



REQUEST FOR PROJECT PREPARATION GRANT (PPG)
PROJECT TYPE: Full-sized Project
THE GEF TRUST FUND

Submission date: November 06, 2009

GEFSEC PROJECT ID¹:

GEF AGENCY PROJECT ID:

COUNTRY(IES): Sri Lanka

PROJECT TITLE: Mainstreaming agrobiodiversity conservation and use in Sri Lankan agro-ecosystems for livelihoods and adaptation to climate change

GEF AGENCY(IES): UNEP

OTHER EXECUTING PARTNER(S): The Ministry of Environment and natural Resources, Sri Lanka; The Department of Agriculture, Sri Lanka, The Platform for Agrobiodiversity Research, Rome, Italy, Bioversity international, Rome, Italy

GEF FOCAL AREA(S): Biodiversity

GEF-4 STRATEGIC PROGRAM(S): BD-SP4; BD-SP5

NAME OF PARENT/PROGRAM/UMBRELLA PROJECT: NA

A. PROJECT PREPARATION TIMEFRAME

Start date	May 2010
Completion date	November 2011

B. PAST PROJECT PREPARATION ACTIVITIES (\$) **N.A.**

List of Past Project Preparation Activities	Output of the Activities	Project Preparation Amount (a)	Co-financing (b)	Total c = a + b
Total Project Preparation Financing		0	0	0

C. PROPOSED PROJECT PREPARATION ACTIVITIES (\$)

<p>The Project Preparation Grant will generate specific outputs needed to complete the full project proposal meeting the GEF Secretariat requirements. The PPG process will include implementation of the following activities:</p> <p>1. Baseline data collection and technical assessment</p> <p>This activity will establish quantitative baseline information needed to design the full project intervention strategy and the monitoring and evaluation plan for the full project. The existing information, including lessons learned from previous relevant projects and experiences and ongoing activities about mainstreaming biodiversity conservation and use for enhanced livelihoods and adaptation to climate change, based on feedback from national and international partners and consultants, will be compiled and analyzed. PPG resources will also be used to collect, consolidate and analyse biophysical and socio-economic data relevant for a baseline for the application of using a biodiversity portfolio approach to buffer against unpredictable environmental change. The baseline</p>
--

information to be collected on the following thematic topics: biodiversity, adaptive management and farmer-led approaches, markets, and policy will include:

- Analysis of the state of the targeted agrobiodiversity, including traditional crop and livestock varieties, crop wild relatives, medicinal and agroforestry species, pollinators, arthropods and other below-ground diversity in the 3 selected landscapes including threats to that diversity;
- Analysis of the existing agrobiodiversity national information systems and on developing ways in which they can be used to provide useful national indicators of state and change in agrobiodiversity;
- Analysis of agrobiodiversity rich practices that are already part of the livelihood strategies of the target communities (through support both for the management practices themselves and for the social institutions which are essential to their operation – such as informal seed systems) in the 3 selected landscapes;
- Literature survey of relevant adaptive management practices already developed in other projects and initiatives and an analysis of options for these to be tested together in ways that reflect the integrated nature and realities of small-scale farming in Sri Lanka;
- Comprehensive review of innovation, knowledge sharing and learning systems that have been undertaken to date such as the variety of participatory and community-based approaches that have already been tested in different projects in Sri Lanka including IPM Farmer Field Schools and crop diversity Farmer Field Schools.
- Assessment of the state of documentation of indigenous knowledge of target agrobiodiversity including farmer knowledge of management of diversity under environmental change and their knowledge of old and new cultivars;
- Analysis of the general livelihood benefits rural communities realize from agrobiodiversity in terms of food security, local availability of necessary products and local market opportunities including their current access to micro-credit and small loans. This should be addressed through (i) analysis of local market (community and district) practices and procedures to identify opportunities and barriers to sale and exchange of biodiversity rich products, (ii) identification of opportunities and technologies that can support local distribution and exchange (storage, community level processing, pricing information) and (iii) development of marketing approaches demonstrated to support local marketing in other projects (especially those shown to be effective for underutilized crops, honey, semi-processed materials etc.);
- Analysis of national and international market opportunities and obstacles for biodiversity-sourced products such as those from fruits, medicinals and spices;
- Analysis of current national, regional and global policy and legislative frameworks regulating mainstreaming the conservation of agricultural biodiversity into relevant sector policies and strategies;
- Assessment of the capacity of farmers' organizations, community based organizations or non-government organizations for their ability to support this project by representing and mobilizing local communities and to implement activities related to public awareness, access and holding information on genetic resources for food and agriculture matters and to represent local, regional or national interests.
- Assemble adequate and appropriate socio-economic baseline information regarding communities to be involved in the project including demographic profiles of communities and households, community and household livelihood profiles, household economies, employment status, income streams, community and household assets profiles, education and skills profiles, health profiles, gender analysis etc.'

2. Stakeholder consultation and institutional assessment to enable planning and FSP implementation

PPG funds will cover activities to ensure :

- Identification of stakeholders at national and local levels, paying particular attention to the extensive list of other related initiatives and potential collaborating organizations described in Section D of the PIF and relevant farmers, farmer organizations, community-based organizations and NGOs;
- Assessments of capacity of different stakeholder groups;
- Development of effective partnerships between the project partners and relevant stakeholders, such as those outlined in Section D of the PIF, making sure that farmer and community-based organizations participation is facilitated and their participation in national planning team and steering committee;
- Analysis of existing coordination procedures and strategies between sectors and the different levels of government that could be used as mechanisms to ensure coordination in the FSP;
- Analysis of programmes and past and on-going projects to identify successful institutional models and best practices for implementation arrangements;
- Fine-tuning the project logical framework and establishing viable indicators
- Assess institutional capacity for mainstreaming agro-biodiversity, with particular attention to gender-sensitive factors
- Planning the project communication strategy identifying uses and appropriate communication methods;
- Identification of final criteria for pilot site selection within the 3 selected landscapes;
- Assessment and validation of potential pilot sites;
- Development of project awareness raising strategy;
- Establishment of the execution arrangements for the full project;

3. Feasibility analysis and budget

PPG funds will be used to assess the feasibility and to develop the detailed budget for the proposed project intervention. The feasibility assessment will include the following:

- Validating the set of proposed project outcomes, outputs and activities, based on a logical framework analysis and the definition of expected benefits, cost effectiveness and sustainability of different approaches;
- Selecting a set of indicators for determining the impact of project outcomes;
- An incremental cost analysis in compliance with the GEF incremental cost principles;
- Development of detailed financial plan for the project - costing the expected project outcomes and outputs;
- An assessment of the social, economic and financial sustainability of proposed project activities;
- Assessment of the social, political and environmental impacts of the proposed project.
- Assessment of the risks to the proposed project strategy and identifying measures to mitigate them;
- Assessment of alternatives to the project strategy and establishment of the cost effectiveness of the preferred strategy and suite of activities;
- A replication strategy for project activities;
- Finalizing co-financing sources and commitments.

4. Monitoring and evaluation mechanisms defined to measure performance and impact

The PPG funds will be used to assess the existing monitoring and evaluation systems and capacity

used in relevant institutions to construct an appropriate monitoring and evaluation system 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 measuring benefits from the project and the contribution of each mechanism to national conservation targets. Activities will also include:

- Development of key indicators and monitoring strategy for the FSP
- Reviewing measures planned to monitor the application of project activities
- Formulation of the project M&E plan with quantitative baseline, targets and indicators including M&E budget
- Development of the costed project supervision plan
- Completion of the full project GEF SO2 Tracking Tools .

List of Proposed Project Preparation Activities	Output of the PPG Activities	Project Preparation Amount (a)	Co-financing (b)	Total c = a + b
1. Baseline data collection and technical assessment	Quantitative baseline data on biodiversity, adaptive management, indigenous/farmer knowledge, markets, and policy; Precisely defined Project sites; Finalised FPS activities	25,000	30,000	55,000
2. Stakeholder consultation and institutional assessment to enable planning and FSP implementation	Establishment of the full project management and implementation arrangements and assessment of the capacity of different stakeholder groups; Project management systems formulated; ToRs for project management staff, Steering Committee and the Technical Advisory Board; Communication strategy for the FSP; National Training plan	30,000	30,000	60,000

3. Feasibility analysis and budget	Full project logical framework including outcome impact indicators; incremental cost analysis; full project budget; risks mitigation and replication strategy developed.	18,000	15,000	33,000
4. Monitoring and evaluation mechanisms defined to measure performance and impact	Project logframe; Project M&E plan developed; costed project supervision plan; GEF SO2 Tracking tools	22,000	25,000	47,000
Total Project Preparation Financing		95,000	100,000	195,000

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

	Project Preparation	Agency Fee
GEF financing	95,000	9,500
Co-financing	100,000	
Total	195,000	9,500

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

GEF Agency*	Focal Area	Country Name/ Global	(in \$)		
			PPG (a)	Agency Fee (b)	Total c = a + b
UNEP	Biodiversity	Sri Lanka	95,000	9,500	104,500
Total PPG Requested			95,000	9,500	104,500

F. PPG BUDGET REQUEST


Cost Items	Total Estimated Person Weeks (PW)	GEF (\$)	Co-financing (\$)	Total (\$)
Local consultants *	45	20,000	20,000	40,000
International consultants*	30	50,625	16,875	67,500
Travel**		12,000	16,125	28,125
Workshops**		9,000	19,000	28,000
Reporting & documentation expenses		3,375	28,000	31,375
Total PPG Budget		95,000	100,000	195,000

*Additional information regarding consultants is provided in Annex A.

** The nature of this proposal involving communities adopting sustainably managed agrobiodiversity practices that involve a range of institutions and national and provincial government levels requires extensive

consultations and workshops/meetings to ensure informed commitment to proposed actions prior to implementation of the FSP. GEF resources would be used to cover travel costs associated with these consultations. Further travel costs are required for international expertise to provide relevant guidance. Workshop costs are calculated based on a series of national, provincial and community level consultations. Travel would cover the costs of international consultants and national consultants.

G. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF policies and procedures and meets the GEF criteria for project identification and preparation.					
Agency Coordinator, Agency name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
GEF Agency Coordinator: Maryam Niamir-Fuller Director Division of Global Environment Facility (GEF) Coordinationa UNEP	October 13, 2009		Marieta Sakalian UNEP/DGEF Programme Management/Liaison Officer (CGIAR/FAO), Biodiversity FAO Headquarters TCAP Unit, D708 Viale Delle Terme di Caracalla 00153 Rome Italy	+39 06 5705 5969	Marieta.Sakalian@unep.org

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

Position/Titles	\$/Person Week	Estimated PWs	Tasks to be performed
National Consultants			
National agro-biodiversity experts	800	20	<ul style="list-style-type: none"> • Conduct feasibility studies and analyze baseline data on agrobiodiversity, conservation and use practices; • Primary identification of target agrobiodiversity for full proposal; • Coordinate the project pilot site selection consultation process and collaborate in identification of pilot site selection criteria; • Assess institutional capacity for mainstreaming agro-biodiversity; • Work closely with other national specialists and international specialist in the final definition of full project outcomes, outputs and activities, based on a logical framework analysis (see tasks under international consultant at end of the table) and training and capacity building needs assessment; • Provide overall guidance to all national consultants collecting information from potential sites to ensure that data includes: a) elements essential for defining methodologies for the full project and b) initial estimations of potential benefits from different sites so as to facilitate the selection of pilot localities for inclusion in the full proposal.
Participatory diagnostics and community development specialist	800	10	<ul style="list-style-type: none"> • Working in conjunction with the International Expert and government and non-government staff assigned to the PPG, review the capacity of national partners in implementing participatory approaches to diagnostics, and project implementation activities. • Provide expertise to support and facilitate the process of developing protocols for participatory diagnosis for baseline and monitoring information • Provide a reviews of existing farmer-led and participatory approaches in the country. • Provide a review of existing participatory approaches training materials within the country. • Identify national institutions and experts in participatory approaches and prepare a roster of persons and expertise. • Assemble socioeconomic baseline information regarding communities involved in the project.
Environmental economics and business specialists	800	8	<ul style="list-style-type: none"> • Collect baseline data defining specific market chains and identifying potential biodiversity products; • Feasibility study on potential market interventions. Develop effective partnerships with relevant stakeholders;

National Policy specialist	800	6	<ul style="list-style-type: none"> • Characterize and rank incentives and disincentives that impede or support maximising benefits from the application of existing Government incentives for the conservation and use of diversity This should include both policy and operational constraints; • Working closely with the international Consultant, formulate the full project actions for analysis of the principal policy, regulations and institutions that constrain the adoption of diversity-rich options for improved livelihoods and adaptation to climate change, and create guidelines for potential actions to address these to facilitate broader application in the long-term.
National Institutional and Capacity Analysts	800	6	<ul style="list-style-type: none"> • Working in conjunction with other National Experts and government staff assigned to the PPG to review existing coordination procedures and strategies that exist between sectors and the different levels of government that could be used as mechanisms to ensure coordination of actions in the full proposal; • Work with the International Expert to provide input for capacity related indicators in logical framework and provide inputs to relevant sections of the full project document including the stakeholder participation plan.

International Consultants			
Biodiversity expert (with experience of working with Biodiversity for enhancing livelihoods and adaptation to climate change and the use of participatory and farmer-led approaches)	2,250	22	<ul style="list-style-type: none"> • Provide methodological orientation to different national and international consultants (see above and below) to ensure a harmonised approach to information collection, analysis and consultation across themes, regions and stakeholders; • Coordinate and implement with national partners the logical framework workshop to ensure that project analysis and proposed components and actions capture GEF biodiversity eligibility requirements and that proposed interventions and indicators are appropriate; • Lead the process of data collection, advise on suitable methodologies for systematization and validation of findings and proposed project components and ensure that these can be objectively verified through a set of indicators that are acceptable to the wide variety of project partners in each country; • Lead stakeholder analysis process and plan for the project communication strategy; • Further identification and assessment of on-going and proposed projects to complement the FSP either through providing co-funding or critical baseline interventions; • Ensure that the project document fully reflects the training and capacity needs for the Full project. • Prepare agendas for learning workshops for capacity development of project partners, bringing in expertise from other national, international government and non-government Institutes and Foundations who have materials to build leadership capacity with local communities. • Develop guidelines for the development of participatory diagnosis training materials geared to project outputs. • Assemble socioeconomic baseline information regarding communities involved in the project. • Working with the National Institutional and Capacity Analysts ensure that the gender and ethnic equity in the participation of training opportunities, capacity building and decision-making positions within the FSP. • In consultation with the Environmental Monitoring and Evaluation expert, ensure that the monitoring and evaluation methodology contains gender disaggregated tools and procedures, and participation of local communities in the M&E plan.
Biodiversity policy and markets consultant	2,250	4	<ul style="list-style-type: none"> • Lead and supervise assessment of policy environment and analysis of interventions, including markets; • Provide overall expertise on policies, legislation and regulations regarding the sustainable use and conservation of biodiversity; • Provide guidance to other PPG consultants and Government staff on benefit sharing schemes and the actions required in the full project. This would include reviewing inputs from the technical analysis undertaken in the PPG and making recommendations for designing pilot approaches for testing benefit sharing mechanisms, contractual models, and frameworks required for monitoring the delivery of services.

Monitoring and Evaluation Expert	2,250	4	<p>The consultant, specialist in environmental and project M&E would provide support to the Biodiversity Expert and to other PPG consultants and national governmental staff at key moments in the project design phase to prepare the full project M&E plan. This support includes:</p> <ul style="list-style-type: none"> • Supervise development of key country-specific and regional indicators and monitoring strategy for the full project; • Lead the formulation of the global project M&E plan and budget; • Supervise completion of the full project tracking tools; • Develop project supervision plan.
---	-------	---	--