

# Capacity-building to establish an integrated and enhanced transparency framework in Uzbekistan to track the national climate actions and support measures received

Review PIF and Make a recommendation

## Basic project information

**GEF ID**

10772

**Countries**

Uzbekistan

**Project Name**

Capacity-building to establish an integrated and enhanced transparency framework in Uzbekistan to track the national climate actions and support measures received

**Agencies**

FAO

**Date received by PM**

3/24/2021

**Review completed by PM**

7/29/2021

**Program Manager**

Namrata Rastogi

**Focal Area**

Climate Change

**Project Type**

MSP

## **PIF**

### **Part I ? Project Information**

#### **Focal area elements**

**1. Is the project/program aligned with the relevant GEF focal area elements in Table A, as defined by the GEF 7 Programming Directions?**

Secretariat Comment at PIF/Work Program Inclusion

5/3/2021: Yes, the project is aligned with the GEF climate change strategy.

Agency Response

**4 June 2021**

No response required

#### **Indicative project/program description summary**

**2. Are the components in Table B and as described in the PIF sound, appropriate, and sufficiently clear to achieve the project/program objectives and the core indicators?**

Secretariat Comment at PIF/Work Program Inclusion

5/3/2021: Please address the following comments:

- Please fix the formatting in Table B so that it fits the page. For clarity, it may be best to remove the activities and targets from this section and instead list them under the section "alternative scenario". This should help with the formatting as well.

- Please review the targets proposed in each component. What is meant by "ETF mainstreaming"? We are not sure about the merit of this target as it should not be about the number of policies and decisions that are revised. Under Component 2, the number of guidelines developed and GHGI adjusted do not provide a good indication of whether the institutional coordination for GHGI preparation has been enhanced. The third target is also unclear. Similar comments for the other targets.

- It is unclear why Component 2 makes reference to adaptation when the focus is on GHGI's. Please clarify or revise.

- It is unclear why Component 3 is written as focusing on support needed and received in adaptation. Under the ETF these are two different areas of reporting. Please consider revising. Reporting on support needed and received should also include mitigation.

- There may be overlap between Component 4 which includes mitigation and adaptation action tracking and Component 3. Please clarify.

7/6/2021: Please address remaining comments:

- Component 2 title still makes reference to adaptation. Please remove.

- Component 3 still includes the following language "tracking the climate change adaptation support needed and received," which is confusing. Please revise.

- Component 4 seems to include both the NDC tracking and M&E of the project, which are quite different aspects. Please consider revising. Further, please clarify why adaptation tracking is also included here when it has its own component under 3.

7/19/2021: Some comments have been addressed. Please address remaining comments as detailed below:

#1 - Component 2 in Table B: There is a typo "strengthening coStrengthening coordination and reporting...". Please fix.

#2 - Cleared

#3 -The NDC tracking and M&E of the project still remain under Component 4 which is labeled "Strengthened national system of progress tracking in achieving the NDC". Consider splitting M&E of the project into a separate component since it is quite different from NDC tracking.

7/29/2021: Comments #1 and #3 have been addressed above. Cleared.

## Agency Response

### 4 June 2021

- The table B is revised and activities are transferred to the section "alternative scenario?"

- The targets are revised as following and inserted into the section "alternative scenario?":

Component 1. Strengthening national stakeholders' capacity on Transparency Framework (ETF) for national climate change actions.

Targets: Uzbekistan Climate Change Actions Enhance Transparency Framework is adopted and shared between the governmental entities; # of people (at least 25% women) trained on ETF and its transition; 2 workshops on awareness raising on ETF requirement, process and procedure held

Component 2.

Strengthening coordination among the national stakeholders for transparent, accurate, and consistent greenhouse gas inventory.

Targets: # of mitigation activities in the key sectors monitored and included in national reports; # of documented procedures and tools to collect, process and analyze data to report emissions and removals in the key sectors; # of people trained (at least 25% women) in data collection and revision of data according to the IPCC 2006 methodology.

Component 3.

Strengthening national capacity on tracking the climate change impact and adaptation.

Targets: # of adaptation activities in the key sectors monitored and included in national reports; # of people trained (at least 25% women) on all national processes and requirements to submit reports to the UNFCCC; an operational framework to track impacts, risks and vulnerabilities in the key sectors.

Component 4.

Targets: # A digital technology system/platform online for data management and exchange; # of people trained (at least 25% women) on all national processes and requirements to submit reports; an operational framework to track progress in the implementation and achievement of NDCs in the key sectors.

- In component 2 adaptation is excluded
- In component 3 by support was meant not support needed or provided, but rather general support on the activities. It is rephrased and addressed in PIF.
- Addressed in PIF

RE 6 July:

-The title of Component 2 has been adjusted

-The title of Component 3 has been changed to "Strengthened capacity to measure climate-change impacts, vulnerabilities, and adaptation-related activities in the relevant sectors?"

-Component 4 has been revised and NDC and M&E activities have been split.

RE 19 July:

#1 The Table B has been corrected accordingly.

#3 The NDC tracking and M&E are no longer under the same Component; Component 5 has been created for M&E.

**Co-financing**

**3. Are the indicative expected amounts, sources and types of co-financing adequately documented and consistent with the requirements of the Co-Financing Policy and Guidelines, with a description on how the breakdown of co-financing was identified and meets the definition of investment mobilized?**

Secretariat Comment at PIF/Work Program Inclusion 5/3/2021: Yes.

Agency Response

**4 June 2021**

No response required

**GEF Resource Availability**

**4. Is the proposed GEF financing in Table D (including the Agency fee) in line with GEF policies and guidelines? Are they within the resources available from (mark all that apply):**

Secretariat Comment at PIF/Work Program Inclusion 5/3/2021: This project is requesting resources from the CBIT set-aside. The proposed financing is in line with GEF policies and guidelines.

Agency Response

**4 June 2021**

No response required

**The STAR allocation?**

Secretariat Comment at PIF/Work Program Inclusion 5/3/2021: N/A.

Agency Response

**4 June 2021**

No response required

**The focal area allocation?**

Secretariat Comment at PIF/Work Program Inclusion 5/3/2021: N/A

Agency Response

**4 June 2021**

No response required

**The LDCF under the principle of equitable access?**

Secretariat Comment at PIF/Work Program Inclusion N/A

Agency Response

**4 June 2021**

No response required

**The SCCF (Adaptation or Technology Transfer)?**

Secretariat Comment at PIF/Work Program Inclusion N/A

Agency Response

**4 June 2021**

No response required

**Focal area set-aside?**

Secretariat Comment at PIF/Work Program Inclusion 5/3/2021: This project is requesting resources from the CBIT set-aside. At the time of this review, there are resources from the climate change set-aside to support this project.

Agency Response

**4 June 2021**

No response required

**Impact Program Incentive?**

Secretariat Comment at PIF/Work Program Inclusion N/A

Agency Response

**4 June 2021**

No response required

**Project Preparation Grant**

**5. Is PPG requested in Table E within the allowable cap? Has an exception (e.g. for regional projects) been sufficiently substantiated? (not applicable to PFD)**

Secretariat Comment at PIF/Work Program Inclusion 5/3/2021: Yes, PPG of \$50,000 is being requested.

Agency Response

**4 June 2021**

No response required

**Core indicators**

**6. Are the identified core indicators in Table F calculated using the methodology included in the corresponding Guidelines? (GEF/C.54/11/Rev.01)**

Secretariat Comment at PIF/Work Program Inclusion

5/3/2021: Please provide an explanation of how the number of beneficiaries for Core Indicator #11 were estimated.

7/6/2021: Thank you for the explanation below. Please add to the space provided below the table in the Portal submission.

7/19/2021: Cleared.

Agency Response

The number (i.e. 190) was a typo. 375 beneficiaries is taken from the Annex E that initially was provided by Uzhydromet based on the involvement of NDC enhancement, preparation of NCs and BURs. These 375 people come from the different national agencies/ministries and private sector and will participate in all 4 components via trainings, forming the Committees and groups. For example,

- Component 1 will include the meetings with the relevant sectoral stakeholders in order to prepare a road map (around 50 people). Additionally, the Steering group will be formed out of 15 people. Finally, around 80 people will get trained on ETF.

- Component 2 includes complex multi-sectoral trainings for about 150 people on data management. If the previous component was focused on high-level decision makers in the ETF process, the current component will focus on the technical employers preparing relevant for UNFCCC reports.

- Component 3 includes also the technical employers to be trained, but not focusing on MRV in the country, but rather on the development of policies respective to cc adaptation. (around 50 people)

- Finally, last component will have a joint focus on NDC (that includes several sectors, thus, several participated Ministries) ? around 100 people

RE 6 July:

The Portal has been updated accordingly.

**Project/Program taxonomy**

**7. Is the project/program properly tagged with the appropriate keywords as requested in Table G?**

Secretariat Comment at PIF/Work Program Inclusion 5/3/2021: Yes.

Agency Response

**4 June 2021**

No response required

**Part II ? Project Justification**

**1. Has the project/program described the global environmental/adaptation problems, including the root causes and barriers that need to be addressed?**

Secretariat Comment at PIF/Work Program Inclusion

5/3/2021: Please address comments below:



- 1.1 *Enhanced transparency framework of Paris Agreement* - Please fix language in paragraph 2 as it relates to reporting under the Paris Agreement as the information there is incorrect.

- This section presents a broad description of the general ETF framework and some information on Uzbekistan and the Convention. However, the root causes and barriers related to transparency/ETF in Uzbekistan are missing. Please elaborate. For example, the experience with the CDM seems to be particularly relevant. Also, any root causes and barriers that have been identified through the preparation of the NDC and the ongoing preparation of the first BUR and 4NC.

7/6/2021: Paragraph 2 still incorrectly says "Biannual Transparency Report (BTR)" which would be twice a year - it should read Biennial. Please correct here and elsewhere in the PIF.

7/19/2021: Cleared

#### Agency Response

**4 June 2021**

Addressed in the 1.2 para 7, as well as in the 2.2. para 20-25

RE 6 July:

PIF has been corrected accordingly.

#### **2. Is the baseline scenario or any associated baseline projects appropriately described?**

#### Secretariat Comment at PIF/Work Program Inclusion

5/3/2021: Please address comments below:

- Paragraph 9 seems to be at odds with 12 regarding the level of employment offered by the industrial sector. Please revise.

- Paragraph 16 has the incorrect reference to IPCC guidelines (1966). Please revise.

- Paragraph 18 makes reference to a biennial report but as a non-annex I Party this should be a biennial update report. Please revise. This is also the case in paragraph 48.

- We note the description of the existing institutional frameworks related to MRV systems, UNFCCC and adaptation activities. However, it is not clear what the processes are in place for inventories, and/or MRV of mitigation and adaptation. Please provide additional detail ? for example, is this institutionalized or project based? What processes for collecting data, existing QA/QC processes and IT systems. If there are differences in how sectors are treated, please provide that additional information as well.

- Please clarify if Uzbekistan has been a pilot country in the implementation of either CBIT-Forest or CBIT-AFOLU, and if so provide additional information.

- Please also include information to all transparency related programs/initiatives including those with the GSP such as [Preparation of a primary road map for the creation of a national MRV system](#), and the ongoing work for the preparation of the first BUR and 4NC.

7/6/2021: Comments mostly addressed. However, the inconsistency in now paragraphs 10 and 13 remains: "The industrial sector (mining and manufacturing, excluding construction and utilities) is the least-important employer in Uzbekistan's economy, accounting for just 13 percent of total employment[16]<sup>1</sup>." and "The industry accounts for 26% of GDP and employs 30.3% of the total workforce in the country."

7/19/2021: Cleared

## Agency Response

### **4 June 2021**

- 1- Paragraphs 10 and 13 are now consistent (i.e. industrial sector)
- 2- Reference to IPCC guidelines has been corrected (paragraph 17).
- 3- References to BUR corrected
- 4- Paragraphs 20 to 25 have been added for clarity on MRV
- 5- Addressed in the PIF document: Uzbekistan is not currently a pilot project.
- 6- Para 45 has been added to include information on all transparency related programs/initiatives

RE 6 July:

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Paragraph 13 has been deleted. Due to different methodologies used for preparing the reports (WB and ADB), the numbers were inconsistent, and the WB data will be used for the PIF.

**3. Does the proposed alternative scenario describe the expected outcomes and components of the project/program?**

Secretariat Comment at PIF/Work Program Inclusion

5/3/2021: Please address comments below:

- Overall, we found that some of the component titles do not seem to align well with the component activities. Please revise. Please also make sure the level of detail under each component is consistent. Please include the outcomes and outputs in these descriptions as well.

- Activity 1.1.1.2 ? please describe what will be included in this roadmap

- Activity 1.1.2.1 ? please provide details on what is the National ETF Steering Group, does it already exist, its role etc., and what this activity will entail.

- Activity 1.1.2.2 ? please provide additional details on what training is envisioned here. For example, what modality will be used? Will there be partnerships with academia? What focus may the trainings have to ensure that there is low turnover etc.

- Component 2 ? it is unclear which parts of this component includes adaptation information. Please clarify.

- Component 3 seems to suggest that it will focus on tracking adaptation support, but the description under Output 3.1.1 suggests otherwise: ?methodology to track progress on the implementation of the NDC adaptation actions?. Please clarify and restructure/rename this component accordingly.

Related to the above, clarify what the focus of Activity 3.1.1 is ? is it tracking adaptation actions or tracking support. The type of tracking for both these differ, and the activities need to be structured accordingly. The language in this section is confusing, and it is not clear what the component is trying to achieve. Please clarify.

- Component 4 seems to be a very general heading. As mentioned above, we recommend restructuring this to show clear linkages with the outputs and what the component aims to achieve.

- Describe if there will be any overlap between component 3 and 4, and how this will be addressed, specifically in relation to adaptation.

7/6/2021: Comments above have been somewhat addressed. Please fix the formatting in Components 2 and 3 so that it has a separate paragraph for each output for additional clarity. Under Component 3, output 3.1.2 has not been described. Under Component 4, see comments under Table B.

7/19/2021: For Component 4, please see related comments under Table B (split NDC tracking and M&E of project in two different components) and revise relevant sections accordingly.

7/29/2021: Comment has been addressed. Cleared.

### Agency Response

#### **4 June 2021**

- 1- The roadmap description is on para 69
- 2- Clarification on the National ETF Steering Group is on para 71
- 3- Additional details on envisioned training are available at para 71
- 4- The component 2 has been adjust to address this comment
- 5- The component 3 has been adjust to address this comment
- 6- The component 4 has been adjust to address this comment

RE 6 July:

The comments have been addressed.

RE 19 July:

A new component has been created to address this comment and relevant sections have been updated accordingly.

#### **4. Is the project/program aligned with focal area and/or Impact Program strategies?**

Secretariat Comment at PIF/Work Program Inclusion

5/3/2021: Yes.

Agency Response

**4 June 2021**

No response required

**5. Is the incremental/additional cost reasoning properly described as per the Guidelines provided in GEF/C.31/12?**

Secretariat Comment at PIF/Work Program Inclusion

5/3/2021: This can be revised once comments on alternative scenario have been incorporated.

7/6/2021: Cleared.

Agency Response

**4 June 2021**

The Government expressed concerns on the current gaps in the GHG inventory, capacity of the ministries to deal with data on GHG emissions, as well as to prepare the scenarios on GHG mitigation. Moreover, currently the Government does not have any NDC tracking system with full developed indicators, as well as strong understanding of the adaptation potential and system to check the needed support and received one.

This project will contribute to strengthen the capacity of the Government and different stakeholders to gather and to process an information on GHG emissions, as well to be clear with the future targets.

**6. Are the project?s/program?s indicative targeted contributions to global environmental benefits (measured through core indicators) reasonable and achievable? Or for adaptation benefits?**

Secretariat Comment at PIF/Work Program Inclusion

5/3/2021: Yes.

Agency Response

**4 June 2021**

No response required

**7. Is there potential for innovation, sustainability and scaling up in this project?**

Secretariat Comment at PIF/Work Program Inclusion

5/3/2021: Yes.

Agency Response

**4 June 2021**

No response required

**Project/Program Map and Coordinates**

**Is there a preliminary geo-reference to the project's/program's intended location?**

Secretariat Comment at PIF/Work Program Inclusion

5/3/2021: Please add a map into the Portal submission.

7/6/2021: Cleared.

Agency Response

**4 June 2021**

Map has been added to this section

**Stakeholders**

**Does the PIF/PFD include indicative information on Stakeholders engagement to date? If not, is the justification provided appropriate? Does the PIF/PFD include information about the proposed means of future engagement?**

Secretariat Comment at PIF/Work Program Inclusion

5/3/2021: Overall yes. Please address comments below:

- #4 in Table 8 ? please provide their role and responsibility and some indication of what kind of companies these are (mining, energy etc.). Please spell out the acronym of the stakeholders such as ACTED etc.

- As mentioned above, it is not clear from the current alternative description scenario which sectors this project will focus on ? based on this, please add additional stakeholders that may need to be considered (for example, if this includes IPPU sector ensure that the relevant stakeholders are included).

7/6/2021: Cleared.

8/4/2021: Limited information has been provided on the early stakeholder consultation held (zoom meeting). Please provide a brief summary on discussion and outcomes, and list of participants.

8/17/2021: The comment has been addressed. Cleared.

#### Agency Response

**4 June 2021**

- Table 8 has been adjusted to clarify the roles and mandates of the partners as well to add information on the companies

- Please, have a look at the PIF document ? in 63. It is written: The project will support the capacity building and development of information on GHG emissions for the following sectors: energy, industrial processes and product use, agriculture, LULUCF and waste.

RE 4 Aug:

Thank you for your comment. This has been addressed in the Stakeholders section accordingly.

#### **Gender Equality and Women's Empowerment**

**Is the articulation of gender context and indicative information on the importance and need to promote gender equality and the empowerment of women, adequate?**

#### Secretariat Comment at PIF/Work Program Inclusion

5/3/2021: No, please provide context and indicative information on gender in this section.

7/6/2021: Cleared.

#### Agency Response

**4 June 2021**

Additional information has been added on section paragraphs 101, 102 and 103

#### **Private Sector Engagement**

**Is the case made for private sector engagement consistent with the proposed approach?**

Secretariat Comment at PIF/Work Program Inclusion

5/3/2021: As mentioned above, it is not clear from the current description of the project if this has a specific sectoral focus. Based on this, please add additional private sector stakeholders that may need to be engaged with in this project.

7/6/2021: Cleared.

Agency Response

**4 june 2021**

The private sector stakeholder were added to table 8. Also during the PPG phase, additional stakeholders will be identified and engaged

**Risks to Achieving Project Objectives**

**Does the project/program consider potential major risks, including the consequences of climate change, that might prevent the project objectives from being achieved or may be resulting from project/program implementation, and propose measures that address these risks to be further developed during the project design?**

Secretariat Comment at PIF/Work Program Inclusion

5/3/2021: Yes.

Agency Response

**4 June 2021**

No response required

**Coordination**

**Is the institutional arrangement for project/program coordination including management, monitoring and evaluation outlined? Is there a description of possible coordination with relevant GEF-financed projects/programs and other bilateral/multilateral initiatives in the project/program area?**

Secretariat Comment at PIF/Work Program Inclusion



5/3/2021: Please spell out the following acronyms ? APMT, MMAyA. Please elaborate the description in the table on the Seventh Umbrella Programme for Preparation of National Communications and Biennial Update Reports to the UNFCCC as it relates specifically to the country.

7/6/2021: Cleared.

Agency Response

**4 June 2021**

Acronyms have been deleted.

The section 6 paragraph 106 has been updated to reflect properly the implementation arrangements of this project

**Consistency with National Priorities**

**Has the project/program cited alignment with any of the recipient country's national strategies and plans or reports and assessments under relevant conventions?**

Secretariat Comment at PIF/Work Program Inclusion

5/3/2021: Please also include references to NDC, NAPA, NAP, TNA and NCs and other with a short description where relevant.

7/6/2021: Not addressed. While it is good that these are referenced elsewhere, this section should include a brief list/table summarizing the relevant information. Please add.

7/16/2021: Cleared.

Agency Response

**4 june 2021**

-Section 2.4 is focused on NDC (para 33)

-Uzbekistan has no NAPA as currently the NAP is under development. Para 6 mention that the NAP un under development

-TNA ? para 26

-NCs: Please refer to table 2 and 6 para

RE 6 July:

A table has been added in the Consistency with National Priorities section.

### **Knowledge Management**

**Is the proposed ?knowledge management (KM) approach? in line with GEF requirements to foster learning and sharing from relevant projects/programs, initiatives and evaluations; and contribute to the project?s/program?s overall impact and sustainability?**

Secretariat Comment at PIF/Work Program Inclusion

5/3/2021: Provide some additional information on the KM approach including knowledge outputs that may be prepared, tools and methods for knowledge exchange/collaboration, how knowledge will be captured, and plans for strategic communications. Mention which regional platforms or transparency initiatives it may leverage.

7/6/2021: Cleared.

Agency Response

**4 June 2021**

It is addressed in the Section 8 para 113-115

### **Environmental and Social Safeguard (ESS)**

**Are environmental and social risks, impacts and management measures adequately documented at this stage and consistent with requirements set out in SD/PL/03?**

Secretariat Comment at PIF/Work Program Inclusion

5/3/2021: It has been assessed as low.

Agency Response

**4 June 2021**

No response required

### **Part III ? Country Endorsements**

**Has the project/program been endorsed by the country's GEF Operational Focal Point and has the name and position been checked against the GEF data base?**

Secretariat Comment at PIF/Work Program Inclusion

5/3/2021: The title of the project on the letter of endorsement does not match the title of the project submitted. Please procure an updated letter of endorsement.

7/6/2021: Cleared.

Agency Response

**4 June 2021**

A new letter of endorsement has been signed and was upload in the portal

**Termsheet, reflow table and agency capacity in NGI Projects**

**Does the project provide sufficient detail in Annex A (indicative termsheet) to take a decision on the following selection criteria: co-financing ratios, financial terms and conditions, and financial additionality? If not, please provide comments. Does the project provide a detailed reflow table in Annex B to assess the project capacity of generating reflows? If not, please provide comments. After reading the questionnaire in Annex C, is the Partner Agency eligible to administer concessional finance? If not, please provide comments.**

Secretariat Comment at PIF/Work Program Inclusion

N/A

Agency Response

**4 June 2021**

No response required

**GEFSEC DECISION**

**RECOMMENDATION**

**Is the PIF/PFD recommended for technical clearance? Is the PPG (if requested) being recommended for clearance?**

Secretariat Comment at PIF/Work Program Inclusion

5/3/2021: Please address comments above. Please also remove the duplicate information starting after section 7) *Innovation, Sustainability and potential for scaling up.*

7/6/2021: Please address remaining comments.

7/16/2021: Please address remaining comments highlighted in yellow.

7/29/2021: Comments have been addressed. PM recommends technical clearance.

8/4/2021: Please address pending comment highlighted in yellow above.

8/17/2021: Remaining comment has been addressed. PM recommends project.

**ADDITIONAL COMMENTS**

**Additional recommendations to be considered by Agency at the time of CEO endorsement/approval.**

Secretariat Comment at PIF/Work Program Inclusion

**Review Dates**

	<b>PIF Review</b>	<b>Agency Response</b>
<b>First Review</b>	<b>5/3/2021</b>	<b>6/4/2021</b>
<b>Additional Review (as necessary)</b>	<b>7/6/2021</b>	
<b>Additional Review (as necessary)</b>	<b>7/19/2021</b>	
<b>Additional Review (as necessary)</b>	<b>7/29/2021</b>	
<b>Additional Review (as necessary)</b>	<b>8/4/2021</b>	

**PIF Recommendation to CEO**

**Brief reasoning for recommendations to CEO for PIF Approval**