



REQUEST FOR CEO ENDORSEMENT

PROJECT TYPE: Full-sized Project

TYPE OF TRUST FUND: GEF Trust Fund

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PART I: PROJECT INFORMATION

Project Title: Reducing pressures on natural resources from competing land use in non-irrigated arid mountain, semi-desert and desert landscapes of Uzbekistan			
Country:	Uzbekistan	GEF Project ID: ¹	4600
GEF Agency:	UNDP	GEF Agency Project ID:	4649
Other Executing Partner:	State Committee for Land Resources and Geo-Cadastr	Submission Date:	23 September 2013
GEF Focal Area:	Land Degradation	Project Duration(Months)	60
Name of Parent Program (if applicable):	CACILM	Agency Fee (\$):	231,360
	<ul style="list-style-type: none"> ➤ For SFM/REDD+ <input type="checkbox"/> ➤ For SGP <input type="checkbox"/> 		

A. FOCAL AREA STRATEGY FRAMEWORK²

Focal Area Objectives	Expected FA Outcomes	Expected FA Outputs	Trust Fund	Grant Amount (\$)	Co-financing(\$)
LD-3	Outcome 3.1: Enhanced cross-sector enabling environment for integrated landscape management	3.1 Integrated land management plans developed and implemented	GEFTF	0	2,170,000
	Outcome 3.2: Good management practices in the wider landscape demonstrated and adopted by local communities	3.2 INRM tools and methodologies developed and tested	GEFTF	1,998,600	6,480,000
	Outcome 3.2: Good management practices in the wider landscape demonstrated and adopted by local communities	3.4 Information on INRM technologies and good practice guidelines disseminated	GEFTF	200,000	820,000
Sub-total				2,198,600	9,470,000
Project management cost				115,000	410,000
Total project costs				2,313,600	9,880,000

B. PROJECT FRAMEWORK

Project Objective: To promote integrated management of rangeland and forests at the landscape level (focus on non-irrigated, arid mountain, semi-desert, and desert landscapes) to reduce pressures on natural resources from competing land uses and improve the socio-economic stability of communities.

Project Component	Grant type	Expected Outcomes	Expected Outputs	Trust fund	Grant amount (\$)	Confirmed cofinancing (\$)
Component 1 – Field level investment to transform the baseline approach: Promising best practices on sustainable rangeland and forestry management	INV	Outcome 1.1: Improvement in vegetative cover through enhanced land use management using sustainable INRM best practices. (FA Outcome 3.2). Outcome 1.2: Enhanced mechanisms for cross-sector integrated planning of sustainable natural resources management at district level to improve vegetation and forest	Output 1.1.1: Adequate inventory and classification of all types of lands in project sites (pasture, rain fed, dry land forestry, and others). Output 1.1.2: Promising good practices on pasture management and livestock husbandry, forestry and biodiversity management from Uzbekistan and the region, replicated and up-scaled in project sites covering approximately 6,000 ha of rangeland and 1,000 ha of forestry fund territory and 500 ha rain fed arable land, and with approximately 50,000 people with secure and sustainable livelihoods. Output 1.1.3: New and refined technical extension services at the existing and newly developed local	GEFTF	1,833,452	6,880,000

¹Project ID number will be assigned by GEFSEC.

² Refer to the [Focal Area/LDCF/SCCF Results Framework](#) when completing Table A.

Project Component	Grant type	Expected Outcomes	Expected Outputs	Trust fund	Grant amount (\$)	Confirmed cofinancing (\$)
and INRM planning up-scaled in target districts of Uzbekistan.		cover, decrease moving sands and erosion, reduce dust storms and other such events. (FA Outcome 3.2)	institutions (information centre at the Ministry of Agriculture, Zoo-technical centres, Farmer's Associations, district forestry etc.). Output 1.2.1: Two district level integrated land use plans have been elaborated by district authorities/ local stakeholders, and are being effectively applied to a landscape of approximately 30,000 ha. Output 1.2.2: District level stakeholders receive training in the development and implementation of integrated land use planning and have knowledge/ experience necessary to continue the application of such planning in the long term.			
Component 2 – Policy, legal, institutional mechanisms: An enabling cross-sector environment and in-country capacity (at system, institutional and individual levels) for applying integrated landscape management in arid mountain, semi-desert and desert areas of Uzbekistan	TA	Outcome 2.1: Enhanced policy, legal, and institutional framework for implementing integrated and sustainable management of rangeland and forests (FA Outcome 3.1) Outcome 2.2: Adequate technical and managerial capacity for INRM at all levels of land use institutions for the development of policies, legislation and field operations (FA Outcome 3.1) Outcome 2.3: Improved access of policy makers to tested INRM best practices and methodologies for improved land management.	Output 2.1.1: Updated or newly developed key sector policies and related strategic national planning documents associated to arid non-irrigated land use. Output 2.1.2: Linkages and synergies between the above sector policies and strategic planning documents to improve integration of effort by relevant national institutions. Output 2.1.3: Relevant legislative changes and regulatory instruments developed & enacted on the basis of field experience gained in Component 1. Output 2.2.1: National inter-ministerial land use coordination commission (coordinated by the State Committee for Land Resources and Cadastre) with appropriate set of documents defining institutional responsibilities for ensuring better integration of planning on forestry and rangeland. Output 2.2.2: Strengthened capacity of key institutions (Inter-ministry land use coordination commission, Dept. Livestock, Forestry Agency) Output 2.2.3: Long-term vocational and academic training curricula and programmes at professional colleges, lyceums, and universities to enhance national capacity to sustain the application of sound land use management. Output 2.3.1: Guidelines on good practices for sustainable natural resources management. Output 2.3.2: The methodology for carrying out Integrated Land Use Planning (ILUP) documented, published and disseminated to facilitate replication. Output 2.3.3: Mechanisms for practical dissemination & application of land use best practices & ILUP methodology, utilizing experience & methods developed under CACILM.	GEFTF	365,148	2,590,000
Sub-total					2,198,600	9,470,000
Project management cost				GEFTF	115,000	410,000
Total project costs					2,313,600	9,880,000

C. SOURCES OF CONFIRMED COFINANCING FOR THE PROJECT BY SOURCE AND BY NAME (\$)

Sources of co-financing	Name of co-financier	Type of co-financing	Co-financing amount (\$)
National Government	State Committee for Land Resources and Geo-Cadastre	Grant	6,700,000
		In-kind	900,000
Local Government	Two district authorities (Karakul and Zaamin districts)	In-kind	300,000
	District forestry farms (Karakul, Zamin)	Grant	220,000

Sources of co-financing	Name of co-financier	Type of co-financing	Co-financing amount (\$)
National NGO	Farmers Council of Uzbekistan	In-kind	100,000
	Ecological Movement of Uzbekistan	In-kind	120,000
	Centre for Support of Entrepreneurship and Farmers	In-kind	20,000
GEF Agency	UNDP Uzbekistan	Grant	700,000
Multilateral Agency	International Centre for Bio-saline agriculture (ICBA)	Grant	500,000
Private	Karakul breeding shirkat farms (“Karakul”, “Yangichorvador”, “Zaminchorvador karakul”)	Grant	320,000
Total co-financing			9,880,000

D. TRUST FUND RESOURCES REQUESTED BY AGENCY, FOCAL AREA AND COUNTRY¹

GEF Agency	Type of Trust Fund	Focal Area	Country Name/Global	(in \$)		
				Grant Amount (a)	Agency Fee (b) ²	Total c=a+b
NA	NA	NA	NA	NA	NA	NA
Total Grant Resources						

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. PMC amount from Table B should be included proportionately to the focal area amount in this table.

² Indicate fees related to this project.

E. CONSULTANTS WORKING FOR TECHNICAL ASSISTANCE COMPONENTS:

Component	Grant Amount(\$)	Cofinancing (\$)	Project Total (\$)
International Consultants	264,200	18,000	282,200
National/Local Consultants	303,500	264,000*	567,500

*including \$250,000 from national partner Goskomzem

F. DOES THE PROJECT INCLUDE A “NON-GRANT” INSTRUMENT? No.

PART II: PROJECT JUSTIFICATION

A. DESCRIBE ANY CHANGES IN ALIGNMENT WITH THE PROJECT DESIGN OF THE ORIGINAL PIF³

A.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, Biennial Update Reports, etc.: N/A

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

A.3 The GEF Agency’s comparative advantage: N/A

A.4. The baseline project and the problem that it seeks to address: N/A

A. 5. Incremental /Additional cost reasoning: describe the incremental (GEF Trust Fund/NPIF) or additional (LDCF/SCCF) activities requested for GEF/LDCF/SCCF/NPIF financing and the associated global environmental benefits(GEF Trust Fund) or associated adaptation benefits (LDCF/SCCF) to be delivered by the project:

1. The project is designed in close compliance with the objective, outcomes, components, and GEF budget specified in the PIF. The overwhelming majority of quantitative targets from the PIF have been maintained with some minor adjustments, specifically the addition of a figure for rain fed arable land under improved land use management (500 ha.).

³ For questions A.1 –A.7 in Part II, if there are no changes since PIF and if not specifically requested in the review sheet at PIF stage, then no need to respond, please enter “NA” after the respective question.

2. The most significant change since the PIF has been the detailed elaboration of each project component. Project goal, objective, outcomes and outputs remain the same as in the PIF but have been elaborated in detail (see below).

COMPONENT 1

3. Outcomes under Component 1 are designed to demonstrate within two representative districts how improvements in the sustainability and productivity of land use can be achieved. This will be undertaken through the systematic up-scaling of a set of well-balanced existing experience and know-how tried at a small scale in Uzbekistan in an isolated fashion. This project, by applying them at a larger scale and in a carefully combined manner, will test and demonstrate the larger cumulative benefits the application of sound management can have. Furthermore, the project will support local stakeholders in the development of practical methods for better planning of land use at district level and for maximizing benefits from integrating such land use. In this way the project will provide examples and practical experience from two typical districts of how land use can be improved and competitive pressures reduced through the systematic and combined application of good practices and sound holistic planning. The value of this in terms of facilitating wider replication of improved land use cannot be underestimated because up to this time no such examples have existed.

4. Additionally, the process of applying these good practices in the field will help to highlight and clarify the specific legal and institutional barriers experienced by land users which hamper improved land use and the wider policy implications. This will provide a vital practical grounding for work under the project's 2nd outcome. The outputs necessary to achieve this component are described below.

Outcome 1.1: Improvement in the vegetative cover of approximately 6,000 ha of rangeland and 1,000 ha of forestry fund territory due to enhanced land use management using sustainable INRM best practices, accompanied with approximately 50,000 people with secure and sustainable livelihoods

Output 1.1.1: Carry out an adequate inventory and classification of all types of lands in project sites (pasture, rain-fed arable, dry land forestry, and others)

5. In order to undertake effective planning and make valid decisions on land use, it is first necessary to know what land resources and potentials exist, and what current use is. No comprehensive inventory has been carried out for over 10 years in Karakul and Zaamin Districts. Thus the project will, as a first step, support a detailed inventory and evaluation of land resources in the 2 target districts of Zaamin and Karakul, looking at current and potential use (see Annex 2 of the UNDP Project Document for a draft terms of reference for this inventory). This will be carried out in collaboration with relevant departments of GKZ and specialists of the district authorities. GKZ has significant capacity in this regard including existing equipment and technical expertise to prepare integrated cartographic and GIS materials.

6. The project will build on this technical expertise and capacity by adding an understanding of key materials needed for land use option analysis and integrated planning. These will differ in some respects from the "business as usual" approach as they will retain an "open-option" perspective to land use in districts rather than being limited to what currently exists (as is normally used). The process of planning and executing the district level land use inventory, and the experience gained by national counterparts, will thus in itself become a vehicle for building improved land use capacity.

Output 1.1.2: Promising good practices on pasture management and livestock husbandry, forestry and biodiversity management from Uzbekistan and the region, replicated and up-scaled in project sites

7. As discussed previously there exist within Uzbekistan, and the region, a variety of land use good practices applicable to desert, semi-deserts and mountain landscapes which have shown promise. Good practices for pasture land use include: long term pasture user rights for local populations; mechanisms for collaborative pasture use such as pasture use commissions; grazing management based on carrying capacity, grazing rates, rotation, etc.); improved fodder distribution and incentive for fodder production; joint state/private veterinary services; mid to long term strategic planning by large quasi-state livestock farms to improve economic viability and ensure investments (such as wells) necessary for sound management; simplified monitoring as a basis for better regulation; more appropriate and applicable normative regulations; improved capacity and institutional clarity of regulatory bodies at district level to enforce land use norms; and appropriate and pragmatic mix of financial and administrative penalties and incentives for regulating pasture land use.

8. In the forestry land use context examples include: provision of secure long term user rights over forestry land and biodiversity resources for the 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, gulying, land/mud slides, water catchment zones, etc.); collaborative planning for local water catchment zones in arid mountains, etc.; collaborative planning to meet fuel wood needs of rural settlements and communities in sustainable ways.

9. However, the limited geographical scope of these practices to date means there is little practical experience or know-how regarding their application. This is a significant practical barrier to their up-scaling and widespread application and this output is aimed at addressing this know-how gap.

10. Based on a review of relevant best practices undertaken during project preparation phase, and following consultation with national and international development partners, it is planned to replicate and further test a set of natural resource best practices within the two demonstration districts (see table below) that are assessed as having the most potential to positively impact sustainability of land use within the target districts of the project. These will not be applied in isolation but as integrated “packages” of interventions in order to ensure compatibility and mutual support or amplification of the benefits.

11. Key to making them work effectively will be the active understanding and participation of local land users themselves. In order to ensure this, the project will make concerted efforts to build awareness of the key stakeholders (state farm managers, district forestry officers, sub-district representatives, village leaders, local household heads) on the interventions being planned and receive their feedback on how they can be best applied in their specific situation. Visits by the relevant stakeholders to other sites in Uzbekistan where the specific best practices have been piloted previously will help build their appreciation of what is possible and hopefully stimulate ideas on practical application in their own conditions. In undertaking the replication of best practices and testing them for wider application, the project will need to find a balance between: a) supporting their implementation b) allowing local stakeholders to do as much of it as possible themselves. Insufficient support might jeopardize the success, but too much support would fail to demonstrate the true replicability of the practices (the project will not be there to support wider replication in other relevant districts in the future). Thus getting this balance is crucial if meaningful lessons will be learned regarding recommendations and guidelines for national replication. In this context the project needs to establish an effective and strong district level presence with technical support for implementation being ‘on tap’ (see Management Arrangements). This is equally necessary for the development of district level Integrated Land Use Management Plans (see details under Outcome 1.2 below).

Table 1. Provisional List of NRM Best Practices to be Applied in the Two Target Districts⁴

Proposed natural resource management best practice		Districts where practices are to be applied	
		Zaamin	Karakul
Pasture / Livestock practices			
1	Re-establishment and refining of grazing management, rotation and herd structure practices by shirkats and large private livestock farms Benefit: Improved vegetation cover and pasture productivity as a result of more balanced grazing pressure (i.e. reduced over grazing of some areas and under grazing of others) Piloted: UNDP- GEF SLM Project Achieving Ecosystem Stability in Aral Sea and Kyzylkum Desert	X	X
2	Establishment of household / village collaborative pasture using structures and development of their capacity to apply effective pasture management (calculate carrying capacity, rotation, herd size/composition, etc.). Benefit: Pasture under collaboratively managed use rather than “open-access”, so improved sustainability and resilience Piloted: GIZ (Pasture Project)	X	
3	Rehabilitation / sustainable use of wells using renewable energy or more efficient/reliable methods and establish a mechanism for maintenance Benefit: Allows to expand the area of used pastures reducing livestock unit per 1 hectare of pastures Piloted: UNDP-GEF SLM project (see above)	X	X
4	Establishment of public/private veterinary points: collaborative state and private partnership to ensure delivery of basic veterinary services to livestock owners, and provide technical / advisory services. Benefits: Cost effective and sustainable mechanism for ensuring effective implementation of state programme on livestock disease control and provision of key technical and advisory services (insemination, appropriate technology, pasture and herd management). Piloted: UNDP GEF SLM project, UNDP GEF BD Tugai and Nuratau BR projects	X	X

⁴This list will be finalized and developed into integrated intervention packages during the project inception phase.

Proposed natural resource management best practice		Districts where practices are to be applied	
		Zaamin	Karakul
5	<p>Establishment of a Commission of pasture users at Rural Councils or at the level of khokimyats (district authorities)</p> <p>Benefit: Creation of a control mechanism over the use and regular monitoring of the condition of pastures</p> <p>Piloted: UNDP GEF SLM, UNDP GEF BD Tugai and Nuratau BR Projects</p>	X	X
6	<p>Cost effective enriching of pastures (fenced quadrants as “seed banks”, and spot / strip artificial seeding in degraded pasture areas)</p> <p>Benefit: Low cost method for accelerating recovery of overgrazed pasture and improves pasture quality/productivity by providing sources for natural (wind) reseeding</p> <p>Piloted: Uzbek Research Institute for Karakul Sheep, UNDP SLM</p>	X	X
Forestry practices			
1	<p>Establish desert protection “forest” strips through collaboration of local Leshoz and local communities to reduce impact of moving sands on key infrastructure</p> <p>Benefit: Cost effective mechanism for preventing development of moving sands and damage to infrastructure on long term basis.</p> <p>Piloted: UNDP SLM</p>		X
2	<p>Joint forestry management (i.e. between local Leshoz and local households) to develop State Forest Fund land requiring afforestation and orchard/nut plantations in mountain foothills</p> <p>Benefit: Additional investments in forestry (beyond that available to the Leshoz from the state) leveraged from local population and long term sustainable incomes (for Leshoz and households) created. Improved vegetation cover, CO₂ sequestration and reduction in wind/water erosion.</p> <p>Piloted: UNDP Tugai and Nuratau BR, GIZ in Tajikistan</p>	X	
3	<p>Sustainable Fuel wood Planning: Collaborative planning between Leshoz and local authorities to ensure sustainable sources of fuel wood supplies from existing and newly planted areas for rural populations</p> <p>Benefit: Fuel wood extracted from sustainable sources, reduced cutting of vegetation in desert, steppe and mountains</p> <p>Piloted: UNDP GEF BD Tugai and Nuratau BR projects</p>	X	X
Rain-fed Arable farming practices			
1	<p>Build dekhan and private farmers’ capacity to apply optimal schemes of grain and fallow/fodder rotation based on priorities of rain-fed arable agriculture within the integrated land use context of the district (soil, climate, economic and social parameters)</p> <p>Benefits: Improved sustainability and mid/long term productivity of rain-fed arable lands, increased resilience to poor seasons/climate change, improved contribution to the overall integrated land management needs of district</p> <p>Piloted: Gallaaral Grains Research Institute, ICARDA, Samarkand Agricultural Institute</p>	X	
2	<p>Introduction, demonstration and wider replication of zero / minimum tillage methods in rain-fed arable areas</p> <p>Benefits: Resilience and sustainability of grain and other crop production in rain-fed arable lands improved, reduction in investment needs (fuel, labour, machinery), and reduced CO₂ emissions</p> <p>Piloted: World Bank, ICARDA, ZEF</p>	X	
3	<p>Use of new or improved varieties of crops better suited to specific environmental conditions and with clear economic and environmental benefits for integrated land use in the district context (fodder crops to help reduce fodder deficits).</p> <p>Benefits: Diversified crop basis with increased resilience and which complement other land use and socio-economic needs in the districts</p> <p>Piloted: Gallaaral Grains Research Institute, ICARDA, Samarkand Agricultural Institute</p>	X	
Other			
1	<p>Introduce sound agri-business training for shirkat and private/ dekhan farmers</p> <p>Benefit: Improvement in rationality of decision making based on practical resource and economic factors and improve profitability of livestock and arable farming enterprises and thus capacity to make key investments for long term improvement of sustainable management</p> <p>Piloted: UNDP SLM, Nuratau BR</p>	X	X
2	<p>Collaborative planning and coordination of small watershed management with local land users (local communities, forestry and livestock enterprises):</p> <p>Benefits: Protection and maximization of water run-off from streams in mountain and steppe areas, reduction in water erosion and top soil loss.</p> <p>Piloted: GIZ (Farish)</p>	X	

Proposed natural resource management best practice		Districts where practices are to be applied	
		Zaamin	Karakul
3	Value addition to local agricultural produce and NTFPs: Small scale processing of local production to add value and support with marketing. Benefits: Increase and diversify incomes and socio-economic returns of existing agricultural and non-timber forest products (milk, skins, fruit, nuts, honey, rhubarb, medicinal and aromatic plants, etc.) and reduce pressure for over utilization of natural resources. Piloted: UNDP SLM, Nuratau BR, Tugai, ELS; GIZ, others.	X	X
4	Introduction and local production of appropriate technologies with environmental, economic and sustainability benefits (renewable energy pumping systems, fuel wood efficiency or alternatives, energy efficiency technologies, etc.) Benefits: Availability of locally produced and economically viable technologies with long term environmental and economic value (i.e. reduce cost of developing and using wells, reduce fuel wood demand, provide electricity to remote locations cost effectively, etc.), and diversify local economy (small scale production of equipment / services by district / local entrepreneurs). Piloted: UNDP Nuratau BR, Tugai, GIZ	X	X
5	Appropriate Tourism development: support the development of appropriate tourism models (household guest houses and services, trekking, horse trekking, etc.) as basis for diversifying rural incomes. Benefit: Reduce need for over utilization of natural resources (grazing, forestry etc.) through alternative income sources and provide incentives for protection of natural landscapes. Piloted: UNDP Nuratau BR, Tugai, etc.; EU, and others.	X	X

12. The project will continue to seek, during implementation, viable and well placed project partners for development and implementation of good practices, including national and local NGO's, small grant opportunities such as the GEF SGP and bilateral donors, and other interested parties.

Output 1.1.3: New and refined technical extension services at existing and newly developed local institutions or structures

13. Currently there exist no systematic mechanisms for delivering agricultural or rural livelihood extension services to rural populations in Uzbekistan, particularly in the non-irrigated areas. Some unsystematic advice/guidance is provided via academic institutions such as the Uzbek Research Institute on Karakal Sheep Production and Desert Ecology and the Agricultural Institute in Samarkand, but such institutions are not ideally suited for this task because (a) they are academic institutions and not adapted to providing the kind of practical help required by rural populations / land users, (b) they do not have an effective mechanism or on-ground network of staff to effectively deliver the practical land use advise and support required.

14. There have been some successful pilot initiatives by various projects in Uzbekistan to test new approaches to delivering extension services such as the establishment of Zoo-technical (veterinary) points managed on a joint state/commercial basis. These have a mandate and support from the relevant state institutions (Department of Livestock, Poultry, Apiculture and Aquaculture, MAWM) to deliver components of state programmes (vaccination programmes, etc.) but also undertake commercial provision of veterinary and livestock / pasture management services. Such collaborative state/private mechanisms have some potential to sustainably extend the delivery of key services and the project will utilize this approach as appropriate in order to support better livestock and pasture management (see Annex 3 of the UNDP Project Document for more details on Zoo-technical Veterinary Centres).

15. Another potential avenue of delivery is via the several new district and sub-district vocational colleges established under an extensive government programme of investment. The project will work with such colleges in the target districts to build their capacity to deliver useful land use technical support. Specifically, the project will support them to prioritize vocational training to better target it for the real needs of the local population and improve capacity to deliver it based on experience gained in the field.

16. There has been some experience in both Uzbekistan and the region with local level establishment of "Farmer Field Schools" based on the FAO model widely practiced across the world. The project will apply the model within the target districts as found appropriate. In particular this approach is relevant to dekhans and household horticultural land, which, though of relatively small area, are of key import in rural livelihoods (see Annex 3 of the UNDP Project Document for more on Farmer Field Schools).

17. Finally, the project will seek to better harness regional academic institutions such as the Karakul Institute and Samarkhand State Agricultural University in support of the local level structures/stakeholders discussed above. In this way their real strengths can be harnessed and a basis for a useful exchange between local extension mechanisms and regional academic institutions can be established.

Outcome 1.2: Enhanced mechanisms for cross-sector integrated planning of sustainable natural resources management at district level to improve vegetation and forest cover, decrease moving sands and erosion, reduce dust storms, and other such events.

18. This outcome is designed to develop and test a mechanism for holistic, integrated, and participatory planning and development of land use within the two target districts of the project, with the mechanism being effective and viable within Uzbekistan's current land governance system. This will be a first step at the ground level for such planning approaches. Based on experience gained in the target districts, the project will facilitate replication in other districts.

19. Apart from bringing direct benefits to district level land use effectiveness, the experience gained from wide spread application of such planning approaches at district level is intended, in the long term, to build sufficient experience and practical knowledge to allow up-scaling and application at provincial (oblast) level. By that stage, sufficient capacity will exist within the land use management system to allow national level application. Clearly, achieving the adoption of integrated land use approaches at all levels in Uzbekistan is a massive and long term objective and well beyond the scope of the project. However, by putting in place the awareness, skills and experience required at the ground level, and establishing the policy and commitment at national level, the project seeks to create the right conditions for pragmatic, integrated land use management to grow from the bottom up. In pursuit of this strategic approach the project has the following outputs under Outcome 1.2.

Output 1.2.1: Two district level integrated land use plans elaborated by district authorities / local stakeholders, and effectively applied to a landscape of approximately 30,000 ha.

20. Integrated Land Use Planning (ILUP) provides a mechanism for making comprehensive decisions about the use of land and natural resources. It sets the coordinated management direction for future uses of land and resources and allows for the evaluation of the success of management activities over time. ILUP is future-oriented and iterative, allowing plans to be adjusted in response to changing circumstances. Planning is an integral part of the management process for public lands and resources. It provides a means by which decisions are coordinated among responsible agencies and by which land use and resource management conflicts and issues are resolved.

21. The development and initial implementation of 2 district level integrated land use management plans will involve, in brief: identification of the best integrated land use options based on multiple criteria (economic, social and environmental) and the wider Oblast/national planning context; identification of the districts long term planning goal and mid-term objectives; and development of practical plan of actions (including responsibilities, timing, indicators of progress, financing).

22. These plans will incorporate the best practices being replicated in the districts as part of efforts to improve the overall productivity and sustainability of land use. In order to ensure that the integrated land use planning is a locally driven process, and that these plans have full ownership by all the district level stakeholders, the project will first undertake a process of building understanding about the benefits such planning can bring and the best means and approaches for carrying it out. In particular this will involve the introduction of participatory approaches new to local district authorities that will better ensure full participation of key stakeholders and public. These include bottom-up land use planning processes that directly involve actual land users in the process of defining, within the realistic context of the district and the national planning environment, mid to long term land use options and objectives and ensure that their inputs, agreement and role in implementation is clearly defined and transparent.

23. The project will then provide a mainly facilitator role in the process of the actual plan development in order to ensure it has the required ownership (i.e. that actual land users, local authorities, and local representatives of ministries are the primary drivers of its contents and that all have been fully consulted and have given consensual support). Though this may be a more difficult approach than the project leading the process or undertaking it directly, it is important in terms of building stakeholders consensus and commitment to practical implementation. Finally, the project will provide strategic technical support to the district stakeholders to initiate practical implementation of the plans and to build the experience necessary to bridge the inevitable gaps between planning and reality.

24. An initial methodology for undertaking the district level ILUP planning process was defined during the project preparation phase (see draft outline of contents in Annex 5 of the UNDP Project Document), based on international best practice, and the practical experience gained by UNDP in Uzbekistan from similar district and community level planning

efforts. The latter is extremely important in ensuring that the methodology and goals of the district planning process remain realistic to the very rigid and centralized system still prevalent in Uzbekistan today and that the resulting plans will be implementable. As this will be the first time such district level land use planning has been systematically attempted, it will be important to carefully assess the lessons learned during the process and, on that basis, develop tools and guidelines for facilitating the replication of such planning in other districts.

Output 1.2.2: One hundred and forty district level stakeholders receive training in the development and implementation of integrated land use planning and have knowledge / experience necessary to continue the application of such planning in the long term.

25. The project will disseminate materials developed on the basis of experience from Output 1.2.1 through regional workshops for representatives of district authorities and land use management agencies from throughout the relevant target landscapes. The workshops will also be attended and supported by key national actors from GKZ. Additionally, study tours for stakeholders from other selected districts within the project's target landscapes will be organized in order for them to see the results of implementation of ILUM planning, and to talk to those involved in the process. Finally, the guidelines and replication materials will be fed into the long term technical and vocational training reforms which form a key aspect of the project capacity building efforts (see Component 2). Conservatively, the project aims to directly build the awareness and practical capacity of 140 key stakeholders from other districts and the provincial (oblast) level to undertake such planning in other districts. However, it is expected that in total some level of improved capacity in this regard will be much further reaching. During the process of disseminating the experience of the 2 districts in regard to ILUM planning, the project will assess level of opportunity to support replication in other districts and will facilitate such replication if feasible.

COMPONENT 2

26. This Component of the project is targeted at addressing the issues and constraints described under Barrier 2. In essence, this component of the project aims to further the re-orientation of the existing land use "mind-set" that is a legacy of the former Soviet Union centralized management approach, towards more strategic, long term, holistic and integrated approaches. Clearly this is a massive undertaking and the project must retain a realistic expectation of how far it can achieve this and the best strategic approach by which to have the maximum long term positive impact.

27. To this end, the project will support the development of an improved and more integrated policy / strategic planning environment, and on that basis initiate and lay the ground for legal and institutional framework changes that will allow the effective translation of land use management policy into practice in arid mountain, desert and semi-desert landscapes of Uzbekistan. If successful, this will create a suitable enabling environment for the land use best practices demonstrated by the project in its two target districts to be replicated in the future in other districts within non-irrigated desert, steppe or mountain landscapes.

28. Implementation of activities and the development of policy, legal and institutional results under this component will benefit significantly from the practical experience gained under component one. The process of applying different approaches to land use management and planning will help identify the concrete issues that need to be addressed and provide a basis for justifying such changes to high level decision makers and policy makers and national institution staff that are often insulated from the ground reality of land use in Uzbekistan. The following three outcomes are envisaged in this component:

Outcome 2.1: Enhanced policy, legal, and institutional framework for implementing integrated and sustainable management of rain-fed arable land, rangeland and forests

Output 2.1.1: Updated or newly developed key sector policies and related strategic national planning documents for arid non-irrigated land use.

29. In terms of policy development, the project will support national government stakeholders in elaborating, or updating and refining existing policy documents and strategic long term plans related to pasture, livestock, forestry, rain-fed arable agriculture and other land use issues with direct relevance to them (for example fodder production in irrigated areas). At this stage, the project has identified the following specific areas for policy support.

30. Strategic national development policy for livestock and pasture use: Currently no real long term strategic planning is in place for the livestock and pasture use sector within the overall development planning of Uzbekistan. Past planning such as the Department of Livestock's (MAWM) "program on improvement of financial state and economic recovery of the karakul sheep-breeding farms (2007-2012)" and annual "Livestock Sector Development Programs" are operational/ administrative in

character but not strategic. The absence of strategic planning that looks at the full potential of extensive livestock management and pasture lands in the overall development of the country and the need to sustain this over the long term means there is no unified vision about the direction the sector should be trying to take. Inevitably, the lack of such strategic direction means that practical changes on the ground have been slow (or non-existent) and unsystematic. In order to overcome this reform inertia, facilitate more concerted action to improve pasture use, and to undertake positive legal, institutional and operational steps, the project will support the development of such a strategic policy or plan by the relevant national agencies responsible as a basis for consensual action. This will be implemented by a) elaboration of various long term development scenario options for the sector, b) provision of an opportunity, via workshops and other consultative events, to clarify preferred options and reach general consensus, c) support the drafting of a strategic plan/policy for review and consideration by the government.

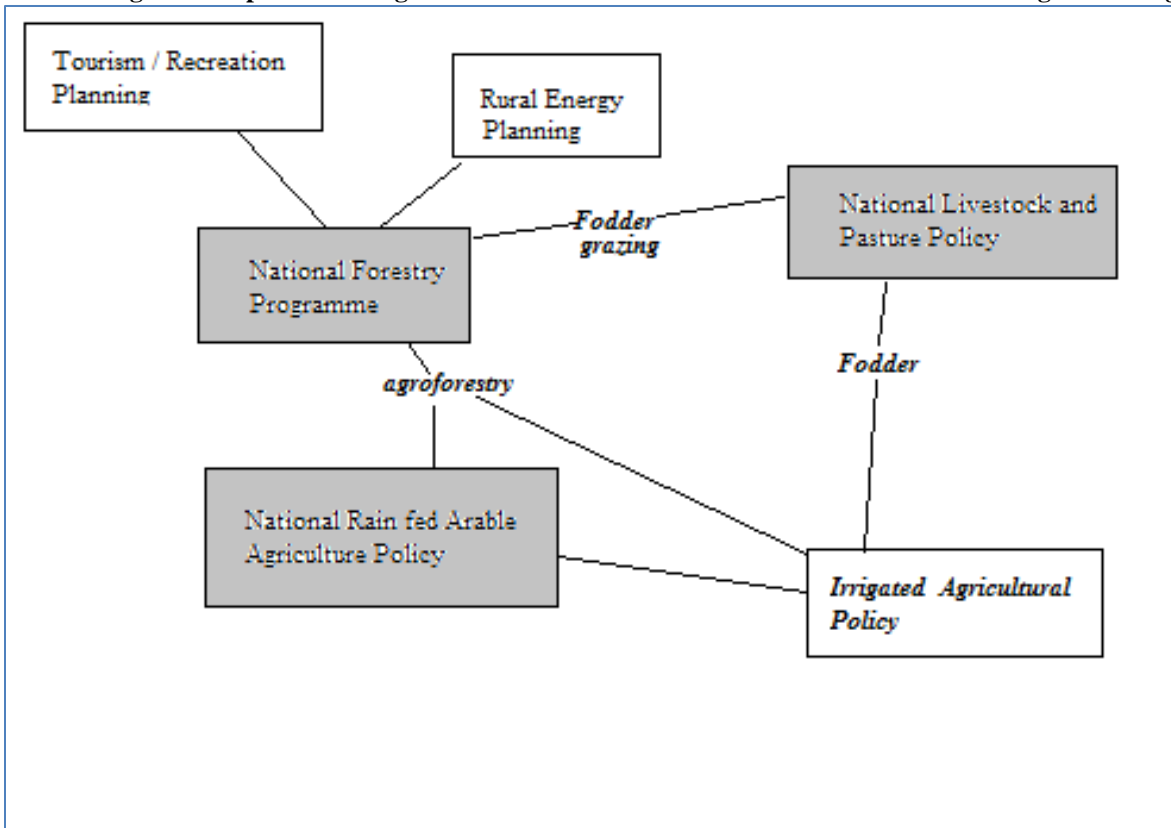
31. Strategic national development policy for forestry: Currently there is no strategic long term policy for the forestry sector within the overall development of Uzbekistan. There are, however, five-year “Forestry Development Programs” for each oblast that are approved by MAWM. However, these plans cover only forest fund territory managed by the Main Administration of Forestry (MAWM), are operational rather than strategic in purpose, and not national in organization or scope (focused at individual oblast level). A National Forestry Program which was more strategic and national in character was developed with the support of FAO in 2009 but this was never approved or endorsed by the government. Current policy focuses entirely on forests as having only an environmental security role and being state managed without recognition of the significant socio-economic values it has for both forestry enterprises and rural populations. The role of non-state actors and the importance of economic incentives are not adequately recognized. These limitations in current policy and management are key drivers behind forest degradation and loss and the limited success and scope of reforestation efforts. The project will undertake activities with the Main Administration of Forestry (MAWM) to revisit the National Forestry Program document and support further consultation and analysis of future policy directions. On this basis consensus will be reached within the Main Administration for Forestry, GKZ, The State Committee for Nature Protection, and others regarding the long term strategic development of forestry in Uzbekistan and approaches for achieving it. Subsequently, the project will support the finalization of a revised policy, facilitate its approval by government, and raise awareness about its contents.

32. Strategic policy for development of sustainable rain-fed arable agriculture: Currently there appears to be no long term strategic planning regarding the development of the rain-fed arable agriculture sector, probably due to its rather limited significance in terms of production compared to the irrigated sector. However, it does make a contribution to agricultural production and, more importantly, failure to take actions to improve sustainability will have very negative environmental results. As noted previously, the fertility of these areas has been constantly declining over the past 20-30 years and there is a growing risk of these areas descending into “dust bowls” with severe wind blow erosion, little vegetation and no land use value. It is important therefore to clarify what development contribution rain-fed arable lands can, and should, make to the Uzbekistan economy on a sustainable basis and what needs to be done to achieve this. The project will again support a process to develop a strategic development plan for rain-fed areas by MAWM through the following means: technical advice on viable options and sustainable approaches (partly based on practical experience in Zaamin district); workshops and consultations to reach consensus within and between the MAWM and stakeholders in the districts where rain-fed agriculture is practiced; and support to actual elaboration of a policy or strategic planning document.

Output 2.1.2: Linkages and synergies between the above sector policies and strategic planning documents to improve integration of efforts by relevant national institutions.

33. During the process of developing the above sector policy/ strategic planning documents, the project will support GKZ in the identification of important cross-sector considerations and issues. (The figure below captures the expected synergies between different sectors.) The project will instigate a dialogue between the sector stakeholders on a sector to sector basis as well as multi-sector discussions via working meetings and workshops. On the basis of agreement and consensus developed through these dialogues, cross-sector issues and collaborative approaches / mechanisms will be integrated into individual sector policy / strategic planning documents. An over-arching multi-sector briefing paper itemizing these will be developed as an annex to each sector document, and as a guidance document for the inter-ministerial land use coordination commission.

Figure 2. Expected Linkages between Land Use Sector/ Sub-sector Policies/ Strategic Planning Documents



Output 2.1.3: Relevant legislative changes and regulatory instruments developed and enacted on the basis of field experience gained in Component 1.

34. During project development, key areas of legislative change required to bring reforms up-to-date and to remove barriers to effective land use by actual land users in non-irrigated landscapes (shirkats, dekhans, and leshoz) were broadly identified. The task of the project will be to support national stakeholders to reach consensus on what exact form legislative change will take in order to fit policy and strategic planning objectives. Once this is done the project will prioritize those that it supports changing during the project lifetime, those it will help redraft (as a basis for post project enactment), and those it will only further facilitate dialogue and clarification on (as a basis for post project drafting and enactment). Some specific areas that legislation clearly needs upgrading are:

35. **Pasture use:** Pasture use is currently not covered by any specific law and is managed and regulated under numerous laws and by-laws including the Land Code, Law “On farming entity”, Law on Agricultural Cooperative (shirkat), the Law on Dekhan Farms, various decisions of Cabinet of Ministers, etc. Clearly there is a need to adjust the legal instruments for managing the rational use of pasture, but at present there is no clear consensus on whether this is best done through a specific pasture law or through amendments to existing laws and bylaws, and inclusion of better mechanisms to implement them. The project will facilitate achieving this clear consensus and then implementing it (i.e. development of a pasture law or revisions to existing laws or both).

36. A priority to address is the current legal framework for shirkats and dekhan farms which are clearly deeply flawed. Shirkats were established from former kolkhoz (collective farms) as part of government reforms to transfer land use from direct state control to citizens. Shirkats are theoretically livestock cooperatives (Resolution of the Cabinet of Ministers No. 486 of 2003, “Model agreement on long-term lease of land plot by agricultural cooperative”) but in practice their governance and management differs little from kolkhoz and their success in economic or rational land use terms is extremely poor. They suffer from having few of the advantages of either private or state entities but all the disadvantages of both. There is a need to carry out some fundamental adjustments to their structure to create really viable cooperative farms, or to break them up into private farms (or a combination of both approaches). A very clear legal framework for doing this will be necessary and a clear

cut mechanism for oblast and district authorizes to practically enact it worked out. In the case of dekhan farmers, the main issue is their lack of recognition within the way the current legislation is implemented. Given the growth of rural populations, the number of livestock held by them and the ineffectiveness of shirkats, this is a recipe for pasture and socio-economic disaster and must be addressed. A better mechanism for allocating tenure and regulation of dekhan pasture use is required and mechanisms for implementing this (such as pasture user groups etc.) given legal basis. Other priority areas where legislative change is required will be identified during project implementation on the basis of practical field experience and detailed consultation with project stakeholders.

37. The project's role in the context of new or revised legislative development will be to facilitate the identification of legal options, in the context of any new policy or strategic plans, and to help the building of consensus on what concretely should be done. It will then provide direct technical support to elaborate the chosen options based on practical feedback from field activities under Component 1. In practice this will include: preparations of specific assessments of different legal options for achieving new policy or strategic objectives; workshops to review these options and build consensus; direct support to elaboration of laws and legal instruments; guidelines on how to achieve practical implementation (phasing in) of new legislation, including the institutional changes/adjustments required; and preparation and dissemination of awareness materials that build commitment, understanding and support for them.

Outcome 2.2: Adequate technical and managerial capacity for INRM at all levels of land use institutions for the development of policies, legislation and field operations (FA Outcome 3.1)

Output 2.2.1: National Coordination Council for Land Monitoring (coordinated by the State Committee for Land Resources and Cadastre) with appropriate set of documents defining institutional responsibilities for ensuring better integration of planning on rain-fed arable land, forestry and rangeland.

38. The project will specifically support changes to the National Coordination Council for Land Monitoring (under the State Committee for Land Resources and Geocadastre). The project will help assess the appropriateness of its mandate, how its mandate could be better achieved and on this basis provide specific recommendations and draft a set of documents defining institutional responsibilities for ensuring better integration of planning, particularly on forestry, rangeland and rain-fed arable agriculture. Furthermore, based on work undertaken under Output 2.1.1 the project will provide the commission with a briefing document that concretely details priority areas for better integration of planning and coordination/collaboration of different sectors, and the specific means by which to do this that have been discussed and agreed by the national land use department personnel directly responsible for policy enactment.

Output 2.2.2: Strengthened capacity of key institutions (Department of Livestock, Poultry, Apiculture and Aquaculture, and the Main Administration for Forestry)

39. This output is crucial in order to ensure the long term sustainable application of better land use practices. An improved legal, institutional and policy framework alone will not have any benefits unless there is the technical and managerial capacity to put it into practice. To achieve such an improvement in sustainable land use capacity will require both a short term and a long term approach: firstly, it will be necessary to build adequate immediate capacity to initiate change within the context of the project; and secondly to help establish mechanisms that ensure the longer term development of relevant national capacity to continue to develop the sustainable management of arid desert, semi-desert and mountain landscapes in the long term, post project.

40. Short term capacity development which is the focus of this output will be aimed at enabling project implementation and will be targeted to key stakeholders involved at different levels (from central government decision makers down to local authorities and national agency representatives), with the intention of achieving a shared understanding of the issues, opportunities and intended activities, outputs and objectives of the project. Capacity development will focus on building awareness of the project's objective and rationale, introducing sustainable integrated land use management concepts and approaches and helping stakeholders to apply them within the framework of the project's demonstration activities in order to ground training in reality. Training activities will use a mix of approaches based on existing experience UNDP has in Uzbekistan, ranging from relatively formal training sessions, to practical workshops and field visits.

Output 2.2.3: Long-term vocational and academic training curricula and programmes at professional colleges, lyciums, and universities to enhance national capacity to sustain the application of sound land use management.

41. Support to the longer term development of in-country capacity to plan and effectively apply integrated land use management will be focused at two levels:

42. (a) The building over time of a cadre of central and regional government personnel who have a good conceptual understanding of basic sustainable land use management issues and can apply them in national and regional development. The development of such a cadre to gradually replace those currently in place whose education and understanding is based on the legacy of Soviet era approaches is essential. The project will support the introduction of suitable materials into the curriculums of key educational institutions responsible for producing the majority of such personnel. The project will additionally undertake training of teachers and lecturers of such establishments regarding new concepts and approaches in order to maximize the effective impact of these additions to curriculums.

43. (b) At the district level, the project will support the considerable on-going investments by the government in district vocational and agricultural colleges through “training of teachers” (ToT), curriculum development which directly links local livelihood priorities and effective land use, and links to field activities being undertaken by the project (land use best practices and ILUM planning). Furthermore, the project will work with local schools to ensure that basic concepts of key land use management activities relevant to the daily lives of students (such as carrying capacity and grazing rotation, concept of sustainability, ecosystem services, etc.) are included into existing teaching materials. In these two ways the project aims to raise over time the baseline knowledge of the rural population on such issues to a level where it will positively impact land use decision making at the ground level. (Annex 4 of the UNDP Project Document has further details on the vision for strengthening capacities over the long-term through curriculum development at professional colleges, lyceums and universities.)

Outcome 2.3: Improved access of policy makers to tested INRM best practices and methodologies for improved land management

44. The project will undertake a compilation, processing, and dissemination of the knowledge gained about integrated natural resources use planning with the aim to systematically bring together the results of the project, and from that develop materials and tools which will provide a solid basis for national replication. Specific outputs include:

Output 2.3.1: Guidelines on good practices for sustainable natural resource management.

45. Guidelines on good practices for sustainable natural resources management will be developed based on the practical experience gained during the implementation within the two target districts and original experience of those who initially piloted them. These guidelines will be designed for the practical use and application of normal farmers and land users, as well as by district authorities and representatives of relevant national institutions at field level, and vocational training colleges. Therefore, great emphasis will be placed on ensuring that these guidelines are readily accessible to the intended audience and will utilize as much as possible simple non-technical language, easily understandable diagrams and pictograms, feasible actions and readily available materials, step-by- step instructions, and “trouble-shooting” guidance. Additionally, efforts will be made to ensure that they are easily re-producible (i.e. do not contain means of presentation, such as colour coding, etc. that will be lost from black and white printing or photocopying). This will greatly increase their potential further dissemination post project. Annex 5 of the UNDP Project Document provides a draft outline for the guidance document on good practices.

Output 2.3.2: The methodology for carrying out Integrated Land Use Planning (ILUP) documented, published and disseminated to facilitate replication.

46. The project will undertake an in-depth evaluation of the effectiveness of the methodology used to develop the two target district ILUPs and specifically identify major difficulties, adaption’s required and practical lessons learned that will be of value when trying to replicate the process. Based on this evaluation, a pragmatic guide for the replication of such planning at district level will be developed (see Annex 6 of the UNDP Project Document for a draft outline). Efforts will be made to ensure that it is designed in a way that is easily utilizable by target users, i.e. other district authorities and stakeholders. In order to validate this, the relevant district personnel of the two target districts will be asked to evaluate the final guidelines and help identify areas in which it can be improved in terms of practicality and accessibility for other district users. Based on their feedback a final version will be developed and published.

Output 2.3.3: Mechanisms for practical dissemination and application of land use best practices and the ILUP methodology, utilizing the experience and methods developed under CACILM.

47. The project will utilize both direct and indirect mechanisms to achieve maximum and targeted dissemination of relevant materials and guides produced by the project to key land use stakeholders and decision makers. Direct mechanisms will include:

48. Direct delivery of relevant guidelines and materials to identified target users: The project will organize the delivery of materials to target stakeholders, for example, copies of sustainable land use best practices and ILUP guides will be delivered directly to district authorities, district vocational colleges, etc. on the basis of a pre-defined list. Likewise, policy documents, new legislation (with explanations of their implications and practical application) will be delivered to national, regional and district state institutions and farmer associations / support groups and education facilities.

49. Workshops and dissemination events: The project will follow up the direct delivery of materials generated by the project with strategically planned workshops and other events in order to highlight their existence and clearly demonstrate their practical “real life” application. This includes sub-provincial workshops (i.e. workshops for a number of similar pre-defined groups of districts), provincial workshops, and a limited number of national workshops and profile raising events to highlight the issues and follow through on building awareness of the materials previously delivered. At a national level, an “open day” exhibition will be organized to present the achievements of the project, with specific focus on the most successful best practices and ILUP which will be presented by representatives of the target district authorities and participating land users. Depending on the success of this event, similar provincial events may be organized.

50. Cross fertilization visits / study tours: Study tours / cross fertilization visits of stakeholders from other selected districts within the projects target landscapes will be organized in order for them to see in practice the way and results of applying land use best practices and ILUM planning, and to talk to those who were practically involved in the process of applying them. Additionally, key provincial and national stakeholders and decision makers will be invited to undertake such visits in order to build a practical awareness of the issues faced on the ground and the means that the project tested for addressing them.

Indirect mechanisms will include:

51. Multiplier / dissemination agents (extension/education institutions): The project will make use of the strengthened technical and vocational training colleges and institutes (see project capacity building efforts under Output 2.2.3) to act as multipliers and dissemination agents for the projects materials. The project will support such agents to integrate materials provided by the project results into their training curriculums and in this way ensure practical use and long term application.

52. Media and Web based dissemination: The project will utilize the media, particularly local newspaper, radio and TV, to build awareness of the main issue and solutions to priority land use in the target landscapes. UNDP’s previous experience in effectively undertaking such activities will be put into practice including use of short films and radio programmes that focus on the very practical field level aspects and utilize actual land users and authorities that were involved in the project. Emphasis will be placed on the real life interests and concerns of rural populations and land use managers and thus the need to prompt a “farmer-to-farmer” type of approach rather than “technical/academic to farmer” one. Additionally the project will utilize web based platforms but materials and the target audience will be different. Web-based materials will focus on providing useful source materials for national and provincial state personnel, NGO’s and development actors.

53. National Development Agency networks and regional initiatives: The project will further aim to take advantage of existing networks within UNDP and partner development agencies and initiatives to achieve dissemination and practical application of project practical guides and materials. The project will work with the UNDP CO to identify existing projects that can make use of or effectively access key land use players and integrate into their activities the project materials. This would include, for example, rural development/poverty reduction orientated and governance related projects. A similar approach will be utilized with other UN agencies and relevant partner agencies such as GIZ, ICARDA, FAO, UNEP, etc. Finally, as a project under the umbrella of the GEF financed CACILM initiative, the project will take full advantage of the opportunities it provides to disseminate and share experience within the region and with relevant stakeholders.

54. In addition to the detailed development of the project components, other significant changes are as follows:

55. 1). Changes in project co-financing since the PIF(summarized in the table below): In brief, there are 6 additional co-financiers, i.e. District Forest Farms (Leshoz), Farmers Council of Uzbekistan, Ecological Movement of Uzbekistan, Centre for Support of Entrepreneurship and Farmers, the Karakul Sheep Breeding Farms (Karakul, Yangichorvador, and Zaaminchorvador), and the International Centre for Bio-saline Agriculture (ICBA). For various reasons, the GIZ has not been able to confirm their co-financing of the project within the time-life of the PPG. It has been agreed between UNDP and GIZ, that cooperation between UNDP and GIZ on the subject matter of the project is going to be further discussed in detail after the project start.

56. In total, project co-financing has increased by USD 1,650,000, of which USD 1,001,000 is new grant money and USD 649,000 is new in-kind financing. The involvement of new partners (ICBA and national NGO’s such as Farmers Council, Ecological Movement of Uzbekistan and Centre for Support of Entrepreneurship and Farmers) will widen the financial,

technical and social breadth of inputs to the project, particularly in regard to conservation agriculture, introduction of new appropriate crop varieties/species, and involvement of local populations and land users.

Table3. Summary of Changes in Co-financing

Co-financer	PIF		Final CEO Endorsement Doc.		Change		
	Grant	In-kind	Grant	In-kind	Grant	In-kind	Total
State Committee for Land Resources and Geo-Cadastre	6,039,000	671,000	6,700,000	900,000	661,000	229,000	890,000
Two district authorities (Romittan and Farish districts)		120,000		300,000		180,000	180,000
UNDP Uzbekistan	700,000		700,000				0
GIZ	700,000				-700,000		-700,000
District forestry farms (Karakul, Zamin)			220,000		220,000		220,000
Farmers Council of Uzbekistan				100,000		100,000	100,000
Ecological Movement of Uzbekistan				120,000		120,000	120,000
Centre for Support of Entrepreneurship and Farmers				20,000		20,000	20,000
International Centre for Bio-saline agriculture (ICBA)			500,000		500,000		500,000
Karakul breeding shirkat farms (“Karakul”, “Yangichorvador”, “Zaminchorvador karakul”)			320,000		320,000		320,000
Total	7,439,000	791,000	8,440,000	1,440,000	1,001,000	649,000	1,650,000

57. 2) Changes in allocation of funding between Components: In the original PIF Project Framework GEF funds were allocated as follows: Component 1 – USD 1,998,600, Component 2 – USD 200,000. Based on the PPG work and more detailed budgetary work these figures have been adjusted to USD 1,833,452 and USD 365,148 respectively.

58. 3) Final selection of project sites: In the PIF, the two sites provisionally selected were Romitan District in Bukhara province (desert landscape) and Farish district in Djizak province (steppe and mountain foothills). During the project preparation stage, a detailed review and selection process was undertaken to systematically choose sites that will be fully representative of the project target landscapes (ecologically, in land use terms and socio-economically), that have the support of national stakeholders, and have other practical features conducive to successful project implementation. In this context, all districts in Uzbekistan were filtered via a set of criteria agreed with key stakeholders and a shortlist of sites drawn up. From these the two final sites were selected in consultation with the national execution agency (State Committee for Land Resources and Geo-Cadastre). A description of the selection process is provided in Annex 1 of the UNDP Project Document.

59. 4) Adjustments and amplifications have been made in the text of the UNDP Project document to address the key issues raised by GEF, STAP and Council members during PIF approval. In particular, greater rigor in the process of selecting representative target districts with inclusion of socio-economic as well as land use and ecological factors (see above and annex); a recognition of the complexity of addressing national level changes to the land use system and consequently a realistic delineation of the scope and expected results of component 1; a greater emphasis on the need for land users’ participation in all aspects of the district level activities, and especially the process to develop district ILUMP (this is also explicit in most of the “best practices” to be replicated).

60. 5) Global environmental benefits: the extent of global environmental benefits to be generated by the project has been better quantified (see Project Document).

A.6 Risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and measures that address these risks:

61. The risk table has been updated as below based on further assessment and development work during the PPG stage. The wording, levels of risk, and mitigation measures have been adjusted and been made more detailed (see below). For example the level of risk from climate variability has been increased in view of its potential impact on project results and impact and wording of risk related to institutional inertia and “mindset” changes has been adjusted. The additional risks which have been added are both related to uptake or sustainability of capacity development efforts with vocational colleges and universities but these risks, though considered important, are also considered low.

IDENTIFIED RISKS AND CATEGORY	IMPACT	LIKELIHOOD	RISK ASSESSMENT	MITIGATION MEASURES
<p>ENVIRONMENTAL Climate vulnerability risks, such as extreme seasonal variations/ drought will negatively impact land conditions in project sites</p>	High	Moderately likely	High	<p>One of the core focuses of the project is the introduction of a) more resilient land use practices, b) the increased land use management capacity of land users and thus improved ability to apply adaptive management, and c) better integration of land use and thus greater overall system resilience. However, it is highly likely that some seasonal variations will impact project short term progress with implementing specific practices in the field.</p> <p>For this reason the duration of the project has been made unusually long in order to provide sufficient seasons during which to apply best practices and to be able to demonstrate an overall benefit. These design features will mitigate the impacts of wide seasonal variations but nonetheless extreme events will negatively impact the project and so this remains a significant threat.</p>
<p>POLITICAL Weak political or institutional will to make necessary changes and support reform will prevent the application of good land use practices on the ground. More specifically, difficulty in ensuring that the enabling legal and institutional framework is modified adequately or in a timely manner because specific contents of legal revisions cannot be agreed by various stakeholders or that process of enacting legal revisions is impeded.</p>	High	Moderately likely	Moderate	<p>Inevitably, the fundamental changes in the roles of the state under a reformed pasture management, forestry and rain-fed areas utilization system will be difficult unless there is clear political understanding of the need to make such changes, and full commitment to making them. To some extent this understanding and commitment already has been built. However, in order to further mitigate this risk the project will undertake dedicated and carefully targeted awareness and capacity building at the outset of the project.</p>
<p>POLITICAL Engaging local stakeholders contains some risk in the context of existing mainly centralized approaches.</p>	Moderate	Likely	Moderate	<p>In seeking a collaborative management system, the project is building on some existing local authorities’ experience (particularly in Djizak) and their existing responsibilities, backed up by existing policies that do open the door for more local engagement and participation. The project will seek to actively cooperate with local municipalities that are composed of community representatives and are responsible for some aspects of land management such as leasing pasture lands, collection of property and land related taxes and ensuring effective management of revenues. The Forestry Agency (within Ministry of Agriculture) has committed within its National Forestry Programme to engage local communities and stakeholders in forest management and this is a positive development indicative of the government’s opening up to new approaches involving community-based management.</p>
<p>STRATEGIC Building of sufficient capacity and practical know-how within essential state institutions and local</p>	Low	Moderately likely	Moderate	<p>One of the main lessons learned by UNDP and other development partners in Central Asia in the last 15 years is that to change and reform existing institutions and mind-sets is an extremely time consuming process if it is to be achieved effectively. This has been a clear lesson from most of UNDP and</p>

IDENTIFIED RISKS AND CATEGORY	IMPACT	LIKELIHOOD	RISK ASSESSMENT	MITIGATION MEASURES
authorities will take too long to allow project sustainability				other development actors' initiatives in the area and a key reason for many projects to not achieve the full results expected. Thus it is of paramount importance that in the project a realistic timeframe for the systematic implementation of the various project activities is planned in order to mitigate this risk. This is an additional reason why the timeframe of 5 years has been considered necessary.
STRATEGIC Disagreements and misunderstanding between user groups and the main beneficiaries of current resource use system. Despite linkages being known and a coordination mechanism in place, different land use institutions will continue to pursue their narrow interests. Vested interests of current institutions will delay or prevent substantial adjustment of mandates or structure. Thus, consensus on long term strategic objectives for pasture, forestry and rain-fed arable agriculture cannot be reached within the project time frame.	Moderate	Moderately likely	Moderate	The establishment of new pasture, forestry and rain-fed area user rights will inevitably cause some initial misunderstandings and potential disagreements. National and local state institutions and rural population have deeply ingrained understanding of such issues based on 60 years of soviet practice. Likewise communities themselves lack experience of collaboration both within and with each other. The project design incorporates at each level steps and changes that in total should mitigate this risk. Clear policy direction and institutional/ legal reforms will provide the appropriate environment, capacity strengthening will change existing mind-sets, and on ground practical testing of approaches and good practice will put in place the necessary mechanisms for dispute resolution.
ENVIRONMENTAL New threats could emerge (such as insect infestations, disease caused by climate change, reduced water availability, etc.), or existing threats could increase beyond the projected levels (such as rate of population increase).	Moderate	Not likely	Low	The project is designed to respond flexibly to threats and seeks to put in place processes and tools that will enable stakeholders to adapt SLM practices and practical management to the on ground situation. In short, it will build the adaptability of all levels (from land users, local authorities, up to national institutions) to respond to changing circumstances and threats.
POLITICAL Government will not continue to support the recurrent cost of district vocational training colleges	Moderate	Not likely	Low	Given the levels of commitment and investment shown to date by the government this is an unlikely risk but its impact would be moderate so it is included. The project will mitigate the risk by highlighting the value of such colleges for their long term support and role within the rural development of the country.
STRATEGIC Graduates, despite better knowledge of good land use principles and practices, will not be able to apply knowledge due to continued existence of inappropriate institutional context or employment opportunities are better in other sectors	Moderate	Not likely	Low	This is not considered a high risk but it may be that other sectors of the economy may offer graduates from agricultural faculties of universities better employment opportunities. The only mitigation the project can provide is to ensure that graduate courses are better tailored to the job market needs and put them in an advantageous position to succeed in the agricultural sector.
STRATEGIC Key personnel from government are unable to actively participate in training sessions.	Moderate	Not likely	Low	Government participation in training events is not likely to be a hindrance. The project will ensure that scheduling of events is undertaken in a way that allows for maximum participation of key personnel

A.7. Coordination with other relevant GEF financed initiatives

62. In addition to the coordination arrangements outlined in the original PIF regarding CACILM, ICARDA etc., the project will also ensure coordination of efforts and share practical experience with a number of other relevant projects currently under development that seek GEF financing, specifically the WB/GEF “ Sustainable Agriculture and Climate

Change Mitigation Project”, the UNEP supported initiative to Align the National Action Plan on Desertification with the new UNCCD Strategy, and UNEP/ GEF Conservation and Sustainable use of Agricultural Biodiversity to improve regulating and supporting ecosystem services in agriculture production in Uzbekistan” project (at PIF stage). In this context, efforts will be made to share plans and experience on a regular basis in order to maximize impact. The technical teams of both projects will be invited to join with national agency and other key players in regular meetings of the project “Technical Coordination Group”.

B. ADDITIONAL INFORMATION NOT ADDRESSED AT PIF STAGE:

B.1 Describe how the stakeholders will be engaged in project implementation.

63. Stakeholders in the project include relevant institutions and individuals at all levels from national Ministries, regional and district governments, down to pastoralist farmers and rural communities. Key stakeholders and their roles differ in accordance with the different components of the project as they focus on addressing different barriers and issues within the planning and landscape management hierarchy. Component 1 of the project (“the wider adoption of relevant best practices on integrated rangeland and forestry sectors and preparation of district level integrated land use planning within a representative sample of arid mountain, semi-desert and desert landscapes in Uzbekistan”) mainly involves district stakeholders directly involved in land use i.e. forestry enterprises, shirkats, private farmers, local self-governing structures, and, most important of all, local communities and individual households / dekhan farms. Local representatives of key national institutions such as the Ministry of Agriculture, State Committee for Land Resources and Cadastre, State Committee for Nature Protection and the District Authorities will also be important players. It is critical that national institutions are fully supportive if district level planning is to work and for ensuring that best practices become common practice.

64. Component 2 of the project (“Enabling cross-sector environment and knowledge management for integrated landscape management in arid mountain, semi-desert and desert areas of Uzbekistan”) involves mainly stakeholders at the higher national level, including Ministry of Agriculture (specifically departments dealing with livestock, pasture and forestry), the State Committee of Land Resources and Cadastre, and the Karakul Sheep Association. Key stakeholders involved in the development of national policy such as the Ministry of Economics, Ministry of Finance and relevant departments of Cabinet of Ministers will also be important. Additionally, the inputs and feedback of practical management realities experienced by stakeholders in the field, such as the oblast and district authorities and the land users themselves (shirkats, forestry enterprises, farmers, communities, households) need to feed into the development of the national legal, policy and institutional environment.

Stakeholder	Stakeholder’s interest and influence	Role/ responsibility in the project
National		
State Committee on Land Resources, Geodesy, Cartography and State Cadastre (Goskomzem, GKZ)	<u>Interest:</u> Primary, Lead Implementing Agency <u>Influence:</u> Responsible for regulatory framework related to land use, land tenure and technical aspects of land use planning.	Project coordination from the side of the government as well as carrying out the following functions of direct relevance and importance for this project: systematic research on the demand for quality and variety of land cadastre information, publish it and make it available to stakeholders; the operation of an automated land information system; the maintenance of the state land cadastre in districts; the provision of aerial photos, land use plans and cartographic products; and topography data required for keeping land cadastre. GKZ will participate in the project in its capacity of land use planner and repository for land use information.
Ministry of Agriculture and Water Resources of the Republic of Uzbekistan (MAWR)	<u>Interest:</u> Primary, direct interest <u>Influence:</u> Responsible for policy development, planning, coordination and implementation of all activity related to productive land use, agricultural productivity and protection of natural resources.	Will participate in the project mainly through its Main Forestry Department and Main Livestock Department.
Main Forestry Department of the MAWR	<u>Interest:</u> Primary, key participant <u>Influence:</u> Responsible for overall development and planning, policy, and management of forest lands, open pastures and other lands under its jurisdiction, including protected areas and hunting reserves.	The Forestry Department brings a broad land use/water use perspective to the project with experience in afforestation, stock management, irrigation, and other technologies for land and water management. In both Zaamin and Karakul districts, branches of the Forestry Department will work closely with the project providing the experience it has gained over the years of planting saxaul as a means of consolidating mobile sand. In both Bukhara and Djizak Oblasts, the Forestry Department will

Stakeholder	Stakeholder's interest and influence	Role/ responsibility in the project
		provide its tree nursery facilities and other support as required by the project.
Main Livestock Department of the MAWR	<u>Interest:</u> Primary, key participant <u>Influence:</u> Responsible for overall development and planning, policy, and management of pasture lands, livestock sector development.	The Main Livestock Department brings a broad pasture use/water use perspective to the project with experience in pasture enrichment, stock management, pasture watering, and other technologies for livestock management. In both Zaamin and Karakul districts, enterprises of the Main Livestock Department will work closely with the project providing the experience it has gained over the years of pasture rotation and animal breeding practices. In both Bukhara and Djizak Oblasts, the Main Livestock Department will provide support through the National Company "Uzbekkarakul" and other support as required by the project
O'zbekqorako'li company	<u>Interest:</u> Primary, key participant <u>Influence:</u> authorized national company to oversee development of karakul livestock farming in Uzbekistan, increase livestock population, improvement of its productivity.	The project will work closely with territorial enterprises of Uzbekkarakul and perform sector-specific, mid-level vertical management in all processes related to the utilization and improvement of pastures.
Uzbek Agricultural Research and Production Centre	<u>Interest:</u> Primary, key participant <u>Influence:</u> the Centre unites agricultural research institutions, their branches, and experimental stations in all regions of the country. The Centre is responsible for agricultural research.	The project will work closely with representatives of major sectoral research institutions such as Grain Research Institute, Livestock Research Institute, Karakul Farming and Desert Ecosystem Research Institute, etc. functioning under the Centre, to benefit from their knowledge and approaches, and disseminate project results.
State Committee for Nature Protection (Goskompriroda)	<u>Interest:</u> Direct interest as focal point for CBD; Primary, key participant <u>Influence:</u> Responsible for overall environmental policy and regulatory framework. Advisory role on environment in general and technical matters related to biodiversity conservation.	Providing oversight for the project, particularly on Biodiversity matters.. It will play a technical advisory role.
Ministry of Tourism	<u>Interest:</u> Tertiary <u>Influence:</u> Responsible for overall development of tourism in Uzbekistan.	Technical advisory role: Eco-tourism is a possible alternative income generation activity which may be identified during land use inventory of target districts as being a viable option. The Ministry will be consulted if this activity appears to have potential.
Ministry of Economy	<u>Interest:</u> Secondary <u>Influence:</u> Responsible for overall national development and macro-level strategic planning, policy, integration of sectoral development inputs from other government agencies.	Technical advisory role: Engaged in project implementation through membership in PEB.
Ministry of Higher Education	<u>Interest:</u> Primary, key participant <u>Influence:</u> Responsible for education policy formulation and delivery of education services, including to remote local communities.	Technical advisory role: The project will seek the advice of the Ministry in its development of special teaching and learning material for colleges and universities.
Uzbekistan Hydrometeorological Administration (Uzgidromet)	<u>Interest:</u> Primary, direct interest as focal point for UNCCD and UNFCCC, key participant <u>Influence:</u> Uzgidromet is the Government agency in charge of providing the Government and other agencies with information on actual and expected hydrometeorological conditions and climate change, the level of environmental pollution, and the centralized compilation of associated information.	Technical advisory role: Uzgidromet will participate in the project through its Hydrometeorological Institute (NIGMI), which is responsible for the implementation of the UN Convention on Climate Change and the UN Convention to Combat Desertification.
The Farmers' Council of Uzbekistan	<u>Interest:</u> Primary, key participant. <u>Influence:</u> association of farmers, protecting and representing their interests in the government and other organizations.	Technical advisory role: The project will seek their advice on interests of farmers, systematic review of effectiveness of the land use in the farms, support in the supply of seeds, fertilizers, seedlings, pedigree livestock, and other resources as well as support for production, technological, transportation, legal,

Stakeholder	Stakeholder's interest and influence	Role/ responsibility in the project
		information, marketing, and other services.
The State Committee on Geology and Mineral Resources	<u>Interest:</u> Secondary <u>Influence:</u> authorized government agency for utilization and protection of underground waters. Uzbek hydrogeology is the stakeholder body in implementation of UN CBD and FCCC.	Technical advisory role: The project will seek their advice on forecasting location and depth of ground waters used for irrigation of lands and watering livestock on pasture lands.
Regional		
Regional governments of Bukhara and Djizzak oblasts.	<u>Interest:</u> Secondary, important participant. <u>Influence:</u> Responsible for meeting the direct needs of communities, and providing the regulatory guidance on resource management, etc. Aim to maximize social and economic benefit of communities through the optimum use of natural resources.	There will be an opportunity for the Oblast Offices to become connected with the project's electronic network thus accessing a vast amount of information
District authorities of Zaamin and Karakul districts.	<u>Interest:</u> Primary, important participant. <u>Influence:</u> Responsible for meeting the direct needs of communities, and providing the regulatory guidance on resource management, etc. Aim to maximize social and economic benefit of communities through the optimum use of natural resources within the district.	Coordination, implementation and support to all district level activities being supported by the project. Specifically, support via provision of office space and relevant land use staff; identification and selection of locations and participants for best practice implementation; development of ILUMP and implementation (with project technical support); comments and input to national policy, legislation and institutional changes.
Research Institute for Karakul Sheep Breeding and Desert Ecology	<u>Interest:</u> Primary, important participant. <u>Influence:</u> Responsible for development of scientific approaches and practical implementation of innovative technologies in the field of pasture management and livestock breeding in the desert regions.	There will be an opportunity to use scientific and practical experience of institute staff in the project implementation activities related to improvement of the pasture management and livestock keeping in pilot areas of the project.
Universities related to the project thematic focus (Tashkent State Agricultural University, Samarkand State University, Samarkand Agricultural Institute.	<u>Interest:</u> Secondary, key participant. <u>Influence:</u> Responsible for development of methodology of study processes in the field of agriculture, biology, forestry and livestock.	The project will work with the universities to develop and improve the study materials for students and teachers in order to enhance study process for agricultural and environmental sciences. The goal is to further develop capacity of specialists and decision makers in the field of land use management.
Local		
Community Administrations (Rural Citizens Council)	<u>Interest:</u> Primary, important participant and key beneficiaries. <u>Influence:</u> Responsible for meeting the direct needs of communities, and providing the regulatory guidance on resource management, etc. Aim to maximize social and economic benefit of communities through the optimum use of natural resources within community.	Officials have a personal interest since they form part of the community. The communities are the prime beneficiaries of the project. The trials of innovative sustainable land management techniques will take place in the communities and they will inherit the outcomes and other products of the project. The communities have been involved in project development and they will continue to be involved in project implementation. The design of the project and the electronic connectivity that it will provide, will make them true partners in project implementation in many aspects of the project
Local enterprises of sheep breeding (karakul shirkats) and forestry.	<u>Interest:</u> Primary, important participant and key beneficiaries. <u>Influence:</u> maximizing social and economic benefit of business activity through the optimum use of natural resources within community.	Implementation of the project approaches directly on territories of these enterprises. Joint analysis and evaluation of the project's practical results. Carrying out the study and learning seminars demonstrating advances of new agricultural and forestry technique.
Local professional colleges related to the project theme	<u>Interest:</u> Primary, key participant. <u>Influence:</u> Responsible for development of methodology of study processes in the field of agriculture, biology, forestry and livestock.	The project will develop and improve the study materials for students and teachers at these colleges in order to enhance study process for agricultural and environmental directions. The goal is to further develop capacity of specialists in the field of land use management.
International		
International Centre for Bio saline Agriculture (ICBA)	<u>Interest:</u> Primary, key participant. <u>Influence:</u> to demonstrate the value of marginal and saline water resources for the	Carrying out joint actions on increasing fertility of the land and enriching pastures in the project areas. Joint publications and implementation of joint training seminars.

Stakeholder	Stakeholder's interest and influence	Role/ responsibility in the project
	production of economically and environmentally useful plants, and to transfer the results of our research to national research services and communities.	
ICARDA	<u>Interest:</u> Primary, key participant. <u>Influence:</u> the founding mandate is to promote agricultural development in the dry areas of developing countries. In cooperation with the Ministry of Agriculture and Water Resources and the Research Production Centre of Agriculture, it is implementing a number of projects on the improvement of farming systems in rain fed lands by testing new varieties of leguminous and grain crops.	In the framework of the project, providing test and dissemination of new varieties of leguminous crops in rain fed lands. Joint publications and implementation of joint training seminars.
GIZ	<u>Interest:</u> Primary, important participant. <u>Influence:</u> wide range of instruments and networks that flexibly and innovatively create values and empower people to shape their own development processes. Promote a market-oriented, ecological and social economic order and observe the principles of corporate responsibility. Ministry of Agriculture and Water Resources of Uzbekistan and GIZ are implementing a project "Sustainable management of pasture with participation of local community".	Experience and information exchange in the field of pasture rehabilitation and use, income diversification of the population in the arid regions of Uzbekistan.
MASHAW – Israel Centre for International Cooperation	<u>Interest:</u> Secondary, key participant. <u>Influence:</u> agricultural programs deal with the introduction of modern technologies and agro-technical methods designed to increase the levels, sustainability and quality of agricultural production to ensure food security. It also concentrates on introducing effective support systems to enhance the economic viability of agriculture in areas such as marketing, storage and transport, the supply of agricultural inputs, granting of credit and finance to the agricultural sector and upgrading the work of extension services. In Uzbekistan, MASHAV supported the project on Sustainable Livestock Development. A range of projects on the seed zoning of food and fodder plant species.	Training and intensive courses in different areas of the project. A study tour to raise awareness on the issues of agriculture in rain fed and arid lands in Israel. Joint publications.
OSCE – Organization for Security and Co-operation in Europe	<u>Interest:</u> Secondary, key participant. <u>Influence:</u> In cooperation with the Ministry of Agriculture and Water Resources and the Council of Farmers, it implements a number of projects on improvement of legislative documents in the field of agriculture and water resources.	Improvement of the normative-legal documents in the field of land use relating to the project theme. Joint publications and implementation of joint training seminars.
CACILM	<u>Interest:</u> Primary, key participant. <u>Influence:</u> CACILM's goal is to restore, maintain, and enhance the productive functions of land in Central Asia, leading to improved economic and social well-being of those who depend on these resources while preserving the ecological functions of the land. CACILM implements a comprehensive and integrated approach to	Joint training efforts in the field of sustainable land use, and participation in regional programs for improvement of land use in Central Asia.

Stakeholder	Stakeholder's interest and influence	Role/ responsibility in the project
	sustainable land management that would produce benefits at the local, national, and global levels. The SLM projects in Uzbekistan are under the umbrella of CACILM.	

B.2 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):

65. The majority of the population lives in rural areas and over 80% of the country is arid with limited environmental and livelihood security. Within such areas the main livelihood options and land use opportunities are related to pasture, forestry and biodiversity use. These are the areas that the project is targeting and thus the potential impact of the project on the socio-economic prosperity of rural Uzbekistan could be profoundly beneficial. It is very roughly estimated that about 10 million people living in arid and mountain landscapes would have their livelihoods made more secure if the project successfully achieves its outcomes, and the food security of the remaining population of the country (total population is about 28 million) would be improved. Due to the past highly centralized soviet managed economy in which all agricultural land was under state management, there is little recognition (particularly in arid and mountain landscapes which have not received the same levels of reforms as irrigated land use) of the role local household and private land users have to more productively use resources. Currently for example there is no recognition of household livestock owners as land users (although in many areas they own the majority of livestock) and little involvement of local communities in forestry. Unleashing the economic and productivity potential of rural populations by giving them secure rights to use pasture or forest lands, and by ensuring the state shares the benefits of that use sufficiently to provide adequate incentive to manage land productively and sustainably, could radically improve investments, productivity and the economy of arid and mountainous landscape areas. The pilot efforts to test joint forest management approaches clearly demonstrate that by recognizing the role local populations can play in managing land, and by adjusting the tenure and sharing of generated benefits (between state and local households) sufficient incentives can be put in place that bring about a significant investments by land users and real benefits that contribute positively to both the rural economy and state institutions budgets. Additional financial instruments such as tax and rent windows for those who make investments towards sustainable land use will also be tested and assessed to see what practical role they might play in increasing incentives towards sustainable use.

66. The benefits for rural communities of changes in tenure and user rights, access to state land, and introduction of sound land use management are considerable, both in direct economic terms and in terms of long term livelihood security. For example, estimates from the pilot joint forest management activities in Farish district (which has similar circumstances and conditions as Zaamin district) indicated that households renting 2 or 3 ha of forestry land could, after 10 years, be generating annually up to USD 6,000 additional household income (i.e. about 3 times the average annual salary in Uzbekistan in 2010). This is in addition to the environmental economic benefits, which were not valued in the study. The potential economic impact of bringing more pasture into sustainable use, plus the more productive use of currently used pasture, will bring even greater benefits, both to the overall rural economy and the state. For example, provisional estimates from the UNDP/GEF SLM project suggest that improved grazing practices tested in project sites increases income per head of livestock by about 32%. A shift from “karakul” pelt to meat production in desert pasture areas (which is current official policy) would increase incomes per sheep by over 4 times (i.e. by about USD 36 / sheep) without incurring other economic or environmental costs.

67. Conversely, the potential impact of not undertaking the reforms and activities proposed by the project could be profoundly negative as further environmental degradation and land productivity declines would reduce livelihood options and increase vulnerability to short term economic shocks and longer term difficulties to adapt to a changing climate. Apart from livelihoods another important economic factor for most rural households, and one that relates particularly to women, is energy for cooking and heating. In large percentages of households this is primarily from biomass sources which have negative aspects not just in terms of deforestation, but also in terms of economic cost to households, and in terms of time, labour and health costs for the main users (women). The project will try to address issues related to both availability of fuel wood, efficiency of use and viable alternatives which should have significant socio-economic impacts and benefits, particularly for women. At a national scale the absence of concerted actions to avoid or redress land degradation of the majority of land use areas has significant implications for food production (particularly meat), productivity of sustainable economic activities such as karakul pelts and forest products, and economic costs of addressing environment related natural disasters such as landslides, moving sands and flooding.

68. In the steppes and desert zones 2.5-3.5% of commercial farms are managed by women, while this figure is 4.5-5.5% in the foothills. In steppe and pasture zones there are fewer opportunities for employment of women, which is explained by relatively low rate of employment and household income compared to other zones. Apart from the relatively small number of commercial farms managed by women, women play an important role in management and use of household livestock and small plots, and in value adding processing of local produce. In this regard, several of the project activities will help strengthen their capacity within the context of community/ village pasture user groups, and particularly in the context of the Farmer Field Schools. The project will ensure targeted support to women through the FFS improved practices and through the promotion of “value adding” activities that best fit the working opportunities of women in these communities. These include, for example, processing of household plot and non-timber forest products such as fruit, nuts and honey and medicinal plants, and support to marketing. Women are the main players in regard to fuel wood use, either for cooking or heating. In this regard the project has a dedicated output to look at alternative/ appropriate technologies some of which will focus on reducing fuel wood consumption and demand. At the same time these technologies will have health benefits, mainly for women (reduced smoke) and labour/ convenience. In forest areas, women are employed in agroforestry, forest improvement, and protection of forests. Most women are involved in collecting nuts, fruit, and medicinal plants (mint, dog rose, etc.), and harvesting wild growing herbs (kovar, dog rose, sesame, cumin, etc.) for commercial purposes. Thus, forest areas serve as both main and auxiliary source of employment and self-employment of women. The project will support methods to improve the sustainability of such activities and the economic benefits.

B.3.Explain how cost-effectiveness is reflected in the project design:

69. GEF funding in the proposed sustainable land management project for Uzbekistan is designed to be catalytic for achieving more sustainable and better integrated land management. The UNDP/ GEF proposal will build upon both existing government efforts to improve the effectiveness and integration of land use, and past international development efforts to pilot more sustainable practices. This approach will maximize the cost-effectiveness of the overall project.

70. The project’s focus on up-scaling of existing best practices will streamline the process of demonstrating such practices at a wider scale as it will be building upon existing practical experience of their application in the field. Furthermore, as in most cases the adoption of the selected best practices will meet the immediate interests of land users, the project will apply a cost sharing requirement whenever this is feasible. Project inputs towards the replication of such practice will be limited to technical advice through development of appropriate technical extension mechanism. As a result, the project will encourage private (land user) investments in sustainable land use and only need to cover a limited proportion of direct investments required to demonstrate and propagate the selected best practices. This will lead to better allocation of GEF and non-GEF resources and more focused interventions and investments. Regular communication and coordination with the other donor agencies working on similar interventions will be established via the Technical Coordination group and will ensure that there are no overlaps of activities and full advantage of beneficial synergies are taken.

71. The project approach, with its emphasis on utilizing practical on-ground experience in order to “feed” into national policy planning, and legislative / institutional reform efforts will help ensure a more efficient and cost effective process for such efforts. An alternative approach could have been to first address the policy and legal/institutional framework and then pilot its implementation in the field. This is considered to be highly inappropriate, on the basis that the policy, legal and institutional changes would not be “grounded” in the pragmatic realities of land use in the field. Furthermore, without a practical demonstration of what is possible in practice, there is a high risk of opposition and inertia at a national to introducing new practices due to lack of faith in their viability.

C. DESCRIBE THE BUDGETED M &E PLAN:

72. The project’s Monitoring & Evaluation (M&E) framework will build on UNDP’s existing M&E Framework for land degradation programming. Project monitoring and evaluation will be conducted in accordance with established UNDP and GEF procedures and will be provided by the project team and the UNDP Country Office (UNDP-CO) with support from the UNDP/GEF Regional Coordination Unit in Bratislava, Slovakia. The Project Results Framework provides performance and impact indicators for project implementation along with their corresponding means of verification. The LD-PMAT will be used to monitor the project’s impact on land degradation (see Annex 10). The M&E plan includes: inception report, project implementation reviews, quarterly and annual review reports, a mid-term review and final evaluation. The following sections outline the principle components of the Monitoring and Evaluation Plan and indicative cost estimates related to M&E activities. The project’s Monitoring and Evaluation Plan will be presented and finalized in the Project’s Inception Report following a collective fine-tuning of indicators, means of verification, and the full definition of project staff M&E responsibilities.

Inception Phase

73. A **Project Inception Workshop** will be conducted with the full project team, relevant government counterparts, co-financing partners, the UNDP-CO and representation from the UNDP-GEF Regional Coordinating Unit within 3 months of project start up. A fundamental objective of this Inception Workshop will be to assist the project team to understand and take ownership of the project's goal and objective, as well as finalize preparation of the project's first annual work plan. This will include reviewing the logframe (indicators, means of verification, assumptions), imparting additional detail as needed, and on the basis of this exercise, finalizing the Annual Work Plan (AWP) with precise and measurable performance indicators, and in a manner consistent with the expected outcomes for the project.

74. Additionally, the purpose and objective of the Inception Workshop (IW) will be to: (i) introduce project staff with the UNDP-GEF team which will support the project during its implementation, namely the CO and responsible Regional Coordinating Unit staff; (ii) detail the roles, support services and complementary responsibilities of UNDP-CO and RCU staff vis-à-vis the project team; (iii) provide a detailed overview of UNDP-GEF reporting and monitoring and evaluation (M&E) requirements, with particular emphasis on the Annual Project Implementation Reviews (PIRs) and related documentation, the Annual Review Report (ARR), as well as mid-term and final evaluations. Equally, the IW will provide an opportunity to inform the project team on UNDP project related budgetary planning, budget reviews, and mandatory budget re-phasing's. The IW will also provide an opportunity for all parties to understand their roles and responsibilities within the project's decision-making structures, including reporting and communication lines.

75. A detailed schedule of project review meetings will be developed by project management, in consultation with project implementation partners and stakeholder representatives and incorporated in the Project Inception Report. Such a schedule will include: (i) tentative time frames for Project Executive Board Meetings (PEBM) and (ii) project related Monitoring and Evaluation activities. Day-to-day monitoring of implementation progress will be the responsibility of the Project Manager (PM) based on the project's Annual Work Plan and agreed indicators. The PM will inform the UNDP-CO of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely and remedial fashion. The PM will also fine-tune the progress and performance/impact indicators of the project in consultation with the full project team at the Inception Workshop with support from UNDP-CO and assisted by the UNDP-GEF Regional Coordinating Unit. Specific targets for the first year implementation progress indicators together with their means of verification will be developed at this Workshop. These will be used to assess whether implementation is proceeding at the intended pace and in the right direction and will form part of the Annual Work Plan. Targets and indicators for subsequent years would be defined annually as part of the internal evaluation and planning processes undertaken by the project team.

76. Measurement of impact indicators related to global benefits will occur according to the schedules defined in the Inception Workshop, using LD-PMAT, and other means of assessing project impact. Periodic monitoring of implementation progress will be undertaken by the UNDP-CO through quarterly meetings with the Implementing Partner, or more frequently as deemed necessary. This will allow parties to take stock and to troubleshoot any problems pertaining to the project in a timely fashion to ensure smooth implementation of project activities. Annual Monitoring will occur through the Project Executive Board Meetings. This is the highest policy-level meeting of the parties directly involved in the implementation of a project. The project will be subject to PEBM four times a year. The first such meeting will be held within the first six months of the start of full implementation.

77. A terminal PEB Meeting will be held in the last month of project operations. The PM is responsible for preparing the Terminal Report and submitting it to UNDP-CO and UNDP-GEF RCU after close consultation with the PEB. It shall be prepared in draft at least two months in advance of the terminal PEB Meeting in order to allow review, and will serve as the basis for discussions in the PEB Meeting. The terminal meeting considers the implementation of the project as a whole, paying particular attention to whether the project has achieved its objectives and contributed to the broader environmental objectives. It decides whether any actions are still necessary, particularly in relation to sustainability of project results, and acts as a vehicle through which lessons learnt can be captured to feed into other projects under implementation.

78. UNDP Country Offices and UNDP-GEF RCU as appropriate, will conduct yearly visits to project sites based on an agreed upon schedule to be detailed in the project's Inception Report/Annual Work Plan to assess first hand project progress. A Field Visit Report/BTOR will be prepared by the Country Office and UNDP-GEF RCU and circulated no less than one month after the visit to the project team, all PEB members, and UNDP-GEF.

Project Reporting

79. The PMU, in conjunction with the UNDP-GEF extended team, will be responsible for the preparation and submission of the following reports that form part of the monitoring process. The first six reports are mandatory and strictly related to monitoring, while the last two have a broader function and their focus will be defined during implementation.

80. A Project Inception Report will be prepared immediately following the Inception Workshop. It will include a detailed First Year Work Plan divided in quarterly time-frames detailing the activities and progress indicators that will guide implementation during the first year of the project. This Work Plan will include the dates of specific field visits, support missions from the UNDP-CO or the Regional Coordinating Unit (RCU) or consultants, as well as time-frames for meetings of the project's decision making structures. The Report will also include the detailed project budget for the first full year of implementation, prepared on the basis of the Annual Work Plan, and including any monitoring and evaluation requirements to effectively measure project performance during the targeted 12 month time-frame.

81. The Inception Report will include a more detailed narrative on the institutional roles, responsibilities, coordinating actions and feedback mechanisms of project related partners. In addition, a section will be included on progress to date on project establishment and start-up activities and an update of any changed external conditions that may affect project implementation. When finalized, the report will be circulated to project counterparts who will be given a period of one calendar month in which to respond with comments or queries. Prior to this circulation of the IR, the UNDP Country Office and UNDP-GEF's Regional Coordinating Unit will review the document.

82. The Annual Project Report/ Project Implementation Review (PIR) must be completed once a year. The APR/ PIR is an essential management and monitoring tool for UNDP, the Executing Agency and Project Coordinators and offers the main vehicle for extracting lessons from on-going projects at the portfolio level.

83. Quarterly progress reports: Short reports outlining main updates in project progress will be provided quarterly to the local UNDP Country Office and the UNDP-GEF RCU by the project team, headed by the Policy Specialist using UNDP formats.

84. UNDP ATLAS Monitoring Reports: A Combined Delivery Report (CDR) summarizing all project expenditures, is mandatory and should be issued quarterly. The PM will send it to the PEB for review and the Executing Partner will certify it. The following logs should be prepared: (i) The Issues Log is used to capture and track the status of all project issues throughout the implementation of the project. It will be the responsibility of the PM to track, capture and assign issues, and to ensure that all project issues are appropriately addressed; (ii) the Risk Log is maintained throughout the project to capture potential risks to the project and associated measures to manage risks. It will be the responsibility of the PM to maintain and update the Risk Log, using Atlas; and (iii) the Lessons Learned Log is maintained throughout the project to capture insights and lessons based on the positive and negative outcomes of the project. It is the responsibility of the PM to maintain and update the Lessons Learned Log.

85. Project Terminal Report: During the last three months of the project the project team under the PM will prepare the Project Terminal Report. This comprehensive report will summarize all activities, achievements and outputs of the Project, lessons learnt, objectives met or not achieved, structures and systems implemented, etc. and will be the definitive statement of the Project's activities during its lifetime. It will also lay out recommendations for any further steps that may need to be taken to ensure the long term sustainability and the wide replicability of the Project's outcomes. It will be drafted prior to the conduction of the independent terminal evaluation and finalized after. In this way it will both contribute to the understanding of the evaluators and can benefit in its final version from the TE conclusions and evaluators comments.

86. Periodic Thematic Reports: As and when called for by UNDP, UNDP-GEF or the Implementing Partner, the project team will prepare Specific Thematic Reports, focusing on specific issues or areas of activity. The request for a Thematic Report will be provided to the project team in written form by UNDP and will clearly state the issue or activities that need to be reported on. These reports can be used as a form of lessons learnt exercise, specific oversight in key areas, or as troubleshooting exercises to evaluate and overcome obstacles and difficulties encountered.

87. Technical Reports are detailed documents covering specific areas of analysis or scientific specializations within the overall project. As part of the Inception Report, the project team will prepare a draft Reports List, detailing the technical reports that are expected to be prepared on key areas of activity during the course of the Project, and tentative due dates. Where necessary this Reports List will be revised and updated, and included in subsequent APRs. Technical Reports may also be prepared by external consultants and should be comprehensive, specialized analyses of clearly defined areas of research within the framework of the project and its sites. These technical reports will represent, as appropriate, the project's

substantive contribution to specific areas, and will be used in efforts to disseminate relevant information and best practices at local, national and international levels.

88. Project Publications will form a key method of crystallizing and disseminating the results and achievements of the Project. These publications may be scientific or informational texts on the activities and achievements of the Project, in the form of journal articles, multimedia publications, etc. These publications can be based on Technical Reports, depending upon the relevance, scientific worth, etc. of these Reports, or may be summaries or compilations of a series of Technical Reports and other research. The project team, under the PM, will determine if any of the Technical Reports merit formal publication, and will also (in consultation with UNDP, the government and other relevant stakeholder groups) plan and produce these Publications in a consistent and recognizable format. Project resources will need to be defined and allocated for these activities as appropriate and in a manner commensurate with the project's budget.

Independent Evaluations

89. The project will be subjected to at least two independent external evaluations as follows: An independent Mid-Term Review will be undertaken at exactly the mid-point of the project lifetime. The Mid-Term Review will determine progress being made towards the achievement of outcomes and will identify course correction if needed. It will focus on the effectiveness, efficiency and timeliness of project implementation; will highlight issues requiring decisions and actions; and will present initial lessons learned about project design, implementation and management. Findings of this review will be incorporated as recommendations for enhanced implementation during the final half of the project's term. The organization, terms of reference and timing of the mid-term review will be decided after consultation between the parties to the project document. The Terms of Reference for this Mid-term review will be prepared by the UNDP CO based on guidance from the UNDP-GEF Regional Coordinating Unit.

90. An independent Final Evaluation will take place three months prior to the terminal Project Executive Board meeting, and will focus on evaluating the overall impact of the project in the context of its goal, objectives outcomes and outputs. The final evaluation will look at impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental goals. The Final Evaluation should also provide recommendations for follow-up activities. The Terms of Reference for this evaluation will be prepared by the UNDP CO based on guidance from the UNDP-GEF Regional Coordinating Unit.

Learning and Knowledge Sharing

91. Results from the project will be disseminated both within and beyond the project intervention zone through a number of existing information sharing networks and forums. On-going internal assessment by PMU staff will help to collate lessons learned, and will seek to identify what the project team considers to be useful and practical information to gather and analyse. Because this requires additional effort, time and funds, an associated budget has been included for this.

92. In addition, the project will participate, as relevant and appropriate, in UNDP/GEF sponsored networks, organized for Senior Personnel working on projects that share common characteristics. UNDP/GEF Regional Unit has established an electronic platform for sharing lessons between the project coordinators. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation though lessons learned. The project will identify, analyse, and share lessons learned that might be beneficial in the design and implementation of similar future projects. Identify and analysing lessons learned is an on-going process, and the need to communicate such lessons as one of the project's central contributions is a requirement to be delivered not less frequently than once every 12 months. UNDP/GEF shall provide a format and assist the team in categorizing, documenting and reporting on lessons learned.

93. Capturing and sharing knowledge and lessons learned will constitute an important component of the project and an essential way to ensure sustainability and replicability of project achievements. This project element cuts across all project components. It is also noteworthy that most field areas are unable to receive electronic information. Therefore reliance on printed materials will be high.

Communications and Visibility Requirements

94. Full compliance with UNDP's Branding Guidelines and guidance on the use of the UNDP logo will be maintained. These can be accessed at <http://web.undp.org/comtoolkit/reaching-the-outside-world/outside-world-core-concepts-visual.shtml>. Full compliance will also be maintained with the GEF Branding Guidelines and guidance on the use of the GEF logo. These can be accessed at http://www.thegef.org/gef/GEF_logo. The UNDP and GEF logos will be the

same size. When both logos appear on a publication, the UNDP logo will be on the left top corner and the GEF logo on the right top corner.

95. Full compliance will also be maintained with the GEF’s Communication and Visibility Guidelines (the “GEF Guidelines”).⁵ Amongst other things, the GEF Guidelines describe when and how the GEF logo needs to be used in project publications, vehicles, supplies and other project equipment. The GEF Guidelines also describe other GEF promotional requirements regarding press releases, press conferences, press visits, visits by Government officials, productions and other promotional items. Where other agencies and project partners have provided support through co-financing, their branding policies and requirements will be similarly applied.

Table 4. M&E Activities, Responsibilities, Budget and Time Frame

Type of M&E activity	Responsible Parties	Budget USD Excluding project team Staff time	Time frame
Inception Workshop	Project Manager UNDP CO UNDP GEF	\$10,000	Within first two months of project start up
Inception Report	Project Team UNDP CO	None	Immediately following Inception workshop
Measurement of Means of Verification for Project Purpose Indicators	Project Manager will oversee the hiring of specific studies and institutions, and delegate responsibilities to relevant team members	To be finalized in Inception Phase.	Start, mid and end of project
Measurement of Means of Verification for Project Progress and Performance (measured on an annual basis)	Oversight by Project Manager Monitoring and Evaluation Officer Project team	To be determined as part of the Annual Work Plan's preparation.	Annually prior to ARR/PIR and to the definition of annual work plans
APR and PIR	Project Team UNDP-CO UNDP-GEF	None	Annually
Quarterly progress reports	Project team	None	Quarterly
CDRs	Project Manager	None	Quarterly
Issues Log	Project Manager UNDP CO Programme Staff	None	Quarterly
Risks Log	Project Manager UNDP CO Programme Staff	None	Quarterly
Lessons Learned Log	Project Manager UNDP CO Programme Staff	None	Quarterly
Mid-term Evaluation	Project team UNDP- CO UNDP-GEF Regional Coordinating Unit External Consultants (i.e. evaluation team)	\$30,000	At the mid-point of project implementation.
Final Evaluation	Project team, UNDP-CO UNDP-GEF Regional Coordinating Unit External Consultants (i.e. evaluation team)	\$30,000	At the end of project implementation
Terminal Report	Project team UNDP-CO local consultant	Funds are budgeted for local consultants to assist where needed (approximately \$10,000)	At least one month before the end of the project
Lessons learned	Project team Monitoring and Evaluation Officer UNDP-GEF Regional Coordinating Unit (suggested formats for documenting best practices, etc.)	Funds are budgeted for local consultants to assist where needed (approximately \$10,000)	Yearly
Audit	UNDP-CO Project team	\$5,000	Once during project per UNDP audit regulations
Visits to field sites	UNDP Country Office UNDP-GEF Regional Coordinating Unit (as appropriate) Government representatives	Paid from IA fees and operational budget	Yearly

⁵The GEF Guidelines can be accessed at http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08_Branding_the_GEF%20final_0.pdf

Type of M&E activity	Responsible Parties	Budget USD Excluding project team Staff time	Time frame
TOTAL indicative COST Excluding project team staff time and UNDP staff and travel expenses		USD 95,000	

PART III: APPROVAL/ENDORSEMENT BY GEF OPERATIONAL FOCAL POINT AND GEF AGENCY

- 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 form. For SGP, use this [OFP endorsement letter](#)).

NAME	POSITION	MINISTRY	DATE(MM/dd/yyyy)
Sergey Myagkov	GEF Operational Focal Point	Republic of Uzbekistan, Cabinet of Ministers, Uzhydromet	12 August 2011

B.GEF AGENCY 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 CEO endorsement/approval of project.

Agency Coordinator, Agency Name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
Adriana Dinu, UNDP/GEF Officer- in-Charge and Deputy Executive Coordinator		23 Sept 2013	Maxim Vergeichik	+42190563 3046	maxim.vergeichik@undp.org

ANNEX A: PROJECT RESULTS FRAMEWORK (either copy and paste here the framework from the Agency document, or provide reference to the page in the project document where the framework could be found).

This project will contribute to achieving the following Country Programme Outcome as defined in the CPAP: Outcome 2.1: Increased availability of institutional products and services for the conservation and sustainable and equitable use of natural resources
Country Programme Outcome Indicators: Number of such products and services available
Primary applicable Key Environment and Sustainable Development Key Result Area: Mainstreaming Environment and Energy
Applicable GEF Strategic Objective and Program:LD-3: Integrated Landscapes: Reduce pressures on natural resources from competing land uses in the wider landscape
Applicable GEF Expected Outcomes: Outcome 3.1: Enhanced cross-sector enabling environment for integrated landscape management; Outcome 3.2: Good management practices in the wider landscape demonstrated and adopted by local communities
Applicable GEF Outcome Indicators: Indicator 3.1 Policies support integration of agriculture, rangeland, forest, and other land uses; Indicator 3.2 Application of integrated natural resource management (INRM) practices in wider landscapes

Project Strategy	Objectively Verifiable Indicators	Baseline	Target	Sources of verification	Risks
Objective ⁶ : To promote integrated management of rangeland and forests at the landscape level (focus on non-irrigated, arid mountain, semi-desert, and desert landscapes) to reduce pressures on natural resources from competing land uses and improve the socio-economic stability of communities.	Number of hectares of pastures, forest and rain-fed arable land in two target districts that are under improved management.	Zero	11,000 ha of forest; 26,000 ha of pasture; and 2,000 ha of rain-fed lands (Long-term targets: Over 10 years, at 2% replication rate, 0.6 million ha of forest cover land, 4 million ha of pastures, and 150,000 ha of rain-fed area under improved management.)	Project AWP/PIR, Independent Evaluation, periodic field surveys/field visits	Weak political or institutional will to make necessary changes and support reform will prevent the application of good land use practices on the ground Engaging local stakeholders contains some risk in the context of existing mainly centralized approaches Building of sufficient capacity and practical know-how within essential state institutions and local authorities will take too long to allow project sustainability
Outcome 1 ⁷ . Promising best practices on sustainable rangeland and forestry management and INRM planning up-scaled in target districts of Uzbekistan.	Improvement or maintenance of vegetative cover in pilot sites in target districts	Forest administration land: 142,000 ha is with forest cover; Pastureland: 175,000 ha with good vegetation cover; Rain-fed areas: 25,000 ha can sustain good vegetation cover	Maintenance in vegetative cover or improvement in cover over baseline by: 8% for pastureland; 6% for forestry; and 6% for rain-fed areas	District ILUMPs, pasture use plans, reports of pasture user groups, project monitoring reports	Extreme seasonal variations/drought will negatively impact land conditions in project sites New threats could emerge (such as insect infestations, disease caused by climate change, reduced water availability, etc.), or existing threats could increase beyond the projected levels (such as rate of population increase).
	Area of pasture classified as “degraded” in project sites	280,000 ha (95,000 ha Zaamin, 185,000 ha Karakul)	254,000 ha or less by year 5 (84,000 or less in Zaamin; 170,000 or less in Karakul)	Reports from State Cadastre, project reports	
	Area of pasture used by dekhans (households) under collaborative management (pasture user groups)	Zero	300 ha by year 5	Reports from District Authorities, project reports	

⁶Objective (Atlas output) monitored quarterly ERBM and annually in APR/PIR

⁷All outcomes monitored annually in the APR/PIR. It is highly recommended not to have more than 4 outcomes.

Project Strategy	Objectively Verifiable Indicators	Baseline	Target	Sources of verification	Risks
	Number of dekhans with formal legal rights (and obligations) for areas used as pasture	Zero	Not less than 600 by year 5 (100 in Karakul, 500 in Zaamin)	Reports from District Authorities, project reports	
	Area of forest planted or managed through state and community collaborative mechanisms (JFM, community forests, collaborative moving sand fixation)	Zero	Not less than 100 ha by year 5 (60 Zaamin, 40 Karakul)	Annual reports of Main Forestry Department under MAWR, project reports	
	Humus content of rain-fed arable land in plough layer	Average 16.7 t/ha	Improvement in humus content of 100 ha rain-fed arable in Zaamin district (>16.7 t/ha) by year 5	Field measurements by State Cadastre and project	
	Local small businesses involved in production or application of appropriate technologies	None	> 5 businesses involved in production/services related to appropriate technology for reducing fuel wood demand, cost effective well pumping or renewable energy production by yr 5	Reports of District Authorities and project	
	Number of livestock wells rehabilitated and adequately maintained in project sites	Not more than 10	> than 100 by year 5	Reports of shirkats and District Authorities, project field survey	
Component 2. An enabling cross-sector environment and in-country capacity (at system, institutional and individual levels) for applying integrated landscape management in arid mountain, semi-desert and desert areas of Uzbekistan	National pasture use strategic policy/plan incorporating long term integrated sustainable pasture use objectives	No mid/long term strategic development policy for pasture use in Uzbekistan	A mid/long term strategic policy for sustainable pasture use which provides a basis for legal and institutional reform	Approval by MAWM	Consensus on long term strategic objectives for pasture, forestry and rain-fed arable agriculture cannot be reached within the project time frame. Legal and institutional changes required to realize the project objective will not be agreed to or carried through during or after the project
	An up-to-date national forestry programme / plan supported by government that incorporates long term integrated sustainable use objectives	National forestry programme prepared but lacks key components and full government commitment for implementation.	An updated national forestry programme/plan approved by government and has an allocated budget by year 5	Approved by Main Administration of Forestry	
	A strategic policy/plan on rain-fed agriculture that incorporates long term integrated sustainable use objectives	No such strategic plan	A strategic plan for the long term development of rain-fed arable agriculture and role in overall agricultural system by year 5	Approval by MAWM	
	Inter-ministerial	Mechanism exists in principle	Inter-ministerial	Minutes of Coordinating	

Project Strategy	Objectively Verifiable Indicators	Baseline	Target	Sources of verification	Risks
	mechanism for ensuring coordination of land use policies operating effectively		Coordinating Council has a clear mandate and method of operation to ensure coordination of different land use sectors by year 4	Council, Project PIRs, Terminal report	
	Pasture legislation and tenure arrangements allow more effective pasture use and fully recognize household/dekhan pasture users	No specific pasture use legislation, other legislation such as Land Code inadequate	Either a Pasture Law for Uzbekistan or adequate revisions to Land Code and other relevant legislation and normative documents completed by year 5	Parliamentary records, Cabinet of Ministers decisions, Project reports	Specific contents of legal revisions cannot be agreed by various stakeholders or that process of enacting legal revisions is impeded and does not become law.
	National and regional training institutions producing graduates with sound understanding of integrated land use concepts and approaches	Current national and regional training institutions have outdated courses which poorly address sustainable land use issues, particularly of non-irrigated landscapes	At least 1 training institution at national level and 1 at regional level have strengthened curriculum that addresses sustainable land use planning, including in non-irrigated areas by year 5.	Curriculums, survey of students and graduates, PIR, terminal report.	Graduates, despite better knowledge of good land use principles and practices, will not be able to apply knowledge due to continued existence of inappropriate institutional context or employment opportunities are better in other sectors

ANNEX B: RESPONSES TO PROJECT REVIEWS (from GEF Secretariat and GEF Agencies, and Responses to Comments from Council at work program inclusion and the Convention Secretariat and STAP at PIF).

Comments	Response	Reference in the UNDP Project Document
Comments from the GEF Council		
<p><u>Comment From Germany:</u> Germany approves the PIF. Nonetheless, it has to be clarified that a Co-financing of Grant and in-kind 750.000 mentioned under C. a) would be Co-Financing by BMZ, with GIZ only being the implementing agency of BMZ and b) a GIZ-UNDP cooperation is currently still under negotiation, i.e. not fully clarified. If approved, this could only be a co-financing limited by the GIZ project duration, i.e. ending 12/2014.</p> <p>The GIZ project on participatory pasture management in Farish Rayon, Jizzakh Oblast (PIF p15) is also considering the option of a joint GEF/UNDP/GIZ project with additional GIZ project funds only for the PPG.</p>	<p>Co-financing from GIZ/ BMZ is no longer sought and so the issues mentioned in relation to this cofinancing are no longer relevant.</p> <p>Cooperation with the GIZ project on participatory pasture management in Farish Rayon, Jizzakh Oblast (PIF p15) is still intended in order to coordinate and share experience and approaches used, and policy, legislative and institutional activities. The GIZ Project team is expected to be members of the project technical coordination group.</p>	<p>See paragraph describing the Technical Coordination Group under the Management Arrangements section of the UNDP project document.</p>
Comments from Switzerland		
<p>It is evident that the 17(!) sectors relevant for land-use planning are too complex to be integrated in Integrated Land Use Planning (ILUP). It seems very unlikely to show benefits from the very innovative ILUP approach for Uzbekistan within a national central planning system.</p> <p>The benefits and the value added of ILUP must be shown as the main goal within this GEF project on lower planning level that means on district and community levels rather than probably up-scaled to oblast level. And the ILUP approach must be step-by-step oriented as well on locally based benefits.</p>	<p>The comment is fully agreed with and for this reason no attempt will be made by the project to try to <u>directly</u> introduce ILUMP at a national level. Instead the project will attempt to develop an appropriate and feasible methodology for undertaking such planning at a district level. On this basis the project seeks to establish a good model for such local level sound planning which can then be replicated at district level widely in Uzbekistan. Once such approaches are familiar and established at the “bottom” there will be a much more conducive environment for introducing such approaches at provincial and eventually national level. At the national level there is recognition of the complexity of addressing national level changes to the land use system and consequently a realistic delineation of the scope and expected results of component 2. Thus efforts will focus on supporting better policy and objective planning (which include consideration of cross sector issues) and better coordination and communication between the large numbers of institutions.</p>	<p>See Output 1.2.1 of the UNDP Project Document.</p>
<p>In order to test, adapt and upscale the ILUP approach, it is strongly recommended to establish and monitor a specific, rather strict project steering for these target districts (+ community / + oblast) and for the integration of a broader institutional set-up with “bottom-up” components. External support for the steering of the target district ILUP approach should be integrated during the overall project duration.</p>	<p>The project approach is to facilitate rather than dictate both the process of up-scaling “best practices” and the process of developing ILUM planning. It is recognized that the key factor is building the commitment, ownership and capacity of stakeholders (relevant district authority staff and local representatives of national institutions, community/village leaders, land users, local CBOs, etc.) to attempt and succeed at implementing innovative tasks. Such capacity is the cornerstone of adaptive management and resilience in the face of changing economic and climatic conditions. A great emphasis is thus placed on pre-planning activities (in order to establish sufficient understanding of the value and need for integrated land use planning and how it can best be achieved). The project will then facilitate the practical implementation of the ILUMP process by the stakeholders themselves and act as technical advisors rather than drivers of the process. Though this will be a more time consuming approach, and possibly result in planning of less technical quality than if the project directly undertook it, it will provide a much more valuable result in terms of a) district-level ownership and likelihood of actual implementation, and b) effectiveness of wider replication. Clearly the project approach will, as</p>	<p>See Output 1.2.1 in the UNDP Project Document for description of the elaboration of ILUMPs.</p> <p>See Annex 9 of the UNDP Project Document for more on project staffing.</p>

Comments	Response	Reference in the UNDP Project Document
	<p>highlighted by the comment, require a significant input in terms of mentoring and directional steering. For this reason the project will a) establish “field offices” in each site manned by a full time person, b) recruit a national Technical Advisor with specific responsibility for only the technical aspects of the project implementation, c)recruit an international planning expert to help ensure the proper ground work is put in place before the actual planning process commences, that key principles are adhered to during the plan development, and that timely adaptive changes are made to the process as and when required to achieve two useful district plans and a good model for wider replication.</p>	
<p>Involving other state planning institutions and non-governmental organizations seems recommendable: Environmental “governmental” NGO, Committee on nature conservation and its department on Environmental Impact Assessment (EIA) and Uzbek based consultants dealing with sectoral or territorial planning.</p>	<p>During the project development phase a number of new stakeholders were identified at national, provincial and district level, including a number of state institutions (Ministry of Higher Education, Ministry of Tourism for example) and national NGOs such as the Farmers’ Council of Uzbekistan. The project will actively seek to identify local level CBOs in the target district and where appropriate provide support to build their capacity to implement project activities.</p>	<p>See Stakeholder Analysis section (page 35) and Annex 7of the UNDP Project Document.</p>
<p>Component 1 intends to involve district stakeholders responsible for land use i.e. forestry enterprises, shirkats, private farmers, local self-governing structures, and, most important of all, local communities and individual households. Question: How to ensure this during project implementation? Top-down mentality of land-use planning in Uzbekistan is dominant.</p>	<p>UNDP projects in Uzbekistan have extensive experience with involving local communities, local land users and local authorities in project implementation. This project builds on the years of successful local governance work of UNDP. Concrete mechanisms by which local stakeholders are going to be involved in production of key outputs are as follows:</p> <ul style="list-style-type: none"> • Consultation of land users via workshops and one-on-one meetings in regard to localization of “best practices” to be applied in the districts. • Open and community driven selection process for specific land users to participate in initial best practice replication. • Joint planning workshops with selected land users to define effective implementation of best practices • Workshops and use of PRA approaches to evaluate impact of best practices • Consultation and participation of local population in ILUMP development process via village consultative meetings, participation of representatives in plan objective and key output identification. 	<p>See Annex 7of the UNDP Project Document.</p>
<p>[<i>Our</i>] Recommendation [<i>is</i>] to test the ILUP approach on “hot spots” of environmental protection such as infrastructure planning, highways in mountains, oil and gas facilities, and irrigation reconstruction in semi-desert ecosystems. Other environmental hot spots specifically should be identified along the boundaries of irrigated and semi-deserts landscapes in the Southwest of Uzbekistan.</p> <p>[<i>Further in the text, there is a related though somewhat differently worded recommendation</i>]: Further it is recommended to apply ILUP in the transition zone of irrigated agriculture, pastoralism zone and biodiversity conservation in the dry steppe, (semi)-desert and mountain landscapes e.g. in the in Bukhara Oblast.</p>	<p>The objective of the project is to reduce pressures on natural resources from competing land uses in arid/semi-arid desert, steppe and mountain landscapes – these uses are principally pasture, forest and rain-fed agriculture. All of these land uses face a significant, specific and urgent problem i.e. degradation and loss of productivity. It is planned therefore that the focal “hot issue” around which the ILUM planning will be carried out is land degradation with a focus on productive improvement and specific attention to high profile / economically significant features such as moving sands, gullyng, landslides, localized dust storms, etc.</p> <p>In terms of applying the district ILUM planning approach in an area with a transition of irrigated, pastoral, forestry/conservation area, the project designers took the following into consideration. Firstly, that this was the ideal approach to take from a “lessons learned” point of view. Secondly, that the greater complexity of such a scenario made it a more difficult / risky one to model / demonstrate.</p> <p>In practice, Karakul district land use is comparatively simple with desert pasture (and some desert saxaul forestry areas), plus small area of irrigated/household plot territory. However, in</p>	<p>See Output 1.2.1 in the UNDP Project Document for description of the elaboration of ILUMPs.</p>

Comments	Response	Reference in the UNDP Project Document
	<p>Zaamin there is a much more complex land use situation with transition from irrigated to pasture, from pasture to rain fed arable, pasture to forestry, and forestry/pasture to conservation area/recreational areas. There is therefore scope within the two selected district for different complexities of land use planning from which useful practical lessons should be derivable.</p>	
<p>Question: How have target districts been identified and with which overall objectives will the ILUP case studies be elaborated?</p> <p>We would recommend to define criteria for selection of these pilot districts. Criteria could be: representative, typical or even “hot spot” districts for infrastructure impact or soil degradation.</p> <p><i>[Further in the text, there is a related though somewhat differently worded recommendation]:</i> The level of community planning and the above oblast level have to be included, thus addressing this know-how gap between the two levels (rayon/oblast) of the recent system of “Territorial planning in Uzbekistan”. It is recommended to set the criteria for the definition of target districts oriented on three dimensions of sustainability including such for the local socio-economic situation of the population.</p>	<p>In accordance with the recommendations, a detailed set of criteria for the systematic and transparent selection of project sites was elaborated during the project preparatory phase and discussed with key national stakeholders. On the basis of this agreed selection process, all relevant districts in Uzbekistan were evaluated and screened. The resulting shortlist of districts was then discussed with the national stakeholders and a final selection made in accordance with their preferences.</p>	<p>Details regarding the district selection process are provided in Annex 1 of the UNDP Project Document.</p>
<p>The needs of local population as small scale farmers and pastoralists must be addressed through local participation. Participation has to be integrated in this innovative ILUP approach starting on the community level in the target districts.</p>	<p>Please note relevant responses above. As detailed previously the needs of the population (i.e. the land users) is paramount because if new practices or planning approaches do not meet their needs they will not be replicated / implemented. A major emphasis of the project is in fact supporting the reorientation of land use from the narrow needs of the centralized state planners toward the immediate needs and interests of actual land users. The state’s role in the longer term needs to be adjusted from being direct managers of land to being facilitators and regulators of land use.</p>	<p>See Rationale and Summary of GEF Alternative (page 17) in the UNDP Project Document.</p>
<p>Steering and follow-up of step-by-step implementation of this “bottom-up” approach (one focus on community and oblast levels) must be strongly assured – this being particularly important if speaking about the top-down land-use planning system in Uzbekistan conducted by the State Committee for Land Resources and Geo-Cadastre for the last 50 years.</p> <p>It is recommended that steering of this specific activity in target districts must be regularly and locally assessed by impact monitoring and locally defined indicators of land-use (see PIF under Integrated land-use plans related to output 1.2.1 and 1.2.2).</p> <p><i>[Further in the text, there is a related though somewhat</i></p>	<p>The need for a strong local (district) level presence by the project in order to effectively “steer” activities and build the level of local knowledge and acceptance necessary to implement activities has been recognized in the project management arrangements. The project will establish within both districts a “field office” staffed by a local field officer. He/she will play an important role in ensuring effective communication and collaboration between the project national technical team and local stakeholders, and in supporting oversight and support to implementation of activities in the field.</p> <p>All local district level initiatives to test and upscale best practices will have specific indicators to measure on-site impact in terms of land degradation (erosion, vegetation cover etc.) and to measure success of participation at community, and district levels.</p> <p>Ensuring wide participation in the ILUP process is a specific intent of the ILUP methodology and this will be measurable via the number of relevant meetings, attendance records and minutes of discussion.</p>	<p>See Management Arrangements section of the UNDP project document.</p> <p>See Project Logical Framework in UNDP Project Document</p> <p>See draft ILUP table of contents in Annex5 of the UNDP Project Document)</p>

Comments	Response	Reference in the UNDP Project Document
<i>differently worded recommendation</i>]: It is recommended that steering of on-the-ground activities in target districts must be regularly assessed by impact monitoring and locally defined indicators oriented on the success of participation and adaptation in/of the ILUP approach.	“Regularly assessed” – The project progress and impact will be assessed at least once a year during PIR preparation process.	See M&E section of UNDP Project Document
International programs and networks active in Uzbekistan and in neighboring states such as Kyrgyzstan and Kazakhstan are recommended to be involved to bring in transboundary experience related to instruments and tools on natural resource management. CACILM has already invested by documenting best practices of soil and water conservation in arid landscapes using the World Overview of Conservation Approaches and Technologies WOCAT system. Such experience could be extended to this project as well. This would allow to link the ILUP approach on the one hand to participatory tools oriented to the development of concrete soil and water conservation technologies and on the other hand to the UNCCD process.	<p>This is a CACILM project, and all tools available from CACILM so far will be made available to local communities.</p> <p>With respect to international programs and partners, the project plans on cooperation with GIZ that also works in the neighbouring countries.</p> <p>With respect to linking ILUP to concrete soil and water conservation techniques and thus to UNCCD objectives: the project is linked to UNCCD, because it is a GEF project and GEF is a financial mechanism of UNCCD which, when it comes to land degradation focal area, operates exclusively on guidance from UNCCD. Approval of this project by GEF is a signal of recognition that what is being proposed here addresses the objectives and priorities of UNCCD</p>	See reference to GIZ being part of the project’s Technical Advisory Group in the Management Arrangements section of the UNDP Project Document
<p>An open-end identification of more than 2 test districts (up to 5 would be ideal) along with a catalogue of criteria (to be defined) is useful as well.</p> <p><i>[Further in the text, there is a related though somewhat differently worded recommendation]</i>: To further widespread application of ILUP, it is strongly recommended to broaden the test within concrete planning situation in target districts from 2 (as foreseen in project) up two 5 target districts.</p>	<p>UNDP, based on its experience in Uzbekistan, and following discussion with other prominent development partners, feel that under Uzbekistan conditions 2 or 3 sites, depending on their characteristics, is the maximum practical scope this project should try and address. The final choice of 2 districts is a reflection of the fact that together they are representative of the target landscape land use situation. Thus they are adequate to demonstrate / test up-scaling and replication of best practices as basis for wider replication, and to learn lessons necessary to feed into component 2. Attempting a wider scope and 2 or 3 additional districts would stretch the practical and financial resources of the project too thin to allow foreffective implementation.</p>	See Annex 1 of the UNDP Project Document for selection criteria used to select target districts
[Our] Recommendation [is] to use community, district and oblast level outcomes of ILUP approach for policy dialogue to decision makers in Tashkent and Oblast centers – on the basis of on-site “show cases”.	Initiation of policy dialogue/ change based on successful site-level experience is part of the project’s “scale up approach”. Under Outputs 2.1.1, 2.1.2 and 2.1.3 experience from the field will be used to inform policy results and national / oblast level officials will be invited to visit project field sites in order to directly see and discuss the issues “on-the ground”.	See description of Outputs 2.1.1, 2.1.2 and 2.1.3 in the UNDP Project Document
Comments from STAP (dated 13 January 2012)		
1. STAP urges the proponents to make this project distinctively a GEF project with clearly articulated global environmental benefits, an explicit linkage between local activities such as ‘best practice’ technologies and contributions to global impact, the use of GEF-supported initiatives such as protection of ecosystem goods and services and methodologies for tracking global impact. Currently, the project proposal reads as a rangeland and forest support investment with	<p>In the preparation of the project the incremental logic of the GEF was central. Indeed, as noted by the STAP reviewer, the activities are focusing on the local level, which is the only level where positive change is obvious and unambiguous. The project development team were well aware of the need to focus on global impact, and have carefully designed the project to make sure such would be delivered.</p> <p>In terms of pasture restoration and sustained use the following impacts are expected:</p> <ul style="list-style-type: none"> Improved vegetation cover and productivity of rangelands. <u>Baseline- Karakul</u>: out of total of 338,101 rangeland 55% (185,000) is degraded with yield at or below 0.17 t /ha of dry matter. <u>Zaamin</u>: out of 127,000 ha rangelands 75% is degraded (95,000 ha) with 	See Table 11 (Comparison of the baseline scenario with the GEF alternative scenario) in the UNDP Project Document; and see cells C 181 to 201 in sheet 2 of the LD-PMAT.

Comments	Response	Reference in the UNDP Project Document
<p>land use planning and national institutional support: i.e. a largely development-oriented project</p>	<p>yields at or below 0.3 t/ha of dry matter.</p> <ul style="list-style-type: none"> Reduced Carbon emissions from above and below ground. <u>Baseline - Karakul</u>: the nearest studies conducted to Karakul are from Karrykul (Turkmenistan) with similar vegetation cover. Total CO₂ sink capacity reported is close to 151±121 g CO₂ m⁻²/season during the growing season. <u>Zaamin</u>: study conducted for the ecosystem nearest to Zaamin is from Karnap (Uzbekistan) with vegetation cover slightly different. Maximum and mean daily sinks reported are 11.7 and 6.5 g CO₂ m⁻²d⁻¹, respectively. Total CO₂ sink capacity of the rangeland vegetation is estimated 347±178 g CO₂ m⁻² during 111 days of growing season in a year (data from actual project sites to be determined during project inception phase) Prevention of increase in moving sand and / or other erosion impacts: <u>Baseline</u>: Area of moving sands in Karakul district: Tbd in inception phase. <u>Zamin</u>: there are 10-12 ha of area under gully erosion, annually in April-May there are 2-3 mudflow events resulting in 1-2 ha of new gullies, also flood events result in top soil removal on area of up to 100 ha of rain fed wheat areas. Sheet erosion reaches 75% of the rain fed areas (levels - 22% low, 36% moderate, 17% strong). <p>In terms of forest territories restored and sustainably used the following impacts are expected:</p> <ul style="list-style-type: none"> Improvement in forest cover by 5-10%: (<u>Baseline for Karakul</u>: 62,000 ha of forest administration “fund” land is without forest cover; <u>Baseline for Zaamin</u>: 20,000 ha of forest fund land not covered with trees) Avoided emissions from forest degradation and carbon sequestration through forest restoration (<u>estimates for Karakul</u>: about 31,500 t/year is used as fuel wood which approximates to the release of 15,750 t/C/year; <u>estimates for Zaamin</u>: approximately 19,800 t/year is used as fuel wood (“changol”) which approximates to the release of 9,900 t/C/year) <p>In terms of reduction in competitive pressures between land uses in desert, semi-deserts and mountain landscapes the following benefits are expected:</p> <ul style="list-style-type: none"> 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. <p>The project team has followed the standard practice of using the corresponding focal area tracking tool, the GEF LD PMAT, to track global environmental benefits. The PMAT was submitted together with the CEO request and clearly depicts the value of the project with respect to delivering global benefits, both in terms of ecology, as well as technologies.</p>	
<p>2. STAP questions the rationale for the sample of just two districts – Farish and Romitan – as representative of two typical Uzbek landscapes and land utilization types, enabling extrapolation of project outputs to the rest of the country. STAP is concerned that the objective of the project to promote integrated management of rangeland and forest is unlikely to be met by just focussing on practices in two relatively small districts. The PIF mentions in passing that one reason for their choice is</p>	<p>The two pilot districts where demonstrations are to take place are the Zaamin district located in Djizak province, and Karakul district in Bukhara province. These districts were selected from all relevant districts in Uzbekistan via a systematic process that utilized a clear set of criteria. Key criteria were as follows:</p> <p>(1) These districts are representative of the main arid, non-irrigated landscape areas which are the focus of the project and which cover the majority of Uzbekistan’s territory i.e. desert (Karakul district in the Kyzylkum desert) and steppe, foothills and mountain (Zaamin district).</p> <p>(2) These two districts are representative of the typical socio-economic and land use situation of these landscapes – Karakul contains a large quasi-state livestock (Karakul sheep) farm and has</p>	<p>A detailed description of the selection criteria used to identify the two pilot districts for the project, along with maps, can be found in Annex 1 of the UNDP Project Document.</p>

Comments	Response	Reference in the UNDP Project Document
<p>that UNDP and GIZ have already worked in these districts and local experience will assist the progress of this project. This reasoning could be turned around to provide a rationale for avoiding these two districts. Previous projects may well have rendered these districts atypical. So, for example, an Uzbek-German agreement in 2003 has led to considerable investments in Farish in ecotourism and rural guesthouses. Romitan is only one of eleven districts in Bukhara Province, which in turn is only one province of twelve in Uzbekistan. STAP questions the intensive focus on two small parts of one country, which may well lead only to very local experience that cannot be replicated elsewhere in the country. Furthermore, the PIF does not elaborate on how these pilot experiences will be taken up more widely. Any uptake pathway appears to be outside the envelope of this project.</p>	<p>very low population utilizing extensive desert pasture and forestry (shrub) territory, while Zaamin has a combination of steppe and mountain pasture, significant areas of fragile rain-fed arable agriculture and forests (natural and plantation forests of fruit, nut, timber, and conservation areas), a much higher population, a much larger percentage of livestock and land use in the hands of the non-state sector.</p> <p>(3) UNDP and other development partners have past relevant initiatives in, or close to, these two districts and thus have existing on-ground knowledge, capacity and relationships with local district authorities and stakeholders which will greatly enhance implementation. Previous UNDP and GIZ work in districts close to those selected is seen as a strength and not a weakness because it has created a baseline foundation wherein people in the Government and at the farm level are more prepared for change than any other part of the country. There is no duplication of effort because what is being requested from the GEF has not been funded in these districts before.</p> <p>The reasoning for focusing pilot activities in only 2 districts (and not in a larger number) is to gain a greater depth of experience in piloting SLM from finite resources, and not spread funding thinly over a greater number of sites. Furthermore, in a country such as Uzbekistan, where inertia to change is significant, being able to demonstrate tangible benefits in a smaller area is likely to be more effective in addressing such inertia.</p> <p>To support replication of pilot experiences from the 2 target districts to other areas of the country, the project will take the following steps:</p> <p><u>Capacity building:</u> The project’s training activities under Output 1.2.2 aim to directly build the awareness and practical capacity of 140 key stakeholders from other districts and the provincial (oblast) level to undertake such planning in other districts. During the process of disseminating the experience of the 2 districts in regard to ILUM planning, the project will assess level of opportunity to support replication in other districts and will facilitate such replication if feasible.</p> <p><u>Policy/ planning environment:</u> The project under Outcome 2.1 aims to improve and make more integrated the policy / strategic planning environment, which, in turn, will create a suitable enabling environment for the land use best practices demonstrated by the project in its two target districts to be replicated in the future in other districts within non-irrigated desert, steppe or mountain landscapes.</p> <p><u>Long-term vocational training:</u> Output 2.2.3 focuses on (a) building over time of a cadre of central and regional government personnel who have a good conceptual understanding of basic sustainable land use management issues and can apply them in national and regional development; (b) at the district level, the project will support the considerable on-going investments by the government in district vocational and agricultural colleges through “training of teachers” (ToT), curriculum development which directly links local livelihood priorities and effective land use, and links to field activities being undertaken by the project (land use best practices and ILUM planning).</p> <p><u>Documentation of methodologies/ guidelines, and their dissemination:</u> Under Outcome 2.3, the project will undertake a compilation, processing, and dissemination of the knowledge gained about integrated natural resources use planning with the aim to systematically bring together the results of the project, and from that develop materials and tools which will provide a solid basis for national replication.</p>	<p>On the issue of replication, see Output 1.2.2, Outcome 2.1, Output 2.2.3, and Outcome 2.2 in the UNDP Project Document.</p>
<p>3. Related the previous point, the cost-efficiency of this</p>	<p>The total area of the landscape targeted by the integrated land use planning approach that will</p>	<p>See section on “Cost</p>

Comments	Response	Reference in the UNDP Project Document
<p>project needs to be questioned and justified. The PIF mentions 6000 hectares of rangeland and 1000 ha of forest will be improved in Component 1 of the project; this equates to approximately US\$1000 of investment per hectare. Is this sustainable and justified, given the low potential productivity of these lands and the small populations supported especially in the arid and semi-arid parts? Some attempt at cost-benefit analysis of the approach taken by the project needs to be included in order to make a confident assessment of the likelihood of wider uptake of the project outputs.</p>	<p>receive positive improvements (and not only areas where vegetation will improve) is 30,000 ha. The GEF investment in Component 1 which targets this area directly is USD 2,000,000. Thus, the GEF cost per ha is slightly over 60 USD per ha. This encompasses the whole set of beneficial activities - including changed land use, mapping, and indeed the investment costs to improve the vegetation. Furthermore this is the cost of engineering long term land use change, and thus we believe this cost-efficiency is well justified in terms of GEF investment.</p> <p>In addition, a qualitative approach to justifying cost-effectiveness is also provided in the UNDP Project Document.</p>	<p>Effectiveness” in UNDP Project Document (page 35).</p>
<p>4. In the Project Framework, the expected outcomes are merely a more generalized statement of the expected outputs. In one outcome there is an attempt to quantify what the project will produce, but these targets look to be more appropriate for expected outputs. Outcomes should be the broad beneficial changes to which the project should be able to claim some credit but which may only occur well downstream, whereas Outputs are the project’s deliverables within the timeframe of the funding. Outputs should, where possible, be quantified and time-bound. UNDP may wish to revise the project framework to reflect the difference between Outcomes and Outputs and to guide project managers in what may be directly expected of the project and to what bigger picture the project should contribute.</p>	<p>At the PPG stage, the project team looked carefully into the Project Results Framework, taking into account STAP suggestions. It did so, looking through the prism of (1) GEF Guidance on project development, (2) examples of similar projects globally, and (3) relevant national context. The project framework, as currently presented in the CEO request, has been constructed by linking outcomes to long-term benefits and retaining outputs as time-bound elements. Further, in line with STAP guidance, the quantitative indicators in the first Component, referred in the STAP review, have been duly moved from the Outcome to the Output level. We also note that the outcomes, as currently presented, have been clearly bound to the corresponding Focal Area Outcomes and Indicators of the Land Degradation Focal Area of the Global Environment Facility.</p>	<p>See modified red text in the Project Framework in the CEO Endorsement Request.</p>
<p>5. The PIF lists in Section A1 five ‘environmental benefits’. There is double-counting for four of these: carbon stocks and C-Sequestration; soil loss and sediment loads. The fifth appears to be a biodiversity conservation benefit, although it is worded somewhat obscurely and the PIF makes little attempt elsewhere to show that the project has multiple focal benefits. STAP would prefer to see a more robust and scientifically-justified list of GEBs in terms of expected GEF impacts that are (a) able to be monitored and/or measured, and (b) reflect accepted global environmental issues such as ecosystem goods and services, as well as GEF-5 land degradation indicators such as land cover. Alternatively, the project proponents might look at the UNCCD’s impact indicators, since these will be used nationally for reporting to the Convention.</p>	<p>The global environmental benefits have been better quantified as compared to the PIF. The primary global benefits will be generated in terms of reduction and reversal in land degradation of arid areas in Uzbekistan (particularly pasture land and forestry), thereby increasing soil carbon stocks and soil organic matter; carbon sequestration; decreasing soil erosion, landslides incidence and soil loss; reduction of sediment loads to rivers and streams, as well as siltation and damage to downstream water reservoirs. Secondary global benefits will be generated for biodiversity conservation through improved conservation prospects of globally important species and habitats harbored in arid mountain, desert and semi-desert areas affected by land degradation. Table 11 in the UNDP Project Document provides more details. In addition, the LD-PMAT also captures global environmental benefits.</p>	<p>See paragraphs 109 and 110, and Table 11 of the UNDP Project Document. See also cells C 181 to 201 in sheet 2 of the LD-PMAT.</p>
<p>6. STAP is concerned that the project proposal does not present any baseline analysis, other than in very generalized, qualitative and unverifiable terms. There is</p>	<p>During the PPG, the project team has been able to better define the baseline and also identify baseline values for indicators. The logframe in Annex A of the CEO Endorsement Request has defined baseline values for indicators (and targets). The LD PMAT also has more details on the</p>	<p>See Annex A Logframe in the CEO Endorsement Request and the LD-PMAT.</p>

Comments	Response	Reference in the UNDP Project Document
<p>no obvious intention of identifying a baseline at the start of the project, from which impact may be assessed. Project 'impacts' are specified more in terms of activities accomplished.</p>	<p>baseline for measurable global environmental benefits, including on vegetative cover and carbon stocks. Indicators are in line with LD PMAT and UNCCD. The project's M&E plan will ensure that impacts are measured and reported on through the standard UNDP-GEF reporting arrangement.</p>	
<p>7. Related to the lack of any quantitative baseline, there is no apparent intention to monitor impact. At the very least, it should be expected that a project partner will measure changes in carbon stocks on rangeland and forest, and assess also changes in land cover. Biodiversity surveys might also be appropriate, as well as changes in key attributes of semi-arid ecosystems such as water use and availability.</p>	<p>Evaluation of impact will be based on three separate sources of monitoring data: firstly, targeted data collected by the project during project duration (see M& E Plan); secondly, from M& E components of the district level ILUMP in the 2 pilot districts; and thirdly from ongoing monitoring programmes of the relevant state institutions (State Committee for Land Resources and Geo-cadastre, State Committee for Nature Protection, relevant departments of Ministry of Agriculture i.e. Main Administration for Forestry and Department of Livestock). Capacity of the latter to improve effectiveness of monitoring will be improved These three sources of data will be triangulated in order to have a comprehensive understanding of real impact.</p>	<p>See Annex A Logframe in the CEO Endorsement Request, the LD-PMAT, Output 2.2.1 and 2.2.2, the project M&E Plan and Annex 6 (Outline of ILUMP Content) in the UNDP Project Document.</p>

ANNEX C: STATUS OF IMPLEMENTATION OF PROJECT PREPARATION ACTIVITIES AND THE USE OF FUNDS⁸

A. DESCRIBE FINDINGS THAT MIGHT AFFECT THE PROJECT DESIGN OR ANY CONCERNS ON PROJECT IMPLEMENTATION, IF ANY:

NA

B. PROVIDE DETAILED FUNDING AMOUNT OF THE PPG ACTIVITIES FINANCING STATUS IN THE TABLE BELOW:

PPG Grant Approved at PIF: \$50,000			
Project Preparation Activities Implemented	GEF/LDCF/SCCF/NPIF Amount (\$)		
	Budgeted Amount	Amount Spent todate	Amount Committed
Component 1. Detailed assessment of policy and regulatory settings of the project	5,000	5,000	0
Component 2. Assessment of the capacity of different agencies to support the implementation of project activities	10,000	4,563	5,437
Component 3. Specifics of on-the-ground actions	14,000	3,104	10,896
Component 4. Feasibility analysis and budget	21,000	17,748	3,252
Total	50,000	30,415	19,585

ANNEX D: CALENDAR OF EXPECTED REFLOWS (if non-grant instrument is used)

Provide a calendar of expected reflows to the GEF/LDCF/SCCF/NPIF Trust Fund or to your Agency (and/or revolving fund that will be set up)

N/A

⁸If at CEO Endorsement, the PPG activities have not been completed and there is a balance of unspent fund, Agencies can continue undertake the activities up to one year of project start. No later than one year from start of project implementation, Agencies should report this table to the GEF Secretariat on the completion of PPG activities and the amount spent for the activities.