

PROJECT DOCUMENT
the Republic of Kazakhstan

Project Title: Support to capacity development of the National Scientific Center of Phthisiopulmonology of the Ministry of Health of the Republic of Kazakhstan in implementation of grants of the Global Fund to Fight AIDS, Tubercoulosis and Malaria.

Project Number: 00105758

Implementing Partner: National Scientific Center of Phthisiopulmonology

Start Date: August 2, 2017 **End Date:** December 31, 2019 **PAC Meeting date:** July 31, 2017




Brief Description

This project is a part of umbrella TB programme on expanding quality of multidrug resistant TB control activities in Kazakhstan ran by the NSCP funded by the GFATM. Within this particular project, UNDP will support capacity development of NSCP in accordance with UNDP rules, regulations, policies and procedures as required by the Approved Procurement Plan and budget agreed between GFATM and NSCP. In particular, the project will focus on the following:

- Conducting competitive bidding processes at international and national levels
- Placement of the orders for goods, freight and insurance
- Monitoring of orders
- Sharing of information on progress of the procurement processes and expected deliveries on a quarterly basis
- Contracting for maintenance, installation and repair of equipment, as well as for logistics services such as storage and transportation
- Keeping all procurement records and reports
- Providing to NSCP all necessary documents for clearing of incoming shipments on a timely basis
- Processing payments for concluded contracts as per UNDP regulations and rules, based on certificates of completion of works or receipt reports duly signed by the recipients of goods and/or services
- Supporting the review of, and conducting communications on the technical specifications, and scope of work and/or other terms of reference

Contributing Outcome (UNPFD/CPD): Outcome 2.2: Judicial and legal systems, and public institutions, are fair, accountable and accessible to all people. Indicative Output: Output 3. National and sub-national level institutions enabled to deliver quality and responsive public services	Total resources required:	USD 2,103,615.27	
	Total resources allocated: Unfunded:	NSCP:	USD 2,103,615.27

Agreed by (signatures):

United Nations Development Program in Kazakhstan	National Scientific Center of Phthisiopulmonology of the Ministry of Health of the Republic of Kazakhstan
Deputy Resident Representative	Acting Director
Munkhtuya Altangerel 	Malik Adenov 
Date: 11/8/17	Date: 

LIST OF ABBREVIATIONS

AIDS - Acquired Immunodeficiency Syndrome
AWP – Annual Work Plan
CDR – Combined Delivery Report
CO – Country Office
CPD – Country Programme Plan
CSA – Cost-Sharing Agreement
DRR - Deputy Resident Representative
DPC – Direct Project Costs
DST – Drug Susceptibility Test
GF – Global Fund
GFATM - Global Fund to Fight AIDS, Tuberculosis and Malaria
GLDU – Governance and Local Development Unit
GMS – General Management Support
GPU – Global Procurement Unit
HIV - Human Immunodeficiency Virus
HQ – Headquarters
ITB – Invitation to Bid
LOA – Letter of Agreement
LTAs – Long-Term Agreements
MDR-TB – Multi-drug Resistant Tuberculosis
MOH KZ – Ministry of Health of the Republic of Kazakhstan
NGOs – Non-Governmental Organizations
NSCP - National Scientific Center of Phthisiopulmonology of the Ministry of Health of the Republic of Kazakhstan
OAI – Office of Audit and Investigation
PAC – Project Appraisal Committee
PPM – Pooled Procurement Mechanism
PR – Primary Recipient
PSM – Procurement and Supply Management
RFP – Request for Proposals
RFQ - Request for Quotation
RRF – Results and Resources Framework
SBAA - Standard Basic Assistance Agreement
SES – Social Environmental Screening
TB -Tuberculosis
TOR – Terms of Reference
UNDP – United Nations Development Programme
UNFPA – United Nations Population Fund
UNICEF - United Nations International Children's Emergency Fund
UNPFD – United Nations Programme Framework Development
WHO – World Health Organization
XDR-TB – Extensively Drug-Resistant Tuberculosis

I. DEVELOPMENT CHALLENGE

In accordance to WHO statistics TB is a leading killer among people living with HIV, and this deadly combination is increasing in the Region. Rapid disease detection and appropriate treatment are, therefore, extremely important. Only two thirds out of an estimated 27 000 HIV patients coinfected with TB were detected in 2015 but only 36% of them were offered antiretroviral treatment. For the last 5 years success rate of treatment of patients co-infected with HIV and TB has attained minimum level of 41%.¹

Kazakhstan is one of the 18 high-priority countries to fight TB in the WHO European Region and 30 high MDR-TB burden countries in the world. The country has achieved several important attainments in recent years, such as a decrease in TB incidence and reduced mortality.²

Namely, the incidence rate decreased by 9.9%, demonstrating 52.7 per 100,000 people in 2016 vs. 58.5 in 2015. Incidence rate decrease is observed in all regions of the country.

Based on the results of 2016 mortality rate decreased by 17.1% and represents 3.4 per 100,000 people vs. 4.1 in 2015.

Fall of basic epidemiological indicators is registered in all age groups of population.³

Kazakhstan is one of the few countries in the European Region where have been implemented the fast methods in order to identify TB drug-resistant forms in a timely manner: BACTEC, Hain-test and Gene-Xpert, which allowed to cover the DST 98% of TB cases against the WHO standard of 90%.

Kazakhstan updated the national MDR-TB response plan in line with the new regional M/XDR-TB action plan and the national budget for TB control has been increased several folds to enable rapid scale up of treatment for MDR-TB patients. Despite these efforts, universal access to treatment is not yet achieved. The country also lacks laboratory capacity for culture, drug susceptibility testing and early diagnosis of MDR-TB cases.⁴

Being one of the largest procurers in the UN system and building on long-term experience in procurement and supply management for health and non-health projects and programmes, UNDP effectively and efficiently responds to challenges in procurement and supply management that is being exposed to an increasing degree of scrutiny and demand on quality assurance and risk management, overall value-for money achieved, and ultimately on how cost-effectively it supports an efficient and sustainable delivery of related programmes and projects.

UNDP procures health and non-health products for GF grants and for other health programmes through a partnership with UNICEF and UNFPA, as well as through a wide range of corporate LTAs with commercial entities established at the global level. This economy of scale procurement by pooling the demands of multiple UNDP COs ensures that unit prices are at par with the lowest prices offered to other large procurers of health products, including the GF's PPM. Any differences in prices are due to timing of orders and fluctuation of prices.

Recognizing the best value-for-money of products and services delivered by UNDP, the current project is aimed at procurement and in-country distribution of health products required for DST, work with different laboratory test-systems and other health commodities and kits to provide population of Kazakhstan with improved access to markets, goods, services, social safety nets and ensure effective prevention and control, early detection, diagnosis, effective and qualitative treatment of TB, including M/XDR-TB cases among different population groups of the Republic of Kazakhstan including vulnerable groups, especially women, young and aged people, oralmans and people with disabilities.

The project will be flexible to any changes in approach to implementation and will apply the core principles of human rights, gender equality and environmental sustainability.

1 http://www.euro.who.int/data/assets/pdf_file/0008/334808/FS-WTBD-ru.pdf

2 http://www.euro.who.int/data/assets/pdf_file/0005/335534/Kazakhstan-tuberculosis-country-brief-2016.pdf

3 http://www.hls.kz/press-releases_3_3/

4 <http://www.euro.who.int/en/health-topics/communicable-diseases/tuberculosis/country-work/kazakhstan>

II. STRATEGY

The main objective of the project for UNDP is to support capacity development of the National TB Primary Recipient (NSCP) in implementation of GF grants by organizing smooth process of procurement of goods and services required as per project's AWP.

The main project's objective stated above will be attained by adhering to the following approach to project implementation:

- Multi-country expertise in a wide variety of settings;
- Country level presence and operational capacity;
- Well-established operational, legal and administrative agreements with countries;
- Robust risk management and control frameworks with additional measures tailor-made for national and international partners;
- Well-established institutional capacity to support with dedicated support teams at HQ and regional levels; and
- Experience accumulated since 2003 in supporting complex health programmes implementation, both at the country and corporate levels.

The project is implemented on the basis of advance planning, wise structuring and organization of all procurement and logistics processes in accordance with UNDP rules, regulations, policies and procedures with strong and well-established risk mitigation and prevention measures. Those include:

- Early warning system in place to trigger appropriate and timely action to address any issues, internal or external, that may negatively impact the implementation of programmes;
- Close PSM and programme oversight and support by a dedicated team of 23 staff at HQ and regional levels;
- Targeted risk mapping at the start of each programme and a risk log to monitor the devised mitigation and prevention measures;
- Regular tailor-made audits of the programmes by UNDP's OAI with closely monitored implementation of audit recommendations; and
- Application of UNDP's comprehensive Anti-Fraud Policy, zero-tolerance for corruption of the UN's Standard of Conduct.

Work on the basis of UNDP rules, regulations, policies and procedures enables to:

- Ensure efficient and competitive international economy of scale procurement allowing small orders enjoy the lowest prices discounted for big volume procurement in the framework of global corporate LTAs established by UNDP;
- Fast track procurement arrangements for timely and efficient implementation of health programmes;
- Safeguard a high degree of operational flexibility to be able to accommodate and synchronize supply chain stages and relevant stakeholders to avoid stock shortages or situations of over-stocking, both potential cause of risks and additional costs to the health programmes;
- Fair competitive bidding process in order to get best value for money to show timely and efficient deliverables in line with project's objectives.

The project will focus on the improving of health status and socio-economic well-being through improved access to qualitative TB services and care, markets, goods, services and social safety nets for civil society of the country including vulnerable groups representatives. Thus, to some extent the project will support the MoH RK in full-scale realization of the national health care strategy.

The project's activity on procurement of required TB health products will contribute to early detection of TB, effective and timely prompt treatment and thus will promote decreasing the rate of TB prevalence in the Republic of Kazakhstan.

Choice of the above-mentioned approach is based on UNDP previous experience and lessons learnt in joint successful implementation of similar projects together with National TB (2014-2016) and HIV/AIDS (2015-2017) PRs and best international practices shared globally between UNDP partners and colleagues.

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

The project also correlates with Output 3 of UNDP Country Program Document for Kazakhstan (CPD 2016-2020): «National and sub-national level institutions enabled to deliver quality and responsive public services».

III. RESULTS AND PARTNERSHIPS

Expected Results

The project aims to provide TB PR with a global access to the most well-known and reliable international suppliers of health products to result in attaining essential objectives of the project, i.e. provision of improved access to markets, goods, services, social safety nets and ensure effective prevention and control, early detection, diagnosis and qualitative treatment of TB, including M/XDR-TB cases among different population groups of RK including vulnerable groups, especially women, young and aged people, oralmsans and people with disabilities.

International procurement is effected through UNDP GPU, located in Copenhagen; UNICEF, UNFPA and other UNDP partners and goods providers.

In case international procurement is impossible to some reasons, or is not the best choice basing upon value for money principle, local procurement option is also applicable upon preliminary approval of senior management, as the whole process is also built upon UNDP rules, regulations, policies and procedures .

Partnerships

The project will be implemented in close cooperation with National TB Partner, NSCP, under supervision of the MoH RK, responsible for issuance of import waiver for the goods to be procured outside Republic of Kazakhstan within the project's AWP.

Risks and Assumptions

The project results depend on change of national and local political priorities. To mitigate the risks the project will involve a wider range of partners to match project gols with objectives set out in the country's policy documents and programmes. The risk of duplication or conflict with initiatives and activities of other donor agencies/government projects will be reduced by TB National Partner's regular participation in coordination activities with donor agencies, NGOs, government agencies and other national partners involved in TB prevention and treatment programmes.

For more risks-related details, please refer to the Risk log attached to the present document as an Annex 1.

Stakeholder Engagement

The project objectives and results are consistent with national needs and requirements. The project activities are in line with approved AWP and technical specifications provided by NSCP. Targeted groups (end-users) of the project are TB facilities, laboratories and their respective staff, TB patients, patients co-infected with TB-HIV/AIDS. TB facilities, laboratories and their staff are involved at the stage of goods order, when providing feedback on specific needs, requirements and specifications to the product to be procured; at the stage of goods in-country distribution when accepting the goods and providing feedback on quality of goods and services provided.

Gender mainstreaming

The project supports men and women equality by provision of equal opportunities in access to up-to-date rapid and qualitative technologies of TB diagnostics and treatment, access to better quality of lifestyle through procurement and delivery of goods and services directly to TB facilities from all over Kazakhstan.

IV. PROJECT MANAGEMENT

Cost Efficiency and Effectiveness

Cost efficiency and effectiveness of the project is based on previous experience gained with similar TB and HIV/AIDS Projects successfully implemented in 2014-2016 and 2015-2017 respectively. The project will be implemented in line with the approved Project Procurement and Budget Plan.

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

Any procurement activity will be organized only after verification and clearance made by local or international responsible procurement focal points, commissions (if applicable), who consider such activities in the view of the best value for money principle.

Project Management

The project will be located in Almaty, office of the Project team will be rent in UN Building located at 67, Tole bi Str., 050000, Almaty, Kazakhstan.

The Project team will align project activities with a current portfolio of thematically relevant projects. The Project team will be comprised of the Project Manager and Project Assistant. Project team will report to the Project Board, the director of NSCP and respective UNDP programme staff.

The Project Manager is a leading resource person to head up the Project team and has the authority to run the project on a day-to-day basis within the constraints laid down by the Project Board.

The Project Manager will be responsible for overall project coordination and implementation, consolidation of work plans and project papers, preparation of quarterly progress reports, reporting to the project supervisory bodies, and supervising the work of the project consultants (if hired) and other project staff. Project Managers's responsibility is to ensure that the project produces the results specified in the Project Document, maintain the required standard of quality, time tables, and cost.

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

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

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

V. RESULTS FRAMEWORK

Intended Outcome as stated in the UNPFD / Country Programme Results and Resource Framework:

Outcome 2.2: Judicial and legal systems, and public institutions, are fair, accountable and accessible to all people.

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

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

Indicator 3.1 Number of sub-national administrations in select localities with strengthened capacities to plan, budget and/or monitor public services

Baseline: 10

Target: 30

Indicator 3.2. Level of satisfaction of relevant stakeholders with the responsiveness of local authorities in providing quality public services, including e-services

Baseline: Low

Target: Medium

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

Project title and Atlas Project Number: Support to capacity development of the National Scientific Center of Phthisiopulmonology of the Ministry of Health of the Republic of Kazakhstan in implementation of grants of the Global Fund to Fight AIDS, Tuberculosis and Malaria. #00105758

Expected outputs	Output indicators	Data source	Baseline		Targets (by frequency of data collection)			Data collection methods & risks	
			Value (at stock)	Year	Year 1	Year 2	Year 3		Final
<p>Output Supporting NSCP in procurement of health products as per approved Procurement Plan: organization of goods supply on annual basis (minimum 4 international and 2 local shipments per 3 years) with respective distribution and deliveries to 20 local TB facilities (minimum 6 deliveries for each facility per 3 years according to approved distribution plan) to promote early detection of TB, effective and prompt treatment and thus contribute to decreasing the rate of TB prevalence in the Republic of Kazakhstan.</p> <p>Baseline: National TB facilities are lack of essential TB products to continue qualitative provision of their services to population RK. National TB partner requires capacity building support in the field of procurement of goods and services.</p> <p>Indicator 1: All planned shipments in line with approved Procurement Plan are organized; all distributions and deliveries of ordered health products to each of 20 TB end-users are finished.</p>	<p>1.1 3 Shipments of Hain per 3 years (kits)</p>	NSCP	low	2017	121	141	83	402 kits	Reports on delivery from logistics company, transport bills and acceptance acts signed by end-users; The risk of goods damage or loss during transportation or storage is mitigated by goods insurance from the moment of arrival to Almaty till delivery to end-users
	<p>1.2 3 Shipments of Bactec per 3 years (kits)</p>	NSCP	low	2017	1,684	1,093	578	3,355 kits	

VI. MONITORING AND EVALUATION

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

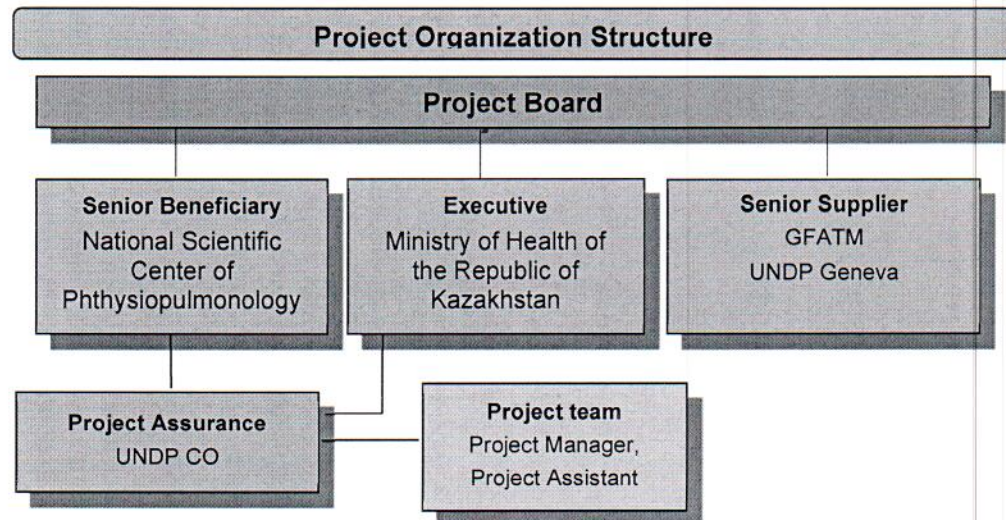
Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.	UNDP, NSCP	0.00 USD
Monitor and Manage Risk	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.	UNDP	0.00 USD
Learn	Knowledge, good practices and lessons learnt will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the Project team and used to inform management decisions.	UNDP, NSCP	0.00 USD
Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project's activity.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.	UNDP	0.00 USD
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the Project Board and used to make course corrections.	UNDP	0.00 USD
Project Report	A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual	Annually, and at the end of the project (final report)		UNDP	0.00 USD

<p>Project Review (Project Board)</p>	<p>targets at the output level, the annual project quality rating summary, an updated risk log with mitigation measures, and any evaluation or review reports prepared over the period.</p>	<p>At least annually</p>	<p>Any quality concerns or slower than expected progress should be discussed by the Project Board and management actions agreed to address the issues identified.</p>	<p>UNDP, NSCP, GF</p>	
	<p>The project's governance mechanism (i.e., Project Board) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.</p>				

VII. MULTI-YEAR WORK PLAN 2017-2019

Expected outputs	Planned activities	Planned budget by year, USD				Implementing / responsible parties	Planned budget, USD			
		Y1	Y2	Y3	Y4		Funding Source	Budget Description	Amount	
<p>Output Supporting NSCP in procurement of health products as per approved Procurement Plan: organization of goods supply on annual basis (minimum 4 international and 2 local shipments per 3 years) with respective distribution and deliveries to 20 local TB facilities (minimum 6 deliveries for each facility per 3 years according to approved distribution plan) to promote early detection of TB, effective and prompt treatment and thus contribute to decreasing the rate of TB prevalence in the Republic of Kazakhstan.</p> <p>Baseline: National TB facilities are lack of essential TB products to continue qualitative provision of their services to population RK. National TB partner requires capacity building support in the field of procurement of goods and services.</p> <p>Indicator 1: All planned shipments in line with approved Procurement Plan are organized; all distributions and deliveries of ordered health products to each of 20 TB end-users are finished.</p>	1.1 Hain	120,758.80	127,394.40	119,574.40		NSCP / UNDP	GF	Total: 72300 – medical kits 74500 – miscellaneous expenses	367,727.60 367,637.60 90.00	
	1.2 Bactec	783,738.23	346,745.69	182,631.56		NSCP / UNDP	GF	Total: 72300 – medical kits 74500 – miscellaneous expenses	1,313,115.48 1,313,025.48 90.00	
	1.3 Internal logistics	50,000.00	30,000.00	19,500.00		NSCP / UNDP	GF	Total: 72100 – contractual services – comp 74500 – miscellaneous expenses	99,500.00 99,410.00 90.00	
	1.4 DPC (UNDP CO KZ)	10,000.00	10,000.00	10,000.00		NSCP / UNDP	GF	Total: 64398 – UNDP consulting services	30,000.00 30,000.00	
	1.5 DPC (Geneva)	5,000.00	5,000.00	5,000.00		NSCP / UNDP	GF	Total: 64398 – UNDP consulting services	15,000.00 15,000.00	
	Sub-Total for Output 1									
	2.1 Project Manager		7,500.00	36,000.00	36,000.00		NSCP / UNDP	GF	Total: 71400 – contractual services - SC	1,825,343.08 79,500.00 79,500.00
	2.2 Project Assistant (functional title Procurement Assistant)		2,812.50	13,500.00	13,500.00		NSCP / UNDP	GF	Total: 71400 – contractual services – SC 71300 – local consultants - IC	29,812.50 2,812.50 27,000.00
	2.3 Office rent, equipment, stationary&utilities		3,340.00	8,000.00	8,000.00		NSCP / UNDP	GF	Total: 73100 – rent 72500 – stationary 74200 – copy 72200 – equipment 74500 – miscellaneous expenses	19,340.00 16,000.00 1,290.00 300.00 1,650.00 100.00
	2.4 Travel expenses		4,000.00	4,000.00	4,000.00		NSCP / UNDP	GF	Total: 71600 – travel expenses	12,000.00 12,000.00
	Sub-Total for Output 2									
	GMS (7%)		X	X	X		NSCP / UNDP	GF	75100 F & A	140,652.50 137,619.69
	TOTAL									
	2,103,615.27 USD									

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS



For effective implementation the project structure requires the following roles/focal points:

- Project Board;
- Project Assurance;
- Project team

Project Board:

The Project Board is responsible for making management decisions for the project and providing guidance to the Project Manager in case of significant deviations in the delivery of project outputs from established time and budget limits. Final decision-making rests with UNDP CO in accordance with its applicable rules, regulations, policies and procedures. During the running of the project the Project Board will meet annually to assess the project's progress against planned outputs, give strategic directions to the implementation of the project and identify any corrective action to be taken and at the end of the project to assess how well the outputs were achieved.

The Project Board consists of:

- **Chairman** – Representative of the National Scientific Center of Phthysiopulmonology,
- **Senior Supplier** – representatives of GFATM, UNDP Deputy Resident Representative
- **Project Assurance** – UNDP Country Office (CO)

Project Assurance: overall, project oversight and monitoring functions, is assumed by the Project Board, while UNDP CO implements project oversight and monitoring functions on a regular basis.

Project support: UNDP CO is responsible for overall project implementation, financial and programme reporting, as well as for monitoring and evaluation of the project. UNDP CO will prepare and sign contracts and other administrative and financial records, process payments in accordance with UNDP rules and UNPFD procedures and requirements.

UNDP CO will provide support services to NSCP for project implementation on terms and conditions set forth in the LOA between UNDP CO and NSCP (Annex 6).

Project Manager:

Project Manager will be hired to organize procurement of goods and services contracted by UNDP CO at both the national and international levels. Terms of Reference is attached as Annex 5. The Project Manager will provide operational management and project implementation. Recruitment of project and procurement staff shall be in accordance with the UNDP regulations, rules, policies and procedures. The Project Manager will work under the guidance of UNDP CO. The Project Manager will be based in Almaty, Kazakhstan.

Project Assistant:

Project Assistant will be hired to assist Project Manager in organization of procurement and services contracted by UNDP CO at both the national and international levels. Terms of Reference is attached as Annex 5. The Project Assistant will provide Project Manager with support in operational management and project implementation. Recruitment of project and procurement staff shall be in accordance with the UNDP regulations, rules, policies and procedures. The Project Assistant will work under supervision of the Project Manager and the guidance of UNDP CO. The Project Assistant will be based in Almaty, Kazakhstan.

IX. LEGAL CONTEXT AND RISK MANAGEMENT

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

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

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

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

X. ANNEXES

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

DESIGN & APPRAISAL STAGE QUALITY ASSURANCE REPORT

Overall Project Rating:

Decision:

Project Number: 00103997

Project Title:

Project Date: 2-Aug-2017

Strategic

Quality Rating:

1. Does the project's Theory of Change specify how it will contribute to higher level change? (Select the option from 1-3 that best reflects the project)

- 3: The project has a theory of change with explicit assumptions and clear change pathway describing how the project will contribute to outcome level change as specified in the programme/CPD, backed by credible evidence of what works effectively in this context. The project document clearly describes why the project's strategy is the best approach at this point in time.
- 2: *The project has a theory of change. It has an explicit change pathway that explains how the project intends to contribute to outcome-level change and why the project strategy is the best approach at this point in time, but is backed by limited evidence.*
- 1: The project does not have a theory of change, but the project document may describe in generic terms how the project will contribute to development results, without specifying the key assumptions. It does not make an explicit link to the programme/CPD's theory of change.

Evidence

Management Response

Project is based on clear analysis backed up with evidence and theories of change, justifying why the defined approach will contribute to the desired development results along with partner contributions. The Project is very flexible to any changes in approach to implementation. All innovations came from lessons learned are immediately taken into consideration and applied into practice. The Project will be providing support to National Partner in organization of international and national process of procurement of health, non-health products and services as per AWP within 3 years (2017-2019), thus supporting TB PR greatly in the fight against TB and contributing to TB incidence and mortality rate decrease in the country and improve level of early prevention and detection, raise effectiveness of treatment.

2. Is the project aligned with the thematic focus of the UNDP Strategic Plan? (select the option from 1-3 that best reflects the project)

- 3: The project responds to one of the three areas of development work as specified in the Strategic Plan; it addresses at least one of the proposed new and emerging areas; an issues-based analysis has been incorporated into the project design; and the project's RRF includes all the relevant SP output indicators. (all must be true to select this option)
- 2: *The project responds to one of the three areas of development work as specified in the Strategic Plan. The project's RRF includes at least one SP output indicator, if relevant. (both must be true to select this option)*

1: While the project may respond to one of the three areas of development work as specified in the Strategic Plan, it is based on a sectoral approach without addressing the complexity of the development issue. None of the relevant SP indicators are included in the RRF. This answer is also selected if the project does not respond to any of the three areas of development work in the Strategic Plan.

Evidence

The Project priorities and results are in consistency with the UNDP Strategic Plan and the UNPFD/CPD. Procurement of high quality health products for local TB facilities, in a great extent will promote at least two areas of development work and includes at 8/2/2017 Design & Appraisal Stage Quality Assurance Report least one SP output indicator (National and sub-national level institutions enabled to deliver quality and responsive public services. Indicator 3.1, 3.2).

Relevant	Quality Rating:
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3. Does the project have strategies to effectively identify, engage and ensure the meaningful participation of targeted groups/geographic areas with a priority focus on the excluded and marginalized? (select the option from 1-3 that best reflects this project)

3: The target groups/geographic areas are appropriately specified, prioritizing the excluded and/or marginalized. Beneficiaries will be identified through a rigorous process based on evidence (if applicable). The project has an explicit strategy to identify, engage and ensure the meaningful participation of specified target groups/geographic areas throughout the project, including through monitoring and decision-making (such as representation on the project board) (all must be true to select this option)

2: *The target groups/geographic areas are appropriately specified, prioritizing the excluded and/or marginalized. The project document states how beneficiaries will be identified, engaged and how meaningful participation will be ensured throughout the project. (both must be true to select this option)*

1: The target groups/geographic areas are not specified, or do not prioritize excluded and/or marginalized populations. The project does not have a written strategy to identify or engage or ensure the meaningful participation of the target groups/geographic areas throughout the project.

Not Applicable

Evidence

Management Response

Project objectives are consistent with national needs and requirements. Targeted groups will be involved at the stage of order, when providing specific requirements and specifications to the product, provide feedback on goods quality as soon as in-country distribution is done.

4. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design? (select the option from 1-3 that best reflects this project)

3: *Knowledge and lessons learned (gained e.g. through peer assist sessions) backed by credible evidence from evaluation, corporate policies/strategies, and monitoring have been explicitly used, with appropriate referencing, to develop the project's theory of change and justify the approach used by the project over alternatives.*

2: The project design mentions knowledge and lessons learned backed by evidence/sources, which inform the project's theory of change but have not been used/are not sufficient to justify the approach selected over alternatives.

- 1: There is only scant or no mention of knowledge and lessons learned informing the project design. Any references that are made are not backed by evidence.

Evidence

Management Response

Each new Project in a great extent based upon previous experience gained and lessons learnt. The Project will update Lessons Learned Report on a constant basis, review knowledge to adapt and change plans, undertake appropriate actions when necessary.

5. Does the project use gender analysis in the project design and does the project respond to this gender analysis with concrete measures to address gender inequities and empower women? (select the option from 1-3 that best reflects this project)

- 3: A participatory gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men, and it is fully integrated into the project document. The project establishes concrete priorities to address gender inequalities in its strategy. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. (all must be true to select this option)

2: *A gender analysis on the project has been conducted. This analysis reflects on the different needs, roles and access to/control over resources of women and men. Gender concerns are integrated in the development challenge and strategy sections of the project document. The results framework includes outputs and activities that specifically respond to this gender analysis, with indicators that measure and monitor results contributing to gender equality. (all must be true to select this option)*

- 1: The project design may or may not mention information and/or data on the differential impact of the project's development situation on gender relations, women and men, but the constraints have not been clearly identified and interventions have not been considered.

Evidence

Management Response

The Project contributes to gender equality component by providing equal improved access to markets, goods, services and qualitative social welfare for all KZ population (men and women) and vulnerable groups in particular, especially women, young and aged people and people with disabilities.

6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national partners, other development partners, and other actors? (select the option from 1-3 that best reflects this project)

- 3: An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project. It is clear how results achieved by relevant partners will contribute to outcome level change complementing the project's intended results. If relevant, options for south-south and triangular cooperation have been considered, as appropriate. (all must be true to select this option)

2: *Some analysis has been conducted on the role of other partners where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labor between UNDP and partners through the project. Options for south-south and triangular cooperation may not have not been fully developed during project design, even if relevant opportunities have been identified.*

1: No clear analysis has been conducted on the role of other partners in the area that the project intends to work, and relatively limited evidence supports the proposed engagement of UNDP and partners through the project. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance.

Evidence

Management Response

The Project is sufficiently at scale, taking into account that during distribution of procured health products it is planned to cover all 14 KZ oblasts (21 TB facility in total, including Regional, Oblast and City TB dispensaries) with respective supplies.

Social & Environmental Standards

Quality Rating:

7. Does the project seek to further the realization of human rights using a human rights based approach? (select from options 1-3 that best reflects this project)

3: Credible evidence that the project aims to further the realization of human rights, upholding the relevant international and national laws and standards in the area of the project. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. (all must be true to select this option)

2: *Some evidence that the project aims to further the realization of human rights. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget.*

1: No evidence that the project aims to further the realization of human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered.

Evidence

Management Response

The project applies the core principles of human rights, gender equality and environmental sustainability, by providing all KZ citizens, men and women, with equal access to improved access to markets, goods, services, social safety nets.

8. Did the project consider potential environmental opportunities and adverse impacts, applying a precautionary approach? (select from options 1-3 that best reflects this project)

3: Credible evidence that opportunities to enhance environmental sustainability and integrate poverty-environment linkages were fully considered as relevant, and integrated in project strategy and design. Credible evidence that potential adverse environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. (all must be true to select this option).

2: *No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Credible evidence that potential adverse environmental impacts have been identified and assessed, if relevant, and appropriate management and mitigation measures incorporated into project design and budget.*

1: No evidence that opportunities to strengthen environmental sustainability and poverty-environment linkages were considered. Limited or no evidence that potential adverse environmental impacts were adequately considered.

Evidence

Management Response

Potential harm to people and the environment is avoided wherever possible by the Project and otherwise minimized, mitigated and managed.

9. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks? [If yes, upload the completed checklist as evidence. If SESP is not required, provide the reason(s) for the exemption in the evidence section. Exemptions include the following:

- Preparation and dissemination of reports, documents and communication materials
 - Organization of an event, workshop, training
 - Strengthening capacities of partners to participate in international negotiations and conferences
 - Partnership coordination (including UN coordination) and management of networks
 - Global/regional projects with no country level activities (e.g. knowledge management, inter-governmental processes)
 - UNDP acting as Administrative Agent
- Yes
- No
- SESP not required

Evidence

Social and environmental sustainability is systematically addressed throughout the Project's programming in an integrated way.

List of Uploaded Documents

File Name	Modified By	Modified
Annex 2. ENG PPM Project Management SESP 020817.docx	nelly.perevertova@undp.org	8/2/2017 08:02:56 AM

Quality Rating:

Management & Monitoring

10. Does the project have a strong results framework? (select from options 1-3 that best reflects this project)

○ 3: The project's selection of outputs and activities are at an appropriate level and relate in a clear way to the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators that measure all of the key expected changes identified in the theory of change, each with credible data sources, and populated baselines and targets, including gender sensitive, sex-disaggregated indicators where appropriate. (all must be true to select this option)

● 2: *The project's selection of outputs and activities are at an appropriate level, but may not cover all aspects of the project's theory of change. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of gender sensitive, sex-disaggregated indicators, as appropriate. (all must be true to select this option)*

1: The results framework does not meet all of the conditions specified in selection "2" above. This includes: the project's selection of outputs and activities are not at an appropriate level and do not relate in a clear way to the project's theory of change; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change, and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators.

Evidence

Management Response

Outcomes and outputs are defined at an appropriate level, are consistent with the theory of change, and have SMART, results oriented indicators with specified baselines and targets and identified data sources.

11. Is there a comprehensive and costed M&E plan with specified data collection sources and methods to support evidence-based management, monitoring and evaluation of the project?

- Yes
- No

Evidence

The project has a proper detailed M&E plan which will be updated on a quarterly basis to ensure the high standards of the implementation.

List of Uploaded Documents

File Name	Modified By	Modified
Monitoring And Evaluation Plan 020817.docx	nelly.perevertova@undp.org	8/2/2017 8:19:46 AM

12. Is the project's governance mechanism clearly defined in the project document, including planned composition of the project board? (select from options 1-3 that best reflects this project)

3: The project's governance mechanism is fully defined in the project document. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. (all must be true to select this option).

2: The project's governance mechanism is defined in the project document; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The pro doc lists the most important responsibilities of the project board, project director/manager and quality assurance roles. (all must be true to select this option)

1: The project's governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided.

Evidence

Management Response

Governance of project is defined with clear roles and responsibilities and function as intended to provide active and responsibilities and function as intended to provide active and regular oversight

to inform decision-making. The Project Board is planned to organize at least 1 time a year with proper minutes keeping. Reporting will be ensured on a regular basis (quarterly, annually, upon request).

13. Have the project risks been identified with clear plans stated to manage and mitigate each risks? (select from options 1- 3 that best reflects this project)

- 3: *Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis. Clear and complete plan in place to manage and mitigate each risk. (both must be true to select this option)*
- 2: Project risks related to the achievement of results identified in the initial project risk log with mitigation measures identified for each risk.
- 1: Some risks may be identified in the initial project risk log, but no evidence of analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified and no initial risk log is included with the project document.

Evidence	Management Response
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Risks and opportunities are identified, with appropriate plans and actions taken to mitigate and manage risks.	
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List of Uploaded Documents

File Name	Modified By	Modified
Annex 3 Risks Log ENG Final 020817.docx	nelly.perevertova@undp.org	8/2/2017 8:15:55 AM

Efficient	Quality Rating:
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14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design? This can include: i) using the theory of change analysis to explore different options of achieving the maximum results with the resources available; ii) using a portfolio management approach to improve cost effectiveness through synergies with other interventions; iii) through joint operations (e.g., monitoring or procurement) with other partners.

- Yes
- No

Evidence

Projects budgets are justifiable and valid, and project design and implementation includes measures to ensure efficient use of resources. The size and scope of project are consistent with resources available and planned to be mobilized.

15. Are explicit plans in place to ensure the project links up with other relevant on-going projects and initiatives, whether led by UNDP, national or other partners, to achieve more efficient results (including, for example, through sharing resources or coordinating delivery?)

- Yes
- No

Evidence

Plans include consideration of scaling up and links with other relevant initiatives to achieve greater impact, and procurement planning will be early and regularly reviewed.

16. Is the budget justified and supported with valid estimates?

- 3: *The project's budget is at the activity level with funding sources, and is specified for the duration of the project period in a multi-year budget. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget.*
- 2: The project's budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget. Costs are supported with valid estimates based on prevailing rates.
- 1: The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget.

Evidence

The project has a proper multi-year budget plan with the detailed breakdown by the type for expenditures. The costs are based on a market analysis and successful experience of similar CO projects' implementation.

17. Is the Country Office fully recovering the costs involved with project implementation?

- 3: The budget fully covers all direct project costs that are directly attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.)
- 2: The budget covers significant direct project costs that are directly attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant.
- 1: The budget does not reimburse UNDP for direct project costs. UNDP is cross-subsidizing the project and the office should advocate for the inclusion of DPC in any project budget revisions.

Evidence

Management Response

The budget fully covers all the costs attributable to the project based on DPC policy.

Efficient

Quality Rating:

18. Is the chosen implementation modality most appropriate? (select from options 1-3 that best reflects this project)

- 3: The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted, and there is evidence that options for implementation modalities have been thoroughly considered. There is a strong justification for choosing the selected modality, based on the development context. (both must be true to select this option)

● 2: *The required implementing partner assessments (capacity assessment, HACT micro assessment) have been conducted and the implementation modality chosen is consistent with the results of the assessments.*

○ 1: The required assessments have not been conducted, but there may be evidence that options for implementation modalities have been considered.

Evidence

Management Response

The choice of implementation modality is also based on previous successful realization of similar projects for TB and HIV PR. The projects implementation is provided by UNDP based on LoA on UNDP support services. This is agreed with the partner and the donor.

19. Have targeted groups, prioritizing marginalized and excluded populations that will be affected by the project, been engaged in the design of the project in a way that addresses any underlying causes of exclusion and discrimination?

○ 3: Credible evidence that all targeted groups, prioritizing marginalized and excluded populations that will be involved in or affected by the project, have been actively engaged in the design of the project. Their views, rights and any constraints have been analyzed and incorporated into the root cause analysis of the theory of change which seeks to address any underlying causes of exclusion and discrimination and the selection of project interventions.

● 2: Some evidence that key targeted groups, prioritizing marginalized and excluded populations that will be involved in the project, have been engaged in the design of the project. Some evidence that their views, rights and any constraints have been analyzed and incorporated into the root cause analysis of the theory of change and the selection of project interventions.

○ 1: No evidence of engagement with marginalized and excluded populations that will be involved in the project during project design. No evidence that the views, rights and constraints of populations have been incorporated into the project.

○ Not Applicable

Evidence

Targeted groups will be systematically identified and engaged, prioritizing the marginalized and excluded.

20. Does the project conduct regular monitoring activities, have explicit plans for evaluation, and include other lesson learning (e.g. through After Action Reviews or Lessons Learned Workshops), timed to inform course corrections if needed during project implementation?

● Yes

○ No

Evidence

Monitoring and management include analysis of and actions to improve efficiency in delivering desired outputs with the required quality and timeliness, such as CO support to National Implementation (NIM). Lessons learnt and experience gained are always taken into consideration.

21. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum.

- Yes
- No

Evidence

Management Response

The Project has no specific focus on gender, but gender equality principle underlies the basic approach of the project implementation, as health products procured within the project are destined for both men and women of the Republic of Kazakhstan, to provide equal access to timely and proper TB prevention, diagnosis and effective treatment.

22. Is there a realistic multi-year work plan and budget to ensure outputs are delivered on time and within allotted resources? (select from options 1-3 that best reflects this project)

- 3: *The project has a realistic work plan & budget covering the duration of the project at the activity level to ensure outputs are delivered on time and within the allotted resources.*
- 2: The project has a work plan & budget covering the duration of the project at the output level.
- 1: The project does not yet have a work plan & budget covering the duration of the project.

Evidence

Respective realistic Budget and Procurement Plan is attached.

Sustainability & National Ownership

Quality Rating:

23. Have national partners led, or proactively engaged in, the design of the project?

- 3: National partners have full ownership of the project and led the process of the development of the project jointly with UNDP.
- 2: *The project has been developed by UNDP in close consultation with national partners.*
- 1: The project has been developed by UNDP with limited or no engagement with national partners.
- Not Applicable

Evidence

Project will be accomplished in consultation with relevant stakeholders and national partners, who will be engaged throughout the project's cycle in decision-making, implementation, and monitoring.

24. Are key institutions and systems identified, and is there a strategy for strengthening specific/ comprehensive capacities based on capacity assessments conducted? (select from options 0-4 that best reflects this project):

- 3: The project has a comprehensive strategy for strengthening specific capacities of national institutions based on a systematic and detailed capacity assessment that has been completed. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly.
- 2.5: *A capacity assessment has been completed. The project document has identified activities that will be undertaken to strengthen capacity of national institutions, but these activities are not part of a comprehensive strategy to monitor and strengthen national capacities.*

2: A capacity assessment is planned after the start of the project. There are plans to develop a strategy to strengthen specific capacities of national institutions based on the results of the capacity assessment.

1.5: There is mention in the project document of capacities of national institutions to be strengthened through the project, but no capacity assessments or specific strategy development are planned.

1: Capacity assessments have not been carried out and are not foreseen. There is no strategy for strengthening specific capacities of national institutions.

Not Applicable

Evidence

Programming includes assessing and strengthening the capacity and sustainability of national institutions.

25. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.,) to the extent possible?

Yes

No

Not Applicable

Evidence

The project will be implemented in line with UNDP policies and procedures as set out in cost sharing agreement and Letter of Agreement between the partner and UNDP. Anyhow the project will extensively use national systems when required and engage the respective project stakeholder for the implementation of the specific activities during the life cycle.

26. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilization strategy)?

Yes

No

Evidence

The project is planning to elaborate a clear exit strategy in the second year of the implementation with the partners

Annex [2]. Social and Environmental Screening

Project Information

Project Information	
1. Project Title	Support to capacity development of the National Scientific Center of Phthisiopulmonology of the Ministry of Health of the Republic of Kazakhstan in implementation of grants of the Global Fund to Fight AIDS, Tuberculosis and Malaria
2. Project Number	00105758
3. Location (Global/Region/Country)	Country

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

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

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

The project applies the core principles of human rights and gender equality by providing all KZ citizens, men and women, with equal opportunities to improved access to markets, goods, services, social safety nets.

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

The project supports men and women equality by provision of equal opportunities in access to up-to-date rapid and qualitative technologies of TB diagnostics and treatment, access to better quality of lifestyle through procurement and delivery of goods and services directly to TB facilities, end-users from all over Kazakhstan.

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

Project will be accomplished in close cooperation with TB national partner who is engaged throughout the project's cycle in decision-making, implementation, and monitoring. Programming includes assessing and strengthening the capacity and sustainability of national institutions. Environmental sustainability is systematically addressed throughout UNDP's programming in an integrated way. Risk of potential harm to environment is avoided wherever possible and otherwise minimized, mitigated and managed.

Part B. Identifying and Managing Social and Environmental Risks

<p>QUESTION 2: What are the Potential Social and Environmental Risks? <i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i></p>	<p>QUESTION 3: What is the level of significance of the potential social and environmental risks? <i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i></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>Risk Description</p>	<p>Impact and Probability (1-5)</p>	<p>Significance (Low, Moderate, High)</p>	<p>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.</p>
<p>Risk 1: A risk that duty-bearers do not have the capacity to meet their obligations in the Project.</p>	<p>I = 5 P = 1</p>	<p>Moderate</p>	<p>By signing the LOA and CSA the Parties therefore confirm that they have acknowledged and understood their responsibilities and obligations within the project and shall carry out their responsibilities with diligence and efficiency.</p>
<p>Risk 2: Potential increased health risks, such as the risk of late TB diagnostics due to delays in required products supply.</p>	<p>I = 4 P = 2</p>	<p>High</p>	<p>While the project is focused on procurement of health products from international suppliers, in case of urgent need local procurement can be authorized to decrease time of delivery. TB end-users are expected to cover health products deficit partially at the expense of their local budgets and state budget.</p>
<p>Risk 3: The proposed Project may potentially result in the generation of non-hazardous medical waste (after use of supplied diagnostic consumables, such as vials, ampoules, etc.)</p>	<p>I = 1 P = 1</p>	<p>Low</p>	
<p>QUESTION 4: What is the overall Project risk categorization?</p>			
<p>Select one <input type="checkbox"/> Low Risk <input type="checkbox"/> Comments</p>			

	<i>Moderate Risk</i>	<input checked="" 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"/>	
	<i>Principle 2: Gender Equality and Women's Empowerment</i>	<input type="checkbox"/>	
	<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 checked="" type="checkbox"/>	
	<i>4. Cultural Heritage</i>	<input type="checkbox"/>	
	<i>5. Displacement and Resettlement</i>	<input type="checkbox"/>	
	<i>6. Indigenous Peoples</i>	<input type="checkbox"/>	
	<i>7. Pollution Prevention and Resource Efficiency</i>	<input checked="" type="checkbox"/>	

Final Sign Off

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

SESP Attachment 1. Social and Environmental Risk Screening Checklist

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

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

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

² In regards to CO₂, 'significant emissions' corresponds generally to more than 25,000 tons per year (from both direct and indirect sources). [The Guidance Note on Climate Change Mitigation and Adaptation provides additional information on GHG emissions.]

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

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

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

ANNEX 3: RISKS LOG

#	Description	Date Identified	Type	Impact (I) & Probability (P)	Counter measures / Mngt response	Owner	Submitted, updated by	Last Update	Status
1	Change of national and local political priorities in HIV/AIDS and tuberculosis	21.07.2017	political	P = low I = high	CO will closely monitor the political situation by involving a wider range of partners; matching project goals with objectives set out in the country's policy documents and programmes	Programme Analyst of GLDU UNDP			
2	Duplication or conflict with other activities of donor agencies/government projects	21.07.2017	operational	P = medium I = medium	Regular coordination meetings with donors and national partners working in this area	Project Manager, NSCP			
3	Fluctuations in USD/KZT exchange rate/ High inflation	21.07.2017	financial	P = medium I = medium	Project manager will adjust the project budget to the situation and consult with the national partners on the project's planned activities.	Project Manager			
4	Change in project management	21.07.2017	operational	P = low I = medium	CO will ensure smooth implementation of the project. If the change in project management occurs, CO will select and change the project staff and provide mentoring/training accordingly.	Programme Analyst of GLDU UNDP			
5	A risk that duty-bearers do not have the capacity to meet their obligations in the Project?	21.07.2017	Social and environmental	P = low I = high	The Parties (UNDP and NSCP) will work in a close day-to-day collaboration to ensure project successful implementation. In case of lack of partner's capacity, UNDP staff will provide required support, if need	UNDP, NSCP			
6	Potential increased health risks, such as the risk of late TB diagnostics due to delays in required products supply.	21.07.2017	Social and environmental	P = low I = high	To avoid delays in health products supply, UNDP will start all preliminary procedures in advance and as soon as possible right after signing of all project related documents and receipt of respective funds for project implementation. In case the goods are needed urgently and international supply is not affordable, local procurement can be authorized. Some part of	NSCP, TB end-users, UNDP			

					the goods is procured by end-users on places at the expense of local and state budgets to exclude the risk of health products deficit and therefore delays in TB diagnostics process				
7	The proposed Project may potentially result in the generation of non-hazardous medical waste (after use of supplied diagnostic consumables, such as vials, ampules, etc.)	21.07.2017	Social and environmental	P = low I = low	Due to local legislation, all end-users (local TB facilities) in their day-to-day work follow special procedures while disposing any medical waste and have contracts with local service providers responsible for utilization of any medical waste	NSCP, TB end-users			

ANNEX 4: COMMUNICATIONS AND MONITORING PLAN

Type of action	Parties involved	Deadline	Completion	Status
Quarterly progress reports	Project Manager, Project Assistant	Quarterly		
Quarterly review report and work plan update	Project Manager, Project Assistant	Quarterly		
Annual project review by the Project Board	Project Board	Nov 2017, Nov 2018, Nov 2019		
Annual project progress report	Project Manager, Project Assistant	Mar 2018, Mar 2019, Nov 2019		
Onsite project monitoring	UNDP programme staff	Each project activity		
Annual Procurement Plan	Project Manager, Project Assistant	Annually		
Annual Inventory taking	Project Assistant	Quarterly		
Transfer of Assets	Project Assistant	At the end of the project		
Final project outcome review meeting	Project Manager, Project Board	At the end of the project		

ANNEX 5: PROJECT BOARD TERMS OF REFERENCE AND TORS OF KEY MANAGEMENT POSITIONS

1. Project Board

The responsibility of the Project Board during the running and closing of the project:

1. Running the Project

- Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;
- Address project issues as raised by the Project Manager;
- Provide guidance and agree on possible countermeasures/management actions to address specific risks;
- Conduct regular meetings to review the Project Quarterly Progress Report and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily per plans.
- Review Combined Delivery Reports (CDR) prior to certification by the Implementing Partner;
- Appraise the Project Annual Review Report, make recommendations for the next AWP, and inform the Outcome Board about the results of the review.
- Review and approve end project report, make recommendations for follow-on actions;
- Provide ad-hoc direction and advice for exception situations when project manager's tolerances are exceeded;
- Assess and decide on project changes through revisions;

2. Closing a project

- Assure that all Project deliverables have been produced satisfactorily;
- Review and approve the Final Project Review Report, including Lessons-learned;
- Make recommendations for follow-on actions to be submitted to the Outcome Board;
- Commission project evaluation (only when required by partnership agreement)
- Notify operational completion of the project to the Resident Representative

2. Project Manager

Objectives of the Assignment:

The Project Manager will be responsible for organization of procurement of goods and services under the UNDP contracts both nationally and internationally. The Project Manager will ensure uninterrupted supply of goods and services in accordance with the timelines set in the procurement action plan. The Project Manager promotes a client-focused, quality and results-oriented approach in the project. He/she will liaise with the national counterpart, and a variety of parties, including supplying companies, customs agents, transportation companies, and government authorities.

Under the direct supervision of the Head of GLD unit the Project Manager works in close collaboration with the national partner and operations and programme staff in the CO for resolving complex procurement-related issues and information exchange.

The Project Manager will be responsible for:

- Adherence to the procurement plan approved by the national partner and monitoring of the implementation;
- Coordinate and ensure timely delivery to the national partner of health products and equipment as well as other goods and services under signed contracts;
- Maintaining contacts with suppliers to ensure compliance with contract terms, shipping terms and insurance, and obtaining shipping documentation and other documents for provision to the national partner who will do necessary customs clearance of project cargoes;
- Maintaining on-going contacts with all parties involved to keep up-to-date procurement information and to ensure completeness and correctness of shipping documentation;
- Negotiation with the national counterparts, obtaining responses from the national side for clarification requests from suppliers with regards to specifications, quantities, shelf-life, delivery time and other procurement related information;
- Initiating and drafting letters required for obtaining approvals, permits from the government authorities and other authorities (if applicable);
- Monitoring the quality of procured goods in accordance with the donor's quality assurance policy, of quantities, cost and efficiency of procurement;
- Providing support to the national side in selection, quantification and forecasting of products, development of specifications, including consultations, drafting correspondence, contact with external entities, related to procurement;
- Processing necessary insurance obtaining for goods storage (if applicable);
- Development and constant maintaining of procurement monitoring tables and reports for procurement, deliveries and transfer progress as requested;
- Performing of other tasks as necessary for high performance of procurement and supply management activities.

Professional experience:

Up to 5 years of progressively responsible procurement and administrative experience is required at the national or international level with a minimum of 4-year relevant experience in procurement, supply and use of health products, particularly in developing countries with:

- Experience/expertise in the procurement of health products including regulations and tendering process;
- Experience/expertise in supply chain/logistics management systems;
- Experience in quantification and forecasting of health product needs in public health programs would be an asset;
- Experience in the usage of computers and office software packages (MS Word, Excel, etc.);
- Ability to process large information content with due quality; drive for results;
- Strong organizational and analytical skills;
- High degree of personal initiative and willingness to accept a wide range of responsibilities;
- Ability to work independently;
- Excellent planning and organizational skills and ability to coordinate the work of others, work to tight deadlines and handle multiple concurrent activities;
- Excellent communication spoken, written and presentation skills, including ability to present sensitive issues /positions, write reports and quantitatively justify procurement decisions.

Language requirements: Proficiency in spoken and written English, Russian. Kazakh language is an asset.

Education: A University degree in Public Health, Pharmacy, Medicine or other related discipline and a University degree in Business Administration, Procurement, Logistics or other related discipline. Professional training in procurement and supply management (PSM), logistics and/or public health would be an asset.

3. Procurement Assistant

Objectives of the Assignment:

Under the guidance and direct supervision of the Project Manager, the Project Assistant supports for organization of procurement of goods and services under the UNDP contracts both nationally and internationally. The Project Assistant promotes a client, quality and results-oriented approach in the project.

The Project Assistant works in close collaboration with the Operations, Programme and projects staff in the CO and UNDP HQs staff to exchange information and ensure consistent service delivery.

Key functions:

1. Support in coordination of timely delivery to the national partner of health products and equipment as well as other goods and services under signed contracts
2. Support to procurement processes
3. Prepares requests for direct payment, cash advances, reports on expenses, budget revisions and other required supporting documentation for all financial transactions
4. Establishes and maintains accurate and up-to-date filing system for the documents
5. Contributes to the preparation of status and progress reports by collecting information, preparing tables and drafting selected sections
6. Drafts and/or types correspondence, notes, documents, reports, prepares required contracts, keeps the necessary flow of correspondence
7. Prepares unofficial translations and receives telephone calls and visitors concerning the projects, responding directly where appropriate;
8. Support to knowledge building and knowledge sharing
9. Support to implementation of procurement processes including preparation of RFQ, ITB or RFP documents, receipt of quotations, bids or proposals
10. Perform other duties as may be required

Professional experience:

At least 3 years of work experience in administrative and financial support of office operating within international or foreign projects or organizations. Experience in the usage of computers and office software packages (MS Word, Excel, etc.). Experience in handling of web-based management systems. Experience in procurement will be an asset.

Language requirements: Proficiency English and Russian, knowledge of Kazakh language is an asset.

Education: Bachelor degree in any discipline (in the field of accounting, financial management or business administration, procurement or other relevant academic discipline).