



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

Country: IRAN

Relevant UNDAF Outcome(s) and Indicator(s): *List UNDAF outcome. If no UNDAF, leave blank*
Outcome 4 "Global environmental concerns and environmentally sensitive development integrated in national development frameworks and implemented".

Relevant CP/CPAP Outcome(s) and Indicator (s):
Sustainable land/ water and biodiversity management in critical ecosystems. Indicators: Number of participatory models for sustainable use of biodiversity

Relevant UNDP Strategic Plan 2008-2011 Key Result Area: Environment and sustainable development / **Key Result Area: Expanding access to environmental and energy services for the poor**

Expected Project Outcome (s) and Indicator (s): *In addition to CPAP outcomes*
UNDP-GEF Full Size Project on "Building a Multiple use Forest Management Framework in the Caspian Forest Landscape" developed following stakeholder consultations

Project Output(s) and Indicator(s):
Results of comprehensive stakeholder consultations and feasibility studies; project SRF developed; detailed budget and M&E plan

Programme Period: 2012 - 2017
Programme Component: Environment and Energy
PPG Title: Building a Multiple-Use Forest management Framework to Conserve Biodiversity in the Caspian Forest Landscapes
Award ID: 00062119
Project ID: 00079435
PIMS Project ID: 4078
Duration: 8 months
Management Arrangement: DIM

Total budget:	\$ 350,000
Allocated resources:	
• GEF	\$ 100,000
• Government	\$ 250,000

AGREED BY UNDP RESIDENT REPRESENTATIVE / UNDP DIRECTOR:

Ms. Consuelo Vidal Bruce,
Resident Representative

Signature

Date:

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26 July 2011

Brief Description of Initiation Plan

The Government of Iran, with support from UNDP, requested GEF funding for a project entitled "Building a Multiple-Use Forest Management Framework to Conserve Biodiversity in the Caspian Forest Landscape". The project objective is to establish the necessary governance system and know-how for a landscape management approach to decision making and use of Caspian Forests which nests protected areas within a matrix of conservation-compatible land uses in order to maintain biodiversity, ecosystem functions and resilience. In this regard, three related components have been foreseen, namely: Component 1: National and local level policies and regulatory frameworks provide for optimized planning and management; Component 2: Institutional and individual capacities strengthened; Component 3: Strengthened community capacities will be designed to deliver the project objective.

The PPG phase of nine months would help to prepare the ground for the implementation of the full scale project. During this preparatory phase, a number of activities have been planned that are expected to engage stakeholders and will support activities that will inform the preparation of the full project document and CEO Endorsement Request for the Full-Size Project (FSP) "Building a Multiple-Use Forest Management Framework to Conserve Biodiversity in the Caspian Forest Landscape". This document will be submitted to the GEF following further information gathering and stakeholder consultations, and will be accompanied by co-financing letters in line with pledges made in the PIF. Specifically the following preparatory activities will be financed (for details refer PPG document submitted to GEF below):

- Activity 1: Site profiling and detailed threat assessment
- Activity 2: Capacity Assessment for multiple-use forest management at systemic and institutional levels
- Activity 3: Assessment of community capacities for natural resource management and alternative livelihoods
- Activity 4: Feasibility Analysis and Budget

GEF PPG approved grant document and TBWP



PROJECT PREPARATION GRANT (PPG)

PROJECT TYPE: Full-sized Project

TYPE OF TRUST FUND: GEF Trust Fund

Submission date: June 2011

GEF PROJECT ID: 4470

GEF AGENCY PROJECT ID: 4078

COUNTRY(IES): Iran

PROJECT TITLE: Building a multiple-use forest Management to conserve biodiversity in the Caspian forests landscape

GEF AGENCY(IES): UNDP

GEF FOCAL AREA(s): Biodiversity

A. PROJECT PREPARATION TIMEFRAME

Start date of PPG	07/15/2011
Completion date of PPG	03/14/2012

B. PROPOSED PROJECT PREPARATION ACTIVITIES

Describe the PPG activities and justifications:

The PPG process will engage stakeholders and will support activities that will inform the preparation of the full project document and CEO Endorsement Request for the Full-Size Project (FSP) "Building a Multiple-Use Forest Management Framework to Conserve Biodiversity in the Caspian Forest Landscape". This document will be submitted to the GEF following further information gathering and stakeholder consultation, and will be accompanied by co-financing letters in line with pledges made in the PIF.

The PPG is requested to finance four preparatory activities. These will be co-funded and supported by the project partners.

Activity 1: Site profiling and detailed threat assessment

This activity will focus on carrying out a detailed review of available information related to the management of the Caspian forests to fully establish a comprehensive baseline. It will identify and provide information of different management areas within the landscape that will include forest types, areas of high biodiversity significance, areas requiring intervention, various production activities and their trajectory, review of current management arrangements and also identification of key stakeholders and their roles. Past and on-going programmes and projects related to forest planning and management will be analyzed for lessons to build on. In addition, the PPG funds will also support a detailed threats assessment building on existing studies and information. This information is expected to enable the selection of key areas within the Caspian forests for project interventions, determine gaps in knowledge so that the output "Sustainable Land Use Management Plan" of the FSP can be adequately scoped, detailed and costed. The relevant GEF 5 Tracking Tools namely the BD SO2 tracking tool will be completed once the areas for intervention and sectors have been determined. In addition, as the project is adopting a landscape approach and improving PA management is part of the outcome, the METI will be filled in for those PAs that the project will focus on.

Activity 2: Capacity Assessment for multiple-use forest management at systemic and institutional levels

The PPG will provide funds to conduct a comprehensive capacity assessment at the systematic and institutional levels

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	use forest management especially community forestry; capacity needs assessment and capacity development strategy for local communities.				
4. Feasibility analysis and budget.	(i) detailed project strategy, including incremental cost analysis, cost-effectiveness, and risks; (ii) detailed budget, and (iii) detailed project monitoring and evaluation system; (iv) replication strategy	GEFTF	35,000	35,000	70,000
Total Project Preparation Financing			100,000	250,000	350,000

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

	Project Preparation	Agency Fee
Grant Amount	100,000	10,000
Co-financing	250,000	
Total	350,000	10,000

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

Trust Fund	GEF Agency	Focal Area	Country Name/ Global	(in \$)		
				PPG (a)	Agency Fee (b)	Total c = a + b
GEFTF	UNDP	Biodiversity	Iran	100,000	10,000	110,000
Total PPG Amount				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.

E. PPG BUDGET

Cost Items	Total Estimated Person Weeks for Grant (PW)	Grant Amount (\$)	Co-financing (\$)	Total (\$)
Local consultants *	34	34,000	45,000	79,000
International consultants*	12	36,000	30,000	66,000
Travel		14,000	50,000	64,000
Workshops **		10,000	60,000	70,000
Miscellaneous***		6,000	65,000	71,000
Total PPG Budget		100,000	250,000	350,000

* 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.

** Workshop includes the stakeholder consultations and other national level consultative meetings

*** Miscellaneous for GEF covers the cost of procurement of detailed land-use maps, aerial photographs, interpretation of maps, and production of GIS and land use maps etc.

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 UNDP-GEF	<i>Y. Glemarec</i>	15/06/2011	Doiey Tshering, RTA, EBD	+ 66 2288 2600	doley.tshering@undp.org

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Annex A

Consultants Financed by the Project Preparation Grant (PPG)

Type of Consultant	Position / Titles	S/Person Week ¹	Estimated PWs ²	Tasks to be Performed
Local	Forest and Land-use Specialist (lead – local PPG team)	1000	16	<p>The specialist will collate the baseline information, carryout threat analysis and profiling the priority Caspian forest landscape. The specialist will:</p> <ul style="list-style-type: none"> - Review existing data, reports and studies to collate detailed information on the proposed demonstration landscapes (Caspian forest), in order to establish the baseline and landscape specific project interventions and targets. - Review available information and conduct field-based studies to identify critical information gaps, including: (i) An analysis of threats to biodiversity in the priority landscapes; (ii) The developmental context (key business sectors, socio-economic development, political environment) and its current and future impacts on the biodiversity conservation in the landscapes; (iii) the spatial distribution, and conservation status of permanent reserved forests and protected areas; (iv) the spatial extent and development of satellite images and maps of the proposed priority landscapes; (v) and establishment of baseline information for each of the priority landscapes. - Assess current mechanisms for compliance and norms and suggest improvements to reduce pressures on biodiversity resources in the Caspian forests from various threats - Collect information on the government and partners' baseline activities, as well as complementary activities by various partner organisations. <p>In addition the specialist will function as the lead PPG consultant:</p> <ul style="list-style-type: none"> - Organise stakeholder consultation sessions in order to solicit inputs and ensure stakeholder involvement in and buy-in to the project. - and coordinate the activities and inputs of the other consultants
Local	Natural Resource Economist / Policy Specialist	1000	10	<p>Working as part of the PPG team and assisting the PPG leader as required will be expected to deliver the following specific tasks:</p> <ul style="list-style-type: none"> - Review policy and legal framework in relation to planning and management of forest, land use planning and broader natural resource management, identifying contradictions or critical gaps which may hamper the progress of implementation, and suggest measures to remove the barriers. - Assess the capacity of various agencies, in respect of: their roles, functions and/or responsibilities as per current mandated roles and responsibilities; their influence on, and importance in, the implementation of the proposed project; their capacity constraints, strengths and weaknesses in supporting or implementing project activities, in view of identifying the capacity development needs of the different stakeholder groups to ensure the sustainability of project investments beyond the term of the project. - Based on the above assessment, develop: (i) a detailed profile of

				<p>institutional analysis with clear roles in project implementation; (ii) recommendations for institutional/agency capacity development activities to strengthen collaborative and oversight capacities; (iii) a detailed partnership involvement strategy and plan for various agencies in the project implementation phase; (iv) and description of the project governance and implementation arrangements.</p> <ul style="list-style-type: none"> - Assist the lead consultant in the identification of stakeholders to be involved and where required liaise consultations and meetings - Provide inputs on the management of the Caspian forests particularly on the importance of and how to integrate full range of economic and social considerations in forest land use planning (towards multiple use planning rather than just timber centric) - Support the international consultant in development of management strategies (feasibility analysis of project strategy and alternatives to the strategy, examination of cost effectiveness of the chosen strategy)
Local	Community mobilization / enterprise development consultant	1000	8	<p>Working as part of the PPG team, the consultant will carry out the following tasks:</p> <ul style="list-style-type: none"> - Hold consultations with the local communities to identify options for alternative livelihoods development and carry out a market and social feasibility analysis with support from the NR economist based on which prepare a alternative livelihood development strategy - Through participatory means, identify existing capacity and limitations at the community level and recommend measures to enhance capacities to engage in participatory resource management and in particular to take over management of community forestry - Assist the lead PPG consultant in consultation with (communities, FRWO and other stakeholders) to identify community criteria for selection of areas that can be handed over to local communities for community forestry - Assist in forging agreements with the local communities on areas or level of reduction of forest encroachment / conversion based on incentives such as community forestry and alternative livelihoods - Through consultations determine elements of community level monitoring and enforcement mechanisms that can be developed by the project
International	Forest Landscape Management and project development specialist	3,000	12	<p>Working with inputs from the local PPG team the International Forest Management and project development specialist will:</p> <ul style="list-style-type: none"> - Compile and share with the national PPG team and stakeholders the international best experience in policy development, legal and regulatory frameworks and enforcement systems for effective application of landscape approach to forests management, including analysis of any relevant GEF projects, - Based on the inputs from national experts and in close cooperation with the key national stakeholders compiles final baseline/situational analysis for the FSP. This will include a precise definition of baseline projects, activities, budgets, goals and co-financial links to GEF outcomes; - Based on the inputs from national experts and the best international practice, prepares a quantified assessment of global environmental benefits for biodiversity conservation and analyses the socio-economic

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			<p>benefits of the proposed interventions at national and local levels.</p> <ul style="list-style-type: none"> - Based on the international experience, assists in reconfirming/specifying the project strategy, finalizing project sections on: (a) definition of baseline projects; (b) Assessment of alternatives to the project strategy and establishing the cost effectiveness of the preferred strategy and suite of activities; (c) A replication strategy for project activities; (d) Assessment of the risks to the proposed project activities and identifying measure to mitigate these risks; (e) GEF incremental reasoning - Based on national experts inputs, develops project monitoring and evaluation system for the FSP and with inputs from the national PPG team, leads the elaboration of the logical framework of the project and detailed project budget. - Will provide inputs into the elaboration of Stakeholder Involvement and Public Participation plans, along with an action plan for incorporation of the gender aspects in the project. - Will review the quality of outputs of local consultants under different key activity areas while taking the lead on preparing the final FSP document to meet GEF submission requirements.
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¹ Dollar amount per person week.

² Person weeks needed to carry out the task

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Total Budget and Work Plan

Award ID:	00062119
Project ID:	00079435
Award Title:	PIMS 4078 BD PPG Iran: Iran Caspian Project
Business Unit:	IRN10
Project Title:	Building a Multiple-Use Forest management Framework to Conserve Biodiversity in the Caspian Forest Landscapes
Implementing Partner (Executing Agency)	UNDP

CPAP output	GEF Outcome/Atlas Activity	Responsible Party/Implementing Agent	Fund ID	Donor Name	Atlas Account Code	ATLAS Budget Description	Amount 2009(USD)	Budget Note
Community-based resource management policies and practices developed and piloted/demonstrated.	Key Activity Result 1: Site profiling and threat assessment completed	UNDP	62000	GEF	71200	International Consultant	3,000	A
					71300	Local Consultants	12,000	B
					71600	Travel	3,000	C
					75700	Workshop/ learning activities	8,500	D
	Total Activity 1					26,500		
CPAP Indicator: Number of participatory models for sustainable use of biodiversity	Key Activity Result 2: Capacity assessment at systemic and institutional levels completed	UNDP	62000	GEF	71200	International Consultant	3,000	A
					71300	Local Consultants	12,000	B
					71600	Travel	3,000	C
					75700	Workshop/ learning activities	2,500	D
	Total Activity 2					20,500		
Related CP outcome: Sustainable land/water and biodiversity management in critical	Key Activity Result 3: Assessment of alternative livelihoods and community capacities completed	UNDP	62000	GEF	71200	International consultant	3,000	A
					71300	Local Consultants	8,000	B
					71600	Travel	3,000	C
					75700	Workshop/ learning activities	2,500	D

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ecosystems					Total Activity 3	16,500
Key Activity Result 4: Feasibility analysis and budget completed	UNDP	62000	GEF	71200	International consultant	27,000
				71300	Local consultant	2,000
				71600	Travel	5,000
				75700	Workshop/ learning activities	2,500
					Total Activity 4	36,500
				Total	100,000	

Summary of Funds: ¹

GEF	100,000
Government co-financing (in-kind)	250,000
TOTAL	350,000

Budget notes:

- A The international consultant "Forest Landscape Management and project development specialist" will review the quality of outputs of local consultants under different key activity areas while taking the lead on preparing the final FSP document to meet GEF submission requirements. A total of 12 weeks x \$ 3,000 = \$ 36,000 is budgeted
- B Local consultants for 34 weeks which 16 weeks for PPG team leader, 10 weeks for a Natural Resource Economist, 8 weeks for Community mobilization / enterprise development specialist to support the detailed definition of each of the FSP outputs including capacity assessments, alternative livelihood strategy development, gaps analysis of policies and institutions etc. A total of \$ 36,000 (36 weeks x \$ 1000) has been estimated.
- C: Travel budget indicated against each activity is for the local travel of consultants (local and international) and stakeholders, where applicable, and the per diems for consultants to conduct site evaluations and also international travel of the international consultant (one time)
- D: Miscellaneous budget indicated against each activity is to meet the costs of meetings for consultations with a range of stakeholders including local communities, government sector agencies, private sector, NGOs, etc. This also includes gathering information from relevant stakeholders. In addition this cost also includes the unexpected and unplanned contingencies and also the procurement of GIS maps, aerial photographs as may be required.

¹ Summary table should include all financing of all kinds: GEF financing, co-financing, cash, in-kind, etc. etc

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