



**REQUEST FOR PROJECT PREPARATION GRANT
(PPG)**
PROJECT TYPE: Full-sized Project
THE GEF TRUST FUND

GEF

Submission date: 22 April 2009

GEF PROJECT ID¹: 4013
GEF AGENCY PROJECT ID: 3757
COUNTRY(IES): Kazakhstan
PROJECT TITLE: Sustainable Transport in the City Of Almaty
GEF AGENCY(IES): UNDP
OTHER EXECUTING PARTNER(S): Ministry of Environmental Protection, Almaty City Administration
GEF FOCAL AREA(S): Climate Change
GEF-4 STRATEGIC PROGRAM(S): CC-SP5-Transport
NAME OF PARENT/PROGRAM/UMBRELLA PROJECT (if applicable): N/A

A. PROJECT PREPARATION TIMEFRAME

Start date of PPG	October 2009
Completion date of PPG	May 2010

B. PAST PROJECT PREPARATION ACTIVITIES (\$) n/a

C. PROPOSED PROJECT PREPARATION ACTIVITIES (\$)

The PPG will cover the following preparatory activities to be financed by GEF grant and co-financing:

(i) Review and analysis of the public transport services in Almaty: A team of an international and a local consultant will complete the following: (a) review and analysis of public transport services, their capacity and assessment of barriers to efficient, high quality and customer friendly public transport services; (b) review of legal and administrative frameworks for managing contracts of private bus operators; (c) review of fare collection systems as used by the electric transport and bus operators, barrier analysis on introduction of unified fare collection system. A feasibility study on introduction of NGV buses and related re-fueling infrastructure will be completed by British Gas and KazTransGas. Its results will be incorporated into the project strategy. EBRD will contribute to the PPG activities with the LRT feasibility study and the revision of public service contracts for private operators.

(ii) Review and analysis of traffic management in the city: A team of an international and a local consultant will conduct background analysis of traffic management, land-use and transport planning systems in the city of Almaty through desk review of existing information and stakeholder interviews and develop a set of activities. In particular, consultants will: (a) review current traffic management policies and practices as well as administrative/regulatory functions of each institution/stakeholder; (b) review of legal and administrative frameworks for spatial and transport planning; (c) analysis of

¹ Project ID number will be assigned by GEFSEC. If PTF has already been submitted, please use the same ID number as PTF.

parking system in Almaty (parking regulations, zones, fees, current and planned activities in this area); (d) identification of major destination areas of private cars and key sites for piloting municipal parking.

(iii) Review of fuel standards and existing monitoring practices of CO₂ and other local pollutants: The task of a national consultant would include: (a) review of existing fuel and testing standards, vehicle emission control system, inspection of vehicles; (c) review of existing monitoring of CO₂ transport related emissions; (d) gap analysis and needs assessment. Municipal environmental protection department will contribute with review and analysis of standards and monitoring of local pollutants. The national consultant will closely cooperate on this task with the municipal environmental protection department, the road patrol police, Kazhydtromet and Kazakh Research Institute of Ecology and Climate.

(iv) Scoping of bus/trolleybus rapid transit demo project: Demonstration project will be selected to showcase efficiency and effectiveness of rapid transit systems in the city context. A team of an international and a national consultant would work on the following activities: (a) consultations on the type (either bus or trolleybus RT) and scope of the demonstration project, including selection criteria; (b) preliminary assessment of demand for RT from potential users; (c) selection of a demo site; (d) collection of baseline information on the demonstration site to establish a measurable monitoring and evaluation framework for the project; (e) defining roles, responsibilities and co-financing targets for the demo project.

(v) Scoping of NMT demo project: This task to be performed by an international NMT expert together with a national expert will consist of: (a) analysis of existing pedestrian and cycling infrastructure (type and length); (b) review of current activities funded by the local government or other agency/institution aimed at expanding/repairing pedestrian infrastructure and putting cycling infrastructure; (c) preliminary assessment of demand for NMT infrastructure from potential users; (d) review of regulatory and legislative approaches to influence commuters behavior and promote NMT use; (e) review of applicable approaches to integrate NMT and public transport in Almaty, provide cost-benefit analysis of options; (f) selection of demo routes; (g) collection of baseline information to establish a measurable monitoring and evaluation framework for the project; (h) defining roles, responsibilities and co-financing targets for the demo project.

(vi) Design of public wide awareness campaign/social marketing programs to promote NMT and RT modes of transportation: The RT and NMT demo scoping teams including an outreach specialist will conduct stakeholder analysis and draft a set of activities for public awareness/social marketing programs to promote RT and NMT. This will be done through a series of consultations with the city municipality, Ministry of Environment, Ministry of Transport and Communications, EBRD (on LRT to be funded through EBRD loan), municipal level spatial planning institution, research institutions, NGOs and private sector.

(vii) Estimation of direct and indirect GHG emissions reduction potential of the project: The PPG will finance costs of one national consultant who will be tasked with the following: (a) quantitative estimation of baseline GHG emissions, using approved GEF methodologies, associated with the public transport and private vehicles in Almaty, based on reports by other local consultants, as well as other sources of information; (b) quantitative estimation of avoided GHG emissions, using approved GEF methodologies, including savings and avoided emissions attributable to GEF-funded activity, based on reports by other local consultants, as well as other sources of information; (c) analysis of the cost-effectiveness of proposed project activities, using approved GEF methodologies; (d) preparation of a project scenario analysis and Annex on GHG emissions for FSP.

(viii) Development of a project strategy: Based on the analysis carried out on (i) – (vi) above, the PPG will cover the costs associated with the development of a full size project scope and project strategy, including: (a) baseline data collection and information gap analysis; (b) analysis of barriers which hamper the promotion of a modal shift to more efficient and less polluting forms of transport; (c) design of the project strategy: objective, outcomes, outputs; (d) development of a monitoring and evaluation framework with performance indicators to assess progress and impact of the FSP – including logframe; (e) the choice and types of demonstration projects; (f) a set of CC indicators (tons CO₂-eq avoided from piloting public transport rapid transit systems and non-motorized routes, changing travel patterns, increasing fuel and vehicle efficiency, optimizing city traffic) to track the project's progress and effectiveness, baseline and target values on indicators; (g) cost effectiveness analysis to identify the most effective project alternative; (h) recommend interventions to address the knowledge barriers; (i) sustainability plan: institutional, ecological, social and financial; (j) development of a strategy to replicate and disseminate results and lessons learned; (k) incremental cost analysis.

(ix) PPG project management: Day to day project preparation activities will be coordinated and supervised by the Project team consisting of UNDP Project Coordinator, focal points from the Ministry of Environmental Protection and the Almaty municipality. PPG management costs will solely come from co-financing sources. During the PPG, the Government of Kazakhstan will determine how it can allocate resources from its present and future budgetary planning exercises so as to complement GEF resources for promoting sustainable transport modes in the city of Almaty. Discussions will also be held with other national/local level stakeholders, development banks, private sector, other donors, based on the draft project document, and financial commitments will be secured. Ministry of Environmental Protection, Almaty municipality and the Almaty-based Research Institute of Transport and Communications will provide co-financing in staff time and venues for meetings and workshops. GEF funds are requested for covering some of the costs of the logframe workshop.

List of Proposed Project Preparation Activities	Output of the PPG Activities	Project Preparation Amount (a)	Co-financing (b)	Total c = a + b
Review and analysis of the public transport services	Barriers to efficient and sustainable public transport identified, project outputs formulated	19,300	39,050	48,350
Review and analysis of traffic management	Barriers to integrated traffic management and cross-sectoral cooperation identified, project outputs formulated	29,100	52,800	81,900
Review of fuel standards and existing monitoring practices of CO ₂ and other local pollutants	Gaps analyzed, capacity needs assessed, project outputs formulated	8,000	6,900	14,900
Scoping of bus/trolleybus rapid transit demo project	Scope and type of RT demo project identified, commitments of stakeholders secured	32,300	35,450	67,750
Scoping of NMT demo project	Scope and type of NMT demo project	10,650	4,400	15,050

Design of public wide awareness campaigns/social marketing programs to promote NIMT and RT modes of transportation	identified, commitments of stakeholders secured	Comprehensive and consumer-tailored activities of the public awareness campaign/social marketing programs developed and included into the project strategy	3,550	3,100	6,650
Estimation of direct and indirect GHG emissions reduction potential of the project	Project scenario analysis and annex on GHG emissions		7,200	4,600	11,800
Development of a project strategy	Finalized Request for CEO Endorsement		26,264	41,450	67,714
PPG management	FSP preparation completed within the approved timeframe and resources		0	21,600	21,600
Total Project Preparation Financing			136,364	209,350	345,714

D. FINANCING PLAN SUMMARY FOR PROJECT PREPARATION GRANT: (\$)

	Project Preparation	Agency Fee
GEF financing	136,364	
Co-financing	209,350	13,636
Total	345,714	13,636

E. PPG REQUESTED BY AGENCY(IES), FOCAL AREA(S) AND COUNTRY(IES): N/A

F. PPG BUDGET REQUEST

Cost Items	Total Estimated Person Months for GEF Grant (PM)	GEF (\$)	Co-financing (\$)	Total (\$)
Local consultants *	19.5	34,300	174,750	209,050
International consultants*	7	88,800	0	88,800
Travel		8,000	5,000	13,000
Workshops		5,264	8,000	13,264
Project management		0	21,600	21,600
Total PPG Budget		136,364	209,350	345,714

* Detailed tasks envisaged for local and international consultants to be financed from PPG funds are given in Annex A. 19.5 PMs are to be financed from GEF funds and 33 PMs to be covered from co-financing sources (excluding 8 PMs for project management functions to be performed by UNDP staff member). 33 PMs from co-financing sources include: staff time of experts from the Ministry of environmental protection, Almaty municipality; mainly its two departments of environmental protection and transport, Kazhydromet service,

Research institute of ecology and climate, Research institute of transport and communications, City-level urban planning agency. This figure also accounts for contributions by UNDP communication specialist, EBRD experts on transport planning and public service contracts, British Gas and KazTransGas experts on NGV buses and related infrastructure.

G. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF policies and procedures and meets the GEF criteria for project identification and preparation.

Agency Coordinator , Agency name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
Yannick Glennarec, UNDP/GEF Executive Coordinator	Y. Glennarec	4/22/2009	Marina Olshanskaya, UNDP/GEF Regional Technical Specialist on Climate Change, Europe and CIS	+421 259 337 285	marina.olshanskaya@undp.org

Annex A

Consultants Financed by the Project Preparation Grant (PPG)

Position / Titles	\$/ Person Month	Estimated PMs	Tasks to be performed
<p>Local</p> <p>Transport planning specialist</p>	<p>1,800</p>	<p>7</p>	<p>Review and analyze public transport services, their capacity and identify barriers to efficient, high quality and customer friendly public transport services; review legal and administrative frameworks for managing contracts of private bus operators; review fare collection systems as used by the electric transport and bus operators; identify barriers to introduction of a unified fare collection system; review current traffic management policies and practices as well as administrative/regulatory functions of each institution/stakeholder; review legal and administrative frameworks for transport planning; scoping of public RT demo project; conduct stakeholder analysis and draft a set of activities for public awareness/social marketing programs to promote RT; participate in defining scope and recommended activities for the FSP; provide commentary on draft and final logical framework and impact indicators for FSP</p>
<p>Land use planning specialist</p>	<p>1,800</p>	<p>2.5</p>	<p>Review and analyze land use planning system relevant to the city of Almaty: policy, institutional and legal frameworks for land use planning; current activities funded by the government and international development partners aimed at strengthening land use planning system; identify barriers to successful integration of environmental principles into land use planning; systemic, institutional and individual needs assessment for successful mainstreaming of environmental</p>

			<p>principles into land use planning; participate in defining scope and recommended activities for the FSP; provide commentary on draft and final logical framework and impact indicators for FSP</p>
Parking specialist	1,700	3	<p>Analyze parking system in Almaty (parking regulations, zones, fees, current and planned activities in this area); identify major destination areas of private cars and key sites for piloting municipal parking; participate in defining scope and recommended activities for the FSP; provide commentary on draft and final logical framework and impact indicators for FSP</p>
Fuel standards specialist	1,500	1	<p>Review existing fuel and testing standards, vehicle emission control system, inspection of vehicles; review existing monitoring of CO₂ transport related emissions; gap analysis and needs assessment; participate in defining scope and recommended activities for the FSP; provide commentary on draft and final logical framework and impact indicators for FSP</p>
NMT specialist	1,700	2	<p>Analyze existing pedestrian and cycling infrastructure (type and length); review current activities funded by the local government or other agency/institution aimed at expanding/repairing pedestrian infrastructure and putting cycling infrastructure; conduct preliminary assessment of demand for NMT infrastructure from potential users; select demo routes; collect baseline information to establish a measurable monitoring and evaluation framework for the project; define roles, responsibilities and co-financing targets for the demo project; conduct stakeholder analysis and draft a set of activities for public awareness/social marketing programs to promote NMT; participate in defining scope and recommended activities for the FSP; provide commentary on draft and final logical framework and</p>

				impact indicators for FSP
GHG accounting specialist	1,800	4		Provide quantitative estimation of baseline GHG emissions, using approved GEF methodologies, associated with the public transport and private vehicles in Almaty, based on reports by other local consultants, as well as other sources of information; provide quantitative estimation of avoided GHG emissions, using approved GEF methodologies, including savings and avoided emissions attributable to GEF-funded activity, based on reports by other local consultants, as well as other sources of information; analyze cost-effectiveness of proposed project activities, using approved GEF methodologies; prepare a project scenario analysis and Annex on GHG emissions for FSP; participate in defining scope and recommended activities for the FSP; provide commentary on draft and final logical framework and impact indicators for FSP
International				
Transport policy expert	13,000	4		Review baseline information delivered by the local experts; review and analyze the description of barriers to more sustainable and less polluting forms of public transport in Almaty; suggest international best practices applicable to the local context; lead the scoping of public RT demo project; finalize stakeholder analysis and a set of activities for public awareness/social marketing programs to promote RT. Develop ToRs for key experts and design the project strategy, including: (a) baseline data collection and information gap analysis; (b) analysis of barriers which hamper the promotion of a modal shift to more efficient and less polluting forms of transport; (c) design of the project strategy; objective, outcomes, outputs; (d) development of a monitoring and

			<p>evaluation framework with performance indicators to assess progress and impact of the FSP – including logframe; (e) the choice and types of demonstration projects; (f) a set of CC indicators (tons CO₂eq avoided from piloting public transport rapid transit systems and non-motorized routes, changing travel patterns, increasing fuel and vehicle efficiency, optimizing city traffic) to track the project's progress and effectiveness, baseline and target values on indicators; (g) cost effectiveness analysis to identify the most effective project alternative; (h) recommend interventions to address the knowledge barriers; (i) sustainability plan: institutional, ecological, social and financial; (j) development of a strategy to replicate and disseminate results and lessons learned; (k) incremental cost analysis</p>
Traffic management expert	13,000	2	<p>Review current traffic management policies and practices as well as administrative/regulatory functions of each institution/stakeholder; review of legal and administrative frameworks for spatial and transport planning; analysis of parking system in Almaty (parking regulations, zones, fees, current and planned activities in this area); identification of major destination areas of private cars and key sites for piloting municipal parking; propose and discuss payment options for public parking; design respective FSP activities and draft ToRs for key experts</p>
NMT expert	10,800	1	<p>Review, discuss options and agree on regulatory and legislative approaches to influence commuters behavior and promote NMT use; review, discuss options and agree on applicable approaches to integrate NMT and public transport in Almaty, provide cost-benefit analysis of options; lead scoping of NMT demo project; design respective FSP activities and draft ToRs for key experts</p>

- 1 Or person month, if applicable. Please indicate clearly.
- 2 Provide weeks or months as appropriate that corresponds to the rate provided in the previous column.

Total Budget and Work Plan

Award ID:	00058347
Award Title:	PIMS 3757 CC PPG: Sustainable Transport in the city of Almaty
Business Unit:	KAZ10
Project Title:	Kazakhstan: Sustainable Transport in the city of Almaty
Project ID: PIMS no 3757	00072451
Implementing Partner (Executing Agency)	UNDP

GEF Outcome/Atlas Activity	Responsible Party/ Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Total (USD)	See Budget Note:
OUTCOME 1: Elaboration of the Full Size Project Proposal Submission to the GEF	UNDP	62000	GEF	71200	International Consultants	32,000	56,800	88,800	1
				71300	Local Consultants	13,500	20,800	34,300	2
				71600	Travel	3,000	5,000	8,000	
				74500	Miscellaneous expenses	2,000	3,264	5,264	
					Total Outcome 1	50500	85864	136,364	

Summary of Funds:¹

GEF	136,364
Co-financing (3) in kind	209,350
TOTAL	345,714

- Detailed tasks envisaged for local and international consultants to be financed from PPG funds are given in Annex A.
- 19.5 PMs are to be financed from GEF funds and 33 PMs to be covered from co-financing sources (excluding 8 PMs for project management functions to be performed by UNDP staff member).
- 33 PMs from co-financing sources include: staff time of experts from the Ministry of environmental protection, Almaty municipality, mainly its two departments of environmental protection and transport, Kazhydromet service, Research institute of ecology and climate, Research institute of transport and communications, City-level urban planning agency. This figure also accounts for contributions by UNDP communication specialist, EBRD experts on transport planning and public service contracts, British Gas and KazTransGas experts on NGV buses and related infrastructure.

¹ Summary table should include all financing of all kinds: GEF financing, cofinancing, cash, in-kind, etc. etc