



INITIATION PLAN
FOR A GEF PROJECT PREPARATION GRANT (PPG)

Country: China

UNDAF Outcome(s): *Outcome 3* – More efficient management of natural resources and development of environmentally friendly behaviour in order to ensure environmental sustainability

Expected CP Outcome(s): *Outcome 7* – Conservation and sustainable use of biodiversity is more effective

Expected Output(s): *Output 7.1* - Joint CBPF Group established and Joint Results Framework agreed upon;
Output 7.2 - Existing policies, plans and regulations reviewed and recommendations for changes made, NAP updated and fed into national and local five-year plan;
Output 7.3 - Number of laws and regulations on biodiversity promulgated; *Output 7.4* - Greater institution of local NGOs and communities to participate in BD conservation activities strengthened;

Implementing partner: Qinghai Finance Bureau, Qinghai Provincial Government, China

Programme Period: 2006-2010
Programme Component: Energy and Environment
PPG Title: Strengthening the effectiveness of the protected area system in Qinghai Province, China to conserve globally important biodiversity
ATLAS Award ID: 00058485
ATLAS Project ID: 00072662
PIMS Project ID: PIMS 4179
Duration: March 2010 – December 2011
Management Arrangement: NEX

Total budget: US\$251,000

Allocated resources:

- Government US\$151,000
- GEF US\$100,000

AGREED BY UNDP COUNTRY DIRECTOR:

Name and Position

Signature

Date:

Mr. Subinay Nandy
Country Director

March 16, 2010

19 March 2010

Brief Description of Initiation Plan

The Provincial Government of Qinghai of China requests GEF assistance through UNDP to carry out a full-sized project to strengthen the effectiveness of the protected area system in Qinghai province to conserve globally important biodiversity. This Project intends to address the present barriers to achieve the long-term solution for effective management of Qinghai's PAs through the implementation of a series of key activities of mainstreaming PA management objectives and needs into Provincial Development Policies and Plans and the infrastructure development sectors, institutional and staff capacity building at site and PA systems level and ensuring the effectiveness of PA co-management at the Sanjiangyuan (The big three rivers head waters) National Nature Reserve (SNNR) which is one of the largest nature reserves in China covering 152,300 square kilometers

The Project Preparation Grant (PPG) is requested to design the full size project through appropriate situation analysis and extensive stakeholder consultations. A key objective of the PPG will be to establish the baseline context (including lessons from past activities in the Province and proposed demonstration site), to clarify GEF increment and to plan activities to all stakeholders, and to develop a strategic results framework development that has optimal resource allocation from GEF and other stakeholders to meet the project objective. The key activities supported by the PPG include assessments for stakeholders' capacities (institutional and staff) to mainstream PA management objectives across development sectors and across landscapes, PA management effectiveness assessment and PA capacity building strategies' development, prioritization of areas for community involvement to demonstrate effective co-management of PA, and project institutional arrangements and M&E system development. The outputs of the PPG will be Project Document and Request for CEO Endorsement.



**REQUEST FOR PROJECT PREPARATION GRANT
(PPG)**

**PROJECT TYPE: Full-sized Project
THE GEF TRUST FUND**

**Submission date: 22-Apr-2009
Resubmission: 29-Sept-2009**

GEF PROJECT ID: 3992
GEF AGENCY PROJECT ID: PIMS 4179
COUNTRY(IES): China
PROJECT TITLE: Strengthening The Effectiveness Of The Protected Area System In Qinghai Province, China To Conserve Globally Important Biodiversity
GEF AGENCY(IES): UNDP, (select), (select)
OTHER EXECUTING PARTNER(S): Qinghai Finance Bureau, Qinghai Provincial Government
GEF FOCAL AREA(S): Biodiversity
GEF-4 STRATEGIC PROGRAM(S): BD1-SP3 and BD1-SP1
NAME OF PARENT/PROGRAM/UMBRELLA PROJECT (if applicable): CHINA BIODIVERSITY PARTNERSHIP AND FRAMEWORK FOR ACTION (CBPF)

A. PROJECT PREPARATION TIMEFRAME

Start date of PPG	1-Nov-2009
Completion date of PPG	1-Aug-2011

B. PAST PROJECT PREPARATION ACTIVITIES (\$)

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

C. PROPOSED PROJECT PREPARATION ACTIVITIES (\$)

Describe the PPG activities and justifications:

The PPG is being requested to design the full size project through appropriate situation analysis and extensive stakeholder consultations. A key objective of the PPG will be to establish the baseline context (including lessons from past activities in the Province and proposed demonstration site), to clarify GEF increment and to plan activities to all stakeholders, and to develop a strategic results framework development that has optimal resource allocation from GEF and other stakeholders to meet the project objective.

The PPG will be used to undertake the following key activities:

A: Assessments for stakeholders' capacities (institutional and staff) to mainstream PA management objectives across development sectors and across landscapes

The following activities will be undertaken under this:

- Identification of current institutional, legal and planning mechanisms for managing development

activities and conservation over landscape level, including gaps assessment in institutional arrangements of provincial government for effective planning, monitoring and enforcement to avoid/ mitigate threats to PAs from production activities (through use of biodiversity geographic information tools, Strategic Environment Assessment, EIA etc)

- Assessment of current understanding and incorporation of PA management objectives and conservation into provincial development and key biodiversity impacting sectoral plans and needs for capacity building
- Assessment of current knowledge management systems for effective PA management, including for climate proofing the PA estate
- Baseline on key threats to PAs from cross-sectoral activities

B: PA Management effectiveness assessment and PA capacity building strategies' development

The following activities will be conducted:

- Institutional assessment of provincial Level PA institution to provide the baseline and to identify opportunities for strengthening PA management effectiveness (this will also include clarification of roles and responsibilities of local government vis-à-vis national and provincial governments on PA management and local development planning/ legal enforcement)
- Baseline financing for PA system, gaps and opportunities for sustainable PA financing (this will include analysis of the existing Protected Area management costs, financial sources, the efficiencies of their use; an assessment of funding gaps and the identification of opportunities for realizing cost-efficiencies, at system levels and identification of potential sustainable funding mechanisms)
- Capacity needs assessment of PA staff for management planning, business planning effective enforcement, policing, reporting, survey/ monitoring work, and participatory management at provincial, prefecture and county level.
- Assessment of legal rights of communities over use rights over natural resources inside PAs
- Assessment of past community co-management arrangements in Province, and lessons learnt on institutions arrangements, roles and responsibilities

C: Prioritization of areas for community involvement to demonstrate effective co-management of PA

Under this, the following assessment will be undertaken at Sanjiangyuan National Nature Reserve to demonstrate effective co-management

- Stakeholders analysis for Sanjiangyuan National Nature (including government, non-government, local communities, and private sector)
- Analysis of socioeconomic baseline - a socio-economic assessment, that will include stakeholder analysis including gender analysis, key resource use pattern and trends, local socioeconomic development goals and impacts on PA, local attitudes and perceptions towards PA, and a description of traditional resource management arrangements
- Assessment of critical ecological areas and overlay with threats from socio-economic pressures to identify critical areas to establish co-management
- Assessments of community interest and needs for co-management establishment
- Assessment of current PA management arrangements, management objectives and financing to identify gaps and capacity building needs of PA management staff to establish co-management

D: Project monitoring and evaluation strategy

The PPG will develop a monitoring and evaluation (M&E) plan to track the project's impacts and to

measure biodiversity conservation and financial performance trends over the long term. Activities will include the following: (i) evaluation of current M&E systems of participating institutions to measure conservation impacts and the financial sustainability of PAs; ii) formulation of a project M&E plan including baseline levels, indicators, methodologies and targets to track project progress and effectiveness; and (iii) development of a cost-effectiveness analysis protocol to identify optimal interventions, assess lessons learned, and outline replication strategies.

List of Proposed Project Preparation Activities	Output of the PPG Activities	Project Preparation Amount (a)	Co-financing (b)	Total c = a + b
<ol style="list-style-type: none"> 1. Baseline institutional, legal and planning mechanisms for managing development activities and conservation over landscape level 2. Baseline on PA management objectives and conservation into key provincial development and key biodiversity impacting sectoral plans 3. Baseline knowledge management systems 	Identification of stakeholders' capacity building needs (institutional and staff) to mainstream PA management objectives across development sectors and across landscapes	\$17,000	\$25,000	\$42,000
<ol style="list-style-type: none"> 1. PA management Institutional assessment 2. Baseline financing for PA system, gaps and opportunities for sustainable PA financing 3. Capacity needs assessment of PA staff 4. Assessment of legal rights of communities over use rights over natural resources inside PA 5. Assessment of past community co-management arrangements in Province 	Baseline PA Management effectiveness and identification of key areas for PA capacity building through project intervention	\$28,000	\$36,000	\$64,000
<ol style="list-style-type: none"> 1. Stakeholders analysis for Sanjiangyuan National Nature Reserve 2. Socioeconomic baseline assessment 3. Assessments of community interest and needs for co-management establishment 4. Assessment of current PA management arrangements, management objectives and financing to identify gaps and capacity building needs of PA management staff to establish co-management 	Effective strategies for PA management including co-management promotion in Sanjiangyuan National Nature Reserve and strategies	\$30,000	\$60,000	\$90,000
<ol style="list-style-type: none"> 1. evaluation of current M&E systems of participating institutions to measure conservation impacts and the financial sustainability of PAs 2. formulation of a project M&E plan including baseline levels, indicators, methodologies and targets to track project progress and effectiveness 	Project monitoring and evaluation strategy	\$25,000	\$30,000	\$55,000

3. Development of a cost-effectiveness analysis protocol to identify optimal interventions, assess lessons learned, and outline replication strategies.				
Total Project Preparation Financing		\$100,000	\$151,000	\$251,000

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

	Project Preparation	Agency Fee
GEF financing	100,000	10,000
Co-financing	151,000	
Total	251,000	10,000

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

GEF Agency	Focal Area	Country Name/ Global	(in \$)		
			PPG (a)	Agency Fee (b)	Total c = a + b
UNDP	BD	China	100,000	10,000	110,000
Total PPG Requested			100,000	10,000	110,000

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

F. PPG BUDGET REQUEST

Cost Items	Total Estimated Person Weeks for GEF Grant (PW)	GEF (\$)	Co-financing (\$)	Total (\$)
Local consultants *	48	30,000	30,000	60,000
International consultants*	14	42,000	0	42,000
Travel		18,000	50,000	68,000
Consultations		10,000	71,000	81,000
Total PPG Budget		100,000	151,000	251,000

* 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.

G. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF policies and procedures and meets the GEF criteria for project identification and preparation.					
Agency Coordinator, Agency name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
Yannick Glemarec UNDP GEF Coordinator	<i>Y. Glemarec</i>	September 29, 2009	Sameer Karki,	+662-288-2729	Sameer.karki@undp.org

Annex A

Consultants Financed by the Project Preparation Grant (PPG)

Position / Titles	\$/ Person Week¹	Estimated PWs²	Tasks to be performed (main responsibilities)
Local			
Socioeconomic Expert	1250	Total: 15, of which GEF: 7 Co-Fund: 8	<ul style="list-style-type: none"> • Assessment of legal rights of communities over use rights over natural resources inside PAs • Assessment of past community co-management arrangements in Province • Stakeholders analysis for Sanjiangyuan National Nature (including government, non-government, local communities, and private sector) • Analysis of socioeconomic baseline - Socioeconomic studies will include stakeholder analysis, key resource use pattern and trends, local socioeconomic development goals and impacts on PA, local attitudes and perceptions towards PA, and a description of traditional resource management arrangements. • Assessments of community interest and needs for co-management establishment
Biodiversity and Information Management Expert	1250	Total: 10 of which GEF: 4 Co-Fund:6	<ul style="list-style-type: none"> • Baseline on key threats to PAs from cross-sectoral activities • management systems for effective PA management, including for climate proofing the PA estate • Assessment of critical ecological areas and overlay with threats from socio-economic pressures to identify critical areas to establish co-management
Protected Area Management Policy, Legal and Institutional expert	1250	Total: 23, of which GEF: 13 Co-Fund:20	<ul style="list-style-type: none"> • Identification of current institutional, legal and planning mechanisms for managing development activities and conservation over landscape level, including gaps assessment in institutional arrangements of provincial government for effective planning, monitoring and enforcement to avoid/ mitigate threats to PAs from production activities (through use of biodiversity geographic information tools, Strategic Environment Assessment, EIA etc) • Assessment of current understanding and incorporation of PA management objectives and conservation into provincial development and key biodiversity

			<p>impacting sectoral plans and needs for capacity building</p> <ul style="list-style-type: none"> Capacity needs assessment of PA staff for management planning, business planning effective enforcement, policing, reporting, survey/ monitoring work, and participatory management at provincial, prefecture and county level (<i>jointly with international PA management and financing expert</i>)
International			
PA management and financing expert	3000	GEF: 14	<p>Working with national experts, UNDP and following GEF guidelines (where relevant), and also based on international best-practice, recommend project intervention strategies for</p> <ul style="list-style-type: none"> strengthening PA system, and strengthening sustainable PA financing (this will include analysis of the existing Protected Area management costs, financial sources, the efficiencies of their use; an assessment of funding gaps and the identification of opportunities for realizing cost-efficiencies, at system levels and identification of potential sustainable funding mechanisms) strengthen provincial Level PA institution to provide the baseline and to identify opportunities for strengthening PA management effectiveness (this will also include clarification of roles and responsibilities of local government vis-à-vis national and provincial governments on PA management and local development planning/ legal enforcement) Consolidation of all project related assessments to develop project M&E system Formulation of a project M&E plan including baseline levels, indicators, methodologies and targets to track project progress and effectiveness based on evaluation of current M&E systems of participating institutions to measure conservation impacts and the financial sustainability of PAs;

¹ Provide dollar amount per person week.

² Provide person weeks needed to carry out the task and corresponds to the dollar amount per person week in the previous column.

Total Budget and Work Plan

Award ID:	00058485						
Award Title:	GEF PIMS 4179 BD FSP: CBPF DEMO Strengthening PA Effectiveness in Qinghai						
Business Unit:	CHN10						
Project Title:	PIMS 4179 BD PPG China: Strengthening the effectiveness of the protected area system in Qinghai province to conserve globally important biodiversity						
Project ID: PIMS no.4179 Implementing Partner (Executing Agency)	00072662 UNDP China						
GEF Outcome/Atlas Activity	Responsible Party	Fund ID	Donor Name	Atlas Account Code	ATLAS Budget Description	Amount 2010 (USD)¹	Budget Note
Assessments for stakeholders' capacities to mainstream PA management objectives across development sectors and across landscapes	UNDP	62000	GEF	71200 71300 71600 75709	International Consultant Local Consultants Travel Workshops Total Activity 1	4,500 6,000 4,000 2,500 17,000	A B C D
PA management effectiveness assessment and PA capacity building strategies development	UNDP	62000	GEF	71200 71300 71600 75709	International Consultant Local Consultants Travel Workshops Total Activity 2	13,000 8,500 4,000 2,500 28,000	A B C D
Prioritization of areas for community involvement to demonstrate effective co-management of PA	UNDP	62000	GEF	71200 71300 71600 75709	International consultant Local Consultant Travel Workshops Total Activity 3	12,500 9,000 6,000 2,500 30,000	A B C D
Project monitoring and evaluation strategy	UNDP	62000	GEF	71200 71300 71600 75709	international consultant Local Consultant Travel Workshops	12,000 6,500 4,000 2,500	A B C D

¹ The PPG is planned to get started at December 2009 after consultants recruited and ended at December 2010. All the payment will be made in 2010.

Budget note:

- A) Please see Annex A for details about the international consultant financed by the Project Preparation Grant.
- B) Please see Annex A for details about the national consultants financed by the Project Preparation Grant.
- C) Travel budgeted include \$2,500 for one round international travel for the international consultant, six round domestic travel, 35 days DSAs for five consultants to conduct site evaluations;
- D) Workshop is set for meeting and workshop with stakeholders to consult on related issues and review the work done by the consultants.

