

## **ANNEXES**

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**Annex 1. Terms of Reference (ToR) for the MTR**

**Terms of reference for the mid-term review of**  
*Contribution of sustainable forest management to a low  
emission and resilient development in Serbia GCP/SRB/002/GFF*

**FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS**

**[May 2020]**

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## Acronyms and abbreviations

AWP/B	Annual Work Plan and Budget
BD	Biodiversity
BH	Budget holder
CBD	Convention on Biological Diversity
CBIT	Capacity-Building Initiative for Transparency
CCM	Climate Change Mitigation
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
CO	Country Office
DF	Directorate of Forests
EOI	Expression of interest
EU	European Union
FAO	Food and Agriculture Organization of the United Nations
FDP	Forest Development Plan
FDS	Forest Development Strategy
FLO	Funding liaison officer
FMP	Forest Management Plan
FMU	Forest Management Unit
FPMIS	Field Project Management Information System
FSC	Forest Stewardship Council
GDP	Gross Domestic Product
GEF	Global Environment Facility
GHG	Greenhouse gas(es)
HD	EU Habitat Directive
HQ	Headquarters
IBA	Important Bird Area
IFIS	Integrated Forest Information System
IPA	Important Plant Area
LDCF	Least Developed Countries Facility
LULUCF	Land Use, Land Use Change and Forestry
LTO	Lead technical officer
LTU	Lead technical unit
MAB	Man and the Biosphere Programme
MAFW	Ministry for Agriculture, Forestry and Water Management
MEP	Ministry of Environmental Protection
MRV	Monitoring, Reporting and Verification
MTE	Mid-term evaluation
MTR	Mid-term review
NFI	National Forest Inventory
NGO	Non-governmental Organization
NP	National Park
NPC	National Project Coordinator

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NPD	National Project Director
OED	FAO Office of Evaluation
PBA	Selected Butterfly Area
PFO	Private Forest Owner
PFOA	Private Forest Owners Association
PIR	Project Inception Report
PMC	Project Management Committee
PMU	Project management unit
PSC	Project Steering Committee
PTF	Project Task Force
RBM	Results-Based Management
REU	Regional Office for Europe and Central Asia
RM	Mid-term review manager
RO	Regional Office
SCCF	Special Climate Change Fund
SFM	Sustainable Forest Management
SO	FAO Strategic Objective
SRO	Sub-regional Office
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFCCC	United Nations Framework Convention on Climate Change

# 1 Project/programme background and context

1. Forest cover in Serbia amounts to 2,252,400 ha; about 29% of the total land area. The forest sector in Serbia produces 2.3 % of the national GDP. Forests with productive functions amount to 1,498,000 ha. Forest ownership in Serbia is either state (53%) or private (47%). A large share of the forests in Serbia is located in hilly or mountainous terrain, which causes impediments to optimal forest management. Forests are characterized by high genetic, species and ecosystem diversity. The forest and shrub communities with endemic woody plants are of particular importance.
2. Forest degradation, along with resulting habitat loss and fragmentation, is one of the key environmental problems faced by Serbia at present. Forest degradation on a large scale has resulted in loss of forest carbon, biodiversity and other key ecosystem goods and services, and has substantially reduced the potential of Serbian forests to act as carbon sinks. Serbian forests are characterized by low standing volume of only about 161 m<sup>3</sup>/ha and a low annual increment of about 4.0 m<sup>3</sup>/ha. In particular, this applies to short-rotation coppice forests with barely half of productive potential and increment which make up 64.7% of the productive forests.
3. Root causes of forest degradation include illegal extraction of timber, frequent forest fires, as well as pressures from the agriculture, energy, and construction sectors. 2,5 million of Serbian households, particularly in poor rural areas, rely on fuelwood to cover their energy needs. Currently the demand exceeds the potential supply from available forest resources.
4. The Forest Law and Law on Nature protection provide the main legal framework for forest conservation and management in Serbia. The Forestry Development Strategy sets the operational framework for forest development and planning. It defines conservation and improvement of biodiversity in forest areas as a part of the concept of sustainable forest management. The Ministry for Agriculture, Forestry and Water Management (MAFW) implements forest management and protection related activities through a Forest Fund providing services and supporting the implementation of sustainable forest management in public and private forests. Other key players include Ministry of Environmental Protection (MEP), the Public Enterprises for Forest Management and the National Parks which administer all public forests, the Forestry Institutes and Forest Faculty (which are the main research and development institutions). International cooperation in the sector includes the European Union and the Government of Germany.
5. Four important barriers remain for the mainstreaming of a sustainable forest management in Serbia: (1) An inadequate policy and strategic framework and sectoral coordination to define and systematically implement specific pathways for sustainable forest management that incorporates climate change mitigation and biodiversity conservation objectives. (2) A weak information systems and availability is a significant barrier for developing and implementing multi-functional forest management plans at local level, and hinders international reporting obligations related to biodiversity protection and climate change mitigation at European and global levels. (3) The lack of involvement of the private sector in forest management programmes, as well as the lack of capacities and incentives for the private forest owners is a barrier for sustainable forest management in Serbia. This is a challenge as the number of private forest owners is very high (about 800,000), and the size of individual holdings is very small – 70 % of the holdings are less than 1 ha. (4) A lack of understanding and technical capacity among forestry professionals and private forest owners on Sustainable Forest Management.
6. The project addresses these barriers to contribute to the conservation of biodiversity and

climate change mitigation through the promotion of multifunctional sustainable forest management in productive forest landscapes (Global environmental objective). The objective will be achieved through (i) improving information availability to enable informed decision making in forest development and management, and reporting according to international standards and practices, through the setup of an integrated Forest Information System, and the implementation of the second National Forest Inventory (ii) strengthening coordination and dialogue between key public and private stakeholders, (iii) strengthening capacities of forest managers to implement SFM practices through guidance materials and trainings and (iv) generating strategies to provide incentives to private forest owners to engage in SFM, and (v) implementation of updated forest development plans and forest management plans according to SFM guidelines in two pilot regions. The project strategy builds on the close engagement of key stakeholders to ensure sustainability of the results.

7. Total project financing amounts to USD. 29.454.799 over the four-year implementation period. Co-financing amounts to USD 26.180.141, out of which 61 % in cash, provided by the Ministry for Agriculture, Forestry and Water Management, Institutes of Forestry, National Park Administrations, Public Forest Enterprises, the Forest Chamber as well as FAO. GEF incremental resources amount to USD 3.274.658 (11 % of the total financing).

## 1.1 Description of the project, project objectives and components

General Information		
Region:	Europe	
Country:	The Republic of Serbia	
Project Title:	Contribution of sustainable forest management to a low emission and resilient development in Serbia- FSP	
FAO Project Symbol:	GCP/SRB/002/GFF	
GEF ID:	9089 (FAO Project ID:635621)	
GEF Focal Area(s):	CCM, BD, SFM	
Project Executing Partners:	Ministry of Agriculture, Forestry and Water Management (MAFW) - Directorate of Forests	
Project Duration:	19 Feb 2018 - 31 Dec 2021	
Financing Plan:		
GEF allocation:		3.274.658
Co-financing:		
Ministry for Agriculture, Forestry and Water Management	Cash	15.486.141
Ministry for Agriculture, Forestry and Water Management	In-Kind	5.545.000
Institute of Forestry	In-Kind	445.000
Novi Sad University	In-Kind	445.000
National Park Fruska Gora	In-Kind	285.200
National Park Djerdap	In-Kind	142.600
National Park Tara	In-Kind	855.600
Public Enterprise Srbijasume	In-Kind	980.000

Public Enterprise Vojvodinasume	In-Kind	420.000
Forest technical high school Kraljevo	In-Kind	713.000
Forest Chamber	In-Kind	220.000
National Park Kopaonik	In-Kind	142,600
FAO	Cash	300.000
FAO	In-Kind	200.000
<b>Sub-total Co-financing:</b>		<b>26.180.141</b>
<b>Total Budget:</b>		<b>29.454.799</b>

### ***Project Context and Rationale***

1. According to the National Forest Inventory conducted in 2009, forest cover in Serbia amounts to 2,252,400 ha; this is about 29% of the total land area. Nearly 90.7% of the growing stock are broadleaves. Some of the common species are *Fagus Moesiaca*, *Quercus Cerris*, *Quercus Petraea*, and *Quercus Robur*.
2. The forest sector in Serbia has a long tradition, and amounts to 1.4 % of the national GDP in 2014. Forests with productive functions amount to 1,498,000 ha. Forest ownership in Serbia is either state (53%) or private (47%). Non-state forests in Serbia are owned by individuals or institutions, notably churches and monasteries, agricultural companies, and water management companies. A large share of the forests in Serbia is located in hilly or mountainous terrain, which causes impediments to optimal forest management. In addition, considerable forest areas are occupied by young natural and planted forest stands where silvicultural measures (tending and thinning) are urgently needed.
3. Serbia is characterized by high genetic, species and ecosystem diversity. Although Serbia's 88,361 km<sup>2</sup> represent only 2.1% of the European territory, biodiversity of different groups of organisms is very high. According to data of Institute for Nature Conservation of Serbia, the country hosts 39 % of European vascular flora, 51 % of European fish fauna, 49 % of European reptile and amphibian fauna, 74 % of European bird fauna, and 67 % of European mammal fauna. Species diversity in Serbia is not fully researched nor documented.
4. The following forest types are found in Serbia: (1) Deciduous forests in the temperate zone. In Serbia, this primarily occurs as oak and beech forests; (2) Boreal conifer forests. In the mountains of Western, Southwestern and Southeastern Serbia; (3) Steppe with muck land as zonal soil and steppe. In Serbia mostly with forest steppe vegetation; (4) Highland "tundra". In the Alpine region of Serbia's highlands. A range of overlap occurs between these biomes, due to the geographic, petrographic and orographic characteristics of the Serbian territory.
5. The forest and shrub communities with endemic woody plants are of particular importance. Among others, these include: Omorika Spruce forests (*Piceion omorikae*), *Fritillaria gracilis* (*Pinion heldreichii*), *Pinus peuce* (*Pinion peucis*), Greek Maple (*Aceretum heldreichii*, *Aceri-Fagetum* type), poli-dominating forests with *Panicum Acer* (e.g. *Fago-Aceri intermedii-Coryletum columnae*, *Querco-Aceri intermedii-Coryletum columnae* and *Fraxino-Aceri intermedii-Coryletum columnae*), Hazelnut community (*Fago-Corylenion columnae*) and lilac shrub community (*Syringion*).



6. From the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), ratified by Serbia, there are 6 listed species of mammals, 59 species of birds, 4 species of reptiles and 62 species of flora found in Serbia.

7. Based on the EU Habitats Directives, Serbia has identified 78 habitat types and 180 species from the Annexes of the Habitats Directive. Of those species, 157 are protected on national level under Serbian legislation, while

Map 1: Protected Areas in Serbia (Source: Institute for Nature Conservation).



137 of the species and rely on the 27 forest habitat types occurring in Serbia.

8. Based on the EU Birds Directive, Serbia has identified 115 bird species occurring in the national territory, of which all 115 species are protected at national level under Serbian legislation. At least 24 of these bird species are connected to forests.

**Table 1: Current knowledge on Natura 2000 habitat types and species occurring in Serbia**

Natura 2000 habitat types and species			Total on EU Annexes	Known in Serbia	Protected in Serbia	Related to forests
HD Annex Habitat types	Costal and Halophytic Habitats	28	2			
	Costal sand dunes and continental dunes	21	1			
	Freshwater habitats	19	10			
	Temperate Heath and Scrubs	11	6			
	Sclerophyllous Scrub	13	3			
	Natural and Semi-natural Grasland Formations	32	15			
	Raised bogs, mires and fens	13	5			
	Rocky habitats and caves	14	7			
	Forests	81	27			
<b>TOTAL:</b>		<b>204</b>	<b>78</b>			
HD Annex Species	Plant species	695	67	61	45	
	Animal species	447	113	96	92	
	<b>TOTAL:</b>	<b>1142</b>	<b>180</b>	<b>157</b>	<b>137</b>	
BD Annex Species	Bird species	194	115	115	24	
	<b>TOTAL:</b>	<b>194</b>	<b>115</b>	<b>115</b>	<b>24</b>	

Source: Kitnaes et al.

9. To date, about 578,706 ha (6.55%) of the territory of the Republic of Serbia has been designated by different protection levels.

**Table 2: Internationally and nationally protected area in Serbia**

Category	Sites (No.)	Territory (ha)	Area as % of total Serbian territory
Serbian Protected Areas	464	578 706	6.55%
UNESCO MAB	1	53 804	0.61%
Ramsar sites	10	63 919	0.72%
Important Bird Areas (IBAs)	42	1 259 624	14.25%
Important Plant Areas (IPAs)	62	747 300	8.50%
Selected Butterfly Areas (PBAs)	40	903 643	10.22%

10. The nationally Protected Areas in Serbia cover the following categories: Five (5) National Parks (Fruška Gora, Kopaonik, Tara, Šar Planina, and Đerdap), 15 parks of nature, 50 strict nature reserves, 21 special nature reserves, 284 monuments of nature, 16 localities of remarkable characteristics and 37 of historical significance, while 36 Protected Areas are currently in the process of being designated under the the new Law on Nature Protection.
11. Areas whose protection is significant at an international level have also been identified in Serbia. The ten (10) Ramsar Sites are all protected at national level according to Law on Nature protection and form part of the Serbian ecological network.
12. However, not all internationally important areas are fully protected under national legislation in Serbia, which makes their protection status rather weak. This counts for the International Bird Areas (IBAs), the International Plant Areas (IPAs) and the areas important for butterflies (PBAs) of which only a limited number are protected under national legislation.
13. The government can prescribe the protection level of an area, as well as the procedures and implementation methods. The Law on Nature Protection envisages public participation in protected areas designation and adoption of the management plans in order to help avoiding previous uncertainties and situations in which some institutions and organizations carry out activities prohibited or not allowed within a protected area. According to the Law on Nature Protection there is the following three-level protection regime for protected areas (based on a National Zoning System):
14. The main institutions involved in the forest sector in Serbia including the public sector, academia, NGOs and private sector include:
15. The **Ministry for Agriculture, Forestry and Water Management- Directorate of Forests** is responsible for forest governance, and development and supervision of forest law development and enforcement. The Directorate of Forest represents the forest sector of Serbia in the international organizations and processes and it co-ordinates the international co-operation within the sector.
16. The **Ministry of Environmental Protection** is responsible for: planning and programing of environment protection; system of protection and improvement of environment; national parks; supervision in the field of environment protection (inspection); nature protection; air quality protection; protection of ozone layer; climatic changes; cross-border air and water pollution; defining the conditions of environment protection in spatial planning and construction; protection of chemical accidents; protection from noise and vibrations; protection of ionic and non-ionic

- radiation; and implementation of different international agreements in the field of environment protection.
17. The **Public Forest Service** under the Directorate of Forests is organized into Public Enterprises (PEs) for forest management and management of National Parks (NPs). The two public enterprises (Vovjodinasume and Srbjasume) manage over 90 % of the State Forest in Serbia. PEs are in charge to sustainably manage state forests, make them economically profitable and maintain their environmental functions, and to provide technical assistance to Private Forest Owners (PFOs) and PFO Associations (PFOAs). Private owners (except private owners with large areas of forests >100 ha - e.g. monasteries, who make their own forest management plans) are obliged to follow the forest management plans developed by PEs.
  18. The **Institutes for Nature Conservation** in Serbia in Novi Sad (Vojvodina Region) and in Belgrade (for the rest of Serbia) are the legal entities charged with approving the forest management plans based on the Law of Nature Protection.
  19. The **Faculty of Forestry** in Belgrade is the main academic institution conducting research dedicated to forests and forming forestry professionals in the country. The **Institute of Forestry in Belgrade** and the **Institute for Lowland Forestry and Environment Protection** in Novi Sad are associated research institutes which, among other functions, are performing forest condition monitoring in the framework of the International Cooperative Programme on Assessment and Monitoring of Air Pollution Effects on Forests (ICP Forests).
  20. The **State Environmental Protection Agency (SEPA)**, as part of MEP, is collecting data from various sources to publish periodic reports on the environment in Serbia for the Serbian Government and Parliament as well as to the international community such as the European Environment Agency (EEA) and the Council of Europe.
  21. The **Chamber of Forest Engineers** is a professional body recognized by the Forest Law with a main goal of improvement of capacities of forestry professionals in implementation of SFM through continuous on the job trainings and education, providing services in private forests, as well as protection of public interest in the forests and protection of their personal professional interests. It provides licensing services for forest professionals. The Chamber has recently been founded and is in its early stages of institutional development.
  22. **Private forest owners associations (PFOAs)**: The level of organization of the PFOs is generally low. No numbers are available, however, experts state that a small minority of the PFOs pertain to a PFOA. Of the 15 registered associations, only 7 are active. The PFOAs articulate the interests of the members vis-à-vis public sector institutions, for example subsidies for forest roads.
  23. Currently, there are around 800,000 private forest owners in Serbia including individual forest owners, as well as institutions, notably churches and monasteries, agricultural companies, and water management companies. There are different estimates, and due to the incomplete Forest Information System, the exact number is not known. The Public Enterprise Srbijasume, determined the number at 932,524 in 2014. Individual private forest holdings are generally very small: 70 % of private forest owners own less than 1 ha of forest, and 98 % own parcels less than 10 ha.

24. PFOs harvest wood mainly for firewood. Revenues from the sale of wood typically make up less than 25 % of the household income.
25. The **Forest Law** (2010) provides the main legal framework for forest conservation and management in Serbia. The Law "shall ensure the conditions for sustainable management of forests and forest lands as goods of public interest, in a manner and to an extent which conserves and enhances their productivity, biological diversity, ability to regenerate and vitality, and increases their potential for the mitigation of climate change and their economic, ecologic and social functions, without inflicting damage to the surrounding ecosystems" (Art. 3).
26. Article 4 of the Law specifies that: "The activities of public interest shall include forest conservation, protection and enhancement, utilization of all forest potentials and functions, and the establishment of new forests in the aim of achieving the optimal forest cover percentage, spatial distribution, and the growing stock structure in the Republic of Serbia."
27. The Forest Law was updated in 2018. The main change is the introduction of a new level of planning – the Forest area, defined as "planning, geographic and natural units which comprises forests and forest land of forest areas and national parks", in substitution of the previous Forest districts. Forests and forest land in Serbia are now divided into seven Forest areas, each of them includes 3 to 4 of the previous Forest districts.
28. The **Law on Nature protection** (2009) regulates the protection and conservation of nature and biological, geological and landscape diversity. It sets the following goals: i) Protection, conservation and development of biological (genetic, species and ecosystem), geological and landscape diversity; ii) Harmonization of human activities, economic and social development plans, programmes, bases and projects with sustainable use of renewable and non-renewable natural resources and long-term conservation of natural ecosystems and a natural balance; iii) Sustainable use and/or management of natural resources and goods, maintenance of their function, along with conservation of natural values and the balance of natural ecosystems; iv) Timely prevention of human activities and actions which may lead to permanent depletion of biological, geological and landscape diversity, as well as disturbances with negative consequences for nature; v) Determination and monitoring of nature status; vi) Improvement of the state of disturbed parts of nature and landscapes. Article 9 of the Law has a crucial influence on forest planning and management. For all forest related plans and activities plans, bases, programmes, projects, works and activities, the responsible legal entity that prepares the plan needs to obtain the list of management restrictions for nature protection that are issued by the responsible institutes; the Institute for Nature Conservation in Serbia in Belgrade for the Central part, and the one in Novi Sad for the Vojvodina. The Forest Management Plan cannot be adopted without these conditions. This provision applies to all forests, regardless of whether they are located within a protected area or no.
29. **The Forestry Development Strategy** (FDS, 2006) sets the operational framework for forest development and planning in Serbia. It defines conservation and improvement of biodiversity in forest areas as one of its goals as a part of the concept of sustainable forest management. The basic goal of the Strategy is to preserve and improve the state of forests and to develop forestry as an economy branch. The Strategy recognises the importance of the forest sector and forests in conservation and improvement of the

<p>environment and in nature protection; conservation, sustainable use, and valorisation of forest biodiversity are among major objectives, as well as improvement of sustainable forest management in protected areas. The strategy also foresees the elaboration of the National Forest Programme, which will be developed under this project.</p> <p>30. Concretely, the FDS defines two levels of forest planning:</p> <ol style="list-style-type: none"> <li>1. The level of general forest-development planning at regional level, i.e. planning of forest functions within larger regions (forest areas), irrespective of forest ownership is the responsibility of the Government;</li> <li>2. The level of forest management planning is at the level of forest management units and is the responsibility of forest owners.</li> </ol> <p>31. Forests and forest land in Serbia are divided into seven Forest Regions as per amendment of the Forestry Law in 2015. Forest Regions are defined as "planning, geographic and natural units which comprises forests and forest land of forest areas and national parks".</p> <p>32. For each of these areas a <b>Regional Forest Development Plan</b> must be prepared (Article 18). This planning document, defines the directions of development of forests and forestry for a specific region. The Development Plan includes particularly the legal, strategic and planning framework; the survey and analysis of the state of the forest and previous management; designated forest functions and forest management objectives; program of measures and activities and guidelines for implementation of planned operations; the projection of the expected effects and indicators for monitoring the implementation of the development plan. The Development Plan shall be harmonized with other planning documents the Spatial Plan of Serbia. The Forest Development Plan is approved by the Government for a 10-year period.</p> <p>33. For the moment, no Forest Development Plans have been prepared.</p> <p>34. Based on the regional Forest Development Plan, more detailed planning documents are elaborated depending on the planning unit category:</p> <ul style="list-style-type: none"> <li>- <b>The 10 year Forest Management Plan:</b> for all state forests independent of size of the forest and for private forests with a forest area bigger than 100 ha.</li> <li>- <b>The 10 year Forest Management Programme:</b> for all private forests smaller than 100 ha at municipality level.</li> </ul> <p>35. Forest Management Plans for forests owned by the State as well as Forest Management Programme at municipality level which encompasses over 99 % of the private forest owners are mostly elaborated by either the Forest Faculty or by Srbijasume and Vojvodinasume. In the case of private owners with an area bigger than 100 ha, FMPs usually are prepared by service providers, including private forest management organizations or PEs Srbijasume and Vojvodinasume.</p> <p>36. According to the Law on Forests, the Forest Management Plans and Forest Management Programmes, that include protected areas at national level, must get approval of the ministry responsible for nature protection. Each draft 10-year Forest Management plan and Forest Management Programme is reviewed by the relevant Institute for Nature Conservation, which prepares a set of conditions for nature protection that have to be incorporated into the document.</p>	
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37. For the elaboration of the 10-year Forest Management Plan, a detailed **forest stand inventory** is carried out aimed to map the forest resource at the spatial level in forest management (stand level). These forest stand inventories are carried out for state forest areas and areas of private owners bigger than 100 ha. Stand inventories are done using a unique methodology and codebook. For each of the 560 management units there is a separate database in MS access format.
38. All Forest Management Plans and Programmes must include guidelines on the implementation of management plans such as measures for forest protection, forest regeneration, stand thinning, stand harvest, as well as measure for protecting biodiversity.
39. Based on the 10-year Forest Management Plan and Programmes, annual operational plans called **Annual Forest Management Plans** have to be prepared at Municipality level and at Forest Unit Level.
40. Elaboration of the annual operational plan is the responsibility of the owner and has to be completed no later than 30 November each year for the following year. The annual operational plan defines in particular: the scope, place and dynamics of the works on forest protection, silviculture measures, production of seedlings, and construction of technical infrastructure.
41. The interrelation between the planning documents is illustrated beneath in the two figures, one for the context of the Forest Management Plan for the Forest Management Unit (FMU) and one for context of the Forest Management Programme on municipality level. The planning unit can be either located inside or outside a protected area.
42. Incentives schemes to promote sustainable forest management are weak and need to be strengthened. Incentive mechanisms for private forest owners are currently limited to grants for forest road building and free plant material. There are no fiscal incentives, or access to forest extension services, to promote sustainable forest management.
43. In terms of certification schemes, only public forests are certified through the Forest Stewardship Council (FSC®) certificate. PE Srbjase has certified 206.478 ha and PE Voivodinasume has certified 129.516 ha, which, in the case of PE Voivodinasume, corresponds to 100 % of the managed forests. Forests administered by the National Parks and non-state forests are currently not covered by any certification schemes.

#### **Areas of intervention**

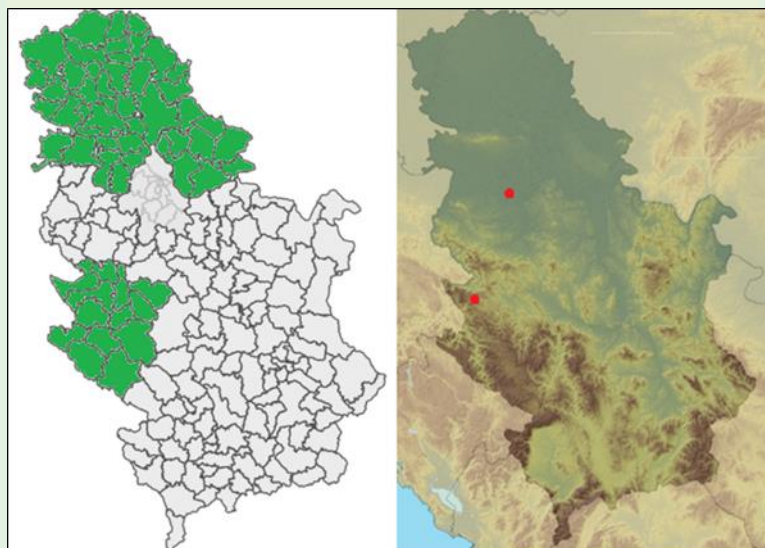
44. At territorial level, the project will focus its intervention at national level (National Forest Inventory), but also in selected pilot areas at three levels: forest region, protected area, and forest management unit.
45. At regional level, the project focuses on two of the seven forest regions recently defined through the amendment of the Forest Law: Western Serbia and Voivodina. The regions have been selected because they represent diversity in terms of biogeographical region, landscape, and forest type.

**Table 3: Basic information of the two project intervention areas**

Selected regions	Bio-geographical region	Landscape	Forest types	Forest cover
Vojvodina	Panonian region	Low land	Poplar, Oak and Ash	152.004
West Serbia	Continental region	Mountain	Beech and Conifers	324.006
<b>Total</b>				<b>476,01</b>



Map 2 Location of the two selected regions in Serbia (Source: Dejan Miletic, SE Srbijasume).



46. Within each region, one protected area has been selected: The Obedska Bara in Vojvodina and Tara Mountains National Park in West Serbia. These two areas are selected because they represent different protection levels, management structures and forest types. Both protected areas include state and non-state ownerships, which is also an important criterion when it comes to improving forest management in Serbia.
47. The Obedska Bara Special Nature Reserve in Voivodina region is partly protected as a Special Nature Reserve and as a Ramsar site and is dominated by lowland oak forests. It is famous for its different marsh and forest habitats, numerous species of mammals, fish, amphibians, reptiles, insects and exceptional abundance of flora, ichthyofauna and ornithofauna. The Obedska Bara was included as a biological hotspot along the Sava River. Thanks to the low altitude and the strategic importance of the Oak forests present in the area, the Obedska Bara is still in a close-to-natural state, with gradual changes in land cover and land use. The mosaic of forests and wetlands with patches of natural biotopes is dominated by a mixture of old lowland Pedunculate Oak-Ash-Hornbeam forests. Complexes of lowland ecosystems are of outstanding quality due to the natural flooding. Annex 8 contains a list of Natura 2000 habitat types and focal species in Obedska Bara.
48. The Tara Mountains in Western Serbia region are protected as a National Park and the dominant forests are beech and conifer forests. The Tara National Park hosts 34 forest and 19 meadow communities where the forest plant communities are of the greatest value of the Park. Due to the favorable geographical position and various environmental factors contribute to a great biological diversity, the species found in the Tara National Park, make up one third of the flora of Serbia (more than 1100 species). Tara is known as a refuge for many endangered endemic, relict and endemic-relict species, amongst which the most valuable is the endemic- relict Serbian spruce. There are 210 species of plants under the government protection in the Tara National Park: 47 species are strictly protected, while the remaining 163 are endangered species.

Endangered plant species include Mountain maple, Derventan Cornflower, Gladioli, Orchids and Crested wood fern. There are five (5) species listed as Red Book of flora of Serbia: *Leontopodium alpinum* – Edelweiss, *Waldsteinii trifolia*, *Adenophora lilifolia* – Lilyleaf Ladybell, *Cladium mariscus* – Saw sedge, *Dryopteris cristata* – crested wood fern. Annex 9 contains further information on species and habitat types found in the Tara National Park.

At the forest management unit level, 2-4 FMUs will be selected in each region based on the following criteria: i) Forest ownership (public/private forest, diversity of forest owners), ii) Diversity of forest types, iii) Location within and outside of the protected area, 4. Area covered. The selection of the pilot FMUs will be done at project inception.

### **Problems, challenges and barriers the project**

49. Forest degradation, along with resulting habitat loss and fragmentation, is one of the key environmental problems faced by Serbia at present. Forest degradation on a large scale has resulted in loss of forest carbon, biodiversity and other key ecosystem goods and services, but also substantially reduced potential of Serbian forests to act as carbon sinks.
50. Based on the data of the National Forest Inventory (NFI) conducted in 2009, the general condition of Serbian forests can be described as bad. The forest cover reaches 29.1% of the territory, is far below the target of 41.4% set out in national strategy and policy documents. Serbian forests are characterized by low standing volume of only about 161 m<sup>3</sup>/ha and a low annual increment of about 4.0 m<sup>3</sup>/ha. The unsatisfactory condition of Serbian forests is also characterized by:
  - (1) unfavourable structure by origin and silvicultural system: 64.7% of forests are coppice forests with barely half of the potential increment;
  - (2) unfavourable preservation of the forest condition: 29% of all forests are degraded with wood production of barely 3.1 m<sup>3</sup>/ha;
  - (3) very unfavourable age structure of natural high forests as well as coppice forests;
  - (4) Absence of natural regeneration on 268,000 ha;
  - (5) unfavourable health condition: nearly 50,000 ha of forests are in different stages of decay;
  - (6) low technical and managerial capacities of forest users and private forest owners, often using obsolete and old equipment for forest silviculture and harvesting activities.
51. Root causes include the following:
52. **Illegal extraction of timber** is mostly carried out by local population, mainly for personal consumption. Especially in the last few years the problem has intensified due to rising costs for energy. Data collected within the scope of FAO project on "Wood Energy for Sustainable Rural Development in Serbia" showed that 3.85 million m<sup>3</sup> of wood fuel was unregistered, of which approx. 2.76 million m<sup>3</sup> came from the 'gray market', i.e. from private forests.
53. **Forest fires** cause significant damages every year. In 2007, there were 258 fires affecting over 16,144 ha of forests. Fires are generally caused by inappropriate agricultural practices and tourism activities, this is exacerbated by very dry summers. Aggravating this situation, there is limited forest road infrastructure in Serbian forests which would allow adequate forest fire management and control. Both Law on Forests



and Law on Wild Game and Hunting specify very clearly the obligations on forest users' and owners' part in preventing and remedial actions in the context of fires. In reality, due to reasons described further below, forest fires are still a significant cause for forest degradation and destruction.

54. ***Agricultural, energy and construction sector impacts.*** Agriculture has both positive and negative impacts on forests. On the one hand, in the past decades, forests have naturally regenerated on agricultural land abandoned by their owners. In the past few years, however, agricultural investment has increased. Investors buy large tracts of agricultural land and clear the regenerated forest for agricultural production, which is more profitable than forestry. Also, burning of agricultural wastes on the field causes forest fires almost every year.
55. 1.2 million of Serbian households, particularly in poor rural areas, rely on fuelwood to cover their energy needs. Currently the demand exceeds the potential supply from available forest resources. Therefore, afforestation and restoration need to be promoted in order to ensure locally sufficient supply for energy needs, but also for the wood-based industry and the economy as a whole.
56. Finally, pressure on forests from construction sector has become more severe due to big infrastructure projects (highways, industry, oil pipelines, etc.). Over the next years, 10-20,000 ha of forests is estimated to be converted into land for construction, with no or limited afforestation projects to compensate for the loss in forest area.

#### ***Remaining barriers***

57. The main barriers that need to be addressed to overcome the problems described above are as follows:
58. ***Weak information systems and availability.*** The lack of a comprehensive availability of updated information on forests, including forest biodiversity, carbon stocks and socio-economic aspects, is a significant barrier for developing and implementing multi-functional forest management plans at local level. Furthermore, it hinders Serbia to fulfill its international reporting obligations related to biodiversity protection and climate change mitigation at European and global levels. Such requirements include the CBD and UNFCCC at global level, as well as Natura 2000 and the EU LULUCF requirements at European level.
59. Serbia conducted a national forest inventory in 2009. Due to limited resources and methodological shortcomings, information on biodiversity, interaction between forests and climate change, anthropogenic-induced destabilization factors (forest fires, excessive felling, etc.) as well as socio-economic information, were not collected.
60. Although the Law on Forests requires the development of a national forest information system, and an Integrated Forest Information System (IFIS) development study was conducted in 2005, there has been very little progress in its implementation. There is no comprehensive information management system to enable effective decision making related to biodiversity conservation and SFM that incorporates BD concerns and climate change mitigation issues. Whatever information available, at present, is difficult to access and is not organized nor presented to effectively support decision-making processes at management or policy levels.
61. Forest data and biodiversity data are spread across a variety of databases that are not accessible for the respective institutions working in the forest sector, which means that available data are not used to the extent possible. There is especially space for more

- effective allocation of available human capacities and improved coordination between the MAFW, the forest sector forest sector and the Institutes for Nature Conservation. Lack of co-ordination also leads to overlapping research and irrational use of the modest human and material resources.
62. The current GHG inventory in Serbia is based on the annual data on timber harvesting from the statistical office and on the results of the latest NFI (2009) in regard of growth and forest stock. The current system established has several weak points such as low level of detail, no dynamic data for forest growth (only one growth rate used for the entire period), high uncertainty of the default values used and a low knowledge of the GHG inventory team on forestry dynamics.
  63. The weaknesses of the GHG inventory system, needs to be addressed through an adapted NFI design and improved cooperation activities of the Serbian Environmental Protection Agency, SEPA, responsible for the GHG inventory and the Forestry Directorate, responsible for the NFI.
  64. Finally, there is no rulebook or protocol on the exchange of information between institutions, which are responsible for nature protection and use of natural resources. All geo-spatial data and data from other inventories are found in databases held by the institution collecting the data. Data exchange is based largely on good personal connections between employees of the institutions.
  65. ***Inadequate policy and strategic framework and sectoral coordination.*** The National Forest Development Strategy (2009) provides general guiding principles and goals for the sector. The strategy is comprehensive in providing the generic and globally recommended directions for sustainable forest management and biodiversity conservation. However, no specific guidance and priorities in the context of forest carbon management and climate change, and integration of biodiversity conservation in productive landscapes is provided. This is an important barrier to overcome at the national level. It is essential to clearly prioritise and set specific pathways for sustainable forest management that incorporates climate change mitigation and biodiversity conservation objectives for systematic implementation. The Forest Fund also lacks policies and guidelines for how to mainstream biodiversity conservation practices and objectives into its work, especially in non-state forests.
  66. The FDS is rather accurate in formulating the institutional shortcomings to introducing sustainable forest management. Not much has changed, which among others can be contributed to the fact that the strategy lacks an implementation strategy or action plan. Management is not sufficiently effective due to defects in the system of financing, underdeveloped capacities of inspection and management institutions as well as an uncoordinated monitoring system. The current set-up of having the forest and nature conservation sectors in two Ministry requires closer and more efficient collaboration for integrating biodiversity concerns into forest management. Past practice showed that the various departments within the MAFW and MEP were working rather independently and an institutional structure to support effective cooperation between the forest and nature conservation sectors is missing.
  67. The need to strengthen the coordination is urgent in view of enabling the integration of biodiversity concerns into forest management but also to mainstream the requirements stemming from the EU Birds and Habitats Directives with forestry, agriculture and water management. Currently the forest sector is not sufficiently involved in the Natura 2000 process. Such involvement is essential in order to achieve

- favourable conservation status of Natura 2000 forest habitat types and species. The FDS proposes to have the forest sector actively participating in the formulation of the National Strategy and Action Plan of biodiversity protection and enhancement.
68. ***Lack of involvement of the private forest sector.*** The lack of involvement of the private sector in forest management programmes, also the lack of capacities and incentives for the private forest owners is a real barrier for achieving sector wide acceptance and introduction of sustainable forest management in Serbia.
  69. Nearly 50% of the forests are owned and managed by private persons or institutions like monasteries and churches. Although there is little knowledge about extent to which sustainable forest management is practiced in private forests, experts suggest that management does not take the principles of sustainable forest management into account. Currently there is close to none cooperation and exchange of information between the public forest sector in terms of policy making and management, and the private sector. The only link is through the elaboration of the management plans for the forest management units through the Public Enterprises. However, in practice, these links are mostly very indirect, as over 99 % of the private forest owners who own less than 100 ha of forest fall under the forest management programmes at municipal level.
  70. Involvement of private forest owners, poses an important challenge for meaningful SFM implementation, in particular regarding biodiversity conservation, which require implementation of practices at scale to restore and maintain habitats. The number of PFOs is very high (about 800,000), and the size of individual holdings is very small – 70 % of the PFOs own less than 1 ha of forest.
  71. ***Lack of understanding and technical capacity on Sustainable Forest Management.*** In Serbia, there is a lack of understanding among forestry professionals on sustainable forest management and its linkages with economic, social and environmentally sound development. In particular, the linkages between forest management and climate change adaptation and mitigation, as well as forest management and biodiversity conservation, are not well reflected in management practices and plans. The insufficient number of trained personnel for biodiversity monitoring and multi-functional forest management hampers mainstreaming biodiversity conservation and climate change mitigation in forest management plans. Increasing the knowledge about SFM harmonized with climate change concerns and biodiversity management and protection is especially relevant in view of the commitments of Serbia stemming from the Paris Agreement and from the Natura 2000 obligations.
  72. The technical expertise available to support forest inventories and management planning of the forestry administration is limited. The technical capacity in the Forest Directorate is limited to 58 persons. Apart from the Public Enterprises Srbijasuma, Vojvodinasume, the Forest Faculty and a few private forest management organisations, some of the five National Park enterprises have own forest experts who are responsible for the stand inventories as well as the elaboration of management plans for the national parks. In cases where there is a lack of capacities in the National Park, the Forest Faculty has been responsible for the elaboration of the management plan.
  73. Finally, and importantly, there are currently no mechanisms in place to support private forest owners in updating their knowledge and capacities to improve management practices so that these are harmonized with the requirements of biodiversity

protection and climate change adaptation and mitigation. To change this situation a special approach is required to permanent and qualified education and information of private forest owners. The creation of a forest extension service to help private forest owners and support to the creation and strengthening of forest associations are possible remedies to address the current shortcomings.

#### DESCRIPTION OF THE PROJECT

74. Project was endorsed in February 2015 by Serbian Ministry of Agriculture, Forestry, Water Management and Environmental protection

#### **Project's key objectives and project components**

75. Global environmental objective: To contribute to the conservation of biodiversity and climate change mitigation through the promotion of multifunctional sustainable forest management in productive forest landscapes
76. Development objective: To support government institutions and private forest owners in applying sustainable forest management practices at national, regional, and local levels in selected ecosystems through better knowledge, capacities, information and incentives.
77. The project strategy is aimed at strengthening capacities of actors of the public and private sector of mainstreaming biodiversity conservation and management of carbon stocks into forest management planning and implementation. This will mainly be achieved through (i) improving information availability to enable informed decision making in forest development and management, and reporting according to international standards and practices, (ii) strengthening coordination and dialogue between key public and private stakeholders, (iii) strengthening capacities of forest managers to implement SFM practices through guidance materials and trainings and (iv) generating strategies to provide incentives to private forest owners to engage in SFM, and (v) implementation of updated forest development plans and forest management plans according to SFM guidelines in two pilot regions, taking a landscape approach.
78. The strategy builds on the close engagement of key stakeholders to ensure sustainability of the results. The capacities of the public forest enterprises which by law manage public forests and perform technical activities the private forests will be strengthened. Private forest owners and their associations will be engaged in training and technical assistance activities at the local level, as well as in the coordination platform at the national level.
79. The project objective will be delivered through the following three components, building on the baseline initiatives.
80. **Component 1: Enabling environment for multifunctional sustainable forest management** (This component addresses barriers 1 (weak data availability and information systems) and barrier 2 (weak policy and strategic framework). Through this component, decision making capacity of actors in forest policy and management will be improved ensuring that up-to-date information on forestry, biodiversity conservation and carbon stocks is available as well as collected, processed and analyzed according to international standards and requirements. To address information gaps, methodologies to collect forest biodiversity and carbon data will be

<p>developed both for the forest inventory as well as the forest development and forest management plans at regional and local levels.</p> <p>81. Understanding social issues of forest management is also necessary to achieve the most optimal policy development and implementation. A mapping on private forest owners and users will be conducted and data on forest use will be collected (disaggregated by sex and age). This will allow policy-makers to develop strategies that can ensure sustainable use of forests and better livelihoods of owners and users. In addition, the Government of Serbia will be supported in the development and implementation of indicators to monitor the use of forests by forest owners and users disaggregated by sex, age, and educational level, and on the type of use of forests (collection of NWFPs and firewood; for subsistence or marketing).</p> <p>82. Taking in consideration the principles and guidelines introduced by the Voluntary Guidelines on National Forest Monitoring, the second NFI will be carried out, assessing biodiversity and carbon information on the ground. Furthermore, an integrated Forest Information System will be developed to enable users to access the information for strategic and operational purposes. This will enable Serbia to report to Forest Europe, to identify potential Natura 2000 sites with high conservation values and to prepare distribution maps of Natura 2000 forest habitat types. Furthermore, a Monitoring, Verification and Reporting scheme for the forest sector will be developed to allow reporting on the the carbon balances of the sector according to international standards. This will also facilitate the country's access to international climate funding.</p> <p>Under this component, climate change mitigation (CCM) and biodiversity (BD) concerns will be mainstreamed into the forest development strategy through the development of guidelines for good SFM practices. Based on these guidelines, manuals for forest planners, managers and users to at regional and management unit level will be developed to conduct Nature Value Assessment and Key Biotopes mapping. Key stakeholders from public, private, academic sectors and civil society will take an active role in advising the processes and validating the products through a multisectoral coordination platform on SFM.</p> <p>83. <u>Component 2: Multifunctional forest management.</u> This component will primarily address barrier 3 (lack of private sector involvement) and barrier 4 (lack of capacity on SFM implementation). Based on the methods and tools developed under component 1, this component will aim to mainstream carbon stock, biodiversity conservation and socio-economic issues into forestry development and management plans at regional and local level. Interventions along the complete planning cycle at forest region, management unit and management programme levels according to the Forestry Law and Forest Development Strategy will ensure scalability from pilot to national level. Interventions will focus on two pilot regions, West Serbia and Vojvodina. The regions have been selected to include representative forest types, as well as an array of public and private owners, including the church. Furthermore, they include two important protected areas, the Obeska Bara and Tara National Parks, with a total area of 44,658 ha.</p> <p>84. <u>Component 3: Monitoring, evaluation and dissemination of lessons learned.</u> This component will ensure that the project's progress is tracked and periodic evaluations are conducted for adaptive management. Under this component, project results and achievements will be disseminated for replicability and scaling up.</p> <p><b><u>Beneficiaries of the project</u></b></p>
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85. Ministry of Agriculture, Forestry and Water Management - Directorate of Forests. The Directorate of Forests (DF) is one of the main beneficiaries of the project. The DF will lead the project implementation process along with FAO. It will provide the bulk of the cofinancing through the Forest Fund which administers. The DF will be responsible to transform and adopt recommendations of the project into policies and programmes.
86. PE's Vojvodinasume and Srbijasume. The PEs are beneficiaries of the project, and key project implementation partners at regional and local level. They will be involved in the implementation of the NFI field surveys, validation of strategies, training activities and implementation of SFM at regional and local level. Important contributors of cofinancing.
87. Private forest owners and their associations. PFOs and PFOAs are main beneficiaries of the project, and key project implementation partners at local level. They will be involved in the validation of strategies, training activities and implementation of SFM at local level.
88. PE National Parks. The PEs of the National Parks are beneficiaries of the project, and key project implementation partners at regional and local level. They will be involved in the assessment of forest biodiversity in the pilot areas, validation of strategies, training activities and implementation of SFM at local level. NPs Tara, Fruska Gora, and Djerdap are important contributors of cofinancing.

**Project set-up, including management arrangements, human resources and budget**

89. In addition to FAO as GEF Agency, the main institutions involved in the project are the Ministry of Agriculture, Forestry and Water Management (MAFW) - Directorate of Forests, and Ministry of Environmental Protection – Departments responsible for Nature Protection, Biodiversity and Climate Change.
90. The Directorate of Forests will be the project implementing partner. The Directorate of Forests will be responsible for ensuring the overall coordination of the project's implementation, as well as coordination and collaboration with partner institutions, local community organizations and other entities participating in the project, and for managing at the national level the cofinancing agreed during the formulation of the project.
91. FAO and the implementing partners will collaborate with the implementing agencies of other programs and projects in order to identify opportunities and mechanisms to facilitate synergies with other relevant GEF projects, as well as projects supported by other donors. This collaboration will include: (i) informal communications between GEF agencies and other partners in implementing programs and projects; and (ii) exchange of information and outreach materials between projects.
92. The Food and Agriculture Organization (FAO) is the GEF agency responsible for monitoring and providing technical backstopping during project implementation. Technical backstopping will be provided in coordination with MAFW - Directorate of Forests. FAO's role and responsibilities is described in sub-section 3.2.2 below.
93. For strategic decisions a **Project Steering Committee (PSC)** will be established, which will consist of representatives of MAFW, MEP and FAO. Its main function is to guide the implementation of the project, check and approve the annual work plans, approve



- the financial and technical reports, and provide strategic guidance to the driving general project (section 3.2.3 describes features of the PSC).
94. The MAFW will designate a **National Project Director (NPD)**. The NPD will be a MAFW- Directorate of Forests staff and will have the responsibility of supervising and guiding the Project Coordinator (see below) on the government policies and priorities. He/she will also be responsible for coordinating the activities with all the national bodies related to the different project components, as well as with the project partners. He/she will be responsible for requesting FAO the timely disbursement of GEF resources that will allow the execution of project activities, in strict accordance with the Project Results-Based Budget and the approved AWP/B for the current project year.
  95. A GEF-financed **Project Team (PT)** will be established. The main responsibility of the PT, following the directives and decisions of the Project Steering Committee and under the supervision of the NPD, is to ensure coordination and execution of the project through the rigorous and effective implementation of the AWP/B.
  96. Under the supervision of the NPD, the PT will be headed by a full-time **Project Coordinator (PC)** (financed by GEF funds) who will be in charge of project daily management and technical supervision including: (i) coordinate and closely supervise the implementation of project activities; (ii) day-to-day project management; (iii) coordination with related initiatives; (iv) ensuring collaboration between the participating national, provincial and local institutions and organizations; (v) implement and manage the project M&E plan and its communication program; (vi) prepare the Project Progress Reports (PPRs), containing information on the activities carried out and the progress in the achievement of outcomes and outputs; (vii) organize annual project workshops and meetings to monitor project progress and will prepare the Annual Work Plans and Budgets (AWP/B); (viii) submit PPRs together with the AWP/B to the Project Management Committee (PMC) for approval and presentation to the Project Steering Committee (PSC) and FAO; (ix) act as secretary to the PMC and PSC; (x) supporting the preparation of PIRs, mid-term review and final evaluations.
  97. Moreover, following FAO rules and regulations and in accordance with the Project Document and the AWP/Bs, the PC will assist the NPD in the identification of targeted expenditures and disbursements that should be requested to FAO for timely project execution.
  98. The PC will supervise the work of, provide technical backstopping, and assess the reports and outputs produced by project national consultants (financed by GEF funds).
  99. The **Budget and Operations Officer** will be responsible for the day-to-day financial management and operation of the project including raising contracts and procure other needed inputs in accordance with the approved budget and annual work plans. The Budget and Operations Officer will work in close consultation with the NPD, PC, Budget Holder (BH, see below), Lead Technical Officer (LTO, see below) and project executing partners, and will take the operational responsibility for timely delivery of needed inputs to produce project outputs.

#### **Project implementation status and key dates**

*COMPONENT 1: Enabling environment for multifunctional sustainable forest management*

<b>Outcome 1.1 Improved decision-making in management of productive forest landscapes</b>	
<b>Outputs</b>	<b>Activities</b>
1.1.1. Methodology for forest and biodiversity information collection and management harmonized with global and regional standards and reporting requirements	Design methodology for collecting and analysis of biodiversity and carbon information for NFI
	Design methodology for assessing forest biodiversity and nature values as part of SFM for forest development and management planning
	Development of manuals and technical guidelines for integrating CCM and BD conservation into forest development and management planning
<b>IMPLEMENTED 2019</b>	<b>PLANNED 2020</b>
<i>Methodology for collecting and analyzing biodiversity and carbon information for NFI</i>	<i>Based on Methodology for assessing forest BD and nature values as part of SFM for FMPs and FDPs: Mapping of key biotopes</i>
<i>Methodology for assessing BD and nature values as part of SFM for FMPs and FDPs</i>	
<i>Technical guidelines for integrating CCM and BD conservation into FMPs and FDPs</i>	
<i>Biodiversity guidelines as part of the FMP for at least 15 forest management types</i>	<i>Finalize the 8 and review remaining forest management guidelines prepared by the FMP team from a perspective of biodiversity</i>
<i>BD Manual 1 - Nature Value Assessment of forest plots (Biodiversity indicators and field guides for the NFI in Serbia)</i>	
<i>BD Manual 2-Nature Value Assessment of forest stands (Biodiversity indicators and field guides for the FMP in Serbia)</i>	
<i>Nature Value Assessment Field Form</i>	
<i>Training Needs Assessment Related to Nature Value Assessment and Mapping of Key Habitats in Serbia</i>	
<i>BD Report – Obedska bara and NP Tara</i>	
	<i>Feedback on BD collected data after NFI conducted on pilot areas (analyses of gathered data and improvements)</i>
	<i>Advise on biodiversity-related management practices and training activities in the pilot FMUs and forest regions</i>
<b>IMPLEMENTATION STATUS (cumulative): 90%</b>	



Outcome 1.1 Improved decision-making in management of productive forest landscapes	
Outputs	Activities
1.1.2. National forest information system, including biodiversity and carbon information, operational	Design of a By-law on data sharing arrangements for FIS
	Design of methodology and operating procedures of FIS
	Finalize technical specification of equipment and software
	Procurement of equipment and software
	FIS internal standards definition
	Development of earth observation products for forest management (monitoring of logging operations, forest fires)
	Design of FIS systems architecture
	Development of FIS platform
IMPLEMENTED in 2019	PLANNED for 2020
<i>Technical specification of equipment and software developed (based on FIS functionality list prepared by WG of the DF)</i>	<i>Procurement of information system SW according to the specifications</i>
<i>Interoperability standards for IT infrastructure</i>	<i>Development of remaining functionalities of FIS</i>
<i>Equipment for FIS and NFI procured (tablets, graphic stations, server)</i>	<i>By-law on FIS (WG established by DF)</i>
	<i>Recommendations for tuning up FMP and FDP software (under coordination of FIS expert) and functionality report after software testing</i>
<b>IMPLEMENTATION STATUS (cumulative): 10%</b>	
Outcome 1.1 Improved decision-making in management of productive forest landscapes	
Outputs	Activities
1.1.3. National forest inventory conducted (including assessment and collection of information relevant to biodiversity conservation and climate change mitigation)	Training of NFI field mappers for the BD mapping
	Photo Interpretation (First NFI phase)
	Field surveys including biodiversity and carbon data
	Processing and analysis of data from field mapping and identification of potential BD hotspots as well as threatened areas
	Production of GIS layers
	Final NFI report including carbon and biodiversity information and maps

IMPLEMENTED in 2019	PLANNED for 2020
Service Contract for the phase I of NFI (Photo Interpretation) under implementation (contracts with Bureau for Forest Management Planning of the Public Enterprises "Srbijasume"). Photointerpretation on 4x4km grid, 2 regions on the 1x1km grid	Remote sensing phase finished
NFI Methodology (field manual)	NFI methodology, Field manual and Remote sensing manual (prepared for publishing)
Field training performed (August 2019)	
Equipment procured (10 tablets, 10 GPS's, 10 metal detectors)	
LoA with PE's Srbijasume and Vojvodinasume for the NFI field work (10 teams)	
NFI data entry software	
Field measurement started (400 plots measured)	Field work in Vojvodina & Western Serbia finished
Institute of Forestry Control team established and started	
	Data base final Vojvodina & Western Serbia finished
	NFI data analyses methodology
	Software analyses module
<b>IMPLEMENTATION STATUS (cumulative): 30%</b>	
<b>Outcome 1.1 Improved decision-making in management of productive forest landscapes</b>	
Outputs	Activities
1.1.4. Existing carbon monitoring, reporting and verification (MRV) systems, reviewed and adapted to Serbian context	Development of a proposal for institutional setup framework including the necessary capacities to be allocated, the choice and description of the protocol and the development of the MRV system
	Validation workshops on MRV proposals
IMPLEMENTED in 2019	PLANNED for 2020
Proposal for a new MRV system for the forest sector, including institutional setup, choice and description of the protocol	All planned activities implemented (according to the prodoc)
Validation WS (September 26 <sup>th</sup> , 2019)	
<b>IMPLEMENTATION STATUS (cumulative): 100%</b>	

Outcome 1.1 Improved decision-making in management of productive forest landscapes	
Outputs	Activities
1.1.5. Forest development strategy and legislation revised to incorporate biodiversity and climate change mitigation concerns	Consultations with key stakeholders
	Development of recommendations to mainstream SFM into forest development strategy and legislation
IMPLEMENTED in 2019	PLANNED for 2020
<i>Project team consultations on forest development strategy including legislation issues to incorporate BD and CCM</i>	<i>Preliminary consultations with key stakeholders on forest development strategy including legislation issues to incorporate BD and CCM</i>
	<i>Draft content of the FDP of Serbia</i>
<b>IMPLEMENTATION STATUS</b> <b>(cumulative): 5%</b>	
Outcome 1.1 Improved decision-making in management of productive forest landscapes	
Outputs	Activities
1.1.6. National standards for best management practices in different forest types	Consultations with researchers and forest managers
	Revision of existing SFM guideline documents
	Revision and completion of at least 15 guideline documents for sustainable silvicultural practices in different forest types, integrating climate-smart forestry and biodiversity conservation based on EU habitats directive
IMPLEMENTED in 2019	PLANNED for 2020
<i>Consultations with researchers and forest managers on best management practices in different forest types</i>	<i>2 meetings with main stakeholders regarding manual and technical guidelines for forest management planning</i>
<i>Revision of the existing SFM guideline documents</i>	<i>Remaining forest management guidelines for different forest types</i>
<i>Revision and completion of 8 guideline documents for silvicultural practices in different forest types, integrating climate-smart forestry and BD conservation based on the EU habitats directive</i>	
<b>IMPLEMENTATION STATUS</b> <b>(cumulative): 50%</b>	
Outcome 1.1 Improved decision-making in management of productive forest landscapes	
Outputs	Activities

Output 1.1.7. National level multi-sectoral coordination platform for multifunctional sustainable forest management established	<p>High level roundtable consultations on SFM in Serbia with participation of public, academic, civil society and private sector</p> <p>Regular consultations of multi-actor working groups on Forest information, forest development planning, forest management systems, and private forest owners integration</p>
<b>IMPLEMENTED in 2019</b>	<b>PLANNED for 2020</b>
<i>Regular monthly consultations in multi-actor working groups on Forest information, forest development planning, forest management systems, and private forest owners integration (representatives of PEs Srbijasume/Vojvodinasume/Forestry Institute Belgrade/Directorate of Forests/National Parks/Nature Protection Agency)</i>	<i>Regular monthly consultations in multi-actor working groups on Forest information, forest development planning, forest management systems, and private forest owners integration (representatives of PEs Srbijasume/Vojvodinasume/Forestry Institute Belgrade/Directorate of Forests/National Parks/Nature Protection Agency)</i>
<b>IMPLEMENTATION STATUS (cumulative): 50%</b>	
<b>Outcome 1.2 Institutional capacities strengthened for multi-functional forest management</b>	
<b>Outputs</b>	<b>Activities</b>
Output 1.2.1. Training programme for forest managers, users and administrators in updated SFM techniques and BD management in productive landscapes established and implemented, including a training of trainers	Development of capacity development strategy and training modules: FDP and FMU level Planning, management, monitoring; Forest information system
	SFM and biodiversity training of 120 forest users, managers and planners (6 3-day trainings with 20 participants)
	Prepare and conduct a training of trainers programme (20 Trainers, 2 trainings of 5 days)
	At least 3 test trainings for the new trainers
<b>IMPLEMENTED in 2019</b>	<b>PLANNED for 2020</b>
<i>Preliminary discussion on training modules: FDP and FMU level Planning, management, monitoring; FIS. Capacity development strategy cancelled</i>	<i>Training needs assessment and trainings design (including training materials) for SFM for forest professionals and forest owners (Part I)</i>
	<i>List of training courses for the LoA with Chamber of Forestry Engineers of Serbia</i>
	<i>Preparation of LoA with Forestry chamber of Serbia on trainings and demonstration plots establishment</i>

<b>IMPLEMENTATION STATUS</b> <b>(cumulative): 10%</b>	
<b>COMPONENT 2: Multifunctional forest management</b>	
<b>Outcome 2.1 Increased forest area under sustainable and multi-functional forest management</b>	
<b>Outputs</b>	<b>Activities</b>
Output 2.1.1. Biodiversity status and impact of land use on biodiversity assessed in the project areas	Conduct review of existing knowledge and data as well as new NFI data on forest biodiversity, threats and impacts in the project areas (Vojvodina and Western Serbia)
	Evaluate the current status for forest biodiversity, impacts and threats for Obedska Bara and Tara National Parks
	Conduct Nature Value Assessment and mapping of key biotopes in four to eight selected FMUs within and outside protected areas
<b>IMPLEMENTED 2019</b>	<b>PLANNED 2020</b>
<i>Preliminary report on forest biodiversity, threats and impacts in the project areas (Vojvodina and Western Serbia) based on the review of existing knowledge and data valuate the current status for forest biodiversity, impacts and threats for Obedska Bara and Tara National Parks</i>	
	<i>Desk analyses of existing map layers and info of biodiversity of the 4 pilot areas</i>
	<i>Training materials and training of identified staff of forest management planning units of PE's who are responsible for FMP: 1. Nature Value Assessment (NVA) incorporated by FMP team; and 2. mapping of key biotopes in the 4 selected FMUs within and outside protected areas.</i>
	<i>Supervision of FMP unit teams in conducting NVA and mapping of key biotopes.</i>
	<i>Review of existing knowledge and data as well as new NFI data on forest biodiversity, threats and impacts in the project areas (Vojvodina and Western Serbia)</i>
<b>IMPLEMENTATION STATUS</b> <b>(cumulative): 50%</b>	

Outcome 2.1 Increased forest area under sustainable and multi-functional forest management	
Outputs	Activities
Output 2.1.2. Integrated and improved forest development plans prepared for 2 forest regions	Training of planning teams in Vojvodina and Western Serbia regions
	Development of the Forest Development Plans for two pilot regions (Voivodina and Western Serbia) based on FDP manual and information from biodiversity assessment
	Technical assistance to planning teams on implementation of technical guidelines of the FDP manual
IMPLEMENTED 2019	PLANNED 2020
	<i>Report on the new elements and content of a new Forest Development Plan of Serbia and related legislation</i>
	<i>Final draft of the manual and technical guidelines for forest development planning integrating BD and CCM considerations.</i>
	<i>FDP procedures with main stakeholders elaborated</i>
<b>IMPLEMENTATION STATUS (cumulative): 0%</b>	
Outcome 2.1 Increased forest area under sustainable and multi-functional forest management	
Outputs	Activities
Output 2.1.3. Integrated Forest management plans implemented	Selection of 8 FMUs (4 in Vojvodina and 4 in Western Serbia)
	Support revision and updating of 10 year forest management plans in the selected FMUs based on the updated FDPs, the Protected Area management plan and information from biodiversity assessment according to the FMP manual
	Support to private owners drafting of yearly operational plans of the selected FMUs
	In 8 selected FMUs, perform forest site mapping, erosion risk assessment, landslide cadastre, forest function mapping, assessment of Natura 2000 restrictions and management options
	40 2-day workshops for forest owners on FMP implementation
	Support to Forest Owners to implement practices defined in the operational plans

	Organization of excursions and Open days of the Forests
	Establishment of 16 demonstration plots for typical management measures in common forest types
<b>IMPLEMENTED 2019</b>	<b>PLANNED 2020</b>
<i>Selection of 4 FMUs (2 in Vojvodina and 2 in Western Serbia)</i>	
<i>In the 4 selected FMUs preparatory activities related to forest site mapping, erosion risk assessment, landslide cadastre, forest function mapping, assessment of Natura 2000 restrictions and management options</i>	<i>In the 4 selected FMUs activities related to forest site mapping, erosion risk assessment, landslide cadastre, forest function mapping, assessment of Natura 2000 restrictions and management options</i>
<i>Preparatory activities for establishing 10 demonstration plots for typical management measures in common forest types</i>	<i>Establish at least 10 demonstration plots with training materials for FMP training purpose</i>
	<i>Revision and updating of 10 year FMPs in the selected FMUs based on the updated FDPs elements, the Protected Area management plan and information from BD assessment according to the FMP manual</i>
<b>IMPLEMENTATION STATUS (cumulative): 15%</b>	
<b>Outcome 2.1 Increased forest area under sustainable and multi-functional forest management</b>	
<b>Outputs</b>	<b>Activities</b>
Output 2.1.4. Strategic and policy options to ensure commitment of private forest owners to sustainable forest management developed and validated	Development of a concept for a comprehensive forest extension service for private forest owners
	Analysis of potential incentives for forest owners to implement SFM (fiscal incentives, ecosystem services, market access, certification schemes)
	Development of an action plan and policy recommendations to mainstream incentives for SFM for private forest owners into forest policy
	4 validation and dissemination workshops for action plan and policy recommendation for private forest owner organizations
	Organization of 2 study tours for private forest owners to visit successful

	implementation of SFM practices (8 PFO, 5 days each)
<b>IMPLEMENTED 2019</b>	<b>PLANNED 2020</b>
<i>A concept for a comprehensive forest extension service for private forest owners</i>	<i>Development of an action plan and policy recommendations to mainstream incentives for SFM for private forest owners into forest policy</i>
<i>Analysis of potential incentives for forest owners to implement SFM (fiscal incentives, ecosystem services, market access, certification schemes)</i>	<i>4 validation and dissemination workshops for action plan and policy recommendation for private forest owner organizations</i>
<b>IMPLEMENTATION STATUS (cumulative): 90%</b>	
<b>COMPONENT 3: Monitoring, evaluation and dissemination of lessons learned</b>	
<b>Outcome 3.1. Adaptive management insured and key lessons shared</b>	
<b>Outputs</b>	<b>Activities</b>
Output 3.1.1. Monitoring system providing systematic information on progress in reaching expected outcomes and targets	Set up of monitoring and evaluation system
	Preparation of Annual Work Plan and Budget
	Preparation of inception report
	Preparation of project progress reports
	Preparation of final report
<b>IMPLEMENTED 2019</b>	<b>PLANNED 2020</b>
<i>Preparation of Annual Work Plan and Budget</i>	<i>Preparation of Annual Work Plan and Budget</i>
<i>Preparation of project progress reports</i>	<i>Preparation of project progress reports</i>
<b>IMPLEMENTATION STATUS (cumulative): regular</b>	
<b>Outcome 3.1. Adaptive management insured and key lessons shared</b>	
<b>Outputs</b>	<b>Activities</b>
Output 3.1.2: Mid-term and final evaluation conducted	Mid-term evaluation mission
	Final evaluation mission
<b>IMPLEMENTED 2019</b>	<b>PLANNED 2020</b>
	<i>Mid-term evaluation</i>
<b>IMPLEMENTATION STATUS (cumulative): regular</b>	
<b>Outcome 3.1. Adaptive management insured and key lessons shared</b>	
<b>Outputs</b>	<b>Activities</b>
Output 3.1.3. Project achievement and results recorded and disseminated	Preparation of a communications strategy
	Ensure presence in local media
	Preparation of information products



	Setting up and maintenance of a project website / social media
	Documentation and publications of lessons learned
	Presentation of results at international conference
<b>IMPLEMENTED 2019</b>	<b>PLANNED 2020</b>
<i>Preparatory activities of setting up of a project website / social media</i>	<i>Project WEB site (Service contract with provider)</i>
<b>IMPLEMENTATION STATUS (cumulative): 10%</b>	

Fit into national, FAO and GEF priorities and Sustainable Development Goals

100. **Consistency with national development goals and policies.** The project is consistent with national development goals and policies as expressed in the National Strategy for Sustainable Development, the national Forest Development Strategy, as well as the national Biodiversity Strategy.

101. The National Strategy for Sustainable Development (2007) defines as strategic objectives regarding the management and use of forests and forest land

- (i) Harmonization of national legislation in the area of sustainable forests management with the EU legislation;
- (ii) Enhancing the situation of forests: by transferring low forests into high forests, amelioration of degraded forests and low forests of bad quality, supporting natural recovery and protection of forests;
- (iii) Improving sustainable management in forests and protected natural areas;
- (iv) Increase the territory under forests to 29% of the territory of Serbia by 2015.

102. The Forestry Development Strategy (FDS) of the Republic of Serbia (2008) identifies the need for improvement of forest management, taking into account protected area management and sustainable management of the surrounding landscapes. According to the Strategy, the general state of forests is unsatisfactory, and the actual state of state forests is characterized by an unfavorable age structure, unsatisfactory density of stocking and forest cover percentage; unfavorable stand condition - high percentage of stands with discontinuous canopy and weeded areas and unsatisfactory health condition. The project addressed these concerns through its silvicultural activities.

103. According to the Biodiversity Strategy of the Republic of Serbia for the period 2011-2018, the main obstacles in nature conservation are lack of data (national flora, national vegetation, and national fauna) and an integral information system and inadequate management of forest ecosystems and protected areas. It stipulates involvement of climate change issues into biodiversity related documents and actions and underline the importance of relations with forestry related planning. These obstacles are directly addressed by the project.

104. The project is also in line with the National Strategy for Gender Equality 2016 – 2020 and the gender-responsive budgeting principle of the Budget Law of Serbia introduced in 2016.

105. **Consistency with national communications and reports to the United Nations Convention to Combat Desertification, Convention on Biological Diversity, Stockholm Convention on POPs, United Nations Framework Convention on Climate Change (as applicable).** The first National Communication to the UNFCCC articulates the contribution of the forest sector to GHG emissions and proposes certain actions in regard to emission reduction in this sector. There is a specific mention of lack of capacities in forest carbon management and availability of adequate inventory data. The project will address these gaps directly.
106. **Project is a part of the FAO Country Programming Framework for Serbia**
107. **Consistency with FAO's Strategic Framework and Objectives and regional initiatives. The project is in line with the FAO Strategic Results Framework (2014-2019) and in particular with Strategic Objective 2 (SO2) Increase and improve provision of goods and services from agriculture, forestry and fisheries in a sustainable manner; its Outcome 1 (201) Producers and natural resource managers adopt practices that increase and improve agricultural sector production in a sustainable manner; and its related Output 2 (20102) Integrated and multi-sectoral approaches for ecosystem management, restoration climate change adaptation and mitigation are identified, assessed, disseminated and their adoption by stakeholders is facilitated.**
108. **Moreover, the project is coherent with FAO's Regional Priorities for Europe and Central Asia and is aligned Regional Initiative 3: Sustainable Agriculture and Natural Resources Management in a Changing Climate: "Support member countries of the region to address the interlinked challenges of a climate change and degraded natural resource through transitioning to more climate resilient and sustainable national agriculture and food system to contribute effectively to national sustainability and climate change goals".**
109. **The project is also in line with the FAO Policy on Gender Equality**, the FAO Regional Gender Equality Strategy for Europe and Central Asia 2016 – 2017, the Voluntary Guidelines on the responsible Governance of Tenure of land, fisheries and forests in the context of national food security (VGGT) that FAO is engaged in promoting and its VGGT technical guide on Improving governance of forest tenure.
110. **Consistency with GEF focal areas.** The project is fully consistent with GEF biodiversity, climate change mitigation and sustainable forest management focal area strategies, contributing directly to BD-4 Program 9, CCM-2 Program 4 as well as SFM-2.
111. With regard to Biodiversity focal area programme 9, managing the human-biodiversity interface, the project will contribute to outcome 9.1 Increased area of production landscapes and seascapes that integrate conservation and sustainable use of biodiversity into management, by implementing sustainable forest management in 20,000 ha and mainstreaming biodiversity conservation in forest development plans covering 475,000 ha. Furthermore, the project will contribute to outcome 9.2 Sector policies and regulatory frameworks incorporate biodiversity considerations, through a validated strategy document based on the sustainable balanced scorecard approach as well as a validated action plan and policy recommendations to mainstream incentives for SFM for private forest owners (fiscal incentives, ecosystem services, market access, certification schemes) into forest policy.

112. The National Forest Inventory and integrated Forest Information System will provide information on globally significant biodiversity and will be available to policy makers, forestry planners and managers for informed decision making on management options and to adapt the forest management to include biodiversity conservation.

113. Through its results, the project will contribute to the following Aichi Targets:

Aichi Biodiversity Target	Project Outputs	Indicators
<b>Target 1:</b> By 2020, at the latest, people are aware of the values of biodiversity and the steps they can take to conserve and use it sustainably.	Output 1.2.1: 120 staff/members (forest users, forestry administration and institutes) trained in updated SFM techniques and BD management in productive landscapes.	120 forest managers trained in biodiversity use and conservation (data will be disaggregated by sex and age)
<b>Target 2:</b> By 2020, at the latest, biodiversity values have been integrated into national and local development and poverty reduction strategies and planning processes and are being incorporated into national accounting, as appropriate, and reporting systems.	- Output 1.1.5: Forest development programme and legislation revised to incorporate biodiversity climate change mitigation and socio-economic concerns - National standards for best management practices in in different forest types developed	- One (1) Recommendation document available  - 15 SFM guidelines available and disseminated
<b>Target 3</b> By 2020, at the latest, incentives, including subsidies, harmful to biodiversity are eliminated, phased out or reformed in order to minimize or avoid negative impacts, and positive incentives for the conservation and sustainable use of biodiversity are developed and applied, consistent and in harmony with the Convention and other relevant international obligations, taking into account national socio economic conditions.	Output 2.1.4 Strategic and policy options to ensure commitment of private forest owners and users to SFM through extension, incentive mechanisms and certification, developed and validated	One (1) concept for a comprehensive forest extension service for private forest owners  One (1) validated action plan and policy recommendations to mainstream incentives for SFM for private forest owners (fiscal incentives, ecosystem services, market access, certification schemes) into forest policy
<b>Target 7</b> By 2020 areas under agriculture, aquaculture and forestry are managed sustainably, ensuring conservation of biodiversity.	Output 2.1.2: Integrated and improved sustainable forest development plans prepared  Output 2.1.3: Forest management plans implemented	Two forest regions covering 475,000 ha under improved forest development plans  Four (4) to eight (8) forest management units covering at least 20,000 ha of forest lands under sustainable forest management

114. The project is consistent with the GEF climate change mitigation strategy, contributing to the corporate target to curbing GHG emissions by directly reducing GHG emissions in the forest sector by 1.7 million t CO<sub>2</sub>eq over the project lifetime. The project will contribute to the development of MRV systems for the forest sector through improving collection and management of carbon information in NFI and FIS, and development of an MRV framework.

115. Specifically, the project contributes to Objective 2 Demonstrate Systemic Impacts of Mitigation Options, and Program 4, Promote conservation and enhancement of carbon stocks in forest, and other land use, and support climate smart agriculture, through the implementation of low-GHG forest management practices in 20,000 ha and mainstreaming carbon considerations in forest development plans covering 475,000 ha. Furthermore, the project will support low GHG development in the sectoral

<p>policy, planning and regulatory framework by developing a set of strategies and tools, and improve the available of information as a basis for informed policy decisions and enforcement of regulations.</p> <p>116. Finally, the project is consistent with the GEF sustainable forest management strategy. It contributes to Objective 2: Enhanced Forest Management: Maintain flows of forest ecosystem services and improve resilience to climate change through SFM, increasing the area of sustainably managed public and private forests by 20,000 ha over the project lifetime, including small-scale private forest owners. Furthermore, improved availability and access to information will enable public and private forest managers to take more informed management decisions about SFM. The capacity of the government to provide incentives to forest owners for SFM will be strengthened through the development of strategies and action plans to mainstream SFM incentives into forest policy.</p> <p>117. <b>Consistency with Sustainable Development Goals.</b> Although the project was developed at a time when the SDG were just adopted, the project is fully aligned with SDG 15 “Life on Land” and contributes to Indicators under FAO custodianship, more specifically to 15.1.1 and 15.1.2.</p>
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## 1.2 Project stakeholders and their role

118. Primary stakeholders of the project are managers of public forests in the public enterprises and National Parks as well as private forest owners who will be empowered to implement sustainable management of the forest. They will have increased their knowledge and capacity to apply management options to conserve biodiversity and increase carbon stock. Other primary stakeholders are policy and decision makers in the public sector at the national and the regional level on forestry related issues. They as well as other government agencies dealing with climate change, biodiversity protection and socio-economic aspects of forests, will benefit from the new information on forests and the guidelines developed by the project, for improving national plans and policies and fulfilling Serbia’s international reporting requirements in these areas. Researchers will also directly benefit from the information generated under the project.

**Table 4: A4.1. Stakeholder analysis matrix template**

Key stakeholders (disaggregated as appropriate) <sup>1</sup>	What is their role in the project?	What is the reason for their inclusion in or exclusion from the MTR?	Priority for MTR (1-3) <sup>2</sup>	How and when should they be involved in the MTR?
<b>1. Active stakeholders with direct responsibility for the project, e.g. FAO, executing partners</b>				
Directorate of Forests - Ministry of Agriculture, Forestry and Water Management	Main beneficiary. The DoF leads the project implementation process along with FAO.	The DoF provides the bulk of the co-financing through the Forest Fund which it administers. The DoF is	1	1

<sup>1</sup> Include the names of relevant individuals, if known, and be as specific as possible

<sup>2</sup> 1 = essential; 2 = desirable; 3 = if time and resources allow

Key stakeholders (disaggregated as appropriate) <sup>1</sup>	What is their role in the project?	What is the reason for their inclusion in or exclusion from the MTR?	Priority for MTR (1-3) <sup>2</sup>	How and when should they be involved in the MTR?
(Mr Saša Stamatović)		responsible to transform and adopt recommendations of the project into policies and programmes.		
PE Vojvodinasume (Mr Marko Marinković) and PE: Srbijasume (Ms Gordana Jančić)	Beneficiaries of the project and key project implementation partners at regional and local level.	Important contributors of co-financing. Involved in the NFI field work, the validation of strategies, training activities and the implementation of the new forest management approaches developed by the project at regional and local level.	1	2
Institutes of Nature Conservation Serbia and Voivodina (Ms Biljana Krsteski)	The Institutes are important partners to advise and – as legal entities (authority) - approve the FMPs at local level and FDPs at regional level.	Engaged in the validation of project outputs such as the SFM guidelines, etc.	2	3
PE National Parks (Mr Dušan Jelisavčić)	The PEs of the National Parks are beneficiaries of the project, and key project implementation partners at regional and local level.	NPs Tara, Fruska Gora, and Djerdap are important contributors of co-financing. Involved in the assessment of forest biodiversity in the pilot areas, the validation of strategies, training activities and implementation of the new forest management approaches developed by the project at local level.	2	3
Chamber of Forestry (Mr Aleksandar Vorkapić)	The Chamber of Forestry will be an important ally of the project for the dissemination of information through its network of members and partners.	It will provide co-financing through training and advisory services.	2	3
<b>2. Active stakeholders with authority to make decisions on the project, e.g. members of the PSC</b>				
Ministry of Environmental Protection (MEP), Department for Nature Protection (Ms Jasmina Jović)	Member the project Steering Committee.	Involved in extensive consultations to understand their current and potential role in promoting and implementing sustainable forest management, and to address conflicts and barriers, for example with regard to data sharing	1	1
<b>3. Secondary stakeholders (only indirectly or temporarily affected)</b>				
Academic and research institutions: - Faculty of Forestry (Mr Ratko Ristić); - Forestry institutes in Belgrade (Mr	Play a key role in capacity building, information management and dissemination activities	Central role in providing expertise, for instance in the definition of SFM guidelines	2	3

Key stakeholders (disaggregated as appropriate) <sup>1</sup>	What is their role in the project?	What is the reason for their inclusion in or exclusion from the MTR?	Priority for MTR (1-3) <sup>2</sup>	How and when should they be involved in the MTR?
Aleksandar Lučić) and Novi Sad				
<b>4. Stakeholders at grassroots level who benefit directly or indirectly from the intervention (gender disaggregated where possible)</b>				
Private forest owners and their associations	Main beneficiaries of the project, and key project implementation partners at local level	Involved in the validation of strategies, training activities and implementation of SFM at local level	2	3
State Environmental Protection Agency (SEPA)	As the main clearing house for environmental information in Serbia. SEPA has a crucial role in ensuring that the information products and services generated under the project are compatible with existing information systems.	Key role in facilitating data and information exchange with other environmental databases of the government.	3	3
Local communities	Involved in all relevant consultations, to contribute their understanding and perspectives and sustainable forest management, threats and opportunities of forests	The project will ensure that women and men residing in the pilot areas and depending on forests for their livelihoods, are informed and engaged. Furthermore, they will play an important part in disseminating information.	3	3
<b>5. Stakeholders at grassroots level who do not benefit from the intervention (gender disaggregated where possible)</b>				
The Coordination Body for Gender Equality of the Prime Minister's Office	The Coordination Body for Gender Equality of the Prime Minister's Office is the main body for gender equality of Serbia.	It provides technical advice and coordination support on gender equality issues	3	3
<b>6. Other interest groups that are not participating directly in the intervention, e.g. development agencies working in the area, civil-society organizations</b>				
Statistical Office of the Republic of Serbia	Key partner in enriching the IFIS with socio-economic data, which will help to better understand the socio-economic aspects that impact on SFM and develop strategies to address the impacts.	Key partner in advancing towards the nationalization and implementation of the Sustainable Development Goals (SDGs) related to Forests	3	3

### 1.3 Theory of change

122. No explicit theory of change has been developed during the project formulation phase. As it is only implicit, the MTR team will reconstruct a preliminary theory of change after the fact as

part of the inception report, based on the project's logframe and review of other project documents.

## **1.4 Implementation progress and main challenges to date**

123. The implementation of project activities is at a satisfactory level considering the fact that most of the main results are scheduled for the last year of the project. However, under Component 1, the central part of the project, not all preparatory work was finalized on time (methodologies and field manuals for National forest inventory; detailed specifications for IFIS were delayed for various internal and external reasons) and related activities had to be rescheduled accordingly. Preparation activities under Component 2 have been delivered in a timely manner and with high quality. Areas for the related field work selected in close cooperation with PEs Srbijasume and Vojvodinasume and process of establishment of demonstration plots is ongoing. The related LoA with the Chamber of Forestry covering the establishment of the plots and the trainings for forest professionals and private forest owners is currently under preparation. Under Component 3 all but one project activities were done on time during the first year of implementation. The M&E system still needs refinement. Concerning the co-financing, especially in cash, Forest Fund of the Rep. of Serbia provided more funds as originally planned at the PPG stage, similar to in-kind contributions of other project partners.
124. The main challenges faced in project implementation are related to the fact that this is the first GEF project implemented in the forest sector in Serbia. It comprises challenges in the Serbian forestry sector, involving both horizontal (national level) and vertical (capacities, planning, trainings, institutions) integration of activities, which require enhanced coordination and cooperation not only between involved institutions, but also between national and international consultants. Furthermore, during the inception phase it became obvious that the number of experienced international consultants familiar with both, the temperate forests in South East Europe and in a technical subjects of the project (NFI, IS, SFM planning, and others) is limited and vacancy announcements had to be republished to find suitable experts. Similar problems were experienced at the national level, resulting in a delayed start of the project. Changes in the NSHR recruitment procedures and rules added to the challenges in keeping project implementation on track.

## **2 MTR purpose and scope**

125. The "purpose" of the MTR is the reason for conducting the MTR, including the choice of timing. It should answer the question: "Why are we doing this MTR?"
126. The main purpose of the MTR is to:
- provide accountability – to respond to the information needs and interests of policymakers and other actors with decision-making power, for example, FAO management and the FAO GEF CU;
  - improve the project/programme – project/programme improvement and organizational development provide valuable information to managers and others responsible for regular project/programme operations (for example, the PMU, PTF, FAO GEF CU and PSC); and



- contribute to knowledge – in-depth understanding and contextualization of the project/programme and its practices, of particular benefit to the FAO GEF CU, FAO staff and future developers and implementers.

127. The main audience and the intended users of the MTR are:

The Project Task Force that will use the findings and lessons identified in the MTR to continue and improve the project activities and plan for sustainability of the results achieved;

The Serbian counterparts such as the Directorate of Forests - Ministry of Agriculture, Forestry and Water Management; the Department for Nature Protection - Ministry of Environmental Protection (MEP); the Institutes of Nature Conservation Serbia and Voivodina; the Public Enterprise Srbijasume; the Public Enterprise Vojvodinasume; the Public Enterprise National Parks and the Chamber of Forestry that will use the evaluation findings and conclusions for future practice.

128. The scope of the MTR:

The MTR will cover the project implementation period since its start in February 2018 until July 2020 and will analyze all project components. It will cover all geographical areas where the project has been implemented although not all the project locations might be visited by the MTR team.

## 3 MTR objectives and key questions

### 3.1 MTR objectives

129. The MTR objectives describe precisely what it should achieve and what it should examine in relation to the GEF evaluation criteria. It will address and rate the following:

**Relevance** – the extent to which the intervention’s design and intended results are consistent with local, national, sub-regional and regional environmental and development priorities and policies and to GEF and FAO strategic priorities and objectives; its complementarity with existing interventions and relevance to project stakeholders and beneficiaries; its suitability to the context of the intervention over time.

**Effectiveness** – the degree to which the intervention has achieved or expects to achieve results (project outputs, outcomes, objectives and impacts, including Global Environmental Benefits) (GEF, 2019c) taking into account key factors influencing the results, including an assessment of whether sufficient capacity has been built to ensure the delivery of results by the end of project and beyond and the likelihood of mid- and longer-term impacts.

**Efficiency** – the cost-effectiveness of the project and timeliness of activities; the extent to which the intervention has achieved value for resources by converting inputs (funds, personnel, expertise, equipment, etc.) into results in the timeliest and least costly way compared with alternatives.

**Sustainability** – the (likely) continuation of positive effects from the intervention after it has ended and the potential for scale-up and/or replication; any financial, socio-political, institutional and governance, or environmental risks to sustainability of project results and benefits; any evidence of replication or catalysis of project results.



**Factors affecting performance** – the main factors to be considered are:

- project design and readiness for implementation (e.g. sufficient partner capacity to begin operations, changes in context between formulation and operational start);
- project execution, including project management (execution modality as well as the involvement of counterparts and different stakeholders);
- project implementation, including supervision by FAO (BH, LTO and FLO), backstopping, and general PTF input;
- financial management and mobilization of expected co-financing;
- project partnerships and stakeholder involvement (including the degree of ownership of project results by stakeholders), political support from government, institutional support from operating partners (such as regional branches of agricultural extension services or forestry authorities);
- communication, public awareness and knowledge management; and
- application of an M&E system, including M&E design, implementation and budget.

**Cross-cutting dimensions** – considerations such as gender, indigenous-peoples and minority-group concerns and human rights; the environmental and social safeguards applied to a project require, among other things, a review of the Environmental and Social Safeguards (ESS) risk classification and risk-mitigation provisions identified at the project's formulation stage.<sup>3</sup>

## 3.2 MTR questions

130. MTR questions should be included in this section, corresponding to one or more GEF evaluation criteria (the MTR gathers evidence by posing questions to assess its degree of compliance with the GEF criteria). MTR questions should be based on project objectives and draw on the project's theory of change. They should be sufficiently broad, but still help focus the MTR and address project-specific issues, as agreed by the BH/RM and principal stakeholders. They will be refined later in consultation with the MTR team and documented in the inception report.

131. Depending on the size and complexity of the project (and, thus, the MTR), each question can be divided into sub-questions, creating an MTR matrix.<sup>4</sup> Example questions for each of the criteria listed in paragraph 13 can be found in Box A4.1. Please note that the questions need to be phrased in the context of the project's theory of change.

### Box 1: A4.1. Examples of MTR questions (to be adapted for each project)

<p><b>1. Relevance</b> (rating required)</p>	<p>Are the project outcomes congruent with country priorities, GEF focal areas/operational programme strategies, the FAO Country Programming Framework and the needs and priorities of targeted beneficiaries (local communities, men and women, and indigenous peoples, if relevant)?</p> <p>Has there been any change in the relevance of the project since its formulation, such as the adoption of new national policies, plans or programmes that affect the relevance of the project's</p>
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<sup>3</sup> FAO applies an online screening system during the project design phase. This is mandatory, even if the project was approved before FAO adopted the GEF Policy on Agency Minimum Standards on Environmental and Social Safeguards (GEF, 2011) in February 2015, as FAO had already applied the Environmental Impact Assessment Guidelines in 2011 (FAO, 2012a) to screen and rate the risks of every FAO project. Consequently, the MTR team should review and confirm the ESS assessments and risk status at mid-term and any changes suggested, if needed. The most recent GEF guidance can be found in GEF (2019b). A GEF project should not cause any harm to the environment or to any stakeholder and, where applicable, will take measures to prevent and/or mitigate any adverse effects.

<sup>4</sup> See Annex 9 of the MTR Guide for an MTR matrix template.

	objectives and goals? If so, are there any changes that need to be made to the project to make it more relevant?
<b>2. Effectiveness of project results</b> (rating required)	<p><i>(Delivery of results)</i> To what extent has the project delivered on its outputs, outcomes and objectives? What broader results (if any) has the project had at regional and global level to date? Were there any unintended consequences? Is there any evidence of environmental stress reduction (for example, in direct threats to biodiversity) or environmental status change (such as an improvement in the populations of target species), reflecting global environmental benefits or any change in policy, legal or regulatory frameworks? To what extent can the achievement of results be attributed to the GEF-funded component?</p> <p><i>(Likelihood of impact)</i> Are there any barriers or other risks that may prevent future progress towards and the achievement of the project's longer-term objectives? What can be done to increase the likelihood of positive impacts from the project? To what extent can the progress towards long-term impacts be attributed to the project?</p> <p><i>(For programme assessments) (Coherence)</i> How coherent is the programme with its child projects' theories of change, indicators and expected/achieved results? What is the added value of bringing the different interventions together under one programme (compared with the same level of investment made through comparable alternatives)?</p>

<b>3. Efficiency</b> (rating required)	<p>To what extent has the project been implemented efficiently and cost effectively? To what extent has project management been able to adapt to any changing conditions to improve the efficiency of project implementation?</p> <p>To what extent has the project built on existing agreements, initiatives, data sources, synergies and complementarities with other projects, partnerships, etc. and avoided duplication of similar activities by other groups and initiatives?</p> <p>If the project is executed under the OPIM modality, add relevant OPIM questions, for example, whether the execution agreement was followed efficiently. An additional set of questions is suggested for projects with an OPIM component in Annex 12 of the MTR Guide.</p>
<b>4. Sustainability</b> (rating required)	<p><i>(Sustainability)</i> What is the likelihood that the project results will be useful or persist after the end of the project? What are the key risks that may affect the sustainability of the project results and its benefits (consider financial, socioeconomic, institutional and governance, and environmental aspects)?</p> <p><i>(Replication and catalysis)</i> What project results, lessons or experiences have been replicated (in different geographic areas) or scaled up (in the same geographic area, but on a much larger scale and funded by other sources)? What results, lessons or experiences are likely to be replicated or scaled up in the near future?</p> <p>If the project is executed under the OPIM modality, add relevant OPIM questions (see list in the OPIM toolkit).</p>
<b>5. Factors affecting progress</b> (ratings required)	<p><i>(Project design)</i> Is the project design suited to delivering the expected outcomes? Is the project's causal logic (per its theory of change) coherent and clear? To what extent are the project's objectives and components clear, practical and feasible within the timeframe allowed? To what extent was gender integrated into the project's objectives and results framework? Were other actors – civil society, indigenous peoples or private sector – involved in project design or implementation and what was the effect on project results?</p> <p><i>(Project execution and management)</i> To what extent did the executing agency effectively discharge its role and responsibilities in managing and administering the project? What have been the main challenges in terms of project management and administration? How well have risks been identified and managed? What changes are needed to improve delivery in the latter half of the project?</p> <p>If the project is executed under the OPIM modality, add relevant OPIM questions (see list in the OPIM toolkit).</p> <p><i>(Financial management and co-financing)</i> What have been the financial-management challenges of the project? To what extent has pledged co-financing been delivered? Has any additional leveraged co-financing been provided since implementation? How has any shortfall in co-financing or unexpected additional funding affected project results?</p>

	<p><i>(Project oversight, implementation role)</i> To what extent has FAO delivered oversight and supervision and backstopping (technical, administrative and operational) during project identification, formulation, approval, start-up and execution?</p> <p><i>(Partnerships and stakeholder engagement)</i> To what extent have stakeholders, such as government agencies, civil society, indigenous populations, disadvantaged and vulnerable groups, people with disabilities and the private sector, been involved in project formulation and implementation? What has been the effect of their involvement or non-involvement on project results? How do the various stakeholder groups see their own engagement with the project? What are the mechanisms of their involvement and how could these be improved? What are the strengths and challenges of the project's partnerships? Has the stakeholder engagement plan been adhered to and documented? Have all stakeholders been made aware of the ESS plan and the grievance complaint mechanism?</p> <p><i>(Communication and knowledge management)</i> How effective has the project been in communicating and promoting its key messages and results to partners, stakeholders and a general audience? How can this be improved? How is the project assessing, documenting and sharing its results and lessons learned and experiences? To what extent are communication products and activities likely to support the sustainability and scaling up of project results?</p> <p><i>(M&amp;E design)</i> Is the project's M&amp;E system practical and sufficient? How has stakeholder engagement and gender assessment been integrated into the M&amp;E system? How could this be improved?</p> <p><i>(M&amp;E implementation)</i> Does the M&amp;E system operate per the M&amp;E plan? Has information been gathered in a systematic manner, using appropriate methodologies? To what extent has information generated by the M&amp;E system during project implementation been used to adapt and improve project planning and execution, achieve outcomes and ensure sustainability? Are there gender-disaggregated targets and indicators? How can the M&amp;E system be improved?</p>
<b>6. Cross-cutting priorities</b>	<p><i>(Gender and minority groups, including indigenous peoples, disadvantaged, vulnerable and people with disabilities)</i> To what extent were gender considerations taken into account in designing and implementing the project? Has the project been designed and implemented in a manner that ensures gender-equitable participation and benefits? Was a gender analysis done?</p> <p><i>(ESS)</i> To what extent were environmental and social concerns taken into consideration in the design and implementation of the project? Has the project been implemented in a manner that ensures the ESS Mitigation Plan (if one exists) has been adhered to?</p>

132. It should be noted that GEF is placing increased emphasis on gender concerns and how its programmes and projects contribute to gender equality and women's empowerment (GEF,

2017a; 2017b; 2018a; 2018b). Consequently, the MTR should, as much as possible, collect and report sex-disaggregated and gender-sensitive indicators and results (further questions for assessing gender concerns are suggested in Annex 12 of the MTR Guide). GEF is also paying more attention to stakeholder engagement and development, the use of knowledge products and the identification of good practices. All of these areas require specific reporting when the MTR report is uploaded to the GEF Portal webpage.

133. A programme assessment should include specific questions to examine the programme's coherence with "child project" theories of change, indicators and expected/achieved results. It should also measure and demonstrate the added value of the programmatic approach over the same level of investment made through comparable alternatives (GEF IEO, 2019).

## 4 Methodology

134. The MTR should adhere to the UNEG Norms & Standards (UNEG, 2016) and align with the FAO–GEF MTR Guide and annexes detailing methodological guidelines and practices. The MTR will adopt a consultative and transparent approach, keeping internal and external stakeholders informed throughout the MTR process. The evidence and information gathered will be triangulated to underpin its validity and analysis and to support its conclusions and recommendations.

1. The main evaluation tools and methods will include the following :

- A **desk-review** of existing project documentation and reports (e.g. the project document, project implementation reports, project progress reports, backstopping mission reports etc.). The MTR team will propose the project's Theory of Change (ToC) after the desk-review. The ToC will outline the multiple linkages between the project objectives, outputs and outcomes to the national goals, and will support the evaluation process.
- **Remote semi-structured interviews** with key stakeholders, including representatives of FAO project taskforce members, PSC members, the operational partners, key national consultants, important service providers, etc. Alternatively, where stakeholders cannot be interviewed due to restrictions relating to the Covid-19 pandemic, an online questionnaire may be applied. The first draft of the MTR report will be developed based on the desk-review and the interviews, and will be shared with FAO and national partners for comments.
- **Field visit – in case the Covid-19 situation allows** - to the project sites (Central Serbia and Vojvodina) will be carried out to verify project implementation and results in the field and to collect feedback from local partners. Face-to-face interviews and meetings will be carried out during the field visits. The MTR report will be updated accordingly to support/adjust its main findings and finalise its conclusions and recommendations after the field visit.

135. Final decisions about the specific design and methodology for the MTR should emerge from consultations between the project team, the MTR consultants and key stakeholders on what is appropriate and feasible in order to meet the MTR's purpose and objectives and answer the MTR's questions.

## 5 Roles and responsibilities

136. This section briefly describes the different roles that key stakeholders play in the design and implementation of the MTR.

137. The **BH** is accountable for the MTR process and report and is responsible for the initiation, management and finalization of the MTR process. Depending on availability and commitments, the BH may designate another individual, the **RM**, to act on their behalf.

138. With the assistance of the project's **LTO** and the **FAO GEF CU, FLO and MTR focal point**, and guidance from this document and the main MTR Guide, the BH/RM is responsible for the drafting and finalizing the terms of reference and providing input to the background and context section. The terms of reference should be based on a document review, discussions with the PTF and, if possible, a face-to-face or Skype meeting with the LTO to get a good understanding of the project. The BH/RM is also responsible for identifying and recruiting the MTR team members, in consultation with the FAO GEF CU and the LTO. In collaboration with the FAO GEF CU, the BH/RM also briefs the MTR team on the MTR methodology and process and leads the organization of MTR missions. The BH/RM and the FAO GEF CU's MTR focal point review the draft and final MTR reports to assure their quality in terms of presentation, compliance with the terms of reference, timely delivery, quality, clarity and soundness of evidence and analysis supporting the conclusions and recommendations. The BH is also responsible for leading and coordinating the preparation of the FAO Management Response and the associated follow-up report, supported by the LTO and other members of the PTF. Further details on the Management Response can be found in the MTR Guide.
139. The **FAO GEF CU** will appoint a focal point to provide technical backstopping throughout the MTR process, including guidance and punctual support to the BH/RM and MTR team on technical issues related to the GEF and the MTR. This includes support in identifying potential MTR team members,<sup>5</sup> reviewing candidate qualifications and participating in the selection of consultants, as well as briefing the MTR team on the MTR process, relevant methodology and tools. The FAO GEF CU also follows up with the BH to ensure the timely preparation of the Management Response.
140. **PTF** members, including the BH, are required to participate in meetings with the MTR team, make all necessary information and documentation available and comment on the terms of reference and MTR report. However, their level of involvement will depend on team members' individual roles and level of participation in the project.
141. The **National Project Director** (NPD) facilitates the participation of government partners in the MTR process and supports the PMU in ensuring good communication across government. The **Project Steering Committee** (PSC) facilitates government and other partner and stakeholder participation in the MTR process.
142. The **MTR team** is responsible for developing and applying the MTR methodology, producing a brief MTR inception report, conducting the MTR and producing the MTR report. All team members will participate in briefing and debriefing meetings, discussions and field visits. They will contribute written inputs to the draft and final versions of the MTR report, which may not reflect the views of the government or of FAO. The MTR team leader will guide and coordinate the MTR team members in their specific tasks and lead the preparation of the draft and final reports. The team leader will consolidate team inputs with his/her own and will have overall responsibility for delivering the MTR report. The MTR team will agree with the FAO GEF CU MTR focal point on the outline of the report early in the MTR process, based on the template provided in Annex 12 of the MTR Guide. The MTR team is free to expand the scope, criteria, questions and issues listed above, and develop its own MTR tools and framework, within the timeframe and resources available and based on discussions with the BH/RM and PTF.

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<sup>5</sup> The BH/RM should be responsible for the administrative procedures associated with the recruitment of the MTR consultants.



Although an MTR report is not subject to technical clearance by FAO, the BH/RM and FAO GEF CU do provide quality assurance checks of all MTR reports.

143. The relevant **GEF Operational Focal Point** (OFP) must be involved in any GEF project or programme evaluation process, in accordance with the GEF Evaluation Policy (2019). The BH should inform the OFP of the MTR process and the MTR team is encouraged to consult with him/her during the review process. The team should also keep the OFP informed of progress and send him/her a copy of the draft and final MTR reports.

144. More detailed guidance on the roles and responsibilities of the key individuals and groups involved in the MTR can be found in Annexes 2 and 3 of the MTR Guide.

## 6 MTR team composition and profile

145. The skills, competencies and characteristics needed in the MTR team are specific to the MTR. The likely structure and composition of the MTR team, including the roles and responsibilities of its members, should be set out in the terms of reference for individual consultants.

146. The lead international MTR consultant should have the following minimum technical requirements:

- an advanced university degree in evaluation, agriculture, natural-resource management, social and economic development, or a related field (to be adapted to each MTR);
- five years of relevant experience in supporting, designing, planning and/or conducting development evaluations;
- knowledge of FAO and GEF work/procedures, or other UN agencies, would be an asset as would appropriate language skills.

147. The MTR consultants should be independent of any organizations that have been involved in designing, executing or advising on any aspect of the project being evaluated in the MTR and should not have been involved in any aspect of the project previously.

148. The national consultant should have the following experience:

- a university degree in evaluation, agriculture, social and economic development, or a related field (to be adapted to each MTR);
- three years of experience in a relevant technical area and a good understanding of the national and/or local context, as appropriate;
- ideally, experience in supporting, designing, planning and/or conducting development evaluations; and
- knowledge of FAO and GEF work/procedures, or other UN agencies, would be an asset as would appropriate language skills.

149. Both consultants are expected to demonstrate the following competencies:

- results focus
- teamwork
- excellent communication skills (both written and oral) in English

- building effective relationships
- knowledge sharing and continuous improvement

## 7 MTR products (deliverables)

150. This section describes the key deliverables the MTR team is expected to produce. At a minimum, these products should include the following:

- **The MTR inception report.** The MTR team should prepare an inception report before beginning data collection. This should detail the MTR team's understanding of what is being assessed and why, and their understanding of the project and its aims (set out in a theory of change). It serves as a map and reference for planning and conducting an MTR and as a useful tool for summarizing and visually presenting the MTR design and methodology in discussions with stakeholders. The inception report details the GEF evaluation criteria, the questions the MTR seeks to answer (in the form of an MTR matrix), the data sources and data collection methods, analysis tools or methods appropriate for each data source and data collection method, and the standard or measure by which each question will be evaluated. The inception report should include a proposed schedule of tasks, activities and deliverables, designating a team member with lead responsibility for each task or product (as appropriate).
- **The draft MTR report(s).** The project team, BH/RM, FAO GEF CU and key stakeholders in the MTR should review the draft MTR report to ensure its accuracy and quality in two review rounds: (a) a first review, taking around 10 working days, by the project team and FAO (BH, LTO, FLO and FAO GEF CU MTR focal point), then a second review, also taking around 10 working days, by the government counterpart(s), key external partners and stakeholders.
- **The final MTR report.** This should include an executive summary and be written in an official language of the country where the project is taking place (English is preferred if there is a choice and if the project involves more than one country with no common official language). It is important that the executive summary is presented in both the official national language and in English. Supporting data and analysis should be annexed to the report, if deemed important, to complement the main report. Translations into other official UN languages, if required, will be FAO's responsibility. The executive summary should include the following paragraphs in order to update the GEF Portal: (1) information on progress, challenges and outcomes on stakeholder engagement; (2) information on progress on gender-responsive measures; and (3) information on knowledge activities and products. The template for the MTR report can be found in Annex 11 and guidance on writing the report in Annex 12 of the MTR Guide.
- **A two-page summary** of key findings, lessons, recommendations and messages from the MTR report, produced by the RM and PMU, in consultation with the MTR team, that can be disseminated to the wider public for general information on the project's results and performance to date. This can be posted as a briefing paper on the project's website but more creative and innovative multimedia approaches, such as video, photos, sound

recordings, social media, short stories (for suitable cases or country studies), infographics or even comic or cartoon format, may be more effective depending on the circumstances.

- **Participation in knowledge-sharing events**, such as stakeholder debriefings, as needed.

## 8 MTR timeframe

151. This section lists the due date or timeframe of the MTR and describes all tasks and deliverables (such as briefings, the draft report and final report), as well as the associated roles and responsibilities of the key MTR individuals and groups.

**Table 5: A4.2 Suggested MTR timeline**

Task	When/duration (recommended)	Responsibility
Terms of reference preparation	3 months before the MTR field mission	BH/RM, LTO, FLO and FAO GEF CU MTR focal point
Terms of reference finalization	2 months before the MTR field mission	BH/RM
Team identification	2 months before the MTR field mission	BH/RM, LTO, FLO and FAO GEF CU MTR focal point
Team recruitment	1 month before the MTR field mission	BH with input from the FAO GEF CU for international and national consultants
Travel arrangements and organization of the agenda and travel itinerary in country for the field mission	4–6 weeks before the MTR field mission <sup>6</sup>	BH/RM, project team and MTR team
Reading background documentation	2–3 weeks before the MTR field mission	MTR team in preparation for the MTR
Briefing of MTR team	2–3 weeks before the MTR field mission	BH/RM, supported by PTF and FAO GEF CU as necessary
MTR inception report	2 weeks before the MTR field mission	MTR team
Quality assurance and clearance of the MTR inception report	1 week before the MTR field mission	BH/RM and the FAO GEF CU MTR focal point
MTR missions – confirmation of interviews, meetings and visits	1–3 weeks for the MTR field mission	MTR team with the support of the PMU
Production of first draft report for circulation	No more than 3 weeks after the field mission	MTR team
Circulation and review of first draft MTR report	5–10 working days for review	BH/RM, PMU, FAO GEF CU MTR focal point, LTO for comments and quality control (organized by BH/RM)
Production of second draft MTR report	1 week for the inclusion of feedback (recommended; could be less if consultants are available)	MTR team

<sup>6</sup> Note that FAO rules require all travel authorisation to be approved at least 15 days before travel.

Circulation of second draft MTR report	5–10 working days for review	BH/RM and key external stakeholders (organized by BH/RM)
Production of final MTR report	1 week for the inclusion of final feedback (recommended; could be less if consultants are available)	MTR team
Management Response	1 month after the final report is issued	BH
Follow-up reporting in FAO PPR or GEF PIR	Maximum 6 months after the MR is issued	BH

## Annex 2: List of documents consulted (“Reference list”)

1. GEF PIF
2. Comments from the GEF Secretariat on project design and the GEF Scientific and Technical Advisory Panel (STAP) plus FAO responses
3. FAO concept note
4. Request for GEF CEO endorsement
5. FAO–GEF project preparation grant document
6. GEF-approved project document and latest approved budget
7. Project inception report
8. Six-monthly FAO PPRs
9. Annual workplans and budgets (including budget revisions)
10. All annual GEF PIR reports (2019, 2020)
11. Minutes of the meetings of the PSC
12. List of project sites and site location maps
13. Execution agreements under OPIM and letters of agreement
14. Project technical reports including MRV report (Output 1.1.4), draft national guidelines for sustainable forest management (Output 1.1.6), and socio-economic study (Output 2.1.4)
15. Relevant backstopping and project-supervision mission reports, including back-to-the-office (BTOR) reports by relevant FAO staff
16. ESS analysis and mitigation plans produced during the project design period
17. Finalized GEF focal-area tracking tools at CEO endorsement
18. Financial management information, including a summary report on the project’s financial management and expenditures to date, but an up-to-date co-financing table not provided to the MTR
19. The GEF Gender Policy (GEF, 2017), GEF Gender Implementation Strategy (GEF, 2018a), GEF Guidance on Gender Equality (GEF, 2018b), the GEF Guide to Advance Gender Equality in GEF Projects and Programmes (GEF, 2018c), FAO Environment and Social Management Guidelines (FAO, 2015)

### Annex 3. MTR matrix (review questions and sub-questions)

Main MTR questions	Additional sub-questions	Indicator	Sources	Lead interviewer
<b>1. Relevance and ownership</b>				
<p>1. <i>Relevance</i></p> <ul style="list-style-type: none"> <li>To what extent are the project's objectives and its intended outcomes consistent with GEF focal areas, strategic priorities and operational programmes, FAO's mandate and policy, agricultural biodiversity initiatives and FAO Country Programming Framework?</li> <li>To what extent is the project in line with national and local priorities and sustainable forest, BD and CCM strategies and objectives?</li> <li>What about the needs and priorities of the target beneficiaries e.g. forest managers, local PFOs?</li> <li>Have there been any changes in the relevance of the project since its formulation, such as new national policies, plans or programs that affect the relevance of the project objectives and goals?</li> </ul>	<ul style="list-style-type: none"> <li>To what extent is the project addressing the real drivers of forest loss and degradation and associated BD and carbon stocks in Serbia?</li> <li>To what extent is the project addressing the real barriers preventing effective action to conserve and sustainably manage forest in Serbia?</li> <li>To what extent does the project address the specific needs of target beneficiaries?</li> <li>How relevant is the project to the other donor-funded development programmes, especially in the forest, nature conservation and climate change sectors?</li> <li>If relevance has changed since project design, are there any changes that need to be made to the project to make it more relevant?</li> </ul>	<ul style="list-style-type: none"> <li>Level of coherence with GEF policies</li> <li>Existence of a clear relationship between project objectives and regional programme objectives of FAO</li> <li>Alignment with FAO Country Programming Framework</li> <li>Level of coherence between the project design and implementation and the national priorities and existing capacity, e.g. alignment of the project priorities with the Forest Development Strategy</li> <li>Alignment of partner agencies and stakeholder mandates with SFM, BD conservation and CCM promotion</li> <li>Level of involvement of national and local stakeholder in the design and implementation of the project, including PFO representatives,</li> </ul>	<ul style="list-style-type: none"> <li>GEF documents</li> <li>FAO CPF document</li> <li>FAO strategy documents</li> <li>Project documents</li> <li>Project progress reports</li> <li>National forest, environment and development policies and plans e.g. NBSAP, national forest policy and strategy</li> <li>Project and national needs assessment studies</li> <li>FAO staff and project team</li> <li>GEF policies and strategies</li> <li>Key government officials</li> <li>PFO representatives</li> <li>Other donor's policies and programming documents</li> </ul>	NV (DS/SS)
<p><i>Ownership</i></p> <ul style="list-style-type: none"> <li>What is the current level of ownership of the project by the project partners and the target beneficiary groups?</li> <li>To what extent have project</li> </ul>	<ul style="list-style-type: none"> <li>To what extent have the intended beneficiaries and stakeholders been involved in the design and implementation?</li> <li>To what extent have government agencies assumed responsibility for the project and provided adequate support to project</li> </ul>			

Main MTR questions	Additional sub-questions	Indicator	Sources	Lead interviewer
partners and stakeholders adopted and began to implement project initiatives?	<p>execution (including the degree of cooperation from the various government agencies involved in the project)?</p> <ul style="list-style-type: none"> <li>How do the PFOs assess the ownership and usefulness of the project and its aims?</li> </ul>	<p>municipal level technical staff/managers</p> <ul style="list-style-type: none"> <li>Public and private sector contribution to the project activities</li> <li>Degree to which project results have built on clearly identified national priorities and been adopted nationally, or are progressing towards adoption at national level</li> </ul>	<ul style="list-style-type: none"> <li>Private sector forestry representatives</li> <li>Representatives of other relevant donor-funded projects</li> </ul>	
<b>2. Effectiveness – progress towards results</b>				
<p><i>Delivery of activities and outputs</i></p> <ul style="list-style-type: none"> <li>How effectively has the project delivered on its expected outputs to date, in terms of their quality, quantity and timeliness (against milestones)?</li> <li>Are there any additional activities that need to be added?</li> <li>Have there been any unintended consequences or results?</li> </ul>	<ul style="list-style-type: none"> <li>To what extent have the financial and other resources been used by the PMU and other implementing partners? (actual disbursement versus planned)</li> <li>How did the actual Project costs by activity vary compared to budget (variances)? Could financial resources have been used more efficiently?</li> <li>Do project activities effectively contribute to the defined outputs? If not, what are the gaps?</li> </ul>	<ul style="list-style-type: none"> <li>Level or degree of success of the Project in achieving the different outputs, taking into consideration their quantity and quality, as well as usefulness and timeliness of the delivery of its outputs</li> <li>Disbursement according to work plans and associated budget sheets</li> <li>Degree to which the project met relevant milestones and indicator targets set out in the project's Logical Framework Matrix (Logframe) and monitoring plan and other relevant indicators as appropriate</li> </ul>	<ul style="list-style-type: none"> <li>Result matrix (logframe)</li> <li>Project progress reports, especially PIR and FAO PPRs</li> <li>Project correspondence</li> <li>Budget reports</li> <li>Project stakeholders from the national, provincial and municipal and local levels</li> <li>FAO staff and project team</li> <li>PSC members</li> </ul>	DS/SS (NV)



Main MTR questions	Additional sub-questions	Indicator	Sources	Lead interviewer
<p><i>Attainment of outcomes</i></p> <ul style="list-style-type: none"> <li>To what extent has the project delivered on each its expected outcomes and objectives, and what, if any, wider results has the project had to date? (record progress on attainment of outcomes in 'traffic light' table given in MTR Guide)</li> </ul>	<ul style="list-style-type: none"> <li>What is the quality of the project's outcomes?</li> <li>To what extent have each of the outcomes identified in the revised Theory of Change been delivered?</li> <li>Component 1 – To what extent has an enabling environment to support implementation of multi-functional SFM in Serbia been built (or is likely to before the end of the project)?</li> <li>Component 2 – To what extent has the project capacitated key stakeholders to undertake SFM that includes BD conservation, CCM and socio-economic concerns?</li> <li>Component 3 –To what extent have the project's experiences and results been disseminated resulting to improved knowledge and awareness among key stakeholders on the need for SFM and to expand its implementation to include BD conservation, CCM and socio-economic issues?</li> <li>What, if any, wider results has the project had at national or local levels to date?</li> <li>Were there any unintended results?</li> <li>To what extent can the attainment of results be attributed to the GEF-funded component (as opposed to other projects/interventions)?</li> </ul>	<ul style="list-style-type: none"> <li>Degree to which the project met relevant milestones and indicator targets set out in the project's Logical Framework Matrix (Logframe) and monitoring plan and other relevant indicators as appropriate</li> <li>Feedback derived from the project stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Result matrix (logframe)</li> <li>Progress reports, especially progress reports e.g. PIR, PPRs</li> <li>PSC reports</li> <li>FAO staff and project team</li> <li>Project stakeholders from the national and local levels (e.g. PFOAs)</li> </ul>	DS/SS (NV)
<p><i>Achievement of project objective and likelihood of longer-term impact</i></p> <ul style="list-style-type: none"> <li>To what extent has there been attainment of the overall project</li> </ul>	<ul style="list-style-type: none"> <li>Have there been any changes on the level of the overall objective that can be observed so far?</li> <li>What are the likely mid- and long-term</li> </ul>	<ul style="list-style-type: none"> <li>Assessment of the achievement of the project's results in relation to the project's</li> </ul>	<ul style="list-style-type: none"> <li>Project documents including PIR and PPR reports</li> <li>Minutes of PSC</li> </ul>	DS/SS (NV)

Main MTR questions	Additional sub-questions	Indicator	Sources	Lead interviewer
<p>objective to date?</p> <ul style="list-style-type: none"> <li>Is there any evidence of environmental stress reduction e.g. in direct threats to BD, and environmental status change e.g. improvement in populations of target species, reflecting Global Environmental Benefits?</li> <li>What is the likelihood of longer-term impacts from the project? (use ROTI to analyse)</li> <li>What needs to be done to help ensure these can be delivered?</li> </ul>	<p>impacts of the project?</p> <ul style="list-style-type: none"> <li>Are there any barriers or other risks that may influence progress towards the eventual achievement of the project's longer-term goals and impacts?</li> <li>What can be done to improve the likely achievement of positive longer-term impacts?</li> </ul>	<p>causal logic as defined in the Theory of Change (using ROTI approach)</p> <ul style="list-style-type: none"> <li>Feedback from stakeholders on likely longer-term impacts, including evidence of uptake of new knowledge/ideas</li> </ul>	<p>meetings</p> <ul style="list-style-type: none"> <li>FAO staff and project team</li> <li>Project stakeholders from the national, regional and local levels</li> </ul>	
<b>3. Efficiency</b>				
<ul style="list-style-type: none"> <li>To what extent has the project been designed and implemented efficiently, cost-effectively, and in a timely manner?</li> <li>To what extent has management been able to adapt to any changing conditions to improve the efficiency of project implementation?</li> <li>To what extent did the project build on existing agreements, initiatives, data source, synergies, complementarities with other project and partnerships, etc., and avoid duplication of similar activities of other groups?</li> </ul>	<ul style="list-style-type: none"> <li>Has the project been appropriately designed/adapted in relation to the duration and/or levels of secured funding?</li> <li>To what degree are inputs available at planned costs and outputs up to expected standards?</li> <li>Are there sufficient resources to achieve the project's intended outcomes?</li> <li>To what extent has the project put in place measures for cost and time sharing?</li> <li>Where there any delays? If so why, and how have these affected project execution, costs and effectiveness? What efforts were made to overcome these problems?</li> <li>Have financial resources been utilized efficiently?</li> <li>How can efficiency be improved?</li> </ul>	<ul style="list-style-type: none"> <li>Level of utilization and rate of delivery of project budget (extent to which project funds have been converted into outcomes as per expectations in the project document)</li> <li>Degree of difference in planned and actual expenses</li> <li>Availability and the quality of the financial and progress reports</li> <li>Quality of the delivered outputs</li> <li>Comparison of delivery of project's activities/results with its defined timeline in project document (and comparison with similar</li> </ul>	<ul style="list-style-type: none"> <li>Project financial documents</li> <li>Procurement plans</li> <li>Work plans</li> <li>Meeting reports/ minutes</li> <li>Monitoring data</li> <li>Progress reports</li> <li>FAO staff and project team</li> <li>Beneficiaries and key implementing partners</li> </ul>	NV (DS/SS)

Main MTR questions	Additional sub-questions	Indicator	Sources	Lead interviewer
		<p>interventions)</p> <ul style="list-style-type: none"> <li>• Quality of result based management system (Monitoring, Reporting and Review)</li> <li>• Assessment of efforts made to use or build on related pre-existing data sources, initiatives/projects, institutions, agreements and partnerships, etc.</li> <li>• Level of satisfaction of partners in the responsiveness (adaptive management) of the project</li> </ul>		
<b>4. Factors affecting performance</b>				
<p><i>General questions:</i></p> <ul style="list-style-type: none"> <li>• What have been the main challenges that you have faced in delivering the project?</li> <li>• What were the major factors influencing the achievement or non-achievement of project results?</li> <li>• How can the delivery be improved in the second half of the project -what changes are needed?</li> </ul> <p>These will be addressed through analysis of specific issues presented below.</p>				
<p><i>Project design and readiness</i></p> <ul style="list-style-type: none"> <li>• Is the project's causal logic (set out in its Theory of Change) robust, coherent and clear? To what extent are the project's objectives and components, clear, practical and feasible/realistic within the timeframe?</li> <li>• To what extent are the project's objectives and components clear,</li> </ul>	<ul style="list-style-type: none"> <li>• Does the project document present a clear rationale for the project with coherent problem and barrier analysis?</li> <li>• Are the causal pathways from the project outputs (goods and services) through outcomes (changes in stakeholder behaviours) towards impacts (long-term, collective change of state or systems) clearly and convincingly described in the project documents?</li> </ul>	<ul style="list-style-type: none"> <li>• Level of coherence between project expected results and project design</li> <li>• Quality of the project design, result matrix and project indicators</li> <li>• Evidence that necessary "preparation and readiness" factors,</li> </ul>	<ul style="list-style-type: none"> <li>• Project document</li> <li>• Project design stage documents including PIF, GEFSEC and STAP reviews of project</li> <li>• Project progress reports</li> <li>• Steering Committee reports</li> </ul>	NV (DS/SS)

Main MTR questions	Additional sub-questions	Indicator	Sources	Lead interviewer
<p>practical and feasible within the timeframe (especially given the delays in starting the project)?</p> <ul style="list-style-type: none"> <li>Is the project design appropriate for delivering the expected outcomes?</li> </ul>	<ul style="list-style-type: none"> <li>Are impact drivers and assumptions clearly described for each causal pathway?</li> <li>Does the project have an explicit and coherent theory of change?</li> <li>What were the key challenges faced in designing the project and how can the process be improved for future projects?</li> </ul>	<p>conditions and other processes were considered in Project design</p>		
<p><i>Project execution and management</i></p> <ul style="list-style-type: none"> <li>What have been the main challenges in relation to the management and administration of the project?</li> <li>To what extent have FAO-Serbia and by MAFW – Directorate of Forests performed their roles and responsibilities as executing partners in managing and administering the project?</li> <li>Are all the administrative (including contractual) procedures operating well?</li> <li>Are staffing arrangements adequate to deliver the project in the remaining timeframe?</li> <li>Are there any unforeseen issues (positive or negative) that are affecting project implementation and progress towards outcomes and objectives that need to be considered?</li> <li>What changes to project administration and management are needed to improve delivery in the second half of the project?</li> </ul>	<ul style="list-style-type: none"> <li>Is the project management structure clear, coherent and efficient? Has the management structure and mechanisms outlined in the project document been followed and been effective in delivery project milestones, outputs and outcomes?</li> <li>To what extent have FAO administrative processes such as recruitment of staff, procurement of goods and services (including consultants), preparation and negotiation of cooperation agreements etc. influenced the project's performance?</li> <li>Are adequate project management arrangements in place?</li> <li>Are staffing arrangements adequate to deliver the project in the remaining timeframe?</li> <li>Are workplans clear, adequate and realistic and actively used by project management?</li> <li>Have any planned activities been changed? If so how well have these changes been managed?</li> <li>Was the capacity of the executing agency properly considered when the project was designed?</li> </ul>	<ul style="list-style-type: none"> <li>Extent of delivery of the desired results</li> <li>Evidence of approaches and adaptive management used in the implementation of the project to ensure the attainment of project results, including extent to which the project has responded to identified and emerging risks</li> <li>Extent to which project partners committed time and resources to delivery of the project</li> </ul>	<ul style="list-style-type: none"> <li>Project document</li> <li>Results Matrix</li> <li>Project progress reports</li> <li>FAO staff and project team</li> <li>Project focal points in the implementing agencies</li> <li>Key stakeholders and beneficiaries from the national, provincial and municipal levels</li> <li>PSC members and minutes of meetings</li> </ul>	NV/DS/SS
<p><i>Risk identification and management</i></p>	<ul style="list-style-type: none"> <li>Are there any unforeseen effects that are</li> </ul>	<ul style="list-style-type: none"> <li>Quality of risk</li> </ul>	<ul style="list-style-type: none"> <li>Progress reports</li> </ul>	NV/DS/SS

Main MTR questions	Additional sub-questions	Indicator	Sources	Lead interviewer
<ul style="list-style-type: none"> <li>How well have risks been identified and managed (both at the project design phase and later)?</li> <li>Have all potentially negative social, economic and environmental impacts of the project been identified and is the mitigation strategy adequate?</li> <li>What actions have been taken to mitigate risk factors?</li> </ul>	<p>negatively or positively impacting project implementation and its outcome?</p> <ul style="list-style-type: none"> <li>Are risks appropriately identified by the project?</li> <li>How is risk identification and mitigation being managed?</li> <li>What is the quality of the risk mitigation strategy developed by the project?</li> <li>To what extent has the project addressed the assumptions of the ToC?</li> </ul>	<p>identification</p> <ul style="list-style-type: none"> <li>Quality of strategies taken to mitigate risks</li> </ul>	<ul style="list-style-type: none"> <li>Results framework</li> <li>Risk assessment reports, meeting reports/ minutes, monitoring data, progress reports</li> <li>FAO staff and project team</li> <li>Key implementing partners</li> <li>Minutes of PSC meetings</li> <li>Key stakeholders and beneficiaries</li> </ul>	
<p><i>Financial management and co-financing</i></p> <ul style="list-style-type: none"> <li>What have been the financial management challenges of the project to date?</li> <li>Are the budgets/financial planning adequate to complete the project and deliver the expected results?</li> <li>Are financial resources well managed and accountable?</li> <li>To what extent has co-financing materialized as expected?</li> <li>Has there been any additional co-financing leveraged during project implementation and how has this contributed to the project's objectives?</li> </ul>	<ul style="list-style-type: none"> <li>Have there been any issues related to the financing and financial management of the project? Any irregularities?</li> <li>What is the rate of delivery and budget balance and could financial resources be used more efficiently?</li> <li>How well does co-financing activities complement project activities and contribute to results?</li> <li>How has any shortfall in the co-financing or unexpected additional funding affected project results?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence that financial resource levels and cash flow management were adequate to support effective overall management</li> <li>Evidence that recruitment/procurement practice, use of financial resources and financial reporting followed proper standards</li> <li>Level of transparency in the funds used</li> <li>Evidence that co-financing levels were delivered</li> </ul>	<ul style="list-style-type: none"> <li>Financial reports and audits</li> <li>Project progress reports</li> <li>Completed GEF co-financing table</li> <li>FAO staff (e.g. FLO) and project team</li> <li>Key implementing partners (for co-financing)</li> </ul>	NV (DS/SS)
<p><i>Project oversight, implementation role</i></p>	<ul style="list-style-type: none"> <li>Was FAO project supervision and</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of effective</li> </ul>	<ul style="list-style-type: none"> <li>FAO staff (e.g. LTO)</li> </ul>	NV

Main MTR questions	Additional sub-questions	Indicator	Sources	Lead interviewer
<ul style="list-style-type: none"> <li>Is the project governance and supervision model comprehensive, clear and effective?</li> <li>How effective is the coordination and decision-making among the Project Steering Committee (PSC) and Project Task Force?</li> <li>To what extent has FAO delivered oversight and supervision and backstopping (technical, administrative and operational) during the project design and implementation phases?</li> </ul>	<p>backstopping effective in terms of: adequacy of supervision plans formulated and inputs/processes provided; application of results-based project management approach (outcome monitoring); accuracy of reporting and rating systems applied; documentation of project supervision activities; and financial, administrative, and other fiduciary aspects of project implementation supervision?</p> <ul style="list-style-type: none"> <li>How efficiently have the Lead Technical Unit, the Budget Holder and Project Task Force provided administrative and technical support?</li> </ul>	<p>project supervision and backstopping provided by FAO</p> <ul style="list-style-type: none"> <li>Views of PSC and Project Task Force members</li> <li>Views of key implementing partners</li> </ul>	<p>and project team</p> <ul style="list-style-type: none"> <li>Key implementing partners</li> <li>PSC and Task Force members and meeting minutes</li> </ul>	
<p><i>Partnerships and stakeholder engagement</i></p> <ul style="list-style-type: none"> <li>Has the project identified and engaged with all relevant stakeholders?</li> <li>To what extent have stakeholders been involved in project formulation and implementation?</li> <li>To what extent has the project been successful in establishing effective partnerships and collaboration with stakeholders during both design and implementation phases?</li> <li>To what extent have the different stakeholders been actively engaged in project decision-making?</li> <li>How do the various stakeholder see their own engagement with the project?</li> </ul>	<ul style="list-style-type: none"> <li>Are the selected implementing partners and beneficiaries relevant to achieve the project outcomes?</li> <li>To what extent did the design phase consider the capacity of the main stakeholders to be involved in the project?</li> <li>Are the roles and responsibilities of key actors and stakeholders clear and appropriate to their capacities?</li> <li>Is there sufficient capacity within key partners to enable them to be able to properly participate in the project?</li> <li>To what extent are the different government departments and government stakeholders involved in project implementation?</li> <li>Have other actors, such as civil society and private sector, been sufficiently involved in project design and implementation, and what has been the effect of their</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of approaches used to identify and engage stakeholders in project design and implementation</li> <li>Analysis of strengths and weaknesses of partnership strategy and arrangements</li> <li>The degree of effectiveness of partnership and collaboration arrangements with stakeholders</li> <li>Quality of the utilization of partnerships</li> </ul>	<ul style="list-style-type: none"> <li>FAO staff and project team</li> <li>Main partner organizations</li> <li>Key stakeholders from the national, provincial and municipal level</li> <li>Other international donors supporting forestry in the Republic of Serbia</li> <li>Progress reports</li> <li>Meeting minutes</li> <li>Monitoring data</li> </ul>	DS/SS/NV

Main MTR questions	Additional sub-questions	Indicator	Sources	Lead interviewer
<ul style="list-style-type: none"> <li>• What are strengths and challenges of the partnerships?</li> <li>• To what extent have the project activities developed new and enhanced partnerships/relationships across relevant agencies, project partners, private sector, and stakeholders?</li> <li>• How can the effectiveness of the partnership be improved?</li> <li>• Have stakeholders been made aware of the ESS plan and the grievance mechanism?</li> <li>• How can stakeholder engagement be improved?</li> </ul>	<p>involvement/non-involvement on the project results?</p> <ul style="list-style-type: none"> <li>• How does the private sector and civil society view their participation in the project?</li> <li>• Is there a partner/stakeholder/partner engagement plan?</li> <li>• How well are the partners involved and contributing to the project outputs?</li> <li>• Have partner contributions been delivered as expected and effectively?</li> <li>• How efficient are the various cooperation and collaboration arrangements (MoU, etc.)?</li> <li>• To what extent has the project succeeded in coordinating its work with other GEF and non-GEF projects (see list in ProDoc)?</li> <li>• To what extent has the project made use of opportunities for collaboration with other relevant initiatives (including pooling of resources, mutual learning, and avoiding duplication)?</li> <li>• Are there any additional opportunities for linkage and partnerships that the project could take advantage of?</li> </ul>			
<p><i>Communication, awareness raising and knowledge management</i></p> <ul style="list-style-type: none"> <li>• How effective has the project been in communicating and promoting its key messages and results to partners, stakeholders and a general audience? How can this be improved?</li> <li>• How visible has the project been to</li> </ul>	<ul style="list-style-type: none"> <li>• How effective have the project's awareness-raising, information dissemination and public outreach approaches and activities been to date?</li> <li>• Have there been any issues with sharing and/or management of knowledge, e.g. confidential or commercially sensitive data? If so, how is this being resolved?</li> <li>• Are project communication materials,</li> </ul>	<ul style="list-style-type: none"> <li>• Degree of effectiveness of awareness-raising activities and strategies applied in project implementation</li> <li>• Review and analysis of project communication materials e.g. online presence, project reports</li> </ul>	<ul style="list-style-type: none"> <li>• FAO staff and project team</li> <li>• Main partner organizations</li> <li>• Key stakeholders from the national and local levels</li> <li>• Other international donors supporting</li> </ul>	NV/DS/SS



Main MTR questions	Additional sub-questions	Indicator	Sources	Lead interviewer
<p>partners and stakeholders – what is their general opinion of the profile of the project to date?</p> <ul style="list-style-type: none"> <li>How is the project assessing, documenting and sharing its results, lessons learned and experiences?</li> </ul>	<p>including the project document clear and comprehensible?</p> <ul style="list-style-type: none"> <li>To what extent has the project identified appropriate methods, channels, networks for communication with key stakeholders, including gendered/minority groups?</li> <li>Does the project have a formal structured system for capturing and communicating experiences and lessons learned from the project?</li> </ul>		<p>SFM in the Republic of Serbia</p> <ul style="list-style-type: none"> <li>Project documents</li> <li>Progress reports</li> <li>Project communication materials, including online presence (including social media)</li> </ul>	
<p><i>Monitoring and Evaluation (M&amp;E)</i></p> <p><i>M&amp;E - design</i></p> <ul style="list-style-type: none"> <li>How well is the project M&amp;E framework designed? How could the M&amp;E design be improved?</li> <li>How has stakeholder engagement and gender assessment been integrated into the M&amp;E system?</li> <li>Is the M&amp;E plan practical and sufficient to track progress towards achieving project objectives?</li> </ul>	<ul style="list-style-type: none"> <li>To what extent are the project indicators specific, measurable, attainable (realistic), and relevant to the objectives, and time-bound (SMART)?</li> <li>Are the targets and milestones in project's monitoring plan appropriate, realistic and sufficient to track progress and facilitate management towards outputs and outcomes?</li> <li>Are there sufficient/specific indicators to measure progress on gender equity?</li> <li>Do any of the indicators or their associated targets need to be removed or reformulated?</li> <li>To what extent has baseline information on performance indicators been collected and presented in a clear manner?</li> <li>Has the methodology for the baseline data collection explicit and reliable?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence and review of M&amp;E plan to monitor results and track progress towards achieving project objectives</li> <li>SMART indicators identified and used, adequate baselines set</li> <li>M&amp;E budget allocated</li> </ul>	<ul style="list-style-type: none"> <li>Results matrix</li> <li>FAO staff and project team</li> <li>Main partner organizations</li> <li>Key stakeholders from the national and local levels</li> <li>Project documents</li> <li>Project progress reports, especially PIRs and PPRs</li> <li>Other project M&amp;E documents</li> <li>Relevant correspondence related to FAO's design and management of the project</li> </ul>	NV (DS/SS)
<p><i>M&amp;E implementation</i></p> <ul style="list-style-type: none"> <li>To what extent is the project M&amp;E system operational and contributing to provide systematic information</li> </ul>	<ul style="list-style-type: none"> <li>To what extent has the project budgeted and implemented a sound M&amp;E plan and tools to track project delivery and evaluate its results towards achieving its objective?</li> </ul>	<ul style="list-style-type: none"> <li>M&amp;E arrangements made</li> <li>Timing and implementation of M&amp;E activities</li> </ul>	<ul style="list-style-type: none"> <li>Completed GEF Tracking Tool for the mid-term</li> <li>M&amp;E reports</li> </ul>	NV/(DS/SS)

Main MTR questions	Additional sub-questions	Indicator	Sources	Lead interviewer
<p>on the project outcomes and outputs target?</p> <ul style="list-style-type: none"> <li>Has the project been implemented based on result-based management?</li> <li>To what extent has the project engaged stakeholders in the design and implementation of monitoring? (any community based monitoring elements, or 'citizen science'?)</li> <li>Are there gender-disaggregated targets and indicators?</li> <li>How can the M&amp;E system be improved?</li> <li>To what extent has information generated by the M&amp;E system during project implementation been used to adapt and improve project planning and execution, achievement of outcomes and ensure sustainability?</li> </ul>	<ul style="list-style-type: none"> <li>Are roles and responsibilities for monitoring activities clear?</li> <li>Has information been gathered in a systematic manner, using appropriate methodologies?</li> <li>Are monitoring reports (e.g. GEF PIR, FAO PPR) sufficiently informative, produced in a timely manner and used for adaptive management?</li> <li>How well are activities being monitored? Was monitoring used to take corrective actions?</li> <li>To what extent have the experiences and lessons learned from the project been identified and captured?</li> <li>Was the GEF Tracking Tool well applied at the design phase and correctly updated in the mid term?</li> </ul>	<ul style="list-style-type: none"> <li>Degree and timeliness of completion of M&amp;E reports e.g. PIRs</li> <li>Use of the project's Result Matrix as a management tool</li> </ul>	<ul style="list-style-type: none"> <li>Project progress reports, especially PIRs and PPRs</li> <li>Other project M&amp;E documents</li> <li>Key local stakeholder groups (farmer associations)</li> <li>Key stakeholders from the national and local levels</li> </ul>	
<b>5. Sustainability of project results</b>				
<p><i>General</i></p> <ul style="list-style-type: none"> <li>What is the likelihood that the project results will persist after the end of the project?</li> <li>To what extent is sustainability being embedded in project activities and results?</li> <li>What are the key constraints to sustainability of project results?</li> <li>What are the key risks that may affect the sustainability of the project results and benefits?</li> </ul>	<ul style="list-style-type: none"> <li>Does the project have a clear, credible sustainability strategy to ensure continuation of project results (particularly in regard to maintaining any payments post-project)?</li> <li>What does the project need to do to increase sustainability of its results?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of written exit and sustainability strategy</li> <li>The (reconstructed) ToC will also assist in the assessment of sustainability</li> </ul>	<ul style="list-style-type: none"> <li>Project documents, project reports including PIRs</li> <li>FAO staff and project team</li> </ul>	DS/SS/NV

Main MTR questions	Additional sub-questions	Indicator	Sources	Lead interviewer
<p><i>Financial sustainability</i></p> <ul style="list-style-type: none"> <li>Are there any financial risks that may jeopardize the sustainability of the project results and progress towards impacts?</li> </ul>	<ul style="list-style-type: none"> <li>How dependent is the continuation of the project results and initiatives on continued financial support? In other words, what will happen when the GEF funding stops?</li> <li>Is there a viable financial sustainability plan in place and is being implemented?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of generated or leveraged funds that helped in project implementation</li> <li>Evidence of follow-up funding of project results from national budgets after their integration into national policies and institutional systems</li> <li>Evidence of funding from donors and private sector to continue project activities in the project area</li> </ul>	<ul style="list-style-type: none"> <li>Progress reports, especially financing and co-financing reports</li> <li>Project documents</li> <li>Key beneficiaries</li> <li>Key stakeholders from the national and local levels</li> <li>Government policy statements and institutional workplans,</li> <li>Private sector annual reports</li> </ul>	DS/SS/NV
<p><i>Socio-political sustainability</i></p> <ul style="list-style-type: none"> <li>Are there any social, legal or political factors that may influence (positively or negatively) the sustainability of project results and its progress towards impacts? If so, what are they?</li> </ul>	<ul style="list-style-type: none"> <li>Is the level of participation and ownership by the main local, national and international stakeholders sufficient to allow for the project results to be sustained?</li> <li>Is there any evidence of further commitment of the relevant government stakeholders?</li> <li>To what extent is project implementation demand-driven or is there simple passive buy-in from target groups?</li> <li>Will the PFOs undertaking SFM continue to be supported after the end of the project? If so, how?</li> <li>Which partnership/linkage are considered sustainable?</li> <li>To what extent are the government institutions committed to ensuring continued project results?</li> </ul>	<ul style="list-style-type: none"> <li>Level of stakeholder ownership</li> <li>Level of political commitment</li> <li>Evidence of legislative and policy change supporting results of project</li> <li>Promotion SFM, BD conservation and CCM within national development planning processes</li> </ul>	<ul style="list-style-type: none"> <li>Progress reports</li> <li>Project document</li> <li>PSC members and meeting minutes</li> <li>FAO staff and project team</li> <li>Key Government stakeholders</li> <li>Key beneficiaries (PFOs, PFOAs)</li> </ul>	DS/SS/NV

Main MTR questions	Additional sub-questions	Indicator	Sources	Lead interviewer
	<ul style="list-style-type: none"> <li>To what extent is the project embedded in the local structures of the target groups (PFO associations)?</li> <li>To what extent is the private sector likely to support project aims and results after the project ends and how critical is the private sector to the sustainability of the project results?</li> </ul>			
<i>Institutional and governance</i> <ul style="list-style-type: none"> <li>To what extent is the sustainability of project results and onward progress towards impact dependent on supportive institutional frameworks and governance?</li> </ul>	<ul style="list-style-type: none"> <li>How robust are the institutional achievements such as governance structures and processes, policies, legal and accountability frameworks etc. required to sustain project results?</li> <li>To what extent does the project rely on continued development of partner's individual and organization capacities for sustainable delivery of outputs and outcomes?</li> <li>Will an adequate level of qualified human and institutional resources be available in the future in order to continue delivering the project's benefits? If not, how can this be addressed?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of sufficient capacity to sustain results built at institutional levels among target participating institutions (both public and private sector)</li> <li>Integration of project results into national institutional systems and practices (both public and private sector)</li> </ul>	<ul style="list-style-type: none"> <li>FAO staff and project team</li> <li>Key government institutions</li> <li>Key beneficiaries (PFOs, PFOAs)</li> <li>Progress reports</li> <li>Project document</li> <li>PSC members and meeting minutes</li> </ul>	DS/SS/NV
<i>Environmental risk</i> <ul style="list-style-type: none"> <li>Are there any external environmental factors (positive or negative) that could affect the sustainability of the projects? If so, what?</li> </ul>	<ul style="list-style-type: none"> <li>What external environmental factors can affect the sustainability of the projects?</li> <li>What risk do predicted climate change effects pose to the sustainability of project results?</li> </ul>	<ul style="list-style-type: none"> <li>Degree of impact of planned development on local environment at project sites</li> </ul>	<ul style="list-style-type: none"> <li>FAO staff and project team</li> <li>Key government institutions</li> <li>PSC members</li> <li>Project reports</li> <li>National and local environmental reports</li> </ul>	DS/SS/NV
<i>Replication and catalysis</i> <ul style="list-style-type: none"> <li>What project results, lessons and</li> </ul>	<ul style="list-style-type: none"> <li>Does the project have a clear approach and strategy to promote and support scaling</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of national and local government and</li> </ul>	<ul style="list-style-type: none"> <li>FAO staff and project team</li> </ul>	DS/SS/NV

Main MTR questions	Additional sub-questions	Indicator	Sources	Lead interviewer
<p>experiences generated by the project have been replicated<sup>7</sup> or scaled up<sup>8</sup>, or are likely to be in the near future?</p> <ul style="list-style-type: none"> <li>Has the project catalysed any policy, behavioural or institutional change to better promote SFM in Serbia, regionally or globally?</li> <li>Has the project developed any incentives (social, economic, market-based, competencies, etc) that should help catalyse future support for SFM, BD conservation and CCM in Serbia's forests?</li> </ul>	<p>up, replication and/or catalysis of project results?</p> <ul style="list-style-type: none"> <li>What factors may influence replication and scaling up of project experiences and lessons?</li> <li>What synergies exist with partner agencies as well as relevant programmes and projects that provide opportunities for catalysis and replication?</li> <li>To what extent has the project created opportunities (and provided support) for specific individuals or institutions ("champions") to promote the aims and results of the project?</li> </ul>	<p>stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue follow-up replication or catalysis of the project's results – plan for up-scaling of results</p> <ul style="list-style-type: none"> <li>Evidence of wider uptake of key project messages, including wider adoption of multi function sustainable forest management which includes BD conservation, CCM and socio-economic concerns</li> <li>Evidence of incentives provided by project that catalyzed behavioral changes related to wider adoption of SFM practices</li> <li>Evidence of increased institutional programmes/projects and capacity to address degradation of forests and their BD and carbon stocks and improve</li> </ul>	<ul style="list-style-type: none"> <li>Key project stakeholders especially government agencies and private sector involved with forestry and environment sector</li> <li>Local stakeholder groups (PFOAs) and local businesses</li> <li>PSC and TWG members and minutes of their meetings</li> <li>Project documents</li> <li>Progress reports</li> <li>Other project M&amp;E documents</li> </ul>	

<sup>7</sup> Experiences that are repeated and lessons applied in different geographic areas

<sup>8</sup> Experiences are repeated and lessons applied in the same geographic area but on a much larger scale and funded by other sources

Main MTR questions	Additional sub-questions	Indicator	Sources	Lead interviewer
		<p>associated socio-economic benefits</p> <ul style="list-style-type: none"> <li>• Evidence of changes to policy during implementation that have led to call for more resources for sustainable forest management and conservation of forest BD in Serbia</li> <li>• Evidence of increased and sustained financing for SFM among government agencies in Serbia and other potential donors, and particularly by the private sector</li> <li>• Evidence of opportunities created for individuals or institutions (“champions”) to promote the traditional more sustainable forest management</li> </ul>		
<b>6. Cross-cutting issues equity issues (e.g. gender, youth, vulnerable groups) and environmental and social safeguards</b>				
<p><i>Gender and minority groups</i></p> <ul style="list-style-type: none"> <li>• To what extent have gender considerations been taken into account in the design and implementation and management of the project and integrated into the project’s objectives and results framework?</li> <li>• Were any gender analyses</li> </ul>	<ul style="list-style-type: none"> <li>• To what extent were gender equality considerations reflected in project objectives and design to address the needs, priorities and constraints of both women and men?</li> <li>• Has the project been designed and implemented in a manner that ensures gender equitable participation and benefits?</li> </ul>	<ul style="list-style-type: none"> <li>• Evidence that sensitivity in gender has been observed in project design, implementation and monitoring and evaluation activities, including level of gender participation in project activities and events</li> </ul>	<ul style="list-style-type: none"> <li>• Progress reports</li> <li>• Project document</li> <li>• Key beneficiaries and stakeholders from the national, provincial and municipal and local levels</li> </ul>	DS/SS/NV

Main MTR questions	Additional sub-questions	Indicator	Sources	Lead interviewer
<p>undertaken during the design and implementation of the project?</p> <ul style="list-style-type: none"> <li>Has the project had any impact on gender equality and economic empowerment for women and other marginalized groups?</li> <li>To what extent does the project conform to GEF and FAO goals and standards on gender equity?</li> </ul> <p>Particular attention will be devoted to the four FAO's Gender Equality Objectives attainable at the level of initiative or thematic area: i) Equal decision-making; ii) Equal access to productive resources; iii) Equal access to goods, services and markets; iv) Reduction of women's work burden</p>	<ul style="list-style-type: none"> <li>Does the project document include a clear and adequate analysis of relevant gender concerns?</li> <li>Has the project been planned on the basis of gender differentiated beneficiaries analysis?</li> <li>What targeted efforts have been made by the project and the implementing partners to ensure that women can participate in the project?</li> <li>To what extent do women participate in decision-making processes and frameworks within the project? To what extent are their voices heard and decisions reflect their concerns?</li> <li>Are there any legal, cultural, religious or other constraints on women's participation in the project?</li> <li>Does the project's M&amp;E strategy consider women and men separately, e.g. in gender-disaggregated reporting data?</li> <li>Are there gender-sensitive indicators in the project results frameworks?</li> <li>How can the project's results framework be more gender responsive? Specifically, what measures are recommended to improve gender mainstreaming and the project's work to advance gender equality and women's empowerment (e.g. mid-term gender analysis, additional gender expertise needed)?</li> <li>What is likelihood of increased gender equity after project's end?</li> </ul>	<ul style="list-style-type: none"> <li>Disaggregated data routinely collected and analysed by project team as part of M&amp;E</li> </ul>		
<b>Environmental and social safeguards</b>	<ul style="list-style-type: none"> <li>Are any risks identified in the</li> </ul>	<ul style="list-style-type: none"> <li>Degree of impact of</li> </ul>		NV/DS/SS



Main MTR questions	Additional sub-questions	Indicator	Sources	Lead interviewer
<ul style="list-style-type: none"> <li>To what extent have environmental and social concerns been taken into consideration in the design and implementation of the project?</li> <li>Have all requirements of the Environmental and Social Safeguards Plan being complied with?</li> </ul>	Environmental and Social Safeguards Plan incorporated within the projects M&E plan and being monitoring by the project?	project activities and results on local environment and society at project sites and region		
<b>7. Final questions</b> <i>No specific key question but useful to summarise main views of interviewee and further help identify recommendations</i> <ol style="list-style-type: none"> <li>What for you personally are the top 2 or 3 successes and the top 2 or 3 failures of the project to date? What are you most pleased the project has done , and what are you most disappointed the project has failed to do?</li> <li>What do you ultimately hope the project will achieve?</li> <li>If you were involved in the project again, what would you do differently? In other words, what lessons have you learned to date from the project?</li> <li>Are there any specific recommendations for the second half of the project you think the MTR team should consider to improve the impact of the project?</li> </ol>				

## Annex 4. Stakeholders interviewed during the MTR

Name	Position (title)	Institution	Role in the project
<b>1. Active stakeholders with direct responsibility for the project, e.g. FAO, executing partners, consultants</b>			
Mr Predrag Jovic	National Project Coordinator	FAO (based Belgrade)	National Project Coordinator
Norbert Winkler	Technical Officer	FAO REU (Budapest)	LTO
Hernan Gonzales	Financial Liaison Officer	GEF Coordination Unit, FAO HQ (Rome)	FLO
Andrea Berczi	Operations Specialist	FAO REU (Budapest)	Operations Specialist
Mr Benjamin Kiersch	International consultant	FAO consultant	Lead design consultant
Mr Goran Stavrik	Senior Programme Officer	FAO REU (Budapest)	Budget Holder (from November 2018)
Mr Saša Stamatović	Director of Directorate of Forestry	Ministry of Agriculture, Forestry and Water Management	National Project Director
Prof. Damjan Pantić	Chair of Forest Management and Planning	Faculty of Forestry, University of Belgrade	Leader of Component 1, Key Expert for 1.1.1
Prof. Nenad Petrović	Chair of Forest Management and Planning	Faculty of Forestry, University of Belgrade	Leader of Component 2
Dejan Miletić	Nature Protection Department	PE "Srbijasume"	Key Expert for 1.1.1 and 1.1.3
Dr. Predrag Lazarević	Associate at Botanical Garden	Biological Faculty, University of Belgrade	Expert for 1.1.1 and 1.1.3
Assist. Dragan Borota	Chair of Forest Management and Planning	Faculty of Forestry, University of Belgrade	Expert for 1.1.1 and 1.1.3
Doc. Biljana Šljukić	Chair of Forest Management and Planning	Faculty of Forestry, University of Belgrade	Expert for Component 2
Dr. Axel Weinreich	Consultant	UNIQUE forestry and land use GmbH	International Expert for Component 2
Aleksandar Vasiljević	Director	Consulting Agency GREENFOR BEOGRAD	Software provider (Output 1.1.2)
Prof. Matthias Dees	International Consultant	UNIQUE forestry and land use GmbH	International Expert for Component 1
Brano Vamović	Director of Bureau for Planning and Design in Forestry	PE "Srbijasume"	NFI implementation (Output 1.1.3.)
Danijela Bozanić	Independent consultant	Independent consultant	MRV report (Key Expert for Output 1.1.4.)
Ms Gordana Jančić	Sector for Forestry and Environment Protection	PE "Srbijasume"	SC member

Name	Position (title)	Institution	Role in the project
Ms. Karina Kitnaes	International Consultant	Orbicon A/S, Denmark	Key International Expert for Biodiversity (Output 1.1.1 and 1.1.3)
Aleksandar Vorkapić	Consultant	Forestry Chamber	Team 1 & 2 + Forestry Chamber (A. Vorkapic)
Prof. Suzana Djordjevic Milosevic	Faculty for Applied Ecology	University Singidunum	Key Expert for Output 2.1.4
Radivoje Kaurin	Directorate of Forestry	Ministry of Agriculture, Forestry and Water Management	National Project Director Assistant
Marija Filičić	Directorate of Forestry	Ministry of Agriculture, Forestry and Water Management	National Project Director Assistant
Dr. Marko Marinković	Executive Director	PE “Vojvodinašume”	SC member, NFI implementation (Output 1.1.3)
Dr. Bojan Tubic	Senior Officer for Forest Management Planning	PE “Vojvodinašume”	NFI implementation (Output 1.1.3)
Radenko Ponjarac	Senior Officer for Forest Management Planning	PE “Vojvodinašume”	NFI implementation (Output 1.1.3)
Predrag Stanković	Senior Officer for Forest Management Planning	PE “Vojvodinašume”	NFI implementation (Output 1.1.3)
Mr Alen Kis	Senior Officer for Biodiversity Conservation in Forest Ecosystems	Provincial Nature Conservation Institute – Novi Sad	Stakeholder
Ms Biljana Krsteski	Expert Associate for Nature Conservation	Nature Conservation Institute – Belgrade	SC member
Mr Dušan Jelisavčić	Vice Director	PE National Park “Tara”	SC member
Radosav Karličić	Lawyer	Chamber of Forestry/Chamber of hunting	Stakeholder
<b>2. Active stakeholders with authority to make decisions on the project, e.g. members of the PSC</b>			
Snežana Prokić	Department for Nature Protection	Ministry of Environmental Protection (MEP)	SC member? (substitute?)
<b>3. Secondary stakeholders (only indirectly or temporarily affected)</b>			
Prof. Ratko Ristić	Dean	Faculty of Forestry, University of Belgrade	Expert in Component 1
Dr. Aleksandar Lučić	Deputy Director	Institute of Forestry	SC member

Name	Position (title)	Institution	Role in the project
Prof. Sasa Orlovic	Director	Institute of Lowland Forestry and Environment, University of Novi Sad	In-kind contributor
4. Other interest groups that are not participating directly in the intervention, e.g. development agencies working in the area, civil-society organizations			
Boris Erg	Director	IUCN Eastern Europe and Central Asia	stakeholder

## Annex 5: Private forest owners (PFO) and their associations (PFOAs) in Serbia

### Private Forest Owners and Associations in Serbia

Serbia has a very large number of private forest owners (PFOs). Although there has never been a complete inventory, there are estimated an 800,000-930,000, the vast majority owning less than 0.3 ha of forested land (70 % of the holdings are less than 1 ha, and 98 % own parcels less than 10 ha). The largest PFO is the Church, which often has forested land around monasteries and churches, but other major forest land owners include agricultural and water management companies. There are a small number, around 20, PFO Associations (PFOAs) but these have relatively few members (maximum number in the low hundreds) and most lack resources and only around 7 are active. Some PFOAs jointly employ forest engineers to advise on the forest management.

The needs, resources and constraints of PFOs for forest management of their lands are different from those of state-owned forest lands, and PFOs rely particularly on non-timber forest products, including wood for domestic fuel consumption, and food from the forests. Although there is little knowledge about extent to which sustainable forest management is practiced in private forests, experts suggest that management does not follow the principles of sustainable forest management.

Public Enterprises (PE) are responsible for providing PFOs/PFOAs with technical support (a limited form of forest extension service) from the central Government's Forest Fund. However, this input is limited to little more than marking trees for cutting and issuing licences for sale of timber, constructing and maintaining forest roads (for access for timber extraction and fire control), some provision of plant materials for afforestation/reforestation, and PE teams do the stand inventory on PFO land as they do for state forest. Unfortunately, current Government budgets do not go far and make little impact with PFOs, and very little is directly available for support to PFOAs.

Currently there is almost no cooperation and exchange of information between the public forest sector and the private sector in terms of policy making and management. The only link is through the elaboration of the FMPs for the Forest Management Units through the PEs, which private owners are obliged to follow except private owners with large areas of forests >100 ha, e.g. monasteries, who make their own forest management plans. In practice, these links between public and private owners are mostly very indirect, as the 99% of the PFOs who own less than 100 ha of forest fall under the forest management programmes at municipal level.

## Annex 6: Summary of progress on project outputs at MTR point

Results chain	Indicators	Baseline	Level at first PIR <sup>9</sup>	Mid-term target	End-of-project target	Mid-term level assessment <sup>10</sup>	Estimated % delivery at 31 December 2020 and comments on delivery
<b>Component 1: Enabling environment for multifunctional sustainable forest management</b>							
Output 1.1.1: Methodology for forest and biodiversity information collection and management harmonized with global and regional standards and reporting requirements	Methodology and guidelines for biodiversity information collection in NFI available, following international standards	0	Methodology for collecting and analyzing biodiversity and carbon information for NFI	One (1) Methodology and guideline available following international standards	One (1) Methodology and guidelines available following international standards		80% - Methodology developed (following Forest Europe framework) including some biodiversity parameters, and being tested in the field. Unclear whether final guidelines are available. Biodiversity parameters are underrepresented. It is not clear how biodiversity data will be processed.
	Methodology and guidelines for biodiversity assessment and management for forest planning at regional and management unit level,	0	Methodology for assessing forest biodiversity and nature values as part of SFM for forest development and management planning Draft technical guidelines for integrating CCM and BD conservation into forest development and management planning	Two (2) methodology and guideline documents for biodiversity assessment management for forest planning (1 for FDP and 1 for FMP)	Two (2) methodology and guideline documents for biodiversity assessment management for forest planning (1 for FDP and 1 for FMP)		50% - Methodology developed but not yet tested in the field (no FDPs or FMPs yet developed under Component 2). Unclear whether draft guidelines are available. Comprehensive CCM relevant data not included, e.g. no forest soil carbon inventory included. There is as yet no clear vision among project members how CCM (and CCA) will be included in methodology or guidelines

<sup>9</sup> Self-reported in PIR report for June 2019

<sup>10</sup> Colour-coded red, yellow or green

Green = Achieved      Yellow = On target to be achieved      Red = Not on target to be achieved

Results chain	Indicators	Baseline	Level at first PIR <sup>9</sup>	Mid-term target	End-of-project target	Mid-term level assessment <sup>10</sup>	Estimated % delivery at 31 December 2020 and comments on delivery
	following international standards						
Output 1.1.2: Integrated Forest Information System (IFIS) including biodiversity, carbon and socio-economic information	Integrated Forest information System including web-based user interface operational and regularly used	0	Draft technical specification of equipment and software developed	IFIS is operational	IFIS operational and including comprehensive forestry information, regularly accessed		50% - Development of FIS is slowly advancing, The base licensed software has been procured (Osnova 2020). Additional modules planned. Policy and bylaws that will define data for data sharing and contributions to the IFIS are under preparation. Relatively narrow focus of Working Group members raises questions about the openness to incorporate data from outside forestry institutions. It is not clear who will be linked to, and the users of, the system (which organizations will be eligible/licensed to use the system), how any licensing will work, how the system will be financed beyond the project and who will be the owner of the modules that need to be developed.
Output 1.1.3: National forest inventory conducted including assessment and collection of information relevant to biodiversity conservation and climate change mitigation	Forest area inventoried, including identification of priority areas for biodiversity conservation according to the updated methodology	0 % of area inventoried	Service Contract for the phase I of NFI (Photo Interpretation) under implementation (contracts with Bureau for Forest Management Planning of the Public Enterprises "Srbijasume")	75 % ha of forest area inventoried	100 % of forest area inventoried		Estimated 50% overall completion. NFI survey is ongoing. Equipment for the fieldwork procured, and training for the new inventory methodology conducted. Vojvodinasume has completed 85% of inventory by December 2020. Srbijasume has completed 40% of inventory by December 2020. Field surveys are going slower than expected and arrangement for essential quality control of field data is also unclear and behind the schedule. The surveys lack soil carbon measurements as they have not been included in the methodology (only soil depth). Also, forest soil carbon equipment and experts are missing from the project. As a result, forest carbon and storage and CCM picture will be only partial. NFI team does not have experience in assessment and processing of biodiversity data

Results chain	Indicators	Baseline	Level at first PIR <sup>9</sup>	Mid-term target	End-of-project target	Mid-term level assessment <sup>10</sup>	Estimated % delivery at 31 December 2020 and comments on delivery
Output 1.1.4: Existing carbon monitoring, reporting and verification (MRV) systems, reviewed and adapted to Serbian context	MRV system based on international standards designed and validated	0	Draft proposal for institutional setup framework including the necessary capacities to be allocated, the choice and description of the protocol and the development of the MRV system	One (1) MRV system designed and validated by 20 specialists from forestry and environmental sector	One (1) MRV system designed and validated by 20 specialists from forestry and environmental sector		30% - Report on existing carbon monitoring, reporting and verification (MRV) systems produced. Does not appear to have been validated by 20 specialists. Partially delivered mid-term target, MRV report written and discussed, but not followed up and incorporated in forestry and environmental sector. MRV system does not appear to have been integrated into forest management system and process to do this is unclear.
Output 1.1.5: Forest development programme and legislation revised to incorporate biodiversity climate change mitigation and socio-economic concerns	Recommendations to mainstream biodiversity and climate change mitigation concerns in forest development planning and legislation	0	Preliminary consultations with key stakeholders on forest development strategy including legislation issues to incorporate biodiversity and climate change mitigation	One (1) Recommendation document available	One (1) Recommendation document available		0% - No recommendations on mainstreaming BD and CCM concerns into forest development planning and legislation identified yet. No document up to December 2020. There is still no clear vision for when or how Output 1.1.5 will be completed
Output 1.1.6: National standards for best management practices in different forest types	Guideline documents for sustainable silvicultural practices in different forest types, integrating climate-smart	No management guidelines	Consultations with researchers and forest managers on best management practices in different forest types Revision of the existing SFM guideline documents Revision and completion of at least 15 guideline documents for	15 SFM guidelines available and disseminated	15 SFM guidelines available and disseminated		80 % - 15 Guidelines (increased to the number of 20) have been drafted and under review but not yet available and not disseminated Number increased to 20 to reflect the real number of forest types in Serbia.



Results chain	Indicators	Baseline	Level at first PIR <sup>9</sup>	Mid-term target	End-of-project target	Mid-term level assessment <sup>10</sup>	Estimated % delivery at 31 December 2020 and comments on delivery
	forestry and biodiversity conservation based on EU habitats directive		sustainable silvicultural practices in different forest types, integrating climate-smart forestry and biodiversity conservation based on the EU habitats directive				
Output 1.1.7: National level multisectoral coordination platform for multifunctional sustainable forest management established	High-level roundtable consultation on sustainable forest management with participation of at least 30 participants from public, academic, civil society and private sectors	0	No entry specifically on 'High-level roundtable consultation on sustainable forest management'	Two (2) high-level roundtable consultations	Four (4) high-level roundtable consultations		0% - Multi-sectoral coordination platform has not been established, and no roundtable consultations held. Plans to create a national level multi-sectoral coordination platform for SFM appear to have been shelved. No alternative has been suggested beyond using the project's Steering Committee, which is not a suitable replacement.
	Thematic multi-actor working groups established and at least 2 meetings conducted per year	0	Regular monthly consultations in multi-actor working groups on Forest information, forest development planning, forest management systems, and private forest owners integration (representatives of PEs	Three (3) thematic multi-actor working groups established and four (4) meetings held	Four (4) thematic multi-actor working groups established and 14 meetings held		33% - Only one thematic multi-actor working group (for the IFIS) has been established (other three substitute working groups are just project teams). More than 10 meetings held. Project does not appear to have any plans to establish the other 3 working groups

Results chain	Indicators	Baseline	Level at first PIR <sup>9</sup>	Mid-term target	End-of-project target	Mid-term level assessment <sup>10</sup>	Estimated % delivery at 31 December 2020 and comments on delivery
			Srbjasume/Voivodinasume/Forestry Institute Belgrade and Novi Sad/Directorate of Forests/National Parks/Nature Protection Agency)				
Output 1.2.1: Training programme for forest managers, users and administrators in updated SFM techniques and BD management in productive landscapes established and implemented, including a training of trainers.	Forest managers in state forest enterprises and private forest associations trained in the application of SFM techniques and BD management in productive landscapes	0	A capacity development strategy and training modules under development: FDP and FMU level Planning, management, monitoring; Forest information system	80 forest managers trained (3 day training programme)	120 forest managers trained (3 day training programme)		15% - PE Srbijasume and PE Vojvodinasume had training for only 12 engineers. Main training programmes planned for Spring 2021
	Trainers in SFM and biodiversity management for national capacity building activities	0	No specific entry in PIR for 2019		20 Trainers successfully completed training programme (2x5 day training programme)		0% - No training of trainers to date. Main training programmes planned for Spring 2021
<b>Component 2: Multifunctional forest management</b>							

Results chain	Indicators	Baseline	Level at first PIR <sup>9</sup>	Mid-term target	End-of-project target	Mid-term level assessment <sup>10</sup>	Estimated % delivery at 31 December 2020 and comments on delivery
Output 2.1.1: Biodiversity status and impact of land use on biodiversity assessed in the project areas	Status for forest biodiversity, impacts and threats in the Obedska Bara and Tara protected areas assessed	0 ha	Preliminary report on forest biodiversity, threats and impacts in the project areas (Vojvodina and Western Serbia) based on the review of existing knowledge and data. evaluate the current status for forest biodiversity, impacts and threats for Obedska Bara and Tara National Parks	44,658 ha assessed	44,658 ha assessed		50%? - Reports for forest biodiversity, impacts and threats in the Tara National Park (24,992 ha) and Obedska bara protected area (19,667 ha) made at the beginning of the project (2019), but these were based on desk studies of previously conducted studies. No new field assessments have been undertaken through the project. The BD team undertook the assessment of forest biodiversity, impacts and threats in the Tara National Park and Obedska bara. A new assessment will be made when the NFI is completed, but is not clear who will do it.
	Nature value assessment and biotope mapping in 4-8 forest management units covering 20,000 ha of public and private forest lands including Obedska Bara and Tara protected areas	0 ha	No entry in 2019 PIR	20,000 ha assessed	20,000 ha assessed		10%? Delivery of this output is late. Resources for field surveys (staff, equipment, vehicles, funds) identified. Six FMUs have been selected covering around 20,000 ha of public forest land, with one in Tara and one in Obedska bara. Nature value assessment and biotope mapping not yet started (as of December 2020). Private forest lands are not included for FMPs. Training is planned for March 2021 after which field surveys for developing individual FMPs can begin

Results chain	Indicators	Baseline	Level at first PIR <sup>9</sup>	Mid-term target	End-of-project target	Mid-term level assessment <sup>10</sup>	Estimated % delivery at 31 December 2020 and comments on delivery
Output 2.1.2: Integrated and improved forest development plans prepared for at least 2 forest regions	Forest development plans of Western Serbia and Voivodina developed and monitored based on the new FDP procedures	0 FDPs	No entry for 2019 PIR	Two (2) FDPs covering 475,000 ha	Two (2) FDPs covering 475,000 ha		0% - Delivery of this output is late. New FDP procedures exist but the FDPs for Western Serbia and Voivodina have not yet begun development. The project plans to develop the FDP after the completion of the NFI. Participants to receive training for FDP development include forest engineers from the forest planning teams in Western Serbia and Voivodina region and individuals from different technical areas who will form the FDP teams. Training on new procedures (six 2-day workshops) planned for March 2021.
Output 2.1.3: Forest management plans implemented	Pilot forest management units in Western Serbia and Voivodina regions covering at least 20,000 ha with updated and monitored management and operational plans based on the new FMP procedures		Selection of 8 FMUs (4 in Voivodina and 4 in Western Serbia) In the 8 selected FMUs preparatory activities related to forest site mapping, erosion risk assessment, landslide cadastre, forest function mapping, assessment of Natura 2000 restrictions and management options		4-8 FMUs / 20,000 ha		25% - Sites for 6 pilot FMUs in Western Serbia and Voivodina regions covering at least 20,000 ha identified but not yet developed. Still needs stand surveys. Engineers still need training in new procedures. Project proposes to training 10-12 participants on FMP development, with training planned for March 2021

Results chain	Indicators	Baseline	Level at first PIR <sup>9</sup>	Mid-term target	End-of-project target	Mid-term level assessment <sup>10</sup>	Estimated % delivery at 31 December 2020 and comments on delivery
	Demonstration plots for typical management measures in common forest types	0 plots	16 demonstration plots for typical management measures in common forest types established	12 plots	16 plots		25% - Locations for 16 plots to demonstrate typical management measures for the most common forest types in the pilot regions have been identified, but not yet fully surveyed and marked at the field (again scheduled for spring 2021). Training materials have been developed, but training has not yet happened. Focus of the training materials is on the forest management, with limited training on management for forest biodiversity, and nothing about forest management for climate change mitigation. All 16 plots are in state forests, none are in private forest areas. Although it is planned to include PFOs in demonstration activities, the criteria for selecting the individuals are not defined
Output 2.1.4: Strategic and policy options to ensure commitment of private forest owners and users to sustainable forest management developed and validated	Concept for a comprehensive forest extension service for private forest owners and users	0	A concept for a comprehensive forest extension service for private forest owners under development	1 concept document validated	1 concept document validated		0% - No concept document for a comprehensive forest extension service for private forest owners and users has been developed. Only considered as part of a wider project-funded review of socio-economic value of forests and their institutional management (Dordevic-Milosevic, 2019). Project plans for this output are unclear as there is little Government appetite to establish a new independent Forest Extension Service (elements of which are currently provided by the PEs)
	Action plan and recommendations to mainstream incentives for SFM for private forest owners into	0	Analysis of potential incentives for forest owners to implement SFM (fiscal incentives, ecosystem services, market access, certification schemes) ongoing.	One (1) action plan validated by 45 key actors in public, private and academic sector	One (1) action plan validated by 45 key actors in public, private and academic sector		30% - A review of socio-economic importance of forests to private forest owners and users (Dordevic-Milosevic, 2019) has been undertaken with suggestions for how to engage with PFOs and financial opportunities for developing forest-derived products, but incentives have not been fully identified. This report has not been followed up and there is no Action plan and detailed recommendations to mainstream incentives for SFM for private forest owners into forest policy developed and

Results chain	Indicators	Baseline	Level at first PIR <sup>9</sup>	Mid-term target	End-of-project target	Mid-term level assessment <sup>10</sup>	Estimated % delivery at 31 December 2020 and comments on delivery
	forest policy developed and validated						validated which would be expected under Output 1.1.5). It is unclear what the project can realistically achieve in terms of engaging with PFOs and delivering credible realistic incentives.
<b>Component 3: Monitoring, Evaluation and dissemination of lessons learned</b>							
Output 3.1.1: Monitoring system providing systematic information on progress in reaching expected outcomes and targets	<i>Monitoring and evaluation system operational</i>	0	Preparation of Annual Work Plan and Budget Preparation of project progress reports	Inception Report and six-monthly progress reports	Six-monthly project reports and terminal reports		95% Thorough FAO (6-monthly) and GEF (annual) reports produced, although ratings are questionable. Inception report produced.
Output 3.1.2: Mid-term and final evaluation conducted	Mid-term conducted		No entry in 2019 PIR	Mid-term evaluation conducted			100% Mid term Review has been organised and is ongoing
	Final evaluation conducted		No entry in 2019 PIR		Final evaluation conducted	Not yet conducted so no assessment	To be held in last 6 months of project (before the NTE)
Output 3.1.3: Project achievement and results recorded and disseminated	Appearances in local and national media	0	Preparatory activities of setting up of a project website / social media	10 media appearances (articles, interviews, features)	20 media appearances (articles, interviews, features)		10%. Poor media presence (two TV appearances early on in implementation, nothing recent), no communication products and no communication consultant appointment at December 2020. Improving communication activities need to be addressed as a matter of urgency by the project

Results chain	Indicators	Baseline	Level at first PIR <sup>9</sup>	Mid-term target	End-of-project target	Mid-term level assessment <sup>10</sup>	Estimated % delivery at 31 December 2020 and comments on delivery
	Project website and presence in social media	0	Preparatory activities of setting up of a project website / social media	One (1) Project website and active social media accounts	One (1) Project website and active social media accounts		0% No website or social media account for project. Website should be hosted by the MAFWM to ensure sustainability and supporting up-scaling of project results
	Publications on lessons learned	0	No entry in 2019 PIR		One (1) publication on lessons learned	Not assessed as lessons learned only likely in final year	No publications of lesson learned to date, and no formal framework yet developed to capture lessons learned Expected in final year of project
	Presentation at international SFM events	0	No entry in 2019 PIR		One (1) presentation in international SFM forum	Not assessed as presentation on results at international SFM meeting only likely in final year	No presentations at international SFM forum to date. Expected in final year of project

## Annex 7: Summary of progress on achievement of project objective and outcome at MTR point

Results chain	Indicators	Baseline	Level at first PIR <sup>11</sup>	Mid-term target	End-of- project target	Mid-term level assessment <sup>12</sup>	Rating <sup>13</sup>	Justification for rating and comments
<b>Objective:</b> To promote multifunctional sustainable forest management to conserve biodiversity, enhance and conserve carbon stocks and secure forest ecosystem services in productive forest landscapes	No indicator	No baseline	No assessment given	No mid-term target	No end-of-project target		MS	Major delays and main focus on methodology and NFI to date. Little 'promotion' of SFM indicated by successful development and implementation of FDPs or FMPs incorporating expanded SFM that includes BD conservation, CCM and socio-economic values (wider ecosystem services) at MTR point. Very poor communication of project aims and results outside of state forestry sector, with little or no involvement of PFOs and commercial sector or civil society.
<b>Component 1: Enabling environment for multifunctional sustainable forest management</b>								
<u>Outcome 1.1</u> Improved decision-making in mangement of productive forest landscapes	<i>Indicator CCM-9: Degree of support for low GHG development in policy, planning and regulations</i>	Rating - 2: Climate change mitigation contribution in the forest sector mentioned in national CCM	Draft Climate Strategy & Action Plan Republic of Serbia (Project Identification No.	No mid-term target	Rating - 6: CCM consideration reflected in sectoral documents and action plans, as well as forest		MS	Forestry a key sector highlighted for its potential contribution to CCM in draft national Climate Change Strategy Action Plan (drafted 2019 but still not approved at Dec 2020 probably due to political reasons). However, project has not yet identified appropriate CCM (CCA) measures and incorporated them into Forest Development Plans or Forest

<sup>11</sup> Self-reported in PIR report for June 2019

<sup>12</sup> Colour-coded red, yellow or green

Green = Achieved	Yellow = On target to be achieved	Red = Not on target to be achieved
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<sup>13</sup> Use the six-point progress-towards-results rating scale: HS, S, MS, MU, U, HU



Results chain	Indicators	Baseline	Level at first PIR <sup>11</sup>	Mid-term target	End-of- project target	Mid-term level assessment <sup>12</sup>	Rating <sup>13</sup>	Justification for rating and comments
		strategy, but outdated; no sectoral strategy and implementation	EuropeAid/1365 966/ DH/SER/RS) available, reflecting CCM considerations in relation to the forest sector		development and forest management plans under implementation			Management Plans. CCM measures within forestry sector should be reviewed by project and expanded (taking into account the draft national climate change strategy) and integrated into design of, and guidance for, the FDPs and FMPs, as well as other guidance for PFOs on SFM management
	<i>Indicator CCM-10: Quality of MRV Systems</i>	Rating - 2: Very rudimentary MRV available only taking into account forest area with assigned C-values, but not dynamics included, not covering the whole forest area and not up to international standards	Draft Proposal for a new MRV system for the forest sector available (deliverable of this GEF project)	No mid-term target	Rating - 8: Strong standardized measurements processes established and implemented through NFI; reporting is widely available in multiple formats through IFIS; verification of information through IFIS		MS	MRV review undertaken, but no follow up to date and detailed, costed proposal to establish a MRV system within MAFWM not yet developed No MRV measurement or reporting process established within FDP or FMP frameworks as yet, and reporting not yet available through IFIS, as IFIS not yet established. MRV needs greater attention by the project and greater promotion within Government (higher level than DF). Also, should also engage with Ministry of Environmental Protection as it has responsibility for coordination on CC reporting
	<i>Indicator BD-4: Mainstreaming biodiversity into policy and regulatory frameworks</i>	Step 3 - Forestry: Regulations are in place to implement the legislation: Forest Law and FDS include biodiversity considerations, FMPs only exist	Eight draft guidelines for management of specific forest types developed (out of 15)	No mid-term target	Step 4 - Forestry: The regulations are under implementation in pilot areas because of clear guidelines and improved capacities of forest managers		MS	20 (16+4) sets of guidelines for management of different forest types drafted each with an addendum on BD but this needs to be improved. Regulations for new FDPs and FMPs incorporating BD (and CCM) concerns being drafted (as of Dec 2020). Capacity development for managing forests for BD and CCM these are still to be largely delivered. Guidelines still need to be reviewed, evaluated and then implemented

Results chain	Indicators	Baseline	Level at first PIR <sup>11</sup>	Mid-term target	End-of- project target	Mid-term level assessment <sup>12</sup>	Rating <sup>13</sup>	Justification for rating and comments
		for part of the FMUs						
<u>Outcome 1.2</u> Institutional capacities strengthened for multi-functional forest management	<i>Public, private, academic and civil society institutions with increased capacities in SFM</i>	TBD at inception	12 recognized institutions are active partners in the project. The multi-functional forest management/ planning tools on which the trainings and other capacity development activities will be based, are currently under finalization.	10 institutions with a higher ranking than baseline (TBD at inception)	15 institutions with a higher ranking than baseline (TBD at inception)		MS	No capacity assessment framework developed by project at inception or baseline identified, so mid-term and final target cannot be measured according to indicator. However, training (capacity building) for NFI field surveys has been undertaken and training for development of FDPs and FMUs is planned for spring 2021 (depending on Covid constraints). Baseline was changed for 1 <sup>st</sup> PIR to ' <i>Public, private, academic and civil society institutions with limited capacities</i> ' which is not specific or quantitative. PEs Srbjasume, Vojvodinasume, NP Tara, Forest Chamber, Institute of Forestry Belgrade, have probably improved their capacities through the project, but results of that capacity building, e.g. FDPs and FMPs delivered, has not yet been achieved.
<b>Component 2: Multifunctional forest management</b>								
<u>Outcome 2.1</u> Increased forest area under sustainable and multi-functional forest management	<i>Indicator CCM-1: Total Lifetime Direct and Indirect GHG Emissions Avoided (Tons CO2eq)</i>	<i>0 tCO2eq direct emissions avoided</i>	New draft guidelines for management of specific forest types ready for implementation.	No mid-term target	<i>1,784,288 tCO2eq direct emissions avoided</i>	Unknown at MTR point	MS	At mid-term no FDPs or FMPs have been developed so project cannot be said to have contributed yet to avoided emissions Project guidance on management of Serbian forests for CCM have yet to be properly developed (1-page in final section of BD guidance is not sufficient). FDPs and FMPs need to be adopted and evaluated. CCM guidance has to be further developed.
	<i>Indicator SFM-3: Area of sustainably managed forest,</i>	<i>State Forests (PE Srbjasume/Voivodinasume/National Parks Tara and Fruska Gora):</i>	New draft guidelines for management of specific forest types ready for	No mid-term target	<i>State Forests (PE Srbjasume/Voivodinasume, National Parks Tara and Fruska Gora): TBD</i>		MS	Baseline for the state forests, church and private forest areas to be under SFM were identified a '0' for all forest management groups at project inception. FDPs and FMPs have not yet been

Results chain	Indicators	Baseline	Level at first PIR <sup>11</sup>	Mid-term target	End-of- project target	Mid-term level assessment <sup>12</sup>	Rating <sup>13</sup>	Justification for rating and comments
	<i>stratified by forest management actors (ha)</i>	TBD Church Forests: TBD Private Forests: 0 ha Total: TBD	implementation. Areas for the related field work selected in close cooperation with PEs Srbijasume and Vojvodinasume and process of establishment of demonstration plots is ongoing.		Church Forests: TBD Private Forests: TBD Total: 20,000 ha in addition to baseline			developed so no active SFM through the project to date. However, 6 pilot sites chosen (less than expected) and 16 forest plots to demonstrate different SFM approaches in different forest types have been selected although not yet operational. It is unclear to what extent SFM will be able to be implemented and over what area within each of the forest management actors, but Church owned forests are not currently included in the project's activities and only very small numbers of PFOs are involved and their participation has been minimised so the final area of SFM forest under this project likely to be considerably lower than initially proposed.
	<i>Indicator BD-1: Area under which the project will directly and indirectly contribute to biodiversity conservation (Ha.)</i>	Direct coverage: 0 ha Indirect coverage: 0 ha	New draft guidelines for management of specific forest types ready for implementation. Areas for the related field work selected in close cooperation with PEs Srbijasume and Vojvodinasume and process of establishment of demonstration plots is ongoing.	No mid-term target	Direct coverage: 20,000 ha Indirect coverage: 476,010 ha		MS	FDPs and FMPs have not yet been developed for no active SFM through the project to date. However, 6 pilot sites chosen (less than expected) and 16 forest plots to demonstrate different SFM approaches in different forest types have been selected although not yet operational. Direct coverage appears to have been calculated on the basis of the areas to be included within FMUs – Originally this was to comprise state forests – 18,000ha and Church and PFO lands – 2,000 ha, but now likely to be all state lands. Indirect area is based on the area of the two regions – Vojvodina and central Serbia – for which FDPs will be developed.

Results chain	Indicators	Baseline	Level at first PIR <sup>11</sup>	Mid-term target	End-of- project target	Mid-term level assessment <sup>12</sup>	Rating <sup>13</sup>	Justification for rating and comments
<b>Component 3: Monitoring, Evaluation and dissemination of lessons learned</b>								
<u>Outcome 3.1</u> Adaptive management ensured and key lessons shared	<i>M&amp;E system ensuring timely delivery of project benefits and adaptive results-based management</i>	0	1 <sup>st</sup> PIR	Up-to-date monitoring and reporting on outcomes, outputs and activities	Up-to-date monitoring and reporting on outcomes, outputs and activities		MS	M&E framework set up and system operational with regular reporting on outcomes and outputs to FAO (every 6 months) and GEF (annually). A number of indicators in the results framework are not very tightly connected with their associated outcome making reporting difficult. In addition, project team inexperienced with M&E and would benefit from training

## Annex 8. Co-financing table

Sources of co-financing <sup>14</sup>	Name of co-financer	Type of co-financing <sup>15</sup>	Amount confirmed at CEO endorsement/ approval <sup>16</sup>		Actual amount materialized as of (date of MTR)		Actual amount materialized at mid-term or closure (confirmed by the review/evaluation team)	Expected total disbursement by the end of the project
			Cash	In kind	Cash	In kind		
		<b>TOTAL</b>						

Unfortunately, the project was not able to provide the information on co-financing from partners at the MTR so this table has been left blank.

<sup>14</sup> Sources of Co-financing may include: Bilateral Aid Agency(ies), Foundation, GEF Agency, Local Government, National Government, Civil Society Organization, Other Multi-lateral Agency(ies), Private Sector, Beneficiaries, Other.

<sup>15</sup> Grants, loans, equity participation by beneficiaries (individuals) in the form of cash, guarantees, in kind or material contributions and other (please explain).

<sup>16</sup> The type of co-financing whether cash or in-kind should be indicated separately

## Annex 9. GEF evaluation criteria rating table and rating scheme explained

The MTR team is required to rate the aforementioned MTR criteria for the purposes of reporting to GEF and FAO on progress to date. Most criteria are rated on a six-point scale, as follows: highly satisfactory (HS); satisfactory (S); moderately satisfactory (MS); moderately unsatisfactory (MU); unsatisfactory (U); highly unsatisfactory (HU). Sustainability and the likelihood of impact are rated from likely (L) down to highly unlikely (HU). Explanations as to how to rate the criteria of effectiveness, sustainability and factors affecting performance are given below.

### Overall outcome ratings

The MTR used mid-term targets per the project's logframe to assess outcome delivery. Where no mid-term indicator targets were available, the MTR based outcome ratings on an assessment of the delivery of results to date against milestones in workplans and delivery compared with end-of-project targets.

**Table: How to assess ratings for specific criteria**

Rating	Description
Highly satisfactory (HS)	<i>Level of outcomes achieved clearly exceeds expectations and/or there were no shortcomings</i>
Satisfactory (S)	<i>Level of outcomes achieved was as expected and/or there were no or minor shortcomings</i>
Moderately satisfactory (MS)	<i>Level of outcomes achieved more or less as expected and/or there were moderate shortcomings</i>
Moderately unsatisfactory (MU)	<i>Level of outcomes achieved somewhat lower than expected and/or there were significant shortcomings</i>
Unsatisfactory (U)	<i>Level of outcomes achieved substantially lower than expected and/or there were major shortcomings</i>
Highly unsatisfactory (HU)	<i>Only a negligible level of outcomes achieved and/or there were severe shortcomings</i>
Unable to assess (UA)	<i>The available information does not allow an assessment of the level of outcome achievements</i>

Source: GEF (2017c)

In line with similar guidance on the assessment of ratings for GEF terminal evaluations (GEF, 2017c), the overall rating of the outcomes of the project is based on performance on the criteria of relevance, effectiveness and efficiency. The calculation of the overall outcome rating considers all three criteria, of which relevance and effectiveness are critical. The relevance rating determined whether the overall outcome rating is in the unsatisfactory range (MU to HU = unsatisfactory range). If the relevance rating is unsatisfactory, the overall outcome will be unsatisfactory as well. However, where the relevance rating is satisfactory (HS to MS), the overall outcome rating could, depending on its effectiveness and efficiency rating, be either satisfactory or unsatisfactory.

**Table: Factors affecting performance** (assess each element separately; M&E is treated differently)

Rating	Description
Highly satisfactory (HS)	There were no shortcomings and quality of design and readiness/project implementation/project execution/co-financing/partnerships and stakeholder engagement/communication and knowledge management and results exceeded expectations.
Satisfactory (S)	There were no or minor shortcomings and quality of design and readiness/project implementation/project execution/co-financing/partnerships and stakeholder

	engagement/communication and knowledge management and results meet expectations.
Moderately satisfactory (MS)	There were some shortcomings and quality of design and readiness/project implementation/project execution/co-financing/partnerships and stakeholder engagement/communication and knowledge management and results more or less meet expectations.
Moderately unsatisfactory (MU)	There were significant shortcomings and quality of design and readiness/project implementation/project execution/co-financing/partnerships and stakeholder engagement/communication and knowledge management and results were somewhat lower than expected.
Unsatisfactory (U)	There were major shortcomings and quality of design and readiness/project implementation/project execution/co-financing/partnerships and stakeholder engagement/communication and knowledge management and results were substantially lower than expected.
Highly unsatisfactory (HU)	There were severe shortcomings in quality of design and readiness/project implementation/project execution/co-financing/partnerships and stakeholder engagement/communication and knowledge management.
Unable to assess (UA)	The available information does not allow an assessment of the quality of design and readiness/project implementation/project execution/co-financing/partnerships and stakeholder engagement/communication and knowledge management.

**Table: Monitoring and evaluation design or implementation ratings** (*Overall M&E design, design and implementation assessed separately*)

Rating	Description
Highly satisfactory (HS)	There were no shortcomings and quality of M&E design or M&E implementation exceeded expectations.
Satisfactory (S)	There were no or minor shortcomings and quality of M&E design or M&E implementation meets expectations.
Moderately satisfactory (MS)	There were some shortcomings and quality of M&E design or M&E implementation more or less meets expectations.
Moderately unsatisfactory (MU)	There were significant shortcomings and quality of M&E design or M&E implementation somewhat lower than expected.
Unsatisfactory (U)	There were major shortcomings and quality of M&E design or M&E implementation substantially lower than expected.
Highly unsatisfactory (HU)	There were severe shortcomings in M&E design or M&E implementation.
Unable to assess (UA)	The available information does not allow an assessment of the quality of M&E design or M&E implementation.

**Table: Sustainability**

Rating	Description
Likely (L)	There is little or no risk to sustainability.
Moderately likely (ML)	There are moderate risks to sustainability.
Moderately unlikely (MU)	There are significant risks to sustainability.
Unlikely (U)	There are severe risks to sustainability.
Unable to assess (UA)	Unable to assess the expected incidence and magnitude of risks to sustainability.