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Empowered lives.
Resilient nations.

Initiation Plan / GEF PPG

Project Title: Integrated Management of Seascapes of the Kazakhstani part of the Caspian Sea and Land Resources of Adjacent Territories

Country: Kazakhstan

Country Programme Outcome:
3.1. By 2025, all people in Kazakhstan, especially the most vulnerable, benefit from inclusive, resilient, and sustainable economic development with improved productive capacities, skills and equal opportunities for sustainable and decent jobs, livelihoods, and businesses

3.2. By 2025, all people in Kazakhstan, in particular most vulnerable, benefit from increased climate resilience, sustainable management of environment and clean energy, and sustainable rural and urban development.

Gender Marker rating: *GEN 2*

SES Pre-Screening Categorization: *Moderate*

Quantum Project ID: 01003067 Quantum Award ID: 1287895 PIMS number: 9727 Management Arrangement: *DIM*	**Total budget:** Allocated resources: • GEF	**US$ 200,000** US$ 200,000

AGREED BY

Katarzyna Wawiernia UNDP Kazakhstan Resident Representative	DocuSigned by: K. Wawiernia 15AE19A41B5A4B3...	*Day/Month/Year* 24-Sep-2024
	Signature	Date

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I. BRIEF DESCRIPTION OF THE INITIATION PLAN/GEF PPG

Objective & Final Outputs

The objective of the GEF PPG is to develop the project concept into a full project: **Integrated Management of Seascapes of the Kazakhstani part of the Caspian Sea and Land Resources of Adjacent Territories**.

As described in the project concept (PIF), this project aims to promote an integrated ecosystem-based approach to conserve key species and habitats of the Caspian Sea and ensure sustainable economic development. The project provides a common strategic framework for promotion of a sustainable marine economy and a shift from a focus on the revenue generation and production systems to an ecological-centered vision of systems and wealth and well-being, and therefore on an integrated approach to conservation, economy, livelihoods, and jobs. To do so, it will support mainstreaming of activities and investments at sector and planning levels to sustain a marine economy with the integration of social and environmental actions and foster skills, tools, knowledge and technology transfer that enable the private and public sector to align agendas, incentives, priorities and investments planning of economic investments with long-term goals as well as sustainable marine economy approach and explore possibilities together for a marine-based production that boosts job creation and economic development.

Component 1. Strategic policy and planning to promote ecological integrity of the Caspian Sea landscapes and seascapes:

- Improve the policy instruments, technical guidelines and institutional arrangements for marine spatial planning;
- Integration of results of marine spatial planning into key economic development sectors;
- Enhanced environmental monitoring of the Kazakhstani part of the Caspian Sea by responsible government entities to inform effectiveness of spatial land use/PA/KBA planning and management;
- Improved conservation and protection of globally important biodiversity in the Caspian Sea region through PA/conservation area expansion, PA and KBAs effective planning.

Component 2. Sustainable management of land and water resources in the Caspian lowlands and western region of Kazakhstan:

- Territorial planning in the pilot districts to reduce anthropogenic pressures and impacts on the Caspian Sea ecosystems;
- Resilience assessments of landscapes, habitats and land uses in coastal areas to land degradation and climate-induced risks to support planning and development of practical guidelines for promoting/ mainstreaming SLM/BD in the agriculture, grazing and infrastructure sectors;
- Piloting SLM in the pilot districts;
- Roll out of a comprehensive capacity building and research partnerships.

Component 3. Financial incentives/instruments for sustainable natural resources management, alternative nature-friendly livelihood activities and engagement of private sector:

- Economic valuation of key ecosystem services of Caspian Sea assessed and informed to policy makers to enable informed decision-making to achieve more sustainable economic development;
- Nature-based solutions for ecosystem restoration identified and implemented;

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- Diversified resilient livelihoods with communities to support ecosystem services provision, species and habitat recovery and the emergence of new blue/green business opportunities.

Component 4. Knowledge management, awareness raising and gender mainstreaming:

- Education and awareness enhancement using a range of gender sensitive media tools for marine and coastal sustainable economic development;
- Documentation and dissemination of best practices to promote replication;
- Cooperation and exchange of information and learning, exchange visits and sharing information with other Caspian Sea countries.

Through this integrated approach, the project aims to: (i) improve the management effectiveness of 1,694,290 hectares and 662,630 hectares of existing terrestrial and marine protected areas respectively and 46,969 hectares and 597,371 hectares of proposed terrestrial and marine protected areas respectively; (ii) improve management of 604,000 hectares and 60,000 hectares of terrestrial and marine habitats (outside PAs) respectively to benefit biodiversity; (iii) sustainable land management in 6,000 hectares of pasture and degraded agricultural land and shallowing drawdown areas of the Caspian Sea; (iv) mitigate 2,037,543 metric tonnes of CO_2eq over a 20-year period; and (iv) directly benefit around 8,500 people through improved resource use and livelihood opportunities, agricultural management practices, and small scale enterprises and climate mitigation measures and capacity building efforts.

The following information is to be consulted as background for the GEF PPG phase:

- PIF cleared for WP inclusion or GEF Council approved PIF
- SES pre-screening (of PIF)
- Comments from GEF Secretariat, Council, STAP
- Annotated UNDP-GEF Project Document Template and associated guidance included therein
- UNDP policies and procedures
- UNDP-GEF guidance notes on GEF project development (which will be provided by the RTA) and
- GEF polices on: Project Cancellation; Fee Policy for GEF Partner Agencies; Project and Program Cycle; and Minimum Fiduciary Standards for GEF Partner Agency (in particular sections dealing with the required separation of oversight and execution support services). All GEF policies are available here.

The final outputs of the GEF PPG are:

1. UNDP-GEF Project Document (ProDoc).
2. Mandatory annexes to the ProDoc
3. GEF CEO Endorsement Request and all mandatory annexes; and
4. Validation Workshop report (required for projects with a high SESP categorization, as appropriate for all others).

Any additional studies and other reports produced under the GEF PPG and not included in Annex to the project document will be submitted to UNDP and saved for future reference.

Key Dates for the GEF PPG

Milestone	Date	Notes
Internal submission date for BPPS review and clearance	*April 20,2025*	FSP: within 10 months of PIF approval MSP: within 6 months of PIF approval

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		PFD or IP child projects: within 8 months before the program commitment deadline included in the PFD
First GEF Submission Deadline *for CEO Endorsement*	*June 20,2025*	FSP must be within 12 months of PIF approval MSP: must be within 8 months of PIF approval PFD or IP child projects: must be within 6 months before the program commitment deadline **Failure to submit a ProDoc and CEO ER to the GEF Sec by this date will lead to the automatic cancellation of the project by the GEF Sec.**
CEO Endorsement Deadline after which the project will be cancelled if not endorsed	December 20, 2025	FSP: must be within 18 months of PIF approval MSP: must be within 12 months of PIF approval. PFD or IP child projects: program commitment deadline **If the project has not been CEO endorsed by the deadline, it will be automatically cancelled by the GEF Sec.**

Management Arrangements

The UNDP Country Office in Kazakhstan will lead the project development process and manage the GEF PPG budget in full consultation with the BPPS VF unit and the Regional Technical Adviser. The GEF PPG Quantum budget is presented in *Section IV: Total Budget and Work Plan*.

As appropriate, a Working Group will guide the GEF PPG team and review and endorse the GEF PPG deliverables. The Working Group is responsible for ensuring that the deliverables outlined in this GEF PPG are completed on time and in line with UNDP and GEF requirements. The DRR will chair the Working Group. Working Group members will include UNDP CO Programme Analyst, PPG Team Leader, GEF OFP, focal points in the Ministry of Ecology and Natural Resources (MENR), Fisheries Committee of MENR, Committee of forestry and wildlife of MENR, Ministry of Water Resources and Irrigation (MWRI), Ministry of Agriculture (MA), Akimats of Atyrau and Mangystau oblasts, representatives of relevant academic institutions, NGOs.

The GEF PPG team will be composed of the following consultancies:

1. International Project Development Specialist (PPG Team Leader)
2. Lead National Expert for PPG coordination, outreach and stakeholder engagement
3. International Land Degradation, LDN, and Drylands Management Specialist
4. International Marine Spatial Planning Specialist
5. International Nature Finance Expert
6. National Marine and Land Use Spatial Planning Specialist
7. National Sustainable Livestock and Pasture Management Specialist
8. National Water Management Specialist
9. National Biodiversity and Protected Area Management Specialist
10. National Economist
11. National Nature Finance Expert
12. National expert on nature-based tourism and green/blue livelihoods
13. National GIS specialist
14. National Gender Specialist
15. National Social and Environmental Standards Specialist

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Proposed draft Terms of Reference (TORs) for each team member is included in Annex 2.

II. STAKEHOLDER ENGAGEMENT, PUBLIC DISCLOSURE, AND OTHER REQUIREMENTS

To ensure strong country ownership and in line with the stakeholder engagement requirements outlined in UNDP's Social and Environmental Standards (SES), the SES Guidance Note of Stakeholder Engagement, the GEF's Guidelines on the Implementation of the Policy on Stakeholder Engagement and the GEF Policy on Gender Equality, the development of the project to be undertaken during this GEF PPG phase will be done in full consultation and close engagement with government, CSO and other relevant stakeholders – in particular those who will benefit from and be directly involved in the implementation of the project (i.e., direct project beneficiaries) and those who may be impacted (positively or negatively) by the project. Stakeholder Engagement and analysis must be conducted in an inclusive and gender-responsive manner so that the rights of women and men and the different structural barriers, knowledge, needs, roles, and interests of women and men are recognized and addressed.

Careful and complete documentation of stakeholder engagement is vital. Detailed evidence of all consultations will be prepared and submitted to UNDP. A list of the consulted stakeholders and details of the associated meetings will be included in the Stakeholder Engagement Plan (see section B-a below).

If the fully designed project has an overall Social and Environment Screening Procedure (SESP) categorization of moderate, substantial, or high, then the following disclosure requirements apply:

1. A final validation workshop report will be prepared summarizing the outcomes of the validation workshop and other consultations undertaken during the PPG phase. This report will become a key reference document should an environmental and social complaint/grievance be filed during project implementation. This is mandatory for high and substantial risk projects and recommended for moderate risk projects.
2. The UNDP-GEF project document, SESP and related draft management plans and frameworks, and other relevant information/documents will be made available to the public on the UNDP Country Office website or open.undp.org. These documents should be available 30 days before the LPAC meeting for moderate risk projects, 60 days in advance for substantial risk projects, and 120 days in advance for high-risk projects.

See the SES Supplemental Guidance on Disclosure for more information.

III. GEF PPG ACTIVITIES

Component A: Preparatory Technical Studies & Reviews

The following technical studies and reviews will be conducted.

a. Desktop and field-based studies and data collection

This research should produce the background information required to prepare the ProDoc (including its Annexes) and CEO Endorsement Request, including but not limited to the following:

- Development challenge and strategy (including threats, problems, and barrier assessment);
- Review of national policy and legislative frameworks;

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- Problem and solution trees, assumptions and risks, developed in consultation with project stakeholders for a robust Theory of Change, Results Framework, and solid M&E plan;
- Review of relevant past and ongoing projects for lessons, including project evaluations; and
- Any other analyses required to address all comments on the PIF received from GEF Secretariat, GEF Council members, and STAP.

The PPG Team will undertake the following technical assessments to assess feasibility of proposed interventions including identification of safeguards:

- A feasibility study for marine spatial planning in target districts of the Atyrau and Mangistau regions and its integration into sector and development planning and management systems in of the Caspian Sea in Kazakhstan to promote sustainable economic development opportunities including cross border synergies and cooperation. This will include a policy and regulatory assessment of the exiting national frameworks for marine and land use planning, identifying relevant stakeholders and their concerns about the local trends in land-use changes that should be considered in the spatial planning exercise and preparing a draft stakeholder engagement plan for spatial planning exercise to be validated during the project's inception phase (Outputs 1.1, 1.2, 2.1)

- Desk review and climate change risk screening and analysis of potential future climate projections to hep design management intervention to manage and mitigate these risks, including specific actions that can be taken with the Kazakhstan context to minimize this risk.

- Feasibility assessment of SESA (Strategic Environmental and Social Assessment) for spatial planning and SLM for Outputs 1.2, 2.1 and 2.2

- METT score cards for existing PAs

- A brief assessment of the BD values (key species and vulnerable habitats) in the targeted PAs, KBAs, other conserved areas

- Assessment of the current status of the monitoring system of the Caspian Sea and its coastal areas, including the identification of capacity gaps and proposing solutions to strengthen key indicator species and vulnerable habitats monitoring capacities of the recently established Kazakh Research Institute of the Caspian Sea for environmental monitoring and research in the Kazakh sector of the Caspian Sea (Output 1.3);

- A feasibility study for sustainable financing mechanisms to enhance nature-positive practices in the Caspian Sea marine and adjacent ecosystems (Outputs 3.1., 3.2): this assessment will build on the findings of BIOFIN analysis for Kazakhstan, which identified a number of innovative, potentially scalable financial instruments that can be piloted in the Caspian region. These instruments include but not limited to corporate social responsibility, ecological fiscal transfers, sustainable standards and labeling, ecolabels, ecotourism, augmentation of public budgetary support, diaspora savings and investment, revenue from environmental penalties, and PES based on tourism. Apart from public financing, the study will particularly explore potential financing for conservation through public-private and private-private partnerships.

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- Participatory assessment of opportunities for accelerating new green-based gender sensitive businesses and inclusive resilient green livelihood options (e.g. sustainable agriculture, fisheries, ecotourism, etc.) that contribute to ecosystem services provision and species and habitat recovery, to be piloted in selected districts of the Atyrau and Mangistau regions (Output 3.3).

b. Gender Analysis

A gender analysis will be prepared to fully consider the different needs, roles, benefits, impacts, risks, differential access to and control over resources of women and men (including considerations of intersecting categories of identity such as age, social status, ethnicity, marital status, etc.) and to identify appropriate measures to address these and promote gender equality and women's empowerment. See the guidance available here.

Gender analysis and action plan will identify specific actions to ensure that women, youth, and disadvantaged groups are directly involved in decisions related to project design and implementation, participate in benefit sharing activities related to fisheries, land management, sustainable resource use, livelihood enhancement and potential value chain activities. The gender action plan will specifically include budgets for training, capacity and skills development and promotion of investments for women, youth, and disadvantaged groups.

During PPG, gender data gaps will be identified to enhance the understanding and improvement of gender inclusion in coastal and marine management and benefits (Output 4.1.).

c. Social and Environmental Standards: Screening and Assessments

The social and environmental safeguards pre-screening prepared during the PIF design phase has initially determined the overall risk categorization of this project as Moderate and identified six (6) potential safeguards risks to be further assessed during the PPG phase.

An SES Framework –namely, an ESMF (Environmental and Social Management Framework) including GRM, targeted assessments (detailed screening for Outputs 1.4, 2.3 and 3.3), targeted management plans (Gender Action Plan, Stakeholder Engagement Plans—one specific for spatial planning and sectoral coordination, as detailed above under Desktop and field-based studies, and a general one for project implementation, LAP)–will be prepared to ensure that the necessary assessments are carried out during project implementation. The standard templates are available in the UNDP SES Toolkit. The Framework(s) and ProDoc must clearly state that none of the associated project activities will commence until: the assessment(s) have been completed; the required management plan(s) have been prepared, and the plan(s) have been publicly disclosed and approved by the Project Board.

d. Identification of project sites

Based on the above reviews and through consultation with stakeholders, the targeted project pilot districts in the Atyrau and Mangistau regions for marine spatial (Output 1.2) and territorial planning (Output 2.1) and pilot sites for SLM (Output 2.3) and blue/green (nature-based) livelihoods (Output 3.3) will be identified. Selection criteria will be developed, discussed and validated by key stakeholders. This should include providing geographic coordinates, maps, and shapefiles for inclusion in the ProDoc.

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e. Financial planning, co-financing, and investment mobilized

Co-financing and investment mobilized – as defined in the GEF Policy and Guidelines on co-financing - will be confirmed, and additional sources identified through a series of consultations with partners to ensure a coherent and sustainable financing package for the project, including post-GEF grant phase to the extent possible. The GEF is seeking high co-financing/investment mobilized to GEF grant ratios with a preference for grants, loans, and other public investments over in-kind co-financing. The GEF also expects the Government to significantly support the costs associated with project execution (i.e., PMC).

f. Stakeholder analysis

Building on the initial identification of stakeholders in the PIF, an appropriately scaled analysis of project stakeholders will be undertaken. This stakeholder analysis will provide the foundation for developing the project's Stakeholder Engagement Plan and facilitate the prioritization of engagement activities with particular stakeholder groups and individuals. Projects with pre-screening categorizations of Substantial or High will prepare a **comprehensive** stakeholder analysis. See the UNDP SES Guidance Note on Stakeholder Engagement.

g. Appraise and formulate the most appropriate project implementation and execution modality

The design of the project will comply with the UNDP's Program and Operations Policy and Procedures (POPP), Financial Regulations, Programme and Project Management and Quality Standards, and UNDP-GEF guidance (which will be provided by the RTA). A full assessment of the most appropriate project implementation and management arrangements will be conducted in full consultation with the RTA, UNDP Country Office, Resident Representative (or their Deputy), the relevant government coordinating agency, and the GEF OFP.

Project management arrangements must be discussed and agreed upon early in the PPG phase and an assessment and selection of the most appropriate Implementing Partner and/or third parties (Responsible Parties) with full capacity to execute the project must be carried out.
During the first two months of the PPG phase:

- For all potential Implementing Partners, carry out capacity assessments to assess their capacity to implement the project and assess all related risks. This must include HACT and PCAT assessments[1].
- Discuss the level of co-financing the Government and Implementing Partner can commit to this project. As per GEF Policy, the GEF is seeking high co-financing to GEF grant ratios and expects the Government to significantly support the costs associated with project execution (i.e., PMC) for this project.
- Based on these assessments, select and confirm the Implementing Partner for the project in consultation with all relevant stakeholders. The selected Implementing Partner must express willingness to serve as the Implementing Partner for the Project, and the concerned government must agree to use the selected Implementing Partner for the Project. (Please see UNDP's Policy on Selecting Implementing Partners).
- If the Implementing Partner does not have full capacity to execute the project, and execution support is likely needed, discuss with the UNDP Resident Representative whether Implementing Partner is the correct choice. If not, select another Implementing Partner, if possible. If that is not an option, explore alternative options for providing execution support via Responsible Parties (see

[1] Including mandatory procurement assessment and construction assessment when applicable

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UNDP Policy on Selecting Responsible Parties). Discuss with the Implementing Partner the role of the responsible parties in project execution and the execution support these parties could provide.

- The GEF Policies on Minimum Fiduciary Standards require a separation of functions between project implementation (i.e., oversight) and project execution (which generally includes managing and administrating the day-to-day activities of projects in accordance with the legal agreements with the GEF). Oversight activities are the primary responsibility of the GEF Agency (i.e., UNDP). In contrast, the execution activities are the responsibility of the Executing Entity (i.e., the Implementing Partner and/or Responsible Party in UNDP terminology). While UNDP policy offers the possibility for UNDP to provide execution support to NIM or execute the project under a DIM modality in case there is a government request for such support, GEF policy only allows GEF Agencies to step into an execution role in 'exceptional circumstances', which are assessed on a case-by-case basis. Hence, whenever a project involves GEF funding, the exceptional circumstances where there is a clear and well-founded rationale for UNDP to perform certain execution functions **should always be well documented and transparently disclosed, discussed, and agreed upon with the GEF Secretariat at the project concept (PIF) stage before CEO Endorsement, regardless of whether the execution services are intended to be funded from the GEF grant or non-GEF resources.** See the UNDP-GEF ProDoc template guidance for further information.
- Consult with the RTA on the latest guidance regarding UNDP providing support services to the Implementing Partner. If the costs for UNDP to provide support services are to be charged to the GEF project budget, the UNDP support services must be approved by the GEF Secretariat before CEO endorsement.
- Consult with CO Head of Procurement Unit/Operations Manager and Regional Procurement Advisors on envisaged procurement/contracting project procurement requirements, identified risks, development of optimal procurement strategies, development of project procurement plans and opportunities to incorporate sustainable procurement considerations and indicators to the project.

h. Other required studies

List any additional surveys and studies not captured above, as needed (e.g., socio-economic survey, feasibility studies, vulnerability assessments).

The PPG team will undertake the following additional studies, as needed:

- *UNDP Capacity Assessment Scorecard* for the institutions responsible with land use/territorial planning and management in target districts.
- *Socio-economic baseline analysis* in the targeted districts, with emphasis on the local livelihoods and economic opportunities
- *Desktop climate change screening and vulnerability assessment* for the targeted areas including characterisation of the vulnerability to climate change of the biodiversity, land, and water resources as well as local livelihoods, and drafting proposed recommendations to be embedded in the project activities to support climate resilience of the ecosystems.

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Component B: Formulation of the UNDP-GEF Project Document, CEO Endorsement Request, and Mandatory and Project Specific Annexes

Based on the technical studies and reviews undertaken under **Component A**, the UNDP-GEF Project Document will be developed, and the GEF CEO Endorsement Request will be prepared. See additional guidance notes below.

The GEF PPG Team Leader will be responsible for consolidating and finalizing all required materials.

a. Stakeholder Engagement Plan:

At a minimum, the Plan must include the following elements:

- Stakeholders who have been and will be engaged (based on stakeholder analysis), including potentially marginalized or disadvantaged groups/individuals and stakeholders that will be involved in particular project outputs/activities (the 'who');
- Key stakeholder objectives and interests (the 'why');
- Steps and actions to achieve meaningful consultation and inclusive participation, including information dissemination and any special measures required to ensure inclusive participation of marginalized disadvantaged groups/individuals the dissemination of information (the 'how');
- Breadth and depth of stakeholder engagement throughout the project cycle and decisions that need to be made through stakeholder engagement (the 'what');
- Timeline for engagement activities and how they will be sequenced, including information disclosure (the 'when');
- Indicators of stakeholder engagement and monitoring plan on progress and issues that arise;
- Roles and responsibilities for ensuring effective stakeholder engagement through the implementation of the Plan, including the role of stakeholder representatives and whether stakeholder engagement facilitators are required; and
- Resource requirements and associated budget.

For fully designed projects with a SESP categorization of Moderate, Substantial, and High:

- A project-level Grievance Redress Mechanism (GRM) will be described in the Stakeholder Engagement Plan and established in the first year of project implementation. See the UNDP guidance on GRM and sample TOR.

See the UNDP SES Toolkit, which contains guidance on Stakeholder Engagement, the standard SEP template, and the GEF guidelines on stakeholder engagement.

b. Gender Action Plan and Budget

The gender analysis conducted in **Component A,** along with relevant findings from the stakeholder analysis and background studies, will form the basis of a Gender Action Plan to guide gender mainstreaming during project implementation. The Gender Action Plan must include indicators, targets, timeframe, responsible party, and budget, which are linked to the project's components/outputs, outcomes, and activities. As part of preparing the Gender Action Plan, indicators should be proposed for inclusion in the Results Framework to facilitate the monitoring of the proposed gender mainstreaming actions.

See the guidance available here.

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c. Social and Environmental Standards: Screening and Management Measures

In line with the assessments conducted during **Component A** (above) and UNDP's Social and Environmental Standards (SES) policy and all associated SES Guidance Notes, the SESP will be updated. All risks identified in the SESP will be reflected in the risk table and risk section of the ProDoc, and in the Project's Risk Register.

The SES Framework (ESMF) will identify the required management plans that will be prepared during project implementation.

Based on the required targeted assessment(s), the relevant stand-alone management plan(s) will be prepared: Gender Action Plan, Stakeholder Engagement Plan, Local Action Plan (if needed).

See the SES Guidance Note on Assessment and Management for further guidance. Please contact UNDP for additional information as needed.

d. GEF and LDCF/SCCF Core Indicators

The CEO endorsement-stage data for the relevant Core Indicators and sub-indicators will be prepared. For GEF Trust Fund projects, the completed GEF-8 Core Indicators Worksheet - with both the original PIF-stage data and the CEO endorsement-stage data—will be annexed to the ProDoc. LDCF/SCCF projects will use the CCA Results Framework worksheet.

As part of the GEF Core Indicators requirement, the required METTs will be prepared in the GEF-7 Excel template; the relevant details will be included in the GEF-8 Core Indicators template, and the final Excel METT file will be submitted to UNDP (not be annexed to the ProDoc).

The relevant Core Indicators will be included in the project's Results Framework at the Objective level, where appropriate. See the GEF Guidelines on Core Indicators and Sub-indicators.

e. Completion of the required official endorsement letters

These letters include the official letters on the co-financing guarantee(s) from participating government institutions, bilateral development partners, multilateral development partners, NGOs, the private sector, or others who wish to provide cash or in-kind contributions to the project.

A GEF OFP endorsement letter will also be required for any new participating countries to a global or regional program/project not included in the PIF/PFD submission.

Updated GEF OFP endorsements letters are also required if the requested GEF grant amount has changed since PIF/PFD approval.

f. Mandatory Annexes

In addition to the documents listed above, the following Annexes should be prepared by the GEF PPG team:

- Project map and Geospatial Coordinates of project sites
- Multi-Year Work Plan
- Monitoring Plan
- UNDP Risk Register
- Overview of Technical Consultancies

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- GEF 7 Taxonomy
- Initial Project Procurement Plan and TORs for key Project staff

Upon a request from the RTA during the PPG implementation, the PPG team may be required to prepare additional annexes.

g. Project Management Arrangements

Based on the stakeholder analysis and consultations undertaken in **Component A** above, agreement(s) on project management and governance arrangements—including roles, responsibilities, and accountabilities of lead and partner Agencies—will be secured early in the project development phase and will be fully detailed in the ProDoc. Standard text from the governance and management arrangement from the GEF-8 template should never be removed.

Component C:
A validation workshop will be held with relevant stakeholders to present, discuss and validate the project activities and the final draft of the UNDP-GEF project document. A validation workshop report will be prepared for projects with an overall safeguards risk rating of moderate or high.

IV. TOTAL BUDGET AND WORK PLAN FOR GEF PPG

Please note the following:
Per UNDP policy:

- *TORs for key consultants and project personnel should follow UNDP procedures outlined in the POPP[2]. This includes the guidance in the POPP Procurement Chapter/Individual Contract section (please refer to: Individual Contract Policy. No "personnel" or project management costs can be charged to the Initiation Plan using GEF PPG resources; such costs should be borne by the requesting agency or co-financing. In all cases, no project "personnel" will give technical advice; international and national consultants will provide technical advice[3].*
- *Miscellaneous items should be considered very carefully and explained.*

Per GEF Policy, the following expenses are ineligible:

- *Costs associated with the work of government staff or regular project/program activities of a GEF Agency or a Project Executing Entity (EA).*
- *Non-project preparation costs, including: project start-up costs (i.e., costs covered by Agency Fee such as pipeline management, operationalization of the project, internal appraisal, or covered by the project budget); demonstration and pilot projects; implementation of large-scale enabling activities, including detailed country-wide inventories and country studies, training activities other than where they are directly related to project and/or country preparation and major research.*
- *Capital goods (e.g., computers and engineering equipment) other than those directly required for project preparation.*
- *Purchase of motorized vehicles (such purchase, if required, should instead be covered by co-financing amounts, not PPG*)

[2] See Annex 2 for Draft Terms of Reference (TORs) of Consultants Financed by the Project Preparatory Grant (GEF PPG)
[3] For project non-staff personnel, the IPSA or NPSA contract modality will have to be leveraged which is an HR process, please see in the POPP International Personnel Services Agreement and National Personnel Services Agreement.

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Quantum Project ID:	01003067	**Project Title:**	Integrated Management of Seascapes of the Kazakhstani part of the Caspian Sea and Land Resources of Adjacent Territories
Quantum Award ID:	1287895	**Award Title:**	PIMS-9727 GEF PPG Kazakhstan IP Caspian Sea
Business Unit:	KAZ10		
PIMS number:	9727		
Implementing Partner:	UNDP		

GEF Outcome/Quantum Activity	**Responsible Party**	**Fund ID**	**Donor Name**	**Quantum Budgetary Account Code**	**QUANTUM Budget Description**	**2024**	**2025**	**Amount US$**	**Budget Notes**
Project preparation grant to finalize the UNDP-GEF project document for project *Integrated Management of Seascapes of the Kazakhstani part of the Caspian Sea and Land Resources of Adjacent Territories*	**UNDP**	**62000**	**GEF TRUSTEE**	71200	International Consultants	**73,000**	**33,000**	**106,000**	**1**
				71300	Local Consultants	**55,750**	**5,500**	**61,250**	**2**
				71600	Travel	**8,875**	**4,000**	**12,875**	**3**
				72500	Supplies	**500**	**500**	**1,000**	**4**
				74500	Miscellaneous Expenses	**500**	**500**	**1,000**	**5**
				74200	Audio Visual&Print Prod Costs	**2,500**	**2,500**	**5,000**	**6**
				75700	Trainings, workshops	**8,875**	**4,000**	**12,875**	**7**
					PROJECT TOTAL	**150,000**	**50,000**	**200,000**	

Budget Note No.	**Budget Note** *Budget note should detail the use of the use of the budget. For example, outputs/deliverables of the consultants must be clear. Include cost breakdown and calculation basis (e.g., daily fee and number of days/weeks, unit cost and quantity)*
1	4 international consultants will be hired for the assignment as follows: 1). International Project Development Specialist (GEF PPG Team Leader) **@$650/day for 90 days=US$58,500** 2). International Marine Spatial Planning Specialist **@US$ 600/day for 25 days=US$15,000** 3). International Land Degradation, LDN, and Drylands Management Specialist **@US$ 600/day for 25 days=US$15,000** 4). International Nature Finance Expert **@ US$ 700/day for 25 days=US$17,500** **Total: US$ 106,000**
2	11 national consultants will be hired for the assignment: 1). Lead National Expert for PPG coordination, outreach and stakeholder engagement @**US$250/day for 65 days =US$16,250** 2). National Marine and Land Use Spatial Planning Specialist **@US$ 150/day for 40 days =US$6,000**

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	3). National Sustainable Livestock and Pasture Management Specialist **@US$ 150/day for 30 days=US$4,500** 4). National Water Management Specialist **@ US$ 150/day for 25 days=US$ 3,750** 5). National Biodiversity & Protected Area Specialist **@US$ 150/day for 40 days=US$ 6,000** 6). National Economist @**US$ 150/ day for 20 days=US$ 3,000** 7). National Nature Finance Expert **@US$ 150/day for 20 days =US$ 3,000** 8). National Expert on Nature-based Tourism and Sustainable Livelihoods **@ US$ 150/day for 25 days=US$3,750** 9). National GIS Specialist **@US$ 150/day for 20 days =US$ 3,000** 10). National Gender and Safeguard Specialist **@US$ 200/day for 30 days=US$ 6,000** **11).** National Social and Environmental Standards Specialist **@US$ 200/day for 30 days=US$ 6,000** **Total: US$ 61,250**
3	Travel National and International consultants' travel for stakeholder consultations and validation workshop **Total: US$ 12,875**
4	Supplies Paper and printing cartridges, other office supplies **Total: US$ 1,000**
5	Miscellaneous Expenses Bank commission for transactions. **Total: US$ 1,000**
6	Translation Interpretation from and into English/Kazakh/Russian at the meetings; translation of expert inputs into English; translation of the project documents and its key sections into Kazakh/Russian for the national stakeholders **Total: US$ 5,000**
7	Trainings and workshops Stakeholder consultations, Validation Workshop **Total: US$ 12,875**

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V. GEF PPG ACTIVITIES TIMEFRAME AND BUDGET

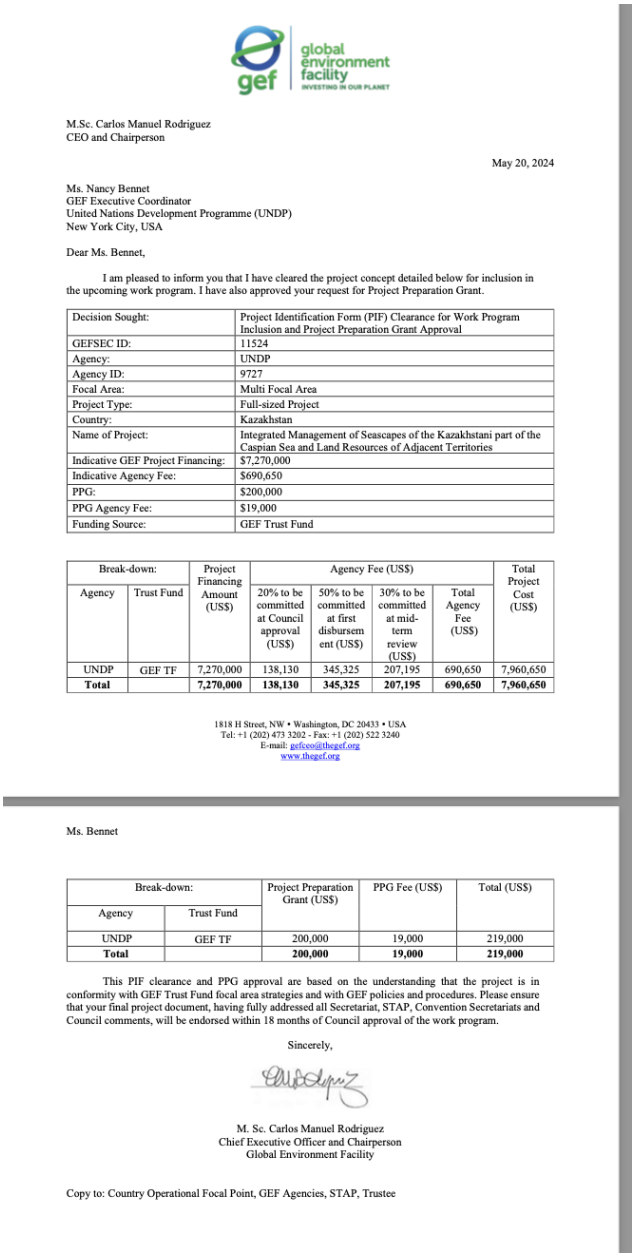
PPG Activity	Month 1	Month 2	Month 3	Month 4	Month 5	Month 6	Month 7	Month 8	Month 9	Month 10	Budget (US$)
Component A: Technical studies, etc.	x	x	x								13,350
Component B: Formulation of ProDoc, etc.			x	x	x	x	x	x	x	x	151,325
Component C: Validation Workshop								x			35,325
Delivery of final outputs										x	200,000

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VI. MANDATORY ANNEXES

Annex 1: GEF CEO PIF/PPG Approval Letter

Link to GEF CEO PIF/PPG Approval Letter



M.Sc. Carlos Manuel Rodriguez
CEO and Chairperson

May 20, 2024

Ms. Nancy Bennet
GEF Executive Coordinator
United Nations Development Programme (UNDP)
New York City, USA

Dear Ms. Bennet,

I am pleased to inform you that I have cleared the project concept detailed below for inclusion in the upcoming work program. I have also approved your request for Project Preparation Grant.

Decision Sought:	Project Identification Form (PIF) Clearance for Work Program Inclusion and Project Preparation Grant Approval
GEFSEC ID:	11524
Agency:	UNDP
Agency ID:	9727
Focal Area:	Multi Focal Area
Project Type:	Full-sized Project
Country:	Kazakhstan
Name of Project:	Integrated Management of Seascapes of the Kazakhstani part of the Caspian Sea and Land Resources of Adjacent Territories
Indicative GEF Project Financing:	$7,270,000
Indicative Agency Fee:	$690,650
PPG:	$200,000
PPG Agency Fee:	$19,000
Funding Source:	GEF Trust Fund

Break-down:		Project Financing Amount (US$)	Agency Fee (US$)				Total Project Cost (US$)
Agency	Trust Fund		20% to be committed at Council approval (US$)	50% to be committed at first disbursement (US$)	30% to be committed at mid-term review (US$)	Total Agency Fee (US$)	
UNDP	GEF TF	7,270,000	138,130	345,325	207,195	690,650	7,960,650
Total		**7,270,000**	**138,130**	**345,325**	**207,195**	**690,650**	**7,960,650**

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Ms. Bennet

Break-down:		Project Preparation Grant (US$)	PPG Fee (US$)	Total (US$)
Agency	Trust Fund			
UNDP	GEF TF	200,000	19,000	219,000
Total		**200,000**	**19,000**	**219,000**

This PIF clearance and PPG approval are based on the understanding that the project is in conformity with GEF Trust Fund focal area strategies and with GEF policies and procedures. Please ensure that your final project document, having fully addressed all Secretariat, STAP, Convention Secretariats and Council comments, will be endorsed within 18 months of Council approval of the work program.

Sincerely,

M. Sc. Carlos Manuel Rodriguez
Chief Executive Officer and Chairperson
Global Environment Facility

Copy to: Country Operational Focal Point, GEF Agencies, STAP, Trustee

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Annex 2: Draft Terms of Reference (TORs) of Consultants Financed by the Project Preparatory Grant (GEF PPG)

The cost per consultancy day and number of days provided below are indicative only and should be revised, if needed.

Position, Type, and Cost	Role, Deliverables and Qualifications
Consultant 1: International Project Development Specialist (GEF PPG Team Leader) **Type:** IC **Cost per person day:** $650 **Number of person days needed:** 90 days $ 58,500	**Role** The International Project Development Specialist will be the GEF PPG Team Leader and will be responsible for quality assurance and timely preparation of all reports and documentation, including the finalized UNDP Project Document (ProDoc) and CEO Endorsement Request, with all mandatory and project specific Annexes and supporting documentation. **Responsibilities and Deliverables** 1) Management of the GEF PPG Team a. Define and submit a detailed methodology and work plan in consultation with the other consultants with clear delegation of responsibilities for the International Consultant (IC) and National Consultants (NCs); b. Ensure that project development is participatory, gender-responsive and based on extensive stakeholder engagements; and c. Verify and ensure that all project components are technically sound and cost effective. 2) Preparatory Technical Studies and Reviews (Component A): With inputs from the national consultants, as detailed in their respective TORs: a. Compile baseline/situational analysis for the full-size project (FSP). This will include a precise definition of baseline projects, activities, budgets, goals, and co-financial links to GEF outcomes; a definition of GEF incremental value per outcome and output; and a presentation of results of the incremental cost-analysis in matrices as appropriate; b. Lead and oversee the stakeholder analysis and consultations, with support from national consultants, and ensure that they are complete and comprehensive, including consultations with the private sector and tourism associations and bodies; c. Ensure the preparation of the gender analysis and ensure its findings are meaningfully integrated into the project's strategy, theory of change, and results framework; d. Ensure action points, including risk assessments, from the SES pre-screening (prepared at the concept stage) are fully implemented during the PPG, and update that screening in an iterative process throughout the PPG, and as appropriate; e. Oversee the identification of the project sites, with documentation of selection criteria and making sure that geo-referenced data and maps are clearly presented both for targeted protected areas and broader landscapes, as applicable; f. Ensure the design of appropriate project knowledge management processes and platforms, ensuring appropriate linkages to existing mechanisms and knowledge sharing in project landscapes;

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	g. Lead and oversee the identification of opportunities for private sector engagement and co-financing; h. Ensure the preparation of partner capacity assessments and discussions on management arrangements early in the PPG process; i. Oversee the consultations with partners regarding financial planning; and j. Ensure completion of any additional studies that are determined to be needed for the preparation of the ProDoc and all other final outputs. 3) <u>Formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes (Component B)</u>: With inputs from the national consultants, as detailed in their respective TORs, and based on international best practice: a. Develop, present, and articulate the project's theory of change; b. Develop the Results Framework in line with UNDP-GEF policy; c. Develop a detailed Monitoring and Evaluation Plan and Budget; d. Oversee and ensure the preparation of a comprehensive Stakeholder Engagement Plan; e. Oversee and ensure the preparation of a Gender Action Plan and Budget; f. Oversee and ensure the updating of the SESP based on assessments undertaken during Component A, and ensure the development of required environmental and/or social management plan(s) as required; g. Oversee the preparation of the required GEF tracking tools (METT scorecards) and GEF Core Indicators and ensure these are supported by robust and validated data; h. Secure all co-financing letters; i. Prepare the indicative procurement plan; j. Secure and present agreements on project execution and management arrangements and ensure that the project aligns to UNDP-GEF guidance on UNDP execution support; k. Ensure the completion of the required official endorsement letters; and l. Synthesize all analyses, studies, etc. that are prepared under Components A and B to produce the draft UNDP-GEF ProDoc, GEF CEO Endorsement, and all mandatory and project specific Annexes, using the templates.[4] 4) <u>Validation Workshop (Component C)</u>: a. Lead the validation workshop to present, discuss and validate the final draft ProDoc and mandatory and project specific annexes, with a special focus on the SESP and any management plans; b. Oversee all necessary revisions that arise during the workshop; and c. Ensure completion of Validation Workshop Report. 5) <u>Final Deliverables</u>: a. Consolidation of all technical and consultation inputs and comments including from national stakeholders, UNDP, GEF Secretariat, STAP and GEF Council, into a well written and concise UNDP ProDoc with all required sections and Annexes, in line with the standard UNDP-GEF ProDoc template and annotated guidance; b. Completion of the GEF CEO Endorsement Request; c. Finalized SESP (and SES management plans as required); d. All documentation from GEF PPG (including technical reports, meeting minutes, etc.); and e. Validation Workshop Report.

[4] Please verify with the UNDP-GEF team that the correct templates are being used.

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	Qualifications ▪ Master's degree or higher in a relevant field, such as environmental management, economics, public administration, Natural Resource Management, Environment, Natural Sciences, Agriculture, Development Studies, or another closely related field ▪ Minimum 7 years of demonstrable recent experience in the technical area of biodiversity conservation, protected areas, land degradation, and project management and in preparing high quality project documents, particularly for UNDP and GEF projects; ▪ Excellent written and oral communication skills in English; ▪ Demonstrated understanding of the GEF rationale and procedures, and demonstrated experience in formulation of GEF-funded project proposals, using the logical framework and the results-based management approaches; ▪ Experience working in the Eastern Europe and CIS region on related initiatives highly desired; ▪ Excellent coordination and leadership skills, as well as relationship management skills; ▪ Ability of working remotely and managing virtual communication platforms; ▪ Excellent facilitation and public presentation skills.
<u>Consultant 2</u>: Lead National Expert for PPG coordination, outreach and stakeholder engagement **Type:** IC **Cost per person day:** US$250 **Number of person days needed:** 65 days $16,250	**Role** The Lead National Expert for PPG coordination, outreach and stakeholder engagement will work under the PPG Team Leader guidance and will be responsible for coordination of inputs from all national consultants on the GEF PPG Team and facilitating stakeholders' engagement. The PPG Coordinator is to make sure that project development is participatory, gender-responsive and based on extensive stakeholder engagement. The PPG Coordinator will play a key role in consultation with the government, first with the implementing partner, private sector partner, CSO and other relevant stakeholders – in particular those who will benefit from and be directly involved in the implementation of the project. The national PPG Coordinator will lead the stakeholder consultations during the project preparation and will support the PPG Team leader to organize the validation workshop, and to present, discuss and validate the final draft ProDoc and mandatory and project specific annexes, as well as contribute to the preparation of SESP updates and ESMF in cooperation with the safeguard's experts. The National Team Leader will also prepare a number of substantive assessments and analyses mentioned below. **Responsibilities and Deliverables:** the list below outlines key responsibilities and deliverables of this contract. The PPG Initiation Plan for this project provides further and more detailed guidance regarding the responsibilities of the prospective PPG team and must be consulted accordingly. <u>Management of the PPG team:</u> • Supports the GEF PPG Team Leader with management of the PPG Team; • Lead the coordination between individual national consultants and reviews the technical consultants' individual reports (deliverables);

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	<u>Formulation of the ProDoc, CEO Endorsement Request and Mandatory and Project Specific Annexes (Component B):</u> Prepare inputs and support the required Annexes and assessments as guided by the GEF PPG Team Leader, including: • Coordinate and manage the national team and ensure timely submission of inputs from the national experts into the relevant sections of the project document, as per UNDP GEF PPG Team Leader's guidance: threats & barriers analysis; socio-economic situation and institutional layout; relevant national policy and enabling environment; baseline scenario description; project structure - objective, outcomes, and outputs; lessons learned and knowledge management; • Analysis of the baseline programmes and lessons learned from previous projects and evaluations; • Conduct a desktop climate change risk screening and vulnerability analysis • Compile data about the target districts (with support from the technical experts) in the Atyrau and Mangistau regions, including maps and assessments of socio-economic situation, land, water and biodiversity resources; • Analysis of the institutional capacity baseline of the targeted stakeholders, using the UNDP Capacity Scorecard**;** conduct the survey and finalise the UNDP Capacity Scorecard (for the baseline); • Drafting a comprehensive Stakeholder Engagement Plan; • Provide elements of a Knowledge Management (KM) Strategy of the project • Confirmation and description of co-financing arrangements for the project; • Support the international team leader to draft the Total Budget and Work Plan (TBWP) and the Indicative procurement plan (work with the UNDP Country Office); • Compile a list of all the stakeholders consulted by the PPG Team <u>Validation Workshop (Component C)</u>: • Support the validation workshop and the PPG Team Leader and participate in the presentation of baseline as well as the stakeholders' discussions and validation of the draft ProDoc and mandatory and project specific annexes; • Support the necessary revisions of the Project document/CEO ER that arise during the validation workshop. • Prepare the Validation Workshop Report **Qualifications** • Master's degree in environmental policy, environmental management, agricultural sciences, public administration, public policies, and other related disciplines; • Minimum 5 years of demonstrable experience in the technical area of natural resources management (preferably with experience in land use, pasture, agroforestry, water, biodiversity fields); • Fluency in written and spoken Uzbek/Russian; technical level of written and oral communication skills in English, is a requirement.; • Coordination and leadership skills, as well as relationship management skills • Prior experience with UNDP/GEF projects and designing/implementing institutional capacity development activities in relevant thematic areas is an asset
<u>Consultant 3</u>: International Marine Spatial Planning Specialist	**Role** The International Marine Spatial Planning (MSP) Specialist will prepare a series of relevant assessments and provide his/her technical input into the project document preparation under project Component 1.

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Type: IC **Cost per person-day:** US$ 600 **Number of person-days needed:** 25 days **$15,000**	**Responsibilities and deliverables** The international MSP Specialist will work closely with the PPG Team Leader and a national marine and land use spatial planning expert, as well as with the Forest/Pastures experts.. The international MSP Specialist will lead and collaborate in providing direct technical and scientific support, capacity-building, project on spatial planning and prioritization approaches in the Kazakhstan's Caspian Sea marine area. The PPG Initiation Plan for this project provides further and more detailed guidance regarding the responsibilities of the prospective PPG team and must be consulted accordingly. The list below outlines key responsibilities and deliverables of the International Marine Spatial Planning Specialist: • Analysis of international experience in marine spatial planning (MSP), particularly in developing and applying an MSP approach as an important tool for decision-makers, including policy-makers, planners, local authorities and government officials at the local, regional, and national levels, to integrate management of land, water and living resources in the target districts. The analysis will include a summary of best practices (what has worked in other countries) in MSP with relevance to the Kazakhstani context, as well as potential problems during the planning process. • Jointly with the national marine and land use spatial planning expert (i) provide advanced technical and scientific support and identify the project's sites data and GIS needs for integrated natural resource management in the marine and adjacent areas; provide guidance on the technical framework for data collection, management and ways to include community to identify and map biodiversity areas, agriculture and pastoral lands, fisheries replenishment zones (ii) recommend mapping and spatial planning optimization tools in mapping, analysis and validation of biophysical data; develop a detailed roadmap for MSP in Atyrau and Mangistau regions that will describe the MSP process with indicative timeline and key milestones, (iii) map relevant stakeholders at national, regional and local levels and entry points for their engagement. • Propose elements of technical and management capacity building for stakeholders in support of MSP in the region, based on a rapid needs assessment produced by the national MSP expert. • Design a set of trainings of stakeholders (in support of Output 2.4) on a diverse set of spatial planning tools and BD/LDN hotspot and aquaculture spatial planning site suitability analysis and prioritization approaches to scale up effective and equitable area-based conservation and national and regional collaboration as well as promote best practices.
<u>Consultant 3</u>: International Land Degradation, LDN, and Drylands Management Specialist **Type:** IC **Cost per person-day:** US$ 600	**Role** The International LD, LDN and Drylands Management Specialist will prepare a series of relevant assessments and provide his/her technical input into the project document preparation under project Component 2. **Responsibilities and deliverables** The internal LD Specialist will work closely with the PPG Team Leader and national experts. The PPG Initiation Plan for this project provides further and more detailed guidance regarding the responsibilities of the prospective PPG team and must be consulted accordingly. The list below outlines key responsibilities and deliverables of the International Land Degradation, LDN and Drylands Management Specialist: • Inputs to the analysis and summary of degraded lands in project target districts. The International LDN Specialist will perform desk review of available analyses, reports, extract available data and land use and land cover maps from existing regional and/or

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Number of person-days needed: 25 days **$ 15,000**	national databases, etc to assess UNCCD implementation enabling environment and identify significant trends in land degradation and interpret these trends in the context of the targeted areas; • Provide technical Inputs on integrated land use planning for LDN in targeted areas (Output 2.2. and 2.3) , highlighting analysis and summary of the existing land use and planning system in the country/region with entry points for promotion of Sustainable Land Management (SLM) measures at landscape level, actions aligned with the response hierarchy (Avoid > Reduce > Reverse land degradation) including specifically targets for achieving land degradation neutrality (Outputs 2.1. and 2.2). • Design a set of targeted trainings (in support of Output 2.4) for land use managers on LDN and LDN aligned SLM • Provide technical inputs and review proposed nature-positive actions in agriculture, forestry, tourism and other livelihoods options and develop selection criteria of LDN aligned SLM (Output 2.3). Jointly with relevant national experts prescribe site-specific climate-smart, LDN aligned nature-based solutions to avoid, reduce and reverse land degradation across the demonstration districts, including specific measures and budget, with breakdown and accounting of hectares by individual site. • Provide a succinct mapping of global good practices in designing LDN aligned integrated land use planning and SLM/NbS relevant in the context of Kazakhstan.
<u>Consultant 5:</u> International Nature Finance Expert **Type:** IC **Cost per person-day:** US$ 700 **Number of person-days needed:** 25 days **$ 17,500**	**Role** The International Nature Finance Expert will lead a series of relevant assessments and provide his/her technical input into the project document preparation under Component 3 while working jointly with a National Nature Finance Expert. **Responsibilities and Deliverables:** the list below outlines key responsibilities and deliverables of this contract. The PPG Initiation Plan for this project provides further and more detailed guidance regarding the responsibilities of the prospective PPG team and must be consulted accordingly. • A feasibility study for sustainable financing mechanisms to enhance nature-positive practices in the Caspian Sea and adjacent territories under Outcome 3 (Outputs 3.1., 3.2): this assessment will build on on the findings of BIOFIN analysis for Kazakhstan, which identified a number of innovative, potentially scalable financial instruments that can be piloted in the Caspian region. These instruments include but not limited to corporate social responsibility, ecological fiscal transfers, sustainable standards and labeling, ecolabels, ecotourism, augmentation of public budgetary support, diaspora savings and investment, revenue from environmental penalties, and PES based on tourism. Apart from public financing, the study will particularly explore potential financing for conservation through public-private and private-private partnerships. In particular, the International Nature Finance Expert will provide: -brief BD funding gap analysis for the pilot areas - identification of sustainable economic growth opportunities at local targeted sites level to bridge these gaps - design a methodology to use economic valuation of ecosystem services in the land use/land allocation decision making process linked to integrated spatial planning - Technical inputs in support of identifying options for BD offset/compensation measures for BD loss - Support to identify private sector participation into proposed BD funding mechanisms - Proposed options for blended financing of BD at landscape level

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Consultant 6: National Marine and Land Use Spatial Planning Specialist **Type:** IC **Cost per person-day:** US$ 150 **Number of person-days needed:** 40 days **$ 6,000**	**Role** The Marine and Land Use Spatial Planning Expert will prepare a series of relevant assessments and provide his/her technical input into the project document preparation under project Component 1 where it concerns marine integrated spatial planning and Component 2 related to territorial land use planning. **Responsibilities and Deliverables:** the list below outlines key responsibilities and deliverables of this contract. The PPG Initiation Plan for this project provides further and more detailed guidance regarding the responsibilities of the prospective PPG team and must be consulted accordingly. The consultant is expected to: • Prepare a summary of land use planning context in Kazakhstan; • Prepare a feasibility study for MSP and integrated spatial (territorial) planning in target districts in the Atyrau and Mangistau regions, including recommended actions to support MSP and integrated spatial (territorial land use) planning in target districts. In particular: o Describe how the project will work with partners to achieve results under Component 1 where it concerns MSP and Component 2 on integrated spatial (territorial land use) planning; o Jointly with the International MSP expert and in cooperation with the region and district-level specialists and authorities, suggest a roadmap for development of MSP and territorial land use in selected target districts; o Prepare a draft stakeholder engagement plan for MSP and spatial planning exercise to be validated during the project's inception phase o Map parallel initiatives relevant to the project; o Analyse other donor projects for synergies; • Assist with baseline, co-financing and increment description and calculation for each of the proposed pilot districts. • Contribute to the development of a comprehensive Stakeholder Engagement Plan
Consultant 7: National Sustainable Livestock and Pasture Management Specialist **Type:** IC **Cost per person-day:** US$ 150 **Number of person-days needed:** 30 days **$4,500**	**Role** The National Sustainable Livestock and Pasture Management Specialist will prepare a series of relevant assessments and provide his/her technical input into the project document preparation where it concerns sustainable livestock and pasture management (Outputs 2.1, 2.2. and 2.3), including establishment of baseline and target indicators. **Responsibilities and Deliverables:** the list below outlines key responsibilities and deliverables of this contract. The PPG Initiation Plan for this project provides further and more detailed guidance regarding the responsibilities of the prospective PPG team and must be consulted accordingly. The consultant is expected to prepare: • A summary report on pasture ecosystems in target districts of Atyrau and Mangistau regions, including description of pasture management system in Kazakhstan, detailed information on area, pasture description, land tenure (in coordination with GIS specialist), description of users (# of villages, number of beneficiaries, broken down by gender), livestock numbers and types, identification of required improvements in pasture access and infrastructure, summary of current pasture management practices, recommendations for improvement of pasture management to support SLM/LDN • Details on how the "normative" territorial planning should be carried out (Output 2.1.) • Justification for selection of the areas in Atyrau and Mangistau regions for piloting SLM. Proposed nature-based climate-smart activities can range from restoration of

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	degraded agricultural lands, pasture/grasslands restoration and management, use of water-saving technologies, wind erosion prevention, reclamation of industrially polluted lands, adaptation measures, aquaculture/hatcheries, etc. • A description of each pilot area (Output 2.3), including: Name, area (ha coverage), map Social-economic data, tenure/management arrangements for the site, problems to solve, proposed solutions, budget Baseline, co-financing and increment description and calculation for each of the proposed pilot areas.
Consultant 8: National Water Management Specialist **Type:** IC **Cost per person-day:** US$ 150 **Number of person-days needed:** 25 days $ 3,750	**Role:** The expert will assist in defining activities under Outputs 1.1, 1.2 (MSP), Outputs 2.1, 2.2 (territorial land use planning) and 2.3 (sustainable agro-practicies) **Responsibilities and Deliverables:** the list below outlines key responsibilities and deliverables of this contract. The PPG Initiation Plan for this project provides further and more detailed guidance regarding the responsibilities of the prospective PPG team and must be consulted accordingly. **Deliverables** - Analytical review of water resources in the two target regions, including the existing management & monitoring system (relevant authorities and cross-sectoral coordination), water infrastructure, needs of the sector and gaps in human and technical capacities. - A summary of the status of fisheries and marine aquaculture in the target regions/districts, including needs and gaps in technical and human capacities - Justification for selection of the areas in Atyrau and Mangistau regions for piloting sustainable fisheries/hatcheries/aquaculture - Inputs to stakeholder mapping for marine spatial planning and territorial land use planning. - Inputs to the roadmap for MSP and territorial land use planning. - A description of each pilot area (Output 2.3), including: o Name, area (ha), map o Social-economic data, tenure/management arrangements for the site, o problems to solve, proposed solutions, budget - Baseline, co-financing and increment description and calculation for each of the proposed pilot areas.
Consultant 9: National Biodiversity & Protected Area Specialist **Type:** IC **Cost per person-day:** US$ 150 **Number of person-days needed:** 40 days $6,000	**Role** The National BD and Protected Area Specialist will prepare a series of relevant assessments and provide his/her technical input into the project document preparation. **Responsibilities and Deliverables:** the list below outlines key responsibilities and deliverables of this contract. The PPG Initiation Plan for this project provides further and more detailed guidance regarding the responsibilities of the prospective PPG team and must be consulted accordingly. The consultant is expected to: • Prepare a summary of Kazakhstan PA system, with detailed summary description of PAs (existing and new) and KBAs or other BD hotspots to be targeted in Atyrau and Mangistau regions; • Assess the existing baseline situation and the current status of PAs located in the coastal zone of the Caspian Sea to identify gaps and opportunities for improved PA management and protection;

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	• Assessment of the current status of the monitoring system of the Caspian Sea and its coastal areas, as well as identifying gaps in existing capacities of the recently established Kazakh Research Institute of the Caspian Sea for environmental monitoring and research in the Kazakh sector of the Caspian Sea (Output 1.3); • Prepare an analysis of PA coverage of KBAs (in coordination with GIS specialist); recommendations for corridors and buffer zones; • Assessing feasibility for increasing habitat connectivity through OECMs or other form of conserved areas, and/or establishment of eco-corridors that is aimed at preserving the migration routes of Caspian seals; • Prepare a summary of biodiversity assets in target PAs, and quantitative assessment of status and threats • Prepare METTs for targeted PAs • Complete Capacity needs assessment for targeted PAs • Recommend targeted trainings for PA staff
<u>Consultant 10:</u> National Economist **Type:** IC **Cost per person-day:** US$ 150 **Number of person-days needed:** 20 days **$ 3,000**	**Role** The National Economist will prepare a series of relevant assessments and provide his/her technical input into the project document preparation under Component 1 and Component 3 working jointly with an International and National Nature Finance Experts. **Responsibilities and Deliverables:** the list below outlines key responsibilities and deliverables of this contract. The PPG Initiation Plan for this project provides further and more detailed guidance regarding the responsibilities of the prospective PPG team and must be consulted accordingly. The preparation of proposals for the project document on the implementation of zoning and sea and landscape planning approaches for the Kazakhstani part of the Caspian Sea and the Caspian Lowland (Zhylioy district in the Atyrau region and Tupkaragan district in the Mangystau region) should be based on and include: • Conduct an economic analysis of the development potential of Atyrau and Mangystau regions (Zhylyoi and Tupkaragay districts), identifying and evaluating promising and/or alternative economic activities that can be introduced to promote sustainable development. This includes analyzing the economic viability and potential benefits of these alternative activities, ensuring they contribute positively to the local and regional economies. • Evaluate the economic impacts of current policies and regulations on land and marine resource use and suggest economic incentives for better policy alignment. • Conduct an institutional assessment to identify key government and non-government organizations responsible for territorial and economic development and strategic planning by conducting meetings and collaborations with those that can assist with the integration of zoning based on landscape planning at the district and regional levels. • Develop methodological recommendations for creating functional zoning schemes based on international experience. An improved zoning and landscape planning approach will be implemented using this guide, focusing on the prospective development of the area for sustainable economic growth in the targeted oblasts through integrating them into the Development Programs of regions for 2025-2030.
<u>Consultant 11:</u> National Nature Finance Expert **Type:** IC **Cost per person-day:** US$ 150 **Number of person-days needed:** 20 days	**Role** The National Nature Finance Specialist will prepare a series of relevant assessments and provide his/her technical input into the project document preparation under Component 3. **Responsibilities and Deliverables:** the list below outlines key responsibilities and deliverables of this contract. The PPG Initiation Plan for this project provides further and more detailed guidance regarding the responsibilities of the prospective PPG team and must be consulted accordingly. • Support the International Nature Finance Expert in producing his/her deliverables e.g. provide support to the Feasibility study for sustainable financing mechanisms to

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$ 3,000	enhance nature-positive practices in the Caspian Sea and adjacent territories under Outcome 3 (Outputs 3.1., 3.2). The expert will closely work with the International Nature Finance Expert. This assessment will build on on the findings of BIOFIN analysis for Kazakhstan, which identified a number of innovative, potentially scalable financial instruments that can be piloted in the Caspian region. These instruments include but not limited to corporate social responsibility, ecological fiscal transfers, sustainable standards and labeling, ecolabels, ecotourism, augmentation of public budgetary support, diaspora savings and investment, revenue from environmental penalties, and PES based on tourism. Summary assessment of nature-based finance mechanisms SWOT. Apart from public financing, the study will particularly explore potential financing for conservation through public-private and private-private partnerships; • Support the PA Expert in elaborating on the financial needs assessment of national PA system (PAs finance scorecard); • Summary list of current agricultural subsidies that have potential positive or negative nature impacts in the Atyrau and Mangistau regions.
<u>Consultant 12:</u> National Expert on Nature-based Tourism and Sustainable Livelihoods **Type:** IC **Cost per person-day:** US$ 150 **Number of person-days needed:** 25 days $3,750	**Role** The National Expert on Nature-based Tourism and Sustainable Livelihoods will prepare a series of relevant assessments and provide his/her technical input into the project document preparation. **Responsibilities and Deliverables:** the list below outlines key responsibilities and deliverables of this contract. The PPG Initiation Plan for this project provides further and more detailed guidance regarding the responsibilities of the prospective PPG team and must be consulted accordingly. • A summary report on current nature-based tourism assets • Needs assessment for further development of the nature-based tourism sector in coastal and marine landscapes of Atyrau and Mangistau regions; • Brief socio-economic analysis of the targeted communities and recommendations on the priorities could be pursued/strengthened to boost sustainable livelihoods development; • Participatory assessment of opportunities for accelerating new sustainable, green-based businesses and resilient green livelihood options (e.g. sustainable agriculture, fisheries, ecotourism, etc.) that contribute to ecosystem services provision and species and habitat recovery, to be piloted in selected districts of the Atyrau and Mangistau regions (Output 3.3); • Summary of beneficiaries from relevant project livelihoods activities; • Input to relevant Prodoc section on local benefits and beneficiaries.
<u>Consultant 13:</u> National GIS Specialist **Type:** IC **Cost per person-day:** US$ 150 **Number of person-days needed:** 20 days $ 3,000	**Role** The National GIS Specialist will provide his/her technical input into the project document preparation. **Responsibilities and Deliverables:** the list below outlines key responsibilities and deliverables of this contract. The PPG Initiation Plan for this project provides further and more detailed guidance regarding the responsibilities of the prospective PPG team and must be consulted accordingly. • Maps for Prodoc annexes: maps of pilots for MSP, integrated land use planning, SLM activities, targeted PAs • Also, confirmation of marine and land-based figures – hectares targeted, landscapes, data on land-use and land-tenure, etc.

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Consultant 14: National Gender Specialist **Type:** IC **Cost per person-day:** US$ 200 **Number of person-days needed:** 30 $ 6,000	***Role*** The National Gender Specialist will be a gender and social inclusion expert with experience in-depth gender analysis and local community engagement. **Deliverables** 1) Preparatory Technical Studies and Reviews (Component A): Prepare inputs and support the required analyses/studies, as agreed with the GEF PPG Team Leader, including: a. Review the SES pre-screening of the PIF; complete the UNDP Social and b. Prepare the gender analysis and action plan and work closely with the GEF PPG Team Leader to ensure its findings are meaningfully integrated into the project's strategy, theory of change and results framework; c. Advise on gender responsive stakeholder analysis and consultations and ensure that they are complete and comprehensive; and d. Support the completion of any additional studies that are determined to be needed for the preparation of the ProDoc and all other final outputs as guided by the PPG Team Leader. 2) Formulation of the ProDoc, CEO Endorsement Request and Mandatory Annexes as well as project specific annexes (Component B): a. Prepare the Gender Mainstreaming Plan, with appropriate budget and identification of appropriate project interventions to ensure gender mainstreaming including at project demonstration sites; b. Using the findings from the gender analysis, provide inputs to the project's results framework and theory of change; ensure gender considerations are integrated into the project's theory of change; c. Provide inputs for the development of the Stakeholder Engagement Plan to ensure it is Socially Inclusive and Gender Responsive; d. Prepare the Gender Action Plan and Budget; e. Support the agreements on project management arrangements and ensure that gender and safeguards are adequately incorporated into these arrangements. 3) Validation Workshop (Component C): a. Contribute to the validation workshop; and b. Support all necessary revisions that arise during the workshop, as appropriate. 4) Final Deliverables: a. Gender Analysis and Gender Mainstreaming Plan b. Appropriate inputs to the comprehensive Stakeholder Engagement Plan including on gender-responsive consultation and consultations with local communities and any Indigenous Peoples or Ethnic Minorities present within the demonstration landscape; c. Appropriate inputs to the final UNDP-GEF project document based on guidance from the PPG Team Leader. **Qualifications** ▪ Master's degree or higher in a relevant field, such as gender studies, gender and development, women and environment, or women and sustainable development; ▪ Minimum 7 years of demonstrable experience in the technical area of gender mainstreaming, community development;

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	▪ Experience carrying out participatory gender analysis; experience collecting and formulating gender responsive indicators and sex-disaggregated data and preparing gender responsive project analysis; developing gender action plans; ▪ Demonstrated understanding of the links between sustainable development, social and gender issues; ▪ Demonstrated experience working on policy and programmatic issues with national and local governments and civil society organizations including community organizations; ▪ Experience with project development and results-based management methodologies is highly desired; ▪ Excellent analytical, writing, advocacy, presentation, and communications skills are required. ▪ Excellent written and oral communication skills in English and fluency in Kazakh/Russian language.
<u>Consultant 15:</u> National Social and Environmental Standards Specialist **Type:** IC **Cost per person-day:** US$ 200 **Number of person-days needed:** 30 **$ 6,000**	**The Social and Environmental Standards Consultant** will develop mandatory project Annexes related to application of social and environmental safeguards and support adherence of project development to UNDP's SESP and specific requirements, as appropriate. **Deliverables** 5) <u>Preparatory Reviews and Technical Studies as agreed with the GEF PPG Team Leader, including:</u> • Review the SES pre-screening of the PIF; complete the UNDP Social and Environmental Screening Procedure (SESP), and support the detailed assessment of all project risks including consultations with local stakeholders; • Assess presence of Indigenous Peoples/ethnic minorities within project landscapes and their interests. If present, assess potential impacts of the project on rights and interests, lands, territories, resources, and traditional livelihoods and determine when FPIC applies in accordance with national contexts and preferences. Conduct consultations with communities at demonstration landscape to assess level of understanding and capacity to give consent and identify community preferences for FPIC process. Based on these assessments, and if relevant, integrate relevant matters as needed including FPIC into project design and into the comprehensive Stakeholder Engagement Plan; • Prepare the UNDP Social and Environmental Screening Procedure (SESP); • Identify management measures to mitigate risks to be incorporated into the ProDoc or be described in the project's Environmental and Social Management Framework (ESMF) for the project (if required) including budgets for their implementation; • Support the consultations with local stakeholders on SES-related issues; and • Support the completion of any additional studies that are determined to be needed for the preparation of the ProDoc and all other final outputs as guided by the PPG Team Leader. 6) <u>Formulation of the ProDoc, CEO Endorsement Request and Mandatory Annexes as well as project specific annexes (Component B):</u> f. Complete the SESP following comments from the project's SES Technical Adviser; g. Finalise management measures to mitigate risks to be incorporated into the ProDoc or be described in the project's Environmental and Social Management Framework (ESMF) for the project (if required) following comments from the project's SES Technical Adviser;

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	h. Support the agreements on project management arrangements and ensure that gender and safeguards are adequately incorporated into these arrangements. 7) <u>Validation Workshop (Component C):</u> c. Contribute to the validation workshop; and d. Support all necessary revisions that arise during the workshop, as appropriate. 8) <u>Final Deliverables:</u> d. Finalized Social and Environmental Screening (SESP) e. Appropriate inputs to the Stakeholder Engagement Plan f. Environmental and Social Management Framework (ESMF) for the project (if required) g. Appropriate inputs to the final UNDP-GEF project document based on guidance from the PPG Team Leader. **Qualifications** ▪ Master's degree or higher in a relevant field, such as environment or sustainable development; ▪ Minimum 7 years of demonstrable experience in the technical area of social and environmental safeguards risk assessment and mitigation; ▪ Experience carrying out participatory analyses; ▪ Prior experience in the safeguards assessments and processes of international organizations and donors, such as World Bank, UNDP, etc; ▪ Experience with project development and results-based management methodologies is highly desired; ▪ Excellent analytical, writing, advocacy, presentation, and communications skills are required; and ▪ Excellent written and oral communication skills in English and fluency in Kazakh/Russian language.