



**United Nations Development Programme
in Kazakhstan**

Project Document

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Brief project description: The project will support the Government of Kazakhstan to undertake a Mercury Initial Assessment to enable the country to determine the national requirements and needs for ratification of the Minamata Convention and to establish the foundations for undertaking future work towards the implementation of the Convention		
FINANCING PLAN		
GEF		USD 400,000
(1) Total Budget administered by UNDP		USD 400,000
(2) Grand-Total Project Financing		USD 400,000
SIGNATURES		
Signature: Mr. Gani SADIBEKOV 	Agreed by Government	Date/Month/Year: 13.07.17
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Situation Analysis

Country context: The Republic of Kazakhstan is a landlocked country in Central Asia, is home to some of the world's largest deposits of oil, gas, metals, minerals and other natural resources. Kazakhstan is the ninth largest country in the world, stretching over 2.7 million km². The country consists of 14 regions, two cities of republican significance, 175 administrative areas, 87 cities, 34 settlements and 6,947 rural settlements. The population, as at July 2009, was 18,360,353 (July 2016 est.), with 53.4 per cent urban dwellers and 46.6 per cent rural inhabitants¹.

Kazakhstan is party to several multilateral environmental agreements regulating the sound management and disposal of toxic and dangerous products and wastes, including the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal, the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade and the Stockholm Convention on Persistent Organic Pollutants.

Having historical mercury contaminated sites in Karaganda and the Pavlodar region, Government acknowledged that environmental contamination in Kazakhstan was creating negative impacts on the health of the population and fully aware of the need for global regulation of mercury, which is considered by WHO as one of the ten most dangerous chemicals in the world. The disproportionate impacts felt by various communities throughout the country requires increased coordination and coherence among governmental and non-governmental actors (business, civil society, researchers and scientists) to better ensure the sound management of hazardous substances and wastes.

In 2013 the Government stated that the adverse impact of hazardous substances on human health was one of most urgent problems in the field of chemical safety. Priority problems in that respect included: air pollution; contamination of water, including drinking water; pesticides and other residues on food; radioactive, hazardous and municipal waste management; occupational risks due to hazardous substances in agriculture and industry; chemical accidents in industrial facilities and during transportation; illegal traffic of hazardous substances and waste; and the use, storage and disposal of hazardous chemicals of international concern².

Kazakhstan was unable to sign the Minamata Convention on mercury before October 9, 2014 when it was closed for signature. Nevertheless, the Government of Kazakhstan supports the goals of the Minamata Convention, aimed at protecting public health and the environment from anthropogenic emissions and releases of mercury and mercury compounds. Demonstrating a continued commitment to the greening the economy and advancement of the environment and sustainable development agendas, Kazakhstan is currently in the process of becoming a Party to the Minamata Convention. At the national level the negotiation processes to accede to the Convention have already started, and the Minamata Convention has also been taken up in the long-term plan (2017-2019) of the Republic of Kazakhstan to enter into international treaties.

Nevertheless, the Government is facing lack of understanding of the clear picture of the effort that will be required nationally to be able to fulfill all of its commitments, in particular development of effective

¹ OECD statistics, 2016

² Kazakhstan, "National profile on chemicals management in Kazakhstan", Astana, 2013

national and regional laws to provide an adequate protection from anthropogenic emissions and releases of mercury and mercury compounds. Constraints in detailed specific data, in particular information on mercury imports or imports of mercury-containing products, the use of mercury in various industrial processes or important release sources of mercury is negatively influencing the national decision making process. As a first step toward development an appropriate policy, the initial mercury assessment (inventory) was conducted applying the UNEP Level 1 "Toolkit for Identification and Quantification of Mercury Releases". However, the Government of Kazakhstan needs more detailed data to be collected in order to undertake a level 2 inventory.

Sector-specific context: Mercury pollution and its hazards have not been fully addressed in Kazakhstan on policy level. Some efforts have been undertaken in partnership with international organizations (UNDP, EBRD, WB, etc.) during past 10 years with the aim of analysis of current situation on mercury contamination. Within the framework of the UNDP-GEF Project "NIP Update, Integration of POPs into National Planning and Promoting Sound Healthcare Waste Management in Kazakhstan" an initial mercury assessment (inventory) was conducted applying the UNEP Level 1 Toolkit for Identification and Quantification of Mercury Releases". Based on the results of the inventory, the draft of the National Action Plan for the reduction of mercury (National Implementation Plan/implementation of identified priorities) was developed.

The inventory report indicated that 577 tons of mercury are being released to the environment in 2014. The main sources for these releases are the production of primary metals, followed by coal combustion and the use of mercury-containing products.

The Karaganda and Pavlodar regions are mostly mercury contaminated sites in historical perspective, caused by many years of output-focused development, with little regard to either economic viability or environmental impact. During the Soviet period, regional chemical industry used mercury catalysators and cathodes in technological processes, in particular: a) the production of acetaldehyde PO "Carbide" in Temirtau and b) chlorine-alkali production "Khimprom" in Pavlodar. This led to mercury pollutions in Nura river and North Pavlodar industrial zone. It is estimated about 2300 and 1310 tons respectively of mercury emissions into local environment.

In order to remediate "historical" mercury contaminated sites, the Government of Kazakhstan with support of international organizations, implemented the following projects the Karaganda and Pavlodar Oblasts:

- "Cleaning the River Nura of mercury", implemented jointly with the International Bank for Reconstruction and Development (IBRD). During the factory clean up, polluted soil was excavated to a depth of two meters and transported to a safe landfill, and all the metallic mercury left in the factory was collected and immobilized temporarily in plastic and other types containers. Overall, based on pollution sampling and mapping, more than 2 million tons of contaminated materials from the carbide factory, sedimentation ponds, swamp, river banks, and floodplains were safely disposed.
- At the same time, RSE "Kazhydromet" is conducting the national monitoring on the environmental condition of Nura River's basin.
- "Phase I of the Programme demercurisation chlor-alkali production in Pavlodar". Since 2011 JSC "Caustic" produces chlorine and caustic soda mercury-free, applying the membrane method.
- Since 2005, the Akimat of Pavlodar oblast yearly monitors the environmental conditions in the Northern industrial area of Pavlodar, with a focus on mercury contaminated sites.

Implemented projects on demercurization of "historical" mercury contaminated sites in 2004-2013 not resolved the issue completely, but only neutralized it temporarily by closing of the main sources of pollution, disposal of mercury wastes in a specially constructed polygon that currently continuing affecting the environment. Moreover, secondary pollution of surface water and groundwater occurs because of JSC "TEMK" owned sewage collector contaminated with mercury.

In addition to the "historical" accumulated mercury and mercury containing wastes in Kazakhstan there are more than 422 kg of secondary metallic mercury. Mercury is temporarily stored in the territory of enterprises processing mercury-containing waste (as of mid-2015); 24 kg of ownerless mercury, which have been transferred for the national property (Kostanay) as per appropriate court decision; and about 3 tons of ownerless mercury sold by the state to LLP "Mercury Center of Kazakhstan" in 2014 within the country's programme with the purpose to eliminate "legacy/orphan" hazardous waste. At present, the mercury is stored in an environmentally sound manner at a guarded warehouse, awaiting a decision of LLP "Mercury Center of Kazakhstan" on the mercury waste's fate. The lack of market demand in mercury, as well as a complicated exports licensing procedures is affecting the mercury accumulation problem in enterprises of Kazakhstan.

The same UNDP-GEF project also developed a draft National Action Plan for the reduction of mercury (National Implementation Plan/implementation of identified priorities). As part of this project, the Ministry of Energy and the executive bodies of the project's pilot regions signed the Memorandums of Understanding (MoUs) with the aim to reduce the use of mercury-containing medical products. According to the MoUs, the health care facilities located in the pilot regions can no longer purchase mercury containing medical thermometers. Furthermore, the project also contributed to demercurization of 18,000 mercury containing medical thermometers collected from the project's pilot regions.

As part of another UNDP-GEF Project "LGGE Promotion of Energy Efficient Lighting in Kazakhstan" the collection of mercury-containing lamps from the general population was organized in Astana by placing special collection containers and undertaking an awareness raising campaign. Since then, the project's experiences have been replicated in several other cities (Almaty, Karaganda, Shakhtinsk, Uralsk, Kyzylorda, Aktau).

Policy context: The project will support international efforts to tackle the adverse health and environmental effects of mercury by contributing to extending the reach of the Minamata Convention on Mercury to a new state-the Republic of Kazakhstan. More broadly, by strengthening country's overall capacity to manage mercury-related issues and facilitating the country's accession to the Minamata Convention, the project will support international efforts to minimize the health and environmental hazards of wastes and chemicals, including under the Strategic Approach to International Chemicals Management (SAICM). It will also contribute to reducing threats to biodiversity, in line with international efforts in this field (e.g. Aichi Target 8 on pollution and Target 14 on ecosystem restoration under the UN CBD). The project will further support progress towards the realization of the new global development agenda by contributing to several of the Sustainable Development Goals (e.g. SDGs 3, 6 and 12 on health, water, and sustainable consumption and production, respectively).

With regard to the relevance to national laws and strategies, Kazakhstan's accession to the Minamata Convention would be complementary to the goals and actions espoused by the Constitution, as a whole, and national legislation, in particular.

The Constitution contains several provisions protecting public health, the environment and human rights. Article 31 imposes an obligation on the State to set an objective to protect the environment so that it is favourable for the life and health of the person. In addition, article 12 recognizes and guarantees human rights and freedoms, article 15 guarantees the right to life and article 24 seeks to protect freedom of labour and safe and hygienic working conditions. Furthermore, article 25 states that housing is an inviolable right and article 29 stipulates the right to the protection of health.

The project will also contribute to the implementation of national environmental legislation relevant to the management of hazardous substances and wastes, including the Environmental Code (2007)³, the Water Code and laws on protected areas, radiation safety and construction activities. In particular, issues related to chemical safety are regulated by the following legislative acts: the Labour Code (2015); the Code on Public Health and the Health-Care System (2009); the Code on Administrative Violations (2014); the Criminal Code (2014); the Code on Taxes and Other Obligatory Payments to the Budget (2008); the Law on permits and notifications (2014); the Law on Civil Protection (2014); the Law on Safety of Chemical Production (2007); the Law on Transport in the Republic of Kazakhstan” (1994). On April 28, 2016 (№ 506-V) were approved an amendment to the law “Transition of the Republic of Kazakhstan to the Green Economy”, including environmental requirements for the handling of certain types of waste and their life cycle management, including mercury wastes. The amendment also stipulates the requirement to develop appropriate country specific standards. In 2015, the Environmental Code was amended by introduction the extended producer responsibility (importers) issues and approved list of products (goods), to which they extend. At the end of 2016 this list is supplemented with regard to mercury-containing products. On April 8, 2016, the Government of Kazakhstan approved an amendment (№ 491-V) to the Environmental Code to include PRTRs. Additionally, the technical requirements in the area of mercury treatment and wastes are in consideration by interstate and national standards of the Republic of Kazakhstan.

Moreover, the project will also contribute to Concept and Action Plan on “Transition of the Republic of Kazakhstan to Green Economy”⁴.

Accession to the Minamata Convention would also bring the country in step with possible future developments under World Trade Organization (WTO), were Kazakhstan being a member since 30 November 2015.

Currently, Kazakhstan is also underway to ratify the Kiev Protocol on Pollutant Release and Transfer Registers (PRTR) and the Aarhus Convention on Convention on Access to Information, Public Participation in Decision-Making and Access to Justice in Environmental Matters. The ratification of the Kiev Protocol will foster the process of strengthening the management system of hazardous substances

³ The Environmental Code, adopted in 2007 with a view to harmonize domestic environmental legislation with international standards, incorporates national commitments under major international environmental conventions, in particular the Aarhus Convention.

⁴ “Concept of transition of the Republic of Kazakhstan to the “green economy” was approved by the Decree of the President of the Republic of Kazakhstan on May 30, 2013.

and wastes in a systematic and integrated manner, with a view to promoting human rights, including the right to information.

This objective is fully aligned with the strategies of the UNDP and the UN Country Team in Kazakhstan. Priorities of UNDP Kazakhstan reflects the emerging aspirations for the SDGs, as important parallels exist between the global post-2015 development agenda and Kazakhstan's 2050 strategy, which articulates a vision for the future that rests on core values of human rights, equity and sustainability. In particular, UNDP's Country Programme Document for 2016-2020 sets the Goal No.2. "Sustainable human settlements, and natural resources management" and Partnership Framework for Development (PFD) sets the goal Ecosystems and natural resources are protected and sustainably used, and human settlements are resilient to natural and manmade disasters and climate change.

Institutional context: As a responsible Government agency and project implementing partner, the Ministry of Energy of the Republic of Kazakhstan provides overall coordination and support to the implementation of the Minamata Convention on Mercury at the national level, which includes: Establishment of national targets; Support for detailed mercury inventories; Organization and management of mercury inventories; Coordination with other key state bodies to work towards the phase-out of mercury; Preparation of government regulations and controls for the environmentally safe disposal/management of mercury and mercury wastes; Introduction of temporary and permanent measures to implement the Minamata Convention; Monitoring the state of the environment.

At the entity level, the Ministry of Healthcare, the Ministry for Investments and Development and the Ministry of National Economy of the Republic of Kazakhstan are the main intended beneficiaries. In particular, the Ministry of Healthcare coordinates activities that address the use of mercury in the health sector; supports the phase-out of mercury containing devices for which cost-effective alternatives exist; provides advice on best management practices for mercury in the health sector; oversees project components which are related to human health and exposure to mercury; makes recommendations for further studies on mercury exposure, control mercury in products and monitor activities of health care organizations.

In its turn, the Ministry for Investments and Development of the Republic of Kazakhstan encourages industrial enterprises to introduce best available practices, licenses the export and import of hazardous wastes; and, Develops national standards.

Thirdly, the Ministry of National Economy of the Republic of Kazakhstan coordination of activities within the framework of the Customs Union (Eurasian Economic Union).

The Ministry of Finance, the Ministry of Internal Affairs and the Ministry of Agriculture of the Republic of Kazakhstan are considering as a second level project's stakeholders. Specifically, the Ministry of Finance carries out customs control, the Ministry of Internal Affairs responds to natural and man-made emergencies, including mercury spills and the Ministry of Agriculture is the state's regulatory body for the use of pesticides and water.

Local (oblast) government are responsible for environment protection and environmental management on local (oblast) level according to the article 15 of the Environmental Code of the Republic of Kazakhstan, In particular, they are in charge of the following activities:

- 1) organization of work on redevelopment and amenity planting of settlements;
- 2) organization of work on providing the sanitation of settlements;

- 3) the content of the storage and production waste burial and consumption places;
- 4) making suggestions to the local executive bodies, authorized government body for the protection and use of historical and cultural heritage to declare natural and other objects that have environmental, scientific, historical, cultural and recreational value, the monuments of history or culture.

Strategy

The project aims to make initial steps in term of preparation of the Government of Kazakhstan for accession and fulfillment of obligations of the Minamata convention on mercury. This encompasses activities which include conducting an initial mercury assessment in the country, based on which the national requirements, specific obligations and further steps would be identified. Apart from this, national awareness and capacities would be built in parallel. This would lead to creation of an environment where national parties would have exact information on national circumstances in terms of mercury and lay baseline foundation for further action in order to sustainably continue with the implementation of the convention (once becoming a party of it). The changes with which the project would contribute to the national system would include compilation of official information and inventories and creating capacities within the existing system in order to appropriately deal with obligations brought on by the convention. This process will ensure that the results are imbedded within the national system as these activities are necessities of the government itself in order to comply with the international requirements.

No specific activities related to mercury has been supported in systematic and complex way in the past, except several projects, funded by international organizations, aimed to create a solid base for understanding the issue, as well as to improve the welfare of the population on local sites. Therefore, Kazakhstan would benefit significantly from a GEF project that would build capacity to address mercury priorities on national and local policy levels, as well as strengthen the entire sound management of chemicals system in the country.

The proposed EA and the project framework, including envisaged activities, are entirely in line with the GEF Initial Guidelines for Enabling Activities for the Minamata Convention on Mercury (GEF/C.45/Inf.05). By this, the project will contribute to the achievement of PFD/CPD Outcome 1.3 “Ecosystems and natural resources are protected and sustainably used, and human settlements are resilient to natural and manmade disasters and climate change” toward meeting of Goal No.2. “Sustainable human settlements, and natural resources management” of the UNDP Strategic Plan.

Although the project will be implemented under UNDP’s National Implementation Modality (NIM), responsible partner institution - the Ministry of Energy of the Republic of Kazakhstan, specifically the Waste Management Department is highly committed to contribute to project implementation and generate ownership on planned activities and resulting outcomes. Considering that the initial project activities include creation of an enabling environment for decision-making on the ratification of Minamata Convention, this will ensure pinpointing the responsible parties and identifying their roles in terms of implementation of Minamata Convention provisions. This process, greatly supported by the mainstreaming of the project findings throughout the relevant national policies, plans and regulatory frameworks, will not only ensure the lasting knowledge/capacity change within the target institutions,

but shall have an awareness raising effect on other potential stakeholders directly or indirectly involved within the mercury use.

The current interventions in the sector are mostly indirectly related to the Minamata Convention through the implementation of the activities related to the Stockholm, Basel and Rotterdam Conventions, for which Kazakhstan serves as a party.

The forming of the coordination/consultation mechanism, mainstreaming of findings through the policy and regulatory framework, and initial inventory of mercury will show the necessity for scaling up and future steps to be taken within this area; in order for the government to take a strategic approach with strong ownership in reducing risks and vulnerability of society and economy in terms of mercury use.

Results and Partnerships

i. Expected Results:

The project's objective is to undertake a Mercury Initial Assessment (MIA) to enable the Government of Kazakhstan to determine the national requirements and needs for the ratification of the Minamata Convention and establish a national foundation to undertake future work towards the implementation of the Convention. The project objective will be achieved during 24 month's period through implementation of the following components:

Component 1. Creation of an enabling environment for decision-making on the ratification of Minamata convention.

Outcome 1.1 National decision-making structure on mercury operational.

The legislation review will assess the necessary steps for the establishment of a National Mercury Coordination/Consultation Mechanism (MCM). A national decision making structure on MCM will be established in line with national capacities, existing structures and practices. It will also build or expand specific impact on similar structures established toward support of implementation the national commitments under other chemical MEAs, when it is applicable.

Outcome 1.2 Assessment of policy and regulatory framework, and institutional and capacity needs in regard to the implementation of the Convention's provisions.

The project activity for achieving the outcome 1.2. will be focusing on following areas:

- Assessment of policy, legislative and institutional frameworks of chemicals management system;
- Review of existing legislation and identification of gaps for meeting the Minamata Convention requirements and initial technical input on proposed amendments. In particular, an assessment of legislation and policies will be undertaking in regard to the implementation of the following (minimum) Convention provisions:
 - Article 3;
 - Article 5;
 - Article 7 (including legislation and policy, worker health and safety);

- Article 8 (specifically in regard to relevant national air pollution/emission standards and regulations);
- Article 9 (specifically in regard to the ability to identify and categorize sources of releases);
- Article 21 in regard to the reporting under Convention.
- Analysis of potential roles and capacities of ministries and institutions related to the key sectors where the mercury inventory might establish the presence of mercury use, emissions and/or releases are to be analysed. Institutional capacity of governmental institutions and agencies will be assessed to determine the capacity needs and gaps that exist for the implementation of the Convention and interventions to strengthen these institutions and capacities will be proposed. Upon the identification of capacity and/or regulatory gaps (in relation to the Convention's obligations), these will be discussed and reviewed by the project's stakeholders. The results of these discussions will direct the work under Component 2, in particular related to the development of the MIA Report.

The institutional capacity gaps identified and the findings of the legislation and policy review will be used to formulate a number of priority actions, which will be included in the Mercury Initial Assessment Report (MIA Report). Proposed actions will be discussed and agreed upon among the key stakeholders through several rounds of discussions.

Outcome 1.3 Awareness raised on the environment and health impacts of mercury (Hg)

An awareness-raising plan will be developed and subsequently implemented to guide awareness raising activities among decision makers, the general public and population groups at risk on the human health and environmental effects of mercury and mercury compounds.

A stakeholder mapping exercise will be undertaken to identify the various profiles, relationships, concerns and expectations that need to be addressed through the awareness raising programme. This will help determine the type and content of mercury awareness activities to be implemented as part of the projects.

Outcome 1.4 Importance of Hg priority interventions at national level raised through mainstreaming in relevant policies/plans

The mainstreaming exercise will be led and supported by the MCM with the objective to include mercury priorities into national policies and development plans.

The mainstreaming exercise will also include a socio-economic study on the effects of mercury and alternatives in the relevant sectors that are identified in the mercury inventory, which can help inform priority setting for these sectors and support decision making to facilitate the mainstreaming of selected priorities.

Component 2. Development of the National Mercury Inventory and Mercury Initial Assessment Report.

Outcome 2.1 National capacity built to undertake mercury inventories.

National capacity to undertake the Mercury Inventory will be built through training, which will be conducted and facilitated by the project's international consultant. Training will be provided on data collection methodologies, reliability, credibility, data analysis, etc.

Training will be targeted towards a group of national technical experts who will conduct and develop the National Mercury Inventory. Training will also be targeted towards key government representatives and other national project stakeholders who need sufficient knowledge about conducting a Mercury Inventory to be able to review it and comment on it.

Outcome 2.2 National Mercury Inventory.

The National Mercury Inventory will be undertaken in the following categories:

- Stocks of mercury and/or mercury compounds and import and export procedures including an assessment of the storage conditions;
- Occurrence of mercury in local industrial processes and the source of supply of mercury, and its occurrence in waste streams;
- Sectors that may use mercury and the amount per year, including manufacturing processes, ASGM and mercury added products;
- Trade in mercury and mercury containing compounds and will support in identification of:
 - Emission sources of mercury and release sources of mercury to land and water;
 - Old, historical sources of mercury contamination (such as abandoned mining sites)
 - Identification of key sectors, municipalities, communities and other stakeholders affected by or involved with important Mercury sources and/or emissions.

The methodology: National Mercury Inventory will be prepared making use of the UNEP "Toolkit for identification and quantification of mercury releases", which is intended to assist countries to develop a national mercury releases inventory. It provides a standardized methodology and accompanying database enabling the development of consistent national and regional mercury inventories. The UNEP Inventory Level 1 has already been conducted as part of the NIP update project, so the MIA will review the Inventory Level 1 assumptions and include all the relevant sectors which make up the UNEP Inventory Level 2, as well as according to the guidance on how to conduct inventories not captured in the UNEP Toolkit: http://www.undp.org/content/undp/en/home/librarypage/environment-energy/chemicals_management/undp-minamata-initial-assessment-guidance-.html. Throughout the data collection, analysis and preparation of the Mercury Inventory, the national expert team will be guided by an international consultant. At the beginning of the assignment, the methodology and work programme for carrying out the inventory will be submitted to the Project's Steering Committee and agreed upon.

After completion of the data gathering stage, a National Mercury Inventory, including significant sources of emissions and releases, as well as inventories of mercury and mercury compounds, will be prepared for review, approval and adoption by national stakeholders during a validation workshop.

Outcome 2.3 National MIA Report available.

Following the finalization of the project activities as envisaged under component 1 (1.1 – 1.4) as well as completion of the project activities 2.1 and 2.2, the national project team will prepare a National MIA Report. The MIA Report is to be prepared following the UNDP "Minamata Initial Assessment Report –

Suggested Structure and Contents (May 2016)” which can be accessed through: http://www.undp.org/content/undp/en/home/librarypage/environment-energy/chemicals_management/undp-minamata-initial-assessment-guidance-.html

ii. Partnerships:

At the policy level, UNDP intends to closely interact with government counterparts, with the pivotal roles of the Ministry of Energy of the Republic of Kazakhstan for monitoring of the state of the environment in general and in particular for initiation of a legal and policy revisions and developments.

The Ministry of Energy is providing overall coordination and support to the implementation of the Minamata Convention on Mercury at the national level, which includes: Establishment of national targets; Support for detailed mercury inventories; Organization and management of mercury inventories; Coordination with other key state bodies to work towards the phase-out of mercury; Preparation of government regulations and controls for the environmentally safe disposal/management of mercury and mercury wastes; Introduction of temporary and permanent measures to implement the Minamata Convention; Monitoring the state of the environment.

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iii. Stakeholder engagement:

1. The policy dialogue will be facilitated between planners and practitioners who are experts or experienced in waste management issues. At the national level, the project board (PB) is the steering group that provides the forum for participation by multiple actors. An important local stakeholder group is the local governments, which benefit in different ways from improved mercury management practices and use measures. In locations where the functioning of local governments was seriously disrupted in

the early years of independence, alternative or parallel mechanisms of local consultation and decision-making emerged, especially in district levels, such as sub district councils or committees.

The local communities are the key beneficiaries of the new approaches for mercury management. Other project's stakeholders, which will be engaged during implementation cycle is the private sector, including associations of entrepreneurs.

Other local-level stakeholders include interested non-government organizations (NGOs) who are emerging as an important resource in coordinating between communities and between regions. NGOs will be involved in the project implementation in terms of collecting the required important information (e.g. on environmental and health aspects and concerns of mercury releases and accumulation in the environment), provide the effective communication with local vulnerable communities and raise an awareness of the general public and decision makers. They are provides assistance in communities' rights and interests' protection.

The private sector, the National Chamber of Entrepreneurs and other association will be engaged as a non-direct project beneficiaries, which are responsible for the release of mercury and mercury-containing waste production, including but not limited to private medical facilities that use mercury-containing device; service providers involved in waste collection, recovery and recycling; distributors and retailers of mercury and mercury-free consumer goods; Laboratories for testing and certification.

These project's key stakeholders have been committed to making meaningful steps in terms of becoming a party to the Minamata Convention. The assistance towards the stakeholders in terms of the mercury inventory activities and creating capacities have been identified as necessary by the beneficiaries, in order to set grounds for the future implementation of the convention. The stakeholders have been so far engaged in all phases of preparation of the project and are expected to take active roles in the Project Board in order to steer the project implementation parallel to national circumstances related to this thematic area.

iv. Mainstreaming gender

The project provides equal opportunities for men and women by considering all aspects of gender equality, i.e. equal rights during production and distribution of resources. Workload is expected to be distributed in such a way that men will be largely engaged in field works while women will be active in preparation of seminars, training, project events.

Generally, three groups are most vulnerable from the effects of mercury. The unborn child, small children and people who are regularly exposed (chronic exposure) to high levels of mercury (such as populations that rely on subsistence fishing, people who are exposed through their occupations (e.g. mercury mining, ASGM) or those exposed to mercury containing products.

As mercury is passed on from the mother to the child (in utero and during breastfeeding), and fetuses and children are most susceptible to developmental effects from mercury, the MIA will pay particular attention to assessing national capacity to keep such risk groups safe.

Recommendations on how to address gender dimensions related to mercury and priority actions in this area will be also highlighted in the MIA report.

v. South-South and Triangular Cooperation (SSTrC):

This project will be precisely based on the successful experience of projects funded by the GEF on mercury and chemicals management. The project provides greater communication and coordination in sharing experiences, best practices and lessons learned, especially with other mercury projects in countries which are the member parties to the Minamata Convention. It is also expected that upon project completion, countries can meet to share their experiences and to discuss how to implement the recommendations from the MIA reports in the best way.

Feasibility

i. Cost efficiency and effectiveness:

The project strategy presented that will take advantage of the commonalities expressed by the problems in each target regions to develop a multi-regional support strategy that will share the cost of development of framework activities, approaches, and tools that will support capacity building as an integral part of the long term capacity development strategy and by providing the NSC and stakeholders with the tools needed to develop a targeted and collaborative approach to sustainable management of mercury wastes.

The cost-effectiveness of the project will be also increased by ensuring synergies with relevant (on-going and planned) chemicals-related projects being implemented in Kazakhstan such as the following GEF funded projects: “Elimination of POPs Wastes”; “NIP Update, Integration of POPs into National Planning and Promoting Sound Healthcare Waste Management in Kazakhstan”; “Lifecycle Management of Pesticides and Disposal of POPs Pesticides in Central Asian Countries and Turkey”; and “Global Project on the Implementation of PRTRs as a Tool for POPs Reporting, Dissemination and Awareness Raising for Belarus, Cambodia, Ecuador, Kazakhstan, Moldova and Peru.”

ii. Risk Management:

As per standard UNDP requirements, the Project Manager will monitor risks quarterly and report on the status of risks to the UNDP Country Office. The UNDP Country Office will record progress in the UNDP ATLAS risk log. Risks will be reported as critical when the impact and probability are high (i.e. when impact is rated as 5, and when impact is rated as 4 and probability is rated at 3 or higher). Management responses to critical risks will also be reported to the GEF in the annual PIR.

Project risks					
Description	Type	Impact & Probability	Mitigation Measures	Owner	Status
Change of the Government stance towards becoming a Party to the Convention	Political	Medium/U nlikely	The project outputs have been identified, and project activities developed, in close collaboration with RK ME and other government institutions and stakeholders. The project within output 2 will develop the communication plan and		

			<p>address all the importance measures in this respect.</p> <p>As per activities under Output 2 the information on benefits for accession of Minamata Convention will be equally shared and exchanged, ensuring full cooperation of all project stakeholders.</p>		
Poor cooperation between project stakeholders	Institutional	Medium/Medium	The project will clarify the role and responsibility of local government authorities, NGOs, business sector and local communities in ensuring sound mercury management. As per activities under Component 2 the available information will be equally shared and exchanged, ensuring full cooperation of relevant representatives.		
Insufficient available data and its quality	Informational	Medium/Medium	The project will involve national experts for National Mercury Inventory as much as possible to facilitate the collection of accurate information and to establish a high-responsiveness of the project to keep a steady momentum in project implementation with an international consultant providing succinct, specific input where local expertise gaps exist.		

iii. Social and environmental safeguards:

As indicated in the completed Social and Environmental Safeguards Report ([Annex D](#)), the project poses no appreciable social or environmental risks. The overall SESP risk rating is low. Please see the completed report, submitted as an Annex to this Project Document, for more details.

Environmental protection and improvement, and benefits to people's welfare form key operational priorities for UNDP. The UNDP's environmental and social safeguard policies are based on the Sustainable Development Goals.

UNDP has taken social safeguard issues into account for many years as part of its overall environmental assessment of projects. Social issues are now also assessed in their own right, where necessary, as part of an integrated assessment. Internal guidelines are based on internationally accepted good practices, and in developing countries related to the Sustainable Development Goals. They focus on labour standards, occupational and community health and safety (including major communicable diseases),

population movement (including involuntary resettlement issues), minority rights (including indigenous people, women and vulnerable groups), public consultation and participation, and cultural heritage.

Any environmental and social grievances that do emerge will be reported to UNDP and the GEF in the annual Project Implementation Review, with proposed actions to address them.

iv. Sustainability and Scaling Up:

The project design incorporates the following three strategies for ensuring that capacity development will be sustainable over time.

Use multiple “entry points” and involve more incentive based mechanism in water sector to ensure long-term results

The project will work at the systemic, institutional and individual levels of capacity, providing multiple leverage points to further self-sufficiency of the waste management sector, in particular management of mercury wastes. It will use strategies that work at the policy, planning, programme and community implementation levels. It will work at both national and local levels, to stimulate mutually reinforcing “top-down” and “bottom-up” activities. Interventions at the national level will improve the enabling environment for implementing capacity building and increase the knowledge and skills of project beneficiaries, including government and non-government organizations. Interventions at the local level will motivate sub-national government offices and civil society to address pressing waste management issues that have both national and local implications.

Identify and strengthen incentives to use capacity

Recent work by UNDP on Capacity Development Strategy (CDS Note, UNDP August 2012) notes that “capacity does not automatically translate into improved performance and better development results ... [rather] appropriate incentives are needed to put [capacity] in motion towards the desired development destination.” This project will reinforce two kinds of incentives for improved water resource management: (a) Technical/Moral/Economic incentives and (b) practical incentives. Changes to policy and institutional frameworks will reinforce the message that Kazakhstan fulfils its commitment under the SDGs principles. Strengthening of technical capacity at the national and local levels and its practical application in pilot projects will show that addressing a marriage effect of the PFD/CPD and State Programme “Nurly Zhol” - 2015-2019, themes can link to real and practical solutions for enhancing the quality of life issues.

Stimulate local benefits from International best practices

The project will aim to demonstrate to state officials and civil society that internationally recognized best practices that generate self-sufficiency can have local benefits. By sharing the information on best practice of sound mercury management through different awareness raising and training activities, the project can demonstrate this in a more powerful way than by training people about the waste management in general.

v. Economic and/or financial analysis:

Project Results Framework

This project will contribute to the following Sustainable Development Goal (s): SDG 1; SDG 2; SDG 3; SDG 7; SDG 8; SDG 12					
This project will contribute to the following country outcome included in the PFD/Country Programme Document: Outcome 1.3: Ecosystems and natural resources are protected and sustainably used, and human settlements are resilient to natural and manmade disasters and climate change					
This project will be linked to the following output of the UNDP Strategic Plan: Goal No.2. "Sustainable human settlements, and natural resources management"					
	Objective and Outcome Indicators	Baseline	Mid-term Target	End of Project Target	Assumptions
Project Objective: Undertake a Mercury Initial Assessment (MIA) to enable the Government of Kazakhstan to determine the national requirements and needs for the ratification of the Minamata Convention and establish a national foundation to undertake future work towards the implementation of the Convention	Number and quality of initial assessment activities that will contribute to mercury assessment	-No previous Minamata assessment on mercury prepared at national level -Lack of accurate knowledge on mercury sources, releases, and existing contamination situation - The initial mercury assessment (inventory) was conducted	Public and key stakeholder consultations held	National Mercury Inventory for Kazakhstan completed	Government agencies will provide access to priority data and analysis
	Mechanisms introduced to support accession of the Minamata Convention on Mercury	-Lack of information on Minamata Convention's provisions and requirements -Limited preparedness to access the Convention and implement its provisions -The draft National Action Plan for the reduction of mercury developed	The National Mercury Coordination/Consultation Mechanism (MCM) established	MCM meetings held	Government and non-governmental project partners will be actively engaged in the project implementation process
Component/Outcome 1 Enabling environment	Number of consultation/coordination mechanisms established and	Zero (0) National Mercury Coordination/Consultation Mechanisms existing	One (1) National Mercury Coordination/Cons	At least two (2) meetings held during the	Government agencies has a basic knowledge of mercury issue's importance and

for decision-making on ratification of the Minamata Convention established	number of operational meetings held		ultation Mechanism (MCM) established	duration of the project	aware on opportunities, following country's accession to Minamata Convention
	Number of assessment reports developed	Zero (0) existing assessments of the policy and regulatory framework and institutional capacity needs for addressing mercury-related issues.	Draft of assessment report prepared on the existing and required policy and regulatory framework as well as institutional capacity to implement the Convention (incl. overview of existing barriers).	Assessment report submitted to the Government	
	Number of awareness raising activities conducted	Zero (0) activities related to awareness of the environmental and health impacts of mercury among decision-makers and vulnerable groups conducted	At least one (1) Hg awareness raising activity conducted targeting decision makers and population groups at risk	At least two (2) Hg awareness raising activity conducted targeting decision makers and population groups at risk	
Component/ Outcome 2 National Mercury Inventory and Minamata Initial Assessment (MIA)	Number of capacity building and training activities conducted to commence the mercury inventory	Zero (0) capacity building or training activities conducted to date with regard to mercury issues and/or inventories	At least one (1) capacity building and training events conducted to commence the Mercury Inventory	At least two (2) capacity building and training events conducted to commence the Mercury Inventory	Government and non-governmental project partners will be actively engaged in the project
	Number of mercury	The one (1) initial	Workplan for	One (1) Mercury	Government agencies will

Report	Inventories conducted	mercury assessment (inventory) was conducted applying the UNEP Level 1 "Toolkit for Identification and Quantification of Mercury Releases	mercury inventory with list of stakeholders agreed with implementing partner	Inventory conducted and sector description by usage of mercury developed	provide access to priority data and analysis.
	Number of national MIA Reports prepared	The one (1) draft National Action Plan for the reduction of mercury (National Implementation Plan/implementation of identified priorities) developed	Draft outline of National MIA Report developed and agreed with implementing partner	One (1) National MIA Report prepared for the ratification and implementation of the Convention prepared	There is a political will in the Government to join the Minamata Convention and take commitments
Component/ Outcome 4 Knowledge Management and M&E	M&E activities conducted as planned	UNDP CO has significant experience and capacity to ensure the quality monitoring and evaluation of project's activity in accordance with GEF requirements and UNDP procedures	One (1) Inception report, Quarterly status/ annual progress report	Quarterly status/ 2 annual progress reports, Project Terminal Report	
	Project Board meetings held at least once a year	ME RK as an Implementing Agency has substantial experience and capacity to execute UNDP/GEF projects	One (1) project board meeting held	At least two (2) Project Board meetings held	

Monitoring and Evaluation (M&E) Plan

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

Project start:

A Project Inception Workshop will be held within the first 2 months of project start with those with assigned roles in the project organization structure, UNDP country office and where appropriate/feasible regional technical policy and programme advisors as well as other stakeholders. The Inception Workshop is crucial to building ownership for the project results and to plan the first year annual work plan.

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

- a) Assist all partners to fully understand and take ownership of the project. Detail the roles, support services and complementary responsibilities of UNDP CO and RCU staff vis à vis the project team. Discuss the roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms. The Terms of Reference for project staff will be discussed again as needed.
- b) Based on the project results framework and the relevant GEF Tracking Tool if appropriate, finalize the first annual work plan. Review and agree on the indicators, targets and their means of verification, and recheck assumptions and risks.
- c) Provide a detailed overview of reporting, monitoring and evaluation (M&E) requirements. The Monitoring and Evaluation work plan and budget should be agreed and scheduled.
- d) Discuss financial reporting procedures and obligations, and arrangements for annual audit.
- e) Plan and schedule Project Board meetings. Roles and responsibilities of all project organisation structures should be clarified and meetings planned. The first Project Board meeting should be held within the first 12 months following the inception workshop.

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

Quarterly:

- Progress made shall be monitored in the UNDP Enhanced Results Based Management Platform.
- Based on the initial risk analysis submitted, the risk log shall be regularly updated in ATLAS. Risks become critical when the impact and probability are high. Note that for UNDP-GEF projects, all financial risks associated with financial instruments such as revolving funds, microfinance schemes, or capitalization of ESCOs are automatically classified as critical on the basis of their innovative nature (high impact and uncertainty due to no previous experience justifies classification as critical).
- Based on the information recorded in Atlas, a Project Progress Reports (PPR) can be generated in the Executive Snapshot.
- Other ATLAS logs can be used to monitor issues, lessons learned etc... The use of these functions is a key indicator in the UNDP Executive Balanced Scorecard.

Bi-annual progress:

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

Periodic Monitoring:

A detailed schedule of project reviews meetings will be developed by the project management, in consultation with project implementation partners and stakeholder representatives and incorporated in the Project Inception Report. Such a schedule will include: (i) tentative time frames for Steering Committee Meetings, (or relevant advisory and/or coordination mechanisms) and (ii) project related Monitoring and Evaluation activities.

Day to day monitoring of implementation progress will be the responsibility of the Project Coordinator, Director or CTA (depending on the established project structure) based on the project's Annual Work plan and its indicators. The Project Team will inform the UNDP-CO of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely and remedial fashion.

Periodic monitoring of implementation progress will be undertaken by the UNDP-CO through quarterly meetings with the project proponent, or more frequently as deemed necessary. This will allow parties to take stock and to troubleshoot any problems pertaining to the project in a timely fashion to ensure smooth implementation of project activities.

End of Project:

During the last three months, the project team will prepare the Project Terminal Report. This comprehensive report will summarize the results achieved (objectives, outcomes, outputs), lessons learned, problems met and areas where results may not have been achieved. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project's results.

Audit clause:

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

Learning and knowledge sharing:

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

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

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

Communications and visibility requirements:

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

alongside the GEF logo. The GEF logo can be accessed at: http://www.thegef.org/gef/GEF_logo. The UNDP logo can be accessed at <http://intra.undp.org/coa/branding.shtml>.

Full compliance is also required with the GEF’s Communication and Visibility Guidelines (the “GEF Guidelines”). The GEF Guidelines can be accessed at:

[http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08 Branding the GEF%20final_0.pdf](http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08_Branding_the_GEF%20final_0.pdf)

. Amongst other things, the GEF Guidelines describe when and how the GEF logo needs to be used in project publications, vehicles, supplies and other project equipment. The GEF Guidelines also describe other GEF promotional requirements regarding press releases, press conferences, press visits, visits by Government officials, productions and other promotional items.

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

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

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget ⁵ (US\$)	Time frame
		GEF grant	
Inception Workshop	UNDP Country Office	Indicative cost: 5,000	Within two months of project document signature
Inception Report	Project Manager	None	Within two weeks of inception workshop
Standard UNDP monitoring and reporting requirements as outlined in the UNDP POPP	UNDP Country Office	None	Quarterly, annually
Monitoring of indicators in project results framework	Project Manager	None	Annually
GEF Project Implementation Report (PIR)	Project Manager and UNDP Country Office and UNDP-GEF team	None	Not applicable to EA projects
Audit as per UNDP audit policies	UNDP Country Office	Indicative cost: 5,000	Once during project lifespan
Lessons learned and knowledge generation	Project Manager	None	Annually
Monitoring of environmental and social risks, and corresponding management plans as relevant	Project Manager UNDP CO	None	On-going
Addressing environmental and social grievances	Project Manager	None for time of project manager, and UNDP CO	

⁵ Excluding project team staff time and UNDP staff time and travel expenses.

GEF M&E requirements	Primary responsibility	Indicative costs to be charged to the Project Budget ⁵ (US\$)	Time frame
		GEF grant	
	UNDP Country Office BPPS as needed		
Project Board meetings	Project Board UNDP Country Office Project Manager	None	At minimum annually
Supervision missions	UNDP Country Office	None ⁶	Annually
Oversight missions	UNDP-GEF team	None ⁶	Troubleshooting as needed
Knowledge management as outlined in Outcome 3	Project Manager	1% of GEF grant	Not applicable to EA projects
GEF Secretariat learning missions/site visits	UNDP Country Office and Project Manager and UNDP-GEF team	None	To be determined.
Mid-term GEF Tracking Tool to be updated by (add name of national/regional institute if relevant)	Project Manager		Not applicable to EA projects
Independent Mid-term Review (MTR) and management response	UNDP Country Office and Project team and UNDP-GEF team		Not applicable to EA projects
Terminal GEF Tracking Tool to be updated by (add name of national/regional institute if relevant)	Project Manager		Not applicable to EA projects
Independent Terminal Evaluation (TE) included in UNDP evaluation plan, and management response	UNDP Country Office and Project team and UNDP-GEF team		Not applicable to EA projects
Translation of MTR and TE reports into English	UNDP Country Office	None	
TOTAL indicative COST Excluding project team staff time, and UNDP staff and travel expenses		10,000	

⁶ The costs of UNDP Country Office and UNDP-GEF Unit's participation and time are charged to the GEF Agency Fee.

Governance and Management Arrangements

National Implementation Modality (NIM): The project will be nationally executed (NIM)⁷ by the Ministry of Energy, who will act both as the Implementing Partner and the Beneficiary of the project. Implementation support will be provided by the UNDP Country Office. In its capacity of Executing Entity, the Ministry of Energy will be responsible for overall project management. It will appoint a National Project Director -a high-level government official -, who will be primarily responsible for overall implementation of the Project. This responsibility includes representing and supporting project objectives at high decision making levels within the Government of Kazakhstan. Within the framework of its authority, the national project director will provide support for the facilitation of all project activities such as international consultant missions, trainings for respective staff, ensuring appropriate access to project sites, relevant data, records, agencies and authorities.

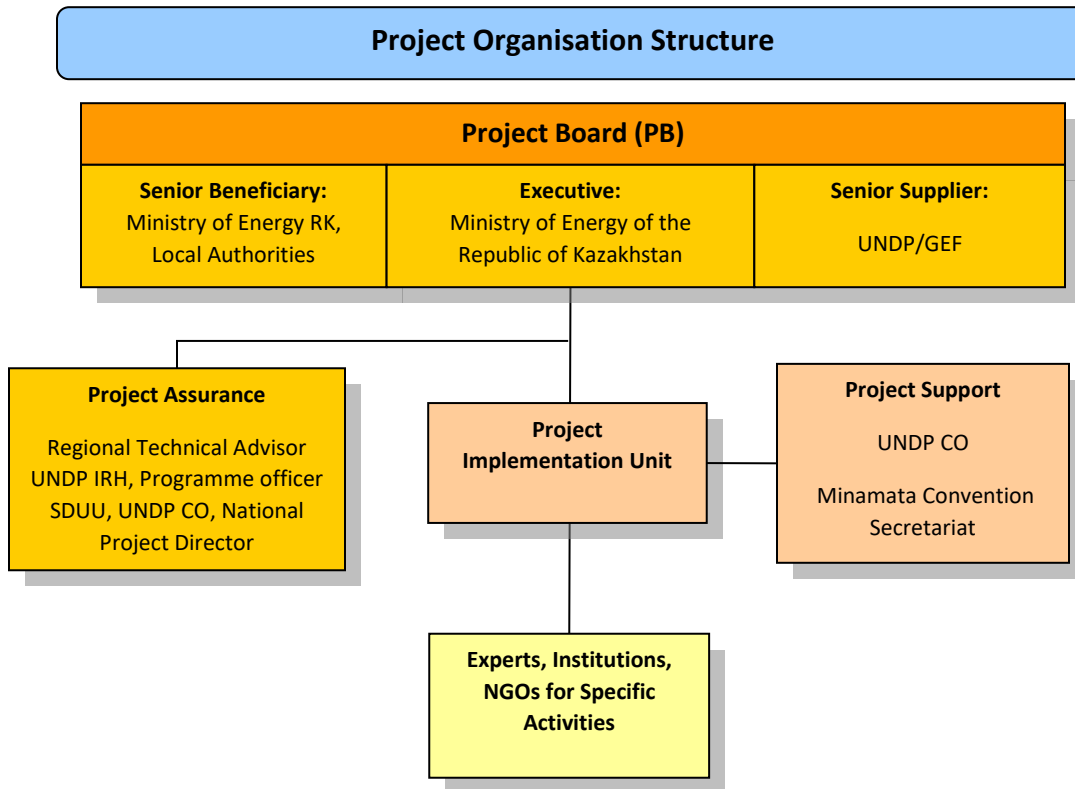
The project will be implemented in close coordination and collaboration with all relevant government institutions, local communities, CSO and NGOs, as well as with other related relevant projects in the region. The UNDP will be an active partner in the project's implementation. It will support implementation by maintaining the project budget and project expenditures, contracting project personnel, experts and subcontractors, undertaking procurement, and providing other assistance upon request of the National Executing Agency. The UNDP will also monitor the project's implementation and achievement of the project outcomes and outputs, and will ensure the proper use of UNDP/donor 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 new rules for Results Based Management and will be composed of: (i) Project Executive Group – Project Board; (ii) Project Management; (iii) Project Assurance; and (iv) Project Support.

Roles and responsibilities of the project's governance mechanism: The project will be implemented following UNDP's national implementation modality, according to the Standard Basic Assistance Agreement between UNDP and the Government of Republic of Kazakhstan, and the Country Programme.

⁷ In line with standing UNDP policies, the project will be nationally executed by the Government (referred to as 'national implementation' in UNDP terminology). The Government has key control functions related to all aspects of project leadership, management and implementation (e.g. provides the National Project Director, heads and manages the Steering Committee/Project Board, considers and approves key milestones within its jurisdiction – such as annual work plans, budgets, management responses to mid-term and final evaluations, participates in monitoring, etc., as further described in the Management Arrangements). At the same time, under the National Implementation Modality, UNDP can render direct project services on request of Governments. The Government of Kazakhstan has requested such services from UNDP since the national legislation does not allow for direct project execution of international technical assistance by Government entities.

The project organisation structure is as follows:



The **Implementing Partner** for this project is the **Ministry of Energy of the Republic of Kazakhstan**. The Implementing Partner is responsible and accountable for managing this project, including the monitoring and evaluation of project interventions, achieving project outcomes, and for the effective use of UNDP resources. A senior representative of the Ministry of Energy will be named as the National Project Director on behalf of the Implementing Partner and the government of the Republic of Kazakhstan.

The **Project Board (PB)** is responsible for making by consensus, management decisions when guidance is required by the Project Manager, including recommendation for UNDP/Implementing Partner approval of project plans and revisions. In order to ensure UNDP’s ultimate accountability, Project Board decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. The PB will consist of main project stakeholders and will; (a) review and approve work plans, (b) assess progress against M&E targets as indicated in the Project Results Framework, (c) review interim and final reports, (d) assess any gaps or weaknesses and make appropriate adaptive management decisions based on progress and achievements, (e) ensure that required resources are committed, and (f) arbitrate on any conflicts within the project and negotiate solutions to any problems with external bodies. PB

decisions should be made in accordance and in conformity with GEF and UNDP rules and procedures and with standards that shall ensure best value in terms of money, fairness, integrity transparency and effective international competition. The Project Board will also closely oversee and take account of results from monitoring and evaluation efforts.

There will be not less than three PB members. The Project Board will be chaired by a representative of Ministry of Energy. The Project Board will also include at least one senior official of the Ministry of Healthcare, Ministry of Investments and Development, Ministry of Finance, Ministry of National Economy.

The PB will meet at least once a year to ensure that project implementation is going as planned and resolve any foreseeable challenges.

Functions of the Project Board	Representation
Executive: individual representing the project ownership to chair the group.	RK ME, Director of Waste Management Department will convene the Project Board’s meetings
Senior Supplier: individual or group representing the interests of the parties concerned, which provide funding for specific cost sharing projects and/or technical expertise to the project. The Senior Supplier’s primary function within the Board is to provide guidance regarding the technical feasibility of the project.	UNDP DRR
Senior Beneficiary: individual or group of individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary’s primary function within the Board is to ensure the realization of project results from the perspective of project beneficiaries.	Government of Kazakhstan at the national (ministries) and local (oblast authorities) levels

Project Assurance. UNDP will designate a Regional Technical Advisor (RTA) IRH and programme officer to provide independent project oversight and monitoring functions, to ensure that project activities are managed and milestones are accomplished. The UNDP programme officer will be responsible for reviewing Risk, Issues and Lessons Learned logs, and ensuring compliance with the Monitoring and Communications Plan. The PB Representative or designated focal person will also play an important project assurance role by supporting the annual APR process.

Project Support. UNDP will provide financial and administrative support to the project including procurement, contracting, travel and payments.

The **Project Manager** will run the project on a day-to-day basis on behalf of the Implementing Partner within the constraints laid down by the Board. The Project Manager function will end when the final project terminal evaluation report, and other documentation required by the GEF and UNDP, has been completed and submitted to UNDP (including operational closure of the project). A full-time **Project Assistant** will provide support to the Project Manager in all tasks of the project, including

administration, management of information and contacts, logistics, representing the project when the Project Manager is unavailable, and so on. For Project Assistant, the amount payable will only be charged to Project Manager, since the incumbent will not perform any technical role in the project.

The daily project administration will be performed by the national project manager (PM). PM will be technically supported by contracted national and international service providers. Recruitment of support specialists and procurement of any equipment and materials for the project implementation will be carried out in accordance with relevant rules and procedures for recruitment and procurement.

Agreement on intellectual property rights and use of logo on the project's deliverables and disclosure of information: In order to accord proper acknowledgement to the GEF for providing grant funding, the GEF logo will appear together with the UNDP logo on all promotional materials, other written materials like publications developed by the project, and project hardware. Any citation on publications regarding projects funded by the GEF will also accord proper acknowledgement to the GEF. Information will be disclosed in accordance with relevant policies notably the UNDP Disclosure Policy⁸ and the GEF policy on public involvement⁹.

Project management:

The project office will be in Astana, in the headquarters of the United Nations in Kazakhstan, under an arrangement essentially identical to that of the existing UNDP project, funded by GEF, on energy-efficient lighting. It is expected that the project office will be staffed full-time by the Project Manager, Project Assistant, and two team leaders as described above. There will be no other project office, but project staff will travel regularly to maintain a regular presence in other cities, especially Almaty. Consultants and national partners will also help to maintain the project's presence outside of Astana.

Project operations will be supported, as also noted above, by financial, logistical, and procurement-related support staff employed by the UNDP Country Office. These support services will be shared by this project and other UNDP projects.

The UNDP CO will provide the following operational support services to the Project and charge according to the Universal Price List from the direct project costs (DPC):

- HR activities including recruitment of project personnel, issuance of project personnel contracts and etc;
- Undertake procurement activities of project goods and services;
- Finance transactions and administrative and logistical support.

The PIU, following UN procedures on projects implementation, will identify national experts and consultants, and international consultant as appropriate to undertake technical work. The national and international companies may also be involved in project implementation. These consultants and companies will be hired under standard prevailing UN procedures. Consultants and experts will be part of the PIU.

⁸ See http://www.undp.org/content/undp/en/home/operations/transparency/information_disclosurepolicy/

⁹ See https://www.thegef.org/gef/policies_guidelines

Financial Planning and Management

The total cost of the project is USD 400,000. This is financed through a GEF of USD 400,000 to be administered by UNDP. UNDP, as the GEF Implementing Agency, is responsible for the execution of the GEF resources

Budget Revision and Tolerance: As per UNDP requirements outlined in the UNDP POPP, the project board will agree on a budget tolerance level for each plan under the overall annual work plan allowing the project manager to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the Project Board. Should the following deviations occur, the Project Manager and UNDP Country Office will seek the approval of the UNDP-GEF team as these are considered major amendments by the GEF:

- a) Budget re-allocations among components in the project with amounts involving 10% of the total project grant or more;
- b) Introduction of new budget items/or components that exceed 5% of original GEF allocation.

Any over expenditure incurred beyond the available GEF grant amount will be absorbed by non-GEF resources (e.g. UNDP TRAC or cash co-financing).

Refund to Donor: Should a refund of unspent funds to the GEF be necessary, this will be managed directly by the UNDP-GEF Unit in New York.

Project Closure: Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP. On an exceptional basis only, a no-cost extension beyond the initial duration of the project will be sought from in-country UNDP colleagues and then the UNDP-GEF Executive Coordinator.

Operational completion: The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Terminal Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-project review Project Board meeting. The Implementing Partner through a Project Board decision will notify the UNDP Country Office when operational closure has been completed. At this time, the relevant parties will have already agreed and confirmed in writing on the arrangements for the disposal of any equipment that is still the property of UNDP.

Financial completion: The project will be financially closed when the following conditions have been met:

- a) The project is operationally completed or has been cancelled;
- b) The Implementing Partner has reported all financial transactions to UNDP;
- c) UNDP has closed the accounts for the project;
- d) UNDP and the Implementing Partner have certified a final Combined Delivery Report (which serves as final budget revision).

The project will be financially completed within 12 months of operational closure or after the date of cancellation. Between operational and financial closure, the implementing partner will identify and settle all financial obligations and prepare a final expenditure report. The UNDP Country Office will send the final signed closure documents including confirmation of final cumulative expenditure and unspent balance to the UNDP-GEF Unit for confirmation before the project will be financially closed in Atlas by the UNDP Country Office.

Total Budget and Work Plan

Total Budget and Work Plan			
Atlas Proposal or Award ID:	00102216	Atlas Primary Output Project ID:	00104349
Atlas Proposal or Award Title:	Minamata Convention enabling activity		
Atlas Business Unit	KAZ10		
Atlas Primary Output Project Title	Minamata Initial Assessment for Kazakhstan		
UNDP-GEF PIMS No.	6048		
Implementing Partner	RK Ministry of Energy		

GEF Component /Atlas Activity	Responsible Party/Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount 2017 (USD)	Amount 2018 (USD)	Amount 2019 (USD) (Jan.-May)	Total (USD)	See Budget Note:
						(June.-Dec.)				
OUTCOME 1: Enabling environment for decision-making on ratification of the Minamata Convention established	ME RK	62000	GEF TF	71300	Local Consultants	15 000,00	19 000,00	8 000,00	42 000,00	1.
				71400	Service contracts	7 788,00	15 576,00	10 384,00	33 748,00	2.
				75700	Training, workshops and Conferences	4 302,00	6 500,00	6 900,00	17 702,00	3.
				74200	Audio Visual & Print and Production Costs	500,00	4 100,00	2 500,00	7 100,00	4.
				71600	Travel	3 000,00	5 400,00	3 000,00	11 400,00	5.
				74500	Miscellaneous	890,00	1 200,00	960,00	3 050,00	6.
					Total Outcome 1	31 480,00	51 776,00	31 744,00	115 000,00	
OUTCOME 2: National Mercury Inventory and Minamata Initial	ME RK	62000	GEF TF	71200	International Consultants	0	5000	2000	7 000,00	7.
				71300	Local Consultants	12 000,00	25 000,00	11 000,00	48 000,00	8.
				71400	Service contracts	10 384,00	15 576,00	2 596,00	28 556,00	9.

Assessment (MIA) Report				75700	Training, workshops and Conferences	5 700,00	31 000,00	14 200,00	50 900,00	10.
				74200	Audio Visual & Print and Production Costs	1 700,00	1 200,00	2 200,00	5 100,00	11.
				71600	Travel	2 600,00	23 000,00	20 490,00	46 090,00	12.
				72100	Contractual services	7 000,00	35 000,00	20 000,00	62 000,00	13.
				74500	Miscellaneous	400,00	1 148,00	806,00	2 354,00	14.
					Total Outcome 2	39 784,00	136 924,00	73 292,00	250 000,00	
Project management	ME RK / UNDP	62000	GEF TF	75700	Training, workshops and Conferences	5 000,00	0,00	7 000,00	12 000,00	15.
				71400	Service contracts	3 920,00	6 720,00	2 800,00	13 440,00	16.
				71600	Travel	1 300,00	1 600,00	1 300,00	4 200,00	17.
				71500	Miscellaneous	1 000,00	1 360,00	1 000,00	3 360,00	18.
				74596	Services to Projects – GOE for CO	500,00	1 000,00	500,00	2000,00	19.
					Total Project Management	11 720,00	10 680,00	12 600,00	35 000,00	
PROJECT TOTAL						82 984,00	199 380,00	117 636,00	400 000,00	

Summary of Funds: ¹⁰

	Amount 2017 (USD) (June.-Dec.)	Amount 2018 (USD)	Amount 2019 (USD) (Jan.- May)	Total (USD)
GEF TF	82 984,00	199 380,00	117 636,00	400 000,00

¹⁰ Summary table should include all financing of all kinds: GEF financing, cofinancing, cash, in-kind, etc...

Budget notes:

#	Description
1	The position of Local Experts will be covered: Environmental Legal expert 1000 USD/month for 24 month; National experts on data collection and coordination of the establishment of the national coordinating mechanism and enabling environment for decision making 1000 USD/month for 24 month; Consultants for implementation of raising awareness activities 1000 USD/month for 7 month; Capacity building expert 1000 USD/month for 7 month.
2	The position of the Project Manager will be covered.
3	There will be held at least one (as in prodoc) meetings of Mercury Coordination/Consultation Mechanism and different types of PR activity according to the awareness raising plan to be developed.
4	Publication of project materials for the seminars and workshops. Printing costs for the dissemination of materials to be distributed for public information activities.
5	Travel costs related to project activities within the Outcome 1.
6	Other miscellaneous expenses, security and etc.
7	International Consultant will be hired to provide analysis, assessment and recommendations on mercury inventory conduction, as well as preparation of materials and participation in trainings. Travel costs to be included.
8	National experts on data collection, organization and analysis for the MIA 1000 USD/month for 24 month; Consultants for implementation of raising awareness activities 1000 USD/month for 7 month; Capacity building expert 1000 USD/month for 7 month
9	The position of the Project Manager will be covered.
10	Conduction of the events within the Outcome 2.
11	Publication of project materials for the seminars and workshops. Printing costs for the dissemination of materials to be distributed for public information activities.
12	Travel costs related to project activities within the Outcome 2.
13	Contractual costs for mercury inventory. Travel costs of sub-contractor to be included.
14	Other miscellaneous expenses, security and etc.
15	Organization of the Inception workshop
16	The position of the Project Assistant will be covered
17	Travel costs related to project activities
18	Other miscellaneous expenses, security, bank coms and etc.

19

Direct Project Costs (DPC)

Legal Context

This document together with the CPAP signed by the Government and UNDP which is incorporated by reference constitute together a Project Document as referred to in the SBAA [or other appropriate governing agreement] and all CPAP provisions apply to this document.

Consistent with the Article III of the Standard Basic Assistance Agreement, 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.

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.

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 this agreement.

The implementing partner agrees to undertake all reasonable efforts to ensure that none of the 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/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

Annex A. Multi Year Work Plan:

Task	Implementing partner/Responsible Party	Year 1				Year 2			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Activity 1. Establish an enabling environment for decision-making on the ratification of Minamata Convention	RK ME/UNDP								
1.1. Establishing a national decision making structure on mercury	RK ME/UNDP								
1.2. Conducting the assessment of policy and regulatory framework and institutional capacity needs in regard to the implementation of the Convention's provisions	RK ME/UNDP								
1.3. Raising awareness on environmental and health impacts of mercury	RK ME/UNDP								
1.4. Mainstreaming Hg priorities into national policies/plans	RK ME/UNDP								
Activity 2. Development of National Mercury Profile and Mercury Initial Assessment Report	RK ME/UNDP								
2.1. Building national capacity to undertake the Mercury Inventory	RK ME/UNDP								
2.2. Conducting the Mercury Inventory	RK ME/UNDP								
2.3. Preparing the National MIA Report	RK ME/UNDP								
Activity 3. Project management and M&E activities	RK ME/UNDP								

Annex B. Monitoring Plan: The Project Manager will collect results data according to the following monitoring plan.

Monitoring	Indicators	Description	Data source/Collection Methods	Frequency	Responsible for data collection	Means of verification	Assumptions and Risks
<p>Project objective Undertake a Mercury Initial Assessment (MIA) to enable the Government of Kazakhstan to determine the</p>	<p>Indicator 1 Number and quality of initial assessment activities that will contribute to mercury assessment</p>	<p>Assessment of national legislation, policy and regulatory framework made by national experts.</p>	<p>Project implementation and technical reports/Secondary data collection</p>	<p>Annually Reported in DO tab of the GEF PIR</p>	<p>PIU</p>	<p>Experts reports</p>	<p>Risk: Change of the Government stance towards Convention accession Assumption: Government</p>

national requirements and needs for the ratification of the Minamata Convention and establish a national foundation to undertake future work towards the implementation of the Convention	Indicator 2 Mechanisms introduced to support accession of the Minamata Convention on Mercury	The national decision making structure on MCM established in line with national capacities, existing structures and practices.	Project implementation and technical reports / Secondary data collection	Annually Reported in DO tab of the GEF PIR	PIU	Protocols	agencies will provide access to priority data and analysis Assumption: Government and non-governmental project partners will be actively engaged in the project implementation process
Project Outcome 1 Enabling environment for decision-making on ratification of the Minamata Convention established	Indicator 1.1. Number of consultation/coordination mechanisms established and number of operational meetings held	Establishment of a National Mercury Coordination/Consultation Mechanism (MCM) and its meetings	Project implementation and technical reports / Secondary data collection	Annually Reported in DO tab of the GEF PIR	PIU/RK ME	agendas/reports Media coverage Protocol	Risk: Change of the Government stance towards Convention accession Government agencies has a basic knowledge of mercury issue's importance and aware on opportunities, following country's accession to
	Indicator 1.2 Number of assessment reports developed	Assessments of policy, legislative and institutional frameworks of chemicals management system; capacity	Project implementation and technical reports / Secondary data collection	Annually Reported in DO tab of the GEF PIR	PIU		

		building gaps					Minamata Convention
	Indicator 1.3 Number of awareness raising activities conducted	No. of awareness raising activities among decision makers, the general public and population groups at risk on the human health and environmental effects of mercury and mercury compounds	Project implementation and technical reports/ Secondary data collection	Reported in DO tab of the GEF PIR	PIU	agendas/reports Media coverage List of participants	
Project Outcome 2 National Mercury Inventory and Minamata Initial Assessment (MIA) Report	Indicator 2.1 Number of capacity building and training activities conducted to commence the mercury inventory	Training on data collection methodologies, reliability, credibility, data analysis, etc. for the group of national technical experts and key government representatives and other national project stakeholders who need sufficient knowledge about	Project implementation and technical reports / Secondary data collection	Annually Reported in DO tab of the GEF PIR	PIU	agendas/reports Media coverage List of participants Training materials	Assumption: Government agencies will provide access to data and analysis Government and non-governmental project partners will be actively engaged in the project

		conducting a Mercury Inventory.					
	Indicator 2.2 Number of mercury Inventories conducted	The mercury inventory, accompanied by database conducted as per a standardized methodology.	Project implementation and technical reports / Secondary data collection	Reported in DO tab of the GEF PIR	PIU	Database agreed as per PB meeting protocol	
	Indicator 2.3 Number of national MIA Reports prepared	National MIA Report prepared according to the UNDP “Minamata Initial Assessment Report – Suggested Structure and Contents (May 2016)”	Project implementation and technical reports / Secondary data collection	Annually Reported in DO tab of the GEF PIR	PIU	MIA reports agreed as per PB meeting protocol	
Mid-term GEF Tracking Tool (if FSP project only)	N/A	N/A	Standard GEF Tracking Tool available at www.thegef.org Baseline GEF Tracking Tool included in Annex.	After 2 nd PIR submitted to GEF		Completed GEF Tracking Tool	

Terminal GEF Tracking Tool	N/A	N/A	Standard GEF Tracking Tool available at www.thegef.org Baseline GEF Tracking Tool included in Annex.	After final PIR submitted to GEF		Completed GEF Tracking Tool	
Mid-term Review (if FSP project only)	N/A	N/A	To be outlined in MTR inception report	Submitted to GEF same year as 3 rd PIR	<i>Independent evaluator</i>	Completed MTR	
Environmental and Social risks and management plans, as relevant.	N/A	N/A	Updated SESP and management plans	Annually	Project Manager UNDP CO	Updated SESP	
HACT	The objective of the audit is to provide UNDP with assurance as to whether the donor resources allocated to the project are being properly used.		Project documents.	Once the threshold exceeds 600,000 USD of annual expenditures Or 2. In case	Project Manager UNDP CO	HACT The audit reports with the recommendations for the improvement of the project operations when the observations	The objective of the audit is to provide UNDP with assurance as to whether the donor resources allocated to the project are being properly used.

				the project expenditures reach 300,000 USD over the project lifecycle		are made	
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Annex C Terms of Reference

Position Titles	\$/ Person month	Estimated Person month	Tasks to be Performed
For EA Management			
Local (from management budget)			
Project Manager (based in Astana) (SC)	2596	24	<p>The Project Manager (PM), will be a locally recruited national selected based on an open competitive process. S/he will be responsible for the overall management of the project, including the mobilization of all project inputs, supervision over project staff, consultants and sub-contractors. The PM will be tasked with the day-to-day management of project activities, as well as with financial and administrative reporting. The PM’s prime responsibility is to ensure that the project produces the planned outputs and achieves the planned indicators and indicator targets by undertaking necessary activities specified in the project document to the required standard of quality and within the specified constraints of time and cost. This will require linking the indicators to the work plan to ensure Results-Based Management.</p> <p>The PM will report to the UNDP-Kazakhstan Programme Officer (or other duly designated UN officer) for all of the project’s substantive and administrative issues. The PM will report on a quarterly basis to the Project Board (PB). The PM will be responsible for meeting government obligations under the project and will perform a liaison role with the Government, UNDP and other UN Agencies, NGOs and other project partners.</p> <p><u>Duties and Responsibilities</u></p> <ul style="list-style-type: none"> • Supervise and coordinate the production of project outputs, as per the project

			<p>document;</p> <ul style="list-style-type: none"> • Liaise with UNDP, CFH and other relevant government agencies, and all project partners, including donor organizations and NGOs for effective coordination of all project activities; • Ensure the timely and effective implementation of all components of the project; • Ensure a results-based approach to project management – this means the PM must understand the project’s results framework indicators and respective indicator targets and verify these at project inception together with UNDP and any additional expertise. These indicators must then be linked on a daily basis to the project’s work, NOT simply reported on once a year for the PIR Process. • Mobilize all project inputs in accordance with UNDP procedures for nationally executed projects; • Coordinate the recruitment and selection of project personnel; • Coordinate and supervise the work of all consultants and sub-contractors, ensuring the timely delivery of expected outputs, and effective synergy among the various sub-contracted activities; • Prepare Annual Work plans in advance of each successive year and submit them to the Project Executive Group for approval. • Prepare financial reports, as required by Project Director and UNDP; • Work with UNDP to complete the annual project implementation review (PIR) reporting exercise. • Facilitate administrative backstopping to subcontractors and training activities supported by the Project; • Oversee and ensure timely submission of all project reports, including technical reports, quarterly financial reports, and other reports as may be required by UNDP, GEF, and other oversight agencies; • Disseminate project reports and respond to queries from concerned
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			<p>stakeholders;</p> <ul style="list-style-type: none"> • Report progress of project to the Project Board, and ensure the fulfilment of Project Board directives. • Carry out regular inspections of all project sites and activities. <p><u>Qualifications</u></p> <ul style="list-style-type: none"> • Proven management expertise – must be able to fluidly handle the political, technical, and people management challenges that will face the PM daily. This is first and foremost the most important qualification. • A university degree (MS or PhD) in Management or Environmental Sciences; • At least 10 years of experience in natural resource management or project/programme management; • At least 5 years of project/programme management experience; • Working experience with ministries, national institutions, local government, research institutes in Kazakhstan; • Ability to effectively coordinate a large, multi-stakeholder project; • Ability to administer budgets, train and work effectively with counterpart staff at all levels and with all groups involved in the project; • Strong drafting, presentation and reporting skills; • Strong computer skills, mastery of all applications of the MS Office package and internet search; • Strong knowledge of PA management issues in Kazakhstan, including the political, institutional and socio-economic contexts; • Working knowledge of English.
Projects administrative and finance assistant (Based in Astana) (SC)	560	24	<p>The Project Administrative and Finance Assistant (AFA), will be a locally recruited national selected based on an open competitive process. S/he will report to Project Manager (PM) and assist the PM in the coordination of the UNDP-GEF project. S/he will have two roles: as an Administrative Assistant and as an Accountant.</p> <p>As an Administrative Administrator, s/he will:</p>

			<ul style="list-style-type: none"> • Assistance in the operational management of the project according to the project document and the NEX procedures. • Undertake all preparation work for procurement of office equipment, stationeries and support facilities as required; • Provide support in preparing project events, including workshops, meetings (monthly, quarterly and annual), study tours, trainings, etc., as required. • Take care of project telephone, fax, and email system; • Assist with preparation of TORs and contracts for consultants for project activities. <p>As a Project Accountant, s/he will:</p> <ul style="list-style-type: none"> • Prepare quarterly advance requests to get advance funds from UNDP in the format applicable. • Assist the PM and NPD in project budget monitoring and project budget revision. • Set up accounting system, including reporting forms and filling system for the project, in accordance with the project document and the NEX procedures; • Maintain petty cash transactions. This includes writing of receipts, preparation of payment request form, receipt and disbursement of cash and clearance of advances; • Prepare cheques and withdraw money from the bank; • Prepare project financial reports and submit to PM and NPD for clearance and furnish to UNDP as required; • Enter financial transactions into the computerised accounting system;
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			<ul style="list-style-type: none"> • Reconcile all balance sheet accounts and keep a file of all completed reconciliation; • Check and ensure that all expenditures of projects are in accordance with NEX procedures. This includes ensuring receipts to be obtained for all payments; • Check budget lines to ensure that all transactions are booked to the correct budget lines; • Ensure documentation relating to payments are duly approved by the NPD; • Bring any actual or potential problems to the attention of the NPD; • Follow up bank transfers. This includes preparing the bank transfer requests, submitting them to the bank and keeping track of the transfers; • Ensure Petty Cash to be reviewed and updated ensuring that there is up-to-date records; • To continuously improve system & procedures to enhance internal controls to satisfy audit requirements. • Ensure that bank statements be collected from the banks at the appropriate time; • Ensure that bank accounts are reconciled and reported in a timely manner; • Prepare monthly bank reconciliation statement, including computation of interests gained to be included into reports. • Maintain the inventory file to support purchases of all equipment/assets. • Undertake other relevant matters assigned by the PM.
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			<u>Qualifications and requirements</u> <ul style="list-style-type: none"> • University degree in accounting, finance or related fields; • Solid experience of budgeting, planning and reporting on foreign funded projects; and experience with international auditing requirements. • Good secretarial skills and good organizational capacity; • Knowledge in administrative and accounting procedures of the Government and UNDP is an advantage • Good computer skills in common word processing (MS Word), spreadsheet (MS Excel), and accounting software. • Appropriate Kazakh, Russian and English language skills, both spoken and written.
For Technical Assistance (from technical components)			
International (from technical components)			
International Consultant (IC)	500 per day	10 days	International Consultant will be hired to provide analysis, assessment and recommendations on mercury inventory conduction, as well as preparation of materials and participation in trainings
Local			
Environmental Legal expert	1000	4	<ul style="list-style-type: none"> • Detailed review of regulatory framework and identification of gaps in management of mercury; • Development of specific recommendations on adjustments, amendments required in existing legislation; • Liaise with Ministry of Energy, Minamata focal point and relevant government agencies for development of effective proposals for regulatory framework development; • Preparation and drafting of the assessment report on the existing and required policy and regulatory framework as well as institutional capacity to implement the Convention.

National experts on data collection, organization and analysis for the MIA	1000	24	<ul style="list-style-type: none"> • Identification of main target areas (sites) and sources for collection of data; • Selection of methodology for the collection and analysis of data under each mercury source identified; • Collection of data and analysis; • Review of the rapid assessment of sources and validation (or expansion) of the list in accordance with collected data; • Drafting of the Mercury Inventory; • Preparation and drafting of the national MIA report.
National experts on data collection and coordination of the establishment of the national coordinating mechanism and enabling environment for decision making	1000	24	<ul style="list-style-type: none"> • Development of the initial idea for the national Mercury coordination/consultation mechanisms • Implementation of the mechanisms and organization of operational meetings of the parties • Identification of key coordination mechanism's functions through a participatory approach • Development of an action plan for future activities of the coordination mechanism responsible parties
Consultants for implementation of raising awareness activities	1000	14	<ul style="list-style-type: none"> • Design of the awareness raising plan • Implementation of awareness raising activities • Development of relevant publications • Survey (pre and post testing) and analysis of scores
Capacity building expert	1000	24	<ul style="list-style-type: none"> • Design of the capacity building plan and activities • Implementation of the trainings in the relevant thematic areas • Organization of relevant training, preparation of training materials, organization of workshops and analysis of training results and surveys

Annex D. Social and Environmental Screening

The completed template, which constitutes the Social and Environmental Screening Report, must be included as an annex to the Project Document. Please refer to the [Social and Environmental Screening Procedure](#) and [Toolkit](#) for guidance on how to answer the 6 questions.

Project Information

Project Information	
1. Project Title	Minamata Initial Assessment for Kazakhstan
2. Project Number	6048
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

Consultations have been undertaken during project identification to determine the stakeholders and their roles during project implementation. These consultations will continue throughout the project cycle. Stakeholders include the Government, the private sector, international organisations and multilateral development bodies, and civil society organisations.

These stakeholders have been and will continue to be consulted with regard to various components of the project, such as development of policy and financial derisking tools for small and large-scale RES, developing business and financial models to support small-scale RES, development and implementation of the media campaign, creating awareness and building capacity of the commercial banks to perform due diligence and financial assessment of small-scale RES projects. A mechanism to deal with grievances and other potential conflict issues will be set up consistent with the Social and Environmental Standards of UNDP (2015).

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

The project will involve gender mainstreaming opportunities in the establishment of MRV, where users will be trained on data collection and analysis; training and awareness-raising for

commercial banks on performing due diligence for small-scale RES projects, and development of technology database and a mechanism for continuous update and systematic enforcement. The project will involve an in-country gender expert in developing gender-disaggregated data and indicators to ensure equitable gender representation.

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

Mainstreaming environmental sustainability in the project involves the following: (i) establishment of a measurement, reporting and verification system to promote investment in RES in urban and rural sector; (ii) development of policy and financial derisking instruments; (iii) creating awareness and training domestic commercial banks; and (iv) creating business models to rural and urban small-scale developers. The overall outcome of these interventions will be provision of clean and reliable energy supply and direct reductions in GHG emissions of 0.46 Mt of CO_{2eq}.

Part B. Identifying and Managing Social and Environmental Risks

<p>QUESTION 2: What are the Potential Social and Environmental Risks?</p> <p><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></p>	<p>QUESTION 3: What is the level of significance of the potential social and environmental risks?</p> <p><i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i></p>			<p>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)?</p>
<p><i>Risk Description</i></p>	<p><i>Impact and Probability (1-5)</i></p>	<p><i>Significance (Low, Moderate, High)</i></p>	<p><i>Comments</i></p>	<p><i>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.</i></p>
<p>Risk 1: The project may discriminate against women in relation to access to opportunities and benefits</p>	<p>I = 3 P = 1</p>	<p>Low</p>	<p>Kazakhstan’s society is still strongly influenced by traditional gender roles and norms that designate women responsible for maintaining the home and childcare. Women are not regarded as decision-makers in the public sphere, and such traditional views lead women to accept discrimination as a “normal” part of life.</p>	<ul style="list-style-type: none"> • The project will analyse any gender-based differences in access to financing and capacity building, and will involve an in-country gender expert in developing gender-disaggregated data and indicators to ensure an equitable gender representation in the selection process for financing, focus group discussions and training. • Capacity building opportunities incorporated in the project that will ensure female participation include: establishment of Mercury Coordination Mechanism and processing of the inventory where users will be trained on data collection and analysis; training and awareness-raising for local communities; etc.

Risk 2: Small-scale RES installations may pose safety risks to communities.	I = 3 P = 1	Low	Workers may not have the right experience and training on proper installation and management of RES facilities.	<ul style="list-style-type: none"> • Only legally registered contractor(s) will be allowed to do installation. Proof of experience and track record will be required from the contractor(s) prior to award of the retrofit work. • Small-scale RES developers/owners will be encouraged to conduct orientation and training. • The technologies selected: solar hot water heating, small PV systems and hybrid solar /wind have low associated environmental risks
Risk 3: Potential for excluding affected stakeholders from participation	I = 2 P = 1	Low	Inadequate and/or lack of consultation may exclude stakeholders such as women's committees, citizens' organisations and NGOs in providing inputs on to development of policy and financial derisking tools.	Consultations have been undertaken during project identification to determine the project stakeholders and their roles during project implementation. These consultations will continue throughout the project cycle. Consultations on various components of the project will be designed to be gender-sensitive, inclusive and responsive to the needs of the stakeholders identified. A mechanism to deal with potential conflict issues during implementation has been incorporated in the project design.
Risk 4: Vulnerability to climate change	I = 2 P = 1	Low	An increases in temperature will reduce demand for heating but increase demand for cooling. Since cooling usually electrical and electricity is more costly than natural gas, this may increase demand for retrofits.	<ul style="list-style-type: none"> • While average winter temperatures are projected to increase, since the 1961-1990 average winter temperature was -5.3°C, even with a significant increase in temperature there will still be a large need for heating. • Data from the MRV component will provide insight into the impacts of warmer weather. This will be valuable for future activities but overall impacts on borrowing are beyond the scope of this project.
Risk 5: Generation of waste from RES installations	I = 3 P = 1	Low	Removing roof elements and replacing existing hot water pipes, as part of retrofit works will generate waste.	Recipients of financing for RES will be required to dispose of the waste generated from civil works following the applicable regulations. Management of waste/construction debris will be part of the conditions in granting the funds and for awarding the civil works to the contractor. This will be ensured through the eligibility criteria and environmental / social safeguards built into the financial mechanism and monitored through activities 3.2.4 and 3.2.6

QUESTION 4: What is the overall Project risk categorization?		
Select one (see SESP for guidance)		Comments
<i>Low Risk</i>	<input checked="" type="checkbox"/>	Eliminating policy, financial, market and technical barriers, and creating an enabling environment for accession to Minamata Convention have no risks of adverse social or environmental impacts.
<i>Moderate Risk</i>	<input type="checkbox"/>	
<i>High Risk</i>	<input type="checkbox"/>	
QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?		
Check all that apply		Comments
<i>Principle 1: Human Rights</i>	<input checked="" type="checkbox"/>	Executing Agency may not have the capacity to meet human rights obligations to the project
<i>Principle 2: Gender Equality and Women's Empowerment</i>	<input checked="" type="checkbox"/>	Potential to discriminate women in consultations and in access to project benefits and opportunities
<i>1. Biodiversity Conservation and Natural Resource Management</i>	<input type="checkbox"/>	
<i>2. Climate Change Mitigation and Adaptation</i>	<input type="checkbox"/>	
<i>3. Community Health, Safety and Working Conditions</i>	<input type="checkbox"/>	
<i>4. Cultural Heritage</i>	<input type="checkbox"/>	
<i>5. Displacement and Resettlement</i>	<input type="checkbox"/>	

	6. Indigenous Peoples	<input type="checkbox"/>	
	7. Pollution Prevention and Resource Efficiency	<input type="checkbox"/>	

Final Sign Off

Signature	Date	Description
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.

Annex E UNDP Risk Log

The overall risk assessment associated with the project implementation is considered as moderate with recognition of previous and ongoing capacity building efforts related to ratification of the Minamata Convention.

The table below shows the Matrix of main project risks, which is determines and emphasizes the levels of separate risks, and suggests the mitigation strategy.

Type and description	Probability	Mitigation strategy
<u>Political</u> Change of the Government stance towards becoming a Party to the Convention	Moderate	The project results and project activities were identified and developed in close cooperation with the Ministry of Energy and other stakeholders. This project will continue to support the initial mercury assessment to ensure that the Government of Kazakhstan will be able to determine the needs to ratify the Minamata Convention and create a solid base for future work on the implementation of the Convention
<u>Political</u> Lack of understanding in the ratification of the Minamata Convention by industrial companies	Moderate	Organization of awareness raising events on norms and provisions of the Convention, as well as the capacity building to handle and manage mercury and other chemicals.
<u>Institutional</u> Poor cooperation between government stakeholders	Moderate	One of the project's goals is the establishment of a national mechanism for coordination/consultation on mercury. This will allow the exchange of all available information, as well as ensure the engagement and close cooperation of all project stakeholders.

**STANDARD LETTER OF AGREEMENT BETWEEN UNDP AND THE MINISTRY OF ENERGY
RK FOR THE PROVISION OF SUPPORT SERVICES**

1. Reference is made to consultations between officials of the Ministry OF Energy of the Republic of Kazakhstan (hereinafter referred to as “the ME”) 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 ME hereby agree that the UNDP country office may provide such support services at the request of the ME through its institution designated in the relevant project document of the joint project of the UNDP and the Ministry of Energy of the Republic of Kazakhstan) “Minamata Initial Assessment for Kazakhstan”, 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 ME-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 ME 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 ME 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 ME 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 ME of Kazakhstan (Ministry of Energy of the Republic of Kazakhstan) “Minamata Initial Assessment for Kazakhstan”.

Attachment

DESCRIPTION OF UNDP COUNTRY OFFICE SUPPORT SERVICES

1. Reference is made to consultations between the Ministry of Energy of the Republic of Kazakhstan, the institution designated by the Government of Kazakhstan, and officials of UNDP with respect to the provision of support services by the UNDP country office for the nationally managed project of UNDP and the ME of Kazakhstan “Minamata Initial Assessment for Kazakhstan”, Project ID 00104349, 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\$ 32.49 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\$ 16.72 for each	As above
Project personnel selection and/or recruitment process * Project Manager * Project Assistant	Start of project	As per the UPL- US\$ 491.63	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\$ 173.02 for each	As above
Recurrent personnel management services: Staff Payroll & Banking	Ongoing throughout implementation when applicable	As per the UPL- US\$ 381.93 for each	As above

Administration & Management (per staff per calendar year)			
Consultant recruitment	Ongoing throughout implementation when applicable	As per the UPL- US\$ 192.76 for each	As above
Procurement of goods and services involving local CAP	Ongoing throughout implementation when applicable	As per the UPL- US\$ 444.18 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\$ 179.38 for each purchasing process	As above
Issue/Renew IDs (UN LP, UN ID, etc.)	Ongoing throughout implementation when applicable	As per the UPL- US\$ 32.55 for each	As above
F10 settlement	Ongoing throughout implementation when applicable	As per the UPL- US\$ 26.81 for each	As above
Visa request	Ongoing throughout implementation when applicable	US\$ 46.98 for each	As above
Hotel reservation	Ongoing throughout implementation when applicable	US\$ 13.16 for each	As above
Travel Ticket processing	Ongoing throughout implementation when applicable	US\$ 36.97 for each	As above

Total amount for support services shall not exceed 2,000 USD.