



PROJECT PREPARATION GRANT (PPG)

PROJECT TYPE: Full-sized Project

TYPE OF TRUST FUND: GEF Trust Fund

Re-Submission date: January 10, 2013

GEF PROJECT ID: 5089

GEF AGENCY PROJECT ID: 4956 (UNDP)

COUNTRY: Mexico

PROJECT TITLE: Strengthening Management of the PA System to Better Conserve Endangered Species and their Habitats

GEF AGENCY: UNDP

GEF FOCAL AREA: Biodiversity

A. PROJECT PREPARATION TIMEFRAME

Start date of PPG	22-07-2013
Completion date of PPG	22-01-2015

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 “Strengthening of actions for the conservation of endangered species and the recovery of their habitat in Natural Protected Areas and priority areas for conservation.”. 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 resources mobilized for co-funding and will support activities under the following three components:

1. Validation and baseline analyses of target sites and species for on-the-ground intervention in the FSP;
2. In-depth analysis of national and local capacities related to endangered species conservation (institutional and financial frameworks for management; control and enforcement);
3. Consultations and negotiations for finalizing the details of the FSP including preparation of documentation; full costing; definition of implementation arrangements etc.

1. Validation of target sites; species and baselines for on-the-ground intervention in the FSP

- **Protected areas (PAs) and non-PA areas to be 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.
2. **In depth analysis of national and local capacities related to the conservation of endangered species**
- **Review of institutional framework:** an analysis will be carried out of the adequacy of the institutional framework and capacities in relation to the conservation of endangered species, at both central and local levels. The analysis will highlight 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. 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 endangered species conservation, 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 provisions and capacities for territorial land use 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 endangered species conservation, highlighting and prioritizing aspects to be improved and recommending 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
 - **Financial sustainability analysis:** a review will be carried out of existing financial conditions and mechanisms that have implications for endangered species conservation. An initial assessment will be made of the gaps that need addressing in order to ensure the effective conservation of the species, in accordance with the provisions of the PACE. Corresponding strategies will be developed, with particular attention paid to how the financing strategies should relate to the existing Fund for Protected Areas.
3. **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. Project documentation will be completed and translated for review and final approval for implementation.					
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	<p>1.1. Identities and estimated areas of PAs and non-PA areas to be targeted by the project summarized in the following documents:</p> <ul style="list-style-type: none"> – 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 – Annex for the Project Document with details of the sites identified, including summarized information on their globally important biodiversity, the threats that affect them, their socioeconomic, political, productive and institutional contexts <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>1.3. Biological monitoring strategy for the FSP including:</p> <ul style="list-style-type: none"> – Proposals of indicators of the biological impact of the project, to be included in its results framework, together with measurement methods and estimates of costs and baseline values per site – Generic proposals (to be confirmed during the implementation phase) of a permanent system along with proposed institutional responsibilities for measuring the effectiveness of endangered species conservation, including the conservation status of target ecosystems and species (within and outside PAs) etc; (to be implemented in FSP) , 	GEFTF	24,260	125,000	149,260
2. In-depth analysis of national and local capacities related to conservation of	<p>2.1 Current capacities and management effectiveness of the selected protected areas evaluated, resulting in:</p> <ul style="list-style-type: none"> – GEF Management Effectiveness Tracking Tool for BD1 – Proposals for the strengthening of capacities and of the management instruments to be introduced or 	GEFTF	36,893	150,000	186,893

endangered species (policy, regulatory, institutional and financial frameworks for management; control and enforcement);	<p>strengthened.</p> <p>2.2. 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 CONANP and its regional dependencies) that constitute barriers to the effective implementation of PACEs and the management of the selected target PAs – 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 PACEs – Recommendation of additional indicators of the impacts of the project's activities in relation to the institutional framework for the conservation of endangered species and PA management <p>2.3 Financial sustainability analysis, resulting in:</p> <ul style="list-style-type: none"> – Document analyzing financial conditions and mechanisms at present with implications for the conservation of endangered species, and related gaps – Recommendations of strategies for addressing financing gaps and allowing funds to be made available in a timely, adequate and efficient manner – Summary of financial conditions and strategies, for inclusion as an annex of the Project Document <p>2.4 Capacity assessment for territorial land use 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 endangered species, 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;</p> <p>3.3 Cost-effectiveness analysis protocol to identify optimal interventions, assess lessons learned and best practices, and outline replication strategies</p>	GEFTF	38,776	125,000	163,776

Total Project Preparation Financing		99,929	400,000	499,929
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C. FINANCING PLAN SUMMARY FOR PROJECT PREPARATION GRANT: (\$)

	Project Preparation	Agency Fee
Grant Amount	99,929	9,493
Co-financing	400,000	
Total	499,929	9,493

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)	Agency Fee (b)	Total c = a + b
GEF TF	UNDP	Biodiversity	Mexico	99,929	9,493	109,422
Total PPG Amount				99,929	9,493	109,422


E. PPG BUDGET

Cost Items	Total Estimated Person Weeks for GEF Grant (PW)	Grant Amount (\$)	Co-financing (\$)	Total (\$)
Local consultants /local staff *	49.6	62,000	300,000	362,000
International consultants*	10.40	28,600	-	28,600
Travel**		4,454	5,000	9,454
Office space and equipment			85,000	85,000
Miscellaneous (communications; electricity; translation costs etc)		1,375	5,000	6,375
Workshops and consultations (including site level validations; logframe workshops etc)		3,500	5,000	8,500
Total PPG Budget		99,929	400,000	499,929

* 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 PA sites); (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 Mexico City; and b) travel to Mexico City 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 10, 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. Conservation 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 validation of findings. - 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"> - Detailed characterization and analysis of the conditions of the proposed PAs, covering aspects such as their importance as refugia for endangered species, the nature and magnitude of threats that currently or potentially affect them, and their socioeconomic, political, productive, institutional contexts and programmatic baselines. - On the basis of this, validation of the identity and estimated areas of PAs and non-PA areas to be targeted by the project - 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 - 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 endangered species
Local	2. Gender and participation specialist	1,250	8.8	<ul style="list-style-type: none"> - 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

				<p>stakeholders' interests to be taken into account in an ongoing manner in project decisions.</p> <ul style="list-style-type: none"> - Development of recommendations for maximizing the social and gender benefits of the project's interventions - Proposal of relevant, measurable and gender-sensitive indicators for the impacts of the project on social conditions.
Local	3. Institutional analyst	1,250	8.8	<ul style="list-style-type: none"> - Analysis of the adequacy of the institutional framework and capacities in relation to the conservation of endangered species, at both central and local levels, and highlighting bottlenecks or areas of weakness that will require attention by the project. - Development of strategies for addressing the identified areas of institutional weakness, such as the strengthening of the capacities of existing institutions or the modification of institutional structures or inter-institutional relationships - Generation of capacity assessment matrix using the UNDP format adjusted as needed for endangered species conservation, 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 institutional framework for territorial land use and resource management planning and its implications for the conservation of endangered species, highlighting and prioritizing aspects to be improved and recommending strategies to be applied by the project to manage these. - 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
Local	4. Specialist in financial schemes	1,250	8.8	<ul style="list-style-type: none"> - Review of the adequacy of existing financial conditions and mechanisms that have implications for the conservation of endangered species, in particular the existing Protected Areas Fund. - Initial assessment of the gaps that need addressing in order to ensure the financial sustainability of the conservation strategies proposed by the project. - Development of corresponding strategies, with particular attention paid to how to relate to the existing Protected Areas Fund.
Local	5. Advocacy, partnership and communication specialist	1,250	5.6	<ul style="list-style-type: none"> - Development of project advocacy, partnership and communication plan; - Provision of assistance to monitoring and evaluation specialist on cost-effectiveness

				analysis protocol to identify optimal interventions, assessment of lessons learned/best practices, and proposal of replication strategies
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 evaluation systems of relevant institutions in Mexico and provision of guidance and orientation on indicators and quantified targets to track project progress and effectiveness - 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