



INITIATION PLAN
FOR A GEF PROJECT PREPARATION GRANT (PPG)

DRAFT

Country: Cape Verde

Project Title: "Mainstreaming biodiversity conservation into the tourism sector in synergy with a further strengthened protected areas system in Cape Verde"

Initiation Plan Start Date: 24 November 2014

Initiation Plan End Date: 07 May 2015

CPAP Programme Component: COUNTRY PROGRAMME / UNDAF OUTCOMES #4: Institutions reinforce environmental governance and integrate principles of environmental sustainability, climate change and disaster relief reduction; public and private institutions adopt a holistic approach to conservation and protection of critical habitats and biodiversity.

ATLAS Project Award: 00076418

ATLAS Project ID: 00087822

UNDP Project ID (PIMS): 4526

GEF Project ID (PMIS): 5524

Duration: 24 weeks (PPG), 48 months (FSP)

Management Arrangement: DIM

PPG total budget: USD 137,123

- GEF USD 52,123
- UNDP TRAC USD 30,000
- AECID USD 55,000

AGREED BY UNDP RESIDENT REPRESENTATIVE / UNDP DIRECTOR:

Name: Ulrika Richardson, UNDP Resident Representative


Signature:

Date (day/month/year): 22/12/2014

SECTION 1: BRIEF DESCRIPTION OF PROJECT AND PPG/INITIATION PLAN

The Government of Cape Verde has sought UNDP support to implement the Project Preparation Grant (PPG) for the UNDP-GEF full-sized project *“Mainstreaming biodiversity conservation into the tourism sector in synergy with a further strengthened protected areas system in Cape Verde”*. The project seeks to “To safeguard globally significant biodiversity in Cape Verde from current and emerging threats, by enhancing the enabling and regulatory frameworks in the tourism sector and activating a critical further subset of the national protected areas system”. The project has two components focusing especially on the islands Santiago, Sal, Boavista and Maio: 1) Mainstreaming biodiversity into tourism planning and operations at national level and on priority islands, and 2) Expanding and strengthening the coastal and marine PA estate in priority islands. The expected outcomes of this FSP are: 1.1) Direct adverse impacts of tourism infrastructure development on biodiversity and land/sea-scapes are avoided, reduced or compensated in at least the 137,255 ha of national terrestrial and marine PAs and all Tourism Protected and Reserve Areas; 1.2) Adoption of and compliance with the selected sustainable and biodiversity-friendly tourism certification systems; 1.3) Maintenance of good conservation status and limited disturbance of globally unique coastal habitats and of Humpback whales and sea turtles in foraging and breeding areas; 2.1/2.3) Enhanced protection of endemic and globally threatened species and unique terrestrial and marine habitats through: (a) full operationalisation of at least 7 further already-designated priority PAs; (b) enhanced control and reduction of pressures from tourism activities; (c) reduction of adverse impacts by artisanal fisheries; 2.2) Sustainable generation at least \$350,000 of annual net revenue for PA management from the tourism sector.

On 07 November 2013, the GEF Council approved the project concept (the Project Information Form – for its pre-approval by the GEF CEO on 12 September 2014 see Annex 1).

Project development now will include a preparatory phase in the form of a **Project Preparatory Grant (PPG)**, co-financed by GEF, the Gambia UNDP Country Office and the Spanish Cooperation Agency AECID. The present **Initiation Plan (IP)** operationalises the implementation of the PPG. **During the PPG/IP**, a team of national and international consultants together with the UNDP Country Office in Cape Verde and the responsible UNDP-GEF Regional Technical Advisor (based in Istanbul) – and working in close collaboration with key government officials, donors, NGOs, CBOs, and the private sector – will undertake a number of literature reviews, studies, stakeholder consultations and field visits, with the view to further develop the approved PIF into a fully formulated project ready to start full-fledged implementation.

The UNDP Country Office in Cape Verde will lead the PPG/IP under the Direct Implementation Modality (DIM), to facilitate rapid implementation of this phase. With input from government partners and UNDP-GEF Regional Technical Advisor, the UNDP Country Office will be responsible for the recruitment, supervision and payment of the necessary PPG consultants (international and national), for arranging travels and meetings, and for facilitating project disbursements and regular financial reporting. The **Key Expected Outputs of the PPG/IP** will be a technically robust **UNDP Project Document (PRODOC)** and a **Request for GEF-CEO Endorsement package ready for submission to the GEF Secretariat**. The preparatory phase will moreover confirm the lead implementing partner, identify further responsible parties (as mentioned in the PIF), and negotiate and define implementation arrangements. The PPG budget and work plan are presented in Section 3. The Terms of Reference for the team of consultants are included in Annexes 4.

Considering the above PIF approval dates, the **GEF CEO Endorsement Request package and PRODOC must therefore be endorsed by the GEF CEO by 07 May 2015**, in respect of the 18 months milestone. To meet this critical milestone, key project preparation activities should be completed by 07 March 2015 – by this date, the complete PRODOC, CEO Endorsement Request and co-financing letters will be submitted in a final draft version for internal clearances to UNDP. Subsequent revisions addressing UNDP-GEF or GEF Secretariat queries may be

required and are part of the PPG/IP. The final submissions to the GEF will require prior government validation and clearance. Submission to the GEF will only be effected after all due clearances have been obtained. Consultation with stakeholders relevant for the project activities will put emphasis on building the partnerships required for realizing the project's objectives and the mobilization of co-financing. The national consultation process will also include the local communities that are expected to benefit from the Project.

SECTION 2: PROJECT PREPARATION ACTIVITIES

The activities to be conducted under the PPG/IP include:

Component A: Technical review and Stakeholder Consultations

- Regular exchanges between the UNDP Country Office, UNDP-GEF RTA, Government Partners and further stakeholders on the development and finalization of the PRODOC and CEO Endorsement Request package.
- PPG inception workshop and preparation of PPG inception report.
- Conducting a stakeholder analysis, identifying government, industry and community stakeholders and their responsibilities pertaining to tourism and artisanal fisheries in target PAs and surrounding landscapes; and developing a plan for stakeholder participation/ engagement for both PPG and especially FSP.
- Sensitising stakeholders about the project and securing their input to its design.
- Negotiating partnerships with on-going projects to align their activities and to build synergies.
- **Desktop studies, field-based research and stakeholder consultations, to:**
 - **validate and further elaborate on the conservation and sustainable development situation analysis including problem, baseline investment and barrier analyses in the PIF, helping determine the project's system boundaries and scope;**
 - **assess and define the technical feasibility, additionality, incrementality and cost-effectiveness of the project's interventions;**
 - **elaborate appropriate project interventions, building on the PIF;**
 - further integrate the project with relevant national development plans, policies, budgets and complementary projects.

This will include *inter alia*:

- Identifying specific sites for intervention;
- Addressing any opportunities/risks identified during the environmental and social pre-screening of the project proposal (see Annex 3) through application and completion of the UNDP Social and Environmental Screening. From the assessment conducted, a mitigation plan will be prepared and mitigation measures will be incorporated into project design and costs. The PPG should early establish whether a full social and environmental assessment is required, however this does not seem warranted;
- With regard to biodiversity, protected areas, and biodiversity financing:
 - a review of status in the targeted islands of ecosystems, natural habitats and species, with a focus on globally threatened species mentioned in the PIF;
 - a review of threats to biodiversity in the targeted islands, most notably from tourism and fisheries;
 - a review of gaps and needs in biological monitoring data and systems that need to be installed to strengthen decision on tourism planning, permitting and oversight;
 - a review of PA management effectiveness in the targeted islands, with a rapid assessment of priority needs in terms of PA staffing and capacity, PA management and business plans, PA infrastructures, and related decision-making and management structures; with a view onto design PA management measures for the project (designation, demarcation, management planning and zoning, partnerships, capacity building, and financing);

- an analysis of needs and opportunities regarding the marine protected areas network around the targeted islands;
 - a review at site and national system level of existing biodiversity and PA financing flows (through review of the existing financial scorecard and further research) and needs and related opportunities linked in particular to the tourism industry;
 - define biodiversity financing mechanisms to be newly developed or expanded under the project (focusing on opportunities from the tourism sector; e.g. offsets, things like subsidies, tax incentives and penalties, PA revenue generation) and the related legal and institutional requirements.
- Artisanal fishery threats and opportunities:
 - Artisanal fisheries practices assessment: Assess artisanal sector practices currently used in and around target islands identifying those that have impacts on biodiversity and identifying best practices;
 - Assess fishing needs and attitudes of communities and opportunities to implant sustainable artisanal fisheries practices, and define these and implementing partners;
- Tourism sector threats and opportunities:
 - an analysis of tourism businesses and operations in the target islands, and how these relate to biodiversity, considering *inter alia*: existing tourism businesses and infrastructures and their operations, practices and operations;
 - an analysis of national and/or international sustainable/biodiversity friendly certification schemes that could apply to Cape Verde, with an analysis of market opportunities for premium prices or other forms of tourism not yet developed;
 - an analysis of national and sector policies, strategies and plans, as well as of social, legal/regulatory, socio-economic, institutional, technical and knowledge barriers hindering a good integration of biodiversity and landscape values into tourism planning, development and operations;
 - a review of the existing regulatory and policy frameworks for land use with special emphasis on EIAs and on Special Tourism Areas (ZTE, which include both Integrated Tourism Development Areas ZDTI, and Tourism Protected and Reserve Areas ZRPT) and its implications for the conservation of BD in areas targeted by the tourism sector, highlighting and prioritizing aspects to be improved;
 - an analysis of entry points for mainstreaming biodiversity conservation with concrete solutions such as SEA etc.;
- Integration with complementary projects will be ensured through all the stakeholders' consultation and preparation meeting that will be conducted during this phase. The Team Leader will ensure that this integration and coordination is reflected in the project strategy developed in the PRODOC;
- Further developing the project logical frameworks (strategic results framework), including suitable objective-level and outcome-level quantitative and qualitative SMART indicators and the related baselines and end-of-project targets, including socio-economic and sex disaggregated indicators.
- Developing a detailed monitoring and evaluation (M&E) work plan, to include clear identification of responsibilities and accountabilities, as well as an appropriate M&E budget. The plan will be based on the standard template provided in the UNDP-GEF project document template that reflects the mandatory requirements of the GEF M&E Policy.
- Completing/updating the UNDP and GEF Tracking Tools required for the project to define baselines and then collaboratively develop time-based project-end targets:
 - GEF Biodiversity Mainstreaming TT
 - GFEF PA Management Effectiveness TT for the individual PAs in selected areas
 - GEF Protected Area System Financial Sustainability Scorecard
 - UNDP Capacity Development Scorecard

- Developing a sustainability plan, outlining the principles and guidelines for ensuring the long-term sustainability of project achievements; it will also outline an exit strategy, seeking the continuation of key activities/achievements without the need of long-term international financing.
- Addressing/answering the opportunities/risks identified in the context of PIF approval: in the GEF Secretariat Review Sheet, the GEF STAP Review, and by the GEF Council (see Annex 2a-c).

Component B: Institutional and management arrangements, co-financing investments and financial planning

- Explore multilateral and bilateral co-financing opportunities: Undertake series of consultations with partners to ensure a coherent and sustainable financing package for the project including post- GEF grant phase.
- Ensure issuance of co-financing letters/guarantees to be collected from participating government institutions, bilateral development partners, multilateral development partners and NGOs who wish and/or committed to provide cash or in kind contributions to the project.
- Preparing a detailed multi-year budget and work plan for the project (following the standard template provided in the UNDP-GEF project document template), indicating the inputs needed (consultants, contractual services, travel, etc.) in the applicable format;
- Defining institutional, implementation and management arrangements - the organisational structure governing the project will be decided. This will include identification of the project board.
- Stakeholder consultations during Component B: Involve key agencies in the development of the project strategy to ensure a strong national ownership. In close collaboration with key government representatives and other stakeholders ensure full participation in the development of the project results framework and ensure agreement on the project objectives and outcomes. Undertake consultations to secure agreement(s) on project implementation arrangements including roles, responsibilities, and accountabilities of lead and partner agencies. Document these consultations.

Component C: Finalisation and Validation of Key Outputs

- Building on the above, consolidate and complete the PRODOC and Request for CEO Endorsement Package
- A validation workshop will gather representatives from all relevant stakeholders to present, discuss and validate the final draft project document

SECTION 3: TOTAL BUDGET AND WORK PLAN

Award ID:	78182
Award Title:	Mainstreaming biodiversity conservation into the tourism sector in synergy with a further strengthened protected areas system in Cape Verde
Business Unit:	
Project Title:	Mainstreaming biodiversity conservation into the tourism sector in synergy with a further strengthened protected areas system in Cape Verde
UNDP Project ID:	4526
GEF Project ID:	5524
Executing Agency	UNDP (DIM)

GEF Outcome/ Atlas Activity	Responsible Party/ Implementing Agency	Fund ID	Donor Name	ATLAS Budget Code	Budget Description	Unit Cost US\$	Units	Factor	Total US\$
PPG to prepare the UNDP-GEF PRODOC and GEF CEO Endorsement Request package for project "Mainstreaming biodiversity conservation into the tourism sector in synergy with a further strengthened protected areas system in Cape Verde"	UNDP			71200	International Specialist for GEF Project Development and Protected Areas Financing	3,000	12	1	36,000
				71200	International Specialist for Tourism, Ecotourism and Certification	3,000	8	1	24,000
				71600	International Consultants: International Travel	2,000	2	2	8,000
				71600	International Consultants: DSA Field & Field	264	28	2	14,784
				71300	National Consultant: Biodiversity & Protected Areas Specialist	1,500	8	1	12,000
				71300	National Consultant: Tourism Specialist	1,500	10	1	15,000
				71300	National Consultant: Artisanal Fisheries and Community Development Specialist	1,500	8	1	12,000
				71600	National Consultants: Field Travel	264	14	3	11,088
				72500	Supplies				0
				74200	Audiovisuals & Print Production				0
				73100	Rental & Maintenance- Premises				0
				75700	Workshops for inception, stakeholder consultations and validation				4,251
						TOTAL			

Summary of funds by source:

GEF	USD 52,123
UNDP TRAC	USD 30,000
AECID	USD 55,000
PPG total:	USD 137,123

ANNEXES

Annex 1: PIF and PPG Approval, by GEF CEO



GLOBAL ENVIRONMENT FACILITY
INVESTING IN OUR PLANET

NAOKO ISHII, PHD
Chief Executive Officer and Chairperson

1818 H Street, NW
Washington, DC 20433 USA
Tel: 202.473.3202
Fax: 202.522.3240/3245
E-mail: Nishii@TheGEF.org

September 12, 2013

Ms. Adriana Dinu
Deputy GEF Executive Coordinator
United Nations Development Programme
One United Nations Plaza
304 East 45th St.
FF Bldg., 10th floor
New York, NY 10017

Dear Ms. Dinu:

I am pleased to inform you that I have cleared the project concept detailed below for inclusion in the upcoming work program. I have also approved your request for project preparation grant.

Decision Sought:	Project Identification Form (PIF) Clearance for Work Program Inclusion and Project Preparation Grant (PPG) Approval
GEFSEC ID:	5524
Agency ID:	4526 (UNDP)
Agency(ies):	UNDP
Focal Area:	Biodiversity
Project Type:	Full Size Project
Country(ies):	Cape Verde
Name of Project:	Mainstreaming Biodiversity Conservation into the Tourism Sector in Synergy with a Further Strengthened Protected Areas System in Cape Verde
Indicative GEF Project Grant:	\$3,664,640
Indicative Agency Fee:	\$348,141
PPG Grant:	\$52,123
PPG Agency Fee:	\$4,952
Funding Source:	GEF Trust Fund

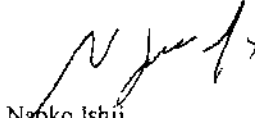
** Out of the above indicative Agency fee amount, Trustee will commit the first tranche (40%) of the Agency fee which is \$139,256 at the time of Council approval of the work program. The second tranche (60%) of the Agency fee which is \$208,885 will be committed at the time of CEO endorsement of the FSP.*

September 12, 2013

This PIF clearance and PPG approval are subject to the comments made by the GEF Secretariat in the attached document. It is also based on the understanding that the project is in conformity with GEF focal areas strategies and in line with GEF policies and procedures.

Please submit your final project document for my endorsement no later than 18 months after Council approval of the work program.

Sincerely,



Naoko Ishii
Chief Executive Officer and Chairperson
Global Environment Facility

Attachment: GEFSEC Review Sheet
Copy to: Country Operational Focal Point, GEF Agencies, STAP, Trustee

Annex 2a: Comments in the context of PIF approval: GEF Review

Nothing to be addressed during PPG

Annex 2b: Comments in the context of PIF approval: GEF Council Comments

France Council member:

Project Name : 5524 “Mainstreaming Biodiversity Conservation into the Tourism Sector in Synergy with a Further Strengthened Protected Areas System in Cape Verde” (UNDP)

The goal of the project is to safeguard globally significant biodiversity in Cape Verde from current and emerging threats, by enhancing the enabling and regulatory frameworks in the tourism sector and activating a critical further subset of the national protected areas system.

Comment:

We globally support this proposal. The Project is well designed and documented. The project rationale is robust.

The project will (i) on one side improve the policy and regulatory frameworks to control adverse effects of tourism developments on biodiversity conservation and create an enabling framework for the tourism sector to finance conservation and fill the protected area financing gap; and (ii) on the other side improve management effectiveness of existing and new protected areas.

Even if the project results indicator will not reach a level of additional financing from private sector (+ 350.000 USD/year by project end) to completely fill the financing gap of the Cape Verde protected area system (estimated between \$1.8 million and \$5.3 million/year to achieve basic and optimal management, respectively), the project can create a dynamic of change and improvement of the current situation.

For this reason, the project preparation could perhaps be more ambitious and explore more innovative financing mechanisms to increase the financing flow for PA by the end of this project and to reduce even more the PA system financing gap.

Opinion: *Favourable*

Annex 2c: Comments in the context of PIF approval: STAP Review

Scientific and Technical Advisory Panel

The Scientific and Technical Advisory Panel, administered by UNEP, advises the Global Environment Facility (Version 5)

STAP Scientific and Technical screening of the Project Identification Form (PIF)

Date of screening: October 08, 2013

Screener: Paul Grigoriev

Panel member validation by: Sandra Diaz

Consultant(s):

I. PIF Information (Copied from the PIF)

FULL SIZE PROJECT: GEF TRUST FUND

GEF PROJECT ID: 5524

PROJECT DURATION: 4

COUNTRIES: Cape Verde

PROJECT TITLE: Mainstreaming Biodiversity Conservation into the Tourism Sector in Synergy with a Further Strengthened Protected Areas System in Cape Verde

GEF AGENCIES: UNDP

OTHER EXECUTING PARTNERS: Ministry of Environment, Housing and Land Planning (MAHOT); in collaboration with Ministry of Tourism, Industry and Energy (MTIE)

GEF FOCAL AREA: Biodiversity

II. STAP Advisory Response (see table below for explanation)

Based on this PIF screening, STAP's advisory response to the GEF Secretariat and GEF Agency(ies): **Consent**

III. Further guidance from STAP

STAP welcomes the submission of this clearly well thought through project concept.

The proposal is very well structured and presented. The problem definition and threats are clearly and thoroughly presented and documented. The GEBs are well documented. The proposal likewise demonstrates coherence between the project objective, desired outcomes and planned outputs. The chosen indicators are appropriate. It is recognized that baselines and targets will be further developed and agreed upon during the PPG. The barriers are well articulated as well. The risks and their levels are well defined and assessed and the proposed mitigation measures are appropriate and realistic. The key stakeholders are well defined, as are their roles for the most part, in some cases this being more implicit than explicit though. Gender considerations will need to be addressed further during the PPG.

The proposed project builds nicely upon past initiatives and dovetails well with ongoing and developing projects which will amplify its impact and result in resource economies. Coordination with the other initiatives should not be problematic.

Overall, this is a very well-articulated and presented concept for a timely project.

STAP advisory response	Brief explanation of advisory response and action proposed
1. Consent	<p>STAP acknowledges that on scientific or technical grounds the concept has merit. However, STAP may state its views on the concept emphasizing any issues where the project could be improved.</p> <p>Follow-up: The GEF Agency is invited to approach STAP for advice during the development of the project prior to submission of the final document for CEO endorsement.</p>
2. Minor revision required.	<p>STAP has identified specific scientific or technical challenges, omissions or opportunities that should be addressed by the project proponents during project development.</p> <p>Follow-up: One or more options are open to STAP and the GEF Agency (i) GEF Agency should discuss the issues with STAP to clarify them and possible solutions. (ii) In its request for CEO endorsement, the GEF Agency will report on actions taken in response to STAP's recommended actions.</p>
3. Major revision required	<p>STAP has identified significant scientific or technical challenges or omissions in the PIF and recommends significant improvements to project design.</p> <p>Follow-up: (i) The Agency should request that the project undergo a STAP review, prior to CEO endorsement, at a point in time when the particular scientific or technical issue is sufficiently developed to be reviewed, or as agreed between the Agency and STAP. (ii) In its request for CEO endorsement, the Agency will report on actions taken in response to STAP concerns.</p>

Annex 3: Environmental and Social Pre-Screening by RTA to be addressed during PPG

ENVIRONMENTAL AND SOCIAL SCREENING SUMMARY

Name of Proposed Project: Mainstreaming biodiversity conservation into tourism sector in synergy with a strengthened PA system

A. Environmental and Social Screening Outcome

- Category 1. No further action is needed
- Category 2. Further review and management is needed. There are possible environmental and social benefits, impacts, and/or risks associated with the project (or specific project component), but these are predominantly indirect or very long-term and so extremely difficult or impossible to directly identify and assess.
- Category 3. Further review and management is needed, and it is possible to identify these with a reasonable degree of certainty. If Category 3, select one or more of the following sub-categories:
- Category 3a: Impacts and risks are limited in scale and can be identified with a reasonable degree of certainty and can often be handled through application of standard best practice, but require some minimal or targeted further review and assessment to identify and evaluate whether there is a need for a full environmental and social assessment (in which case the project would move to Category 3b). See Section 3 of the Review and Management Guidance.
 - Category 3b: Impacts and risks may well be significant, and so full environmental and social assessment is required. In these cases, a scoping exercise will need to be conducted to identify the level and approach of assessment that is most appropriate. See Section 3 of Review and Management Guidance.

B. Environmental and Social Issues (for projects requiring further environmental and social review and management)

The project does not create any environmental risks but works to reduce the risks posed by the tourism and related sectors including artisanal fisheries. The project may, through the emplacement of protected area management and through the identification of additional marine protected areas, restrict/reduce open access to marine/coastal resources by local communities, tourism operators and tourists, which over the short term at least may be perceived as a negative socio-economic impact.

C. Next Steps (for projects requiring further environmental and social review and management):

Best practice work engaging communities and tourism stakeholders will ensure that the long term benefits of sustainable exploitation/access and of sustainable development are recognised. Also better practices by tourists and tourism developers in areas outside PAs will be encouraged which will be addressed through work with the national and regional governments and tourism authorities and operators - who have already expressed their interest in sustainability measures. The socio-economic risks and opportunities will be specifically addressed during the PPG phase.

D. Sign Off

Project Manager: yves.desoye
Signed Date: 2013-07-24

ENVIRONMENTAL AND SOCIAL SCREENING CHECKLIST

Name of Proposed Project: Mainstreaming biodiversity conservation into tourism sector in synergy with a strengthened PA system

QUESTION 1

Has a combined environmental and social assessment/review that covers the proposed project already been completed by implementing partners or donor(s)?

Answer to Question 1:No

QUESTION 2

Do ALL outputs and activities described ONLY fall in the Project Document fall within the following categories?

1. Procurement (in which case UNDP's Procurement Ethics and Environmental Procurement Guide need to be complied with)
2. Report preparation
3. Training
4. Event/workshop/meeting/conference (refer to Green Meeting Guide)
5. Communication and dissemination of results

Answer to Question 2:No

QUESTION 3

Does the proposed project include activities and outputs that support upstream planning processes that potentially pose environmental and social impacts or are vulnerable to environmental and social change (refer to Table 3.1 for examples)? (Note that upstream planning processes can occur at global, regional, national, local and sectoral levels)

Evaluation Result of Checklist Table 3.1:Yes

TABLE 3.1 EXAMPLES OF UPSTREAM PLANNING PROCESSES WITH POTENTIAL DOWNSTREAM ENVIRONMENTAL AND SOCIAL IMPACTS	
1. Support for the elaboration or revision of global- level strategies, policies, plans, and programmes. For example, capacity development and support related to international negotiations and agreements. Other examples might include a global water governance project or a global MDG project.	No
2. Support for the elaboration or revision of regional-level strategies, policies and plans, and programmes. For example, capacity development and support related to transboundary programmes and planning (river basin management, migration, international waters, energy development and access, climate change adaptation etc.).	No
3. Support for the elaboration or revision of national-level strategies, policies, plans and programmes. For example, capacity development and support related to national development policies, plans, strategies and budgets, MDG-based plans and strategies (e.g. PRS/PRSPs, NAMAs), sector plans.	Yes
4. Support for the elaboration or revision of sub-national/local-level strategies, policies, plans and programmes. For example, capacity development and support for district and local level development plans and regulatory frameworks, urban plans, land use development plans, sector plans, provincial development plans, provision of services, investment funds, technical guidelines and methods, stakeholder engagement.	Yes

QUESTION 4

Does the proposed project include the implementation of downstream activities that potentially pose environmental and social impacts or are vulnerable to environmental and social change?

Evaluation Result of Checklist Table 4.1: Yes

TABLE 4.1 ADDITIONAL SCREENING QUESTIONS TO DETERMINE THE NEED AND POSSIBLE EXTENT OF FURTHER ENVIRONMENTAL AND SOCIAL REVIEW AND MANAGEMENT

1. Biodiversity and Natural Resources	
1.1 Would the proposed project result in the conversion or degradation of modified habitat, natural habitat or critical habitat?	No
1.2 Are any development activities proposed within a legally protected area (e.g. natural reserve, national park) for the protection or conservation of biodiversity?	Yes
1.3 Would the proposed project pose a risk of introducing invasive alien species?	No
1.4 Would the proposed project pose a risk of introducing invasive alien species?	No
1.5 Does the project involve the production and harvesting of fish populations or other aquatic species without an accepted system of independent certification to ensure sustainability (e.g. the Marine Stewardship Council certification system, or certifications, standards, or processes established or accepted by the relevant National Environmental Authority)?	Yes
1.6 Does the project involve significant extraction, diversion or containment of surface or ground water? For example, construction of dams, reservoirs, river basin developments, groundwater extraction.	No
1.7 Does the project pose a risk of degrading soils?	No
2. Pollution	
2.1 Would the proposed project result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and transboundary impacts?	No
2.2 Would the proposed project result in the generation of waste that cannot be recovered, reused, or disposed of in an environmentally and socially sound manner?	No
2.3 Will the proposed project involve the manufacture, trade, release, and/or use of chemicals and hazardous materials subject to international action bans or phase-outs? For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Convention on Persistent Organic Pollutants, or the Montreal Protocol.	No
2.4 Is there a potential for the release, in the environment, of hazardous materials resulting from their production, transportation, handling, storage and use for project activities?	No
2.5 Will the proposed project involve the application of pesticides that have a known negative effect on the environment or human health?	No
3. Climate Change	
3.1 Will the proposed project result in significant greenhouse gas emissions? The Environment and Social Screening Procedure Guidance provides additional guidance for answering this question.	No
3.2 Is the proposed project likely to directly or indirectly increase environmental and social vulnerability to climate change now or in the future (also known as maladaptive practices)? You can refer to the Environment and Social Screening Procedure Guidance to help you answer this question. For example, a project that would involve indirectly removing mangroves from coastal zones or encouraging land use plans that would suggest building houses on floodplains could increase the surrounding population's vulnerability to climate change, specifically flooding.	No
4. Social Equity and Equality	
4.1 Would the proposed project have environmental and social impacts that could negatively affect indigenous people or other vulnerable groups?	Yes
4.2 Is the project likely to significantly impact gender equality and women's empowerment ?	No
4.3 Is the proposed project likely to directly or indirectly increase social inequalities now or in the future?	No
4.4 Will the proposed project have variable impacts on women and men, different ethnic groups, social classes?	No

4.5 Have there been challenges in engaging women and other certain key groups of stakeholders in the project design process?	No
4.6 Will the project have specific human rights implications for vulnerable groups?	No
5. Demographics	
5.1 Is the project likely to result in a substantial influx of people into the affected community(ies)?	No
5.2 Would the proposed project result in substantial voluntary or involuntary resettlement of populations? For example, projects with environmental and social benefits (e.g. protected areas, climate change adaptation) that impact human settlements, and certain disadvantaged groups within these settlements in particular.	No
5.3 Would the proposed project lead to significant population density increase which could affect the environmental and social sustainability of the project? For example, a project aiming at financing tourism infrastructure in a specific area (e.g. coastal zone, mountain) could lead to significant population density increase which could have serious environmental and social impacts (e.g. destruction of the area's ecology, noise pollution, waste management problems, greater work burden on women).	No
6. Culture	
6.1 Is the project likely to significantly affect the cultural traditions of affected communities, including gender-based roles?	No
6.2 Will the proposed project result in physical interventions (during construction or implementation) that would affect areas that have known physical or cultural significance to indigenous groups and other communities with settled recognized cultural claims?	No
6.3 Would the proposed project produce a physical "splintering" of a community? For example, through the construction of a road, powerline, or dam that divides a community.	No
7. Health and Safety	
7.1 Would the proposed project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions? For example, development projects located within a floodplain or landslide prone area.	No
7.2 Will the project result in increased health risks as a result of a change in living and working conditions? In particular, will it have the potential to lead to an increase in HIV/AIDS infection?	No
7.3 Will the proposed project require additional health services including testing?	No
8. Socio-Economics	
8.1 Is the proposed project likely to have impacts that could affect women's and men's ability to use, develop and protect natural resources and other natural capital assets? For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their development, livelihoods, and well-being?	Yes
8.2 Is the proposed project likely to significantly affect land tenure arrangements and/or traditional cultural ownership patterns?	Yes
8.3 Is the proposed project likely to negatively affect the income levels or employment opportunities of vulnerable groups?	No
9. Cumulative and/or Secondary Impacts	
9.1 Is the proposed project location subject to currently approved land use plans (e.g. roads, settlements) which could affect the environmental and social sustainability of the project? For example, future plans for urban growth, industrial development, transportation infrastructure, etc.	No
9.2 Would the proposed project result in secondary or consequential development which could lead to environmental and social effects, or would it have potential to generate cumulative impacts with other known existing or planned activities in the area? For example, a new road through forested land will generate direct environmental and social impacts through the cutting of forest and earthworks associated with construction and potential relocation of inhabitants. These are direct impacts. In addition, however, the new road would likely also	No

bring new commercial and domestic development (houses, shops, businesses). In turn, these will generate indirect impacts. (Sometimes these are termed “secondary” or “consequential” impacts). Or if there are similar developments planned in the same forested area then cumulative impacts need to be considered.	
--	--

Annex 4a: Summary Overview of PPG Consultants and Main Responsibilities

Local consultants	
International Specialist for GEF Project Development and Protected Area Financing	<ul style="list-style-type: none"> • Leadership and team coordination • Lead on PRODOC and CEO Endorsement Request write up • Overall quality assurance for team inputs • Conceptual and technical lead on biodiversity financing (offsets, subsidies, tax incentives and penalties, PA revenue generation, etc.) • Defines M&E indicators, baselines and targets for biodiversity outcomes and PA financing outcomes
International Specialist for Tourism, Ecotourism and Certification	<ul style="list-style-type: none"> • Conceptual lead on tourism sector and market analysis • International benchmarking on biodiversity-friendly tourism and certification • Defines M&E indicators, baselines and targets for tourism mainstreaming (improvements in planning, development and operations, certification) • Contributes text sections on biodiversity mainstreaming into tourism planning development and operations
International consultants	
National Consultant: Biodiversity & Protected Areas Specialist	<ul style="list-style-type: none"> • Coordinates team of national consultants together with Team Leader • Compiles biodiversity & PA project baseline and barrier analysis • Background information on biodiversity threats, indicators, solutions • Contributes to M&E indicators, baselines and targets for PA and biodiversity (species status, monitoring, PA management)
National Consultant: Tourism Specialist	<ul style="list-style-type: none"> • Compiles tourism and ecotourism baseline information • Engages tourism stakeholders • Compiles tourism mainstreaming baseline and barrier analysis • Proposes solutions for managing risks dealing with tourism sector, positively and negatively • Contributes to M&E indicators, baselines and targets for tourism mainstreaming (improvements in planning, development and operations)
National Consultant: Artisanal Fisheries and Community Development Specialist	<ul style="list-style-type: none"> • Compiles fisheries baseline information • Engages fishery stakeholders, including most notably at community level • Compiles artisanal baseline and barrier analysis • Proposes solutions for managing risks dealing with fisheries tourism sector, positively and negatively • Contributes to M&E indicators, baselines and targets for artisanal fisheries goals (improvements in planning,

Annex 4b: TORs for International PPG Consultant: International Specialist for GEF Project Development and Protected Area Financing (Team Leader)



UNITED NATIONS DEVELOPPEMENT PROGRAMME

TERMS OF REFERENCE

VACANCY ANNOUNCEMENT N° XXX

Information

Position Title:	International Specialist for GEF Project Development and Protected Area Financing (Team Leader)
Location:	Home-based and missions in Cape Verde
Type of contract:	Individual contract
Post level:	International consultant
Languages required:	English, with knowledge in Portuguese an asset
Expected duration of assignment:	12 person-weeks (60 working days) spread over the period 24 November 2014 to 07 May 2015

I. Background

The Government of Cape Verde has sought UNDP support to implement the Project Preparation Grant (PPG) for the UNDP-GEF full-sized project *“Mainstreaming biodiversity conservation into the tourism sector in synergy with a further strengthened protected areas system in Cape Verde”*. The project seeks to “To safeguard globally significant biodiversity in Cape Verde from current and emerging threats, by enhancing the enabling and regulatory frameworks in the tourism sector and activating a critical further subset of the national protected areas system”.

The expected outcomes of this this Full Size Project (FSP) are: 1.1) Direct adverse impacts of tourism infrastructure development on biodiversity and land/sea-scapes are avoided, reduced or compensated in at least the 137,255 ha of national terrestrial and marine PAs and all Tourism Protected and Reserve Areas; 1.2) Adoption of and compliance with the selected sustainable and biodiversity-friendly tourism certification systems; 1.3) Maintenance of good conservation status and limited disturbance of globally unique coastal habitats and of Humpback whales and sea turtles in foraging and breeding areas; 2.1/2.3) Enhanced protection of endemic and globally threatened species and unique terrestrial and marine habitats through: (a) full operationalisation of at least 7 further already-designated priority PAs; (b) enhanced control and reduction of pressures from tourism activities; (c) reduction of adverse impacts by artisanal fisheries; 2.2) Sustainable generation at least \$350,000 of annual net revenue for PA management from the tourism sector.

The Project Identification Form (PIF) was approved by the GEF Council on 07 November 2013. The UNDP Country Office (CO) in Cape Verde is seeking the services of an international consultant specialist for GEF project development and protected area financing specialist to lead the implementation of the Project

1 Duties and responsibilities

The International Specialist for GEF Project Development and Protected Area Financing (Team Leader) will be responsible for the timely development of the UNDP Project Document and the GEF-CEO Endorsement Request package for submission to the GEF. He/She will work closely with UNDP and government specialists and other key stakeholders at the country level as well as with the UNDP-GEF regional staff providing technical and administrative support to this project.

Under the above overall responsibilities and with support from a team of national PPG consultants, the tasks of the International Specialist/Team Leader are expected to include, but may not be limited to:

- Regular exchanges between the UNDP Country Office, UNDP-GEF RTA, Government Partners and further stakeholders on the development and finalization of the PRODOC and CEO Endorsement Request package.
- PPG inception workshop and preparation of PPG inception report.
- Negotiating partnerships with on-going projects to align their activities and to build synergies.
- **Desktop studies, field-based research and stakeholder consultations, to:**
 - **validate and further elaborate on the conservation and sustainable development situation analysis including problem, baseline investment and barrier analyses in the PIF, helping determine the project's system boundaries and scope;**
 - **assess and define the technical feasibility, additionality, incrementality and cost-effectiveness of the project's interventions;**
 - **elaborate appropriate project interventions, building on the PIF;**
 - further integrate the project with relevant national development plans, policies, budgets and complementary projects.

This will include *inter alia*:

- Identifying specific sites for intervention;
- Addressing any opportunities/risks identified during the environmental and social pre-screening of the project proposal through application and completion of the UNDP Social and Environmental Screening. From the assessment conducted, a mitigation plan will be prepared and mitigation measures will be incorporated into project design and costs. The PPG should early establish whether a full social and environmental assessment is required, however this does not seem warranted;
- With regard to biodiversity, protected areas, and biodiversity financing:
 - a review of status in the targeted islands of ecosystems, natural habitats and species, with a focus on globally threatened species mentioned in the PIF;
 - a review of threats to biodiversity in the targeted islands, most notably from tourism and fisheries;
 - a review of gaps and needs in biological monitoring data and systems that need to be installed to strengthen decision on tourism planning, permitting and oversight;
 - a review of PA management effectiveness in the targeted islands, with a rapid assessment of priority needs in terms of PA staffing and capacity, PA management and business plans, PA infrastructures, and related decision-making and management structures; with a view onto design PA management measures for the project (designation, demarcation, management planning and zoning, partnerships, capacity building, and financing);
 - an analysis of needs and opportunities regarding the marine protected areas network

- around the targeted islands;
 - a review at site and national system level of existing biodiversity and PA financing flows (through review of the existing financial scorecard and further research) and needs and related opportunities linked in particular to the tourism industry;
 - Artisanal fishery threats and opportunities:
 - Artisanal fisheries practices assessment: Assess artisanal sector practices currently used in and around target islands identifying those that have impacts on biodiversity and identifying best practices;
 - Assess fishing needs and attitudes of communities and opportunities to implant sustainable artisanal fisheries practices, and define these and implementing partners, drawing on an analysis of social dynamics including gender.
 - Tourism sector threats and opportunities:
 - an analysis of tourism businesses and operations in the target islands, and how these relate to biodiversity, including gender roles and trends in the industry, considering *inter alia*: existing tourism businesses and infrastructures and their operations, practices and operations;
 - considering *inter alia*: existing tourism businesses and infrastructures and their operations, practices and operations;
 - an analysis of national and/or international sustainable/biodiversity friendly certification schemes that could apply to Cape Verde, with an analysis of market opportunities for premium prices or other forms of tourism not yet developed;
 - an analysis of national and sector policies, strategies and plans, as well as of social, legal/regulatory, socio-economic, institutional, technical and knowledge barriers hindering a good integration of biodiversity and landscape values into tourism planning, development and operations;
 - a review of the existing regulatory and policy frameworks for land use with special emphasis on EIAs and on Special Tourism Areas (ZTE, which include both Integrated Tourism Development Areas ZDTI, and Tourism Protected and Reserve Areas ZRPT) and its implications for the conservation of BD in areas targeted by the tourism sector, highlighting and prioritizing aspects to be improved;
 - an analysis of entry points for mainstreaming biodiversity conservation with concrete solutions such as SEA etc.;
- Integration with complementary projects will be ensured through all the stakeholders' consultation and preparation meeting that will be conducted during this phase. The Team Leader will ensure that this integration and coordination is reflected in the project strategy developed in the PRODOC;
- Further developing the project logical frameworks (strategic results framework), including suitable objective-level and outcome-level quantitative and qualitative SMART indicators and the related baselines and end-of-project targets, including socio-economic and sex disaggregated indicators.
- Developing a detailed monitoring and evaluation (M&E) work plan, to include clear identification of responsibilities and accountabilities, as well as an appropriate M&E budget. The plan will be based on the standard template provided in the UNDP-GEF project document template that reflects the mandatory requirements of the GEF M&E Policy.
- Completing/updating the UNDP and GEF Tracking Tools required for the project to define baselines and then collaboratively develop time-based project-end targets:
 - GEF Biodiversity Mainstreaming TT
 - GEF PA Management Effectiveness TT for the individual PAs in selected areas
 - GEF Protected Area System Financial Sustainability Scorecard
 - UNDP Capacity Development Scorecard
- Developing a sustainability plan, outlining the principles and guidelines for ensuring the long-term

sustainability of project achievements; it will also outline an exit strategy, seeking the continuation of key activities/achievements without the need of long-term international financing.

- Addressing/answering the opportunities/risks identified in the context of PIF approval: in the GEF Secretariat Review Sheet, the GEF STAP Review, and by the GEF Council (see Annex 2a-c).
- Explore multilateral and bilateral co-financing opportunities: Undertake series of consultations with partners to ensure a coherent and sustainable financing package for the project including post- GEF grant phase.
- Ensure issuance of co-financing letters/guarantees to be collected from participating government institutions, bilateral development partners, multilateral development partners and NGOs who wish and/or committed to provide cash or in kind contributions to the project.
- Preparing a detailed multi-year budget and work plan for the project (following the standard template provided in the UNDP-GEF project document template), indicating the inputs needed (consultants, contractual services, travel, etc.) in the applicable format;
- Defining institutional, implementation and management arrangements - the organisational structure governing the project will be decided. This will include identification of the project board.
- Stakeholder consultations during Component B: Involve key agencies in the development of the project strategy to ensure a strong national ownership. In close collaboration with key government representatives and other stakeholders ensure full participation in the development of the project results framework and ensure agreement on the project objectives and outcomes. Undertake consultations to secure agreement(s) on project implementation arrangements including roles, responsibilities, and accountabilities of lead and partner agencies. Document these consultations.

2 Competencies

- Excellent technical, analytical and editing skills, allowing effective communication in English of complex technical information
- Strong strategic planning, results-based management and reporting capabilities
- Excellent team player with good interpersonal skills
- Ability to manage workload with minimum supervision
- Ability to work under pressure and tight deadlines
- Ability to accommodate additional demands at short notice
- Ability to work in a multi-cultural environment
- Displays cultural, gender, religion, nationality and age sensitivity and adaptability;
- Skills in achieving results through persuading, influencing, & working with others;
- Skills in negotiating effectively in sensitive situations;
- Skills in facilitating meetings effectively and efficiently and to resolve conflicts as they arise

3 Required skills and experience

Education	Master's degree (or preferably PhD) in a field relevant to biodiversity conservation (biology, ecology, natural resources management, socio-economy, rural development, etc.), preferably with a professional specialization in project development/implementation and/or biodiversity financing
Experience	<ul style="list-style-type: none"> • Significant experience in developing complex GEF projects on biodiversity is a pre-requisite, ideally with elements on biodiversity financing and tourism; • Relevant to extensive knowledge of biodiversity issues (minimum of 5 years), preferably including on biodiversity mainstreaming into government and sectors, protected area management and business planning, and species/ecological monitoring systems;

	<ul style="list-style-type: none"> • Experience in policy development and institutional reform processes associated with environment, biodiversity and sustainable development an asset • Experience in working and collaborating with governments an asset • Experience working within the UN system an asset • Extensive working experience in West Africa or in Cape Verde an asset
Language Requirements	<ul style="list-style-type: none"> • Excellent knowledge of English including writing and communication skills, and with reading and listening proficiency in Portuguese an asset

4 Implementation arrangements

A joint project development and facilitation team will be established including the Government of Cape Verde and the UNDP Regional and Country Offices, to guide and assist the team of consultants. This team is expected to include the UNDP-GEF Regional Technical Advisor for Ecosystems & Biodiversity, the UNDP Country Office XXX, as well as project focal points at the Ministry of XXX, Departments of XXX, and AECID. The team will be responsible for coordinating, organizing, and managing the PPG preparatory process, including liaison with partners, backstopping and providing relevant documentation and feedback to the consultants.

5 Submission of applications

Interested candidates in the UNDP-GEF roster of experts should send the dates of their earliest availability to start the assignment as well as a financial proposal to: **The Resident Representative, UNDP Cape Verde, UN Building – P.O.Box 62, Praia, Santiago Island, Cape Verde, antonio.querido@undp.org**, indicating “PPG International Team Leader” in the subject field.