



# PROJECT PREPARATION GRANT (PPG)

PROJECT TYPE: Full-sized Project

TYPE OF TRUST FUND: GEF Trust Fund

Submission date: February 13, 2012

GEF PROJECT ID: 4743

GEF AGENCY PROJECT ID: 4651

COUNTRY(IES): India

PROJECT TITLE: Developing an effective multiple use management framework for conserving biodiversity in the mountain landscapes of the High Ranges, Western Ghats, India.

GEF AGENCY(IES): UNDP

GEF FOCAL AREA(S): Biodiversity

## A. PROJECT PREPARATION TIMEFRAME

Start date of PPG	02/29/2012
Completion date of PPG	02/28/2013

## 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 full project document and CEO Endorsement Request for the Full-Size Project (FSP) - “Developing an effective multiple use management framework for conserving biodiversity in the mountain landscapes of the High Ranges, Western Ghats, India”. 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 PPG is requested to finance four preparatory activities. These will be co-funded and supported by the project partners.

### Activity 1: Landscape/ site profiling and Strategic Environment Assessment (SEA):

This activity will focus on carrying out a detailed review of available information related to the status and management of the High Range Mountain Landscape (HRML) to fully establish a comprehensive baseline. It will look at identifying and provide information of different landuses within HRML that will include Protected Areas, High Value Biodiversity Areas (HVBAs), forest production sectors, tea plantations, cardamom estates, private plantations, homestead farming, tourism destinations, tribal settlements etc. It is proposed to adopt Strategic Environmental Assessment (SEA) into the whole process, with a view to generate information based on review of current management arrangements, impacts of various production activities and their trajectory, areas requiring intervention and also identification of key stakeholders and their roles. Past and on-going programmes and projects related to land use planning and management will be analysed for lessons to build on. In addition the PPG funds will also support a detailed threats assessment building on existing studies and information. The relevant GEF 5 Tracking Tools will also need to be completed as part of the activity.

The following specific outputs will be delivered: a) detailed biogeography and development context for the project (including ecosystem types, biodiversity conservation status within protected areas and outside, other landuse practices, socio-economic settings, livelihood practices, operations and methods of production sectors, and political / legal environment); b) a detailed Strategic Environmental Assessment (SEA) of the project landscape that shall provide trajectory of current, planned and future developmental interventions in the project landscape; c) a detailed analysis of threats to biodiversity in the HRML; d) barrier analysis identifying institutional, capacity and knowledge barriers to implementation of multiple-use management strategy; e) detailed stakeholder analysis and engagement plan; f) completion of GEF 5 Tracking Tools; g) detailing and agreement of management arrangements.

### Activity 2: Capacity Assessment for multiple-use management of mountain landscapes at systemic and institutional levels:

The PPG will provide funds to conduct a comprehensive capacity assessment at the systemic and institutional levels using the UNDP CD methodology and CD assessment scorecard to set the baseline and develop a short capacity development response. In addition, this will analyze the legal, institutional, policy and implementation capacities for: a) developing an effective governance framework for planning, managing and compliance monitoring in the multiple use mountain landscapes including scope for developing a Landscape Level Land Management Plan and a cross-sectoral institutional platform; b) improved institutional capacities to effectively plan, implement, monitor and mainstream biodiversity considerations into production

activities; c) knowledge generation and implementation of decision support systems for incorporating biodiversity and ecosystem values into land use planning and management and preparedness to address new generation threats including climate change; d) improving the management effectiveness of existing and new protected areas; e) strategy of according higher conservation status to High Value Biodiversity Areas (outside the PA systems) for ensuring ecological connectivity between PAs. The assessment is expected to generate information on the capacity of relevant institutions for planning and management of multiple use mountain landscapes including also capacity requirements to engage in participatory management approaches with the local communities.

This exercise will also be useful to ascertain partnerships and recommend institutional mechanisms for sustaining capacity development processes post-project.

**Activity 3: Assessment of community capacities for natural resource management and alternative livelihoods:**

The PPG funds will support the analysis of socio-economic status of local communities especially tribes and conduct extensive consultations. This will help to a) define strategic interventions that can be implemented by the project to establish key sustainable livelihoods for local communities; b) provide recommendations for incorporating the concerns of the local communities in the design of multiple use management governance frameworks including livelihood diversification schemes. This activity is also expected to identify and foster partnerships with production sectors, local self governments and other civil society organisations that are working for improving livelihoods in the area. In addition, the PPG funds will support carrying out a targeted capacity assessment of local communities to engage in community forestry and participatory resource management approaches and help define strategic interventions to address gaps.

**Activity 4: Feasibility Analysis and Budget:**

Based on the above analysis and detailed information the project strategy will be prepared. Key outputs under this activity include: (i) detailed project strategy, including incremental cost analysis, cost-effectiveness, and risks; (ii) detailed budget, and (iii) detailed monitoring and evaluation plan; iv) a sound replication strategy

Proposed Project Preparation Activities	Outputs of the PPG Activities	Trust Fund	Grant Amount (a)	Co-financing (b)	Total c = a + b
1. Landscape/ site profiling and Strategic Environment Assessment (SEA)	a) detailed biogeography and development context for the project (including ecosystem types, biodiversity conservation status within protected areas and outside, other landuse practices, socio-economic settings, livelihood practices, operations and methods of production sectors, and political / legal environment); b) a detailed Strategic Environmental Assessment (SEA) of the project landscape that shall provide trajectory of current, planned and futuristic developmental interventions in the project landscape; c) a detailed analysis of threats to biodiversity in the HRML; d) barrier analysis identifying institutional, capacity and knowledge barriers to implementation of multiple-use management strategy; e) detailed stakeholder analysis and engagement plan; f) completion of GEF 5 Tracking Tools; f) detailing and agreement of management arrangements.	GEFTF	40,000	180,000	220,000
2. Capacity assessment at systemic and institutional levels	(i) detailed information on existing institutional capacities and regulatory instruments (ii) identification of capacity needs and measures to address them; (iii) brief capacity development response strategy; (iv) comprehensive capacity assessment at the systemic and institutional levels using the UNDP CD methodology and CD assessment scorecard to set the baseline and develop a short capacity development response; (v) analyze the legal, institutional, policy and implementation capacities for: a) developing an effective governance framework for planning, managing and compliance monitoring in the multiple use mountain landscapes including scope for developing a Landscape Level Land Management Plan and a cross-sectoral	GEFTF	20,000	90,000	110,000

	institutional platform; b) improved institutional capacities to effectively plan, implement, monitor and mainstream biodiversity considerations into production activities; c) knowledge generation and implementation of decision support systems for incorporating biodiversity and ecosystem values into land use planning and management and preparedness to address new generation threats including climate change; d) improving the management effectiveness of existing and new protected areas; e) strategy of according higher conservation status to High Value Biodiversity Areas (outside the PA systems) for ensuring ecological connectivity between PAs; (vi) ascertain partnerships and recommend institutional mechanisms for sustaining capacity development processes post-project.				
<b>3. Assessment of alternative livelihoods and community capacities</b>	(i) detailed socio-economic information of local communities especially tribes (ii) strategic interventions selected for alternative livelihoods to be implemented by the project; (iii) recommendations from local communities for engaging in multiple use forest management especially community forestry; (iv) capacity needs assessment and capacity development strategy for local communities; (v) analysis of socio-economic status of local communities and conduct extensive consultations to a) define strategic interventions that can be implemented by the project to establish key sustainable livelihoods for local communities; b) provide recommendations for incorporating the concerns of the local communities in the design of multiple use management governance frameworks including livelihood diversification schemes; (vi) identify and foster partnerships with production sectors, local self governments and other civil society organisations that are working in improving livelihoods in the area; (vii) a targeted capacity assessment of local communities to engage in community forestry and participatory resource management approaches and help define strategic interventions to address gaps.	GEFTF	20,000	90,000	110,000
<b>4. Feasibility analysis and budget.</b>	(i) detailed project strategy, including incremental cost analysis, cost-effectiveness, and risks; (ii) detailed budget, and (iii) detailed project monitoring and evaluation system;	GEFTF	8,600	85,000	93,600
<b>Total Project Preparation Financing</b>			<b>88,600</b>	<b>445,000</b>	<b>533,600</b>

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

	<b>Project Preparation</b>	<b>Agency Fee</b>
Grant Amount	88,600	8,860
Co-financing	445,000	
<b>Total</b>	<b>533,600</b>	8,860

**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	India	88,600	8,860	97,460
<b>Total PPG Amount</b>				<b>88,600</b>	<b>8,860</b>	<b>97,460</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 *	83	41,500	119,000	160,500
Travel		15,000	60,000	75,000
Workshops **		30,000	250,000	280,000
Miscellaneous***		2100	16,000	18,100
<b>Total PPG Budget</b>		<b>88,600</b>	<b>445,000</b>	<b>533,600</b>


\* This table is the sum of all local consultants presented in Annex A.

\*\* Workshop includes all the stakeholder consultations and other national level consultative meetings

\*\*\* Miscellaneous for GEF covers the cost of procurement of detailed land-use maps, aerial photographs etc.

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

This request has been prepared in accordance with GEF policies and procedures and meets the GEF LDCF/SCCF 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		February 13, 2012	Doley Tshering, RTA, EBD	+ 66 2288 2600	doley.tshering@undp.org

**Annex A**

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

Type of Consultant	Position / Titles	\$/Per son Week <sub>1</sub>	Estimated PWs <sup>2</sup>	Tasks to be Performed
Local	Lead Policy & Project Development Specialist (LPPDS)	2500	36	<p>LPPDS shall coordinate and lead the PPG team and shall be primarily responsible for all the tasks leading to the preparation of FSP, CEO endorsement and other related tasks. For this LPPDS will:</p> <ul style="list-style-type: none"> <li>- Compiles and shares with the PPG team and stakeholders the best experience in policy development, legal and regulatory frameworks and enforcement systems for effective application of landscape approach multiple use mountain landscapes, including analysis of any relevant GEF projects.</li> <li>- Review policy and legal framework in relation to planning and management of HRML, planning and broader natural resource management, identifying contradictions or critical gaps which may hamper the progress of implementation, and suggest measures to remove the barriers.</li> <li>- Assess the capacity of various agencies, in respect of: their roles, functions and/or responsibilities as per current mandated roles and responsibilities; their influence on, and importance in, the implementation of the proposed project; their capacity constraints, strengths and weaknesses in supporting or implementing project activities, in view of identifying the capacity development needs of the different stakeholder groups to ensure the sustainability of project investments beyond the term of the project.</li> <li>- Based on the above assessment, develop: (i) a detailed profile of institutional analysis with clear roles in project implementation; (ii) recommendations for institutional/agency capacity development activities to strengthen collaborative and oversight capacities; (iii) a detailed partnership involvement strategy and plan for various agencies in the project implementation phase; and (iv) a description of the project management and implementation arrangements.</li> <li>- Collect information on the government and partners' baseline activities, as well as complementary activities by various partner organisations.</li> <li>- Organise stakeholder consultation sessions in order to solicit inputs and ensure stakeholder involvement in and buy-in to the project.</li> <li>- Based on the inputs from PPG team and in close cooperation with the key national / state level stakeholders compiles final baseline/situational analysis for the FSP. This will include a precise definition of baseline projects, activities, budgets, goals and co-financial links to GEF outcomes; definition of GEF incremental value per outcome and output; presentation of results of the incremental cost-analysis in matrices.</li> <li>- Analyses the socio-economic benefits of the proposed interventions at national and local levels.</li> <li>- Assists in reconfirming/specifying the project strategy, finalizing project sections on: (a) An assessment of the social, economic and financial sustainability of proposed project activities; (b) Assessment of alternatives to the project strategy and establishing the cost effectiveness of the preferred strategy and suite of activities; (c) A replication strategy for project activities; (d) Assessment of the risks to the proposed project activities and identifying measure to mitigate these risks; (e) incremental cost analysis;</li> <li>- Develops project monitoring and evaluation system for the FSP including the completed tracking tools including a set of indicators, baselines and targets.</li> <li>- Elaborates a Logical Framework of the project.</li> <li>- Prepares M&amp;E plan and budget.</li> </ul>
Local	Strategic Environment Assessment Specialist (SEAS)	1500	12	<p>SEAS is expected to deliver the following specific tasks:</p> <ul style="list-style-type: none"> <li>- Analyse policies, regulations, landuse law, legal and institutional instruments and identify gaps and where necessary provide recommendations for improvement</li> <li>- Analyse socio-economic and broader developmental trajectory in the HRML, assess the threats from these and recommend measures to address them</li> <li>- Assist the Lead specialist in the assessment of current capacities and</li> </ul>

				<p>limitations of the agencies/departments in line with the project scope and provide recommendations for future improvement.</p> <ul style="list-style-type: none"> <li>- Also assist in identification of information and data gaps, and suggest measures to address this including longer term project level information management</li> <li>- Assess current mechanisms for compliance and norms and suggest improvements to reduce pressures on biodiversity resources in the HRML from various threats</li> <li>- Support development of management strategies and activities that can be undertaken in the project area</li> <li>- Work in close coordination with other local consultants (PPG team) and other stakeholders and provide inputs in developing the future roadmap for a multiple use mountain landscape management.</li> </ul>
Local	Biodiversity and landscape Specialist	1500	15	<ul style="list-style-type: none"> <li>- Identify gaps in the existing information of mountain ecosystems particularly the HRML;</li> <li>- Compile and document available literature on the biodiversity of the target area;</li> <li>- Assess the impact of the production sectors on the flora and fauna of the target area;</li> <li>- Provide recommendations for conservation and improved well-being of the habitats and dependent species located in the target area.</li> <li>- Assist in identification of stakeholders to be involved in PPG activities; liaise stakeholder consultations and meetings; assist in drafting of a future roadmap for the conservation of multiple use mountain landscapes.</li> <li>- Conduct field-based research to cover critical information gaps, possibly including: (i) An analysis of threats to biodiversity in the HRML; (ii) policy, social, regulatory, socio economic, institutional, technical and knowledge barriers to establishment of the ecological linkages and effective management of the landscape; (iii) The developmental context (key business sectors, socio-economic development, political environment) and its current and future impacts on the biodiversity conservation in the landscapes; (iv) the spatial distribution, and conservation status of natural forests and protected areas; (v) conservation and economic development plans, projects, programmes and initiatives affecting or impacting the proposed project activities.</li> <li>- Based on the inputs from other specialists and the available best practices, prepares a quantified assessment of global environmental benefits of the project from the point of view of climate change adaptation &amp; mitigation, biodiversity conservation, land degradation and sustainable resource management.</li> <li>-</li> </ul>
Local	Community Development Specialist & Resource Economist	1500	20	<p>Working as part of the PPG team, the consultant will carry out the following tasks:</p> <ul style="list-style-type: none"> <li>- Compile existing data on the socio-economic profile of HRML;</li> <li>- analyse development plans for the proposed site; assess the threat perception;</li> <li>- Current capacities and limitations of line agencies/departments and provide recommendations for future improvement.</li> <li>- Assist in identification of stakeholders to be involved in PPG activities; liaise stakeholder consultations and meetings; assist in drafting of future roadmap.</li> <li>- Hold consultations with the local communities to identify options for alternative livelihoods development and based on which prepare a alternative livelihood development strategy</li> <li>- Through participatory means, identify existing capacity and limitations at the community level and recommend measures to enhance capacities to engage in participatory resource management and in particular to take over management of community forestry</li> <li>- Through consultations determine elements of community level monitoring and enforcement mechanisms that can be developed by the project</li> <li>- Analyses the socio-economic benefits of the proposed interventions at national and local levels.</li> <li>- Help in modelling a trajectory of production operations and economic development in the project area in the business –as – usual scenario and its likely impact on biodiversity;</li> </ul>

				<ul style="list-style-type: none"> <li>- Help evolve management strategies and activities to be undertaken in the target areas.</li> <li>- Work in close coordination with other local consultants and stakeholders, and wherever necessary, provide inputs in developing the future roadmap for an integrated management of HRML.</li> </ul>
--	--	--	--	---

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

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