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The United Nations Development Programme

The project's title: Development of Kazakhstan's Eighth National Communication and Preparation of Two (Fourth and Fifth) Biennial Reports to the UNFCCC	
Country: Kazakhstan	The Implementing Partner: Ministry of Ecology, Geology and Natural resources of the Republic of Kazakhstan
Management Organization: Support to the National Implementation Modality (NIM)	
UNDAF/Country Action Programme Outcome (2016 – 2020): Outcome 1.3: "Ecosystems and natural resources are protected, and sustainably used, and human settlements are resilient to natural and man-made disasters and climate change". Output 4. National and sub-national institutions have strengthened capacities in environmental governance, including in planning, managing, monitoring of protected territories, adjacent settlements and peri-urban areas	
UNDAF/Outcome of the UNDP Strategic Plan (2018–2021): Outcome 1: Advance poverty eradication in all its forms and dimensions Interim outcomes of the UNDP Strategic Plan (2018 – 2021): 1.1.1 Capacities developed across whole of government to integrate the 2030 Agenda, the Paris Agreement and other international agreements in development plans and budgets, and to analyse progress towards the SDGs, using innovative and data driven solutions	
Social and environmental screening category for UNDP projects: is exempted	UNDP Gender Indicator: GEN 2
Project ID in the ATLAS system / Awarded identification number: 00105577	The identifier of the result in the "ATLAS" system/ Identification number of the project: 00106780
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The date of LPAC: 13 May 2019

Project brief: The project will enable Kazakhstan to prepare and submit the Eighth National Communication (8NC) and two Biennial Reports (BR4 and BR5) to the Conference of the Parties (COP) of the UNFCCC in accordance with the obligations of the Party to the Convention under Article 12 of the Convention and subsequent decisions of the COP. The project will update information on national circumstances, greenhouse gas (GHG) inventories and measures taken to mitigate climate change, assessment of vulnerability to climate change and ongoing adaptation efforts, public awareness, education and training, systematic observation and research, attraction and provision of financial resources and technology transfer. The project will also enhance technical and institutional capacity in GHG inventory, GHG emission forecasting, vulnerability assessment and, in general, NC/BR preparation, and assist the Government in integrating climate change issues into sectoral and national development priorities.

FINANCING PLAN	
GEF	\$852,000
UNDP TRAC-resources (USD)	
Co-financing in cash, subject to regulation by UNDP (USD)	
(1) Final budget, administered by UNDP (USD)	\$852,000
PARALLEL CO-FINANCING <i>(all other co-financing, with the exception of cash co-financing administered by UNDP) (USD)</i>	
UNDP in kind (USD)	\$60,000
Government in kind (USD)	\$856,768
(2) Total co-financing amount (USD)	\$916,768
(3) Total project funding (1)+(2) (USD)	\$1,768,768

Agreed by:

UNDP	Implementing Partner
Vitalie Vremis Resident Representative a.i.	Akhmetzhan Primkulov Vice-Minister of ecology, geology and natural resources
	
Date: 6.08.19	Date:

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LIST OF ABBREVIATIONS

7NC	Seventh National Communication (2012 – 2015)
8NC	Eighth National Communication
SNC	Second National Communication (1994 – 2005)
ERT	Expert Review Team
GEF	Global Environment Fund
BR	Biennial Report
USD	United States Dollar
LULUCF	Land-Use, Land-Use Change and Forestry
KP	Kyoto Protocol
COP	Conference of the Parties
PMC	Project Board
IPCC	Intergovernmental Panel on Climate Change
PM	Project Manager
M&E	Monitoring and Evaluation
ME RoK	Ministry of Energy of the Republic of Kazakhstan
NPD	National Project Director
NPM	National Project Manager
NDC	Nationally Determined Contribution
NC	National Communication
PA	Paris Agreement
GHG	Greenhouse gas
P&M	Policy and measure
FNC	First National Communication (1990 – 1994)
NCSP	National Communications Support Programme.
UNDP	United Nations Development Program
UNFCCC	the United Nations Framework Convention on Climate Change
TNC/6NC	Third National Communication (2006 – 2012)
V&A	Vulnerability and Adaptation [to Climate Change]
DNA	the Designated National Authority
EE	Energy Efficiency
UNDAF	The United Nations Development Assistance Framework
SBAA	Standard basic assistance agreement

I. DEVELOPMENT CHALLENGE

On May 4, 1995, Kazakhstan ratified¹ the United Nations Framework Convention on Climate Change (UNFCCC) and became a party to it in August 1995.

On March 12, 1999, the President of Kazakhstan signed² the Kyoto Protocol (KP) to the UNFCCC, and on March 23, 2000, the Government notified the UN Secretary-General of its intention to fulfil the obligations under paragraphs 2 (a) and 2 (c) of the UNFCCC under paragraph 2 (g) of the same Article.

Since 2008, Kazakhstan has been conducting a GHG inventory and, as part of the previous GEF/UNDP³ project, new 2006 IPCC guidelines for national GHG inventories have been introduced (replacing the previous 1996 IPCC guidelines) for the National Inventory Team. This work had a significant impact on National Inventory Reports, as well as on the Inventory Team's capacity. The GHG inventory in all categories of inventories has been improved, but the project has focused on the most critical category of the LULUCF. An international expert who worked during 2018 studied all the documentation of the National Inventory Team and made recommendations for improving the sector. These recommendations can be boiled down to the following broader categories:

- The flow of data needed for both reporting a national GHG inventory and supplementary reporting under the Kyoto Protocol needs to be ensured;
- The major weakness of current reporting is land representation and a land use change matrix for the entire time series since 1990;
- Transparency of information is needed, especially when country specific data is used in reporting;
- Significant effort is still needed to progress toward enhanced estimation of information for accounting purposes of the Second Commitment Period under the Kyoto Protocol. This effort should have a strong national capacity building component to ensure consistent reporting under the Paris Agreement in line with low emission national development needs.

As the 2006 IPCC guidelines are very new to experts, we need to continue our work, especially in the areas of energy, transport, waste, industrial processes and LULUCF.

On March 26, 2009 Kazakhstan ratified⁴ the Kyoto Protocol (KP). On September 17, 2009, the KP officially entered into force for Kazakhstan.⁵ At the Conferences of the Parties (COP) of the UNFCCC, Kazakhstan has repeatedly raised the issue of voluntary quantitative commitments under the KP. At COP-7 in Marrakech, Morocco, it was agreed that Kazakhstan will be considered a Party to Annex I to the UNFCCC only for the purposes of the Kyoto Protocol in accordance with Article 1, paragraph 7, of the Kyoto Protocol, as it had submitted a notification in accordance with Article 4, paragraph 2 (g), of the Convention.

¹Presidential Decree No. 2260.

² Presidential Decree No. 84.

³UNDP/GEF project "Development of Kazakhstan's national communication to the UNFCCC and Biennial Report" (7NC)

⁴Law of RK No. 144-IV.

⁵ Information letter No. 12-1/2686 of the Ministry of Foreign Affairs of the Republic of Kazakhstan dated October 1, 2009.

On December 3, 2011 Kazakhstan has modified⁶ its Environmental code, with two mechanisms of regulation of GHG emissions: the distribution of quotas and trade of carbon emissions; both entered into force on January 1, 2013. Rules for trading GHG emissions and carbon units have been adopted.⁷

Quotas Allocation Plan for GHG⁸ emissions in 2013 covered the 178 facilities (producing more than 20,000 tons of CO₂ per year) in three sectors (energy, oil, gas and coal, chemical industry) and thus covered 55 percent of GHG emissions in Kazakhstan. There was a historical method for the quotas allocation: 2010 served as the basis for the allocation of quotas and accounted for 100 percent of all units of quotas allocated in 2013. According to the plan, 147 909 units were distributed between sectors for free, and another 20 633 635 units were reserved for new and expanding facilities and trade.

The same approach was maintained in the framework of the National Quota Allocation Plan for 2014–2015: on average, the total CO₂ emissions for 2011 and 2012 served as a baseline and made up 100 percent of all units of quotas not related to CO₂ emission reductions in 2014 and 1.5% reduction in 2015. The National Quota Allocation Plan for 2014-2015 covered 166 objects in the same three sectors.

A similar logic of Quota Allocation⁹ was prepared for the next period, but at the beginning of 2016, the GHG emission control system was temporarily suspended.

New rules for National Quota Allocation Plans were adopted on June 15, 2017 and entered into force on January 1, 2018¹⁰. They envisaged the introduction of indicators based on the best available technologies for quota allocation, and therefore, the Emission Allocation Plan¹¹ for 2018-2020 was based on the benchmarking method. The new plan covered 225 installations in six sectors (electric power, oil and gas, mining, metallurgy, chemical industry, construction processing (cement, lime, gypsum and brick)), and allocated a total of 485 909 138 units for three years (2018 - 2020) for free and reserved another 35 273 634 units for new facilities, trade in carbon dioxide emissions and some other goals specified in the new rules.

At the 18th Conference of the Parties in Doha, Qatar, Kazakhstan expressed its readiness to participate in the second crediting period of the KP as a Party included in Annex B, and commit to reduce GHG emissions by five percent compared to the (base) year 1990 (and seven percent in case of expansion of ambitions).

On July 20, 2016, Kazakhstan signed¹² the Paris Agreement (PA) and ratified¹³ it on November 4, 2016; the PA entered into force for Kazakhstan on January 5, 2017. On December 6, 2016, Kazakhstan presented its NDC (Nationally Determined Contribution) to be achieved by

⁶Law of RK No. 505-IV.

⁷Order of the Minister of Environment of the Republic of Kazakhstan dated May 11, 2012 No. 151-ə. Resolution of the Government of the Republic of Kazakhstan dated December 13, 2013 No. 1588.

⁸Resolution of the Government of the Republic of Kazakhstan dated December 13, 2013 No. 1588.

⁹The national plan for the allocation of quotas for GHG emissions for 2016-2020, approved by the Government of the Republic of Kazakhstan dated December 30, 2015 No. 1138

¹⁰Resolution of the Government of the RK No.370.

¹¹Resolution of the Government of the Republic of Kazakhstan dated December 26, 2017 No. 873.

¹²Presidential Decree No. 301.

¹³Law of RK No.20-VI LRK.

2030: a 15 percent absolute reduction in GHG emissions across the economy by December 31, 2030 compared to the (baseline) 1990 as an unconditional goal and a 25 percent reduction if additional international assistance were provided to support Kazakhstan's efforts.

Medium and long-term goals of Kazakhstan to reduce GHG emissions were included in a number of strategic and political documents of the country, such as: the Concept of the Transition of the Republic of Kazakhstan to a "Green economy"¹⁴, the Programme "Energy Saving" – 2020"¹⁵ (currently completed and replaced by another document), the Concept of Development of the Fuel and Energy Complex until 2030¹⁶, and the Strategic Plan of the Ministry of Energy for 2017-2021¹⁷. The Concept of Transition to "Green economy" sets ambitious goals regarding the reduction of CO₂ emissions: to achieve a 15 percent reduction by 2030 in comparison with 2012 and a 40 percent reduction by 2050. The Strategic Plan of the Ministry of Energy indicates the following measures to achieve the NDC in accordance with the Paris Agreement: 1) the GHG emission control system; 2) increasing the share of renewable energy sources in the energy balance of the country; 3) modernization of thermoelectric power plants and boilers; 4) implementation of Energy Efficiency and Energy Saving Projects. Meanwhile, over the past decade (2005-2015) Kazakhstan has increased GHG emissions by 22 percent (excluding LULUCF). Total emissions (including from LULUCF) reached almost 315 million tonnes of CO₂ equivalent, with the largest share (78.5 percent) of electricity, 9 percent of agriculture, 6 percent of industrial processes, 2 percent of waste, and LULUCF is responsible for almost 4.5 percent of all GHG emissions¹⁸.

Kazakhstan's agriculture and rural areas, which account for 43 percent of the country's population, are the most vulnerable to climate change and, at the same time, are the least integrated into existing domestic policies and measures to mitigate and adapt to climate change. It is essential to study the impact of climate change on agriculture and the vulnerability of the rural population, especially women, there is still a need to study the economic sectors and social groups that are most vulnerable to be included in mitigation and adaptation policies, and the empowerment of rural communities, especially women. These issues should be considered and reflected in strategic and political programmes.

To date, Kazakhstan has submitted four National Communications covering seven reporting cycles. The 1st NC (1990 - 1994) was presented in 1998 and was developed and published with the technical and financial support of the Netherlands programme of assistance in climate change research. The 2nd NC (1994-2005) was presented in 2009, this NC and all the following NC were supported by UNDP/GEF. The 3rd – 6th NC covered the period from 2006 to 2012 (reporting circles III, IV, V and VI) and thus Kazakhstan started reporting as Annex 1 Party for the aims of the Kyoto protocol. The last NC was reviewed by the Expert Review Team(ERT) in April 2015 and therefore the following NC were developed in accordance with its

¹⁴Decree of the President of the Republic of Kazakhstan dated May 30, 2013 No. 577.

¹⁵Resolution of the Government of the Republic of Kazakhstan dated August 29, 2013 No. 904, which became invalid on July 25, 2016

¹⁶Resolution of the Government of the Republic of Kazakhstan dated June 28, 2014 No. 724.

¹⁷The Order of the Minister of Energy of the Republic of Kazakhstan dated December 28, 2016 No. 571.

¹⁸7NC

recommendations. The 7th National Communication (2012-2015) was presented in 2017. In addition, as a Party included in Annex I for the aims of the Kyoto protocol, Kazakhstan represented the Biennial Reports (BR): 1BR (1990 - 2011) in 2014 (this BR was reviewed by the ERT and, therefore, the following BR was developed in accordance with its recommendations), 2BR (2011-2013) in 2015 and 3BR (2013-2015) in 2017.

II. STRATEGY

The project is prepared in line with the GEF-7 strategic focal area on climate change, objective 3 on fostering enabling conditions for mainstreaming mitigation concerns into sustainable development strategies.

In addition, project results can serve as a basis for updating country goals and commitments under the Paris Agreement, the UN Convention on Climate Change and other international agreements, including in Kazakhstan's nationally determined contributions published on September 28, 2015.

Main goals of this enabling activity project are:

1. Assisting Kazakhstan in meeting the reporting requirements under Article 4 and 12 of the UNFCCC through the preparation of the National Communication (Decision 4/CP.5) and Biennial Reports (Decision 2/CP.17) (G1);
2. Assisting Kazakhstan in reporting on greenhouse gases under the Kyoto Protocol, the Paris Agreement and the UNFCCC (Decision 22/CP.7) (G2);
3. Strengthening national technical, institutional and expert capacities for the preparation of NC and BR, including data collection for the National GHG Inventory, taking sustainable mitigation actions, assisting the Government in integrating climate change issues into policies on national development and priority economic sectors (G3).

The development objectives (see Section 1) will be achieved within the Project through designated points of impact, which are consistent and interrelated intermediate outcomes, which together constitute a "theory of change" to address the above problems. Annex A provides a logical outline of the changes to be achieved as an outcome of the project activities.

The chart indicates the final objectives of the Project: 1) strengthening the country's capacity to achieve quantitative commitments under the Paris Agreement; 2) strengthening the country's capacity to adapt economic sectors to climate change, including natural disasters, taking into account gender. These final changes are based on the intermediate changes (outcomes), which will be affected by the project, namely:

- strengthening decision-making on mitigation and adaptation;
- improvement of institutional and policy frameworks for mitigation and adaptation;
- gender mainstreaming in the planning and implementation of policies and measures;
- strengthening of expertise and institutional capacity for both the National inventory system as well as for the preparation of subsequent NC and BR
- formalization of the processes for the NC and BR preparation

- awareness raising of stakeholders on mitigation and adaptation issues.

The selection of the above strategy was based on many years of experience in the implementation of National Communications Projects implemented in UNDP in partnership with the Government of the Republic of Kazakhstan, as well as on the guidance documents of the UNFCCC Secretariat, the Conferences of the Parties and the IPCC.

The actions that will be undertaken as part of the Project comply with the Outcome 1.3 of the UNDP Country Development Program and the Government of the Republic of Kazakhstan (2016-2020): “Ecosystems and natural resources are conserved and sustainably used, and settlements are resistant to natural and man-made disasters and climate change.” The project also relates to the Outcome of the UNDP Strategic Plan (2018–2021) “Strengthening Structural Change for Sustainable Development”.

III. OUTCOMES AND PARTNERSHIPS

The project includes four closely related components, described below. These components, which will contribute to the achievement of the ultimate goal of the project, are also aimed at enhancing the interaction between the project participants. Each of the four components is aimed at achieving one key outcome, formulated on the basis of a strategic approach (briefly described in Section 2). Description of the components and outcomes of the Project is given below.

Outcome 1: Strengthening coordination of the national GHG emissions and absorptions inventory in accordance with international requirements of the Intergovernmental Panel on Climate Change (IPCC).

This Outcome will strengthen the methodology and institutional framework for the inventory of GHG emissions and absorptions. This will strengthen the capacity of the inventory unit and ensure consistent and continuous collection of information within the National Inventory System. The GHG inventory will be updated for the purposes of the Biennial Reports (BR4 and BR5) and the Eighth National Communication.

The expected outcomes of the implementation of Outcome1 will be:

- 1.1. The revision and evaluation of the national GHG inventory system by international experts and as a result the revision of the methodology;
- 1.2. CBM - CFS3 adaptation (Carbon Budget Model of the Canadian Forest Sector to the National GHG Inventory for the LULUCF Sector);
- 1.3. Identification of the key inventory categories, identification/re-assessment of the emission factors; methods selection and data collection required in accordance with the recommendations of the IPCC 2006; the GHG inventory implementation;
- 1.4. The analysis of uncertainties and key categories; changes to the selected methods, if necessary; identified data gaps elimination;
- 1.5. Strengthening the capacity of the GHG inventory group; the establishment of intersectoral and interdepartmental cooperation to ensure the receipt of inventory data; data collection activities are formalized;
- 1.6. The methodologies revision for the national GHG accounting and regulation system for the sectors; system users have acquired the necessary skills and strengthened their potential; carrying out the transparency activities of the GHG emission control system.
- 1.7. The GHG inventory development for NC purposes and two Biennial Reports; The NC8 includes an inventory section that is submitted to the UNFCCC reporting system in the Common Reporting Format (CRF) in 2021.
- 1.8. The recommendations of the ERTs, identified during the international review of the NC7 and BR3, and recommended for inclusion in the current NC8 and BR4, are taken into account, reflected and described in the texts of the NC8 and BR4.

Outcome 2: Assistance in the development of chapters on national circumstances and policies and a measure to reduce GHG emissions as a basis for decision-making on climate policy

In the framework of this outcome the capacity of national experts will be strengthened and changes in national circumstances related to GHG emissions and absorptions will be assessed. The methodology for forecasting GHG emissions will also be strengthened and the section on gender-specific policies and measures will be updated. The work carried out will strengthen the decision-making process on climate policy in Kazakhstan.

The expected outcomes of the implementation of Outcome2 will be:

- 2.1 The description of the quantitative emission reduction commitments in the BR4 and BR5, the assessment of the progress made;
- 2.2 The identification and description of the changes in national circumstances (general and by sector, including gender-disaggregated data, when it is possible); gaps were identified, and appropriate recommendations were prepared;
- 2.3 Preparation of the report on current policies and measures, as well as on the policies and measures adopted, planned policies and measures (both sectoral and intersectoral) that affect emissions and absorption of GHGs;
- 2.4 The assessment and description of the role of women and men in such policies and measures for 8NC; preparation of the recommendations on mainstreaming gender into the planning and implementation of mitigation policies and measures;
- 2.5 Preparation of the GHG emissions forecasts (“with measures”, “without measures” and “with additional measures”) for the period up to 2050; updating the analysis of the overall effect of the policies and measures carried out at NC7 for BR4, BR5 and 8NC, the results are transmitted to decision makers;
- 2.6 The recommendations of the ERTs during the review of NC7 and BR3 are taken into account, included and described in NC8 and BR4;
- 2.7 The methodology for GHG emission forecasts is enhanced through the introduction of additional/alternative modeling tools, including an economic assessment tool;
- 2.8 The updating and publication of the methodology for GHG emission forecasts (in electronic form) as a guide for the preparation of subsequent NC and project partners;
- 2.9 Recommendations for additional measures to achieve national goals for reducing GHG emissions are prepared in the form of an action plan and transmitted for review to decision makers;
- 2.10 Carrying out the consultations and workshops for stakeholders to increase their involvement and awareness-raising (including gender training).
- 2.11 Expert and technical support was provided to national experts as part of the negotiating delegation in the participation of the Multilateral Evaluation of the Subsidiary Body for Implementation UNFCCC.

Outcome 3: Assistance in the development of vulnerability assessment and adaptation measures to enhance climate-sensitive prioritization and development planning in Kazakhstan.

In the framework of this component, the methodology of vulnerability assessment will be strengthened and a chapter on vulnerability, climate change impacts, vulnerability assessment, impact response measures, gender-sensitive adaptation measures for the purposes of the Eighth National Communication will be developed. Stakeholder participation will be increased, and assistance will be provided to incorporate adaptation measures into national legislation. This will improve the institutional and policy framework for Kazakhstan's adaptation to climate change.

The expected outcomes of the implementation of Outcome3 will be:

- 3.1. The identification of the economic sectors and social groups most vulnerable to climate change; the analysis and presentation of the impact of climate change on the socio-economic development of Kazakhstan including impact of response measures;
- 3.2. Climate modeling (through the use of an ensemble of models) used to assess the impacts of climate change; reconsideration of the climate change scenarios;
- 3.3. The assessment of the progress in implementing adaptation measures proposed in NC7; a framework for integrating climate change issues into national development strategies and programs is presented; an adaptation plan for the most vulnerable sectors, including a cost-benefit analysis, has been prepared;
- 3.4. The assessment of the role of women and men in such measures; preparation and presentation of the recommendations on gender mainstreaming in the planning and implementation of adaptation measures;
- 3.5. Consultations and workshops with stakeholders to increase their participation and awareness raising, including training on gender issues;
- 3.6. The preparation of the vulnerability assessment and recommendations were made to increase the resilience of women and men to climate change and natural disasters caused by climate change;
- 3.7. Facilitated integration of adaptation policies and measures into national legislation.
- 3.8. Information is presented on ongoing adaptation measures and levels of their implementation, paying particular attention to the sectors and areas where vulnerabilities have been identified;
- 3.9. Analyzed Information on vulnerable sectors are presented and reasons caused vulnerability is explained. Biggest attention is given to the the most vulnerable sectors;
- 3.10. Barrier analyses on the lack of adaptation measures in vulnerable sectors is conducted;
- 3.11. The recommendations of the ERTs during the review of the NC7 were taken into account.

Outcome 4: Incentives for the development of knowledge management and monitoring and evaluation.

This Outcome will include: a chapter on climate research and systematic observation and a chapter on education, training and public awareness. Two Biennial Reports (BR4 and BR5) and the Eighth National Communication will be prepared and submitted to the UNFCCC. This Outcome will ensure knowledge management throughout the project and application of monitoring and evaluation procedures.

The expected outcomes of the implementation of Outcome 4 will be:

- 4.1. Preparation of the review of climate studies and systematic observations, identification of the gaps and needs; assistance review preparation provided in relation to the development of relevant capacity for developing countries; Reviews are included in BR4, BR5 and 8NC in accordance with the reporting cycles;
- 4.2. A review of the activities on education, training and public awareness has been prepared and included in the 8NC, gaps (including missing data on gender issues), needs and priorities were identified, and relevant recommendations have been prepared.
- 4.3. A report on financial and technological assistance, as well as support for capacity building for developing countries, has been prepared for BR4, BR5 and 8NC, gaps, needs and priorities were identified, recommendations were made;
- 4.4. The compilation, translation into English and Kazakh of the 8NC and 4th and 5th BR, approved by the Government and presented to the UNFCCC;
- 4.5. A public opinion survey on climate change has been conducted at the initial and final stages of the project; A PR campaign for the project has been developed and implemented;
- 4.6. Inception workshop, Project Board meetings, stakeholder consultation;
- 4.7. NC findings and Biennial Reports are widely discussed among partners, NGOs and decision makers;
- 4.8. Preparation and submission of the financial reports and reports on the project progress;
- 4.9. Preparation and presentation of the final report reports on lessons learned have been compiled and distributed to the interested parties.

Partnership and Stakeholders engagement plan

The Project plans to involve the following stakeholder groups: sectoral ministries and relevant state agencies, local/rural communities and local authorities in areas under study, non-governmental organizations, the mass media, research institutions. The business sector will play a major role in planning, monitoring and carrying out an evaluation of the project. The project proposal provides for greater participation of local/rural communities and women in order to ensure their inclusion in decision-making regarding climate change in Kazakhstan. It is expected that stakeholder groups will be identified for each industry/sector and a special emphasis will be given to the identified groups once it comes to interrelated industries.

A Stakeholder engagement plan envisages the following meetings:

- Inception workshop to discuss conceptual framework and design for each chapter; and to highlight any prevailing challenges to data acquisition and sharing, monitoring assessment and reporting
- Validation workshops to discuss results and validate accuracy of the analyses
- Individual meetings with sector representatives
- Group discussions to solicit ideas, create synergies and opportunities for networking, knowledge sharing and joint actions
- Final dissemination workshop to discuss findings, raise awareness and reinforce collaboration and networking

Name of institution/organization	Functions/Mission	Cooperation on outcomes within the Project
The Ministry of Ecology, geology and natural resources	Serves as an Implementing Partner and provides overall coordination of the project through the chairmanship of the Project Board . Participates in the development of BR/NC through the data provision for the relevant sections. Promotes interagency cooperation and coordination. Provides formalization of BR/NC development processes. Directs National Communications and Biennial Reports using the UNFCCC reporting system.	The relevant sections of the BR/NC are developed and agreed at the state level. Mitigation and adaptation project recommendations provided the basis for planning. BR/NC were sent to UNFCCC Secretariat.
The Ministry of Agriculture (MOA)	Participates in the GHG National Inventory System and the development of BR/NC through the data provision on the LULUCF sector, based on the project recommendations is working on the adaptation projects development. The representative of the MOA is a member of the PMC.	The relevant sections of the BR/NC have been developed and agreed. The project recommendations on adaptation measures provided the basis for the Ministry's planning.
Emergency Committee of the Ministry of Internal Affairs	Based on the project's recommendations, it is working to respond to emergency situations related to climate change.	The project's recommendations provided the basis for disaster response planning.
"Zhasyl Damu" JSC	Coordination of the GHG National Inventory System (NIS), including the improvement of the methodology and measures to improve the capacity of	The NIS methodology has been improved and the inventory team capacity has been strengthened. The relevant sections of the

Name of institution/organization	Functions/Mission	Cooperation on outcomes within the Project
	users/participants of the NIS. Participates in the development of BR/NC through the data provision and expertise, including the emission scenarios development. The representative of the JSC "Zhasyl Damu" is a member of the PMC.	BR/NC have been developed and agreed. The inventory has received a qualitative strengthening at the national level. Interagency cooperation has been strengthened.
Statistics Committee of the Ministry of National Economy	Participates in the development of BR/NC through the data provision.	Availability of statistical data necessary for the BR/NC development. Preparation of recommendations on strengthening reporting in terms of updating stat. information on greenhouse gas emissions.
RSE "Kazhydromet"	Participates in the development of BR/NC through the data provision and expertise on climate modelling and vulnerability assessment. Participates in activities to improve expert capacity through training on the use of climate data. The representative of Kazhydromet is a member of the PMC. and the impact of implementing response measures PMC	The relevant sections of the BR/NC have been developed and agreed.
Nazarbayev University	Assists Zhasyl Damu and Kazhydromet to improve the GHG inventory methodology (LULUCF sector), forecast GHG emissions and climate modeling.	Methodology NIS is improved. The relevant sections of the BR/NC have been prepared.
Economic Research Institute	Providing expertise in GHG emissions forecasting and economic assessment	Relevant sections of BR/NC have been prepared.

Name of institution/organization	Functions/Mission	Cooperation on outcomes within the Project
EcoForum NGO, Climate Change Coordination Center, business associations	Ensure transparency and public participation in the development of the NC and BR's, as well as the formation and implementation of the Kazakhstan's climate policy. Participate in the project's information and educational activities. The NGO/business representative is a member of the PMC.	The process of NC development includes public participation and it is transparent for representatives of civil society.
National Commission for Women, Family and Demographic Policy under the President of the Republic of Kazakhstan	Assists the PMC and the Project team in gender mainstreaming in project activities. Participates in awareness - raising activities through the gender equality training. The Commission representative is a member of the PMC.	Gender is taken into account in the development of BR/NC, climate policies and mitigation and adaptation measures.

8NC project will cooperate with others ongoing projects which are presented below:

Cooperation in the field of mitigation of greenhouse gas emissions

The UNDP/GEF Project: Reduction of the investment risks in renewable energy

UNDP/GEF Project: Standards, certification and labelling of energy efficiency of electrical household appliances and equipment in Kazakhstan.

The UNDP/GEF Project: Sustainable cities for low-carbon development

Cooperation on climate change adaptation

GEF-UNDP Project: "Supporting sustainable land management in steppe and semi-arid zones through integrated territorial planning and agro-environmental incentives".

IsDB-UNDP: "Institutional Capacity Development and Awareness Rising on Irrigation and Drainage Networks in the South Kazakhstan"

Coca Cola – UNDP: "Integrated Dryland and Drought Management in South Kazakhstan regions"

Risks and assumptions

In accordance with UNDP standard requirements, the Project Manager will monitor risks on a quarterly basis and report the risks status to the UNDP Country Office. The UNDP Country Office will record progress in the UNDP ATLAS Risk Log. Risks will be recorded as critical with high impact and probability (for example, when the impact level is estimated at 4 or 5 and the probability is estimated at 3 or higher). Management's response to critical risks will also be recorded and monitored via UNDP management tools.

Risks	Rating	Risks reduction measures
Lack of understanding and/or support at the level of public decision-making	Medium	Participation of project experts in consultations and round tables with decision makers, preparation and dissemination of necessary explanatory notes, documents and results of analyses and assessments in formats that are understandable.
Insufficient data and/or poor quality of available data	Medium	Work with data suppliers and their involvement in the work of the project implementation team, creation and implementation of the National Inventory System of data quality control.
Reform of the ministries structure – national partners and, as a result, the change of work priorities – the weakening of attention to the Project	Low	Involvement of various stakeholders and ensuring their involvement in the consultation processes, search and work with potential partners interested in the project's outcomes. Responding to changes in public administration.
Misunderstanding of the requirements and provisions set out in the Guidelines for the preparation of NC and BR's.	Medium	Participation of project experts in consultations to clarify the correct application of the Guidelines

Gender equality and women's empowerment

Although the Government of Kazakhstan is taking steps to eliminate gender inequality (which will be briefly analyzed below), in practice the situation of women in Kazakhstan requires further improvement to ensure their full equality with men.

In 2017 the population at the end of the year amounted to 18 157 337 people, 51.6 percent of which were women. In rural areas 7 733 768 Kazakhs (or 42.6% of total population), 49.8% of which were female. Life expectancy at birth for women was 76.92 years, while for men it was 68.72 years. The average age of marriage was 25 years for women and 27.5 years for men.

Women are characterized by a lower level of economic activity – in 2017, 63.8 percent of women and 76.2 percent of men were economically active. The ratio of wages of women and men in 2017 was 67.8 percent (in 2006 – 60%).¹⁹ Women still account for more than 70 percent of employees in the health, education and social services sectors, while women’s representation in the financial and public sectors is just over half. Traditionally, these types of sectors are less profitable in comparison to “male” industries, such as construction, oil and gas, mining, transportation, etc.²⁰

The issue of economic empowerment of rural women, who lack access to community and public resources and services, remains relevant. According to national statistics, one in three rural women in Kazakhstan is self-employed and living on income from subsistence farming, which includes personal consumption. Income, which includes personal consumption, initially deprives women of the opportunity to invest in human capital to return to the real sector of the economy.²¹

According to the “Global Gender Gap Index” Report²², in Kazakhstan, the gender imbalance decreased from 0.693 to 0.712 (where 1.0 is lack of imbalance) between 2006 and 2018. At the same time, in the Global Ranking of the gender gap, Kazakhstan went down from 32 to 60 place, that, on the one hand, is due to the rating expansion (from 115 countries in 2006 to 149 countries in 2018), and the fact that in other countries there is more successful progress in the gender gap reduction. The strongest imbalance in Kazakhstan is in the area of political rights and opportunities (0.089 in 2006 and 0.130 in 2018), which includes three indicators: women in Parliament, women in Ministerial positions, the number of years with a woman at the Head of the country.

The Government of Kazakhstan has demonstrated its commitment to the principles and standards of gender equality by acceding to international Agreements²³ and adopting national policy and legislative instruments for the advancement of women.

In 2006, the National Commission for Family and Women and Demographic policy was established in Kazakhstan²⁴. It is a consultative and advisory body under the President of Kazakhstan for the most effective measures development to improve the situation of women, children and families, as well as to protect the interests of the family, to ensure the necessary

¹⁹ Statistical compilation “Women and Men of Kazakhstan” (2013 - 2017), Astana: Ministry of National Economy of the Republic of Kazakhstan, 2018.

²⁰ The concept of Family and Gender Policy in the Republic of Kazakhstan until 2030.

²¹ Ibid.

²² The Global Gender Gap Report 2018, World Economic Forum (http://www3.weforum.org/docs/WEF_GGGR_2018.pdf)

²³ Kazakhstan has ratified a number of fundamental international instruments, including the UN Convention on the Elimination of All Forms of Discrimination against Women (CEDAW), the Beijing Declaration and the Beijing Platform for Action, Convention on the Political Rights of Women, Convention on the Nationality of Married Women, Six Conventions of the International Labor Organization (ILO) and Sustainable Development Agenda 2030.

²⁴ Its history begins with the Council for Family, Women and Demographic Policy, which was established under the President of the Republic of Kazakhstan in 1995 and in 1998 was transformed into the National Commission for Family and Women under the President of the Republic of Kazakhstan.

conditions for women's participation in the political, social, economic and cultural life of the country. Similar structures were created under the akimats of regions, cities and districts.

In 2005, the Strategy for gender equality in the Republic of Kazakhstan for 2006-2016 was approved. This decree defined for the first time the Concept of Gender Equality at the legislative level ("equal access for women and men to resources and benefits regardless of gender in the performance of social functions"). The decree obliged state bodies directly subordinate and accountable to the President of Kazakhstan, central and local executive bodies to provide information on the implementation of the Strategy of the National Commission for Women and Family and Demographic policy, which in turn was to inform the Head of State annually.

In 2009, Kazakhstan adopted the law "On state guarantees of equal rights and equal opportunities of men and women"²⁵, which clarified the gender equality concept ("legal status ensuring equal rights and equal opportunities for men and women and real access to participation in political, economic, social and cultural spheres of life regardless of gender"). In particular, the law guarantees:

- 1) further improvement of the legislation of the Republic of Kazakhstan and adoption of measures to preserve the reproductive health of men and women, reduce mortality and reduce the gap between the average life expectancy of men and women;
- 2) ensuring equal conditions for men and women's access to all types of retraining and advanced training;
- 3) prevention of advantages at admission to study, except for the cases provided by the laws of the Republic of Kazakhstan;
- 4) prevention of advertising containing text, visual, sound information that violates the generally accepted norms of humanity and morality through the use of offensive words, comparisons, images with respect to gender;
- 5) gender education in accordance with the state policy on equal rights and equal opportunities for men and women.

In 2016, the President of the Republic of Kazakhstan approved²⁶ the Concept of Family and Gender Policy until 2030, the implementation of which is designed to ensure equality in the enjoyment of all rights regardless of gender and to prevent discrimination and gender asymmetry.

The effective principles set out in public policies and ratified international instruments will serve as guidance for project activities related to gender mainstreaming. For gender mainstreaming, the Project will coordinate its work with UN Women Agency, the National Commission for

²⁵ Law of the Republic of Kazakhstan dated December 8, 2009 No.223-IV.

²⁶ Decree of the President of Kazakhstan dated December 6, 2016 No.384.

Women and Family and Demographic policy under the President of Kazakhstan and will be guided by the following documents:

- Pocket Guidelines on Gender Equality under the UNFCCC;²⁷
- Guidance to advance gender equality in GEF Projects and Programmes.²⁸
- Gender Responsive National Communications Toolkit²⁹

Gender inequality can be a major obstacle to Kazakhstan's low-carbon development, as it significantly limits the productive capacity of half the population. In particular, rural women in Kazakhstan are engaged in household activities, manufacturing products (agriculture, fuel collection, water supply) and performing reproductive work (cooking, cleaning, childcare). Some of these activities, due to lack of access to clean and efficient energy sources, lead to increased greenhouse gas emissions.

In previous NC, gender mainstreaming issues were almost not addressed, which will be compensated for in the new NC by engaging a gender expert, raising awareness of stakeholders, conducting special trainings and reviews etc. During the inception phase project together with stakeholder will develop Gender analysis and on it basis Gender action plan and will be operating using this tool. This project will consider women not only as beneficiaries, but also participants in decision-making processes on the mitigation and adaptation issues. In all cases that can be viewed as a decision-making process, the participation of women will be at least 30 percent.

At the initial stage, the project will develop principles to ensure adequate participation of women and the public (NGOs) in project activities (within the framework of the public relations Strategy). In all project activities (surveys, consultations, trainings, forums, etc.), at least 30% of participants will be women. The project will also provide equal opportunities for women and men in an open competition to find experts: an expert of any gender will be able to apply for a job and be considered regardless of gender. As for the technical team involved in the incentive activities, a gender balance will also be observed.

In addition to collecting gender-disaggregated data for the Chapter on national circumstances, the relevant chapters of the NC and BR (in particular, under outcome 2 and outcome 3) will take into account the situation of women and their vulnerability to climate change. The different social roles and economic statuses of men and women influence and change the climate. In this sense, for this project, the Chapter on national circumstances will be revised from a gender perspective to better understand how the different roles of men and women in Kazakhstan and socio-economic conditions can affect the country's ability to reduce GHG emissions and adapt to climate change. These features will be taken into account by the project to develop appropriate mitigation and adaptation recommendations/measures, which will then be presented to decision makers. In addition, the project will make the gender equality component/principle an integral part of the NC/BR preparation process, which is expected to be integrated into the public

²⁷ <https://wedo.org/wp-content/uploads/2017/11/Final-Gender.pdf>

²⁸ http://www.thegef.org/sites/default/files/council-meeting-documents/EN_GEF.C.54.Inf_.05_Guidance_Gender_0.pdf

²⁹ <http://www.un-gsp.org/news/gender-responsive-national-communications-toolkit>

administration system of the Republic of Kazakhstan (formalized), and part of the decision-making processes on mitigation and adaptation.

Gender Analysis and Action plan will be completed during the Inception phase and annexed to the Inception report.

"South-South" Cooperation and Tripartite Cooperation (SSandTC)

The project will promote the principle of joint training and exchange of practical experience, build bridges between stakeholders and assist in building partnerships between stakeholders at the regional level. The project is one of many projects funded by the GEF and implemented by UNDP that support the implementation of commitments under the UNFCCC, the Kyoto Protocol and the Paris Agreement. UNDP, will facilitate the regular exchange of knowledge and information on the implementation of the promotional event "Development of the Eighth National Communication of the Republic of Kazakhstan under the UNFCCC and preparation of two (fourth and fifth) Biennial Reports" among related projects, as well as the systematic collection, analysis and dissemination of lessons learned.

Sustainability and replication

Sustainability: the project dates back and is activated by the Government of the Republic of Kazakhstan's commitment to fulfill its obligations under the UNFCCC, the Kyoto Protocol and the Paris Agreement. This project will support Kazakhstan's efforts in the transition to a low-carbon economy and achieve its nationally determined contribution – a 15 % reduction by 2030 compared to the basic level (1990), which is already enshrined in the country at the legislative level (the Concept of the transition of the Republic of Kazakhstan to the "Green Economy", the Concept of development of the fuel and energy complex until 2030, the Strategic plan of the Ministry of Energy for 2017-2021). In 2008, Kazakhstan carried out an inventory of GHG emissions and absorptions, since 2011 there is a mechanism for the quota's allocation for GHG emissions and trade in GHG emissions and carbon units.

The project will support relevant national agencies, taking into account their responsibilities and powers, through strengthening existing capacities in GHG inventory, reporting under the UNFCCC and taking into account the findings of the NC/BR at the level of Government decision-making. Thus, the project will provide long-term institutional and human capacity to implement policy changes focused on the mitigation and adaptation of the Kazakhstan's economy to climate change.

Potential for replication: as an outcome of the project, National Communications and Biennial Reports preparation process is expected to be formalized and integrated into the public administration system. Experts and organizations included in the national communication process will understand the roles and responsibilities of each participant in the national reporting system for the UNFCCC system. The system of knowledge distribution created by the project will

work for all project's participants, in matters of gender, development of civil society and the expert community. It is planned to create strong business and expert relations between all participants in the process.

IV. PROJECT OUTCOMES FRAMEWORK:

<p>This project will contribute to the following Sustainable Development Goals:</p> <p>13. Urgent action to combat climate change and its effects</p>	
<p>This project will contribute to the following country outcomes included in the UNDAF /Country Programme Document (2016 – 2020):</p> <p>Ecosystems and natural resources are protected and sustainably used, and human settlements are resilient to natural and man-made disasters and climate change</p>	
<p>This project will relate to the following outcomes of the UNDP Strategic Plan:</p> <p>UNDAF/Outcome of the UNDP Strategic Plan (2018–2021): Outcome 1: Advance poverty eradication in all its forms and dimensions</p> <p>Interim outcomes of the UNDP Strategic Plan (2018 – 2021): 1.1.1 Capacities developed across whole of government to integrate the 2030 Agenda, the Paris Agreement and other international agreements in development plans and budgets, and to analyse progress towards the SDGs, using innovative and data driven solutions</p>	

Project's Objective	Objective and Outcomes' Indicators	Baseline	End of project target	Data collection methods	Risks/Assumptions
<p>Project objective: Assist Kazakhstan in the preparation of two Biennial Reports (fourth</p>	<p>0.1. Indicator 1.1.1.1.B Country has development plans and budgets that integrate</p>	<p>Yes</p>	<p>Yes</p>	<p>UNFCCC National Communication (Report)</p>	

Project's Objective	Objective and Outcomes' Indicators	Baseline	End of project target	Data collection methods	Risks/Assumptions
and fifth) (BR) and the Eighth National Communication (8NC) for the implementation of reporting obligations under the UN Convention on climate change	international agreements across the whole-of-government: Paris Agreement				
	0.2 Number of direct project beneficiaries.	n/a	n/a	n/a	n/a
	0.3. The National Inventory System (NIS) has been brought into line with the IPCC 2006 guidelines, the inventory team's capacity has been strengthened to ensure the fully operational of the NIS	Kazakhstan's NIS has been translated into the 2006 IPCC guidelines in 2014-2015, but the methodology used needs to be revised and improved, and the inventory team needs additional training	The National Inventory System (NIS) has been brought into line with the IPCC 2006 guidelines, the inventory team's capacity has been strengthened to ensure the fully operational of the NIS	Reports	Risks: - Lack of understanding and/or support at the level of public decision-making - Insufficient data and/or poor quality of available data <i>Assumptions:</i> - Availability of statistical and other input data; - Political will and continued commitment to the obligations made under the UNFCCC,
	0.4. The fourth and fifth Biennial Reports (BR) and the Eighth National Communication	The preparation processes of BR and NC were not integrated into the system of public administration	The fourth and fifth BR and the Eighth NC were sent to the UNFCCC, the	Reports	

Project's Objective	Objective and Outcomes' Indicators	Baseline	End of project target	Data collection methods	Risks/Assumptions
	(NC) were sent to the UNFCCC, the preparation of BR and NC was a part of public administration and was taken into account in development planning		process of preparation of BR and NC was formalized, conclusions and recommendations, were taken into account in development planning		the Kyoto Protocol and the Paris Agreement – Interest, sufficient capacity and continuous involvement of stakeholders – Interagency coordination and cooperation
	0.5. Gender perspective was taken into account in the adoption and implementation of mitigation and adaptation policies and measures	Gender perspective was not taken into account in the adoption and implementation of mitigation and adaptation policies and measures	Gender perspective mainstreaming was enshrined as one of the principles of climate policy in Kazakhstan	Reports	
Component/ Outcome1: Strengthening coordination of the national GHG emissions and absorptions	1.1. National GHG inventory system has been reviewed/evaluated by international experts, resulting in revised	The methodology based on the 2006 IPCC guidelines was used but needs to be revised and improved	The methodology used for GHG inventory within the National GHG Inventory System has improved taking into account	Reports	Risks: – Insufficient data and/or poor quality of available data – Reform of the structure of the Ministry and as a

Project's Objective	Objective and Outcomes' Indicators	Baseline	End of project target	Data collection methods	Risks/Assumptions
inventory in accordance with international requirements of the Intergovernmental Panel on Climate Change (IPCC).	<p>methodology of the inventory</p> <p>1.2. Identification of the key inventory categories, emission factors were identified/re-assessed, methods selected, and data required in accordance with the 2006 IPCC recommendations for key thematic areas ((a) energy, (b) IPP, (c) waste, (d) agriculture , forestry and land use)) for the period of 2017 for BR4 and for 2019 for NC8 / DD5</p> <p>1.3. GHG inventory was updated and included in BR4, BR5 and NC8; NC8 includes a section on inventory Cadaster,</p>	<p>Key categories identified, emission factors were identified/re-assessed, methods were selected, and data were required in accordance with the 2006 IPCC recommendations for key thematic areas ((a) energy, (b) PPIP, (c) waste, (d) agriculture , forestry and land use)) for BR4 and for 2019 for NC8 / BR5</p>	<p>international experience</p> <p>Key categories, emission factors and methods were identified, and data collected for the period up to 2017 for BR4 and for the period up to 2019 for NC8/BR5.</p>	<p>Reports</p>	<p>result priority change of work</p> <ul style="list-style-type: none"> - weakening of attention to the subject of the Project <p>Assumptions:</p> <ul style="list-style-type: none"> - Availability of statistical and other input data; - Political will and continued commitment to the obligations made under the UNFCCC, the Kyoto Protocol and the Paris Agreement - Interest, sufficient capacity and continuous involvement of stakeholders - Interagency coordination and cooperation

Project's Objective	Objective and Outcomes' Indicators	Baseline	End of project target	Data collection methods	Risks/Assumptions
	<p>which is submitted to the reporting system of the UNFCCC in the CRF format (Common Reporting Format) in 2021.</p>		<p>for the period up to 2019 – BR5 and NC8 – 2021</p>		
<p>Outcome 2: Assistance in the development of chapters on national circumstances and policies and a measure to reduce GHG emissions as a basis for decision-making on climate policy</p>	<p>2.1. Changes in national circumstances have been identified and described (general and by sector, including gender-disaggregated data, when it is possible); gaps were identified, and relevant recommendations were prepared</p>	<p>Changes in national circumstances have been described as of 2015 (for some circumstances – for 2016) for NC7</p>	<p>Changes in national circumstances as of 2019 for NC8 were identified and described, the existing gender-disaggregated data was included in the description, gaps associated with missing data were identified, and recommendations were prepared that were sent to the National Project Director (Energy)</p>	<p>Reports, NC8</p>	<p>Risks:</p> <ul style="list-style-type: none"> - Lack of understanding and/or support at the level of public decision-making - Reform of the structure of the Ministry and as a result change of priorities of work – weakening of attention to the subject of the Project <p>Assumptions:</p> <ul style="list-style-type: none"> - Availability of statistical and other input data;

Project's Objective	Objective and Outcomes' Indicators	Baseline	End of project target	Data collection methods	Risks/Assumptions
	<p>2.2. A report on current, reviewed and planned policies and measures (both sectoral and intersectoral) affecting GHG emissions and absorption has been prepared; policies and measures affecting GHG emissions and removals were identified, analyzed and included in the report</p>	<p>A report on policies and measures has been prepared as of 2015 and was presented in BR3 and NC7.</p>	<p>Department) and stakeholders</p> <p>Policies and measures affecting GHG emissions and absorptions, as of 2017 and separately for 2019, have been identified and analyzed; the analysis was included as a separate chapter in BR4, BR5 and NC8</p>	<p>Reports, NC8</p>	<ul style="list-style-type: none"> - Political will and continued commitment to the obligations made under the UNFCCC, the Kyoto Protocol and the Paris Agreement - Interest, sufficient capacity and continuous involvement of stakeholders - Interagency coordination and cooperation

Project's Objective	Objective and Outcomes' Indicators	Baseline	End of project target	Data collection methods	Risks/Assumptions
	<p>2.3. Forecasts of the GHG emissions ("with measures" and "without measures" for the period up to 2050 have been prepared; analysis of the total effect of policies and measures implemented in the framework of NC7 was updated for BR4, BR5 and NC8, the results were transmitted to the decision makers</p>	<p>Forecasts of the GHG emissions ("with measures", "without measures" and "with additional measures") for the period up to 2050 have been prepared but need to be updated in connection with new data for the periods 2015-2016 and 2017-2018.</p>	<p>Forecasts of the GHG emissions have been updated on the base of new data for the period 2015-2016 (BR4) and for the period 2017-2018 (for BR5 and NC8)</p>	<p>Reports, BR4, BR5, NC8</p>	
<p>Outcome 3: Assistance in the development of vulnerability assessment and adaptation measures to enhance climate-</p>	<p>3.1. Climate modelling (using an ensemble of models) used to assess the impact of climate change has been improved; climate change</p>	<p>For climate projections, an ensemble of WMO-recommended models is used, projections were included in the NC7</p>	<p>Revised and validated climate change scenarios based on improved models and/or their ensemble were</p>	<p>Reports</p>	<p>Risks: - Lack of understanding and/or support at the level of public decision-making</p>

Project's Objective	Objective and Outcomes' Indicators	Baseline	End of project target	Data collection methods	Risks/Assumptions
sensitive prioritization and development in planning Kazakhstan	scenarios have been revised;	At present, national legislation largely does not contain policies and measures for adaptation to climate change.	included in the NC8	Reports	<ul style="list-style-type: none"> - Reform of the structure of the Ministry and as a result change of priorities of work – weakening of attention to the subject of the Project Assumptions: <ul style="list-style-type: none"> - Availability of statistical and other input data; - Political will and continued commitment to the obligations made under the UNFCCC, the Kyoto Protocol and the Paris Agreement - Interest, sufficient capacity and continuous involvement of stakeholders
	3.2. The integration of adaptation policies and measures into national legislation has been promoted		Recommendations on adaptation measures have been prepared and presented for consideration by decision makers for inclusion in legislative, strategic and policy documents		
	3.3. Barrier analyses on the lack of adaptation measures in vulnerable sectors is conducted;	Adaptation measures are generally underrepresented in economic sectors. It is necessary to analyze the barriers to identify the main obstacles for their further removal.	Develop barrier analyses and present it to the project partners and for the decision makers	Reports Interview Analyses	
Outcome 4: The project assistance helped Kazakhstan to fulfill its commitments under the	4.1. A review of climate research and systematic observations has been prepared, gaps and needs were	A review of research and systematic observations has been prepared for the period 2016 and has been presented in NC7, an	Reviews for the period to 2019 have been prepared for inclusion in BR4, NC8 and BR5 in	Reports	

Project's Objective	Objective and Outcomes' Indicators	Baseline	End of project target	Data collection methods	Risks/Assumptions
UNFCCC, namely to provide reporting in cycles BR4, 8NC and BR5.	identified; a review of assistance provided for capacity-building to developing countries has been prepared; and reviews were included in BR4, BR5 and NC8, which were prepared in accordance with the reporting cycles	overview of assistance provided to developing countries for the period 2015 in tabular format was included in BR3	accordance with the reporting cycles		-Interagency coordination and cooperation
	4.2. NC8 and Biennial Reports have been compiled and translated into English and Kazakh, approved by the Government and have been presented to the public.		BR4 (2019), NC8 (2021) и BR5 (2021) have been compiled, approved by the Government of RK, translated into English and transmitted to the UNDP; the biennial reports and the national communication were issued in	Reports	

Project's Objective	Objective and Outcomes' Indicators	Baseline	End of project target	Data collection methods	Risks/Assumptions
	<p>4.3. A public opinion survey on climate change was conducted at the beginning and at the end of the project; The PR campaign was developed and implemented.</p>	<p>In Kazakhstan similar surveys have not been conducted over the past 10 years.</p>	<p>Kazakh and Russian in hard copy.</p> <p>A public opinion survey on climate change was conducted at the beginning and at the end of the project; The PR campaign was developed and implemented: at least 50 publications and reports were published in Kazakhstan media, printed information and educational products were exempted</p>	<p>Reports</p>	

V. FINANCIAL PLANNING AND MANAGEMENT, TOTAL BUDGET AND WORK PLAN

The total cost of the project is *USD 1,768,768 USD*. This is financed through a GEF grant of *USD 852,000*, to be administered by UNDP and *USD 60,000* from *UNDP* and *USD 856,768 USD* in parallel co-financing. UNDP, as the GEF Implementing Agency, is responsible for the execution of the GEF resources and the cash co-financing transferred to UNDP bank account only.

Parallel co-financing: The actual realization of project co-financing will be monitored during implementation, and will be reported to the GEF. The planned parallel co-financing will be used as follows:

Co-financing source	Co-financing type	Co-financing amount	Planned Activities/Outputs	Risks	Risk Mitigation Measures
Government: Ministry of ecology, geology and natural resources (JSC Zhasyl Damy, RSE KazHydroMet)	In kind	856,768 USD	Zhasyl Damu : Workhours of GHG inventory team and coordinator, Support of the National GHG Emissions trading system, coordination of data flows and mechanisms of providing of data. Experts of Zhasyl Damu will support 8NC project by developing various legislative acts and inputs of national strategic documents aimed to enhance mitigation measures. Data provided by "Zhasyl Damu" will be used for GHG Forecasts and model calibration. This data will be extracted from the GHG database. KazHydroMet : Workhours of Kazhydromet staff, development of big data for the Climate CIMP modeling, Development of proposals for the legislations, coordination of the Hydromet	Low risk Counterparts may wish to cancel cooperation due to the reorganizing organizations. But Both organizations exist more than 50 years (each) – kaHydroMet and Zhasyl Damu (previously Kazakhstan Scientific research institute on ecology and climate and Kazakhstan Scientific research institute on Hydrometeorology). We expect that organization will stay "in business"	To co-financing being realized it is important include both organizations in the Project management committee and work in close cooperation with experts from those organizations

UNDP	In kind	60,000 USD	UNDP Kazakhstan will allocate 60 000 USD to the project as a parallel co-financial contribution from its internal in-line projects towards to the project.	Low risk	Communication with CO and Regional bureau to mitigate possible risks. Cooperation with in-line (climate change related) projects through joint activities and initiatives
		<i>dataflows. Coordination of the climate change monitoring system in the republic</i>		<i>and will contribute to the project.</i>	

The Project's number:	00106780	Atlas Primary Output Project ID:	00105577
Atlas Proposal or Award Title:	Development of Kazakhstan's Eighth National Communication and Preparation of Two (Fourth and Fifth) Biennial Reports to the UNFCCC		
Atlas Business unit	KAZ10		
Atlas Primary Output Project Title	8 National communication		
№ PIMS UNDP-GEF Implementing Partner	6263 Ministry of Ecology, geology and natural resource of the Republic of Kazakhstan		

GEF Component/ Atlas Event	Responsible Party	The Fund's number	The donor's name	Atlas Budget Account Code	ATLAS budget description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Total (USD)	See budget note:			
Outcome 1: Strengthening coordination of the national GHG emissions and absorptions inventory in accordance with international requirements of the Intergovernment al Panel on Climate Change (IPCC) (8NC, BR4, BR5)	UNDP / Ministry of Ecology, geology and natural resource of the Republic of Kazakhstan	62000	GEF	71200	International Consultants	17,000	17,000	35,000	17,000	86,000	1			
				71300	Local Consultants	7,200	8,500	8,500	7,000	31,200	2			
				71400	Contractual services – individuals	7,540	18,000	19,000	7,376	51,916	3			
				71600	Travel	1,000	2,000	1,500	2,500	7,000	4			
				72100	Contractual services - Companies	9,000	4,922	4,000	1,162	19,084	5			
				74200	Audio Visual&Print Prod Costs	5,000	3,500	4,000	3,000	15,500	6			
				74500	Miscellaneo us	1,000	1,000	1,000	1,500	4,500	7			
				75700	Training, Workshops and Conference	3,500	4,000	4,000	4,000	15,500	8			
								Sub-total GEF	51,240	58,922	77,000	43,538	230,700	
								Total Outcome 1					230,700	
OUTCOME 2: Assistance in the development of chapters on	UNDP / Ministry of Ecology, geology and natural	62000	GEF	71200	International Consultants	0	17,000	20,000	0	37,000	1			
				71300	Local Consultants	10,000	10,380	10,000	7,000	37,380	2			

GEF Component/ Atlas Event	Responsible Party	The Fund's number	The donor's name	Atlas Budget Account Code	ATLAS budget description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Total (USD)	See budget note:				
national circumstances and policies and a measure to reduce GHG emissions as a basis for decision-making on climate policy (8NC, BR4, BR5	resource of the Republic of Kazakhstan			71400	Contractual services – individuals	10,000	23,808	24,158	16,342	74,308	3				
				71600	Travel	2,000	3,500	3,500	3,500	12,500	4				
				72100	Contractual services - Companies	8,500	5,500	6,000	3,424	23,424	5				
				74200	Audio Visual&Print Prod Costs	3,000	8,000	9,000	3,610	23,610	6				
				74500	Miscellaneous	1,500	1,500	1,500	1,500	6,000	7				
				75700	Training, Workshops and Conference	7,000	12,000	12,000	12,000	43,000	8				
					Sub-total GEF	42,000	81,688	86,158	47,376	257,222					
					Total Outcome 2					257,222					
				OUTCOME 3: Assistance in the development of vulnerability assessment and adaptation measures to enhance climate- sensitive	UNDP / Ministry of Ecology, geology and natural resource of the Republic of Kazakhstan	62000	GEF	71200	International Consultants	0	0	18,000	0	18,000	1
								71300	Local Consultants	10,100	10,400	10,616	5,000	36,116	2
71400	Contractual services – individuals	6,484	16,400					17,264	1,500	41,648	3				
71600	Travel	1,000	1,000					1,000	1,000	4,000	4				

GEF Component/ Atlas Event	Responsible Party	The Fund's number	The donor's name	Atlas Budget Account Code	ATLAS budget description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Total (USD)	See budget note:
prioritization and development planning in Kazakhstan. (8NC)				72100	Contractual services - Companies	2,000	4,000	3,736	1,000	10,736	5
				74200	Audio Visual&Print Prod Costs	1,000	1,000	1,000	1,000	4,000	6
				74500	Miscellaneo us	500	500	562	500	2,062	7
				75700	Training, Workshops and Conference	1,000	3,000	3,000	1,000	8,000	8
					Sub-total GEF	22,084	36,300	55,178	11,000	124,562	
					Total Outcome 3					124,562	
					International Consultants	0	0	0	0	0	1
					Local Consultants	6,000	7,000	7,000	3,500	23,500	2
OUTCOME 4: Enabling activities for Knowledge Management and Monitoring & Evaluation (M&E) system development (8NC, BR4, BR5)	UNDP / Ministry of Ecology, geology and natural resource of the Republic of Kazakhstan	62000	GEF	71400	Contractual services – individuals	13,720	20,780	18,566	6,800	59,866	3
				71600	Travel	3,000	4,000	4,045	1,500	12,545	4
				72100	Contractual services - Companies	5,128	7,500	9,000	3,500	25,128	5
				74200	Audio Visual&Print Prod Costs	5,000	1,000	4,980	2,500	13,480	6

GEF Component/ Atlas Event	Responsible Party	The Fund's number	The donor's name	Atlas Budget Account Code	ATLAS budget description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Total (USD)	See budget note:			
				74500	Miscellaneous	800	1,000	1,000	1,000	3,800	7			
				74100	Professional services	0	0	3,000	1,500	4,500	15			
				75700	Training, Workshops and Conference	3,000	4,600	6,642	5,000	19,242	8			
					Sub-total GEF	36,648	45,880	54,233	25,300	162,061				
					Total Outcome 4					162,061				
PROJECT MANAGEMENT	UNDP	62000	GEF	71400	Contractual services - individual	3,500	3,500	3,500	3,500	14,000	16			
				72100	Contractual services - Companies	1,000	1,000	1,000	1,000	4,000	5			
				72800	IT Equipment	5,000	2,000	2,000	1,045	10,045	9			
				72400	Communicat ions	1,500	1,000	1,000	610	4,110	10			
				72500	Supplies	500	100	100	100	800	11			
				72200	Equipment and Furniture	1,000	2,000	1,000	1,000	5,000	12			
				73100	Rental & Maintenan ce-Premises	6,000	4,000	4,000	1,500	15,500	14			

GEF Component/ Atlas Event	Responsible Party	The Fund's number	The donor's name	Atlas Budget Account Code	ATLAS budget description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Amount Year 4 (USD)	Total (USD)	See budget note:
				74596	Direct project costs	6,000	6,000	6,000	6,000	24,000	13
					Sub-total	24,500	19,600	18,600	14,755	77,455	
					Total project management					77,455	
Total Project						176,472	242,390	291,169	141,969	852,000	

Funding Overview:

	Amount of 2019 (USD) (June - December)	Amount of 2020 (USD)	Amount of 2021 (USD)	Amount of 2022 (USD) (January - July)	Total
GEF	176,472	242,390	291,169	141,969	852,000
UNDP (in parallel)	10,000	20,000	20,000	10,000	60,000
Government (in-kind contribution)	160,684	240,042	256,042	200,000	856,768
TOTAL	347,156	502,432	567,211	351,969	1,768,768

Budget notes:

1. The project will take on hire the international experts in different technical areas of the project: International experts will cover the following sectors: inventory of greenhouse gas emissions, modelling of greenhouse gas emissions and absorptions, modelling in the adaptation and vulnerability sector;
2. The project will employ a large number of national experts on the basis of individual contracts for the preparation of the BR and NC sections and individual studies of the country's capacity development.
3. The cost for 2 thematic experts employed on a full-time basis under a service contract in accordance with the UNDP-approved payment scale for Kazakhstan (SB3 Peg 3 for the thematic experts). The amount paid under these contracts is divided into all four components and corresponds to required tasks. This cost includes also a part of PM salary related to the technical tasks (included in PM's ToR).

4. Budget travel expenses. Kazakhstan has a huge distance between the cities. Some of the experts are and participants of the consultation live in other cities. Mainly in Nur-Sultan (former Astana) (where the project is located) and Almaty. Project is planning to organize at least 12 meetings (conferences, workshops, technical consultations etc.) with participation of the total 100 experts. Additionally, project team will participate in the national and international meetings, relevant to the project.
5. This item includes the costs of service contracts for domestic and international companies, including the involvement of some international experts under Agreement on the secondment of employees with reimbursement. National NGO's, service providers, Academia, translation companies, printing services, PR companies will be involved in the work of the project and will provide services to the project (e.g. translations of the NC, BR's, Technical reports, creation of the analytical reports, questionnaires', development researches etc.).
6. This item includes the costs of production and distribution of electronic and printed publications and promotion of materials, audiovisual products in all major areas of project activities;
7. Unforeseen expenses during the project implementation;
8. Numerous workshops national and international, with technical and political contexts, will be carried out during the project implementation. Each of the sections of the project material should be widely discussed with experts and NGOs.
9. This item includes costs for two-three computer workstations and a local network, copying equipment, etc. Project may have an opportunity to use some of the UNDP equipment at a reduced or zero cost, in the offices where the project will be located.
10. This item includes costs to ensure communication between the project and the project staff. The office will be equipped with telephone and Internet connection. This amount will cover basic communication services such as wired phones but will not cover mobile costs. The project may have an opportunity to use some of the UNDP equipment at a reduced or zero cost, in the offices where the project will be located.
11. UNDP will provide office supplies and stationery on a quarterly basis, as required.
12. Project team will purchase some furniture for the project team and experts. Some of the furniture from the previous project will be used by Project team. For the newcomers project will create a workspace.
13. Direct Project Costs: for services rendered by UNDP to the project, according to the Letter of Agreement (Annex F) are the costs of administrative services (such as those related to human resources, procurement, finance, and other functions) provided by UNDP in relation to the project. Direct project costs will be charged based on the UNDP Universal Price List or the actual corresponding service cost, in line with the GEF rules on DPCs. The amounts indicated here are estimations. DPCs will be detailed as part of the annual project operational planning process and included in the yearly budgets. DPC costs can only be used for operational cost per transaction. DPCs are not a flat fee.

14. The project will rent an office together with other UNDP projects in order to maximize resource savings.
15. The Audit will be conducted in accordance with UNDP Financial Regulations and Rules and applicable audit policies on UNDP projects.
16. PMU cost, consisting of Project manager and Project Assistant, in accordance with the UNDP-approved payment scale for Kazakhstan (SB4 Peg 1 for the Project Manager, SB2 Peg 3 for the Project Assistant)

Budget Revision and Tolerance: As per UNDP requirements outlined in the UNDP POPP, the project board will agree on a budget tolerance level for each plan under the overall annual work plan allowing the project manager to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the Project Board. Should the following deviations occur, the Project Manager and UNDP Country Office will seek the approval of the UNDP-GEF team as these are considered major amendments by the GEF: a) Budget re-allocations among components in the project with amounts involving 10% of the total project grant or more; b) Introduction of new budget items/or components that exceed 5% of original GEF allocation.

Any over expenditure incurred beyond the available GEF grant amount will be absorbed by non-GEF resources (e.g. UNDP TRAC or cash co-financing).

Refund to Donor: Should a refund of unspent funds to the GEF be necessary, this will be managed directly by the UNDP-GEF Unit in New York.

Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP.³⁰ On an exceptional basis only, a no-cost extension beyond the initial duration of the project will be sought from in-country UNDP colleagues and then the UNDP-GEF Executive Coordinator.

Operational completion: The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Terminal Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-project review Project Board meeting. The Implementing Partner through a Project Board decision will notify the UNDP Country Office when operational closure has been completed. At this

³⁰ see <https://info.undp.org/global/ppm/ppm/Pages/Closing-a-Project.aspx>

time, the relevant parties will have already agreed and confirmed in writing on the arrangements for the disposal of any equipment that is still the property of UNDP.

Transfer or disposal of assets: In consultation with the NIM Implementing Partner and other parties of the project, UNDP programme manager (UNDP Resident Representative) is responsible for deciding on the transfer or other disposal of assets. Transfer or disposal of assets is recommended to be reviewed and endorsed by the project board following UNDP rules and regulations. Assets may be transferred to the government for project activities managed by a national institution at any time during the life of a project. In all cases of transfer, a transfer document must be prepared and kept on file³¹.

Financial completion: The project will be financially closed when the following conditions have been met: a) The project is operationally completed or has been cancelled; b) The Implementing Partner has reported all financial transactions to UNDP; c) UNDP has closed the accounts for the project; d) UNDP and the Implementing Partner have certified a final Combined Delivery Report (which serves as final budget revision).

The project will be financially completed within 12 months of operational closure or after the date of cancellation. Between operational and financial closure, the implementing partner will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the UNDP-GEF Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

³¹ See

https://popp.undp.org/lavouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PPM_Project%20Management_Closing.docx&action=default.

VI. MANAGEMENT AND ORGANIZATION STRUCTURE

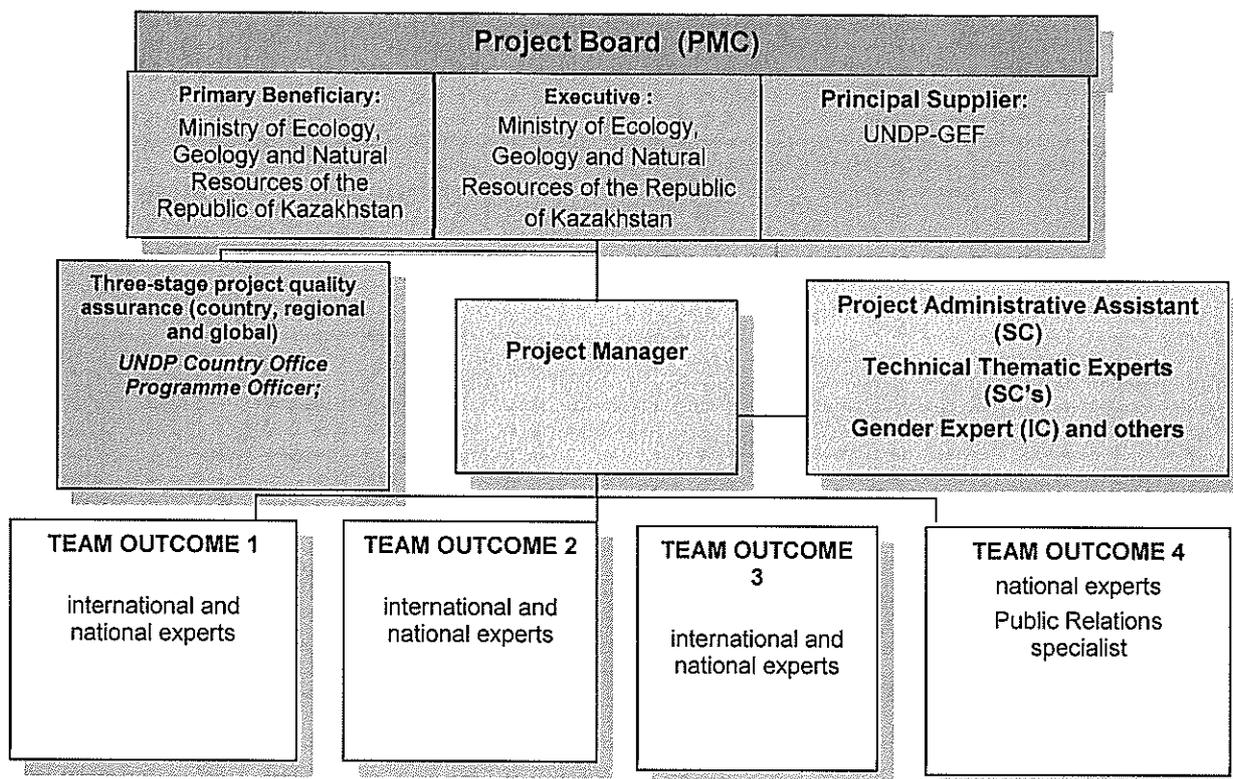
Roles and responsibilities of the project management mechanism: the project will be implemented by the UNDP National Implementation Modality (support to NIM) in accordance with the Standard Basic Support Agreement between UNDP and the Government of Kazakhstan and the Country Programme Document. The organizational structure of the project is shown in Figure 1.

The Implementing Partner of this project is the Ministry of Ecology, geology and natural resource of the Republic of Kazakhstan. The Implementing Partner is responsible and accountable for managing this project, including monitoring and evaluating project activities, achieving project outcomes and using UNDP resources efficiently.

The Implementing partner is responsible for:

- Approval and signing of annual work plans;
- Approval and signing of a consolidated performance report at the end of the year;
- Signing a financial report or authorization for funding and statement of expenses.

The project organisation structure is as follows:



The Project Board (PMC) is responsible for making, by consensus, management decisions when the Project Manager requires guidance, including recommendations to the UNDP/Ministry of Energy for making plans and revising the project. To ensure maximum UNDP accountability, decisions of the Project Board should be made in accordance with the standards that ensure results management, the best value for money, fairness, integrity, transparency and effective international competition. In cases where consensus within the PMC cannot be reached, the final decision rests with the UNDP Programme Manager.

The PMC will include representatives from the Ministry of Ecology, geology and natural resource of the Republic of Kazakhstan as the Implementing Partner and Primary Beneficiary and UNDP as the Principal Supplier. As required, it will also include key national governmental and non-governmental institutions. Independent third parties, such as international organizations or national NGOs, may attend meetings of the Project Board as observers. The Project Board will be balanced in terms of gender representation.

The PMC will be responsible for making management decisions for the project, in particular when the Project Manager (PM) needs guidance. The PMC will play a crucial role in monitoring and evaluating the project, ensuring the quality of these processes and related products, as well as using the results of the assessment to improve performance, accountability and professional development. The PMC will provide the necessary resources. It will also make decisions on any conflicts that have arisen within the project, and coordinate solutions on any problems that have arisen with external parties. In cases where consensus within the PMC cannot be reached, the final decision remains with UNDP. Evaluation of the project by the PMC will be carried out within certain deadlines set for decision-making during project implementation (at least once a year) or as needed, at the request of the PM. In addition, it will approve the appointment and responsibilities of the PM and any transfer of its authority to ensure the quality of the project. Based on the approved annual work plan, the PMC may also review and approve the annual plan, as well as approve changes to the original plans. As noted above, to ensure maximum UNDP accountability, PMC decisions should be made in accordance with standards³² that ensure the best value for money, fairness, integrity, transparency, and effective international competition. Potential members of the PMC will be considered and will be recommended for approval during the meeting of the Project Evaluation Committee (PEC). The terms of reference of the PMC are contained in Annex D.

The Executive: The Implementing partner is an individual who represents ownership of the project who will chair the Project Board. This role can be held by a representative from the Government Cooperating Agency or UNDP. The Executive is: Head of the Climate Policy and green technology department of the Ministry of Ecology, geology and natural resource of the Republic of Kazakhstan.

³² Financial Rules and Regulations: Chapter D, Regulation 16.05: a) management, when establishing institutions according to harmonized methods, or organizing implementing partners, using resources received from or through UNDP, must comply with their financial regulations, rules, methods and procedures only to the extent that they do not conflict with the principles of the UNDP Financial Regulations and Rules; and b) where financial regulation by the The Implementing Partner, according to harmonized methods, or the implementing partner, fails to provide adequate guidance to ensure optimal expenditure of funds, fairness, integrity, transparency, and effective international competition as applicable by UNDP.

The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher level outcomes. The executive has to ensure that the project gives value for money, ensuring cost-conscious approach to the project, balancing the demands of beneficiary and supplier.

Specific Responsibilities: (as part of the above responsibilities for the Project Board)

- Ensure that there is a coherent project organization structure and logical set of plans;
- Set tolerances in the AWP and other plans as required for the Project Manager;
- Monitor and control the progress of the project at a strategic level;
- Ensure that risks are being tracked and mitigated as effectively as possible;
- Brief relevant stakeholders about project progress;
- Organise and chair Project Board meetings.

Senior Supplier: The Senior Supplier is an individual or group representing the interests of the parties concerned which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project. The Senior Supplier role must have the authority to commit or acquire supplier resources required. The Senior Supplier is: UNDP.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Make sure that progress towards the outputs remains consistent from the supplier perspective;
- Promote and maintain focus on the expected project output(s) from the point of view of supplier management;
- Ensure that the supplier resources required for the project are made available;
- Contribute supplier opinions on Project Board decisions on whether to implement recommendations on proposed changes;
- Arbitrate on, and ensure resolution of, any supplier priority or resource conflicts.

Senior Beneficiary: The Senior Beneficiary is an individual or group of individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board is to ensure the realization of project results from the perspective of project beneficiaries. The Senior Beneficiary role is held by a representative of the government or civil society. The Senior Beneficiary is: The Ministry of Ecology, geology and natural resource of the Republic of Kazakhstan.

The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. The Senior Beneficiary role monitors progress against targets and quality criteria. This role may require more than one person to cover all the beneficiary interests. For the sake of effectiveness, the role should not be split between too many people.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

- Prioritize and contribute beneficiaries' opinions on Project Board decisions on whether to implement recommendations on proposed changes;
- Specification of the Beneficiary's needs is accurate, complete and unambiguous;
- Implementation of activities at all stages is monitored to ensure that they will meet the beneficiary's needs and are progressing towards that target;
- Impact of potential changes is evaluated from the beneficiary point of view;
- Risks to the beneficiaries are frequently monitored.

Other beneficiaries of the project:

Ministry of Energy, Ministry of Agriculture, Committee for Emergency Situations, Zhasyl Damu JSC, National Commission for Women, Family and Demographic Policy under the President of the Republic of Kazakhstan and other central authorities, local authorities in rural areas and local communities, as well as RSE "Kazhydromet", Nazarbayev University, EcoForum NGOs of Kazakhstan and other stakeholders will benefit from the project outcomes through the opportunity to participate in decision-making processes and monitor progress. In addition, all interested parties will receive appropriate training at seminars and trainings. They will receive information through events and communication channels planned as part of the information campaign of the Project, and will also benefit from improved environments at central, regional and local levels.

The Project Manager will manage the project on a daily basis on behalf of the PMC within the limitations set by the PMC. The Project Manager is responsible for the daily management and decision making of the project. The main responsibility of the Project Manager is to ensure that the project achieves the results specified in the project document, in accordance with the required quality standard and within the specified time and cost limits.

The functions of the Project Manager will be completed when the final 'End of project report' on the completion of the project, as well as other documentation required by GEF and UNDP, will be completed and submitted to UNDP (including the operational closure of the project).

Project Mitigation/Adaptation Experts will assist the project in preparing the heads of the National Communication and Biennial Reports in full compliance with the requirements of the guidelines and instructions of the UNFCCC. Experts will lead teams of national and international experts to create national reporting articles. They will provide expert support to national efforts to combat climate change and adapt to it. National experts, under the leadership of technical project experts, will prepare the necessary studies and reviews for the preparation of the chapters of the National Communication and the Biennial Reports. Each of the project experts will work on two components of the project.

The components will be combined according to the principle "Outcome 1. Strengthening the coordination of the national inventory of GHG emissions and removals in accordance with the international requirements of the Intergovernmental Panel on Climate Change (IPCC)" and

“Outcome 2. Assistance in developing chapters on national circumstances and policies and measures to reduce GHG emissions as a basis for decision-making on climate policy” will be supervised by the Project Mitigation Expert. Project Adaptation Expert will oversee components 3 and 4: “Assistance in the development of a vulnerability assessment and adaptation measures to strengthen prioritization and planning for development in Kazakhstan taking into account climate conditions” and “Incentives for the development of knowledge management and monitoring and evaluation”.

Project Quality Assurance. The project support role at the country level will be implemented by the UNDP Country Office, which will support the PMC and the Project Management Unit by performing objective and independent functions of controlling, supervising and monitoring the project. As required, the UNDP Regional Technical Advisor will provide additional quality assurance. Project Quality Assurance should be completely independent of the project management function. The PMC cannot delegate any of its responsibilities to ensure the quality of the project to the Project Manager. The supervision and quality assurance of this project is provided by the GEF Agency.

UNDP direct project services requested by the Government: UNDP, as the GEF Agency for this project, will provide management project cycle services as required by the GEF Council. In addition, the Government of Kazakhstan may request direct UNDP services for specific projects in accordance with its policy and need. UNDP and the Government of Kazakhstan recognize and agree that these services are not mandatory and will be provided only at the request of the Government. If requested, the services will comply with the UNDP direct cost recovery policy. These services (and their costs) are indicated in the Letter of Agreement. According to the requirements of the GEF Council, these costs will be defined as the costs of project management, properly defined in the project budget as direct project costs. The corresponding direct project costs should not be charged as a fixed percentage. They should be calculated on the basis of estimated actual costs or transaction costs and should be charged to the codes of the direct costs project: "64397 - Services for projects - employees of CO" and "74596 - Services for GOE projects for CO".

Agreement on intellectual property rights and the use of the logo on the project outcomes and disclosure: in order to properly express appreciation to the GEF for providing grant funding, the GEF logo will be displayed along with the UNDP logo on all promotional materials, other written materials, such as publications, developed within the framework of the project, as well as project engineering. Any references to publications regarding projects funded by the GEF will also express due appreciation to the GEF. The information will be disclosed in accordance with relevant policies, in particular the UNDP disclosure of information and the GEF policy on public participation.

Project Management: The Project Team (PT) will consist of key personnel, including the Project Manager (PM), the Project Assistant for Administrative and Financial Affairs and two thematic experts on mitigation and adaptation. The PM will be hired in accordance with UNDP rules to manage the actual implementation of the project and will be based in Astana. The PM will be responsible for the overall coordination and implementation of the project, the consolidation of work plans and project documents, the preparation of quarterly progress reports, reporting to

the project supervisory authorities, and overseeing the work of experts and other project workers. The PM will also closely coordinate project activities with relevant government agencies and conduct regular consultations with other stakeholders and project partners. Under the direct supervision of the PM, the Project Assistant will be responsible for administrative and financial matters and will receive assistance from the UNDP CO. The Technical Advisor on Climate Policy, under the direct supervision of the PM, will be responsible for the activities promoting the project's results and recommendations to the state planning level within Results 1-3. A public relations specialist, a gender expert, as well as group leaders and thematic experts within results 1-4, will assist the PM ~~MP~~, as appropriate, in implementing relevant thematic project activities based on their professional experience (preliminary ToR for project's key employees are presented in Annex D). The PM will be responsible for the timely results of the consultants' work and their contribution to the overall project outcomes.

It is expected that the project office will be located in Nur-Sultan city. No other offices are expected, but project staff will travel as needed. Consultants and national partners will also support the project's presence outside Nur - Sultan.

VII. MONITORING AND EVALUATION PLAN (M&E)

Project outcomes, as indicated in the project outcomes framework, will be monitored annually and periodically evaluated during project implementation to ensure that the project effectively achieves these outcomes.

Monitoring and evaluation at the project level will be conducted in accordance with UNDP requirements set forth in the UNDP POPP and UNDP Evaluation Policy. Although these UNDP requirements are not outlined in this Project Document, the UNDP Country Office will work with relevant project stakeholders to ensure timely implementation of UNDP M&E requirements and compliance with high quality standards. Additional mandatory GEF-specific M&E requirements (as set forth below) will be fulfilled in accordance with the GEF M&E policy and other relevant GEF policies³³.

In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities that are deemed necessary to support responsive management at the project level will be agreed at the Project Inception Workshop and will be described in detail in the Inception Report. This will include the specific role of project task forces and other stakeholders in project's M&E activities, including the GEF National Coordinator (NC) and national/regional institutions designated for project monitoring. GEF NC will seek to ensure consistency in the approach adopted to the specific GEF M&E requirements in all GEF-funded projects in the country.

Aside from the mandatory monitoring and evaluation requirements of UNDP and the GEF, other monitoring and evaluation activities that are deemed necessary to support responsive management at the project level will be agreed upon during the Inception Workshop and will be described in detail in the Inception Report. This will include the precise functions of the project task forces and other project participants in the monitoring and evaluation activities of the project, including the GEF National Coordinator (NC) and national/regional institutions whose task is to monitor the implementation of the project.

Monitoring and evaluation oversight and monitoring responsibilities

Project Manager: The Project Manager is responsible for the day-to-day project management and regular monitoring of project outcomes and risks, including social and environmental risks. The Project Manager ensures that all project staff maintain a high level of transparency, responsibility and accountability in M&E and reporting on project outcomes. The Project Manager will inform the Project Board, the UNDP Country Office and the UNDP-GEF Regional Technical Advisor of any delays or difficulties encountered during implementation to take appropriate support and remedial measures.

The Project Manager will develop annual work plans based on the multi-year work plan included in Annex B, which includes annual targets to support effective project implementation. The

³³ See https://www.thegef.org/gef/policies_guidelines

Project Manager will ensure high-quality compliance with the standard UNDP and GEF M&E requirements. This includes, but is not limited to, ensuring that annual monitoring of structural performance indicators and referral to the UNDP Country Office for registration in UNDP web monitoring tools, as well as monitoring risks and developing various plans/strategies to support project implementation (for example, gender strategy, knowledge management strategy etc.).

Project Board : The Project Board takes corrective measures, if necessary, so that the project achieves the desired results. The Project Board will conduct project reviews to evaluate the effectiveness of project implementation and an evaluation of the Annual Work Plan for the next year. In the last year of the project, the Project Board will carry out a final review in order to capture the lessons learned and discuss the possibilities for replicating and demonstrating the project outcomes and lessons learned with an appropriate audience. This final review meeting will also discuss the findings presented in the 'Project Completion Report'.

Implementing Partner of the project: The Implementing Partner of the project is responsible for providing any necessary information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as appropriate. The Implementing Partner of the project will strive to ensure that monitoring and evaluation at the project level are carried out by national institutions and are aligned with the national systems in such a way that the data used and generated by the project supports the national systems.

UNDP Country Office: UNDP Country Office will support the Project Manager as needed, including through annual oversight missions. Annual oversight missions will be conducted in accordance with the schedule outlined in the annual work plan. Reports from the oversight mission will be sent to the project team and the Project Board within one month after the mission. The UNDP Country Office will initiate and organize key GEF M&E activities. The UNDP Country Office will also ensure high-quality compliance with UNDP and GEF standard M&E requirements.

The UNDP Country Office is responsible for complying with all monitoring and evaluation requirements at the UNDP level, as stated in UNDP POPP (The UNDP Programme and Operations Policies and Procedures). This includes: ensuring the annual conduct of the UNDP Quality Assurance Assessment; ensuring that annual target indicators are developed, monitored and reported using UNDP corporate systems; regular updating of the ATLAS risk register; and providing UNDP gender markers on an annual basis, taking into account progress on gender mainstreaming, as reported in UNDP ROAR. Any quality problems noted during these M&E activities should be addressed by the UNDP Country Office and the Project Manager.

The UNDP country office will keep all M&E records for this project for seven years after the financial closure of the project to support subsequent evaluations by the Independent Evaluation Office (IEO) of UNDP and/or the Independent Evaluation Office (IEO) of the GEF.

UNDP-GEF Unit: Additional M&E, quality assurance and troubleshooting support will be provided by the UNDP-GEF Regional Technical Advisor and the UNDP-GEF Directorate as needed.

Audit: A project audit will be conducted in accordance with the UNDP Financial Regulations and Rules and the applicable audit policy for projects under the National Execution Mechanism³⁴.

Additional GEF requirements for monitoring and reporting:

- a) **Inception Workshop and Inception Report:** The Project Inception workshop will be held within two months after all relevant parties sign the project document, including for the following purposes:
- Re-orient the project stakeholders to the project strategy and discuss any changes in the overall context that affect the strategy and implementation of the project;
 - Discuss the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms;
 - Review the results structure and refine the indicators, controls and monitoring plan;
 - Discuss the roles and responsibilities for reporting, monitoring and evaluation, and finalize the M&E budget; identify national/regional institutions for participation in M&E at the project level; discuss the role of the National Coordinator in M&E;
 - Update and revise responsibilities for monitoring various project plans and strategies, including the risk register, the Environmental and Social Management Plan and other protection requirements, gender strategy, knowledge management strategy and other relevant strategies;
 - Verify financial reporting procedures and mandatory requirements, and agree on an audit procedure; and
 - Plan and schedule meetings for the Project Board and finalize the annual work plan for the first year.

The Project Manager will prepare the Inception Report (IR) no later than one month after the Inception Workshop. The IR will be prepared in one of the official languages of the UN, duly signed by the nominated persons, approved by the UNDP Country Office and the Regional Technical Advisor, and will be approved by the Project Board.

- b) **Annual progress:** Status Survey Questionnaires to determine progress and identify difficulties as well as technical support needs will be conducted once a year in accordance with the reporting requirements of the GEF and UNFCCC for NC and BR.

Lessons learned and knowledge gained: Project outcomes will be disseminated within and outside the project's sphere of influence through existing information exchange networks and forums. The project will identify and, if necessary, participate in scientific networks, policy development networks and/or any other networks that may be useful for the project. The project will identify, analyze and share lessons learned that may be useful for the development and implementation of similar projects, and widely disseminate these lessons. Between this project and other similar projects there will be a

³⁴ To see the guide use the link: <https://info.undp.org/global/popp/frm/pages/financial-management-and-execution-modalities.aspx>

constant exchange of information within one country and beyond - within the region or around the world.

- c) **Project Completion:** During the last three months, the project team will prepare a Project Completion Report (Annex J). This comprehensive report will summarize the results achieved (goals, outcomes, results), lessons learned, problems encountered by the project, and areas in which results may not be achieved. It will also provide recommendations for any further steps that may need to be taken to ensure the sustainability and replicability of project outcomes. The final project report should be discussed with the Project Board during the final project review meeting to discuss lessons learned and opportunities for replication.

Table: M&E work plan and budget

GEF monitoring and evaluation requirements	Primary responsibility	Estimated costs that should be referred to the Project Budget ³⁵ (USD)		Time-frame
		The GEF grant	Co-financing	
Inception workshop	UNDP Country Office	11,250 USD		Within two months from the date of signing the Project Document
Inception report	Project Manager	No	No	Within two weeks of the inception workshop
UNDP standard monitoring and reporting requirements specified in UNDP POPP	UNDP Country Office	No	No	Quarterly, annually
Monitoring of indicators in the results framework of the project	Project Manager	<i>Per year: 2,750 USD Total: 8,250 USD</i>		Annually

³⁵ Not including the working time of the project team personnel and travel expenses.

GEF monitoring and evaluation requirements	Primary responsibility	Estimated costs that should be referred to the Project Budget ³⁵ (USD)		Time-frame
		The GEF grant	Co-financing	
NIM audit in accordance with UNDP audit policy	UNDP Country Office	4500 Once in a lifetime of project		Annually or with a different frequency in accordance with the UNDP Audit Policy
Gained experience and knowledge generation	Project Manager			Annually
Environmental and social risk monitoring and related management plans, if applicable	Project Manager, UNDP Country Office	No		Constantly
Addressing environmental and social issues	Project Manager UNDP Country Office UNDP Policy and Program Support Bureau, as appropriate	No		
The meeting of the Project Board	Project Board , UNDP Country Office, Project Manager	N/A		At least once a year
Supervision mission	UNDP Country Office	No ³⁶		Annually
Review mission	UNDP-GEF team	No ³⁷		Elimination of errors in the work as necessary
Knowledge management	Project Manager	No		Constantly

³⁶ UNDP Country Office costs and UNDP-GEF team participation and time are referred to the GEF Agency Commission.

³⁷ UNDP Country Office costs and UNDP-GEF team participation and time are referred to the GEF Agency Commission.

GEF monitoring and evaluation requirements	Primary responsibility	Estimated costs that should be referred to the Project Budget ³⁵ (USD)		Time-frame
		The GEF grant	Co-financing	
Training missions/field visits of the GEF Secretariat	UNDP Country Office, Project Manager and UNDP-GEF team	No		Will be clarified later
Project Final Report	Project Manager and Commander, UNDP Country Office			At least three months before the end of the project
TOTAL estimated costs Not including project team staff time and UNDP staff and travel costs		24,000 USD		

VIII. LEGAL CONTEXT

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of Kazakhstan and UNDP, signed on October 4, 1994. All references in the SBAA to "Executing Agency" shall be deemed to refer to "Implementing Partner."

This project will be implemented by Ministry of Ecology, geology and natural resource of the Republic of Kazakhstan ("Implementing Partner") in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

IX. RISKS MANAGEMENT

1. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:
 - a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
 - b) assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan.
2. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner's obligations under this Project Document.
3. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml.
4. The Implementing Partner acknowledges and agrees that UNDP will not tolerate sexual harassment and sexual exploitation and abuse of anyone by the Implementing Partner, and each of its responsible parties, their respective sub-recipients and other entities involved in Project implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Document.
 - (a) In the implementation of the activities under this Project Document, the Implementing Partner, and each of its sub-parties referred to above, shall comply with the standards of conduct set forth in the Secretary General's Bulletin ST/SGB/2003/13 of 9 October 2003, concerning "Special measures for protection from sexual exploitation and sexual abuse" ("SEA").
 - (b) Moreover, and without limitation to the application of other regulations, rules, policies and procedures bearing upon the performance of the activities under this Project Document, in the implementation of activities, the Implementing Partner, and each of its sub-parties referred to above, shall not engage in any form of sexual harassment ("SH"). SH is defined as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment.
5. a) In the performance of the activities under this Project Document, the Implementing Partner shall (with respect to its own activities), and shall require from its sub-parties referred to in paragraph 4 (with respect to their activities) that they, have minimum standards and procedures in place, or a plan to develop and/or improve such standards and procedures in order to be able to take effective

preventive and investigative action. These should include: policies on sexual harassment and sexual exploitation and abuse; policies on whistleblowing/protection against retaliation; and complaints, disciplinary and investigative mechanisms. In line with this, the Implementing Partner will and will require that such sub-parties will take all appropriate measures to:

- i. Prevent its employees, agents or any other persons engaged to perform any services under this Project Document, from engaging in SH or SEA;
 - ii. Offer employees and associated personnel training on prevention and response to SH and SEA, where the Implementing Partner and its sub-parties referred to in paragraph 4 have not put in place its own training regarding the prevention of SH and SEA, the Implementing Partner and its sub-parties may use the training material available at UNDP;
 - iii. Report and monitor allegations of SH and SEA of which the Implementing Partner and its sub-parties referred to in paragraph 4 have been informed or have otherwise become aware, and status thereof;
 - iv. Refer victims/survivors of SH and SEA to safe and confidential victim assistance; and
 - v. Promptly and confidentially record and investigate any allegations credible enough to warrant an investigation of SH or SEA. The Implementing Partner shall advise UNDP of any such allegations received and investigations being conducted by itself or any of its sub-parties referred to in paragraph 4 with respect to their activities under the Project Document, and shall keep UNDP informed during the investigation by it or any of such sub-parties, to the extent that such notification (i) does not jeopardize the conduct of the investigation, including but not limited to the safety or security of persons, and/or (ii) is not in contravention of any laws applicable to it. Following the investigation, the Implementing Partner shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.
- b) The Implementing Partner shall establish that it has complied with the foregoing, to the satisfaction of UNDP, when requested by UNDP or any party acting on its behalf to provide such confirmation. Failure of the Implementing Partner, and each of its sub-parties referred to in paragraph 4, to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.
6. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
 7. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
 8. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental

Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

9. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using UNDP funds. The Implementing Partner will ensure that its financial management, anti-corruption and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
10. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.
11. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes in accordance with UNDP's regulations, rules, policies and procedures. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', responsible parties', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with the Implementing Partner to find a solution.
12. The signatories to this Project Document will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

13. UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail the Implementing Partner's obligations under this Project Document.

Where such funds have not been refunded to UNDP, the Implementing Partner agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to the Implementing Partner for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

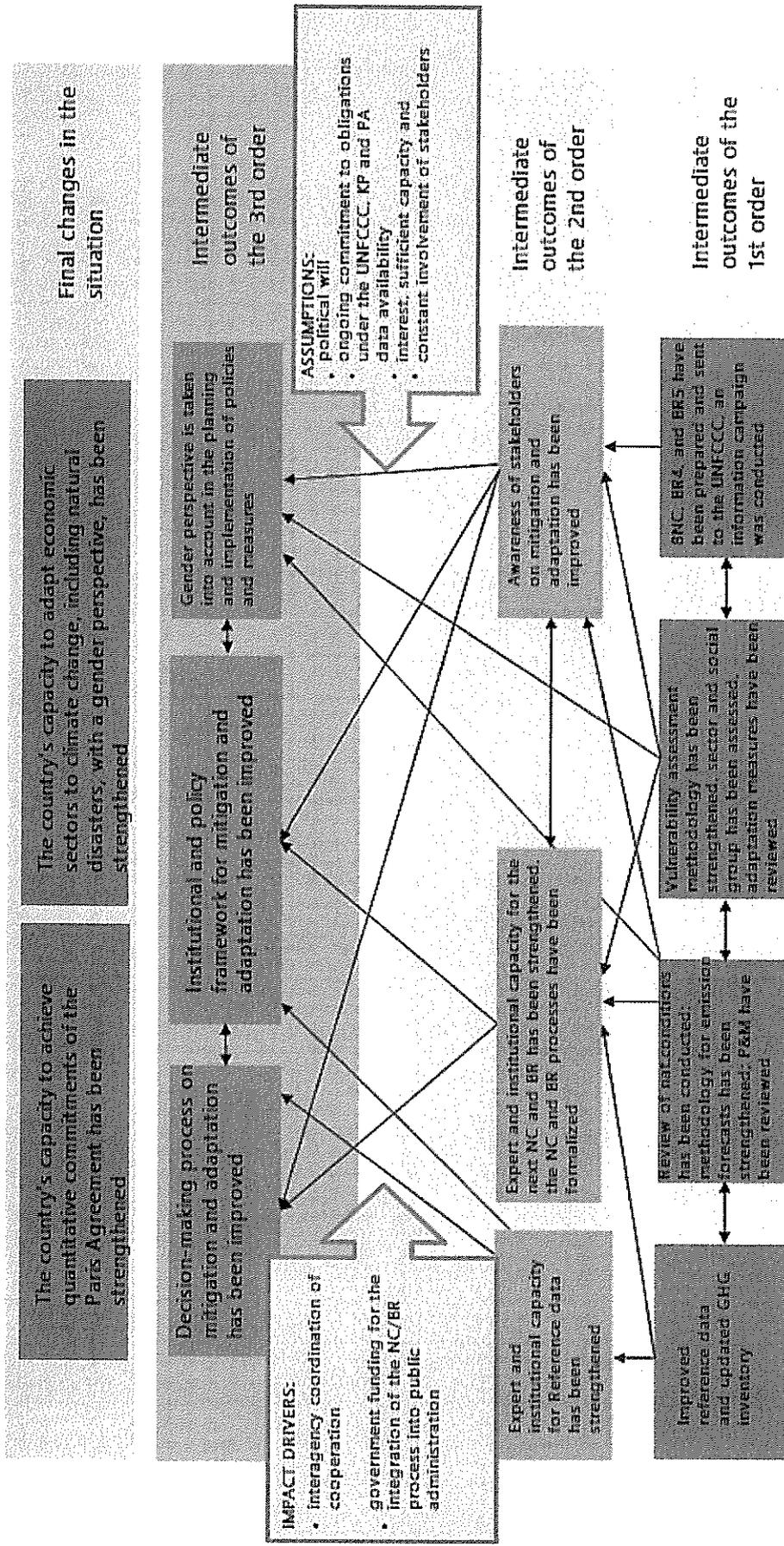
Note: The term “Project Document” as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

14. Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.
15. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
16. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled “Risk Management” are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled “Risk Management Standard Clauses” are included, *mutatis mutandis*, in all sub-contracts or sub-agreements entered into further to this Project Document.

X. ANNEXES

- A. THE THEORY OF CHANGE WHICH UNDERPINS THE PROJECT
- B. MULTI-YEAR WORK PLAN
- C. STAKEHOLDER INVOLVEMENT PLAN
- D. TERMS OF REFERENCE FOR THE PROJECT MANAGER AND PROJECT ASSISTANT
- E. UNDP SOCIAL AND ENVIRONMENTAL SCREENING TEMPLATE (SESP) - EXEMPT
- F. UNDP QUALITY ASSURANCE REPORT (FILLED OUT BY THE UNDP COUNTRY OFFICE)
- G. UNDP RISK LOG (FILLED OUT BY THE UNDP COUNTRY OFFICE)
- H. STANDARD LETTER OF AGREEMENT BETWEEN UNDP AND THE GOVERNMENT FOR THE PROVISION OF SUPPORT SERVICES
- I. SUPPORT SERVICES DESCRIPTION OF UNDP COUNTRY OFFICE
- J. FINAL REPORT OF [COUNTRY'S NAME] NATIONAL COMMUNICATION'S / BIENNIAL UPDATE REPORT'S PROJECT
- K. OUTCOMES OF THE IMPLEMENTING PARTNER CAPACITY ASSESSMENT AND THE HACT MICRO-ASSESSMENT (FILLED OUT BY THE UNDP COUNTRY OFFICE)
- L. GENDER ANALYSIS AND ACTION PLAN

ANNEX A. THE THEORY OF CHANGE WHICH UNDERPINS THE PROJECT



ANNEX B. MULTI-YEAR WORK PLAN

Event	Responsible Party	2019				2020				2021				2022			
		Q1	Q2	Q3	Q4												
COMPONENT1: Strengthening coordination of the national GHG emissions and absorptions inventory in accordance with international requirements of the Intergovernmental Panel on Climate Change (IPCC)																	
1.1. International expertise involvement for the National GHG Inventory System assessment and preparation of recommendations for the GHG inventory methodology improvement, including greater transparency	International experts, national experts, Project Manager, Thematic expert on mitigation																
1.2. Review and amendment of the GHG inventory methodology / National Greenhouse Gas Inventory System based on international expertise and taking into account Kazakhstan's special characteristics	International experts, national experts, Project Manager, Thematic expert on mitigation																
1.3. Adaptation of CBM - CFS3 (Carbon Budget Model of the Canadian Forest Sector) to the	International experts, national experts, Project Manager,																

Event	Responsible Party	2019				2020				2021				2022			
		Q1	Q2	Q3	Q4												
National GHG Inventory for the LULUCF Sector	Thematic expert on mitigation																
1.4. Training on the updated methodology, application of the 2006 IPCC guidelines and compliance with the UNFCCC reporting requirements	Outcome Leader 1, national experts, Project Manager Thematic expert on mitigation																
1.5. Consultations on cross-sectoral and inter-agency cooperation to ensure the availability of inventory data	Thematic expert on mitigation, national experts, Project Manager																
1.6. Preparation of proposals to consolidate the functions of data providers for inclusion in the "Rules for monitoring the completeness, transparency and reliability of the state inventory of greenhouse gas emissions and absorptions" (Order of the Minister of Energy of Kazakhstan dated March 18, 2015).	Thematic expert on mitigation, national experts, Project Manager																

Event	Responsible Party	2019				2020				2021				2022			
		Q1	Q2	Q3	Q4												
1.7. Inventory using the updated methodology, including quality assurance and control activities, for 2016-2017	Thematic expert on mitigation, national experts, Project Manager																
1.8. Development of GHG inventory for BR4	Thematic expert on mitigation, national experts, Project Manager																
1.9. Inventory using the updated methodology, including quality assurance and control activities, for 2018-2019	Thematic expert on mitigation, national experts, Project Manager																
1.10. Development of GHG inventory for the NC8 and BR5 purposes	Thematic expert on mitigation, national experts, Project Manager																
OUTCOME 2: Assistance in the development of chapters on national circumstances and policies and a measure to reduce GHG emissions as a basis for decision-making on climate policy																	
2.1. Analysis preparation (for BR4 and BR5) on the progress in achieving quantitative commitments	Thematic expert on mitigation, national experts, Project Manager																
2.2. Analysis preparation (for NC8) on changes in	Thematic expert on mitigation,																

Event	Responsible Party	2019				2020				2021				2022				
		Q1	Q2	Q3	Q4													
national circumstances related to GHG emissions and absorptions (general and by sector, including gender-disaggregated data, when it is possible)	national experts, gender expert, Project Manager																	
2.3. Analysis preparation of current, adopted and planned policies and measures (both sectoral and intersectoral) that affect GHG emissions and absorptions (for BR4, NC8 and BR5)	Thematic expert on mitigation, national experts, Project Manager																	
2.4. Preparation of gender analysis of current, adopted and planned policies and measures, as well as recommendations on gender mainstreaming in the planning and implementation of such measures (for NC8 and subsequent NC)	Thematic expert on mitigation, gender expert(s) Project Manager																	
2.5. Preparation of the updated GHG emission projections (“with measures”, “without	Thematic expert on mitigation, national experts, Project Manager																	

Event	Responsible Party	2019				2020				2021				2022			
		Q1	Q2	Q3	Q4												
measures” and “with additional measures”) for the period up to 2050 and the analysis of the overall effect of policies and measures; presentation of outcomes to decision makers																	
2.6. Refinement of the methodology for GHG emission projections through the introduction of additional/altern. modeling tools	Thematic expert on mitigation, national experts, climate policy adviser, Project Manager																
2.7. Publication of methodology for electronic GHG emission forecasts	Outcome leader 2, national experts, Project Manager																
2.8. Preparation of an action plan based on the developed recommendations on additional measures to achieve quantitative commitments to reduce GHG emissions, for integration into legislative, strategic and policy documents; presentation	Thematic expert on mitigation, national experts, Project Manager																

Event	Responsible Party	2019				2020				2021				2022			
		Q1	Q2	Q3	Q4												
of the action plan to decision makers																	
2.9. Consultations and workshops for stakeholders to increase their involvement and awareness (including gender training)	Thematic expert on mitigation, national experts, Project Manager																
2.10 Participation in the UNFCCC Conference of the Parties and subsidiary bodies of the conference .	Thematic experts, national experts, Project Manager.																
Outcome 3: Assistance in the development of vulnerability assessment and adaptation measures to enhance climate-sensitive prioritization and development planning in Kazakhstan																	
3.1. Conducting a study to identify the most vulnerable to CC economic sectors and social groups and the impact of CC on the socio-economic development of Kazakhstan	Thematic adviser on adaptation, national experts, gender expert, Project Manager																
3.2. Preparation of refined climate change scenarios	Thematic adviser on adaptation, national experts, Project Manager																

Event	Responsible Party	2019				2020				2021				2022			
		Q1	Q2	Q3	Q4												
3.3. Analysis preparation of adaptation measures, including gender analysis of adaptation measures, development and presentation of recommendations on gender mainstreaming within the planning and implementation of adaptation measures	Thematic adviser on adaptation, national experts, Project Manager																
3.4. Preparation of an assessment of vulnerability of women and men to climate change, and development and presentation of recommendations to improve the resilience of women and men to climate change	Thematic adviser on adaptation, national experts, Project Manager, gender expert(s)																
3.5. Development of a framework to take into account adaptation to CC within the legislation, national strategies and development programmes	Thematic adviser on adaptation, national experts, Project Manager																

Event	Responsible Party	2019				2020				2021				2022			
		Q1	Q2	Q3	Q4												
3.6. Development and presentation of an action plan for the adaptation of the most vulnerable sectors and social groups, with the aim of integration into legislative, strategic and policy documents	Thematic adviser on adaptation, national experts, Project Manager																
3.7. Holding a series of 8 consultations and workshops with stakeholders to increase their participation and awareness (including gender training – at least 4)	Thematic adviser on adaptation, national experts, Project Manager, gender expert(s)																
3.8. Implementation of a platform for rural communities adaptation in the framework of gender forums and conferences held by the Project and other organizations	Thematic adviser on adaptation, national experts, Project Manager, gender expert(s)																
3.9. Collection of Information regarding level of implementation of adaptation measures on national level and to extend	Thematic adviser on adaptation, national experts, Project Manager, Project partners																

Event	Responsible Party	2019				2020				2021				2022			
		Q1	Q2	Q3	Q4												
possible information on regional (oblast) level;																	
3.10 Barrier analysis on adaptation measures implementation is performed;	Thematic adviser on adaptation, national experts, Project Manager,																
3.11 Vulnerability Assessment performed and Information explaining most vulnerable sectors distributed;	Thematic adviser on adaptation, national experts, Project Manager,																
3.12. Quality control including taking into account of ERT's recommendation performed	Thematic adviser on adaptation, national experts, Project Manager,																
Outcome 4: Incentives for the development of knowledge management and monitoring and evaluation																	
4.1. Preparation of a review on research and systematic observations	Thematic adviser on adaptation, national experts, Project Manager																
4.2 Preparation of a review of education, training and public awareness activities	Thematic adviser on adaptation, national experts, Project Manager																

Event	Responsible Party	2019				2020				2021				2022				
		Q1	Q2	Q3	Q4													
4.3. Preparation of a review on financial and technological assistance	Thematic adviser on adaptation, national experts, Project Manager																	
4.4. Inception workshop	Project team																	
4.5. Meetings of the PMC	Project team																	
4.6. Development and implementation of PR-campaign in support of the project	Project Manager, Public Relations Expert																	
4.7. Conduct a public opinion poll on climate change (at the beginning and end of the project) and present the outcomes of the survey	Project Manager, Public Relations Expert																	
4.8. Compilation and translation of BR4 into English, direction to the Secretariat	Project team																	
4.9. Translation of BR4 into Kazakh and distribution of BR4 among stakeholders	Project team																	
4.10. Compilation and translation of BR5 and NC8 into English, direction to the Secretariat	Project team																	

Event	Responsible Party	2019				2020				2021				2022				
		Q1	Q2	Q3	Q4													
4.11. BR5 and NC8 translation into Kazakh and presentation to stakeholders	Project team																	
4.12. Preparation and submission of annual reports	Project team																	
4.13. Preparation and submission of the final report	Project team																	

ANNEX C. STAKEHOLDER INVOLVEMENT PLAN

Target group	Target group's involvement	Interaction strategy
Sectoral Ministries and Departments	Implementation of Kazakhstan's international obligations under the UNFCCC, the Kyoto Protocol and the Paris Agreement. Strengthening decision-making and public planning for mitigation and adaptation.	Will be involved in the quality of both data providers and participants in consulting processes and project monitoring. Will be the recipients of recommendations for mitigation and adaptation developed within the project.
National Academic Community	The expert capacity development of the Kazakhstan's scientific organizations Participation in research Searching for new points of scientific research application	Will be involved as data and research providers. Will create mitigation and adaptation recommendations developed within the project.
Nongovernmental Organization	Participation in decision-making on climate change. Participation in the preparation of national reporting under the UNFCCC.	Will be involved in the preparation of research and reports. Will receive training on the preparation of national reporting.
Subordinate organizations of the Ministry of Ecology, geology and natural resource of the Republic of Kazakhstan (Zhasyl Damu JSC, KazHydromet RSE, etc.)	Capacity development in the preparation of national reporting under the UNFCCC and KP, as well as other climate change Agreements. Facilitating the synchronization	Will receive tools for calculations automation and methodological tools to strengthen their own activities.

ANNEX D. TERMS OF REFERENCES FOR PROJECT BOARD AND KEY STAFF

D1. Terms of Reference for the Project Steering Committee

I. Composition and organization:

The Project Steering Committee contains three roles, including (1) an executive: individual representing the project ownership to chair the group; (2) senior supplier: individual or group representing the interests of the parties concerned which provide funding and/or technical expertise to the project; and (3) senior beneficiary: individual or group of individuals representing the interests of those who will ultimately benefit from the project.

II. Specific responsibilities

1. Initiating a project:

- Agree on PM's responsibilities, as well as the responsibilities of the other members of the Project Management team;
- Delegate any Project Assurance function as appropriate;
- Review and appraise detailed Project Plan and AWP, including Atlas reports covering activity definition, quality criteria, issue log, updated risk log and the monitoring and communication plan.

2. Running a project:

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
- Address project issues as raised by the Project Manager;
- Provide guidance and agree on possible countermeasures/management actions to address specific risks;
- Agree on Project Manager's tolerances in the Annual Work Plan and quarterly plans when required;
- Review Combined Delivery Reports (CDR) prior to certification by the Implementing Partner;
- Appraise the Project Annual Review Report, make recommendations for the next AWP, and inform the Outcome Board about the results of the review.
- Review and approve end project report, make recommendations for follow-on actions;
- Provide ad-hoc direction and advice for exception situations when project manager's tolerances are exceeded;
- Assess and decide on project changes through revisions;

3. Closing a project:

- Assure that all Project deliverables have been produced satisfactorily;
- Review and approve the Final Project Review Report, including Lessons-learned;
- Make recommendations for follow-on actions to be submitted to the Outcome Board;
- Commission project evaluation (only when required by partnership agreement)
- Notify operational completion of the project to the Outcome Board.

III. Executive

The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher-level outcomes. The Executive has to ensure that the project gives value for money, ensuring a cost-conscious approach to the project, balancing the demands of beneficiary and supplier. Specific Responsibilities (as part of the above responsibilities for the Project Steering Committee) include:

- Ensure that there is a coherent project organization structure and logical set of plans
- Set tolerances in the AWP and other plans as required for the Project Manager
- Monitor and control the progress of the project at a strategic level
- Ensure that risks are being tracked and mitigated as effectively as possible
- Brief Outcome Board and relevant stakeholders about project progress
- Organize and chair Project Steering Committee meetings.

IV. Senior Beneficiary

The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. This role represents the interests of all those who will benefit from the project, or those for whom the deliverables resulting from activities will achieve specific output targets. The Senior Beneficiary role monitors progress against targets and quality criteria. Specific Responsibilities (as part of the above responsibilities for the Project Steering Committee) include:

- Ensure the expected output(s) and related activities of the project are well defined
- Make sure that progress towards the outputs required by the beneficiaries remains consistent from the beneficiary perspective
- Promote and maintain focus on the expected project output(s)
- Prioritize and contribute beneficiaries' opinions on Project Steering Committee decisions on whether to implement recommendations on proposed changes
- Resolve priority conflicts

The assurance responsibilities of the Senior Beneficiary are to check that:

- Specification of the Beneficiary's needs is accurate, complete and unambiguous
- Implementation of activities at all stages is monitored to ensure that they will meet the beneficiary's needs and are progressing towards that target
- Impact of potential changes is evaluated from the beneficiary point of view
- Risks to the beneficiaries are frequently monitored

V. Senior Supplier

The Senior Supplier represents the interests of the parties, which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Supplier's primary function within the Project Steering Committee is to provide guidance regarding the technical feasibility of the project. The Senior Supplier role must have the authority to commit or acquire supplier resources required. Specific Responsibilities (as part of the above responsibilities for the Project Steering Committee) include:

- Make sure that progress towards the outputs remains consistent from the supplier perspective
- Promote and maintain focus on the expected project output(s) from the point of view of supplier management
- Ensure that the supplier resources required for the project are made available
- Contribute supplier opinions on Project Steering Committee decisions on whether to implement recommendations on proposed changes
- Arbitrate on, and ensure resolution of, any supplier priority or resource conflicts

The supplier assurance role responsibilities are to:

- Advise on the selection of strategy, design and methods to carry out project activities
- Ensure that any standards defined for the project are met and used to good effect
- Monitor potential changes and their impact on the quality of deliverables from a supplier perspective
- Monitor any risks in the implementation aspects of the project

D2. Project Manager’s Terms of Reference

I. Job Profile	
Position:	Project Manager (PM)
Project:	Development of the 8th Kazakhstan’s National Communication in UNFCCC and preparation of two (fourth and fifth) Biennial Reports
The type of contract:	SC
Location:	Astana, Kazakhstan
Duration:	12 months with a possible extension
The type of employment:	Full day
Level:	SB-4 peg 1
Supervisor:	Head of Sustainable Development and Urbanization
II. Background	
<p>The project “Development of the 8th Kazakhstan’s National Communication in UNFCCC and preparation of two (fourth and fifth) Biennial Reports” is being implemented jointly with the Global Environment Facility, the United Nations Development Programme and the Ministry of Ecology, geology and natural resource of the Republic of Kazakhstan, that will enable Kazakhstan to develop and present the Eighth National Communication (8NC) of the Conference of the Parties (COP) and Biennial Reports in accordance with the obligations of the country provided for in the Article 12 of Convention and subsequent decisions of the COP.</p> <p>The project will update information on national circumstances, greenhouse gas (GHG) inventories and measures taken to mitigate climate change, assessment of vulnerability to climate change and ongoing adaptation efforts, public awareness, education and training, systematic observation and research, attraction and provision of financial resources and technology transfer.</p>	

During the project implementation period, there will be also technical and institutional capacity improvement in the field of preparation of National Communications and assistance to the Government in integrating climate change issues into sectoral and national development priorities.

At the end of the project, Kazakhstan's experts and organizations are expected to increase their capacity and the country's legislative and strategic initiatives in the field of combating climate change will be supported.

III. Functions

Key functions:

- Effective planning and project implementation with the participation of all stakeholders in accordance with the Project Document;
- Preparation, monitoring and implementation of annual project work plans;
- Organization and management of the project implementation team;
- Development of terms of reference and contracts for national and international experts;
- Ensuring effective interaction with relevant government authorities, academic institutions, NGOs and other stakeholders;
- Relations development with other relevant GEF projects or other regional projects;
- Dissemination of project activities and outcomes information to project partners and the general public;
- Supervision of internal quality control processes, including the creation of risks logs, problems and indicators of the project activities quality, monitoring and maintaining these logs, as well as making the necessary changes;
- Reporting on the project's progress in accordance with the Project Document.
- Providing the necessary information to independent third-party appraisers of the project;
- Regular reporting and communication with the Project Board and UNDP on the status of the project, including information on emerging issues;
- Monitor the project's expenditure by appointment in accordance with the approved budget of each Outcome of the project;
- Monitoring and coordination of the co-financing provision as provided for in the Project Document.
- Secure development of all outcomes of the projects in consistent with available methodologies and guidebooks;
- Final expert review of developed analytical and technical reports;
- Deliver expert information to the decisionmakers and counterparts;
- Develop final versions of the analytical reports on GHG inventory, vulnerability and assessment, national circumstances NC and BR etc;
- Methodological and expert support of all involved experts and project staff;
- Mainstreaming Gender issues to the project realization;
- Mainstreaming climate change in the national priorities and national projects .

IV. Impact of Results

The general objective of the PM is the successful project implementation in accordance with the objectives, work plans and budgets set out in the Project Documents, including the relevant specific objectives:

Special responsibilities

- Ensure the availability of coherent organizational structure of the project and logical planning.
- Approve and sign the main project and financial documents and other plans as required
- Monitoring and control over the project's progress at a strategic level
- Ensure that the risks of their reduction are monitored as effectively as possible.
- Inform the Project Board (PMC) and relevant stakeholders on the progress of the project
- PMC's meetings organization.
- Run the project and its launch
- Plan project activities and monitor progress according to quality criteria;
- Mobilize the procurement of goods and services for the project activities, including the development of terms of reference and work specifications;
- Manage requests for the UNDP financial resources provision using advances, direct payments, or reimbursements using IPSAS;
- Manage and control the project's risks, as originally defined in the Project Document, to present new risks to the PMC for consideration and decision making on possible actions, if necessary; update the status of these risks by maintaining a project risk log;
- Provide project problem management and project change requests by logging requests;
- As required, prepare a quarterly report on the project (progress compared to planned activities, updated information on risks and problems, expenditures in the UNDP format) and a quarterly operational report and submit reports to the PIT;
- Prepare an Annual Overview Report (UNDP format) and submit reports to the PMC and GEF; prepare an Annual Work Plan (AWP) and an Annual Procurement Plan during the project;
- Monitor the implementation of project components, analyze problems impeding their implementation and take appropriate measures to ensure timely provision of required resources and outcomes achievement throughout the project;
- Monitoring of financial resources and accounting to ensure the accuracy and reliability of financial statements, including a proper use of funds and delivery, budget review, funds availability, accounts reconciliation and establishment of internal controls. Serves as a focal point for communication with auditors and ensures follow-up actions. Provides accuracy and reliability of financial information and statements;
- Sign an annual Combined Disbursement Reports (CDR) with UNDP and the National Implementing Agency
- Monitoring and promotion of advocacy in the media, writing success stories, coverage in Newspapers, PR campaigns;
- Organize work meetings, workshops and round tables to present the project's outcomes to all interested parties. Facilitate relevant UNDP thematic events such as publications, knowledge exchange and panel discussions;

- Liaise with other UNDP and UNDP-GEF funded projects to implement possible synergies and report to UNDP and the national partner on the activities undertaken;
- Carrying out the mobilization activities, that will be based on the project achievements that contribute to the expansion of the project's scope and its replication.
- Ensure proper operational, financial and programme closure of the project;
- Prepare final project reports for submission to the PMC;
- Determine follow-up actions and submit them to the PMC for consideration;
- Manage the transfer of project outcomes, documents, files, equipment and materials to national beneficiaries;
- Prepare the final CDR for signing by UNDP and the Implementing Partner.

V. Competencies

Corporate competencies:

- Demonstrates commitment to the UN values and ethical standards;
- Promotes the vision, mission and strategic goals of UNDP;
- Displays cultural, gender, religious, racial and ethnic sensitivity and adaptability;
- Protection of all employees from all types of favoritism
- Demonstrates/protects ethics and honesty;
- Demonstrates corporate knowledge and common sense;
- Self-development, initiative;
- Act as a team leader and promote teamwork;
- Facilitate and promote open communication in the team, effective communication;
- Creating synergy through self-control;
- Conflict management;
- Learn and share knowledge and encourage others to learn;
- Informed and transparent decision making

Functional competencies:

- *Communication and cooperation*
 - Possesses excellent oral communication skills and the ability to resolve conflicts in order to manage conflicts and reduce the conflicts of various project participants;
 - Possesses excellent written communication skills, analytical capacity and the ability to summarize the project outcomes and relevant conclusions for the preparation of high-quality project reports;
 - Maturity and confidence in communication with high-ranking officials of national and international agencies, governmental and non-governmental organizations.
- *Knowledge management and training*
 - Promotes knowledge exchange and team learning based on leadership and personal example;
 - Actively supports and promotes the project staff development under her/his leadership;
 - Demonstrates leadership and self-governance;
 - Focuses on the outcome for the client and responds positively to the feedbacks;
 - Consistently approaches work with energy and a positive, constructive attitude;

	<ul style="list-style-type: none"> ▪ Keeps calm, control and good mood even under pressure; ▪ Competence in team leadership and building team spirit, encouraging team members to produce quality outcomes in a timely and transparent manner. <ul style="list-style-type: none"> □ <i>Development and operational efficiency</i> <ul style="list-style-type: none"> ▪ Ability to organize and perform several tasks, by setting priorities; ▪ Ability to perform a large amount of work, possibly in conditions of lack of time. <ul style="list-style-type: none"> □ <i>Job Knowledge/Technical Expertise</i> <ul style="list-style-type: none"> ▪ Understands the basic processes and working methods of the current position; ▪ Constantly maintains the relevance of work knowledge through self-study and other learning tools; ▪ Demonstrates a good knowledge of information technology and applies them in job assignments. <ul style="list-style-type: none"> □ <i>Leadership and self-government</i> <ul style="list-style-type: none"> ▪ Builds strong customer relationships, focuses on the impact and outcome for the client and responds positively to feedback; ▪ Consistently approaches work with energy and a positive, constructive attitude; ▪ Demonstrates good verbal and written communication skills.
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VI. Qualifications	
Education:	<ul style="list-style-type: none"> ▪ Master’s degree in Environmental protection or other relevant academic discipline.
Work Experience:	<ul style="list-style-type: none"> ▪ Profession qualifications with at least 5 years of professional experience in combating climate change, analytical work with reports of the UN Framework Convention on Climate Change. ▪ Profession qualifications with at least ten (10) years of professional experience in energy efficiency related areas at senior level ▪ extensive experience and technical ability to manage a large project and a good technical knowledge in the fields related to private sector development, climate change, energy efficiency and institutional development and/or regulatory aspects. ▪ ability to effectively coordinate a complex, multi-stakeholder project and to lead, manage and motivate teams of international and local experts to achieve results ▪ Good capacities for strategic thinking, planning and management ▪ Knowledge of UNDP project implementation procedures, including procurement, disbursements, and reporting and monitoring will be an added advantage

Language requirements:	<ul style="list-style-type: none"> • Fluent spoken and written Russian and good English are essential; • Knowledge of Kazakh is preferred 	
VII. Signatures – Approval of Terms of Reference		
Name	Signature	Date
Supervisor, Programme Officer		
	Signature	Date
Deputy Resident Representative		
	Signature	Date

D3. Project Assistant’s Terms of Reference

I. Position Information	
Job Title: :	Project Assistant (PA)
Project:	Development of the 8th Kazakhstan’s National Communication in UNFCCC and preparation of two (fourth and fifth) Biennial Reports
The type of contract:	Service contract
Location:	Nursultan, Kazakhstan
Duration	12 months (with a possible renewal)
Employment:	Full day
Level:	SB-2 peg 3
Supervisor:	Project Manager

II. Project Information
<p>The project “Development of the 8th Kazakhstan’s National Communication in UNFCCC and preparation of two (fourth and fifth) Biennial Reports” is being implemented jointly with the Global Environment Facility, the United Nations Development Programme and the Ministry of Ecology, geology and natural resource of the Republic of Kazakhstan, that will enable Kazakhstan to develop and present the Eighth National Communication (8NC) of the Conference of the Parties (COP) and Biennial Reports (BR) in accordance with the obligations of the country provided for in the Article 12 of Convention and subsequent decisions of the COP.</p> <p>The project will update information on national circumstances, greenhouse gas (GHG) inventories and measures taken to mitigate climate change, assessment of vulnerability to</p>

climate change and ongoing adaptation efforts, public awareness, education and training, systematic observation and research, attraction and provision of financial resources and technology transfer.

During the project implementation period, there will be also technical and institutional capacity improvement in the field of preparation of National Communications and assistance to the Government in integrating climate change issues into sectoral and national development priorities.

At the end of the project, Kazakhstan's experts and organizations are expected to increase their capacity and the country's legislative and strategic initiatives in the field of combating climate change will be supported.

Within the newly launched Development of the 8th Kazakhstan's National Communication in UNFCCC and preparation of two (fourth and fifth) Biennial Reports project, it is planned to deliver a huge amount of the resources and hence the utmost support from the administrative and finance assistant would be required to provide support to the projects manager in implementation broad array of tasks to perform day to day project activities as well as ensure all the financial transactions are processed in time with no delay and stipulation over the high pressure or workload.

III. Organizational Context

Under the guidance and direct supervision of the Project Manager, Project Assistant provides logistical, administrative and expert support to the project in compliance with appropriate UNDP policies and procedures. Project Assistant works in close collaboration with the programme, projects staff of Programme and Operations Units.

Project Assistant is responsible for the day-to-day implementation and operational support of project activities to ensure timely and efficient support to programme related activities.

The duties and responsibility of the **Assistant** will include:

Procurement:

- Development of a plan and monitoring of procurements for every year according to UNDP format;
- Collection and systematization of the information on potential suppliers of services/goods;
- Ensuring tender selection of the supplier of services/goods in accordance with UNDP requirements and procedures;
- Preparation of motivations on the selected supplier of services/goods for consideration by the UNDP procurement committee;

Financial management of the projects:

- Preparation of documents for payment in accordance with SOP; create non-PO vouchers in Atlas
- Providing control and management of the overall project funds, including monitoring of project expenditures in accordance with the workplans and UNDP/ECHO procedures;
- Controlling the compliance with the teams on the financial management, etc: deadlines, formats, purchasing procedures, audits, transmission of documentary evidence, spending eligibility periods, etc
- Ensure full compliance of financial processes and financial records with UNDP rules, regulations, policies and strategies (Standard Operating Procedures, SOP), as well as with the Programme specific requirements (as communicated with the PM);
- Preparation of payment requests: e-requisitions, receipts and PO based vouchers;
- Verify all payment requests, disbursement vouchers, cash receipt vouchers and other financial documents, when required;
- Maintaining internal expenditures control system by ensuring that vouchers processed are matched and completed, transactions are correctly recorded and posted in Atlas;
- Ensure timely corrective actions on unposted vouchers, including vouchers with budget check errors, match exceptions and unapproved vouchers
- Preparation of budget revisions of the project, minimum once a year;
- Monitoring of project expenditures in accordance with the workplan and UNDP procedures;
- As necessary, preparation of cash advance requests and securing of reporting in accordance with UNDP procedures;
- Review of experts reports and final in regards of the fulfilment of UNDP SOP and reporting guidance's

Administrative and logistic support:

- Preparation of travel requests for the employees of the projects, experts and in accordance with UNDP standard operating procedures;
- Solution of organizational issues on reservation and acquisition of tickets and others; Securing visa support, arrangement of transport and accommodation in a hotel and etc. during the visits of foreign experts;
- Support in preparation of short-term contracts in accordance with UNDP requirements and procedures and exercising control over observance of contract terms and periods;
- Assistance to PM in keeping close contacts with the Implementing Partner, UNDP, the project partners and other organizations by means of direct contacts, collection of information and proposals, registration of incoming and outgoing correspondence, preparation of draft letters and organization of meetings;
- Keeping the catalogue of archive data, inclusion of all data on contracts, reports and etc. into it, revision and updating of them in an established format for subsequent use;
- Development of a catalogue of materials on monitoring of the projects and project activities (correspondence, reports, budget and financial expenses) in accordance with UNDP requirements;

- Organization of the process on preparation and logistics of workshops, working meetings, delegations, field expeditions and etc.;
- As required, preparation of basic materials to use during presentations, workshops and briefings;
- Keeping an inventory list on provision separate expert with project equipment and their responsibility for it and monitoring of the equipment use;
- Securing regular record keeping on use of the office vehicle;
- Preparation of unofficial translations and as required, acting as an interpreter.
- Execution of other related tasks on request of the PM

Expert support:

- Development of analytical and research materials for the aims of developments of NC and BR;
- Providing technical and expert support for the project team, national / international consultants and experts;
- Development of ToR's for the researchers and experts involved in the development of NC and BR and for the further development of the for experts and Adaptation/Mitigation experts;
- Review of expert's technical reports and analytical papers;
- Develop recommendations and expert opinions for the Project manager and experts;
- Prefinal analysis of experts reports.

IV. Functions / Key Results Expected

1. Substantive Project support:

- Provide operational support to the project and programme management;
- Prepare requests for direct payment, cash advances, reports on expenses, budget revisions and other required supporting documentation for all financial transactions; records these transactions accordingly;
- Provide logistical support and prepares background materials for use in workshops, seminars, training sessions, meetings, visiting missions, field trips, etc.;
- Establish and maintains accurate and up-to-date filing system for the documents, keeps information and reference material in a manner which allows easy retrieval;
- Contribute to the preparation of status and progress reports by collecting information, preparing tables and drafting selected sections;
- Draft and/or types correspondence, notes, documents, reports, prepares required contracts, keeps the necessary flow of correspondence;
- Receive telephone calls and visitors concerning the projects, responding directly where appropriate;
- Prepare unofficial translations and acts as interpreter;
- Provide substantive support with regards to awareness-raising activities and promotion of Climate change among wide population as per the Project's annual work plan.

2. Mission logistics and Workshop logistics

- Assist in organizing meetings, workshops, conferences and missions.

3. Travel arrangements

- Coordinate and assist in making travel arrangements for participants of events, projects staff in connection with their domestic and international project-related travels;
- Prepare Requests for Services and Payments in accordance with UNDP rules and procedures.

4. Communication support

- Support in generating content and populating project-related media data;
- Draft external correspondence with projects' partners and stakeholders, maintain files and assist in the preparation of documentation in advance of and following meetings;
- Assist in acquisition of letters of co-financing and support from stakeholders.

5. Project documentation and filing

- Assist in compilation of regular project status reports;
- Maintain general office files and keep information and reference material in a manner that allows easy reference retrieval.

6. Expert support:

- Development of analytical and research materials for the aims of developments of NC and BR;
- Providing technical and expert support for the project team, national / international consultants and experts;
- Development of ToR's for the researchers and experts involved in the development of NC and BR and for the further development of the for experts and Adaptation/Mitigation experts;
- Review of expert's technical reports and analytical papers;
- Develop recommendations and expert opinions for the Project manager and experts;
- Prefinal analysis of experts reports;

7. Any other business

- Perform all necessary secretarial services such as photocopying, collection and distribution of incoming mail, dispatching outgoing mail; locating files, etc.;
- Perform other duties as may be required.

V. Impact of Results

- Impact on the overall project efficiency in financial resources management contributes to success in implementation of project activities.
- Become fully familiar with UNDP Standard Operations Policies and Procedures;
- Accurate analysis and presentation of financial information enhances UNDP credibility in use of financial resources and proper financial process management.

- Information provided facilitates decision making of the management.
- High-level and effective communication and positioning of the project in the country.
- Internal communication among project unit and programme is ensured.
- Partnership with media, development partners, NGO partners and government communication officers strengthened, and capacity of national partners enhanced.

Specific impact should be achieved through smooth implementation of the project activities and attainment of projects results as well as active dialogue and coordination with the national stakeholders and on project activities implemented. Among others, the project is expected to contribute to the development of the 8NC and BR.

V. Competencies and Critical Success Factors

Corporate Competencies:

- Demonstrates integrity by modeling the UN's values and ethical standards
- Promotes the vision, mission, and strategic goals of UNDP
- Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability
- Treats all people fairly without favoritism

Professionalism:

- Solid knowledge of administrative and secretarial work; understanding of financial processes and accounting;
- Good communication skills, including the ability to convey complex concepts and recommendations, both orally and in writing, in a clear and persuasive style tailored to match different audiences;
- Good knowledge of computer and organizational technology;
- Ability to perform a broad range of activities related to workshop and meeting arrangements;
- Excellent writing and presentation skills for preparation of presentations and reports – in English and Russian;
- conceptual clarity on mainstreaming in general, and gender mainstreaming in particular;
- Ability to use information and communication technology as a tool and resource.

Development and Operational Effectiveness

- Excellent coordination skills to facilitate internal and external collaboration;
- Builds strong relationships with stakeholders, focuses on impact and result and responds positively to feedback;
- Consistently approaches work with energy and a positive, constructive attitude;
- Demonstrates openness to change and ability to manage complexities;
- Works effectively in a team and shows conflict resolution skills;
- Identifies priority activities and assignments; adjusts priorities as required.

Knowledge Management and Learning

- Ability to synthesize the lessons learnt and choose the best practices;
- Shares knowledge and experience and contributes to the achievement of the project development objectives;
- Promotes knowledge management in UNDP and a learning environment across projects and countries; through active participation and contribution to UNDP social and knowledge networks;
- Demonstrates excellent oral and written communication skills.

VI. Qualifications

Education:	<ul style="list-style-type: none"> • Bachelor degree in Management, Political Science, Public Administration, accounting, finance, economics, management, business administration or other relevant areas.
Experience:	<ul style="list-style-type: none"> • <i>Minimum 3 years of relevant administrative or project support experience at the national or international level;</i> • <i>Experience in working in international companies/organizations is an advantage.</i> • <i>Experience in working In an environment requiring liaison and collaboration with multiple actors including government representatives, donors and other stakeholders;</i> • <i>Excellent inter-personal, communication and organizational skills;</i> • <i>Excellent computer skills (especially Microsoft office applications) and ability to use information technology as a tool and resource.</i>
Language requirements:	<ul style="list-style-type: none"> • Proficiency in English and Russian; • Knowledge of Kazakh language would be an asset

VII. Signatures - Approval of Terms of Reference

Name	Signature	Date
Supervisor Project manager	Signature	Date
Head of Department of Sustainable development and Urbanization	Signature	Date
UNDP Deputy Resident Representative	Signature	Date

D.4. Terms of Reference for the Project Mitigation/Adaptation Expert ³⁸

I. Job Profile	
Position:	Project mitigation (adaptation) Expert (PME/PAE)
Project:	Development of the 8th Kazakhstan's National Communication in UNFCCC and preparation of two (fourth and fifth) Biennial Reports
The type of contract:	SC
Location:	Astana, Kazakhstan
Duration	12 months with a possible extension
The type of employment:	Full day
Level:	SB3- peg 3
Supervisor:	The Project Manager
II. Background	
<p>The project "Development of the 8th Kazakhstan's National Communication in UNFCCC and preparation of two (fourth and fifth) Biennial Reports" is being implemented jointly with the Global Environment Facility, the United Nations Development Programme and the Ministry of Ecology, geology and natural resource of the Republic of Kazakhstan, that will enable Kazakhstan to develop and present the Eighth National Communication (8NC) of the Conference of the Parties (COP) and Biennial Reports in accordance with the obligations of the country provided for in the Article 12 of Convention and subsequent decisions of the COP.</p> <p>The project will update information on national circumstances, greenhouse gas (GHG) inventories and measures taken to mitigate climate change, assessment of vulnerability to climate change and ongoing adaptation efforts, public awareness, education and training, systematic observation and research, attraction and provision of financial resources and technology transfer.</p> <p>During the project implementation period, there will be also technical and institutional capacity improvement in the field of preparation of National Communications and assistance to the Government in integrating climate change issues into sectoral and national development priorities.</p> <p>At the end of the project, Kazakhstan's experts and organizations are expected to increase their capacity and the country's legislative and strategic initiatives in the field of combating climate change will be supported.</p>	
III. Functions	
Summary of Key Functions:	

³⁸The terms of reference for two experts are presented as one, the different parts are presented in.

Under the guidance and direct supervision of the Project Manager, Project Mitigation Expert/Project adaptation Expert (PME/PAE) provides technical and expert support to the project team to develop parts of the NC and BR related to the Inventory and policy and measures. PME in close collaboration with Project expert on adaptation, the programme, projects staff of Sustainable development and urbanization unit.

The duties and responsibility of the **PME/PMA** will include:

Technical expert support:

- Develop annual and quarter work plans on the outputs related to the inventory and Policy and measures parts of the NC and BR/ Develop annual and quarter work plans on the outputs related to the Adaptation and National circumstances parts of the NC and BR;
- Compilation of the drafts and final texts of the NC and BR;
- Climate change related expert support for UNDP projects;
- Coordination of related works of national experts;
- Development of analytical and research materials for the aims of developments of NC and BR
- General technical support and project quality assurance
- Providing advice to national partners on strategies and policies.
- Interaction and coordination with other projects and stakeholders on technical issues
- Coordination of activities by project components in coordination with the project manager,
- Providing technical support for the project team, national / international consultants and experts.
- Analysis and promotion of regulatory documents and other activities within the project work plan;
- Preparation and adjustment of the current work plan and schedule of work with partners in consultation with the project manager;
- Development of Terms of references for national and international consultants;
- Assistance to the manager and project assistant in hiring short-term experts with relevant competence within the framework of the task, is responsible for the implementation of high-quality work plan activities and ensuring the quality / quality control of the information / reports provided by experts;
- Providing advice to project participants on key procedures, barriers, opportunities and partnerships
- Development own and evaluation of expert's technical reports of the project in the area of mitigation/adaptation;
- Development of quarterly, semi-annual and annual reports and other forms of reporting on areas;
- Assistance in the preparation of relevant methodological, thematic and informational materials within the framework of the project objectives;
- Timely and high-quality implementation of project tasks in accordance with the work plan, project document and instructions of the project manager;
- Participation in the preparation, organization and implementation of project activities;
- Assist in collecting, analyzing and disseminating information about related grants, initiatives of the Green Climate Fund, the Global Environment Facility, and changes related to REDD + and LULUCF

<ul style="list-style-type: none"> • Perform other tasks at the request of the project manager aimed at achieving the goals and objectives of the project, as well as requests from the UNDP head office 	
IV. Impact of Results	
<p>Specific impact should be achieved through development of specific parts of the NC and BR and engaging of project partners in development of NC and BR, active dialogue and coordination with the national stakeholders and on project activities implemented.</p>	
V. Competencies	
<p>Corporate competencies:</p> <ul style="list-style-type: none"> • Demonstrates commitment to the UN values and ethical standards; • Promotes the vision, mission and strategic goals of UNDP; • Displays cultural, gender, religious, racial and ethnic sensitivity and adaptability; • Protection of all employees from all types of favoritism; <p>Functional competencies:</p> <ul style="list-style-type: none"> • Research and analytical skills; • Results-Based Approach; • Strong communication skills; • Client orientation; • Quality Assurance; • Self-Management and emotional intelligence; • Strong interpersonal skills and ability to work effectively with minimum or no supervision as well as part of a team; • Strong organizational and time management skills; • High level of creativity and excellent writing skills; • Ability to identify problems and proposes solutions. 	
VI. Qualifications	
<p>Education:</p>	<ul style="list-style-type: none"> • Master’s degree in Environments. Economics, Engineering, Public Administration or other relevant areas. / Master’s degree in Environment, Economics, Engineering, Public Administration, agriculture or other relevant areas.
<p>Work Experience:</p>	<ul style="list-style-type: none"> • Minimum 3 years of relevant climate change experience at the national or international level; • Experience in participation in development of NC and BR will be an asset • Experience in development of national reporting documents • Experience in direct or indirect contribution to the mitigation/adaptation projects

	<ul style="list-style-type: none"> • Ability to work in an environment requiring liaison and collaboration with multiple actors including government representatives, donors and other stakeholders; • Excellent inter-personal, communication and organizational skills; • Excellent computer skills (especially Microsoft office applications) and ability to use information technology as a tool and resource; 	
Language requirements:	<ul style="list-style-type: none"> • Fluency in English and Russian; • Knowledge of Kazakh is preferred; 	
VII. Signatures – Approval of Terms of Reference		
Name	Signature	Date
Supervisor	Signature	Date
Head of Department	Signature	Date
Deputy Resident Representative	Signature	Date

ANNEX E. UNDP SOCIAL AND ENVIRONMENTAL SCREENING TEMPLATE (SESP) – IS EXEMPTED

In accordance with the risk based exclusion criteria, this project is exempt from the SESP requirement and therefore no SESP verification is required.

ANNEX F. UNDP QUALITY ASSURANCE REPORT (FILLED OUT BY THE UNDP COUNTRY OFFICE)

The project is based on a quality assurance plan that provides information required to manage project quality from planning to delivery. It has defined policies, procedures, and criteria for management frameworks to improve reporting of Republic of Kazakhstan. The project quality assurance plan also determines the roles, responsibilities and authorities of the Ministry of Ecology, geology and natural resource of the Republic of Kazakhstan, in UNFCCC reporting process.

The Project Quality Management report will be dynamically updated during the inception phase of the project. Its intended audience is the project key stakeholders: PMU lead experts, engineers, managers, project teams and any senior leaders whose support is needed during implementation of the project.

QA – link in intranet

<https://intranet->

[apps.undp.org/ProjectQA/Forms/Design?fid=42&year=2019&ou=KAZ&pid=00105577&ftr=PROJECT](https://intranet-apps.undp.org/ProjectQA/Forms/Design?fid=42&year=2019&ou=KAZ&pid=00105577&ftr=PROJECT)

ANNEX G. UNDP RISK LOG (FILLED OUT BY THE UNDP COUNTRY OFFICE)

(see Deliverable Description for the Risk Log regarding its purpose and use)

Project Title: Development of Kazakhstan's Eighth National Communication and Award ID:		Date:							
Preparation of Two (Fourth and Fifth) Biennial Reports to the UNFCCC									
#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
1	Lack of strong political support for the preparation of 8NC and Biennial Reports	05/2019	Political	Project will face the uncertainty in the reporting system of the Country and will not be able to communicate documents to the secretariat to the UNFCCC. Outcome 1 will be most vulnerable by this risk P =2 I = 3	Measures have been taken: Climate change indicators (e.g CO2 reduce target, RES share in the energy sector, adaptation in the legislation) are included in the national strategic documents and legislation Measures will be taken: The project manager and UNDP will negotiate with the main stakeholders of the project to explain the importance of the International climate Change process and keep political image of the country in foreign international affairs.	Project manager	Project manager	05/2019	No change
2	Changes in Government structure and public policy	05/2019	Political	Project may face necessity to change the implementing partner. P =2 I = 3	Project team should work in close cooperation with experts from the state authorities, constant monitoring of changes and reforms. Meeting of PMC will be organized to update partners structure	Project manager	Project manager	05/2019	No change

3	Introduction of new reporting guidelines with broader commitments after project launch	05/2019	Organizational	Project may face necessity to change some of the experts ToR's or purchase new services with inclusion of the new guidelines. P =1 I = 3	Project team should participate in the technical trainings and meetings of the bodies of UNFCCC. Kazakhstan delegation to the Conference of the parties and subsidiary bodies of UNFCCC will be supported by at least 1 technical expert of the project to update current knowledge and situation. Organization of training to the national project team with participation of the ERT members and if possible elaborators of the new methodologies.	Project manager Technical experts on adaptation and mitigation	Project manager	05/2019	Reducing
4	Insufficient data and data quality	05/2019	Organizational	The quality of the NC and BR will be poor, and Kazakhstan will face the lot of comments and recommendation from ERT. P =2 I = 4	Project experts will work with national statistic entities and academia to gain more quality information. Academia will work on the matter of interpretation of the information to mitigate insufficient data situation.	Technical experts on adaptation and mitigation	no change	05/2019	no change
5	Lack of highly qualified experts in the field of development of NC and BR, modeling system etc	05/2019	Organizational	The quality of the technical reports will be poor. Some of the outcomes will not be developed or will be developed in insufficient manner. P =2 I = 4	Project team will work with international society in the field of development of NC and BR. Capacity building activities will be organized to intensify experts' capacities	Technical experts on adaptation and mitigation	no change	05/2019	no change

ANNEX H. STANDARD LETTER OF AGREEMENT BETWEEN UNDP AND THE GOVERNMENT FOR THE PROVISION OF SUPPORT SERVICES

Reference is made to consultations between officials of the Ministry of Ecology, geology and natural resource of the Republic of Kazakhstan (hereinafter referred to as "MINISTRY") and officials of UNDP with respect to the provision of support services by the UNDP country office for nationally managed programmes and projects. UNDP and the MINISTRY hereby agree that the UNDP country office may provide such support services at the request of the MINISTRY through its institution designated in the relevant project document of the joint project of the UNDP and the MINISTRY.

The UNDP country office may provide support services for assistance with reporting requirements and direct payment. In providing such support services, the UNDP country office shall ensure that the capacity of the MINISTRY – designated institution is strengthened to enable it to carry out such activities directly. The costs incurred by the UNDP country office in providing such support services shall be recovered from the administrative budget of the office.

The UNDP country office may provide, at the request of the designated institution, the following support services for the activities of the project:

- (a) Identification and recruitment of project personnel; handling administrative issues related to the project personnel;
- (b) Identification and facilitation of training activities, seminars and workshops;
- (c) Procurement of goods and services;
- (d) Processing of direct payments.

The procurement of goods and services and the recruitment of project personnel by the UNDP country office shall be in accordance with the UNDP regulations, rules, policies and procedures. Support services described in paragraph 3 above shall be detailed in an annex to the project document, in the form provided in the Attachment hereto. If the requirements for support services by the country office change during the life of a project, the annex to the project document is revised with the agreement of the UNDP resident representative and the designated institution.

The MINISTRY shall retain overall responsibility for the nationally managed project through its designated institution. The responsibility of the UNDP country office for the provision of the support services described herein shall be limited to the provision of such support services detailed in the annex to the project document.

The manner and method of cost-recovery by the UNDP country office in providing the support services described in paragraph 3 above shall be specified in the annex to the project document.

The UNDP country office shall submit progress reports on the support services provided and shall report on the costs reimbursed in providing such services, as may be required.

Any modification of the present arrangements shall be affected by mutual written agreement of the parties hereto.

If you are in agreement with the provisions set forth above, please sign and return to this office two signed copies of this letter. Upon your signature, this letter shall constitute an agreement between the MINISTRY and UNDP on the terms and conditions for the provision of support services by the UNDP country office for nationally managed project the United Nations Development Programme (UNDP) and the Ministry of Kazakhstan (Ministry of Ecology, geology and natural resource of the Republic of Kazakhstan) Project title: "Development of the 8th Kazakhstan's National Communication in UNFCCC and preparation of Biennial Reports".




Signed on behalf of the Ministry of Ecology, Geology and Natural Resource of the Republic of Kazakhstan

Akhmetzhan PRIMKULOV

Vice- Minister

Date


Signed on behalf of UNDP

Vitalie Vremis

Resident Representative a.i.

Date

6.08.19

ANNEX I. SUPPORT SERVICES DESCRIPTION OF UNDP COUNTRY OFFICE

Reference is made to consultations between the Ministry of Ecology, Geology and Natural Resources of the Republic of Kazakhstan, the institution designated by the Government of Kazakhstan, and officials of UNDP with respect to the provision of support services by the UNDP country office for the nationally managed project of UNDP and the Ministry of Ecology, Geology and Natural Resources of the Republic of Kazakhstan "Development of the 8th Kazakhstan's National Communication in UNFCCC and preparation of Biennial Reports". Project ID 000106780, or "the Project".

In accordance with the provisions of the letter of agreement signed and the project document, the UNDP country office shall provide support services for the Project as described below.

Support services to be provided, including:

Support services to be provided, including:

Support services	Schedule for the provision of the support services	Cost of support services provided (if necessary)	Amount and method of reimbursement of UNDP (where appropriate)
Payment Process	Ongoing throughout implementation when applicable	According to the Unified price list (UPL) US\$ 38.49 for each of the services Total: $38.49 \times 135 = 5,196.15$	UNDP will directly charge the project upon provision of services, on a quarterly basis.
Vendor profile entry in ATLAS 4 staff: * Project Manager * Project Assistant * Project Mitigation expert * Project Adaptation expert	Ongoing throughout implementation when applicable	According to the Unified price list (UPL) US\$ 20.66 for each of the services Total: $20.66 \times 4 = 82.64$	As above
Project personnel selection and/or recruitment process * Project Manager * Project Assistant * Project Mitigation expert	Start of project	According to the Unified price list (UPL) US\$ 940 Total: $940 \times 3 = 2,820$	As above

* Project Adaptation expert			
Staff HR & Benefits Administration & Management (one time per staff including medical insurance enrolment, payroll setup and separation process)	Ongoing throughout implementation when applicable	According to the Unified price list (UPL) US\$ 38.49 for each of the services Total: $38.49 \times 4 = 153.96$	As above
Recurrent personnel management services: Staff HR & Benefits Administration & Management, Staff Payroll & Banking Administration & Management (per staff per calendar year)	Ongoing throughout implementation when applicable	According to the Unified price list (UPL) US\$ 472 for each of the services $472 \times 4 \times 3 = 5,664$	As above
Expert recruitment	Ongoing throughout implementation when applicable	According to the Unified price list (UPL) US\$ 140.55 for each of the services Total: $140.55 \times 20 = 2,811$	As above
Procurement of goods and services involving local CAP	Ongoing throughout implementation when applicable	According to the Unified price list (UPL) US\$ 540.84 for each of the services Total: $540.84 \times 3 = 1,742.68$	As above
Procurement of goods and services not involving local CAP	Ongoing throughout implementation when applicable	According to the Unified price list (UPL) US\$ 217.35 for each of the services Total: $217.35 \times 20 = 4,347$	As above
Issue/Renew IDs (UN LP, UN ID, etc.)	Ongoing throughout implementation when applicable	According to the Unified price list (UPL) US\$ 38.20 for each of the services Total: $38.20 \times 4 \times 2 = 305.6$	As above
F10 settlement (Travel request + Expense report + tickets)	Ongoing throughout implementation when applicable	According to the Unified price list (UPL) US\$ 66.05 for each of the services Total: $66,05 \times 12 = 792.6$	As above

Visa request	Ongoing throughout implementation when applicable	According to the Unified price list (UPL) US\$ 38.54 for each of the services NA	As above
Hotel reservation	Ongoing throughout implementation when applicable	According to the Unified price list (UPL) US\$ 15.87 for each of the services NA	As above
Travel Ticket processing	Ongoing throughout implementation when applicable	According to the Unified price list (UPL) US\$ 31.74 for each of the services NA	As above

Total amount for support services will be up to 24,000 USD.

ANNEX J. FINAL REPORT OF KAZAKHSTAN NATIONAL COMMUNICATION'S / BIENNIAL UPDATE REPORT'S PROJECT

Monitoring and Evaluation plans of climate change enabling activities for the preparation of National Communications on Climate Change and/or Biennial Update Reports do not require the production and publication of Terminal Evaluation Reports. Therefore, a number of intended purposes of such terminal exercises are not captured in full, including:

- The promotion of accountability and transparency, and the assessment and disclosure of the extent of the project accomplishments;
- A synthesis of lessons that can help to improve the selection, design and implementation of future GEF financed UNDP activities;
- The provision of feedback on issues that are recurrent across the portfolio, attention needed, and on improvements regarding previously identified issues; and
- The contribution to the GEF Evaluation Office databases for aggregation, analysis and reporting on effectiveness of GEF operations in achieving global environmental benefits and on the quality of monitoring and evaluation across the GEF system.

The intent of this Final Report is not to propose an abridged alternative to the Terminal Evaluation Report. Instead, its purpose is to gather some insightful details about the process of preparing the mandatory report under the UNFCCC that can be of use to both the UNDP support teams, and the current and future national project teams. Its focus is therefore on providing:

- A synthesis of lessons that can help to improve the selection, design and implementation of future GEF financed UNDP activities; and
- Feedback on issues that are recurrent across the portfolio, attention needed, and on improvements regarding previously identified issues.

National project teams in charge of the future enabling activity for the preparation of the National Communication or Biennial Update Report can therefore rely on a valuable source of information from inception to closure of the project, and UNDP support teams can further disseminate lessons across borders, fully up-taking its guiding role as implementing agency and partner within the Global Support Programme (GSP, previously known as National Communications Support Programme).

The template has been designed with the purpose of collecting relevant information, without representing a time-intensive and human resource-intensive burden to the current national project team. It is therefore divided into three core sections – project identification phase, project implementation phase and project follow-up –with for each section a limited number of open questions.

The intention is to have the team leader, Project Manager or equivalent figure completing the template, in close collaboration with other team members within the last two months of project implementation. It is furthermore the intention of the completion of this Final Report to trigger

the discussions of the upcoming National Communication and/or Biennial Update Report, taking advantage of the momentum created by the ongoing project, the presence of the core of the current national project team, and the renewed interest of national counterparts with the perspectives of an eminent or recent submission to the UNFCCC.

The completion of this template has been made mandatory and has been budgeted for in all projects that received approval post 2013 (3 working days equivalent of Project Manager’s time). You are kindly invited to send the completed template to Damiano Borgogno, damiano.borgogno@undp.org and to Eva Huttova, eva.huttova@undp.org.

A. Details of the project

Project’s title	
PIMS number	
Overall budget including GEF grant including co-financing	
Duration of implementation	
Planned duration of project	
Implementing partner	
Team Leader’s name and contact details	
Link to final report	

B. Project identification phase

Duration of preparatory phase (expressed in months)

Was the project document developed by a national/international expert? (Please, provide name if yes and expand on the satisfaction of this collaboration.)

Please, shortly describe the milestones of this initial preparatory phase (e.g. consultation workshops held, telephone interviews with key stakeholders, among others)

Where consultations made with one or more of the following stakeholder groups?

<input type="checkbox"/>	Ministry of Finance (or equivalent)	<input type="checkbox"/>	Women’s associations
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Other Ministries (not being the Ministry in charge of climate change)	Youth movements
Local Governments	Indigenous peoples' representatives
National universities	Environment or climate related NGOs
Domestic Research Centers	Other NGOs/CSOs
Media	Others (specify)

What were the main objectives for the project identified as a result of this preparatory phase?

What were the major challenges faced during this phase?

Looking back, what issues that were identified and/or overlooked during this preparatory phase had an impact on the successive implementation phase?

C. Project implementation phase

Technical components

1. GHG inventory

Base year of the GHG inventory:

Base years used in previous GHG inventories:

Expected outcome	
Expected output 1	
Expected output 2	
Expected output 3	

Final outcome	
Final output 1	
Final output 2	
Final output 3	
...	

Please, shortly discuss the expected outcomes and outputs of the GHG inventory component, and compare to what was actually realized within the context of this project. If there was any diverting from the originally expected outcomes and outputs, please explain the causes (e.g. lack of data, risk of duplication of work done in the context of parallel projects, among others).

Can you describe the process(es) implemented to generate and validate outcomes and outputs?

What pieces of advice do you have for future project teams?

2. Mitigation actions

Expected outcome(s)	
Expected output 1	
Expected output 2	
Expected output 3	
...	

Final outcome(s)	
Final output 1	
Final output 2	
Final output 3	
...	

Please, shortly discuss the expected outcomes and outputs of the vulnerability and adaptation measures and mitigation measures components, and compare to what was actually realized within the context of this project. If there was any diverting from the originally expected outcomes and outputs, please explain the causes (e.g. lack of data, risk of duplication of work done in the context of parallel projects, among others).

Can you describe the process(es) implemented to generate and validate outcomes and outputs?

What pieces of advice do you have for future project teams?

3. Vulnerability & Adaptation for NC or MRV for BUR

Expected outcome(s)	
Expected output 1	
Expected output 2	
Expected output 3	
...	

Final outcome(s)	
Final output 1	
Final output 2	
Final output 3	
...	

Please, shortly discuss the expected outcomes and outputs of the vulnerability and adaptation measures and mitigation measures components, and compare to what was actually realized within the context of this project. If there was any diverting from the originally expected outcomes and outputs, please explain the main reasons (e.g. lack of data, risk of duplication of work done in the context of parallel projects, among others).

Can you describe the process(es) implemented to generate and validate outcomes and outputs?

What pieces of advice do you have for future project teams?

4. Constraints and Gaps/Support needed

Expected outcome	
Expected output 1	
Expected output 2	
Expected output 3	
...	

Final outcome	
Final output 1	
Final output 2	
Final output 3	
...	

Please, shortly discuss the expected outcomes and outputs of the Constraints and gaps, and related financial, technical and capacity needs component, and compare to what was actually realized within the context of this project. If there was any diverting from the originally expected outcomes and outputs, please explain the main reasons (e.g. lack of data, risk of duplication of work done in the context of parallel projects, among others).

Can you describe the process(es) implemented to generate and validate outcomes and outputs?

What pieces of advice do you have for future project teams?

Capacities and use of capacities

Do you believe the project has built - in a durable and cost-effective way - human and institutional capacities? Please, elaborate.

Please, estimate the amount of work done by national experts versus international experts:

_____ % national experts. _____ % international experts and _____ % national staff.

What work was entrusted to international experts and for what reasons?

What would you have done differently, or do you advise the next project team to consider in this context?

Additional remarks

Institutional arrangements

Please, summarize an overview of the institutional arrangements for the project implementation.

Please, describe the composition of the project team.

Will the team remain in place, even after the project has fully closed?

Were gender considerations taken into account during the project design and implementation? If so, how?

Which were the strengths and weaknesses of the institutional arrangements used?

What suggestions have you to make regarding the institutional arrangements for future NC/BUR work?

Additional remarks

Technical support from GSP, CGE, or other bodies

Has the project team, or members of the project team, participated in national, regional or global training events organized by a center of excellence or above mentioned body during the course of the project? If yes, please, specify the training event(s).

What has been the contribution of this participation to the project outcomes?

What identified knowledge gaps holding back the proper implementation of the NC project could not be addressed by any of the above mentioned bodies?

In addition to capacity building support, what other assistance did the project team receive during project implementation? (E.g. review of draft report, technical backstopping of international expert)

Has UNDP provided timely and valuable support during project design and implementation? Please explain.

D. Next steps

How will findings of the project be further disseminated, if at all?

Are balance funds available under the NC/BUR project going to be used to identify the strategy of the next report?

At full project closure, is there a person or institute to whom one can turn in case there are follow-up questions to the NC/BUR?

Has the Government expressed interest to further work with UNDP on the next coming report? If no, please explain.

E. Additional information

Date	
Name and e-mail address of person who completed this template	
Others involved in completion of this template (names of individuals and their institutions)	
In case a terminal evaluation report has been produced, please link it here.	
Other attachments	

ANNEX K. RESULTS OF THE CAPACITY ASSESSMENT OF THE PROJECT IMPLEMENTING PARTNER AND HACT MICRO ASSESSMENT (TO BE COMPLETED BY UNDP COUNTRY OFFICE)

According to the UNDP rules and regulations, UNDP uses Streamlined Capacity Assessment tool in the project and programme. Capacity assessments are applicable if UNDP transfers the funds directly to the Implementing Partner in the amount above USD 300 000. This project is Direct Support to NIM and does not imply transfer to or management of funds by the Implementing Partner. Thus, capacity assessment as well as HACT is not applicable for the project.

ANNEX L: GENDER ANALYSIS AND ACTION PLAN

Gender Analysis and Action Plan will be elaborated in the initiation phase of the project implementation and included in the Inception report.