



# PROJECT PREPARATION GRANT (PPG)

PROJECT TYPE: Full-sized Project

TYPE OF TRUST FUND: GEF Trust Fund

Submission date: 1 December 2011

GEF PROJECT ID: 4600

GEF AGENCY PROJECT ID: 4649

COUNTRY(IES): Uzbekistan

PROJECT TITLE Reducing pressures on natural resources from competing land use in non-irrigated arid mountain, semi-desert and desert landscapes of Uzbekistan

GEF AGENCY(IES): UNDP

GEF FOCAL AREA(S): Land Degradation

## A. PROJECT PREPARATION TIMEFRAME

Start date of PPG	1 January 2012
Completion date of PPG	1 July 2013

## B. PROPOSED PROJECT PREPARATION ACTIVITIES

### Describe the PPG activities and justifications:

The PPG process will engage stakeholders and will support activities that will inform the preparation of the full project document and CEO Endorsement Request for the Full-Size Project (FSP) “*Reducing pressures on natural resources from competing land use in non-irrigated arid mountain, semi-desert and desert landscapes of Uzbekistan*”. This document will be submitted to the GEF following further information gathering and stakeholder consultation, and will be accompanied by co-financing letters in line with pledges made in the PIF. The respective partners and co-financers will be fully engaged in the project design phase; one-on-one consultations, working group meetings, and project development workshops will be convened for the purpose. The project partners listed as co-financiers in the PIF will have ensured proportional co-funding for the PPG, and will fully participate in the preparation of the full-size project documentation. In this way the involvement of co-funding partners will be ensured. The PPG activities will consolidate and supplement the existing information supplied in the PIF on the state of non-irrigated arid mountain, semi-desert and desert landscapes in Uzbekistan. The PPG will address comments of the GEF Secretariat, STAP, and Council. The PPG activities will take into account the lessons learnt from previous UNDP-GEF projects in Uzbekistan and projects of other agencies and donors relevant to the subject matter of the project. The development of the project will follow the principles of CAACLIM partnership and priorities. The project’s technical feasibility and economic viability will be assessed, as will the risks associated with its implementation. In order to achieve these objectives, the PPG has been organized into the following components and activities:

**Component 1.** Detailed assessment of the policy, regulatory and methodological setting of the project (especially relevant for Outcome 2.1; Outcome 2.3; and Outputs 1.1.1). Preparatory activities under this component will result in the following outputs: (i) information gathered and policy and regulatory gaps defined in regard to planning and management of non-irrigated arid mountain, semi-desert and desert landscapes: analysis of the relevant laws, regulations, policies and programmes, taking note of the best international practices; (ii) confirmation of policy and regulatory gaps to be addressed by the project and definition of entry points of the project; (iii) detailed definition of the baseline programs.

Activities to achieve the above PPG outputs include:

- Detailed assessment of the current state of land management in the targeted landscapes;
- Identified list of policies and planning documents to be amended/adopted under Outcome 2.1. For each such policy/planning document – description compiled on what kind of amendment or new clause is going to be proposed for elaboration at the FSP stage.
- Diagram developed showing how the above policies and planning documents will be coordinated/linked by way of implementation of Output 2.1.2. *To be included in FSP as a separate Annex.*
- Detailed Terms of Reference (including Software, Hardware, HR and management specifications) developed to conduct the inventory and classification of all types of lands in project sites (ref.Output 1.1.1). *To be included in FSP as a separate Annex*
- Table of Content for the expected Guidelines on good practices (Output 2.3.1). *To be included in FSP as a separate Annex*
- Table of Content for the Methodology on ILUP (Output 2.3.2). *To be included in FSP as a separate Annex*
- Monitoring requirements and enforcement mechanisms proposed in draft for the above policies/program documents.
- Assessment of the strengths and weaknesses of legal and regulatory framework governing engagement of communities in the management of targeted landscapes. Analysis of programmes, plans and specific tools for effective engagement of communities;
- Detailed description of project’s baseline programs expanding from the current description in the approved PIF; Specific attention will

be paid to further elaboration on the National Program for Land Management.

- Detailed description of the current status of land tenure and user rights on forests and rangelands, including the customary tenure, and description of how the current land tenure arrangements affect the process of land degradation in forested land and rangelands.
- Detailed description of pressures from human activities on targeted landscapes; quantification of their impacts in terms of habitat loss, erosion, soil productivity loss, other LD indicators;
- Definition of tools to be used for monitoring of LD impacts.

**Component 2.** Assessment of the capacity of different agencies to support the implementation of project activities. This PPG component is designed to ensure that implementation arrangements, partnership strategies and capacities are in place and adequate for the successful project implementation and its sustainability. As such it is relevant to all outputs of the FSP, but especially for Output 1.1.3 (technical extension services), 1.2.2. (training of district level stakeholders), and Outcome 2.2. (technical and managerial capacities for INRM to be developed at various levels). The funding support from the PPG will be used to conduct: (i) stakeholder analysis: roles, functions and/or responsibilities of the key stakeholder institutions and groups (Ministries, agencies, scientific institutes, local authorities, farmers and agricultural producers, NGOs, CSOs and local communities); (ii) assessment of capacity constraints (including NGOs, CSOs and local communities) in supporting and/or implementing project activities and capacity building needs and measures to address these needs. Further, the focus of this assessment will be on identifying potential incentives and the capacity development needs of the various stakeholder groups to ensure the effectiveness and sustainability of the project interventions and results beyond the term of the project.

The activities will include:

- Analysis of the roles, functions and responsibilities of different players (governments, land-users, research, financial institutions NGOs/CSOs) with respect to regulating, planning, implementing activities affecting sound management of targeted ecosystems;
- With respect to Technical Extension Services (FSP Output 1.1.3): define the recommended (1) staffing structure, (2) mandated activities, (3) requirements for technical and managerial expertise/capacities, and (3) budget requirements and potential sources for the refined technical extension services. *To be included in FSP as a separate Annex*
- Define the training output 1.2.2: who specifically will be trained, for which topics;
- Define the practical mechanisms for coordinatino of ILM between ministreis which will be implemented by the National inter-ministerial land-use committee (FSP Output 2.2.1).
- Action plan developed for the implementation of Output 2.2.2 (Strengthen capacity of key institutions), with roles, responsibilities and budgets (GEF and co-financing).
- Prepare a vision for the implementation of the vocational and academic training curriculum (2.2.3): (1) which will be the host institutions where the trainings will be conducted; (2) key subjects/modules to be lectured; for each – brief one-pager summaries of subjects to be lectured; (3) audience of the courses defined, frequency of trainings, organization of trainings and logistics; (4) diploma/certificate to be issued; (5) define requirements for lecturing equipment and rooms; (6) define and agree on financing of the course during and after the project. *To be included in FSP as a separate Annex;*
- Analysis of the level of interest and support/resistance from the main stakeholders for the concept of integrated land use planning. This will contribute to the risks management strategy of the project;
- Definition of the capacity of the key national stakeholders to implement and sustain the proposed project activities, with recommendations for capacity building activities to be supported by the project, with particular focus on local government and the communities;
- Feasibility analysis and selection of best options for the implementation of the project activities and project governance. A stakeholder Involvement plan and a Public Participation plan will be developed and agreed;
- Action plan for incorporation of gender aspects in the project, with quantifiable baseline and target indicators, as per GEF and UNDP guidance.

**Component 3.** The specifics of on-the-ground actions on rangelands, forestry management, and INRM designed in detail (relevant for PIF Outputs 1.1.2, 1.2.1). The focus under this component will be on confirming the selection of project sites/districts, and designing the implementation measures for them under each of the said outputs. The preparatory activities under this component will provide a substantive basis for defining the detailed barrier-removal strategy and the specifics of the on-the-ground activities. The PPG results will be: (i) sites for the implementation of rangeland and forestry activities under output 1.1.2 and districts for INRM under output 1.2.1 are confirmed, described and action plans for implementation are finalized; (ii) completed relevant tracking tools (BD, LD), including respective baselines, indicators and targets to measure project progress.

The activities will include:

- Finalized selection and activities for Output 1.1.2:
- Pasture management (app. 6,000 ha) and livestock husbandry practices to be demonstrated clearly defined: which practices, implementation methods and sequence, locations, budgets. The choice will be based on the following menu: long term pasture user rights for local populations, introduction of mechanisms for collaborative pasture use, capacity of communities and larger semi-state livestock farms strengthened in regard to applying grazing good practice (carrying capacity, grazing rates, rotation, etc), improved distribution and incentive for fodder production, joint state/private veterinary services.
- Forestry practices (app. 1,000 ha) to be demonstrated are clearly defined: which practices, implementation methods and sequence,

locations, budgets. The choice will be based on the following menu: : provision of secure long term user rights of forestry land and biodiversity resources by local population and adjusted incentives to ensure interest of local population in their sustained management (i.e. joint forestry management, community-based forest management), legal and administrative adjustments to allow and incentivize private forestry and biodiversity use, formalized systems for fuel wood planning and distribution, community and relevant state authority collaboration to address priority local environmental threats (to control / reduce / avoid economic damage from moving sands, gullying, land/mud slides, water catchment zones, etc), collaborative planning for local water catchment zones in arid mountains.

- Biodiversity management practices to be demonstrated are clearly defined: which practices, implementation methods and sequence, locations, budgets.
- Define how exactly local people benefit from the above practices: social and economic benefits for app. 50,000 people.
- Define and describe the two districts (30,000 ha) in which INRM will be piloted:
- Size, location, economic and social characteristics of the districts
- LD threats in the districts to be addressed by the project;
- Actions to address LD threats in target districts which will constitute the essence of the INRM plans.
- **Quantifying LD impacts of the demonstration activities with respect to:**
  - Decrease in moving sand and / or other erosion impacts,
  - Improved vegetation cover of targeted pastures,
  - Reduced dust storms and mud slides,
  - Reduced Carbon emissions from above and below ground
  - Avoided emissions from forest degradation
  - Carbon sequestered through forest restoration
  - % increase in forest cover.
- **Quantifying impacts of the project for reduction of competitive pressures between land uses in the desert, semi-desert and mountain landscapes, specifically providing quantitative baseline and targets for:**
  - Decrease in grazing pressure in forestry territories
  - Improved forest restoration in non-forest territories
  - Reduced fuel wood collecting pressure in forest and pasture.
  - Increased economic productivity of natural resource users
- **Prepare the relevant tracking tool (LD). This will include detailed description of the baseline and setting the respective indicators for the tracking tools, including clear quantitative baseline levels.**

**Component 4.** Feasibility analysis and budget. The three key outputs of these component can be summarized as follows: (i) detailed project strategy, including incremental cost analysis, cost-effectiveness, and risks; (ii) detailed budget, (iii) detailed monitoring and evaluation plan; (iv) LD benefits quantified alongside with other global environmental and local socio-economic benefits.

The activities will include:

- Detailed incremental-cost analysis as per GEF guidance: precise definition of baseline projects, activities, budgets, goals and co-financial links to GEF outcomes; definition of GEF incremental value per outcome and output; presentation of results of the incremental cost-analysis in matrices;
- Assessment of the social, economic and financial sustainability of proposed project activities, including gender aspects;
- Assessment of the alternatives to the project strategy and detailed definition of the the cost effectiveness of the preferred strategy and suite of activities;
- Quantification and detailed presentation of the global environmental benefits of the project
- Thorough risk analysis and development of risk mitigation strategy for the project;
- Quantified presentation of global environmental benefits both for biodiversity conservation and land degradation;
- Presentation of the socio-economic benefits of the proposed interventions at national and local levels;
- Definition of the up-scaling strategy of project results;
- Development of the project monitoring and evaluation plan, and budget;
- Costing the expected project outcomes and outputs, identify co-financing sources and secure co-financing commitments (letters).
- ToRs for the key consultants/contracts to be employed by the project.
- Finalized project logical framework, with particular emphasis on ecological indicators.

<b>Proposed Project Preparation Activities</b>	<b>Outputs of the PPG Activities</b>	<b>Trust Fund</b>	<b>Grant Amount (a)</b>	<b>Co-financing (b)</b>	<b>Total c = a + b</b>
<b>Component 1.</b> Detailed assessment of policy and regulatory settings of the project.	(i) information gathered and policy and regulatory gaps defined in planning and management of non-irrigated arid mountain, semi-desert and desert landscapes: analysis of the relevant laws, regulations, policies and programmes, taking note of the best international practices; (ii) confirmation of policy and regulatory gaps to be addressed by the project and definition of entry points of the project; (iii) detailed definition of the baseline programs.	GEFTF	5,000	36,000	41,000
<b>Component 2.</b> Assessment of the	(i) stakeholder analysis: roles, functions and/or responsibilities of the key stakeholder institutions and groups (Ministries,	GEFTF	10,000	50,000	60,000

capacity of different agencies to support the implementation of project activities.	agencies, scientific institutes, local authorities, farmers and agricultural producers, NGOs, CSOs and local communities); (ii) assessment of capacity constraints (including NGOs, CSOs and local communities) in supporting and/or implementing project activities and capacity building needs and measures to address these needs. Further, the focus of this assessment will be on identifying potential incentives and the capacity development needs of the various stakeholder groups to ensure the effectiveness and sustainability of the project interventions and results beyond the term of the project.				
<b>Component 3.</b> Specifics of on-the-ground actions	(i) sites for the implementation of rangeland and forestry activities under output 1.1.2 and districts for INRM under output 1.2.1 are confirmed, described and action plans for implementation are finalized; (ii) completed relevant tracking tools (BD, LD), including respective baselines, indicators and targets to measure project progress.	GEFTF	14,000	80,000	94,000
<b>Component 4.</b> Feasibility analysis and budget.	(i) detailed project strategy, including incremental cost analysis, cost-effectiveness, and risks; (ii) detailed budget, (iii) detailed monitoring and evaluation plan; (iv) LD benefits quantified alongside with other global environmental and local socio-economic benefits.	GEFTF	21,000	60,000	81,000
<b>Total Project Preparation Financing</b>			<b>50,000</b>	<b>226,000</b>	<b>276,000</b>

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

	Project Preparation	Agency Fee
Grant Amount	50,000	5,000
Co-financing	226,000	
<b>Total</b>	<b>276,000</b>	<b>5,000</b>

### D. PPG AMOUNT REQUESTED BY AGENCY(IES), FOCAL AREA(S) AND COUNTRY(IES)<sup>1</sup>

NA

### E. PPG BUDGET


Cost Items	Total Estimated Person Weeks for Grant (PW)	Grant Amount (\$)	Co-financing (\$)**	Total(\$)
Local consultants*	77	25,000	65,000	90,000
International consultants*	7	21,000	50,000	71,000
Travel		4,000	41,000	45,000
Other**			70,000	70,000
<b>Total PPG Budget</b>		<b>50,000</b>	<b>226,000</b>	<b>276,000</b>

\* Annex A for Consultant cost details was prepared first before completing this table. This table is the sum of all local and international consultants presented in Annex A.

\*\* Co-financing for "Other" covers cash and in-kind inputs from project partners directly associated with preparation of the GEF project. These are subcontracts to institutions issued for: (1) production of mapping material (USD 15,000); (2) three regional stakeholder workshops (USD 9,000), (3) PR materials on the subject matter of the project (USD 25,000), (4) renting office space; office supplies and communal services (stationery, water, electricity, etc.); equipment; communications (internet, phones); and technical maintenance of office equipment (USD 21,000).

### F. GEF AGENCY(IES) CERTIFICATION

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

Agency Coordinator, Agency Name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
Adriana Dinu UNDP-GEF Deputy Executive Coordinator		1 Dec 2011	Maxim Vergeichik	+421 359 428 152	Maxim.vergeichik@undp.org

**Annex A**

**Consultants Financed by the Project Preparation Grant (PPG)**

Type of Consultant	Position / Titles	\$/Person Week <sup>1</sup>	Estimated PWs <sup>2</sup>	Tasks to be Performed
Local	Dryland landscapes conservation and management specialist	350	36	<p>This is the key expert and team leader. He coordinates the work of all other national and international consultants, is responsible for quality control and preparation of all reports and documentation in time:</p> <ul style="list-style-type: none"> <li>- Develops, with the support of the the international landscape ecosystems policy and capacity development specialist, an initial PPG inception report detailing the practical steps required to develop the full sized project proposal, including an overall workplan and detailed TORs and workplans for all local consultants</li> <li>- Coordinates project preparation with all partners engaged (co-financiers, local authorities, Government).</li> <li>- Guides the work of consultants and subcontractors and oversee compliance with the agreed work plan;</li> <li>- Develops a description of the social, economic and financial sustainability of proposed project activities.</li> <li>- Compiles a detailed description of pressures from human activities on targeted ecosystems in Uzbekistan.</li> <li>- Defines the capacity of the key national stakeholders to implement and sustain the proposed project activities, including recommendations for building capacity integration into the project design;</li> <li>- Analyzes land tenure issues;</li> <li>- Analyzes the levels of interest and support/resistance from the main stakeholders for introduction of the landscape approach to desert management.</li> <li>- Coordinates preparation of the LD tracking tool. This will include detailed description of the baseline and setting the target.</li> <li>- Prepare the draft of the quantified description of the global environmental benefits of the project, to be finalized by the international expert;</li> <li>- Develops a risk analysis table, and development of risk mitigation strategy for the project to be reviewed by the international expert.</li> <li>- Develops a plan for the replication of project activities, assisted by the international expert.</li> <li>- Designs project monitoring and evaluation plan, and budget, building on information from all national experts, and jointly with the international expert.</li> <li>- Develops a costing table for all expected project outcomes and outputs,</li> <li>- Finalizes the project logical framework, with particular emphasis on LD indicators.</li> <li>- Monitors PPG expenditures, commitments and balance of funds under the project budget lines, and draft project budget revisions; Liaise with project partners to ensure their co-financing contributions are provided within the agreed terms;</li> <li>- Develops an initial vision for the implementation of the vocational and academic training curriculum (2.2.3): (1) which will be the host institutions where the trainings will be conducted; (2) key subjects/modules to be lectured; for each – brief one-pager summaries of subjects to be lectured; (3) audience of the courses defined, frequency of trainings, organization of trainings and logistics; (4) diploma/certificate to be issued; (5) define requirements for lecturing equipment and rooms; (6) define and agree on financing of the course during and after the project</li> <li>- Definition of the capacity of the key national stakeholders to implement and sustain the proposed project activities, and make recommendations for capacity building activities to be supported by the project, with particular focus on communities;</li> <li>- Feasibility analysis of different options for the implementation of the project activities and project governance.</li> <li>- Draft an initial stakeholder Involvement plan and a Public Participation plan;</li> <li>- Draft an initial Action plan for incorporation of gender aspects in the project, with quantifiable baseline and target indicators, as per GEF and UNDP</li> </ul>

				guidance.
Local	Pasture management and livestock expert	300	15	<ul style="list-style-type: none"> <li>- Assist in define and describe the two districts (30,000 ha) in which INRM will be piloted including: size, location, economic and social characteristics of the districts: LD threats in the districts to be addressed by the project, actions to address LD threats in target districts which will constitute the essence of the INRM plans.</li> <li>- Clearly identify the pasture management (on app. 6,000 ha) and livestock husbandry practices to be demonstrated, including: which practices, implementation methods and sequence, locations, budgets.</li> <li>- Assist in quantifying the LD impacts of the demonstration activities with respect to: decrease in moving sand and / or other erosion impacts,</li> <li>- Improved vegetation cover of targeted pastures, and others.</li> <li>- Assist in quantifying the impacts of the project for reduction of competitive pressures between land uses in the desert, semi-desert and mountain landscapes, specifically providing quantitative baseline and targets for: Decrease in grazing pressure in forestry territories, improved forest restoration in non-forest territories, increased economic productivity of natural resource users</li> <li>- Assist in the preparation of the relevant tracking tool (LD). This will include detailed description of the baseline and setting the respective indicators for the tracking tools, including clear quantitative baseline levels.</li> </ul>
Local	Forestry and biodiversity expert	300	15	<ul style="list-style-type: none"> <li>- Clearly identify the Forestry practices (app. 1,000 ha) to be demonstrated , including: which practices, implementation methods and sequence, locations, budgets.</li> <li>- Clearly identify the biodiversity management practices to be demonstrated including: which practices, implementation methods and sequence, locations, budgets.</li> <li>- Assist in quantifying the LD impacts of the demonstration activities with respect to: Decrease in moving sand and / or other erosion impacts, Reduced dust storms and mud slides, reduced Carbon emissions from above and below ground, avoided emissions from forest degradation , Carbon sequestered through forest restoration,% increase in forest cover.</li> <li>- Assist in quantifying impacts of the project for reduction of competitive pressures between land uses in the desert, semi-desert and mountain landscapes, specifically providing quantitative baseline and targets for: Improved forest restoration in non-forest territories, Reduced fuel wood collecting pressure in forest and pasture, Increased economic productivity of natural resource users</li> <li>- Assist in the preparation of the relevant tracking tool (LD). This will include detailed description of the baseline and setting the respective indicators for the tracking tools, including clear quantitative baseline levels.</li> </ul>
Local	Economic expert	300	11	<ul style="list-style-type: none"> <li>- Undertake an economic analysis of the costs that will be incurred by Uzbekistan of continuing the current approaches to arid non-irrigated landscape management (in terms of lost production, natural disaster response, and cost of ameliorative actions needed post LD )</li> <li>- Help to define how exactly local people will benefit from the new land use practices to be introduced by the project (economic benefits )</li> <li>- Support the development of detailed incremental-cost analysis as per GEF guidance:</li> <li>- Assist in the development of the presentation of the socio-economic benefits of the proposed interventions at national and local levels</li> </ul>
International	Landscape ecosystems policy and capacity development specialist	3,000	7	<ul style="list-style-type: none"> <li>- Compiles and shares with the national PPG team and stakeholders the international best experience in policy development, legal and regulatory frameworks and enforcement systems for effective application of INRM approach to targeted ecosystems,</li> <li>- Provide support and guidance to the Dryland landscapes conservation and management specialist (team leader) in both planning and management of the PPG implementation and in regard to technical tasks.</li> <li>- Based on the inputs from national experts and in close cooperation with the key national stakeholders compiles final baseline/situational analysis for the FSP. This will include a precise definition of baseline projects, activities, budgets, goals and co-financial links to GEF outcomes; definition of GEF incremental value per outcome and output; presentation of results of the</li> </ul>

				<p>incremental cost-analysis in matrices.</p> <ul style="list-style-type: none"> <li>- Based on the inputs from national experts and the best international practice, prepares a quantified assessment of global environmental benefits for LD.</li> <li>- Analyses the socio-economic benefits of the proposed interventions at national and local levels.</li> <li>- Based on the international experience, assists in reconfirming/specifying the project strategy, finalizing project sections on: (a) An assessment of the social, economic and financial sustainability of proposed project activities; (b) Assessment of alternatives to the project strategy and establishing the cost effectiveness of the preferred strategy and suite of activities; (c) A replication strategy for project activities; (d) Assessment of the risks to the proposed project activities and identifying measure to mitigate these risks; (e) incremental cost analysis;</li> <li>- Based on national experts inputs, develops project monitoring and evaluation system for the FSP including the completed tracking tool for LD, including a set of indicators, baselines and targets.</li> <li>- Elaborates a Logical Framework of the project.</li> <li>- Prepares M&amp;E plan and budget.</li> <li>- Based on national experts input, elaborates Stakeholder Involvement and Public Participation plans, along with an action plan for incorporation of the gender aspects in the project.</li> <li>- Based on national experts inputs, drafts ToRs for the key consultants/contracts to be employed by the project.</li> </ul>
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<sup>1</sup> Dollar amount per person week.

<sup>2</sup> Person weeks needed to carry out the task