

**United Nations Development Programme
Country: Republic of Kazakhstan
PROJECT DOCUMENT**

Project Title: Development of Kazakhstan's National Communication to the UNFCCC and Biennial Report

UNDAF Outcome(s): Outcome 2: Environmental Sustainability
Agency Outcome 2: The Government, industries and civil society take steps to adapt to climate change and mitigate its impact through energy efficiency measures and climate change adaptation policies.

UNDP Strategic Plan Environment and Sustainable Development Outcome: Outcome 1. Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded.

Expected CP Outcome(s): The Government, industries and civil society take steps to adapt to climate change and mitigate its impact through energy measures and climate change adaptation policies.

Expected CPAP Output (s) Comprehensive national climate change strategies (with a focus on economic sectors at risk, ecosystem vulnerability and adaptation needs) are developed and integrated into national development plans and sustainable development strategies.

Executing Entity/Implementing Partner: Ministry of Energy of the Republic of Kazakhstan

Brief description

The project will enable Kazakhstan to prepare and submit its Seventh National Communication (7NC) and Biennial Report (BR) to the Conference of Parties (CoP) of the UNFCCC in accordance with its commitments as a Party as mandated by Article 12 of the Convention and subsequent CoP decisions. The project will update the information provided regarding national circumstances, inventories of greenhouse gases, policies and measures undertaken to mitigate climate change, assessments of vulnerability to climate change and steps taken to adapt, and information on public awareness, education, training, systematic research and observation, and technology transfer. The project will also increase the national technical and institutional capacities in preparing the NC/BR and assisting the Government to integrate climate change issues into sectoral and national development priorities.

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Agreed by Talgat Akhsambiyev

Vice-minister of Energy of the Republic of Kazakhstan:

Date/Month/Year 9.9.2014

Agreed by Stefan Liller

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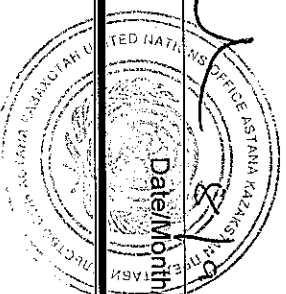


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LIST OF ACRONYMS

7NC	Seventh National Communication
BR	Biennial Report
CoP	Conference of Parties
CPAP	Country Programme Action Plan
DNA	Designated National Authority
EE	Energy Efficiency
ETS	Emission Trading System
GEF	Global Environmental Facility
GHG	Greenhouse gases
INC	Initial National Communication
IPCC	Intergovernmental Panel on Climate Change
KP	Kyoto Protocol
LULUCF	Land Use, Land Use Change and Forestry
ME RK	Ministry of Energy of the Republic of Kazakhstan
MRV	Measurement, Reporting and Verification
NC	National Communication
NCSP	National Communications Support Programme
NEX	National Execution
NIR	National Inventory Report
NPD	National Project Director
NPM	National Project Manager
PA	Project Assistant
PAM	Policies and Measures
PIU	Project Implementation Unit
PPR	Project Progress Reports
PSC	Project Steering Committee
QA/QC	Quality Assurance/Quality Control
SBSTA	Subsidiary Body for Scientific and Technological Advice
SNC	Second National Communication
TNC/6NC	Third National Communication
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change
USD	US Dollar
V&A	Vulnerability and Adaptation [to climate change]

1. SITUATION ANALYSIS

1. The Republic of Kazakhstan is situated in north-central Eurasia and is the ninth largest country in the world based on the size of its territory – 2,724.9 square kilometers. The main source of the economic growth is the exploitation of the resource potential of the country. In 2012 the oil production (including natural-gas condensate) was 79.2 mln. tons, (natural) gas extraction – 40.1 bln. cu.m. Total emission in 2011 including CO₂ from the LULUCF absorption was estimated in the amount of 231.37 mln. tons in CO₂-equiv. The most GHG emissions in 2011 including LULUCF were made from the Electric power industry – 85.4%. Provided that share of the Agriculture was 7.9%, Industrial processes – 6.3%, Waste – 1.5%. Absorption for the LULUCF sector was estimated as 1.1%.¹
2. Kazakhstan's terrain is diverse, with the country situated in four climate zones: forest-steppe; steppe; semi-desert and desert. A large part of the country's territory consists of deserts - 44 % and semi-deserts - 14 %. Steppes cover 26 % of Kazakhstan's territory, forests - 5,5 %.² According to expert's assessment, nearly 75% of the country's territory is subject to high-risk ecological destabilization.³
3. The Government of Kazakhstan has endorsed the Millennium Development Goals, which include Millennium Goal Number 7: "Integrate the principles of sustainable development into country policies and programmes and reverse the loss of environmental resources" and has committed 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.
4. The Ministry of Energy is the national focal point for the implementation of the UNFCCC and the KP. Since their ratification and application, considerable efforts have been made in establishing legislation, institutional and policy frameworks in order to fulfill the requirements of the UNFCCC and the KP.
5. Since 2008, the country has been conducting inventories of GHG emissions. The Environmental Code of Kazakhstan, which became effective in January 2007, governs GHG inventory procedures in Kazakhstan.
6. The Government is considering a 7% GHG 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 Green Economy Concept and Action Plan⁴ and in broader policy documents such as the Strategy-2050⁵ and "Strategic Development Plan of the Republic of Kazakhstan to 2020"⁶.
7. The GHG Emissions Trading Scheme (ETS) basing on the Ecological Code⁷ and the Law "On Amendments"⁸ provides the market mechanism which helps enterprises to modernize their production processes and facilities and provide a more flexible financial mechanism. ETS covers key emitting sectors, such as an energy, oil&gas, mining and chemical industry and includes the following elements:
 - National GHG Allocation Plans for 2013, 2014-2015 is a basic element of National GHG Trading system, which defines number of GHG allowances for the certain period;
 - Trade in national GHG emissions allowances;

¹ The Third-Sixth National Communication of the Republic of Kazakhstan to the UN Framework Convention on Climate Change, 2013.

² Official site of the President of the Republic of Kazakhstan www.akordakz, 2014

³ The concept of the Program on combating desertification in the Republic of Kazakhstan for 2005-2015, 2005

⁴ Approved by the Presidential Decree No577 dated May 30, 2013

⁵ Stated in the Address of the President of the Republic of Kazakhstan N.Nazarbayev to the nation dated January 17, 2014

⁶ Approved by the Presidential Decree No. 922 dated February 1, 2010

⁷ Article 94-7 of the Ecological Code

⁸ The Law No. 505-IV entitled "On Amendments and Additions to Certain Legislative Acts of the Republic of Kazakhstan concerning Environmental Issues" adopted on 3 December 2011.

- Trade in certified emissions reductions (CERs), emissions removal units (ERUs) and units from domestic offset projects; and
 - International trade in allowances between the countries that have quotas and/or GHG emissions reductions and their legal entities.
8. In 2013, based on the RIO+20 outcomes Kazakhstan has developed and approved the Green Economy Concept and Action Plan, 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. The Concept sets 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.
9. 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. 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.
10. In the area of climate change, Kazakhstan ratified the UN Framework Convention on Climate Change (UNFCCC) in 1995 and voluntarily assumed the obligations of Annex 1 countries (including binding emission reduction targets) in 2001. Kazakhstan ratified the Kyoto Protocol in 2005, and in January 2010 the Government affirmed its GHG reduction target under the Copenhagen Accord: a proposed reduction 15% from the base year of 1992. 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.
11. Under its commitments as a party of the UNFCCC, Kazakhstan has prepared the Initial National Communication (INC) and Second National Communication (SNC) in 1998 and 2009 respectively as a non-Annex 1 party. The Third National Communication (TNC/6NC), containing 3rd, 4th, 5th and 6th has been submitted to UNFCCC Secretariat in 2013 and aligns it with willingness of Kazakhstan to be an Annex 1 party. Moreover, Kazakhstan considered the preparation of its Biennial Report (BR) to be submitted during the second half of 2016.

II. STRATEGY

Project rationale

This project will support environmental sustainability, which is one of the three priority areas addressed in the UNDAF for the period 2010-2015. This area of cooperation specifically focuses on enhancing the capacity of the government in the area of integrated resources management, and it explicitly mentions climate change mitigation and adaptation as an agency outcome.

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 ZNC/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.

The project will further support national environmental objectives in several ways: (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.

Furthermore, the support to the ZNC/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."

The project is critical because it will touch on ZNC/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;
5. Organize national consultations on implementation of recently adopted Green Economy conceptions (GEC) for national context GHG mitigation activities;
6. 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;
7. 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

8. Ensure the implementation of actions contributing to climate change mitigation and adaptation in the period after 2012

In addition to gender disaggregated data collection for the National Circumstances chapter, the 7NC 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.

This support for policy development directly supports Millennium Development Goal Number 7 by integrating sustainable development principles into country policies and programmes and implementation of 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.

UNDP has a strong comparative advantage in supporting the preparation of the 7NC/BR because of its implementation of the National Communications Support Programme (NCSP), which has worked in partnership with more than 130 countries, providing technical and policy support for over a decade. The international knowledge network provided by the NCSP and the capacity-strengthening measures proposed in the project (particularly those that strengthen ongoing data collection and analysis) will be fundamental in ensuring lasting results from the project. The project liaises with other UNDP projects on biodiversity conservation, gender equality, civil society, climate risk and water resources management.

Country ownership

Recent policy developments in Kazakhstan have strengthened and clarified the potential role of the project in steering the country's ambitious policy toward greater concern about the climate change and GHG emission reduction activities.

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.

Within this framework, this project will enable Kazakhstan to prepare and submit its Seventh National Communication and Biennial Report to the CoP of the UNFCCC in accordance with its commitments as a Party to the Convention as mandated by Article 12 of the Convention and subsequent COP decisions.⁹

The project will update the information provided regarding national circumstances, inventories of greenhouse gases, policies and measures undertaken to mitigate climate change, assessments of vulnerability to climate change and steps taken to adapt to climate change, and information on public awareness, education, training, systematic research and observation, and technology transfer.

The project will also increase the national technical and institutional capacities to address the capacity building and institutional arrangements for the 7NC and BR including data collection, processing, archiving interpretation, and dissemination for GHG inventory and vulnerability assessment, 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.

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 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

⁹ 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/cp13a04.pdf>). According to the next UNFCCC conclusion FCCC/CP/2006/L.2 KC UNFCCC requested Kazakhstan to submit its national communication and annual greenhouse gas inventories 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/cp12/eng102.pdf>)

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.

Project objective, outcomes and outputs/activities

The project main objective is to enable Kazakhstan to prepare and submit its National Communication and Biennial Report to the Conference of Parties of the UNFCCC in accordance with its commitments as a Party as mandated by Article 12 of the Convention and subsequent COP decisions.

The project will update and strengthen the information provided regarding national circumstances, inventories of greenhouse gases, policies and measures undertaken to mitigate climate change, assessments of vulnerability to climate change and steps taken to adapt, and information on public awareness, education, training, systematic research and observation, and technology transfer.

The project will also increase the national technical and institutional capacity in preparing the 7 NC/BR and assisting the Government to integrate climate change issues into sectoral and national development priorities that directly supports the achievement of Millennium Development Goal Number 7.

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, based on methodologies adopted from the IPCC;
- 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; raising, institutional strengthening and climate change policy development.
- 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.

Outcome 1: Updated GHG inventory prepared and capacity to collect this information on an ongoing basis for future NCs enhanced

Output 1.1 Activity data, required by IPCC guidelines, collected and analyzed, data gaps filled and inventory and database improved where needed;

Activity 1.1.1. Specify the methodological aspects: the IPCC guidelines which best apply to the national circumstances to be determined, considering the criteria used by other simultaneous processes;

Activity 1.1.2. Review of available archive data and defining of all new informational sources to fill information gaps;

Activity 1.1.3. Defining of existing sources to receive the data and searching for additional sources of information required for making analysis in accordance with the requirements under the IPCC Guidelines on Effective Practices;

Activity 1.1.4. : Defining of new data required for the inventory of GHG emissions;

Activity 1.1.4. Use of advanced experience and methods of IPCC to eliminate information gaps.

Output 1.2. Emission factors for key source categories prepared and recalculated;

Activity 1.2.1. Revision and recalculation of the input data from the initial GHG inventory in order to reduce uncertainty;

Activity 1.2.2. Undertake uncertainty assessment as guided by IPCC good practice guidelines.

Output 1.3. The GHG inventory team and data collection and analysis process maintained and strengthened;

Activity 1.3.1. Hold the consultations with the NC/BR team and the JSC "Zhassyl-Danu" in order to harmonize criteria, delivery timetables, synergies, and other aspects which can optimize the use of human, technical and financial resources;

Activity 1.3.2. Assign and attract of national experts having related competency in key branches and fields;

Activity 1.3.3. Study of available information from documental reports on the results of the previous GHG inventories;

Activity 1.3.4. Asses of needs of responsible institutions in awareness rising in the field of GHG inventory;

Activity 1.3.5. Organize and conduct of training to exchange in knowledge and experiences with other researchers in the region;

Activity 1.3.6. Consider and update of the current plan to secure and check the quality (QA/QC);

Activity 1.3.7. Undertake uncertainty assessment as guides by National inventory team for enforcement of national GHG inventory.

Output 1.4. 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);

Activity 1.4.1. Update of GHG inventory and emissions by sources and removals by sinks for the year 2013 for BR and the gaps and the uncertainties encountered in the previous inventory were reduced and broddged;

Activity 1.4.2. Update of GHG inventory and emissions by sources and removals by sinks for the year 2016 for NC and the gaps and the uncertainties encountered in the previous inventory were reduced and broddged.

Activity 1.4.3. Circulate the inventory for internal review as part of QA/QC plan.

Activity 1.4.4. Commission a technical peer review as part of QA/QC plan and incorporate its recommendations into the inventory.

Activity 1.4.5. Organize a national workshop to present findings from the GHG inventory exercise and obtain additional comments.

Activity 1.4.6. Finalize the inventory to be submitted as a part of the 7NC of Kazakhstan.

Activity 1.4.7. Development of a Chapter on Inventory

Output 1.5. 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.

Activity 1.5.1. Analyse of key GHG emitting sectors and uncertainty;

Activity 1.5.2. Analyse the National Inventory System (NIS), which 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;

Activity 1.5.3. Prepare recommendations to improve the efficiency of NIS management model;

Activity 1.5.4. Documental incorporation of data on GHG inventory and organization of its storage using the software and GHG reporting tables developed by the UNFCCC Secretariat (Decision 17/CP.8).

Outcome 2: 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

Output 2.1. GHG emissions projections for the period 2017-2040;

Activity 2.1.1. Consideration of the results of GHG emission inventory forecast assessment made in TNC/6NC;

Activity 2.1.2. Finding out any deviations / changes in the scenario of usual events development, developed when preparing TNC/6NC;

Activity 2.1.3. Assessment of changes, which may be required within the framework of allowable admissions;

Activity 2.1.4. Estimation of GHG emissions data for the period 2017-2040;

Output 2.2. Analysis and possibilities related to mitigation presented in the TNC/6NC reviewed and upgraded, including progress on implementation the "National Concept on Green Economy";

Activity 2.2.1. Analysis of existing policies and measures (PAM) affecting GHG in the RK;

Activity 2.2.2. Analysis of adopted and/or further elaborated PAM;

Activity 2.2.3. Analysis of planned PAM;

Activity 2.2.4. Analysis of the PAM no longer in place;

Activity 2.2.5. Analysis of the PAM leading to emission growth;

Activity 2.2.6. Assessment of PAM impact and the legislative base.

Activity 2.2.7. Incorporation of updated information into the section on PAM

Output 2.3. Necessary data and relevant information for scenario development collected, analysed and used in the scenario development;

Activity 2.3.1. Analysis of existing data from latest GHG inventory and national statistics as a retrospective (historic) data;

Activity 2.3.2. Collecting the activity data on country's projected energy demand and supply expectation;

Activity 2.3.3. Collecting the data on projected production volumes in other sectors, such as industrial processes, production in agriculture and waste;

Activity 2.3.4. Collecting other necessary prospective activity data (population, transport etc.);

Activity 2.3.5. Setting the assumptions in order to minimise uncertainty in projected emissions;

Activity 2.3.6. Collection of all required macroeconomic data and defining allowable admissions to develop emission scenarios;

Activity 2.3.7. Processing, formatting and incorporation of updated information into the data for scenario development

Output 2.4. Mitigation scenarios (baseline, with measures, with additional measures) until 2040 for abatement of GHG emissions considering socio-economic trends developed;

Activity 2.4.1. Identifying the approach and selection of methods on scenario designing as well as assessment and forecast models;

Activity 2.4.2. Development of scenarios for different economy sectors (baseline, with measures, with additional measures) until 2040;

Activity 2.4.3. Processing of collected data and presentation of them in a related format;

Activity 2.4.4. Cross checking of the agreement on scenario results by branches and timeframes;

Output 2.5. A GHG emission abatement action plan until 2040 developed;

Activity 2.5.1. In-depth analysis of mitigation scenarios (baseline, with measures, with additional measures) until 2040;

Activity 2.5.2. Assessment of total and sectoral impact of policies and measures according to scenarios;

Activity 2.5.3. Preparation of the draft action plan until 2040, including the activity within the National GHG Emissions Trading Scheme and MRV scheme;

Activity 2.5.4. Development and submission of the action plan until 2040 to stakeholders.

Output 2.6. Long-term mitigation possibilities analyzed and proposed;

Activity 2.6.1. Analysis of barriers and opportunities for implementation of the proposed mitigation measures;

Activity 2.6.2. Organization of the first round of consultations to discuss policies being undertaken to achieve the target;

Activity 2.6.3. Carrying out the economic analysis including cost-effectiveness analysis of the of the mitigation measures proposed and identification of investment opportunities;

Activity 2.6.4. Assessment of technology options for the different mitigation options and identification of cost-effective technologies to implement priority mitigation options which was lacking in the TNC/6NC;

Activity 2.6.5. Assessment of institutional capacity-building needs to sustain mitigation work and the related legal and institutional frameworks;

Activity 2.6.6. Analysis of gender perspective in the identification, description and preparation of mitigation actions;

Activity 2.6.7. Organization of the second round of consultations to identify and prioritize different mitigation options.

Output 2.7. Potential for greenhouse gas emission reduction paths updated and mapped out and forward-looking set of policy framework and recommendations is outlined;

Activity 2.7.1. Consultations with project stakeholders to identify knowledge gaps;

Activity 2.7.2. Capacity building needs assessment;

Activity 2.7.3. Identification of capacity building approaches;

Activity 2.7.4. Development of the recommendations on institutionalizing capacity building programmes.

Output 2.8. Improved assessment of GHG mitigation options, measures related to BR and NC;

Activity 2.8.1. Development of the methodology to assess the impact and performance, costs and benefits, and social/political/institutional desirability of a mitigation option;

Activity 2.8.2. Organization of trainings on assessment of GHG mitigation measures;

Output 2.9. Capacity for collecting and analysis of information on policy and mitigation measures strengthened;

Activity 2.9.1. Conducting the capacity building needs assessment;

Activity 2.9.2. Identification of capacity building approaches;

Activity 2.9.3. Development of the recommendations on institutionalizing capacity building programmes.

Output 2.10. Stakeholder consultation workshops, and awareness raising activities conducted, booklets and information materials disseminated.

Activity 2.10.1. Development of draft chapters on PAM and forecasts for internal agreement and collection

Activity 2.10.2. Submission of draft chapters on PAM and forecasts for internal agreement and collection of remarks;

Activity 2.10.3. Submission of draft chapters on PAM and forecasts to external bodies for review and collection of remarks;

Activity 2.10.4. Summarizing and incorporation of received remarks into the document;

Activity 2.10.5. Summarizing and documentary incorporation of all related studies, models, assumptions and assessments for the chapter on PAM and forecasts in one document;

Activity 2.10.6. Organization of a national workshop to present the results of modeling and PAM analysis and forecasts.

Outcome 3: 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

Output 3.1. Current climate changes and their impact on socio-economic development of Kazakhstan described and analysed;

Activity 3.1.1: Confirming and collecting all new supporting data to update the climate change scenarios, particularly socioeconomic data;

Activity 3.1.2: Compiling the updated climate information for time period post-dating the TNC/6NC;

Activity 3.1.3: Updating the section in the NC on changes in mountain glaciers and include recent data from the glacier observation system;

Activity 3.1.4: Analysis of climate changes impact on socio-economic development;

Activity 3.1.5: Incorporation of updated information into the discussion section of the TNC chapter on V&A and into recommendations on adaptation.

Output 3.2 Climate change scenarios revised using appropriate models, expert's capacity on modeling climate change scenarios strengthened;

Activity 3.2.1: Analysis of climate monitoring system and preparation of recommendations for its improvement, specifically on those related to the quantity and quality of climate information;

Activity 3.2.2: Updating the climate and socio-economic data in climate model with special attention expected changes in extreme weather events frequency, intensity and distribution and their impact on agro-climatic conditions.;

Activity 3.2.3: Updating the long-term assumptions regarding socio-economic development;

Activity 3.2.4: Compiling information and updating climate models based on the TNC/6NC's achievements

Activity 3.2.5: Analysis of opportunities for introducing more parameters into climate models basing on availability of data;

Activity 3.2.6: Testing and using of other IPCC models that could complement the findings;

Activity 3.2.7: Updating the long-term climate change scenarios.

Activity 3.2.8: Capacity building needs assessment for responsible staff;

Activity 3.2.9: Providing the training for responsible staff in order to further enhance their technical skills.

Activity 3.2.10: Review time lines and outer bounds for medium-term and long-term scenarios for all sections and research in priority areas of the V&A chapter, check and adjust for comparability where possible, and cross-check and adjust with respect to other long-term forecasts (i.e. in the inventories and PAMs chapters) where possible.

Output 3.3. Vulnerability assessments for water, agriculture, industry and energy conducted;

Activity 3.3.1: Reviewing the information on vulnerability and impacts provided in the TNC/6NC and re-confirm gaps in data collection and analysis for all areas, with special emphasis on water, agriculture, industry and energy;

Activity 3.3.2: Elaboration and/or revision of vulnerability studies since the TNC/6NC and introducing of eco-tourism as a new sector for vulnerability assessment;

Activity 3.3.3: Data collection and identification of methodology to ensure the synergetic approach in assessment of climate vulnerability of water and agriculture sectors;

Activity 3.3.4: Analysis of data, documentary sources, models used and assumptions;

Activity 3.3.5: Assessment and mapping of vulnerability and climate risks, including extreme weather events on the regional and priority sectors level;

Activity 3.3.6: Incorporation of updated information into the chapter on vulnerability and impact aspects as well as into Adaptation Plan.

Output 3.4. Links between climate, and socio-economic baseline conditions analyzed and described;
Activity 3.4.1. Interpretation of the "outputs" or the results of climate models, making comparisons between results, establishing patterns and/or trends,
Activity 3.4.2. Socio-economic analysis of vulnerability assessment studies with focus on natural ecosystems and priority sectors of economy.

Output 3.5. Progress in implementation of adaptation actions proposed in the TNC/6NC assessed. The Adaptation Plan for most vulnerable sectors, including cost-benefit analysis prepared;

Activity 3.5.1. Collection of information on ongoing and executed projects to facilitate adaptation proposed in the TNC/6NC;

Activity 3.5.2. Compiling the information and evaluation of their impacts;

Activity 3.5.3. Analysis of the progress or specific impacts considering both prioritized areas and cross components

Activity 3.5.4. Organization of the first round of consultations to present the results of vulnerability assessment and discuss the policy to promote and reinforce the adaptation processes;

Activity 3.5.5. Cost-benefit analysis of the of the adaptation measures proposed and identification of investment opportunities;

Activity 3.5.6. Organization of the second round of consultations to: a) identify and prioritize measures and b) prepare recommendations for national Adaptation Plan;

Output 3.6. Framework for effective integration of adaptation measures into national strategies identified;

Activity 3.6.1. Synthesis-analysis of institutional and political frameworks on adaptation;

Activity 3.6.2. Formulating conclusions and consensus to strengthen the understanding of the climate and vulnerability of Kazakhstan, including food security;

Activity 3.6.3. Designing the recommendations on effective inclusion of adaptation measures into national strategies, as well regional and local development plans.

Output 3.7. Stakeholder consultation workshops, and awareness raising activities conducted, booklets and information materials disseminated.

Activity 3.7.1: Publication of interviews, analytical papers, related with project implementations and project findings in mass-media (interview, analytical papers) and internet-site;

Activity 3.7.2: Drafting the policy papers targeted at a non-technical audience;

Activity 3.7.3.: Circulate the draft policy papers for comments and review and incorporate feedback;

Activity 3.7.4. Publish the policy papers in Russian and Kazakh;

Activity 3.7.5: Develop the draft chapter of the V&A and circulate it for internal review and comments;

Activity 3.7.6. Circulate the draft chapter of V&A for external peer review and comments;

Activity 3.7.7: Receive comments and incorporate them into the document;

Activity 3.7.8: Finalize the V&A chapter to be submitted as a part of Kazakhstan's TNC.

Outcome 4. National circumstances reviewed and updated; other information and capacity building is described; national communication and BR are completed, translated publicized and promoted

Output 4.1. National circumstances in Kazakhstan updated and appropriate CC measures to implement the UNFCCC are redefined and explained

Activity 4.1.1. Collecting the information on new developments in the National Circumstances section of the 7NC, such as the current government institutional arrangements for addressing obligations under the UNFCCC, which have become more comprehensive since the TNC/6NC, the formulation of recent

sectoral development plans, government measures and any other developments that post-date the stock-taking analysis.

Activity 4.1.2. Generate data in the context of ongoing and executed international, regional, national projects;

Activity 4.1.3. Review of existing legislation and strategic documents;

Activity 4.1.4. Ensure that the section cover all areas identified as priorities for mitigation and adaptation (listed in Outcomes 3 and 4); commission any additional data necessary to support those areas.

Output 4.2. Collected, analysed and updated the information related to national circumstances; geography, climate, natural resources and socio-economic conditions related to the GHG emissions and absorption;

Activity 4.2.1. Establish links to get new data and information, such as the re-formulated Energy Balance and updated demographic and socioeconomic data, such as population growth and sectoral economic growth and employment statistics from statistical yearbooks updating the figures from 2006 to 2012 used in the TNC/6NC. Commission and conduct any supplementary research on economic output deemed necessary.

Activity 4.2.2. Collect data and information from different sources, considering the new emerging issues, realities on the ground and the recent socio-economic assessment facilitated by the donor community in the country;

Activity 4.2.3. Analysis of socio-economic parameters and their relation to climate change;

Activity 4.2.4. Ensure that the section cover all six branches of industry providing information for the GHG inventory; commission any additional data necessary to support those areas.

Activity 4.2.5. Fill the gaps, update and add the new information in accordance to the TORs for National Circumstances section of the Kazakhstan's 7NC.

Output 4.3. Analyzed specific needs and concerns arising from climate change, national development objectives, priorities; circumstances and programmes;

Activity 4.3.1. Collect new information and data related to especially vulnerable sectors

Activity 4.3.2. Collect new information and data related to the largest contributors to the GHG emissions.

Activity 4.3.3. Analysis of specific needs and concerns arising from the adverse effects of climate change, national development objectives, priorities, circumstances and programmes;

Activity 4.3.4. Ensure that the component is updated and revised for inclusion in the 7NC document.

Output 4.4. Collection and analysis of 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;

Activity 4.4.1. Collect gender-disaggregated data in relations to climate change vulnerability, and adaptation as well as mitigation actions using UNDP Training Manuals on Gender and Climate Change;

Activity 4.4.2. Analysis of the information on roles and responsibilities of women in the context of climate change in addition to gender inequalities in terms of vulnerabilities, and access to modern energy, finance, and decision-making.

Output 4.5. Analyzed specific gender empowerment needs and proposed proper actions to promote women's participation in defining mitigation and adaptation strategies which contribute to improved gender equality, MDGs achievements, and sustainable development in Kazakhstan.

Activity 4.5.1. Analyse of specific gender empowerment needs and different contributions different groups can bring to the mitigation and adaptation measures;

Activity 4.5.2. Propose actions to promote women's participation in defining mitigation and adaptation strategies which contribute to improved gender equality, MDGs achievements, and sustainable development in Kazakhstan.

Activity 4.5.3. Ensure that the gender component is updated and revised for inclusion in the 7NC document.

Output 4.6. Technology, financial and capacity needs for mitigation and adaptation assessed;

Activity 4.6.1. Identification of the information sources and collection of the information on how Kazakhstan is addressing activities related to the transfer of, and access to environmentally sound technologies and the enabling environment for development and transfer of technologies;

Activity 4.6.2. Conducting needs assessment for systematic observation and climate change research and technology needs assessment for various sectors in relation to mitigation and adaptation;

Activity 4.6.3. Presentation of assessments findings and recommendation during the inception workshop;

Activity 4.6.4. Updating as compared to the previous NC and synthesis of the information through close cooperation with different governmental institutions, agencies, academia, NGOs and individual interviews;

Output 4.7. National plans and programmes on systematic observation, climate research and forecasting capacity reviewed;

Activity 4.7.1. Identification of the information sources and collection of the information on the research and systematic observation systems as described in the UNFCCC and subsequent CP decisions;

Activity 4.7.2. Updating as compared to the previous NC and synthesis of the information through close cooperation with different governmental institutions, agencies, academia, NGOs and individual interviews;

Activity 4.7.3. Analysis of existing information and incorporation of updated information in the draft Chapter;

Output 4.8. Needs, gaps and priorities for education, training and public awareness identified and programmes prepared;

Activity 4.8.1. Identification of the information sources and collection of the information needs, gaps and priorities for education, training and public awareness with an emphasis on recent activities in Kazakhstan;

Activity 4.8.2. Updating as compared to the previous NC and synthesis of the information of through close cooperation with different governmental institutions, agencies, academia, NGOs and individual interviews;

Activity 4.8.3. Analysis of existing information and incorporation of updated information in the draft Chapter;

Output 4.9. Information on integration of UNFCCC requirements into national legislation and strategies updated;

Activity 4.9.1. Identification of the information sources and collection of the information on steps taken to of UNFCCC requirements into national legislation and strategies in Kazakhstan;

Activity 4.9.2. Analysis of national and regional institutional frameworks, projects, programmes and documents related to climate change;

Activity 4.9.3. Analysis of capacity needs and gaps for fulfilling the Convention on national level;

Activity 4.9.4. Analysis of existing information and incorporation of updated information in the draft Chapter;

Output 4.10. 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.

Activity 4.10.1. Establishment of Task Force on climate change knowledge sharing and awareness raising with mass-media and NGO representatives;

Activity 4.10.2. Identification of the information sources and collection of the information on NGO, individuals, community and sectoral initiatives in terms of climate change adaptation and mitigations;

Activity 4.10.3. Providing the information on NGO, individuals, community and sectoral initiatives in terms of climate change adaptation and mitigations for the project stakeholders.

Output 4.11. Information on financial, technical and capacity needs and constraints associated with the fulfillment of the national obligations under UNFCCC updated;

Activity 4.11.1. Collecting of existing information on constraints and gaps, related financial, technical and capacity needs;

Activity 4.11.2 Identification of efforts to address gaps and constraints;

Activity 4.11.3. Discussions of findings with various stakeholders with focus on introducing renewable energy and energy efficiency;

Activity 4.11.4. Preparation of plans for addressing technical and institutional gaps, and needs for enhancing GHG inventory data collection, processing, archiving, and adoption of mitigation and adaptation actions in Kazakhstan;

Activity 4.11.5. Analysis and incorporation of updated information in the draft Chapter;

Output 4.12. 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;

Activity 4.12.1. Collecting of project ideas GHG inventory, GHG trading system, and implementation of adaptation and mitigation actions, identified during implementation of project activities 2.3; 3.6; and 4.5.;

Activity 4.12.2. Providing the list of project proposals for financing focusing on barriers and ways to overcome these barriers;

Activity 4.12.3. Incorporation of updated information in the draft Chapter;

Output 4.13. 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;

Activity 4.13.1. Collection of the information on actions expected or implemented to address the restrictions, gaps and needs identified for the fulfillment of the national obligations under UNFCCC from the FNC, SNC and TNC/6NCs accordingly;

Activity 4.13.2. Assessment of the progress achieved and identification of gaps and barriers;

Activity 4.13.3. Analysis and incorporation of updated information in the draft Chapter;

Output 4.14. Financial resources and technical support provided by the GEF and the country to prepare the National Communication provided.

Activity 4.14.1. Collecting the information on financial and technical resources provided by GEF and country for the preparation of 7NC, including in-kind contribution;

Activity 4.14.2. Analysis and incorporation of updated information in the draft Chapter;

Output 4.15 NC and BR documents produced, translated into Kazakh and English languages, published and submitted to UNFCCC Secretariat.

Activity 4.15.1. Compile a draft of Kazakhstan's 7NC and BR with the structure and scope of the report designed as guided by relevant COP decisions;

Activity 4.15.2: Circulate the draft documents for comments and review and incorporate them;

Activity 4.15.3: Endorse the documents by the PSC;

Activity 4.15.4: Finalize Kazakhstan's 7NC and BR;

Activity 4.15.5: Commission translation and technical editing of the 7NC and BR where necessary;

Activity 4.15.6: Publish Kazakhstan's 7NC and BR in English, Russian and Kazakh;

Activity 4.15.7: Prepare e-copies of Kazakhstan's 7NC and BR in CD-ROM format;

Activity 4.15.8: Oversee official submission of Kazakhstan's BR to the Secretariat of the UNFCCC as necessary;

Activity 4.15.9: Oversee official submission of Kazakhstan's 7NC to the CoP of the UNFCCC as necessary;

Activity 4.15.10: Organize a national workshop to launch and present the findings of Kazakhstan's 7NC and BR;

Activity 4.15.11: Launch the 7NC and present major findings in a side event during a CoP /Subsidiary Body session;

Outcome 5. The BR of Kazakhstan developed, capacity on national ETS and MRV system built

Output 5.1 Information on national circumstances and institutional arrangements relevant to the preparation of the BR on a continuous basis provided;

Activity 5.1.1: Collecting and synthesis of the information referring to institutional arrangements, which have influenced the mechanisms and county organization to assume the reporting frequency of the National Communications;

Activity 5.1.2: Review of existing and ongoing international, regional, national projects, legislation and strategic documents;

Activity 5.1.3: Analysis of 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;

Activity 5.1.4: Analysis and incorporation of updated information in the draft Chapter.

Output 5.2 Summary report of the national GHG inventory, including national inventory report for the relevant years prepared;

Activity 5.2.1: Collecting and synthesis of the information on GHG inventory with base year 2013, complementing the inventories that have been done under previous NCS;

Activity 5.2.2: Assessment of 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.);

Activity 5.2.3: Analysis and incorporation of updated information in the draft Chapter.

Output 5.3 Review of mitigation actions and their effects, methodologies and assumptions prepared;

Activity 5.3.1: Analysis of institutional, strategic and legal framework of mitigation actions;

Activity 5.3.2: Collecting the information on mitigation options identified in the TNC/6NC, including LPG power station; power transmission energy efficiencies, renewable energy farms- solar and winds

Activity 5.3.3: Assessment of their effects, methodologies and assumptions;

Activity 5.3.4: Analysis and incorporation of updated information in the draft Chapter.

Output 5.4. Updated information on national MRV system adopted for GHG ETS and suggestions for enhancement made;

Activity 5.4.1: Assessment of existing arrangements for domestic MRV;

Activity 5.4.2: Development of stakeholder's map and analysis of their capacities;

Activity 5.4.3: Organizing the GHG ETS stakeholder's consultation in order to identify gaps, barriers and opportunities for enhancement of CHC ETS and existing MRV system;

Activity 5.4.4: Identification of ways for improvement for organizational and institutional arrangements, cross-sectoral approaches, technical and institutional capacity-building needs (trainings, workshops, and seminars).

Activity 5.4.5: Preparation of recommendations for improvement for different actors of national GHG ETS and MRV;

Activity 5.4.6. Analysis and incorporation of updated information in the draft Chapter.

Output 5.5 Identification of constraints, gaps, related financial, technical and capacity building needs, including information of support required and received, made:

Activity 5.5.1. Collecting the information on results of financial, technical and capacity building needs assessments;

Activity 5.5.2. Collecting the information on support received for implementation of the projects, related with GHG inventory, adaptation and mitigation activity;

Activity 5.5.3. Collecting the information on support required;

Activity 5.5.4. Analysis and incorporation of updated information in the draft Chapter.

Output 5.6 Information related to support in preparation and submission of the BR provided.

Activity 5.6.1. Collecting the information on financial and technical resources provided by GEF and country for the preparation of BR, including in-kind contribution;

Activity 5.6.2. Analysis and incorporation of updated information in the draft Chapter.

Activity 5.6.3. Developing of the evaluation matrix based on key resources: capacity building, financial and technological.

Outcome 6. Monitoring and evaluation

Output 6.1 Monitoring conducted:

Activity 6.1.1. Preparation of the Monitoring and Evaluation work plan, which shall include: (i) tentative time frames for Steering Committee Meetings, (or relevant advisory and/or coordination mechanisms) and (ii) project related Monitoring and Evaluation activities;

Activity 6.1.2. Organization of the Project Inception Workshop within the first 2 months of project start in order to finalize First year work plan and adopt Monitoring and Evaluation work plan;

Activity 6.1.3. Preparation of the Inception Workshop report is a key reference document and sharing it with participants to formalize various agreements and plans decided during the meeting;

Activity 6.1.4. Organization of the Steering Committee meetings, (or relevant advisory and/or coordination mechanisms) meetings at least once a year;

Activity 6.1.5. Carrying out the Status Survey Questionnaires on bi-annual basis to indicate progress and identify bottlenecks as well as technical support needs twice a year;

Activity 6.1.6. Regular informing of the UNDP-CO on any delays or difficulties faced during project implementation so that the appropriate support or corrective measures can be adopted in a timely and remedial fashion;

Activity 6.1.7. Attending quarterly meetings UNDP-CO to 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.

Activity 6.1.8. Regular updating of Activity Risk log in ATLAS

Output 6.2 Evaluation report produced:

Activity 6.2.1. Generation of Project Progress Reports (PPR) in the Executive Snapshot on quarterly basis;

Activity 6.2.2. Preparation of the Project Terminal Report during the last three months

Output 6.3 Lessons learned analysed, shared, and thematic studies and results disseminated.

Activity 6.3.1. Collection of the information on lessons learned during project implementation

Activity 6.3.2. Conducting the analysis and/or thematic studies;

Activity 6.3.3. Preparing brief notes and dissemination to stakeholders involved and updating relevant ATLAS log on quarterly basis.

Outcome 7. Project activities coordinated, ongoing communication with all stakeholders maintained, and quality of project activities monitored and evaluated

Output 7.1: Activities and staff coordinated

Activity 7.1: Identify and hire appropriate international and local experts to manage activities and conduct research;

Activity 7.2: Establish regular meetings with Team Leaders and experts;

Activity 7.3: Hold an inception workshop and finalize the timetable for all project outputs and activities;

Activity 7.4: Procure equipment and office facilities for the project as needed;

Activity 7.5: Coordinate training to be provided in project areas and oversee sharing of experience gained by individual experts during trainings and workshops in Kazakhstan and abroad;

Output 7.2: Communication among project experts, project stakeholders, and the general public coordinated

Activity 7.1: Include project stakeholders and project experts in the Project Steering Committee and convene the committee at least once a year and on an ad hoc basis as necessary;

Activity 7.2: Prepare press releases and other information regarding the project status and findings as necessary and respond to press queries regarding the project;

Activity 7.3: Design and maintain a project website, updating information on a regular basis (web host to be determined during project inception discussions with the implementing agency);

Output 7.3: Project activities, outputs, and outcomes monitored and evaluated

Activity 7.1: Compile documentation for the Annual Project Review/Project Implementation Review (APR/PIR) that conforms with UNDP-GEF requirements and CO specifications;

Activity 7.2: File other regular reporting documents as required by UNDP-GEF and/or UNDP Kazakhstan, including Quarterly Operational Reports (QORs) with corresponding updates in the Atlas Risk Log if necessary;

Activity 7.3: Conduct an independent financial audit of all project activities on an annual basis;

Activity 7.4: Compile a Lessons Learned Note on project implementation and the ZNC preparation process to be distributed to government counterparts, to UNDP Kazakhstan, and to other GEF-funded project teams in order to share experience and good practice in the preparation of NCS.

III. PROJECT RESULTS FRAMEWORK:

<p>This project will contribute to achieving the following Country Programme Outcome as defined in CPAP or CPD: Comprehensive national climate change strategies (with a focus on economic sectors at risk, ecosystem vulnerability and adaptation needs) are developed and integrated into national development plans and sustainable development strategies</p>					
<p>Country Programme Outcome Indicators: Comprehensive national climate change strategies (with a focus on economic sectors at risk, ecosystem vulnerability and adaptation needs) are developed and integrated into national development plans and sustainable development strategies</p>					
<p>Primary applicable Key Environment and Sustainable Development Key Result Area (same as that on the cover page, circle one): 1. Mainstreaming environment and energy</p>					
<p>Applicable GEF Strategic Objective and Program: Enabling Activities: Climate Change</p>					
	Indicator	Baseline	Targets End of Project	Source of verification	Risks and Assumptions
<p>Project Objective (equivalent to output in ATLAS)</p>	<p>Preparation and submission of the 7NC and BR</p>	<p>Kazakhstan has completed its TNC/6NC and first BR and prepared an inventory report. Many previously submitted national communications still have information and data gaps</p>	<p>The 7NC and BR will be approved and submitted to the UNFCCC during the year 2018.</p>	<p>-UNFCCC documentation.</p>	<p>Risks:</p> <ul style="list-style-type: none"> -lack of strong political support for the preparation of the 7NC; -change in the Government structure and state policy; -introduction of new reporting guidelines with greater reporting obligations after the commencement of this project
<p>Outcome 1 Updated GHG inventory prepared and capacity to collect this information on an ongoing basis for future NCS enhanced</p>	<ul style="list-style-type: none"> -Information on GHG emissions is submitted in the period specified by the National System and in accordance with the IPCC Good Practice Guidance for all main sources -A package of projects on normative-legal acts and the methodology on data collection for the National inventory System 	<ul style="list-style-type: none"> - the National Inventory System established to assist and develop the regular and ongoing preparation of the national inventory; -Kazakhstan submitted four National GHG Inventories starting from 2010 to UNFCCC Secretariat; - Recent National GHG Inventory for 	<ul style="list-style-type: none"> -GHG inventory under the NC for all sectors and all gases considered in IPCC '96 guideline period prepared for the 2016 - Completed section on inventory of TNC prepared 	<ul style="list-style-type: none"> -Detailed review of the data on the part of the UNFCCC -Project reports -Governmental reports -Technical reviews and reports -7NC 	<p>Assumptions:</p> <ul style="list-style-type: none"> -Government will provide further political and financial support for the preparation of National GHG Inventory - The format and completeness of the presented data fully correspond to UNFCCC format. -Capacity exists to carry out assessment exercise

	<p>developed.</p> <ul style="list-style-type: none"> -Complete inventory chapter for the 7NC -Technical reviews and reports 	<p>1990-2011 was submitted in 2013 and contained the National Inventory Report (NIR) and spreadsheets common format for data (CRF).</p> <ul style="list-style-type: none"> -JSC "Zhassyl-Damu" is responsible for annual National GHG Emission Report preparation and its submission to UNFCCC. 			
<p>Outcome 2</p> <p>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>	<ul style="list-style-type: none"> -Tables for reporting considering key parameters used at scenario development, prepared -GHG emissions projections for the period 2017-2040 according to the format of the Guidelines -3 scenarios on the chapter on mitigation designed -Complete chapter on analysis of PAM -Technical reviews and reports 	<ul style="list-style-type: none"> -The Ministry of Energy is the Designated National Authority for the formulation and implementation of the climate change mitigation policy. -Green Economy Concept and Action Plan was adopted in 2013; -National GHG Emissions Trading Scheme has been introduced in Kazakhstan in 2011; -National GHG Allocation Plans 2013, 2014-2015 is a basic element of National GHG Trading system, which defines 	<ul style="list-style-type: none"> -Analysis of State and regional programs on RK economy development, as well as activities on CC impact mitigation (implemented and being implemented (adopted after publishing of TNC/6NC) which will be implemented in the period till 2018 -On the basis of the information received after TNC/6NC publishing, new scenarios till 2040 included in the chapter on PAM - A section on PAM for 7NC prepared, the initial materials used in the analysis archived considering reporting requirements for Annex 1 countries 	<ul style="list-style-type: none"> -mid-term and long-term national and regional development programs and plans till 2040 -trainings for task force -Technical reviews and reports -Project reports -7NC 	<p>Assumptions:</p> <p>Nazarbayev University as the owner of TIMES modelling system update the input information on regular basis;</p> <p>Risks:</p> <ul style="list-style-type: none"> -National experts do face difficulties in enhancing the depth and quality of economic assessments of mitigation options due to limited capacities - Insufficient available data and its quality

		number of GHG allowances for key emitting sectors, such as energy, oil and gas, mining and chemical industry for the certain period.			
Outcome 3 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	<ul style="list-style-type: none"> -Climatic scenarios, which reflect modern information and modelling techniques -Plan on data collection and analysis - Improvement of climate monitoring -Map of vulnerability and climatic risks -The Draft Adaptation Plan for most vulnerable sectors, including cost-benefit analysis prepared - Training on the use and development of approaches, tools and methods to be used for V&A studies -Completed chapter -Technical reviews and reports 	<ul style="list-style-type: none"> -The draft National Concept on Adaptation to Climate Change was developed in 2010, but still not adopted -There is no effective overall inter-sectoral entity to provide overall policy guidelines, determine priority measures and resource allocation, and monitor results; 	<ul style="list-style-type: none"> -Scenarios, which comprise current data and modeling techniques, prepared -Key components of the section on V&A updated -The recommended measures on adaptation reflected in the draft Adaptation Plan -Completed section on V&A prepared for inclusion in 7NC 	<ul style="list-style-type: none"> -mid-term and long-term national and regional development programs and plans till 2040 -trainings for task force -Technical reviews and reports -Project reports -7NC 	<p>Risks:</p> <ul style="list-style-type: none"> -lack of adequate climate relevant data, information and appropriate analytical tools in the areas of vulnerability and adaptation -insufficient inter-sectoral coordination of adaptation activity on national and local levels; -National experts do face difficulties in enhancing the depth and quality of climate changes impact on socio-economic development assessment - Approval and implementation of the Adaptation Plan <p>Assumptions:</p> <p>Tools and vulnerability studies being developed will be accepted by and socialized into line ministry and department planning</p>
Outcome 4 National circumstances reviewed and updated; other information and	<ul style="list-style-type: none"> -Affiliated policy papers and briefings; -Additional information on public awareness; 	<ul style="list-style-type: none"> - Lack of methods on arrangement and storage of data on NCs in a format, which is easily understood by 	<ul style="list-style-type: none"> -Related reports for policy-makers published and high-level policy briefings held. -Publications in mass-media. -Gender disaggregated data in relation to climate change 	<ul style="list-style-type: none"> - Policy reports -Project reports -Technical reviews and reports -7NC 	<p>Assumptions:</p> <ul style="list-style-type: none"> -Population is capable of assimilating information provided -data/information required to update national circumstance document is

<p>capacity building is described; national communication and BR are completed, translated publicized and promoted</p>	<ul style="list-style-type: none"> -Technology needs assessment -Financial needs assessment -capacity building needs assessment - plans for addressing technical and institutional gaps -the 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 -Completed chapter on national circumstances; -Completed chapter on technology, financial and capacity needs for mitigation and adaptation -Technical reviews and reports -Presence of all required chapters in the 7NC -Peer review of all materials 	<p>decision-makers</p> <ul style="list-style-type: none"> - the "List of best available technologies" approved by the Regulation of the Government of the Republic of Kazakhstan No. 24511 dated March12, 2008 is in place -the database on the best available technologies to be completed up to 2015 as per Strategic Plan of the Ministry of Environmental Protection of the Republic of Kazakhstan for 2011-2015¹²- -Financial needs assessment made for several mitigation measures in 2010; -In 2011 the project on technology needs assessment in agriculture and water sector to ensure adaptation to CC was implemented -no assessment on 	<p>collected and analysed;</p> <ul style="list-style-type: none"> -specific gender needs analyzed and action plan to promote women's participation in defining mitigation and adaptation strategies proposed; - Technology, financial and capacity needs for mitigation and adaptation assessed and constrains associated with the fulfilment of the national obligations under UNFCCC updated -recommendations to the Government were prepared -Completed sections on National circumstances and Other relevant information prepared for inclusion in 7NC -All required chapters for the 7NC are prepared, reviewed, amended, and submitted. -7NC is translated and available in Russian, English, and Kazakh. -7NC is published and distributed in hard-copy and CD-ROM format. 	<p>-UNFCCC documentation</p>	<p>readily available to the Project</p> <p>Risks:</p> <ul style="list-style-type: none"> - Insufficient available data and its quality to assess technology, financial and capacity needs for mitigation and adaptation and constrains associated with the fulfilment of the national obligations under UNFCCC
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¹² Approved by the Regulation of the Government No. 98 dated February 8, 2011, supplement to the Regulation of the Government of the Republic of Kazakhstan No. 1741 dated 31 December, 2011. It is developed in accordance with the Strategic Plan for Development of the Republic of Kazakhstan until the year 2020 approved by the Decree of the President of the Republic of Kazakhstan No. 922 dated February 1, 2010.

	-Translation of 7NC -Printing and digital copy of 7NC	gender and capacity building needs			
Outcome 5 The BR of Kazakhstan developed, capacity on national ETS and MRV system built	-establishment of the permanent BR ad-hoc working group; -GHG inventory under the BR for all sectors and all gases considered in IPCC '96 guideline period prepared for the 2013; -assessment of existing arrangements for domestic MRV; -addressing the specific information on technical and methodological details about MRV -assessment of mitigation options, proposed in TNC/6NC -indication of ways for improvement of organizational and institutional arrangements, cross-sectoral approaches, technical and institutional capacity-building needs.	-National GHG Emissions Trading Scheme has been introduced in 2011 with national MRV system. -Kazakhstan prepared the first BR in 2014	-BR submitted to the UNFCCC in December 2016 -BR guidelines -ETS stakeholders map and evaluation matrix based on key resources (capacity building, financial and technological) fulfilled; -recommendations to the Government prepared and submitted	-UNFCCC documentation.	Risks: -lack of strong political support for the preparation of the BR; -low capacity of national experts for identification of opportunities to improve ETS and MRV
Outcome 6 Monitoring and	-Monitoring and Evaluation work plan and budget	ME as an Executing Agency has substantial	Monitoring and evaluation of project's activity undertakes in accordance with GEF	-Inception report -PPR quarterly	

<p>evaluation</p>	<p>agreed -Project Steering Committee meetings held at least once a year -Reports provided -Stakeholders involvement -Financial Audit</p>	<p>experience and capacity to execute UNDP/GEF projects</p>	<p>requirements and UNDP procedures</p>	<p>-Project Terminal Report -Minutes of PSC meetings -Stakeholders map</p>	
<p>Outcome 7 Project activities coordinated, ongoing communication with all stakeholders maintained, and quality of project activities monitored and evaluated</p>	<p>-international and local experts identified and hired -regular meetings with Team Leaders and project stakeholders were organized -equipment and office facilities procured -publications in mass-media --Active project website;</p>	<p>-national team on GHG inventory established within NIS -No website with links to key stakeholders and project documentation;</p>	<p>-contracts with international and local experts -Protocol of meetings with Team Leaders and stakeholders -Project website on climate change has current information on most recent developments in CC and all key project reports -awareness raising on climate change, NC and BR -experience and lessons learned in preparation of BR and 7NC were shared</p>	<p>-reports as required by UNDP-GEF -Atlas Risk log -Project website -Lessons Learned Note</p>	<p>Risks: -Introduction of new reporting guidelines with greater reporting obligations after the commencement of this project -Changes in Governmental structure and state policy -CC is not presented in strategies and action plans of the Government Assumptions: -ME will support project team and provide office premises; -stakeholders involved in preparation of TNC/6NC will support the project; -mass-media have an understanding of CC issues and supports the Project, since projected climate change impacts and climate risks are already in place</p>

IV. TOTAL BUDGET AND WORKPLAN

Project Budget

Award ID:	00081141	Project ID(s):	00090571
Award Title:	Development of Kazakhstan's National Communication to the UNFCCC and Biennial Report		
Business Unit:	KAZ10		
Project Title:	Development of Kazakhstan's National Communication to the UNFCCC and Biennial Report		
PIMS no. _____	5369		
Implementing Partner (Executing Agency)	ME RK		

GEF Outcome/Atlas Activity	Responsible Party/Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Description	Budget	Amount 2014 (USD) (Aug.-Dec.)	Amount 2015 (USD)	Amount 2016 (USD)	Amount 2017 (USD)	Amount 2018 (USD)	Total (USD)	See Budget Note:
OUTCOME 1: Updated GHG inventory prepared and capacity to collect this information on an ongoing basis for future NCs enhanced	ME RK / UNDP	62000	GEF	71200	International Consultants		0	0	0	0	0	0	x
				71300	Local Consultants		0	0	0	27000	15000	42000	Team leader and experts
				72100	Contractual services		0	0	0	3000	0	3000	Round table with NIS members to identify capacity building, technical and financial needs
				sub-total GEF			0	0	0	30000	15000	45000	
				Total Outcome 1			0	0	0	30000	15000	45000	
OUTCOME 2: 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	ME RK / UNDP	62000	GEF	71200	International Consultants		1000	6000	11000	0	0	18000	International Consultant on cost-benefit analysis of mitigation measures
				71300	Local Consultants		2000	14000	35000	72000	16000	139000	Team leader and experts
				72100	Contractual services		1000	3000	10000	27000	7000	48000	Series of trainings on modelling and economic assessment of mitigation options for Government and enterprises and stakeholders consultations
				sub-total GEF			4000	23000	56000	99000	23000	205000	
				Total Outcome 2			4000	23000	56000	99000	23000	205000	
OUTCOME 3: Climate change	ME RK / UNDP	62000	GEF	71200	International Consultants		0	0	0	8000	3000	11000	x

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				71300	Local Consultants	0	0	39000	65000	48000	152000	Team leader and experts
				72100	Contractual services	0	0	0	20000	11000	31000	Series of training on climate monitoring, vulnerability assessment and analysis of CC impact on socio-economic development for Government and Akimats
				sub-total GEF		0	0	39000	93000	62000	194000	
				Total Outcome 3		0	0	39000	93000	62000	194000	
OUTCOME 4: National circumstances reviewed and updated; other information and capacity building is described; national communication and BR are completed, translated publicized and promoted	ME RK / UNDP	62000	GEF	71200	International Consultants	0	0	0	0	0	0	x
				71300	Local Consultants	1000	4000	18545	18000	63000	104545	Team leader and experts
				72100	Contractual services	0	0	0	0	0	0	
				sub-total GEF		1000	4000	18545	18000	63000	104545	
				Total Outcome 4		1000	4000	18545	18000	63000	104545	
OUTCOME 5: The BR of Kazakhstan developed, capacity on national ETS and MRV system built	ME RK / UNDP	62000	GEF	71200	International Consultants	0	0	0	0	0	0	x
				71300	Local Consultants	3000	79000	81000	0	0	163000	Team leader and experts
				72100	Contractual services	2000	18000	28000	0	0	48000	Stakeholders consultations and trainings for BR Task Force
				sub-total GEF		5000	97000	109000	0	0	211000	
				Total Outcome 5		5000	97000	109000	0	0	211000	
OUTCOME 6: Monitoring and evaluation	ME RK / UNDP	62000	GEF	71200	International Consultants	0	0	0	0	0	0	x
				71300	Local Consultants	0	0	0	0	0	0	Team leader and experts
				72100	Contractual services	3200	700	700	700	700	6000	The Inception workshop and PSC meetings; Translation into Kazakh and English, proof-reading and publishing services
				74100	Professional Services	0	0	3000	3000	3000	9000	Audit
				sub-total GEF		3200	700	3700	3700	3700	15000	
				Total Outcome 6		3200	700	3700	3700	3700	15000	
OUTCOME 7:	UNDP	62000	GEF	71200	International Consultants	0	0	0	0	0	0	x

Project Management	71300	Local Consultants	3000	9050	10000	10000	9200	41250	Salary of PA for 48 month
	74599	UNDP cost recovery chrgs-bills	2401	8451	8451	8451	8451	36205	Direct project costs
		sub-total	5401	17501	18451	18451	17651	77455	
		Total Management	5401	17501	18451	18451	17651	77455	
PROJECT TOTAL			18601	142201	244696	262151	184351	852000	

Summary of Funds:

	Amount 2014 (USD) (Aug.-Dec.)	Amount 2015 (USD)	Amount 2016 (USD)	Amount 2017 (USD)	Amount 2018 (USD)	Total (USD)
GEF	18601	142201	244696	262151	184351	852000
UNDP (parallel)	0	15000	15000	15000	15000	60000
Government (in-kind)	62000	183692	183692	183692	183692	796768
TOTAL	80601	340893	443388	460843	383043	1708768

Project workplan

Results including indicators	Activities	SCHEDULE																				
		2014				2015				2016				2017				2018				
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
OUTCOME 1: Updated GHG inventory prepared and capacity to collect this information on an ongoing basis for future enhanced NCs Indicators: -Information on GHG emissions is submitted in the	1.1 Activity data, required by IPCC guidelines, collected and analyzed, data gaps filled and inventory and database improved where needed;																					
	1.1.1. Specify the methodological aspects: the IPCC guidelines which best apply to the national circumstances to be determined, considering the criteria used by other simultaneous processes;																					
	1.1.2. Review of available archive data and defining of all new informational sources to fill information gaps;																					
	1.1.3. Defining of existing sources to receive the data and searching for additional sources of information required for making analysis in accordance with the requirements under the IPCC Guidelines on Effective Practices;																					
	1.1.4. : Defining of new data required for the inventory of GHG emissions;																					
	1.1.5. Use of advanced experience and methods of IPCC to eliminate information gaps.																					
	1.2. Emission factors for key source categories prepared and recalculated;																					

<p>period specified by the National System and in accordance with the IPCC Good Practice Guidance for all main sources</p> <p>-A package of projects on normative-legal acts and the methodology on data collection for the National inventory System developed.</p> <p>-Complete inventory chapter for the 7NC</p> <p>-Technical reviews and reports</p>	1.2.1. Revision and recalculation of the input data from the initial GHG inventory in order to reduce13uncertainty;																					
	1.2.2. Undertake uncertainty assessment as guided by IPCC good practice guidelines.																					
	1.3. The GHG inventory team and data collection and analysis process maintained and strengthened;																					
	1.3.1. Hold the consultations with the NC/BR team and the JSC "Zhassyl-Damu" in order to harmonize criteria, delivery timetables, synergies, and other aspects which can optimize the use of human, technical and financial resources;																					
	1.3.2. Assign and attract of national experts having related competency in key branches and fields;																					
	1.3.3. Study of available information from documental reports on the results of the previous GHG inventories;																					
	1.3.4. Asses of needs of responsible institutions in awareness rising in the field of GHG inventory;																					
	1.3.5. Organize and conduct of training to exchange in knowledge and experiences with other researchers in the region;																					
	1.3.6. Consider and update of the current plan to secure and check the quality (QA/QC);																					
	1.3.7. Undertake uncertainty assessment as guides by National inventory team for enforcement of national GHG inventory.																			X		
	1.4. 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);																					
	1.4.1. Update of GHG inventory and emissions by sources and removals by sinks for the year 2013 for BR and the gaps and the uncertainties encountered in the previous inventory were reduced and brodged;																			X		
	1.4.2. Update of GHG inventory and emissions by sources and removals by sinks for the year 2016 for NC and the gaps and the uncertainties encountered in the previous inventory were reduced and brodged.																			X		
	1.4.3. Circulate the inventory for internal review as part of QA/QC plan.																				X	
	1.4.4. Commission a technical peer review as part of QA/QC plan and incorporate its recommendations into the inventory.																			X		
	1.4.5. Organize a national workshop to present findings from the GHG inventory exercise and obtain additional comments.																				X	
	1.4.6. Finalize the inventory to be submitted as a part of the 7NC of Kazakhstan.																				X	
	1.4.7. Development of a Chapter on Inventory																					X
	1.5. 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.																					
	1.5.1. Analyse of key GHG emitting sectors and uncertainty;																					
	1.5.2. Analyse the National Inventory System (NIS), which 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;																				X	
1.5.3. Prepare recommendations to improve the efficiency of NIS management model;																					X	
OUTCOME 2:																						
Updated report on and policies	2.1. GHG emissions projections for the period 2017-2040;																					
	2.1.1. Consideration of the results of GHG emission inventory forecast assessment made in TNC/6NC;	X									X	X										

	3.5.3. Analysis of the progress or specific impacts considering both prioritized areas and cross components																				X				
	3.5.4. Organization of the first round of consultations to present the results of vulnerability assessment and discuss the policy to promote and reinforce the adaptation processes;																					X			
	3.5.5. Cost-benefit analysis of the of the adaptation measures proposed and identification of investment opportunities;																					X	X		
	3.5.6. Organization of the second round of consultations to: a) identify and prioritize measures and b) prepare recommendations for national Adaptation Plan;																							X	
	3.6. Framework for effective integration of adaptation measures into national strategies identified;																								
	3.6.1.Synthesis-analysis of institutional and political frameworks on adaptation;																								
	3.6.2.Formulating conclusions and consensus to strengthen the understanding of the climate and vulnerability of Kazakhstan, including food security;																								
	3.6.3.Designing the recommendations on effective inclusion of adaptation measures into national strategies, as well regional and local development plans.																								
	3.7. Stakeholder consultation workshops, and awareness raising activities conducted, booklets and information materials disseminated.																								
	3.7.1: Publication of interviews, analytical papers, related with project implementations and project findings in mass-media (interview, analytical papers) and internet-site;								X	X	X	X										X	X	X	X
	3.7.2: Drafting the policy papers targeted at a non-technical audience;										X														X
	3.7.3.: Circulate the draft policy papers for comments and review and incorporate feedback;										X														X
	3.7.4. Publish the policy papers in Russian and Kazakh;										X														X
	3.7.5: Develop the draft chapter of the V&A and circulate it for internal review and comments;																								
	3.7.6. Circulate the draft chapter of V&A for external peer review and comments;																								X
	3.7.7: Receive comments and incorporate them into the document;																								X
	3.7.8: Finalize the V&A chapter to be submitted as a part of Kazakhstan's 7NC.																								X
Outcome 4: National circumstances reviewed and updated; other information and capacity building is described; national communication and BR are completed, translated publicized and promoted	4.1. National circumstances in Kazakhstan updated and appropriate CC measures to implement the UNFCCC are redefined and explained																								
	4.1.1. Collecting the information on new developments in the National Circumstances section of the 7NC, such as the current government institutional arrangements for addressing obligations under the UNFCCC, which have become more comprehensive since the TNC/6NC, the formulation of recent sectoral development plans, government measures and any other developments that post-date the stock-taking analysis.																								X
	4.1.2. Generate data in the context of ongoing and executed international, regional, national projects;																					X	X		
	4.1.3. Review of existing legislation and strategic documents;																					X	X		
	4.1.4. Ensure that the section cover all areas identified as priorities for mitigation and adaptation (listed in Outcomes 3 and 4); commission any additional data necessary to support those areas.																							X	
Indicators: -Affiliated policy papers and briefings; -Additional information on public awareness; -Technology needs assessment -Financial needs	4.2. Collected, analysed and updated the information related to national circumstances; geography, climate, natural resources and socio-economic conditions related to the GHG emissions and absorption;																								
	4.2.1. Establish links to get new data and information, such as the re-formulated Energy Balance and updated demographic and socioeconomic data, such as population growth and sectoral economic growth and employment statistics from statistical yearbooks updating the figures from 2006 to 2012 used in the TNC/6NC. Commission and conduct any supplementary research on economic output deemed necessary.										X														
	4.2.2. Collect data and information from different sources, considering the new emerging issues, realities on the ground and the recent socio-economic assessment facilitated by the donor																						X	X	

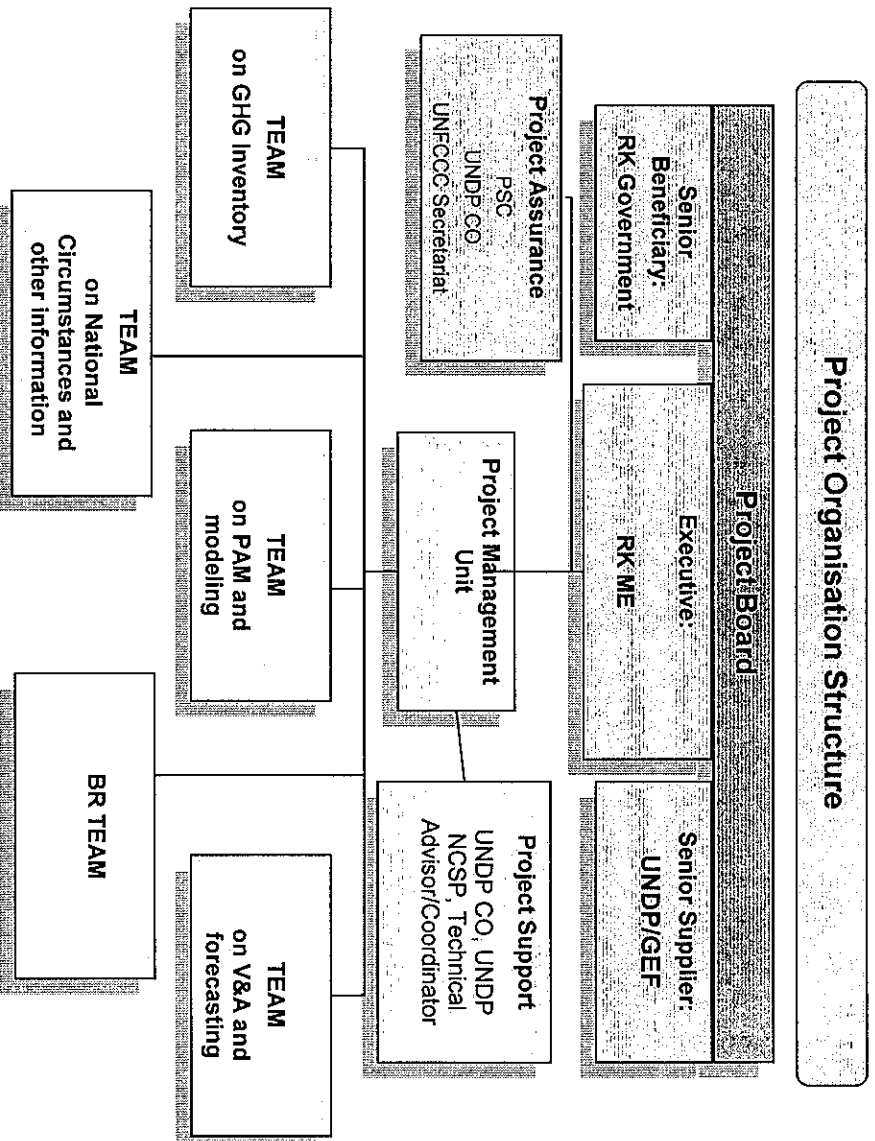
	identified for the fulfilment of the national obligations under UNFCCC on the basis of the previous NCs assessed;																				
	4.13.1. Collection of the information on actions expected or implemented to address the restrictions, gaps and needs identified for the fulfilment of the national obligations under UNFCCC from the FNC, SNC and TNC/6NCs accordingly;																	X	X		
	4.13.2. Assessment of the progress achieved and identification of gaps and barriers;																			X	
	4.13.3. Analysis and incorporation of updated information in the draft Chapter.																				X
	4.14. Financial resources and technical support provided by the GEF and the country to prepare the National Communication provided.																				
	4.14.1. Collecting the information on financial and technical resources provided by GEF and country for the preparation of 7NC, including in-kind contribution;	X																			X
	4.14.2. Analysis and incorporation of updated information in the draft Chapter.																				X
	4.15 NC and BR documents produced, translated into Kazakh and English languages, published and submitted to UNFCCC Secretariat.																				
	4.15.1. Compile a draft of Kazakhstan's 7NC and BR with the structure and scope of the report designed as guided by relevant CoP decisions;									X											X
	4.15.2: Circulate the draft documents for comments and review and incorporate them;									X											X
	4.15.3: Endorse the documents by the PSC;									X											X
	4.15.4: Finalize Kazakhstan's 7NC and BR;									X											X
	4.15.5: Commission translation and technical editing of the 7NC and BR where necessary;									X											X
	4.15.6: Publish Kazakhstan's 7NC and BR in English, Russian and Kazakh;									X											X
	4.15.7: Prepare e-copies of Kazakhstan's 7NC and BR in CD-ROM format;									X											X
	4.15.8: Oversee official submission of Kazakhstan's BR to the Secretariat of the UNFCCC as necessary;									X											
	4.15.9: Oversee official submission of Kazakhstan's 7NC to the CoP of the UNFCCC as necessary;																				X
	4.15.10: Organize a national workshop to launch and present the findings of Kazakhstan's 7NC and BR;											X									X
	4.15.11: Launch the 7NC and present major findings in a side event during a CoP /Subsidiary Body session;																				X
OUTCOME 5:	5.1 Information on national circumstances and institutional arrangements relevant to the preparation of the BR on a continuous basis provided;																				
The BR of Kazakhstan developed, capacity on national ETS and MRV system built	5.1.1. Collecting and 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;	X							X	X											
Indicators:	5.1.2. Review of existing and ongoing international, regional, national projects, legislation and strategic documents;									X											
-establishment of the permanent BR ad-hoc working group;	5.1.3. Analysis of 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;									X											
-GHG inventory under the BR for all sectors and all gases considered in IPCC '96 guideline period prepared for the 2013;	5.1.4. Analysis and incorporation of updated information in the draft Chapter.									X											
-assessment of existing arrangements	5.2 Summary report of the national GHG inventory, including national inventory report for the relevant years prepared;																				
	5.2.1. Collecting and synthesis of the information on GHG inventory with base year 2013, complementing the inventories that have been done under previous NCs;									X	X										
	5.2.2. Assessment of 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.);									X	X										

<p>for domestic MRV; -addressing the specific information on technical and methodological details about MRV -assessment of mitigation options, proposed in TNC/6NC -indication of ways for improvement of organizational and institutional arrangements, cross-sectoral approaches, technical and institutional capacity-building needs.</p>	5.2.3. Analysis and incorporation of updated information in the draft Chapter.									X												
	5.3 Review of mitigation actions and their effects, methodologies and assumptions prepared;																					
	5.3.1. Analysis of institutional, strategic and legal framework of mitigation actions;									X												
	5.3.2. Collecting the information on mitigation options identified in the TNC/6NC, including LPG power station; power transmission energy efficiencies, renewable energy farms- solar and winds									X												
	5.3.3. Assessment of their effects, methodologies and assumptions;										X											
	5.3.4. Analysis and incorporation of updated information in the draft Chapter.											X										
	5.4. Updated information on national MRV system adopted for GHG ETS and suggestions for enhancement made;																					
	5.4.1. Assessment of existing arrangements for domestic MRV;						X	X														
	5.4.2. Development of stakeholder's map and analysis of their capacities;									X												
	5.4.3. Organizing the GHG ETS stakeholder's consultation in order to identify gaps, barriers and opportunities for enhancement of CHC ETS and existing MRV system;										X											
	5.4.4. Identification of ways for improvement for organizational and institutional arrangements, cross-sectoral approaches, technical and institutional capacity-building needs (trainings, workshops, and seminars).										X	X										
	5.4.5. Preparation of recommendations for improvement for different actors of national GHG ETS and MRV;												X									
	5.4.6. Analysis and incorporation of updated information in the draft Chapter.												X									
	5.5 Identification of constraints, gaps, related financial, technical and capacity building needs, including information of support required and received, made;																					
	5.5.1. Collecting the information on results of financial, technical and capacity building needs assessments;						X	X														
	5.5.2. Collecting the information on support received for implementation of the projects, related with GHG inventory, adaptation and mitigation activity;							X	X	X												
	5.5.3. Collecting the information on support required;								X	X	X											
	5.5.4. Analysis and incorporation of updated information in the draft Chapter.											X										
	5.6 Information related to support in preparation and submission of the BR provided.																					
	5.6.1. Collecting the information on financial and technical resources provided by GEF and country for the preparation of BR, including in-kind contribution;										X											
5.6.2. Analysis and incorporation of updated information in the draft Chapter.											X											
5.6.3. Developing of the evaluation matrix based on key resources: capacity building, financial and technological.											X											
Outcome 6. Monitoring and evaluation																						
Indicators:																						
-Monitoring and Evaluation work plan and budget agreed;																						
-Project Board meetings held at least once a year																						
-Reports provided																						
-Stakeholders																						
6.1 Monitoring conducted;																						
6.1.1. Preparation of the Monitoring and Evaluation work plan which shall include: (i) tentative time frames for Steering Committee Meetings, (or relevant advisory and/or coordination mechanisms) and (ii) project related Monitoring and Evaluation activities;						X																
6.1.2. Organisation of the Project Inception Workshop within the first 2 months of project start in order to finalize First year work plan and adopt Monitoring and Evaluation work plan;						X																
6.1.3. Preparation of the Inception Workshop report is a key reference document and sharing it with participants to formalize various agreements and plans decided during the meeting;						X																
6.1.4. Organisation of the Steering Committee meetings, (or relevant advisory and/or coordination mechanisms) meetings at least once a year;									X			X									X	
6.1.5. Carrying out the Status Survey Questionnaires on bi-annual basis to indicate progress and identify bottlenecks as well as technical support needs twice a year;											X										X	

involvement	6.1.6.Regular informing of the UNDP-CO on any delays or difficulties faced during project implementation so that the appropriate support or corrective measures can be adopted in a timely and remedial fashion;			X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
	6.1.7. Attending quarterly meetings UNDP-CO to 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.			X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
	6.1.8. Regular updating of Activity Risk log in ATLAS			X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
	6.2 Evaluation report produced;																				
	6.2.1. Generation of Project Progress Reports (PPR) in the Executive Snapshot on quarterly basis;			X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
	6.2.2. Preparation of the Project Terminal Report during the last three months																			X	
	6.3 Lessons learned analysed, shared, and thematic studies and results disseminated.																				
	6.3.1. Collection of the information on lessons learned during project implementation			X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
	6.3.2. Conducting the analysis and/or thematic studies;			X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
6.3.3. Preparing brief notes and dissemination to stakeholders involved and updating relevant ATLAS log on quarterly basis.			X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
Outcome 7. Project activities coordinated, ongoing communication with all stakeholders maintained, and quality of project activities monitored and evaluated Indicators: -international and local experts identified and hired -regular meetings with Team Leaders and project stakeholders were organized -equipment and office facilities procured -publications in mass-media -Active project website;	7.1: Activities and staff coordinated																				
	7.1: Identify and hire appropriate international and local experts to manage activities and conduct research.	X	X	X	X																
	7.2: Establish regular meetings with Team Leaders and experts		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
	7.3: Hold an inception workshop and finalize the timetable for all project outputs and activities	X																			
	7.4: Procure equipment and office facilities for the project as needed	X																			
	7.5: Coordinate training to be provided in project areas and oversee sharing of experience gained by individual experts during trainings and workshops in Kazakhstan and abroad			X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
	7.2: Communication among project experts, project stakeholders, and the general public coordinated																				
	7.1: Include project stakeholders and project experts in the Project Steering Committee and convene the committee at least once a year and on an ad hoc basis as necessary	X	X				X					X									X
	7.2: Prepare press releases and other information regarding the project status and findings as necessary and respond to press queries regarding the project		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
	7.3: Design and maintain a project website, updating information on a regular basis (web host to be determined during project inception discussions with the implementing agency)		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
	7.3: Project activities, outputs, and outcomes monitored and evaluated																				
7.1: Compile documentation for the Annual Project Review/Project Implementation Review (APR/PIR) that conforms with UNDP-GEF requirements and CO specifications	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
7.2: File other regular reporting documents as required by UNDP-GEF and/or UNDP Kazakhstan, including Quarterly Operational Reports (QORs) with corresponding updates in the Atlas Risk Log if necessary	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	

	7.3: Conduct an independent financial audit of all project activities on an annual basis							X	X								X	X	
	7.4: Compile a Lessons Learned Note on project implementation and the TNC preparation process to be distributed to government counterparts, to UNDP Kazakhstan, and to other GEF-funded project teams in order to share experience and good practice in the preparation of NCs																	X	X

V. MANAGEMENT ARRANGEMENTS



Project Board is responsible for making management decisions for the project, in particular when guidance is required by the Project Management Unit. PB will play a critical role in project monitoring and evaluations by quality assuring these processes and products, and using evaluations for performance improvement, accountability and learning. It ensures that required resources are committed and arbitrates on any conflicts within the project or negotiates a solution to any problems with external bodies. Based on the approved Annual Work Plan, the PB will also consider and approve the quarterly plans and any essential deviations from the original plans.

To ensure UNDP's ultimate accountability for the project results, the PB decisions will be made in accordance to standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. The PB will also provide a formal forum for key stakeholders to discuss the progress of the project. The PB will review the project "outcomes" in relationship with the country priorities and provide policy guidance on implementation of the various project components.

The Project Board will be chaired by the Ministry for Environment and Water Resources along with the representatives from the UNDP and other interested stakeholders.

The **Project Management Unit (PMU)**, working under supervision of UNDP, will assist the project expert teams in the coordination of different responsible parties, preparing implementation plans for the project, conducting communication and advocacy activities. The Unit will have the authority to run the project on a day-to-day basis on behalf of the Implementing Partner within the constraints laid down by the PB.

The **Project Expert Teams** are the core operational units that are responsible for the deliverables specified in the project document that are up to the required standard of quality and within the specified constraints of time and cost.

VI. MONITORING FRAMEWORK AND EVALUATION

The project will be monitored through the following M& E activities. The M& E budget is provided in the table below.

Project start:

A Project Inception Workshop will be held within the first 2 months 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.

The Inception Workshop should address a number of key issues including:

- a) 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 a 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.
- b) 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.
- c) 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.
- d) Discuss financial reporting procedures and obligations, and arrangements for annual audit.
- e) 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.

An Inception Workshop report is a key reference document and must be prepared and shared with participants to formalize various agreements and plans decided during the meeting.

Quarterly:

- 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.

Bi-annual progress:

- Status Survey Questionnaires to indicate progress and identify bottlenecks as well as technical support needs will be carried out twice a year.

Within the annual cycle

- On a quarterly basis, a quality assessment shall record progress towards the completion of key results, based on quality criteria and methods captured in the Quality Management table below.
- An Issue Log shall be activated in Atlas and updated by the Project Manager to facilitate tracking and resolution of potential problems or requests for change.
- Based on the initial risk analysis submitted (see annex 1), a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation.
- Based on the above information recorded in Atlas, a Project Progress Reports (PPR) shall be submitted by the Project Manager to the Project Board through Project Assurance, using the standard report format available in the Executive Snapshot.
- A project Lesson-learned log shall be activated and regularly updated to ensure on-going learning and adaptation within the organization, and to facilitate the preparation of the Lessons-learned Report at the end of the project
- A Monitoring Schedule Plan shall be activated in Atlas and updated to track key management actions/events.

Periodic Monitoring:

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.

Day to day monitoring of implementation progress 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.

Periodic monitoring of implementation progress 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.

End of Project:

During the last three months, the project team will prepare the Project Terminal Report. 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.

Audit clause:

Audit on project will follow UNDP Financial Regulations and Rules and applicable Audit policies.

Learning and knowledge sharing:

Results from the project will be disseminated within and beyond the project intervention zone through existing information sharing networks and forums.

The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation though lessons learned. The project will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects.

Finally, there will be a two-way flow of information between this project and other projects of a similar focus.

Communications and visibility requirements:

Full compliance is required with UNDP's Branding Guidelines. These can be accessed at <http://intra.undp.org/coa/branding.shtml>, and specific guidelines on UNDP logo use can be accessed at: <http://intra.undp.org/branding/useOfLogo.html>. Amongst other things, these guidelines describe when and how the UNDP logo needs to be used, as well as how the logos of donors to UNDP projects needs to be used. For the avoidance of any doubt, when logo use is required, the UNDP logo needs to be used alongside the GEF logo. The GEF logo can be accessed at: http://www.thegef.org/gef/GEF_Logo. The UNDP logo can be accessed at <http://intra.undp.org/coa/branding.shtml>.

Full compliance is also required with the GEF's Communication and Visibility Guidelines (the "GEF Guidelines"). The GEF Guidelines can be accessed at: [http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08_Branding the GEF%20final_0.pdf](http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08_Branding_the_GEF%20final_0.pdf). Amongst other things, the GEF Guidelines describe when and how the GEF logo needs to be used in project publications, vehicles, supplies and other project equipment. The GEF Guidelines also describe other GEF promotional requirements regarding press releases, press conferences, press visits, visits by Government officials, productions and other promotional items.

Where other agencies and project partners have provided support through co-financing, their branding policies and requirements should be similarly applied.

M& E workplan and budget

Type of M&E activity	Responsible Parties	Budget USD <i>(excluding project region staff time)</i>	Time frame
Inception Workshop and Report	<ul style="list-style-type: none"> ▪ Project Manager ▪ UNDP CO, UNDP GEF 	Indicative cost: 6,000	Within first two months of project start up
Measurement of Means of Verification of project results.	<ul style="list-style-type: none"> ▪ UNDP GEF RTA/Project Manager will oversee the hiring of specific studies and institutions, and delegate responsibilities to relevant team members. 	To be finalized in Inception Phase and Workshop.	Start, mid and end of project (during evaluation cycle) and annually when required.
Measurement of Means of Verification for Project Progress on output and implementation	<ul style="list-style-type: none"> ▪ Oversight by Project Manager ▪ Project team 	To be determined as part of the Annual Work Plan's preparation.	Annually prior to ARR/PIR and to the definition of annual work plans
ARR/PIR	<ul style="list-style-type: none"> ▪ Project manager and team ▪ UNDP CO ▪ UNDP RTA ▪ UNDP EEG 	None	Not applicable
Periodic status/ progress reports	<ul style="list-style-type: none"> ▪ Project manager and team 	None	Quarterly
Mid-term Evaluation	<ul style="list-style-type: none"> ▪ Project manager and team ▪ UNDP CO ▪ UNDP RCU ▪ External Consultants (i.e. evaluation team) 	None	Not applicable for EA projects
Final Evaluation	<ul style="list-style-type: none"> ▪ Project manager and team, ▪ UNDP CO ▪ UNDP RCU ▪ External Consultants (i.e. evaluation team) 	None	Not applicable for EA projects
Project Report	<ul style="list-style-type: none"> ▪ Project manager and team ▪ UNDP CO ▪ local consultant 	0	At least three months before the end of the project
Audit	<ul style="list-style-type: none"> ▪ UNDP CO ▪ Project manager and team 	9000	Yearly
Visits to field sites	<ul style="list-style-type: none"> ▪ UNDP CO ▪ UNDP RCU (as appropriate) ▪ Government representatives 	For GEF supported projects, paid from IA fees and operational budget	Yearly
TOTAL indicative COST Excluding project team staff time and UNDP staff and travel expenses		15000 (+/- 5% of total budget)	

VII. LEGAL CONTEXT

This document, together with the Standard Agreement between the Government of the Republic of Kazakhstan and UNDP on support from UNDP to execution of the project nationwide, is governed by the relevant articles of the Standard Agreement. In accordance with Article III of the Standard Agreement, the responsibility for maintenance and safety of the Executive Partner, its personnel and property, and property of UNDP, lies on the Executive Partner.

The Executive Partner shall:

- a) Have and adhere to an appropriate security plan taking into account the situation in the country where the project is implemented;
- b) Have in mind all the risks and probabilities associated with the safety of the Executive Partner, and full implementation of the security plan.

UNDP has the right to make sure that such plan exists, and suggest modifications to the plan, if necessary. Non-compliance or absence of such security plan means a breach of this agreement.

UNDP is committed to make its best to assure proper use of the funds under this Project Document, and that the funds will not be used for individuals or organizations associated with terrorism, and that the recipients of these funds are not indicated in the lists issued by the Security Council Committee under Resolution 1267 (1999). Such lists are at <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This article must be included in all sub-contracts or sub-agreements, included in this Project Document.

UNDP acts in this Project as Implementing Agency of the Global Environment Facility (GEF), and all rights and privileges pertaining to UNDP as per the terms of the SBAA shall be extended mutatis mutandis to GEF.

The UNDP Resident Representative is authorized to effect in writing the following types of revision to this Project Document, provided that he/she has verified the agreement thereto by GEF Unit and is assured that the other signatories to the Project Document have no objection to the proposed changes:

- a) Revision of, or addition to, any of the annexes to the Project Document;
- b) Revisions which do not involve significant changes in the immediate objectives, outputs or activities of the project, but are caused by the rearrangement of the inputs already agreed to or by cost increases due to inflation;
- c) Mandatory annual revisions which re-phase the delivery of agreed project inputs or increased expert or other costs due to inflation or take into account agency expenditure flexibility; and
- d) Inclusion of additional annexes and attachments only as set out here in this Project Document

The present Project Document is made in two copies in English and Russian languages. In case of inconsistencies between the two versions, the English version shall prevail.

VIII. ANNEXES

ANNEX I. RISK ANALYSIS.

Risk	Level of Risk	Commentary and Mitigating Strategies and Actions
Lack of strong political support for the preparation of the 7NC	Low	National strategic documents identifies CC as one of priority of environmental policy, which could affect the socio-economic development, but the understanding of the problem is still on the low level. Project Manager will be requested to provide evidence of active involvement of stakeholders from RK Government in all facets of the project implementation
CC is not presented in strategies and action plans of the Government	Medium	PM, PD and team should create series of consultations and develop strategy of passing CC ideology through RK government
Change in the Government structure and state policy	Moderate	Close cooperation with experts from governmental institutions and President's Administration
Introduction of new reporting guidelines with greater reporting obligations after the commencement of this project	Moderate	UNDP will work GEF Secretariat to enhance the scope of this project in terms of its deliverables together with its associated budget so as to adequately meet the needs of countries with respect to the increased reporting obligations under the UNFCCC.
National experts do face difficulties in enhancing the depth and quality assessments of adaptation and mitigation options due to limited capacities	High	Close cooperation with UNDP NCSF team, which can provide technical assistance to country teams to identify tools and methodologies, lessons learnt and good practices to enhance the quality and utility of national reports. Providing series of technical training for experts.
Insufficient available data and its quality	Moderate	Involvement of information providers into project teams, system of information control will be established
Insufficient inter-sectoral coordination of adaptation activity on national and local levels	High	Representatives of different ministries and agencies included in PSC
Approval and implementation of the Adaptation Plan	High	Stakeholders consultation will be organised to assess opportunities for developing Adaptation Plan document and/or integration of adaptation measures into existing strategic documents
Lack of expertise in the new adaptation areas, such as Emergency, Health, Power, Electricity	Moderate	7NC should identify new adaptation areas. Project team should be trained on identification and research approaches.

ANNEX 2. AGREEMENTS

2.1 STANDARD LETTER OF AGREEMENT BETWEEN UNDP AND THE MINISTRY FOR ENVIRONMENT AND WATER RESOURCE OF THE REPUBLIC OF KAZAKHSTAN FOR PROVISION OF SUPPORT SERVICES¹⁴

¹⁴ The Standard Letter of Agreement and the subsequent request from the Ministry for Environment and Water Resources for provision of support services have been approved by the Government of Kazakhstan. The Ministry for Environment and Water Resources will sign it after the GEF's final endorsement of the Project. UNDP Country Office will submit the Standard Letter along with the signed Project Document. The successful submission of the Standard Letter may be a prerequisite for the launch of the Project.

LETTER OF AGREEMENT BETWEEN
UNITED NATIONS DEVELOPMENT
PROGRAMME AND THE MINISTRY OF
ENERGY OF THE REPUBLIC OF
KAZAKHSTAN FOR PROVISION OF
SUPPORT SERVICES

СОГЛАШЕНИЕ МЕЖДУ ПРОГРАММОЙ
РАЗВИТИЯ ОРГАНИЗАЦИИ
ОБЪЕДИНЕННЫХ НАЦИЙ И
МИНИСТЕРСТВОМ ЭНЕРГЕТИКИ
РЕСПУБЛИКИ КАЗАХСТАН ОБ
ОКАЗАНИИ УСЛУГ ПОДДЕРЖКИ

Your Excellency,

Ваше Превосходительство,

1. Reference is made to consultations between officials of the Ministry of Energy of the Republic of Kazakhstan (hereinafter referred to as "Ministry") and officials of United Nations Development Programme in Kazakhstan hereinafter referred to as UNDP with respect to the provision of support services by the UNDP Kazakhstan country office for nationally managed project "Development of Kazakhstan's National Communication to the UNFCCC and Biennial Report" (hereinafter referred to as Project). UNDP and the Ministry hereby agree that the UNDP country office may provide such support services at the request of the Ministry through its institution designated in the relevant project document, as described below.

1. Ссылаясь на консултации между официальными лицами Министерства энергетики Республики Казахстан (Министерство) и представителями Программы развития Организации Объединенных Наций в Казахстане, далее именуемой ПРООН, в отношении предоставления услуг поддержки со стороны Странового офиса ПРООН по реализации проекта национального исполнения, «Формирование Национального Сообщения Республики Казахстан для Рамочной Конвенции ООН по изменению климата и подготовка двухгодичного доклада» (далее - Проект), ПРООН и Министерство пришли к соглашению, что Страновым офисом ПРООН могут быть оказаны услуги поддержки, по просьбе Министерства, через учреждение, определенное в соответствующем проектном документе, как описано ниже.

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

2. Страновым офисом ПРООН могут быть оказаны услуги, связанные с требованиями к отчетности и прямой оплатой. Предоставляя такие услуги поддержки, Страновому офису ПРООН следует убедиться в том, что потенциал Министерства -- назначенного учреждения усилен, и оно может выполнять эти мероприятия напрямую. Расходы Странового офиса ПРООН по предоставлению таких услуг поддержки покрываются из административного бюджета офиса.

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

a) Identification and recruitment of project and

3. Страновым офисом ПРООН могут быть оказаны, по просьбе назначенного учреждения, следующие услуги поддержки на проведение мероприятий в рамках проекта:

a) Определение и найм персонала проекта

programme personnel;

b) Identification and facilitation of training activities;

c) Procurement of goods and services.

и программы;

б) Определение и содействие в проведении обучающих мероприятий;

в) Закупка товаров и услуг.

4. The procurement of goods and services and the recruitment of project and programme personnel by the UNDP country office shall be in accordance with the UNDP regulations, rules, policies and procedures. If the requirements for support services by the country office change during the life of a project, it will be revised with the mutual agreement of the UNDP Resident Representative and the designated institution.

4. Закупка товаров и услуг и найм персонала проекта и программы Страновым офисом ПРООН производятся в соответствии с нормативами, правилами, политикой и процедурами ПРООН. Если требования, касающиеся услуг поддержки странового офиса, изменятся в ходе реализации проекта, то они будут пересмотрены по взаимному согласию Постоянного Представителя ПРООН и назначенного учреждения.

5. The relevant provisions of the Standard Basic Agreement between UNDP and the Government of Kazakhstan on October 4, 1993 (the "SBA"), including the provisions on liability and privileges and immunities, shall apply to the provision of such support services. The Government shall retain overall responsibility for the nationally managed project through the Ministry as its designated institution. The responsibility of the UNDP country office for the provision of the support services described herein shall be limited to the provision of such support services detailed in the annex to project document.

5. К предоставлению таких услуг поддержки применяется соответствующее положение Стандартного Базового Соглашения («SBA») между ПРООН и Правительством Казахстана от 4 октября 1993 г., включая положения об ответственности, привилегиях и иммунитетах. Правительство несет общую ответственность за реализацию проекта под национальным управлением через Министерство, назначенное им учреждение. Ответственность Странового офиса ПРООН за предоставление описанных здесь услуг поддержки ограничивается предоставлением таких услуг поддержки, детально определенных в приложении к проектному документу.

6. Any claim or dispute arising under or in connection with the provision of support services by the UNDP country office in accordance with this letter shall be handled pursuant to the relevant provisions of the SBA.

6. Любая претензия или разногласие, возникающие в связи с предоставлением услуг поддержки Страновым офисом ПРООН, в соответствии с данным письмом, разрешаются согласно соответствующим положениям SBA.

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

7. Порядок и процедура покрытия расходов Страновым офисом ПРООН при предоставлении услуг поддержки, описанных в параграфе 3 выше, будут определены в приложении к проектному документу.

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

8. Страновым офисом ПРООН представляются текущие отчеты об оказанных услугах поддержки и отчет о возмещенной стоимости при оказании таких услуг, которые

могут потребоваться.

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

9. Какие-либо изменения в настоящие мероприятия могут быть внесены с взаимного письменного согласия сторон данного соглашения.

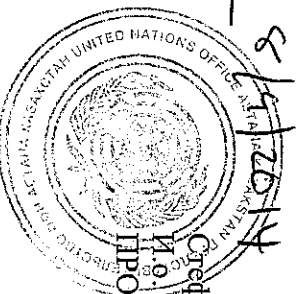
10. If you are in agreement with the provisions set forth above, please sign and return to this office two signed copies of this letter. Upon your signature, this letter shall constitute an agreement between the Ministry and UNDP on the terms and conditions for the provision of support services by the UNDP country office for nationally managed projects.

10. В случае согласия с положениями, определенными выше, пожалуйста, подпишите и передайте в офис ПРООН две подписанные копии данного письма. Подписание данного письма будет означать договоренность между Министерством и ПРООН о предоставлении услуг в условиях, касающихся предоставления услуг поддержки со стороны Странового офиса ПРООН проектам, находящимся в национальном управлении.

11. The present Letter of Agreement is written in English and Russian and consists of 2 original copies. In the event of any ambiguity or conflict between the English and Russian language versions, the English version shall prevail.

11. Настоящее Соглашение составлено в двух оригинальных копиях на двух языках: английском и русском. В случае несоответствия между английским и русским вариантом соглашения, prevалирует английская версия.

Stefan Liller
OIC UNDP in Kazakhstan



Stefan Liller
И.О. Постоянного Представителя
ПРООН в Казахстане

Talgat Akhsambiyev
Vice-minister of Energy of the Republic of
Kazakhstan



9.9.2014

Талгат Ахсамбиев
Вице-министр энергетики Республики
Казахстан

Attachment

Приложение

**DESCRIPTION OF UNDP COUNTRY OFFICE
SUPPORT SERVICES**

**ОПИСАНИЕ УСЛУГ ПОДДЕРЖКИ
СТРАНОВОГО ОФИСА ПРООН**

1. Reference is made to consultations between the Ministry of Energy of the Republic of Kazakhstan, the institution designated by the Government of Kazakhstan and officials of UNDP with respect to the provision of support services by the UNDP country office for the nationally managed GEF funded project "Development of Kazakhstan's National Communication to the UNFCCC and Biennial Report".

1. Ссылка дана на консультации между Министерством энергетики Республики Казахстан, учреждением, назначенным Правительством Казахстана, и официальными представителями ПРООН, в отношении предоставления услуг поддержки со стороны Странового офиса ПРООН проекту, находящемуся в национальном управлении и финансируемому ГЭФ «Формирование Национального Сообщения Республики Казахстан для Рамочной Конвенции ООН по изменению климата и подготовка двухгодичного доклада».

2. In accordance with the provisions of the letter of agreement signed on _____ 2014 and the project document, the UNDP country office shall provide support services for the project "Development of Kazakhstan's National Communication to the UNFCCC and Biennial Report".

2. В соответствии с положениями данного письма _____ 2014 г. и проектным документом, Страновым офисом ПРООН будут предоставлены услуги поддержки проекту «Формирование Национального Сообщения Республики Казахстан для Рамочной Конвенции ООН по изменению климата и подготовка двухгодичного доклада».

3. Support services to be provided are specified in UNDP Kazakhstan Universal Price for the support services locally provided.

3. Стоимость услуги поддержки определена в Универсальном прайс-листе ПРООН в Казахстане по оказанию услуг на местном уровне.

2.2 UNITED NATIONS DEVELOPMENT PROGRAMME LETTER OF CO-FINANCING¹⁵

¹⁵ UNDP Country Office will submit the signed Letter of Co-Financing along the signed Project Document at the earliest convenience.

United Nations Development Programme



*Empowered lives.
Resilient nations.*

9 June 2014

To Whom It May Concern

On behalf of the United Nations Development Programme in the Republic of Kazakhstan and, in my capacity as Resident Representative, I hereby confirm co-financing commitments of the UNDP in Kazakhstan towards implementation of the UNDP/GEF Project "Development of Kazakhstan's National communication to the UNECCC and Biennial Report" for 2015-2018.

UNDP Kazakhstan's co-financing will total US\$60,000 as a parallel and in-kind contribution over the project lifetime.

Sincerely yours,

A handwritten signature in black ink, appearing to read 'Stephen Tull', is written over a set of horizontal lines.

Stephen Tull
Resident Representative

Global Environment Facility Unit (UNDP-GEF)
Energy & Environment Group, BDP

2.3 THE MINISTRY FOR ENVIRONMENT AND WATER RESOURCES LETTER OF CO-FINANCING¹⁶

MEWR LETTER HEAD

UNOFFICIAL TRANSLATION

Ms. Adriana Dinu
Executive Coordinator and Director a.i.
Energy & Environment Group
UNDP/GEF
New York, USA

on co-financing of the UNDP/GEF and the Government of the RK Project "Development of Kazakhstan's National Communication to the UNFCCC and Biennial Report"

The Ministry for Environment and Water Resources of the Republic of Kazakhstan (further referred as the Ministry) with particular regard to the earlier approved joint UNDP/GEF - the Government project "Development of Kazakhstan's National Communication to the UNFCCC and Biennial Report", has the honor to inform you of the following.

Being the GEF focal point in Kazakhstan, hereby the Ministry confirms that the project proposal is in line with the national priorities of the Government and the commitments of Kazakhstan within the framework of related environmental conventions.

To implement the activities under the UNFCCC, in 2014 the Ministry approved the funds of 40,024,000 tenge for the purposes of development of the national communication on the Greenhouse Gas Emissions and 26,940,000 tenge for the purposes of international climate negotiations with support from national experts.

Considering that these activities are implemented on the regular basis and that the funds of a similar order are secured for the coming years, I believe that these funds should be accounted as the input of the Republic of Kazakhstan into the implementation of the project.

Minister

N.Kapparov

¹⁶ The Ministry for Environment and Water Resources has approved the Letter of Co-Financing and will submit it to the UNDP Country Office in the nearest future.

ANNEX 3. TERMS OF REFERENCES

TOR for National Project Assistant (Administrative and Finance Assistant)

- 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.

Qualifications and Experience

- University Degree, some training in business and/or administration desirable (finance or accounting)
- At least five years administrative experience
- Good organizational skills
- Good computer skills, including spread-sheets and database
- Languages: High proficiency in English

TOR for National GHG Team Leader

- Assists the NPM in establishing the team of experts for performing the GHG inventory on the basis of the roster of experts;
- Oversees the training –of –trainers sessions on GHG inventory.
- Assists NPM to organize GHG inventory relevant training and workshops.
- Prepares a detailed work-plan for GHG inventory exercise on the basis of the overall project work plan.
- Provides periodic progress report to the NPM on the GHG inventory thematic area;
- Develops the scope of work and respective terms of reference for the team members;
- Leads the data collection process, including surveys.

- Leads and oversees the team to conduct the GHGs national inventory;
- Ensure the timely and effective management of the activities as scheduled;
- In consultation with NPM select and implement the methodologies for the conducting of GHGs inventory;
- Identifies gaps and key sectors for GHG inventory;
- Incorporates comments received from the review process.
- Drafts the National Inventory Report and respective chapter of Kazakhstan's 7NC along with the respective part of executive summary.
- Leads and coordinates the updating the Manual of Procedures in the light of the new findings under the 7NC exercise.
- Archives new data and estimates of new inventory.

Qualifications and experience

- An advanced degree in energy, environmental management or other field relevant to the project;
- A minimum of 7 years of working experience in the area relevant to the Climate Change;
- Substantial involvement in the preparation of the Second National Communication is highly preferred (GHG inventory and abatement analysis) ;
- Good understanding of GHGs inventory process and demonstrable knowledge of IPCC and GPG;
- Demonstrated ability of analytical and drafting work;
- Familiarity with computers and data processing (EXCEL, ACCESS)
- Fluency in English;

TOR for national GHG Mitigation Team Leader

- Assists the NPM in establishing the team of experts for performing the GHG inventory on the basis of the roster of experts;
- Oversees the training –of –trainers sessions on GHG inventory.
- Assists NPM to organize GHG inventory relevant training and workshops.
- Prepares a detailed work-plan for GHG inventory exercise on the basis of the overall project work plan.
- Provides periodic progress report to the NPM on the GHG inventory thematic area;
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- Good understanding of GHGs inventory process and demonstrable knowledge of IPCC and GPG;
- Demonstrated ability of analytical and drafting work;
- Familiarity with computers and data processing (EXCEL, ACCESS)

- Fluency in English;

TOR for BR Team Leader

- 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

TOR for Climate change V&A Team Leader

- 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.
 - An advanced degree in energy, environmental management or other field relevant to the project;
 - A minimum of 7 years of working experience in the area relevant to the Climate Change;
 - Substantial involvement in the preparation of the initial National Communication is mandatory (V&A);
 - Good understanding of climate change and sustainable development issues;
 - Demonstrated ability of analytical and drafting work;
 - Demonstrable knowledge of IPCC 1994, MAGIC / SCENGEN, MARKAL etc.
 - Familiarity with computers and word processing;
 - Fluency in English;

TOR for Technical Advisor/Coordinator

- Supervises and ensures the timely implementation of the project relevant activities as scheduled in the working plan
- Prepares a detailed work plan for the project and draft terms of reference for the subcontracts (in consultation with the PSC and UNDP);
- Compiles the scope and content of the overall SNC report and relevant sections in consultation with Team Leaders;

- Develops the scope of the work and TORs and other procurement documentation required to identify and facilitate recruitment of experts and consultants;
- Identifies and hire/subcontract the national experts and institutions (in consultation with the PSC and UNDP);
- Supervise project support staff national consultants who are recruited to provide technical assistance
- Organizes and supervise the workshops and training needed during the project;
- Liaises with the relevant ministries, national and international research institutes, NGOs, and other relevant institutions in order to involve their staff in project activities, and to gather and disseminate information relevant to the project;
- Prepares periodic progress reports of the project;
- Control the expenditures and otherwise ensure adequate management of the resources provided for the project;
- Summarizes and synthesizes the results of the project;
- Identifies the follow up activities and mobilizes other resources at the extend possible;
- Identifies and ensures synergy of the TNC with other relevant ongoing / new projects.
- Finalizes the TNC along with government personnel and national experts;
- Ensures that the TNC process is in the line with guidance provided by the CoP of the UNFCCC and contributes to the improvement of the UNFCCC reporting process.
- Collaborates with all relevant stakeholders and the Project Steering Committee and other partners to ensure their involvement in the TNC

Qualifications And Experience

- Preferably master's degree in environment-related studies and other related disciplines;
- Good understanding of Kazakhstan's environment/development issues as well as the three thematic areas under investigations;
- At least six to eight years experience relevant to the project;
- Excellent communication (Written and Oral) Skills;
- Demonstrated experience in project management;
- Expertise in putting together costed, results-oriented action plans;
- Demonstrated experience in working with government, donors and the United Nations system;
- Substantial involvement in the preparation of the national GHG inventory and the initial National Communication is mandatory
- Substantial knowledge of methodologies for inventories (*PCC Revised 1996 Guidelines* and *Good Practice Guidance, LEAP etc*)
- Familiarity with international negotiations and processes under the UNFCCC preferred
- Familiarity with computers and word processing
- A demonstrated ability in managing projects, and in liaising and co-operating with all project personnel including government officials =, scientific institutions, NGOs, and private sector;
- A very good knowledge in English is absolutely necessary.

TOR for Expert on capacity building in climate change

- 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;

TOR for GHG emissions scenario development expert

- 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.

TOR for climate change scenario development expert

- 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

TOR for socio-economic development expert

- 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

TOR for translator

- Translation of the Russian version of the NC/BR into Kazakh; English

TOR for editor

- Proof-reading of 1800 Russian, Kazakh and English versions