



**PROJECT DOCUMENT**  
***the Republic of Kazakhstan***

**Project Title:** Support to Country Coordinating Mechanism for 2018-2019  
**Project Number:** #00107017  
**Implementing Partner:** Country Coordinating Committee Working with International Organizations on HIV and Tuberculosis issues

**Start Date:** 01 January 2018 **End Date:** 31 December 2019 **PAC Meeting date:** 06.10.2017



**Brief Description**

The Project "Support to Country Coordinating Mechanism (CCM) for 2018-2019" is aimed to assist the CCM to conduct its business by providing the necessary administrative, secretarial, communications, and logistical support. The CCM, a multi-stakeholders body, has been re-established in April 2017 by Resolution of the Government of the Republic of Kazakhstan to coordinate country-level activities with the Global Fund to Fight AIDS, Tuberculosis and Malaria (GFAMT) and ensure participatory decision-making. It has been mandated to develop and submit grant proposals to the GFAMT based on priority needs at the national level, oversee progress during implementation and ensure linkages and consistency between GFAMT grants and other national health and development programs.

The project work includes the following: to assist the CCM to conduct its business through organization of the CCM meetings; to participate in the CCM selection process; to support and update the CCM web - site; to implement the CCM oversight functions. UNDP Kazakhstan has been designated as the CCM Funding Recipient to receive and manage the expanded funding on behalf of the CCM.

Contributing Outcome (UNDAF/CPD): Outcome 2.2: Judicial and legal systems, and public institutions, are fair, accountable and accessible to all people. Indicative Output(s): Output 2. Frameworks and dialogue processes engaged for effective and transparent engagement of civil society in national development.	<b>Total resources required:</b>	USD 180 000	
	<b>Total resources allocated:</b>	<b>UNDP TRAC:</b>	
		<b>GFATM:</b>	USD 180 000
		<b>Donor:</b>	
		<b>Government:</b>	
		<b>In-Kind:</b>	
<b>Unfunded:</b>			

Agreed by (signatures):

<b>United Nations Development Programme in Kazakhstan</b>	<b>Country Coordinating Committee Working with International Organizations on HIV and Tuberculosis issues</b>
 Munkhtuya Altangerel, UNDP Deputy Resident Representative	 Nurali Amanzholov, CCM Vice-Chair
Date: 25.10.2017	Date: 25.10.2017

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## I. DEVELOPMENT CHALLENGE

The CCM, a multi-stakeholders body, was established in 2006 to coordinate country-level activities with the Global Fund to Fight AIDS, Tuberculosis and Malaria (Global Fund) and ensure participatory decision-making. The CCM comprises 26 members. It has been mandated to develop and submit grant proposals to the Global Fund based on priority needs at the national level, oversee progress during implementation and ensure linkages and consistency between Global Fund grants and other national health and development programs.

On April 11, 2017, Kazakhstan updated the national Decree of the Government “On CCM on work with international organizations in the sphere of HIV – infection and Tuberculosis” in line with the new Global Fund requirements to CCM. Despite this efforts, in 2018 the CCM Kazakhstan is going to conduct new selection and update this document based on the Global Fund requirement on the CCM composition.

The CCM established its Oversight Committee. The purpose of the Committee is to facilitate CCM decision making role by reviewing reports from implementers in their thematic areas, inquiring into the report details as necessary and making recommendations to the CCM for decision making. The CCM Oversight Committee does not make final decisions; it only makes recommendations and performs CCM Oversight function, oversees the implementation of the Global Fund projects in Kazakhstan, holds meetings with senior officials, Principle recipients, Sub – recipients and their partners, representatives of the target groups and Local Fund agents, and reviews performance of the intended programmatic targets.

The Oversight Committee reviews the progress of grant implementation, clarifies data, identifies and diagnoses problems, and recommends follow up actions to the CCM, as well as identifies and demonstrates successful stories, best practices and lessons learnt during grant oversight.

In 2011 the CCM created its Secretariat. The CCM Secretariat is a unit that assists the CCM to carry out its functions as required by the Global Fund and the CCM's own governing documents. The CCM Secretariat is accountable to the CCM, supervised by the CCM Vice-Chairs, is overseen by and reports to the CCM.

The CCM Secretariat Core Responsibilities under the guidance of the CCM Vice-Chairs are to:

- Support the CCM in communication to the Global Fund Secretariat and Global Fund stakeholders in Kazakhstan; to manage the process of designing and developing country funding applications/proposals to submit to the Global Fund; in the oversight of Global Fund grants implementation, finances and programmes in Kazakhstan;
- Coordinate CCM and Oversight Committee meetings, CCM oversight activities including visits to Global Fund programme implementation sites, meetings, resource mobilization & harmonization, capacity building workshops;
- Support CCM in the processes of information sharing and publicity including constituency engagement activities;
- Support the CCM to establish, review and update its rules, regulations and governance framework documents;
- Maintain CCM documentation and archives

Currently, the CCM Kazakhstan coordinates four Global Fund grants: HIV/AIDS (the on-going grant will come to an end in March 2018), Tuberculosis (for 2017-2019), Harm Reduction (the on-going grant will come to an end in December 2017) and TB prevention among Migrants (the on-going grant will come to an end in December 2017).

CCM members will become more active, making voices of vulnerable populations be heard by decision makers and thus eliminate problems that create barriers to implementation of prevention programs on HIV/AIDS and Tuberculosis. This objective will be achieved by initiating the introduction of amendments in normative regulations.

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## **II. STRATEGY**

The main CCM activities will be focused on implementation of six Eligibility Requirements of the Global Fund to CCM:

1. Coordination of development of all funding requests;
2. Nomination of all new and continuing Principal Recipients;
3. Oversight of development and implementation of grants;
4. Participation of key affected populations in the CCM;
5. Selection process of CCM members representing non-government constituencies;
6. Adequate management of conflict of interest,

as well as Minimum Standards to ensure mandatory participation of key affected populations (people who inject drugs (PWID), sex workers (SW), men who have sex with men (MSM), ex-prisoners, people living with HIV (PLHIV), people affected by Tuberculosis, and migrants) in the development and coordination of the Global Fund grants implemented in Kazakhstan.

The project will focus on the enhancing of partnership between different sectors and key affected populations to improve health status and socio-economic well-being through establishing a dialogue platform between vulnerable populations and high-level government authorities to ensure participatory decision making to meet needs and requirements of the target group. Representatives of key affected populations and high level decision makers participate in the CCM meetings and possess equal rights and opportunities in the decision making process. Thus, to some extent the project will support the CCM and the Ministry of Health of the Republic of Kazakhstan in full-scale realization of the national healthcare strategy.

The project is implemented on the basis of advance planning, clear structuring and organization of all logistics processes in accordance with UNDP rules, regulations, policies and procedures.

Activities planned within the project realization correlate to the Outcome 2.2 of the UNDAF/CPD, 2016-2020): Judicial and legal systems, and public institutions, are fair, accountable and accessible to all people.

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## **III. RESULTS AND PARTNERSHIPS**

### ***Expected Results***

The project will achieve its results through organization of CCM meetings and implementation of the CCM oversight functions i.e. conduct of briefings with Principal Recipients and Local Fund Agents, oversight visits to the regions and meetings with heads of the regional healthcare administrations along with the ultimate service recipients, and reporting to CMM on the need to implement corrective measures. The CCM meetings will be designed to promote good governance with participation of high-level stakeholders and key affected populations by facilitating continuous interaction of the target group, the project implementing partner and the decision makers. The CCM ensures adequate management of conflict of interest, considers all CCM members to be equal partners with full rights to expression and involvement in decision-making, and promotes accountability and transparency. To improve the effectiveness of CCM meetings and to enhance the quality of decision making, the CCM decisions will be circulated and published on the CCM web site ([www.ccmkz.kz](http://www.ccmkz.kz)). All CCM decisions will be agreed upon to bring greater transparency in dealing with issues specific to CCM work ensured by clearly documented processes, making publications, circulation among national and international partners by email, and open discussions. Representation of CSOs and key affected populations in the CCM composition is an important source of information for feedback to its constituencies. According to one of the Global Fund Eligibility requirements to CCM, each civil society representative in the CCM should have a work plan from their constituency that specifies key tasks and communication responsibilities which they need to fulfil as a representative of the constituency. The CCM Secretariat will collect the work plans from the constituencies, and as a result, more than 80% of civil society representatives of the CCM will develop and present to CCM a work plan endorsed by their constituency. To update the composition, the CCM will conduct elections in compliance with the CCM Eligibility Requirements of the Global Fund: CCM elections will be conducted in accordance with the rules developed by the constituencies itself and the CCM

policies; minimum 40% of CCM members will be represented by the non-governmental sector and key affected populations, living with or affected by the diseases; minimum 60% of CCM members will be represented by women to ensure the implementation of the Gender Equality Strategy. The selection of the constituencies' representatives will be coordinated by the CCM Secretariat and the Technical Working Group established by CCM. Each civil society constituency will have to document the process of selection of its representatives in the CCM and prepare minutes of the respective meetings. The CCM Secretariat will assist CCM to build the capacity of new CCM members through organization of briefings and distribution of CCM documents and request of technical assistance from Global Fund. Results of the oversight visits and minutes of the CCM meetings will be documented in an appropriate manner to share good governance practices.

### ***Resources Required to Achieve the Expected Results***

To achieve the expected results, financial and human resources, the use of a multisectoral approach are required as well as the systematic oversight of grant implementation to recommend the necessary corrective measures. To achieve these goals, financial resources have been mobilized from the Global Fund to Fight AIDS, Tuberculosis and Malaria for 2018-2022.

### ***Partnerships***

Taking into account that the CCM is a multi-stakeholders body and the project is aimed at providing administrative and logistical support to the CCM, it is necessary to continue maintaining partnership with all stakeholders to implement the project:

- Ministry of Healthcare;
- Ministry of Internal Affairs;
- Ministry of Defence;
- Ministry of Religious Affairs and Civil Society;
- Ministry of Education and Science;
- Representatives of national non-governmental organizations;
- People affected by Tuberculosis;
- People living with HIV;
- UNAIDS;
- UNODC;
- USAID;
- CDC;
- PSI;
- KNCV;
- And other International organizations working in the sphere of HIV/AIDS and Tuberculosis in Kazakhstan
- Republican Center on Prevention and Control of AIDS
- National Scientific Center of Phthisiopulmonology of the Ministry of Health of the Republic of Kazakhstan;
- Project "HOPE"
- Regional Centers on Prevention and Control of AIDS;
- Regional TB Dispensaries.

### ***Risks and Assumptions***

The project results depend on change of national and local political priorities. To mitigate the risks, the project will involve a wider range of partners to match project goals with objectives set out in the country's policy documents and programmes. The risk of duplication or conflict with other initiatives of donor agencies/government projects will be reduced by CCM Partner's regular coordination with donor agencies, NGOs, government agencies and other national partners involved in HIV and TB prevention programmes. For more details, please refer to the Risk log attached to the present document as an Annex 3.

## ***Stakeholder Engagement***

The senior beneficiary of the project is the CCM in Kazakhstan. In accordance with the Resolution of the Prime Minister of the Republic of Kazakhstan "On CCM on work with international organizations on HIV and Tuberculosis issues" dated as of April 11, 2017, representatives of the government and non-governmental sectors, international organizations, as well as key affected populations will be engaged in the project.

## ***Human rights***

CCM decisions will be focused on the needs of vulnerable groups and representatives of key affected population; vulnerable groups, people living with diseases are involved at the stage of decision making, when providing feedback on specific needs, requirements and gaps in the services to be provided.

## ***Gender mainstreaming***

The project supports men and women equality by provision of equal opportunities according to the strategy on Gender Equality. The CCM composition will be balanced by representation of men and women (the Global Fund Gender Equality Strategy clarifies how women and girls are key affected groups in the context of the 3 diseases).

## ***Knowledge***

CCM members will be trained by engaging international experts with the support of the Technical advisory team of the Global Fund. Compliance with the eligibility requirements will be assessed using a special form developed by the Global Fund. Evaluations and other knowledge products of the CCM will be distributed by e-mail and published on the CCM website.

## ***Sustainability and Scaling Up***

The CCM, with the support of project experts, developed a transition plan on integration of CCM activities into the national health development program which will be initiated in the final year of the project.

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## **IV. PROJECT MANAGEMENT**

### ***Cost Efficiency and Effectiveness***

Cost efficiency and effectiveness of the project is based on previous experience gained with similar CCM projects successfully implemented in 2010-2011, 2012-2013, 2014-2015, 2016-2017 respectively. The project will be implemented in line with the approved Annual Work Plans. The procurement plan will be developed and updated on a quarterly basis.

All activities initiated within the project will be regulated by UNDP rules, regulations, policies and procedures.

Any procurement activity will be cleared by local or international responsible procurement focal points, commissions (if needed) and considered in the view of the best value for money principle.

### ***Project Management***

The project will be located in Almaty (Project Manager - Coordinator of the CCM Secretariat) and in Astana (Project Assistant - Assistant of the CCM Secretariat), the office of the Project team will be rent in UN Buildings located at 67, Tole bi Str., 050000, Almaty, Kazakhstan and at 14, A. Mambetov Street, 010000, Astana, Kazakhstan.

The Project team will align project activities with a current portfolio of thematically relevant projects. The Project team will be comprised of the Coordinator of the CCM Secretariat and Assistant of the CCM Secretariat. The Project team will report to the Project board, the CCM and respective UNDP programme staff .

The Project Manager will manage the Project on a day-to-day basis under direct supervision of the UNDP Country Office and in close cooperation with the Project Board and other stakeholders.

An important task of the Project team is achieving of consent among all parties authorized for decision-making. For these purposes, the following is to be conducted:

- development of an Annual Work Plan (AWP) that will be annually updated in order to reflect the efforts of the project and accumulate lessons learned;
- monitoring and evaluation of the Project implementation according to UNDP procedures;
- an exchange of knowledge and experience with other projects and initiatives in Kazakhstan and abroad;
- development of an Action Plan for project implementation in the beginning of each year of implementation.

The Project assistant will assist Project Manager in project implementation activities on a day-to-day basis.

The project will be supervised by Programme staff on a daily basis. UNDP will support the project in operations activities as set out in the LOA between UNDP and CCM.

The Project personnel will be recruited through a competitive selection process according to UNDP procedures. The Project Manager will exercise the project administration. This will, namely, include preparation/specification of working plans, filing and archiving of the Project documentation, accounting, reporting, procurement (development of TORs, technical specifications and other necessary documents, search and selection of consultants, coordination and monitoring of consultants and suppliers), organization of trips under the Project, public and other actions by the Project, establishment of working contacts with partners at the international, national and local levels.

The Audit will be conducted in accordance with UNDP Financial Regulations and Rules and applicable audit policies on UNDP projects.

## V. RESULTS FRAMEWORK

**Intended Outcome as stated in the UNDAF/Country Programme Results and Resource Framework:** Outcome 2.2: Judicial and legal systems, and public institutions, are fair, accountable and accessible to all people.

**Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets:**

Level of transparency of government policymaking; Baseline: 40/144 (2013) Target: 24/144 (Global Competitiveness Index and OECD data)

**Indicator 2.1** Number of CSOs that have the capacity to engage in critical development and crisis-related issues, disaggregated by women's, youth, persons with disabilities, other excluded groups

Baseline: Country Coordinating Mechanism need for capacity building for the enhancement of the international cooperation

Target: Country Coordinating Mechanism provides oversight to grant implementation to ensure successful outcomes aiming at strengthening of the CCM capacity

**Applicable Output(s) from the UNDP Strategic Plan:** Area of Work 2: Inclusive and effective democratic governances

**Project title and Atlas Project Number:** Support to Country Coordinating Mechanism for 2018-2019, #00107017

EXPECTED OUTPUTS	OUTPUT INDICATORS <sup>1</sup>	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)			DATA COLLECTION METHODS & RISKS
			Value	Year	Year 2018	Year 2019	FINAL	
<b>Output 1</b> Enhancement of the Country Coordinating Mechanism capacity	<i>1.1 Number of newly selected CCM members being trained and able to take part in the decision making process</i>	<i>Reports and CCM Selection Minutes</i>	0	2017	26	26	26	<i>Minutes of the CCM Selection and report on selection results</i>
<b>Output 2</b> CCM Oversight functions are fully implemented and HIV/TB programmes implementing in the appropriate manner	<i>2.1 Percentage of fully implemented CCM Oversight activities (CCM oversight visits, LFA briefings, Oversight Committee meetings)</i>	<i>CCM Oversight reports, Minutes</i>	0	2017	50%	100%	100%	<i>Project reports (quarterly), Project Board minutes</i>

## VI. MONITORING AND EVALUATION

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring plan:

### Monitoring Plan 2018-2019

Monitoring Activity	Purpose	Frequency	Expected Action	Partners	Cost (USD)
<b>Track results progress</b>	<p>Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.</p> <p>Done through:  <i>ROAR quarterly reports</i>  <i>Annual Progress Reports</i>  <i>Reports on results of oversight visits</i></p>	Quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.	Ministry of Healthcicare of RK, Principal Recipients, Sub-recipients and international organizations on HIV/TB	\$13300 (field visits) \$1000(reports)
<b>Monitor and Manage Risk</b>	<p>Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.</p> <p><i>Update Risk Log in Atlas and off line risk log;</i>            Done through:  <i>Update Risk Log in Atlas and off line risk log;</i>  <i>Discussion of risks with CO management and the partners if any considerate risk arises</i></p>	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.	Members of PBM, Project team	\$270



<b>Learn</b>	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project. Done through: <i>Annual Lessons learnt reports.</i>	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.	Portfolio manager UNDP CO, CCM Kazakhstan	\$600
<b>Annual Project Quality Assurance</b>	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project. Done through: <i>Annual Quality Assurance</i>	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.	Portfolio manager /Project team	\$2000
<b>Review and Make Course Corrections</b>	Internal review of data and evidence from all monitoring actions to inform decision making. Done through: <i>Collection and analysis of the evidence of the project progress (stakeholders, beneficiaries)</i> <i>Development of the corrective measures if required to achieve the project results</i>	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.	Portfolio manager /Project team	\$400
<b>Project Report</b>	A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period. Done through: <i>Annual Project Progress Report</i>	Annually, and at the end of the project (final report)		Portfolio manager /Project team	\$400
<b>Project Review (Project Board)</b>	The project's governance mechanism (i.e., project board) will hold regular project reviews to assess the performance of the project and	Specify frequency (i.e., at least annually)	Any quality concerns or slower than expected progress should be discussed by the project	Members of PBM and CCM	\$2000

	review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.		board and management actions agreed to address the issues identified.		
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## VII. MULTI-YEAR WORK PLAN 2018-2019

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year, USD		RESPONSIBLE PARTY	PLANNED BUDGET, USD			
		Y1 2018	Y2 2019		Funding Source	Budget Description	Amount	
<p><b>Output 1</b> Enhancement of the Country Coordinating Mechanism capacity</p> <p><b>1.1</b> Number of newly selected CCM members being trained and able to take part in the decision making</p> <p><b>Output 2</b> CCM Oversight functions are fully implemented and HIV/TB programmes implementing in the appropriate manner.</p> <p><b>2.1</b> Percentage of fully implemented CCM Oversight activities (CCM oversight visits, LFA briefings, Oversight Committee meetings).</p>	1. Human resources (2 CCM Secretariat staff – Coordinator and Assistant)	53,100.00	53,100.00	UNDP	GFATM	71400 Contractual services	106,200.00	
		7,100.00	6,200.00	UNDP	GFATM	71600 Travel (field visits)	13,300.00	
		8,600.00	10,000.00	UNDP	GFATM	75700 Workshops & conferences (CCM meetings)	18,600.00	
		2,500.00	2,000.00	UNDP	GFATM	71300 Local consultants (IC Financial expert)	4,500.00	
		8,000.00	8,000.00	UNDP	GFATM	73100 Rental & Maintenance-Premises and Supplies	16,000.00	
		150.00	150.00	UNDP	GFATM	72400 Communication & Audio-Visual Equipment (telephone, postage)	300.00	
		190.00	190.00	UNDP	GFATM	72500 Supplies (stationary, office supplies)	380.00	
		150.00	150.00	UNDP	GFATM	74500 Miscellaneous expenses (bank charges)	300.00	
		4,000.00	4,000.00	UNDP	GFATM	64300 UNDP Consulting services	8,000.00	
		3.Communication materials (web-site review and improvement, communication strategy and announcements in mass media related to the CCM activities)	300.00	300.00	UNDP	GFATM	74200 Announcement and web-site support	600.00
			22.00	22.00	UNDP	GFATM	74500 Miscellaneous expenses (bank charges)	44.00
		<b>Sub-Total</b>						168,224.00
	General Management Support			UNDP	GFATM	75100 F&A (7%)	11,776.00	
<b>TOTAL</b>							<b>180,000.00</b>	

## Annual Work Plan

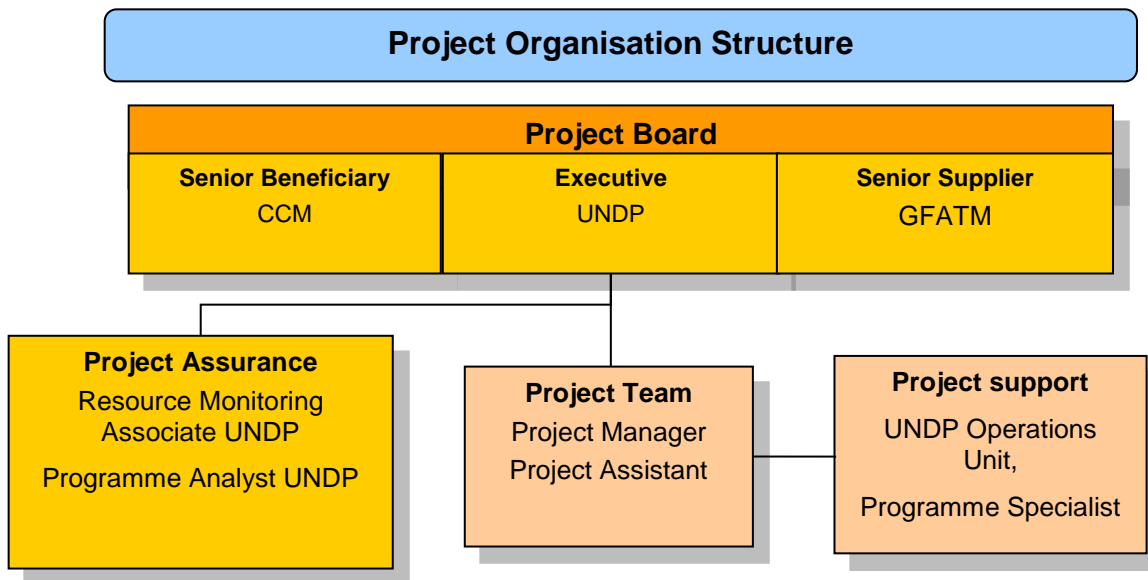
Year: 2018

EXPECTED OUTPUTS <i>And baseline, indicators including annual targets</i>	PLANNED ACTIVITIES <i>List activity results and associated actions</i>	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET, USD			
		Q1	Q2	Q3	Q4		Funding Source	Budget Description	Amount	
<p><b>Output 1</b> Enhancement of the Country Coordinating Mechanism capacity</p> <p><b>1.1</b> Number of newly selected CCM members being trained and able to take part in the decision making</p> <p><b>Output 2</b> CCM Oversight functions are fully implemented and HIV/TB programmes implementing in the appropriate manner.</p> <p><b>2.1</b> Percentage of fully implemented CCM Oversight activities (CCM oversight visits, LFA briefings, Oversight Committee meetings).</p>	1. Human resources (2 CCM Secretariat staff – Coordinator and Assistant)	X	X	X	X	UNDP	GFATM	71400 Contractual services	53,100.00	
								75100 F&A (7%)	3,717.00	
								71600 Travel (field visits)	7,100.00	
								75700 Workshops & conferences (CCM meetings)	8,600.00	
								71300 Local consultants (IC Financial expert)	2,500.00	
								73100 Rental & Maintenance-Premises and Supplies	8,000.00	
		2. Planning and administration (oversight visits, CCM meetings, office rent and stationary)	X	X	X	X	UNDP	GFATM	72400 Communication & Audio-Visual Equipment (telephone, postage)	150.00
								72500 Supplies (stationary, office supplies)	190.00	
								74500 Miscellaneous expenses (bank charges)	150.00	
								64300 UNDP Consulting services	4,000.00	
								75100 F&A (7%)	2,148.00	
		3. Communication materials (web-site review and improvement, communication strategy and announcements in mass media related to the CCM activities)	X	X	X	X	UNDP	GFATM	74200 Announcement and web-site support	300.00
								74500 Miscellaneous expenses (bank charges)	22.00	
								75100 F&A (7%)	23.00	
	<b>TOTAL</b>									<b>90,000.00</b>

**Annual Work Plan  
Year: 2019**

EXPECTED OUTPUTS <i>And baseline, indicators including annual targets</i>	PLANNED ACTIVITIES <i>List activity results and associated actions</i>	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET, USD			
		Q1	Q2	Q3	Q4		Funding Source	Budget Description	Amount	
<p><b>Output 1</b> Enhancement of the Country Coordinating Mechanism capacity</p> <p><b>1.1</b> Number of newly selected CCM members being trained and able to take part in the decision making</p> <p><b>Output 2</b> CCM Oversight functions are fully implemented and HIV/TB programmes implementing in the appropriate manner.</p> <p><b>2.1</b> Percentage of fully implemented CCM Oversight activities (CCM oversight visits, LFA briefings, Oversight Committee meetings).</p>	1. Human resources (2 CCM Secretariat staff – Coordinator and Assistant)	X	X	X	X	UNDP	GFATM	71400 Contractual services	53,100.00	
								75100 F&A (7%)	3,717.00	
								71600 Travel (field visits)	6,200.00	
								75700 Workshops & conferences (CCM meetings)	10,000.00	
								71300 Local consultants (IC Financial expert)	2,000.00	
								73100 Rental & Maintenance-Premises and Supplies	8,000.00	
		2. Planning and administration (oversight visits, CCM meetings, office rent and stationary)	X	X	X	X	UNDP	GFATM	72400 Communication & Audio Visual Equipment (telephone, postage)	150.00
								72500 Supplies (stationary, office supplies)	190.00	
								74500 Miscellaneous expenses (bank charges)	150.00	
								64300 UNDP Consulting services	4,000.00	
								75100 F&A (7%)	2,148.00	
		3. Communication materials (web-site review and improvement, communication strategy and announcements in mass media related to the CCM activities)	X	X	X	X	UNDP	GFATM	74200 Announcement and web-site support	300.00
								74500 Miscellaneous expenses (bank charges)	22.00	
								75100 F&A (7%)	23.00	
	<b>TOTAL</b>									<b>90,000.00</b>

## VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS



The Project will be carried out in conformity with the established UNDP procedures of the National Implementation Modality. The project activities will be implemented according to the UNDP corporate policies and procedures for national implementation (NIM) as stipulated in Programme and Operations Policies and Procedures (POPP).

### Project Board

In order to ensure UNDP's ultimate accountability, a Project Board will be established to support the project activities in accordance with the UNDP corporate policies and standards and ensure the best value for money, fairness, and transparency. The Project Board is responsible for conducting regular reviews of the project implementation progress, approving annual work plans, and making appropriate decisions in case of deviations from the agreed work plans. The Project Board will consist of three parties: CCM, GFATM and UNDP in Kazakhstan. The Project Board will meet twice a year.

The structure of the Project Board:

- **Beneficiary Representatives:** All activities, products and services will be geared towards beneficiaries of the project. The needs and demands of the beneficiaries will be reflected during Project Board meetings. Annual work plans will also reflect priorities set by the beneficiaries.
- **Senior Supplier:** senior suppliers are institutions that provide financial resources and/or technical expertise to the project. UNDP as the main supplier will provide the technical expertise and continuous financial oversight. CCM will provide technical expertise and in-kind contribution.
- **Executive:** The Executive is responsible for the ultimate project compliance: UNDP, as the main executive of the project, will oversee the effective implementation of the project activities, ensuring that all intended outcomes/outputs are delivered. UNDP will carry out the following functions as the Executive:
  - a) Ensure that all activities are carried out in accordance with UNDP rules, regulations and processes;
  - b) Endorse the project's annual reports on the progress made towards intended outputs;

- c) Provide technical support to the programmatic activities, including best practices and knowledge available to UNDP globally and regionally;
- d) Ensure that the project activities fit within the overall Country Programme Document;
- e) Provide operational and administrative support services to ensure efficient business processes, including establishing project assurance and project support mechanisms;
- f) Facilitate official correspondence and communications with the all stakeholders;
- g) Ensure that all requests of Beneficiary Representative and Senior Supplier related to the project are properly addressed.

For implementation of the project, the Project team will be established, the structure of which will include the Project Manager and the Project Assistant on administrative and financial questions on a constant basis.

The Project Manager will manage the Project on a day-to-day basis under direct supervision of the UNDP country office and in close cooperation with the Project Board (PB) and other stakeholders. An important task of the Project team is achieving of consent among all parties authorized for decision-making. For these purposes, the following is to be conducted:

- development of an Annual Work Plan (AWP) that will be annually updated in order to reflect the efforts of the project and accumulate lessons learned;
- monitoring and evaluation of the Project implementation according to UNDP procedures;
- an exchange of knowledge and experience with other projects and initiatives in Kazakhstan and abroad;
- training and improvement of professional skills of the Project personnel concerning management of development projects according to the international standards;
- development of a detailed Action Plan for project implementation in the beginning of each year of implementation.

The Project personnel will pass through a competitive selection process according to UNDP procedures. The Project Manager will exercise the Project administration. This will, namely, include preparation/specification of working plans, archiving storage of the Project documentation, accounting, reporting, procurement of contracts (preparation of TORs, technical specifications and other necessary documents, search and selection of consultants, coordination and monitoring of consultants and suppliers), organization of trips under the Project, public and other actions by the Project, establishment of working contacts with partners at the international, national and local levels.

In the beginning of each year the Project team will prepare the Annual Work Plan for the approval of the PB. The allocation of funds, with the implementation of planned activity, will be based on this document. The AWP will be developed in close cooperation with the stakeholders. In addition, the Project team will prepare quarterly accounts about the accomplished work and the Annual Report under the Project. These reports will reflect the Project achievements and provide an explanation in case of an essential deviation from the plan. If necessary, certain adjustments will be made in the AWP to be approved by the PB.

### **Project Assurance and Project Support Services**

UNDP will ensure that the following key parameters are adhered to throughout the implementation of the project, so that the Project remains 'fit for purpose', follows the approved plans, and continues to meet planned targets without compromising output quality:

- Beneficiary needs and expectations are being met or are well managed;
- Risks are being controlled;
- Quality operational and administrative support services are being provided, following UNDP rules and regulations;
- Adherence to results-based monitoring and reporting requirements and standards.

The Project Support role provides project administration, management and technical support to the PIU as required. The roles of project assurance and project support will be separate in order to

maintain project assurance independence and impartiality. The project support function is carried out by the UNDP CO programme staff.

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## **IX. LEGAL CONTEXT AND RISK MANAGEMENT**

### **LEGAL CONTEXT STANDARD CLAUSES**

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

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

### **RISK MANAGEMENT STANDARD CLAUSES**

1. Consistent with the Article III of the SBAA [*or the Supplemental Provisions*], the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP’s property in the Implementing Partner’s custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:
  - a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
  - b) assume all risks and liabilities related to the Implementing Partner’s security, and the full implementation of the security plan.
2. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner’s obligations under this Project Document.
3. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml). This provision must be included in all sub-contracts or sub-agreements entered into under/further to this Project Document.
4. Consistent with UNDP’s Programme and Operations Policies and Procedures, social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
5. The Implementing Partner shall: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and complaints raised through the



Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

6. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

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## **X. ANNEXES**

- 1. Project Quality Assurance Report**
- 2. Social and Environmental Screening**
- 3. Risk Analysis. Risk Log.**
- 4. Project Board Terms of Reference and TORs of key management positions**
- 5. LOA between UNDP and CCM**

## Annex 2. Social and Environmental Screening Template

### Project Information

<b>Project Information</b>	
1. Project Title	Support to CCM for 2018-2019
2. Project Number	00107017
3. Location (Global/Region/Country)	Kazakhstan

### Part A. Integrating Overarching Principles to Strengthen Social and Environmental Sustainability

#### QUESTION 1: How Does the Project Integrate the Overarching Principles in order to Strengthen Social and Environmental Sustainability?

##### *Briefly describe in the space below how the Project mainstreams the human-rights based approach*

The project follows the basic principles of human rights and gender equality, giving all residents of Kazakhstan, men and women, equal opportunities for improved access of vulnerable groups to medical and social services. CCM decisions will be focused on the needs of vulnerable groups and representatives of key affected population; vulnerable groups, people living with diseases are involved at the stage of decision making, when providing feedback on specific needs, requirements and gaps in the services to be provided.

##### *Briefly describe in the space below how the Project is likely to improve gender equality and women's empowerment*

The project supports men and women equality by provision of equal opportunities according to the strategy on Gender Equality. The CCM composition will be balanced by representation of men and women (the Global Fund Gender Equality Strategy clarifies how women and girls are key affected groups in the context of the 3 diseases).

##### *Briefly describe in the space below how the Project mainstreams environmental sustainability*

Environmental sustainability is systematically addressed throughout UNDP's programming in an integrated way. Risk of potential harm to environment is avoided wherever possible and otherwise minimized, mitigated and managed.

## Part B. Identifying and Managing Social and Environmental Risks

QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i>	QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i>			QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?
Risk Description	Impact and Probability (1-5)	Significance (Low, Moderate, High)	Comments	Description of assessment and management measures as reflected in the Project design. If ESIA or SESA is required note that the assessment should consider all potential impacts and risks.
Risk 1: Failure to meet the expected standards of work performance resulting in time delay and extra cost due to poor performance of the Oversight Committee members	I = 5 P = 1	Moderate	In the process of joint implementation of the project, both Partners (UNDP and CCM) bear responsibilities and fulfill each of their own obligations in order to ensure its successful implementation.	Signed Letter of Agreement and Grant Agreement will confirm that both sides accepted appropriate duties and should provide effective implementation of the project
Risk 2 Injudicious CCM decisions can lead to an increase in the potential health risk, for example, lack of financial resources or imperfect regulations could lead to a lack of access to health services	I = 4 P = 2	Low		Regular monitoring of CCM decisions will allow to remind in a timely manner on the need to mobilize financial resources, both from international grants and state budget
[add additional rows as needed]				
	<b>QUESTION 4: What is the overall Project risk categorization?</b>			
	Select one (see <a href="#">SESP</a> for guidance)			Comments
	Low Risk	<input checked="" type="checkbox"/>		
	Moderate Risk	<input type="checkbox"/>		
	High Risk	<input type="checkbox"/>		
	<b>QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?</b>			
	Check all that apply			Comments

	<b>Principle 1: Human Rights</b>	√	
	<b>Principle 2: Gender Equality and Women's Empowerment</b>	√	
	<b>1. Biodiversity Conservation and Natural Resource Management</b>	<input type="checkbox"/>	
	<b>2. Climate Change Mitigation and Adaptation</b>	<input type="checkbox"/>	
	<b>3. Community Health, Safety and Working Conditions</b>	√	
	<b>4. Cultural Heritage</b>	<input type="checkbox"/>	
	<b>5. Displacement and Resettlement</b>	<input type="checkbox"/>	
	<b>6. Indigenous Peoples</b>	<input type="checkbox"/>	
	<b>7. Pollution Prevention and Resource Efficiency</b>	√	

### Final Sign Off

<b>Signature</b>	<b>Date</b>	<b>Description</b>
QA Assessor		UNDP staff member responsible for the Project, typically a UNDP Programme Officer. Final signature confirms they have "checked" to ensure that the SESP is adequately conducted.
QA Approver		UNDP senior manager, typically the UNDP Deputy Country Director (DCD), Country Director (CD), Deputy Resident Representative (DRR), or Resident Representative (RR). The QA Approver cannot also be the QA Assessor. Final signature confirms they have "cleared" the SESP prior to submittal to the PAC.
PAC Chair		UNDP chair of the PAC. In some cases PAC Chair may also be the QA Approver. Final signature confirms that the SESP was considered as part of the project appraisal and considered in recommendations of the PAC.

## SESP Attachment 1. Social and Environmental Risk Screening Checklist

<b>Checklist Potential Social and Environmental Risks</b>		<b>Answer (Yes/No)</b>
<b>Principles 1: Human Rights</b>		
1.	Could the Project lead to adverse impacts on enjoyment of the human rights (civil, political, economic, social or cultural) of the affected population and particularly of marginalized groups?	No
2.	Is there a likelihood that the Project would have inequitable or discriminatory adverse impacts on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups? <sup>1</sup>	No
3.	Could the Project potentially restrict availability, quality of and access to resources or basic services, in particular to marginalized individuals or groups?	No
4.	Is there a likelihood that the Project would exclude any potentially affected stakeholders, in particular marginalized groups, from fully participating in decisions that may affect them?	No
5.	Is there a risk that duty-bearers do not have the capacity to meet their obligations in the Project?	Yes
6.	Is there a risk that rights-holders do not have the capacity to claim their rights?	No
7.	Have local communities or individuals, given the opportunity, raised human rights concerns regarding the Project during the stakeholder engagement process?	No
8.	Is there a risk that the Project would exacerbate conflicts among and/or the risk of violence to project-affected communities and individuals?	No
<b>Principle 2: Gender Equality and Women's Empowerment</b>		
1.	Is there a likelihood that the proposed Project would have adverse impacts on gender equality and/or the situation of women and girls?	No
2.	Would the Project potentially reproduce discriminations against women based on gender, especially regarding participation in design and implementation or access to opportunities and benefits?	No
3.	Have women's groups/leaders raised gender equality concerns regarding the Project during the stakeholder engagement process and has this been included in the overall Project proposal and in the risk assessment?	Yes
4.	Would the Project potentially limit women's ability to use, develop and protect natural resources, taking into account different roles and positions of women and men in accessing environmental goods and services? <i>For example, activities that could lead to natural resources degradation or depletion in communities who depend on these resources for their livelihoods and well being</i>	No
<b>Principle 3: Environmental Sustainability:</b> Screening questions regarding environmental risks are encompassed by the specific Standard-related questions below		
<b>Standard 1: Biodiversity Conservation and Sustainable Natural Resource Management</b>		
1.1	Would the Project potentially cause adverse impacts to habitats (e.g. modified, natural, and critical habitats) and/or ecosystems and ecosystem services?	No

<sup>1</sup> Prohibited grounds of discrimination include race, ethnicity, gender, age, language, disability, sexual orientation, religion, political or other opinion, national or social or geographical origin, property, birth or other status including as an indigenous person or as a member of a minority. References to "women and men" or similar is understood to include women and men, boys and girls, and other groups discriminated against based on their gender identities, such as transgender people and transsexuals.

	<i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	
1.2	Are any Project activities proposed within or adjacent to critical habitats and/or environmentally sensitive areas, including legally protected areas (e.g. nature reserve, national park), areas proposed for protection, or recognized as such by authoritative sources and/or indigenous peoples or local communities?	No
1.3	Does the Project involve changes to the use of lands and resources that may have adverse impacts on habitats, ecosystems, and/or livelihoods? (Note: if restrictions and/or limitations of access to lands would apply, refer to Standard 5)	No
1.4	Would Project activities pose risks to endangered species?	No
1.5	Would the Project pose a risk of introducing invasive alien species?	No
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	No
1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	No
1.8	Does the Project involve significant extraction, diversion or containment of surface or ground water? <i>For example, construction of dams, reservoirs, river basin developments, groundwater extraction</i>	No
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	No
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	No
1.11	Would the Project result in secondary or consequential development activities which could lead to adverse social and environmental effects, or would it generate cumulative impacts with other known existing or planned activities in the area? <i>For example, a new road through forested lands will generate direct environmental and social impacts (e.g. felling of trees, earthworks, potential relocation of inhabitants). The new road may also facilitate encroachment on lands by illegal settlers or generate unplanned commercial development along the route, potentially in sensitive areas. These are indirect, secondary, or induced impacts that need to be considered. Also, if similar developments in the same forested area are planned, then cumulative impacts of multiple activities (even if not part of the same Project) need to be considered.</i>	No
<b>Standard 2: Climate Change Mitigation and Adaptation</b>		
2.1	Will the proposed Project result in significant <sup>2</sup> greenhouse gas emissions or may exacerbate climate change?	No
2.2	Would the potential outcomes of the Project be sensitive or vulnerable to potential impacts of climate change?	No
2.3	Is the proposed Project likely to directly or indirectly increase social and environmental vulnerability to climate change now or in the future (also known as maladaptive practices)? <i>For example, changes to land use planning may encourage further development of floodplains, potentially increasing the population's vulnerability to climate change, specifically flooding</i>	No
<b>Standard 3: Community Health, Safety and Working Conditions</b>		
3.1	Would elements of Project construction, operation, or decommissioning pose potential safety risks to local communities?	No
3.2	Would the Project pose potential risks to community health and safety due to the transport, storage, and use and/or disposal of hazardous or dangerous materials (e.g. explosives, fuel and other chemicals during construction and operation)?	No

<sup>2</sup> In regards to CO<sub>2</sub>, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	No
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	No
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	No
3.6	Would the Project result in potential increased health risks (e.g. from water-borne or other vector-borne diseases or communicable infections such as HIV/AIDS)?	Yes
3.7	Does the Project pose potential risks and vulnerabilities related to occupational health and safety due to physical, chemical, biological, and radiological hazards during Project construction, operation, or decommissioning?	No
3.8	Does the Project involve support for employment or livelihoods that may fail to comply with national and international labor standards (i.e. principles and standards of ILO fundamental conventions)?	Yes
3.9	Does the Project engage security personnel that may pose a potential risk to health and safety of communities and/or individuals (e.g. due to a lack of adequate training or accountability)?	No
<b>Standard 4: Cultural Heritage</b>		
4.1	Will the proposed Project result in interventions that would potentially adversely impact sites, structures, or objects with historical, cultural, artistic, traditional or religious values or intangible forms of culture (e.g. knowledge, innovations, practices)? (Note: Projects intended to protect and conserve Cultural Heritage may also have inadvertent adverse impacts)	No
4.2	Does the Project propose utilizing tangible and/or intangible forms of cultural heritage for commercial or other purposes?	No
<b>Standard 5: Displacement and Resettlement</b>		No
5.1	Would the Project potentially involve temporary or permanent and full or partial physical displacement?	No
5.2	Would the Project possibly result in economic displacement (e.g. loss of assets or access to resources due to land acquisition or access restrictions – even in the absence of physical relocation)?	No
5.3	Is there a risk that the Project would lead to forced evictions? <sup>3</sup>	No
5.4	Would the proposed Project possibly affect land tenure arrangements and/or community based property rights/customary rights to land, territories and/or resources?	No
<b>Standard 6: Indigenous Peoples</b>		No
6.1	Are indigenous peoples present in the Project area (including Project area of influence)?	No
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	No
6.3	Would the proposed Project potentially affect the human rights, lands, natural resources, territories, and traditional livelihoods of indigenous peoples (regardless of whether indigenous peoples possess the legal titles to such areas, whether the Project is located within or outside of the lands and territories inhabited by the affected peoples, or whether the indigenous peoples are recognized as indigenous peoples by the country in question)?  <i>If the answer to the screening question 6.3 is “yes” the potential risk impacts are considered potentially severe and/or critical and the Project would be categorized as either Moderate or High Risk.</i>	No

<sup>3</sup> Forced evictions include acts and/or omissions involving the coerced or involuntary displacement of individuals, groups, or communities from homes and/or lands and common property resources that were occupied or depended upon, thus eliminating the ability of an individual, group, or community to reside or work in a particular dwelling, residence, or location without the provision of, and access to, appropriate forms of legal or other protections.

6.4	Has there been an absence of culturally appropriate consultations carried out with the objective of achieving FPIC on matters that may affect the rights and interests, lands, resources, territories and traditional livelihoods of the indigenous peoples concerned?	No
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	No
6.6	Is there a potential for forced eviction or the whole or partial physical or economic displacement of indigenous peoples, including through access restrictions to lands, territories, and resources?	No
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	No
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	No
6.9	Would the Project potentially affect the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	No
<b>Standard 7: Pollution Prevention and Resource Efficiency</b>		No
7.1	Would the Project potentially result in the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	No
7.2	Would the proposed Project potentially result in the generation of waste (both hazardous and non-hazardous)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs?  <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No
7.5	Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No



## ANNEX 3: RISKS LOG

#	Description	Date Identified	Type	Impact (I) & Probability (P)	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
1	Failure to meet the expected standards of work performance resulting in time delay and extra cost due to poor performance of the Oversight Committee members	01.01.2018	operational	P = low I = low	In order to avoid this situation, the project staff will ensure detailed description of the assignment in the terms of reference and break the scope of work into stages with specified check points to minimize the probability of any underperformance	CCM Secretariat Coordinator			
2	Fluctuations in USD/KZT exchange rate/ High inflation	01.01.2018	financial	P = medium I = medium	Project manager will adjust the project budget to the situation and consult with the national partners on the project activities.	CCM Secretariat Coordinator			

## **ANNEX 4: PROJECT BOARD TERMS OF REFERENCE AND TORs OF KEY MANAGEMENT POSITIONS**

### **Project Board**

#### **1. General provisions**

1. The PB is created based on the Project document signed by the Country Coordinating Mechanism on Work with International Organizations.
- 1.2. The main objectives, structure, organization and the procedure for carrying out of PB sessions, its functions and rights are stated in the present document.
- 1.3. The provisions of the present document (hereinafter - Provisions) are applicable to the activity of all PB participants.
- 1.4. The PB is a supervising and managing body, which provides political support to the Project and carries out coordinating functions.
- 1.5. The PB operates based on the Constitution of the Republic of Kazakhstan, the decrees and orders of the President of the Republic of Kazakhstan, the decisions and orders of the Government of the Republic of Kazakhstan, including the present Regulations.
- 1.6. Activity of the PB is built on principles of publicity and freedom of discussion.

#### **2. The main tasks of the Project Board are:**

- 2.1. Consideration, assessment and formulation of recommendations and proposals concerning the main directions of the Project surveys and works, including development of the drafts of the normative, legal and technical acts in the field of technical regulation of equipment and materials;
- 2.2. Provision of consultations and expert assistance as well as working out recommendations and proposals concerning the subject, content, scope and terms of the concrete phases of the Project surveys and works.
- 2.3. Consideration and assessment of the results of Project surveys and works, including the drafts of the normative-legal acts and methodology documents in the field of technical regulation.

#### **3. Main functions of the Project Board:**

- 3.1. General management of the Project implementation;
- 3.2. To determine the main directions of the Project and to control high level execution of Project implementation;
- 3.3. To check and confirm the annual Project plans and their financing;
- 3.4. To consider and endorse the annual reports on the PIU work;
- 3.5. To provide interrelation of the Project with the current initiatives, programs, Projects and with other additional Projects;
- 3.6. To provide cooperation between the national establishments participating in implementation of the Project;
- 3.7. To provide maximum accessibility to all documents and the information which are available in various official bodies, necessary for the Project monitoring and implementation;
- 3.9. To provide participation of various state and non-state stakeholders in the Project;
- 3.10. To provide methodical and organizational support to the Project group while carrying out Project activity;
- 3.11. To act as the main implementing body of activity coordination and lobbying of interests of the Project to ensure political, normative, legal and financial support of the RK Government;
- 3.12. To attract additional financial assets to support the results of the Project and activity after termination of funding if needed.

#### 4. Structure of the Project Board

4.1. The general management of the PB is carried out by the Chairman. The PB Chairman is the National coordinator of the Project appointed by the Country Coordinating Mechanism on Work with the International Organizations.

4.2. PB consists of the following organizations:

- CCM Representatives
- UNDP
- GFATM

4.4. The Project Group renders organizational and technical support to PB.

#### 5. Organization and procedure for carrying out of the PB sessions

5.1. The PB works in the format of sessions conducted according to the established procedures, at least, once a year or if it is necessary, more often.

5.2. The PB sessions are considered lawful if the quorum of not less than 2/3 members of the Project Board is ensured.

5.3. The PB decisions are accepted by voting at sessions. At sessions the PB members should aspire to take all decisions on the basis of a consensus.

5.4. The PB decisions are registered in the form of the session minutes signed by the Chairman of the PB and the secretary;

5.5. The decisions accepted at the PB sessions are obligatory for the Project group and member organizations of the PB;

5.6. The Project group will organize and hold sessions, and carry out the following actions:

- the analysis of the information given by the member organizations, and preparation of the agenda and necessary materials;
- granting of the draft agenda with annexes (reports, reference materials, and other information) along with the cover letter for consideration and approval by the PB Chairman;
- or its representative (by the order of the PB Chairman);
- after approval of the agenda, prepared materials will be disseminated among the PB members;
- notification of the PB members about the date and venue of sessions and submission of the agenda no later than 10 days prior to the session date.

#### 6. The rights and duties

6.1. For performance of functions in the PB its members have the rights and duties and bear responsibility according to the Republic of Kazakhstan legislation, other normative-legal acts and the present Regulations.

6.2. Members of the PB have the right:

- 6.2.1. To take part in all PB sessions;
- 6.2.2. To receive any information about the PB activity;
- 6.2.3. To initiate decision-making by the PB;
- 6.2.4. To execute other powers.

6.3. Chairman of the PB:

- 6.3.1. Defines the internal procedures of the PB and approves responsible persons for control over carrying out of actions and financing of the Projects;
- 6.3.2. Chairs the PB sessions;
- 6.3.3. Conducts the PB ad-hoc meetings if necessary;
- 6.3.4. Supports a continuous communication with the PB members and the Project Manager;
- 6.3.5. Facilitates an information exchange between the PB members;
- 6.3.6. Jointly with the Project Manager appoints the dates of the PB sessions;

- 6.3.7. Checks and confirms the agenda of the PB sessions;
- 6.3.8. Coordinates actions of the PB directed on ensuring of implementation of the PB activity and provides all necessary support for successful Project implementation;
- 6.3.9. Bears responsibility for the timely notification (10 days before) of the PB members about a forthcoming meeting with the agenda provided;
- 6.3.10. Represents the PB when interacting with other organizations.

## 7. Activity control

7.1. The PB in its activity is guided by the present Regulations.

7.2. The PB activity should be assessed at the regular session of the PB after reviewing the Annual Report.

## **Coordinator of the CCM Secretariat.**

The Coordinator of the CCM Secretariat will work under the technical guidance, direction and the administrative supervision of the CCM Chairperson and his/her Deputy and will be expected to have the following duties:

### *1. Manage the CCM Secretariat work*

Leads and organizes the work of the CCM Secretariat;

Develops CCM annual workplans and budgets;

Oversees the CCM Secretariat staff;

Reports to the CCM, the Chairperson/Deputy Chairperson on Secretariat's performance.

### *2. Information and organizational support to CCM*

Provides administrative support to regular CCM meetings, prepares and distributes relevant documents, minutes, and relevant correspondence;

Provides administrative support and attends the Oversight committee meetings; prepares and distributes minutes and relevant documents;

Informs CCM members on calls for proposals by donor organizations on HIV/AIDS and TB;

Provides administrative support and logistics to the process of proposal development and submission;

Provides support to developing national strategic program on control of infectious diseases; to working groups to develop GFATM applications;

Monitors the implementation of the CCM decisions and reports to the CCM;

Ensures accessibility and availability of documentation related to CCM activity and performance for all stakeholders;

Keeps CCM aware of other donors' activities and disseminates relevant documents;

Serves as a resource person to CCM on GFATM procedures and regulations; informs CCM about GFATM policy changes and innovations;

Acts as a focal point for GFATM Portfolio Manager to provide updates on CCM and provides feedback to the CCM.

### *Other duties:*

Contributes to development of the CCM website and ensures it proper maintenance and regular update;

Other duties as required.

*Education:* Higher education, preferably university degree in Public Health, in Medicine, social sciences or other related field.

*Experience:*

Minimum five years of progressively responsible work experience in coordination and managing programs in the area of HIV and/or TB control; experience with Ministry of Health or Republican AIDS Center is highly desirable. Computer proficiency (MS Word/Excel, Power Point, and Internet) is required. Must be highly organized, have good interpersonal skills, be able to work efficiently in a multicultural and multidisciplinary team and under pressure.

*Language Requirements:*

Excellent knowledge of Russian and good command of English (written and oral); knowledge of Kazakh is highly desirable and will be seen as advantage.

## **ANNEX 5: STANDARD LETTER OF AGREEMENT BETWEEN UNDP AND THE COUNTRY COORDINATING COMMITTEE WORKING WITH INTERNATIONAL ORGANIZATIONS ON HIV AND TUBERCULOSIS ISSUES FOR THE PROVISION OF SUPPORT SERVICES**


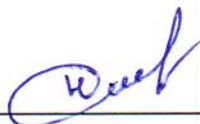
1. Reference is made to consultations between officials of the Country Coordinating Committee Working with International Organizations on HIV and Tuberculosis issues (hereinafter referred to as "the CCM") and officials of UNDP with respect to the provision of support services by the UNDP country office for nationally managed programmes and projects. UNDP and the CCM hereby agree that the UNDP country office may provide such support services at the request of the CCM through its institution designated in the relevant project document of the joint project of the UNDP and the CCM "Support to Country Coordinating Mechanism for 2018-2019", as described below.
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 CCM-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.
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 personnel; handling administrative issues related to the project personnel;
  - (b) Identification and facilitation of training activities, seminars and workshops;
  - (c) Procurement of goods and services;
  - (d) Processing of direct payments.
4. The procurement of goods and services and the recruitment of project personnel by the UNDP country office shall be in accordance with the UNDP regulations, rules, policies and procedures. Support services described in paragraph 3 above shall be detailed in an annex to the project document, in the form provided in the Attachment hereto. If the requirements for support services by the country office change during the life of a project, the annex to the project document is revised with the mutual agreement of the UNDP resident representative and the designated institution.
5. The relevant provisions of the Standard Basic Assistance Agreement (SBAA) between with the MID of Kazakhstan and the UNDP, signed by the Parties on 5 October 1992, including the provisions on liability and privileges and immunities, shall apply to the provision of such support services. The CCM shall retain overall responsibility for the nationally managed project through its designated institution. The responsibility of the UNDP country office for the provision of the support services described herein shall be limited to the provision of such support services detailed in the annex to the project document.
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 SBAA.

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

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.

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

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 CCM and UNDP on the terms and conditions for the provision of support services by the UNDP country office for nationally managed project the United Nations Development Programme (UNDP) and the CCM (Country Coordinating Committee Working with International Organizations on HIV and Tuberculosis issues) "Support to Country Coordinating Mechanism for 2018-2019".

United Nations Development Programme	Country Coordinating Committee Working with International Organizations on HIV and Tuberculosis issues
 _____ Munkhtuya Altangerel, UNDP Deputy Resident Representative	 _____ Nurali Amanzholov, CCM Vice-Chair
Date: 25.10.2017	Date: 25.10.2017

## DESCRIPTION OF UNDP COUNTRY OFFICE SUPPORT SERVICES

1. Reference is made to consultations between the Country Coordinating Committee Working with International Organizations on HIV and Tuberculosis issues, the institution designated by the Government of Kazakhstan, and officials of UNDP with respect to the provision of support services by the UNDP country office for the nationally managed project of UNDP and the CCM "Support to Country Coordinating Mechanism for 2018-2019", Project ID 98524, or "the Project".

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

3. Support services to be provided, including:

Support services	Schedule for the provision of the support services	Cost to UNDP of providing such support services (where appropriate)	Amount and method of reimbursement of UNDP (where appropriate)
Payment Process	Ongoing throughout implementation when applicable	As per the UPL- US\$ 38.79 for each	UNDP will directly charge the project upon provision of services, on a quarterly basis.
Vendor profile entry in ATLAS	Ongoing throughout implementation when applicable	As per the UPL- US\$ 20.92 for each	As above
Project personnel selection and/or recruitment process * Project Manager  * Project Assistant	Start of project	As per the UPL- US\$ 633.03	As above
Staff HR & Benefits Administration & Management (one time per staff including medical insurance enrolment, payroll setup and separation process)	Ongoing throughout implementation when applicable	As per the UPL- US\$ 213.24 for each	As above
Recurrent personnel management services: Staff Payroll & Banking Administration & Management (per staff per calendar year)	Ongoing throughout implementation when applicable	As per the UPL- US\$ 478.19 for each	As above



Consultant recruitment	Ongoing throughout implementation when applicable	As per the UPL- US\$ 246.38 for each	As above
Procurement of goods and services involving local CAP	Ongoing throughout implementation when applicable	As per the UPL- US\$ 566.56 for each purchasing process	As above
Procurement of goods and services not involving local CAP	Ongoing throughout implementation when applicable	As per the UPL- US\$ 223.46 for each purchasing process	As above
Issue/Renew IDs (UN LP, UN ID, etc.)	Ongoing throughout implementation when applicable	As per the UPL- US\$ 39.28 for each	As above
F10 settlement	Ongoing throughout implementation when applicable	As per the UPL- US\$ 32.71 for each	As above

Total amount for support services shall not exceed 20 000 USD.