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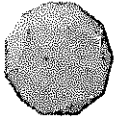
United Nations Development Programme

GCF Readiness Programme Support/ Initiation Plan

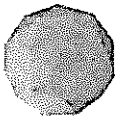
Project title: Green Climate Fund Readiness and Preparatory Support- Kazakhstan		
Country: Kazakhstan		
Management Arrangements: DIM		Implementing Partner: UNDP CO
UNDAF/Country Programme Outcome (s): <u>Outcome 1.3</u> : Ecosystems and natural resources are protected and sustainably used, and human settlements are resilient to natural and manmade disasters and climate change		
UNDP Strategic Plan Output: <u>Output 1.4</u> : Scaled up action on climate change adaptation and mitigation cross sectors which is funded and implemented.		
UNDP Gender Marker: 2		
Atlas Award ID number: 00099681	Atlas Output ID number: 00102961	
UNDP-GEF PIMS ID number: 6068		
Planned start date: February 15, 2018	Planned end date: February 14, 2019	
<p>Brief project description: Readiness support will enable the country to source international and regional technical support which currently is not available in the country to guide the set-up of the proposal review system, GCF resource management and reporting as well as GCF project and programme pipeline development and evaluation.</p> <p>GCF Readiness Programme will refine the priority areas set out in Kazakhstan's Nationally Determined Contribution submitted to the UNFCCC in December 2015. The NDC outlines the country's mitigation and adaptation intentions in the Energy and Agricultural sectors. Readiness support will enable the identification of potential high impact and transformational GCF investment areas within the INDC.</p> <p>GCF readiness will enable Kazakhstan to meet these needs, enhance information exchange, enable the both NDA and Focal Point to provide guidance for the GCF compliant projects and programmes that will bring about the transformational change envisaged by the GCF. These will further enable the country to meet its climate obligations to the UNFCCC and fulfil its commitment of reducing greenhouse gas emissions.</p>		
FINANCING PLAN		
GCF grant:	USD \$272,727	
Total Budget administered by UNDP	USD \$272,727	
SIGNATURES		
Signature: Munkhtuya Altangerel 	Agreed by UNDP Deputy Resident Representative	Date/Month/Year: 21.02.18

Readiness and Preparatory Support Proposal

SECTION 1: SUMMARY	
1. Country submitting the proposal	<p>Country name: <i>Kazakhstan</i></p> <p>Name of institution (representing National Designated Authority or Focal Point): <i>Ministry of Energy of the Republic of Kazakhstan</i></p> <p>Name of official: <i>Ms. Aliya Shalabekova</i></p> <p>Position: <i>Head of Green Economy Department of the Ministry of Energy</i></p> <p>Telephone: <i>+7 7172 74-01-98</i></p> <p>Email: <i>a.shalabekova@energo.gov.kz</i></p> <p>Full office address: <i>14 porch, Orynbor st. 8, Astana 000001, Kazakhstan</i></p>
2. Date of initial submission	<i>23/12/2016</i>
3. Last date of resubmission (if applicable)	<i>28/07/2017</i>
4. Which entity will implement the Readiness and Preparatory Support project? (Provide the contact information if entity is different from NDA/focal point)	<p><input type="checkbox"/> National Designated Authority <input checked="" type="checkbox"/> Delivery partner <input type="checkbox"/> Accredited entity</p> <p>Name of institution: <i>United Nations Development Programme</i></p> <p>Name of official: <i>Mr. Norimasa Shimomura</i></p> <p>Position: <i>UN Resident Coordinator and UNDP Resident Representative</i></p> <p>Telephone: <i>+ 7 7172 69 65 44</i></p> <p>Email: <i>rassul.rakhimov@undp.org</i></p> <p>Full Office address: <i>14, Azerbaijan Mambetov Street, Astana, 010000, Republic of Kazakhstan</i></p>
5. Title of the Readiness and Preparatory Support Proposal	<i>GCF Readiness project for Kazakhstan</i>



<p>6. Brief summary of the request(200 words)</p>	<p>This request seeks funding to cover activity areas 1 and 2, and the preliminary activities 3 related to the pre-accreditation under the Green Climate Fund (GCF) Readiness and Preparatory Support Programme.</p> <p>The Ministry of Energy of the Republic of Kazakhstan was appointed as the National Designated Authority (NDA) for the engagement with GCF.</p> <p>Under area 1, the request is for NDA institutional capacity assessment and strengthening, stakeholder engagement, training of the Ministry's staff and other interested central and local authorities and information and awareness raising, as well as the setting up of a GCF proposal review system.</p> <p>To shorten the timeline for the direct national access, the NDA requested that some preliminary activities related its capacities to facilitate the country's Direct Access are to be carried out within this readiness proposal. When this proposal is fully implemented, a specific readiness proposal targeting support for accreditation of specific national entities, identified pre-screened by the NDA, will be developed and submitted for the GCF.</p> <p>Under area 2, the request is to develop the GCF Country Programme, that includes the priorities for cooperation between the GCF and Kazakhstan, and that is based on the current projects and perspective national climate related plans. Within this area, the intensive stakeholder engagement will define the country's strategy with the GCF, which identify and prioritize interventions aligned with national needs and the GCF's priorities.</p> <p>The readiness support will assist the NDA and the Focal Point in working with the GCF and the national and regional (at the provincial level) stakeholders at the national and local levels, civil society, private sector, international development institutions. The support is expected to provide specialized consultancy services and training provided by local and external experts, including study tours, workshops, practical conferences.</p> <p>A total of USD 300000 is requested from the GCF covering readiness activity areas 1 and 2, and the preliminary elements of activities related to the pre-accreditation of National Implementing Entities (NIE). Readiness programming is expected to get underway in the third quarter of 2017 and to cover a one fiscal year period.</p>
<p>7. Total requested amount and currency</p>	<p>USD 300,000 (with DP fee)</p>
<p>8. Anticipated duration</p>	<p>12 months</p>
<p>9. Is the country receiving other Readiness and Preparatory Support related to the GCF?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>N/A</p>

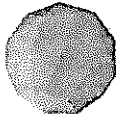


SECTION 2: COUNTRY READINESS LOGICAL FRAMEWORK

Please complete the table below, which enables a country to assess its readiness for the GCF and set targets for strengthening its readiness, including proposed outputs and activities to improve the country's readiness. For further guidance on completing the table, please refer to the *guidebook: Accessing the GCF Readiness and Preparatory Support Programme*.

OUTCOMES ¹	BASELINE	TARGET	ACTIVITIES <i>(including key outputs or deliverables where applicable)</i>
1. Country capacity strengthened	1-8	8-8	
1.1 NDA/focal point lead effective coordination mechanism	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	a. Establish an appropriate institutional structure and legal framework/ToR for the coordination of the NDA's work, which ensures that the NDA will support collaboration between the Government and the GCF while also facilitating multi-stakeholder engagement.
1.2 No objection procedure established and implemented	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	b. Issuance of a report identifying knowledge and capacity needs of the NDA and its coordination team.
1.3 Bilateral agreements between the country and the GCF executed	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	c. Develop the capacity of the NDA and its coordination team to acquire knowledge on the country's climate- and development-related needs, priorities, strategies, plans, relevant institutions and stakeholders.
1.4 Monitoring, oversight and streamlining of climate finance	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	d. Strengthen knowledge, capacities, processes, systems and procedures for Climate Change Adaptation within NDA and relevant key stakeholders, including the Ministry for Agriculture, Ministry for Health Care and Social Development, Ministry for Investment and Development, Office of the Prime-Minister and the local authorities, to enable them to fully comply with its role
			e. Coordinate and liaise with other ministries, relevant departments and agencies including Presidential National Commission for Women and Family and Demographic Policy to ensure inclusion of gender policy to the key issues relating to the GCF.
			f. Develop a robust Monitoring and Evaluation (M&E) system in order to track progress, assess outcomes/impacts and ensure accountability for use of GCF resources
			g. Establish and implement the no-objection procedure as per the Fund's Initial no-objection procedure (UNEP / UNDP)

¹ Based on decisions: B.08/10, annexes XII, XIII & XIV; B.08/11; B.11/10, annex 1; B.12/10, annex 1



2. Stakeholders engaged in consultative processes	4-8	8-8
2.1 Stakeholders engaged in consultative processes	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2
2.2 Country programmes, including adaptation priorities, developed and continuously updated	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2
2.3 Stakeholder consultations conducted with equal representation of women	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2
2.4 Annual participatory review of GCF portfolio in the country organized	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input type="checkbox"/> 1 <input checked="" type="checkbox"/> 2
3 Direct access realized ²	0-8	1-8
3.1 Candidate entities identified and nominated for accreditation	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input type="checkbox"/> 0 <input checked="" type="checkbox"/> 1 <input type="checkbox"/> 2
3.2 Direct access entity accredited	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
3.3 Entity/ies annual/multi-annual work programme developed	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
3.4 Funding proposals through enhanced direct access modality approved	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2	<input checked="" type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2
4 Access to finance	0-8	6-8

2.1 Organize (at least 3) multi-stakeholder consultation meetings on engagement with the GCF, with at least 50 participants, including government officials, civil society and private sector – with equal participation of women, and with meeting participants and outcomes clearly documented

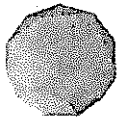
2.2 Update of the GCF Country Programme on national mitigation and adaptation priorities, based on the existing legal, policy framework, including the Strategy 2050, Concept of Transition of Republic of Kazakhstan to Green Economy and its 2013-2020 Action Plan, the Concept of family and gender policies in the republic of Kazakhstan until 2030 and other sectorial and national programs.

2.3 Localize the GCF Country Programme at the regional (provincial) level in line with strategic priorities of Kazakhstan development

3.1 Analysis of existing institutional infrastructure including mapping of all stakeholders, including those in on public, quasi-state owned and private sectors

3.2 Identifying the possible roles of prospective public, quasi-state owned and private sector entities - including national, regional (provincial) implementing entities - that may be accredited by the GCF in implementing Kazakhstan's programming priorities

²All the actions and movements in this section (Direct access realized -DA) will support further Kazakhstan's NDA work on DA, and all and all the works are preliminary.



<p>4.1 Structured dialogue between the NDA/Accredited Entities and the GCF Secretariat organized</p>	<p><input checked="" type="checkbox"/>0 <input type="checkbox"/>1 <input type="checkbox"/>2</p>	<p><input type="checkbox"/>0 <input type="checkbox"/>1 <input checked="" type="checkbox"/>2</p>	<p>4.1 Facilitate the process through which the NDA and relevant public, quasi-state owned and private sector entities gain access to the international experience, knowledge and best practices of partnering with the GCF through at least 2 annual meetings with the GCF specialists, accredited agencies and other interested stakeholders.</p>
<p>4.2 Country programmes, concept notes, including on adaptation, developed that implement high-impact priorities identified in INDCs and other national strategies or plans</p>	<p><input checked="" type="checkbox"/>0 <input type="checkbox"/>1 <input type="checkbox"/>2</p>	<p><input type="checkbox"/>0 <input type="checkbox"/>1 <input checked="" type="checkbox"/>2</p>	
<p>4.3 Project/programme preparation support, including for adaptation, to develop funding proposals provided</p>	<p><input checked="" type="checkbox"/>0 <input type="checkbox"/>1 <input type="checkbox"/>2</p>	<p><input type="checkbox"/>0 <input checked="" type="checkbox"/>1 <input type="checkbox"/>2</p>	
<p>4.4 Funding proposals, including for adaptation, that are aligned with country priorities approved</p>	<p><input checked="" type="checkbox"/>0 <input type="checkbox"/>1 <input type="checkbox"/>2</p>	<p><input type="checkbox"/>0 <input checked="" type="checkbox"/>1 <input type="checkbox"/>2</p>	
<p>5 Private sector mobilization</p>	<p>1-8</p>	<p>4-8</p>	
<p>5.1 Private sector engaged in country consultative processes</p>	<p><input type="checkbox"/>0 <input checked="" type="checkbox"/>1 <input type="checkbox"/>2</p>	<p><input type="checkbox"/>0 <input checked="" type="checkbox"/>1 <input type="checkbox"/>2</p>	<p>5.1 Identify activities for creating an enabling environment for crowding-in private sector actors.</p>
<p>5.2 Enabling environment for crowding-in private sector investments at national, regional and international levels exists</p>	<p><input checked="" type="checkbox"/>0 <input type="checkbox"/>1 <input type="checkbox"/>2</p>	<p><input type="checkbox"/>0 <input checked="" type="checkbox"/>1 <input type="checkbox"/>2</p>	<p>5.2 Design an operational manual for the NDA on private sector engagement, by referring to the best practices globally</p>
<p>5.3 Funding proposals for private sector projects/programmes, including for adaptation, approved</p>	<p><input checked="" type="checkbox"/>0 <input type="checkbox"/>1 <input type="checkbox"/>2</p>	<p><input checked="" type="checkbox"/>0 <input checked="" type="checkbox"/>1 <input type="checkbox"/>2</p>	<p>5.3 Update existing governmental training programs for entrepreneurs by providing targeted training courses on financial planning, project planning, and proposal preparation skills, in line with the GCF guidelines, to the public entities and private sector.</p>
<p>5.4 Funding proposals under the Private Sector Facility</p>	<p><input checked="" type="checkbox"/>0 <input type="checkbox"/>1 <input type="checkbox"/>2</p>	<p><input checked="" type="checkbox"/>0 <input checked="" type="checkbox"/>1 <input type="checkbox"/>2</p>	



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PROPOSAL TEMPLATE

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<i>programmes (small- and medium-sized enterprises and mobilizing funds at scale) submitted and approved</i>				
TOTAL	6-40	27-40		

SECTION 3: ADDITIONAL INFORMATION

Please explain how this grant will help deliver on the country's readiness needs as identified above and build on institutions, processes or existing work already underway in the country (*maximum 500 words*)

The requested grant will help deliver on the Kazakhstan's need for creating an enabling framework to mobilize finance for climate change interventions. The country's strong commitment to the global Climate Change agenda is substantiated in the strategic policy documents, such as the vision Strategy 2050 and the Concept for Transition of the Republic of Kazakhstan to Green Economy, which are currently implemented under the oversight of the Green Economy Council, chaired by the Prime-Minister.

The ambitious national plans to re-structure the economy and to achieve a significant 15% reduction of CO₂ by 2030 (National Determined Contribution) requires implementation of substantive climate projects and programmes. Such a paradigm shift can be achieved only with the direct financial support from the GCF.

Currently, the Government of Kazakhstan seeks to improve existing institutional structures and environmental safeguards in order to be able to attract international public climate finance through the Green Climate Fund and other financial instruments.

The Ministry of Energy, a newly appointed NDA for partnership with the GCF, is in the process of determining the GCF's priorities, procedures and practices, and should be enabled to address the growing interest from the public and private sectors on the prospective GCF opportunities. This readiness proposal seeks to address these opportunities and equip the NDA as well as other relevant national stakeholders with knowledge, skills and best practices.

The staff of the Ministry thus needs **capacity building support in climate finance, climate change programming for GCF, and monitoring, evaluation and reporting systems**. The Ministry would like to establish a GCF proposal review system, and conduct a baseline survey of climate-related projects, and their financing modalities.

Readiness support will enable the country to source international and regional technical support which currently is not available in the country to guide the set-up of the proposal review system, GCF resource management and reporting as well as GCF project and programme pipeline development and evaluation.

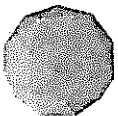
GCF Readiness Programme will refine the priority areas set out in Kazakhstan's Nationally Determined Contribution submitted to the UNFCCC in December 2015. The NDC outlines the country's mitigation and adaptation intentions in the Energy and Agricultural sectors. Readiness support will enable the identification of potential high impact and transformational GCF investment areas within the INDC.

GCF readiness will enable Kazakhstan to meet these needs, enhance information exchange, enable the both NDA and Focal Point to provide guidance for the GCF compliant projects and programmes that will bring about the transformational change envisaged by the GCF. These will further enable the country to meet its climate obligations to the UNFCCC and fulfil its commitment of reducing greenhouse gas emissions.



SECTION 4: BUDGET, PROCUREMENT, IMPLEMENTATION AND DISBURSEMENT

GCF Readiness Outcome	Responsible Party	Fund ID	Donor Name	ATLAS Budget Description	Budget Description	Amount US\$ (0-6 month)	Amount US\$ (month 6-12)	Total Amount US\$	Budget notes
GCF Readiness Outcome 1: Country capacity strengthened	UNDP CO	66001	1256	71200	International Consultants	1,100	1,100	2,200	1
				71300	Local Consultants	10,500	10,500	21,000	2
				71600	Travel	10,000	10,000	20,000	3
				72500	Supplies			0	0
				75700	Training, Workshops and Conferences	24,000	27,100	51,100	4
Total Outcome 1					45,600	48,700	94,300		
GCF Readiness Outcome 2: Stakeholders engaged in consultative processes	UNDP CO	66001	1256	71200	International Consultants	1,100	1,100	2,200	5
				71300	Local Consultants	7,500	7,500	15,000	6
				71600	Travel	9,000	10,000	19,000	7
				72500	Supplies			0	0
				75700	Training, Workshops and Conferences	20,000	25,000	45,000	8
Total Outcome 2					37,600	43,600	81,200		
GCF Readiness Outcome 3: Direct access realized	UNDP CO	66001	1256	71200	International Consultants	1,100	1,100	2,200	9
				71300	Local Consultants	7,500	7,500	15,000	10
				71600	Travel	3,500	3,370	6,870	11
				72500	Supplies			0	0
				75700	Training, Workshops and Conferences	3,000	3,000	6,000	12
Total Outcome 3					15,100	14,970	30,070		
GCF Readiness Outcome 4: Access to finance	UNDP CO	66001	1256	71200	International Consultants	1,100	1,100	2,200	13
				71300	Local Consultants			0	0
				71600	Travel	6,000	6,000	12,000	14
				72500	Supplies			0	0
				75700	Training, Workshops and Conferences	3,600	4,400	8,000	15
Total Outcome 4					10,700	11,500	22,200		
GCF Readiness Outcome 5: Private sector mobilization	UNDP CO	66001	1256	71200	International Consultants	1,100	1,100	2,200	16
				71300	Local Consultants	4,500	4,500	9,000	17
				71600	Travel	2,000	4,000	6,000	18
				72500	Supplies			0	0
				75700	Training, Workshops and Conferences	6,000	10,000	16,000	19
Total Outcome 5					13,600	19,600	33,200		
Total operation costs (Outcome 1+2+3+4+5)									
						122,600	138,370	260,970	
Contingency (max. 5% of total operation costs)						5,523	6,234	11,757	20
TOTAL PROJECT COSTS EXCLUDING DP FEE						128,123	144,604	272,727	
DP fee (10%)						12,812	14,460	27,273	21
TOTAL PROJECT COSTS INCLUDING DP FEE						140,935	159,064	300,000	



Budget Notes:

1	International consultant with expertise on GCF policies and procedures will be hired to develop TORs for national experts and provide technical support to the national Project team and technical assistance in developing of project work plan. (he will support all 5 outcomes)
2	Country Capacity Strengthening expert (national expert) will be responsible to deliver activities under Outcome 1
3	Travel under outcome 1 will be used for travel expenses of project team and key experts and to enhance capacity building of NDA through, participation in international and regional meetings and working groups.
4	At least 4 workshops for stakeholders and for the "KZ GCF board" Training for the NDA, Ministries and local authorities. We expect at least 20 participants for each workshops/training
5	International consultant, see "1"
6	Stakeholder engagement expert (national consultant) will be responsible for the delivery of activities under Outcome 2
7	Travel under outcome 2 will be used for travel expenses of project team and key experts to involve as much as possible country regions and stakeholders to the Readiness process
8	Workshops for stakeholders and for the "KZ GCF board" Training for the Ministries and local authorities. Under readiness program there will be at least 3 multi-stakeholder consultation meetings on engagement with the GCF, with at least 50 participants, including government officials, civil society and private sector -- with equal participation of women, and with meeting participants and outcomes clearly documented
9	International consultant, see "1"
10	GCF finance expert (national consultant) will be responsible for the delivery of activities under outcomes 3 and 4
11	Travel under outcome 3 will be used for travel expenses of project team and key experts to implement the outcome 3 and to ensure of evolving into the GCF process stakeholders from finance structures
12	At least 2 events on synthesis report "Analysis of existing institutional infrastructure and mapping of all stakeholders, including those in on public, quasi-state owned and private sectors"
13	International consultant, see "1"
14	Travel under outcome 3 will be used for travel expenses of project team and key experts to work under activities under of the outcome 4
15	Under this activity we will facilitate at least 2 annual meetings with the GCF specialists, accredited agencies and other interested stakeholders. (at least 30 participants each)
16	International consultant, see "1"
17	Private sector expert (national consultant) will engage national business sector into the GCF process
18	Travel under outcome 3 will be used for travel expenses of project team and key experts to work with key players from private sector in the regions and in the international sector
19	After designing of targeted training courses on financial planning, project planning, and proposal preparation skills, in line with the GCF guidelines, we will support at least 1 course consisting of at least 4 lectures for public entities and private sector. We expect at least 30 participants.
20	Miscellaneous Expenses
21	Delivery Partner Fee (10% of [Total Operation Costs - Contingency]); to be managed separately by UNDP-GEF HQ

Procurement plan

UNDP under the guidance of the NDA, will competitively procure services consistent with the UN procurement rules and regulations, outlined in the UN procurement manual. The terms of reference (ToR) of consultants will be developed under the guidance of the NDA to include the tasks outlined in the request summary above. Items such as venues and travel for stakeholder workshops to be organized will also be procured consistent with the UN procurement rules and regulations.

UNDP will manage the readiness funding and be responsible for contracting the services described in this proposal, as well as reporting on the progress of this implementation in close coordination and under supervision of the NDA. The NDA will approve the interim progress report and completion report provided by the delivery partner. UNDP in collaboration with the NDA, will competitively procure services consistent with its procurement policies: Consultants will be procured on a competitive basis and the terms of reference (ToRs) of consultants will be developed further to include the tasks outlined in the request summary above. The NDA may also add other tasks to the ToRs of the consultants in accordance with the Fund's defined scope of work on NDA strengthening within the resource envelope in this proposal and any supplementary resources secured from other sources.

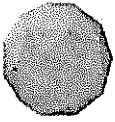
All the equipment procured under the project, if any, will be transferred to NDA after the closing of the project.

Procurement of Goods and Works	
Method	Threshold
Direct Procurement	<5,000\$
Informal methods of solicitation (Request for quotations)	<50,000\$
Formal methods of solicitation (Invitation to bid, Request for proposal)	>50,000

1. Goods and Works Contracts Estimated (insert amount)

1. The following table lists goods and works contracts for which procurement activity is either ongoing or expected to commence within the next 12 months.

General Description	Contract Value	Procurement Method	Prequalification of Bidders (y/n)	contracting/purchasing date (quarter/year)	Comments
Workshops under outcome 1	51 100	Long Term Agreement based procurement	n	Q4/2017 – Q3/ 2018	4 workshops for the stakeholders and for the "KZ GCF Board": trainings for

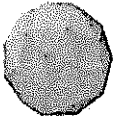


					<p>the NDA, Ministries and local authorities. Number of participants is 20 per each workshop. Approximate cost of each workshop is 12,775 USD. UNDP CO has Long Term Agreements with the hotels in Astana and Almaty for providing services for conferences. Participants from 14 regions will be invited. Planned dates for the workshops:</p> <ul style="list-style-type: none">•October 2017 – Astana•January 2018 – Almaty•April 2018 – Astana•July 2018 - Almaty <p>The dates could be shifted dependent on the start of the project.</p>
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<p>Consultation meetings under outcome 2</p>	<p>45 000</p>	<p>Long Term Agreement based procurement</p>	<p>n</p>	<p>Q3/2017 – Q2/ 2018</p>	<p>3 multi-stakeholder meetings on engagement with the GCF, with at least 50 participants, including government officials, civil society and private sector – with equal participation of women.</p> <p>Approximate cost of each workshop is 15,000 USD.</p> <p>UNDP CO has Long Term Agreements with the hotels in Astana and Almaty for providing services for conferences.</p> <p>Participants from 14 regions will be invited.</p> <p>Planned dates for the workshops:</p> <ul style="list-style-type: none"> •September 2017 – Astana •December 2017 – Almaty •June 2018 – Astana
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					The dates could be shifted dependent on the start of the project.
Workshops under outcome 3	6 000	Micro purchasing	n	Q4/2017 – Q1/ 2018	<p>2 events on synthesis report “Analysis of existing institutional infrastructure and mapping of all stakeholders, including those in on public, quasi-state owned and private sectors”. Each event will cost 3000 USD. Participants from 14 regions will be invited.</p> <p>Planned dates for the workshops:</p> <ul style="list-style-type: none"> • November 2017 – Astana • March 2018 – Astana <p>The dates could be shifted dependent on the start of the project.</p>
Meetings under outcome 4	8000	Micro purchasing	n	Q3/2017 – Q1/ 2018	2 meetings with the GCF specialists,



					<p>accredited agencies and other interested stakeholders. (at least 30 participants each).</p> <p>Each event will cost 4000 USD.</p> <p>Participants from 14 regions will be invited.</p> <p>Planned dates for the meetings:</p> <ul style="list-style-type: none"> • September 2017 – Astana • February 2018 – Astana <p>The dates could be shifted dependent on the start of the project.</p>
Workshops/ trainings under outcome 5	16 000	Micro purchasing	n	Q4/2017 – Q2/ 2018	<p>After designing of targeted training courses on financial planning, project planning, and proposal preparation skills, in line with the GCF guidelines, it is planned to have 2 courses</p>

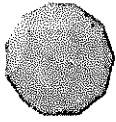
					<p>consisting of at least 4 lectures for public entities and private sector with at least 30 participants.</p> <p>The costs per one workshop are 8 000 USD. Participants from 14 regions will be invited.</p> <p>Planned dates for the workshops:</p> <ul style="list-style-type: none"> • November 2017 – Astana • May 2018 – Astana <p>The dates could be shifted dependent on the start of the project.</p>
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2. Consulting Services Contracts Estimated (insert amount)

2. The following table lists consulting services contracts for which procurement activity is either ongoing or expected to commence within the next 12 months.

General Description	Contract Value	Recruitment Method ¹	expected advertisement/contracting date (quarter/year)	International or National Assignment	Comments
Country capacity strengthen Expert	15000	UNDP individual contract	Q3/2017	National	Project team will hire national consultant who will work on the Outcome 1: "Country capacity strengthened". ToR will be based

					on the activities included in the activities under abovementioned outcome. His main task will be to engage capacity building to NDA organization of the workshops within this outcome and assist NDA to create "no objection procedures"
Stakeholder engagement expert	15000	UNDP individual contract	Q3/2017	National	Project team will hire national consultant who will work on the Outcome 2: "Stakeholder engagement in consultative processes". ToR will be based on the activities included in the activities under abovementioned outcome. Main task of this expert is to involve all potential stakeholders to the GCF process and accordingly update "GCF country program"
GCF Finance Access Expert	15000	UNDP individual contract	Q3/2017	National	Project team will hire national consultant who will work on the Outcomes 3 and 4 : (Direct access



						<p>and Access to finance facilitated) ToR will be based on the activities included in the activities under abovementioned outcome.</p> <p>Expert will conduct pre-screening of the existing organizations for shortening timeline for direct national access, and will work on preliminary activities related to its capacities to facilitate the country's Direct Access.</p>
Private sector expert	15000	UNDP individual contract	Q3/2017	National	<p>Private sector engagement team will hire national consultant who will work on the Outcome5: "Stakeholder engagement in consultative processes". ToR will be based on the activities included in the activities under abovementioned outcome</p> <p>His task will be to develop manual for the potential stakeholders on financial planning, project</p>	

					planning, and proposal preparation in line with the GCF guidelines. This manual will be widely distributed among private sector.
International consultant	11000	UNDP individual contract	Q3/2017	International	International consultant will work on all outcomes and will be responsible for overall technical support and guidance of the project and writing ToR's for the national consultants

¹ QCBS

Disbursement schedule

Disbursement requests will be managed at portfolio level by UNDP-GEF MPSU in NY, as agreed in the "Framework Readiness and Preparatory Support Grant Agreement" between GCF and UNDP. Under Clause 4 of said Framework Agreement, "the Delivery Partner shall be entitled to submit two Requests for Disbursement each year. Each such Request for Disbursement must be submitted to the Fund within 30 days of receipt by the Fund of the Portfolio Report referred to in Section 9.02."

SECTION 5: IMPLEMENTATION ARRANGEMENTS AND OTHER INFORMATION

Please attach an "implementation map" or describe how funds will be managed by the NDA/FP or delivery partner

UNDP were selected by Ministry of Energy of the Republic of Kazakhstan, acting in their capacity as the NDA, as delivery partners to develop and implement the GCF Readiness and Preparatory Support Programme.

The organization is operating in the Republic of Kazakhstan since 1993 and by 2016 have already implemented 195 projects for over US\$159 mln. UNDP has current extensive portfolio in Sustainable Development, both funded from the international donors, such as the GEF, USAID and the EC, and from the Government of Kazakhstan within the specific cost-sharing "tied-grant" model. UNDP's location both in Almaty and Astana (the key cities and a capital of the country), and in each of the country's provinces allow for barrier-free access and streamlined communications with the national and local decision makers.

UNDP as the delivery partner will implement the project under the guidance of the NDA, who will be in charge of delivering selected activities, supported by consultants. In order to come up with programmes and plans that are relevant to the developing country context and Kazakhstan in particular, the international and national experts will be working closely with the members of the NDA and all relevant national and local authorities in the implementation of the readiness proposal.

During the Readiness programme, a Project Board will be formed, so that the NDA and interested stakeholders can exercise necessary oversight and steer the direction of the readiness programme.

The project will be implemented under Direct Implementation Modality (DIM) by UNDP, in close coordination and collaboration with all relevant government institutions, local communities, CSO and NGOs, as well as with other related relevant projects in the region. Under DIM, UNDP assumes the responsibility for mobilizing and applying effectively the required inputs to reach expected outputs. UNDP assumes overall management responsibility and accountability for project implementation. The UNDP will also monitor the project's implementation and achievement of the project outcomes and outputs, and will ensure the proper use of GCF funds. Financial transactions, reporting and auditing will be carried out in compliance with national regulations and established UNDP rules and procedures for national project execution.

Project governance structure will be aligned with UNDP's standard operating procedures.

Audit: The project will be audited according to UNDP Financial Regulations and Rules and applicable audit policies on DIM implemented projects. Additional audits may be undertaken at the request of the GCF.

Other relevant information

Upon the completion of the GCF Readiness Programme, the following results are expected:

- An updated GCF Country Programme that is in line with both the country's and GCF's investment priority areas.
- A well trained NDA staff with the ability to effectively interact with the GCF, coordinate the development and review of GCF compliant projects and programmes, and effectively act as the national GCF NDA handling issues related to the no objection procedure, climate finance awareness and with GCF-related fiduciary capabilities for prospective NIEs.
- A multi-stakeholder platform that supports the execution of project and programme screening and GCF-related decision making such as national alignment, and acts as a technical advisory body to the focal point.
- High levels of awareness amongst government, private and non-governmental stakeholders on GCF modalities and procedures as well as national and GCF investment priorities related to climate change mitigation and adaptation.

The implementation of the Readiness Programme lays the foundation for the Direct Access activities, which will be submitted as a separated proposal based on the results of the Readiness Programme.



Empowered lives.
Resilient nations.

15 February, 2018

Dear Mr. Norimasa Shimomura,

Subject: Green Climate Fund Contribution to Kazakhstan: Green Climate Fund Readiness and Preparatory Support – Kazakhstan – PIMS No. 6068 - ATLAS BU: KAZ10 - Proposal No.: 00099681 - Project No.: 00102961

I am pleased to delegate to you as the UNDP Resident Representative the authority to sign the initiation plan for the above-mentioned readiness project which is to be implemented by the UNDP Country Office with the support of the UNDP-Global Environmental Finance (UNDP-GEF) Unit in the Bureau for Policy and Programme Support (BPPS). As per the Framework Readiness and Preparatory Support Grant Agreement, the project, which amounts to a total of \$ 272,727 will be implemented under DIM modality.

I am also pleased to provide a summary of the next steps in the process and to outline, for your ease of reference, the key GCF requirements related to this project.

Next steps and mandatory requirements:

Initiation Plan: We kindly request that you sign the attached initiation plan on behalf of UNDP. Please ensure the signed version of the Initiation Plan is returned to Ms. Claudia Ortiz, UNDP-GEF GCF Readiness Project Manager.

Annual Work Plan: To facilitate a quick start to the project, please kindly ensure that the Atlas-generated multi-year Annual Work Plans (AWPs) based on the Total Budget and Work Plans in the attached initiation plan is also returned to the UNDP-GEF. Please ensure that the correct codes are used in the AWP Chart of Accounts:

Fund Code	Donor Code
66001	12526

Transfer of Income: Upon receipt of the signed Initiation Plan, contributions received from the Green Climate Fund will be transferred from the UNDP-GEF Unit to the project.

Budget Revisions: Any proposed budget revisions should be forwarded to the UNDP-GEF GCF Readiness Project Manager together with a clear explanation of the changes proposed as any significant changes require review and approval by the GCF. In addition, please note that the UNDP-GEF Unit is not in a position to increase the project

*Mr. Norimasa Shimomura
Resident Representative
UNDP Astana
Kazakhstan*