effective investment in protected area management in Adjara Region, taking into account the planned expansion of the protected area estate, the prospects for growth in the economy and different constraining factors, such as capacity, information management and transaction costs, among others.

**PPG Activity 2: Assessment of the capacity of different agencies to support the implementation of project activities.**

The aim of this activity is to ensure that implementation arrangements, partnership strategies and capacities are in place and adequate for the successful project implementation and its sustainability. The funding support from the PPG will be used to conduct: (i) stakeholder analysis: roles, functions and/or responsibilities of the key stakeholder institutions and groups (Ministries, agencies, scientific institutes, local authorities, local herders, farmers, NGOs, CSOs and local communities); (ii) assessment of capacity constraints (including NGOs, CSOs and local communities) in supporting and/or implementing project activities and capacity building needs and measures to address these needs. Further, the focus of this assessment 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.

The activities will include:

- Analysis of the roles, functions and responsibilities of different players (governmental, local

communities, research, private sector, NGOs/CSOs) with respect to regulating, planning, implementing activities affecting sound management of ecosystems in the Adjara Region and specifically on the management of protected areas in this region;

- Analysis of the level of interest and support/resistance from the main stakeholders for introduction of protected areas and buffer zones in the Adjara Region. This will 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 NGOs and communities;
- Feasibility analysis of different options for the implementation of the project activities and project governance. This will include the selections and detailed description of the preferred implementation and governance arrangements for the project. A stakeholder Involvement plan and a Public Participation plan will be developed and agreed;
- Action plan for incorporation of gender aspects in the project, with quantifiable baseline and target indicators, as per GEF and UNDP guidance. In line with STAP comments, consider gender differentiation issues when designing site-specific activities.
- Assess the governance frameworks for the management of sites: Is there a PA management board or council? How does it function? What is the PA management model? Are communities involved in or consulted upon PA management decisions? Who are the key stakeholders in PA management? What are the existing and prospective partnerships for PA management?
- Assess the capacity of the general community, particularly within the proposed Machakhela National Park site, review and assess the different forms of community involvement applied in protected areas management in Georgia. Assess the level of community involvement potential of the area.

### **PPG Activity 3. Complete baseline assessment for sites to be targeted by the project for enhancing management effectiveness (PA site-level survey)**

The aim of this activity is to plan the rehabilitation works to be undertaken in select PAs (namely the Kintrishi PA Complex and Mtirala National Park and the proposed Machakhela National Park), under Component 2 of the FSP. The following activities will be undertaken:

- Application of the PA Management Effectiveness Tracking Tools (or METT) for the sites. More specifically, for each site, and using the new GEF Tracking Tools for Biodiversity in MS Excel format (workbook comprised of several sheets), the specific worksheet '*Objective 1. Section II*' is to be thoroughly completed, one sheet per site. PA managers, relevant MEP staff, park rangers, community leaders should be consulted in the exercise. The applicable Tracking Tools questionnaires are to be completed with sufficiently detailed comments for each of the questions, both for the threat analysis section (with 12 categories of threats in all) and for METT Assessment scores (with 30 METT topics in all).
- Assess the status of ecosystems in the proposed Machakhela National Park, including and in particular the critical ecosystems for strict protection, and the main threats to the PAs' biodiversity<sup>1</sup> (this will be based first and foremost on existing data) – maps, rates of deforestation / land conversion, species population assessments, etc. may all be appropriate ways to assess the status of the ecosystems and landscapes in the target PAs.
- Survey the current protected area staff complement and its adequacy (how many staff, where they are based, what their functions and training levels are, who they report to and how etc.); interview key PA staff as necessary.
- Survey protected area infrastructures and their status of maintenance (roads, buildings, fences, etc.), as well as equipment, their use and adequacy vis-à-vis the needs (vehicles, computers, GPS,

<sup>1</sup> Direct threats to biodiversity should be categorized under the following headings (after the Millennium Ecosystem Assessment): (1) habitat / land use change; (2) overexploitation; (3) invasive alien species; (4) pollution; (5) climate change.

etc.).

- Obtain information on PA budgets and flows of funds for each of the sites (to verify the national assessment).
- Briefly assess the tourism potential of project sites.
- Analyse the potential for job creation and revenue generation for local communities deriving from the rehabilitation of targeted protected areas.
- Produce maps for the project sites, as well as for the entire project (the latter with focus on the expansion of the existing PA estate).
- Analyse the level of operationalisation of the three protected areas, building an overall picture for each of them, based on the surveys and assessments described above.
- Define goals and milestones for the establishment of the Machakhela National Park and enhancement of Management Effectiveness of the three protected areas targeted by the project, identifying and elaborating on the key barriers to it and establishing the ideal timeline for implementation.

#### **PPG Activity 4. Feasibility and risk analysis, strategy development and budget**

The specific activities include:

- Undertake a detailed incremental cost-analysis of the proposed project through the definition and costing of the baseline projects versus the activities and costing of those activities that will be needed to achieve the proposed project's goal, also taking account of the co-financing that will be leveraged during the implementation of the project. The end result should be a definition of the project's incremental value over the period of implementation, described in a matrices format.
- Describe and evaluate any alternative means of achieving the goals of the project. Cost the alternative approaches and through the process strengthen the cost-effectiveness argument of the project.
- Defining an overall Monitoring and Evaluation Framework for the project that will ensure the project achieves its objectives and outcomes and that the project stays on track during implementation. This will include an evaluation of current M&E systems used by the different stakeholders in Georgia to measure impacts on biodiversity and impacts of conservation actions. Stakeholders should be consulted on the M & E framework to ensure their buy-in and agreement in order to increase the possibility of the project achieving and exceeding its goals, but also to ensure that it is realistic and achievable.
- Based on all the above activities, finalise the implementing strategy for the project detailing the inputs required for implementation (consultant/contracts and their terms of reference [ToRs] – equipment, travel, etc.), and developing a financing plan.

<b>Proposed Project Preparation Activities</b>	<b>Outputs 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. Establish 'baseline project investments'	<ul style="list-style-type: none"> <li>– Information gathered and policy and regulatory gaps defined in regard to planning, operating and expanding the PAs in Adjara Region, including the establishment and operation of buffer zones, analysis of the relevant laws, regulations, policies and programmes.</li> <li>– Confirmation of policy and regulatory gaps to be addressed by the project</li> <li>– Baseline project investments with respect to the environment and biodiversity/PA</li> </ul>	GEFTF	25,000	80,000	<b>105,000</b>

	management are duly assessed and trends analyzed. – Key barriers to effective investment in protected area management are identified. – The global significance argument is made for Georgia.				
2. Capacity Assessment of the different agencies to support the implementation of project activities	– Stakeholder analysis: roles, functions and/or responsibilities of the key stakeholder institutions and groups (Ministries, agencies, scientific institutes, local authorities, local herders, farmers, NGOs, CSOs and local communities); – Assessment of capacity constraints (including NGOs, CSOs and local communities) in supporting and/or implementing project activities and capacity building needs and measures to address these needs. Further, the focus of this assessment 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.	GEFTF	25,000	80,000	<b>105,000</b>
3. Site-level survey	– The current needs for enhanced management effectiveness of the Adjara protected area system and the proposed Machakhela National Park are thoroughly assessed. – The status of the PA ecosystems is established and maps and other key products are produced. – METT is applied in a thorough manner for all target sites.	GEFTF	20,000	50,000	<b>70,000</b>
4. Feasibility and risk analysis, strategy development and budget	– Feasibility and risk analysis, strategy development and budget	GEFTF	10,000	30,000	<b>40,000</b>
<b>Total Project Preparation Financing</b>			<b>80,000</b>	<b>240,000</b>	<b>320,000</b>

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

	Project Preparation	Agency Fee
Grant Amount	80,000	8,000
Co-financing	240,000	
<b>Total</b>	<b>320,000</b>	8,000

### 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
GEFTF	UNDP	Biodiversity	Georgia	80,000	8,000	88,000
<b>Total PPG Amount</b>				<b>80,000</b>	<b>8,000</b>	<b>88,000</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 *	24	15,600	80,000	94,300
International consultants*	20	50,000	10,000	60,000
Travel**		14,400	0	15,700
Workshops & consultation***		0	150,000	150,000
<b>Total PPG Budget</b>		<b>80,000</b>	<b>240,000</b>	<b>320,000</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.

\*\* Travel costs: Travel cost will cover: a) local travel for consultants to PAs (cost for terrestrial travel and per diems); and b) travel to Georgia and per diems for international project development and PA management expert.

\*\*\* Miscellaneous cost under co-financing covers cash and in-kind contributions from project partners (i.e., Government and NGOs) associated with PPG management and administrative costs including: contracting of consultant and follow-up; participation of staff in project design; document translation; office space and equipment; and financial management and reporting. Workshop costs include a PPG inception workshop and consultation meetings with multiple stakeholders for project formulation.

## 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, Executive Coordinator, UNDP/GEF		April 16, 2012	Johan Robinson, Regional Technical Advisor for Biodiversity, Europe and CIS, UNDP	+421 259337299	johan.robinson@undp.org

**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>
International	Project Development/PA Management Expert	2,500	12	<p>The Project Development/PA Management Expert is responsible for coordinating the work of all other consultants, and will ensure the quality and timely preparation of all reports and documentation with two missions to Georgia and home-based work. In executing PPG Component 4 and supporting the other PPG Components, the consultant will carry out the following tasks:</p> <ul style="list-style-type: none"> <li>• Defining operational strategies and resource needs, and providing administrative support for effective project design.</li> <li>• Providing an overall orientation to the PPG team in relation to GEF requirements for project planning and monitoring.</li> <li>• Providing methodological guidance for data collection related to project planning and monitoring with particular attention given to the description and quantification of the baseline investments.</li> <li>• Defining and validating the project outcomes, outputs, and activities based on a logical framework analysis and the results of the PPG studies undertaken by the team of experts.</li> <li>• Collate relevant information on existing policies, legal, regulatory, institutional and financial frameworks for PA System management in Georgia and compose an analysis of it providing the ‘baseline’ picture and the justification for the project.</li> <li>• Determine the needs for effective PA management in target sites and in the entire and expanded PA estate, building this analysis into proposed activities and outputs.</li> <li>• Assessing existing monitoring and evaluation systems of relevant institutions for biodiversity in Georgia and providing guidance and orientation to define indicators and quantify targets to track project progress and effectiveness.</li> <li>• Developing the results framework of the project.</li> <li>• Compiling the final baseline/situational analysis for the project based on the inputs from local experts and in close cooperation with the key national stakeholders. This</li> </ul>

Type of Consultant	Position / Titles	\$/Person Week <sup>1</sup>	Estimated PWS <sup>2</sup>	Tasks to be Performed
				<p>will include a precise definition of baseline projects, activities, budgets, goals, and co-financing links to GEF outcomes; definition of GEF incremental value per outcome and output; and development of incremental cost matrices.</p> <ul style="list-style-type: none"> <li>• Preparing a quantified assessment of the project's global environmental benefits for biodiversity conservation based on inputs from local experts and international standard criteria for effective PA management.</li> <li>• Review and comment on the application of relevant tools, in particular the METT and UNDP's PA Management Capacity Development Scorecard and.</li> <li>• Drafting ToRs for the key consultants/contracts to be employed by the project.</li> <li>• Define recommended project monitoring and evaluation indicators.</li> <li>• Performing final reviews of the required project documentation.</li> </ul>
International	Stakeholder and Community Participation Expert	2,500	8	<p>The International Community Participation Expert will closely coordinate with the Project Development and PA Management expert and the team of experts, with two missions to Georgia as well as home-based work. The consultant will, in close cooperation with information from the Ecological Assessment expert, be primarily responsible for carrying out the tasks related to PPG Activity 2, i.e. Assessment of the capacity of different agencies to support the implementation of project activities (refer to thorough descriptions in the PPG).</p> <p><u>Key products will include:</u></p> <ul style="list-style-type: none"> <li>• Defining implementation needs and participation mechanisms for national and local stakeholders.</li> <li>• Developing a stakeholder involvement plan jointly with other experts</li> <li>• Provide recommendations on the institutional capacity development for effective PA planning, expansion and management including the capacity of local communities, associations, local agencies and CSO/NGOs.</li> <li>• Developing the Stakeholder Involvement and Public Participation Plan based on input from national experts, including an action plan for the incorporation of gender aspects into the project.</li> </ul>
Local	Ecological	650	16	The consultant will be responsible for carrying out



Type of Consultant	Position / Titles	\$/Person Week <sup>1</sup>	Estimated PWs <sup>2</sup>	Tasks to be Performed
	Assessment Expert			<p>the tasks related to PPG Activity 3, i.e. Complete baseline assessment for sites to be targeted by the project for enhancing management effectiveness (PA site-level survey) (refer to the thorough descriptions in the PPG)</p> <ul style="list-style-type: none"> <li>• Compiling detailed description of the biodiversity values present in the Adjara region and specifically in the targeted PAs and proposed PAs</li> <li>• Compiling a detailed description of threats and impacts to PAs and forest biodiversity.</li> <li>• Analyse the efficacy in increasing the functional connectivity of the ecoregion through the establishment of the Machakhela National Park.</li> <li>• Through these activities, the consultant will be pivotal in raising awareness among key conservation stakeholders on the project and its objectives and strategy.</li> </ul> <p><u>Key products will include:</u></p> <ul style="list-style-type: none"> <li>• A detailed report with a detailed assessment of the habitat and biodiversity values of the Adjara region and its national representation.</li> <li>• In addition to this, the Ecological Assessment Expert will provide support to the International Project Development/PA Management Expert in drafting of the project documentation in full and following UNDP and GEF guidelines. Support will include: baseline analysis, project logical framework and indicators, incremental-cost analysis, quantified description of the global environmental benefits of the project, risk analysis and mitigation strategy, sustainability of proposed project activities, replication of project activities and project budget.</li> </ul>
Local	Economic Valuation and Finance Expert	650	8	<p>The consultant will be responsible for carrying out the tasks related to PPG Activity 1, i.e. Elaborate on and analyse the ‘baseline project investments’ -- with particular focus on finance for the expansion and improved protected areas management in the Adjara region throughout the country. The consultant will also provide a basis upon which business plans can be developed for the three PAs that are targeted in the region, the project phase, the expert will look at the investment climate in the Adjara region, including market survey, overview of traditional livelihoods, economic development trends and threats in the region, opportunities for partnerships, innovations, etc. The consultant will be pivotal in the mobilization of co-financing for the</p>

Type of Consultant	Position / Titles	\$/Person Week <sup>1</sup>	Estimated PWS <sup>2</sup>	Tasks to be Performed
				<p>project.  Further, with the cooperation of the other members of the team, this expert will also be responsible under PPG Component 4 (i.e. Feasibility and risk analysis, strategy development and budget ) for the costing of all the activities of the project and providing information to elaborate the final budget. (refer to the thorough descriptions in the PPG)</p> <p><u>Key products will include:</u></p> <ul style="list-style-type: none"> <li>• A detailed report analysing the overall level of investment in environment in general, and in biodiversity and PA management , with emphasis on PAs, more specifically, in light of the needs of an expanded PA estate. The report will include an assessment of the economic viability of the project, an analysis of the opportunities for development of business ideas in cooperation with the community in the area of the Adjara PAs.</li> <li>• TORs for consultants/companies for the development of business plans for the Kintrishi and Mtirala PAs and the proposed Machakhela National Park.</li> <li>• Detailed budget for the implementation of the project.</li> </ul>

<sup>1</sup> Dollar amount per person week.

<sup>2</sup> Person weeks needed to carry out the task.

Note: Split between local and International consultants is indicative and subject to procurement guidelines or agencies and governments. Consultants will be hired in line with UNDP rates and procedures. Also, in accordance with both UNDP and GEF policies, no GEF project resources will be used to pay any government, agency, or NGO personnel.