



**INITIATION PLAN  
FOR A GEF PROJECT PREPARATION GRANT (PPG)**

**Country** Mongolia

**UNDAF Outcome(s)/Indicator(s):**

**OUTCOME 7.** Increased sector capacity for sustainable resources management, with the participation of primary resource users  
**Indicators:** 7.1 Number and quality of approved sector policies and plans for protected areas, water sources, endangered species, and rehabilitated land.  
 7.2 Number and quality of participation processes in community-based natural resources management

**Expected Outcome(s)/Indicator (s):**

**CPD Outcome:** Improved sustainability of natural resources management and resilience of ecosystems and vulnerable populations to the changing climate.

**Indicator:** Change in protected areas and water sources; reduction in number of emergency cases and economic losses; change in energy intensity of economy and greenhouse gas emissions per capita.

**Expected Output(s)/Indicator(s):**

Holistic principles applied to conservation and management of pasture/ land, water resources and biodiversity.

**CPAP Indicators:**

The CPAP is under preparation

**Implementing Partner:**

Ministry of Nature, Environment and Tourism (MNET)

Country Programme Period: 2012-2016  
 Programme Component: Environment and Energy  
 Programme Period: Sept.11 – Mar.12  
 PPG Title: Network Of Managed Resource Protected Areas  
 ATLAS Award ID: 00062093  
 ATLAS Project ID: 00079361  
 PIMS Project ID: 4393  
 Management Arrangement: DEX

Total budget	US\$ 164,545
Allocated resources:	
• GEF	US\$ 54,545
• Government	US\$ 110,000

Agreed by UNDP: Sezin Sinanoglu <i>Thomas Erlen</i>	Title and Signature: UNDP Resident Representative <i>[Signature]</i>	Date: <i>26 Aug 2011</i>
---	--	-----------------------------

Date Recd:	31 AUG 2011
Ref:	<i>MON / 79361</i>
Follow up:	<i>OH</i>
Info:	
By:	<i>B/Prd</i>

## **Brief Description of Initiation Plan**

The Ministry of Nature, Environment and Tourism of Mongolia (MNET) intend to request GEF assistance to carry out a Full Size Project to **'Catalyse the strategic expansion of Mongolia's PA system through establishment of a network of Managed Resource Protected Areas in under-represented terrestrial ecosystems, catering for the dual objectives of biodiversity conservation and livelihood enhancement.'**

This Project intends to support further expansion of Mongolia's protected areas towards its National MDG target of having 30% coverage, expand the categories of PAs with a new category that enables the establishment of Protected areas for Managed resources, strengthen Mongolia's Community Based Natural Resource Management Policy and demonstrate Community based Managed Resource Protected areas in 4 target sites.

The PPG will be used to develop the project document, as well as for consultation with key stakeholders and collection of additional baseline data. A review will be carried out of the legal framework and assessments in the 4 proposed target sites will help to preliminarily define local level activities. The capacity scorecard and METT will be completed as part of the process.

## Approved GEF PPG grant document



### PROJECT PREPARATION GRANT (PPG)

PROJECT TYPE: Full-sized Project

TYPE OF TRUST FUND: GEF Trust Fund

Submission date: 06/16/2011

GEF PROJECT ID: 0

GEF AGENCY PROJECT ID: 4393

COUNTRY(IES): Mongolia

PROJECT TITLE: Network Of Managed Resource Protected Areas

GEF AGENCY(IES): UNDP, (select), (select)

GEF FOCAL AREA(S): Biodiversity

#### A. PROJECT PREPARATION TIMEFRAME

Start date of PPG	09/01/2011
Completion date of PPG	03/30/2012

#### B. PROPOSED PROJECT PREPARATION ACTIVITIES (\$)

Describe the PPG activities and justifications:

The Government of Mongolia requested UNDP to prepare a project concept for managing resource protected areas, which is to be submitted to the GEF along with this request. Further in-depth analysis and additional baseline information is required to develop the full project, as well as intensive stakeholder consultations. The PPG is requested to finance four components critical for the preparation of the full sized project.

##### PPG Activity 1: Assessment for Establishing MRPA Category and Initial Vision and Strategy Development

The PPG will provide funds to conduct an assessment to analyse feasibility and needs for establishing the new Managed Resource Protected Areas (MRPAs) category, within the national PA system in Mongolia. It will review the legal and policy framework for PAs and related fields including forestry, land and water management, natural resource management and mining, as well as institutional framework for PAs, and identify current legal and institutional gaps and potential obstacles. It will then recommend exact steps that are required to establish the new category and to ensure appropriate institutional set-up and financing for the new PAs, as well as development of a long-term vision and strategy for the creation of a network of MRPAs. It will include review and update of the existing Financial Sustainability Scorecard, with the establishment of new category and PA expansion in mind. The study will also document PA system gaps by habitat type, in conjunction with the ongoing PA network systems planning, and prioritizing areas for the establishment of MRPAs. Analysis will also include consideration of social and economic circumstances, site specific threats and opportunities. This will use existing information on PA coverage and biodiversity values, as well as socio-economic data.

##### PPG Activity 2: Site Profiling and Baseline Assessments

The PPG will provide resources for validating the information and feasibility of establishing Managed Resource PAs at the four priority sites and any other additional sites that are found to be viable. This activity will entail the collection of necessary baseline information for the four sites, including habitat data, biodiversity threats, socio-economic conditions, local capacity assessment, and relevant initiatives. The activity will also include production of site specific GIS based maps. Field work in the sites will be undertaken for intensive stakeholder consultation and to confirm the viability of the sites based on criteria

including: i) social receptivity to conservation plan; ii) prospects for establishing partnerships with the private sector; c) acceptable governance threshold, in local government; iii) presence of habitats/ecosystems that are under-represented in the PA system.

The assessment will :

- a) confirm the feasibility of MRPA establishment at individual sites, including interest and willingness, as well as capacity, of local stakeholders including local government and communities;
- b) collect baseline data at all sites, including socio-economic data, biodiversity data, analysis and mapping of main threats to biodiversity and mitigation measures, perception study on sustainable use of natural resources and co-management, land and resource use;
- c) conduct cost-benefit analysis to compare the cost-benefit calculus between conservation-compatible land uses and business-as-usual scenario;
- d) conduct a gender analysis to systematically identify and understand the roles, needs, opportunities and life circumstances of women and men in the priority sites, and collect relevant gender disaggregated statistics such as unemployment rates, pay scales, percentage of men and women in a given sector etc.
- e) apply a PA management effectiveness tracking tool (GEF-5 BD Tracking Tool) for each site, to establish the baseline of management effectiveness before establishment of the PAs. The pressure-state-response approach will also be applied in guiding project interventions;
- f) will identify partnerships with private sector entities for co-management of natural resources, in particular the following sectors: hunting, sports fishing, agriculture (mainly livestock), tourism, mining and forestry, with development of a preliminary business model.

#### PPG Activity 3: Institutional Framework for Co-Management

Based on the thorough review of relevant literature and global experiences on co-management of PAs, the prerequisites for successful institutional framework for co-managed PAs will be identified and codified in the Mongolian context. Based on this, capacity needs assessment will be undertaken for the relevant national and local institutions, based on their expected roles and responsibilities for MRPA.

The assessment will provide :

- a) a profile of the institutional structures, staff complement, budgets and programmes of each institution with defined strengths and weaknesses, as well as opportunities and constraints circumscribing their functions in the context of MRPA management;
- b) particular attention will be paid to the effectiveness of accountability and reporting systems including inputs from other countries;
- c) a capacity support programme will be designed, to address the needs of the different institutions.

This component will deliver the following products;

- a) A management strategy for MRPA, clearly defining the model and the specific roles and responsibilities of the different participating institutions for PA functions, including planning, policing, enforcement, monitoring and reporting;
- b) A capacity needs profile for all participating national institutions vis á vis their expected role and responsibilities in supporting MRPA;
- c) A costed and time referenced menu of capacity strengthening options to be financed under the project for specific PA functions;
- d) Recommendations for improving the decision making capabilities and financial and human resource management of institutions.

#### PPG Activity 4: Feasibility Analysis and Budget

Based on the above analysis, the full project strategy will be developed. This would include:

- a) An assessment of the social, economic and financial sustainability of proposed project outputs and activities;
- b) A replication strategy for project activities;

<p>c) A monitoring and evaluation (M&amp;E) and budget;  d) A financing plan, including co-financing commitments for all project outputs and activities;  e) An assessment of cost-effectiveness of project outputs and outcomes with the aim of identifying the most effective project strategy.</p> <p>As the key executing partner for the full project, the Ministry of Nature, Environment and Tourism (MNET) will be the focal institution in government for the project and PPG, ensuring the engagement of other ministries and decentralized administrative structures in the fulfillment of project objectives.</p>					
List of Proposed Project Preparation Activities	Output of the PPG Activities	Trust Fund	Grant Amount (a)	Co-financing (b)	Total c = a + b
1. Assessment for Establishing MRPA Category and Initial Vision and Strategy Development	Legal, policy and institutional assessment for the establishment of the new MRPA category, including all the above mentioned elements, and initial vision and strategy for the MRPA	GEF TF	10,000	15,000	25,000
2. Site Profiling and Baseline Assessments	Site profile and baseline assessments for the four priority sites including all the above mentioned elements	GEF TF	26,545	60,000	86,545
3. Institutional Framework for Co-Management	Assessment report on institutional framework and capacity development needs for effective co-management of PAs, including all the above mentioned elements	GEF TF	13,000	15,000	28,000
4. Feasibility Analysis and Budget	(i) assessment of the social, economic and financial sustainability of proposed outputs and activities; (ii) replication strategy for project activities; (iii) monitoring and evaluation (M&E) and budget; (iv) financing plan, including co-financing commitments and incremental costs analysis; (v) assessment of cost-	GEF TF	5,000	20,000	25,000

	effectiveness of project outputs and outcomes.				
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
<b>Total Project Preparation Financing</b>			<b>54,545</b>	<b>110,000</b>	<b>164,545</b>

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

	Project Preparation	Agency Fee
Grant Amount	54,545	5,454
Co-financing	110,000 (36,000 in cash and the rest in kind)	
<b>Total</b>	<b>110,000</b>	<b>5,454</b>

**D. PPG AMOUNT REQUESTED BY AGENCY(IES), FOCAL AREA(S) AND COUNTRY(IES)<sup>1</sup>**

Trust Fund	GEF Agency	Focal Area	Country Name/ Global	(in \$)		
				PPG (a)	Agency Fee (b)	Total c = a + b
GEF TF	UNDP	Biodiversity	Mongolia	54,545	5,454	59,999
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
<b>Total PPG Amount</b>				<b>54,545</b>	<b>5,454</b>	<b>59,999</b>

<sup>1</sup> No need to provide information for this table if it is a single focal area, single country and single GEF Agency project.


**E. PPG BUDGET**

Cost Items	Total Estimated Person Weeks for Grant (PW)	Grant Amount (\$)	Co-financing (\$)	Total(\$)
Local consultants *	39,00	9,400	10,000	19,400
International consultants*	8,00	28,000	0	28,000
Travel		14,000	20,000	34,000
Workshops/Consultations		0	6,000	6,000
Translation services		3,145	0	3,145
				0
<b>Total PPG Budget</b>		<b>54,545</b>	<b>36,000</b>	<b>90,545</b>

\* 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 LDCF/SCCF Trust Fund criteria for project identification and preparation.

Agency Coordinator, Agency Name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
Yannick Glemarec GEF Executive Coordinator, UNDP		June 16, 2011	Midori Paxton, Regional Technical Advisor - EBD, UNDP	Tel.: +66 (2) 288 2713	midori.paxton@undp.org

Annex A

Consultants Financed by the Project Preparation Grant (PPG)

Type of Consultant	Position / Titles	S/ Person Week <sup>1</sup>	Estimated PWs <sup>2</sup>	Tasks to be Performed
International	Co-Managed Protected Area Management And Strategic Planning Specialist	3500	8.00	<p>Acting as the overall consultants team leader, the specialist consultant shall:</p> <p>a) Provide guidance and methodology for the planned assessments including site based assessments;</p> <p>b) Provide close guidance and oversight to policy/legal and institutional framework assessment;</p> <p>c) Lead the development of the initial vision and strategy for the MRPA;</p> <p>d) Review and ensure the quality of baseline information and assessments delivered by the local experts;</p> <p>e) Facilitate stakeholder consultations and deliver necessary presentations including logical framework analysis and international best practices;</p> <p>f) In consultation with the local consultants, ensure development of the threats and root causes, management barrier matrix;</p> <p>g) Advise on international best practices in co-management, establishment of MRPA, institutional development &amp; biodiversity financing tools;</p> <p>h) Carry out an incremental analysis and a cost effectiveness analysis of the project strategy;</p> <p>i) Assess the sustainability of suggested project outcomes and outputs;</p> <p>j) Assess global environmental benefits sought from the project;</p> <p>k) Propose a project monitoring and evaluation framework with a set of measurable impact and progress indicators;</p> <p>l) Develop budget plans for the project;</p>
Local	Biodiversity Conservation And Protected Area Planning Specialist	600	14.00	<p>Function as the national team leader</p> <p>a) Be responsible for discussions with national counterparts, at the national and local level</p> <p>b) Conduct the assessment for establishing MRPA category, including policy/legal, institutional</p>



				<p>review and review and synthesis of existing information on PA coverage and biodiversity values, as well as socio-economic data.</p> <p>c) Develop baseline values for all the project indicators and targets;</p> <p>d) With the international specialist, plan and undertake the field assessment, site profiling and baseline assessments;</p> <p>e) Conduct institutional and capacity requirement assessment for MRP establishment, using UNDP capacity assessment scorecard;</p> <p>e) Lead national and local consultation meetings and be responsible for smooth organisation of all meetings and travel;</p> <p>df) Write and edit relevant sections of the project document</p> <p>f) Take a lead in the discussions at the local level to complete the GEF-5 tracking tools (METT and Financial Scorecard) in a quality fashion;</p> <p>g) Advocate for sustainable use concepts and MRP principles during the project preparation stage;</p> <p>h) Be responsible for the Mongolian version of all documents prepared by the project;</p> <p>i) Liaise with UNDP and government on the daily basis of progress</p>
Local	Data Analysis And GIS Specialist	300	14.00	<p>Under the close guidance of the international and the lead national consultants;</p> <p>a) Collect required data for the planned assessments, including socio-economic and biodiversity data;</p> <p>b) Carry out interviews on site for the GEF-5 BD tracking tool;</p> <p>c) Analyse data including threats, and</p> <p>d) Prepare GIS maps for the priority sites and for the country's PA system as required;</p> <p>e) Prepare the site profile/baseline documents for each of the 4 target sites</p>
Local	Community Participation And Gender Specialist	300	6.00	<p>Under the close guidance of the international and lead national consultants;</p> <p>a) ensure timely dissemination of information to the stakeholders and their full participation in the project planning process</p> <p>b) search out sex-disaggregated data for the project development;</p>

				<p>c) ensure broadening of consultations and information sources to include women's organizations, and those working on gender.</p> <p>d) analyse social, economic, and political power dynamics pertaining to gender;</p> <p>e) understand and analyse the difference between men's and women's strategic and practical needs;</p> <p>f) ensure the full reflection of the results from the above in the project design.</p>
Local	Economic And Financial Specialist	1000	5.00	<p>Under the close guidance of the international consultant, the specialist will:</p> <p>a) conduct cost-benefit analysis for the four target sites, comparing the cost-benefit calculus between conservation compatible land uses and other business-as-usual land uses;</p> <p>b) for identified business opportunities at the site level, develop financial models and business plan for the ventures;</p> <p>c) develop support for the team in reviewing the sustainable PA financing scorecard and provide specialist inputs into the financial sustainability prospect of MRPA's.</p>
(Select)				
(Select)				
(Select)				

<sup>1</sup> Provide dollar amount per person week.

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

<b>Award ID:</b>	00062093	<b>Project ID:</b>	00079361
<b>Award Title:</b>	PIMS 4393 BD PPG: Mongolia PAs		
<b>Business Unit:</b>	MNG10		
<b>Project Title:</b>	Network Of Managed Resource Protected Areas		
<b>PIMS #:</b>	4393		
<b>Implementing Partner:</b>	Ministry of Nature, Environment and Tourism		

GEF Outcome/ Atlas Activity	Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Acct Code	Atlas Budget Description	Total (USD)/ Year 2011	Budget Note
<b>Key Activity Result 1. Assessment for Establishing MRPA Category and Initial Vision and Strategy Development</b>		62000	GEF	71200	International Consultants	8,200.00	A
				71400	Contractual Services	1,800.00	B
				<b>Total</b>		<b>10,000.00</b>	
<b>Key Activity Result 2. Site Profiling and Baseline Assessments</b>		62000	GEF	71200	International Consultants	1,800.00	A
				71300	Local Consultants	9,400.00	C
				71400	Contractual Services	1,345.00	B
				71600	Travel	14,000.00	D
				<b>Total</b>		<b>26,545.00</b>	
<b>Key Activity Result 3. Institutional Framework for Co-Management</b>		62000	GEF	71200	International Consultants	13,000.00	A

<b>Key Activity Result 4. Feasibility Analysis and Budge</b>									
<b>TOTAL</b>									

**Budget notes:**

- A) One international consultant will be recruited to be the team leader to carry out the various assessments and be the team leader for the project document Development for a total of 8 weeks \* 3500 US\$.
- B) Translation services as per UN rate
- C) Local consultants – 4 experts will be involved for a total of 39 working weeks, 1 Biodiversity conservation specialist at a rate of US\$ 600 per week, 1 Data Analysis and GIS Specialist at a rate of US\$ 300 per week and 1 community participation and gender specialist at a rate of US\$300 per week and one Economic and Finance Specialist at US\$ 1000 per week.
- D) Travel budgeted here is for local travel and per diems for consultants to conduct site evaluations