



REQUEST FOR CLIMATE CHANGE ENABLING ACTIVITY

PROPOSAL FOR FUNDING UNDER THE GEF Trust Fund

PART I: PROJECT IDENTIFIERS

EA Title:	Development of Kazakhstan's National communication to the UNFCCC and Biennial Report		
Country(ies):	Kazakhstan	GEF Project ID: ¹	
GEF Agency(ies):	UNDP (select)	GEF Agency Project ID:	5369
Other Executing Partner(s):	Ministry of Environment and Water Resources	Submission Date:	2014-03-10
GEF Focal Area (s):	Climate Change	Project Duration (Months)	36
Check if applicable:	NCSA <input type="checkbox"/> NAPA <input type="checkbox"/>	Agency Fee (\$):	80,940

A. EA FRAMEWORK*

EA Objective: To assist Kazakhstan in the preparation of its Biennial Report (BR) and National Communication (NC) for the implementation of the obligations under the UNFCCC					
EA Component	Grant Type	Expected Outcomes	Expected Outputs	Grant Amount (\$)	Confirmed Co-financing (\$)
National Circumstances	TA	1. National circumstances reviewed and updated, and national communications are promoted	1.1 National circumstances in Kazakhstan updated, and appropriate CC measures to implement the UNFCCC are redefined and explained; 1.2 Collected, analyzed, and updated the information related to national circumstances; geography, climate, natural resources and socio-economic conditions related to the GHG emissions and absorption; 1.3 Analyzed specific needs and concerns arising from climate change, national development objectives, priorities; circumstances and programmes. 1.4 Collected and analyzed gender disaggregated data in relation to climate change, i.e. women roles and responsibilities in the context of climate change in addition to gender inequalities in terms of vulnerabilities, and access to modern energy, finance, and decision-making; 1.5 Analyzed specific gender empowerment needs and proposed proper actions to promote women's participation	18,545	

¹ Project ID number will be assigned by GEFSEC.

			in defining mitigation and adaptation strategies which contribute to improved gender equality, MDGs achievements, and sustainable development in Kazakhstan.		
Greenhouse gas (GHG) inventory	TA	2. Updated GHG inventory prepared and capacity to collect this information on an ongoing basis for future NCs enhanced	2.1 Activity data, required by IPCC guidelines, collected and analyzed, data gaps filled and inventory and database improved where needed; 2.2. Emission factors for key source categories prepared and recalculated; 2.3. The GHG inventory team and data collection and analysis process maintained and strengthened; 2.4. GHG inventories under the BR and NC for all sectors and all gases considered in IPCC '96 guideline period prepared for the years 2013 (BR) and 2016 (NC); 2.5. An analysis of key GHG emitting sectors carried out , procedures and arrangements for collection and archiving of data and role of institutions involved in preparation of GHG inventory described, and uncertainty analysis conducted.	45,000	650,760

Climate change mitigation	TA	<p>3. Updated report on policies and measures to mitigate CC prepared and capacity to collect and analyze this information on an ongoing basis for future NCs strengthened. Analysis of mitigation options prepared.</p>	<p>3.1. GHG emissions projections for the period 2017-2040; 3.2. Analysis and possibilities related to mitigation presented in the TNC/6NC reviewed and upgraded, including progress on implementation the “National Concept on Green Economy”; 3.3. Necessary data and relevant information for scenario development collected, analyzed and used in the scenario development; 3.4. Mitigation scenarios (baseline, with measures, with additional measures) until 2040 for abatement of GHG emissions considering socio-economic trends developed; 3.5. A GHG emission abatement action plan until 2040 developed; 3.6. Long-term mitigation possibilities analyzed and proposed; 3.7. Potential for greenhouse gas emission reduction paths updated and mapped out, and forward-looking set of policy framework and recommendations is outlined; 3.8. Improved assessment of GHG mitigation options, measures related to BR and NC; 3.9. Capacity for collecting and analyzing information on policy and mitigation measures strengthened; 3.10. Stakeholder consultation workshops, and awareness raising activities conducted, booklets and information materials disseminated.</p>	205,000	30,000
---------------------------	----	--	---	---------	--------

<p>Vulnerability Assessment & adaptation to climate change (V&A)</p>	<p>TA</p>	<p>4. Climate change vulnerability assessment of key priority sectors extended, and those for new sectors conducted, and plans for programmes containing measures to facilitate adequate adaptation to climate change prepared</p>	<p>4.1. Current climate changes and their impact on socio-economic development of Kazakhstan described and analyzed; 4.2 Climate change scenarios revised using appropriate models, expert’s capacity on modeling climate change scenarios strengthened; 4.3. Vulnerability assessments for water, agriculture, industry and energy conducted; 4.4. Links between climate, and socio-economic baseline conditions analyzed and described; 4.5. Progress in implementation of adaptation actions proposed in the TNC/6NC assessed. The Adaptation Plan for most vulnerable sectors, including cost-benefit analysis prepared; 4.6. Framework for effective integration of adaptation measures into national strategies identified; 4.7. Stakeholder consultation workshops, and awareness raising activities conducted, booklets and information materials disseminated.</p>	<p>194,000</p>	<p>30,000</p>
--	-----------	--	---	----------------	---------------

Other relevant information	TA	5. Other relevant information is described (e.g. research/systematic observation, technology transfer, education, public awareness, capacity building)	5.1. Technology, financial and capacity needs for mitigation and adaptation assessed; 5.2. National plans and programmes on systematic observation, climate research and forecasting capacity reviewed; 5.3. Needs, gaps and priorities for education, training and public awareness identified and programmes prepared; 5.4. Information on integration of UNFCCC requirements into national legislation and strategies updated; 5.5. Information on NGO, individuals, community and sectoral initiatives in terms of climate change adaptation and mitigations explored, updated, and publicized as a contribution to the project's knowledge sharing framework.	18,000	0
Description of constraints and gaps, financial, technical and capacity needs	TA	6. Constraints and gaps, related financial, technical and capacity needs are assessed in consensual and participative manner	6.1. Information on financial, technical and capacity needs and constrains associated with the fulfillment of the national obligations under UNFCCC updated; 6.2. A list of projects with focus on barriers and opportunities for future development of GHG inventory, GHG trading system, and implementation of adaptation and mitigation actions provided; 6.3. Progress on actions expected or implemented to address the restrictions, gaps and needs identified for the fulfillment of the national obligations under UNFCCC on the basis of the previous NCs assessed; 6.4. Financial resources and technical support provided by the GEF and the country to prepare the National Communication provided.	18,000	0

BR	TA	7. The BR of Kazakhstan developed, capacity on national ETS and MRV system built	7.1 Information on national circumstances and institutional arrangements relevant to the preparation of the BR on a continuous basis provided; 7.2 Summary report of the national GHG inventory , including national inventory report for the relevant years prepared; 7.3 Review of mitigation actions and their effects, methodologies and assumptions prepared; 7.4. Updated information on national MRV system adopted for GHG ETS and suggestions for enhancement made; 7.5 Identification of constraints, gaps, related financial, technical and capacity building needs, including information of support required and received, made; 7.6 Information related to support in preparation and submission of the BR provided.	211,000	0
Production of the NC document, and BR report	TA	8. Compilation, translation and publication of the BR, and the NC, including Executive Summary	8.1 NC and BR documents produced, translated into Kazakh and English languages, published and submitted to UNFCCC Secretariat.	50,000	0
Monitoring and evaluation	TA	9. Monitoring and evaluation	9.1 Monitoring conducted; 9.2 Evaluation report produced; 9.3 Lessons learned analysed, shared, and thematic studies and results disseminated.	15,000	0
	(select)				
Subtotal				774,545	710,760
EA Management Cost² (including Direct Project Services Cost)				77,455	146,008
Total EA Cost				852,000	856,768

^a List the \$ by EA components. Please attach a detailed project budget table that supports all the EA components in this table.

² This is the cost associated with the unit executing the project on the ground and could be financed out of trust fund or co-financing sources.

B. CO-FINANCING FOR THE EA BY SOURCE AND BY NAME

Sources of Co-financing	Name of Co-financier	Type of Cofinancing	Amount (\$)
National Government	Ministry of Environment and Water Resources, JSC "Zhassyl-Damu"	In-kind	796,768
Others	UNDP CO	In-kind	60,000
(select)		(select)	
(select)		(select)	
(select)		(select)	
(select)		(select)	
(select)		(select)	
(select)		(select)	
Total Co-financing			856,768

C. GRANT RESOURCES REQUESTED BY AGENCY, FOCAL AREA AND COUNTRY

GEF Agency	Type of Trust Fund	Focal Area	Country Name/Global	EA Amount (a)	Agency Fee (b) ²	Total (c)=(a)+(b)
UNDP	GEF TF	Climate Change	Kazakhstan	852,000	80,940	932,940
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
Total Grant Resources				852,000	80,940	932,940

D. EA MANAGEMENT COST

Cost Items	Total Estimated Person Weeks/Months	Grant Amount (\$)	Co-financing (\$)	EA Total (\$)
Local consultants*	150	41,250		41,250
International consultants*				0
Office facilities, equipment, vehicles and communications*				0
Travel*			146,008	146,008
Others**	Direct Project Services**	36,205		36,205
	Specify "Others" (2)			0
	Specify "Others" (3)			0
Total		77,455	146,008	223,463

* Details to be provided in Annex A. **For Others, to be clearly specified by overwriting fields (1)-(3)

ADDITIONAL INFORMATION FOR TABLE D, IF APPLICABLE:

If costs for office facilities, equipment, vehicles and communications, travels are requesting for GEF financing, please provide justification here:

** In accordance with UNDP policies and procedures, which have been fully aligned with GEF Council requirements, UNDP Kazakhstan will provide direct project services to the national executing partner upon request of the national executing partner. These support services will be provided in following areas, for a total DPC of USD36,205:

- (a) HR activities, including recruitment of project personnel, issuance of project personnel contracts, etc.;
- (b) Procurement activities of project goods and services; and
- (c) Finance transactions that are performed on behalf of an executing partner.

PART II: ENABLING ACTIVITY JUSTIFICATION

<p>A. ENABLING ACTIVITY BACKGROUND AND CONTEXT (Provide brief information about projects implemented since a country became party to the convention and results achieved):</p>	<p>Republic of Kazakhstan signed the UN Framework Convention on Climate Change (UNFCCC) on 8 June, 1992 and ratified the UNFCCC on 17 May, 1995. In 1997 Kazakhstan stated an intention to stabilize its emissions at the level of 1990. The Kyoto Protocol (KP) has been signed on 12 March, 1999.</p> <p>On 23 March 2000 Kazakhstan being a non- Annex I Party to the UNFCCC, has made a unilateral declaration under Article 4 of the UNFCCC to the effect that it is bound by the Annex I Parties' core obligations, namely:</p> <ul style="list-style-type: none"> a. to adopt national policies and take corresponding measures on mitigation of climate change (Article 4(2a) UNFCCC); and b. to prepare and submit periodic national communications on (i) their mitigation action and (ii) the projection of anthropogenic emissions by sources and removals by sinks of greenhouse gases (Article 4(2b) UNFCCC). <p>In April 2000 the Government of the Republic of Kazakhstan established the Interagency Commission (IAC) in order to improve the interagency coordination to implement the UNFCCC and to prepare ratification of the Kyoto Protocol. The Commission included representatives of Parliament, key ministries, agencies, NGOs, international organizations and was responsible for consideration of national communications, prepared under the UNFCCC, their submission to a relevant national and international body and participation in the development of a national policy and legal and regulatory framework to address climate change in Kazakhstan, including Ecological Code.</p> <p>On 3 November 2008 Kazakhstan made a voluntary quantitative commitment and on 26 March 2009 the President of the Republic of Kazakhstan signed the KP ratification act. On 17 September 2009 Kazakhstan became an official Party to the KP. In January 2010 the Government affirmed its GHG reduction target under the Copenhagen Accord: a proposed reduction of 15% as compared to the base year 1992.</p> <p>The Ministry of Environment and Water Resources is the national focal point for the implementation of the UNFCCC and the Kyoto Protocol. Since the ratification and application of the UNFCCC and the KP, considerable efforts have been made in establishing legislation, institutional and policy frameworks in order to fulfil the requirements of the Convention and the Protocol. Fundamental steps have been initiated to integrate environmental, social and economic factors at policy and legal levels. Starting in 2000, national Concepts of Sustainable Development and Environmental Safety have been developed and relevant provisions have been made in the Environmental Codex. In 2013, based on the RIO+20 outcomes Kazakhstan has developed and approved the Green Economy Concept, which contains a business case for the transition, objectives and expected outcomes, specific priority sectors which have largest green growth potential and relevant financial mechanisms for financing green projects based on best practice and taking into account specifics of Kazakhstan's economy.</p> <p>In 2010, Kazakhstan set a voluntary commitment to reduce GHG emissions by 15% below 1992 levels by 2020 and by 25% by 2050. However in 2012, Kazakhstan revisited this goal and declared its readiness to reduce GHG emissions by 5-7% during 2013-2020</p> <p>Kazakhstan is implementing GHG emissions trading and several other measures to move towards a low carbon economy, including the establishment of short-, medium-, and long-term goals for increasing the share of alternative energy and natural gas in electricity generation, improving energy efficiency in electricity and heat generation, and reducing GHG emissions.</p> <p>In the transport sector, the government is focused on improving infrastructure, switching to natural gas vehicles, and implementing Euro-5 vehicle emission standards by 2016.</p>
---	--

The Government is considering a 7% reduction as an internal target by 2020, and is now evaluating and implementing mitigation options to meet this goal. At the national level, activities related to GHG reduction have intensified in recent years following publication of the “Strategic Development Plan of the Republic of Kazakhstan to 2020”, approved by Presidential Decree (No. 922) on 1 February 2010, and with an initiative to establish the Kazakhstan GHG Emissions Trading Scheme (ETS). ETS is a market mechanism based on a National Allocation Plan which helps enterprises to modernize their production processes and facilities and provide a more flexible financial mechanism. Sectors covered by ETS include energy, oil&gas, mining and chemical industry.

The primary document that allows Kazakhstan to develop an ETS is the Ecological Code amended by law No. 505-IV entitled “On Amendments and Additions to Certain Legislative Acts of the Republic of Kazakhstan concerning Environmental Issues” (the Law “On Amendments”) adopted on 3 December 2011. According to the Article 94-7 of the Ecological Code, a market mechanism for reductions of GHG emissions should include:

- 1) Trade in national GHG emissions allowances;
- 2) Trade in certified emissions reductions (CERs), emissions removal units (ERUs) and units from domestic offset projects; and
- 3) International trade in allowances between the countries that have quotas and/or GHG emissions reductions and their legal entities.

In addition, the Republic of Kazakhstan’s application for observer status to the International Carbon Action Partnership (ICAP), made on July 20, 2012, has been accepted.

Under its commitments as a party of the UNFCCC, Kazakhstan has prepared three National Communications (NCs), an Initial National Communication in 1998, the Second National Communication (SNC) in 2009 as a non-Annex I party and Third National Communication (TNC/6NC) submitted in December 2013³. Kazakhstan follows Annex I guidance for the preparation of the NC and GHG inventories. Moreover, Kazakhstan considered the preparation of its Biennial Report (BR) to be submitted during the second half of 2014.

The following highlights outlines a number of national documents which specifies climate change as a major risk:

Initial National Communication (INC 1998): Kazakhstan’s INC identified the following vulnerable sectors which include: Water resources and agriculture, especially wheat production. The INC concluded that water resources have been considered to be the most climate vulnerable sector as compounded by the country’s severe water resource situation.

Second National Communication (SNC 2009): Kazakhstan’s SNC indicated that water resources, agriculture, public health and forestry are considered perhaps the most vulnerable sectors to climate change in Kazakhstan.

Third National Communication (TNC/6NC, 2013)³: Kazakhstan TNC/6NC indicated that greenhouse gas emissions in Kazakhstan remain among the highest in the Central Asia expressed as emissions per capita. The further climate warming may lead to irreversible effects. The conditions of cereal cropping will deteriorate and the yield of spring wheat will be reduced by almost half by 2050 as a result of the shift of climatic zones. In the worst case scenario of climate hazards, the water scarcity will be increased and the river runoff may be as low as 50 km³/year while 90 km³/year are required. Climate changes represent major threats to the human health, such as limited access to safe drinking water, infectious diseases spreading, and increase in emergencies.

Green Economy Concept and Action Plan(2013): The Concept set the following targets:

- To decrease energy intensity of GDP by 50% by 2050 from the 2008 level;
- To reduce current CO₂ emissions in electricity production by 40% by 2050;
- To increase the share of non-conventional energy sources in the electricity production by 50% by 2050.

³ TNC/6NC contains 3rd, 4th, 5th and 6th reports over the period from 2006 to 2012, which aligns it with willingness of Kazakhstan to be an Annex 1 party.

	<p>National GHG Allocation Plans 2013, 2014-2015 is a basic element of National GHG Trading system, which defines number of GHG allowances for key emitting sectors, such as energy, oil and gas, mining and chemical industry for the certain period.</p> <p>The first BR is planned to be submitted to the UNFCCC at COP20 in 2014 and the seventh NC is planned to be submitted during the year 2018. In addition, a second BR will be submitted to the UNFCCC in December 2016, Kazakhstan fully complying with its submission requirements.</p>
<p>B. ENABLING ACTIVITY GOALS, OBJECTIVES, AND ACTIVITIES (The proposal should briefly justify and describe the project framework. Identify also key stakeholders involved in the project including the private sector, civil society organizations, local and indigenous communities, and their respective roles, as applicable. Describe also how the gender dimensions are considered in project design and implementation):</p>	<p>The key goals of the enabling project are the following:</p> <ol style="list-style-type: none"> 1. Assist Kazakhstan in meeting the reporting requirements under Article 12 of the Convention as it prepares the National Communication (NC), 2. Develop national capacities in preparing the BR; and 3. Strengthen the national technical and institutional capacities to address the capacity building and institutional arrangements for the NC and BR including data collection, processing, archiving interpretation, and dissemination for GHG inventory, and mitigation actions in a sustainable manner, as well as to assist the government to integrating climate change issues into sectoral and national development priorities. <p>The relevance of the project goes well beyond complying with reporting requirements. It will allow the country to reinforce several institutional arrangements, necessary for the consolidation - at a higher level - of interrelations, of coordination and cooperation among stakeholders, including the political and technical level of support. Due to the dynamics of the work that underlay the preparation process of national communications, the project implementation will act as a precursor for the internalization of a long-term process. The perspective suggests that the NC/BR is going to generate the basis to reinforce the decision making process and networking, unified around a common goal. It will create the opportunity to link complementary and interrelated project milestones, in a much more efficient way, coordinating the schedules of expected products and outcomes.</p> <p>The project will further assist Kazakhstan:</p> <ol style="list-style-type: none"> 1. update and significantly improve of GHG inventory methods, by phasing out the gaps and reducing the uncertainties encountered in the previous inventories; 2. update existing and develop new programmes that include mitigation measures to abate GHG emissions; conduct impact assessment of climate change on health, agriculture water resources, industry and others; 3. identify and update a policy framework to facilitate adequate adaptation to climate change for the new areas of agriculture (choose new sectors and evaluate impact of CC); 4. Collect, and analyze gender disaggregated data in relation to climate change; 5. Analyze specific gender needs and propose proper actions to promote women's participation in defining mitigation and adaptation strategies; and 6. update the constraints, gaps, and related financial, technical and capacity needs, and publicize findings and promote national communication. <p>Furthermore, the support to the NC/BR will allow for the achievement of expected outcomes, which are in line with the GEF's climate change mitigation strategic objective (SO-6) under GEF-5: Enabling Activities: Support enabling activities and capacity building under the Convention. The outcome is: Completed climate change enabling activities under the UNFCCC.”</p>

The project is critical because it will touch on NC/BR major gaps and constrains besides taking actions to:

1. Assess climate change impact on new sectors, and areas which have not been assessed, and no proper adaptation measures have been proposed yet including eco-tourism, and others;
2. Enhance the general awareness and knowledge on climate change related issues in Kazakhstan at the planning and policy levels enabling Kazakhstan's decision makers to take such issues into account in national development agendas;
3. Mobilize additional resources for projects related to climate change and mitigation of greenhouse gases, projects which may be eligible also for further funding or co-funding by GEF or other multilateral or bilateral organizations;
4. Develop a popular willingness to take actions and develop public and institutional support to mainstream climate change issues into relevant social, economic and environmental policies;
7. Organize national consultations on implementation of recently adopted Green Economy conceptions (GEC) for national context GHG mitigation activities;
5. Provide guidance for assessing vulnerability to climate change as well as identifying, prioritizing, and shaping potential adaptation options into a coherent plan that is consistent with national sustainable development and other priorities;
6. Strengthen the capacity of the national negotiators team to contribute to the ongoing climate change international negotiations under the UNFCCC in order to analyze opportunities and obligations rising from new regional and international initiatives; and
7. Ensure the implementation of actions contributing to climate change mitigation and adaptation in the period after 2012

On the other hand, as GEF, following the COP decisions, encourages the non-Annex I parties under the Convention to apply for the Biennial Update Reports, Kazakhstan⁴ will follow Annex I guidance for the preparation of the NC and GHG inventories and takes the opportunity to include the proposal for the BR within this NC proposal. The BR emphasizes upon related identification of gaps, and financial, technical and capacity needs in addition to mitigation actions and measures as well as information on development of NAMA, domestic MRV and national registry system, among others.

Notably, the BR proposal will synergize and complement some components outlined in the NC. The preparation of BR will follow the guidelines provided by the COP. The process of including the BR proposal together with the NC is technically, economically and timely feasible by ensuring effective use of resources and consistency of the methodologies and information exchange.

The long-term objective of this project is to enhance capacity building efforts, make efficient use of compiled information, and engage technical experts and institutions more effectively, as a way to ensure sustainability and continuity of the planned activities. The project outcomes will be achieved through a wide range of outputs, including:

- i) Enabling the institutionalization of GHG emissions data collection process according to the National GHG Inventory System, which establishes and defines the process description, data flows, calculation, monitoring and verification, and responsibilities,

⁴ Kazakhstan is an Annex 1 Party for the purposes of Kyoto Protocol, but it's the NA1 Party for the UNFCCC. Conclusion FCCC/CP/2001/13/Add.4, section V.C (<http://unfccc.int/resource/docs/cop7/13a04.pdf>)
According to the next UNFCCC conclusion FCCC/CP/2006/L.2 KC UNFCCC requested Kazakhstan to submit its national communication² and annual greenhouse gas inventories³ in accordance with Article 4, paragraph 2(b), and Article 12 of the Convention, using the relevant UNFCCC guidelines (<http://unfccc.int/resource/docs/2006/cop12/eng/102.pdf>)

	<p>based on methodologies adopted from the IPCC;</p> <ul style="list-style-type: none"> ii) An assessment of options to adapt to the impacts of climate change, with special attention to climate change impact studies on agriculture, water resources and eco-tourism; iii) An analysis of potential options to mitigate the increase in GHG emissions and to enhance removals by sinks, taking into account long-term projections. A necessary financial and technological needs assessment will be conducted and priorities will be identified for climate change research, monitoring, education, training and awareness raising, institutional strengthening and climate change policy development. <p>Without this enabling activity project, Kazakhstan will not be able to fulfill its commitments under UNFCCC and prepare and submit the BR and NC to the Conference of Parties (CoP) of the UNFCCC. This proposed project will assist in building national capacities to fulfill Kazakhstan’s commitments under the Convention on a continuing basis while further increasing the awareness on climate change issues particularly among policy-makers leading to full integration of climate considerations into national and sectoral policies, strategies, and programme. Similarly, the project will assist to implement the Green Economy Concept and national ETS system in a more effective and transparent manner in synergy with other environmental conventions. Similarly, the preparation of BR will enable Kazakhstan to effectively prepare the report in the future.</p> <p>In addition to gender disaggregated data collection for the National Circumstances chapter, the NC and BR project will ensure that the needs of women, but also children, indigenous and marginalized people and communities are adequately considered. During the inception phase, the project will design a strategy to ensure the adequate participation of women and local groups in activities to address climate change that may impact or benefit them. This will seek to address gender and vulnerable community dimensions, especially in the mitigation and V&A work.</p>
<p>C. DESCRIBE THE ENABLING ACTIVITY AND INSTITUTIONAL FRAMEWORK FOR PROJECT IMPLEMENTATION (discuss the work intended to be undertaken and the output expected from each activity as outlined in Table A).</p>	<p>Institutional framework: The objectives of the Project will be achieved with in-kind support of the Government of Kazakhstan and UNDP CO through the use of office equipment, premises for conference and meetings and the provision of office space. UNDP Kazakhstan will act as GEF Implementing Agency for the development of the National Communication project and BR Project. Merging these two activities will enable a rational use of funds and avoid duplication.</p> <ul style="list-style-type: none"> • UNDP Kazakhstan will assist Kazakhstan for the entire project length to implement the activities set forth and will monitor and supervise the project on behalf of the GEF. • On behalf of the Government of Kazakhstan, the Ministry of Environment and Water Resources (MEWR), in its capacity of a UNFCCC National Focal Point and GEF Focal point will act as the Executing Agency to coordinate and implement project activities. • A Project Implementation team will consist of a Project Manager (PM) and Project Assistant along with the technical team responsible for the deliverables as specified in the project proposal. • The UNDP Country Office will monitor and support implementation of the project in line with standard procedures.

The overall responsibility for the project implementation by MEWR implies the timely and verifiable attainment of project objectives and outcomes. MEWR will provide support to, and inputs for the implementation of all project activities. The MEWR will nominate a high level official who will serve as the National Project Director (NPD) for the project implementation. The NPD will chair the Project Steering Committee (PSC) and other relevant stakeholder, sectoral and working groups under the project, and be responsible for providing government oversight and guidance to the project implementation. The NPD, in addition to the PSC members will not be paid from the project funds, but will represent a Government in-kind contribution to the Project.

Activities for project implementation: Information on the **national circumstances** provided in the TNC/6NC will be updated, considering the new emerging issues, realities on the ground and the recent socio-economic assessment facilitated by the donor community in the country. Data generated in the context of ongoing and executed projects as well as national documents will be used. Climate conditions of Kazakhstan, geography, population, natural resources and relevant socio/economic parameters will be considered and reported on in the national circumstances section of the NC. To this end, review of existing and ongoing international, regional, national projects, legislation and strategic documents will be undertaken in close cooperation with different governmental institutions/agencies and NGOs. Socio-economic parameters and their relation to climate change will be analyzed, since this link was largely inadequate in the TNC/6NC. Special attention will be paid to new information and data related to especially vulnerable sectors, and those that are the largest contributors to the GHG emissions. In addition, gender-disaggregated data in relations to climate change vulnerability, and adaptation as well as mitigation actions will be prepared (for more details, see below).

Gender disaggregated data will be collected and reported on, unpacking the different stresses climate change brings to women and men, but also reflecting on the different contributions different groups can bring to the mitigation and adaptation measures.

In brief, all the thematic components that define the National Circumstances will be updated and revised for their inclusion in the documents that will be developed.

Under the previous NC's **GHG inventories of emissions by sources and removals by sinks** were prepared for the years 1990-2011, and 2012, covering GHG emissions from the energy sector, industrial processes, waste, agriculture, land-use change and forestry. The National Greenhouse Gas Inventory must be developed jointly with the JSC "Zhassyl-Damu", which is responsible for annual National GHG Emission Report preparation and its submission to UNFCCC. For this reason, the NC/BR Project seeks to close the gaps between this project and JSC "Zhassyl-Damu" for the development of the GHG National Inventory. This comprises several activities:

- *Coordination and consensus:* an initial meeting will be held between the NC/BR team and the JSC "Zhassyl-Damu" team in order to harmonize criteria, delivery timetables, synergies, and other aspects. It aims to optimize the use of human, technical and financial resources. Special attention will be given to the coordination in the product delivery schedule of projects, and the National Greenhouse Gas Inventory calculation and reporting requirements for the NC/BR.
- *Specifying methodological aspects:* the IPCC guidelines which best apply to the national circumstances will need to be determined, considering the criteria used by other simultaneous processes.

- *Verification process of the GHG Inventory:* Inventory verification will take place consequently with the quality assurance process (QA/QC). It will be tackled in a participative manner since it involves several participants: ministries, universities, research institutions, expert network, etc. This will help to consolidate technical skills, but also to reinforce the involvement of stakeholders.
- *Calculation of the GHG Inventory:* The calculation of inventory for 2016 will be carried out with the support of trained staff of JSC “Zhassyl Damu”. These could be incorporated into the taskforce structure of the proposed Inventory Management System of GHG, as determined during the project development.
- *Description of achievements:* The project will report progress in each of its components: agreements, institutional arrangements promoted, stakeholder engagement, submission schedule of expected output, capacity building, knowledge transfer, technological tools, etc.
- *Achieving technological synergies:* the technological data base platform must match with the selected software, for the inventory calculation, through an interface. This will enable an automatic and more efficient calculation procedure to obtain National Greenhouse Gas Inventory for all the years included in the NC (2016) and BRs (first BR 2013) to come.
- *Defining the National Inventory System:* the NIS consist of the integration, coordination and implementation of a set of human, technical, technological and financial resources (coming from the fusion of different projects), to assist and develop the regular and ongoing preparation of the national inventory. Kazakhstan’s NIS management model defines the process description, data flows, calculation, monitoring and verification, and their representation.
- *Institutionalizing the GHG Inventory generation process:* the NC/BR project considers the elaboration of Procedure Manuals, which will be part of the National Inventory System.

During preparation of the NC, input data from the initial GHG inventory will be revised and recalculated in order to reduce uncertainty. Update of GHG inventory and emissions by sources and removals by sinks for the **year 2016**, and the gaps and the uncertainties encountered in the previous inventory will be reduced and brodged; and programmes that include mitigation measures to abate GHG emissions will be updated and revised.

To this end, the following methodological guidance will be used: Revised IPCC 1996 Guidelines; the IPCC Good Practice Guidance and Uncertainty Management in National Greenhouse Gas Inventories; IPCC Good Practice Guidance on Land Use, Land-Use Change and Forestry. The Handbook developed by UNDP on “Managing the National Greenhouse Gas Inventory” will be followed while conducting the national inventory in order to identify recommendations for the design of an inventory management system. Finally, the software and GHG reporting tables developed by the UNFCCC Secretariat (Decision 17/CP.8) for archiving data and data reporting of inventory results will be used. Appropriate approaches to ensure the quality of the estimates will be adopted. The taskforce will also be responsible for developing data archiving system to facilitate the inventory process, especially in their respective sectors.

To sustain the inventory working groups, training opportunities will be promoted. Similarly, exchange in knowledge and experiences with other researchers in the region will be encouraged. The experiences from this project will be used to institutionalize the inventory process into the regular works of the relevant agencies and ministries.

It is envisaged that this approach will promote ownership and participation among relevant

agencies and will sustain the inventory process for Kazakhstan.

On **vulnerability and adaptation assessments**, the NC focuses its attention on closing some of the gaps between the obtained results and the ones reported during the TNC/6NC, and/or the achievements identified to date. It should be noted that the financing needs for adaptation & vulnerability studies are considerable, starting by measuring & monitoring climate, climatic characterization, the testing of many climate models, the development of vulnerability assessments and the documented adaptation policy design.

The activities below are based on the prioritization of V&A study needs, referred in expected outputs:

- Improvement of climate monitoring: describing the progress made by the KazHydroMet and other related entities (independently, or in conjunction with the Ministry of Environment and Water Resources). Specifically those related to the quantity and quality of climate information generated and reported.
- Update climate models and testing/use of new ones: compiling information and updating climate models based on the TNC/6NC's achievements. Future climate change will be investigated using more parameters based on availability of data. In addition, it will include the testing/use of other IPCC models that complement the findings.
- Interpretation of the "outputs" or the results of climate models, making comparisons between results, establishing patterns and/or trends, strengthening the understanding of the climate of Kazakhstan, formulating conclusions and consensus. Capacity building for selected employees should be included among the products generated for this activity.
- Elaboration and/or revision of vulnerability studies: the first step will consist of a compilation process of information related to vulnerability assessment, already realized for a wide range of stakeholders, since the TNC/6NC. Then, it should continue in a similar manner to any research project; compile the information, select the methodology, develop the study and formulate conclusions on vulnerability. Studies should also involve KazHydroMet employees, for the sake of their expertise and in order to further enhance their technical skills.
- Description of adaptation achievements: it will consist of the collection of information on ongoing and executed projects to facilitate adaptation and evaluate their impacts. Then it will describe the progress or specific impacts considering both prioritized areas and cross components.
- Review of adaptation policies: will be based on the review of the existing policy to promote and reinforce the adaptation processes. This includes the design at a national scale and the effective inclusion into regional development plans at a regional and local scale. Additionally, based on the vulnerability studies elaborated by the project, an adaptation policy proposal will be carried out consisting of specific actions to promote adaptation. This will consider the National Adaptation Plan. Additionally, the project will promote a participatory agenda in the context of the NC that will strengthen joint work of the actors and technical skills, further high-lighting the role of regional and local Akimats in this context.

The NC will pay special attention to extreme weather events. Also, more direct links between the climate change scenarios and their socio-economic impacts will be analyzed. The NC will focus on the assessment of the vulnerability of natural ecosystems and sectors of economy and climate risks besides introducing new sectors such as eco-tourism. Since the agriculture sector is exceptionally vulnerable to extreme weather, special attention will be devoted to expected changes in extreme weather events frequency, intensity and distribution and their impact on agro-climatic conditions. Therefore, a vulnerability assessment in the sector of agriculture will be extended in order to more precisely determine the climate

change influence on agricultural production and the links with water resources which are highly vulnerable to climate change. These synergetic potentials between the two sectors which are the most vulnerable to climate change will contribute to better adaptation of agricultural production, and help propose suitable farming systems for actual and expected agro-ecological conditions. Finally, analysis related to food security will be addressed.

Furthermore, the NC will analyze the impacts of climate change on new thematic areas which have not been explored in the TNC/6NC which includes the eco-tourism sector.

The **mitigation analysis** will build on the results obtained in previous national communications. NC/BR will analyze the progress in mitigation actions: advances made in implementing mitigation measures according to the prioritized sectors (Energy, in particular, power generation sector, the largest contributor to the total GHG emissions in Kazakhstan, Waste, Industrial Processes, Transport), starting from the compilation and review of all the relevant initiatives, undertaken by different national actors, especially since TNC/6NC. In the NC/BR, more in-depth analysis will be carried out as well as a basis for long-term mitigation strategy will be conducted with major emphasis on the energy sector.

Analysis and results existing in the TNC/6NC will be revised, GHG projections for the period 2017-2040 will be made and mitigation options will be summarized and analyzed. Essential analysis of energy consumption will be further extended, including energy consumption in the transportation, commercial, industry, and in the public sector and in the households. Appropriate attention will be given to the National GHG Emissions Trading Scheme, which has been introduced in Kazakhstan in 2013 and MRV system. It should be clear that the NC shall address the general issues about MRV, leaving the specific information on technical and methodological details to be developed by the BR.

Mitigation assessment will be extended and will include relevant information on the barriers and opportunities for implementation of the proposed measures. The main implementation requirements will be identified, including: cost-benefit analysis, timeframe, assessment of technology options for the different mitigation options in various sectors, institutional capacity-building needs to sustain mitigation work and the related legal and institutional frameworks. Appropriate methods and tools will be applied in analysis in the NC/BR for the mitigation options.

The mitigation analysis will be carried out in the context of Kazakhstan's development priorities in order to ensure that the mitigation options proposed are aligned with development needs.

With regards to the **Other information considered relevant to the achievement of the objective of the UNFCCC**, the unavailability of financial, technical resources and absence of systematic approach are considered as the main barriers to strengthen capacity and ensure sustainability of implementation of various programmes related to climate change. Therefore, activities related to provisions under Article 6 of the UNFCCC, as well as needs assessment for systematic observation and climate change research and technology needs assessment for various sectors in relation to mitigation and adaptation are among priority areas. The detailed assessments related to these priorities will be launched during the NC inception workshop.

A great number of activities have been planned under this component, covering areas of technology and technology transfer, climate research and systematic observation, research programmes, education, training and public awareness as well as capacity building. Some information will be updated as compared to the previous NC. Analysis of national and regional institutional frameworks, projects, programmes and documents related to climate change; Collection of relevant information through close cooperation with different governmental institutions, agencies, academia, NGOs and individual interviews.

National institutional arrangements for initiation and coordination of activities for implementation of the UNFCCC, coordinated by Kazakhstan UNFCCC National Focal Point, are generally functioning. The capacity needs and gaps for fulfilling the Convention will be updated. The results of this project will be used as well as the results of other relevant projects that have been implemented by different stakeholders. Update of financial, technical and capacity needs and constraints of institutions responsible for activities related to climate change will be conducted through the collection, synthesis and analysis of existing information, individual interviews or group discussions, site visits, among others.

The NC will assess and identify cost-effective technologies to implement priority mitigation options which was lacking in the TNC/6NC. Furthermore, plans for addressing technical and institutional gaps, and needs for enhancing GHG inventory data collection, processing, archiving, and adoption of mitigation action in Kazakhstan will be prepared. Promoting of introducing renewable energy and energy efficiency will be carried out in consultations with stakeholders and partners. In addition, socio-economic consequences of different mitigation options in Kazakhstan will be assessed, and proper measured to be identified. Economic analysis including cost-effectiveness analysis of the various mitigation options will be carried out. Task force on climate change knowledge sharing and awareness raising will be established with mass-media and NGO representatives. Climate change information sharing will be enhanced.

As for the **BR**, appropriate institutional arrangement and capacities will be enhanced. Project will use the findings of the TNC/6NC as the baseline, a synthesis of the information referring to institutional arrangements, which have influenced the mechanisms and country organization to assume the reporting frequency of the National Communications, will be made. Under the BR a GHG inventory with base year 2013 will be made, complementing the inventories that have been done under previous NC work and future NC/BR work, the progress made in the institutionalization of this complex process (involving: forms, spreadsheets, database platform, compile of information, tracking tasks of data generation, periodic reporting, etc.) shall be mentioned. The BR ad-hoc working group will be established. BR guidelines on mitigation actions will be prepared for the ad-hoc BR national working group. Also, related financial, technical and capacity gaps and needs will be identified, and reported on. Methodologies used for GHG data collection, analysis, and dissemination in the TNC/6NC will facilitate subsequent BR reporting. Mitigation options identified in the TNC/6NC will be assessed and reported by the BR. Mitigation interventions like LPG power station; power transmission energy efficiencies, renewable energy farms-solar and winds will be identified and reported on. The BR will report on the assessment made of existing arrangements for domestic monitoring, reporting and verification (MRV) and indicate ways for improvement for organizational and institutional arrangements, cross-sectoral approaches, technical and institutional capacity-building needs. The current gaps, barriers (including but not exclusively legal and institutional) and needs for improvement will be identified. In that sense, an evaluation matrix based on key resources (capacity building, financial and technological) will be fulfilled. A stakeholder analysis will be conducted and their capacities mapped out, based on which trainings, workshops, and seminars may be organized. Finally, detailed description of the obtained support for the

development and submission of BR will be made.

On stakeholder involvement in the implementation of the project: Effective stakeholder's participation, line ministries, and agencies, in addition to local communities, local authorities and NGOs, mass-media, research institutions, private sector in the planning, monitoring, evaluation of the project is essential. The project proposal intends to strengthen stakeholder's participation including local community engagement, and women empowerment to collectively participate in addressing climate change issues and challenges in Kazakhstan. The stakeholders of the project are expected to come from a range of backgrounds, with particular emphasis on related sectors.

These will include the Ministry of Environment and Water Resources, Ministry of Economic and Budget Planning, Ministry of Industry and New Technologies, Ministry of Health, Ministry of Education and Science, KazHydroMet, JSC "Zhassyl Damu", Emergency Agency, Agency on Land Resource Use, Ministry of Agriculture, Ministry of Transport and Communications, Agency on Statistics, Parliament, EcoForum of NGOs, business-associations, including partnerships with women's groups, youth groups and other NGOs and mass-media.

On Gender mainstreaming: Although the Government of Kazakhstan has made positive moves towards eliminating gender inequality, in practice the status of women in Kazakhstan still needs further enhancement to ensure that they are equals to men. The Government of Kazakhstan has been demonstrating its commitment to the principles and norms of gender equality and to the fundamental documents on the advancement of women and takes concrete measures to ensure gender equality in both legislation and practice in the country. The National Commission for Women and Gender Equality, established in 1999, has completed a National Plan of Action for the improvement of the status of women in Kazakhstan and now is taking active steps to implement Strategy on gender equality for the years 2006-2016 developed by the Government of Kazakhstan in close cooperation with the UN country team, non-governmental and international organizations. Recognizing this challenge, the Government of Kazakhstan is making serious efforts in meeting the needs of vulnerable population, including women. So, starting year 2004, in the mid-term socio-economic development plan, there is a chapter titled Gender Development. One of the priorities of social development is family support

In addition, the UNDP's Country Office Kazakhstan , in collaboration with the Government of Kazakhstan , has identified the following priority areas for intervention that was clearly listed in Country Office Gender Strategy, which is aligned with the UNDAF for Kazakhstan :

- Improving the institutional framework to ensure that women and girls have full access to their rights, mainly political ones.
- Increased consideration of gender concerns in the allocation of public financial resources
- Improving social perceptions and attitudes towards gender roles

However, the aforementioned considerations are generic but instead powerful guidelines will serve to orient project activities with respect to gender.

It is worth noting that persistent gender inequalities are seen as a major impediment to Kazakhstan's development as they effectively limit the productive potential of half the population. More specifically, rural women in Kazakhstan contribute to the household by taking on productive (agriculture, and collection of firewood, grilling, and fetching water) and reproductive chores (cooking and cleaning, and looking after the children). Some of

these activities have an impact on the GHG emissions due to lack of access to clean and efficient energy sources. The previous NCs had not dealt with gender mainstreaming issues, leaving room for improvement in the new NC and BR. Mitigation actions have largely focused on reduction of industrial greenhouse gas emissions, but also include the practice of energy efficiency and the application of renewable energy in commercial and residential sectors. The role of women in such climate change mitigation strategies has received little attention in previous NCs, as actions have been perceived to be either technical or scientific in nature. However, as climate change is partly the result of human behavior and affects all people, mitigation strategies in the TNC/6NC will consider the gendered patterns of energy use in order to be effective.

In this sense, the project will incorporate a gender perspective in the identification, description and preparation of mitigation actions when relevant. Also, the gender dimension in the NC as women will be meaningfully involved, not only as beneficiaries but also in the decision-making process of climate change related activities. Moreover, understanding how the different social roles and economic status of men and women affect, and are affected differently by climate change will be considered for appropriate adaptation and mitigation actions. In this sense, and for this specific project, the update of the national circumstances chapter of the Biennial Update Report will consider this gender dimension in order to better understand how the different roles of men and women in Kazakhstan and social and economic circumstances may affect Kazakhstan's ability to deal with mitigating and adapting to climate change.

Additionally, the project coordination will ensure that gender considerations become part and parcel of the NC. Training Manuals on Gender and Climate Change will be followed. During the project inception the mandatory UNDP gender marker will be applied. This requires that each project in UNDP's ATLAS system be rated for gender relevance. This will for example include a brief analysis of how the project plans to achieve its environmental objective by addressing the differences in the roles and needs of women and men. On this regard, the project will give special attention to gender as one of the key stakeholders and beneficiaries from climate change adaptation and mitigation.

The project intends to empower gender either by identifying appropriate female local consultants if available. In addition, workshops will be conducted in which gender balance will be ensured. Furthermore, gender will be mainstreamed into the NC in a way that ensures that equitable participation of women in the decision-making process of climate change adaptation and mitigation. With regard to the technical team to be hired to implement the enabling activity, gender balance will also be considered.

<p>D. DESCRIBE, IF POSSIBLE, THE EXPECTED COST-EFFECTIVENESS OF THE PROJECT:</p>	<p>The NC/BR project contributes indirectly to Kazakhstan’s commitments under the UNFCCC to enable Kazakhstan address climate change considerations (reductions of CO₂ emission, energy savings and reduction of vulnerability to climate change). By increasing Kazakhstan’s capacity to measure and forecast its GHG emissions and an evaluation of the most vulnerable sectors the requested funding will thus be applied in a cost-effective way. The preparation of work programmes on capacity building and awareness rising for climate change is an essential step for strengthening national capacity to implement measures for climate protection, sustainable use of resources and climate resilience. The preparation of work programmes on capacity building ensures the cost-efficiency of the GEF Funds. On the other hand, the design of the NC draws on the experiences and results of the previous NCs; in particular, activities are focused on areas and sectors that have been identified as most relevant for the GHG balance in Kazakhstan. A central element of the strategy to enhance the cost effectiveness of the NC/BR Project is the capitalization of work relations built during the project implementation, and on existing experience with climate change within national institutions, donor agencies, and other related UNDP projects. The total project enabling cost is estimated to be about US\$ 1,708,768. When all components of the project are implemented, Kazakhstan's capacity to meet its obligations under the UNFCCC will be strengthened on a continuous basis. In addition, the NC and BR Report will be produced, the vulnerability and adaptation measures will be updated, the GHG emission estimates over a longer period will be modeled, and appropriate mitigation measures will be proposed. The project will also ensure socio-economic benefits through integrating gender, and livelihoods, health considerations into biodiversity interventions. The project will liaise with UNDAF, UNDP CPAP and other UNDP projects on biodiversity conservation, gender equality, civil society, climate risk and water resources management.</p> <p>Additionally, stocktaking exercise and national multi-sectoral stakeholder’s consultations such as national counterparts, local authorities, NGOs, local communities, and other related partners will be further facilitated given the good impression and relations built up and strengthened through the TNC/6NC project which in turns creates broader national ownership of the enabling activities on the climate change project’s results. Although, the TNC/6NC project has implemented some polite climate change vulnerability assessment for agriculture, water, health and fishery across natural ecosystems, there are still a lot to be assessed under the NC/BR project. The vulnerability studies have yet identified the most viable adaptation strategies to cope with potential risks in future yields for subsistence agriculture in Kazakhstan, one of the largest and most vulnerable sector. The project will also carry out vulnerability and adaptation (studies) on new sectors including eco-tourism and which have not yet assessed by the previous national communications. Communication and consultations with UNICEF, UNIDO, WHO, and other agencies including UNDP related projects will be carried out to explore synergetic links with respect to climate-induced diseases under changing climate.</p>
---	---

<p>E. DESCRIBE THE BUDGETED M&E PLAN:</p>	<p>The project will be monitored through the following M& E activities.</p> <p><u>Project start:</u> A Project Inception Workshop will be held <u>within the first 2 months</u> of project start with those with assigned roles in the project organization structure, UNDP country office and where appropriate/feasible regional technical policy and programme advisors as well as other stakeholders. The Inception Workshop is crucial to building ownership for the project results and to plan the first year annual work plan.</p> <p>The Inception Workshop should address a number of key issues including:</p> <ul style="list-style-type: none"> • Assist all partners to fully understand and take ownership of the project. Detail the roles, support services and complementary responsibilities of UNDP CO and RCU staff vis à vis the project team. Discuss the roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms. The Terms of Reference for project staff will be discussed again as needed. • Based on the project results framework and the relevant GEF Tracking Tool if appropriate, finalize the first annual work plan. Review and agree on the indicators, targets and their means of verification, and recheck assumptions and risks. • Provide a detailed overview of reporting, monitoring and evaluation (M&E) requirements. The Monitoring and Evaluation work plan and budget should be agreed and scheduled. • Discuss financial reporting procedures and obligations, and arrangements for annual audit. • Plan and schedule Project Board meetings. Roles and responsibilities of all project organisation structures should be clarified and meetings planned. The first Project Board meeting should be held within the first 12 months following the inception workshop. <p>An <u>Inception Workshop</u> report is a key reference document and must be prepared and shared with participants to formalize various agreements and plans decided during the meeting.</p> <p><u>Quarterly:</u></p> <ul style="list-style-type: none"> ➤ Progress made shall be monitored in the UNDP Enhanced Results Based Management Platform. ➤ Based on the initial risk analysis submitted, the risk log shall be regularly updated in ATLAS. Risks become critical when the impact and probability are high. Note that for UNDP GEF projects, all financial risks associated with financial instruments such as revolving funds, microfinance schemes, or capitalization of ESCOs are automatically classified as critical on the basis of their innovative nature (high impact and uncertainty due to no previous experience justifies classification as critical). ➤ Based on the information recorded in Atlas, a Project Progress Reports (PPR) can be generated in the Executive Snapshot. ➤ Other ATLAS logs can be used to monitor issues, lessons learned etc... The use of these functions is a key indicator in the UNDP Executive Balanced Scorecard. <p><u>Bi-annual progress:</u></p> <ul style="list-style-type: none"> ➤ Status Survey Questionnaires to indicate progress and identify bottlenecks as well as technical support needs will be carried out twice a year. <p><u>Periodic Monitoring:</u> A detailed schedule of project reviews meetings will be developed by the project management, in consultation with project implementation partners and stakeholder representatives and incorporated in the Project Inception Report. Such a schedule will include: (i) tentative time frames for Steering Committee Meetings, (or relevant advisory and/or coordination mechanisms) and (ii) project related Monitoring and Evaluation activities.</p>
--	--

	<p><i>Day to day monitoring of implementation progress</i> will be the responsibility of the Project Coordinator, Director or CTA (depending on the established project structure) based on the project's Annual Work plan and its indicators. The Project Team will inform the UNDP-CO of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely and remedial fashion.</p> <p><i>Periodic monitoring of implementation progress</i> will be undertaken by the UNDP-CO through quarterly meetings with the project proponent, or more frequently as deemed necessary. This will allow parties to take stock and to troubleshoot any problems pertaining to the project in a timely fashion to ensure smooth implementation of project activities.</p> <p>End of Project: During the last three months, the project team will prepare the <u>Project Terminal Report</u>. This comprehensive report will summarize the results achieved (objectives, outcomes, outputs), lessons learned, problems met and areas where results may not have been achieved. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project's results.</p>
F. EXPLAIN THE DEVIATIONS FROM TYPICAL COST RANGES (WHERE APPLICABLE):	N/A

PART III: APPROVAL/ENDORSEMENT BY GEF OPERATIONAL FOCAL POINT(S) AND GEF AGENCY(IES)

A. RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT(S) ON BEHALF OF THE GOVERNMENT(S):
(Please attach the [country endorsement letter\(s\)](#) with this template).

NAME	POSITION	MINISTRY	DATE (Month, day, year)
NURLAN KAPPAROV	MINISTER, GEF OFF	MINISTRY OF ENVIRONMENTS AND WATER RESOURCES	03/03/2014


B. CONVENTION PARTICIPATION

CONVENTION	DATE OF RATIFICATION/ ACCESSION (mm/dd/yyyy)	NATIONAL FOCAL POINT
UNCBD		
UNFCCC	05/17/1995	MR. KANAT BAIGARIN MR. TALGAT AKHSAMBIYEV MS. GULMIRA SERGAZINA
UNCCD		
STOCKHOLM CONVENTION		

	DATE SIGNED (MM/DD/YYYY)	NATIONAL FOCAL POINT	DATE OF NOTIFICATION UNDER ARTICLE 7 TO THE MINAMATA CONVENTION SECRETARIAT
MINAMATA CONVENTION			

B. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF policies and procedures and meets the standards of the GEF Project Review Criteria for Climate Change Enabling Activity approval.

Agency Coordinator, Agency name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	E-mail Address
Adriana Dinu, Executive Coordinator and Director UNDP-GEF		March, 10, 2014	Maude Veyret- Picot, UNDP (Green- LECRDs)	+1 212 906 6196	Maude.veyret- picot@undp.org

CONSULTANTS TO BE HIRED FOR THE ENABLING ACTIVITY

<i>Position Titles</i>	<i>\$/ Person Week</i>	<i>Estimated Person Weeks</i>	<i>Tasks to be Performed</i>
For EA Management			
Local			

Admin/Finance Assistant	275	150	<ul style="list-style-type: none"> - Report and presentation production. - Screening and administering all incoming and outgoing correspondence. - Checking outgoing correspondence for conformity with established procedures and accuracy of statements before being signed by the NPC - Meeting arrangements and minute taking. - Office administration. - Preparing correspondence in Russian/Kazakh/English related to protocol /administrative issues. - Maintaining the filing system on general operations matters. - Screen telephone calls, answer routine queries with discretion, route phone calls to appropriate colleagues while applying services oriented approach. - Providing assistance to the NPC and Project Accountant as requested. - Providing assistance to the Project Board - Preparing and maintaining project document templates and forms. - Supporting the NPC by prepare the regular financial reports for presentation to the Project Board. - Maintain and keep all financial records of the project - Maintain and administer the project assets - Provide all needed information to the project auditors and implement the audit recommendations - Ensuring financial reports are transparent, accurate and representative. - Report any unplanned or unaccounted for expenditures to both the NPM. - Taking responsibility for the veracity of the project financial records. - Ensuring that government and UNDP accounting procedures are followed. - Assist NPC with financial plans for programme activities. - Perform other duties as deemed necessary.
International			

For Technical Assistance			
Local			
National GHG Inventory team leader	750	81	<ul style="list-style-type: none"> - Revision of the existing information on the GHG inventory in the existing NCs and identify key sources of emissions explicitly. - Analyze and collect activity data, required by IPCC guidelines, fill data gaps in inventory and improve database where needed; - Describe the contribution of different sectors to GHG emissions, procedures and arrangements for collection and activation of data and role of institutions involved in preparation of GHG inventory. - Provide an overall technical review of the draft chapter on inventories to be used in the NC. - With the NPM, identify specific training needs for enterprises or government agencies in data collection (particularly for identified key sources) and provide recommendations on training in data collection.
National GHG mitigation team leader	750	150	<ul style="list-style-type: none"> - Performance of an upgrade of the analysis and opportunities related to mitigation presented in the TNC/6NC, - Extend the analysis from the TNC/6NC related to energy consumption in industry, public sector and households; - Development of an GHG emission abatement action plan until 2020 - Analysis and Provision of long term mitigation opportunities; - Provide an overall technical review of the draft chapter on mitigation to be used in the BR. - Provide recommendations on the development of the briefing papers for policy makers if necessary. - Realization of awareness rising activities, especially among decision-makers (workshops, seminars, booklets, etc). <p>Production of mitigation reports.</p>
BR team leader	750	100	<ul style="list-style-type: none"> - Carry out analysis of BR institutional and technical capacities - Coordinate and develop necessary framework for enhancing BR institutional and technical capacity - Establish adhoc BR task force - Prepare second BR report - Prepare, review and submit progress GHG report - Advice project team and stakeholders on approach to BR as per UNFCCC outcomes

Climate change V&A team leader	850	141	<ul style="list-style-type: none"> - Preparation of a detailed work-plan for programs/action plans containing measures to facilitate adequate adaptation on the basis of the overall project work plan. - Provision of periodic progress report to the PM on the V&A thematic area - Leading of the data and information collection process for performing the Programmes/action plan plans containing measures to facilitate adequate adaptation. - Revision of climate change scenarios by using a regional model; - Lead vulnerability assessments of: hydrology and water resources, agriculture and health, eco-tourism, including identification of level of vulnerability and the most vulnerable areas reviewed; - Analysis and description of links between climate and socio-economic baseline conditions in the most vulnerable sectors; - Ensure progress in implementation of adaptation actions proposed in the first BUR and prepares detailed adaptation plans for hydrology and water resources, agriculture and, including cost-benefit analysis, timeframes, etc.; - Identification of ways for effective integration of adaptation measures into national strategies; - Activities for awareness-raising (workshops, booklets, leaflets) on adaptation and vulnerability realized. - Ensures synergy with other relevant projects - Ensure the timely and effective management of the activities as scheduled; - Drafts the V&A Report and respective chapter of Kazakhstan's BR along with the respective part of executive summary. - Oversees the documentation of the studies made and archiving.
--------------------------------	-----	-----	--

<p>Technical Advisor/Coordinator</p>	<p>850</p>	<p>143</p>	<ul style="list-style-type: none"> - Revision of project’s annual and quarterly workplan and consistency of submitted plans with the project outputs and their contribution to the intended outcome. - Revision of annual progress reports and financial reports prepared and submitted to the Steering Committee and UNDP. - Assistance to the MEWR in forming and preparing the Steering Committee meetings to enhance coordination between different actors. - Revision of modifications to the scope of work, and accordingly budget revisions of the initial budget plan, to be agreed in the steering committee. - Supporting in seeking the consensus over the proposed modifications from all partners e.g. the MEWR and UNDP. However, any revisions proposed should not involve significant changes in the immediate objectives, outputs or activities of the programme. - Revision of results of evaluation and review missions and annual audits. - Perform other duties as deemed necessary of more technical nature within the context of the technical components of the project.
--------------------------------------	------------	------------	---

Expert on capacity building in climate change	600	132	<ul style="list-style-type: none"> - Assessment of technology, financial and capacity needs for mitigation and adaptation assessed; - Update information in regard to climate change related legislation, integration of UNFCCC requirements in legislation and strategies; - Identification of needs gaps and priorities for education, training and public awareness and preparation of related programmes; - Revision of national plans and programmes on systematic observation, climate research and forecasting capacity; - Organization of training for the project personnel in using selected software tools and electronic networks - Preparation of work programmes on capacity building and raising awareness activities; - Preparation of documentation in advance of and following all capacity building and awareness-raising related activities; - Organization of seminars, training, and workshops for stakeholders; - Organization and coordination of information exchanges internationally and between participating institutions;
GHG emissions scenario development expert	700	40	<ul style="list-style-type: none"> - Provision of leadership for development of GHG scenarios (baseline, with measures, with additional measures) in different economy sectors - Provision of Information on financial, technical, capacity needs and constraints associated with the implementation of the UNFCCC; - Development of a list of projects with focus on barriers and opportunities for future development of the GHG inventory, and implementation of mitigation actions.
Climate change scenario development expert	700	56	<ul style="list-style-type: none"> - Coordination of activity on information gathering and updating - Production and revision of climate change scenarios by using a regional model for the thematic areas of studies. - Development of a list of projects for National Adaptation Plan

Socio-economic development expert	700	105	<ul style="list-style-type: none"> - Collection and analysis of information related to national circumstances per UNFCCC Guidelines - Prepare the report on the National Circumstances - Collect, and analyze gender disaggregated data in relation to climate change - Analyze specific gender needs and propose proper actions to promote women's participation in defining mitigation and adaptation strategies - Provision of cost-effectiveness analysis of mitigation measures
Translator	630	37	<ul style="list-style-type: none"> - Translation of the Russian version of the NC/BR into Kazakhs, English
Editor(s)	550	22	<ul style="list-style-type: none"> - Proof-reading of 1800 Russian, Kazakh and English versions
International			

OPERATIONAL GUIDANCE TO FOCAL AREA ENABLING ACTIVITIES

Biodiversity

- [GEF/C.7/Inf.11, June 30, 1997, Revised Operational Criteria for Enabling Activities](#)
- [GEF/C.14/11, December 1999, An Interim Assessment of Biodiversity Enabling Activities](#)
- [October 2000, Revised Guidelines for Additional Funding of Biodiversity Enabling Activities \(Expedited Procedures\)](#)

Climate Change

- [GEF/C.9/Inf.5, February 1997, Operational Guidelines for Expedited Financing of Initial Communications from Non-Annex 1 Parties](#)
- [October 1999, Guidelines for Expedited Financing of Climate Change Enabling Activities – Part II, Expedited Financing for \(Interim\) Measures for Capacity Building in Priority Areas](#)
- [GEF/C.15/Inf.12, April 7, 2000, Information Note on the Financing of Second National Communications to the UN Framework Convention on Climate Change](#)
- [GEF/C.22/Inf.15/Rev.1, November 30, 2007, Updated Operational Procedures for the Expedited Financing of National Communications from Non-Annex 1 Parties](#)

Persistent Organic Pollutants

- [GEF/C.17/4, April 6, 2001, Initial Guidelines for Enabling Activities for the Stockholm Convention on Persistent Organic Pollutants](#)
- [GEF/C.39/Inf.5, October 19, 2010, Guidelines for Reviewing and Updating the NIP under the Stockholm Convention on POPs](#)

Land Degradation

- [\(ICCD/CRIC\(5\)/Inf.3, December 23, 2005, National Reporting Process of Affected Country Parties: Explanatory Note and Help Guide](#)

National Capacity Self-Assessment (NCSA)

- [Operational Guidelines for Expedited Funding of National Self Assessments of Capacity Building Needs, September 2001](#)
- [A Guide for Self-Assessment of Country Capacity Needs for Global Environmental Management, September 2001](#)

National Adaptation Plan of Action (NAPA)

- [GEF/C.19/Inf.7, May 8, 2002, Notes on GEF Support for National Adaptation Plan of Action,](#)

ENVIRONMENTAL AND SOCIAL SCREENING SUMMARY

Name of Proposed Project: Kazakhstan's National Communication on climate change and Biennial Report

A. Environmental and Social Screening Outcome

Category 1. No further action is needed

Category 2. Further review and management is needed. There are possible environmental and social benefits, impacts, and/or risks associated with the project (or specific project component), but these are predominantly indirect or very long-term and so extremely difficult or impossible to directly identify and assess.

Category 3. Further review and management is needed, and it is possible to identify these with a reasonable degree of certainty. If Category 3, select one or more of the following sub-categories:

Category 3a: Impacts and risks are limited in scale and can be identified with a reasonable degree of certainty and can often be handled through application of standard best practice, but require some minimal or targeted further review and assessment to identify and evaluate whether there is a need for a full environmental and social assessment (in which case the project would move to Category 3b). See Section 3 of the Review and Management Guidance.

Category 3b: Impacts and risks may well be significant, and so full environmental and social assessment is required. In these cases, a scoping exercise will need to be conducted to identify the level and approach of assessment that is most appropriate. See Section 3 of Review and Management Guidance.

B. Environmental and Social Issues (for projects requiring further environmental and social review and management)

NOT REQUIRED

C. Next Steps (for projects requiring further environmental and social review and management):

NOT REQUIRED



D. Sign Off

Project Manager: maude.veyret-picot - Signed Date: 2014-03- 04

32

ENVIRONMENTAL AND SOCIAL SCREENING CHECKLIST

Name of Proposed Project: Kazakhstan's National Communication on climate change and Biennial Report

QUESTION 1

Has a combined environmental and social assessment/review that covers the proposed project already been completed by implementing partners or donor(s)?

Answer to Question 1:No

QUESTION 2

Do ALL outputs and activities described ONLY fall in the Project Document fall within the following categories?

1. Procurement (in which case UNDP's Procurement Ethics and Environmental Procurement Guide need to be complied with)
2. Report preparation
3. Training
4. Event/workshop/meeting/conference (refer to Green Meeting Guide)
5. Communication and dissemination of results

Answer to Question 2:Yes