



GEF-6 REQUEST FOR PROJECT ENDORSEMENT/APPROVAL

PROJECT TYPE: Full-sized Project
 TYPE OF TRUST FUND: GEF Trust Fund

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PART I: PROJECT INFORMATION

Project Title: Sustainable management of forests in Mountain and Valley areas in Uzbekistan			
Country(ies):	Uzbekistan	GEF Project ID: ¹	9190
GEF Agency(ies):	FAO (select) (select)	GEF Agency Project ID:	635216
Other Executing Partner(s):	State Forest Committee	Submission Date:	11 Oct 2017
		Resubmission Date:	20 Nov 2017
GEF Focal Area (s):	Multi-focal Areas	Project Duration (Months)	60
Integrated Approach Pilot	IAP-Cities <input type="checkbox"/> IAP-Commodities <input type="checkbox"/> IAP-Food Security <input type="checkbox"/>	Corporate Program: SGP <input type="checkbox"/>	
Name of Parent Program	[if applicable]	Agency Fee (\$)	302,767

A. FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES²

Focal Area Objectives/Programs	Focal Area Outcomes	Trust Fund	(in \$)	
			GEF Project Financing	Co-financing
(select) CCM-2 Program 4 (select)	Outcome A - Accelerated adoption of innovative technologies and management practices for GHG emission reduction and carbon sequestration	GEFTF	1,457,861	8,538,581
LD-2 Program 3 (select) (select)	Outcome 2.1 - Support mechanisms for forest landscape management and restoration established	GEFTF	666,821	3,905,520
(select) (select) SFM-3	Outcome 5 - Integrated landscape restoration plans to maintain forest ecosystem services are implemented at appropriate scales by government, private sector and local community actors, both women and men	GEFTF	1,062,341	6,222,050
(select) (select) (select)		(select)		
(select) (select) (select)		(select)		
(select) (select) (select)		(select)		
(select) (select) (select)		(select)		
(select) (select) (select)		(select)		
Total project costs			3,187,023	18,666,151

B. PROJECT DESCRIPTION SUMMARY

Project Objective: To introduce Sustainable Forest Management (SFM) in Uzbekistan, thereby sequestering carbon and improving the quality of forests and tree resources						
Project Components/ Programs	Financing Type ³	Project Outcomes	Project Outputs	Trust Fund	(in \$)	
					GEF Project Financing	Confirmed Co-financing
1. Information systems for SFM	TA	1.1 An operational National Forest Assessment and Monitoring System	1.1.1 An harmonized methodology for data collection 1.1.2 A trained cadre of technicians to undertake the data collection and	GEFTF	346,000	3,311,683

¹ Project ID number remains the same as the assigned PIF number.

² When completing Table A, refer to the excerpts on [GEF 6 Results Frameworks](#) for GETF, LDCF and SCCF and CBIT programming directions.

³ Financing type can be either investment or technical assistance.

			<p>information management</p> <p>1.1.3 A geo-referenced database</p> <p>1.1.4 A Forest Information and Monitoring System</p>			
2. Multifunctional forest management leading to carbon sequestration, an improvement in forest and tree resources, and other benefits	Inv	2.1 SFM operationalized at 4 demonstration sites generating sustainable benefits such as carbon sequestration and improved livelihoods of at least 500 local households	<p>2.1.1: Sustainable management of mountain forests in Dekhanabad</p> <p>2.1.2: Sustainable management of mountain forests and improving the livelihoods of at least 200 farmers/houesholds in Kitab forestry</p> <p>2.1.3: Sustainable management of valley forests and shelterbelt forests in Sirdarya forestry improving the livelihoods of at least 100 farmers</p> <p>2.1.4: Sustainable management of mountain forests and improving the livelihoods of at least 100 farmers in Fergana Valley, Pop forestry</p>	GEFTF	2,057,060	1,965,411
3. Upscaling of sustainable forest management - with carbon sequestration – by strengthening of the enabling environment	TA	3.1 The policy and enabling framework is conducive to state and private investment in SFM.	<p>3.1.1 Capacity inside SCF for forest information management is enhanced</p> <p>3.1.2 Awareness and support for improved land tenure is created</p> <p>3.1.3 A Nationally Appropriate Mitigation Action (NAMA) for the forestry sector or pistachio forest sub-sector, including a national measuring, reporting and validation (MRV) system</p>	GEFTF	373,000	4,785,045

			3.1.4 An amendment to forest legislation legalizing long term leases of forest fund land 3.1.5 The National Forest Program is approved 3.1.6 Lessons and best practices from Component 2 are institutionalized in policy or programs			
4. Monitoring, evaluation and knowledge-sharing	TA	4.1 Project implementation based on RBM and lessons learned/good practices documented and disseminated	4.1.1 A set of manuals or guidelines, for use by forestry managers and technicians, that capture and describe the improved practices, measures and technologies; 4.1.2 Project Monitoring & Evaluation Plan and system, in place; 4.1.3 Project Mid-term and Final Evaluations; 4.1.4 A Communication Strategy is develop and implemented	GEFTF	259,200	8,050,682
	(select)			(select)		
	(select)			(select)		
	(select)			(select)		
	(select)			(select)		
				Subtotal	3,035,260	18,112,821
				Project Management Cost (PMC) ⁴	(select) 151,763	553,330
				Total project costs	3,187,023	18,666,151

C. CONFIRMED SOURCES OF CO-FINANCING FOR THE PROJECT BY NAME AND BY TYPE

Please include evidence for co-financing for the project with this form.

Sources of Co-financing	Name of Co-financier	Type of Cofinancing	Amount (\$)
Recipient Government	State Committee on Forestry	In-kind	7,301,107
Recipient Government	Kitab Forestry Organization (FO)	In-kind	3,531,587

⁴ For GEF Project Financing up to \$2 million, PMC could be up to 10% of the subtotal; above \$2 million, PMC could be up to 5% of the subtotal. PMC should be charged proportionately to focal areas based on focal area project financing amount in Table D below.

Recipient Government	Pop FO	In-kind	2,416,743
Recipient Government	Dekhanabad FO	In-kind	1,526,364
Recipient Government	Syrdarya FO	In-kind	2,594,819
GEF Agency	FAO	In-kind	100,000
GEF Agency	FAO	Grants	953,000
Donor Agency	GIZ	Grants	227,531
Others	ICRAF	In-kind	15,000
Total Co-financing			18,666,151

D. TRUST FUND RESOURCES REQUESTED BY AGENCY(IES), COUNTRY(IES), FOCAL AREA AND THE PROGRAMMING OF FUNDS

GEF Agency	Trust Fund	Country Name/Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee ^{a)} (b) ²	Total (c)=a+b
FAO	GEF TF	Uzbekistan	Climate Change	(select as applicable)	1,457,861	138,497	1,596,358
FAO	GEF TF	Uzbekistan	Land Degradation	(select as applicable)	666,821	63,348	730,169
FAO	GEF TF	Uzbekistan	Multi-focal Areas	SFM	1,062,341	100,922	1,163,263
(select)	(select)		(select)	(select as applicable)			0
(select)	(select)		(select)	(select as applicable)			0
(select)	(select)		(select)	(select as applicable)			0
(select)	(select)		(select)	(select as applicable)			0
(select)	(select)		(select)	(select as applicable)			0
(select)	(select)		(select)	(select as applicable)			0
(select)	(select)		(select)	(select as applicable)			0
Total Grant Resources					3,187,023	302,767	3,489,790

a) Refer to the Fee Policy for GEF Partner Agencies

E. PROJECT'S TARGET CONTRIBUTIONS TO GLOBAL ENVIRONMENTAL BENEFITS⁵

Provide the expected project targets as appropriate.

Corporate Results	Replenishment Targets	Project Targets
1. Maintain globally significant biodiversity and the ecosystem goods and services that it provides to society	Improved management of landscapes and seascapes covering 300 million hectares	<i>hectares</i>
2. Sustainable land management in production systems (agriculture, rangelands, and forest landscapes)	120 million hectares under sustainable land management	<i>84735 hectares</i>
3. Promotion of collective management of transboundary water systems and implementation of the full range of policy, legal, and institutional reforms and investments contributing to sustainable use and maintenance of ecosystem services	Water-food-ecosystems security and conjunctive management of surface and groundwater in at least 10 freshwater basins;	<i>Number of freshwater basins</i>
	20% of globally over-exploited fisheries (by volume) moved to more sustainable levels	<i>Percent of fisheries, by volume</i>
4. Support to transformational shifts towards a low-emission and resilient development path	750 million tons of CO _{2e} mitigated (include both direct and indirect)	4,120,427 metric tons
5. Increase in phase-out, disposal and reduction of releases of POPs, ODS, mercury and other chemicals of global concern	Disposal of 80,000 tons of POPs (PCB, obsolete pesticides)	<i>metric tons</i>
	Reduction of 1000 tons of Mercury	<i>metric tons</i>
	Phase-out of 303.44 tons of ODP (HCFC)	<i>ODP tons</i>
6. Enhance capacity of countries to implement MEAs (multilateral environmental agreements) and mainstream into national and sub-national policy, planning financial and legal frameworks	Development and sectoral planning frameworks integrate measurable targets drawn from the MEAs in at least 10 countries	<i>Number of Countries:</i>
	Functional environmental information systems are established to support decision-making in at least 10 countries	<i>Number of Countries:</i>

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

(If non-grant instruments are used, provide an indicative calendar of expected reflows to your Agency and to the GEF/LDCF/SCCF/CBIT Trust Fund) in Annex D.

⁵ Update the applicable indicators provided at PIF stage. Progress in programming against these targets for the projects per the *Corporate Results Framework* in the *GEF-6 Programming Directions*, will be aggregated and reported during mid-term and at the conclusion of the replenishment period.

PART II: PROJECT JUSTIFICATION

A. DESCRIBE ANY CHANGES IN ALIGNMENT WITH THE PROJECT DESIGN WITH THE ORIGINAL PIF⁶

A.1. Project Description. Elaborate on: 1) the global environmental and/or adaptation problems, root causes and barriers that need to be addressed; 2) the baseline scenario or any associated baseline projects, 3) the proposed alternative scenario, GEF focal area⁷ strategies, with a brief description of expected outcomes and components of the project, 4) incremental/additional cost reasoning and expected contributions from the baseline, the GEFTF, LDCF, SCCF, CBIT and co-financing; 5) global environmental benefits (GEFTF) and/or adaptation benefits (LDCF/SCCF); and 6) innovativeness, sustainability and potential for scaling up.

There are no major changes with respect to the approved PIF. During project preparation, agreement was reached on the different outputs and activities that will be carried out under each component. Please see PRODOC, Section 2, pages 35 to 63. In addition, for the specific case of investment activities (i.e. Components 2 and 3), project sites were defined and specific project outputs and activities were agreed with the corresponding stakeholders (see Annex 5).

Finally, while the main structure of the log-frame was not changed, the wording of two Outputs has been modified to better reflect the activities that will be implemented to achieve the project outcomes. Components and Outcomes have remained the same. The changes are summarized in the table below:

Table 1. Summary of changes in project design

Output as stated in approved PIF	Revised Output	Comment
1.2.2 Multi-scale and participatory approaches in place for monitoring of ecosystem services	1.2.2 Multi-scale and participatory approaches in place for assessing land degradation and SLM trends, and for assessing/monitoring impacts of management practices on ecosystem services, biodiversity, and livelihoods (vulnerability)	A preliminary inventory of knowledge platforms in use throughout the region has been included in Annex 4. New tools developed by FAO will be used to support scientific assessment of LD and SLM trends, as well as for monitoring expected impacts.
2.1.3 Participatory expert natural resources assessment and mapping (i.e. DLDD, SLM, vulnerability) for evidence-based decision-making	2.1.3: Participatory resilience assessment and mapping, and livelihood diagnostics (i.e. SHARP) to support evidence-based decision-making	Recent FAO field experiences with SHARP will be transferred to stakeholders to support decision-making.

A.2. Child Project? If this is a child project under a program, describe how the components contribute to the overall program impact.

Not applicable

⁶ For questions A.1 –A.7 in Part II, if there are no changes since PIF, no need to respond, please enter “NA” after the respective question.

⁷ For biodiversity projects, in addition to explaining the project’s consistency with the biodiversity focal area strategy, objectives and programs, please also describe which Aichi Target(s) the project will directly contribute to achieving..

A.3. *Stakeholders*. Identify key stakeholders and elaborate on how the key stakeholders engagement is incorporated in the preparation and implementation of the project. Do they include civil society organizations (yes /no)? and indigenous peoples (yes /no)? ⁸

During Project preparation, multiple consultations have been held with potential stakeholders and partners. The main stakeholder is the State Committee on Forestry (SCF) and its subordinates, notably the locally based Forest Organizations which are responsible for managing the great majority of the Forest Fund land. The ultimate beneficiaries of the Project will be communities and individuals dependent on forest resources. Currently, these communities are suffering from degrading resources and from sub-optimal production approaches. Specifically, under Component 2, the project will implement different activities for developing community based forestry that generates multiple benefits. These small-scale initiatives will bring different ecological and socio-economic benefits to members of local communities, including women. At the site level, the Project will work with Farmer Councils and Self-Governing Communities. These are civil society organizations. At all sites under Outcome 2 these CSOs will be involved as direct beneficiaries and local implementing partners. This will also establish models for SCF working with these CSOs that can be replicated.

The project will work with a wide array of stakeholders, from the local, national level to international level. The main stakeholders include (Table 2):

Table 2 Project stakeholders.

Stakeholder	Role in Project
State Committee on Forestry (SCF) of the Republic of Uzbekistan	<ul style="list-style-type: none"> • Overall project coordination and institutional guidance of the project • Responsible for project success to Government of Uzbekistan • Provide technical and logistical support and so a co-financier • Contribute to assessing impact of the project • Benefit from capacity building activities
Forests Projects Enterprise (FPE) of SCF	<ul style="list-style-type: none"> • A technical partner in the development and implementation of many Project activities at the site level • Will benefit from capacity building, notably related to forest planning and forest monitoring and carbon
Forest Cadastral Unit of SCF	<ul style="list-style-type: none"> • A technical partner in the development of the national forest assessment, and will benefit from related capacity building, (including on carbon related issues)
Forests Organizations (FO) of SCF	<ul style="list-style-type: none"> • Four of the SCF FOs will be operational partners at the site level • The same FO will benefit greatly from capacity building and from Project outputs • All FO will benefit from some capacity building, and possibly from upscaling under Outcome 3
Forestry Research Institute under SCF	<ul style="list-style-type: none"> • A technical partner in the identification of strategies at the FO level and in the implementation of activities • Will benefit from related capacity building, (including on financial, socio-economic and carbon related issues)

⁸ As per the GEF-6 Corporate Results Framework in the GEF Programming Directions and GEF-6 Gender Core Indicators in the Gender Equality Action Plan, provide information on these specific indicators on stakeholders (including civil society organization and indigenous peoples) and gender.

Stakeholder	Role in Project
State Committee on Ecology and Environmental Protection	<ul style="list-style-type: none"> • Will benefit from knowledge and data generated from Project on sustainable forest management, including data on forest biodiversity • Will benefit from some capacity building
Centre of Hydrometeorological Service (Uzhydromet)	<ul style="list-style-type: none"> • Will benefit from data generated from Project on forest inventories. Will also benefit from some capacity building.
Rayon Councils	<ul style="list-style-type: none"> • A technical partner in the identification of strategies at the FO level (in particular, the issues of irrigated lands availability, etc) and in the implementation of activities • Will contribute on the local level to public outreach campaigns on SFM processes with special focus on women; • Will participate in beneficiary household selection and mini-grants process; • Will benefit from related capacity building (including on socio-economic and carbon related issues)
Local Self-governing communities/ Makhallya Foundation	<ul style="list-style-type: none"> • Implementation partner for local, participatory, forestry activities • Will contribute on the local level to public outreach campaigns on SFM processes with special focus on women; • Will participate in beneficiary household selection and mini-grants process; • Will benefit from related capacity building (including on socio-economic and carbon related issues)
Chamber of Commerce and Industry (CCI) (TBD)	<ul style="list-style-type: none"> • Implementation partner for local capacity building activities on micro and small entrepreneurship (MSE) basic package; • Beneficiary of improved information and some capacity building
Business Women Association and its local branches (TBD)	<ul style="list-style-type: none"> • Implementation partner for local capacity building activities on micro and small entrepreneurship (MSE) basic package; beneficiary of improved information and some capacity building
Agrobank or Ipak Yuli commercial bank	<ul style="list-style-type: none"> • Will contribute to improved information on microcredits opportunities and bank credit procedures
Michael Succow Foundation	<ul style="list-style-type: none"> • A potential co-financier • A potential technical and operational partner
GEF Small Grants Programme (SGP)	<ul style="list-style-type: none"> • Collaborating partner at project sites to support livelihoods and reduce the dependence on wood fuel.

A.4. Gender Equality and Women's Empowerment. Elaborate on how gender equality and women's empowerment issues are mainstreamed into the project implementation and monitoring, taking into account the differences, needs, roles and priorities of women and men. In addition, 1) did the project conduct a gender analysis during project preparation (yes /no)?; 2) did the project incorporate a gender responsive project results framework, including

sex-disaggregated indicators (yes /no); and 3) what is the share of women and men direct beneficiaries (women X%, men X%)? ⁹

A rapid socio-economic and gender survey conducted at the Project preparation stage included an ex-ante and gender-sensitive impact assessment and analysis of livelihoods, vulnerability, and stakeholders. The analysis was based on field research in the four pilot areas identified for the Project, as well as interviews conducted during field visits made to the Forest Organizations and forest-dependent communities in remote mountainous areas. In-depth interviews and focus group discussions were conducted both at the central and community level with district municipalities (khokimiyat management); SCF and FOs' management and staff; workers in WP and NWFP cultivation and processing; female and male representatives from the households in forest-dependent communities; lessees and owners of grazing tickets; students of vocational colleges; local community leaders and community-based advisors on women's issues (maslakhatchi); representatives of private business, etc.

As in other countries in the region, the forestry sector in Uzbekistan is a male-dominated sector. Currently over 90% of the staff in the Project pilot Forest Organizations are male. The forester's occupation is considered more appropriate for men as it requires irregular working hours and continuous overtime. Very often, foresters must keep on duty for several weeks without breaks to go home and be on horseback. Men are preferred for this kind of job and women are not encouraged to engage in this profession because the forests are seen as unsafe place due to the presence of wild animals or offenders of law. Instead, women carry out all home chores that traditionally are considered as 'female'. Alongside with that, women engage in different types of income-generation activities to contribute to the family budget. The household responsibilities and work in the household plots and family farms is usually unpaid, not calculated and not taken into consideration as a contribution to family budget. The main findings of the survey related to the four pilot Project areas are presented in section 1.3.3 of the Project Document.

Gender is mainstreamed into the project as follows:

- Under component 1, the project seeks to train a set of technicians to undertake data collection and information management in order to develop and maintain the forest information management system. While training of staff from national institutions will be planned on a case by case basis, the selection criteria for technicians will include a gender dimension to ensure women participation in the data collection and information management. The project will keep track of the number of women trained as a percent of total trainees.
- Under component 2, the project will carry out livelihood-improvement activities with the aim to benefit at least 500 households, of which at least 30% will be female-headed. These include medicinal and aromatic plants (i.e. development of material, production and processing) and establishment of pistachio plantations. The beneficiary household selection criteria will be developed in close consultation with SCF and project related FOs to include social prioritization and gender dimension ensuring involvement of the most vulnerable population in the Project area (inclusive of single female headed households). Similarly, the Project will include interventions on possibilities for micro and small entrepreneurship (MSE) development for NWFP, including FSC certification, and required capacity building within the forest related local communities, with a focus on women. Replication and upscaling under Component 3 will help spread these approaches, benefitting more local people across the country. Indicators that will be considered for monitoring of benefits include: (i) increase in local community's income (gender disaggregated), (ii) change in type and quantity of forest products (wood and non-wood) obtained from target areas, and (iii) increase in productivity from sustainable forestry and multi-benefit industrial plantations.

Finally, and in line with the GEF Policy on Gender Mainstreaming, the GEF-6 approach on gender mainstreaming and women's empowerment, and the FAO Policy on Gender Equality and its Environmental and

⁹ Same as footnote 8 above.

Social Management Safeguards, gender concerns will be addressed throughout the Project implementation cycle, its monitoring and evaluation. A draft Gender Strategy and Action Plan has been developed and will be updated throughout project implementation (see Appendix 7 of the project Document). This way the project will seek to contribute to the empowerment of women through gender mainstreaming in the forestry sector

A.5 Risk. Elaborate on indicated risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, the proposed measures that address these risks at the time of project implementation.(table format acceptable):

A full risk analysis following FAO guidance with identification of mitigation actions can be found in Appendix 4 of the PRODOC. A summary of the project's risk analysis is found in Table 3 below:

Table 3: Project risks

Risk/Assumptions	Level	Management strategy
Government engagement in the Project at the highest level is insufficient to ensure mainstreaming, upscaling and replication. As a result, the enabling and institutional measures proposed by the Project will not be adopted.	Low	The Project has several strategies to mitigate this risk: (i) the early implementation phase focuses at the local level, so this period of time will be taken to advocate and build partnerships at high governmental level; (ii) the project will demonstrate the advantages of SFM in economic terms, which should attract high level government interest; (iii) the project will establish partnerships with many stakeholders and will create joint approaches to fostering high-level commitment.
The enabling legal and institutional framework is not sufficiently conducive to the Project Objectives, and is not modified/adopted in a timely way.	Medium	Component 3 addresses weaknesses in the legal and institutional framework and will ensure that SFM adopted as an overarching strategy. Progress with strengthening the enabling environment for SFM will be continuously monitored by the Government and FAO, and strategic changes to the Project approach will be identified and implemented if necessary.
Financially sustainable models of forest management cannot be identified/developed for Uzbekistan.	Medium	Fostering financial sustainability is a core strategy of the Project and includes creating incentives for SFM both among local land users, through improved land tenure arrangements, and among the FOs through identification of longer-term benefits from tree plantations, generated from harvesting of fruits and nuts, carbon sequestration, etc.
Forest conservation strategies proposed by the project will not be accepted by the population or will cause conflict with contractors who have occupied the same land plot for many years and do not allow anyone to use it.	Low	Incentives for SFM and forest conservation will be created through income generation activities for local communities from harvesting of fruits, nuts and NWFPs. Stakeholder consultation and participatory mechanisms will be put in place to avoid conflicts between communities and other contractors.

Risk/Assumptions	Level	Management strategy
Climate change may lead to increased threats to forests through fire, pests, diseases and changing climatic conditions (temperature, precipitation).	Low	The timeframe for climate change means that it does not significantly impact forests during the Project implementation period. Further, the Project, by greatly increasing overall forest management capacity, will contribute significantly to enhanced climate change resilience of forest ecosystems in Uzbekistan.
Globally, the value of carbon on international markets remains low, or gets lower, further decreasing enthusiasm for SFM.	Low	It is true that, should the price of carbon increase rapidly, this would greatly help reach the Project objectives. Hence, the Project treats carbon as one possible source of finance for sustainable forestry. However, Project success does not depend on this.

A.6. Institutional Arrangement and Coordination. Describe the institutional arrangement for project implementation. Elaborate on the planned coordination with other relevant GEF-financed projects and other initiatives.

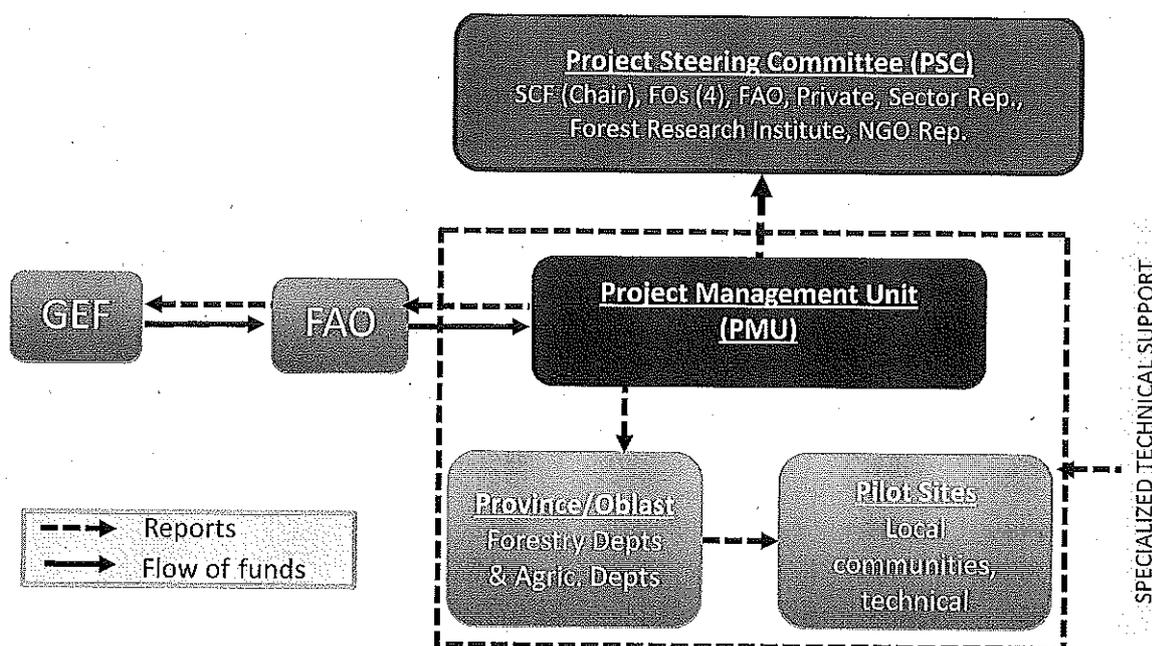
The **Food and Agriculture Organization of the United Nations (FAO)** will be the GEF Agency responsible for supervision and provision of technical guidance during project implementation. In addition, at the request of the government of Uzbekistan, FAO will act as financial and operational Executing Agency, and will deliver procurement and contracting services to the project using FAO rules and procedures, as well as financial services to manage GEF resources. Section 3.2.2 of the PRODOC provides a detailed description of FAO's roles and responsibilities in the project governance structure.

The **State of Forest Committee (SCF)** will be the main executing partner of the project on behalf of the Government of Uzbekistan and it will carry out its responsibilities to support Project execution through the designation of a National Project Director (NPD) not financed by the project. The NPD will be a senior staff member responsible for ensuring smooth execution of the project on behalf of the Government. The NPD is responsible to the Government for the successful implementation of the Project and the Project's impacts. The duties of the NPD include (i) acting as the responsible focal point at the political and policy level within the national lead institutions, and (ii) ensuring that all necessary support input from Government personnel are provided by national lead institutions to enable the project to implement all of the proposed component activities; and (iii) reviewing and providing input to annual work plans and budgets in consultation/collaboration with the FAO representative; (iv) and to participate in the selection of recruitment of consultants; (v) Chair the Project Steering Committee.

The NPD will ensure the active involvement of each national partner and he will ensure that each department of SCF, each subregional Forestry Organization (FO) and each FO at the project site level will undertake their roles and responsibilities agreed under the project governance structure.

The FOs are the Project's key strategic mechanism for working with local communities and for building the capacity at district/oblast level. The FOs will take the lead in communicating with national government, advising on the preparation of local workplans, designing, hosting and running trainings for district officers and local communities, and other local-level stakeholders, designing local-level activities, trouble shooting at the local level and ensuring that Project inputs are delivered effectively. The Project's decision-making mechanism is presented in Figure 1 below.

Figure 1. Decision-making mechanisms of the project.



The Project Management Unit (PMU) will be co-hosted by FAO and SCF and will be led by the Project Coordinator (PC), a full-time project position. The PMU will be comprised of a small core group of operational and technical staff, namely: the PC; operational and administrative officer and assistants, the M&E specialist, the national remote sensing/GIS expert and integrated by a representative from each FO supported by two field assistants funded by the project. FOs staff will be co-financed by SCF. The staff recruited by FAO will report to the BH, carrying out its functions in line with FAO rules and regulations while working in close coordination with SCF staff at all levels.

The following are some of the key functions of the PMU:

- to technically identify, plan, design and support all activities;
- to liaise with government and regional agencies and to advocate on behalf of the Project;
- to prepare the Annual Work Plan and Budget (AWP/B);
- to be responsible for day-to-day implementation of the project in line with the AWP;
- to ensure a results-based approach to project implementation, including maintaining a focus on project results and impact as defined by the RF indicators;
- to coordinate project interventions with other ongoing activities;
- to monitor project progress;
- to be responsible for the elaboration of FAO PPRs and the annual GEF PIR, and;
- to facilitate and support the midterm review/evaluation and final evaluation of the Project.

The Project Steering Committee (PSC) will be the main governing and decision-making body of the project. The objective of the Project Steering Committee (PSC) is also to provide support and advice and to ensure effective implementation to make the project successful. Its mission is not only an advisory body but also to provide necessary guidance for the project's staff and support their efforts to ensure all scheduled and previewed activities accomplished in time and to encourage the cooperation between all partners.

The Chair of the PSC is the National Project Director from SCF. The Secretary of the PSC is the Project Coordinator. The PSC can invite other institutions and/or persons for participation on an *ad hoc* basis.

The PSC will meet at least twice a year. The following are some its key functions:

- (i) review and endorse the annual workplan and budget;
- (ii) monitor the progress of the project and the results achieved such as those presented in the six-monthly progress reports;
- (iii) facilitate cooperation between the project and other pertinent projects and programs underway;
- (iv) supervise efficient coordination between implementation partners;
- (v) ensure the sustainability of the key results of the project; and
- (vi) endorse potential suggested revision to the project results framework following the recommendation of the mid term-review.

The members of the PSC will each fill the role of focal point for the project in their respective agencies. As a result, and as such a focal point, it will ensure: (i) the supervision of the activities related to the mandate of the respective agency; (ii) a fluid two-way exchange of information and of knowledge between their agency and the project; (iii) coordination and alignment between the activities of the project and the strategies and the regular program of their agency; and (iv) reporting on parallel financing related to the project, including endorsed co-financing as per the Project Document.

Additional Information not well elaborated at PIF Stage:

A.7 Benefits. Describe the socioeconomic benefits to be delivered by the project at the national and local levels. How do these benefits translate in supporting the achievement of global environment benefits (GEF Trust Fund) or adaptation benefits (LDCE/SCCF)?

The project seeks to put 84,735 ha under sustainable land management, improving the livelihoods of nearly 500 families. To achieve this, the project seeks to restore forest lands, to improve agriculture production, to improve the management of grasslands and to reduce forest degradation by improve management practices. As discussed above, much of the forest and forest land is currently being utilized by local communities, most of which are remote and not well integrated into the national economy. Project outputs 2.1 to 2.4 will apply integrated social prioritization and gender dimensions principles. By increasing revenue and improving the quality of the natural resource base (land and forest), these Outputs will yield significant benefits to the local community. A significant social benefit of the Project will be the creation of new jobs and increased opportunities for income generation and MSE development, inclusive for women , for the FOs related communities who will be involved into increased MAP and other NWFP production and processing, including certification. These activities will imply:

- increased capacity of FOs;
- capacity development interventions for the staff on the innovative strategies applied by the Project. One of such strategies to support under the Project is sheep wool processing and weaving cilim (the traditional wool carpets and rugs) for business purposes;
- capacity development interventions for existing and new stakeholders – contractors, farmers and other private business representatives;
- outreach campaigns on the SFM Project processes with sharpened gender focus;
- enhanced connections of FOs with commercial banks e.g. outreach campaigns on micro and small entrepreneurship (MSE) opportunities for women and men from the Project related communities).

Another social impact of the Project will include empowerment of women living in the concerned FO areas through their increased participation in SFM processes, in particular meetings, information sharing, trainings and decision making. Replication and upscaling under Outcome 3 will help spread these approaches and benefits to other similar communities and households. Collaboration with the SGP will ensure wider dissemination of identified best practices in SFM that generate socio-economic co-benefits.

Financial and incentive mechanisms for SFM at national and sub-national levels promoted by the project will contribute significantly to financial and economic sustainability of the project, including legalization of long-term leases of Forest Fund land. Longer leases are expected to strengthen the incentives of local land users to invest in plantations of economic trees, such as pistachios, almonds and walnuts, and also lead to more sustainable management of pastures.

The selection of the SFM best practices for demonstration and upscaling on management of high mountain forest, economic tree plantations, shelterbelts, and valley and riparian forests will be based on management practices already pilot-tested by research institutes, other programs and projects, and analysed for their environmental impact and economic feasibility. The final fine-tuning of SFM interventions will be undertaken in close consultation with local communities and forest project enterprises participating in the project.

A.8 Knowledge Management. Elaborate on the knowledge management approach for the project, including, if any, plans for the project to learn from other relevant projects and initiatives (e.g. participate in trainings, conferences, stakeholder exchanges, virtual networks, project twinning) and plans for the project to assess and document in a user-friendly form (e.g. lessons learned briefs, engaging websites, guidebooks based on experience) and share these

experiences and expertise (e.g. participate in community of practices, organize seminars, trainings and conferences) with relevant stakeholders.

The project will enhance communication and visibility of SFM at the national level through support to dissemination of best practices and lessons learnt under Component 4, and at the field level through support under Component 2 to demonstrations of SFM related to mountain forests, riparian forests and shelterbelt management in valleys and lowlands. The proposed project falls under the broad umbrella of the CACILM-2 programme under implementation with the support of FAO, therefore dissemination activities will be by .

Under Outcome 1, the proposed Project helps establish the national forest assessment. This is the basis for knowledge and knowledge management and dissemination related to forestry. Under Output 1.1 and Outcome 2, the Project helps establish an MRV system. This will systematically generate knowledge related mostly to GHG emissions and factors, but also contribute to knowledge for dissemination related to biodiversity and land management.

Under Outcome 4, the proposed Project will establish tools and mechanisms to systematically collect data, to document lessons learnt, to validate technical options, and to share lessons to national, regional and international partners. This will be done in close connection to Project monitoring and evaluation and to the Project communications strategy. This will lead to an increase in the concerned knowledge base of the country.

The Project's participatory process, involving relevant policy making, research, and operational institutions, will ensure that knowledge is shared efficiently within the country. Internationally, FAO will play a leading role in lesson sharing and knowledge management.

Proposed tools for enhancing visibility include:

- General aspects – the PMU will ensure that general aspects of project visibility are fulfilled, such as: (i) visual identity of project and partners; (ii) highlighting the project' partners in media interviews, press releases, etc.); (iii) supporting documents such as photos of logos in the field, photos of activities, copies of press released will be included in the progress and final reports.
- Basic visibility at field level – At this level visibility strategy will consider: (i) signboards, display panels and banners; (ii) operational publications and materials such as training manuals and posters; (iii) supplies and equipment.
- Printed publications – Brochures, leaflets, flyers, newsletters and other publications to project activities and results.
- Website, webpage and social media pages – This will include: (i) partnerships and links; (ii) project information (objectives, activities, expected results, etc.).
- Audio-visuales – (i) Films for distribution by the media (mainly for television, campaigns and Internet); (ii) operational films (films to provide technical information and practices to local population, project partners and authorities).
- Public events – Many types of events are possible and attracting media interest will always be a key consideration in making the events cost-effective. Press release will be an integral part of the events.

FAO and GEF logos will be used, along with government logo, in all knowledge products and in any communication materials developed (such as posters, pamphlets etc.).

- B. Description of the consistency of the project with:

B.1 *Consistency with National Priorities.* Describe the consistency of the project with national strategies and plans or reports and assessments under relevant conventions such as NAPAs, NAPs, ASGM NAPs, MIAs, NBSAPs, NCs, TNAs, NCSAs, NIPs, PRSPs, NPFE, BURs, INDCs, etc.:

The approach and goals of this Project are central to the following national development and sectoral plans and strategies:

- Forestry: The following laws have directly or indirectly influenced the forestry of Uzbekistan: the Constitution of the Republic of Uzbekistan (1992); Laws and Regulations on “Nature Protection” (1992); “Protection and Use of Flora” (1997); The Forest Act of 1999; the Land Code of the Republic of Uzbekistan (1998), and; the Law on Protected Areas” (2004). The Forest Act (1999, with two subsequent amendments) regulates all matters concerning the management and protection of forests is the most important. In 2006, the Main Forest Department (currently SCF) developed and approved a Forestry Development Program for the period of 2006 - 2010. The program included sections devoted to reforestation, afforestation, enhancement of the environmental and protective functions of forests, and expanding the forest cover. Subsequently, with support from FAO and other partners, the Government is developing a follow-up National Forest Programme. In addition to maintaining the strategic priorities of the early program, the draft for the follow-up program includes important policy initiatives, for example in the area of land tenure and participation in forestry. In this sense, the Uzbekistan forest sector can be considered to be on the eve of significant reforms. This proposed Project, while fully supporting the objectives and priorities set out in the Forestry Development Program, has also been designed to be able to help facilitate policy reforms, should opportunities arise.
- The Regional Environmental Action Plan for Central Asia (REAPCA, issued in 2004) which highlights the degradation of mountain ecosystem as one of its priority problems;
- The Uzbekistan Welfare Improvement Strategy, 2008 -2010 (WIS) that targets transformation of the agricultural sector by the improvement and sustainable use of natural resources.

The project also supports the country’s efforts and commitments to address the following conventions:

UNFCCC: Uzbekistan prepared a *National Strategy on GHG Emission Reductions* in 2000. This document prioritized the increasing use of GHG sinks in forest ecosystem through afforestation, reforestation and improvement of existing forests. This proposed Project is aligned to that priority. Subsequently, the *Second National Communication* (2008, SNC) validated the above-mentioned National Strategy and further developed the priorities. The SNC identifies that currently the forestry sector is not a major sector in GHG emissions in Uzbekistan, but clarifies that it has the potential to significantly increase sequestration. Further, it notably promotes the widespread application of local tree species in order to increase GHG removals, as well as to generate other benefits such as land recreation, environment protection and biodiversity conservation.

Finally, the proposed project will support the implementation of the Uzbekistan’s Intended Nationally Determined Contribution (INDC).¹⁰ In the INDC, the country commits to reducing carbon intensity (i.e. GHG emissions per unit of GDP) by 10 percent by 2030 relative to the 2010 level. The proposed project will support a series of climate change mitigation measures related to forestry included in the INDC. These are: (i) conservation and restoration of forest resources, including afforestation of the dried Aral Sea bottom and (ii) the development of a system for inventory, reporting and control over greenhouse gas emissions. With respect to climate change adaptation measures included in the INDC, the proposed project will support the restoration of forests in mountain and piedmont areas, and conservation of indigenous plant species in semi-deserts and deserts as a way to enhance the resilience capacity of ecosystems.

¹⁰ http://www4.unfccc.int/Submissions/INDC/Published%20Documents/Uzbekistan/1/INDC%20Uzbekistan%2018-04-2017_Eng_20170419093154_171926.pdf

UNCCD: The proposed Project responds to the priority actions identified in the National Action Program to Combat Desertification (NAPCD, 2002). In particular, the proposed Project will address the following NAPCD general recommendations: Improving land organization in order to prevent its degradation and secure environmentally and economically productive patterns based on landscape and environmental norms; Restoring forests and growing them on lands of the state reserve and other territories suitable for it, and; Developing economic mechanisms for ensuring more sustainable use of natural resources. With support from UNEP, the Government of Uzbekistan is currently preparing an updated National Action Program to implement the UNCCD. The unapproved draft prioritizes assessment and monitoring of land degradation and sustainable forest management. Hence, this proposed Project is in line with the draft document.

CBD: The Project is aligned with National Strategy and Action Plan for Biodiversity Conservation (1998) which included the following priorities (i) Protection of biological resources, including forests and grasslands and (ii) restoration of structures and functions of degraded ecosystems. With support from UNDP/GEF, Uzbekistan is currently updating this action plan. This proposed Project – with its focus on sustainable forest management and sustainable use of forest resources - is aligned to the recommendations and priorities in the draft updated action plan.

Finally, in January 2015, the Government issued a Protocol related to medicinal and aromatic plants requiring that production of these increase rapidly to contribute to exports. This is also supported through the present proposed Project.

C. DESCRIBE THE BUDGETED M & E PLAN:

The project's M&E plan is detailed in Section 3.5.1. The monitoring and evaluation roles and responsibilities are summarized in Table 3 below. M&E activities will be undertaken through: (i) day-to-day monitoring and project progress supervision missions (PMU); (ii) technical monitoring of indicators to measure a reduction in land degradation (PMU and LTU in coordination with partners); (iii) mid-term review and final evaluation (independent consultants and FAO Evaluation Office); and (v) monitoring and supervision missions (FAO). Project M&E activities are estimated at USD 113,550.

M&E Activity	Responsible parties	Time frame/	Budget
Inception workshop	PM; FAO UZB (with support from the LTO, and FAO-GEF Coordination Unit)	Within two months of project start up	USD 3,000
Project Inception report	PM, Expert M&E and FAO UZB with clearance by the LTO, BH and FAO-GEF Coordination Unit	Immediately after the workshop	-
Field-based impact monitoring	PM; project partners, local organizations	Continuous	USD 10,000
Supervision visits and rating of progress in PPRs and PIRs	PMU; FAO (FAO UZB, LTO). FAO-GEF Coordination Unit may participate in the visits if needed.	Annual, or as needed	FAO visits will be borne by GEF agency fees Project Coordination visits shall be borne by the project's travel budget
Project Progress Reports (PPRs)	PMU, with stakeholder contributions and other participating institutions	Six-monthly	USD 3,000
Project Implementation Review (PIR)	Drafted by the PM, with the supervision of the LTO and BH. Approved and submitted to GEF by the FAO-GEF Coordination Unit	Annual	FAO staff time financed through GEF agency fees. PMU time covered by the project budget.
Co-financing reports	PM with input from other co-financiers	Annual	USD 1,000
Mid-term review	FAO UZB, External consultant, in consultation with the project team, including the FAO-GEF Coordination Unit and others	Midway through the project implementation period	USD 30,000 by an external consultancy
Final evaluation	External consultant, FAO Independent Evaluation Unit in consultation with the project team, including the FAO-GEF Coordination Unit and others	At the end of the project	USD 60,000 by an external consultancy. FAO staff time and travel costs will be financed by GEF agency fees.
Terminal Report	PMU; FAO (FAO UZB, LTO, FAO-GEF Coordination Unit, TCS Reporting Unit)	Two months prior to the end of the project.	USD 6,550
Total budget			USD 113,550

PART III: CERTIFICATION BY GEF PARTNER AGENCY(IES)

A. GEF Agency(ies) certification

This request has been prepared in accordance with GEF policies¹¹ and procedures and meets the GEF criteria for CEO endorsement under GEF-6.

Agency Coordinator, Agency Name	Signature	Date (MM/dd/yyyy)	Project Contact Person	Telephone	Email Address
Alexander Jones Director Climate and Environment Division		20 November 2017	Peter Pechacek Forestry Officer FAOSEC	+36 1 461 2000	peter.pechacek@fao.org
Jeffrey Griffin Senior Coordinator GEF Unit Climate and Environment Division					

¹¹ GEF policies encompass all managed trust funds, namely: GEFTF, LDCF, SCCF and CBIT
GEF6 CEO Endorsement /Approval Template-August2016

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).

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions	Responsible for data collection
Objective: to introduce sustainable forest management in Uzbekistan, thereby sequestering carbon and improving the quality of forest and tree resources							
Component 1: Information systems for sustainable forest management							
Outcome 1: An operational Forest Inventory (FI) and Monitoring System	FI and monitoring system in place	Inefficient, methodologically inappropriate, spatially, temporally and thematically incomplete system for FI and monitoring.	FI and monitoring system in place	FI and monitoring system in place and generating coherent information for planning and decision making at the Leskhoz level	Database and maps available in the Cadastral Unit	Sufficient co-financing and capacity available in the Uzlesproject to establish forest database and to undertake the FI	SCF, Uzlesproject
Output 1.1: Harmonized methodology for data collection.	Harmonized methodology for SFM data collection Leskhoz level field maps	Inadequate methodology for forest monitoring – based on Soviet-time forest management planning approaches, largely depend on subjective assessments	Harmonized methodology for SFM data collection in place based on a broader spectrum of information	Harmonized methodology for SFM data collection in place and generating coherent data for FI and field maps	Database available in the Cadastral Unit 4 field maps	Sufficient co-financing and capacity available in the Cadastral Unit to establish forest database and to produce maps	SCF, Cadastral Unit
Output 1.2: trained cadre of technicians to undertake the data collection and information management	X number of technicians in SCF, Uzlesproject and the Cadastral Unit trained	A serious lack of qualified personnel in SCF, Uzlesproject and the Cadastral Unit	5 technicians in SCF, Uzlesproject and the Cadastral Unit trained	5 technicians in SCF, Uzlesproject and the Cadastral Unit trained	Reports and participants lists from training events	Technicians in the SCF have the capacity and motivation to participate in trainings and gain new knowledge	SCF, Uzlesproject, Cadastral Unit
Output 1.3: Geo-referenced database	A geo-referenced database for forested land	The information is not available in a digital, georeferenced format - this limits its availability and integration with other data sources.	A geo-referenced database for forested land in place	A geo-referenced database for forested land in place capable of generating maps and other geo-spatial information	A geo-referenced database for forested land	Capacity to establish and maintain the database in place in SCF	SCF

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions	Responsible for data collection
Output 1.4: Forest information and monitoring system	Forest information and monitoring system covering FF land as well as other forested land	FMP inventories cover only Forest Fund lands; forests and forest-like ecosystems outside FF are not taken into consideration	Forest information and monitoring system covering FF land as well as other forested land in place	Forest information and monitoring system covering FF land as well as other forested land in place and operational	Access to FI results through an Internet portal	Capacity to establish and maintain the FI in place in SCF	SCF

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions	Responsible for data collection
Component 2: Multifunctional forest management leading to carbon sequestration, an improvement in forest and tree resources, and other benefits							
Outcome 2: SFM operationalized at 4 demonstration sites generating sustainable benefits such as carbon sequestration and improved livelihoods of at least 500 local households	SFM operationalized at X sites covering X ha of land leading to sequestration of X tCO ₂ eq.	SFM is not operationalized in the different types of forest ecosystems in Uzbekistan	SFM operationalized at 4 demo sites covering 84 735 ha of land	SFM operationalized on 84 735 ha at 4 demo sites leading to sequestration of 4 118 451 tCO ₂ eq and improved livelihoods of at least 500 local households of which at least 30% are female headed	4 Forest management plans PIRs/PPRs Mid-term and final evaluations	FPEs and FOs have capacity and incentives to adopt SFM practices	FPEs, FOs
Output 2.1: Sustainable management of mountain forests in Dekhanabad	SFM practices for high mountain forest covering X ha of land leading to improvement of livelihoods of at least X households.	Available knowledge on site and climate requirements for production of tree products and timber is limited. Planning processes to include the local population in protection of natural forests and pasture management are not applied	SFM covering 36 530 ha of land	SFM covering 36 530 ha of land leading to sequestration of 1 839 056 tCO ₂ eq and improved livelihoods of at least 100 local households of which at least 30% are female headed	Forest management plan for Dekhanabad FMA reports PIRs/PPRs Mid-term and final evaluations	FPEs and FOs have capacity and incentives to adopt SFM practices	FPEs, FOs
Output 2.2: Sustainable management of mountain forests and improving the livelihoods of at least 200 farmers/households in Kitab forestry	SFM practices for economic tree species covering X ha of land leading to improvement of livelihoods of at least X households.	Available knowledge on site and climate requirements for production of tree products is limited. Planning processes to include the local population in rangeland management are not applied	SFM practices for economic tree species covering 16 200 ha of land	SFM practices for economic tree species covering 16 200 ha of land leading to sequestration of 628 813 tCO ₂ eq and improved livelihoods of at least 200 local households of which at least 30% are female headed	Forest management plan for Kitab FMA reports PIRs/PPRs Mid-term and final evaluations	FPEs and FOs have capacity and incentives to adopt SFM practices	FPEs, FOs

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions	Responsible for data collection
Output 2.3: Sustainable management of valley forests and shelterbelt forests in Sirdarya forestry improving the livelihoods of at least 100 farmers	SFM practices for valley forests and shelterbelts covering X ha of land leading to improvement of livelihoods of at least X households.	Planning techniques to identify suitable sites for valley and shelterbelt forest enhancement and conservation of biodiversity in forested areas are not widely available	SFM practices for valley forests and shelterbelts covering 2 995 ha of land	SFM practices for valley forests and shelterbelts covering 2 995 ha of land leading to sequestration of 787 902 tCO ₂ e and improved livelihoods of at least 100 local households of which at least 30% are female headed	Forest management plan for Sirdarya/FMA reports PIRs/PPRs Mid-term and final evaluations	FPEs and FOs have capacity and incentives to adopt SFM practices	FPEs, FOs
Output 2.4 Sustainable management of mountain forests and improving the livelihoods of at least 100 farmers in Fergana Valley, Pop forestry	SFM practices for forest covering X ha of land leading to improvement of livelihoods of at least X households.	The technical knowledge and participatory planning processes are no longer available in the forest enterprises to establish more shelterbelt plantations together with private land owners and farmers.	SFM practices for forest covering 29 010 ha of land	SFM practices for forest covering 29 010 ha of land leading to sequestration of 862 680 tCO ₂ e and improved livelihoods of at least 100 local households of which at least 30% are female headed	Forest management plan for Pop FMA reports PIRs/PPRs Mid-term and final evaluations	FPEs and FOs have capacity and incentives to adopt SFM practices	FPEs, FOs

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions	Responsible for data collection
Component 3: Upscaling of sustainable forest management with carbon sequestration – by strengthening of the enabling environment							
Outcome 3: The policy and enabling framework is conducive to state and private investment in SFM	SFM principles integrated forest sector frameworks, policies and programs	Weak policy and legal framework for SFM and lack of management plans at local level to implement SFM Lack of long-term leases for sustainable use of FF land	NAMA for the forestry sector including MRV in place SFM principles integrated into key national forest policy frameworks and programs	Strong enabling environment facilitates upscaling of SFM and enhanced carbon sequestration on all forest land	Documented policy revisions legalizing long-term leases of FF land Training reports and participants lists PIRs, PPRs	SCF committed to policy reform and SFM	SCF, FAO
Output 3.1: Capacity inside SCF for forest information management is enhanced	Training of X SCF staff at central and provincial level; provision of equipment related to GIS and to preparation of maps	SCF personnel, notably in the Cadastral Unit, often lack the necessary technical skills as well as equipment to effectively manage and interpret forestry information	Training of 25 SCF staff at central and provincial level; provision of equipment related to GIS and to preparation of maps	Training of 50 SCF staff at central and provincial level; provision of equipment related to GIS and to preparation of maps	Reports and participants lists from training events Inventory lists of equipment PIRs, PPRs	SCF staff has the capacity and incentives to acquire new knowledge	SCF, Cadastral Unit
Output 3.2: Awareness and support for improved land tenure is created	Training and awareness raising of X forestry officials in the application of the Voluntary Guidance on Governance and Tenure (VGGT) and need for revision of the grazing ticketing system on FF land	Currently, non-State forest users are limited to a ten-year lease of FF land. This acts as a barrier to non-state investors investing in any forest activity that requires more than ten years to be profitable. It notably makes any private investment in carbon sequestration on forest land very unprofitable.	Training and awareness raising of 100 officials in the application of the Voluntary Guidance on Governance and Tenure (VGGT) and need for revision of the grazing ticketing system on FF land	Training and awareness raising of 200 officials in the application of the Voluntary Guidance on Governance and Tenure (VGGT) and need for revision of the grazing ticketing system on FF land	Training reports and participants lists PIRs, PPRs	Forestry officials willing to participate in training and awareness raising events	SCF, FAO

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions	Responsible for data collection
Output 3.3: A Nationally Appropriate Mitigation Action (NAMA) for the forestry sector or pistachio forest sub-sector, including a national measuring, reporting and validation (MRV) system	NAMA for the forestry sector including MRV in place	A draft NAMA for the pistachio was prepared in 2012 and is under review No MRV in place	NAMA for the forestry sector including MRV in place	NAMA for the forestry sector including MRV in place	NAMA report to the UNFCCC	es and FI under es 1 and 2 will lead to d forest data at FO ng the basis for MRV of	SCF
Output 3.4: Amendment to forest legislation legalizing long-term leases of forest fund land	Amendment to forest legislation legalizing long-term leases of forest fund land	There is no state policy in place for sustainable development of forestry. Insufficient funding to the sector makes forestry seek additional funds from e.g. leasing of pastures, which leads to overgrazing	Proposals for revision of policy legislation	2 revisions to the forestry legislation	Documented policy revisions legalizing long-term leases of FF land	Political will to reform the forestry sector is maintained	MOAW, SCF
Output 3.5: The National Forest Program is approved	The National Forest Program is approved	The draft National Forest Program was initially prepared in 2008. It has since been subject to review and revision.	The National Forest Program is approved	The National Forest Program is approved	Approved document with new national Forest Program	Political commitment to reform of the forestry sector maintained	SCF
Output 3.6: Lessons and best practices from Component 2 are institutionalized in policy and/or programs	Number of lessons and best practices from Component 2 institutionalized in policy and/or programs Gender Action Plan (GAP)	0 0	5 lessons and BPs identified from Component 2 1 GAP developed	10 lessons and BPs, including on FSC certification, integrated into policies and or programs GAP implemented	Policy and program documents that refer to lessons and BPs from the current Project GAP and monitoring reports	The assessment and planning process under Component 2 leads to demonstration and testing of many innovative tools or approaches	SCF

Results chain	Indicators	Baseline	Mid-term target	Final target	Means of verification	Assumptions	Responsible for data collection
Component 4: Monitoring, evaluation and knowledge sharing							
Outcome 4: Project implementation based on RBM and lessons learned/good practices documented and disseminated	M&E system is in place to support adaptive results-based management and monitoring of upscaling resulting from the project.	No system in place	Implemented project based on adaptive results based-management	Project delivers expected results and shares best practices	GEF LD and CC Tracking Tools, PIRs, PPRs Midterm Review and Final Evaluation	National lead agencies and other stakeholders support M&E processes, and are committed to continuous learning and exchange of knowledge on SFM	SCF, FAO
Output 4.1: A set of manuals or guidelines, that capture and describe the improved practices, measures and technologies	Number of manuals and guidelines on SFM in different forest types	No manuals or guidelines exist	2 manuals and 2 guidelines developed and published	Manuals and guidelines applied at project demonstration sites and beyond	Published manuals and guidelines PIRs, PPRs	Project partners have the skills, knowledge and resources to support the development of manuals and guidelines for SFM	SCF, FAO
Output 4.2: Project Monitoring & Evaluation plan and system in place	M&E system in place	0	M&E system in place and providing inputs to PIRs, PPRs and mid-term evaluation	M&E system in place and providing inputs to final evaluation	Monitoring reports	Adequate funding allocated to monitoring	PMU, FAO
Output 4.3: Project Mid-term and Final Evaluations	Mid-term and final evaluation reports	0	Mid-term project review recommendations implemented	Final evaluation	Evaluation reports (FAO evaluation office)	Adequate funding allocated evaluations	PMU, FAO
Output 4.4: A Communication and dissemination strategy is developed and implemented	Communication and dissemination plan Project website and social media pages X number of project newsletters X number of awareness/ outreach events organized	Low awareness of SFM	Communication and dissemination plan in place Project website and social media pages established Outreach event organized in connection with project launch	6 project newsletters 4 outreach events	Awareness/out reach events & materials Statistics of website visitors, Facebook likes, number of Tweets	The PMU is functioning and has adequate capacity in KM and communication	SCF, PMU, FAO

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).

STAP comments	Responses
<p>2. Land use change from agricultural land producing wheat to high value pistachio production (output 2.2.) is expected to occur before addressing issues of land tenure (currently 10-year leases) or financial incentives for farmers to change production types. For instance, in paragraph 23, it is made clear that carbon financing will take time to establish as a viable option to incentivise an increase in forest cover.</p>	<p>The project will not convert wheat growing agricultural land to pistachio plantations. Pistachio and other nut and fruit trees will only be planted on Forest Fund land that is currently degraded and/or used for illegal grazing. This land will thus be converted to higher value land that will generate both provisioning and regulating ecosystem services.</p> <p>The only project management intervention planned on agricultural land is support to planting of shelterbelts to reduce yield losses. These interventions will be based on participatory planning together with farmers.</p>
<p>3. It seems that the approach taken lacks a clear understanding of stakeholder preferences, particularly farmers, and may lead to significant conflicts preventing the implementation of the project. STAP encourages the project developers to apply a multi-stakeholder participatory process in evaluating options and developing an implementation plan for interventions.</p>	<p>The project fully incorporates a participatory approach to ensure that the proposed interventions are in line with land users preferences. At each location, a similar and gender sensitive participatory process will be supported, working with the concerned Forest Organizations:</p> <ul style="list-style-type: none"> • The first step, based on a rapid training needs assessment, will include training of FO staff, notably on issues related to: (i) stakeholder participation; (ii) inventorying and monitoring; and (iii) carbon measurement; • The second step will be a multi-factor assessment of the resources in the forest. This will include an assessment of biodiversity, carbon (as a basis for measuring, reporting and validation (MRV)), socio-economic activities, stakeholders, etc. The assessment will integrate a socio-economic impact analysis of wood and NWFP production on women and men in the concerned FOs; • The third step is the participatory planning, involving, as appropriate, all stakeholders. Forest enterprises will be involved in this. Following the planning, the project will support the implementation of the priority activities as identified in the plans. Hence a range of forestry, agro-forestry or socio-economic activities may be supported, depending on the needs at the site and the opportunities (for example: upper forest restoration/protection, medicinal and aromatic plant (MAP) development, non-wood forest products (NWFP) development, reforestation, pistachio and other native drought-resilient species development, connecting credit facilities, establishing shelterbelts, etc.) <p>Modalities will be put in place for inclusion of the local communities and stakeholders in the implementation of forest management activities, with special attention to the involvement of women and disadvantaged groups in policy and decision making.</p>
<p>4. Pistachio trees take between 5-8 years to begin producing nuts, and up to 15 years to reach full production. What financial mechanisms will be put in place to ensure those long timescales do not affect the</p>	<p>As explained above, the project will not replace wheat production on agricultural land with pistachio plantations. In fact, pistachios can only be grown in cooler mountainous areas.</p> <p>Local communities that rely on illegal grazing of mountain areas that</p>

<p>livelihoods of the intended 250 "beneficiary" farmers? Are there measures in place to ensure the re-training for farmers usually involved in livestock rearing and wheat production?</p>	<p>will be planted with pistachios will benefit from support to livelihood diversification as well as alternative livelihoods. This could involve support to MAP production in mountain areas and NWFPs.</p>																												
<p>5. Keeping in mind that pistachio trees take up to 15 years to reach full production, why are climate risks only considered for the time of project implementation? It is likely that temperature will increase significantly, and precipitation decrease significantly in the areas of intervention (see IPCC AR5) by the time pistachio trees reach full production. The tree planting density might need to be reduced to ensure sufficient water availability under climate change.</p>	<p>It has been added to the climate change risk analysis that the Project, by increasing overall forest management capacity, will contribute significantly to enhanced climate change resilience of forest ecosystems in Uzbekistan.</p> <p>The project will also work with the Forest Organizations to improve water management on the Forest Land under their jurisdiction, which will further enhance resilience to climate change of planted nut and fruit trees, including pistachios.</p>																												
<p>6. Note that Uzbekistan is one of the few countries that has not submitted an INDC as part of the UNFCCC process prior to the Paris COP21.</p>	<p>Please note that Uzbekistan submitted its INDC during 2017. Please refer to: http://www4.unfccc.int/Submissions/INDC/Published%20Documents/Uzbekistan/1/INDC%20Uzbekistan%2018-04-2017_Eng_20170419093154_171926.pdf</p>																												
<p>7. The target is to "improve forest management" over 121,700 ha of land. Is this "improvement" to include reforestation, afforestation or just to avoid degradation from grazing livestock (Section F)? It is claimed this will sequester 3.2 Mt CO₂-eq as a minimum. This equates to an increased carbon stock of around 7t C per hectare. Is this on an average annual basis or the final additional carbon stock once the forests have recovered or matured? This is not clear.</p>	<p>Regarding STAP comments #7 to #9, please note that a more detailed GHG emissions analysis using EX-ACT has been made based on the different SFM interventions in the pilot project areas. These are summarized in Table 7 (pg. 43) of the PRODOC. Full details on carbon calculations can be found in Appendix 8 to the PRODOC.</p> <p>During project preparation, several field missions were carried out to identify suitable areas for intervention and to verify the local Forest Organization and local communities' interest in participating in the project. The potential type of project activities were also discussed with local actors. Proposed activities to be financed by the project range from reforestation and afforestation to improving grazing practices, as follows.</p>																												
<p>8. The proposal is also lacking in any explanation of the details used when calculating such numbers other than as shown in Annex 1, so they cannot be easily verified. Reforestation of foothills currently under pasture or low yielding wheat crops would sequester 118.1 tC/ha over 20 years if growing pistachio or almond crops (page 23). This equates to 5.9 tC/ha/yr. The juniper, pistachio, and poplar forests sequester 1.9, 3.33 and 3.92 tC/ha / yr respectfully (Table on page 24). So how do these assumptions relate to the overall 7tC/ha as calculated above? Making the assumption that because only about one third of Forest Fund areas are actually covered by forests, that the remaining two thirds can be covered by forests is simplistic and perhaps naive. Are there any biophysical and climatic barriers, such as poor soils and water availability, which may prevent the expansion</p>	<table border="1" data-bbox="654 1344 1468 1825"> <thead> <tr> <th>Activity</th> <th>Target area</th> </tr> </thead> <tbody> <tr> <td colspan="2">Afforestation/Reforestation activities</td> </tr> <tr> <td>Forest Restoration – Juniper</td> <td>1,000</td> </tr> <tr> <td>Firewood Plantation</td> <td>230</td> </tr> <tr> <td>Shrubs Plantation</td> <td>20</td> </tr> <tr> <td>Creation of shelterbelts</td> <td>2,225</td> </tr> <tr> <td>Pistachio Tree Plantation (Perennial)</td> <td>1,910</td> </tr> <tr> <td>Plantation of Medicinal/Aromatic crops (annual)</td> <td>600</td> </tr> <tr> <td>Subtotal hectares restored/reforested</td> <td>5,985</td> </tr> <tr> <td colspan="2">Improved management</td> </tr> <tr> <td>Improved management of degraded grassland</td> <td>50,750</td> </tr> <tr> <td>Improved management of degraded forest lands</td> <td>28,000</td> </tr> <tr> <td>Subtotal hectares under improved management</td> <td>78,750</td> </tr> <tr> <td>Total hectares targeted by the project</td> <td>84,735</td> </tr> </tbody> </table> <p>It is estimated that over a 20 year period (5 year project intervention and 15 year capitalization), project activities will result in the</p>	Activity	Target area	Afforestation/Reforestation activities		Forest Restoration – Juniper	1,000	Firewood Plantation	230	Shrubs Plantation	20	Creation of shelterbelts	2,225	Pistachio Tree Plantation (Perennial)	1,910	Plantation of Medicinal/Aromatic crops (annual)	600	Subtotal hectares restored/reforested	5,985	Improved management		Improved management of degraded grassland	50,750	Improved management of degraded forest lands	28,000	Subtotal hectares under improved management	78,750	Total hectares targeted by the project	84,735
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<p>of forests in those areas? This is not mentioned in Annex 1.</p>	<p>capture/avoidance of roughly 4.1 million tons of CO₂-eq. This is equivalent to 2.4 tonnes of CO₂-eq captured/avoided per hectare per year.</p>
<p>9. Has there been any analysis made of the age class distribution and likely harvesting profile of the forest estate, and hence the impacts on releasing stored carbon over time? If not, then this needs to be undertaken in order to provide a full assessment of the true mitigation potential over time.</p>	<p>Finally, there is no field analysis of harvesting profiles and carbon release over time. It is expected that this type of data will be available once the National Forest Information System to be developed under component 1 is operational.</p>
<p>10. "Industrial" plantations are planned on irrigated agricultural land (page 12). Other than carbon sequestration, the benefits are stated to be protection from soil erosion and land degradation. The impact on food production is not given but it would seem to be high producing land if worthy of irrigation.</p>	<p>After several project design missions, this has been changed. As mentioned earlier, the project will not establish any tree plantations on agricultural land, with the exception of shelterbelts in the Sirdarya area. These shelterbelts will be established in close collaboration with farmers that have requested these measures to protect crops. The impact of these shelterbelts on food production will be positive, but are yet to be estimated, on the land area required for plantations and increase in yield thanks to reduced wind speed and evapotranspiration.</p>
<p>11. Firewood will be one product from activities along the Amudarya river –but where is this firewood supply sourced from now? Is firewood demand currently resulting in deforestation?</p>	<p>Firewood demand is resulting in illegal cutting of wood in the natural forests and thus forest degradation. The project will therefore establish firewood plantations in each Forest Organisation area together with local communities. This expected to reduce pressure on the natural forest and contribute to its regeneration.</p>
<p>12. The proposal mentions a close linkage to the CACILM-2 project that seeks to build resilience of agricultural production systems. STAP encourages the project developers to apply the Resilience Adaptation Pathways and Transformation Assessment (RAPTA) framework, which has been proposed for use in CACILM-2, to integrate resilience thinking in the project design. RAPTA is available from the STAP web site www.stagef.org.</p>	<p>The project will collaborate with CACILM-2 on knowledge exchange and awareness raising to promote scaling up of best practices in sustainable forest management in Uzbekistan and the Central Asia region.</p> <p>To assess resilience of livelihoods and ecosystems at the field level, the project will use the FAO SHARP tool. The project will coordinate with CACILM-2 to see how to link the SHARP and RAPTA resilience assessments.</p>

ANNEX C: STATUS OF IMPLEMENTATION OF PROJECT PREPARATION ACTIVITIES AND THE USE OF FUNDS¹²

A. Provide detailed funding amount of the PPG activities financing status in the table below:

PPG Grant Approved at PIF: 150000			
<i>Project Preparation Activities Implemented</i>	<i>GETF/LDCF/SCCF/CBIT Amount (\$)</i>		
	<i>Budgeted Amount</i>	<i>Amount Spent To date</i>	<i>Amount Committed</i>
1. Develop Component 1 - National Forest Information System	19,200	11,276	4,020
2. Develop Component 2 - Multifunctional forest management	43,600	28,665	8,394
3. Develop Component 3 - Sustainability and scaling up	18,335	13,173	0
4. Develop Component 4 - M&E and knowledge sharing	8,000	4,208	0
5. Stakeholder consultation	30,955	13,927	36,966
6. Preparation of full project document	29,910	25,371	4,000
Total	150,000	96,620	53,380

¹² If at CEO Endorsement, the PPG activities have not been completed and there is a balance of unspent fund, Agencies can continue to 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. Agencies should also report closing of PPG to Trustee in its Quarterly Report.

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

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

Not applicable

