



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

**UNDAF Outcome(s):** 3.3 Promoting a greater incorporation of strategies for conservation and the sustainable use of biodiversity in national development plans, in order to reverse the loss of biodiversity

**CPAP Expected Outcome(s):** Promoted strategies for conservation and the sustainable use of biodiversity

Note: The outputs and indicators will be designed during the mid-term review of the CPAP.

Programme Period: 2008-2012  
 Programme Component: Environment and Sustainable Development  
 PPG Title: Enhancing the prevention, control, and management of Invasive Alien Species in vulnerable ecosystems in Cuba  
 ATLAS Project ID: 00071327  
 PIMS Project ID: 3990  
 Duration: 20 months  
 Management Arrangement: DEX

Total budget:	\$192,727
Allocated resources (cash):	
• GEF	\$72,727
In kind contributions	
• Government	\$120,000

**AGREED BY UNDP RESIDENT REPRESENTATIVE / UNDP DIRECTOR:**

(Enter Name, Position)  
 Susan McDade,  
 Resident Representative

Signature

Date: (Month, day, year)  
 12 July 2009.

## **A. Brief Description of Initiation Plan**

**The project preparation grant (PPG)** supports the design of the full-sized project “Enhancing the prevention, control, and management of Invasive Alien Species in vulnerable ecosystems in Cuba”.

The Global environmental benefits will be reaped by decreasing IAS threats to globally-important Cuban biodiversity in vulnerable ecosystems. Priority ecosystems have been selected as the target for intervention; namely Cuba’s moist soils (among the most important of the Caribbean), the mountain scrub (which are as fragile as they are rich in terms of biodiversity), and some ecosystems of major economic importance (for example forestry, agriculture, fishery and tourism).

The project’s objective is to safeguard globally-significant biodiversity in vulnerable ecosystems, by building capacity at the systemic level to prevent, detect, control, and manage the spread of IAS in Cuba. The project will achieve these goals through three main approaches: i) Strengthening the policy, legal and regulatory frameworks, and coordination mechanisms to prevent, detect, control, and manage the spread of IAS; ii) Enhancing stakeholder capacity, know-how, and communications for effective IAS prevention and management; and iii) Strengthening institutional capacities to ensure the effective implementation of prevention, detection and control of IAS to safeguard biodiversity.

The PPG will start in July 2009 and last until the end of February 2011. The major output of the PPG will be the full-sized project document, which will be attained through implementing four main activities: 1. Baseline data collection, information gap analysis necessary for elaborating an IAS control and management strategy; 2. Assessment of institutional, regulatory and legal framework for IAS management and control; 3. Enabling environment for a national IAS strategy and the implementation of IAS control and management plans; 4. Monitoring and evaluation strategy.

The work under the PPG will be conducted by a team of national consultants funded by the Cuban Government, and international consultant hired and supervised by UNDP CO and funded by GEF. In addition, the Cuban Government will provide a contribution to the PPG in the form of ensuring access to necessary expertise, information, facilities and equipment.

During the first month of the PPG, UNDP CO will prepare the detailed terms of reference for the recruitment of an international consultant, based on PPG request document and in agreement with the Ministry of Science, Technology and Environment (CITMA) through the Center of Environmental Information, Management and Education (CIGEA). The team of national consultants as described in PPG Annex A, will be selected by CIGEA and communicated to UNDP including the designation of the team coordinator. The national team and the international consultant will jointly work to design the full size project proposal, while UNDP CO will facilitate and monitor this process in accordance with the agreed time schedule. Last two months of the PPG, UNDP CO together with CIGEA will review the full-sized project proposal and share it with the national authorities for final approval and submission to the GEF in February 2011 as latest.

**B. GEF PPG approved grant document:**



**REQUEST FOR PROJECT PREPARATION GRANT  
(PPG)  
PROJECT TYPE: FULL-SIZE PROJECT  
THE GEF TRUST FUND**

**Submission date:** April 6, 2009

**GEF PROJECT ID<sup>1</sup>:**

**GEF AGENCY PROJECT ID: 3990**

**COUNTRY:** Cuba

**PROJECT TITLE:** Enhancing the prevention, control, and management of Invasive Alien Species in vulnerable ecosystems in Cuba

**GEF AGENCY:** UNDP

**OTHER EXECUTING PARTNER:** Ministry of Science, Technology and Environment (CITMA), Center of Information, Management and Environmental Education.

**GEF FOCAL AREA:** Biodiversity

**GEF-4 STRATEGIC PROGRAM(s):** BD-SP7-Invasive Alien Species (IAS)

**NAME OF PARENT/PROGRAM/UMBRELLA PROJECT (if applicable):** NA

**A. PROJECT PREPARATION TIMEFRAME**

Start date of PPG	July 2009
Completion date of PPG	February 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				
<b>Total Project Preparation Financing</b>		0	0	0

**C. PROPOSED PROJECT PREPARATION ACTIVITIES (\$)**

Describe the PPG activities and justifications:				
List of Proposed Project Preparation Activities	Output of the PPG Activities	Project Preparation Amount (a)	Co-financing (b)	Total c = a + b
1. Baseline data collection, information	This activity will provide an overview of current IAS status and threats in Cuba, determine the key priority sites or species of concern in relation to IAS, and needs to develop and implement cost-effective and participatory control and management plans	37,000	30,000	67,000

<sup>1</sup> Project ID number will be assigned by GEFSEC. If PIF has already been submitted, please use the same ID number as PIF.

<p>gap analysis necessary for elaborating an IAS control and management strategy</p>	<p>for them. The following activities will be conducted:</p> <ol style="list-style-type: none"> <li>i. Identification of global importance and native BD and ecosystems directly and indirectly affected by IAS,</li> <li>ii. Characterization of these threats and impacts (magnitude, tendency, root causes) and identification of the barriers to be leveraged,</li> <li>iii. Review and assessment of past, on-going, and planned initiatives related to IAS prevention and control to build on lessons learned, avoid duplication and strengthen partnerships and synergies.</li> <li>iv. Assessment of economic losses caused by IAS for different sectors and activities and at local, sectoral and national levels, including losses of BD, degradation of ecosystems and eco-systemic services, decrease of agriculture production.</li> <li>v. Analysis of current spending on IAS control across sectors and stakeholder groups, the effectiveness of prevention and control measures, the possibility to involve these actors in the project and their readiness to pay for a more cost effective system for prevention and control of IAS.</li> <li>vi. Identification and classification of IAS to be monitored, according to a set of criteria such as impact on native BD and ecosystems, economic losses, ease of control, cost of removal.</li> <li>vii. Assessment of IAS potential economic benefits, taking into account the cost of elaborating and implementing an effective mechanism to prevent uncontrolled spreads, involving strategic productive sectors,</li> <li>viii. Identification and classification of valuable IAS, with significant potential positive impact, and definition of the condition of management and control.</li> <li>ix. Definition of priority ecosystems and selection of 7 zones to implement pilot IAS control or valuation projects (demonstration project for knowledge and best practice demonstration), with the active participation of a broad range of stakeholders.</li> </ol>			
<p>2. Assessment of institutional, regulatory and legal framework for IAS management and control</p>	<p>This activity will conduct an in-depth assessment of the current laws, regulations and policies dedicated to IAS, and identify ways forward in filling these gaps either through strengthening the enforcement of existing legislation or developing new legal and regulatory arrangements. Institutional context will also be assessed to identify gaps and capacity building needs, in order to improve IAS activities coordination and enhance their impact, and strengthen partnership and identify co-funding commitments from key stakeholders. The following activities will be conducted:</p> <ol style="list-style-type: none"> <li>i. Stakeholder mapping of key agencies, actors and sectors impacting on/impacted by IAS, providing details on mandates (roles, responsibilities) awareness, capacities, specific communications and training gaps, and implication/impacts vis-à-vis IAS.</li> <li>ii. Assessment of the regulatory and legal framework and implementation, their efficiency for IAS control, the potential gaps and needs for improvements,</li> <li>iii. Propose cost effective alternatives for improvements of</li> </ol>	<p>17,000</p>	<p>30,000</p>	<p>47,000</p>

	<p>these regulatory and legal framework, and evaluate their costs.</p> <ul style="list-style-type: none"> <li>iv. Assessment of the institutional framework and the coordination mechanism. Identify capacity needs at systemic, institutional and individual levels.</li> <li>v. Propose cost effective alternatives for institutional and operational improvements, including capacity building to improve organizational and management skills, and evaluate the cost of these alternatives.</li> <li>vi. Identify the needs of a national IAS coordination unit, and then propose a structure including institutional arrangements, financial needs, and evaluate its impact in term of improved coordination and enhanced prevention and control of IAS.</li> <li>vii. Finalization of institutional arrangements to support project implementation</li> </ul>			
3. Enabling environment for a national IAS strategy and the implementation of IAS control and management plans	<ul style="list-style-type: none"> <li>i. Assessment of capacity needs at the systemic, institutional and individual level, amongst all stakeholders (UNDP capacity development scorecard), and elaboration of a capacity building strategy</li> <li>ii. From the analysis, design of appropriate communications strategies for targeted audience., training plans, financing mechanisms and market-based instruments for IAS control</li> <li>iii. Development of an agreed upon FSP document supported by key stakeholders through endorsement of co-financing commitments for the project.</li> <li>iv. Preliminary engagement with corporate sector and financial/economic planners on the economic and financial impacts and linkages regarding IAS.</li> <li>v. Based on all the previous, elaboration of a national IAS strategy and of cost effective mechanisms or management plans to prevent and control IAS, based on cost-benefit analysis and cost-effectiveness analysis of key measures to control IAS.</li> </ul>	9,727	30,000	39,727
4. Monitoring and evaluation strategy	<p>The PPG will evaluate the robustness and effectiveness of current monitoring and evaluation systems (both government and non-government) as the basis for proactive adaptive management strategies to track project impacts and measure BD protection trends over the long-term. In particular activities will include:</p> <ul style="list-style-type: none"> <li>i. Evaluation of current M&amp;E systems used by the different stakeholders in Cuba to measure impacts of IAS on native BD and BD of global importance;</li> <li>ii. Development of key site-specific project indicators and monitoring strategy of BD benefits, including environmental, economic, organizational, and efficiency indicators;</li> <li>iii. Evaluation of how partner institutions account for biodiversity impacts and benefits in decision-making and project implementation;</li> <li>iv. Validation of the set of outcomes, outputs and activities based on a logical framework analysis, and the analysis of the thematic studies including indicators and quantified targets;</li> <li>v. Formulation of project M&amp;E plan, including baseline</li> </ul>	9,000	30,000	39,000

	analysis, indicators, methodologies and targets to track project progress and effectiveness			
	vi. Development of a cost-effectiveness analysis protocol to identify optimal interventions and assess lessons learned;			
	vii. Establishment of a learning and replication strategy.			
<b>Total Project Preparation Financing</b>		72,727	120,000	192,727

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

	Project Preparation	Agency Fee
GEF financing	72,727	7,273
Co-financing	120,000	
<b>Total</b>	192,727	7,273

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

GEF Agency	Focal Area	Country Name/ Global	(in \$)		
			PPG (a)	Agency Fee (b)	Total c = a + b
NA					
<b>Total PPG Requested</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.

**F. PPG BUDGET REQUEST**

Cost Items	Total Estimated Person Weeks for GEF Grant (PW)	GEF (\$)	Co-financing (\$)	Total (\$)
Local consultants *	92	0	50,600	50,600
International consultants*	12	36,000	0	36,000
Travel		13,000	25,000	38,000
Activity coordination			30,000	30,000
Consultation forums		7,000	10,000	17,000
Information and logistics		7,727	2,000	9,727
Miscellaneous**		9,000	2,400	11,400
<b>Total PPG Budget</b>		72,727	120,000	192,727

\* the Annex A for Consultant cost details should be prepared first before completing this table. See notes on Annex A for the required detailed information.

**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 Executive	<i>Y. Glemarec</i>	April 3, 2009	Lyes Ferroukhi Regional	+507-302-4576	lyes.ferroukhi@undp.org

Coordinator, UNDP/GEF			Technical Advisor, BD-LD UNDP/GEF		
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**Annex A**

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

Position/Titles	\$/ Person Week <sup>1</sup>	Estimated PWs <sup>2</sup>	Tasks to be performed
Local			
Institutional design and coordination specialists	550	16	<ul style="list-style-type: none"> <li>▪ Describe and assess existing institutional framework;</li> <li>▪ Identify institutional capacity gaps and needs for effective IAS control and management;</li> <li>▪ Assess coordination mechanism and involvement of actors and propose a coordination system;</li> <li>▪ Provide recommendations on institutional capacity building for effective implementation of IAS control and management;</li> <li>• Contribute towards assessment of key barriers to IAS control and propose solutions</li> <li>• Identify a set of outputs, activities and alternatives to be carried on to leverage the barriers and decrease pressure of IAS on Cuba's BD and ecosystems.</li> <li>• Evaluate cost, cost effectiveness and sustainability of proposed activities.</li> <li>• Provide recommendations for cost-effective IAS prevention and control;</li> <li>• Propose a set of indicators in relation to its specialist, and the corresponding baselines and targets;</li> </ul>
Environmental law and policy specialists	550	12	<ul style="list-style-type: none"> <li>▪ Collect and analyze information on existing policy, legal and regulatory framework for IAS prevention and management in Cuba;</li> <li>• Identify deficiencies in the policy and legal framework and their implementation;</li> <li>• Facilitate engagement and dialogue with legal experts across sectors, in enforcement agencies and the Judiciary</li> <li>• Recommend needs and modalities for the strengthening of existing legal and policy arrangements, and development of new coordination mechanisms in coordination with the institutional specialist if required;</li> <li>• Contribute towards assessment of key barriers to IAS control and propose solutions</li> <li>• Identify a set of outputs, activities and alternatives to be carried on to leverage the barriers and decrease pressure of IAS on Cuba's BD and ecosystems.</li> <li>• Evaluate cost, cost effectiveness and sustainability of proposed activities.</li> <li>• Provide recommendations for cost-effective IAS prevention and control;</li> <li>• Propose a set of indicators in relation to its specialist, and the corresponding baselines and targets</li> </ul>
Environmental economics and business specialists	550	20	<ul style="list-style-type: none"> <li>• Collect baseline data on key sectors, business and economic activities impacted by IAS</li> <li>• Collate and analyze current spending on IAS control and management across sectors</li> <li>• Conduct case studies of economic and business impacts for</li> </ul>



			<p>key IAS/sites</p> <ul style="list-style-type: none"> <li>• Evaluate the readiness to pay of the actors affected by IAS for a more efficient national IAS control system, and their interest in participating in the project.</li> <li>• Review and share international experience, information and best practice on IAS costs and benefits, and on economic and financial measures to support IAS control</li> <li>• Facilitate engagement and dialogue with corporate sector and financial/economic planners</li> <li>• Contribute toward the design of financing mechanisms and market-based instruments for IAS control.</li> <li>• Contribute toward assessment of key barriers to IAS control and propose solutions</li> <li>• Work with the national environmental economics and business specialist to design appropriate financing mechanisms and market-based instruments for IAS control</li> <li>• Participate in dialogues with corporate sector and financial/economic planners to present findings on the economic and financial impacts and linkages regarding IAS</li> <li>• Oversee the design and implementation of valuation and cost analysis of IAS impacts at local, sectoral, national and global levels.</li> <li>• Lead on the development of the cost-benefit analysis and cost-effectiveness analysis of key measures to control IAS.</li> <li>• Identify a set of outputs, activities and alternatives to be carried on to leverage the barriers and decrease pressure of IAS on Cuba's BD and ecosystems.</li> <li>• Propose a set of indicators in relation to its specialist, and the corresponding baselines and targets</li> </ul>
Conservation biology/IAS specialists	550	24	<ul style="list-style-type: none"> <li>• Compile data and information on current priority IAS, their impact on global importance BD and on ecosystems</li> <li>• Review and assess past, on-going, and planned initiatives related to IAS control</li> <li>• Review and share international experience, information and best practices on IAS control and management</li> <li>• Provide costing of prevention, control, management and removing mechanisms for priority sites and species</li> <li>• Contribute towards assessment of key barriers to IAS control and propose solutions</li> <li>• Propose a mechanism to monitor and assess the efficiency of the project regarding native BD protection and ecosystem preservation;</li> <li>• Provide technical advice and backup to the selection of up to 6 priority areas for knowledge and best practice demonstration, with the active participation of a broad range of stakeholders</li> <li>• Identify a set of outputs, activities and alternatives to be carried on to leverage the barriers and decrease pressure of IAS on Cuba's BD and ecosystems.</li> <li>• Evaluate cost, cost effectiveness and sustainability of proposed activities.</li> <li>• Provide recommendations for cost-effective IAS prevention and control;</li> </ul>

			<ul style="list-style-type: none"> <li>Propose a set of indicators in relation to its specialist, and the corresponding baselines and targets</li> </ul>
Communications and organizational specialists	550	20	<ul style="list-style-type: none"> <li>Conduct stakeholder mapping of key agencies, actors and sectors impacting on/impacted by IAS, including civil society and productive sector.</li> <li>Determine and quantify stakeholder roles, responsibilities and impacts vis-à-vis IAS, and their potential role in implementing the project.</li> <li>Identify current awareness/capacities and specific communications/training gaps (for school, superior curricula, decision makers, civil society, etc.).</li> <li>Design specific communications strategy and training plan according to targeted audience.</li> <li>Propose coordination mechanism involving stakeholders and on-going and planned initiatives related to IAS control</li> <li>Contribute towards assessment of key barriers to IAS control and propose solutions</li> <li>Identify a set of outputs, activities and alternatives to be carried on to leverage the barriers and decrease pressure of IAS on Cuba's BD and ecosystems.</li> <li>Evaluate cost, cost effectiveness and sustainability of proposed activities.</li> <li>Provide recommendations for cost-effective IAS prevention and control</li> <li>Propose a set of indicators in relation to its specialist, and the corresponding baselines and targets</li> </ul>
<b>International</b>			
Monitoring and evaluation specialist	3,000	12	<ul style="list-style-type: none"> <li>Based on the baseline information collected by local experts, identify specific opportunities and constraints for implementing efficient prevention, control and management procedures of IAS;</li> <li>Integrate international best practices into FSP design;</li> <li>Assess technical feasibility of recommended activities;</li> <li>Assess cost-effectiveness and incremental steps of proposed FSP activities;</li> <li>Assess sustainability of proposed FSP activities and provide recommendations for ensuring sustainability of project outcomes;</li> <li>Provide recommendations for capacity building and stakeholder engagement activities planned for the FSP;</li> <li>Define full project logical framework and a set of logframe indicators.</li> <li>Provide overall orientation to PPG team in relation to GEF logic and information requirements</li> <li>Develop incremental cost matrices</li> <li>Develop an M&amp;E plan including baseline analysis, project indicators, methodologies and protocols for the collection and systematization of the information</li> </ul>

<sup>1</sup> Or person month, if applicable. Please indicate clearly.

<sup>2</sup> Provide weeks or months as appropriate that corresponds to the rate provided in the previous column.

**Total Budget and Work Plan**

<b>Award ID:</b>	00057658
<b>Award Title:</b>	PIMS 3990 BD PPG Cuba Invasive Alien Species
<b>Business Unit:</b>	CUB 10
<b>Project Title:</b>	PIMS 3990 BD PPG Cuba: Enhancing the prevention, control, and management of Invasive Alien Species in vulnerable ecosystems in Cuba
<b>Project ID</b>	00071327
<b>Implementing Partner (Executing Agency)</b>	Ministry of Science, Technology and Environment (CITMA) / Center of Environmental Information, Management and Education (CIGEA)

GEF Outcome/Atlas Activity	Responsible Party/Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount 2009 (USD)	Amount 2010 (USD)	Total (USD)
<b>OUTCOME 1:</b> Baseline data collection, information gap analysis necessary for elaborating an IAS control and management strategy	UNDP Cuba	62000	GEF	71200	International Consultants	15,000	3,000	18,000
				71600	travel	5,000	1,000	6,000
				72100	Contractual services	6,000	2,000	8,000
				74500	miscellaneous	4,000	1,000	5,000
					<b>Total Outcome 1</b>	<b>30,000</b>	<b>7,000</b>	<b>37,000</b>
<b>OUTCOME 2:</b> Assessment of institutional, regulatory and legal framework for IAS management and control	UNDP Cuba	62000	GEF	71200	International Consultants	6,000	2,000	8,000
				71600	travel	2,000	1,000	3,000
				72100	Contractual services	2,500	1,500	4,000
				74500	miscellaneous	1,500	500	2,000
					<b>Total Outcome 2</b>	<b>12,000</b>	<b>5,000</b>	<b>17,000</b>
<b>OUTCOME 3:</b> Enabling environment for a national IAS strategy	UNDP Cuba	62000	GEF	71200	International Consultants	3,000	1,000	4,000
				71600	travel	1,500	500	2,000

and the implementation of IAS control and management plans				72100	Contractual services	2,227	500	2,727
				74500	miscellaneous	1,000	0	1,000
					<b>Total Outcome 3</b>	<b>7,727</b>	<b>2,000</b>	<b>9,727</b>
<b>OUTCOME 4:</b> Monitoring and evaluation strategy				71200	International Consultants	5,000	1,000	6,000
		62000	UNDP CUBA	71600	travel	1,500	500	2,000
				74500	miscellaneous	500	500	1,000
					<b>Total Outcome 4</b>	<b>7,000</b>	<b>2,000</b>	<b>9,000</b>
				<b>PROJECT TOTAL</b>		<b>56,727</b>	<b>16,000</b>	<b>72,727</b>

Summary of Funds:	Donor	Amount (in \$)
	GEF	72,727
	Cuban Government	120,000
	<b>TOTAL</b>	<b>192,727</b>

