



PROJECT PREPARATION GRANT (PPG)

PROJECT TYPE: Full-sized Project

TYPE OF TRUST FUND: GEF Trust Fund

Submission date: 7 June 2013

GEF PROJECT ID: 4922

GEF AGENCY PROJECT ID: 624444

COUNTRY (IES): Argentina, Bangladesh, Bosnia & Herzegovina, China, Colombia, Ecuador, Lesotho, Morocco, Nigeria, Panama, Philippines, Thailand, Tunisia, Turkey, Uzbekistan, and Global

PROJECT TITLE: Decision Support for Mainstreaming and Scaling up of Sustainable Land Management

GEF AGENCY (IES): FAO

GEF FOCAL AREA(S): LD

A. PROJECT PREPARATION TIMEFRAME

Start date of PPG	June 2013
Completion date of PPG	March 2014

B. PROPOSED PROJECT PREPARATION ACTIVITIES (\$)

Describe the PPG activities and justifications:

The Project Preparation Grant will support the following activities as part of the full project design in consultation with stakeholders and project partners to ensure that the proposed component design and activities are feasible and in line with country priorities and needs and are agreed by all concerned partners:

Activity 1: Stakeholder consultation(s) and preparation of country subcomponents

This activity contributes to the preparation of component 1 of the full-size project *national and local decision-support on combating desertification, land degradation, and drought (DLDD) and on promoting mainstreaming and upscaling of SLM best practices*.

Under this activity the, PPG will support stakeholder consultation and the collection of baseline data and information at the national level with the support of a national resource person (national consultant) identified in close consultation with the national project executing agencies. A guidelines/template will be developed by FAO to support the work of the local consultant. The design of the country subcomponent for each country will be supported by regional coordinators (regional consultants) who will also identify common national and regional needs and opportunities in terms of data availability, DLDD and SLM assessment tools, best practices up-scaling, and technical support. The regional coordinator, in coordination with the international consultant, will also facilitate the streamlining of GEF and FAO required analysis and considerations in the design of country subcomponents (incremental and cost-effective use of GEF funds, innovativeness, sustainability, and replicability, and results-based project design in line with the GEF LD tracking tool and GEF5 LD Focal Area outcome and output indicators). Each country subcomponent will be designed to address national needs and opportunities for mainstreaming DLDD and SLM practices in investment frameworks, policies and programs, and catalyzing up-scaling of on-the ground implementation. However, the subcomponent documents will follow the same standardized format to facilitate overall project execution and management. The consultations and design activities

at country level will be carried out in close collaboration with an actively engaged partner institution in each country which is well positioned to conduct in country consultations with all concerned institutions (both producer and user of information) and ensuring interdisciplinary and cross-sectoral participation from relevant line ministries. This will lead to the constitution of a country team or task force that will coordinate all project activities during and after the implementation of the project.

The activity(ies) at national level will include:

- Based on existing information a description of the national baseline and context for the project, highlighting general DLDD trends and economic and environmental impacts, root causes, current investments (including co-financing investments of the project) to address these causes, and remaining barriers to be addressed by the project with a particular focus on: i) gaps in capacities and tools for DLDD and SLM assessments; and ii) availability of information on best SLM practices and barriers for their up-scaling.
- A participatory definition of country subcomponent objective, design of approach, outcomes and outputs to be achieved, and activities to be carried out to achieve these outputs, outcomes and objective. This should be based on the identified barriers and priorities in the baseline scenario related to: i) gaps in capacities and tools for DLDD and SLM assessments; and ii) availability of information on best SLM practices and barriers for their up-scaling.
- A participatory definition of country subcomponent objective, design of approach, outcomes and outputs to be achieved, and activities to be carried out to achieve these outputs, outcomes and objective. This should be based on the identified barriers and priorities in the baseline scenario related to: i) gaps in capacities and tools for DLDD and SLM assessments; and ii) availability of information on best SLM practices and barriers for their up-scaling.
- The description of the planned activities at national and subnational level to reach the expected outputs, including work plan, required national and/or international expertise and needs for capacity development/training (including draft TORs and cost estimates), an estimation of the cost of inputs needed for each activity and detailed output based budget by co-financier, the Results Framework with expected outcomes and outputs target indicators and their related baseline, as well as responsibilities of partners being involved.
- Description of linkages, synergies and coordination mechanisms with other national programmes (on-going projects, government programs, or CSO activities that can indirectly support the achievement of the results of the FSP)
- Provide recommendations for a strategy for up scaling of DLDD and SLM assessment and practices at national level to be finalized in the first project year.
- Justification of innovativeness, sustainability, and cost-effectiveness aspects of the country subcomponent as well as the GEF incremental reasoning
- Provide inputs on outcome indicators for the completion of the GEF LD tracking tool in relation to the country subcomponent

In addition to the support from the regional SLM specialists and design coordinators the national subcomponent design will also be supported by the Lead technical Division at FAO headquarters and the WOCAT partner.

To facilitate the coordination of the work, it is proposed that the 15 participating countries are associated in 4 regional groups as follows:

Region	Countries
Africa	Lesotho, Morocco, Nigeria, Tunisia
Asia	Bangladesh, China , Philippines, Thailand
Latin America	Argentina , Colombia, Ecuador, Panama
Europe and Central Asia	Bosnia Herzegovina, Turkey , Uzbekistan

Several of these countries, at least one per each region (in bold in the above table), have been part of either the former LADA network, or of the WOCAT network, or have been associated to some extent with either processes.

In addition, it is suggested to involve, when possible, the former “LADA countries” that are not part of this project such as South Africa, Senegal and Cuba to provide expertise and support to national activities as and when required, as well as for the development of the regional related activities of the global component of the full-size project.

The countries in bold in the above table are contemplated to provide some facilitating support to the other countries of the region, since they have the experience of LADA (Tunisia, China, Argentina), or have capacities and willingness to play such a role (Turkey), with the support of both FAO/HQ and Subregional Offices (eg Ankara).

Activity 2: Identification of the basic characteristics of the knowledge and decision support system to be implemented during the project

This activity contributes to the preparation of component 2 of the full-size project *Global DLDD and SLM knowledge management and decision-support platform*. The design of this component will be done in full collaboration with WOCAT. An important activity will be the development of draft Guidelines on Land Resources Diagnostic for SLM mainstreaming and upscaling (financed by co-financing to this PPG), that will be applied during the implementation of the full project to advise the countries on methodological, scientific and technical issues in relation to the implementation of country subcomponents. The formulation of the global component will include:

- A first review of the existing knowledge management systems presently available at global level
- A user survey among the project partners and other selected users to define the needs of the international users community
- The definition of the characteristics, that should be present in a decision support platform, (content, flagships documents, tools, dissemination, target users), taking into account existing systems and user needs and priorities
- Define the objective and approach of the global component, design the output(s) and the activities, work plan needed to achieve them, prepare the detailed output based budget by co-financer and the incremental and cost efficient use of GEF resources reasoning for the global component, Results Framework with expected outcomes and outputs target indicators and their related baseline.
- Provide inputs on outcome indicators for the completion of the GEF LD tracking tool in relation to the global component

Activity 3: Formulation of the monitoring and evaluation (M&E) system of the project

This activity contributes to the preparation of component 3 of the full-size project *Project monitoring and evaluation*. It will include:

Preparation of the costed Monitoring and Evaluation Plan for the project including: i) M&E system with indicators for output and outcomes and the related targets and baseline; ii) methodology and responsibilities for periodic collection of data for output and outcome indicators and assessment of progress in meeting output and outcome targets; iii) reporting roles responsibilities and cycle; and iii) key evaluation questions to be considered in the midterm and final evaluations in order to evaluate quality and medium to long term sustainability of project results and define eventual adjustments in the project implementation strategy to enhance these aspects.

Activity 4: Preparation of full-sized FAO-GEF project document and CEO Endorsement document

Detailed full project design including the detailed description of project components, the results framework with outcome and outputs indicators and targets and their baseline, institutional framework, financing plan and other technical details required for GEF funding and co-funding.

- Detailed incremental-cost analysis as per GEF guidance: precise definition of baseline projects, activities, budgets, workplan, goals and co-financial links to GEF outcomes; definition of GEF incremental value per outcome in pursuing global environmental benefits reversing processes of land degradation;
- Assessment of the social, economic and financial sustainability of proposed project activities, including gender and indigenous peoples aspects;
- Assessment of the alternatives to the project strategy and detailed definition of the the cost effectiveness of the preferred strategy and suite of activities;
- Quantification and detailed presentation of the global environmental benefits of the project;
- Costing the expected project outputs, identifying co-financing sources and secure co-financing commitments (letters);
- ToRs for the key consultants/contracts to be financed by the project;
- Streamlined project Results framework
- Consolidation of project document and preparation of other relevant documentation to support submission, including the LD Tracking Tool (co-financed)

List of Proposed Project Preparation Activities	Outputs of the PPG Activities	Trust Fund	Grant Amount (a)	Co-financing (b)	Total c = a+b
Activity 1: Stakeholder consultation(s) and preparation of country work programmes	<p>1.1 Network of national representatives (or institutions) and associated taskforces with established channels of communication</p> <p>1.2 Regional groups established as a basis for the consultation process, supported and facilitated by a "LADA regional reference or champion country" in each region as well as, the Technical Officers from the FAO (Sub) Regional Office.</p> <ul style="list-style-type: none"> - Africa (including Lesotho, Nigeria, Morocco, Tunisia, and with support from Senegal and/or South Africa and/or Tunisia) - Asia: (including Bangladesh, China, Philippines, Thailand, with support from China, if possible) - Latin America (including Argentina, Colombia, Ecuador, Panama, with support of Argentina if possible) - Europe & Central Asia (including Bosnia-Herzegovina, Turkey, Uzbekistan, with support of Turkey, if possible). <p>1.3 National baseline and context for the project, highlighting: i) general DLDD trends and economic and environmental impacts and root causes; ii) current national strategies and plans for assessment of LD and implementation of SLM up-scaling investments and supporting policies as well as planned investments to address the root causes (including co-financing investments for the project); and iii) remaining barriers to be addressed by the project with a particular focus on: a) gaps in capacities and tools for DLDD and SLM assessments and decision support; and b) availability of information on best SLM practices</p>	GEFTF	142,000	160,000	302,000

	<p>and barriers for their up-scaling.</p> <p>1.4 Participatory defined country subcomponent objective, approach, outcome and outputs targets to be achieved, activities to be financed by the GEF resources, and partners to be involved in each activity (based on the identified barriers and priorities in output 1.3 related to: i) gaps in capacities and tools for DLDD and SLM assessments; and ii) availability of information on best SLM practices and barriers for their up-scaling).</p> <p>1.5 Justification of innovativeness, sustainability, and cost-effectiveness aspects of the country subcomponent as well as the GEF incremental reasoning</p> <p>1.6 Participatory defined linkages, synergies and coordination mechanisms with other national programmes (on-going projects, government programs, or CSO activities that can indirectly support the achievement of the results of the FSP)</p> <p>1.7 Recommendations for strategy for up scaling of DLDD and SLM assessment and practices at national level to be developed during the full project implementation</p> <p>1.8 Participatory defined roles and responsibilities of project partners and institutional arrangements (executing partners and other institutions, including a preliminary assessment of fiduciary standards where required)</p> <p>1.9 Inputs on outcome indicators for the completion of the GEF LD tracking tool in relation to the country subcomponent</p> <p>1.10 Consolidated description of component 1 based on the 14 country subcomponents including aggregated outcomes and outputs indicators and their targets and baseline</p>				
Activity 2: Preparation of global activities for SLM decision support	<p>2.1 Baseline of existing DLDD and SLM related knowledge management systems available at global level.</p> <p>2.2 Needs of the international users community of DLDD and SLM knowledge systems identified including needs of project partners and other selected users</p> <p>2.3 Defined characteristics, that should be present in a decision support platform, (content, flagships documents, tools, dissemination, target users),</p>	GEFTF and FAO	20,000	35,000	55,000

	<p>taking into account findings of output 2.1 and 2.2.</p> <p>2.4 Draft guidelines on Land Resources Diagnostic for SLM mainstreaming and up-scaling (financed by the PPG co-financing)</p> <p>2.5 Defined objective and approach of the global component as well as the outcomes and outputs indicators and targets to be achieved and their related baseline, activities to be financed by GEF and co-financing resources and the related work plan, detailed output based budget by co-financer, and the incremental and cost efficient use of GEF resources reasoning.</p> <p>2.6 Inputs on outcome indicators for the completion of the GEF LD tracking tool in relation to the global component</p>				
Activity 3: Development of an M&E structure	3.1 Costed Monitoring and Evaluation Plan for the project including: i) M&E system with indicators for output and outcomes and the related targets and baseline; ii) methodology and responsibilities for periodic collection of data for output and outcome indicators and assessment of progress in meeting output and outcome targets; iii) reporting roles responsibilities and cycle; and iii) key evaluation questions to be considered in the midterm and final evaluations in order to evaluate quality and medium to long term sustainability of project results and define eventual adjustments in the project implementation strategy to enhance these aspects.	GEFTF	10,000	10,000	20,000
Activity 4: Preparation of full-sized FAO-GEF project document and CEO Endorsement document	<p>4.1 Evaluation of options for institutional arrangements for project execution and project execution arrangements defined including roles and responsibilities of the different project partners in project management and progress monitoring, and in the national and the global components.</p> <p>4.1 fully designed project including: i) detailed description of project components using outcomes and consolidation of activities 1-3 above; ii) results framework with outcomes and outputs indicators and targets and their baseline and the project M&E plan; iii) Incremental reasoning related to the GEF investment.; iv) identification, description and quantitative targets of expected Global Environmental Benefits in reversing LD processes, to be delivered by the project; and v) financing plan and detailed results based budget by co-financier</p>	GEFTF	28,000	10,000	38,000
Total project preparation financing			200,000	215,000	415,000

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

	Project Preparation	Agency Fee
Grant Amount	200,000	20,000
Co-financing	215,000	---
Total	415,000	20,000

D. PPG AMOUNT REQUESTED BY AGENCY (IES), FOCAL AREA(S) AND COUNTRY (IES) ¹

TRUST FUND	GEF Agency	Focal Area	Country Name/ Global	(in \$)		
				PPG (a)	Agency Fee (b)	Total c = a + b
GEFTF	FAO	LD	Argentina	2,700	270	2,970
GEFTF	FAO	LD	Bangladesh	22,727	2,273	25,000
GEFTF	FAO	LD	Bosnia & Herzegovina	10,000	1,000	11,000
GEFTF	FAO	LD	China	5,000	500	5,500
GEFTF	FAO	LD	Colombia	8,000	800	8,800
GEFTF	FAO	LD	Ecuador	4,909	491	5,400
GEFTF	FAO	LD	Lesotho	10,136	1,014	11,150
GEFTF	FAO	LD	Morocco	9,000	900	9,900
GEFTF	FAO	LD	Nigeria	4,409	441	4,850
GEFTF	FAO	LD	Panama	15,000	1500	16,500
GEFTF	FAO	LD	Philippines	4,455	445	4,900
GEFTF	FAO	LD	Thailand	15,000	1500	16,500
GEFTF	FAO	LD	Tunisia	5,000	500	5,500
GEFTF	FAO	LD	Turkey	4,909	491	5,400
GEFTF	FAO	LD	Uzbekistan	10,000	1000	11,000
GEFTF	FAO	LD	Global	68,755	6,875	75,630
Total PPG Amount:				200,000	20,000	220,000

¹ 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 REQUEST

Cost Items	Total Estimated Person Weeks for Grant (PW)	Grant Amount (\$)	Co-financing (\$)	Total (\$)
Local consultants*	75	75,000		75,000
International consultants*	65	98,000	35,000	133,000
Travel and DSA		27,000		27,000
Countries' staff time and in-kind contribution			150,000	150,000
FAO staff time not covered by the agency fee			30,000	30,000
Total PPG Budget		200,000	215,000	415,000

* Annex A for Consultant cost details should be prepared first before completing this table. See notes on Annex A for the required detailed information. This table is the sum of all local and international consultants presented in Annex A.

F. 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
Gustavo Marino Director, Investment Centre Division, Technical Cooperation Department FAO Viale delle Terme di Caracalla 00153, Rome, ITALY Barbara Cooney FAO GEF Coordinator Email: Barbara.Cooney@fao.org Tel: +3906 5705 5478		7 June, 2013 10/6/13	Dominique Lantieri Senior Environmental Officer Land and Water Division, FAO, Rome	+3906570- 53295	Dominique.Lantieri@fao.org

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

Type of Consultant	Position / Titles	S/ Person Week ¹	Estimated PWs ²	Tasks to be performed
Local	National SLM experts (15) (national component formulation and stakeholder consultation)	1,000	5 (x15)	<p>Under the general supervision of the Senior Project Lead Technical Officer from the Land and Water Division in FAO Headquarters, in close coordination with the FAO country office and relevant regional office focal points for the project, and when necessary, with the support of concerned international and regional consultants, the national consultant will undertake the preparation of the following:</p> <ol style="list-style-type: none">1. National baseline and context for the project (based on existing reports and analysis), highlighting: i) general DLDD trends and economic and environmental impacts and root causes; ii) current national strategies and plans for assessment of LD and implementation of SLM up-scaling investments and supporting policies as well as planned investments to address the root causes (including co-financing investments for the project); and iii) remaining barriers to be addressed by the project with a particular focus on: a) gaps in capacities and tools for DLDD and SLM assessments and decision support; and b) availability of information on best SLM practices and barriers for their up-scaling.2. A participatory definition of country subcomponent objective, design of approach, outputs to be achieved, and activities to be carried out to achieve these outputs and objective. This should be based on the identified barriers and priorities in the baseline scenario related to: i) gaps in capacities and tools for DLDD and SLM assessments; and ii) availability of information on best SLM practices and barriers for their up-scaling.3. Description of the planned activities at national and subnational level to reach the expected outputs, including work plan, required national and/or international expertise and needs for capacity development/ training (including detailed TORs and cost estimates), an estimation of the cost of inputs needed for each activity and

				<p>detailed output budget by co-financier, the Results Framework with expected outcomes and outputs target indicators and their related baseline, as well as responsibilities of actors being involved, with summarised terms of references.</p> <ol style="list-style-type: none"> 4. Description of linkages, synergies and coordination mechanisms with other national programmes (on-going projects, government programs, or CSO activities that can indirectly support the achievement of the results of the FSP) 5. Development of recommendations for strategy for up scaling of DLDD and SLM assessment and practices at national level 6. Justification of innovativeness, sustainability, and cost-effectiveness aspects of the project as well as the GEF incremental reasoning 7. Assist in the regional consultation process 8. Consolidation of results for use in the project document formulation 9. Inputs on outcome indicators for the completion of the GEF LD tracking tool in relation to the global component <p>The national consultant will base the work on the national template and other specific instructions and guidance provided by the project manager and his consultant team.</p>
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Regional	<p>SLM and LADA regional expert (4)</p> <p>(Support to national formulation and facilitation of regional cooperation)</p>	1,000	8 (x4)	<p>Under the general supervision of the Senior Project Lead Technical Officer from the Land and Water Division in FAO Headquarters, in close coordination with the FAO country office and relevant regional office focal points for the project, and with the support of the international consulting team, when required, the regional consultant will support the participating countries of the region in the preparation of their national components, and will facilitate an harmonized regional cooperation and approach between concerned countries. Specifically, the consultant will:</p> <ol style="list-style-type: none"> 1. Provide regular and targeted advice and technical support to the national teams for the design of the national subcomponents and the implementation of their national tasks, as above, according to the FAO proposed national template. 2. Assist the national teams in the finalisation of the national subcomponent to be considered for the preparation of the final project document, with necessary quality control 3. Facilitate the emergence of a country regional champion of the project, if required and feasible 4. Provide networking support, during the PPG implementation, between the participating countries of the region, if the need has been duly expressed by the countries concerned. 5. Suggest potential regional cooperation coordination and networking mechanism, to be developed during the project implementation between participating countries, considering national foreseen activities (e.g. sharing methods for land use diagnostic, common best practices and policies, land governance principles for the region etc.) 6. Prepare a consolidated description of component 1 for the region based on 4 country subcomponents in the region including aggregated outcomes and outputs indicators and their targets and baseline 7. Prepare a final report with a summary of findings and main issues for regional follow-up activities , compatible with the full project objectives and activities
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International	Land resources expert (project management support)	2,000	4	Under the general supervision of the Senior Project Lead Technical Officer from the Land and Water Division in FAO Headquarters, in consultation with FAO officers concerned, the international consultant will provide on a part-time basis, coordination and logistic support for the activities of the project described above, in particular for the activities implemented by the regional and national consultants, and the finalisation of the project document
International	SLM and global cooperation specialist (Formulation of the global component)	2,000	10	<p>Under the general supervision of the Senior Lead Project Technical Officer from the Land and Water Division in FAO Headquarters, in consultation with FAO officers concerned, the international consultant will undertake the following tasks:</p> <ol style="list-style-type: none"> 1. Identify the baseline of existing DLDD and SLM related knowledge management systems available at global level. 2. Assess needs of the international users community of DLDD and SLM knowledge systems through a user survey among project partners and other selected users 3. Define characteristics, that should be present in a decision support platform, (content, flagships documents, tools, dissemination, target users), taking into account findings of task 1 and 2. 4. Definition of roles and responsibilities of the various partners in the implementation, management as well as monitoring and evaluation of the global component of the project involving 15 countries and international partners with the understanding that the WOCAT Secretariat will play a key role in leading the global component together with FAO. 5. Full formulation of the global component in close consultation with FAO and other international partners and countries involved, specifying in details, objective, approach, outcomes and outputs indicators and targets to be achieved and their related baseline, activities to be financed by GEF and co-financing resources and the related work plan detailed output based budget by co-financer, the incremental and cost efficient use of GEF resources reasoning, and draft terms of reference of main consultants,

				6. Provide inputs on outcome indicators for the completion of the GEF LD tracking tool in relation to the global component
International	SLM and Project Design Specialist (formulation of the full project)	2,000	14	<p>Under the general supervision of the Senior Project Lead Technical Officer from the Land and Water Division in FAO Headquarters and in close consultation with the FAO-GEF Coordination Unit and other FAO officers from national, regional and Headquarters concerned as well as the WOCAT team (global component) and based on inputs from the other international, regional and national, consultants, the SLM design specialist will formulate the full project in FAO and GEF formats, which will include the streamlining of the detailed design of all project components, as follows :</p> <ol style="list-style-type: none"> 1. Description of the baseline initiatives, investments and financing sources, and preparation of incremental reasoning in relation to the GEF investment addressing gaps, threats and barriers identified in baseline initiatives and investments in order to achieve global environmental benefits in the development and implementation of SLM practices and decision support tools. 2. Detailed description of project components using outcomes and consolidation of the work of the other consultants. 3. Develop the project's Results Framework with outcomes and outputs indicators and targets and their baseline (including quantitative targets of expected Global Environmental Benefits in reversing LD processes) as well as a budgeted M&E plan including: i) M&E system with outputs and outcomes indicators from the Results Framework; ii) methodology and responsibilities for periodic collection of data for output and outcome indicators and assessment of progress in meeting output and outcome targets; iii) reporting roles responsibilities and cycle; and iii) key evaluation questions to be considered in the midterm and final evaluations in order to evaluate quality and medium to long term sustainability of project results and define eventual adjustments in the project implementation strategy to enhance these aspects; 4. Financing plan and detailed output based budget

				<p>by co-financier and definition of co-financing arrangements;</p> <p>5. Risk analysis for successful implementation of the project at global, national and local level including mitigation measures</p> <p>6. Evaluation of options for institutional arrangements for project execution and project execution arrangements defined including roles and responsibilities of the different project partners in project management and progress monitoring, and in the national and the global components</p>
International	Financial Analyst	2,000	5	<p>Under the general supervision of the Senior Project Lead Technical Officer and the Project Budget Holder from the Land and Water Division in FAO Headquarters and in close collaboration with both the Budget Officer of the Technical Division and the FAO GEF Coordination Unit (TCID), the consultant will be responsible for the preparation of budget tables required by GEFSEC and all budget-related sub-products, assisting in compiling and verifying the cost information and putting it into FAO-GEF Oracle formats.</p>

1. Provide dollar amount per person week.
2. Provide person weeks needed to carry out the task.