



PROJECT PREPARATION GRANT (PPG)

PROJECT TYPE: Full-sized Project

TYPE OF TRUST FUND: GEF Trust Fund

Submission date: 02/06/2013

GEF PROJECT ID: 5005

GEF AGENCY PROJECT ID: 4025302

COUNTRY(IES): Viet Nam

PROJECT TITLE: Integrating Biodiversity Conservation, Climate Resilience And Sustainable Forest Management In Central Annamite Landscapes

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

GEF FOCAL AREA(S): MULTI FOCAL AREA

A. PROJECT PREPARATION TIMEFRAME

Start date of PPG	04/01/2013
Completion date of PPG	09/30/2013

B. PROPOSED PROJECT PREPARATION ACTIVITIES (\$)

Describe the PPG activities and justifications:

- In November 2011, the 41st Meeting of the GEF Council approved a regional Program Framework Document (PFD) entitled the ‘Greater Mekong Sub-region Forests and Biodiversity Program’ (GMS-FBP).
- Under the umbrella of the GMS-FBP, a GEF Project Identification Form (PIF) entitled ‘Integrating Biodiversity Conservation, Climate Resilience and Sustainable Forest Management in the Central Annamite Landscapes’ (hereinafter referred to as the Project) was submitted to the GEF Secretariat on 04 September 2012. The PIF was technically cleared (03 October 2012) and included within the November 2012 GEF Council Work Plan.
- The GMS-FBP GEF project in Viet Nam aims to ‘improve the management and protection of natural resources and biodiversity in seven Central Annamite Protected Areas (PAs).’ The Viet Nam GEF project will address forest fragmentation and fill spatial and thematic gaps in baseline projects to integrate conservation, climate change and sustainable forest management in Central Annamite Landscapes (targeting priority landscapes in Quang Nam, Thua Thien Hue and Quant Tri Provinces). Key baseline projects include (i) the ADB Biodiversity Corridors Investment Project in Vietnam (BCC, \$US30 M), and; (ii) the WWF/KfW Annamites and Carbon Sinks and Biodiversity Project (\$7.2M, CarBi). The Viet Nam GEF project consists of two components, namely: 1) improved biodiversity planning and management in the Central Annamite Corridor Landscape; and 2) specific landscape conservation measures at Protected Area (PA) and community levels. Additional Vietnam GEF and baseline project information is detailed within the PIF.
- The Viet Nam GEF Operational Focal Point (GEF OFP, Dr. Nguyen Van Tai) endorsement letter (31 August 2012) officially confirmed \$150,000 USD from Viet Nam’s STAR allocation to the Project Preparation Grant (PPG). Project PPG funds are to be derived from the \$US4.3M Viet Nam project and its GEF focal areas of: Biodiversity (\$31k), Climate Change (\$31k), Land Degradation (\$53k) and SFM/REDD+ (\$35k).
- Between 10 and 13 October 2012 ADB fielded a Mission in Viet Nam to coalesce then ongoing

consultations with different agencies on the development and submission of the PPG. A PPG consultation workshop was held in Hanoi on 11 October to develop agreements informing the design of the PPG and facilitating the Viet Nam GEF Project's technical design. The Mission met with representatives of Ministry of Natural Resources and Environment (MONRE), the Ministry of Agriculture and Rural Development (MARD), and with related departments (e.g. the Viet Nam Environment Agency, the Biodiversity Conservation Agency, the Vietnam Administration of Forestry) and other specialists. Specifically, the workshop consultation provided platform vetting (i) background on the proposed project; (ii) proposed PPG institutional arrangements; (iii) design of sub-components; (iv) design-phase specialist Terms of Reference (ToRs); (v) proposed PPG timeframe, and; (vi) PPG budgets and co-finance. This PPG proposal is a reflection of consultative processes and the agreements developed within the 11 October PPG consultation workshop.

6. The overall objective of the proposed four (4) month PPG will be to prepare a full-scale technical document (i.e. GEF CEO Endorsement Document). This is to be aligned with wider conservation corridor interventions, including the governments plans and programs and baseline projects.

7. In consultation with a range of stakeholders engaged in baseline projects and related conservation initiatives in the Central Annamite landscape, the PPG will:

- a) Review and reaffirm the scope of the proposed project as represented in the Viet Nam PIF.
- b) Prepare a gap analysis identifying project stakeholder needs, incentives, technical capacities and practices; project synergies and related corridor issues and entry points (e.g. relevant policies and institutions, existing initiatives, status of target PA's and availability of operational management plans and existing baseline data, etc.);
- c) Confirm co-financing arrangements with baseline project;
- d) Address project design issues raised in (i) GEF Sec Review (Oct 10, 2012) and (ii) GEF Scientific and Technical Advisory Panel (STAP) PIF screening (Oct 08, 2012) and GEF Council.
- d) Identify implementation arrangements for the proposed project in consultation with MONRE and MARD, the key implementing agencies;
- e) Prepare project baseline data, including undertaking of GEF tracking tools in four focal areas (i.e. BD, CCM, LD, and SFM/REDD+); and
- f) Formulate the Project following the formats of: (i) a GEF CEO Endorsement Document; and (ii) ADB Change of Scope and additional financing to the BCC project (to be cocompleted by ADB staff).

8. The PPG will be implemented using ADB's project preparatory technical document procedure following a scope change to the ADB PPTA 7459-REG: GMS Biodiversity Conservation Corridors (BCC). This will (i) ensure that the GEF Viet Nam Project will be designed to closely complement the BCC as one of its baseline projects; and (ii) will ensure administrative efficiencies through use an existing PPTA modality.

9. Implementation arrangements for the PPG and project were confirmed by MONRE (via letter of Vice Minister dated 17 September 2012). As lead GEF agency, ADB will serve executive agency of the PPG. Accordingly, the VEA/BCA will serve the PPGs implementing agency and will organize collaboration of relevant GoV agencies in the PPG, including the Institute of Strategy and Policy on Natural Resources and Environment (ISPONRE) under the Ministry of Natural Resources and Environment's (MONRE), the Ministry of Agriculture and Rural Development (MARD) departments, and relevant Provincial Peoples Committees (PPCs), where project management units are anticipated to be based.

10. To elaborate upon the PIF and inform development of the CEO Endorsement Document, PPG activities per component and outputs are outlined further in i) Annex B, "Identification of key Vietnam GMS-FBP PPG tasks/outputs," ii) within the budget framework, below and within iii) the attached PPG

Specialist Terms of Reference.

11. Project preparation activities and outputs will culminate in:

- (i) Finalized CEO endorsement/project technical document and attachments with;
- (ii) Project baseline monitoring information, including completed GEF tracking tools (i.e. BD, SFM/REDD+, LD and CCM), and;
- (iii) Scope change for the ADB-BCC project incorporating the GEF design document (to be completed by ADB staff).

12. Project preparation activities, summarized outputs and budgets are presented below. Co-finance of \$157,680 is derived from the ADB, Government of Viet Nam and WWF as indicated in the tables below. In addition, ADB will provide a further \$33,000 in funding for the International Consultant - Protected Areas / NRM Specialist, with budget sourced from GEF fees to ADB.

List of Proposed Project Preparation Activities	Output of the PPG Activities	Trust Fund	Grant Amount (a)	Co-financing (b)	Total c = a + b
1.1. Identify and design PA Operational Management Planning.	-Needs and opportunities for strengthening biodiversity management and benefit sharing systems for Central Annamite PA ecosystems developed. -Plan for implementing priority activities and supported by recommended budgets and specialist ToR(s) -Baseline indicators and values defined. -BD tracking tool undertaken.	GEF TF	21,950	25,925	47,875
1.2 Identify and design biodiversity management planning.	-Preliminary framework of design for 3 species management action plans; budgets and support ToRs.	GEF TF	23,700	22,120	45,820
1.3 Identify and design reforestation, assisted natural regeneration and enrichment planting.	-Prioritization of project restoration, its costing and methodology established. -Formulation of	GEF TF	16,200	21,500	37,700

	project ERZ restoration plan, supported by recommended training, budget, etc. -LD and CCM tracking tool undertaken.				
2.1 Establish forest ecosystem criterion for PES/PFES development	-Forest ecosystem suitable to PES/PFES in Quang Tri Province identified. -Plan formulated and agreed to by Province. -LD tracking tool undertaken.	GEF TF	21,750	22,925	44,675
2.2 Identify and design SFM pilots.	-Preliminary framework for the design of 3 SFM pilots, supported by recommended training, budgets, ToRs, etc. -SFM tracking tool undertaken. (The project will test and apply the Carbon Monitoring Tool prepared under the UNEP Carbon Benefits Project).	GEF TF	31,000	25,050	56,050
2.3 Identify and design MRV system	-Preliminary framework for Provincial MRV system identified. -Effective linkage to to SFM (above), with recommended priority actions, support training, budgets and ToRs provided. -CCM tracking tool undertaken.	GEF TF	24,400	22,255	46,655
3. Define institutional arrangements, coordination mechanisms and M&E frameworks	- Undertake consultations with key stakeholders on project design and coordination -Agreed project	GEF TF	11,000	17,905	28,905

	implementation management mechanisms and arrangements -Agreed logical framework. -Agreed M&E framework and baseline information completed.				
		(select)	0		0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
Total Project Preparation Financing			150,000	157,680	307,680

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

	Project Preparation	Agency Fee
Grant Amount	150,000	13,500
Co-financing	157,680	
Total	307,680	13,500

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

Trust Fund	GEF Agency	Focal Area	Country Name/ Global	(in \$)		
				PPG (a)	Agency Fee (b)	Total c = a + b
GEF TF	AsDB	MULTI FOCAL AREA	Vietnam	150,000	13,500	163,500
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
Total PPG Amount				150,000	13,500	163,500

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

E. PPG BUDGET

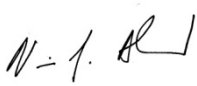
Cost Items	Total Estimated Person Weeks for Grant (PW)	Grant Amount (\$)	Co-financing (\$)	Total(\$)
Local consultants *	60.00	29,040	7,680	36,720
International consultants*	34.00	69,000	12,000	81,000
Travel		15,060	8,000	23,060
Stakeholder consultations and workshops		19,370	77,000	96,370
Office, communications		11,750	53,000	64,750
Contingencies		5,780	0	5,780
Total PPG Budget		150,000	157,680	307,680

* Annex A for Consultant cost details should be prepared first before completing this table. See notes on Annex A for the required detailed information. This table is the sum of all local and international consultants presented in Annex A.

**In addition of the Co-financing of \$157,680, funding of \$33,000 for an International Consultant – Protected Areas Advisor / NRM specialist, will be funded by GEF fees to ADB. This was not included in cofinance to avoid double counting. Effective cofinance to the project is therefore \$190,680.

F. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF policies and procedures and meets the GEF LDCF/SCCF/NPIF Trust Fund criteria for project identification and preparation.

Agency Coordinator, Agency Name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
Nessim Ahmad Director, Environment and Safeguards concurrently Practice Leader (Environment) Asian Development Bank		February 6, 2013	Sanath Ranawana, Senior Natural Resources Specialist	+662 263 5341	sranawana@adb.or

Annex A

Consultants Financed by the Project Preparation Grant (PPG)

Type of Consultant	Position / Titles	\$/ Person Week¹	Estimated PWs²	Tasks to be Performed
International	Team Leader (TL)	3000	11.00	<p>The PPG TL will be responsible for coordinating overall preparation of the project including the following outputs:</p> <ul style="list-style-type: none"> i) a draft GEF CEO Endorsement Document (based on GEF, ADB and GoV requirements), with required documentation, annexes and GEF tracking tools (i.e. BD, SFM/REDD+, LD and CCM); ii) Consultation with relevant stakeholders on the project design and draft GEF CEO Endorsement Document; iii) coordination of inputs of other members of the PPG consultant(s). <p>See attached ToR.</p>
International	Protected Area Advisor/ Nrm Specialist **Funding Of \$33,000 For This Position To Be Funded By Adb Using Gef Fees	3000	11.00	<p>The Protected Area Advisor/NRM Specialist will: (i) assist identification of suitable PPG team members and defining of project roles/responsibilities; (ii) work closely with the PPG Team Leader to advise development of CEO endorsement document and related annexes compliant with ADB and GEF processes and procedures, and; (iii) work with the National PA Protected Area Specialist to provide key Component 1 inputs.</p> <p>See attached ToR.</p>
Local	National Biodiversity and Protected Area Specialist	640	12.00	<p>The National PA Protected Area Specialist will be responsible for identification and design of project sub-components related to: (i) PA operational management planning and implementation, (ii) species management action plans and (iii) ecological restoration zone reforestation. The consultant will also oversee the collection of relevant national and provincial PA and species data; develop and update baseline information; assist the TL to undertake required GEF tracking</p>

				<p>tools, and; overall, help to develop CEO endorsement document and related annexes.</p> <p>See attached ToR.</p>
Local	<p>Senior Institutional And Coordination Specialist</p> <p>**Funding Of \$7680 For This Position Is Derived From Wwf Co-Finance.</p>	640	12.00	<p>The Senior Specialist will support the overall implementation of PPG common planning and programming processes, including participation in discussions related to assessments and analysis. The Specialist will work in close collaboration with the PPG TL, government officials of MARD and MONRE departments, baseline projects, donors, civil society and technical advisors and experts of the PPG team to ensure successful and transparent coordination of the PPG and contributing to the anticipated project's institutional and implementation arrangements.</p> <p>See attached ToR.</p>
Local	Social And Community Participation Specialist	640	12.00	<p>The National Social and Community Participation Specialist will be responsible for identification of project stakeholders and important social and participation issues; the consultant will work closely with the PPG team to identify project stakeholders and important social and participation issues; the consultant will work closely with the PPG team to: i) provide professional recommendation on design of appropriate social participation and consultative processes to be pursued in the implementation of sub-components; ii) recommend appropriate work schedule; training and capacity building within project sub-components; iii) review if/where they exist, Vietnam Conservation Fund PA Social Impact Assessments and available formal and informal PA/Community natural resource use agreements; iv) describe PA natural resource use and provide recommendations countering any potential areas of conflict between stakeholders; v) identify important potentials building stakeholder consultation and PA benefit sharing, and; vi) ensure overall</p>

				<p>monitoring/documentation of community participation in PPG design processes.</p> <p>See attached ToR.</p>
International	SFM/REDD+ And MRV Specialist	3000	12.00	<p>The SFM/REDD+ and Monitoring, Reporting, Verification (MRV) Specialist will be responsible for identification and design of project sub-components related to community-level SFM, REDD+ and MRV Component 2 conservation interventions. The consultant will: i) lead identification and design three (3) SFM pilots; ii) develop preliminary provincial MRV framework; iii) assist with the collection of relevant baseline data, including required SFM/REDD, LD and CCM GEF tracking tools (note: the project will seek to test and apply the Carbon Monitoring Tool prepared under the UNEP Carbon Benefits Project) and; iv) overall, contribute to Component 2 development, completion of CEO endorsement doc and related annexes.</p> <p>See attached ToR.</p>
Local	SFM/REDD+ And Payment For Forest Environment Services (PFES) Specialist	640	12.00	<p>The SFM/REDD+ and PFES consultant will: i) oversee establishment of forest ecosystem criterion for PES, and in close collaboration with the international SFM/REDD+ Specialist, work to: ii) identify and design three (3) SFM pilots; iii) develop preliminary provincial MRV framework; iv) assist with the collection of relevant baseline data, including required GEF tracking tools, and; v) overall, help to develop CEO endorsement document and related annexes.</p> <p>See attached ToR.</p>
Local	Project Field Assistant, Translator	500	12.00	<p>The consultant will provide administrative, logistical and translation support to the PPG team and:</p> <p>i) Assist gathering of relevant information from field sites and to assist PPG to organize consultations.</p> <p>ii) Provide English-Vietnamese oral and written translation, where</p>

				<p>required.</p> <p>iii) Assist in developing and coalescing baseline monitoring information.</p> <p>iv) Assist with logistical arrangements (visas, permissions, etc), and</p> <p>v) Assist in the identification of key landscape stakeholders.</p> <p>See attached ToR.</p>
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¹ Provide dollar amount per person week.

² Provide person weeks needed to carry out the task