



**INITIATION PLAN**  
**FOR A GEF PROJECT PREPARATION GRANT (PPG)**

<b>Project Title:</b>	Energy efficient standards, certification, and labelling for appliances and equipment in Kazakhstan
<b>Country:</b>	Kazakhstan
<b>Initiation Plan Start Date:</b>	01 November 2015
<b>Initiation Plan End Date:</b>	31 October 2016

CPAP Programme Component: Energy and Environment	Total budget: US\$ 100,000
ATLAS Project Award: 00091493	Allocated resources:
ATLAS Project ID: 00096688	• GEF US\$100,000
PIMS Project ID: 5703	
Management Arrangement: DIM	

AGREED BY UNDP RESIDENT REPRESENTATIVE

Resident Representative

Signature

Date

**Munkhtuya Altangerel**  
**Deputy Resident Representative**

## A. Brief Description of Initiation Plan:

The purpose of this Initiation Plan (IP) for Project Preparatory Grant (PPG) is to support the development of the UNDP-GEF “Energy efficient standards, certification, and labeling for appliances and equipment in Kazakhstan” FSP (Full Size Project), the child project under the UNEP-GEF Global Programmatic Framework “Leapfrogging markets to high efficiency products (appliances, including lighting, and electrical equipment)”. The project is aimed at transforming the appliances and electric equipment market in Kazakhstan towards products with high efficiency, which will result in higher energy savings and thus, reduction of CO2 emissions. The transformation towards a low-emission and sustainable development will support the country’s efforts to enhance capacity to implement multilateral environmental agreements, strengthen realization of national and sub-national environmental policies.

The IP consists of the project preparatory activities including (1) Conduct baseline studies and surveys to come up with the pertinent data and information that are required to verify and confirm the earlier identified baseline projects; (2) Conduct a logical framework analysis (LFA) mainly to verify and firm up the project results framework (log frame); (3) Identification and assessment of demonstration schemes including calculation of Global Environmental Benefits; (4) Detailed design of the project components and activities; (5) Conduct stakeholder and project partner coordination meetings (e.g., demonstration hosts and co-financers), and establishment of the appropriate project implementation and management arrangements; (6) Preparation of the UNDP-GEF Project Document (ProDoc), UNDP Social and Environmental Screening Report, GEF CEO Endorsement Request (CER) Document and GEF Climate Change Mitigation Tracking Tool, based on the GEF-approved project concept, i.e., GEF-approved Child Project (Annex 3); and, (7) Finalization of the ProDoc and CER Document. The final output of the initiation plan will be a UNDP-GEF project document and GEF CEO endorsement template with all required supporting documentation, including but not limited to Co-financing Commitment letters, an Environmental and Social Screening and the relevant GEF Tracking Tools for the above mentioned project ready for submission to UNDP and the GEF within the agreed upon timeframe.

The overall approach for the project strategy and main components of the project were identified during the preparation of the GEF Child Project Concept Note. However, to enable the final assessment, definition and costing of the priority actions, the PPG resources will be used to support more detailed analysis and consultation to define the roles and responsibilities of different institutions for project implementation. The final outputs of the UNDP-GEF Project Document and GEF CEO Endorsement Request template will be achieved through the implementation of 5 component activities in this Project Preparation Phase, namely: A) Technical reviews and studies, B) Institutional arrangements, monitoring and evaluation, C) Financial planning and co-financing investments, D) Validation workshop and E) Completion of final documentation.

UNDP Kazakhstan will lead the project development process and manage the IP budget. The IP Atlas budget is presented in the Section D “Total Budget and Work Plan”. UNDP Kazakhstan will be responsible for selection and recruitment of IP consultants (local and international), developing TORs, arranging IP relevant travel and meetings. Summary of responsibilities of local and international consultants to be engaged is presented in Annex 2. Quality assurance and technical advice for the full project development will be provided by the UNDP Regional Hub in Istanbul.

## B. Project preparation activities:

### A. Component A: Technical review

- I. Baseline studies: Conduct thorough analysis of the current market of energy consuming products, including its national policy, legislation and institutional frameworks as well as currently applied approaches/practices, undertake a pre-feasibility study related to transformation of the electrical appliances market towards energy efficiency and potential incentives to manufacturers and distributors to shift to energy efficient products and

technologies, work out demonstration projects, and estimate short and long-term emission reduction from project interventions, including the demonstration projects.

- II. Studies to address any opportunities/risks identified during an environmental and social screening of the project proposal.
- III. Identification of specific sites for intervention.
- IV. Integration with development plans, policies, budgets and complementary projects: Detailed analysis of the existing national, regional (sub-national) and local development strategies, programmes and plans along with the appropriate policy and regulations such as energy efficient standards and minimum-energy performance standards (MEPS), and secondary legislation that can promote application of products with increased energy efficiency, and, thus, incorporate climate considerations will be considered as well.
- V. Completion of GEF focal area tracking tool: Climate Change Mitigation
- VI. Stakeholder consultations during technical review: Mobilize and engage stakeholders during project design. Negotiate partnerships with on-going projects to align their activities and the project to build synergies. Document these consultations.

B. Component B: Institutional arrangements, monitoring and evaluation

The outputs of Component A will be used as technical input to Component B for the formulation of the UNDP-GEF project document.

- I. Finalization of project results framework: Further define the results framework with appropriate objective-level and outcome-level quantitative and qualitative SMART indicators, and end-of-project targets. Special attention will be made to include socio-economic and sex disaggregated indicators.
- II. Definition of monitoring and evaluation (M&E): A detailed M&E work plan will be developed, including clear identification of responsibilities and accountabilities, as well as an appropriate M&E budget. The plan will be based on the standard template provided in the UNDP-GEF project document template that reflects the mandatory requirements of the GEF M&E Policy.
- III. Define sustainability plan: The sustainability plan will outline the principles and guidelines for ensuring the long-term sustainability of project achievements. It will also outline an exit strategy, seeking the continuation of key activities/achievements without the need of long-term international financing.
- IV. Definition of management arrangements: The organisational structure governing the project will be decided. This will include identification of the project board.
- V. Stakeholder consultations during Component B: Involve key agencies in the development of the project strategy to ensure a strong national ownership. In close collaboration with key government representatives and other stakeholders ensure full participation in the development of the project results framework and ensure agreement on the project objectives and outcomes. Undertake consultations to secure agreement(s) on project implementation arrangements; including roles, responsibilities, and accountabilities of lead and partner agencies. Document these consultations.

C. Component C: Financial planning and co-financing investments:

- I. Prepare a detailed multi-year budget following the standard template provided in the UNDP-GEF project document template that reflects the mandatory requirements of the GEF M&E Policy.
- II. Explore multilateral and bilateral co-financing opportunities: Undertake series of consultations with partners to ensure a coherent and sustainable financing package for the project including post- GEF grant phase.
- III. A co-financing guarantee will be collected from participating government institutions, bilateral development partners, multilateral development partners and NGOs who wish to provide cash or in kind contributions to the project.
- IV. Stakeholder consultations during Component C: Stakeholder consultations will be conducted at the national, regional (sub-national) and local levels involving all the key stakeholders identified during the PIF preparation and PPG implementation stages that will be involved in project implementation and will provide national co-financing. Stakeholder meetings will be held in Astana (central government bodies); main cities of regions will be selected for demonstration projects (e.g. Almaty, Karaganda, Atyrau, Shymkent, etc. – final list will be determined during the PPG phase) and others, targeted districts in piloting oblasts.

D. Component D: Validation workshop

A validation workshop will gather representatives from all relevant stakeholders to present, discuss and validate the final draft project document.

C. Project preparation activities work plan, timeframe, responsibilities and budget:

PPG Activity	Timeframe (in months)												Responsibility	Budget US\$	
	1	2	3	4	5	6	7	8	9	10	11	12			
Component A	X	X	X	X	X	X	X							TM, IC, LC	15,000
Component B		X	X	X	X	X	X	X	X					TM, IC, LC	40,000
Component C				X	X	X	X	X	X	X	X			TM, IC, LC	30,000
Component D									X	X				TM, IC, LC	15,000

D. Total Budget and Work Plan:

Award ID:	00091493
Award Title:	PPG: Energy efficient standards, certification, and labelling for appliances and equipment in Kazakhstan
Business Unit:	KAZ10
Project Title:	PPG: Energy efficient standards, certification, and labelling for appliances and equipment in Kazakhstan
Project ID:	00096688
Implementing Partner (Executing Agency)	UNDP Kazakhstan (DIM)

GEF Outcome/Atlas Activity	Responsible Party/	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount US\$	Budget Notes
Project preparation grant to finalize the UNDP-GEF project document for project "Energy efficient standards, certification, and labelling for appliances and equipment in Kazakhstan"	UNDP	62000	GEF TRUSTEE	71200	International Consultants	65,000	1
				71300	Local Consultants	15,000	2
				71600	Travel	7,000	3
				72500	Supplies	1,500	4
				74500	Miscellaneous Expenses	4,500	5
				75700	Trainings (consultations)	7,000	6
					PROJECT TOTAL	100,000	

If an FSP project please add additional six months noting 18 month deadline between GEF approval of the PIF and GEF CEO endorsement of the project document

**BUDGET NOTES:**

1. This line will be used to pay two international consultants who will draft the full-size project proposal
2. This line will be used to pay the team of local consultants who will provide inputs into the project proposal.
3. This line will be paid to cover the local travel to the project sites in the regions
4. This line will be used to cover the costs of office supplies for the team of consultants (stationery, cartridges etc.)
5. This line will be used to cover miscellaneous expenses e.g. bank charges, audio, visual, printing
6. This line will be used to cover all expenses related to the organization of workshops and consultations

Annex 1: GEF CEO PIF approval letter



**GLOBAL ENVIRONMENT FACILITY**  
INVESTING IN OUR PLANET

Naoko Ishii  
CEO and Chairperson

September 14, 2015

Ms. Brennan Van Dyke  
GEF Executive Coordinator  
United Nations Environment Programme  
Nairobi 00100, Kenya

Ms. Adriana Dinu  
GEF Executive Coordinator  
United Nations Development Programme  
New York, NY 10017

Dear Ms. Van Dyke and Ms. Dinu:

I am pleased to inform you that I have cleared the programmatic framework detailed below for inclusion in the upcoming work program:

<b>Decision Sought:</b>	<b>Program Framework Document (PFD) Clearance for Work Program Inclusion</b>
GEFSEC ID:	9083
Agency(ies):	UNEP and UNDP
Focal Area:	Climate Change
Project Type:	Full Size Project
Country(ies):	Global (Costa Rica, Kazakhstan, Sudan)
Name of Project:	Leapfrogging Markets to High Efficiency Products (Appliances, including Lighting, and Electrical Equipment)(PROGRAM)
Indicative GEF Project Grant:	\$10,370,000
Indicative Agency Fee:	\$933,300
Funding Source:	GEF Trust Fund

Break-down

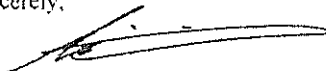
Agency	Trust Fund	Grant Amount (US\$)	Agency Fee (US\$)	Total (US\$)
UNEP	GEFTF	5,100,000	459,000	5,559,000
UNDP	GEFTF	5,270,000	474,300	5,744,300
<b>Total</b>		<b>\$10,370,000</b>	<b>\$933,300</b>	<b>\$11,303,300</b>

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September 14, 2015

This clearance is subject to the comments made by the GEF Secretariat in the attached project review document. It is also based on the understanding that the project is in conformity with GEF focal areas strategies and in line with GEF policies and procedures. It is my expectation that your Agency will submit all final individual project documents under the Program, with all Secretariat and Council comments fully addressed, in a timely manner, so that I can endorse these projects no later than 18 months after Council approval of the PFD.

Sincerely,



Naoko Ishii  
Chief Executive Officer and Chairperson

Attachment: GEFSEC Project Review Document

cc: Country Operational Focal Point, GEF Agencies, STAP, Trustee

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## Annex 2: Summary of Consultants Financed by the Initiation Plan

Summary Tasks to be Performed	
<b>Local Consultants</b>	
Local Consultant 60 working days	<p>The Local Consultant will support the development of the project document through conducting the relevant baseline studies, including:</p> <ol style="list-style-type: none"> <li>1. Work closely with appropriate energy saving and efficiency, environmental management professionals and institutions at the national and local level in order to achieve basic consensus on scale, content and format of the main project phase;</li> <li>2. Mobilize and organize a team of the experts to carry out data collection and /or implement relevant parts of the work plan. To this end, the consultant will be expected to consolidate all collected data into a single report.</li> <li>3. Develop all components for the main project implementation phase in full detail and drafting the project documentation following the specific GEF/UNDP requirements, which will include (but not be limited to): <ul style="list-style-type: none"> <li>- project time frame, outcomes, outputs and activities (including a logical framework and monitoring and evaluation framework);</li> <li>- detailed budget with endorsed financial inputs (cash and in-kind);</li> <li>- implementation and management arrangement; roles and responsibilities of project implementation partners;</li> <li>- strategy for key national and regional stakeholder participation and involvement;</li> <li>- other elements and components, as needed, to ensure completeness, feasibility and potential effectiveness and efficiency of the planned project implementation phase;</li> <li>- Finalizes the project logical framework, with particular emphasis on specific indicators.</li> <li>- Coordinates the development of an action plan (with activities, roles and responsibilities) for improving of the decision-making process in Kazakhstan through introduction of mechanisms of economic assessment of fulfilling national obligations under global environmental agreements;</li> <li>- Coordinates the development of the stakeholder involvement plan,</li> <li>- Defines the capacity needs and technical requirements (soft-ware, hard-ware, on-the-ground presence) for the implementation of the monitoring system.</li> <li>- Defines the capacity of the key national stakeholders to implement and sustain the proposed project activities, including recommendations for building capacity integration into the project design;</li> <li>- Develops a risk analysis table, and development of risk mitigation strategy for the project to be reviewed by the International Consultant.</li> <li>- Designs project monitoring and evaluation plan, and budget, building on information from all national experts.</li> <li>- Develops a costing table for all expected project outcomes and outputs,</li> <li>- Prepare the relevant description for the Project Document – threats analysis matrix and narrative and logframe with clear indicators for the objective and outcome level, including the baseline and target values for the indicators;</li> <li>- Assist in the preparation of the monitoring and evaluation framework and plan;</li> <li>- Develop in collaboration with the Local experts the Executive Summary and the Project Document to be submitted to the GEF;</li> <li>- Address all the comments from UNDP/GEF RTA and GEF Sec</li> </ul> </li> </ol>
<b>International consultants</b>	
International Consultant – Project	The main responsibility of the PPG Team Leader is to prepare and finalize the UNDP-

Summary Tasks to be Performed	
<p>Preparation Team Leader</p> <p>55 working days, including 1 mission of 5 working days</p>	<p>GEF project document, the GEF Request for CEO Endorsement and the GEF tracking tool for submission to the GEF Secretariat. He/she will be responsible for preparing the overall project design and strategy and taking the lead on preparing the Project Results Framework. The International Consultant will guide the work of the national and international consultants, in cooperation with UNDP Country office and UNDP-GEF RTA in IRH. See draft TOR in Annex 2a</p>
<p>International consultant – Expert on Energy Efficient Standards and Labeling (S&amp;L)</p> <p>20 working days, including 1 mission of 5 working days</p>	<p>International consultant/Expert on Energy Efficient S&amp;L will provide technical inputs in the design of UNDP-GEF project document regarding</p> <ul style="list-style-type: none"> <li>- scope and focus of proposed policy and regulatory reform for EE S&amp;L</li> <li>- measures to strengthen market surveillance and improve enforcement of EE S&amp;L</li> <li>- design of public awareness raising strategy;</li> <li>- appropriate management and implementation arrangement; and</li> <li>- monitoring and evaluation framework, including SMART indicators and</li> <li>- risks and risk mitigation strategy;</li> <li>- other areas where technical inputs will be requested by Lead International Consultant and/or UNDP CO.</li> </ul>

## Terms of Reference

Consultancy Title:	International Consultant: Project Development Team Leader
Type of Contract:	Individual Contract
Languages Required:	English
Duration:	November 2015 – September 2016 (55 working days)
Location:	Home-based/ with one mission to Astana, Kazakhstan (5 days)

The United Nations Development Programme (UNDP), acting as an implementing agency of the Global Environment Facility (GEF), is providing assistance to the Government of the Republic of Kazakhstan in the preparation of the GEF Full Size Project (FSP) "Energy efficient standards, certification, and labelling for appliances and equipment in Kazakhstan".

In accordance with UNDP/GEF procedures, UNDP is hiring a consultant to develop the FSP proposal for 'Energy efficient standards, certification, and labelling for appliances and equipment in Kazakhstan' for submission to the GEF Secretariat fully compliant with the enforced GEF rules and standards as part of the GEF Project Preparation Grant (PPG). The consultant will report to the Head of the Environment Unit at UNDP Kazakhstan and work closely with UNDP Istanbul Regional Centre Regional Technical Advisor. In addition, the Governments, UNDP and other donor programs, listed below will provide in-kind contribution to the PPG in the form of ensuring access to necessary expertise, documents and facilities.

The purpose of the PPG is to fully design the activities, outputs, and outcomes of the "Energy efficient standards, certification, and labelling for appliances and equipment in Kazakhstan" project and to fully develop a full set of project documentation for submission to the GEF Secretariat and approval.

### 1. BACKGROUND

Kazakhstan has unique opportunities for the energy efficiency development. Due to the rapid industrial development the ecological system in the country is fast degrading. Therefore, the national economy development needs to focus on transfer to energy efficient products and appliances in order to lead the country to the practice of energy saving, reduction of greenhouse gas emissions, and to enhance national environmental values through increasing knowledge about economic and environmental advantages of energy efficient products.

At the World Summit "RIO+20" Kazakhstan suggested the programme "Green bridge" and the concept of the global, energy and ecological strategy. The President of Kazakhstan tasked the government to make a move over to a "green" economy and the green economy strategy. The strategy is primarily aimed at resolving many social and ecological issues. It focuses on increasing economic indicators and improving welfare of people with low use of energy efficient products.

The overall goal of the project is to develop strategies and mechanisms which would help the country to move towards higher energy efficiency. The project will help to demonstrate the opportunities for enhanced use of energy efficient products.

This objective will be achieved through the following outcomes:

- (i) Policy, planning and regulatory frameworks foster accelerated low GHG development and emissions mitigation
- (ii) Markets are transformed to energy efficient lighting, appliances, and equipment providing climate change mitigation benefits.

The project will be implemented in line with the established Government of Kazakhstan and UNDP procedures. The Ministry of Investment and Development of the Republic of Kazakhstan will take overall responsibility for implementation of the project, and for the project success. It will establish the necessary planning and management mechanisms to oversee project inputs, activities and outputs. The UNDP CO will support the Ministry as requested and as necessary. The PPG process will be used to further define the management, coordination and consultation mechanisms.

## 2. PROJECT PREPARATION ACTIVITIES

The FSP document will include a detailed budget, GEF incremental cost analysis and log frame analysis that defines the project goal, objective, outcomes, outputs, including verifiable performance and output indicators and targets, means of verification. The PPG will complete the Capacity Development Scorecard and develop a replication strategy for project activities.

The PPG will start in November 2015 and last until the end of September 2016. The major output of the PPG will be the developed full-size project document, which will be attained through implementing three components:

1. Identification, Design and Consensus on Project Activities
2. Institutional arrangements, monitoring and evaluation
3. Financial planning and co-financing investments

### E. Component 1: Identification, Design and Consensus on Project Activities

The PPG phase will support the background preparatory work needed to gather more detailed information in order to refine the design of the project activities and to identify the requirements for their implementation. The purpose of the PPG will be to tailor the project design to meet the collected information on the existing energy consuming market situation, strategies, projects and initiatives, and identifying and filling key gaps to strengthen the strategic design of the GEF project. This information is central to ensure that the transformation of energy consuming products market in Kazakhstan will catalyze improved decision-making for the meeting global environmental objectives.

There are included following tasks:

- I. Baseline studies
- II. Studies to address any opportunities/risks identified during an environmental and social screening of the project proposal.
- III. Identification of specific sites for intervention
- IV. Integration with development plans, policies, budgets and complementary projects.
- V. Stakeholder consultations during technical review: Mobilize and engage stakeholders during project design. Negotiate partnerships with on-going projects to align their activities and the project to build synergies. Document these consultations.

### F. Component 2: Institutional arrangements, monitoring and evaluation

The outputs of Component 1 will be used as technical input to Component 2 for the formulation of the UNDP-GEF project document.

- I. Finalization of project results framework: Further define the results framework with appropriate objective-level and outcome-level quantitative and qualitative SMART indicators and end-of-project targets. Special attention will be made to include socio-economic and sex disaggregated indicators.
- II. Definition of monitoring and evaluation (M&E): A detailed M&E work plan will be developed, including clear identification of responsibilities and accountabilities, as well as an appropriate M&E budget. The plan will be based on the standard template provided in the UNDP-GEF project document template that reflects the mandatory requirements of the GEF M&E Policy.
- III. Define sustainability plan: The sustainability plan will outline the principles and guidelines for ensuring the long-term sustainability of project achievements. It will also outline an exit strategy seeking the continuation of key activities/achievements without the need of long-term international financing

- IV. Definition of management arrangements: The organisational structure governing the project will be decided. This will include identification of the project board.
- V. Stakeholder consultations during Component 2: Involve key agencies in the development of the project strategy to ensure a strong national ownership. In close collaboration with key government representatives and other stakeholders ensure full participation in the development of the project results framework and ensure agreement on the project objectives and outcomes. Undertake consultations to secure agreement(s) on project implementation arrangements; including roles, responsibilities, and accountabilities of lead and partner agencies. Document these consultations.

**G. Component 3: Financial planning and co-financing investments:**

- V. Prepare a detailed multi-year budget following the standard template provided in the UNDP-GEF project document template that reflects the mandatory requirements of the GEF M&E Policy.
- VI. Explore multilateral and bilateral co-financing opportunities: Undertake series of consultations with partners to ensure a coherent and sustainable financing package for the project including post- GEF grant phase.
- VII. A co-financing guarantee will be collected from participating government institutions, bilateral development partners, multilateral development partners and NGOs who wish to provide cash or in kind contributions to the project.
- VIII. Stakeholder consultations during Component 3: The PPG component will finance activities to identify partners to both co-finance and support the implementation of project activities. The PPG will organize a donor consultation event, during the middle of implementation, which will introduce the project to additional partners with a view to secure co-financing for it. Various institutions have already expressed a strong desire to partner on specific project activities and it may be possible to realize additional co-financing with such efforts. While these efforts will build upon the existing partnerships and synergies that have already been established with institutions on the global scale, it will be necessary to achieve these agreements during the PPG in a clear and transparent manner to avoid confusion between partners. Budget and work plan for the project will be developed within this component.

**3. DESCRIPTION OF RESPONSIBILITIES**

Under the overall supervision of UNDP/GEF RTA and UNDP CO in Kazakhstan, the International Consultant will lead the design and draft the project document and CEO Endorsement Request (and associated Annexes and documentation) based on GEF endorsed Project Identification Form (PIF), and inputs provided by all partners. S/he will make sure that the project meets the GEF strategic priorities under the multi focal area.

S/he coordinates the PPG phase and is fully responsible for quality control and preparation of all reports and documentation on time to prepare project document for GEF CEO Endorsement.

The International Consultant is expected to undertake one mission to Astana, Kazakhstan for assessment (baseline study and stakeholder analysis), data collection and validation workshop.

The International Consultant – Project Development Team Leader (“International Consultant”) will be required to work according to the detailed Terms of Reference contained here in the following sections.

Provide expert advice in the design and scheduling of PPG activities, and the equitable engagement of partners in project activities.

**1. Conduct baseline study and stakeholder analysis:**

Develop all components for the main project implementation phase in full detail and drafting the project documentation following the specific GEF/UNDP requirements, which will include (but not be limited to):

- Reviews of baseline information delivered by the local experts, and provides feedback on the quality of data and further information required;
- Based on the inputs from national experts and in close cooperation with the key national stakeholders compiles final baseline/situational analysis. This will include a precise definition of

baseline projects, activities, budgets, goals and co-financial links to GEF outcomes; definition of GEF incremental value per outcome and output; presentation of results of the incremental cost-analysis in matrices;

- Based on the inputs from national experts and the best international practice, prepares a quantified assessment of global environmental benefits through relevant climate change mitigation activities;
- Oversees and guides stakeholder analysis among national and sub-national stakeholders to be conducted by local experts;
- Assesses opportunities for public-private partnerships;
- Proposes capacity building and awareness raising measures;
- Facilitates stakeholder consultations to ensure local and national ownership of the proposed project;
- Develops stakeholders' involvement strategy with a particular focus on the monitoring of the market of energy consuming products, including:
  - stakeholder matrix
  - stakeholder involvement plan
  - stakeholder capacity building needs and plan
  - recommendations for the full-sized project on the stakeholder involvement in promoting market transformation towards higher energy efficiency.
- Discuss and agree all recommendations and implementation plan with project partners and stakeholders;
- Analyses of the training, public awareness raising and other capacity building needs and finalizing the project's capacity training strategy and activities;
- Based on national experts input, elaborates Stakeholder Involvement and Public Participation plans, along with an action plan for incorporation of the gender aspects in the project;
- Based on the international experience, assists in reconfirming/specifying the project strategy, finalizing project sections on: (a) An assessment of the social, economic and financial sustainability of proposed project activities; (b) Assessment of alternatives to the project strategy and establishing the cost effectiveness of the preferred strategy and suite of activities; (c) A replication strategy for project activities; (d) Assessment of the risks to the proposed project activities and identifying measure to mitigate these risks; (e) incremental cost analysis;
- Based on national experts inputs, develops project monitoring and evaluation system for the FSP, and prepares M&E plan and budget;
- Completes the Tracking Tool on Climate Change Mitigation, including a set of indicators, baselines and targets; based on inputs to be provided by local consultants;
- Supports formulation of opportunities/risks identified during an environmental and social screening of the project proposal, and based on the studies conducted by the local consultants;
- Finalizes a Logical Framework of the project with appropriate objective-level and outcome-level quantitative and qualitative SMART indicators, and end-of-project targets as well as with special attention to include socio-economic and sex disaggregated indicators, based on draft/inputs to be provided by local consultants;
- Undertakes one mission (5 working days) to Kazakhstan.
- Addresses comments of GEF Secretariat with support of local and international Consultants and CO staff

## 2. REQUEST FOR CEO ENDORSEMENT

- Performs an initial quality review of Draft CEO Request: logframe, threats analysis, institutional arrangements for project implementation, context (globally significant water issues, socio-economic; institutional, legal and policy), baseline (what will happen without GEF - programs and environmental consequences), project structure - goal, objective, outcomes and outputs;
- Looks for any information & data gaps in the analysis ensuring consistency, and the logic of threats & barriers analysis and the proposed course of actions;
- Prepares a detailed feedback that specifies information/data gaps, analysis and description to be refined, and/or added by the team of national consultants;

- Identifies additional partners and assist with the further development of partnerships at global and regional scales.
  - Reviews and comment a draft project budget;
  - Runs a final check on CEO Request with final inputs from national and international stakeholders & partners
3. **Develop the Project Document based on the following outline (Main Outputs)**
- Project Executive Summary
  - Project Document
    - ✓ Develop UNDP/GEF Project Document converted to the finalized Request for CEO Endorsement
    - ✓ Develop a stakeholder participation strategy.
  - CEO endorsement template
    - ✓ Perform an initial quality review of Draft CEO Request: logframe, threats analysis, institutional arrangements for project implementation, context (globally significant environmental issues, socio-economic, institutional, legal and policy), baseline (what will happen without GEF - programs and environmental consequences), project structure - goal, objective, outcomes and outputs;
    - ✓ Look for any information & data gaps in the analysis ensuring consistency and the logic of threats & barriers analysis and the proposed course of actions;
    - ✓ Prepare a detailed feedback that specifies information/data gaps, analysis and description to be refined and/or added by the team of national consultants
    - ✓ Identify additional partners and assist with the further development of partnerships at global and regional scales.
    - ✓ Review and comment a draft project budget;
    - ✓ Run a final check on CEO Request with final inputs from national and international stakeholders & partners
4. **Management Arrangements**
- Prepares ToRs for project staff and key consultancies to be undertaken during the preparation stage;
  - Guides the work of consultants and subcontractors and oversee compliance with the agreed work plan;
  - Prepares very clear guidelines on the type of information required from the national counterparts to assist in the project development;
  - Briefs national partners on the project development process and help planning the preparatory phase (information gathering and project planning);

*The main overall deliverable under this TOR will be the finalized project documentation package, with all its elements and components, agreed upon by all stakeholders and project partners, fully co-financed and ready for submission to the GEF.*

*The final project document, CEO Endorsement template and associated annexes and documents should be submitted to UNDP in English.*

#### 4. DELIVERABLES

The following deliverables are expected from the consultancy contract.

- Detailed Assignment Workplan (within 1 weeks of start of the assignment)
- Detailed PPG work plan and design of consultation and validation workshops (within 1 weeks of start of the assignment)
- Results of the Strategic Results Framework (SRF) Analysis and Strategic Results Framework according to GEF standards
- List of prioritized project objectives, interventions, component activities for GEF EA project.
- Detailed design of project components.

- Draft UNDP Project Document, Project Results Framework, GEF Tracking Tool and Request for CEO Endorsement and GEF Tracking Tool in English.
- Final UNDP Project Document, Project Results Framework, GEF Tracking Tool and Request for CEO Endorsement and GEF Tracking Tool fully compliant with the enforced GEF rules and standards
- Reports will be verified by the UNDP RTA with the assistance of UNDP CO for integrity, comprehensiveness and quality.

*The consultant is expected to arrange his/her travelling to the places where the PPG meetings will take place. Travel costs to participate to the PPG phase meetings should be included in the financial offer.*

**Expected results and payments:**

#	Results	Timing	Amount (optional)
1	Detailed work and mission plan with timeline and clear deliverables, initial list of key stakeholder for consultations prepared and submitted to UNDP for endorsement.	December 2015 – February 2016	1st tranche 20%
2	Based on the approved detailed work and mission plan, conduct at least 1 mission to Astana, Kazakhstan for assessment (baseline study and stakeholder analysis) and data collection. Agenda, list of participants and mission report prepared		
3	Draft documents ready for RTA review: logframe (with baseline values for indicators); threats analysis; institutional arrangements for project implementation; context (socio-economic; institutional; legal and policy); baseline (what will happen without GEF - programs and environmental consequences); project structure - goal, objective, outcomes and outputs	March - May 2016	2nd tranche 20%
4	Draft Project Document addressing RTA comments ready to be sent to peer reviewer; first draft of budget ready - according to the template	September 2016	3rd tranche 40%
5	Based on the feedback from reviewers, draft the final and complete Project Documentation with all its elements and components (in English) – to be finalized		
6	Final Project Document and Request for CEO Endorsement ready		
7	More advanced Project document addressing peer review comments will be sent to UNDP/GEF NY RTA for comments.	October 2016	4th tranche 20%
9	Consultant should be available 3 – 5 days to address technical comments from GEF Sec.		

**Note:**

This is a lump sum contract that should include costs of consultancy required to produce the above deliverables.

**Travel:**

In the course of the assignment, the consultant will be expected to undertake one mission: to Astana, Kazakhstan (5 work days). The dates for mission will be agreed upon between the consultant and UNDP CO Kazakhstan.

The Consultant will carry out any other relevant duties falling within the scope of his/her competence, which may arise during the course of his/her assignment, as requested by the UNDP and UNDP/GEF.

The final project document, CEO template and associated annexes and documents should be submitted to UNDP by in English.



## 5. COMPETENCIES

### Technical work

- Strong expertise in Energy Efficiency, in particular in EE policies and S&L
- Experience with design of GEF climate change mitigation projects.
- Ability to pick up new terminology and concepts easily.
- Familiarity with UNDP policies, templates and requirements preferred.

### Partnerships

- Maturity and confidence in dealing with senior members of national institutions.
- Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability.
- Excellent writing skills and communication skills, with analytic capacity and ability to synthesize relevant collected data and findings for the preparation of quality analysis for the project proposal.
- Excellent coordination skills and result oriented collaboration with colleagues – especially for this case the national level consultants.

### Results

- Promotes the vision, mission, and strategic goals of UNDP.
- Builds strong relationships with clients, focuses on impact and result for the client and responds positively to feedback.
- Good team player who has ability to maintain good relationships.

## 6. QUALIFICATIONS

### Education

- Advanced University degree in the fields of economics/energy or relevant related fields.

### Experience

- At least 10 years of relevant professional experience
- Experience in designing similar projects – preferably in the region
- Experience with energy efficiency, in particular with EE S&L
- Experience of work in the region is an advantage

### Languages

Excellent English writing skills are essential. Knowledge of Russian would be an asset.