



GEF-6 REQUEST FOR PROJECT ENDORSEMENT/APPROVAL

PROJECT TYPE: Full-sized Project

TYPE OF TRUST FUND: GEF Trust Fund

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PART I: PROJECT INFORMATION

Project Title: Energy Efficient Standards, Certification, and Labelling for Appliances and Equipment in Kazakhstan			
Country(ies):	Kazakhstan	GEF Project ID: ¹	9332
GEF Agency(ies):	UNDP	GEF Agency Project ID:	5703
Other Executing Partner(s):	Ministry of Investments and Development of the Republic of Kazakhstan	Submission Date:	27 April 2017
GEF Focal Area (s):	Climate Change	Project Duration (Months)	60
Integrated Approach Pilot	IAP-Cities <input type="checkbox"/> IAP-Commodities <input type="checkbox"/> IAP-Food Security <input type="checkbox"/>	Corporate Program: SGP <input type="checkbox"/>	
Name of Parent Program	Leapfrogging Markets to High Efficiency Products (Appliances, Including Lighting, and Electrical Equipment)	Agency Fee (\$)	\$ 315,000

A. FOCAL AREA STRATEGY FRAMEWORK AND OTHER PROGRAM STRATEGIES²

Focal Area Objectives/Programs	Focal Area Outcomes	Trust Fund	(in \$)	
			GEF Project Financing	Co-financing
CCM-1 Program 2	Outcome B. Policy, planning and regulatory frameworks foster accelerated low GHG development and emissions mitigation.	GEFTF	3,500,000	12,242,643
Total project costs			3,500,000	12,242,643

B. PROJECT DESCRIPTION SUMMARY

Project Objective: To transform Kazakhstan's markets to energy efficient appliances and equipment, thereby reducing electricity consumption and avoided GHG emissions						
Project Components/Programs	Financing Type ³	Project Outcomes	Project Outputs	Trust Fund	(in \$)	
					GEF Project Financing	Confirmed Co-financing
Component 1. Development and adoption of EE standards and labels (EESL)	TA	Transformation of the market for appliances and equipment in Kazakhstan, via creation and implementation of standards, labeling, regulations, and associated capacity building	Output 1.1. National MEPS for refrigerators, distribution transformers, and industrial motors developed, adopted, and implemented Output 1.2. National labelling system for energy performance of refrigerators developed and implemented Output 1.3. National HEPS developed for	GEFTF	525,260	1,500,000

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

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

³ Financing type can be either investment or technical assistance.

			bulk procurement of distribution transformers Output 1.4. Capacity of key agencies expanded with regard to EESL of appliances and equipment, including associated issues of waste management, via delivery of training and materials.			
Component 2. Monitoring, verification, and enforcement of EESL	TA	A new, effectively operating regime of testing, certification, and information disclosure in support of implementation of EESL, carried out by properly equipped, trained, and certified laboratories.	Output 2.1. Monitoring and verification regime for standards, certification, and labelling adopted and implemented. Output 2.2. Needed equipment and training delivered to certification laboratories. Output 2.3. Register and web portal on compliant products created, regularly updated, and handed off to responsible agency Output 2.4. Testing and public reporting on retail purchases carried out, revealing real compliance with standards and product claims.	GEFTF	499,750	2,000,000
	Inv			GEFTF	655,000	1,426,126
Component 3. Boosting demand for EE appliances and equipment	TA	Enhanced capacity among citizens and industry in Kazakhstan to understand, afford, and procure EE appliances and equipment	Output 3.1. Market studies on stocks, sales, and consumer preferences carried out at the beginning and end of the project. Output 3.2. Rebates and credits delivered to residential consumers. Output 3.3. Public relations campaigns and training delivered to consumers and state procurement staff. Output 3.4. Consultation delivered to industrial consumers to promote early and expanded uptake of EE equipment.	GEFTF	520,070	1,500,000
	Inv			GEFTF	650,000	3,500,000

Component 4. Ensuring supply of products compliant with EESL	TA	Creation of new capacity among manufacturers and other supply-chain participants for appliances and equipment for compliance with new EESL.	Output 4.1. Technical support delivered to domestic manufacturers of distribution transformers. Output 4.2. Training and delivery of information for distributors, retailers, installers, and waste haulers.	GEFTF	484,920	2,016,517
Subtotal					3,335,000	11,942,643
Project Management Cost (PMC) ⁴ (DPC cost is USD 62,500)				GEFTF	165,000	300,000
Total project costs					3,500,000	12,242,643

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

Please see signed co-financing letters, presented as Annex H to the accompanying UNDP Project Document. Amounts pledged in Kazakh tenge are converted here to USD at the prevailing January 2017 rate of 333 tenge per USD.

Sources of Co-financing	Name of Co-financier	Type of Cofinancing	Amount (\$)
Recipient Government	Ministry of Investments and Development of the Republic of Kazakhstan	Cash	10,510,511
GEF Agency	UNDP	In-kind	300,000
Private sector	Kentaу Transformer Manufacturing Plant	Cash	255,255
Private sector		In-kind	750,751
Private sector	Almaty University of Power Engineering and Communication	Cash	120,120
		In-kind	75,075
Private sector	Energy Management 2050	Cash	72,072
Private sector	Physics and Technical University of Almaty	Cash	34,535
		In-kind	124,324
Total Co-financing			12,242,643

NOTES:

* The project expects at least an additional US\$6 million in equity co-financing from consumers participating in rebate and coupon programs for refrigerators. As these individuals are diffuse and not yet specifically identified, no co-financing letter is available.

** The Seifullin Agricultural Technical University has pledged staff participation and cash contributions for relevant joint activities, but did not a specific committed amount in its support letter.

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

GEF Agency	Trust Fund	Country Name/Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee ^{a)} (b) ²	Total (c)=a+b
UNDP	GEF TF	Kazakhstan	Climate Change		3,500,000	315,000	3,815,000
Total Grant Resources					3,500,000	315,000	3,815,000

a) Refer to the Fee Policy for GEF Partner Agencies

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

E. PROJECT'S TARGET CONTRIBUTIONS TO GLOBAL ENVIRONMENTAL BENEFITS⁵

Provide the expected project targets as appropriate.

Corporate Results	Replenishment Targets	Project Targets
1. Maintain globally significant biodiversity and the ecosystem goods and services that it provides to society	Improved management of landscapes and seascapes covering 300 million hectares	<i>hectares</i>
2. Sustainable land management in production systems (agriculture, rangelands, and forest landscapes)	120 million hectares under sustainable land management	<i>hectares</i>
3. Promotion of collective management of transboundary water systems and implementation of the full range of policy, legal, and institutional reforms and investments contributing to sustainable use and maintenance of ecosystem services	Water-food-ecosystems security and conjunctive management of surface and groundwater in at least 10 freshwater basins;	<i>Number of freshwater basins</i>
	20% of globally over-exploited fisheries (by volume) moved to more sustainable levels	<i>Percent of fisheries, by volume</i>
4. Support to transformational shifts towards a low-emission and resilient development path	750 million tons of CO _{2e} mitigated (include both direct and indirect)	<i>11.678 million tons of CO_{2e} mitigated in total: 4.336 million tons of CO_{2e} direct; 7.342 million tons of CO_{2e} consequential</i>
5. Increase in phase-out, disposal and reduction of releases of POPs, ODS, mercury and other chemicals of global concern	Disposal of 80,000 tons of POPs (PCB, obsolete pesticides)	<i>metric tons</i>
	Reduction of 1000 tons of Mercury	<i>metric tons</i>
	Phase-out of 303.44 tons of ODP (HCFC)	<i>ODP tons</i>
6. Enhance capacity of countries to implement MEAs (multilateral environmental agreements) and mainstream into national and sub-national policy, planning financial and legal frameworks	Development and sectoral planning frameworks integrate measurable targets drawn from the MEAs in at least 10 countries	<i>Number of Countries:</i>
	Functional environmental information systems are established to support decision-making in at least 10 countries	<i>Number of Countries:</i>

F. DOES THE PROJECT INCLUDE A “NON-GRANT” INSTRUMENT? NO

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

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

PART II: PROJECT JUSTIFICATION

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

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

There are no changes in alignment with the original Project Framework Document (PFD) – Child Project Concept Note regarding the project description. During the preparation of the Request for Project Endorsement and development of the Project Document and related documents, additional and up-to-date information was gathered and project elements were updated and refined.

1. Global environmental problems, root causes, and barriers that need to be addressed: There is no change in alignment with the original Project Framework Document (PFD) – Child Project Concept Note regarding the environmental problem, root causes and barriers. The statement of the problem and the project's theory of change have been elaborated and made much more specific, with direct linkages of root causes and barriers to proposed outcomes, outputs and activities. For additional details refer to the UNDP Project Document, provided as a separate document, Section II Development Challenge and Section III Strategy for a full description of the environmental problem, root causes and barriers, including a theory of change diagram and description.

2. Baseline scenario or any associated baseline projects: There is no change in alignment with the PFD Child Project Concept Note regarding the baseline and associated projects. The baseline conditions and associated projects have been elaborated, with their nature and relevance described in more detail. For additional details refer to the UNDP Project Document's Section III Strategy (including descriptions of programs, policies, and other baseline conditions at the global, national, and Customs Union levels; Section IV, Results and Partnerships (especially subsection ii on partnerships); and Annex F, Baseline Conditions on Markets, Policy, and Regulation for Electricity, Appliances, and Equipment in Kazakhstan.

3. Proposed alternative scenario, GEF focal area strategies, outcomes and components: There is no change in alignment with the PFD Child Project Concept Note regarding the proposed alternative scenario and the GEF focal area strategy. This project still fits squarely within the GEF climate change mitigation focal area strategy, seeking to achieve GHG emissions reductions through well-proven technological opportunities (energy efficiency in appliances and equipment) via supportive policies and strategies.

All outcomes, components and outputs are elaborated in the UNDP Project Document Section IV, Results and Partnerships. The components and overall thematic emphasis of the project remain unchanged. The outputs and activities have been updated to enhance clarity and better reflect feasibility and need, and are based on extensive research and stakeholder consultation undertaken during the project preparation period. These changes include the following:

- a) **The project objective has been reworded for greater clarity.** The Child Project Concept Note read as "Transform Kazakhstan's markets to energy efficient (EE) appliances and equipment providing benefits of climate change mitigation and decreasing energy poverty." The reworded version reads: "To transform Kazakhstan's markets to energy efficient appliances and equipment, thereby reducing electricity consumption and GHG emissions." The core meaning is the same, but the phrase "decreasing energy poverty" has been

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

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

removed from the objective, for several reasons: 1) lack of direct alignment with the GEF Focal Area Strategy; 2) lack of alignment with the project's theory of change; 3) lack of a plausible mechanism by which energy efficiency standards and labels would alleviate energy poverty (that is, increase access to energy); and 4) the confusing and potentially misleading nature of the term "energy poverty," especially in translation into Russian and Kazakh.

- b) **The project outcomes remains the same, with an increased clarity and a transparent reflection of the logical connections among outcomes, outputs and activities have been reworted.** An issue with the Child Project Concept Note, where specific results were framed as outcomes instead of more aptly as outputs, has been addressed.

In the PIF/PFD, project outcomes were listed as follows:

- 1.1 Road-map for introduction of Minimum Energy Performance Standards (MEPS) and supporting policies and regulations developed, agreed with stakeholders and officially adopted
- 1.2 MEPS designed and adopted for domestic appliances and key categories of energy-consuming equipment, including accompanying labelling scheme
- 1.3 Capacities of public officials strengthen to design and implement EE S&L policies strengthened
- 2.1 MVE capacities in place across all relevant public stakeholders to ensure enforcement of MEPS
- 3.1 Enhanced awareness and improved access to non-partial information of residential and commercial buyers concerning energy efficiency of targeted appliances
- 3.2 Purchasers overcome the higher initial purchase price of energy efficient products
- 4.1 Enhanced interest and strengthened capacity of the local supply chain stakeholders to comply with new EE S&L regulation and to bring energy efficiency models to the market at competitive and for the majority of the population affordable prices.

In the Project Document, outcomes and outputs are presented as follows:

Outcome 1: Transformation of the market for appliances and equipment in Kazakhstan, via creation and implementation of standards, labeling, regulations, and associated capacity building

Output 1.1. National MEPS [minimum energy performance standards] for refrigerators, distribution transformers, and industrial motors developed, adopted, and implemented

Output 1.2. National labelling system for energy performance of refrigerators developed and implemented

Output 1.3. National HEPS [high energy performance standards] developed for bulk procurement of distribution transformers

Output 1.4. Capacity of key agencies expanded with regard to EESL of appliances and equipment, including associated issues of waste management, via delivery of training and materials.

Outcome 2: A new, effectively operating regime of testing, certification, and information disclosure in support of implementation of EESL, carried out by properly equipped, trained, and certified laboratories.

Output 2.1. Monitoring and verification regime for standards, certification, and labelling adopted and implemented.

Output 2.2. Needed equipment and training delivered to certification laboratories.

Output 2.3. Register and web portal on compliant products created, regularly updated, and handed off to responsible agency

Output 2.4. Testing and public reporting on retail purchases carried out, revealing real compliance with standards and product claims.

Outcome 3: Enhanced capacity among citizens and industry in Kazakhstan to understand, afford, and procure EE appliances and equipment

Output 3.1. Market studies on stocks, sales, and consumer preferences carried out at the beginning and end of the project.

Output 3.2. Rebates and credits delivered to residential consumers.

Output 3.3. Public relations campaigns and training delivered to consumers and state procurement staff.

Output 3.4. Consultation delivered to industrial consumers to promote early and expanded uptake of EE equipment.

Outcome 4: Creation of new capacity among manufacturers and other supply-chain participants for appliances and equipment for compliance with new EESL.

Output 4.1. Technical support delivered to domestic manufacturers of distribution transformers.

Output 4.2. Training and delivery of information for distributors, retailers, installers, and waste haulers.

- c) **The emphasis of some activities within components has been changed in light of a clearer understanding of national needs, priorities, and baseline conditions**, as defined through research and stakeholder consultation during the preparatory period. These changes have led to corresponding minor amendments in budgeted amounts by component, and include the following:
- Effective certification of appliances and equipment in terms of their compliance with MEPS and qualification for labels requires credible testing in laboratories that have proper equipment and training. To ensure the effective and timely implementation of such testing, the project will invest in needed equipment. Costs are estimated based on known costs of similar equipment purchased in the UNDP-supported GEF-funded project on appliance efficiency in Russia, as well as UN Environment guidance.
 - The amount of investment funds to be spent on consumer rebates has been reduced based on a preliminary assessment that need is not as high as roughly estimated at the PFD/Child Project Concept Note stage.
 - Component 4 has been reduced in scope and budget because project preparation revealed that domestic production of targeted technologies is quite low except for distribution transformers. This finding obviates the need for much originally-anticipated work in assisting manufacturers and other supply-chain stakeholders in achieving compliance with new MEPS and HEPS.

4. Incremental/additional cost reasoning and expected contributions from the baseline, the GEF TF, and co-financing: Incremental cost reasoning has been further elaborated in the UNDP Project Document: see Section V, Feasibility, especially subsection i on cost efficiency and effectiveness; Section IX, Financial Planning and Management; and Section X, Total Budget and Work Plan, including detailed line-by-line budget notes and breakdown of planned spending of GEF funds and co-financing; and Annex E, Calculations of Targeted Energy Savings and Greenhouse Gas Emissions Reductions.

5. Global environmental benefits: The Child Project Concept Note made general statements about overall sectoral potential but did not provide detail, nor did it set targets. The Project Document elaborates on the global environmental benefits, including targets for global environmental benefits set forth in Section VI, the Project Results Framework. See the Project Document's Annex E, Calculations of Targeted Energy Savings and Greenhouse Gas Emissions Reductions, the GEF CCM Tracking Tool, and the completed GEF STAP calculation tool for details on how these targets were derived.

6. Innovativeness, sustainability, and potential for scaling up. Elaboration of innovativeness, sustainability, and potential for scaling up has been provided in the Project Document (see Project Document Section V, Feasibility, subsection iv on sustainability and scaling up).

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

This project is a Child Project under the GEF-funded UN Environment-led global project *Leapfrogging Markets to High Efficiency Products (Appliances, Including Lighting, and Electrical Equipment)*. All components of the project in Kazakhstan are directly aligned with the objectives and approaches of the global project. While UNDP will manage the project in Kazakhstan, both UNDP and UN Environment will collaborate in knowledge-sharing with other child projects and with the global project overall. See Section IV, Results and Partnerships, subsection ii on partnerships.

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

See the UNDP Project Document, Section IV, Results and Partnerships, subsection iii on stakeholder engagement. The range of stakeholders to be engaged by the project is now much broader and more specific than elaborated in the Child Project Concept Note.

A.4. *Gender Equality and Women's Empowerment.* Elaborate on how gender equality and women's empowerment issues are mainstreamed into the project implementation and monitoring, taking into account the differences, needs, roles and priorities of women and men. In addition, 1) did the project conduct a gender analysis during project preparation (yes ☒ /no ☐)?; 2) did the project incorporate a gender responsive project results framework, including sex-disaggregated indicators (yes ☒ /no ☐)?; and 3) what is the share of women and men direct beneficiaries (women 50%, men 50%)? ⁹

The Child Project Concept Note did not contain significant gender mainstreaming analysis or action planning. This analysis has been newly prepared for the Project Document: see Section IV, Results and Partnerships, subsection iv on gender mainstreaming; and Annex G for the full gender analysis and action plan for the project.

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

See the UNDP Project Document, Section V, Feasibility, sub-section ii on risk management. This risk analysis and elaboration of proposed mitigation measures are more detailed than the brief summary presented in the Child Project Concept Note, but there is no appreciable change in the nature or level of the risks to the project.

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

There is no change in alignment with the Child Project Concept Note, but institutional arrangements and coordination have been elaborated and made much more concrete. See Section VIII, Governance and Management Arrangements. Coordination with other relevant GEF-financed projects and other initiatives is presented in Section IV, Results and Partnerships, sub-section ii on partnerships.

Additional Information not well elaborated at PIF Stage:

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

The project, in addition to creating global environmental benefits, will also reduce local air pollution, reduce energy costs for consumers, and provide enhanced consumer awareness and consumer protection in terms of performance of appliances. The project will also help domestic manufacturers to remain competitive in national and global markets via technical assistance on production of new generations of devices compliant with energy-efficiency standards. These

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

⁹ Same as footnote 8 above.

benefits will all serve as a basis for widespread political and participatory support for the whole project, thus also supporting the achievement of global environmental benefits.

The project emphasizes affordability of energy-efficient household appliances, especially for low-income citizens. To assure the widest access to EE appliances and their socioeconomic benefits, the project will execute a far-reaching program of coupons and rebates targeting low-income consumers, supported by research on preferences and price elasticity among various groups.

To the extent that women have lower average salaries, greater unemployment, and greater likelihood of widowhood than men, the project's interventions for increased affordability also create positive socioeconomic effect particularly for women. More broadly, the project will contribute to gender mainstreaming through its promotional outreach, seeking to engage women as decision makers about household finance, planning, environmental protection, and social responsibility. The project will also support gender mainstreaming by direct engagement of women in the project team and its array of working partnerships.

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

The project is a child project of the UN Environment program entitled *Leapfrogging Markets to High Efficiency Products (Appliances, Including Lighting, and Electrical Equipment)*. This global UN Environment-led program will provide technical assistance to this and all other child projects via expert task forces and a global Center for Excellence, and will facilitate knowledge-sharing via its extensive global network of projects.

The project in Kazakhstan will build directly upon the UNDP project *Promotion of Energy-Efficient Lighting in Kazakhstan*, funded by GEF and due for completion in 2017, which has achieved great successes in exactly the areas of the four proposed components of this new project on appliances and equipment. Furthermore, the project will also have close connections with the two UNDP-supported projects funded by GEF in Russia, one on energy-efficient appliances and one on energy-efficient lighting, both due for completion within the next 18 months, both of which have highly relevant experience with issues of standards and labelling within the framework of the Customs Union, laboratory testing and verification.

Results and lessons learned from the project will be disseminated within and beyond the project intervention area through existing information sharing networks and forums. Special focus will be given to regular communication with other UNDP projects in the region, and also throughout the entire global United for Efficiency network of the UN Environment global project. The UNDP-supported child project in Kazakhstan will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks and meetings, which may be of benefit to the project. The project will identify, analyse and share lessons learned that might be beneficial to the design and implementation of similar projects and disseminate these lessons widely.

B. DESCRIPTION OF THE CONSISTENCY OF THE PROJECT WITH:

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

This project is directly supportive of national legislative mandates and strategies regarding climate change mitigation, energy efficiency, and green economic development.

National policy context regarding climate change and energy efficiency

The Foreign Minister of Kazakhstan signed the Paris Agreement in August 2016, and the national parliament ratified it in October 2016. As noted in Kazakhstan's Intended Nationally Determined Contributions (INDC), Kazakhstan intends to achieve an economy-wide target of 15-25 percent GHG emissions reductions by 2030 relative to 1990 levels.¹⁰

The Law on Energy Saving and Energy Efficiency, which came into force on 26 June 2012 (with latest amendments from 17 November 2015), was the major milestone in the development of national policy in this area. Notably, this law sets out a legal and institutional framework for EE standards and labeling of electrical appliances and equipment.

Chapter 2, Article 6, paragraph 3 of the Law designates the Ministry of Investments and Development as the authorized government agency in the area of technical regulations for electrical equipment and appliances. In Chapter 3, the Law then lays out general requirements for energy saving and increasing energy efficiency. Kazakhstan has already adopted minimum energy performance standards for lighting under this law, and is poised to do likewise for refrigerators, distribution transformers, and motors under the project. (See Annex F of the Project Document for more details on requirements of the EE law regarding regulation of appliances and equipment.)

National concept and action plan on green economic development

In December 2012, the Government outlined its decision to transition to a green economy in the Kazakhstan 2050 Strategy. The following spring on 30 May 2013, the President approved the Green Economy Concept. The corresponding action plan was approved in August 2013.

Kazakhstan's Transition to Green Economy Concept and Action Plan are landmark steps by the Government to change the course of the country's development to integrate environmental and social considerations into the planning and development process along with the already dominant economic ones. The overarching objective of this initiative is to transition the country from its existing resource dependent growth model to an environmentally sustainable development model that significantly reduces environmental risks and ecological scarcities. Energy efficiency was set as a key aspect in the gradual transition to a green economy.

The Concept identifies four priority goals for Kazakhstan's transition to Green Economy:

- i. Increased resource productivity, including water, land, biological resources, and resource management efficiency;
- ii. Modernization of existing and development of new infrastructure;
- iii. Increased population well-being and quality of the environment, achieved through profitable measures reducing environmental footprint; and
- iv. Increased national security, including water supply.

To achieve these goals the Concept identifies seven key areas in which to undertake sustainable-development initiatives: water resource management, sustainable agriculture, energy efficiency, power sector development, waste management, air pollution reduction, and ecosystem management.

In addition to outlining key areas for intervention, the Concept also calls for human resource development regarding the population's "ecological culture". The Concept proposes a range of actions from the introduction of green topics into elementary and preschool curricula to training for technical and management personnel on environmental protection and resource productivity. Part of the strategy will be broad communication and education programmes to raise awareness of the country's environmental issues. The overall goal here is to integrate environmental considerations into the fabric of society and foster a culture of environmental stewardship.

To facilitate the implementation of the Concept and Action Plan, the Office of the President has created a Council for Transition to Green Economy. This group is designed to ensure the cross-sector implementation of the strategy and to

¹⁰ http://www4.unfccc.int/submissions/INDC/Published%20Documents/Kazakhstan/1/INDC%20Kz_eng.pdf

follow up on implementation progress. The Council is tasked with presenting a “National Report on transition towards Green Economy” every three years. The former Ministry of Environment and Water Resources (now the Ministry of Energy) and the former Ministry of Economy and Budget Planning (now the Ministry of National Economy) were charged with the implementation of the Concept for transition to green economy.

C. DESCRIBE THE BUDGETED M & E PLAN:

The project results as outlined in the Project Results Framework will be monitored annually and evaluated periodically during project implementation. Project-level monitoring and evaluation will be undertaken in compliance with UNDP requirements as outlined in the [UNDP POPP and UNDP Evaluation Policy](#). While these UNDP requirements are not outlined in this Project Document, the UNDP Country Office will work with the relevant project stakeholders to ensure UNDP M&E requirements are met in a timely fashion and to high quality standards. Additional mandatory GEF-specific M&E requirements (as outlined below) will be undertaken in accordance with the [GEF M&E policy](#) and other relevant GEF policies.

In addition to these mandatory UNDP and GEF M&E requirements, other M&E activities deemed necessary to support project-level adaptive management will be agreed during the Project Inception Workshop and will be detailed in the Inception Report. This will include the exact role of project target groups and other stakeholders in project M&E activities including the GEF Operational Focal Point and national/regional institutes assigned to undertake project monitoring. The GEF Operational Focal Point will strive to ensure consistency in the approach taken to the GEF-specific M&E requirements (notably the GEF Tracking Tools) across all GEF-financed projects in the country. This could be achieved for example by using one national institute to complete the GEF Tracking Tools for all GEF-financed projects in the country, including projects supported by other GEF Agencies.

M&E oversight and monitoring responsibilities:

Project Manager: The Project Manager is responsible for day-to-day project management and regular monitoring of project results and risks, including social and environmental risks. The Project Manager will ensure that all project staff maintain a high level of transparency, responsibility and accountability in M&E and reporting of project results. The Project Manager will inform the Project Board, the UNDP Country Office and the UNDP-GEF RTA of any delays or difficulties as they arise during implementation so that appropriate support and corrective measures can be adopted.

The Project Manager will develop Annual Work Plans based on the multi-year work plan included in Annex A, including a month-by-month projection of activities, as well as annual output targets. The Project Manager will ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality. This includes, but is not limited to, ensuring the results framework indicators are monitored annually in time for evidence-based reporting in the GEF PIR, and that the monitoring of risks and the various plans/strategies developed to support project implementation (e.g. gender strategy, KM strategy etc.) occur on a regular basis.

Project Board: The Project Board will hold project reviews to assess the performance of the project and appraise the Annual Work Plan for the following year. The Project Board will take corrective action as needed to ensure the project achieves the desired results. In the project’s final year, the Project Board will oversee an end-of-project review to capture lessons learned and discuss opportunities for scaling up and to highlight project results and lessons learned with relevant audiences. Results of this review, as well as findings outlined in the project terminal evaluation report and the management response, will be presented at a closing workshop open to a broad variety of stakeholders from Kazakhstan and from UNDP projects elsewhere in the region.

Project Implementing Partner: The Implementing Partner is responsible for providing all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary and appropriate. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes, and is aligned with national systems so that the data used by and generated by the project supports national systems.

UNDP Country Office: The UNDP Country Office will support the Project Manager as needed, including through annual supervision missions. The annual supervision missions will take place according to the schedule outlined in the annual work plan. Supervision mission reports will be circulated to the project team and Project Board within one month of the mission. The UNDP Country Office will initiate and organize key GEF M&E activities including the annual GEF PIR, the *independent mid-term review* and the independent terminal evaluation. The UNDP Country Office will also ensure that the standard UNDP and GEF M&E requirements are fulfilled to the highest quality.

The UNDP Country Office is responsible for complying with all UNDP project-level M&E requirements as outlined in the [UNDP POPP](#). This includes ensuring the UNDP Quality Assurance Assessment during implementation is undertaken annually; that annual targets at the output level are developed, and monitored and reported using UNDP corporate systems; the regular updating of the ATLAS risk log; and, the updating of the UNDP gender marker on an annual basis based on gender mainstreaming progress reported in the GEF PIR and the UNDP ROAR. Any quality concerns flagged during these M&E activities (e.g. annual GEF PIR quality assessment ratings) must be addressed by the UNDP Country Office and the Project Manager.

The UNDP Country Office will retain all M&E records for this project for up to seven years after project financial closure to support ex-post evaluations undertaken by the UNDP Independent Evaluation Office (IEO) and/or the GEF Independent Evaluation Office (IEO).

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

Audit: The project will be audited according to UNDP Financial Regulations and Rules and applicable audit policies on NIM implemented projects.¹¹

Additional GEF monitoring and reporting requirements:

Inception Workshop and Report: A project inception workshop will be held within two months after the project document has been signed by all relevant parties to, amongst others:

- a) Re-orient project stakeholders to the project strategy and discuss any changes in the overall context that influence project implementation;
- b) Discuss the roles and responsibilities of the project team, including reporting and communication lines and conflict resolution mechanisms;
- c) Review the results framework and finalize the indicators, means of verification and monitoring plan;
- d) Discuss reporting, monitoring and evaluation roles and responsibilities and finalize the M&E budget; identify national/regional institutes to be involved in project-level M&E; discuss the role of the GEF OFP in M&E;
- e) Update and review responsibilities for monitoring the various project plans and strategies, including the risk log; Environmental and Social Management Plan and other safeguard requirements; the gender strategy; the knowledge management strategy, and other relevant strategies;
- f) Review financial reporting procedures and mandatory requirements, and agree on the arrangements for the annual audit; and
- g) Plan and schedule Project Board meetings and finalize the first year annual work plan.

The Project Manager will prepare the inception report no later than one month after the inception workshop. The inception report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board.

GEF Project Implementation Report (PIR): The Project Manager, the UNDP Country Office, and the UNDP-GEF Regional Technical Advisor will provide objective input to the annual GEF PIR covering the reporting period July (previous year) to June (current year) for each year of project implementation. The Project Manager will ensure that the

¹¹ See guidance here: <https://info.undp.org/global/popp/frm/pages/financial-management-and-execution-modalities.aspx>

indicators included in the project results framework are monitored annually in advance of the PIR submission deadline so that progress can be reported in the PIR. Any environmental and social risks and related management plans will be monitored regularly, and progress will be reported in the PIR.

The PIR submitted to the GEF will be shared with the Project Board. The UNDP Country Office will coordinate the input of the GEF Operational Focal Point and other stakeholders to the PIR as appropriate. The quality rating of the previous year's PIR will be used to inform the preparation of the subsequent PIR.

Lessons learned and knowledge generation: See discussion of knowledge management in the previous section.

GEF Focal Area Tracking Tools: The baseline/CEO Endorsement GEF Focal Area Tracking Tool(s) – submitted as an Annex to this project document – will be updated by the Project Manager/Team and shared with the mid-term review consultants and terminal evaluation consultants (not the evaluation consultants hired to undertake the MTR or the TE) before the required review/evaluation missions take place. The updated GEF Tracking Tool(s) will be submitted to the GEF along with the completed Mid-term Review report and Terminal Evaluation report.

Independent Mid-term Review (MTR): An independent mid-term review process will begin after the second PIR has been submitted to the GEF, and the MTR report will be submitted to the GEF in the same year as the 3rd PIR. The MTR findings and responses outlined in the management response will be incorporated as recommendations for enhanced implementation during the final half of the project's duration. The terms of reference, the review process and the MTR report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the [UNDP Evaluation Resource Center \(ERC\)](#). As noted in this guidance, the evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. The GEF Operational Focal Point and other stakeholders will be involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the UNDP-GEF Directorate. The final MTR report will be available in English and will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and approved by the Project Board.

Terminal Evaluation (TE): An independent terminal evaluation (TE) will take place upon completion of all major project outputs and activities. The terminal evaluation process will begin three months before operational closure of the project allowing the evaluation mission to proceed while the project team is still in place, yet ensuring the project is close enough to completion for the evaluation team to reach conclusions on key aspects such as project sustainability. The Project Manager will remain on contract until the TE report and management response have been finalized. The terms of reference, the evaluation process and the final TE report will follow the standard templates and guidance prepared by the UNDP IEO for GEF-financed projects available on the [UNDP Evaluation Resource Center](#). As noted in this guidance, the evaluation will be 'independent, impartial and rigorous'. The consultants that will be hired to undertake the assignment will be independent from organizations that were involved in designing, executing or advising on the project to be evaluated. The GEF Operational Focal Point and other stakeholders will be involved and consulted during the terminal evaluation process. Additional quality assurance support is available from the UNDP-GEF Directorate. The final TE report will be cleared by the UNDP Country Office and the UNDP-GEF Regional Technical Adviser, and will be approved by the Project Board. The TE report will be publicly available in English on the UNDP ERC.

The UNDP Country Office will include the planned project terminal evaluation in the UNDP Country Office evaluation plan, and will upload the final terminal evaluation report in English and the corresponding management response to the UNDP ERC. Once uploaded to the ERC, the UNDP IEO will undertake a quality assessment and validate the findings and ratings in the TE report, and rate the quality of the TE report. The UNDP IEO assessment report will be sent to the GEF IEO along with the project terminal evaluation report.

Final Report: The project's terminal PIR along with the terminal evaluation (TE) report and corresponding management response will serve as the final project report package. The final project report package shall be discussed with the Project Board during an end-of-project review meeting to discuss lesson learned and opportunities for scaling up.

Mandatory GEF M&E Requirements and M&E Budget¹²:

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget ¹³ (US\$)		Time frame
		GEF grant	Co-financing	
Inception Workshop	UNDP Country Office	USD 3,000		Within two months of project document signature
Inception Report	Project Manager and International Consultant	USD 14,000	None	Within two weeks of inception workshop
Standard UNDP monitoring and reporting requirements as outlined in the UNDP POPP	UNDP Country Office	None	None	Quarterly, annually
Monitoring of indicators in project results framework	Project Manager and national consultants	USD 9,000		Annually
GEF Project Implementation Report (PIR)	Project Manager and UNDP Country Office and UNDP-GEF team	None	None	Annually
NIM Audit as per UNDP audit policies	UNDP Country Office	Per year: USD 5,000 (Total 25,000)		Annually or other frequency as per UNDP Audit policies
Lessons learned and knowledge generation	Project Manager and international consultant (not including specific knowledge generation within components)	USD 6,000		Annually, with increased effort in final year
Monitoring of environmental and social risks, and corresponding management plans as relevant	Project Manager UNDP CO	None		On-going
Addressing environmental and social grievances	Project Manager UNDP Country Office BPPS as needed	None for time of project manager, and UNDP CO		

¹² In the Total Budget and Workplan (Section X), the budget for M&E is not presented separately as it is here, but rather is contained within the individual components, for consistency with the original format of the budget in the approved Project Framework Document.

¹³ Excluding project team staff time and UNDP staff time and travel expenses.

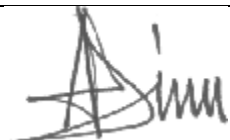
GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget ¹³ (US\$)		Time frame
		GEF grant	Co-financing	
Project Board meetings	Project Board UNDP Country Office Project Manager	Per year: USD 1600 (Total USD 8000; participation of members will be donated in-kind)		At minimum annually
Supervision missions	UNDP Country Office	None ¹⁴		Annually
Oversight missions	UNDP-GEF team	None ¹⁴		Troubleshooting as needed
Knowledge management	Project Manager	Approximately USD \$28,000 for outside services, workshops, events, materials, etc.)		On-going
GEF Secretariat learning missions/site visits	UNDP Country Office and Project Manager and UNDP-GEF team	None		To be determined.
Mid-term GEF Tracking Tool	Project Manager and national consultant	USD 1,500 (see also monitoring of indicators, above)		Before mid-term review mission takes place.
Independent Mid-term Review (MTR) and management response	UNDP Country Office and Project team and UNDP-GEF team	USD 28,000		Between 2 nd and 3 rd PIR.
Terminal GEF Tracking Tool	Project Manager and national consultant, with participation by international consultant	USD 1,500 (see also monitoring of indicators, above)		Before terminal evaluation mission takes place
Independent Terminal Evaluation (TE) included in UNDP evaluation plan, and management response	UNDP Country Office and Project team and UNDP-GEF team	USD 36,000		At least three months before operational closure
Translation of MTR and TE reports into English	UNDP Country Office	USD 3,000		
TOTAL indicative COST Excluding project team staff time, and UNDP staff and travel expenses		<i>USD 163,000</i>		

¹⁴ The costs of UNDP Country Office and UNDP-GEF Unit's participation and time are charged to the GEF Agency Fee.

PART III: CERTIFICATION BY GEF PARTNER AGENCY(IES)

A. GEF Agency(ies) certification

This request has been prepared in accordance with GEF policies¹⁵ and procedures and meets the GEF criteria for CEO endorsement under GEF-6.

Agency Coordinator, Agency Name	Signature	Date (MM/dd/yyyy)	Project Contact Person	Telephone	Email Address
Adriana Dinu, UNDP-GEF Executive Coordinator		April 27, 2017	Marcel Alers, PTA, EITT	+1-212- 906-6199	marcel.alers@undp.org

¹⁵ GEF policies encompass all managed trust funds, namely: GEFTF, LDCF, and SCCF

ANNEX A: PROJECT RESULTS FRAMEWORK

This project will contribute to the following Sustainable Development Goal (s): <i>Goal 7: Ensure access to affordable, reliable, sustainable, and modern energy for all (Target 7.3: By 2030, double the global rate of improvement in energy efficiency). Goal 13: Take urgent action to combat climate change and its impacts (Target 13.2: Integrate climate change measures into national policies, strategies and planning; and Target 13.3: Improve education, awareness-raising and human and institutional capacity on climate change mitigation)</i>
This project will contribute to the following country outcome included in the UNDAF/Country Programme Document: <i>Outcome 2: Environmental Sustainability. Communities, national, and local authorities use more effective mechanisms and partnerships that promote environmental sustainability and enable them to prepare, respond, and recover from natural and man-made disasters.</i>
This project will be linked to the following output of the UNDP Strategic Plan: <i>Output 1.5: Inclusive and sustainable solutions adopted to achieve increased energy efficiency</i>

Project Objective / Component / Outcomes	Objective and Outcome Indicators	Baseline	Mid-term Target	End of Project Target	Assumptions
Project Objective: <i>To transform Kazakhstan's markets to energy efficient appliances and equipment, thereby reducing electricity consumption and GHG emissions</i>	Reduction in electricity consumption by refrigerators, distribution transformers, and electric motors	40 TWh of electricity per year consumed by refrigerators, motors, and distribution transformers (transformer losses), projected to grow to 87 TWh per year by 2030 under business as usual	No quantitative midterm target for achieved energy savings (end of project only), but see midterm target for Component 1	4.7 TWh of electricity savings from implementation of EESL and other measures during the project period	Baseline electricity consumption is estimated based on partial information and UN Environment prognoses about market size and technical specifications of appliance and equipment stock and sales. See Annex J of the Project Document describing UN Environment methodology and assumptions.
	Reduction in GHG emissions from electricity consumption by refrigerators, distribution transformers, and electric motors	37 million tonnes of CO ₂ emissions per year from electricity consumption by refrigerators, motors, and distribution transformers, projected to grow to 80 million tonnes of CO ₂ emissions per year by 2030 under business as usual	No quantitative midterm target for avoided GHG emissions (end of project only), but see midterm target for Component 1	4.3 million tonnes of direct CO ₂ emissions reductions achieved from implementation of EESL and other measures during the project period	GHG baseline and target based on UN Environment Country Assessment. See Annex J to the Project Document, which describes the UN Environment's methodology and assumptions. As explained in the Request for CEO Endorsement submitted by UN Environment to GEF for the global leapfrogging project, energy savings and avoided emissions are to be allocated between the global project, child projects (including this one), and UN Environment's prior work on securing political commitment, according to a previously-agreed proportional breakdown. The targets presented here represent full savings and avoided emissions before allocation. The UNDP child project

Project Objective / Component / Outcomes	Objective and Outcome Indicators	Baseline	Mid-term Target	End of Project Target	Assumptions
					will be responsible for securing and documenting these full savings, with the allocation to be applied separately later as agreed.
	Average energy performance levels of new refrigerators, distribution transformers, and electric motors relative to baseline	450 kWh per year for refrigerators (UN Environment Country Assessment, 2016) IE1 level of the IEC 60034-30-1 standard for motors, as developed by the International Electrotechnical Commission Data on baseline performance of distribution transformers unavailable during project preparation. Baseline to be determined during the first project year.	End-of-project target energy performance levels are reflected in adopted mandatory MEPS for refrigerators, distribution transformers, and electric motors	212 kWh per year for refrigerators, verified by sales and certification data IE3 (“premium”) level of the IEC 60034-30-1 standard for motors, as developed by the International Electrotechnical Commission, verified by sales and certification data Tier 3 for distribution transformers, as defined by the Super-efficient Equipment and Appliance Deployment (SEAD) Initiatives, verified by sales and certification data.	No baseline data available for energy efficiency (average losses) from distribution transformers in various categories. Data to be collected during first six months of the project.
	Number of households that purchase refrigerators certified to comply with the new MEPS	No households have purchased certified refrigerators as the MEPS are not yet adopted or in force	No households have purchased certified refrigerators as the MEPS are not yet adopted or in force	1.3 million households purchase refrigerators certified to comply with new MEPS	Based on UN Environment’s stock growth projections and refrigerator operating lifetimes, that estimates 2.5 million refrigerators to be sold between 2017 and 2022.
Component 1: Development and adoption of EE standards and labels Outcome: Transformation of the market for appliances and equipment in Kazakhstan, via creation and	Status and required performance levels of MEPS for refrigerators, distribution transformers, and electric motors	No MEPS adopted or in force, neither at the national level nor at the level of the Eurasian Economic Union (Customs Union)	National MEPS are adopted for refrigerators, distribution transformers, and industrial electric motors equivalent to the “Best MEPS” criteria of the UN Environment Country Assessment,	National MEPS are adopted and in force for refrigerators, distribution transformers, and industrial electric motors equivalent to the “Best MEPS” criteria of the UN Environment Country Assessment, harmonized with relevant technical	It is extremely unlikely that national MEPS will be adopted without this project. But it is possible that MEPS could be adopted at the level of the Customs Union before the start of the project. If so, then this target should still be retained with regard to national MEPS, and also should be expanded to include equipment types not covered by the Customs Union.

Project Objective / Component / Outcomes	Objective and Outcome Indicators	Baseline	Mid-term Target	End of Project Target	Assumptions
implementation of standards, labeling, regulations, and associated capacity building			harmonized with relevant technical regulations of the Customs Union	regulations of the Customs Union	
	Status and threshold levels of a national voluntary energy-performance label for refrigerators and at least one other consumer product in Kazakhstan	No national voluntary label on energy performance for any product, but irregular application of EU and Russian labels	National voluntary label defined and approved	Voluntary label operational, with full implementation and enforcement support, earned by at least three products	
Component 2: Monitoring, verification, and enforcement Outcome: A new, effectively operating regime of testing, certification, and information disclosure in support of implementation of EESL, carried out by properly equipped, trained, and certified laboratories	Operational status of testing and certification laboratories in support of energy performance standards and labelling for refrigerators, distribution transformers, and industrial electric motors	No testing and certification laboratories in Kazakhstan for energy performance of refrigerators, distribution transformers, and industrial electric motors	2 testing and certification laboratories for refrigerators, distribution transformers, and industrial electric motors are equipped, trained, and operational	4 testing and certification laboratories for refrigerators, distribution transformers, and industrial electric motors are operational at the full annual volume of testing needed for implementation of minimum energy performance standards and energy performance labelling, with a backlog of no less than 3 months for products seeking certification	This outcome will apply to at least two and possibly as many as six laboratories in Kazakhstan. The exact number and identity of the laboratories will be determined based on detailed analysis during the first project year of laboratory capacity, equipment costs, administrative issues, geographic coverage, and expected volumes of equipment to be tested. The indicator is to be assessed based not on number of laboratories, but rather capacity to fully handle all national certification needs.
	Availability of updated information on products and their compliance with standards and labels, via register and web portal	No register or web portal on energy performance of appliances or equipment in Kazakhstan No data regularly collected on energy performance of appliances and equipment	Register and web portal are operational with energy performance data collected and analyzed annually for refrigerators, distribution transformers, industrial electric motors	Register and web portal are operational, with complete and regularly updated data collection on energy performance of refrigerators, distribution transformers, and industrial electric motors established as a permanent practice of a responsible institution, supported by stable funding	

Project Objective / Component / Outcomes	Objective and Outcome Indicators	Baseline	Mid-term Target	End of Project Target	Assumptions
	Dissemination volume of completed market snapshot studies, comparing actual performance of off-the-shelf appliances to stated specifications	No market snapshot studies have been conducted and disseminated	Market snapshot study completed for at least four of the most popular refrigerator models in the country, with dissemination via mass media to at least 300,000 citizens (to be measured by publication circulation numbers or viewership statistics)	At least two market snapshot studies completed covering a total of at least eight of the most popular refrigerator models in the country, with dissemination via mass media to at least 400,000 citizens (to be measured by known publication circulation numbers or viewership statistics).	
Component 3: Boosting demand for EE appliances and equipment Outcome: Enhanced capacity among citizens and industry in Kazakhstan to understand, afford, and procure EE appliances and equipment	Consumer awareness of energy efficiency, energy performance standards, and labels for refrigerators., as reflected in share of affirmative survey responses and broken out by gender	No energy performance standards; various labels applied inconsistently and minimally recognized by consumers. Quantitative baseline to be established in first year of project.	15 percent increase in affirmative response rates from consumers (both men and women) that they read, understand, and consider EE information when purchasing refrigerators	50 percent increase in affirmative response rates from consumers (both men and women) that they read, understand, and consider EE information (and specifically, official labels) when purchasing refrigerators	Consumer awareness data to be collected in surveys and focus groups at beginning, midterm, and final year of project. Both bulk surveys and tracking surveys will be administered.
	Number of consumers participating in rebate or coupon programs	No rebate or coupon programs for consumers with regard to EE refrigerators	At least 4,000 customers (including at least 2,000 women) participate in rebate or coupon programs, with an 80 percent completion rate of required surveys	At least 7,500 customers (including at least 4,000 women) participate in rebate or coupon programs, with an 80 percent completion rate of required surveys	Surveys will contain data on both the gender of the respondent and the number and genders of the affected members of the household.
	Share of industrial electric motors in operation compliant with new IE3 standard (the MEPS target)	Annual sales of about 18,000 electric motors in Kazakhstan in 2015. No data on numbers and energy performance of existing stock, but it is likely that only a tiny fraction are compliant with the IE3 standard	Five percent of all existing industrial electric motor stock complies with the IE3 standard	Twenty percent of all existing industrial electric motor stock complies with the IE3 standard	Baseline data on stock and energy performance will be collected during the first project year, with the same numbers revisited at midterm and in year 5.

Project Objective / Component / Outcomes	Objective and Outcome Indicators	Baseline	Mid-term Target	End of Project Target	Assumptions
Component 4: Ensuring supply of products compliant with EESL Outcome: Creation of new capacity among manufacturers and other supply-chain participants for appliances and equipment for compliance with new EESL.	Share of domestically-produced distribution transformers compliant with new MEPS	Performance data not available. Anecdotal statement from an expert of the Kentau plant that its distribution transformers have losses of about 20 percent, which would be far from levels compliant with target MEPS. Actual numbers and performance levels of domestically-produced distribution transformers to be determined in first project year.	No quantitative midterm target for share of MEPS-compliant transformers because compliance will be achieved after adoption of MEPS and after training, in the second half of the project period. But by midterm, training will have been delivered and financial plans developed for retooling the Kentau Transformer Manufacturing Plant (and/or other similar enterprises with similar total output, encompassing 75 percent of domestic production in Kazakhstan) to comply with new MEPS	Kentau plant (and/or other enterprises with similar total output) retooled and producing entirely MEPS-compliant products, covering 75 percent of total domestic production	Indicators for other types of equipment could be added at midterm if increased domestic production rates warrant expanded activity in this component.
	Number of other supply-chain stakeholders, including waste handlers, trained in new requirements of MEPS, HEPS, labelling programs, and associated regulations	No training for supply-chain stakeholders	Representatives of at least ten companies trained, covering at least two major cities of Kazakhstan and two levels of the supply chain	Representatives of at least 20 companies trained, covering at least four major cities of Kazakhstan, plus rural areas, and three levels of the supply chain	Some training could be directly offered by the project, while other training could be offered internally by companies to their own employees, with the project's support.

Monitoring and evaluation are also a key part of the project but are not named as a numbered component because the project was already approved with four components at the Project Framework Document (pre-PPG) stage. M&E does not have any indicators or targets of its own in this framework, but the framework itself represents the project's M&E tasks throughout. Please see the UNDP Project Document for more details.

ANNEX B: RESPONSES TO PROJECT REVIEWS (from GEF Secretariat and GEF Agencies, and Responses to Comments from Council at work program inclusion and the Convention Secretariat and STAP at PIF).

No comments from the GEF Secretariat on the Child Project Concept Note remained unaddressed at PIF or work program inclusion. No comments from the Council, GEF Agencies or STAP on the Child Project Concept Note were received.

ANNEX C: STATUS OF IMPLEMENTATION OF PROJECT PREPARATION ACTIVITIES AND THE USE OF FUNDS¹⁶

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

PPG Grant Approved at PIF: \$100,000			
<i>Project Preparation Activities Implemented</i>	<i>GEF/LDCF/SCCF Amount (\$)</i>		
	<i>Budgeted Amount</i>	<i>Amount Spent To Date</i>	<i>Amount Committed</i>
Component A: Technical Review	15,000	15,000	0
Component B: Institutional Arrangements, Monitoring and Evaluation	40,000	40,000	0
Component C: Financial Planning and co-financing investments	30,000	29,900	100
Component D: Validation workshop	15,000	15,000	0
Total	100,000	99,900	100

¹⁶ If at CEO Endorsement, the PPG activities have not been completed and there is a balance of unspent fund, Agencies can continue to undertake the activities up to one year of project start. No later than one year from start of project implementation, Agencies should report this table to the GEF Secretariat on the completion of PPG activities and the amount spent for the activities. Agencies should also report closing of PPG to Trustee in its Quarterly Report.

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

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

N/A