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UNDP-GEF PPG Initiation Plan

Project Title: Enhancing Capacity for Biodiversity Conservation and Protected Area Management

Country: São Tomé and Príncipe

UNDP Country Programme Output: Employment and competitiveness are assured by diversifying the economy and resilience to climate Change, improving the quality of life of poor and vulnerable populations and access to financial aid and markets by youth and women.

UNDP Strategic Plan 2018-2021 Output: Development Setting B: Accelerating structural transformations for Sustainable Development.

Signature Solution: 4: Promote nature-based solutions for a sustainable planet; Output 1.4.1. Solutions scaled up for sustainable management of natural resources, including sustainable commodities and green inclusive value chains.

Gender Marker rating: *GEN 2*

SESP Pre-Screening Categorization: Moderate risk.

Atlas Project ID (formerly Award ID): 00095756

Atlas Output ID (formerly Project ID): 00099826

UNDP PIMS ID: 5881

GEF PMIS ID: 10007

Management Arrangement: DIM

Total budget: **US\$ 150,000**

Allocated resources:

- GEF US\$ 150,000
- Government
- UNDP

AGREED BY

Name of UNDP Resident Representative	Signature	Date DD/MM/YYYY

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1) BRIEF DESCRIPTION OF THE INITIATION PLAN/GEF PPG

Objective & Final Outputs

The objective of the GEF PPG is to develop the project concept into a full project: *Enhancing Capacity for Biodiversity Conservation and Protected Area Management*. As described in the project concept (PIF), this project aims to *Strengthen systemic, institutional and operational capacity at national and local levels for protected area management and sustainable land management, to safeguard globally significant terrestrial and marine flora and fauna and ensure environmentally sustainable livelihoods*.

The following documents are to be consulted as background for the GEF PPG phase:

- PIF approved by GEF Council;
- SESP pre-screening (of PIF);
- Comments from GEF Secretariat, Council and/or STAP;
- Annotated UNDP-GEF Project Document Template and associated guidance included therein;
- GEF CEO Endorsement Request Template and related guidance;
- GEF-6 versions of the appropriate UNDP and GEF Tracking Tool templates and related guidance.

The final expected outputs of the GEF PPG are:

- UNDP-GEF Project Document (ProDoc), using the latest standard template;
- Mandatory annexes to the ProDoc, including gender analysis and action plan, and stakeholder engagement plan, among others, and project-specific annexes;
- GEF CEO Endorsement Request;
- Validation Workshop report (as appropriate for projects with a moderate and high SESP risk rating).

Any additional studies and other reports produced under the GEF PPG and not included in Annex to the project document will be submitted to UNDP and saved for future reference.

Table 1: Key Dates for the GEF PPG:

Milestone	Date	Notes
Targeted internal submission date for UNDP-GEF review and clearance	24 June 2019 or earlier	Must be at least two (2) months prior to CEO Endorsement Deadline
Targeted date for submission of the GEF CEO Endorsement Request package to the GEF	24 September 2019 or earlier	
Final deadline for submission of the GEF CEO Endorsement Request package to the GEF after which the project will be cancelled	24 June 2018 + 18 months => 24 December 2019	Failure to submit a ProDoc and CEO ER to the GEF Sec by this deadline will lead to the automatic cancellation of the project by the GEF Secretariat. See the GEF Cancellation Policy for additional details.

PPG Management Arrangements

The UNDP Country Office in São Tomé and Príncipe will lead the project development process and manage the GEF PPG budget in full consultation with the UNDP-GEF Regional Technical Advisor. The GEF PPG Atlas budget is presented in *Section IV: Total Budget and Work Plan*.

As appropriate, a Working Group will guide the GEF PPG team, and review and endorse the GEF PPG deliverables. The Working Group is responsible for ensuring that the deliverables outlined in this GEF PPG are completed on time and in line with UNDP and GEF requirements. The UNDP Resident Representative will chair the Working Group. The Working Group should include the following members (or their delegates) :

- UNDP Assistant Resident Representative/Programme
- UNDP Environment & Sustainable Development Unit Manager
- UNDP Programme Analyst
- UNDP-GEF Regional Technical Advisor (RTA) for Ecosystems & Biodiversity
- Ministry of Foreign Affairs and Communities
- Ministry of Infrastructures, Natural Resources and Energy
- Ministry of Agriculture and Rural Development
- Ministry of Finance, Planning and Blue Economy
- FAO Country Representative

The following members may be added on an ad hoc basis as required::

- Directorate of Forests
- Directorate of Environment
- Directorates of Obô Natural Park
- Directorate of Natural Resources and Energy
- Regional Government of Príncipe
- Birdlife International
- Flora & Fauna International
- Oikos
- Local Councils
- British Petroleum/Cosmos
- Specialised technical experts

The GEF PPG team will be composed of the following:

- Project Development Team Leader with Expertise in Biodiversity Conservation & Protected Area Management (international)
- Sustainable Land Management & Livelihoods Expert (international)
- Biodiversity Expert (national)
- Policy & Institutional Expert (national)
- Sustainable Land Management & Livelihoods Expert (national)
- Stakeholder Engagement & Gender Mainstreaming Expert (national)

Draft Terms of Reference (TORs) for each team member is included in Annex 3 of this Initiation Plan.

2) STAKEHOLDER ENGAGEMENT, PUBLIC DISCLOSURE AND OTHER REQUIREMENTS

To ensure strong country ownership, and in line with the stakeholder engagement requirements outlined in UNDP's [Social and Environmental Standards](#) (SES), the development of the project to be undertaken during this GEF PPG phase will be done in full consultation and close engagement with government, CSO and other relevant stakeholders – in particular those who will benefit from and be directly involved in the implementation of the project (i.e. direct project beneficiaries). A list of these stakeholders will be prepared and included in Annex to the project document.

If the Social and Environment Screening Procedure (SESP) included in Annex to the project document, has an overall safeguard risk rating of moderate or high, the following disclosure requirements apply:

1. A final validation workshop report will be prepared summarizing the outcomes of the validation workshop and other consultations undertaken during the PPG phase. This report must demonstrate strong country ownership and will become a key reference document should an environmental and social safeguard complaint/grievance be filed during project implementation.
2. Before GEF CEO endorsement (if appropriate given the GEF cancellation policy) or at the latest by the LPAC meeting, the UNDP-GEF project document, SESP and related management plans, and other relevant information/documents (e.g. ProDoc annexes) will be made available to the public on the UNDP website or open.undp.org. It is recommended to make these documents available for 30 days in advance of the LPAC meeting for moderate risk projects, and 120 days in advance for high risk projects.

3) GEF PPG ACTIVITIES

PPG Component A: Preparatory Technical Reviews & Studies and Stakeholder Consultations

The following technical studies and reviews will be conducted, building on the PIF and the comments received about the PIF from GEF Secretariat, GEF Council and STAP (see Annexes 4 a-c).

This research should produce the background information required to prepare the ProDoc and GEF CEO Endorsement Request, including but not limited to:

- Development challenge and strategy (including threats, problems and barrier assessment);
- Review of national policy and legislative frameworks;
- Problem and solution trees developed in consultation with project stakeholders, for a robust Theory of Change (to be prepared in **PPG Component B**, below);
- Review of relevant past and ongoing projects for lessons; and
- Any other analyses required to address all comments on the PIF received from GEF Secretariat, GEF Council members and STAP.

Table 2: Component A - Overview of tasks and responsibilities

Description	UNDP CO	UNDP-GEF RTA	BD/PA & PPG Lead IC	SLM & Livelihood IC	BD National	Policy & Institution National	SLM & Livelihood National	Stakeholder & Gender National
• Open a dialogue with STAP regarding the technical and/or scientific issues raised.		Lead	Support					
• Regular exchanges between the UNDP Country Office, UNDP-GEF RTA, Government Partners and further stakeholders on the development and finalization of the ProDoc and GEF CEO Endorsement Request package.	Lead on site	Join remotely	Lead on site or remotely	Join on site or remotely	Join on site	Join on site	Join on site	Join on site
• PPG inception:								
○ At the onset of the PPG, bring together the leading stakeholders from government, partners and UNDP (country office and RTA), as well as the team of PPG consultants to agree on process and roles and quality assurance; depending on timelines and availability, this may involve participants participating online;	Lead on site	Join on site or remotely	Lead on site	Join on site	Join on site	Join on site	Join on site	Join on site
○ Prepare PPG methodology and workplan in consultation with the CO and PPG team members with delegation of responsibilities for the International Consultants (ICs) and National Consultants (NCs).	Support		Lead	Support	Support	Support	Support	Support
• Stakeholder analysis and engagement:								
○ Building on the information available in the PIF, further elaborate the analysis of relevant stakeholders and define their roles in contribution to the project; to respond to requests from GEF SEC and Council, explore avenues and define strategies to ensure involvement of key stakeholders, including those not mentioned in the PIF.	Lead	Support	Lead	Support	Support	Support	Support	Support

○ Identify other relevant existing and planned initiatives, possibly negotiating partnerships to align activities and build synergies, and reflecting this in the project strategy.	Lead	Support	Lead	Support	Lead on biodiversity		Lead on SLM & livelihoods	Support	
○ Determine which institutions/NGOs/individuals could yield the highest leverage for strengthening the management of terrestrial and marine/coastal biodiversity in São Tomé and Príncipe, and define entry points for their active engagement.	Lead	Support	Lead	Support	Lead		Support	Support	
○ To secure strong in-country ownership, engage and sensitise key national/regional/island government authorities, local communities and other stakeholders about the project and ensure their full participation and agreement in the development of the project strategy and design.	Lead	Support	Lead	Support	Lead	Lead	Lead	Lead	
• Desktop and field-based studies and data collection , to further elaborate the situation analysis and project interventions (building on the PIF), while ensuring to address comments and requests received from the GEF STAP and Council (see Annex X). This will include <i>inter alia</i> :									
General background data & information									
○ Research to update the baseline investment of the government and its partners as outlined in the PIF in relation to the issues to be addressed by the project, to help determine the incrementality of the GEF intervention, including detailed assessment of the ongoing ECOFAC VI programme.	Support		Lead	Support	Lead	Support	Lead	Support	
○ Enhance/update background information and baseline conditions regarding: i) forest/land types and their respective cover (recent statistics and satellite data on land cover, considering recent deforestation trends); and ii) the existing Island of Príncipe UNESCO Biosphere Reserve; and iii) programs and scientific publications supporting the establishment of marine PAs in Príncipe including the BioPríncipe 2016 expedition.			Lead	Support	Lead	n.a.	Support	n.a.	
○ Draw lessons learned from past projects (e.g. IFAD, ECOFAC, SMILo, etc), and assess the extent to which the GEF-funded project could possibly achieve greater impact by sharpened focus on fewer components (such as 1. Establishing the minimum enabling legal environment with project champions, 2. Establishing good management systems in PAs and 3. Piloting high quality community projects).			Lead	Lead on SLM & Livelihood	Support	Support	Support	Support	
○ International benchmarking of adequacy, incrementality and cost-effectiveness of the project's interventions.		Support	Lead	Lead	Support	Support	Support	Support	
Project Component 1: Strengthened systemic and institutional capacity for protected area management and biodiversity conservation									
○ Review of relevant national and sector development plans, policies and budgets to further respond to and align project interventions with government goals and priorities.	Support		Lead	Lead	Support	Support	Support		
○ Assessment of institutional/technical/operational/individual capacity and capacity development needs for key stakeholder groups on marine and terrestrial biodiversity management, as well as sustainable land and forest management. This should focus at least on the Regional Directorate of Environment & Conservation, the Ministry of Infrastructure, Natural Resources & Environment (Directorates for Environment and Land Survey and Planning) and the Ministry of Agriculture, Rural Development & Fisheries (Directorates for Forests, Agricultural Development and Fisheries).	Support		Lead	Support	Lead on BD	Lead on legal & institution	Lead on SLM & livelihood	Support	

<ul style="list-style-type: none"> ○ Benchmark administrative and financial institutional design options to propose best practices, conduct an analysis of the regulatory requirements for PA and buffer-zone institutions, and how best to institutionalize these functions (rather than following an antiquated model of a state PA Agency). ○ Assess how the legal framework needs to link with regional parliaments, especially on Príncipe, depending on PA categories; regulatory goals should establish indicators for key performance areas – biodiversity status and protection, tourism and income, infrastructure and equipment, sustainable communities and community-based natural resource management. ○ Assess the functioning of the existing structures (institutions, mandates) for managing protected areas, and propose recommendations on how to achieve more effective and accountable PA governance systems to achieve global environmental benefits; contemplate how to separate regulatory functions from implementation functions, and consider delegating implementation functions to non-government agencies; and taking considerable care in matching the aspirations of the PAs to their sustainable revenue potential. 	Support		Lead	Support	Lead on terrestrial	Lead on marine	Support		
<ul style="list-style-type: none"> ○ Review existing financial resources, financing arrangements and mechanisms for PA management. 			Lead	Support	Support	Support	Support	n.a.	
<ul style="list-style-type: none"> ○ Assess the extent to which insufficient capacity is the primary barrier to biodiversity conservation, versus political will and incentive. Determine whether valuation of biodiversity and improved frameworks will be sufficient to incentivise authorities, private sector and other stakeholders to change their practices; defining and justifying any valuation methods/models to be used. 	Lead		Lead		Support	Lead	Support	n.a.	
<ul style="list-style-type: none"> ○ Conduct a pre-assessment of terrestrial and marine endangered species as well as endemic species and their status, and define prioritised actions for their protection. 			Lead		Lead	n.a.	Support	n.a.	
<ul style="list-style-type: none"> ○ Collect any additional data and information required to support the establishment and gazettement of MPAs. 			Lead	n.a.	Lead	Support	n.a.	n.a.	
<ul style="list-style-type: none"> ○ Assess the stakes involved in oil and gas extraction and the potential impacts on biodiversity and define/explain the project's response. 			Lead	n.a.	Lead	Support	n.a.	n.a.	
<ul style="list-style-type: none"> ○ Any further research and data collection required to confirm or define objective-level and outcome-level indicators, baseline values and end-of-project targets; this will include: management effectiveness in the targeted PAs; capacity scores for PA management; suitable (proxy) indicator species and threat reduction; and baseline PA system financing levels and gaps. 			Lead on PA finance	Support	Lead on METT and species	Support	Support	Support	
Project Component 2: Effectiveness of biodiversity conservation and PA site management actions									
<ul style="list-style-type: none"> ○ Identify existing actions aimed at on-site (community-based) biodiversity conservation in STP as well as in comparable contexts; extract lessons-learned and good practices for replication or upscaling. 			Lead	Support	Lead	Support	Support	Support	
<ul style="list-style-type: none"> ○ Evaluate the estimated costs of rehabilitation of critical infrastructure (e.g Obô Natural Park building in Príncipe, Bom Sucesso Botanical Garden, Pico de São Tomé base camps), versus expected benefits in terms of achieving desired objectives related to environmental awareness an education, as well as increasing tourism and revenue-generating potential. Assess potential co- 	Support		Lead	Support	Lead	Support	n.a.	n.a.	

financing from Government and other partners (e.g. private sector, research institutes, donors).								
Project Component 3: Integrated, environmentally sustainable land management in multi-use bufferzones								
<ul style="list-style-type: none"> Conduct a socio-economic and socio-cultural survey as well as an assessment of environmental sustainability and local biodiversity-loss drivers in buffer zone communities; assess the assumption made by Component 3 that agricultural activities (and not associated activities) are the principal driver of (terrestrial) biodiversity decline, and therefore must be mitigated. 			Support	Lead	Lead	Support	Lead	Support
<ul style="list-style-type: none"> Assess and define suitable work on SLM/SFM and livelihoods to be provided by the project; to respond to a request from GEF STAP, consider if the project could assist (buffer zone) communities to obtain land rights coupled with quality participatory collective governance, and move beyond platitudes of SLM, SFM, CFM, IGAs to technically feasible interventions. 	Support		Support	Lead			Lead	Support
Project site selection								
<ul style="list-style-type: none"> Identification of targeted project sites will be based on the above reviews, and through consultation with stakeholders. 	Support	Support	Lead	Support	Lead	Lead	Lead	Support
Mainstreaming elements								
<ul style="list-style-type: none"> Environmental and Social Safeguard Assessments. The social and environmental safeguards pre-screening (pre-SESP) prepared during the PIF design phase determined the overall risk categorization of this project as Moderate and highlighted potential safeguard risks to be further assessed during the PPG phase. The purpose of these assessments is to identify ways to <u>avoid</u> negative environmental and social impacts where possible (e.g., through site selection). If risk avoidance is not possible, then mitigation and management measures must be identified, in line with the UNDP Social and Environmental Standards (see section B-f below). If the required assessments cannot be undertaken or finalized during the PPG, they must be completed during the first phase of project implementation. 	Support	Support	Lead	Support	Support	Support	Support	Lead
<ul style="list-style-type: none"> Prepare a Gender Analysis to fully consider the different needs, roles, benefits, impacts, risks, differential access to and control over resources of women and men (including considerations of intersecting categories of identity such as age, social status, ethnicity, marital status, etc.) given a project's context, and to identify appropriate measures to address these and promote gender equality and women's empowerment. The analysis will form the basis of a Gender Action Plan and Budget (see PPG Component B). 	Support	Support	Support	Support			Support	Lead

PPG Component B: Formulation of the UNDP-GEF Project Document, GEF CEO Endorsement Request, and Mandatory and Project Specific Annexes

Based on the technical studies and reviews undertaken under **PPG Component A** (detailed above), the full UNDP-GEF Project Document and GEF CEO Endorsement Request (please ask the UNDP-GEF RTA for the current/latest version) will be prepared, with the required complementary

documentation. The following table provides the necessary details as well as instructions on several areas of the ProDoc requiring special focus. The GEF PPG Team Leader will be responsible for the consolidation and finalization of all required materials.

Table 3: Component B - Overview of tasks and responsibilities

Description	UNDP CO	UNDP-GEF RTA	BD/PA & PPG Leader	SLM & Livelihood	BD	Policy & Institution	SLM & Livelihood	Stakeholder & Gender
			IC	IC	National	National	National	National
<ul style="list-style-type: none"> • Financial planning. <ul style="list-style-type: none"> ○ Undertake consultations with partners to secure a coherent and sustainable financing package for the implementation and longer-term sustainability of project interventions (including post-GEF grant phase to the extent possible). Confirm co-financing pledges from the PIF stage and identify further co-financing opportunities as required. ○ Ensure issuance of official co-financing letters/guarantees to be collected from participating government institutions, bilateral development partners, multilateral development partners, NGOs, private sector, or others who commit to provide cash or in-kind contributions to the project. 	Lead	Support	Co-Lead		Support	Support	Support	
<ul style="list-style-type: none"> • Building on the PIF and the above consultations and background research, formulate/consolidate the full ProDoc with all relevant sections and annexes following the latest standard GEF-6 templates. This includes <i>inter alia</i>: <ul style="list-style-type: none"> ○ Consolidating the summary problem, baseline investment and barrier analyses. ○ Theory of Change. The detailed theory of change (ToC), based on the studies and data collection undertaken in PPG Component A, will be developed. The selected approach will be identified, with a clear rationale backed by credible evidence, integrating gender concerns into the approach. Additional guidance is available in the Annotated UNDP-GEF ProDoc template. ○ Elaborating adequate and technically robust project interventions in detail, defining incrementality and cost-effectiveness of the project's interventions; and addressing/integrating the suggestions made and opportunities/risks identified in the context of PIF approval, by GEF Secretariat, GEF STAP, and GEF Council (see Annexes 4a-c). ○ Stakeholder Engagement Plan. Based on the consultations undertaken during the PPG phase (see Component A), a Stakeholder Engagement Plan will be developed. In response to a request from GEF Council, pay attention to local community consultation during the PPG and clarify how local community engagement will take place during project implementation. 	Support	Support	Lead	Support	Support	Support	Support	Support
		Support	Lead	Support	Support	Support	Support	Support
		Support	Lead	Support	Support	Support	Support	Support
	Support	Support	Lead	Co-Lead	Support	Support	Support	Support
	Support		Lead	Co-Lead	Support	Support	Support	Co-Lead

<p>○ Gender Action Plan and Budget. Based on the Gender Analysis conducted in PPG Component A, the Gender Action Plan and Budget will outline the gender-specific outputs to be delivered during project implementation, to promote gender equality and women’s empowerment and to ensure that inequalities are not exacerbated. As part of the work of preparing the Gender Action Plan, indicators should be proposed for inclusion in the Results Framework to facilitate the monitoring of the proposed gender mainstreaming actions. The Gender Budget must be integrated into the Total Budget and Work Plan. The Gender Analysis as well as the Gender Action Plan and Budget must be attached as Annexes to the Project Document. See guidance available here.</p>	Support	Support	Lead	Support			Support	Co-Lead
<p>○ Monitoring and Evaluation (M&E) Plan and Budget. Starting from the standard template provided in the UNDP-GEF project document template that reflects the mandatory requirements of the UNDP-GEF M&E Policy, develop a detailed M&E Plan and Budget, adding further elements allowing considering especially the dedicated Component 4 in this project. The on-the-ground monitoring could be undertaken by national institutes/universities as appropriate. Clarify the roles of various groups involved in project M&E, how project-level monitoring links with data collected at the national level and specify the frequency of monitoring. Specify monitoring tools to be used; clarify responsibilities for completing the mid-term and terminal GEF Tracking Tools (see below). Complete the M&E budget included in the UNDP-GEF Project Document noting that the total budget should be between 3-5% of the GEF grant.</p>		Support	Lead	Support	Support	Support	Support	Support
<p>○ Core Indicators. Based on the studies and data collection undertaken in PPG Component A, the Core Indicators* relevant to the project must be selected with their values defined. (*NB: this is a new requirement from the GEF Secretariat).</p>		Support	Lead	Support	Support	Support	Support	
<p>○ Results Framework. Based on the studies and data collection undertaken in PPG Component A, the Results Framework will be defined with appropriate Objective-level and Outcome-level quantitative and qualitative SMART indicators and mid-term and end-of-project targets, integrating also the Core Indicators as appropriate. Building on the tentative framework in the PIF, it will be designed in line with the following parameters:</p> <ul style="list-style-type: none"> ▪ Do not include outputs or activities in the results framework. Outputs and corresponding indicators can be included in the results section and/or in Annex to the project document; ▪ Prepare a maximum of 3-5 indicators for the Objective and each Outcome. Aim to keep the total number of indicators in the results framework (and that require annual reporting to the GEF) to 15-16; ▪ Aim to include state indicators (e.g. spatial coverage, ecosystems quality, species populations), pressure indicators (threats and drivers) and response indicators; ▪ Include also a suitable outcome and indicator from the <i>UNDP Integrated Results and Resources Framework</i>; ▪ Give special attention to include gender-responsive outcomes and other socio-economic benefits; ▪ Define baseline values for each indicator, using PPG research and existing national information; 		Support	Lead	Support	Support	Support	Support	Support

<ul style="list-style-type: none"> ▪ Disaggregate indicators by sex, including number of direct project beneficiaries; ▪ Set realistic mid-term targets and end-of-project targets that can be achieved by project closure; ▪ Summarize risks and assumptions, and sources of verification/data; ▪ <i>See the annotated UNDP-GEF Project Document template for additional guidance on developing the Results Framework.</i> 								
<ul style="list-style-type: none"> ○ Preparing a detailed, multi-year Total Budget and Work Plan for the project, following the standard format provided in the UNDP-GEF ProDoc template; the principal TBWP table will allocate the GEF resources, any UNDP resources, as well as any further resources to be directly managed by UNDP over the lifetime of the project. 	Support	Support	Lead	Support	Support	Support	Support	Support
<ul style="list-style-type: none"> ○ Social & Environmental Standards and Project Risks <ul style="list-style-type: none"> ▪ In line with the assessments conducted during PPG Component A (above) and in line with UNDP's Social and Environmental Standards (SES) policy and all associated SES Guidance Notes, a full SESP will be prepared and all moderate and high risks identified in the SESP will be reflected in the risk table and risk section of the project document. ▪ Mitigation and management measures for moderate and high risks will be developed and included in the project document or included as a separate management plan in Annex to the project document, as required per UNDP's SES policy. If the mitigation and management measures cannot be fully detailed at the PPG phase (e.g., sites have not been determined), an environmental and social management framework (ESMF) will be prepared outlining the steps to be taken during the first phase of project implementation to address the moderate and high risks. The ProDoc must clearly state that none of the associated project activities will commence until: the assessment(s) have been completed; the required management plan(s) have been prepared; the plan(s) have been disclosed and approved by the Project Board. 	Support	Support	Lead	Support	Support	Support	Support	Support
<ul style="list-style-type: none"> ○ Project Management Arrangements. <ul style="list-style-type: none"> ▪ Based on the stakeholder analysis and consultations undertaken in PPG Component A above, agreement(s) on project management and governance arrangements—including roles, responsibilities and accountabilities of lead and partner Agencies—will be secured early in the project development phase and will be fully detailed in the ProDoc. ▪ This will also entail an agreement on the implementation and cash transfer modality following the UNDP HACT Micro-Assessment of the chosen Implementing Partner. 	Lead	Support	Co-Lead					
<ul style="list-style-type: none"> ○ Defining the tentative configuration of the Project Implementation Team and preparing an indicative project-start Procurement Plan (to be confirmed by the 	Support	Support	Lead	Support	Support	Support	Support	Support

Country Office) together with the required Terms of Reference to ensure a smooth transition from the PPG to the implementation phase.			Lead					
<ul style="list-style-type: none"> ○ GEF Tracking Tools: <ul style="list-style-type: none"> ▪ The GEF Biodiversity Tracking Tool, Programs 1/2 (PA Management Effectiveness only) must be prepared, using the latest GEF Excel template, which will form part of the submission package (consult the UNDP-GEF RTA for the most up-to-date guidance and templates as these may change). ▪ METT indicators/values should be included in the Results Framework as appropriate, and the full METT tables should in addition be copied into the ProDoc as an Annex. 		Support	Lead		Support	Support		
<ul style="list-style-type: none"> ○ UNDP Scorecards: <ul style="list-style-type: none"> ▪ UNDP PA Capacity Development Scorecard, to be copied into the ProDoc as Annex. 		Support	Lead		Support	Support		
<ul style="list-style-type: none"> • Prepare the GEF CEO Endorsement Request following the latest GEF template, taking a parsimonious approach by avoiding duplication of ProDoc sections. 		Support	Lead					
<ul style="list-style-type: none"> • Submit the draft ProDoc and GEF CEO Endorsement Request package to the UNDP-GEF RTA for review and comment. 	Support		Lead					
<ul style="list-style-type: none"> • Validation Workshop and Report. A validation workshop will be held with relevant stakeholders to present, discuss and validate the project activities, and the final draft of the ProDoc if possible; submit validation workshop report. 	Lead and attend	Support and attend	Lead and attend	Support and attend remotely	Support and attend	Support and attend	Support and attend	Support and attend
<ul style="list-style-type: none"> • Finalise the ProDoc and GEF CEO Endorsement Request package for submission to UNDP-GEF HQ and GEF Secretariat. 	Support	Support	Lead	Support	Support	Support	Support	Support
<ul style="list-style-type: none"> • If required, address any comments by UNDP-GEF HQ and GEF Secretariat and resubmit the ProDoc and CEO Endorsement Request package; 	Support	Lead	Lead	Support	Support	Support	Support	Support
<ul style="list-style-type: none"> • Translate the ProDoc and any further relevant documentation. 	Lead							

4) TOTAL BUDGET AND WORK PLAN FOR GEF PPG

Atlas Project ID (formerly Award ID):	00095756
Atlas Output ID (formerly Project ID):	00099826
Award Title:	Biodiversity Management and Conservation
Business Unit:	STP10
Project Title:	Enhancing Capacity for Biodiversity Conservation and Protected Area Management
UNDP PIMS ID:	5881
GEF PMIS ID:	10007
Implementing Partner:	N/A (DIM)

GEF Outcome/Atlas Activity	Resp. Party	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount US\$	Budget Notes
Project preparation grant for the UNDP-GEF project "Enhancing Capacity for Biodiversity Conservation and Protected Area Management"	UNDP	62000	GEF TF	71200	International Consultants	81,250	A
				71300	Local Consultants	32,000	B
				71600	Travel	16,714	C
				72100	Contractual Services-Companies	10,000	D
				75700	Workshops	4,000	E
				74100	Professional Services	5,000	F
				72400	Communic & Audio Visual Equip	500	G
				74500	Miscellaneous Expenses	536	H
					SUM	150,000	
					AVAILABLE PPG BUDGET	150,000	
					BALANCE	0	

Budget Note	Items	Total estimated person weeks & unit costs	Budget US\$	Budget Note
A1	PPG Team Leader: Project Development Expert with Background in Biodiversity Conservation & Protected Area Management (IC)	15 weeks = 75 days @ \$650	48,750	Please see Annex 2 and TABLE ABOVE for key responsibilities.
A2	Sustainable Land Management & Livelihoods Expert (IC)	10 weeks = 50 days @ \$650	32,500	Idem
A	Subtotal ICs		81,250	
B1	Biodiversity Expert (NC)	10 weeks @ \$800	8,000	Idem
B2	Policy & Institutional Expert (NC)	10 weeks @ \$800	8,000	Idem
B3	Sustainable Land Management and Livelihoods Expert (NC)	10 weeks @ \$800	8,000	Idem
B4	Stakeholder Engagement & Gender Mainstreaming Expert (NC)	10 weeks @ \$800	8,000	Idem
B	Subtotal Local Consultants		32,000	
C	In country missions: PPG Team Leader	12 days on Sao Tome (DSA \$167) + 10 days Principe (DSA \$97)	2,974	
	In country missions: Sustainable Land Management and Livelihoods Expert	10 days on Sao Tome (DSA \$167) + 10 days Principe (DSA \$97)	2,640	
	In country missions: National Consultants	4 x 12 days local DSA on Principe @ \$50	2,400	
	International travel	1 IC x 1 flight + 1 IC x 2 flights @ \$1800	5,400	
	Domestic flights	1 IC x 1, 1 IC x 2, 4 NC x 2 @ \$300	3,300	
C	Subtotal Local Travel & DSA		16,714	
D	Surveys: Contractual Services		10,000	
E	Consolidation and validation workshop		4,000	
F	Translation of documents incl. PRODOC		5,000	
G	Communication costs		500	
H	Miscellaneous		536	

ANNEX 1: GEF PPG TENTATIVE ACTIVITIES TIMEFRAME

PPG Activity	Nov-Dec 2018	Jan 2019	Feb 2019	Mar 2019	Apr 2019	May 2019	June 2019	Jul 2019	Aug 2019	Sep 2019	Oct 2019	Nov 2019	Dec 2019
Component A	X	X	X	X									
Component B			X	X	X	X							
Delivery of draft outputs						X	X						
Delivery of final outputs								X	X				

ANNEX 2: GEF CEO PIF/PPG APPROVAL LETTER



Naoko Ishii
CEO and Chairperson

May 25, 2018

Ms. Adriana Dinu
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:

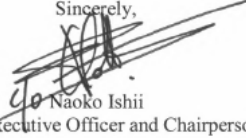
I am pleased to inform you that I have cleared the project concept detailed below for inclusion in the upcoming work program. I have also approved your request for project preparation grant.

Decision Sought:	Project Identification Form (PIF) Clearance for Work Program Inclusion and Project Preparation Grant (PPG) Approval
GEFSEC ID:	10007
Agency(ies):	UNDP
Agency ID:	5881 (UNDP)
Focal Area:	Multi Focal Area
Project Type:	Full-Sized Project
Country(ies):	Sao Tome and Principe
Name of Project:	Enhancing Capacity for Biodiversity Conservation and Protected Area Management
Indicative GEF Project Grant:	\$4,262,559
Indicative Agency Fee:	\$404,943
PPG Grant:	\$150,000
PPG Agency Fee:	\$14,250
Funding Source:	GEF Trust Fund

Break-down of Indicative Agency Fee				
Agency	Trust Fund	40% Fees to be committed at Council Approval	Fees to be committed at CEO Endorsement	Total (US\$)
UNDP	GET	\$161,977	\$242,966	\$404,943

This PIF clearance and PPG approval is subject to the comments made by the GEF Secretariat in the attached project review 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 ensure that your final project document, with all Secretariat and Council comments fully addressed, is submitted such that CEO endorsement can be provided within 18 months of Council approval of the work program.

Sincerely,



Naoko Ishii
Chief Executive Officer and Chairperson

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

ANNEX 3: DRAFT TERMS OF REFERENCE (TORs) OF CONSULTANTS FINANCED BY THE PROJECT PREPARATORY GRANT (GEF PPG)

Position, Type and Cost	Role, Deliverables and Qualifications
<p>Position: PPG Team Leader: Project Development Expert with Background in Biodiversity Conservation & Protected Area Management (International Consultant)</p> <p>Type: IC</p> <p>Number of person-days needed: 75 (15 weeks)</p> <p>Tentative cost per person-day: USD 650</p>	<p>Role. Lead on the overall PPG and responsible for quality assurance and timely preparation of all reports and documentation, including the finalized UNDP Project Document (ProDoc) and GEF CEO Endorsement Request, with all mandatory and project-specific Annexes and supporting documentation. S/he will be responsible for managing all consultants on the PPG Team and coordinating the Team’s work, as well as providing the necessary expertise on biodiversity and protected areas management and finance.</p> <p>Deliverables. The following lists the overall responsibilities and deliverables that will be expected from the contractor. Note that the UNDP PPG Implementation Plan provides further and more detailed guidance regarding the tasks and responsibilities of the PPG team and must be followed accordingly.</p> <ol style="list-style-type: none"> 1) <u>Management of the GEF PPG Team, Field mission and PPG Inception Meeting</u> <ol style="list-style-type: none"> a. Define and submit a short methodology and work plan in consultation with the other consultants with clear delegation of responsibilities for the International Consultants (ICs) and National Consultants (NCs); b. Ensure that project development is participatory, gender-responsive and based on extensive stakeholder engagements; and c. Verify and ensure that all project components are technically sound and cost effective. 2) <u>Preparatory Technical Studies and Reviews (PPG IP Component A):</u> With inputs from the other national and international consultants, as detailed in their respective TORs and the PPG IP: <ol style="list-style-type: none"> a. Update the baseline/situational analysis presented in the PIF. This will include a precise definition of baseline projects, activities, budgets, goals and co-financial links to GEF outcomes; definition of GEF incremental value per outcome and output; and presentation of results of the incremental cost-analysis in matrices as appropriate; b. Oversee the stakeholder analysis and consultations and ensure that they are complete and comprehensive; c. Ensure the preparation of the gender analysis and ensure its findings are meaningfully integrated into the project’s strategy, theory of change and results framework; d. Ensure action points, including risk assessments, from the UNDP Social and Environmental Screening Procedure (SESP) at the PIF stage (“pre-screening”) are fully implemented during the PPG, and update that screening in an iterative fashion throughout the PPG, as appropriate; e. Oversee the identification of the project sites, with documentation of selection criteria; f. Oversee the consultations with partners regarding financial planning; and g. Ensure completion of any additional studies that are determined to be needed for the preparation of the ProDoc and all other final outputs. 3) <u>Formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes (Component B):</u> With inputs from the other national and international consultants, as detailed in their respective TORs and the PPG IP, and based on international best practice:

	<ul style="list-style-type: none"> a. Develop, present and articulate the project’s theory of change; b. Develop the Results Framework in line with UNDP-GEF policy; c. Develop a detailed Monitoring and Evaluation Plan; d. Develop a detailed Budget and Procurement Plan; e. Work with the UNDP CO to select an indicator for one of the outcomes of the IRRF; f. Oversee and ensure the preparation of a Stakeholder Engagement Plan; g. Oversee and ensure the preparation of a Gender Action Plan and Budget; h. Update the SESP based on assessments undertaken during Component A, and ensure the development of environmental and/or social management plan(s) for all risks identified as Moderate or High in the SESP; i. Prepare the required GEF tracking tool(s); j. Secure and present agreements on project management arrangements; k. Ensure the completion of the required official endorsement letters; and l. Synthesize all analyses, studies, etc. that are prepared under Components A and B to produce the draft UNDP-GEF ProDoc, GEF CEO Endorsement, and all mandatory and project specific Annexes, using the required templates.¹ <p>4) <u>Validation Workshop (Component C):</u></p> <ul style="list-style-type: none"> a. Lead the validation workshop to present, discuss and validate the final draft ProDoc and mandatory and project specific annexes, with a special focus on the SESP and any management plans; and b. Oversee all necessary revisions that arise during the workshop. c. Ensure completion of Validation Workshop Report. <p>5) <u>Final Deliverables:</u></p> <ul style="list-style-type: none"> a. Consolidation of all technical and consultation inputs including from national stakeholders, UNDP, GEF Secretariat, STAP and GEF Council, into a well written and concise UNDP ProDoc with all required sections and Annexes, in line with the standard UNDP-GEF ProDoc template and annotated guidance; b. Completion of the GEF CEO Endorsement Request; c. All documentation from GEF PPG (including technical reports, etc.); and d. Validation Workshop Report. <p>Qualifications</p> <ul style="list-style-type: none"> • Master’s degree or higher in a relevant field (e.g. natural sciences, biodiversity conservation, ecology, forestry); a relevant university degree in combination with qualifying experience in the areas related to the project objectives will be accepted in lieu of the post-graduate degree. • Minimum of 10 years of demonstrated experience relevant to biodiversity conservation and protected area design and/or management; • Demonstrated experience in developing quality GEF-funded projects (preferably on biodiversity conservation and/or PA management); • Demonstrated experience working in developing country contexts, preferably including in Africa; • Experience in Small Island Developing States would be an asset; • Full proficiency in quality written and spoken English required; • Working knowledge of Portuguese is highly desirable. Working knowledge of French would be beneficial.
<p>Position: Sustainable Land Management & Livelihoods Expert (International Consultant)</p>	<p>Role. Under the coordination of the PPG Team Leader and in collaboration with other PPG Team members, participate in and support the PPG process, research, field mission, project design development and the preparation of the ProDoc/GEF CEO Endorsement Request package, taking a lead on the aspects related to sustainable land management as well as local livelihoods and socio-economic development.</p> <p>Deliverables. The following lists key responsibilities and deliverables e that will be expected from the contractor. Note that the UNDP PPG Implementation Plan provides</p>

¹ Please verify with the UNDP-GEF team that the correct templates are being used.

<p>Type: IC</p> <p>Number of person-days needed: 50 (10 weeks)</p> <p>Tentative cost per person-day: USD 650</p>	<p>further and more detailed guidance regarding the tasks and responsibilities of the PPG team and must be followed accordingly.</p> <ol style="list-style-type: none"> 1) <u>Preparatory Technical Studies and Reviews (PPG IP Component A):</u> Prepare inputs and support the required analyses/studies, as agreed with the PPG Team Leader, including: <ol style="list-style-type: none"> a. Lead the work stream on sustainable land management, local livelihoods and socio-economic development, including: (i) a review of SLM-relevant national and sector development plans, policies and budgets; research and data collection for the definition of the baseline situation regarding SLM; (ii) a capacity development needs assessment and capacity development plan regarding SLM and sustainable livelihoods; (iii) a socio-economic and socio-cultural survey as well as an assessment of environmental sustainability and local biodiversity-loss drivers in buffer zone communities (assessing if agricultural activities are the principal driver of biodiversity decline and therefore must be mitigated); (iv) an assessment and definition of suitable work on SLM/SFM and livelihoods to be provided by the project (responding to a request from GEF STAP, consider if the project could assist (buffer zone) communities to obtain land rights coupled with quality participatory collective governance, and move to technically feasible interventions); (v) a review and international benchmarking of options for sustainable livelihood interventions linked to sustainable land and natural resource management and participatory PA management, assuring adequacy, incrementality and cost-effectiveness of the project’s interventions; (vi) addressing/integrating, where related to SLM and livelihoods, the suggestions made and opportunities/risks identified in the context of PIF approval by GEF Secretariat, GEF STAP, and GEF Council. b. Provide inputs in the stakeholder engagement plan. c. Contribute to the selection of target sites. 2) <u>Formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes (Component B):</u> <ol style="list-style-type: none"> a. Prepare inputs and support the development of final PPG deliverables, as agreed with the PPG Team Leader. b. Contribute to development of the results framework with suitable objective-level and outcome-level indicators, baseline values and end-of-project targets. c. Review deliverables from other PPG team members as appropriate for alignment, integration and mutual quality assurance. 3) <u>Validation Workshop (Component C):</u> <ol style="list-style-type: none"> a. Contribute (remotely) to the validation workshop; and b. Support all necessary revisions that arise during the workshop, as appropriate. 4) <u>Final Deliverables:</u> <ol style="list-style-type: none"> a. Report summarizing technical studies conducted as described above. b. Inputs provided into the Final Project Document and GEF CEO ER, as agreed with PPG Team Leader and approved by UNDP CO. <p>Qualifications</p> <ul style="list-style-type: none"> • Master’s degree or higher in a relevant field, such as in agronomy, biological sciences, environmental management, or similar; a relevant university degree in combination with qualifying experience in the areas related to the project objectives will be accepted in lieu of the post-graduate degree. • Minimum of 5 years of demonstrated experience in sustainable land management and local livelihood development. • Demonstrated experience in contributing to the development of GEF-funded projects would be an asset. • Demonstrated experience working in developing country contexts, preferably including in Africa;
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	<ul style="list-style-type: none"> • • Full proficiency in quality written and spoken English required; • Working knowledge of Portuguese is highly desirable. Working knowledge of Spanish would be beneficial.
<p>Position: Policy & Institutional Expert (national consultant)</p> <p>Type: NC</p> <p>Number of person-weeks needed: 10 weeks (50 days)</p> <p>Tentative cost per person-week: USD 800</p>	<p>Role. Under the coordination of the PPG Team Leader and in close collaboration with other PPG Team members, participate in and support the PPG process, research, field mission, project development and the preparation of the <u>ProDoc/GEF CEO Endorsement Request</u> package, providing country-specific inputs and expertise relevant to legal framework and institutional capacity reviews.</p> <p>Deliverables. The following lists key responsibilities and deliverables that will be expected from the contractor. Note that the UNDP PPG Implementation Plan provides further and more detailed guidance regarding the tasks and responsibilities of the prospective PPG team and must be consulted accordingly.</p> <ol style="list-style-type: none"> 1) <u>Preparatory Technical Studies and Reviews (PPG IP Component A):</u> Prepare inputs and support the required analyses/studies, as agreed with the PPG Team Leader, including: <ol style="list-style-type: none"> a. Assess legal frameworks and institutional mandates relevant to the intended outcomes of the proposed GEF project, particularly those related to land use, environmentally sustainable natural resource management, Protected Area (PA) management, and protection of marine biodiversity; evaluate the extent to which policies and strategies pertaining to economic growth and development are sufficiently aligned with existing environmental legislation, including that relating to PAs and their buffer zones; develop recommendations to strengthen legal frameworks and enhance the enabling environment for biodiversity protection, taking into account the fact that regulatory goals should establish indicators for key performance areas (e.g. biodiversity status, tourism and income, infrastructure and equipment, sustainable communities and community-based natural resource management). b. Analyse the regulatory requirements for institutions responsible for PA management, and sustainable land management in PA buffer zones; assess how best to institutionalize these functions at the local and regional level. c. Develop recommendations on how to increase PA management effectiveness in terms of achieving global environmental benefits and make relevant institutions more accountable to society; assess the extent to which regulatory and implementation functions can be segregated (consider the option of delegating functions to non-government actors). d. Assess institutional/technical/operational/individual capacity and capacity development needs for key stakeholder groups on biodiversity conservation; reassess the extent to which insufficient capacity is the primary barrier to biodiversity conservation versus political will and incentive; assess the extent to which valuation of biodiversity and improved legal frameworks will be sufficient to incentivise authorities, as well as private sector and natural resource users to change their practices; develop feasible capacity strengthening strategies to facilitate project implementation success as well as longer-term sustainability of project-supported interventions. e. Conduct any further research and data collection required to confirm or define suitable objective-level and outcome-level indicators and their baseline values and end-of-project targets. 2) <u>Contributions to the Formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes (Component B):</u> <ol style="list-style-type: none"> a. Provide relevant quality text sections for the ProDoc/ GEF CEO Endorsement Request package on the aspects mentioned above.

	<p>b. Review deliverables from other PPG team members as appropriate for alignment, integration and mutual quality assurance.</p> <p>3) <u>Validation Workshop (Component C):</u></p> <p>a. Participate in, and contribute to the validation workshop.</p> <p>b. Support necessary revisions that arise during the workshop, as appropriate.</p> <p>4) <u>Final Deliverables:</u></p> <p>a. Report summarizing technical studies as described above.</p> <p>b. Inputs provided into the Final Project Document, as agreed with PPG Team Leader and approved by UNDP CO.</p> <p>Qualifications</p> <ul style="list-style-type: none"> • Advanced university degree in a relevant field, such as in environmental law, biological sciences, environmental management, or similar; in lieu of post-graduate degree, 5 years additional demonstrated relevant professional experience will be accepted. • Minimum of 10 years of demonstrated relevant professional experience. • Experience working with UNDP and/or GEF projects an advantage. • Working knowledge of English and Portuguese required.
<p>Position: Biodiversity Expert (national consultant)</p> <p>Type: NC</p> <p>Number of person-weeks needed: 10 weeks (50 days)</p> <p>Tentative cost per person-week: USD 800</p>	<p>Role. Under the coordination of the PPG Team Leader and in close collaboration with other PPG Team members, participate in and support the PPG process, research, field mission, project development and the preparation of the <u>ProDoc</u>/GEF CEO Endorsement Request package, providing country-specific inputs and expertise relevant to biodiversity conservation, protected area management and finance, and related threats and opportunities.</p> <p>Deliverables. The following lists key responsibilities and deliverables that will be expected from the contractor. Note that the UNDP PPG Implementation Plan provides further and more detailed guidance regarding the tasks and responsibilities of the prospective PPG team and must be consulted accordingly.</p> <p>5) <u>Preparatory Technical Studies and Reviews (PPG IP Component A):</u> Prepare inputs and support the required analyses/studies, as agreed with the PPG Team Leader, including:</p> <p>f. Evaluate previous interventions relevant to Project Component 1 (<i>Operational policy, institutional, and financial framework and capacity strengthened to protect terrestrial and marine habitats that are of key importance for biodiversity conservation</i>) and Project Component 2 (<i>Operational policy, institutional, and financial framework and capacity strengthened to protect terrestrial and marine habitats that are of key importance for biodiversity conservation</i>); extract lessons learned and good practices.</p> <p>g. Update the information presented in the PIF regarding: i) forest/land types and their respective cover (replacing the 20-year old domestic forest statistics in the PIF with more recent statistics and satellite data on land cover, considering deforestation trends); and ii) the status of the Príncipe UNESCO Biosphere Reserve (e.g. produce a map with overview of protected areas and their status; provide an overview of existing programs for the establishment of Marine Protected Areas and donation schemes).</p> <p>h. Conduct a desktop study to develop an overview of terrestrial and marine biodiversity distribution and status, as well as actions that are being undertaken to monitor/protect key endangered and endemic species.</p> <p>i. Obtain baseline data on management effectiveness in the targeted protected areas (PAs), capacity scores for PA management; suitable (proxy) indicator species and threat reduction; and baseline PA system financing levels and gaps.</p>

	<p>j. Identify other relevant existing and planned initiatives, in order to update the baseline assessment as presented in the PIF to help determine the incrementality of the GEF investment; determine entry points that will yield the highest leverage for strengthening the protection of biodiversity in São Tomé and Príncipe; negotiate partnerships to align activities and build synergies, ensuring that this is reflected in the project strategy.</p> <p>k. In close cooperation with the PPG Stakeholder Engagement and Gender Mainstreaming Expert, identify, actively engage and sensitise key government authorities (e.g. at the local and national level), and other relevant stakeholders (e.g. farmers, fishermen, local communities, NGOs, research institutes, private sector actors, etc.) facilitating their full participation and agreement in the development of project strategies and activities.</p> <p>l. Provide advice and support to the PPG Team Policy & Institutional Expert in assessing institutional/technical/operational/individual capacity and capacity development needs for key stakeholder groups on biodiversity conservation; reassess the extent to which insufficient capacity is the primary barrier to biodiversity conservation versus political will and incentive; assess the extent to which valuation of biodiversity and improved legal frameworks will be sufficient to incentivise authorities, as well as private sector and natural resource users to change their practices; develop feasible capacity strengthening strategies to facilitate project implementation success as well as longer-term sustainability of project-supported interventions.</p> <p>m. Based on abovementioned assessments, identify target sites and propose technically feasible interventions in order to achieve intended outcomes 1 and 2 of the GEF project.</p> <p>n. Conduct any further research and data collection required to confirm or define suitable objective-level and outcome-level indicators and their baseline values and end-of-project targets.</p> <p>6) <u>Contributions to the Formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes (Component B):</u></p> <p>c. Provide relevant quality text sections for the ProDoc/ GEF CEO Endorsement Request package on the aspects mentioned above.</p> <p>d. Review deliverables from other PPG team members as appropriate for alignment, integration and mutual quality assurance.</p> <p>7) <u>Validation Workshop (Component C):</u></p> <p>c. Participate in, and contribute to the validation workshop.</p> <p>d. Support necessary revisions that arise during the workshop, as appropriate.</p> <p>8) <u>Final Deliverables:</u></p> <p>c. Report summarizing technical studies as described above.</p> <p>d. Inputs provided into the Final Project Document, as agreed with PPG Team Leader and approved by UNDP CO.</p> <p>Qualifications</p> <ul style="list-style-type: none"> • Advanced university degree in a relevant field, such as in biological science, ecology, zoology, nature conservation, forestry, environmental management, or similar; in lieu of post-graduate degree, 5 years additional demonstrated relevant professional experience will be accepted. • Minimum of 8 years of demonstrated relevant professional experience. • Experience working with UNDP and/or GEF projects an advantage. • Working knowledge of English and Portuguese required.
Position:	Role. Under the coordination of the PPG Team Leader and in close collaboration with other PPG Team members, participate in and support the PPG process, research, field mission, project development and the preparation of the <u>ProDoc</u> /GEF CEO Endorsement

<p>Sustainable Land Management and Livelihoods Expert</p> <p>(national consultant)</p> <p>Type: NC</p> <p>Number of person-weeks needed: 10 weeks (50 days)</p> <p>Tentative cost per person-week: USD 800</p>	<p>Request package, providing country-specific inputs related to sustainable land management as well as local livelihoods and socio-economic development.</p> <p>Deliverables. The following lists key responsibilities and deliverables that will be expected from the contractor. Note that the UNDP PPG Implementation Plan provides further and more detailed guidance regarding the tasks and responsibilities of the PPG team and must be followed accordingly.</p> <p>1) <u>Preparatory Technical Studies and Reviews (PPG IP Component A):</u> Prepare inputs and support the required analyses/studies, as agreed with the PPG Team Leader, including:</p> <ol style="list-style-type: none"> a. Evaluate previous interventions relevant to Project Component 3 (<i>Enhanced environmental sustainability of economic activities in buffer zones</i>) aimed at enhancing environmental sustainability and biodiversity conservation in PA bufferzones on São Tomé and Príncipe (e.g. past ECOFAC, IFAD and PAPAFA projects), extracting lessons learned and good practices. b. Conduct a socio-economic and socio-cultural survey, as well as an assessment of environmental sustainability and local biodiversity-loss drivers in buffer zone communities; assess the extent to which if agricultural activities are the principal driver of biodiversity decline, versus associated activities (e.g. illegal logging and felling of trees, extraction of biodiversity from PAs by traditional healers, invasive species, etc). c. Determine the extent to which land tenure-related issues hamper sustainable land/forest management in PA buffer zones; assess how the project could meaningfully intervene in addressing these issues (e.g. by promoting/facilitating participatory governance processes, addressing land policy-related issues). d. Based on lessons learned from previous interventions, the abovementioned surveys, and best international practices, develop technically feasible activities on sustainable land management in PA buffer zones for the project to support. e. Identify existing and planned initiatives, in order to update the baseline assessment as presented in the PIF to help determine the incrementality of the GEF investment; negotiate partnerships to align activities and build synergies, ensuring that this is reflected in the project strategy. f. In close cooperation with the PPG Stakeholder Engagement and Gender Mainstreaming Expert, identify, actively engage and sensitise key government authorities (e.g. at the local and national level), natural resource users (e.g. farming communities in buffer zone areas, palm oil, cocoa and coffee producers, agroforestry cooperatives, traditional healers, etc.), and other relevant stakeholders, facilitating their full participation and agreement in the development of project strategies and activities. g. Assess institutional/technical/operational/individual capacity and capacity development needs for key stakeholder groups on sustainable land and forest management; develop feasible capacity strengthening strategies to facilitate project implementation success as well as longer-term sustainability of project-supported interventions h. Based on the abovementioned assessments, identify target sites for project-supported interventions. <p>2) <u>Contributions to the Formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes (Component B):</u></p> <ol style="list-style-type: none"> a. Provide relevant quality text sections for the ProDoc/ GEF CEO Endorsement Request package on the aspects mentioned above. b. Review deliverables from other PPG team members as appropriate for alignment, integration and mutual quality assurance. <p>3) <u>Validation Workshop (Component C):</u></p> <ol style="list-style-type: none"> e. Participate in, and contribute to the validation workshop.
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	<p>f. Support necessary revisions that arise during the workshop, as appropriate.</p> <p>4) <u>Final Deliverables</u>:</p> <p>e. Report summarizing technical studies as described above.</p> <p>f. Inputs provided into the Final Project Document, as agreed with PPG Team Leader and approved by UNDP CO.</p> <p>Qualifications</p> <ul style="list-style-type: none"> • Advanced university degree in a relevant field, such as in agronomy, geography, biological science, environmental economics, environmental management, or similar; in lieu of post-graduate degree, 5 years additional demonstrated relevant professional experience will be accepted. • Minimum of 5 years of demonstrated relevant professional experience. • Experience working with UNDP and/or GEF projects an advantage. • Working knowledge of English and Portuguese required.
<p>Position: Stakeholder Engagement & Gender Mainstreaming Expert</p> <p>(national consultant)</p> <p>Type: NC</p> <p>Number of person-weeks needed: 10 weeks (50 days)</p> <p>Tentative cost per person-week: USD 800</p>	<p>Role. Under the coordination of the PPG Team Leader and in collaboration with other PPG Team members, participate in and support the PPG process, research, field mission, project development and the preparation of the <u>ProDoc</u>/GEF CEO Endorsement Request package, providing country-specific inputs related to gender and stakeholder analysis and engagement.</p> <p>Deliverables. The following lists key responsibilities and deliverables that will be expected from the contractor. Note that the UNDP PPG Implementation Plan provides further and more detailed guidance regarding the tasks and responsibilities of the PPG team and must be followed accordingly.</p> <p>1) <u>Preparatory Technical Studies and Reviews (PPG IP Component A)</u>: Prepare inputs and support the required analyses/studies, as agreed with the PPG Team Leader, including:</p> <ol style="list-style-type: none"> a. Lead and advise on the stakeholder analysis and consultations and ensure that they are complete and comprehensive. This will involve: (i) preparing an overview of key stakeholders (e.g. from Government representatives to local-level natural resource users), their (potential) roles, expectations, and possible impacts with respect to the outcomes of the proposed project; (ii) active consultation and engagement of relevant stakeholders to ensure their full participation, secure ownership, and agreement in the development of the project strategy and design; (iii) development of a the Stakeholder Engagement Plan. b. Review deliverables from other PPG team members as appropriate for alignment, integration and mutual quality assurance. c. Prepare the Gender Analysis, Gender Action Plan and Budget and work closely with the Team Leader to ensure its findings are meaningfully integrated into the project’s strategy, theory of change and results framework. d. Support action points, including risk assessments from the UNDP Social and Environmental Screening Procedure (SESP), and update that screening in an iterative fashion throughout the PPG as appropriate. e. Support completion of any additional studies that are determined to be needed for the preparation of the ProDoc and all other final outputs. <p>2) <u>Contributions to the Formulation of the ProDoc, CEO Endorsement Request, and Mandatory and Project Specific Annexes (Component B)</u>:</p> <ol style="list-style-type: none"> a. Working closely with the Team Leader to ensure that the abovementioned findings are meaningfully integrated into the project’s strategy, design, theory of change and results framework.

	<ul style="list-style-type: none"> b. Contribute to development of the results framework with suitable objective-level and outcome-level indicators, baseline values and end-of-project targets. c. Review deliverables from other PPG team members as appropriate for alignment, integration and mutual quality assurance. <p>3) <u>Validation Workshop (Component C):</u></p> <ul style="list-style-type: none"> a. Participate in, and contribute to the validation workshop. b. Support necessary revisions that arise during the workshop, as appropriate. <p>4) <u>Final Deliverables:</u></p> <ul style="list-style-type: none"> a. Report summarizing technical studies as described above. b. Inputs provided into the Final Project Document, as agreed with PPG Team Leader and approved by UNDP CO. <p>Qualifications</p> <ul style="list-style-type: none"> • Advanced university degree in a relevant field, such as sociology, or environmental management; in lieu of post-graduate degree, 5 years additional demonstrated relevant professional experience will be accepted. • Minimum of 5 years of demonstrated experience relevant to gender analysis and/or community engagement. • Experience working with UNDP and/or GEF projects an advantage. • Working knowledge of English and Portuguese required.
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ANNEX 4A: COMMENTS ON THE PIF FROM GEF SECRETARIAT



GEF-6 GEF SECRETARIAT REVIEW FOR FULL-SIZED/MEDIUM-SIZED PROJECTS THE GEF/LDCF/SCCF TRUST FUND

GEF ID:	10007		
Country/Region:	Sao Tome and Principe		
Project Title:	Enhancing Capacity for Biodiversity Conservation and Protected Area Management		
GEF Agency:	UNDP	GEF Agency Project ID:	5881 (UNDP)
Type of Trust Fund:	GEF Trust Fund	GEF Focal Area (s):	Multi Focal Area
GEF-6 Focal Area/ LDCF/SCCF Objective (s):	BD-1 Program 1; LD-2 Program 3;		
Anticipated Financing PPG:	\$150,000	Project Grant:	\$4,262,559
Co-financing:	\$11,757,908	Total Project Cost:	\$16,020,467
PIF Approval:		Council Approval/Expected:	
CEO Endorsement/Approval		Expected Project Start Date:	
Program Manager:	Jean-Marc Sinnassamy	Agency Contact Person:	Saskia Marijnissen

PIF Review			
Review Criteria	Questions	Secretariat Comment	Agency Response
Project Consistency	1. Is the project aligned with the relevant GEF strategic objectives and results framework? ¹	<p>The project can potentially be aligned under the BD1 Program 1 and the LD2 Program 3, but several adjustments are requested (cf. cell 5). Please, confirm.</p> <p>5/4/2018:</p> <p>Cleared. Also note that the Obo National Park is a very important</p>	<p>5/4/2018</p> <p>We have made adjustments to ensure better alignment with BD1 Program 1 on Improving Financial Sustainability and Effective Management of the National Ecological Infrastructure and LD2 Program 3 on Landscape Management and Restoration, conform recommendations made by the reviewer (ref. response to comments 5).</p>

PIF Review			
Review Criteria	Questions	Secretariat Comment	Agency Response
	2. Is the project consistent with the recipient country's national strategies and plans or reports and assessments under relevant conventions?	<p>KBA.</p> <p>Yes, NBSAP II (2015-2020) and Strategy on Desertification and Land Degradation (2005), but also the second National Poverty Reduction Strategy.</p>	Noted.
Project Design	3. Does the PIF sufficiently indicate the drivers ² of global environmental degradation, issues of sustainability, market transformation, scaling, and innovation?	<p>- The main threats of environmental degradation are identified, but should be classified and prioritized. Based on the information provided in the document, we understand that the main drivers of environmental degradation are unsustainable exploitation of land and marine resources (expansion of agriculture, felling, BD extraction) aggravated by demographic changes, prevailing poverty, climate change, and invasive species. Other problems that are mentioned are consequences of these threats (deforestation, coastal area degradation and loss).</p> <p>- The barriers should be defined in the context of protecting a globally important biodiversity, improving the current network of protected areas, and the management of surrounding buffer zones. The logics between the table p9 and the result framework (table B) is not clear.</p>	<p>5/4/2018:</p> <p>3.1 The Threats section (p 7) has been revised to follow a causal chain approach, distinguishing between the root causes, underlying causes and immediate drivers of environmental threats. The key threats that the project will aim to reduce by addressing their immediate drivers are classified and prioritized.</p> <p>3.2 The narrative of the table describing the barriers (p 9) has been revised to emphasize more clearly the linkages that exist with the proposed interventions as described in the Indicative Project Description Summary (Table B).</p> <p>3.3 References have been included in the Project Strategy (see footnotes).</p> <p>3.4 As described in the background section (p5-6), the present global vulnerability status (following the IUCN Red List criteria) of several of the species</p>

PIF Review			
Review Criteria	Questions	Secretariat Comment	Agency Response
		<p>- Scientific references would be welcome to reinforce the demonstration.</p> <p>- Is the status of Global Important Biodiversity available for the sites that are considered (Obo Sao tome, Obo Principe, coastal and marine area of the Principe Biosphere reserve)?</p> <p>5/4/2018 Cleared.</p>	<p>that inhabit the Obo Natural Parks on São Tomé and Príncipe and STP's coastal waters is known. However, as described in the baseline and barriers sections, limited investments have been made thus far in monitoring biodiversity trends and making this information widely available. We have strengthened the narrative in the barriers sections to place more emphasis on this problem.</p>
	4. Is the project designed with sound incremental reasoning?	<p>- The project is embracing too many aspects, due to some weaknesses in the reasoning. It is difficult to see the approach that is unifying the outcomes, outputs, and activities of the project.</p> <p>- What is the baseline in terms of existing related policy framework? Additional information would help to better shape the result framework. What is the overarching policy framework (if any) that will be integrated in the PA management with SLM interventions? What is the approach that is unifying the activities of the project?</p> <p>- The role of cofinancing should be better developed to demonstrate the added value of GEF activities.</p>	<p>5/4/2017:</p> <p>4.1 We recognize this issue, which is related to the fact that multiple aspects require interventions simultaneously in order to enhance overall capacities for both terrestrial and marine biodiversity conservation in STP. We have revised the Result Framework (ref. response to comments 5) and the narrative of the Project Strategy to better explain the underlying theory of change that unifies the different components. As furthermore described in the Coordination section (p. 17), the project will ensure synergies with ongoing/planned interventions, including the EU-funded ECOFAC VI Programme, in order to maximize the impacts of the GEF investment.</p> <p>4.2 One of the challenges for biodiversity conservation in STP is the</p>

PIF Review			
Review Criteria	Questions	Secretariat Comment	Agency Response
		<p>- We suggest to well check the nature of investments financed under the BD1 Program 1 (http://www.thegef.org/sites/default/files/documents/GEF-6%20Programming%20Directions.pdf), and reconsider the project design to reinforce the network of protected areas.</p> <p>- The table, p12, should be revised, highlighting the role of cofinancing, and showing the additionality of GEF investments.</p> <p>- In the PPG, include a comprehensive risk analysis.</p> <p>5/4/2018 We take note of the improvement and can consider the items above addressed at PIF level. However, during the PPG, please address the following points: - Please ensure additional details on the role of the co-financing and what specific activities will be covered by co-financing are included at the endorsement stage. - Include a comprehensive risk analysis.</p>	<p>lack of an overarching policy framework, and the fact that there is no mechanism to ensure coordination (see Barriers p. 9), and as a result PA management and SLM interventions are not adequately linked. The project aims to facilitate strengthened legal frameworks and better coordination as well as integration of information across components (also see Component 4).</p> <p>4.3 This has been addressed by strengthening the narrative of the Coordination section (p. 17), and through a revision of the table on incremental reasoning (p. 14).</p> <p>4.4 We have revised both the Results Framework and the Project description to ensure better alignment with the type of investments financed under BD1 Program 1 (also see responses under comments 5).</p> <p>4.5 The narrative and table (p. 14) on Incremental Reasoning and Global Environmental Benefits were revised to show additionality of GEF investments (also see response 4.3).</p> <p>4.1 As mentioned (see Risks, p 4) a comprehensive risk analysis will be conducted during the PPG phase.</p>
	5. Are the components in Table B sound and sufficiently clear and appropriate	<p>- Project objective: the formulation is not enough specific. How would you</p>	<p>5/4/2018:</p>

PIF Review			
Review Criteria	Questions	Secretariat Comment	Agency Response
	to achieve project objectives and the GEBs?	<p>evaluate the "reduction of threats"? Please, revise and and provide a more specific objective.</p> <ul style="list-style-type: none"> - Project description: the text under each component should help to understand the logics and the nature of outputs. Please, revise. - Result framework: the result framework should be revised, simplified, and focused on outputs aligned with the BD1 Program 1 and the LD2 Program 3. - Formulation of outputs: The formulation of outputs should reflect the products, capital goods and services resulting from project activities; they should be quantified, as far as possible, specific, measurable, and reflect the value the money. The formulation of outcomes should express the short-term/medium-term effects, or consequences, achieved by a set of outputs. Several outputs are expressed as outcomes, are not quantified, or are too vague to reflect a value for money: <ul style="list-style-type: none"> - Please, revise the formulation of the following outputs: 1.2, 1.3, 1.4, 3.3, - Please, quantify (provide a number) for the following outputs: 1.1, 3.1, 	<p>5.1 Project objective is reformulated as: "Systemic, institutional and operational capacity at national and site levels strengthened for protected area management and sustainable land management, to safeguard globally significant terrestrial and marine flora and fauna and ensure environmentally sustainable livelihoods."</p> <p>5.2 The narrative of the project strategy section (p 11-14) has been revised to help better understand the logics and nature of the outputs (see responses to comments 5.9-5.16)</p> <p>5.3 The results framework has been revised to highlight alignment with BD1 Program 1 and LD2 Program 3.</p> <p>5.4 Outputs have been simplified and quantified to the extent possible, taking into account the comments below.</p> <p>5.5 Outputs under Component 1 have been adapted to reflect the comments of the reviewer. Output National capital accounting (TSA) was removed, and instead</p> <p>Outputs under Component 3 were revised, and their order was changed according to their expected timeframes (also see response 5.14 and 5.15).</p> <p>5.6 Outputs have been quantified to the extent possible. Kindly note that the number of communities targeted for</p>

PIF Review			
Review Criteria	Questions	Secretariat Comment	Agency Response
		<p>3.2,</p> <ul style="list-style-type: none"> - Please, remove the list of activities in the formulation of outputs: 1.3, 2.1. <p>Components</p> <p>Component 1: there are too many outputs in too many directions, often over-promising, unrealistic (1.1, 1.4), or out of the scope of the project (1.2, please note that national capital accounting is a different GEF BD objective). However, a strategic capacity development plan, based on an identification of needs, complementary to cofinancing, is welcome (fusion and reformulation of 1.1, 1.2, 1.3, and 1.4).</p> <p>Component 2: OK for a component focusing on effectiveness of BD conservation and PA management planning. However, the text p11 does not help to figure out the logics and the nature of outputs and activities. Please, revise.</p> <ul style="list-style-type: none"> - Output 2.4: "Gazettement" should be better included in the component 1. - Output 2.2: "Training" seems a duplication of training activities under the component 1. - What is the difference between action plans in 2.1 and action plans in 2.5? - Output 2.1: If management plans 	<p>strengthening of development plans is tentative, and will be based on further assessments during the PPG phase. The project will prioritize support for the strengthening of development plans with those communities where the piloting of sustainable land management and IGA practices is expected to have the most impact (as explained in footnote and Project Strategy narrative).</p> <p>5.7 The list of detailed activities in outputs 1.3, and 2.1 was removed and is explained in the narrative of the Project Strategy.</p> <p>Component 1</p> <p>5.8 This has been addressed taking into account the comments of the reviewer (see responses 5.3-5.7).</p> <p>Component 2</p> <p>5.9 We revised the narrative of this component to better explain the logics of the outputs and activities, including reference to the existing management plans (comment 5.13).</p> <p>5.10 Gazettement of STP's first MPA is now included in the component 1.</p> <p>5.11 The type of training to be provided under Component 2 (Output 2.2) differs from the type of training intended under Component 1, as it will focus on enhancing capacities for active PA management on site.</p>

PIF Review			
Review Criteria	Questions	Secretariat Comment	Agency Response
		<p>(2015-2020) exist, the project financed management planning activities are not clear: we do not understand the added value of "Result based management and Action Plans".</p> <p>Component 3: - Output 3.1: How will the support to these activities by local communities be sustained? - Output 3.3: The formulation is more an outcome. In the text, we would like to see the logics of SLM investments (plan? capacity development strategies? pilot farms? demonstration plots? role of farmer organizations and agriculture extension officers...).</p> <p>Component 4 - Output 4.4: the description of the component 4 is silent on this output which includes the design of an upscaling strategy and its implementation. Please, explain. We are not seeing evidence of potential for upscaling.</p> <p>5/4/2018 Addressed. At CEO endorsement, again, develop the reasoning to show that the GEF is completing other efforts, and there are options/solutions for sustainability. Without this information (baseline,</p>	<p>5.12 At present, the only existing PAs are the Óbo Nature Parks and no marine/coastal PAs exist (e.g. see Table 1), hence a distinction was made between plans to manage the forested PAs and marine biodiversity. The Output on marine biodiversity action plans has now been merged.</p> <p>5.13 Although PA Management Plans, already exist for the 2015-2020 period, the Government acknowledges that these are already outdated, not sufficiently participatory, and do not adequately incorporate results-based approaches or strategies aimed at increasing the financial sustainability of PA management. In addition, the existing Action Plans only cover 1-year periods. We have revised the description of this component to highlight these facts, and better explain the added value of GEF-financed support.</p> <p>Component 3 5.14 We have revised this component to emphasize the importance of market analyses, as well as assessment and support of capacities of targeted groups to ensure sustainability of the investments (p 13).</p> <p>5.15 Formulation of Output 3.3 (Table B) and narrative (p 13) were revised. The logics of the SLM, SFM and CBM interventions are explained, including actions to ensure sustainability.</p>

PIF Review			
Review Criteria	Questions	Secretariat Comment	Agency Response
		<p>co-financing), it will be difficult for the GEF to finance alone infrastructures, like the Old Obo Natural Park building (output 2.3).</p>	<p>Component 4 5.16 The description of Output 4.4: the description of component 4 was revised to include reference to the design of an upscaling strategy and its implementation. In addition, the section on Innovation and Potential for Scaling-up (p. 14 was revised).</p> <p>6. Stakeholder analysis will be included in the PPG as per standard procedure, and the role of key stakeholders in all stages of the project (design, implementation, M&E processes) will be facilitated.</p>
	6. Are socio-economic aspects, including relevant gender elements, indigenous people, and CSOs considered?	<p>A list of stakeholders has been identified. In the PPG, please include a stakeholder analysis and ensure a role of local communities, CSO (farmer organizations, cooperatives, NGOs) in the design and the implementation of the project.</p> <p>5/4/2018 Cleared.</p>	<p>Stakeholder analysis will be included in the PPG as per standard procedure, and the role of key stakeholders in all stages of the project (design, implementation, M&E processes) will be facilitated.</p>
Availability of Resources	7. Is the proposed Grant (including the Agency fee) within the resources available from (mark all that apply):		
	<ul style="list-style-type: none"> The STAR allocation? 	<p>The proposed grant should be within the STAR resources of Sao Tome y Principe (total: \$4,831,752; \$3,776,014 from BD and \$1,055,738 from LD).</p>	Noted.

PIF Review			
Review Criteria	Questions	Secretariat Comment	Agency Response
		<p>However, some red alerts are popping up in the PMIS, with potential over-programming of STAR resources. This project will be considered with other GEF6 projects still pending for Sao Tome y Principe.</p> <p>Please, also understand that approval of PIFs at the end of the replenishment period depends on the overall availability of the trust fund and cannot be guaranteed.</p>	
	<ul style="list-style-type: none"> The focal area allocation? 	<p>See above.</p> <p>Approval of PIFs at the end of the replenishment period depends on the overall availability of the trust fund and cannot be guaranteed.</p>	Noted.
	<ul style="list-style-type: none"> The LDCF under the principle of equitable access 	NA	
	<ul style="list-style-type: none"> The SCCF (Adaptation or Technology Transfer)? 	NA	
	<ul style="list-style-type: none"> Focal area set-aside? 	NA	
Recommendations	8. Is the PIF being recommended for clearance and PPG (if additional amount beyond the norm) justified?	<p>The PIF cannot be recommended yet. Please, address the comments above.</p> <p>- Table A and Table C: Please, revise the cofinancing, and round up the numbers: Providing the cents in the tables A and C is making then a discrepancy with the table B.</p> <p>- Some comments above should be included in the PPG (risk analysis,</p>	<p>5/4/2018:</p> <p>The comments provided by the reviewer are appreciated and have been addressed in the revised PIF.</p> <p>Tables A and C have been revised to round up the numbers and address discrepancies with table B.</p>

PIF Review			
Review Criteria	Questions	Secretariat Comment	Agency Response
		<p>stakeholder analysis,...).</p> <p>5/7/2018</p> <p>The comments have been addressed. The PIF is recommended for clearance. The points below should be addressed or improved at CEO endorsement.</p> <p>During, the PPG, please address the following points summarized below:</p> <ul style="list-style-type: none"> Please ensure additional details on the role of the co-financing and what specific activities will be covered by co-financing are included at the endorsement stage. The need to improve the GEF reasoning (baseline, cofinancing) will be particularly important for infrastructures, like the Old Obo Natural Park building. Options/Solutions for sustainability should also be proposed. Include a comprehensive risk analysis. Include a stakeholder analysis and ensure a role of local communities, CSO (farmer organizations, cooperatives, NGOs) in the design and the implementation of the project. About the Monitoring & Evaluation (not only related to the project administration, but also the scientific 	<p>PPG-related comments are noted and will be taken into account accordingly.</p>

PIF Review			
Review Criteria	Questions	Secretariat Comment	Agency Response
		monitoring, if any): please provide baseline data and quantified indicators at CEO endorsement, and do not plan to make the assessment the first year of the project.	
Review Date	Review	March 15, 2018	May 04, 2018
	Additional Review (as necessary)	May 07, 2018	
	Additional Review (as necessary)		

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: May 31, 2018
Screener: Virginia Gorsevski
Panel member validation by: Brian Child
Consultant(s):

I. PIF Information *(Copied from the PIF)*

FULL-SIZED PROJECT **GEF TRUST FUND**
GEF PROJECT ID: 10007
PROJECT DURATION: 6
COUNTRIES: Sao Tome and Principe
PROJECT TITLE: Enhancing Capacity for Biodiversity Conservation and Protected Area Management

GEF AGENCIES: UNDP
OTHER EXECUTING PARTNERS: Regional Directorate of Environment & Conservation, Directorate of Environment, Directorate of Forests, Directorate of Agriculture, Directorates of the Natural Parks on São Tomé and Príncipe
GEF FOCAL AREA: Multi Focal Area

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):
Minor issues to be considered during project design

III. Further guidance from STAP

STAP welcomes the project proposal from UNDP entitled "Enhancing Capacity for Biodiversity Conservation and Protected Area Management." The objective of this project is to strengthen systemic, institutional and operational capacity at national and site levels for protected area management and sustainable land management, to safeguard globally significant terrestrial and marine flora and fauna and ensure environmentally sustainable livelihoods.

São Tomé and Príncipe (STP) is struggling with under-managed and under-resourced protected areas (PAs) as well as lack of coordination and capacity at the national level. In addition, unsustainable land practices in the PA buffer areas is adding additional pressure, along with destructive fishing practices. The primary underlying drivers of degradation are increasing population and unsustainable economic growth tied to industries that rely on natural resource extraction, and also the growing tourism industry. This UNDP project builds on several past projects administered by the EU, IFAD, FAO and UNDP, which have led to the establishment of the PAs and some efforts to mainstream biodiversity and promote climate resilient development, among other things.

The rationale for working in STP is clear given the country's extensive biological diversity and the growing threats identified above. However, to improve this project and its overall likelihood of success, STAP has several general observations and some specific recommendations.

In general:

Despite the high economic value of many African protected areas, they are underperforming because institutions are poorly designed administratively (e.g. the over-sight/policy agency is also the implementing agencies) and financially (e.g. finances are over-centralized). STP represents a greenfield where these future problems can be avoided. It is therefore recommended that the PPG:

1. Undertake a rigorous analysis of the regulatory requirements for PA and buffer-zone institutions, and how best to institutionalize these functions, rather than following the antiquated model of a state PA agency. Regulatory goals should establish indicators for key performance areas – biodiversity status and protection, tourism and income, infrastructure and equipment, sustainable communities and community-based natural resource management (CBNRM).
2. Assess whether the regulatory agency should be a government agency, and how to make it effective and accountable to society and to achieve global environmental benefits (GEBs).
3. Carefully contemplate how to separate regulatory functions from implementation functions, and consider delegating implementation functions to non-government agencies.
4. Take considerable care in matching the aspirations of the PAs to their sustainable revenue potential.

Specific comments related to each of the Components are as follows:

Component 1: The use of a sound economic cost-benefit analysis to decide priorities is highly endorsed by STAP. So is the use of management plans, noting that these can or should be limited to ten pages with a clear results chain and performance indicators, and should be developed by the agencies that will implement them (with some external facilitation) and not by short term consultants. In addition, STAP believes that it is technically sound to integrate science into planning process. However, it is not clear from reading evaluations of past projects that lack of capacity is the primary barrier; rather it may be a question of political will and incentive. If so, will valuation of biodiversity and improved frameworks be sufficient to give national governments and (more importantly) local people incentive to change their practices? What if the business case for conservation isn't strong enough? What valuation methods and models will be used and why? What will be the incentive for palm oil and cocoa industries to engage in a productive manner?

Component 2: Irregular collection and mismanagement of park fees, along with shortage of staff and limited enforcement are major issues. If tourism shows growing potential, this sector should be brought into the process and effort should be made to show how revenue from tourism benefits local communities and businesses (does it?). STAP has developed an excel spreadsheet-based tool – Tourism Economic Model for Protected Areas – TEMPA that could potentially be used to help make the business case for greater investments in park infrastructure, for example.

Component 3: STAP endorses the focus on ten buffer zone communities. However, STAP suggests that efforts during the PPG phase give serious consideration to assisting communities to obtain land rights coupled with quality participatory collective governance, but also to move beyond platitudes of SLM, SFM, CFM, IGAs (p12) to technically feasible interventions.

Component 4: Lack of reliable data is listed as a problem: therefore, it is important for project proponents to work with science teams and others to collect and monitor relevant information during the duration of the project. However, greater effort should be paid to understanding why past projects didn't fulfill their potential (e.g. IFAD biodiversity mainstreaming project discusses many of the same barriers so clearly not 100 % effective. How can this project learn to avoid making same mistakes?). STAP notes that this project is incremental to 6 stages of the EU-funded ECOFAC programme. Consequently, STAP recommends that the PPG takes great care to focus on doing a few things properly than trying to resolve all problems in a single project cycle, and shares its concerns that the proposal may already be taking on too much. These should probably be 1. Establishing the minimum enabling legal environment with project champions 2. Establishing good management systems in PAs and 3. Piloting high quality community projects.

Finally, this PIF cites statistics on forest cover that are nearly 20 years old and which rely on the country's own forest survey. In 2018, with the abundance of freely-available satellite data on forest cover, it should be quite simple to update this information and provide a more accurate depiction of the current land cover situation. According to Global Forest Watch, tree cover constitutes 11.5% of total land area. Also this figure would not take into account recent deforestation trends – mainly due to oil palm production and commercial cocoa producers. Effort should be made in the PPG phase to sharpen these numbers to get a better sense of baseline conditions of different types of forest, among other land cover types.

<i>STAP advisory response</i>	<i>Brief explanation of advisory response and action proposed</i>
1. Concur	In cases where STAP is satisfied with the scientific and technical quality of the proposal, a simple “Concur” response will be provided; the STAP may flag specific issues that should be pursued rigorously as the proposal is developed into a full project document. At any time during the development of the project, the proponent is invited to approach STAP to consult on the design prior to submission for CEO endorsement.
2. Minor issues to be considered during project design	<p>STAP has identified specific scientific /technical suggestions or opportunities that should be discussed with the project proponent as early as possible during development of the project brief. The proponent may wish to:</p> <ul style="list-style-type: none"> (i) Open a dialogue with STAP regarding the technical and/or scientific issues raised. (ii) Set a review point at an early stage during project development, and possibly agreeing to terms of reference for an independent expert to be appointed to conduct this review. <p>The proponent should provide a report of the action agreed and taken, at the time of submission of the full project brief for CEO endorsement.</p>
3. Major issues to be considered during project design	<p>STAP proposes significant improvements or has concerns on the grounds of specified major scientific/technical methodological issues, barriers, or omissions in the project concept. If STAP provides this advisory response, a full explanation would also be provided. The proponent is strongly encouraged to:</p> <ul style="list-style-type: none"> (i) Open a dialogue with STAP regarding the technical and/or scientific issues raised; (ii) Set a review point at an early stage during project development including an independent expert as required. <p>The GEF Secretariat may, based on this screening outcome, delay the proposal and refer the proposal back to the proponents with STAP’s concerns.</p> <p>The proponent should provide a report of the action agreed and taken, at the time of submission of the full project brief for CEO endorsement.</p>

ANNEX 4C: COMMENTS ON THE PIF FROM GEF COUNCIL

RESPONSE TO GEF COUNCIL COMMENTS

PIF: Enhancing Capacity for Biodiversity Conservation and Protected Area Management, São Tomé and Príncipe

GEF ID 10007 - UNDP PIMS 5581

COMMENTS/QUESTIONS RECEIVED FROM US REPRESENTATIVE ²		
#	COUNCIL COMMENT / QUESTION	UNDP RTA RESPONSE
1.	<p>Why is the socio-cultural side of ecosystem service demand underemphasized in the project?</p> <p>Component 1 (Strengthened systemic and institutional capacity for protected area management and biodiversity conservation) emphasizes that sound knowledge and scientific data will inform decision making processes relevant to the protection of STPs unique biodiversity, with emphasis on an economic valuation of PA goods and services, without reference to the collection or analysis of socio-cultural use data. These data would seem to additionally inform Components 2 and 3.</p>	<p>The project intends to carry out detailed analyses to compare different PA and buffer zone management scenarios to determine both economic and social impacts of shifting from a business as usual scenario to an improved sustainable ecosystems management scenario (Component 1, p. 10).</p> <p>As such, the project design implicitly includes assessments relevant to the social side of ecosystem service demands. Nonetheless, we do agree that there is a clear need for more emphasis on socio-cultural valuation of ecosystem services including land-use preferences of stakeholder groups. We will ensure to include reference to the collection and analysis of socio-cultural use data during the PPG phase, and subsequent application in informing activities under Components 2 and 3 with the aim to encourage public involvement in land use, management and decision-making processes.</p>
2.	<p>Can the GEF provide more evidence to support the assumption made by Component 3 (Integrated, environmentally sustainable land management in multi-use buffer zones) that the agricultural activities in these buffer areas are the principal driver of biodiversity decline, and therefore must be mitigated?</p> <p>In other contexts, small-scale agriculture can support biodiversity maintenance, and often the drivers of biodiversity decline may arise from associated activities (e.g. domestic dog ownership) that require mitigation in a distinct fashion from changes to agriculture.</p>	<p>The assumption that the economic (including agricultural) activities by communities living in buffer zones of key biodiversity areas are a key driver of species decline in STP, is based on documented evidence that in addition to the extensive conversion of primary forest into agricultural land in the 1990's, ongoing rehabilitation of previously abandoned agricultural plantations and illegal tree felling is resulting in the disappearance of both lowland and secondary forests. At present, throughout most of the island, habitat modification remains the single most important threat affecting the island's endemics³.</p> <p>The SLM/SFM/CBM/IGA approaches that the project aims to promote will not necessarily exclude small-scale agriculture, but rather ensure that land use takes place in a manner that maximizes opportunities for the support of high biodiversity levels.</p> <p>The PIF does acknowledge that there are other factors besides land conversion that impact biodiversity inside PA's as well as in</p>

² As communicated to UNDP by the GEF Secretariat through Jean-Marc Sinnassamy, 20 June 2018

³ E.g.: Ministry for Natural Resources and the Environment (2007) National Report on the Status of Biodiversity in São Tomé and Príncipe, 108 pp; Ward-Francis and Ndong'ang'a (2014) International Species Action Plan for the Conservation of Critically Endangered birds on São Tomé 2014-2018, Birdlife International, 29 pp (and references therein); Carvallo et al. (2015) Wild meat consumption on São Tomé Island, West Africa: implications for conservation and local livelihoods. Ecology and Society 20(3): 27. <http://dx.doi.org/10.5751/ES-07831-200327> (and references therein).

		<p>the buffer zones, including the presence of introduced species (feral) pigs as well as (illegal) hunting and poaching. As part of its strategies to alleviate pressure resulting from economic activities by communities living in key biodiversity area buffer zones, the project aims to strengthen/ design local development plans by including strategies for the promotion and implementation of biodiversity protection through environmentally sustainable natural resource use and management methods, while contributing to environmentally sustainable local economic diversification.</p> <p>The PPG phase will help ensure that such strategies are informed by thorough assessments that should also provide information on the extent to which associated activities in buffer zones threaten biodiversity, and the potential to which the GEF-funded project could address these, also in synergy with other (planned) interventions such as the EU-financed ECOFAC VI Programme (2018-2021).</p>
3.	<p>The community consultation and engagement aspects of this project are relatively weak, is this an oversight that will be corrected in later stages project development? How do you intend to strengthen community consultation and engagement?</p>	<p>While Component 1, which aims to enhance systemic and institutional capacity for protected area management and biodiversity conservation, focuses largely on national/local government institutions and their staff, both Component 2 on the effectiveness of biodiversity conservation and PA site management actions and Component 3 on the integrated, environmentally sustainable land management in multi-use buffer zones are intended to be further designed as well as implemented in close cooperation with local communities.</p> <p>As part of Component 2, working closely together with a range of stakeholders including local communities, specific Action Plans will be developed and implemented for targeted coastal and marine habitats. Participatory management systems will be developed aimed at bringing together key stakeholders together to support decision-making relevant to PA management and species conservation, including representatives from local communities.</p> <p>Component 3 specifically focuses on local-level work, targeting 10 communities to pilot the incentivization of SLM, SFM, and CFM practices, as well as IGAs. To ensure buy-in and facilitate the uptake of local knowledge, selection of sites and approaches will be highly participatory, making use of sound decision-making tools. Furthermore, the project aims to identify sites for eco-tourism activities based on criteria that will include the level of community involvement.</p> <p>In addition, as per standard procedure extensive stakeholder analysis will be included in the PPG process, aimed at ensuring that key stakeholders including local community members are adequately consulted and engaged in all stages of the project.</p>

4.	<p>Can the GEF explain why there is relatively little private sector engagement in the project? Are there specific barriers you have identified? Or do you intend to engage the private sector later in the project cycle?</p>	<p>Component 1 aims to both enhance and enable the role of the private sector in implementation of results-based PA Management Plans (e.g. creating sustainable jobs through ecosystem restoration activities, alternative biomass provision, eco-tourism initiatives etc., which will be linked with Component 3).</p> <p>It is expected that the detailed analysis as part of the design of a PA financial sustainability strategy (PAFSS), will help to build a business case that will enable decision-makers and other key stakeholders to support policy reforms and promote (private) investments.</p> <p>Component 2 also includes specific activities aimed at engaging the private sector. Under this component, the project aims to promote investments to attract, inform, and accommodate increased numbers of visitors, in cooperation with the private sector.</p> <p>Under Component 3, collaborations will be explored with private sector companies including for instance the three main palm oil, cocoa, and coffee producers that are active on STP (Agripalma, Satocao and Claudio Corallo), as well as agroforestry cooperatives working with the Government-led PAPAC initiative (cocoa, coffee, and pepper), to ensure that actions are informed by up-to-date knowledge and help facilitate access to markets. Also see Stakeholder table, p. 15-16 for potential roles identified for actors from the private sector.</p> <p>As such, the PIF does intend substantial engagement of the private sector, from design to implementation – as well as in its strategy to ensure financial sustainability of activities upon project closure.</p>
5.	<p>How is the oil sector and potential impact of oil discoveries accounted for or factored into the life of proposed activities?</p>	<p>While São Tomé and Príncipe continues to explore for oil in its Joint Development Zone with Nigeria, as well as its the Exclusive Economic Zone, and roughly US \$60 million was received between 2003-2013 in exploration revenue, oil has not yet been discovered in commercially viable quantities. The Extractive Industries Transparency Initiative (EITI) is supporting STP in informing the dialogue on rethinking how these zones could potentially attract investment while being managed in line with international best practice, in the hypothetical case that oil would be discovered in commercially viable quantities and exploitation in this area would be competitive.</p> <p>While the PIF presently does not include specific activities aimed at engaging the oil sector, the PPG phase could consider factoring in potential biodiversity impacts of exploitation activities and oil spills under Components 1 and 2, as well as help establish mechanisms to ensure that revenue received from oil exploration and exploitation is invested in MPA management.</p>

6.	<p>Can the GEF and/or Agency describe the impact of the project activities will have on enhancing long-term human capacity for conservation? This is only mentioned briefly and we would appreciate greater detail.</p>	<p>The project aims to enhance long-term human capacity for biodiversity conservation through assessments and subsequent targeted training and skill building activities, in order to achieve the following results:</p> <p>a) Civil servants are empowered with knowledge and skills for: (i) development and operationalisation of sustainable NRM strategies, PA and buffer zone management plans with integration of information about environmental change; (ii) facilitation of political coordination and biodiversity mainstreaming into sectoral processes; (iii) enhanced law enforcement; (vi) community engagement and co-management processes; (v) development and testing of financial incentive packages.</p> <p>b) Staff of local NGOs and community members are empowered with knowledge and skills for development as well as implementation of biodiversity conservation action plans (including participatory monitoring, and integration of biodiversity data in the design of plans).</p> <p>c) Communities are empowered with knowledge and skills to: (i) strengthen/design local development plans, including strategies for the promotion and implementation of biodiversity protection through environmentally sustainable natural resource use and management methods; (ii) design and implement SLM, SFM, and CFM practices, as well as environmentally sustainable IGAs.</p> <p>Component 4 on Knowledge Management and Communication will be further strengthened during the PPG phase to ensure the uptake of knowledge, good practices and successful approaches by all targeted stakeholders.</p>
7.	<p>Will there be extra safeguards put in place to protect endangered or endemic species?</p>	<p>The project explicitly aims to protect biodiversity, taking into account the high levels of endemism and number of endangered species that are found on STP and in its territorial waters. Actions will be designed and implemented to protect vulnerable and endemic species of flora and fauna, including for targeted coastal and marine habitats that harbor vulnerable marine species. Further design of the project activities will be done in close collaboration with research institutes such as the California Academy of Sciences and NGOs including Birdlife International, who have been actively engaged in monitoring and designing specific action plans to protect critically endangered species (e.g. see reference in footnote 2 above).</p> <p>In addition, all activities will be designed and implemented in the most risk-averse way possible. As per standard procedure, a Social and Environmental Screening process was initiated during the development of the PIF, which will be further expanded upon during the PPG phase as well as during project implementation.</p>

COMMENTS/QUESTIONS RECEIVED FROM FRANCE REPRESENTATIVE ⁴		
#	COUNCIL COMMENT / QUESTION	UNDP RTA RESPONSE
8.	<p><i>Although we support the overall objectives of the project, we believe the PIF substantially lacks of information providing the context of this project and, as a result, the project does not appear to be properly articulated to the ongoing initiatives on the biodiversity conservation in Principe. More specifically:</i></p> <p>There is no mention of the gas and oil exploration plans and how the project could deal with these</p>	<p>During the PPG phase, the team will examine the extent to which potential biodiversity impacts of exploitation activities and oil spills should/can be factored in under Components 1 and 2, as well as the extent to which the project should/can contribute to establishing mechanisms to ensure that revenue received from oil exploration and exploitation is invested in MPA management.</p> <p>Also see response 5 above.</p>
9.	<p>There is a mention of the Regional Directorate of Environment and Nature Conservation, but others are missing such as the fisheries, infrastructure and tourism. The legal framework may also need to link with the regional parliament as the national government has no power to legislate in Príncipe about land planning and protected areas, unless the status of the protected is a National Park. If it is intended to create a protected area, then the issue is not only capacitation of technicians and rangers but also at the institutional level it is needed to ensure institutional, legal and functional/operational capacity and understanding.</p>	<p>While PIF identified the Regional Directorate of Environment & Conservation, Directorate of Environment, Directorate of Forests, Directorate of Agriculture, and the Directorates of the Natural Parks on São Tomé and Príncipe as the key partners for execution of the project, this does not imply that other Government partners are excluded from targeted capacity enhancement interventions.</p> <p>The PIF lists a number of key Government institutions as important for further consultation and stakeholder engagement during the PPG phase, including the Fisheries Directorate, Ministry of Finance and Blue Economy, Ministry of Commerce, Industry and Tourism, Directorate of Land Survey and Planning, and the Ministry of Infrastructure, Natural Resources & Environment. However, this list is also not exhaustive and may be expanded during the PPG phase while developing a full stakeholder engagement plan.</p>
10.	<p>The existing donation scheme of the UNESCO Biosphere Reserve is totally ignored when it has already marine and coastal areas with the highest level of protection (core zones), including the Tinhasos Islands. No reference is made of the existing programs for the establishment of Marine Protected Areas in Príncipe that were presented officially and in public sessions at the time (and several times after) of the Scientific Expedition : BioPríncipe 2016 that was developed precisely aiming the collection of base line to support the establishment of marine protected areas. Several reports and technical papers were published already (even today a new species of marine mollusk was presented</p>	<p>The contribution that UNESCO made in terms of classifying the entire island of Príncipe, its islets and surrounding marine habitats were classified as a Biosphere Reserve that includes a core biodiversity marine area is clearly accredited (also see footnote 8 in the PIF). However, while the UNESCO Biosphere designation on Príncipe includes a core marine area of 11,198.55 ha around the south of Príncipe and the Tinhasos Islands, these presently continue to lack appropriate MPA status and adequate measures remain to be put in place to ensure active protection of STPs rich marine biodiversity.</p> <p>As identified as a challenge in the PIF, thus far, limited investments have been made in strengthening legal frameworks, monitoring and protecting key coastal habitats and marine biodiversity in STP's territorial waters. In addition, there seem to be insufficient systems in place to allow Government staff and other key stakeholders to access and integrate data and information on STP's marine biodiversity. As a result, access to adequate baseline data including published research on STPs</p>

⁴ As communicated to UNDP by the GEF Secretariat through Jean-Marc Sinnassamy, 5th July 2018

	<p>at the Portuguese National Congress of Malacology), and are ignored.</p>	<p>pelagic, coastal and benthic marine biodiversity remains limited. We keenly welcome any published literature/ reports/ technical papers that can contribute to strengthening the baseline, so that these can be integrated during the PPG phase, including results of the 2-week BioPríncipe expedition and other relevant initiatives.</p>
11.	<p>In resume, we think that the baseline (scientific and institutional) should be revised in order to consider the real and existing features/knowledge and in the case of Príncipe better described how the project will work, who will be the actors doing what. Other institutions may be engaged in Príncipe, namely the Insular Committee under SMILO as well as the NGO called: Amigos da Reserva da Biosfera, among others. Apart from these remarks, we would like to convey our strong appreciation regarding component 4, to the extent that it mentions up-scaling, promotion of innovations, and good practices sharing which are also objectives of French cooperation-supported SMILO.</p>	<p>As per TOR for the PPG phase, the baseline will be further assessed and strengthened. In addition, extensive stakeholder analysis will be included in the PPG process, aimed at ensuring that key stakeholders are adequately consulted and engaged in all stages of the project. This should help to ensure that actors such as the Insular Committee under SMILO as well as NGOs such as Amigos da Reserva da Biosfera and other relevant entities are identified and appropriately engaged.</p>