SAMPLE MEDIUM-SIZED PROJECT BRIEF - FORESTLAND

PROJECT SUMMARY

PROJECT IDENTIFIERS	
1. Project name: *Saving Frontier Forests in Forestland through Community-Based Management*	2. GEF Implementing Agency:*UNDP*
3. Country or countries in which the project is being implemented: *Forestland*	4. Country eligibility: *Forestland ratified the CBD on October 15, 1996 and meets all other eligibility requirements*
5. GEF focal area(s): *Biodiversity*	6. Operational program / Short-term measure: *Forest Ecosystems (OP#3)*
7. Project linkage to national priorities, action plans, and programs: *The project is based on the forest sector priorities as indicated in the National Biodiversity Action Plan for Forestland and corresponding government programs to save remaining intact natural forests and biodiversity resources, including implementation of the action plans for national protected areas.*	
8. GEF national operational focal point and date of country endorsement: *Ministry of Forests, Economic Development Department - Endorsed: February 1, 1997*	
PROJECT OBJECTIVES AND ACTIVITIES	
9. Project rationale and objectives: *goal: to conserve globally significant biodiversity in highly threatened sites in Forestland;* *objectives: to promote sustainable community-based management of forests; and to provide the enabling conditions for preserving biodiversity.*	Indicators: *(a) scope and scale of protection of forest biodiversity resources;* *(b) effective community-based approaches to forest management;* *(c) legislative, economic, and social policies and programs for sustainable forest management.*
10. Project outcomes: *(a) regional and global impact of preserving threatened species;* *(b) replicable models of community-based forest management;* *(c) replicable approaches to dealing with root causes through enabling conditions.*	Indicators: (a) *biodiversity species preserved in close to 30% of the world's remaining intact natural forest;* *(b) effective community-based enforcement of controlling access to, and use of, forests;* *(c) effective policies and programs addressing the root causes of biodiversity loss.*
11. Project activities to achieve outcomes (including cost in US$ or local currency of each activity): *(a) inventory of biodiversity resources (status, monitoring, identification of threats, etc.) (500,000);* *(b) conduct of social assessments and participatory approaches in development of community-based approaches (795,000);* *(c) conduct of studies and policy dialogues to deal with root causes of biodiversity loss (250,000).*	Indicators: *(a) numbers, scale, and extent of biodiversity resources (status, threats, etc.);* *(b) social issues and participatory approaches that define appropriate governance systems, consensus-building, etc.;* *(c) agreements with policy makers, linkage with national programs, etc. to address root causes.*
12. Estimated budget (in US $ or local currency): PDF: $ *25,000* GEF: $*745,000* Co-financing: $*400,000 ($350,000 in-kind)* *World Forest Resources Institute* *$100,000* *John Doe Foundation* *$300,000* *Government of Forestland (in-kind)* TOTAL: $*1,570,000*	

PROJECT SUMMARY/CONTINUED

INFORMATION ON INSTITUTION SUBMITTING PROJECT BRIEF
13. Information on project proposer: *World Forest Resources Institute (WFRI) -- see attached description (to be sent later)*
14. Information on executing agency (if different from project proposer): *N/A*
15. Date of initial submission of project concept: *January 7, 1997*
INFORMATION TO BE COMPLETED BY IMPLEMENTING AGENCY
16. Project identification number: *RLA/97/Fxx*
17. Implementing Agency contact person: *T. Smith*
18. Project linkage to Implementing Agency program(s): *Project fits with UNDP assistance strategy for Forestland; it complements Capacity 21 program of action.*

PROJECT DESCRIPTION

PROJECT RATIONALE AND OBJECTIVES

Almost one-half of the world's original forest cover has been depleted within the past three decades. The survey of the remaining intact natural or frontier forests done by the World Forest Resources Institute (WFRI) shows that 20% of global frontier forests are located in Forestland. Within Forestland, more than 70% of national biodiversity is found inside these forests. Although these lands are inside declared protected areas of government, some 15% to 25% of its current cover are cut or degraded each year by logging, land clearing, fuelwood collection, and infrastructure (e.g., roads, mining).

This project offers a new dimension to the government's protected areas programs through support of community based management. It is consistent with the GEF's forest ecosystems operational program (OP#3), and responds to the first two objectives of the Convention on Biological Diversity (CBD). In particular, it addresses Art. 8, *in-situ* conservation of biodiversity resources, and COP guidance on sustainable use of vulnerable ecosystems and species; capacity building and human resource development; institutional strengthening; indigenous communities; innovative measures; and government-private partnerships for land management. Since WFRI made use of national environmental and biodiversity plans, and periodically consulted with government agencies and non-governmental groups, the project's objectives and activities are responsive to in-country national priorities and programs.

CURRENT SITUATION

The project covers a region which ranks among the highest biologically rich areas in the world. Forestland has more than 2.2 million sq kms of frontier forest, representing 17% of the world's total. Its temperate forests contain at least 50 species of timber trees, one-half of which are endemic. It harbors within its boundaries the Hemisphere's largest conifer, and trees that are more than 3,000 years old. Its southern state, where most of the frontier forests are found, is part of the Dryland Basin Forest complex, which is the largest single block of tropical dryforest that is ranked among the highest megadiversity regions (with the highest number of endemic species per unit of cover) in the world.

As designated protected areas, the forest park agencies receive funding from the national government for salaries of park guards and for conduct of various types of conservation and park maintenance activities. However, these funds are often insufficient to enforce restrictions on forest uses from illegal logging, wood cutting, and hunting inside park boundaries. These activities continue to accelerate as regional and national markets expand. In Forestland, for example, the consumption of timber and paper has increased by 86% between 1961 and 1990. Population growth rates are high in Forestland; together with urbanization and the closing of the agricultural frontier, have induced greater land clearing from forests to make way for new settlements and cultivated croplands.

WFRI and other regional and national NGOs have been invited by governments and international funding agencies to discuss regional forestry development strategies. For example, NGO views were included in the Declaration for the Summit for Sustainable Development held in December, 1996. Through such fora, and meetings with national government officials, the importance of linking nationwide policies and programs with forest sector plans was highlighted, including coordination of external assistance.

EXPECTED PROJECT OUTCOMES

The main objective of the project is to conserve globally significant biodiversity in one of the world's most important, yet seriously threatened, frontier forests. The secondary objective is to provide the necessary enabling conditions in order to promote sustainable community based forest management approaches.

The project activities will be carried out over a period of six years to allow sufficient time for community organization and consensus building. At the end of the project, the following outputs are expected.

- initial scientific assessment of the numbers, scale, and extent of biodiversity in three forest national parks, including a mechanism for long-term monitoring of biodiversity resources;
- replicable models of organized community based programs with well-established governance structures, including long-term approaches to local management of forests;
- ongoing programs at the community level addressing root causes of biodiversity loss (e.g., property rights, support for indigenous groups, controls over migrant encroachments, etc.);
- replicable capacity strengthening programs (e.g., periodic training, cross-site visits, information exchange, etc.).

ACTIVITIES AND FINANCIAL INPUTS

In order to achieve project objectives, the following activities will be implemented:

- scientific assessment and monitoring of biodiversity resources (including inventory and stock-taking, identification of threatened species, mapping, etc.), at a cost of US$500,000;

- community based management (engaging local groups in the conduct of scientific assessments and monitoring, and enforcement of controls over access to, and use of, forest resources, including support for alternative livelihood options) at a cost US$795,000; and

- capacity strengthening and environmental awareness (broadening information and public support for biodiversity conservation) at a cost of US$250,000.

These activities will be designed in close coordination with larger efforts at addressing the root causes of biodiversity loss. Because these efforts require much larger investments and country commitments, other international funding agency programs are better placed to address these concerns. However, there will be mechanisms in this project to ensure that linkages are established, such as joint programs with key government agencies, coordination with the national biodiversity strategies, and dialogues with institutions engaged in sectoral studies. The John Doe Foundation funds will be used primarily for looking at the national programs and special studies, and how findings from these initiatives can be incorporated into the community based approaches.

These activities will be completed at demonstration sites in three areas of global importance:

(a) Atlantic tropical rainforest in the coastal areas of Forestland which contain 70% of the country's plants, including the wild relatives of important foodcrops such as pinepapple, cassava, sweet potato, and papaya, and 20% of primate species that are found nowhere else in the world;
(b) temperate forest ecosystems in the southern part of Forestland, which contain more than 700 vascular plant species, most of them endemic to the region; and
(c) Dryland Tropical State Park, which is the region's largest tropical frontier forest.

The activities and outputs from the demonstration sites are listed below.

Activities	Locations	Index Measurement	Outputs
scientific assessments and monitoring	(a) villages x,y,z in the Atlantic coast of Forestland; (b) villages a,b,c, in southern Forestland; (c) villages h.i.j in Dry Tropical State Park	land area in 000 sq. kms.: (a) 500.0; (b) 320.0; (c) 410.0	a) initial inventory of biodiversity resources in 120 forest grids (each grid equivalent to 50 sq. kms.); (b) classification of key flora and fauna; (GIS mapping and ground truthing); (c) identification of threatened species.
design and implementation of community based forest management	(a) villages y and z; (b) villages a and b; (c) village h	population size (000 persons): (a) 1,350.0 (b) 278.0 (c) 1,200.0	(a) established community organization engaged in sustainable forest management and assisting in scientific assessments & monitoring; (b) program of support for small scale alternative livelihoods, including micro-finance schemes.
capacity strengthening and environmental awareness	(a) villages y and z; (b) villages a and b; (c) village h environmental. awareness: regional and nationwide campaigns.	target beneficiaries: (a) community leaders; (b) hired community organizers or facilitators; and (c) general media.	(a) completed training programs on project execution and management (e.g., procurement, accounting, etc); (b) cross-site visits (within country and across three countries); (c) training manuals on biodiversity and forest management; (d) environmental awareness publications translated into local languages; media programs.

SUSTAINABILITY ANALYSIS AND RISK ASSESSMENT

The following activities are designed to ensure long-term sustainability of forest and biodiversity conservation management: (a) establishment of project executing arrangements that are community based and conform to existing governance structures (e.g., coordination with local governments; recognition of traditional leaders; etc.); (b) linking project initiatives with national government programs to ensure consistency as well as continuity of operations beyond the project's life (e.g., making sure that counterpart government contributions are set up to support the community activities); (c) design of local resource mobilization strategies, including collection of receipts from livelihood initiatives such as ecotourism, and generating funds from other funding agencies; and (d) training of people in leadership and management skills.

Project risks include failure to receive adequate government commitment, especially from local governments. The project will facilitate discussions with local, state, and national government agencies and promote joint implementation such as biodiversity inventories and monitoring. Another risk is the possible mismatch of community management with existing government protection efforts. However, because this project is aimed at supplementing the work of park officials, attempts will be made to ensure that there is close coordination and cooperation. This will be done through joint committees in decision making and sharing of resources.

STAKEHOLDER INVOLVEMENT AND SOCIAL ASSESSMENT

WFRI has been working in the region for the past five years by collaborating with local NGOs in the conduct of initial biodiversity assessments and mapping activities. Preparation funding from GEF (Block A grant of $25,000), WFRI ($30,000) and the John Doe Foundation ($40,000) have been used for the conduct of national workshops and village meetings. Focus group meetings were held with special interest groups, such as women's associations (who were the dominant groups in fuelwood collection), small-scale loggers, and local government officials.

An initial social assessment was completed using participatory rural appraisal (PRA) techniques. Findings from the appraisal indicate the importance of integrating into the project's activities those issues related to gender (women's groups); property rights of indigenous groups and clarification of access to forests in relation to migrant populations; cultural diversity associated with ethnicity and transboundary migration; and alleviation of poverty and reducing dependence on fuelwood and timber based incomes.

INCREMENTAL COST ASSESSMENT

The government is currently implementing the national biodiversity strategy which consists of a multi-pronged approach to protected area management, including funding for park officials and site management. The strategy contains provisions for addressing some of the root causes of biodiversity loss, and there are studies currently underway to review policies and programs in the forest sector. Full-scale implementation of the national biodiversity program is critical, but it needs to be supported by national and sectoral schemes, especially in controlling logging and land clearing. The existing rural development programs that are aimed at reducing poverty in the agriculture and forest sectors provide positive inputs to managing national forest parks.

However, despite these ongoing baseline activities, fragmentation and conversion of natural habitats continue to increase at scales that are difficult to control without timely and significant interventions. It is also necessary to provide local, state, and national governments with additional funds to engage in activities that go beyond conventional park policing and maintenance. These include activities such as scientific assessments and monitoring, and execution of alternative or supplemental community based management approaches.

Under the GEF alternative, an expanded program would be implemented, focusing on those activities that generate global benefits. These include initiatives for biodiversity resource assessments and on-the-ground inventories in five demonstration sites within forests of high global significance; promotion of alternative livelihood options in globally important and threatened forest areas as models that may be replicable in other sites; development of community based management approaches to supplement government park enforcement by engaging residents and indigenous groups in sustainable forest management; and application of findings and coordination of efforts with the various levels of government in addressing the root causes of biodiversity loss.

The total cost of the baseline activities is estimated at $57.7 million ($48.0 million of which will be funded through external sources such as bilateral and multilateral organizations). The cost of the GEF alternative is US$1.545 million, about half of which (or $745,000) is being requested from the GEF, and the remainder (US$800,000) will be contributed by the Government of Forestland, the John Doe Foundation and WFRI. Other co-financing and government counterpart funds are targeted for implementation of some of the baseline activities, including provisions by government for family planning and health services in some of the proposed project sites.

BUDGET

Estimated Breakdown of Costs by Budgetary Component (US$000)

Components	GEF	Government Counterpart	WFRI	John Doe Foundation
Preparation: PDF A Others	25.0		30.0	40.0
Personnel	130.0[1]	135.0[2]	90.0	
Subcontracts	240.0[3]		80.0	30.0
Training	90.0		50.0	30.0
Equipment	70.0[4]	100.0[5]		
Travel	95.0	40.0[6]	80	
Evaluation Mission	50.0	25.0[7]	70	
Project Support[8]	70.0			
TOTAL	770.0	300.0	400.0	100.0

[1] Project personnel include part-time project coordinator from WFRI; one international consultant; two local consultants; and one locally-hired resident community organizer or facilitator from each sub-region within the country.

[2] Government counterpart and non-GEF personnel costs are already existing and represent in-kind contribution and monetized by percent of time allotted to the project.

[3] Subcontracts will be given as follows: (a) study for integrating national biodiversity strategies and programs addressing root causes into community based approaches; (b) outreach activities to one local NGO from each region; and (c) science contracts to an academic institution from each country.

[4] Standard office equipment, one computer, and bicycle/horses will be purchased for each site.

[5] Represents currently used equipment and coverage for maintenance of project-purchased equipment.

[6] Represents in-kind counterpart contribution for use of vehicles, etc.

[7] Represents in-kind use of headquarters and field offices, etc.

[8] Represents project administration and support costs of UNDP as the implementing agency.

PROJECT IMPLEMENTATION PLAN

The project will be executed by WFRI's Threatened Forests Program. A part-time project coordinator will be assigned to coordinate project activities across regions. A project steering committee will be organized and composed of representatives from forestry and environmental agencies in Forestland; a representative from the local governments in each project site; and three community-based NGOs. Decision making regarding strategies and approaches for design and implementation of project activities will be made by the steering committee, but these will be based upon a compilation and assessment of feedback from local community groups.

At the local or site level, each community will design its own project structure and decide on the composition of membership of the local site management committees. Consensus building among communities will be facilitated through the work of full-time community organizers (or facilitators) who will be hired by the project. The same procedure of selection will be done in setting up the monitoring and evaluation team for each project site.

Criteria for awarding of subcontracts (including consultants) and procurement of equipment will be determined at the start of the project through a sub-committee of the Project Steering Committee.

PROJECT IMPLEMENTATION PLAN

DURATION OF PROJECT (IN MONTHS): 72	
ACTIVITIES	PROJECT-MONTHS
Completion of project activities 1. Scientific assessment and monitoring of biodiversity resources (24 months) 2. Community based management (60 months) 3. Capacity strengthening and environmental awareness (12 months)	6 12 18 24 30 36 42-72 ----------] ----------] ----------]

PUBLIC INVOLVEMENT PLAN

Stakeholder Identification

Aside from GEF and UNDP, and the other co-financing agencies, the key stakeholders in the project are: (a) the local, state, and national governments who have a stake in ensuring sustainable forest management and reducing biodiversity and forest loss; (b) project executing agencies, including local and national governments, local and international NGOs who have a special interest in the project's performance and impact; (c) community beneficiaries who have a lot to gain from engaging in sustainable livelihoods by preserving resources for future use while addressing current concerns; and (d) sub-populations of vulnerable groups, such as women, indigenous communities, and poor households who are expected to benefit from special interventions affecting their access to, and use of, forest resources.

Information Dissemination and Consultation

Three regional workshops were held with a multisectoral representation from government, NGOs, and local groups. A special meeting was organized with the private sector (e.g., some logging companies, a mining firm, and consulting firms). Village meetings, using focus groups and participatory rural appraisals (PRAs), were conducted over a period of one month in each country.

The project structure allows for continuous consultation with local groups. In addition, there will be six multisectoral workshops organized (at the start and end of the project). Feedback from affected groups will be done through the community facilitators who will provide quarterly reports to the Project Steering Committee regarding findings from PRAs, village meetings, etc.

Social and Participation Issues

Based upon initial results of the consultations and social assessments conducted during preparation, the anticipated social issues are: (a) gender concerns, specifically role of women in fuelwood collection; (b) needs of indigenous communities, in particular, recognition of property rights over ancestral lands and integration of indigenous technical knowledge into scientific assessments; (c) cultural diversity arising from a stratified and diverse population due to migrant encroachments from various regions, including transboundary migrants; and (d) common property resource rights governing access to, and use of, forest resource, in particular, diversified tenurial arrangements over land, trees, and tree products.

MONITORING AND EVALUATION PLAN

Monitoring of the project will be undertaken by the Ministry of Forests. About US$100,000 has been allocated for the evaluation. It will include data on performance indicators, a mid-term review, a description and analysis of stakeholder participation in the project design and implementation, and an explanation of how the monitoring and evaluation results will be used to adjust the implementation of the project, if required, and / or to replicate project results throughout the country and, possibly, the region.

TECHNICAL REVIEW

[To be provided later]

PROJECT CHECKLIST

PROJECT ACTIVITY CATEGORIES			
Biodiversity	Climate Change	International Waters	Ozone Depletion
Prot. area zoning / mgmt.: x	Efficient prod. and distr.:	Water body:	Monitoring:
Buffer zone development:	Efficient consumption:	Integrated land and water:	Country program:
Inventory / monitoring: x	Solar:	Contaminant:	ODS phaseout:
Ecotourism:	Biomass:	Other:	Production:
Agro-biodiversity:	Wind:		Other:
Trust fund(s):	Hydro:		
Benefit-sharing:	Geothermal:		
Other:	Fuel cells:		
	Other:		

TECHNICAL CATEGORIES
Institution building: x
Investments:
Policy advice:
Targeted research:
Technical / management advice:
Technology transfer:
Awareness / information / training: x
Other: