



**REQUEST FOR MSP APPROVAL
(1-STEP PROCEDURE)**
TYPE OF TRUST FUND: GEF Trust Fund

PART I: PROJECT IDENTIFICATION

Project Title:	Securing tenure rights for forest landscape-dependent communities; Linking science with policy to advance tenure security, sustainable forest management, and people's livelihoods		
Country(ies):	Global	GEF Project ID: ¹	
GEF Agency(ies):	FAO (select) (select)	GEF Agency Project ID:	628562
Other Executing Partner(s):	CIFOR	Submission Date:	April 14, 2014
GEF Focal Area (s):	Land Degradation	Project Duration (Months)	36
Name of parent program (if applicable):	N/A	Project Agency Fee (\$):	190,000

A. FOCAL AREA STRATEGY FRAMEWORK²:

Focal Area Objectives	Expected FA Outcomes	Expected FA Outputs	Trust Fund	Grant Amount (\$)	Co-financing (\$)
LD-2	2.1 An enhanced enabling environment within the forest sector in dryland dominated countries	2.1 National policies that guarantee smallholder and community tenure security	GEFTF	1,100,000	2,245,852
LD-2	2.2 Improved forest management in drylands	2.5 Information on SFM technologies and good practice guidelines disseminated	GEFTF	900,000	2,300,000
Total Project Cost				2,000,000	4,545,852

B. PROJECT FRAMEWORK

Project Objectives: To improve the way knowledge about forest and land tenure reforms is understood, communicated and used so that decision makers, practitioners and forest-dependent people in developing countries are well-equipped to develop and implement policies and projects that support tenure security, livelihoods and sustainable forest management.

Project Component	Grant Type	Expected Outcomes	Expected Outputs	Trust Fund	Grant Amount (\$)	Co-financing (\$)
Component 1: Analysis and synthesis of the emergence of reforms and the interaction between customary and formal land and forest tenure	TA	Increased awareness by policy makers of impacts of and barriers to reform implementation across different socio-political and historical settings <u>Indicators:</u> At least 150 policy makers at national and sub-national levels in at least 3 countries aware of barriers to forest tenure reforms	At least two national-level policy roundtables in 3 countries to share information, elicit feedback and trigger discussion on approaches for recognizing customary rights and on factors that catalyze and sustain reform	GEFTF	47,311	742,993
Component 2: Analysis and synthesis of policy implementation processes and practices	TA	Increased awareness of ways to improve multi-actor collaboration, coordination and inclusiveness during reform implementation	-In-country platforms to support multi-actor development of strategies for improving reform	GEFTF	408,171	1,212,721

¹ Project ID number will be assigned by GEFSEC.

² Refer to the reference attached on the Focal Area Results Framework and LDCF/SCCF Framework when filling up the table in item A.

		<p>in target countries</p> <p><u>Indicators:</u> At least 150 officials, NGO practitioners and community representatives attend multi-stakeholder processes;</p> <p>At least 150 policy makers and 60 NGO practitioners in target countries are aware of alternative scenarios of tenure security/insecurity and of factors that drive the scenarios;</p> <p>At least 30 relevant government officials and 15 NGO practitioners aware of and integrating options for supporting and strengthening multi-actor collaboration;</p> <p>Number of countries participating in FAOs voluntary guidelines on land tenure processes adopting good practice recommendations on tenure reform implementation</p>	<p>implementation processes and practices</p> <p>-South-south cross country exchange to support lesson-learning and experience sharing</p> <p>-Global policy forum to encourage debate and feeding of options into global and regional initiatives, including the Voluntary Guidelines on Land and Resource Tenure of the FAO</p>			
Component 3: Analysis of livelihoods and sustainability outcomes of tenure reforms	TA	<p>Increased awareness of reform impacts on livelihoods and sustainability in target countries</p> <p><u>Indicators:</u> At least 40 actors participating in project advisory committees referring to policy briefs and factsheets on tenure reform outcomes;</p>	<p>Dissemination of synthesis paper on reform outcomes such as policy briefs at country and global level</p>	GEFTF	117,144	707,628
Component 4: Knowledge management, sharing of information and best practices, and monitoring and evaluation	TA	<p>Enhanced awareness and increased application of good practice in reform implementation by policy makers, officials, customary authority etc.</p> <p><u>Indicators:</u> Number of knowledge sharing events</p>	<p>Better targeted and effective outreach and knowledge sharing deploying a careful mix of multiple media and materials to include:</p> <p>-In-country policy roundtables</p> <p>-Multi-stakeholder</p>	GEFTF	801,424	679,411

		<p>implemented at local, sub-national and international levels;</p> <p>Number of new practices adopted by implementers (e.g. officials, NGOs, community level authorities) that refer to knowledge products such as policy and infobriefs.</p> <p>Demand for knowledge materials (Website hits/downloads; videos; radio programs) increased by 30 % across different actor categories;</p>	<p>knowledge sharing platforms</p> <ul style="list-style-type: none"> -South-south exchange programs -Global events eg side events at UNCCD-COP, global landscapes forum -Good practice practitioner guides/handbooks --Websites, knowledge sharing and e-learning platforms, including a tenure café --Radio programs in local/national languages 			
Component 5: Capacity development of stakeholders for uptake results	TA	<p>Enhanced skills in reform implementation e.g. capabilities to evaluate, learn, adapt</p> <p><u>Indicators:</u> Application of good tenure reform implementation practices by reform implementers;</p> <p>Number and type of formal (and informal) mechanisms for cross-sector coordination of reform implementation being considered or implemented by government officials;</p> <p>At least 30 government officials and 15 NGO practitioners adapt capacity strengthening programs and tools to their own programs;</p> <p>Stakeholder evaluations of capacity development/strengthening programs;</p>	<p>Tools and approaches for equitable and effective reform implementation, i.e.</p> <ul style="list-style-type: none"> -Factsheets on impacts of tenure reform -Illustrated handbook on relevant laws, policies and institutions targeted at different actors -Guidelines on integrating gender in tenure reform processes and implementation -Good practice guide and principles of inter-agency collaboration and multi-stakeholder engagement Forest dependent communities, policy makers and practitioners are trained in effective reform implementation using: <ul style="list-style-type: none"> -Training manuals on conflict resolution 	GEFTF	526,184	77,630

			building on FAO tools -Training manual on tenure and gender equity -Capacity needs assessment, especially of implementing officials -Trainings and workshops			
Subtotal					1,900,234	3,420,383
Project Management Cost ³				GEFTF	99,766	1,125,469
Total Project Cost					2,000,000	4,545,852

C. CO-FINANCING FOR THE PROJECT BY SOURCE AND BY NAME IF AVAILABLE, (\$)

Sources of Cofinancing	Name of Cofinancier	Type of Cofinancing	Amount (\$)
Other Multilateral Agency (ies)	EC/IFAD	Cash	3,430,000
Others	CIFOR	Cash	815,852
GEF Agency	FAO	In kind	300,000
Total Cofinancing			4,545,852

D. GEF/LDCF/SCCF/NPIF RESOURCES REQUESTED BY AGENCY, FOCAL AREA AND COUNTRY¹

GEF Agency	Type of Trust Fund	Focal Area	Country Name/Global	Grant Amount (a)	Agency Fee Agency Fee (b) ²	Total c=a+b
FAO	GEFTF	Land Degradation	Global	2,000,000	190,000	2,190,000
(select)	(select)	(select)				0
(select)	(select)	(select)				0
Total Grant Resources				0	0	0

¹ In case of a single focal area, single country, single GEF Agency project, and single trust fund project, no need to provide information for this table

² Please indicate fees related to this project.

E. CONSULTANTS WORKING FOR TECHNICAL ASSISTANCE COMPONENTS:

Component	Grant Amount (\$)	Cofinancing (\$)	Project Total (\$)
International Consultants	368,424	84,000	452,424
National/Local Consultants			0

DOES THE PROJECT INCLUDE A "NON-GRANT" INSTRUMENT? No

(If non-grant instruments are used, provide an indicative calendar of expected reflows to your Agency and to F/LDCF/SCCF/NPIF Trust Fund).

³ PMC should be charged proportionately to focal areas based on focal area project grant amount in Table D below.

PART II: PROJECT JUSTIFICATION

A. PROJECT OVERVIEW

A.1. Project Description.

Briefly describe the project, including ; 1) the global environmental problems, root causes and barriers that need to be addressed; 2) the baseline scenario and any associated baseline projects, 3) the proposed alternative scenario, with a brief description of expected outcomes and components of the project, 4) incremental cost reasoning and expected contributions from the baseline , the GEFTF, LDCF/SCCF and co-financing; 5) global environmental benefits (GEFTF, NPIF) and adaptation benefits (LDCF/SCCF); 6) innovativeness, sustainability and potential for scaling up.

The importance of securing forest and land tenure rights for poor forest landscape-dependent communities is increasingly important in light of ongoing and growing pressures on land use change and investments in development initiatives. Over the past two decades, many developing country governments in Asia, Africa and Latin America, have revised land and forestry laws to provide greater recognition of local decision making structures, indigenous territorial rights, and women's rights. These reforms have often been preceded or accompanied by broader decentralization reforms. Reforms were intended to generate economic and social gains, such as improvements in local benefits and livelihoods, as well as to foster incentives for sustainable land use and management. However, implementation on the ground of these reforms has been largely uneven and has led to mixed results. Difficulties in implementation and the risk of failure and of unintended consequences raise the question of how to ensure that intended goals are effectively delivered. On the one hand, reforms have often been promulgated with a superficial understanding of existing norms of resource allocation and use mandated through custom, sometimes disempowering local decision making structures and provoking conflict and greater insecurity. On the other hand, these reforms are implemented in the context of other, parallel policies and reforms that contradict pro-poor and sustainability goals.

These challenges to the tenure security of forest resource users and local communities are particularly evident in Indonesia, Peru and Uganda, all of which instituted tenure reforms in the sector as part of broader constitutional efforts at political decentralization in the late 1990s.

In Indonesia for example, decentralization and related reforms (and subsequent ministerial decrees) in the forestry sector in 1999 introduced legal provisions granting access to forest adjacent communities through social forestry and community forestry programs. Despite these reforms, conflicts between customary resource users, concessionaires (such palm oil and pulp and paper industries) and government agencies, as well as between central, provincial and district level governments have proceeded apace with negative consequences for the tenure security of local communities. Thus a broad range of issues including overlapping rights regimes, conflicting claims, inconsistencies of legal mandates and practices among government agencies at different governance levels, capacities and motivations of reform implementing agencies and a lack of responsiveness to gender inequality continue to undermine tenure security. In addition, the legal architecture of forest rights and access in Indonesia was recently altered significantly by a constitutional court ruling, which declared that communities are the rightful owners of customary land that had previously been classified as state forest under the 1999 Forest Law. Overall, though one of the underlying aims of forest tenure reforms was to stem deforestation and resource degradation, deforestation is declining rapidly at an estimated 2 million hectares per annum. Indeed Indonesia's UNCCD's National Action Plan highlights forest conversion to different land uses as a prime factor in land degradation.

Much deforestation in Peru is caused by land conversion for livestock pastures. Peru's dry forests, found in the Northern coastal region, are seen as particularly susceptible to desertification. In addition to livestock pressures the trees here are often cut for fire wood and timber, thus facilitating the

desertification process. Log bans were already issued in the nineties and reforestation efforts with native species were started. In the mountains trees are often cut for timber and fuel wood as wood is often a cheap source of energy for the local communities. In the high mountains deforestation leaves the soil vulnerable to erosion by water and wind.

In line with Peru's decentralization strategy, the forest policy emphasizes institutional strengthening across levels and sectors. With regard to land tenure specifically, it prioritizes the creation of a single cadastre to organize the authorization of forest rights, the consolidation of the land use planning and zoning processes, and the granting of clear rights to forests with clear environmental responsibilities. The Plan Bicentenario promotes the defense of property rights and land titling with "an emphasis on equal opportunities between women and men" and that does not promote land use change. Peru's draft National Forest Policy places among its primary objectives the security of tenure rights and land use planning, as well as community forest management through inclusive strategies. It emphasizes the importance of indigenous and other forest peoples, intercultural approaches and respect for traditions and promotes gender equity.

Peru's National Agreement is an instrument that has been crafted to guide all national actions in the long term. In this document tenure is cited as crucial for strengthening democracy and the rule of law, while land use planning is viewed as a key element for sustainable development and environmental management. Tenure and land use planning is also placed in each of the six strategic axis of the Bicentennial Plan 2011-2021, a document that contains Peru's strategic objectives and actions. Equity is promoted through the consolidation of land property following a gender and intercultural approach and property formalization is seen as crucial for the security and integrity of people. The document explicitly affirms the need to avoid the land use change that is driven by biofuels, agro-business and illegal mining.

With the same goals, the R-PP has recently been updated, while the national strategy for REDD+ is being finalized. The recently approved Forest Investment Plan contributes to the fulfilment of Peru's R-PP with regard to the titling of indigenous territories and land tenure security. The Law of Prior Consultation strengthens indigenous rights to free prior and informed consent. However, consultation with indigenous people faces many problems related to the lack of funds, poorly developed techniques and political willingness. Furthermore, non-indigenous people's rights to participate are regulated by the Law of Citizen Participation, which is hardly enforced as it is a less strict law than the one for the indigenous people.

In Uganda, forest tenure has been exercised closely in line with prevailing land ownership and use patterns, and by 1995 when Uganda's Constitution was promulgated, a multiplicity of land tenure systems had been introduced, consisting of customary, leasehold, freehold and Mailo land. Forestry sector reforms prompted instituted by the Constitution included the National Forestry and Tree Planting Act, 2003 (NFTPA), and the National Forestry Plan (2002). These three instruments provided for the decentralization of forest management which had previously been concentrated under the Forest Department to different authorities—Local Governments, private forest owners, National Forestry Authority and the Uganda Wildlife Authority. The reform institutionalized community forestry and collaborative forest management in response to local level demands to cater for local livelihoods and participation in resource governance. The forestry policy also emphasized the participation of the private sector in commercial tree growing, which had also been conducted solely by the Forestry Department. Due to poor relationships in Uganda between landlords and tenants, the Mailo⁴ tenure system fuels substantial tenure insecurity and undermines incentives for sustainable forest use and management. A small number of community forest management agreements have been signed and realized between the forestry authorities and communities. Forest dwelling minorities are disadvantaged by restrictive

⁴ The Mailo tenure system originated from the Buganda Agreement of 1900 during which prominent families, individuals and chiefs were given land prior to the conversion of Uganda into A British Protectorate. It grants full title, in perpetuity, to owners. The current Land Act recognizes the rights of longstanding 'squatters' on Mailo land.

protected area regulations that deny them access and fail to recognize their rights to resources acquired over centuries of use.

Uganda's annual rate of deforestation is 18% and there is great pressure to restore forest cover to 1900 levels however various activities such as land grabbing for biofuels and oil/gas development are important threats to forests and the tenure rights of local, forest adjacent communities. Some of the key constraints to the performance of the land and forestry tenure in Uganda include inadequate institutional capacity to enforce land use regulations and to coordinate land use (eg to mitigate encroachment and forest land conversion); low levels of awareness of rights and obligations, which increases the vulnerability of certain sectors of the population especially women and marginalized communities; and weak and inconsistent institutional arrangements, legal and policy frameworks for forest management. Women's limited land ownership and their lack of awareness of their land rights severely limits their decision making powers.

Baseline Program/Project: The Center for International Forestry Research (CIFOR), with financial support from the European Commission (EC) and the International Fund for Agricultural Development (IFAD) is implementing a new project that is designed to address many of the forest tenure implementation issues highlighted in the baseline narrative above. The project, titled "Securing Tenure Rights for Forest-Landscape Dependent Communities: A Global Comparative Study of the Design and Implementation of Forest Tenure Reform," will generate a rigorous evidence-base for addressing two major policy problems: a) how forest tenure reform implementation in developing countries can be more effective at securing the rights and access of forest adjacent communities (in particular women) to the forest and tree resources upon which they depend; and b) how to better align reform implementation with on-the-ground practices, including customary systems and institutions for forest resource allocation and control. The project will generate specific guidance on strategies for enhancing fairness and timeliness of enforcement practices and in the application of conflict resolution mechanisms. The project will also propose measures for building synergies between customary and formal authorities, and will substantiate gender differentiated socio-economic risks and opportunities of reform. Overall, the project will address existing knowledge and policy gaps, including:

- The impacts of recent land and forest tenure reforms on local livelihoods and socio-economies;
- The impacts of recent land and forest tenure reforms on sustainable use and management of forest resources;
- The ways actors and institutions interact during reform implementation to influence the range of rights held by local men and women and the security of those rights;
- Factors that constrain tenure reform implementation and how implementation can be improved to secure rights of forest-dependent peoples;
- How to better align reforms with on-the-ground practices, including customary systems of forest resource allocation and control
- How to scale up on successful tenure interventions which build resilience through enabling cooperation rather than conflict;

The project is currently focused in three countries where forest and land tenure reforms have taken place and implementation is ongoing, and which together offer a broad comparative base: in Africa, Uganda; in Asia, Indonesia; and in South America, Peru. A subset of Initiative activities is planned to take place elsewhere: in Africa, in the DRC; in Asia in Nepal; and in South America, in Ecuador. Taken together, these six countries will offer a broad basis for understanding reform implementation and for targeted multi-stakeholder processes.

The proposed GEF project titled, "Linking science with policy to advance tenure security, sustainable forests management and people's livelihoods," is designed to complement this CIFOR baseline by strengthening and deepening activities in Peru, Indonesia and Uganda that will contribute to the CIFOR project's Component 4 (i.e. knowledge sharing) and implementing activities under a new Component 5

aimed at developing and/or strengthening the capacity of stakeholders to adopt policies and good practices and also to effectively apply policy innovations. In the absence of GEF financing, the reach of knowledge and lessons generated from science under the global initiative would be limited. GEF funding will ensure that barriers to knowledge, skills, information and capacities (which are all necessary for effective and equitable policy and practice) are identified and minimized. By making barriers explicit and by reducing them, GEF funding will create enabling conditions for the transformation of knowledge into action and ultimately of policies into practice. This will contribute to improving management of forests and forest landscapes by stakeholders in target countries where tenure reforms are already in place. Importantly, it will lower uncertainties in reform implementation and pave the way for greater tenure security among local communities. The main anticipated result is an increased the capacity of multiple actors to implement tenure reforms in an equitable and effective manner to secure the rights of local communities (especially women), to enhance their livelihoods and to foster the sustainable use and management of forest resources.

The main components of the CIFOR project are described below. The description also specifies how GEF incremental funding will contribute to each component:

Component 1: *Analysis and synthesis of the emergence of reforms and the interaction between customary and formal land and forest tenure.*

This component will examine and review the origin of a diversity of reforms, the content of laws and policies and the nature of and relationship between customary and formal forest tenure rights – prior to reforms and in relation to reform goals and processes – for different local actors, with a critical understanding of history. Activities in this component will lead to increased awareness by policy makers of impacts of and barriers to reform implementation across different socio-political and historical settings. GEF contribution will go towards sharing knowledge, generating good practice and improving awareness and understanding of key reform issues such as such approaches for recognizing customary rights or of the factors that catalyze and sustain reform.

Component 2: *Analysis and synthesis of policy implementation processes and practices.*

This component will identify key actors involved in the implementation of different forest tenure reforms in the six study countries. It will examine the content of laws and policies identified in Component 1 and relate them to the choices, capacities and constraints of selected government actors (or local authorities) mandated with implementation. The expected outcome will be “Increased awareness of ways to improve multi-actor collaboration, coordination and inclusiveness during reform implementation in target countries”. GEF contribution will support the implementation of activities aimed at strengthening multi-stakeholder processes, collaboration, coordination and joint problem solving. GEF funding will also provide support to generating good practice principles for aggregating multiple interests and objectives in multi-stakeholder processes.

Component 3: *Analysis of livelihoods and sustainability outcomes of tenure reforms.*

This component will involve the development and implementation of methodologies and frameworks for assessing tenure reform outcomes. It will permit a comparison of outcomes of different types of reform in and between the three main study countries. It will link processes which influence tenure security of local actors to actual livelihoods options and sustainable management outcomes. As a result, the component will lead to increased awareness of reform impacts on livelihoods and sustainability in target countries. GEF financing will contribute towards the adaptation of this component’s science output into formats and platforms targeted at different actors for easy access.

Component 4: *Knowledge management, sharing of information and best practices, and monitoring and evaluation.*

This component will implement a knowledge sharing and dissemination program to increase awareness of the impacts of tenure reform implementation on: a) rights, livelihoods and sustainable forestry management; b) multi-actor roles and responsibilities in tenure reform implementation; and c)

opportunities and strategic options for improving reform implementation. The component will lead to enhanced awareness of good practice in reform implementation by policy makers, officials, and customary authority, among others. The largest proportion of GEF funding will be allocated to this component. GEF incremental funding will contribute to deepening knowledge sharing activities through targeting specific actors along the tenure reform implementation chain, including forest resource users (such as women and marginalized groups), local authorities, government officials/policy makers and civil society organizations in the forestry and land sectors. Specific knowledge sharing and dissemination activities for support by GEF that will increase awareness of good practice include:

- Policy roundtables targeting parliamentary committees and legislatures mandated with rule-making and budgetary responsibility;
- Global events targeting global science and development partners, for example UNCCD COP, UNFCCC COP, CBD, Global Landscapes Forum of the CGIAR, the World Bank Land and Poverty Conference;
- South-south exchange programs linking policy makers, practitioners and tenure reform implementers from Africa, Asia and Latin America;
- Development and dissemination of materials in relevant languages such as policy briefs, factsheets
- Development of websites and knowledge sharing/discussion platforms

Component 5: *Capacity development of stakeholders for uptake of policies and good practices.*

This component will build capacity of forest-dependent communities as well as policy makers and practitioners in order to improve their skills in reform implementation. At the community level, GEF support will be used to provide tools and skills for better articulating demands and to enable more active participation in public policy processes. At the level of policy makers and NGO practitioners, GEF funding will contribute to developing and/or strengthening: a) diagnostic skills for pro-active assessment, monitoring and de-escalation of tenure-related conflicts; b) for gender-responsive and equitable implementation of programs; c) strengthen convening and inter-agency coordination skills; d) strengthen monitoring and evaluation skills; and e) support for the development, review and/or updating of forestry strategies in order to integrate good practices and lessons.

The GEF project will be used to narrow the gap between science and practice, and to experiment with innovations to bridge the two. The GEF project is thus a logical complement to the knowledge generation activities financed by the EC and IFAD. The GEF project will deepen and broaden knowledge sharing activities, from the forest edge, through national and regional stakeholders, to global forums where many policies and practices with local implications are made. It will also specifically advance and strengthen the link between science and policy implementation and practice, expand and deepen knowledge sharing activities, and enhance the capacity of stakeholders to effectively take up and apply science-based results

Overall, GEF funding will allow for the optimization of the interaction between knowledge sharing/dissemination and capacity strengthening in order to expand implementation options.

Although credible evidence is crucial for establishing science-policy linkages, new knowledge and policy options must be communicated and shared with relevant target groups in innovative and accessible ways in order to influence attitudes, expand knowledge and skill sets, and strengthen capabilities. Also, the dynamic and complex roles of implementing agents, communities and practitioners requires that they have the capacity to identify what works on the ground and to update techniques or information, weeding out ineffective practices in order to improve outcomes. However, knowledge sharing and capacity development among researchers, forest resource users, implementers and policy makers is often characterized by various shortcomings that constrain the effectiveness of policy interventions. These constraints include:

- Inadequate communication channels, which often exclude resource users' perspectives, preferences and experiences from decision making processes;

- Inadequate feedback systems so that policy makers are often unaware of the differentiated effects and outcomes of policies and researchers are similarly unaware of constraints faced by implementers and how they try to mitigate them;
- Incomplete/inadequate complement of skills, competencies and abilities to adapt, adopt, update or otherwise act on new knowledge in ways that will transform practice

There is untapped potential to experiment with new, diverse, more open and innovative channels of information sharing and capacity strengthening among target stakeholders. Such innovations will harness valuable experiences, create opportunities for joint learning, and strengthen capacities to meaningfully assess possibilities for action and to respond to ongoing and/or emerging challenges. Strengthening or developing relevant capabilities will increase the likelihood of effective reform implementation. Enhancing knowledge communication, interaction and exchange across settings will serve an integral function in scaling up and out lessons and good practices (both existing and emergent) beyond the specific research program countries.

In particular, GEF funding will support the following activities under Component 4 and Component 5 of the project:

Component 4:

- Multi-stakeholder forums
- In-country policy roundtables targeting parliamentary committees and legislatures mandated with rule-making and budgetary responsibility;
- Development of multi-stakeholder knowledge sharing/discussion platforms within countries at national and sub-national levels
- South-south exchange programs linking policy makers, practitioners and tenure reform implementers from Africa, Asia and Latin America;
- Global events targeting global science and development partners, for example UNCCD COP, UNFCCC COP, CBD, Global Landscapes Forum of the CGIAR, the World Bank Land and Poverty Conference;
- Knowledge products and dissemination and outreach;
- Development of good practice manuals, handbooks and practitioner guides for policy makers, government officials, NGO practitioners;
- Development and dissemination of materials such as policy briefs, info-briefs, pamphlets/leaflets, factsheets in relevant languages both national and international;
- Development of e-learning tools, for example on tenure and conflict resolution, on tenure and gender equity, on collective action and coordination across sector for effective reform implementation etc;
- Development of websites and knowledge sharing and e-learning platforms, including a tenure café as a special e-tool for promoting live consultations on targeted topics, blogs and twitter feeds;
- Development and experimentation with 'e-tenure link'—a facility for linking implementers to encourage experience sharing;
- Targeted radio programs in local languages;
- Project videos in local and national languages;
- Project monitoring system in place and final evaluation implemented.

Component 5:

a) Tools and approaches for equitable and effective reform implementation:

- Factsheets on impacts of tenure reform;
- Illustrated handbook on relevant laws, policies and institutions targeted at different actors;
- Guidelines on integrating gender in tenure reform processes and implementation building on CIFORs and FAOs tools;

- Good practice guide and principles of inter-agency collaboration and multi-stakeholder engagement in reform planning and implementation;
- E-platform for lesson learning and experience sharing;
- Workshop reports/briefings from South-South exchange;
- Impact assessment reports illustrating which research influences policy-makers' attitudes and perceptions.

b) Forest dependent communities, policy makers and practitioners are trained in effective reform implementation

- Training manuals on conflict resolution building on FAO tools
- Training manual on tenure and gender equity building on FAO tools
- Report on capacity needs assessment, especially of implementing officials
- Policy makers and practitioners have received training on:
 - Diagnostic skills for pro-active assessment, monitoring and de-escalation of tenure-related conflicts;
 - Gender-responsive and equitable implementation of programs;
 - Convening and coordination skills;
 - Monitoring and evaluation.

Global Benefits:

The global benefits to be generated by this project include, knowledge generation on forest and land tenure reforms and implementation, strengthened capacity on land tenure issues that are critical to address in order to reduce land degradation. Improved knowledge, skills and tools among actors along the implementation chain will in turn support the implementation of tenure reforms in ways that are inclusive and collaborative, better coordinated and which allow for feedback and learning. Effective and equitable reform implementation may strengthen or even secure the rights of women and marginalized groups, assuring benefits streams to resource users and fostering incentives for sustainable forest use and management. We anticipate that through this pathway and under an elaborated set of assumptions that include political will, stability of socio-political setting, stability of funding streams, receptiveness of target audiences the project will ultimately contribute towards current efforts at sustainable forest use and management. Unclear tenure and conflict are cited as major factors in land degradation and deforestation in our targeted forests both in our core countries of implementation, Indonesia, Peru and Uganda and in our secondary countries, the DR Congo, Ecuador and Nepal.

All the core countries are also reputed for their biodiversity. Peru is among the world's 10 megadiverse countries, while Indonesia's rainforests shelter 10-17 percent of the world's known plant, mammal and bird species. Although Uganda covers a relatively small terrestrial space, its forests are home to about 7.5% of mammal and 10.2% of the bird species that are globally recognized, and for its size supports the world's highest number of primate species. Thus this project promises to deliver a tangible global benefit in the form of improved and sustainable forest management with subsequent increases greenhouse gas sequestration and continued support for the conservation of biological diversity. These countries also represent a spectrum of forest tenure reform types (within and across them) and implementation opportunities, which allow for lesson learning and adaptation to specific needs, priorities and settings.

Secure land tenure and resource rights are as essential to food security and protecting the environment as are sustainable economic development and other elements of good governance. Secure access to and control over forests and tree resources is broadly recognized as a necessary condition for reducing poverty, increasing food security and ensuring sustainable forest management. Forest and tree tenure is, however, often unclear, contested and, in many cases, insecure, discouraging investment and improved management of trees and forests by communities and limiting opportunities to improve incomes or

enhance livelihoods. Where tenure is unclear, “open access” situations can lead to forest degradation and conversion.

Innovativeness/Sustainability and Scaling Up. The innovative feature of this project is its “joined up” approach which focuses on understanding processes along different nodes of a tenure reform implementation chain, the interactions of these processes and the outcomes they produce with regards to tenure security, local livelihoods and sustainable use and management of forest resources, in multiple countries and at multiple levels of governance. The approach allows us to unpack the black box of “implementation” in order to identify which actors and actions crucially influence outcomes, and to jointly implement actions aimed at strengthening implementation and overall outcomes in a way that promotes joint problem solving, learning and dissemination of good practice across multiple settings. Global comparative studies on tenure reform implementation are few, and global comparative studies that combine both science and action elements are even fewer.

By involving local, sub-national and national actors and by working across countries, this project creates concrete opportunities for scaling up and out. Learning exchanges among communities and between communities and policy makers or NGO practitioners at local and sub-national levels creates space for horizontal learning. Interactions between levels (local, sub-national and national) allows for vertical information flows and a scaling up of lessons on good practice. Cross-country, South-South exchanges among policy makers and NGO practitioners across the study countries in Africa, Asia and Latin America provide further advantages and options for scaling up to a global level.

Project sustainability will be realized through several inter-linked pathways. First, the project addresses tenure reform impacts on local livelihoods (including on women and other marginalized groups), recommends ways for strengthening their rights and access, and sets in motion consultative processes among relevant actors for building awareness, and generating means and options for ensuring that implementation processes are equitable and inclusive. Second, the project’s end target is sustainable forest landscape management. Strengthening and securing tenure of forest adjacent/forest dependent people reduces uncertainty, increases the likelihood that benefits will accrue to them over longer time frames and creates conditions for investment in sustainable use and management. Further, knowledge sharing and capacity development efforts among communities, policy makers and NGO practitioners will contribute to increased awareness of the consequences of tenure insecurity on livelihoods and on forests and of possible mitigation measures. Third, the sustainability of capacity strengthening/development efforts of this project will be assured by embedding them in the programs of organizations whose medium and longer term mandate is capacity development with the aim that they provide additional training to reinforce learning even after the end of the project.

See Annex B for a flow chart presenting the project activities, outputs, outcomes and impacts.

A.2. Stakeholders.

Identify key stakeholders (including civil society organizations, indigenous people, gender groups, and others as relevant) and describe how they will be engaged in project and/or its preparation:

Arguably, the most important stakeholders are local forest resource users, both men and women, whose rights and access to forest resources and benefits may be in jeopardy from various processes such as lack of enforcement, lack of recognition, expansion of industrial farming/plantations, conflicts etc. Men and women will have the opportunity to weigh in on key questions in the science, such as how their access, rights and livelihoods are impacted by tenure implementation processes. Through the science process, they will also have a chance to indicate how any constraints might be improved and what role they might play in processes of rights strengthening/securitization. In addition, feedback workshops between scientists and communities will allow communities to weigh in on the findings and to play a central role in dissemination. In the action part of the project, forest users will generate tenure security scenarios and

discuss how desired scenarios can be achieved and sustained, threats to such scenarios and possible mitigating measures. Still on the action side of the project, forest resource users will have a chance to have their skills and knowledge enhanced through capacity strengthening and/or development activities. Women in particular will be supported to enhance their negotiation skills.

Policymakers and practitioners (including NGOs and civil society organizations) in target countries, and customary authorities who design and implement land and forest tenure policies are a major stakeholder in this project. First, they will be part of a project advisory committee, whose purpose will be to provide input into the scientific and policy dimensions of the project to ensure relevance and to offer advice on how to make the project useful on an ongoing basis. Second, policy makers and government officials, like community actors, will be involved in scenarios building and will contribute key elements for understanding tenure implementation processes across these scenarios. Third and importantly, they will use evidence from science to enhance policies and practices that support the tenure security of women, marginalized groups and forest adjacent/dependent communities more broadly. Fourth, they will participate in South-South exchanges to expand and deepen their perspectives. Finally, like other actors, they will be part of skill enhancement programs aimed at improving implementation capacities and ultimate performance.

Funding partners and investors at national and international levels who seek to influence forest- and rights-related policies and practices are a final category of stakeholder that we will involve. We will hold side events at global events such as the Global Landscapes Forum, which will serve both to sensitize them to our findings but also to enlist their support.

Overall, this project covers a broad range of stakeholder interests at local, sub-national, national and international levels, each of whom represents an important step on the pathways to our project's impact and whose incentives to engage though diverse are unified by the need to enhance tenure policies and practices. Our approach to stakeholder engagement is driven by a need to secure an integrative and interactive science and action process among relevant social actors and research partners, and these isolated categories should be viewed as illustrative.

Stakeholders and partners involved in this project will be confirmed during project inception workshops. Country partners will be selected based on past experience in each country, with careful consideration both of scientific needs and the importance of identifying partners that are engaged in multi-stakeholder processes and capacity building initiatives. Global level partners will be selected based on expertise in tenure and rights issues, reputation in policy influence and outreach/dissemination capabilities.

In Uganda, in-country partners will include: Makerere University, Association of University Women in Agriculture and Environment, Havela, and the National Forestry Authority. In Indonesia, in-country partners will include: Forestry Research and Development Agency, University of Pattimura (Moluccas), University of Tanjung Pura (West Kalimantan), Sajogyo Institute, and Kapal Perempuan (a women-focused NGO). The project's primary implementing partner in Peru will be the Instituto de Bien Comun, an NGO that has been deeply engaged in land rights issues for many years. The project will also coordinate with the Rights and Resources Initiative collaborators in Peru, which include IBC, CIFOR partners DAR and SPDA, the Forest people's program, and several prominent indigenous coalitions, including at least one women's organization working on land rights. We will also seek to work with the Ministry of Culture as a key entity regulating indigenous land rights in Peru, as well as regional governments (which have land titling authority) in the regions selected for the scientific research to be carried out.

International partners include: the International Union for Conservation of Nature (IUCN), Rights and Resources Initiative (RRI), International Land Coalition, and CATIE. The African Union's Land Policy Initiative will be targeted as a regional partner.

THE MATRIX BELOW PRESENTS A LIST OF PARTNERS IN EACH COUNTRY AND THEIR ROLES AND RESPONSIBILITIES. THIS LIST WILL BE CONFIRMED AND FINALIZED AT PROJECT INCEPTION WORKSHOPS IN EACH COUNTRY.

Organization	Description	Relevant roles and responsibilities
Indonesia		
Ministry of Forestry	Develop and implement forestry regulations; Controls huge proportion of forest and non-forest land in Indonesia; convenes Working Group on tenure that NGOs, universities and government agencies	Project advisory committee member
BPN/National Land Agency	In charge of land use and management outside state forest land; involved in current processes of forest	Project advisory committee member
KLH/Ministry of Environment	Implements environmental law; supports and acknowledges customary/adat institutions under marine and conservation initiative	Project advisory committee member
Kemendagri/Ministry of Internal Affairs	Recently established the Village Law that has a new component on customary villages with provisions supporting local customary institutions	Potential project advisory committee member
Epistema Institute (NGO)	Conducts rights research; has a chapter based in West Kalimantan	Partner
Sajogyo Institute (NGO)		Project advisory committee member
AMAN/The National Alliance of Indigenous Peoples of the Archipelago (NGO)	Advocacy on the tenure and rights of indigenous peoples; has conducted community mapping of tenure; led a successful challenge of current law that saw the Constitutional Court ruling for the recognition of customary rights	Project advisory committee member
LATIN/Natural Tropical Indonesia Organization		Community capacity building partner
RMI/The Indonesian Institute for Forest and Environment	Longstanding expertise in gender, forestry and natural resources management and capacity building	Capacity building partner
The Pontianak Institute	Rights and advocacy in West Kalimantan	Partner
Samdhana Institute		Project advisory committee member
Provincial Land Planning Agency—Bappedas	Tenure and land use planning in West Kalimantan	Project advisory committee member
Provincial Forestry Agency—West Kalimantan	Regulate harvesting system for forest products; provide recommendations Ministry of Forestry to private companies seeking concessions	Project advisory committee member
District-level Bappeda		Project advisory committee member
District level forest agencies		Project advisory committee member
BAPPEDA (Regional Planning Development Agency) (Seram and Kapuas Hulu districts)	In charge of coordination spatial planning of local government agency	Potential Project Advisory Committee Member

District Forestry Agency	Implement Forestry Regulation	Potential Project Advisory Committee Member
Regional Parliament Member	In charge in developing local regulation and controlling local government concerning income and expenditure	Potential Project Advisory Committee Member
Integrated Economic Development Zone of Seram (KAPET SERAM)	Develop economic growth and potential return of investment in Seram	Potential Project Advisory Committee Member
Peru		
CIAM -- Consejo Interregional Amazónico (Inter-regional Amazon Council)	Regional Governments with titling authority	CIFOR partner
Dirección General Forestal y Fauna Silvestre - Ministry of Agriculture	National agency mandated with forest tenure reform	Potential member of project advisory committee
Ministry of Culture	National agency mandated with registration of reserves of un-contacted people	Potential member of project advisory committee
Defensoria del Pueblo -- Ombudsman	Autonomous institution - accountability in application of titling processes	Potential partner for ensuring accountability
IBC	NGO engaged in land issues	Primary implementing/boundary partner
Campaña Territorios Seguros (Secured Territories Campaign)	National Coalition of 24 members including indigenous, women and NG Organizations	Partner for impact
Rights and Resources Initiative	International Coalition working on forest tenure	Partner for impact
Forest People's Programme (FPP)	International NGO	Partner for impact
Chirapaq	Indigenous NGO focused in gender issues and land	Partner for impact
Organización Nacional de Mujeres Indígenas Andinas y Amazónicas del Perú (ONAMIAP)	National Indigenous Women Organization	Partner for impact
Asociación Interétnica de Desarrollo de la Selva Peruana (AIDSESP)	Amazonian Indigenous Organization	Partner for impact
SPDA -- Sociedad Peruana de Derecho Ambiental	Legal environmental NGO	
Fundación Peruana para la Conservación de la Naturaleza Pro-Naturaleza	Conservation NGO	
World Wildlife Fund (WWF)	International Conservation NGO	
Asociación para la Investigación y el Desarrollo Integral (AIDER)	Development NGO	
School of Forestry -- University La Molina	University	
Peru Bosques project	USAID/US Forest Service funded Project	
Uganda		
Ministry of water, land and Environment's Forest Sector Support Division	formulates national policies, regulations and guidelines; declares areas under different tenure regimes eg can declare a Central Forest Reserve or Local Forest Reserve or change the	Project advisory committee

	status of one to the other; monitors policy implementation;	
National Forestry Authority	Forest tenure reform implementation under NTPA including collaborative forest management, community forests and private forests	Project advisory committee
Uganda Wildlife Authority	Implements joint management of some forested protected areas jointly with communities	Project advisory committee
Ministry of lands, lands, housing and urban development	Currently implementing (with Ministry of Agriculture) sustainable land management program and is developing land use planning guidelines; implements the Communal Land Act—some forests fall under this Act; interested in aligning land and forest/tree tenure; decentralized activities through District Land Boards, which register land and District Land tribunals for conflict resolution	Project advisory committee
Local Governments/Councils in 3 project districts (Eastern, Western and Lake District)	Oversee village land transactions, certifying sales, verifying ownership, enforces claims, resolves conflicts	Project advisory committee
Jane Goodall Institute (NGO)	Experience in processes of land formalization, creation of institutions for local collective action, village-level (ie. Area land committees) and local government level training in governance, accounting and record-keeping;	Project advisory committee member Capacity building partner
Havila	Extensive knowledge of Uganda's forest and land tenure reforms	Project advisory committee
Uganda Forests Working Group (NGO)	Network of civil society organizations, research institutes, academic and organizations; monitors forest policy implementation	Boundary partner
Ecotrust	Manages carbon off-set programs in the Albertine Rift; community capacity building	Boundary partner
ACODE/Advocates Coalition for Environment and Development (NGO)	Extensive legal expertise; advocacy and capacity building to strengthen civil society in public policy processes	Boundary partner
Wildlife Conservation Society (NGO)	Longstanding presence in the Albertine rift (west Uganda sites)	Baseline data provision; information sharing
Association of Uganda Professional Women's Association (NGO)	Gender-specific organization with expertise in natural resources management and capacity building	Project implementing partner
Makerere University (Faculty of forestry and nature)	Longstanding expertise in forest tenure and decentralization reforms, institutions, close ties with NFA and FSSD,	Project implementing partner
Global Partners		
FAO Forestry Division		Boundary partner
Rights and Resources International		Boundary partner
International Land Coalition		Boundary partner
IUCN		Boundary partner
PROFOR		Boundary partner
Women, Environment and Development Organization		Boundary partner

Regional Partners		
Africa Land Policy Initiative		Boundary partner
Alliance for a Green Revolution in Africa		Boundary partner
The Center for People and Forests (RECOFTC)-Asia		Boundary partner

A.3. Socioeconomic benefits

Describe the socioeconomic benefits to be delivered by the Project at the national and local levels, including consideration of gender dimensions, and how these will support the achievement of global environment benefits (GEF Trust Fund/NPIF) or adaptation benefits (LDCF/SCCF):

By identifying strategies and options for improving forest tenure security, this programme will enhance prospects for: improved forest management and conservation practices by communities; sustained income flows through continued access to NTFPs and other goods and services; and continued access to wild foods with high nutrient value. This programme will also contribute to gender equity by identifying how the design and implementation of tenure reform initiatives can protect and strengthen women's rights and access to resources.

This project will generate rigorous, cross-country evidence on the impacts of tenure reform implementation on the livelihoods of forest adjacent and forest dependent communities. It will also generate evidence on how tenure reform processes influence the use and management of forest resources. This evidence base will be the backdrop against which options for improving local livelihoods will be designed with the aim of eliminating constraints to resource access, strengthening rights and enhancing sustainable use and management in support of various livelihoods alternatives both market-based and subsistence.

Many forest dependent economies are constrained by weak tenure systems and restricted access to forest products, both timber and non-timber. A wealth of empirical evidence shows that women in particular, are actively involved in the gathering of forest products for nutritious vegetables and for other non-timber products, which they often sell to generate incomes, to smooth household consumption during lean times and to lower vulnerability to different types of shocks. Clearer and better protected rights that are not only derived through their relationships with male family members will provide a measure of certainty for continued and enhanced use and management responsibility over forest resources. All project activities, both research science and action dimensions, will ensure that data gathered is disaggregated by gender and that all disadvantaged groups (especially women), are represented, included and targeted in knowledge sharing and capacity building initiatives. All policy recommendations and options will also take into account the specific needs and constraints of these disadvantaged groups, especially women.

A.4 Risks

Indicate risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and if possible, propose measures that address these risks:

Risk description	Impact (H, M, L)	Likelihood (H, M, L)	Mitigation action(s)
Stakeholders will be supportive of the			In order to mitigate this risk, the project team will work closely with local partners to leverage their local

science, policy options and action generated by this initiative and that they will have sufficient will, political or otherwise, to put into practice new knowledge, capacities and innovations.			knowledge and social and political networks. Moreover, co-production of knowledge and solutions, capacity-building and awareness-raising efforts as intended in this project, will generate a level of ownership and buy-in among stakeholders. CIFORs reputation as a leader in forest policy and action generates confidence in our work, further enhancing the likelihood that stakeholders will seriously consider using the project's findings in their strategies, policies and practices.
Slow uptake of policy Recommendations by stakeholders; low political will to put into practice new science, capacities and innovations	Medium	Low	The project team will work closely with local partners to leverage their local knowledge and social and political networks. Moreover, co-production of knowledge and solutions, capacity-building and awareness-raising efforts as intended in this project, will generate a level of ownership and buy-in among stakeholders. CIFORs reputation as a leader in forest policy and action generates confidence in our work, further enhancing the likelihood that stakeholders will seriously consider using the project's findings in their strategies, policies and practices.
Complex project design as it spans several countries, multiple levels and engages multiple partners/actors simultaneously	Medium	Medium	The project's operational mechanism has been designed to include multiple and nested backstopping nodes--from in-country through to globally. In-country partners are divided into science partners and action partners, with separate but related tasks and they will work closely with an in country project coordinator (CIFOR), who will report to a global project coordinator, who in turn reports to the co-principle investigators who are ultimately accountable for overall project performance to a steering committee. Note that in-country actors are also subject to a project advisory committee, which meets at least twice a year. Moreover, the incentives facing our project's operational actors are well aligned with their tasks and mandates. In addition to the design of the project, we will work with competent partners, with whom we have built trustful relationships over the last decade.
Risk of political instability or civil unrest that may lead to premature termination of research science and action	High	Low	This risk is minimal and uneven across the study sites. The project is timed in-between election years and for the one country that will run its elections in the first project year--it has had a recent history of peaceful political transition in the past decade. Importantly, though tenure and rights are a politically sensitive matter, the level of sensitivity has tremendously dissipated in recent years as evidenced by the extent of reforms and the increasing democratization of politics in the main countries where we will conduct research science and policy action.

A.5. Cost effectiveness

Explain how cost-effectiveness is reflected in the project design

This program deploys a "joined up" approach in the sense that its different dimensions are designed to bring together different interests and to seek action and responses as a unit thereby eliminating the cost in time and resources that is commonly associated with a narrow, fragmented case-by-case approach. For example multi-stakeholder engagement processes will include cross-sectoral actors (not just forestry alone) whose mandates and practices have consequences for the tenure security of forest adjacent/forest dependent communities. Communities, investors and NGOs will be part and parcel of the same engagement process. In addition, capacity-building initiatives and knowledge sharing will be facilitated

by experts in these areas, which eliminates the time and costs of training non-specialized entities to assume this responsibility. Likewise, we are leveraging and strengthening existing partnerships by working in countries and sites where we have offices and where we have built substantial social capital through at least a decade of engagement. Finally, the study of tenure, rights and institutional arrangements is well entrenched within CIFOR, and this initiative will not only draw upon but also advance this experience.

Overall, a joined up approach mimics reality, constructs the different actors, actions, policy/practice as a unit, increasing the medium to longer term cost-effectiveness of this initiative. By building synergies between science, knowledge sharing/awareness raising, capacity building in one carefully coordinated initiative, this project advances the promise of cost effectiveness.

Furthermore the leveraging of project financing through the principle of cost-sharing (between the GEF, IFAD/EC and CIFOR) adds substantially to this program's cost-effectiveness in the short to medium term

A.6. Outline the coordination with other relevant GEF financed initiatives [not mentioned in A.1]:

The Transboundary Agro-Ecosystem Management Programme for the Kagera River Basin (Kagera TAMP) is an FAO supported regional programme in Burundi, Rwanda, Tanzania and Uganda funded by GEF. The activities take into account gender issues, access to resources and conflict resolution. This makes the project relevant to the project proposed here. Through close collaboration with FAO colleagues in Uganda lessons learned can be shared and partners and stakeholders identified in the Kagera project may be engaged in the proposed project.

In Indonesia the Ministry of Forestry together with UNDP are implementing the project "Strengthening Community Based Forest and Watershed Management (SCBFWM)" with funding from GEF. The project focuses among others on institutional strengthening at all levels (community, local, district and national) and removal of fundamental barriers related to policy and capacity constraints. Lessons can be drawn from the community based approach applied in this project and from the constraints identified. The project will benefit from the collaboration with the Indonesian Ministry of Forestry as an important partner of CIFOR and with the UNDP Indonesia Country Office.

In Uganda, GEF through UNDP supports the Ministry of Agriculture, Animal Industry and Fisheries in implementing the project "Enabling environment for sustainable land management (SLM) to overcome land degradation in the cattle corridor of Uganda". One of the expected outcomes is that "The policy, regulatory and institutional environment support sustainable land management in the cattle corridor (in particular policy and legislation for sustainable charcoal and the security of tenure strengthened)". The results from the activities undertaken to strengthen the policy and legislation for land tenure will be very valuable to the project proposed here. This project has been running since 2010 and will finish soon so lessons learned should be available

A.7. Describe the institutional arrangement for project implementation:

Executing partner. CIFOR will lead, manage and coordinate the project to be consolidated under the global research initiative entitled "Securing Tenure Rights for Forest-Landscape Dependent Communities." The Center will draw to the extent possible on existing CIFOR and CGIAR Research Programme on Forests Trees and Agroforestry (CRP FTA) partnerships, governance arrangements, management structures and procedures, to maximize efficiency and minimize project-specific administrative costs. CIFOR's leadership and conduct of the project are fully consistent with the Center's Research Priorities and with that of CRP FTA. The project will fall under CIFOR's Research Portfolio on

Governance and the Research Director will be responsible for the overall supervision of the programme and for strategic advice on the research agenda, methods outputs and outreach.

Other partners. The partnership will require collaborative research and engagement with a wide range of delivery partners (those individuals and organizations that the project will work directly with) and boundary partners (those individuals and organizations that the project aims to influence). For those delivery partners whose contributions to research and outreach are funded through this project, we will enter into performance-oriented partnership agreements, exercising standard due diligence and monitoring to ensure sound financial management. These agreements will require performance and expenditure reporting consistent with overall project reporting. The specific roles and responsibilities of each of these partners can be found in section A2. The roles and responsibilities will be formally agreed upon mutually during the inception stage of the project.

National partners will include universities and research institutes to support the research process, NGOs to support knowledge sharing and capacity building efforts, and national forestry agencies to support knowledge sharing and capacity building. Project advisory committees, which will also comprise a cross-section of stakeholders representing diverse interests will provide an additional forum for feedback, outreach and dissemination.

Project Implementation Unit. The Project Implementation Unit will be hosted by CIFOR and will be responsible for day-to-day project operations. Project implementation will be guided by two Senior Co-Team leaders. One full-time Project Coordinator based in CIFOR's headquarter offices in Indonesia will manage this partnership, coordinate the work of the implementation team, and oversee implementation, financial management, and links to other CIFOR activities external to this partnership. Internally, the Coordinator will be responsible for ensuring that work across the four objectives of the partnership is appropriately integrated at relevant scales. Externally, the Coordinator will be responsible for effective communication with GEF and among partners. The Coordinator will also monitor and ensure delivery of contracts, prepare annual work plans, organize Advisory Committee meetings and manage annual reporting and assessment processes. The Project Coordinator will be supported by two Regional Coordinators based in CIFOR's Regional Offices for East and Southern Africa in Nairobi, Kenya and Lima, Peru. Support to coordinators will be provided by an accountant based at CIFOR's Bogor headquarters and secretaries based in the regional offices. All work plans and budgets drawn by the project implementation unit will be reviewed by a project steering committee comprising CIFOR, FAO, and national level partners.

FAO's role and responsibilities, as the GEF Agency (and as an executing agency, when applicable), including delineation of responsibilities internally within FAO

FAO will be the GEF implementing agency. As the GEF Agency, FAO will be responsible for project oversight to ensure that GEF policies and criteria are adhered to, and that the project efficiently and effectively meets its objectives and achieves expected outcomes and outputs as established in the project document. FAO will report on project progress to the GEF Secretariat and financial reporting will be to the GEF Trustee. FAO will closely supervise the project by drawing upon its capacity at the global, regional and national levels, through the Forest Department at FAO-HQ. There is a separation between the GEF oversight responsibilities and project execution roles and responsibilities, as described below.

Executing Responsibilities (Budget Holder). Under FAO's National Execution modality, the Director of the Forest Economics, Policy and Products Division (FOE) will be the Budget Holder (BH) of this project. The BH, working in close consultation with the LTO, will be responsible for timely operational, administrative and financial management of the project. The BH will head the multidisciplinary Project Task Force that will be established to support the implementation of the project and will ensure that technical support and inputs are provided in a timely manner. The BH will be responsible for financial

reporting, procurement of goods and contracting of services for project activities in accordance with FAO rules and procedures. Final approval of the use of GEF resources rests with the BH, also in accordance with FAO rules and procedures.

Specifically, working in close collaboration with the LTO, the BH will: (i) clear and monitor annual work plans and budgets; (ii) schedule technical backstopping and monitoring missions; (iii) authorize the disbursement of the project's GEF resources; (iv) give final approval of procurement, project staff recruitment, LoAs, and financial transactions in accordance with FAO's clearance/approval procedures; (v) review procurement and subcontracting material and documentation of processes and obtain internal approvals; (vi) be responsible for the management of project resources and all aspects in the agreements between FAO and the various executing partners; (vii) provide operational oversight of activities to be carried out by project partners; (viii) monitor all areas of work and suggest corrective measures as required; (ix) submit to the GEF Coordination Unit, the TCID Budget Group semi-annual budget revisions that have been prepared in close consultation with the LTO (due in August and February);; (x) be accountable for safeguarding resources from inappropriate use, loss, or damage; (xi) be responsible for addressing recommendations from oversight offices, such as Audit and Evaluation; and (xii) establish a multi-disciplinary FAO Project Task Force to support the project.

FAO Lead Technical Unit (LTU). The Forest Economics, Policy and Products Division (FOE) of FAO's Forestry Department will be the LTU for this project and will provide overall technical guidance to its implementation.

FAO Lead Technical Officer (LTO). A Forestry Officer in FOE will be the LTO for the project. Under the general technical oversight of the LTU, the LTO will provide technical guidance to the project team to ensure delivery of quality technical outputs. The LTO will coordinate the provision of appropriate technical backstopping from all the concerned FAO units represented in the Project Task Force. The primary areas of LTO support to the project include:

- (i) review and ensure clearance by the relevant FAO technical officers of all the technical Terms of Reference (TOR) of the project team and consultants;
- (ii) ensure clearance by the relevant FAO technical officers of the technical terms of reference of the Letters of Agreement (LoA)/Execution Agreements (EA) and contracts;
- (iii) review and clear technical reports, publications, papers, training material, manuals, etc.;
- (iv) monitor technical implementation as established in the project results framework;
- (v) Review the Project Progress Reports (PPRs) and the annual Project Implementation Review (PIR) prepared by the PIU.

Project Task Force. A multidisciplinary Project Task Force (PTF) will be established by the Budget Holder and comprised FOE, the GEF Coordination Unit, and the Legal Office. The Project Task Force is thus composed of technical officers from the participating units (see below), operational officers, the Investment Centre Division/GEF Coordination Unit and is chaired by the BH.

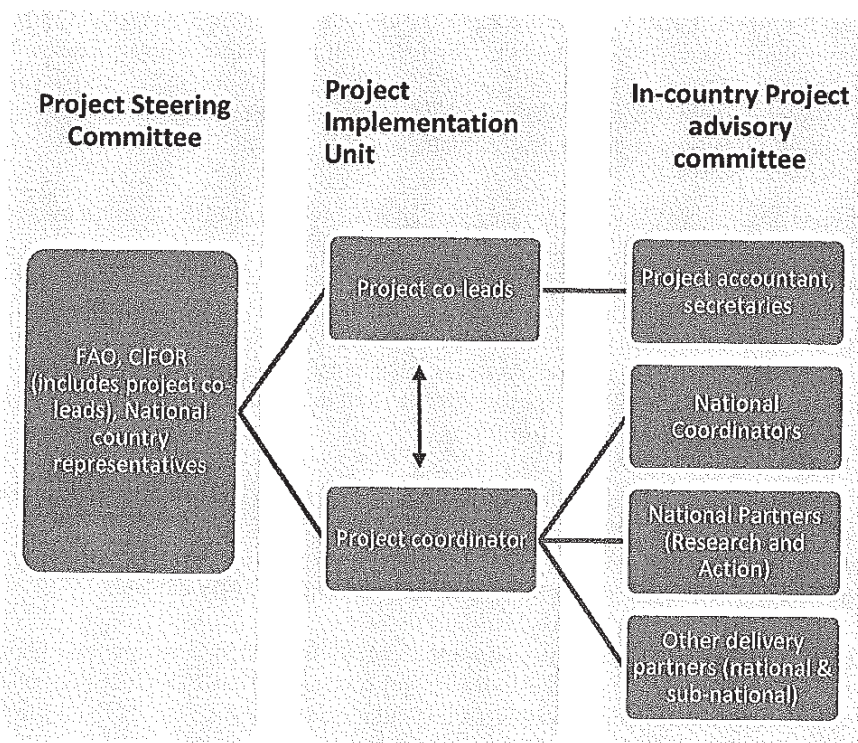
FAO GEF Coordination Unit in Investment Centre Division will review and approve PPRs, annual PIRs and results-based financial reports and budget revisions. The GEF Coordination Unit will organize annual independent supervision missions, in consultation with the LTU/LTO and the BH. The PIRs will be included in the FAO GEF Annual Monitoring Review submitted to GEF by the GEF Coordination Unit. The GEF Coordination Unit will work closely with the FAO Evaluation Office (OEDD) to ensure that the project's final evaluation meets GEF requirements by reviewing evaluation ToRs and draft evaluation reports. Should the PIRs or mid-term review highlight risks affecting the timely and effective implementation of the project, the GEF Coordination Unit will work closely with the BH and LTO to make the needed adjustments in the project's implementation strategy.

The **Investment Centre Division Budget Group (TCID)** will provide final clearance of any budget revisions.

The **FAO Finance Division** will provide annual Financial Reports to the GEF Trustee and, in collaboration with the GEF Coordination Unit and the TCID Budget Group, call for project funds on a six-monthly basis from the GEF Trustee.

Project Steering Committee (PSC). A project PSC will be established and chaired by CIFOR with the participation of FAO and at least one key national agency mandated with forest tenure reform implementation in Indonesia, Peru and Uganda. The PSC will meet minimally once a year via video-conference and its specific responsibilities will be to: (i) provide overall oversight of project progress and achievement of planned results as presented in the results-based annual work plan and budget (AWP/B) and reported in six-monthly Project Progress Reports; (ii) take decisions in the course of the practical organization, coordination and implementation of the project; (iii) facilitate cooperation between PIU/CIFOR and project participating partners; (iv) advise the PIU on other on-going and planned activities facilitating collaboration between the Project and other programmes, projects and initiatives in the target countries; (v) facilitate that co-financing support is provided in a timely and effective manner; and (vi) review six-monthly Project Progress and Financial Reports/Budget Revisions and approve AWP/B.

Figure 2: project organization



B. DESCRIPTION OF THE CONSISTENCY OF THE PROJECT WITH:

B.1 National strategies and plans or reports and assessments under relevant conventions, if applicable, i.e. NAPAs, NAPs, NBSAPs, national communications, TNAs, NCSA, NIPs, PRSPs, NPFE, etc.

The science and action proposed in this initiative is well aligned to imperatives of several global conventions, notably the UNCCD and its 10 year strategy. It is also responsive to other global initiatives such as UNFCCC's REDD+ scheme and the CBD's NBSAPs. With regards to the UNCCD all countries included in the initiative have ratified the convention and are in various stages of implementing action plans which emphasize community participation in priority setting and decision making, institutional strengthening, cross-sectoral coordination, capacity development/strengthening and knowledge sharing and awareness raising. All countries view deforestation as an important factor in land degradation and recognize the role of secure tenure and rights in providing incentives for sustainable land management. These goals and strategies map well with this proposed initiative's objectives. Moreover, this proposed initiative is responsive to major constraints (e.g. secure tenure, implementation capacity) to the implementation of conventions related to the UNCCD and provide opportunities for generating synergies and broader, cross-cutting lessons across them. The proposed initiative is also well-timed to provide input into ongoing and emerging country processes. Finally, this initiative is also well aligned to the FAO's strategic framework and objectives, contributing to Strategic Objective 2: "Increase and improve provision of goods and services from agriculture, forestry and fisheries in a sustainable manner," and Strategic Objective 3: "Reduce rural poverty. The cross-cutting themes of gender and governance are a primary consideration in this proposal.

The following descriptions of each country's priorities and involvement under the UNCCD and other conventions highlights the main issues that have direct relevance for the work proposed.

Consistency with UNCCD National Action Plans

Indonesia's UNCCD's National Action Plan highlights forest conversion to different land uses as a prime factor in land degradation. Indonesia's National Action Plan is committed to: a) encouraging and promoting local community participation and environmental education on drought management; b) combating land degradation through afforestation and reforestation activities; and c) developing drought preparedness and relief schemes. Its main purpose is to undertake sustainable management of land resources through improved natural resources management and, institutional development and strengthening, with full consideration of local level community conditions. Its main action principles are: a) fostering partnerships among interested stakeholders; b) participatory decision making; and c) decentralization and institutional reforms that are conducive to sustainable land and resource management. The strategy to implement the National Action Plan recognizes that longer-term investments in sustainable land management are conditioned on a secure land tenure system (including customary tenure) and on enhancing the effectiveness of institutions that execute programs. Importantly, the strategy supports coordination and synergy with the CBD.

Much deforestation in Peru is caused by land conversion for livestock pastures. Peru's dry forests, found in the Northern coastal region, are seen as particularly susceptible to desertification. In addition to livestock pressures the trees here are often cut for fire wood and timber, thus facilitating the desertification process. Log bans were already issued in the nineties and reforestation efforts with native species were started. In the mountains trees are often cut for timber and fuel wood as wood is often a cheap source of energy for the local communities. In the high mountains deforestation leaves the soil vulnerable to erosion by water and wind. Peru's UNCCD National Action Plan proposes the following actions to curb land degradation and desertification: a) full, equal and beneficial integration of women in the process of sustainable development to combat poverty and desertification; b) the engagement of civil

society to increase the options and possibilities for communities to raise proposals for regulations, plans and institutional reform at local, regional and national level on actions to fight desertification; c) improved communication among those affected by desertification, NGO networks and the ministry; d) active participation of rural entrepreneurs, farmers and other agricultural stakeholders to shift their activities to a more sustainable agriculture that also provides food security; and c) strengthening institutions such as private sector organizations, scientific community, professional networks and universities to support the implementation of the actions to fight desertification.

According to Uganda's report to the UNCCD, one of the main factors contributing to land degradation and desertification in Uganda is deforestation. Underlying these factors is human population increase and poverty, with subsequent impacts on household incomes and social unrest. Uganda's UNCCD's national action plan prioritizes the following activities: a) strengthening the institutional framework for coordinating and implementing the convention; b) capacity and institution building, and c) effective community participation. At the national level, Uganda has established a multi-sectoral National Coordinating Body which comprises 15 organizations including the natural resources sector (eg forestry department), local government, Makerere University, Uganda women's tree planting movement and the Ministry of Gender, Labor, and Social Development. District level coordination is achieved via district steering committees comprising elected leaders, heads of technical departments and civil society. Measures to address capacity building and institutional strengthening include information generation and exchange, sensitizing high level policy makers and decision makers, as well as local communities, extension staff, NGOs, women and youth. Further measures include promotion of afforestation as well as the review of policies, including the Forest Act and Land Act, both of which directly concern land/forest utilization and management. Moreover, Uganda's National Action Plan views the national biodiversity conservation strategy and action plan as a key initiative in addressing land degradation and desertification.

B.2. GEF focal area and/or fund(s) strategies, eligibility criteria and priorities

The project links to the Land Degradation Focal Area, Objective 2 (Generate sustainable flow of ecosystem services) by helping stakeholders to develop an enhanced enabling environment for sustainable management of forest landscapes in recipient countries. Among the key outcomes specified under this objective are: a) enhanced enabling environment within the forest sector and across sectors; and b) improved management of forest landscapes. An important approach to achieving these outcomes is the focus on capacity development to improve decision making in landscape management and to scale up and out good practices. Overall, the LD FA places a premium on learning through knowledge production, identification of good practice and synthesis to generate global public goods. Given the LD FAs strong focus on learning and synthesis, the project will prioritize participation in UNCCD's COP and Scientific Conferences. However, because enhancing collaboration and synergies between the UNCCD and other Rio Conventions such as the UNFCCC and the CBD is an important aspect of the 10-year strategic Plan and Framework for the UNCCD 2008-2018, this project will also contribute to UNFCCC and CBD scientific and policy forums, including their Gender Days.

B.3 The GEF Agency's program (reflected in documents such as UNDAF, CAS, etc.) and Agencies comparative advantage for implementing this project:

FAO is the leading UN agency addressing sustainable forest management, and strengthening tenure governance is one of its key corporate priorities. As a GEF Agency, FAO will deploy its range of expertise to support the project. FAO has internationally recognized expertise in tenure, and specifically in land tenure, forest tenure, fishery rights, Right to Food, water rights and legal aspects of tenure. FAO, in addition, has an important advantage in its global network of decentralized offices which include staff from a range of technical backgrounds, particularly at the Regional and Sub-regional levels.

In providing leadership on global tenure issues, FAO facilitated an inclusive multi-stakeholder process that developed the Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security (VGGT), which were endorsed by the Committee on World Food Security (CFS) on 11 May 2012. These guidelines promote secure tenure rights and equitable access to land, fisheries and forests as a means of eradicating hunger and poverty, supporting sustainable development and enhancing the environment. They set out principles and internationally accepted standards for responsible practices. FAO being a neutral UN technical organization, it is appropriately positioned to successfully bring all stakeholders together in the quest for improving global governance of tenure.

FAO is currently managing an Umbrella Programme aimed at the implementation of the VGGT, as well as a European Commission contribution as part of the “EU/FAO Improved Global Governance for Hunger Reduction 2012-2015” programme, that is supporting the implementation of governance of tenure related activities in Africa, Asia and Latin America.

In addition the ECAFAO programme is supporting the development of capacities of regional, sub-regional and national partners participating in activities related to governance of tenure. As part of the ECAFAO Programme a comprehensive e-learning curriculum is being developed to support the implementation of the VGGT. The e-learning curriculum is an instrument to create awareness and better understanding about the importance of the governance of tenure for achieving food security, and to support the application of the VGGT at national level.

FAO has also put in place Technical guides for implementing tenure, these so far include those on Forestry (Technical guide on Improving Governance of Forest Tenure); guidelines on Fisheries; and technical guide on Gender. They are meant to translate the general principles of the VGGT into more practical mechanisms, processes and actions. They will be reference documents for use by the project.

Tools have been developed to support forest tenure reform processes in countries. These include the Forest Tenure reform guidelines (Forest paper 165); the guidelines for institutionalizing and implementing Community – based forest management in Sub-Saharan Africa - these have a high potential in supporting traditional/customary forest management arrangements can help to ensure smallholders and local and indigenous communities, know their rights and responsibilities and have the capacity to obtain the benefits provided by forests.

FAO has a long experience of strengthening capacities of countries in facilitating participatory forest policy processes; organizing and strengthening multi-stakeholder processes; addressing forest-based conflicts; and strengthening local and public forest institutions. Formal training programmes and related materials will be available to the project, including an e-learning programme on tenure.

C. DESCRIBE THE BUDGETED M&E PLAN

Oversight and monitoring responsibilities

FAO's GEF Coordination Unit will provide oversight of the project. The FAO BH, LTO will monitor the progress of the project largely through the review of recording and verification of inputs, including financial disbursements and technical levels-of-effort, and the Project Progress Reports (PPR) and Annual Project Implementation Reviews (PIR) (see below) periodic supervision and backstopping missions. Financial inputs (disbursements) will be largely drawn from FAO's financial management system, while technical inputs will be drawn from PPRs and PIRs, and reports produced by the project. The monitoring system will specifically compare financial disbursements to technical activities programmed in the annual results-based Work Plans and identify and assess any significant discrepancies between the two.

Day-to-day monitoring of the project will be carried out by the PIU/CIFOR. Other project partners responsible for or contributing to the achievement of outputs will be involved in the monitoring and evaluation activities related to the respective outputs.

Monitoring of project implementation will be driven by the preparation and implementation of an annual work plan and budget (AWP/B). The preparation of the AWP/B will represent the product of a unified planning process. As a tool, it will identify the actions proposed for the coming project year and provide the necessary details to monitor their implementation including specific monitoring tasks and supervision activities.

Following the approval of the Project, the project's first year work plan and budget (AWP/B) will be adjusted (either reduced or expanded in time) to synchronize it with FAO financial reporting requirements. In subsequent years, the AWP/B and budget will follow an annual preparation and reporting cycle as specified in section 4.5.3 below

On the executing agency side, the Programme will be supervised by CIFOR directors: Director, CGIAR Research Program on Forests, Trees and Agroforestry (CRP FTA) and Director, Forests and Governance Research portfolio. Progress towards the achievement of outputs and outcomes proposed in the project summary will be monitored and reported in two stages, namely project execution and project impacts.

Project execution

First, annual reporting will be based on a review of the extent to which annual project research and action is accomplishing (or not) the outputs and outcomes in the annex. Annual reports will be developed to be consistent with the results framework and will be consolidated by the team leads, with input from the project coordinator and the country coordinators. Reporting will be done against a set of annual targets/actions specified within a work plan and budget and aligned to the projects results framework and timeline. Annual work planning will also involve in-country project advisory committees.

Second, in-built into the project is a rigorous methodology for assessing the extent to which project interventions and processes influence the attitudes, perceptions, knowledge and capacities of selected policy makers and practitioners who are directly involved in the research and action process. Results will be reported in the project's terminal report, although data will be gathered at the beginning, mid-way and end of project in order to support learning and adjustment through the project's life cycle.

Project impacts

At the end of the project, a comprehensive impact assessment will be conducted as part of the CGIAR Research Programme on Forests Trees and Agroforestry (CRP FTA) monitoring, evaluation and impact

assessment program. This final impact assessment will be coordinated by the CRP-FTA's MEIA team in close collaboration with FAO's GEF coordination unit. Overall, all steps of the M&E plan will be aligned and in compliance with FAO's monitoring and evaluation strategy. The M&E plan will also be discussed and debated with stakeholders during the project's inception workshop and in subsequent planning meetings to ensure all project participants are sensitized and to accord them opportunity to influence the design, indicators and implementation procedures.

Table 1. Indicators and information sources

Indicator	Means of Verification
Annual activity and progress reports are prepared in a timely and satisfactory manner	Arrival of reports to FAO
Annual financial reports are prepared in a timely and satisfactory manner.	Arrival of reports to FAO
Performance targets, outputs, and outcomes are achieved as specified in the annual work plans and budgets.	Annual progress reports
Deviations from the annual work plans are corrected promptly and appropriately.	Work plans, minutes of SC meetings
Disbursements are made on a timely basis, and procurement is achieved according to the procurement plan.	Account statements of executing agency
Audit reports and other reviews show sound financial practices.	Audit statements
Project Steering Committee is tracking implementation progress and project impact, and providing guidance.	Minutes of SC meetings
Project Steering Committee is providing policy guidance, especially on achievement of project impact.	Minutes of SC meetings
In-country Project Advisory Committees are tracking implementation progress	Minutes of in-country Project Advisory committee meetings
In-country Project Advisory Committees are providing guidance for policy and practice	Minutes of in-country Project Advisory committee meetings
Project influence on policy makers and practitioners is assessed	Reports illustrating project influence

Reporting schedule

Specific reports that will be prepared for the project as a whole are: (i) Project Inception Report ; (ii) Results-based Annual Work Plan and Budget (AWP/B); (iii) Project Progress Reports (PPRs); (iv) annual Project Implementation Review (PIR); (v) Technical Reports; (vi) Co-financing Reports; (vii) GEF LD Tracking Tool; and (viii) Terminal Report. Reports will be distributed to the Project Steering Committee (PSC).

Project Inception Report. After approval of the Project and signature of the Execution Agreement, an inception workshop will be held. Immediately after the workshop, PIU will prepare a report in consultation with the FAO and other project partners. The report will include a narrative on the institutional roles and responsibilities and coordinating action of project partners, progress to date on project establishment and start-up activities and an update of any changed external conditions that may affect project implementation. It will also include a detailed First Year AWP/B and a plan with all monitoring and supervision requirements. The draft report will be circulated in FAO and to the PSC for review and comments before its finalization and submission to the FAO. The budget holder will upload the final version of the Inception Report on FAO's Field Programme Management Information System (FPMIS).

Results-based Annual Work Plan and Budget. The PIU will submit to the LTO and BH an AWP/B (more detailed description under 4.5.1) which will be divided into monthly timeframes detailing the activities and progress indicators that would guide implementation during the year of the Project. As part of the AWP/B, a detailed project budget for the activities to be implemented during the year should be included together with all monitoring and supervision activities required during the year. A draft five-year work plan is provided in Appendix 2. The AWP/B will be approved by the PSC. The budget holder will upload the AWP/B onto the FPMIS.

Project Progress Reports. The PIU will submit six-monthly Project Progress Reports to the FAO budget holder and Lead Technical Officer. The reports are used to identify constraints, problems or bottlenecks that impede timely implementation and ensure that appropriate remedial action is taking in a timely manner. PPRs will be prepared based on the systematic monitoring of output and outcome indicators identified in the Project Results Matrix. It will also report on projects risks and implementation of the risk mitigation plan. The BH and LTO will review the progress reports and circulate them to the GEF Coordination Unit for comments and clearance. The BH will upload the final version on the FPMIS.

The six-monthly PPRs will be submitted to the GEF Coordination Unit as follows:

- the period 1 January – 30 June and to be submitted no later than 31 July and
- the period 1 July – 31 December to be submitted no later than 31 January.

Project Implementation Review. The PIU will prepare an annual Project Implementation Review (PIR). The PIR will cover the period 1 July to 30 June and will be submitted no later than 31 July to the LTO and the FAO GEF Coordination Unit for review and approval. The FAO GEF Coordination Unit will clear and submit the PIRs to the GEF Secretariat and the GEF Evaluation Office as part of the Annual Monitoring Review report of the FAO-GEF portfolio. The GEF Coordination Unit will also upload the PIR onto the FPMIS.

Technical Reports. Draft technical reports should be cleared by the LTO and project partners responsible for the preparation of the report. The cleared reports will then be distributed or published by the PIU in accordance to the conditions established in the LOA/EA. The PIU will send the reports to FAO GEF Coordination Unit for information and the budget holder will upload the technical reports on the FPMIS.

Co-financing Reports. The PIU will be responsible for collecting the required information and reporting on co-financing provided by the partners on an annual basis. The PIU will compile the information received from the executing partners and transmit in a timely manner to the LTO and BH. The report, which covers the period 1 July through 30 June, is to be submitted on or before 31 July and will be incorporated into the annual PIR.

GEF-5 Tracking Tool Reports. In accordance with GEF M&E policy, the tracking tool for Land Degradation will be prepared by the project preparation team and included as part of the project documentation submitted to the GEF Secretariat at the time of CEO endorsement. The tracking tool will be updated by the time of the final evaluation. The tracking tool will be submitted with the final PIR to the GEF Secretariat and GEF Evaluation Office as part of the Annual Monitoring Review (AMR). The GEF Coordination Unit will upload the tracking tool on the FPMIS.

Terminal Report. Within three months of the project completion date, the PIU will submit to the BH and the FAO GEF Coordination Unit for review and clearance a draft Terminal Report, including a list of outputs and description of activities undertaken by the Project, “lessons learned” and any recommendations to improve the efficiency of similar activities in the future. The draft report will be shared with the final evaluation mission. The final version of the Terminal Report will specifically include the findings of the final evaluation as described above.

Table 2. Monitoring and evaluation plan summary

Type of M&E Activity	Responsible Parties	Time-frame	Budgeted costs
Inception Workshop	PIU supported by the FAO LTO, BH, and the GEF Coordination Unit	Within two months of project start up	USD 31,575 (budgeted under workshops, not under monitoring)
Project Inception Report	PIU cleared by FAO LTO, BH, and the GEF Coordination Unit	Immediately after workshop	-
Field based impact monitoring	PIU	Periodically – to be determined at inception workshop	USD 19,413
Supervision visits and rating of progress in PPRs and PIRs	PIU, FAO LTO and TCI/GEF Coordination Unit	Annual or as required	The visits of the FAO LTO and the GEF Coordination Unit will be paid by GEF agency fee. The visits of the PIU will be paid from the project travel budget
Project Progress Reports	PIU, with inputs from Field Offices and other partners	Six-monthly	USD 0. Included in CIFOR Project Management
Project Implementation Review report	LTO supported by the PIU and BH and cleared and submitted by the GEF Coordination Unit to the GEF Secretariat	Annual	Paid by GEF agency fee
Co-financing Reports	BH with inputs from PIU	Annual	USD 0, Included in CIFOR Project Management
Technical reports	PIU, LTO and uploaded on the FPMIS by the BH	As appropriate	-
GEF LD Tracking Tool	PIU and LTO	Updated at the time of the final evaluation	USD 0 (included in CIFOR Project Management and GEF agency fee)
Final evaluation	FAO Evaluation Office (OEDD) in consultation with the FAOR/, GEF Coordination Unit and project team	At the end of project implementation	USD 40,000 for external consultant. In addition the agency fee will pay for expenditures of FAO staff time and travel
Terminal Report	PIU, LTO, GEF Coordination Unit, TCSR Report Unit	At least two months before the end date of the Execution Agreement	USD 0 (included in CIFOR Project Management)
Total Budget			USD 90,988

Provision for evaluations

An independent Final Evaluation will be carried out three months prior to the terminal review meeting of the project partners. The final evaluation would aim to identify the project impacts and sustainability of project results and the degree of achievement of long-term results. This Evaluation would also have the purpose of indicating future actions needed to expand on the existing Project in subsequent phases, mainstream and up-scale its products and practices, and disseminate lessons learnt to stakeholders at national, sub-national, regional and international levels. Emphasis will be placed on national and sub-national actors responsible for sustainable forest and land management in the target countries to assure continuity of the processes initiated by the Project.

Project impacts

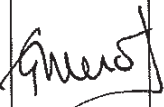
At the end of the project, a comprehensive impact assessment will be conducted as part of the CRP-FTAs monitoring, evaluation and impact assessment program. This final impact assessment will be coordinated by the CRP-FTA's MEIA team in close collaboration with FAO's GEF coordination unit. Overall, all steps of the M&E plan will be aligned and in compliance with FAO's monitoring and evaluation strategy. The M&E plan will also be discussed and debated with stakeholders during the project's inception workshop and in subsequent planning meetings to ensure all project participants are sensitized and to accord them opportunity to influence the design, indicators and implementation procedures.

PART III: APPROVAL/ENDORSEMENT BY GEF OPERATIONAL FOCAL POINT(S) AND GEF AGENCY(IES)

A. RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT (S) ON BEHALF OF THE GOVERNMENT(S): (Please attach the Operational Focal Point endorsement letter(s) with this template. For SGP, use this OPF endorsement letter).

NAME	POSITION	MINISTRY	DATE (MM/dd/yyyy)
Global project, no country specific endorsement needed			

B. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF/LDCF/SCCF/NPIF policies and procedures and meets the GEF/LDCF/SCCF/NPIF criteria for project identification and preparation.					
Agency Coordinator, Agency name	Signature	DATE (MM/dd/yyyy)	Project Contact Person	Telephone	Email Address
Gustavo Merino Director Investment Centre Division Technical Cooperation Department FAO Viale delle Terme di Caracalla (00153) Rome, Italy		April 14, 2014	Fred Kafeero Senior Officer fred.kafeero@fao.org	+39-06- 5705-4688	TCL- Director@fao.org
GEF Coordinator Technical Cooperation Department FAO					GEF- Coordination- Unit@fao.org

ANNEX A: PROJECT RESULTS FRAMEWORK

Objective/Impact	Baseline	Outcome indicators	Assumptions
<p><u>Global Environmental Objective:</u> <u>Project Development Objective:</u>⁵</p>	<p><u>Component 1:</u> Limited understanding of the catalysts of tenure reform and barriers for implementation</p>	<p><u>Component 1:</u> Assessment of structures (institutions), processes and outcomes of tenure reforms, both globally from the literature and for study countries, including:</p> <ul style="list-style-type: none"> • an analysis of the catalysts of reform and factors maintaining the reform • implementation process over time • comparative assessment of approaches to customary rights recognition for differentiated community stakeholders • analysis of differentiated outcomes of reforms 	<p><u>Component 1:</u> Analytical framework is relevant and informative. Interviewees will cooperate freely and provide unbiased answers. Quality of data collected by partners Land and forest tenure is not so sensitive that relevant information cannot be gathered. No negative consequence or backlash for research and action participants/partners</p>
	<p><u>Component 2:</u> Limited understanding of how constraints of tenure reform implementation can be addressed and how opportunities can be capitalized</p>	<p><u>Component 2:</u> Strategies designed to address constraints to and capitalize on opportunities for implementation of tenure reforms. These include strategies to improve:</p> <ul style="list-style-type: none"> • the practices of implementing agencies • rights enforcement and conflict resolution • community representation and participation, including the role of customary authorities • addressing within and inter-community conflict and differentiation, especially the rights of tenure for women and marginalized groups • multi-stakeholder consultation and collaboration • reform implementation in target countries 	<p><u>Component 2:</u> Analytical framework is relevant and informative. Interviewees will cooperate freely and provide unbiased answers. Quality of data collected by partners Land and forest tenure is not so sensitive that relevant information cannot be gathered. No negative consequence or backlash for research and action participants/partners</p>

⁵ In line with FAO SOs

	<p><u>Component 3:</u> Understanding of how tenure reform impacts on community livelihoods in short and long term is limited</p>	<p><u>Component 3:</u> Improved methods and frameworks for assessing tenure reform outcomes, including:</p> <ul style="list-style-type: none"> • clarification of definitions and meanings of tenure security • the relation of security to livelihood options for differentiated community actors • the relation of tenure security to sustainable use and management 	<p><u>Component 3:</u> Analytical framework is relevant and informative. Interviewees will cooperate freely and provide unbiased answers. Quality of data collected by partners Land and forest tenure is not so sensitive that relevant information cannot be gathered. No negative consequence or backlash for research and action participants/partners</p>
<p><u>Component 4:</u> Tenure reform implementation is not based on lessons from past experiences or on good practices from elsewhere</p>	<p><u>Component 4:</u> Better targeted and effective outreach and knowledge sharing deploying a careful mix of multiple media and materials to include:</p> <ul style="list-style-type: none"> • global review of impacts of tenure (security) on forest sustainability and livelihoods • synthesis of findings and lessons of global comparative research • national, regional and global forums/roundtables on tenure security • policy roundtables, stakeholder dialogues • policy briefs, info-briefs, pamphlets/newsletters in local, national and international languages • best practice manuals and handbooks for policy makers, officials etc. • e-learning tool on tenure and conflict resolution • e-network linking implementers • radio programs in local languages • website and project videos 	<p><u>Component 4:</u> Political and social conditions in target countries remain stable, and are receptive to recommended reforms. Willingness by all stakeholders to consider and undertake new innovations and practices. Programme design and communications strategy are effective in reaching key policy actors and stakeholders.</p>	
<p><u>Component 5:</u> Capacities of tenure reform stakeholders is often low</p>	<p><u>Component 5:</u> Tools and approaches for equitable and effective reform implementation developed Training for forest landscape-dependent</p>	<p><u>Component 5:</u> Willingness by all stakeholders to consider and undertake new innovations and practices. Programme design and communications strategy are</p>	

		communities and policy makers and practitioners	effective in reaching key policy actors and stakeholders.
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Project outputs and outcomes:

Indicators	Baseline ⁶	Target	Milestones towards achieving output and outcome targets			Data Collection and Reporting		
			Year 1	Year 2	Year 3	Means of verification	Responsible for Data Collection	
Component 1: Analysis and synthesis of the emergence of reforms and the interaction between customary and formal land and forest tenure								
Outcome 1.1 Increased awareness by policy makers of impacts of and barriers to reform implementation across different socio-political and historical settings	Limited understanding of the catalysts of tenure reform and barriers for implementation	At least 150 policy makers at national and sub-national levels in at least 3 countries aware of barriers to forest tenure reforms					Participatory monitoring/evaluation reports Annual and final reports	
EC/IFAD Output 1.1.1 Assessment of structures (institutions), processes and outcomes of tenure reforms, both globally from the literature and for study countries, including: <ul style="list-style-type: none"> an analysis of the catalysts of reform and factors maintaining the reform implementation process over time comparative assessment of approaches to customary rights recognition for differentiated community stakeholders analysis of differentiated outcomes of reforms 	Limited information available on the catalysts of tenure reform and how reform approaches customary rights	3 different analyses /assessments					Minutes of advisory committee meetings Policy briefs and downloads on CRP 6 website Journal articles	CIFOR
GEF Output 1.1.2 At least two national-level policy roundtables in three countries to share information, elicit feedback and trigger discussion on approaches for recognizing customary rights and on factors that catalyse and sustain reforms Development and dissemination of policy and infobriefs on approaches for recognizing customary rights and on factors that catalyse and sustain reforms	Limited information sharing between policy makers	At least 150 policy makers joined in a dialogue and shared knowledge on forest tenure					Workshop reports/proceedings Policy and info briefs and downloads on CRP 6 website	CIFOR and country partners

⁶ Value in the case of quantitative indicators and description of situation in the case of qualitative indicators. Please insert the year of the baseline

Indicators	Baseline	Target	Milestones towards achieving output and outcome targets			Data Collection and Reporting	
			Year 1	Year 2	Year 3	Means of verification	Responsible for Data Collection
Component 2: Analysis and synthesis of policy implementation processes and practices							
Outcome 2.1 Increased awareness of ways to improve multi-actor collaboration, coordination and inclusiveness during reform implementation in target countries	Limited understanding of how constraints of tenure reform implementation can be addressed and how opportunities can be capitalized	Understanding among stakeholders of the existing constraints and how these can be addressed					
EC/IFAD Output 2.1.1 Strategies designed to address constraints to and capitalize on opportunities for implementation of tenure reforms. These include strategies to improve: <ul style="list-style-type: none"> the practices of implementing agencies rights enforcement and conflict resolution community representation and participation, including the role of customary authorities addressing within and inter-community conflict and differentiation, especially the rights of women and marginalized groups multi-stakeholder consultation and collaboration reform implementation in target countries	Limited information available to help guide policy makers and practitioners as well as communities and other stakeholders	<p>6 strategies to improve:</p> <ul style="list-style-type: none"> the practices of implementing agencies rights enforcement and conflict resolution community representation and participation, including the role of customary authorities addressing within and inter-community conflict and differentiation, especially the rights of women and marginalized groups multi-stakeholder consultation and collaboration reform implementation in target countries 	<p>Key stakeholders involved in implementation of forest tenure reform identified</p> <p>Instruments developed and tested</p> <p>Enumerators trained</p>	<p>Workshop with community level actors in each country</p> <p>Workshop with NGOs and other civil society in each country</p>	<p>At least 6 strategies published and shared among stakeholders</p>	<p>Workshop reports, progress reports, website and publications</p>	<p>CIFOR and country partners</p>
GEF Output 2.1.2 In-country platforms for key actors involved in the implementation of forest tenure reforms to support multi-actor discussion, consensus and development	Limited multi-stakeholder processes related to tenure exist in	At least 150 officials, NGO practitioners and community representatives attend		Multi-stakeholder platforms organized in each country	Multi-stakeholder platforms organized in each country	Publications Meeting reports/proceedings	CIFOR

Indicators	Baseline	Target	Milestones towards achieving output and outcome targets			Data Collection and Reporting	
			Year 1	Year 2	Year 3	Means of verification	Responsible for Data Collection
<p>of strategies for improving collaboration, coordination and inclusiveness during reform implementation (including identifying roles and responsibilities)</p> <p>Development and dissemination (in-country and global) of short, briefing papers on strategies for improving collaboration, coordination and inclusiveness during reform implementation (i.e. good practice)</p> <p>Development and dissemination of practitioner guide/handbook on good practice for improved collaboration, coordination and inclusiveness during reform implementation</p> <p>South-south cross country exchange to support lesson-learning, experience sharing and distilling of successful strategies for enhancing collaboration targeted at policy makers and practitioners in project countries</p> <p>Global policy forum to encourage debate and feeding of options into global initiatives, including the Voluntary Guidelines on Land and Resource Tenure of the FAO</p>	<p>the target countries</p> <p>Best practices for tenure reform implementation are not systematically documented and disseminated</p>	<p>multi-stakeholder processes;</p> <p>At least 150 policy makers and 60 NGO practitioners in target countries are aware of alternative scenarios of tenure security/insecurity and of factors that drive the scenarios;</p> <p>At least 30 relevant government officials and 15 NGO practitioners aware of and integrating options for supporting and strengthening multi-actor collaboration;</p> <p>Number of countries participating in FAOs voluntary guidelines on land tenure processes adopting good practice recommendations on tenure reform implementation</p>		<p>1 briefing paper on strategies for improving collaboration, coordination and inclusiveness during reform implementation published</p> <p>South-south exchange meeting organized with participants from 6 countries</p>	<p>Practitioner guide/handbook on good practice for improved collaboration, coordination and inclusiveness during reform implementation</p> <p>A forum is organized at a major international event</p>	Media reports	

Indicators	Baseline	Target	Milestones towards achieving output and outcome targets			Data Collection and Reporting		
			Year 1	Year 2	Year 3	Means of verification	Responsible for Data Collection	
Component 3: Analysis of livelihoods and sustainability outcomes of tenure reforms								
Outcome 3.1 Increased awareness of reform impacts on livelihoods and sustainability in target countries	Understanding of how tenure reform impacts on community livelihoods in short and long term is limited	Understanding of the impact of tenure reform on livelihoods is increased						
EC/IFAD Output 3.1.1 Improved methods and frameworks for assessing tenure reform outcomes, including: <ul style="list-style-type: none"> clarification of definitions and meanings of tenure security the relation of security to livelihood options for differentiated community actors the relation of tenure security to sustainable use and management 	Limited information on the determining factors of outcomes of tenure reform	Clear and effective methods to assess tenure reform outcomes are available Understanding of tenure reform outcomes in the 6 countries	Instruments/tools developed	Prospective analysis completed for 6 countries	Comparative synthesis completed	Workshop reports, progress reports, website and publications	CIFOR and country partners	
GEF Output 3.1.2 Dissemination of synthesis paper on reform outcomes and other knowledge products (such as policy briefs) at country and global level	Determining factors of reform rarely discussed at country and global level	Methodologies and results from tenure reform outcome assessment is actively shared in the target countries and at the global level				Synthesis paper published Policy paper published Knowledge is actively shared at fora	Publications and downloads from website Blogs Media reports Workshop reports/proceedings	CIFOR and country partners

Indicators	Baseline	Target	Milestones towards achieving output and outcome targets			Data Collection and Reporting	
			Year 1	Year 2	Year 3	Means of verification	Responsible for Data Collection
Component 4: Knowledge management, sharing of information and best practices, and monitoring and evaluation							
Outcome 4.1							
Enhanced awareness and increased application of good practice in reform implementation by policy makers, officials, customary authority etc.	Tenure reform implementation is not based on lessons from past experiences or on good practices from elsewhere	Tenure reform implementation is based on a set of good practices derived from evidence					
GEF Output 4.1.1 Better targeted and effective outreach and dissemination deploying a careful mix of multiple media and materials to include: <ul style="list-style-type: none"> • global review of impacts of tenure (security) on forest sustainability and livelihoods • synthesis of findings and lessons of global comparative research • national, regional and global forums/roundtables on tenure security • policy roundtables, stakeholder dialogues • policy briefs, info-briefs, pamphlets/newsletters in local, national and international languages • best practice manuals and handbooks for policy makers, officials etc. • e-learning tool on tenure and conflict resolution • e-network linking implementers • radio programs in local languages • website and project videos 	Little information available for implementers	Information on tenure reform, its catalysts, barriers, opportunities, lessons learned and good practices are available to policy makers, practitioners, community members and other stakeholders and are used by them	Inception workshop in 3 Tier 1 countries Programme advisory committee established and meeting held Website setup and web-based communication launched	Programme advisory committee meeting held Community level workshops Policy roundtables at national and sub-national level Multi-stakeholder forums at national and sub-national level Good practice guide/handbook Tenure café launched	Programme advisory committee meeting held Policy and academic meetings attended and organized to engage regional and international processes Global meeting Side event Policy briefs published Radio programs in local/national languages	Workshop reports, progress reports, website and publications	CIFOR and country partners

Indicators	Baseline	Target	Milestones towards achieving output and outcome targets			Data Collection and Reporting	
			Year 1	Year 2	Year 3	Means of verification	Responsible for Data Collection
Component 5 Capacity development of stakeholders for uptake results							
Outcome 5.1 Enhanced skills in reform implementation e.g. capabilities to evaluate, learn, adapt	Capacities of tenure reform stakeholders is often low	Capacities of stakeholders is at a level that they can evaluate past experience, learn from that and adapt the implementation accordingly					
GEF Output 5.1.1 Tools and approaches for equitable and effective reform implementation developed	Few tools exist to support stakeholders involved in tenure reform implementation	<p>Various tools are available to support tenure reform, including:</p> <ul style="list-style-type: none"> • Facisheets on impacts of tenure reform • Training manuals on conflict resolution • Illustrated handbook on relevant laws, policies and institutions targeted at different actors • Guide on integrating gender in tenure reform processes and implementation • Good practice guide and principles of inter-agency collaboration and multi-stakeholder engagement in reform planning and implementation <p>E-platform for lesson learning and experience sharing</p>	<p>Factsheets on impacts of tenure reform</p> <p>Training manuals on conflict resolution</p> <p>Illustrated handbook on relevant laws, policies and institutions targeted at different actors</p> <p>South-south exchange organized</p>	<p>Guide on integrating gender in tenure reform processes and implementation</p> <p>Good practice guide and principles of inter-agency collaboration and multi-stakeholder engagement in reform planning & implementation</p> <p>E-Platform launched</p> <p>Tools and approaches are incorporated in a course on forest tenure in Kisangani University in DRC under CIFOR's FCCC project</p>	Workshop reports, progress reports, website and publications	CIFOR and country partners	
GEF Output 5.1.2 Forest dependent communities, policy makers and practitioners are trained in effective reform	Capacities of community members as well	Stakeholders are able to use the tools (5.1.1) available to support them		Trainings for community	Trainings for community	Trainings reports	CIFOR

Indicators	Baseline	Target	Milestones towards achieving output and outcome targets			Data Collection and Reporting	
			Year 1	Year 2	Year 3	Means of verification	Responsible for Data Collection
implementation	as those of policy makers and practitioners are often low with regards to tenure reform implementation	<p>in tenure reform implementation</p> <p>Community member, especially women have undergone skills training on legal literacy, collective organizing, conflict resolution and negotiation and leadership skills</p> <p>150 Policy makers and practitioners have received training on:</p> <ul style="list-style-type: none"> • Diagnostic skills for pro-active assessment, monitoring and de-escalation of tenure-related conflicts; • Gender-responsive and equitable implementation of programs; • Convening and coordination skills; • Monitoring and evaluation. 		members Trainings for policy makers and practitioners	members Trainings for policy makers and practitioners	Media reports	

ANNEX B: FLOWCHART OF PROJECT ACTIVITIES, OUTPUTS, OUTCOMES AND IMPACTS

