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PROJECT DOCUMENT

[Country name, or Global/Regional Project]

Project Title: Improvement of housing relations system to leverage investments and development of small and medium enterprises for housing sector

Project Number: 00105844

Implementing Partner: Ministry for Investments and development of the Republic of Kazakhstan

Start Date: June 2017

End Date: December 2018

PAC Meeting date: 18 May 2017

Brief Description

Project goal is to increase the investment attractiveness of the housing and utilities sector with the purpose to modernize and develop it through reforming the existing legal, organizational and financial conditions for housing stock management as well as creating the new ones with the involvement of SME. The project will contribute to improving the quality of living of the population, the sustainable functioning of the housing and utilities system, energy efficiency promoting in the residential sector and employment creation. The project goal will be achieved through the implementation of the following tasks:

- Improvement of the regulatory framework governing the housing relations sphere;
- Formation of principles and conditions for participation of the owner in the effective multi-apartment buildings management;
- Development and implementation of new organizational and financial mechanisms for systematically attracting investments for residential buildings modernization;
- Development and implementation of business models of professional management organizations

UNDP/CPD Contributing Outcome:

Outcome 1.3: «Ecosystems and natural resources are protected and sustainably used, and human settlements are resilient to natural manmade disasters and climate change»

Indicative Output(s):

Output 1. Selected settlements have adopted integrated models for sustainable growth

Total resources required:	USD 2 067 906	
Total resources allocated:	Government	USD 1 207 685
	UNDP (parallel vcofinancing)	USD 860 220

Approved (signatures):

<p>UNDP</p> <p>Munkhtuya Altangerel Deputy Resident Representative</p> <p>Date: 20.6.17</p> 	<p>Implementing Partner</p> <p>Sklyar Roman Vassilievich Vice Minister of Ministry for Investments and Development</p> <p>Date: 21.06.17</p> 
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The total amount of contribution from the Ministry of Investment and Development of the Republic of Kazakhstan for project co-financing is 380,071,000 (three hundred and eighty million seventy-one thousand) Tenge, including for 2017 – 249 419 000 Tenge, for 2018 - 130 652 000 Tenge.

DEVELOPMENT CHALLENGE

In the Republic of Kazakhstan, within the framework of the reforms carried out in previous years, number of measures, both legal and institutional, aimed at improving the situation in the housing and communal sector and in particular in the housing sector (multi-apartment buildings) was adopted.

Thus, in 2011-2014, thanks to the support of the deputies of the Parliament, the Law of the Republic of Kazakhstan "On Housing Relations" was introduced with significant amendments and supplements related to the organization of servicing activities and transferring them to a competitive environment; enhancement of the role of citizens in decision-making on management and maintenance of the condominium; organization of savings for capital renovation and a number of others. There were also made the amendments to the Administrative Offenses Code, which provides for offense liability relating to the absence of current and (or) savings accounts per condominium buildings in the second-tier banks; violations of reporting requirements by the management body of the condominium, etc.

In 2011, the Government adopted the Housing and Utilities Modernization Program until 2020, where with the support of the Government the apartment owners were given an opportunity to renovate the in-house property of a multi-apartment building on a repayable basis (interest-free loan) and thereby improve their living conditions. In 2011-2015 the local executive bodies were allocated KZT 33,557.0 million in total from the republican budget for implementation of this Program. Due to the allocated funds, the authorized organizations renovated about 2,331 multi-apartment buildings that is 3% of the total quantity (77,640 MAB according to the data of local executive authorities (LEA)). At present, the authorized organization uses the amounts returned by residents for renovation of other condominium units.

Nevertheless, despite the efforts made, the maintenance and operation of a large part of MAB is, unfortunately, in unsatisfactory conditions, especially in the regions.

As the analysis shows, today there is a low level of maintenance of engineering and bathroom-and-lavatory equipment of residential buildings, untimely carrying out of capital and current renovations, unsatisfactory sanitary maintenance of stairway enclosures and building surrounding grounds. As a result, the number of emergency buildings to be demolished, which amounts to 2,565 units today, is increasing.

At present, in Kazakhstan there are 148,998 residential multi-apartments according to statistics. Capital renovation is required for approximately 30% buildings¹. Even more buildings (about 60-70%) according to expert estimates) require thermal modernization, since they were built in previous years and do not comply with up-to-date requirements of thermal protection system, and the Government spends significant funds for various energy subsidies². Such subsidies, as a rule, misrepresent market mechanisms and have a number of negative social and economic consequences. Implementation of MAB renovation becomes a problem, especially in unmanaged buildings. As a result, the quality of living in cities decreases, the energy losses increase, the security reduces, and even a social tension expressed in negative situations as "neighbor-neighbor", "apartment\premises owner-management organization", "management organization-resource suppliers", etc., is seen to be. The problems existing in the housing stock have a negative impact on vulnerable groups of the population, especially large families, people with disabilities, as well as women.

Small and medium-sized enterprises (SME) that could act as a locomotive for solving many problems (performing of current / capital renovations, maintaining of MAB, preparing for winter conditions, improving the housing energy efficiency, reducing of energy losses in residential buildings, etc.), do not show a considerable interest in the housing stock as a source of business development. As a consequence, there are no serious investments from SME into the housing fund. Apartment owners also actually do not have the opportunity to collectively engage the borrowed capital for the current and capital renovations of MAB (by the example of European countries).

In the basis of the existing problems of proper maintenance and operation of the housing stock in Kazakhstan there are key problems concerning the laws of RK on housing relations in the part of MAB management organization. This is indicated by the studies conducted by national and foreign experts³ during the recent years. Relevant law⁴ was drafted in the mid-1990s and did not significantly amended, with the exception of many modifications that sometimes contradict each other and make the MAB management very difficult⁵.

A tree of problems (scheme), prepared by the experts during the current situation analysis in the management and maintenance of MAB and discussed with stakeholders, is shown below.

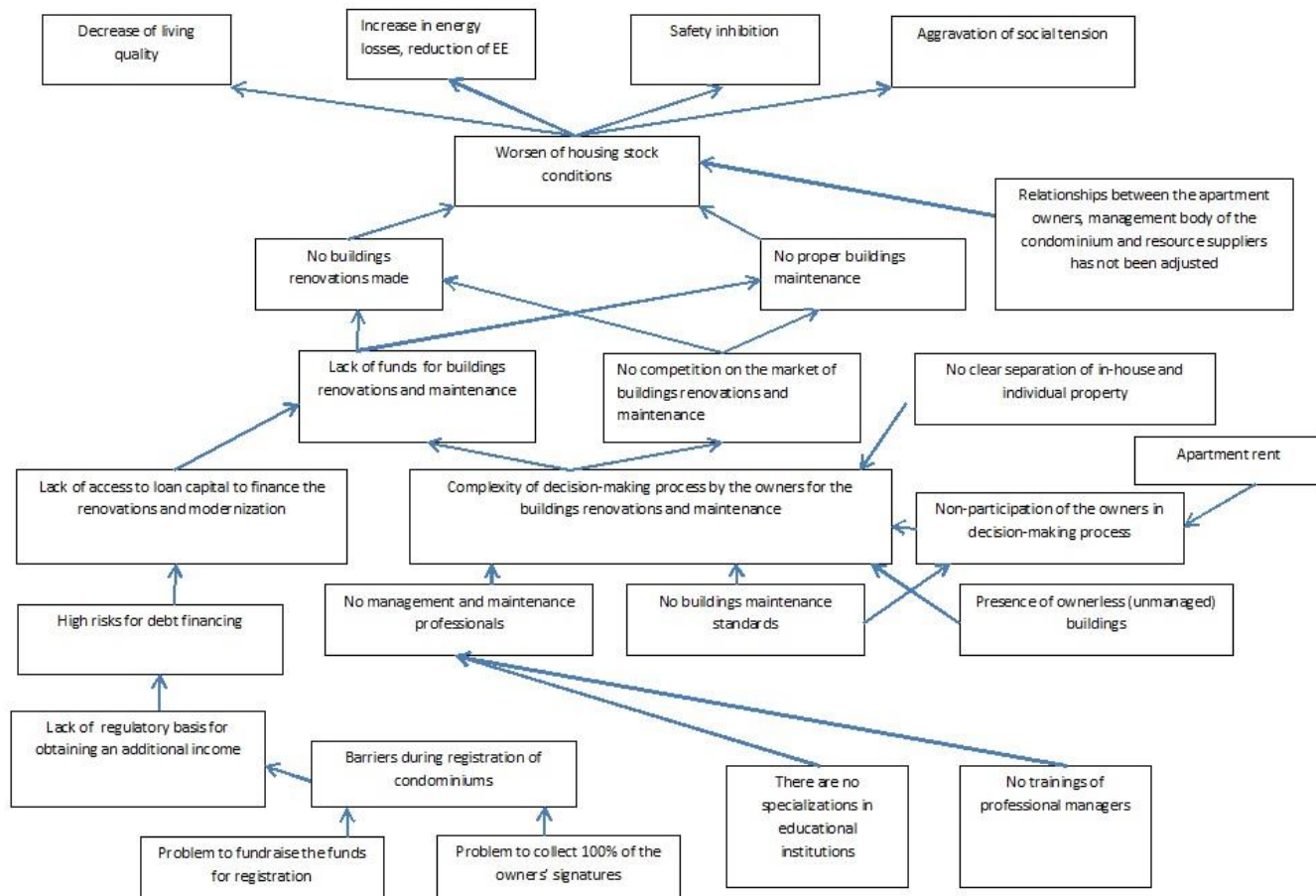
¹ <http://news.mail.ru/inworld/kazakhstan/economics/19882008/?frommail=1>

² "Energy subsidies and climate change in Kazakhstan" / Report. Organization for Economic Co-operation and Development 10-Sep-2013: (Annual meeting of the Ad Hoc Preparatory Working Group for the Implementation of the Environmental Action Programme (EAP Task Force) September 17-18, 2013, Tbilisi, Georgia)

³ Opportunities to achieve social effects through increase of multi-apartment buildings energy efficiency. / A.V. Belyi, N.N. Druz, E. Zadvornyykh. – Astana, 2014. – 78 p.; Interaction of parties is a necessary basis for energy-efficient modernization of multi-apartment buildings / A. Belyi, N. Druz, S. Khudyakov, V. Karlinskaya – Astana, 2014. – p. 52.

⁴ About the Housing Relations. Law of the Republic of Kazakhstan No. 94 of April 16, 1997.

⁵ Collection of documents on the management of the condominium units: for the leaders of CCAO, KSK, CAO, and other interested parties) / Ed. By A. Belyi – Astana, 2015. – Part 2 – OFFERS / OPINIONS OF PRACTISERS on improving the laws in the field of housing relations – Pp. 171-194.



Scheme: A tree of problems in the MAB management and maintenance

As one can see in the scheme, there are several key problems that directly or indirectly affect the housing stock conditions and cause the appearance of such negative consequences as safety inhibition, increase in energy losses, decrease in the quality of living in cities and increase of social tension. This is primarily, the lack of mandatory standards for the maintenance and operation of housing; lack of the market of professional management companies; the unresolved relations between the apartment owners, the management body of the condominium and the resource suppliers; contradictions and unresolved aspects in the separation of in-house and individual property in MAB; the extraordinary complexity of procedures in the decision-making by the owners of the MAB operation and renovation; problems with the condominium registration and a number of others.

Implementation of this Project assists to fulfilling the Instructions of the President of the Republic of Kazakhstan within the third direction "Privatization and Stimulation of Economic Competition" (Message of the President of RK 2015 "KAZAKHSTAN IN THE NEW GLOBAL REALITY: GROWTH, REFORMS, DEVELOPMENT") regarding the transition to tariffs covering the normative content, housing renovation and return of investments in the development of municipal infrastructure.

Improvement of local budget programs on housing assistance to low-income citizens and carrying out of effective public awareness-raising activities will make it possible to raise tariffs to the level to be attractive for investors and facilitate the implementation of Step 59 of the "100 Steps Program for Implementing Five Institutional Reforms" – "Involvement of strategic investors in the sphere of energy saving through the internationally recognized mechanism of energy service agreements". Also, the Project is aimed at implementation of the Step 97 - "Empowering citizens to participate in the decision-making process through development of local governance".

The Project will also contribute to the implementation of the Energy-Efficient Housing Action Plan in the UNECE Region⁶, which includes Kazakhstan. Action Plan adopted in 2010 is directed to overcome existing institutional barriers that prevent households to invest in energy-saving technologies, taking into account the availability of cost-effective technical solutions. In particular, the Project will contribute to the implementation of one of the priorities of the Action Plan, namely, the integration of energy efficiency issues in the housing management and maintenance processes.

⁶ Action Plan for Energy-efficient Housing in the UNECE Region. Geneva: UNECE, 2011 – P. 37

The housing fund, represented for the most part in the form of MAB in the cities of Kazakhstan, is an important factor for sustainable development of cities and settlements. In this regard, the implementation of the Project will have an impact on ensuring a proper quality of life. The importance of the housing stock for sustainable development is also mentioned in Agenda-2030⁷, adopted by the UN General Assembly in 2015 (Goal 11 'Make cities and human settlements inclusive, safe, resilient and sustainable').

I. STRATEGY

The development objectives set up (Section 1) will be achieved in the Project through clearly defined points of impact on the situation, which are successive intermediate results, reflecting in general terms the 'theory of changes' for solving the above-mentioned problems. Annex 1 provides a logical scheme of the offered changes that will be achieved as a result of the project activities.

As one can see in the scheme, the final goals of the Project are significant, sustainable and positive changes in the lives of people living in multi-apartment buildings (MAB), and also including in particular disadvantaged groups and women. These changes include in particular an increase of the quality of living and improved security of living in MAB, social tension reducing and increase of households' energy efficiency. These final changes are based on the intermediate changes (results), on which the project will affect, namely:

- Amendments in the regulatory framework of the management, maintenance and operation of MAB that will, on the one hand, increase the responsibility, as well as expand the opportunities for apartment owners and management bodies of the condominium units for the maintenance and operation of MAB, and on the other hand, create a foundation for developing competition and attracting business in this field;
- Changes in the apartment owners' behavior regarding the management of the in-house property of MAB that will allow apartment owners to understand really and be involved in the operation process of MAB, monitor the management, maintenance and operation processes of MAB with use of modern information systems and technologies, make correct and timely decisions on the MAB maintenance and operation, based on the necessary knowledge and received information;
- Necessary additions and modifications in existing and development of new (if necessary) practices for attracting the investments for renovation, modernization and maintenance of MAB that will increase the interest of business structures in this sector, will create conditions for the apartment owners to access loan financing, will increase apartment owners' incentives to accumulate funds for renovation and maintenance of MAB, which will ultimately reduce the problems of renovation and modernization of the housing fund;
- Development and support of model schemes of management companies, which will allow to begin the transition to professional management of residential real property by engagement of professionals and the necessary investments.

The Project will achieve each of the above intermediate results through the implementation of successive stages, including:

- direct analysis of the situation in the country (baseline assessment),
- review of best experience and its applicability to the conditions of Kazakhstan,
- preparation of proposed modifications, amendments, new models, schemes, etc., and their discussion with key stakeholders,
- their practical approval in pilot mode in pilot areas,
- preparation of final recommendations for implementation and assistance (if necessary) in their adoption at the legislative level (Ministries, Parliament).

Choice of the above-mentioned strategy was based on many-years-experience in implementing the projects by UNDP in partnership with the Government of RK, and also based on the practice of implementing the latest initiatives of the Government of RK (through approbation to mass-wide dissemination).

Activities to be taken within the project implementation are responding to Outcome 1.3 of the United Nations Development Assistance Framework (UNDAF, 2016-2020) "Ecosystems and Natural Resources are protected and in sustainable use, and settlements are resistant to natural and man-made disasters and climate change". The Project also correlates with the intermediate Outcome 1 of the UNDP Country Program for Kazakhstan (CP, 2016-2020) "Integrated models of sustainable growth have been implemented in the selected settlements".

⁷ *Transforming our world: the 2030 Agenda for Sustainable Development. Resolution adopted by the General Assembly on September 25, 2015. – United Nations documents. New York, 2015. – P. 44.*

II. RESULTS AND PARTNERSHIPS

EXPECTED RESULTS

The Project includes 4 (four) closely related components described below. These components, which will contribute to the achievement of project final goal, are also aimed at improvement of interaction between the project participants. Each of 4 components is aimed at achieving one key result based on the strategic approach (briefly described in Section 2). Below is the description of the project components and results.

Component 1 (Result 1): The proposed amendments in the legal and regulatory framework on MAB management, maintenance and operation allowed to increase the responsibility and opportunities for the apartment owners and condominium facilities management bodies to participate in MAB proper maintenance and operation, and create the foundation for the development of competition and business engagement to this area.

This result is one of the project key activities. The successful implementation of other three project components will depend on its achievement in many respects. In order to achieve the first result, the Expert Working Group will be established at the initial stage of the project implementation and the analysis of gaps in existing laws on housing management, maintenance and operation will be made, including the analysis of applicability, possible duplication, existing contradictions, etc., in the Law of the Republic of Kazakhstan “On Housing Relations”, as well as various bylaws to it, which were adopted at different times and are currently in effect. We are talking about those articles of the Law of the Republic of Kazakhstan “On Housing Relations”, which regulates the field of housing management, maintenance and operation in the country. Annex 2 contains the list of articles of the Law of the Republic of Kazakhstan “On Housing Relations”, as well as the preliminary list of by-laws that will be subject to the analysis and subsequent amendments within the project implementation (Annex 3). The list is inconclusive and needs to be clarified during the initial phase of the project implementation.

For the analysis, the draft matrix for assessing the laws will be created and the proposals for its improvement will be drafted. The analysis is also intended to assess the RLA gender sensitivity and their enforcement practices. Five regional workshops in different regions (North, Centre, West, East, South) as well as the final Republican Workshop in Astana will be arranged and hold to discuss the gaps and proposed amendments to the laws. In parallel, the electronic platform (website) will be created to receive the opinions and suggestions from the population and the general public to take into account the incoming amendments and changes. Based on the results of the meetings and consultations, the proposals to improve the housing laws will be formulated, taking into account the opinions and conclusions. Based on the results of the discussions, the laws will be updated and submitted for approval in accordance with the procedure established by the law through the Ministry of Investment and Development.

Expected results within Component 1 will be:

1. Prepared proposals for improving (amending, supplementing, adjusting, etc.) the Law of the Republic of Kazakhstan “On Housing Relations” in the part of housing management, maintenance and operation (MAB, including the apartments, non-residential premises, cottage towns and car parks as a part of the MAB), as well as other RLA related to the law execution, have been presented to the Ministry for subsequent referral to the Parliament of the Republic of Kazakhstan.
2. Regulations of the Declaration on Division of Individual and In-house Property in the MAB has been prepared, the recommendations and order for its application have been drafted.
3. Proposals for the introduction of the effective decision-making mechanisms on MAB management and maintenance by the premises (apartments) owners have been prepared.
4. Recommendations on application regimes for land plot by the condominium facility were prepared.
5. “Housing Maintenance Standards of the Republic of Kazakhstan” and recommendations for their application were developed.
6. Recommendations to improve the mechanism of providing an accommodation from the housing fund for various groups of the population, incl. socially vulnerable were proposed.
7. Rules for setting up the maintenance costs value for condominium facility, taking into account the current housing costs and savings for the necessary renovations with application of the current monthly calculation index (MCI) in the calculations, have been proposed.

Component 2 (Result 2): Up-to-date information systems and technologies approbated in pilot regions, as well as training and education of the apartment owners have led to the changes in their behaviour regarding the management of MAB’s in-house property, which allowed them to really understand and be involved in the MAB management process, control the MAB management, maintenance and operation

processes, make correct and timely decisions on the MAB maintenance, based on the required knowledge and received information and, taking into account the interests of the men and women of all the categories.

As minimum three pilot regions (cities of all sizes) will be chosen to achieve this result, which will be proposed and approved in close cooperation with local executive authorities on the basis of several governing bodies of condominiums (Association of Apartment Owners (AAO) and/or other forms):

- Activities of the Councils of the apartments and premises owners,
- Introduction of the transparency standard of the condominium facility management body,
- Introduction of the rating system for the quality of multi-apartment buildings maintenance,
- Introduction of the technical assessment system for the residential buildings condition involving the apartments and premises owners,
- Introduction of the MAB electronic management system, including the decision-making on residential buildings maintenance and operation, as well as obtaining the necessary information on the housing stock condition and needs for the decision-making.

Approval of the proposed solutions will be carried out at least within one calendar year with the systematic results monitoring. Based on the approval results, the evaluation report will be prepared with conclusions and recommendations on the solutions applicability and their replication in the country.

Expected results within Component 2:

1. Standard Regulation on MAB Council has been prepared, the recommendations for the condominium facility governing bodies, Akimats and other parties interested in the MAB Councils activities drafted,
2. Transparency Standard of activities of the condominium management body and recommendations for its application have been developed,
3. MAB Maintenance Quality rating system has been developed and recommendations for its application were drafted,
4. Pilot information portals (in three pilot regions) on electronic MAB management have been approved, including decision-making on residential buildings maintenance and operation, as well as obtaining the necessary information on the housing stock conditions and needs for decision-making,
5. Inventory method of in-house property of the condominium facility with involvement of the apartments and premises owners, has been developed, the recommendations for its use were drafted,
6. Necessary information materials for the apartments and premises owners, and condominium facility management bodies were prepared.

Component 3 (Result 3): The necessary amendments and modifications to the existing practices, new practices for attracting the investments for MAB renovation, modernization and maintenance were made, what increased the interest of business structures in this sector, created conditions for the apartments owners to access the loan financing, increased the apartments owners' incentives to accumulate the funds for the MAB renovations and maintenance.

The main attention in the Component will be given to finding the solutions to the problems associated with the financial participation of apartment owners in the modernization and renovation (including the energy-efficient ones) of the multi-apartment buildings. As you know, modernization is a costly exercise and is associated with the need to accumulate funds for its performance. It is known that the most serious barrier to funds accumulation is the unresolved issues with opening the bank accounts, safety of accumulating funds and their management them for effective use to finance the residential buildings renovations and modernization.

Within this Component, the successful practice of financing the MAB renovations and modernization in the near and far-abroad countries will be analysed, the financing schemes for the Kazakhstan conditions of will be proposed. Opportunities for both accumulation of funds and access to debt capital, mechanism of partial costs compensation for modernization of multi-apartment buildings will be analysed, provided that the prescribed parameters are achieved (for example, the building energy efficiency parameter after the renovation exists in many countries as a mechanism for promotion of energy saving). The issues of involving private companies in the building management and modernization, including various mechanisms like ESCO, will also be considered. The analysis of the mechanisms applicability to the residential sector will be made and the detailed recommendations for their implementation will be prepared, indicating the necessary amendments to the regulatory framework.

The necessary rules and recommendations will be drafted. A consultancy support will be provided to managing organizations in three pilot regions of the country. The mechanism will be approved through mini-grants for managing organizations in the three pilot regions of the Republic of Kazakhstan. Based on the approval results, the final recommendations for the Government on these issues will be prepared.

Expected results within Component 3:

1. Recommendations and draft Regulation on funds accumulation by the owners for capital renovation, procedure for their use and control have been prepared,
2. Recommendations on organization of loan financing for MAB renovation and the needs of the governmental participation in mechanisms of interest rate partial subsidization for capital renovation that meet the requirements established by the state, have been prepared,
3. Recommendations on improvement of the insurance mechanisms for multi-apartment buildings during their construction and maintenance, have been prepared
4. Information materials for promotion of various financing mechanisms for MAB renovations

Component 4 (Result 4): Transition to the professional management of residential real estate has been started as a result of developed and approbated model schemes of management companies.

Within this Component, the best international and local experience of management companies models for multi-apartment buildings, factors that enhance the management professionalism will be analysed. Model control schemes for cities of various types, sizes and so on will be developed, recommendations for their implementation will be prepared. Schemes will include not only the detailed descriptions of the model elements interaction within system “owner – management company – service provider”, but also propose the forms of contracts to enter and the order of their execution. The proposed models will take into account the needs and characteristics of different social groups, with a special emphasis on the needs conditioned by the individual’s gender. The proposed models will be tested as minimum in 3 pilot areas by supporting the creation of various types of management companies, including private companies and mixed-capital companies.

Project support for the management companies will include the assistance in development of business plan for these companies, training them to work with clients and apartment owners, development of management plans and content of the main MAB types/subtypes, etc.

Expected results within Component 4:

1. Recommendations on standard models of management companies for cities of various sizes and specifics, have been prepared,
2. Regulations of management companies have been drafted and the recommendations for management companies were prepared,
3. Regulations on certification of management companies has been prepared,
4. Regulations for introduction of “master-house” model for small settlements and recommendations for owners and businesses have been prepared
5. Training materials for management companies have been developed,
6. Model plans for MAB management and maintenance have been developed, the recommendations on their development were prepared,
7. Recommendations on improvement of housing aid mechanism have been prepared
8. Risk evaluation and analysis, recommendations for attracting the international management companies to Kazakhstan for MAB management, maintenance and renovation have been prepared. Probability ‘roadmap’ to organize the attract such companies was prepared
9. Recommendations for management companies to leverage investments for MAB management, maintenance and renovations, including the extraction of additional income associated with the transfer of MAB’s premises for renting and the advert placing, as well as the use of the ESCO model and other similar models have been prepared
10. Implementation of the pilot project on comprehensive modernization of one district of the “standard city” has been started.

RESOURCES REQUIRED TO ACHIEVE THE EXPECTED RESULTS

The main resources used to achieve the goals and objectives of the Project are human, technological and information resources.

1) Human resources – the costs for carrying out the activities:

- A. Project team – project implementation – full-time activity, 5 working days, 8 working hours per day, salary, insurance.
- B. Department of Sustainable Urbanization, Energy and Environment, UNDP in Kazakhstan – coordination by UNDP CO at the stage of project start, during the implementation and at the closure stage: 2 times a week during the project duration, in-kind contribution.

- C. Technical Adviser, Istanbul Regional UNDP Hub – coordination by UNDP Hub at the stage of project start, during the implementation and at the project closure: 2-3 times a month, in-kind contribution.
- D. Executive Agency, Ministry of Investment and Development – coordination by the Government of the Republic of Kazakhstan, on monthly basis during the project duration, in-kind contribution.
- E. Executive Agency, Committee for Construction, Housing and Utilities and Land Resources Management – coordination and cooperation at the stage of project start, during the implementation and at closure stage: on weekly basis during the projects duration, in-kind contribution.
- F. Steering Committee - coordination and monitoring of the project implementation progress, on monthly basis during the Project duration, in-kind contribution.

2) Technological resources – the costs of providing services:

- A. Conducting the researches\studies, analyses at project implementation stage – engaging the experts/consultants and legal entities on the contractual basis (procurement of services),
- B. Consulting on development of proposals, recommendations, draft regulations, etc. based on the results and taking into account the results of researches and analysis conducted – the involvement of experts/consultants and legal entities on the contractual basis (procurement of services),
- C. Monitoring of the received results – involving experts/consultants and legal entities on a contractual basis (procurement of services),

3) Information resources – costs of services and works:

- A. working meetings – with the stakeholders (in-kind contribution) to discuss project, as required
- B. consultations – with the interested parties/experts of the respective field (in-kind contribution) to discuss the project certain issues, as required
- C. Introductory and training workshops for all interested parties to become familiar with the project activities and results (procurement of services for events, transportation costs of the participants)
- D. Exchange of experience at the international level (CIS and non-CIS countries) – involving the experts/consultants and legal entities on the contractual basis (procurement of services) to familiarize with the experience and to present the results and lessons learned.
- E. Publications and promotional materials (in the form of prints, journal articles and/or publications in the mass media) are the key tool for presenting and disseminating the project results and achievements, project staff (in-kind contribution), the SUE&E Department of UNDP in Kazakhstan (in-kind contribution), project partners (in-kind contribution), the involvement of legal entities on the contract basis (procurement of services) for publishing and printing.
- F. Creation of the database, online programs, accounting systems, etc. to achieve the objectives specified in the Project Components, involvement of legal entities on the contract basis (procurement of services).

PARTNERSHIPS

Organization	Organization's missions and business type	Partnership results within the Project
Kazakhstan Centre for Modernization and Development of Housing and Utilities JSC	Assistance in implementation of state policy on modernization and development of housing and utilities through the improvement of the RLA and RTD, informational and analytical services, implementation of investment	Ensuring the most comprehensive consideration of proposals on improving the housing laws, involving the apartment owners in management process, improving the financing mechanisms for MAB renovation and introducing professional management of the

	<p>projects, rehabilitation of communal enterprises and introduction of resource-saving technologies, improvement of qualification of specialists in the housing and utilities sector, awareness raising among the population with energysaving issues. Established in 2009 by Decree of the President of the Republic of Kazakhstan with aim to further development of the housing and utilities sector</p>	<p>MAB, validating the applicability of the proposed solutions and schemes (Components 1-4)</p>
<p>Housing and Housing Inspectorate Municipal Public Enterprise (in pilot regions)</p>	<p>Governmental authority of the Republic of Kazakhstan, which exercises the management in the field of housing relations in the regions</p>	<p>Assistance in approbation of the proposed solutions on involving the owners in MAB management, financing schemes for MAB renovations, and the introduction of professional MAB management (Components 2-4), participation in the pilot initiative (project) on comprehensive modernization of one districts of the “standard city” (Component 4)</p>
<p>Association of Apartment Owners (AAO) in the regions</p>	<p>Non-commercial organizations created to protect the interests of the condominium bodies. Acting based on self-government principles. Their activities are governed by the Constitution, current laws, regulatory and legal acts of the Republic of Kazakhstan and the Charter</p>	<p>Assistance in the organization of discussions on amendments to the laws (Component 1), assistance in approbation of the proposed solutions for involving the owners in the MAB management, financing schemes for renovations and the introduction of professional MAB management (Components 2-4), participation in the preparation of the final recommendations on the approbation results</p>
<p>Management companies in the regions</p>	<p>Legal entities established for the management and/or maintenance , technical and sanitary maintenance of multi-apartment buildings on the basis of the commutative contract with the owners</p>	<p>Joint participation in the development and approbation of business models for professional management organizations’ (Component 4), in the development and implementation of new organizational and financial mechanisms for systematically attracting the investments for modernization of residential buildings (Component 3), joint development of proposals and amendments to housing laws (Component 1).</p>
<p>Apartment /premises owner</p>	<p>All categories of persons who have apartment ownership</p>	<p>Participation in the analysis of current laws and development of proposals for its improvement (Component 1), participation in the consultations on financial mechanisms for the</p>

		implementation of the MAB renovations (Component 3); participation in trainings on broader involvement in the MAB management (Component 2)
Zhilstroyberbank JSC	Ensuring equal access of the general population to the housing construction savings system in all the regions of the Republic of Kazakhstan and provision of quality banking services to improve the housing conditions	Participation in the development of possible saving schemes for the building renovation through the Bank or other financial institutions (Component 3)
Small and medium-sized business in Kazakhstan	Business of individual entrepreneurs, small and medium enterprises, which form the backbone of the economic development of any government	Participation in consultations on improving the financing mechanisms for MAB renovations and introducing the professional MAB management (Components 3-4), participation in the pilot project on comprehensive modernization of one of districts of "standard city" (Component 4), approbation of investment leverage for management, maintenance and renovation of the multi-apartment buildings through the ESCO mechanism
ESCO	A company that manages and coordinates all the stages of the energy saving project implementation and provides other related services. Many of these companies not only provide preparation of such an energy-saving project and its implementation, but also finance the project in the lack of sufficient funds by the owner. The owner subsequently settles accounts with the ESCO according to the established payment schedule, which is consistent with the amount of energy savings that the owner receives after the project is implemented	
Housing Initiative for Eastern Europe' (IWO), Berlin (Germany)	Combination of private and public partners whose goal is to promote the development of housing and the construction sector in Eastern Europe and Central Asia on the basis of market economy and environmental feasibility	Participation as possible international experts for project Components 1-4, participation in conducting the training activities on professional improvement, familiarization with the European practices and experience on housing management, financing the renovations, including the EE modernization
The Institute for Urban Economics' Fund (Institute), Moscow (Russian Federation)	Analysis and promotion of social and economic development of cities and regions. One of the leading analytical centres, offering new solutions in the area of social and economic development of the territories, in the regulatory process. A non-governmental and non-profit organization established in 1995	

Covenant of Mayors – East	Established and funded by the Directorate General of the European Commission for Development and Cooperation and is responsible for coordinating and guiding the initiative in the Eastern Europe, the South Caucasus and Central Asia region. Provides the signatories with the administrative, technical support and facilitates the establishment of contacts between the Partners of the Covenant and ensures wide awareness about their activities	Exchange of information on planning and implementation of energy saving measures between the Partners of the Covenant and within Sustainable Energy Action Plans (SEAPs) (for the development of an optimistic scheme for financing of renovations (Component 3) and for the introduction of the professional MAB management (Component 4)
UNDP-GEF Project “Sustainable Cities for Low-Carbon Development”, Kazakhstan	Identification, development and implementation of measures to reduce the impact on climate change, corresponding to the national conditions in the urban sector	Participation in implementation of pilot project on comprehensive modernization of one of districts of the “standard city”
Association of Managing and Servicing Organizations	A non-profit organization created to protect the interests of managing companies. Acting on self-government principles. In their activities they are governing with the Constitution, current laws, regulatory and legal acts of the Republic of Kazakhstan and the Charter	Participation in consultations on the introduction of the professional MAB management (Component 4).

RISKS AND ASSUMPTIONS

Risks	Rating	Risks mitigation measures
Insufficient capacity of local stakeholders to develop the necessary regulatory amendments	High	Participation of international experts and local practitioners with extensive experience in the development of the necessary regulatory amendments, application of innovative schemes for needs assessment (for example, micro-narratives) to identify the necessary amendments/modifications, wider involvement of public and professional organizations in the discussing the problems and developing the proposals for regulatory amendments
Insufficient understanding of the content and consequences of introduced regulatory amendments by decision-makers (legislators, etc.)	High	Participation of project experts in consultations and Round Table discussions with decision-makers, preparation and

		dissemination of necessary explanatory notes, documents and results of analyses and evaluations in formats accessible for understanding
little interest and motivation by apartment owners to participate in the management of condominium facility	High	Demonstration of benefits and advantages of joint management of inhouse property of condominium facility (in an accessible form through training and awareness); adoption of necessary regulatory amendments improving the participation of apartment\premises owners (duties and rights) in the management of condominium facility; popularization of the transition to electronic MAB management and the introduction of management transparency systems
Insufficient level of interaction between the parties involved in the decision-making process on housing problems	Middle	Providing an interactive platform for involving the parties; preparation and dissemination of the necessary explanatory notes, documents and the results of the analyses and evaluations carried out in formats that are accessible for understanding
Reform in the structure of the Ministry and, as a consequence, a change of work priorities – weakening of attention to the project thematic	Low	Involving of various stakeholders and ensuring their involvement in the consultative processes; searching and working with the potential partners interested in project results
Approval duration for implementation of pilot projects necessary to appropate the enforced mechanisms	Middle	Organization of work through the regional Akimats with participation of regional branches of Centre for Modernization and Development of Housing and Utilities, public professional organizations (Associations, condominium bodies) and public councils of the regions. Preparation and signing of the relevant memorandums of cooperation\understanding
Deliberately negative attitude by mass media when covering the issues of housing reforms	Middle	Active work of the Project with the mass media, including the thematic

		meetings with experts, media rallies and media training
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STAKEHOLDER ENGAGEMENT

Target Groups	Interest for target groups	Engagement strategy
Apartment Owners	This target group is the recipient of benefits in the form of improving regulatory acts on maintenance of housing stock	Participation of apartment owners in the Project through conducting the social surveys. Involvement in the discussion on development of typical models and variants of MAB management for cities of various sizes and infrastructure, taking into account their specific features (small and large cities, industrial and non-industrial, single-industry towns)
Condominium facility management bodies	This target group is interested in raising the level of skills and opportunities to introduce a new model of MAB management	Involvement in discussions and membership in working groups on development of regulatory and legal conditions for operation of management companies and provision of uninterrupted and high-quality provision of housing and utilities in multi-apartment buildings, including relevant requirements and standards. Participation in approbation of setting up the amount of maintenance costs for condominium facility maintenance in the pilot mode, taking into account the current costs for provision of housing and utilities and savings for renovations
Resource Supply Enterprises	Focus of this target group is on sale of its products to the competent consumer	Participation in working groups on development of regulatory and legal framework for setting up the operating costs value for housing and utilities services
Local executive authorities: housing inspection, housing and utilities departments, etc	Main Project partner	Participation of LEA in the project implementation will lead to: <ul style="list-style-type: none"> - significant amendments in the legislative and regulatory framework, as well as institutional policies in the field of housing relations; - formation of the responsible “collective owner” in each MAB; - promoting the development of the housing services market; - development and implementation of new organizational and financial mechanisms for capital renovations, maintenance and modernization of housing stock;

		and supporting the activities of professional management organizations and attracting investments of owners and businesses in the housing sector
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Potentially Affected Groups	Interest of this targeted groups	Engagement strategy
Small and medium businesses. Servicing organizations	This target group is interested in improvement of qualification and mastering the utilities market	Participation through the assistance in the development of the housing services market. Participation in the approbation of the housing and utilities services, taking into account the new management models and technologies for the MAB maintenance in pilot mode
Financial Institutions	This target group is focused on the expanding of its financial capabilities	Participation in the development and discussion of proposals for application of financing mechanisms for keeping the savings accounts for future capital renovations and protection of savings from inflation

South-South and Triangular Cooperation (SSC/TrC)

‘South-South’ cooperation is used to describe the development cooperation between the countries of the global South belonging to the same group. Triangular cooperation envisages support for South-South initiatives, one of the developed countries. The Project will seek to improve the regulatory framework that regulates the field of housing relations in accordance with the best international practices in housing management (effective MAB management). It follows that the Project will support the South-South cooperation or triangular cooperation by successfully demonstrating the implementation of the best international practices that can be applied as a contribution to the knowledge management. For this purpose, the Project will promote the principle of joint training and sharing the production experience, build the links and assist in building the partnership between the stakeholders in the regions. The project under Components 2.3 and 4 will facilitate the regular sharing of knowledge and information on progress of activities among the neighbour projects, as well as the systematic compilation, analysis and presentation of examples and lessons learned within these components.

Relevant ongoing UNDP Projects in EECCA countries:

- UNDP-GEF Project “Buildings Energy Efficiency in the North West of Russia”, Russian Federation Россия,
- UNDP Project “Urban ecologic and economic management” (phase 1), Bosnia and Herzegovina,
- UNDP Project «Green economic development”, Bosnia and Herzegovina
- UNDP-GEF Project “ESCO Moldova”, Moldova,
- UNDP Project “International Initiative for Enterprisers”, Turkey,
- UNDP Project “Ukraine Energy Efficiency Secretariat and Expert Hub”, Ukraine,
- UNDP-GEF Project “Reduction of risks and increase of investments into EE buildings reconstruction”, Armenia

KNOWLEDGE

The project activities will be aimed at establishing the communications with all the stakeholders through active dissemination of information on reforming the existing and creating the new legal, organizational and financial conditions for housing management with the involvement of SMEs as much as possible. Within the Project, it is planned to develop the respective forms of interaction with the stakeholders

(association of apartment owners (AAO), apartment owners, SMEs, banks, etc.) to maximize the views of the stakeholders and thereby create a sustainable model for the functioning of the residential sector and the whole housing and utilities system, attract investment in this sphere and create new jobs. Achievement of these results is impossible without aggregation and dissemination of relevant knowledge, management experience and practices, maintenance and operation of housing stock, the existing of which will be studied, evaluated, and the new ones will be approved and described within the project implementation. It is assumed that the whole experience of the Project will be reflected in the planned publications, databases, media products (interviews, comments, videos, etc.), which can be used by target groups for better understanding and further application.

Within the Component 1 “Improvement of the regulatory and legal framework regulating the sphere of housing relations”, it is planned to prepare and distribute the publications, interviews in the media, etc., which will reflect:

- The experience of different countries (primarily Eastern Europe and the CIS) on organization of housing management, organization of activities of managing and servicing companies, issues of laws and its improvement, taking into account the challenges of our time,
- Analysis of the applicability of various articles of the Law on Housing Relations and associated RLA in practice with Association of Apartment Owners (AAO) and other management forms of condominium facilities,
- Opinions of the practitioners on gaps and strengths of housing laws,
- Opinions and recommendations of the international experts on compliance of the Kazakhstan laws with the world practice.
- Regional positive experience and practices of housing management within current conditions of application of housing laws and recommendations on its improvement.

Within Component 1, the electronic platform (web-portal) will be developed to receive and analyze the opinions on improvement of housing laws.

Within the Component 2 “Formation of the principles and conditions for participation of the owner in the effective management of multi-apartment buildings”, it is planned to prepare and distribute the publications, interviews in the media, etc., which will reflect:

- Kazakhstan and international experience of multi-apartment building councils, the councils of entrances and other apartment owners public associations,
- Opinions of practitioners on organization of self-government at MAB's level and the involvement of the owners in the work of management companies within the system “customer-contractor”,
- Experience in organization of electronic MAB management and creating smart systems for such management,
- Experience in approbation of activities of the Apartment Owners Councils round pilot regions of the country, smart systems, rating systems and other initiatives to increase the involvement of owners in the process of housing management.

Within Component 2, a new methodology for assessing the needs of apartment and premises owners will be approved with application of the micro-narrative method to diagnose the problems that exist at the micro level in the field of housing management, owners' participation in decision-making, involvement in housing maintenance, renovations, interaction with the local communal enterprises, municipal administrations and etc. This method is considered as a tool for decision-making on involvement of the owners in the MAB management process, control for MAB management, maintenance and operation processes, right and timely decision-making on MAB maintenance and operation, based on the necessary knowledge and information received. According to the results of application and testing methods, a series of relevant publications and media interviews will be prepared.

Within the Component 3 “Development and implementation of new organizational and financial mechanisms for systematic investment in modernization of the residential buildings”, it is planned to prepare and distribute the publications, interviews in the media, etc., which will reflect:

- International experience in attracting the investments for housing modernization,
- Kazakhstan's experience on modernization of residential buildings and the practitioners' views on improving the ways of accumulating and spending the funds required to modernize the housing stock,
- Experience of countries in promoting the mechanisms of bank lending for housing modernization and renovation,
- Recommendations to the apartment owners on accumulating and spending funds for MAB renovations,

- Experience in approbation of models for attracting the investments for MAB renovations based on the results of pilot initiatives in the country.

Within the Component 4 “Development and implementation of the business models of professional organizations management”, it is planned to prepare and distribute the publications, interviews in the media, etc., which will reflect the following:

- Local and international experience of large management companies, opinions of practitioners from different regions and countries,
- Recommendations on business planning for management companies,
- Recommendations on work organization of management companies with the owners,
- Experience of energy-efficient housing modernization using various sources of financing.

The main products for disseminating the knowledge obtained and lessons learned during the Project implementation are:

- Round Table discussions to discuss the gaps and proposed amendments to the laws. Based on the results of the activities and consultations with the main target groups, the proposals will be formulated to improve the housing laws, taking into account the opinions of practitioners and experts. Based on the results of the discussions, the laws will be updated and submitted for approval in accordance with the procedure established by the law.
- Targeted workshops to increase the investment attractiveness of the housing and utilities sector, the exchange and transfer of experience gained within the Project. Targeted workshops and trainings on the best international practices for managing and financing housing maintenance (including effective MAB management) can be carried out throughout Kazakhstan for specialists in the housing sector and in particular in those regions that are identified as pilot ones under the Components 2,3 and 4.
- Project website – information about the Project, its activities and results (in three languages) will be available via the Internet. The project site will be regularly updated with new content and upgrading, including training materials, etc.
- Study tours will be conducted as an introductory and educational process for the main target groups. It is advisable to exchange the advanced international experience and practices in housing management (effective MAB management) and increase the investment attractiveness of the housing sector for its modernization and development with the involvement of SMEs. Study tours, in particular, are effective for uniting the professionals under the Components 2, 3 and 4 for further discussion of the results and possible wide replication in-situ.

The above-mentioned activities will promote the cooperation and exchange of knowledge and expertise, participation of stakeholders in resolving the issues related to MAB modernization and reforming the housing sector in Kazakhstan.

SUSTAINABILITY AND SCALING UP

Since 2006, UNDP has been implementing projects aimed at improving energy efficiency in the housing and utilities, municipal heat supply, building sector. There is considerable experience in application of local and international expertise to develop and implement the measures for housing reforms, and especially in the multi-apartment residential buildings, including promotion of energy efficiency. Within the implemented 25 pilot projects in different cities of Kazakhstan, a number of workshops and field trainings were organized and conducted to demonstrate the opportunities for effective management of buildings and to obtain social and economic benefits for apartment owners, training programs - developed, informational manuals on rational management of residential real estate, management of utility bills and energy savings - published.

Starting in 2015, UNDP, with the GEF financial support, is implementing the Project on Formation of Sustainable Cities Comfortable for Living. Project includes 15 cities of the Republic of Kazakhstan where the Akimats are supported with integrated planning and implementation of measures to modernize the urban infrastructure, including the residential sector. By planning process, a special focus is paid to organization of professional management and maintenance of residential real estate, as necessary prerequisites for attracting investments in the buildings renovation. In this regard, the joint work of two Projects will allow scaling the future results and strengthening the impact on achievement of the final result.

The Project has the potential for scaling up not only in Kazakhstan, but also in other countries and regions with a similar housing system and investment potential for the SME development. In case of successful implementation, the increasing of investment attractiveness and development of SMEs in the housing and utilities can be an excellent tool for improving the system of housing relations. Only in Kazakhstan there are more than 100 cities and settlements in which the approach to be approbated in this Project can be implemented.

III. PROJECT MANAGEMENT

COST EFFICIENCY AND EFFECTIVENESS

Cost efficiency and expected results from this Project is based on the experience of previous UNDP projects implemented in the following fields: Housing and Public Utilities, Energy Efficiency, Multi-apartment buildings, etc. Cost effectiveness during the project implementation will be ensured by compliance with the standard rules and procedures used in UNDP system.

PROJECT MANAGEMENT

The Project will be executed following established UNDP national implementation procedures. The implementing partner is the Ministry of Environmental Protection (MoEP), which will undertake functions on general coordination and ensuring of participation of the stakeholders through the Project Steering Committee (SC) and other mechanisms. The Ministry will appoint the National Project Coordinator who will act as a link between the Ministry and the Project and provide the Project monitoring by the Ministry. Detailed functionalities of SC are given in the SC Regulations.

UNDP will provide support services including procurement and contracting, human resources management, and financial services in accordance with the relevant UNDP Rules and Procedures and Results-Based Management guidelines.

Project office will be located in the UN House in Astana, the Republic of Kazakhstan.

1. Project management and expenditures shall be governed by the regulations, rules, policies and procedures of UNDP;
2. The contribution shall be administered by the UNDP in accordance with UNDP regulations, rules policies and procedures, applying its normal procedures for the execution of its projects. The financial reporting to the donor will be made on annual basis at the end of the year;
3. If unforeseen increases in expenditures or commitments are expected or realized (whether due to inflationary factors, fluctuation in exchange rates or unforeseen contingencies) UNDP shall submit to the Ministry on a timely basis a supplementary estimate showing the further financing that will be necessary. The Ministry shall use its best endeavors to obtain the additional funds required;
4. In accordance with the decisions and directives of UNDP's Executive, the Contribution shall be subject to cost recovery for costs incurred by UNDP country office structures in providing General Management Support (GMS) services in amount equal to 8 %;
5. Ownership of equipment, supplies and other property financed from the contribution shall vest in UNDP. Matters relating to the transfer of ownership by UNDP shall be determined in accordance with the decision of the Project Board, in line with UNDP's policies and procedures;
6. The contribution shall be subject exclusively to the internal and external auditing procedures provided for in the financial regulations, rules, policies and procedures of UNDP;
7. As per UNDP requirements outlined in the UNDP POPP, the project board will agree on a budget tolerance level for each plan under the overall annual work plan allowing the project manager to expend up to the tolerance level beyond the approved project budget amount for the year without requiring a revision from the Project Steering Committee. Should the following deviations occur, the Project Manager and UNDP Country Office will seek the approval of the UNDP-GEF team as these are considered major amendments by the GEF:
 - a) Budget re-allocations among components in the project with amounts involving 10% of the total project grant or more;
 - b) Introduction of new budget items/or components that exceed 5% of original GEF allocation.
8. Any over expenditure incurred beyond the available GEF grant amount will be absorbed by non-GEF resources (e.g. UNDP TRAC or cash co-financing);
9. Project closure will be conducted as per UNDP requirements outlined in the UNDP POPP.
10. The project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities have been completed. This includes the final clearance of the Terminal Evaluation Report (that will be available in English) and the corresponding management response, and the end-of-project review PSC meeting. The relevant parties will have already agreed and confirmed in writing on the arrangements for the disposal of any equipment that is still the property of UNDP.
11. The project will be financially closed when the following conditions have been met:
 - a) The project is operationally completed or has been cancelled;

- b) The Implementing Partner has reported all financial transactions to UNDP;
- c) UNDP has closed the accounts for the project;
- d) UNDP and the Implementing Partner have certified a final Combined Delivery Report (which serves as final budget revision);
- e) The project will be financially completed within 12 months of operational closure or after the date of cancellation. Between operational and financial closure, the implementing partner will identify and settle all financial obligations and prepare a final expenditure report.

IV. RESULTS FRAMEWORK

Intended Outcome as stated in the UNDAF/Country Programme Results and Resource Framework:							
Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets:							
Applicable Output(s) from the UNDP Strategic Plan:							
Project title and Atlas Project Number:							
EXPECTED OUTPUTS	OUTPUT INDICATORS	Data source	Baseline		TARGETS (by frequency of data collection)		DATA COLLECTION METHODS & RISKS
			Value	Year	Year 1 (2017)	Year 2 (2018)	
Result (Component) 1 The proposed amendments to regulatory framework for the management, maintenance and operation of the MAB (Multi-apartment buildings) have allowed to increase accountability and to expand opportunities for participation of owners and management bodies of condominium units in the proper maintenance and MAB operation and to create a foundation for the development	1.1. The proposals and recommendations on amendment of contents of articles (No. 2,6,23,24,25,31,32,33,34,35, 36,37,38,39,40,41,41-1,41-2,42,42-1,42-2,43,44,45,46,47,48,49,50,50-1,50-2,51) of the Law of the Republic of Kazakhstan "On Housing Relations" and respective RLA were submitted to the Ministry of Investments and Development	Expert assessment	The Articles are available in the Law of the Republic of Kazakhstan "On Housing Relations", but do not guarantee the proper management and maintenance of MAB and involvement of SME in this sector	2017	Preliminary recommendations on amendments to the Articles of the Law to ensure the proper management and maintenance of MAB and the involvement of SME in this sector submitted to the Ministry based on analysis of the experience of developed countries and proposals received from the regions of the Republic of Kazakhstan from the experts	Final recommendations on amendments to the specified Articles of the Law to ensure the proper management and maintenance of MAB and the involvement of SME in this sector submitted the Ministry taking into account the approbation in the pilot areas	Questionnaire, reports
	1.2. The Regulations of "Declaration on division of individual and in-house property in MAB" were prepared, recommendations and order on its application created	Expert assessment	There is no «Declaration on division of individual and in-house property in MAB» in Kazakhstan legislation	2017	The draft Regulations has been formed and discussed in the regions, piloting in 3 pilot regions has been initiated	Final version of the Regulations has been finalized based on results of approbation and submitted to the Ministry	Questionnaire, reports
	1.3. The proposals for introduction of effective decision-making mechanisms on management and maintenance of MAB by the apartment premises owners have been prepared	Expert assessment	Mechanisms of decision-making by the apartment owners of are inefficient for application in practice, considering the fact of apartments rent and physical absence of the owners in their owned apartments, as well as a lack of standards of housing maintenance	2017	Recommendations for reforming the decision-making mechanisms on management and maintenance of MAB by the apartments owners have been prepared, allowing to effectively resolve issues and protect the interests of the owners. Recommendations were discussed at the Round Tables in the regions	Final recommendations have been used by preparation of amendments to the relevant articles of the Law "On Housing Relations" to ensure the proper management and maintenance of MAB and the involvement of SME in this sector (Result 1.1)	Questionnaire, reports

of competition and attract business to this area	1.4. Recommendations on modes of land plots use by the condominium unit have been prepared	Expert assessment	There are problems associated with ownership of land plot and MAB maintenance on which this MAB is located, including the security and safety of personal property of apartments owners (private vehicles and etc.).	2017	The analysis of the existing situation in the Republic of Kazakhstan on use of land plot belonging to MAB (in terms of different regions) has been made. Preliminary recommendations about use modes taking into account the international experiences and established practices have been prepared and submitted to the Ministry	Final recommendations on the modes of land plot use related to MAB, including the proposals to amend the respective laws have been prepared and submitted to the Ministry of Investments and Development	Questionnaire, reports
	1.5 "Housing Maintenance Standards in the Republic of Kazakhstan" and recommendations on their use have been developed	Expert assessment	No obligatory standards	2017	Preliminary structure of the standard has been developed taking into account the international practice and submitted for discussion among the target groups	Final version of the Standard has been prepared and submitted to the Ministry	Questionnaire, reports
	1.6 Recommendations on improvement of mechanism on provision of housing from municipal housing stock for various population groups, incl. vulnerable have been prepared	Expert assessment	This mechanism is available in the country, but there are problems with its practical implementation. The baseline will be updated at the project start-up stage	2017	Estimation of the baseline has been made. The relevant international experience was studied and preliminary recommendations have been made	Final version of the recommendations have been prepared and submitted to the Ministry	Questionnaire, reports
	1.7. Regulations of setting up the value of operational costs for maintenance of the condominium units based on current cost of housing and utilities services and accumulated savings for required renovations with application of the current monthly calculation index (MCI) in the calculations have been proposed	Expert assessment	Approved methodology for estimating of operational costs for maintenance of the condominium facilities does not take into account many factors and is almost never used in practice	2017	Preliminary version of the Calculation Regulations has been prepared taking into account the existing national and international practices and submitted for discussion among the target groups	Final version of the Regulations has been prepared and submitted to the Ministry	Questionnaire, reports

Result (Component) 2 Modern information systems and technologies approved in pilot regions, and trainings conducted for the apartment owners have led to changes in their behavior in the part of management of MAB's in-house property, which allowed them to really understand and be involved in the process of MAB management	2.1. <i>Standard Regulations on MAB Council, recommendations to governing bodies of condominium units, Akimats and other stakeholders on activities of MAB Councils have been developed</i>	Expert assessment	There is no «Regulations on MAB Council». There are no recommendations on establishment and operation of such Councils in MAB	2017	Standard Regulations have been prepared taking into account the national and international practice. Approbation in the pilot regions has been initiated	Final version has been prepared taking into account the approbation in the regions and submitted to the Ministry in the form of the necessary regulatory act	Questionnaire, reports
	2.2. <i>Transparency Standard of activities of governing body of condominium unit was developed and the recommendation on its appliance were prepared</i>	Expert assessment	There is no Standard of transparency of condominium governing body activities	2017	Draft Standard has been prepared taking into account the national and international practice. Approbation in the pilot regions has been initiated	Final version has been prepared taking into account the approbation in regions and submitted to the Ministry in the form of the necessary regulatory act	Questionnaire, reports
	2.3. <i>Quality Ratings System for MAB maintenance was created and recommendations about its appliance are made</i>	Expert assessment	Different ratings systems were pilotly tested in the regions in different years, but they do not account for all factors necessary for reliable assessment and subsequent decision-making	2017	Draft Quality Assessment System has been developed taking into account the national and international practice, approbation in the pilot regions has been initiated	Final version has been prepared taking into account the approbation in regions and submitted to the Ministry in the form of the necessary regulatory act	Questionnaire, reports
	2.4. <i>Information portals on e-MAB, including decision-making on maintenance and operation of residential buildings, and also receiving necessary information materials about status and needs of housing stock for decision-making were pilotly tested (in three pilot regions)</i>	Expert assessment	There are separate developments on e-management of MAB (e.g., e-KSK, etc.) that are not currently widely applied	2017	Review of existing electronic platforms on MAB management; the concept for their improvement has been formed and the needs assessment on widespread introduction has been made. Testing of elements of e-governance in three pilot regions has been initiated	Final recommendations on application of e-MAB systems, including proposals to amend the current LSI have been formed and submitted to the Ministry	Questionnaire, reports

	2.5. Methodology for inventory of in-house property by the condominium unit with involvement of the owners of apartments was developed and the recommendations for its use were made	Expert assessment	Effective and understandable assessment of condominiums in-house property by the owners is not conducted. The owners of apartments are not involved in the assessment process	2017	Concept of inventory of in-house property with the involvement of the owners of apartments has been developed. Its approbation in the pilot regions has been initiated	Final version of the inventory methodology of in-house property with the involvement of apartments owners has been prepared taking into account the approbation results and submitted to the Ministry in the form of RLA	Questionnaire, reports.
	2.6. Information materials required for the apartments owners and governing bodies of condominiums were prepared	Expert assessment	Materials explaining the principles on participation of apartment owners in managing of in-house are issued on regular basis, but the availability of their understanding for a larger number of owners leaves much to be desired	2017	Necessary materials explaining the principles of participation of owners in management and maintenance of MAB, reflecting the problematic aspects of the current laws have been prepared, published and distributed in all regions of the country	Necessary materials explaining the principles of the participation of owners in management and maintenance of the MAB, reflecting the problematic aspects of the current laws have been prepared, published and distributed in all regions of the country	Questionnaire, reports.
Result (Component) 3. Necessary additions, modifications to the existing and developed new practices on attraction of investments in renovation, modernization and maintenance of MAB, which allowed to increase the interest of businesses in this sector, created the conditions for access to debt financing to the	3.1. Recommendations and draft Regulations on accumulation of the owners' savings for capital renovations, order of their use and control were prepared	Expert assessment	The Law "On Housing Relations" provides the establishment of savings funds of apartment owners for capital renovations of common property by opening separate accounts in second-tier bank. But widespread in the country, this practice is not adopted.	2017	Detailed analysis of the reasons of non-execution of the provision of the law 'About the Housing Relations' regarding accumulation of funds of the owners of apartments for capital renovations of the common property is made. Recommendations about change / improvement of this order taking into account national and international experience are prepared	Final version of the recommendations and the Project of the separate Provisions (in the form of LSI) on the accumulation of the owners' savings for capital renovations, the order of their use and control has been developed and submitted to the Ministry	Questionnaire, reports.
	3.2. Recommendations on the organization of debt financing for renovations of MAB and the needs of the state's participation in the mechanisms of partial interest rate subsidies for capital renovations that meet the requirements set by the state are prepared	Expert assessment	There is no precedent in practice of obtaining debt financing through the second-tier bank for renovations carry out of common property of condominium units.	2017	Detailed analysis of the reasons for the lack of a practice of debt financing for renovations of MAB is made. Preliminary recommendations on organization of this process in the country is carried out and assessment needs including assessment of participation of the state is made	Final version of the recommendations in a report is prepared and submitted to the Ministry	Questionnaire, reports.

owners, raised incentives to accumulate the funds for renovation and maintenance of MAB of the apartment owners	3.3 Recommendations on improvement of mechanisms of insurance of multi-apartment buildings during their construction and operation	Expert assessment	This mechanism is available in the country, but there are problems with its practical implementation. The baseline will be updated at the beginning of the project implementation	2017	Assessment of the baseline is made. The relevant international experience is studied and the preliminary recommendations are made	Final version of the recommendations based on consultations with key stakeholders is submitted to the Ministry	Questionnaire, reports.
	3.3. Informational materials for promotion of various mechanisms for financing renovations in MAB are prepared	Expert assessment	Informational materials explaining the various mechanisms for financing renovations of MAB are not so widespread	2017	Necessary materials explaining the various mechanisms for financing renovations of the MAB, reflecting the problematic aspects of the current laws are prepared, published and distributed in all regions of the country	Necessary materials explaining the basis of participation of the owners in management process and the maintenance of the MAB, reflecting the made changes, additions to the laws are prepared, published and distributed in all regions of the country	Questionnaire, reports.
Result (Component) 4. Transition to the professional management of the residential real property is being initiated thanks to the developed and approved model schemes of management companies.	4.1. Recommendations about standard models of management companies for the cities of various size and specifics are prepared; standard position of management company and main recommendations about activity of management companies	Expert assessment	There is no concept of 'management company' in the Law 'About the Housing Relations', but in practice such companies operate without appropriate legal framework. The activities of such companies in the field of management and maintenance of MAB is not regulated	2017	Preliminary options of standard models of management companies, model regulation on the management company and advice on their work are created. Testing of models and their elements in three pilot regions is being initiated	Final version of the recommendations about standard models of management companies, the model provisions about the management company and advice on its work based on testing in pilot areas is created and submitted to the Ministry in the form of project of LSI	Questionnaire, reports.
	4.2. Draft Regulations on certification of management companies has been prepared	Expert assessment	There are no regulations on certification of management companies	2017	Taking into account local and international experience, the proposals on options for the certification of management companies are prepared, the discussions among the target groups are made	Created final recommendations for certification of management companies are submitted to the Ministry for consideration in the form of project provision	Questionnaire, reports.
	4.3. Regulations for implementation of the model 'Meister House' for small settlements and recommendations for owners and business are prepared	Expert assessment	Model of meister house is not applied in Kazakhstan	2017	Taking into account the international experience, the proposals and recommendations for implementation of the model of the 'Master-House' (for small cities) are prepared and are submitted for discussion to the target groups. Testing in three pilot areas is being initiated	Final recommendations for the implementation of the model of the 'Master-House' taking into account results of testing and are submitted to the Ministry in the form of the corresponding LSI	Questionnaire, reports.

4.4. Training materials for management companies are prepared	Expert assessment	There are limited training materials for managing companies which are with no wide access to	2017	Materials about experience of management companies abroad are prepared, published and distributed in all regions	Materials on activity of management companies with recommendations about introduction in Kazakhstan are prepared, published and distributed in all regions	Questionnaire, reports.
4.5. Model management plans and maintenance of MAB for management companies and recommendations for their development are prepared	Expert assessment	As a rule, not available. There is no wide experience in preparation of such plans.	2017	Training events in three pilot regions for developing plans of management and maintenance of MAB for management companies are held. Recommendations for development of management companies are prepared	Final recommendations about development of management plans for management companies are prepared and submitted to the Ministry in the corresponding format	Questionnaire, reports.
4.6. Recommendations for improving the mechanism of housing assistance are prepared	Expert assessment	Mechanism of calculation of housing assistance, including for renovations of MAB is available in the country. There are factors that complicate obtaining housing assistance, especially for vulnerable segments of the population	2017	Preliminary recommendations on improving the mechanism of housing assistance in part of the interests of socially vulnerable segments of the population are prepared	Prepared final recommendations for improving the mechanism of housing assistance provided to the Ministry in corresponding format	Questionnaire, reports.
4.7. Assessment with risk analysis and recommendations to attract to Kazakhstan the international management companies for the management, maintenance and renovations of MAB is prepared; a probabilistic road map for the organization to attract such companies is prepared	Expert assessment	There is no practice of attracting foreign companies for the management, maintenance and operation of MAB	2017	Assessment of opportunities, risks and needs of the involvement of foreign companies for the management, maintenance and operation of MAB	Final recommendations for the attraction of foreign companies management, maintenance and renovations of MAB to Kazakhstan are submitted to the Ministry	Questionnaire, reports.
4.8. Recommendations for management companies about attraction of the investments to the management, maintenance and renovations of MAB, in that concerning extraction of the additional income associated with the lease of accommodations of MAB and advertising are prepared; and the use of the ESCO model and other similar models.	Expert assessment	Practice of income extraction from the use of non-residential accommodations in MAB and also form advertising exists in the country, but is not regulated and often leads to the people's dissatisfaction with the lack of transparency on the use of revenues received. Practice of application of the ESCO model in the residential sector was used only in the pilot projects, including with the support of UNDP-GEF, but is not widely distributed	2017	Review of international and local practices of obtaining of additional income from the use of the common property of the condominium units is prepared. Preliminary recommendations for organizing of receiving and use of additional income from the use of the common property are developed and discussed with target groups	Prepared final recommendations for organizing of the receiving and use of additional income from the use of the common property of the condominium units are submitted to the Ministry in corresponding format	Questionnaire, reports.

	<p>4.9. Implementation of the pilot project on complex modernization of one of the districts of the 'model city' is being initiated</p>	<p>Expert assessment, data on energy consumption</p>	<p>There is no practice of complex (areal) reconstruction of housing estates with use of energy efficient technologies (low carbon solutions) in the country</p>	<p>2017</p>	<p>Selection of the pilot site is made. The concept of the master plan for complex modernization of the pilot site is created.</p>	<p>Calculations and related design materials for the organization of carrying out a complex of works on modernization of selected pilot site are prepared.</p>	<p>Questionnaire, reports</p>
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V. MONITORING PLAN

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	The assessment of progress in the relation of achievement of key results, is based on qualitative criteria and methods of quality	Quarterly	Formation of internal reports of the project		N/A
Monitor and Manage Risk	Receiving feedback from the external environment and correction, in needed, of the design actions connected with reaction to feedback from the external environment.	Quarterly	The accounting of risks is activated in Atlas system and regularly updated by the review of the external environment capable to influence the execution of the Project	Ministry for investments and development of RK, Housing and Housing Inspectorate (in pilot regions), Association of Apartment Owners (AAO) in the regions	N/A
Learn	Knowledge, good practices and lessons will be captured regularly, incl. information from other projects and their integration into the project	At least annually	Relevant information is obtained and acquired by the team of the project and is used at decision-making	Ministry for investments and development of RK, Housing and Housing Inspectorate (in pilot regions), Association of Apartment Owners (AAO) in the regions, SME	N/A
Annual Project Quality Assurance	Project quality is assessed according to the quality standards of UNDP to identify the strengths and weaknesses of the Project, as well as the influence on the decision-making for improvement of the Project	Annually	Strengths and weaknesses are considered by the project management and used for decision-making on increase in efficiency of the project		N/A
Project Progress Report	Progress report is submitted to the CMC and key stakeholders that includes data on progress, showing the results achieved against annual targets at the component level, annual summary of quality rating of the project, updated risks, indicating the measures for the prevention, assessment or review conducted during this period	Annually and in the last year of the Project (final report)	Such review focused on the degree of achievement results	Ministry for investments and development of RK, members of Steering Committee	
Meetings of the Project Steering Committee	CMC holds meetings on the implementation of the Project on a regular basis to assess its effectiveness and review of multi-year	At least annually	Any quality issues or slower than expected, the progress should be discussed with the Project Board and management actions	With invitation Ministry for investments and development of RK, Housing and Housing Inspectorate (in pilot regions),	USD 3,000

	work plan for the reliability of the realistic budget for the implementation period of the Project. In the last year of Project implementation, the CMC conducts a final meeting to review the lessons learned and discuss opportunities for scaling and socialization of results and lessons learned of the Project with the appropriate audience		agreed to solve the identified problems.	Association of Apartment Owners (AAO) in the regions	
Extension of experience and knowledge	Project will identify, analyze, and extend the gained experience, which can be useful for the development and implementation of similar projects in the future	On a regular basis	Two-way communications between the project and stakeholders in such projects is established	Ministry for investments and development of RK, Housing and Housing Inspectorate (in pilot regions), Association of Apartment Owners (AAO) in the regions, SME	N/A
Coverage of the Project activity in media	In compliance with the guidelines for branding of UNDP, the rules of use of the UNDP logo. With the participation of other agencies and project partners in the framework of finance should similarly apply their policies and requirements for branding	On a regular basis	Publications and interview, website	Ministry for investments and development of RK	Costs for website administration
Audit	The objective of the audit is to provide UNDP with assurance as to whether the donor resources allocated to the project are being properly used	1. Once the threshold exceeds 600,000 USD of annual expenditures Or 2. In case the project expenditures reach 300,000 USD over the project lifecycle	The audit reports with the recommendations for the improvement of the project operations when the observations are made	Third party hired by UNDP country office	USD 10,000

VII. MULTI-YEAR WORK PLAN

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year		RESPONSIBLE PARTY	PLANNED BUDGET			
		Year 1	Year 2		Funding Source	Budget Description	Amount, Year 1	Amount, Year 2
Component 1: Improvement of the regulatory and legal framework regulating the sphere of housing relations	1.1 Formation of the proposals for improvement (change, supplement, adjustments and etc.) of the Law of the Republic of Kazakhstan 'About the Housing Relations' in terms of management, maintenance and operation of housing stock and other LSI related to the implementation of this Law submitted to the Ministry for subsequent submission to the Parliament of the Republic of Kazakhstan	59 000	22 000	Expert in the housing laws	RB	71400 – project staff	22 000	22 000
						71300 – local consultants	7 000	0
						72100 – contract	30 000	0
	1.2 Organization of 5 regional seminars-meetings discussion of directions of reforming of the new housing laws in the Republic of Kazakhstan	30 000	0	Expert in the housing laws	RB	71600 – missions	17 000	0
						75700 – events	8 000	0
						74200 – publications	5 000	0
	1.3 Statement 'Declaration on the delimitation of individual and common property in MAB' preparation. Formation of recommendations and regulations on its appliance	2 000	0	Expert in the housing laws	RB	71300 – local consultants	2 000	0
	1.4 Preparation of Regulation on establishment of borders and mode of use of the land plot by the condominium unit	2 000	0	Expert in the housing laws	RB	71300 – local consultants	2 000	0
	1.5 Development of 'Standards of maintenance of housing in the Republic of Kazakhstan' and recommendation about their appliance	2 500	0	Expert in the housing laws	RB	71300 – local consultants	2 500	0

	1.6 Development of regulations of size formation of operational costs on the maintenance of the condominium units taking into account operational costs on housing and utilities services rendering and savings on necessary renovation	32 000	0	Expert in the housing laws	RB	71300 – local consultants	2 000	0
						72100 – contract	30 000	0
	Organization and holding a regional seminar on discussion of the directions of reforming of the new housing laws in the Republic of Kazakhstan	23 000	0	Expert in the housing laws	RB	75700 – events	5 000	0
						71600 – missions	15 000	0
						74200 – publications	3 000	0
	Organization and holding of the Round table in Parliament	23 000	6 600	Expert in the housing laws	RB	71600 – missions	7 000	0
						74200 – publications	3 000	5 000
						74500 – other	8 000	1 600
	Monitoring	5 000	5 000	Project Manager	RB	71600 – missions	5 000	5 000
	GMS (8%)	13 880	2 688		RB	75100 – GMS	13 880	2 688
Total Component 1	173 500	33 600				187 380	36 288	
Component 2: Formation of the principles and conditions for participation of the owner in the effective management of multi-apartment buildings	2.1 Preparation of the Model Provision on the MAB Council. The formulation of the recommendations to governing bodies of condominium units, Akimats and other stakeholders about activity of the MAB Council	35 000	10 000	Expert in the housing laws	RB	71300 – local consultants	15 000	10 000
						71600 – missions	18 000	0
						75700 – events	2 000	0
	2.2 Preparation of the Standard of openness of activity of governing body by the condominium unit and the recommendation about its appliance	35 000	0	Expert in the housing laws	RB	71300 – local consultants	15 000	0
						71600 – missions	18 000	0
						75700 – events	2 000	0
	2.3 Formation of the <i>System of quality ratings of maintenance of MAB is created and</i>	35 000	10 000	Expert in the housing laws	RB	71300 – local consultants	15 000	10 000

	<i>recommendations about its appliance</i>					71600 missions –	18 000	0
						75700 events –	2 000	0
	2.4 Formation of the pilot (in 3 pilot regions) regional information portals on e-government of the MAB, including decisions on the content and operation of residential buildings, as well as obtaining the necessary information materials on the status and needs of housing stock for decision-making	51 000	5 000	Expert in the housing laws	RB	72100 contract –	40 000	5 000
						71600 missions –	5 000	0
						75700 events –	6 000	0
	2.5 Formation of the methodology of inventory of the common property of the condominium units with the involvement of owners of apartments and accommodations and recommendations on its use	30 000	0	Expert in the housing laws	RB	71300 local consultants –	10 000	0
						71600 missions –	18 000	0
						75700 events –	2 000	0
	2.6 Preparation of the necessary informational materials for the owners of apartments and accommodations, and governing bodies of the condominium units	10 000	5 000	Expert in the housing laws, PR-specialist	RB	74200 publications –	10 000	5 000
	2.7 FAM trip to study best practices of countries near and far abroad to create the MAB Council	66 000	0	Expert in the housing laws	RB	72100 contract –	30 000	0
						71600 missions –	36 000	0
	Monitoring	18 000	6 750	Project Manager	RB	71600 missions –	8 000	5 000
						74500 other –	10 000	1 750
GMS (8%)	22 400	2 940		RB	75100 GMS –	22 400	2 940	
Total Component 2	280 000	36 750				302 400	39 690	
Component 3. Development and implementation of new organizational and financial mechanisms for systematic investment in modernization of the residential buildings	3.1 Preparation of the recommendations and Provision project on the accumulation of the owners' savings for capital renovations, on the order of their use and control	22 000	22 000	Management expert in residential real estate	RB	71400 project staff –	22 000	22 000

	3.2 Preparation of the recommendations on the organization of debt financing for renovations of MAB and the needs of the state's participation in the mechanisms of partial interest rate subsidies for capital renovations that meet the requirements set by the state	65 000	42 000	Management expert in residential real estate	RB	71300 – local consultants	15 000	5 000
						72600 grants	50 000	37 000
	3.3 FAM trip to study best practices of countries near and far abroad for organizational and financial mechanisms for systematic investment in modernization of the residential buildings	0	40 000	Management expert in residential real estate	RB	72100 contract	0	20 000
						71600 missions	0	20 000
	3.4 Information materials for promotion of various mechanisms for financing of the renovations in the MAB	14 000	10 000	Management expert in residential real estate, PR-specialist	RB	74200 – publications	10 000	5 000
						74500 other	4 000	5 000
	GMS (8%)	8 080	9 120		RB	75100 – GMS	8 080	9 120
	Total Component 3	101 000	114 000				109 080	1231 120
Component 4: Development and implementation of the business models of professional organizations management	4.1 Preparation of recommendations about standard models of management companies for the cities of various size and specifics, project of the provision on management company and recommendation for management companies, project of the provision on certification of management companies	5 000	5 000	Expert in the housing laws, Management expert in residential real estate	RB	71300 – local consultants	5 000	5 000
	4.2 Preparation of model management plans and maintenance of the MAB for management companies and recommendations for their development	5 000	5 000	Management expert in residential real estate	RB	71300 – local consultants	5 000	5 000

	4.3 Preparation of recommendations to attract the international management companies to Kazakhstan for the management, maintenance and renovation of the MAB. Preparation of the 'road map' for the organization to attract such companies	0	5 000	Expert in the housing laws, Management expert in residential real estate	RB	71300 – local consultants	0	5 000
	4.4 Preparation of recommendations for management companies in attracting investments to the management, maintenance and renovations of the MAB with the use of the ESCO model and other similar models.	0	5 000	Expert in the housing laws, Management expert in residential real estate	RB	71300 – local consultants	0	5 000
	4.5 Preparation of the regulations for implementation of the model 'Master-House' for small settlements and recommendations for owners and business	20 000	20 000	Expert in the housing laws, Management expert in residential real estate	RB	72100 – contract	20 000	20 000
	4.6 Preparation of recommendations for improving the mechanism of housing assistance	5 000	5 000	Management expert in residential real estate	RB	71300 – local consultants	5 000	5 000
	4.7 Implementation of the pilot project on complex modernization of one of the districts of the 'model city'	108 340	92 524	Expert in the housing laws, Management expert in residential real estate	RB	72100 – contract	94 982	68 066
	4.8 FAM trip for the study of the best international and local experience in the models of management companies for the multi-apartment buildings	0	40 000	Management expert in residential real estate	RB	72100 – contract	0	20 000
71600 – missions						0	20 000	
	4.9 Training materials for the management companies	7 500	9 500	Expert in the housing laws, Management expert in residential real estate, PR-specialist	RB	74200 – publications	5 000	5 000
74500 – other						2 500	4 500	

	GMS (8%)	10 998	13 005		RB	75100 - GMS	10 998	13 005
	Total Component 4	148 480	175 571				148 480	175 571
Project Management	Audit	5 000	5 000	Project Manager	RB	72100 - contract	5 000	5 000
	Promo-materials	0	5 000	PR-specialist	RB	74200 - publications	0	5 000
	Office supplies	1 000	1 000	Project Assistant	RB	72500 - office supplies	1 000	1 000
	Introductory seminar	15 430	0	Project Manager	RB	71600 - missions	11 680	
						75700 - events	3 750	
	Final seminar	475	16 039	Project Manager	RB	71600 - missions	0	11 680
						75700 - events	0	3 750
						74500 - other	475	609
						74599 - DPC	21 538	11 279
	GMS (8%)	1 752	2 163		RB	75100 - GMS	1 752	2 163
	Total PM	43 443	38 318				45 195	40 481
TOTAL							792 535	415 150

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

The Project is a joint initiative of the Government of the Republic of Kazakhstan and UNDP, which is to be implemented per the following principles. The UNDP through its Country Office in Kazakhstan will implement the Project as an Executive Agency.

The Executive Agency will provide the following support services by project implementation:

- Preparation of terms of references and specifications for the equipment and good if required according to internal UNDP procurement regulations and procedures, what includes selection, contract awarding, communications with the consultants and contractors. This applies to good and services financed from the budget of UNDP and Republic of Kazakhstan as well;
- Procurement and contracts;
- Project budget and costs;
- Assistance with establishing the liaisons with national and regional partners;
- Assistance with arrangement and conducting the project events;
- Coordination with reporting, transparency, effectiveness and efficiency;
- Monitoring, assessment and project audit.

The Project Management Committee (hereinafter the PMC) is the key authority for strategic decision-making on the project. The PMC is chaired by the designated national project coordinator (NPC). PMC meetings are held at least once a year to review and approve the annual report on project implementation and to approve of the work plan for the next year. Additional meetings shall be held as required. In addition to the Ministry of Investment and Development and UNDP, the PMC will include the representatives of the following institutions:

- *The Ministry of National Economy*
- *The Ministry of Justice*
- *The Prosecutor General's Office*
- *Akimats of pilot regions*
- *Public organizations on housing issues.*

To perform specific tasks on the analysis of situations, the preparation of recommendations and proposals, the development of draft texts of normative legal documents and documents necessary for the implementation of pilot measures, business plans, joint monitoring and evaluation, training and knowledge sharing, the individual experts and companies will be invited as subcontractors in accordance with UNDP procurement procedures and rules. The subcontractor shall work according to the technical design specification and the internal rules agreed with the project management.

To implement the project, a project implementation group (hereinafter referred to as PIG) shall be created, which shall include:

- project manager,
- key expert (team-leader) on housing laws,
- key expert (team-leader) on residential property management,
- expert on economics and finance,
- purchasing specialist,
- public relations specialist,
- administrative project assistant.

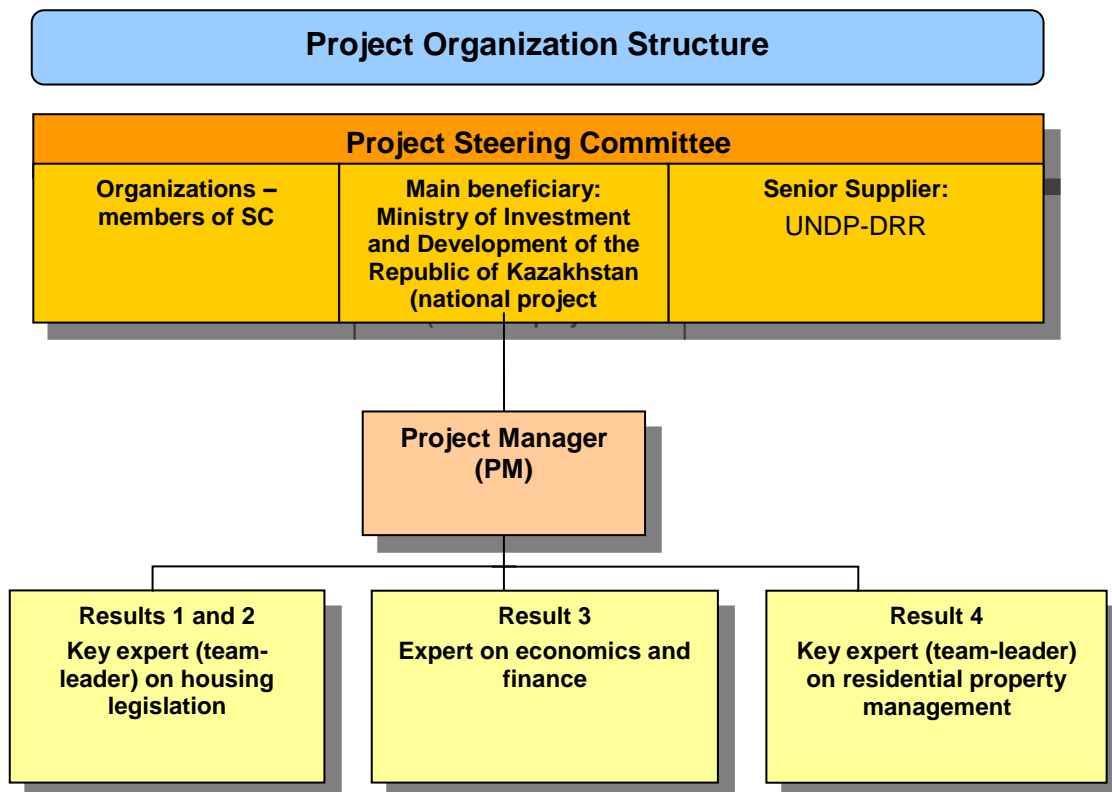
PIG shall perform the works in accordance with particular technical design specifications.

The Project shall be managed by the Project Manager with the support and in close cooperation with the Ministry (represented by the designated national coordinator) and the institutions represented in the Project Management Committee and other parties concerned, incl. the organizations of civil society. The project manager shall manage PIG, bearing responsibility for the daily activities of the project, for preparing financial and administrative reports. The project manager is responsible for the implementation of the project in the framework of PIG in accordance with the results-based management standards. The main responsibility of the PM is to ensure the achievement of the project results and the planned indicators through the implementation of the necessary actions specified in the project document, within the established time frame and within the budgetary funds.

Under the guidance of the Project Manager, in coordination with the UNDP Program Coordinator and the National Project Coordinator, PIG will carry out project activities, namely: preparation/clarification of work plans, documentation archiving, accounting, reporting, preparation of technical design specification, technical specifications and other documents (whenever necessary); search and selection of consultants, coordination and supervision of consultants and suppliers, organization of project visits, public and other project activities, networking with partners at the national and local levels. An important task of the project implementation group is to reach agreement among all the parties authorized to make decisions. To achieve these goals the following activities shall be performed:

- development and annual updating of the annual work plan (hereinafter - WP), reflecting the efforts of the project to fully integrate lessons learned into the project structure;
- monitoring and evaluation of project implementation in accordance with UNDP procedures;
- training and upgrading of the project personnel in the field of investment projects management in accordance with international standards;
- exchange of knowledge and experience and coordination with other projects and initiatives in the republic and beyond;
- audit of the financial activities of the project.

At the beginning of each year, PIG shall prepare the Annual Work Plan for approval by the PMC, which is the main document under which funds for the implementation of the planned activity are allocated. The work plan shall be prepared in close cooperation with parties concerned and be submitted to the PMC for approval. UNDP and the Ministry shall carry out periodic monitoring and evaluation of the implementation of the Work Plan. In addition, PIG shall prepare quarterly progress reports and an annual project report. These reports shall highlight the achievement of the expected results, give an explanation in case of a significant deviation from the plan. If required, necessary adjustments shall be made to the Work Plan, which shall be approved at the meeting of the PMC.



IX. LEGAL CONTEXT

LEGAL CONTEXT STANDARD CLAUSES

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

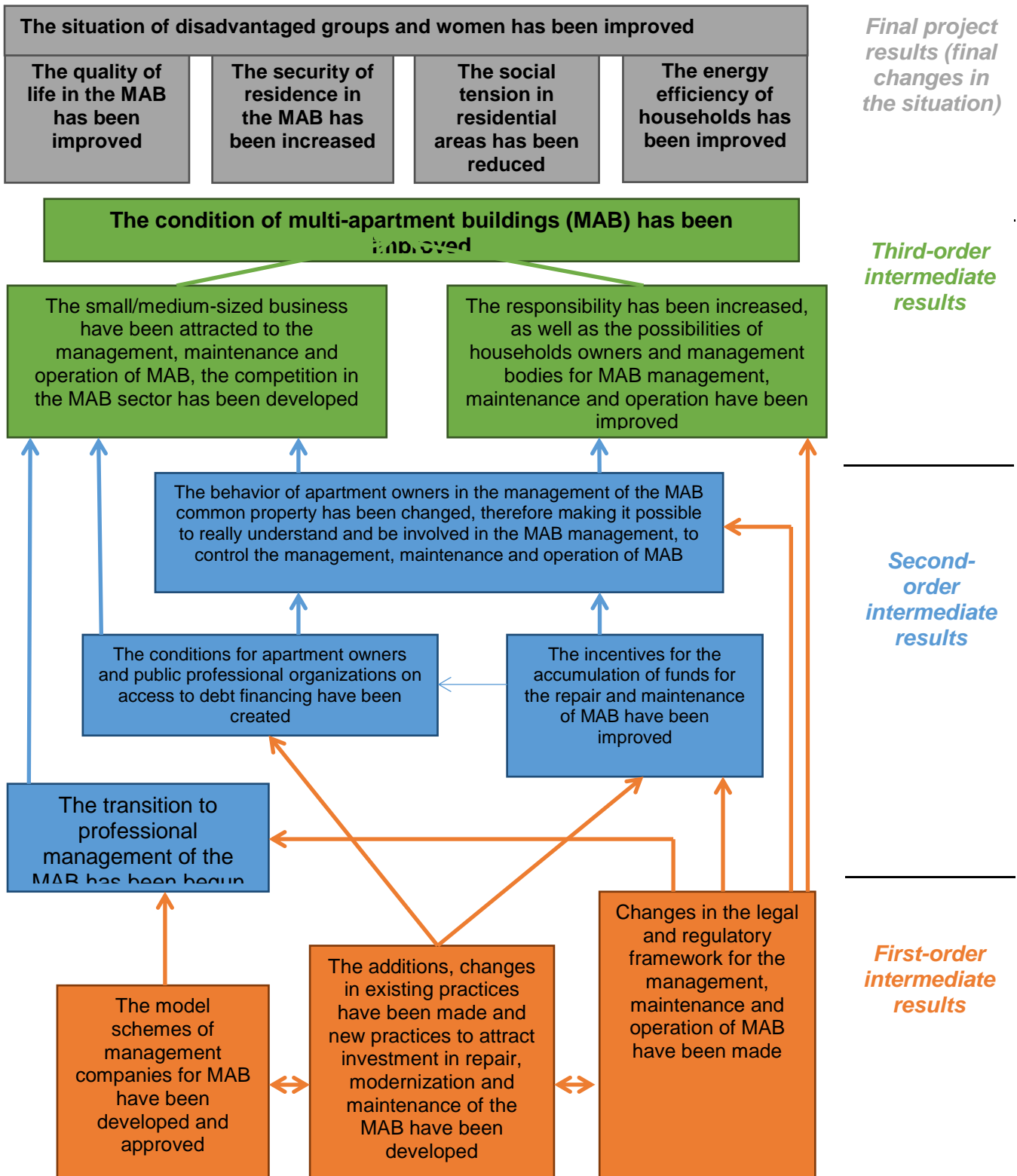
RISK MANAGEMENT STANDARD CLAUSES

1. Consistent with the Article III of the SBAA, 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 [and the Project Cooperation Agreement between UNDP and the Implementing Partner]⁸.
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.

⁸ Use bracketed text only when IP is an NGO/IGO

X. ANNEXES

Annex 1. Logical scheme of planned project results according to the ‘theory of changes’



ANNEX 2

The list of articles of the Law of the Republic of Kazakhstan 'About the Housing Relations', which will be subject to analysis and subsequent changes in the framework of the project

<i>Article Number</i>	<i>Title</i>
Article 2.	Basic concepts used in the Law
Article 3.	Housing stock of the Republic of Kazakhstan
Article 4.	Dwellings usage
Article 5.	Joint operation of an apartment building
Article 6.	Management of the housing stock and the object of the condominium
Article 8-1.	Responsibility for violation of housing laws of the Republic of Kazakhstan
Article 12.	Grounds for the emergence of ownership right to a dwelling
Article 18.	Basic rights and obligations of the dwelling owner
Article 23.	Owner's dwelling lease to other persons
Article 24.	Conditions for hiring a dwelling in which the owner does not live
Article 25.	Conditions for hiring a dwelling in which the owner permanently resides
Article 29.	Compulsory cessation of the ownership right to a dwelling
Article 31.	Formation and termination of a condominium
Article 32.	Registration of the condominium unit
Article 33.	Shares of owners of a separate premise in common property
Article 34.	Rights of owners of premises (apartments) in a condominium
Article 35.	Duties of owners of premises (apartments)
Article 36.	Obligations of non-owners of premises
Article 37.	Features of rights and obligations of owners of non-residential premises
Article 38.	Access to premises
Article 39.	Compensation for damage caused to common property or other premises
Article 40.	Redesign of premises in the condominium unit
Article 41.	Changing the boundaries between the premises, as well as between the premises and common property
Article 41-1.	State control in the sphere of housing management
Article 41-2.	Powers of officials of the housing inspection, exercising state control in the sphere of housing management
Article 42.	Forms of the condominium unit management
Article 42-1.	Meeting of premises (apartments) owners
Article 42-2.	Carrying out a written survey
Article 43.	Formation of a cooperative for premises (apartments) owners
Article 44.	Registration or re-registration of cooperatives of premises owners
Article 45.	Property of the cooperative of premises (apartments) owners
Article 46.	Charter of the cooperative of premises (apartments) owners
Article 47.	The supreme body of a cooperative for premises (apartments) owners
Article 48.	The board and the chairman of the cooperative of the premises (apartments) owners board
Article 49.	The audit commission of a cooperative for premises (apartments) owners
Article 50.	Participation of premises (apartments) owners in the costs of maintaining the common property of the condominium unit
Article 50-1.	The rights of the cooperatives of premises (apartments) owners
Article 50-2.	Report on the condominium unit management
Article 51.	Termination of a cooperative for premises (apartments) owners

ANNEX 3. List of Laws and Statutory Instruments subject to analysis and further improvement within the framework of the project

<i>Title</i>	<i>Category</i>
'About the Housing Relations'	Law of the Republic of Kazakhstan of April 16, 1997 No. 94-I
On approval of the Qualification requirements for the nominee of the chairman of cooperative's board of premises (apartments) owners recommended by the housing inspection	Order of the Chairman of the Agency for Construction and Housing and Utilities of the Republic of Kazakhstan of May 29, 2012 No. 215
On approval of the Standard form of the management agreement for the condominium unit,	Order of the Chairman of the Agency for Construction and Housing and Utilities of the Republic of Kazakhstan of March 20, 2015 No. 242
The methodology for organizing the activities of the Association of Apartment Owners (AAO) and the management bodies of the condominium unit,	Order of the Chairman of the Agency for Construction and Housing and Utilities of the Republic of Kazakhstan of December 29, 2010 No. 606
On approval of the Standard forms of the minutes of the meeting of the premises (apartments) owners and the voting sheet when conducting a written interview of the premises (apartments) owners, the report on the management of the condominium unit,	Order of the Chairman of the Agency for Construction and Housing and Utilities of the Republic of Kazakhstan of March 20, 2015 No. 243
On the approval of the Rules for the maintenance of the common property of the condominium,	Resolution of the Government of the Republic of Kazakhstan of February 19, 2015 No. 108
Methodology for calculating the cost estimates for the maintenance of the common property of the condominium,	Order of the Minister of National Economy of the Republic of Kazakhstan of March 26, 2015 No. 246
The list of premises of public buildings, which are allowed in the basement and ground floors	CONSTRUCTION NORMS AND REGULATIONS OF THE REPUBLIC OF KAZAKHSTAN PUBLIC BUILDINGS AND STRUCTURES CONSTRUCTION NORMS AND REGULATIONS OF THE REPUBLIC OF KAZAKHSTAN 3.02-02-2009 - Agency for Construction and Housing and Utilities of the Republic of Kazakhstan, - State standards in the field of architecture, town planning and construction
On the approval of the Rules for the provision of housing assistance	Resolution of the Government of the Republic of Kazakhstan of December 30, 2009 No. 2314
On the approval of the Rules for calculating the aggregate income of a family (citizen) claiming to receive housing assistance, as well as the provision of housing from the public housing stock or a dwelling leased by	Order of the Chairman of the Agency for Construction and Housing and Utilities of the Republic of Kazakhstan of December 5, 2011 No. 471

the local executive body in a private housing fund	
Rules for the provision of public services,	Approved by Resolution of the Government of the Republic of Kazakhstan of December 7, 2000 No. 1821
On approval of model cooperation agreements between the management body of the condominium unit and the market entities that supply utilities to end users	Resolution of the Government of the Republic of Kazakhstan of February 19, 2015 No. 109
On approval of the Rules for the use of thermal energy	Resolution of the Government of the Republic of Kazakhstan of June 10, 2013 No. 712
On approval of the Rules for the use of electrical energy	Resolution of the Government of the Republic of Kazakhstan of June 10, 2013 No. 713
On approval of the Standard Electricity Supply Contract	Resolution of the Government of the Republic of Kazakhstan of March 18, 2013 No. 255
On approval of the rules for the use of water supply and sanitation systems in settlements	Order of the Minister of National Economy of the Republic of Kazakhstan of February 28, 2015 No. 163
On taxes and other mandatory payments to the budget	The Code of the Republic of Kazakhstan of December 10, 2008 No. 99-IV
On approval of the Model Rules for the maintenance and protection of greenery, the rules for the improvement of the territory of cities and settlements	Order of the Minister of National Economy of the Republic of Kazakhstan of March 20, 2015 No. 235
The Code of the Republic of Kazakhstan 'On Administrative Offenses '	July 5, 2014 No. 235-V (with amendments and additions as of February 10, 2017)

ANNEX 4. Report on the project implementation quality

This type of report is prepared on an annual basis subject to the format approved by UNDP.

ANNEX 5. Risk Analysis

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
1	Insufficient capacity of local stakeholders to develop the necessary regulatory changes	March 2017	Organizational	P=5 I=3	Participation in the development of necessary regulatory changes by international experts, local practitioners with extensive experience, the use of innovative needs assessment schemes (for example, micro-narratives) to determine the necessary changes, wider involvement of public and professional organizations in problems discussing and developing proposals for regulatory changes	Project manager	On quarterly basis	On quarterly basis	As relevant
2	Insufficient understanding of the content and consequences of the introduced regulatory changes on the part of decision-makers (legislators, etc.)	March 2017	Strategic	P = 3 I = 5	Participation of project experts in consultations and round tables with decision-makers, preparation and dissemination of necessary explanatory notes, documents and results of analyzes and evaluations in formats accessible for understanding	Project manager	On quarterly basis	On quarterly basis	As relevant
3	Weak interest and motivation of apartment owners to participate in the management of condominium units	March 2017	Operational	P = 5 I = 4	Demonstration of advantages and benefits from joint management of the common property of the condominium unit (in an accessible form through training and information); adoption of necessary regulatory changes improving the participation of owners (obligations and rights) in the management of the condominium unit; popularization of the transition to the electronic management of MAB and introduction of transparency management systems	Project manager	On quarterly basis	On quarterly basis	As relevant
4	Insufficient level of interaction between the parties involved in	March 2017	Organizational	P = 5 I = 5	Providing an interactive platform for involving the parties; preparation and dissemination of the necessary explanatory notes, documents and the	Project manager	On quarterly basis	On quarterly basis	As relevant

	the decision-making process concerning housing problems				results of analyzes and evaluations carried out in formats accessible for understanding				
5	Reform of the structure of the Ministry and, as a consequence, a change in the priorities of the work – a weakening of attention to the subject of the project	March 2017	Political	P = 3 I = 4	Involving various parties concerned and ensuring their involvement in consultative processes; searching and work with potential partners interested in project results	Project manager	<i>On quarterly basis</i>	<i>On quarterly basis</i>	<i>As relevant</i>
6	The duration of the coordination of the pilot projects implementation necessary to approve the implemented mechanisms	March 2017	Organizational	P = 2 I = 2	Organization of work through the Akimats of the regions with the involvement of the regional branches of the Center for Modernization and Development of Housing and Utilities, public professional organizations (OUOK Associations) and public councils of the regions; preparation and signing of relevant memorandums of cooperation	Project manager	<i>On quarterly basis</i>	<i>On quarterly basis</i>	<i>As relevant</i>
7	Inherently negative attitude of the media when covering the issues of housing reforms	March 2017	Others	P = 1 I = 4	Active work of the project with the media, including thematic meetings with experts, media rallies and media trainings	Project manager	<i>On quarterly basis</i>	<i>On quarterly basis</i>	<i>As relevant</i>

ANNEX 6. SOCIAL AND ENVIRONMENTAL SCREENING

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

Project Information

Project Information	
1. Project Title	Improvement of housing relations system to leverage investments and development of small and medium enterprises for housing sector
2. Project Number	
3. Location (Global/Region/Country)	Kazakhstan

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

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

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

The consultations are conducted during the project preparation process in order to identify participants and their roles during the project implementation. These consultations will be conducted throughout the project cycle. The participants include the Government, the private sector, international organizations, multilateral development bodies, civil society associations.

These participants consult and will be consulted concerning various components of the project, such as the development of policies and tools. Improving the housing relations system, developing financial and business models to increase the investment attractiveness and the development of small and medium-size businesses in the housing and utilities sector, developing and implementing media campaigns, raising awareness and building the capacity of parties concerned in the housing relations system concerning the improvement of the housing sector. The mechanism for handling complaints and other possible conflict issues is established in accordance with the UNDP Social and Environmental Standards (2015)

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

The project will include the consideration of gender opportunities as a measure of support for women entrepreneurs in the framework of training and awareness of parties concerned in the housing relations system to increase the investment attractiveness and to develop small and medium-size businesses in the housing and utilities sector

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

Solution of issues of environmental sustainability in the project includes: (i) defining a measurement, reporting and verification system to stimulate investment in the housing and communal sector through the development of small and medium-sized businesses; (ii) development of policies and instruments to reduce financial risks; (iii) raising awareness among parties concerned in housing relations and (iv) creation of modern information systems and technologies for managing and maintaining housing stock in the urban environment. The overall result of these actions will be significant, sustained and positive changes in the lives of people living in the MAB, which also includes disadvantaged groups and women. These changes in particular include an increase in the quality of life and improved security of residence in the MAB, reduction of social tension and increase of the energy efficiency of households.

Part B. Identifying and Managing Social and Environmental Risks

<p>QUESTION 2: What are the Potential Social and Environmental Risks?</p> <p><i>Note: Describe briefly potential social and environmental risks identified in Attachment 1 – Risk Screening Checklist (based on any “Yes” responses). If no risks have been identified in Attachment 1 then note “No Risks Identified” and skip to Question 4 and Select “Low Risk”. Questions 5 and 6 not required for Low Risk Projects.</i></p>	<p>QUESTION 3: What is the level of significance of the potential social and environmental risks?</p> <p><i>Note: Respond to Questions 4 and 5 below before proceeding to Question 6</i></p>			<p>QUESTION 6: What social and environmental assessment and management measures have been conducted and/or are required to address potential risks (for Risks with Moderate and High Significance)?</p>
<p>Risk Description</p>	<p>Impact and Probability (1-5)</p>	<p>Significance (Low, Moderate, High)</p>	<p>Comments</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: The project may discriminate against women in terms of access to opportunities and benefits</p>	<p>I = 1 P = 1</p>	<p>Low</p>	<p>In some regions of the country (mainly in the south and west), society is still influenced by traditional gender roles and norms that ascribe women to the role of keeper of the hearth and caring for children. Women are not regarded as leaders in the public sphere, and such traditional attitudes lead to women perceiving discrimination as a ‘normal’ part of life</p>	<ul style="list-style-type: none"> • The project will analyze any gender differences in access to finance and capacity building, and the development of gender-specific data and indicators to ensure equal gender representation in the selection of the funding process • Potential capacity building included in the project that will ensure the participation of women, in which training and awareness-raising will be conducted
<p>Risk 2: Carrying out repairs to households with the use of small RES in a housing stock may pose a threat to the security of communities.</p>	<p>I = 1 P = 1</p>	<p>Low</p>	<p>Workers may not have sufficient experience and training in the field of repairs and proper installation and</p>	<ul style="list-style-type: none"> • Only legally registered contractors are allowed to repair houses and install necessary equipment (including RES and others). Confirmation of experience and qualifications is required from the contractor prior to awarding the contract for retrofitting. • The developers/owners will be called upon to conduct orientation and training.

			management of facilities, including RES	<ul style="list-style-type: none"> Selected technologies for repair works on pilot demo projects have low environmental risks
Risk 3: The risk of non-involvement of interested target groups in the process of socially significant changes in housing laws.	I = 1 P = 1	Low	Inadequate counseling or lack of consultation can lead to the exclusion of participants, for example, women's committees, civil organizations and SPAs from the process of contributing to the development of policies and tools to attract business to housing management and maintenance.	The consultations were conducted during the project preparation in order to identify participants and their roles in the project implementation. These consultations will be conducted throughout the project cycle. Consultations on various components of the project will be developed taking into consideration a gender issues, with coverage and sensitivity to the needs of participants. The mechanism for resolving possible conflict issues during implementation is included in the project plan
Risk 4: Sensitivity to climate change	I = 1 P = 1	Low	Climate change in Kazakhstan is accompanied by an increase in the amplitude of daily and annual air temperatures, an increase in the frequency of adverse weather events (heavy fallouts, droughts, winds, etc.). This will require more rapid modernization of existing buildings, adapted to these changing conditions (walls thermal insulation, roof hardening, basements waterproofing, regulation of heating, cooling, etc.). All this can lead to increased demand for the modernization of buildings and their appropriate effective management.	Analysis of the situation at the beginning of the project and a baseline assessment will provide a better understanding of the impact of climate change on the multi-apartment buildings sector. This will be of value for future project activities, but the overall impact of climate change on the situation related to the repairs and management of multi-apartment buildings is beyond the scope of this project
Risk 5: Waste generation as a result of implementation of demonstration initiatives in pilot areas (residential buildings).	I = 3 P = 1	Low	Dismantling of roofing elements and replacement of existing hot water pipes	Recipients of financing for repairs in residential buildings will have to remove the waste generated as a result of construction works in accordance with the applicable rules. Disposal of

		as part of the modernization will lead to waste generation	waste/construction waste will be the part of conditions for the provision of funds and a repair contract awarding to the contractor. This will be achieved through selection criteria and environmental/social guarantees provided by the financial mechanism
QUESTION 4: What is the overall Project risk categorization?			
Select one (see SESP for guidance)			Comments
<i>Low Risk</i>		<input checked="" type="checkbox"/>	Elimination of regulatory, legal, financial and technical barriers, and creation of an enabling environment for investments in the residential sector do not have any significant risks of negative social and environmental impacts.
<i>Moderate Risk</i>		<input type="checkbox"/>	
<i>High Risk</i>		<input type="checkbox"/>	
QUESTION 5: Based on the identified risks and risk categorization, what requirements of the SES are relevant?			
Check all that apply			Comments
<i>Principle 1: Human Rights</i>		<input checked="" type="checkbox"/>	The project will promote wider involvement of the population in the management, maintenance and operation of residential buildings and will strengthen the implementation of the legitimate rights of citizens in making decisions about their homes.
<i>Principle 2: Gender Equality and Women's Empowerment</i>		<input checked="" type="checkbox"/>	When implementing the project, all possible measures will be taken to exclude the possibility of discrimination against women during consultations, development of decisions on changing housing laws, selection of pilot areas and implementation of demonstration initiatives.
<i>1. Biodiversity Conservation and Natural Resource Management</i>		<input type="checkbox"/>	
<i>2. Climate Change Mitigation and Adaptation</i>		<input checked="" type="checkbox"/>	The need to adapt multi-apartment buildings to changing climatic conditions can create an additional incentive for an accelerated transition to professional management of residential real estate, including the attraction of business in this area. This aspect of the problem will be used in the activities of the project in order to convince key parties concerned to adopt appropriate solutions.
<i>3. Community Health, Safety and Working Conditions</i>		<input type="checkbox"/>	

	4. Cultural Heritage	<input type="checkbox"/>	
	5. Displacement and Resettlement	<input type="checkbox"/>	
	6. Indigenous Peoples	<input type="checkbox"/>	
	7. Pollution Prevention and Resource Efficiency	X	The transition to the professional management of residential real estate and the involvement of businesses in this area will promote the improvement of the housing funds condition through its modernization (renovation), which in its turn will reduce the pollution of the urban environment through more efficient use of resources that are spent on energy supply and water supply of residential buildings.

Final Sign Off

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

Social and Environmental Risk Screening Checklist

Checklist Potential Social and Environmental Risks		Answer (Yes/No)
Principles 1: Human Rights		
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? ⁹	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?	No
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? <i>For example, through habitat loss, conversion or degradation, fragmentation, hydrological changes</i>	n/a
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?	n/a
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)	n/a
1.4	Would Project activities pose risks to endangered species?	n/a
1.5	Would the Project pose a risk of introducing invasive alien species?	n/a
1.6	Does the Project involve harvesting of natural forests, plantation development, or reforestation?	n/a

⁹ 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.

1.7	Does the Project involve the production and/or harvesting of fish populations or other aquatic species?	n/a
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>	n/a
1.9	Does the Project involve utilization of genetic resources? (e.g. collection and/or harvesting, commercial development)	n/a
1.10	Would the Project generate potential adverse transboundary or global environmental concerns?	n/a
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>	n/a
Standard 2: Climate Change Mitigation and Adaptation		
2.1	Will the proposed Project result in significant ¹⁰ 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?	n/a
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)?	n/a
3.3	Does the Project involve large-scale infrastructure development (e.g. dams, roads, buildings)?	n/a
3.4	Would failure of structural elements of the Project pose risks to communities? (e.g. collapse of buildings or infrastructure)	n/a
3.5	Would the proposed Project be susceptible to or lead to increased vulnerability to earthquakes, subsidence, landslides, erosion, flooding or extreme climatic conditions?	n/a
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)?	No
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

¹⁰ 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.]

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? ¹¹	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)?	n/a
6.2	Is it likely that the Project or portions of the Project will be located on lands and territories claimed by indigenous peoples?	n/a
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>	n/a
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?	n/a
6.5	Does the proposed Project involve the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	n/a
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?	n/a
6.7	Would the Project adversely affect the development priorities of indigenous peoples as defined by them?	n/a
6.8	Would the Project potentially affect the physical and cultural survival of indigenous peoples?	n/a
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?	n/a
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)?	No
7.3	Will the proposed Project potentially involve the manufacture, trade, release, and/or use of hazardous chemicals and/or materials? Does the Project propose use of chemicals or materials subject to international bans or phase-outs? <i>For example, DDT, PCBs and other chemicals listed in international conventions such as the Stockholm Conventions on Persistent Organic Pollutants or the Montreal Protocol</i>	No
7.4	Will the proposed Project involve the application of pesticides that may have a negative effect on the environment or human health?	No

¹¹ 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.

7.5 Does the Project include activities that require significant consumption of raw materials, energy, and/or water?	No
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ANNEX 7. STANDARD LETTER OF AGREEMENT BETWEEN UNDP AND THE MINISTRY OF ENERGY OF THE REPUBLIC OF KAZAKHSTAN FOR THE PROVISION OF SUPPORT SERVICES

1. Reference is made to consultations between officials of the Government of the Republic of Kazakhstan (hereinafter referred to as “the Government”) at the Ministry of Energy of the Republic of Kazakhstan (MoE) and officials of UNDP with respect to the provision of support services by the UNDP country office for nationally managed programmes and projects. UNDP and the MoE hereby agree that the UNDP country office may provide such support services at the request of the MoE through its institution designated in the relevant project document of the joint project of the UNDP and the MoE “Derisking Renewable Energy Investment” (Atlas ID: 00101058), as described below.

2. The UNDP country office may provide support services for assistance with reporting requirements and direct payment. In providing such support services, the UNDP country office shall ensure that the capacity of the Government-designated institution is strengthened to enable it to carry out such activities directly. The costs incurred by the UNDP country office in providing such support services shall be recovered from the administrative budget of the office.

3. The UNDP country office may provide, at the request of the designated institution, the following support services for the activities of the project:

- (a) Identification and recruitment of project personnel; handling administrative issues related to the project personnel;
- (b) Identification and facilitation of training activities, seminars and workshops;
- (c) Procurement of goods and services;
- (d) Processing of direct payments.

4. The procurement of goods and services and the recruitment of project personnel by the UNDP country office shall be in accordance with the UNDP regulations, rules, policies and procedures. Support services described in paragraph 3 above shall be detailed in an annex to the project document, in the form provided in the Attachment hereto. If the requirements for support services by the country office change during the life of a project, the annex to the project document is revised with the mutual agreement of the UNDP resident representative and the designated institution.

5. The relevant provisions of the Standard Basic Assistance Agreement (SBAA) between with the Government of the Republic of Kazakhstan and the UNDP, signed by the Parties on 5 October 1992, including the provisions on liability and privileges and immunities, shall apply to the provision of such support services. The Government shall retain overall responsibility for the nationally managed project through its designated institution. The responsibility of the UNDP country office for the provision of the support services described herein shall be limited to the provision of such support services detailed in the annex to the project document.

6. Any claim or dispute arising under or in connection with the provision of support services by the UNDP country office in accordance with this letter shall be handled pursuant to the relevant provisions of the SBAA.

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

8. The UNDP country office shall submit progress reports on the support services provided and shall report on the costs reimbursed in providing such services, as may be required.

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

10. If you are in agreement with the provisions set forth above, please sign and return to this office two signed copies of this letter. Upon your signature, this letter shall constitute an agreement between the MoE and UNDP on the terms and conditions for the provision of support services by the UNDP country office for nationally managed project the United Nations Development Programme (UNDP) and the MoE (Ministry of Energy of the Republic of Kazakhstan) “Derisking Renewable Energy Investment”.

ANNEX 7-1. DESCRIPTION OF UNDP COUNTRY OFFICE SUPPORT SERVICES

1. Reference is made to consultations between the Ministry of Energy of the Republic of Kazakhstan (MoE), the institution designated by the Government of Kazakhstan, and officials of UNDP with respect to the provision of support services by the UNDP country office for the nationally managed project of UNDP and the MoE of Kazakhstan “Derisking Renewable Energy Investment” (Atlas ID: 00101058), or “the Project”.

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

3. Support services to be provided, including:

Support services	Schedule for the provision of support services	Cost to UNDP of providing such support services (where appropriate)	Amount and method of reimbursement of UNDP (where appropriate)
Payment Process	Ongoing throughout implementation when applicable	As per the UPL- US\$ 32.49 for each	UNDP will directly charge the project upon provision of services, on a quarterly basis.
Vendor profile entry in ATLAS	Ongoing throughout implementation when applicable	As per the UPL- US\$ 16.72 for each	As above
Project personnel selection and/or recruitment process * Task Manager: Large-scale renewable energy * Task Manager: Small-scale renewable energy development * Small-scale renewable energy analyst	Start of project	As per the UPL- US\$ 491.63	As above
Staff HR & Benefits Administration & Management (one time per staff including medical insurance enrolment, payroll setup and separation process)	Ongoing throughout implementation when applicable	As per the UPL- US\$ 173.02 for each	As above
Recurrent personnel management services: Staff Payroll & Banking	Ongoing throughout implementation when applicable	As per the UPL- US\$ 381.93 for each	As above

Support services	Schedule for the provision of support services	Cost to UNDP of providing such support services (where appropriate)	Amount and method of reimbursement of UNDP (where appropriate)
Administration & Management (per staff per calendar year)			
Consultant recruitment	Ongoing throughout implementation when applicable	As per the UPL- US\$ 192.76 for each	As above
Procurement of goods and services involving local CAP	Ongoing throughout implementation when applicable	As per the UPL- US\$ 444.18 for each purchasing process	As above
Procurement of goods and services not involving local CAP	Ongoing throughout implementation when applicable	As per the UPL- US\$ 179.38 for each purchasing process	As above
Issue/Renew IDs (UN LP, UN ID, etc.)	Ongoing throughout implementation when applicable	As per the UPL- US\$ 32.55 for each	As above
F10 settlement	Ongoing throughout implementation when applicable	As per the UPL- US\$ 26.81 for each	As above
Visa request	Ongoing throughout implementation when applicable	US\$ 46.98 for each	As above
Hotel reservation	Ongoing throughout implementation when applicable	US\$ 13.16 for each	As above
Travel Ticket processing	Ongoing throughout implementation when applicable	US\$ 36.97 for each	As above

Total amount for support services shall not exceed 32,817 USD.

ANNEX 8. Regulations of the Project Steering Committee and Terms of References for Key Project Staff

8.1 Regulations of the Project Steering Committee (PSC)

1. General provisions

1.1. PMC has been created based on the project document approved by the Ministry of Investment and Development of the Republic of Kazakhstan (RK) and UNDP.

1.2. This document lists the main objectives, structure, arrangement and procedure of PMC meetings, functions and rights of their participants.

1.3. The Provisions of this document (hereinafter - Provisions) cover the activities of all PMC participants.

1.4. PMC is a supervising and governing body, which provides political support for the Project and makes corrective actions.

1.5. PMC operates on the basis of the Constitution of the Republic of Kazakhstan, orders and decrees of the President of the Republic of Kazakhstan, ordinances and resolutions of the Government of the Republic of Kazakhstan as well as on the basis of this Regulation.

1.6. PMS activities are based on transparency and freedom of discussion principles.

2. The main objectives of the Project Management Committee include:

2.1. revision, assessment and development of recommendations and offers relating to the main directions of the project studies and activities including development of the draft regulatory documents, legislative acts and technical certificates, which cover issues of technical regulation of equipment and materials;

2.2. consultancy and expert support, development of recommendations and offers relating to the subject, contents, amount and deadlines of the specific stages of the project studies and activities.

2.3. revision and assessment of the result of project studies and activities including development of draft regulatory documents, legislative acts and technical certificates, which cover issues of technical regulation.

3. The main functions of the Project Management Committee include:

3.1. General management of the project implementation;

3.2. Identification of the main project directions and high level control of the project implementation;

3.3. Revision and approval of the annual project plans and funding;

3.4. Revision and approval of the annual reports on the activities of the project team;

3.5. Ensuring interrelation of the project and current initiatives, programs, projects and other additional projects;

3.6. Ensuring cooperation between national institutions involved to the activities of the project implementation;

3.7. Ensuring access to all documents and information, which is stored in different state institutions and required for the project control and implementation;

3.8. Ensuring involvement to the project of different governmental and non-governmental stakeholders;

3.9. Provide methodology and organization support for implementation of the project activities by the project team;

3.10. Act as the main authority of activities coordination and lobbying the needs of the project in order to provide political, regulatory, legal and financial support of the Republic of Kazakhstan government;

3.11. Attract additional funds to maintain project results and activities after the financing of the project will be stopped.

4. The structure of the Project Management Committee

4.1. It is the chairman, who is responsible for overall management of PMC. The position of PMC chairman is held by the Project National Coordinator appointed by the Ministry of Investment and Development.

4.2. Despite of the representative of the Ministry of Investment and Development (the appointed Project National Coordinator), PMC consists of the representatives of the following organizations:

- *UNDP*
- *Ministry of the National Economy*
- *Ministry of Justice*
- *Ministry of Finance*
- *Ministry of Labour and Social Protection of Population*
- *Committee of Land Management of the Ministry of Agriculture*
- *General Prosecutor's office*
- *Public organizations.*

4.3. Different organizations and individual experts involved to the project implementation can be invited to participate in PMC meeting aimed to resolve specific tasks.

4.4. Organizational and technical support of PMC is provided by the Project Implementation Team (PIT).

5. Organization and procedure of meetings of the Project Management Committee.

5.1. The form of PMC activities is the meetings, which are conducted in accordance with the approved procedures at least once a year or more frequently (if necessary).

5.2. PMC meetings are deemed legally valid, when quorum amounts at least 2/3 of all members.

5.3. PMC decisions are made by voting during the meetings. During the meetings PMC members shall tend to make decisions of the basis of consensus.

5.4. All PMC decisions are recorded in the Minutes of the meeting, which shall be signed by the Chairman of PMC and the secretary;

5.5. The decisions made during PMC meetings are binding for the project team and for PMC members' organizations;

5.6. The project team shall arrange and conduct the meetings by doing the following actions:

- analysis of information provided by the organizations-members as well as preparing agenda and necessary materials;
- provision of draft agenda including attachments (reports, reference materials, other information) for revision and approval of PMC representative or his/her representative (upon the order of PMC Chairman);
- preparing materials for provision to PMC members;
- sending to PMC members the notifications on date and place of the meetings, provision of agenda and main materials at least 10 days prior to the date of meeting;
- making decisions based on the agenda and execution of the Minutes of PMC meeting.

6. Rights and obligations

6.1. In scope of their duties PMC members have rights and obligations and bear responsibility in accordance with the laws of the Republic of Kazakhstan, other regulatory documents, legal acts and this Regulation.

6.2. PMC members have the right to:

- 6.2.1. participate all PMC meetings;
- 6.2.2. receive any information on PMC activities;
- 6.2.3. trigger decisions making by PMC;
- 6.2.4. realize other powers.

6.3. PMC Chairman:

6.3.1. determines internal procedures of PMC and appoints persons responsible for control of measures implementation;

6.3.2. chairs PMC meetings;

6.3.3. if necessary, initiates extraordinary PMC meetings;

6.3.4. maintain constant contact with PMC members and the Project Manager;

6.3.5. contributes to information sharing between PMC members;

6.3.6. specifies the dates of PMC meetings in cooperation with the Project Manager;

6.3.7. reviews and approves agenda for PMC meetings;

6.3.8. coordinates events of PMC, which are intended to ensure implementation of PMC activities and provides all necessary support to implement the project successfully;

- 6.3.9. bears responsibility for in-time sending of notification (at least 10 days prior) to PMC members on the coming meeting and for provision of the agenda;
- 6.3.12. acts as PMC representative for cooperation with other organizations.

7. Control of the activities

7.1. PMC activities are regulated with this Regulation.

7.2. Activities of PMC shall be assessed during the scheduled meetings of PMC immediately after hearing the annual report.

8.2. TERMS OF REFERENCES for key project staff

For Project Manager

I. Position Information	
Position Title: SC range: Project Title/Department: Duration of the service: Work status: Reports To:	Project Manager SB-4 Derisking Renewable Energy Investment in Kazakhstan/Renewable Energy Unit 1 year (with possible extension subject to satisfactory performance) Full-time UNDP Programme Officer
II. Background	
Under the supervision of UNDP Kazakhstan, the Project Manager (PM) manages the project implementation is responsible for overall assurance of the project	
III. Functions / Key Outputs Expected	
<p>Specific Responsibilities</p> <ul style="list-style-type: none"> • Ensure that there is a coherent project organization structure and logical set of plans • Approve and sign basic project and financial documents and other plans as required • Monitor and control the progress of the project at a strategic level • Ensure that risks are being tracked and mitigated as effectively as possible • Brief Project Steering Committee (PSC) and relevant stakeholders about project progress • Organize and chair Project Steering Committee meetings <p>Running the project</p> <ul style="list-style-type: none"> • Plan the activities of the project and monitor progress against the initial quality criteria; • Mobilize goods and services to initiative activities, including drafting TORs and work specifications; • Manage requests for the provision of financial resources by UNDP, using advance of funds, direct payments, or reimbursement using the IPSAS; • Manage and monitor the project risks as initially identified in the Project Document, submit new risks to PSC for consideration and decision on possible actions if required; update the status of these risks by maintaining the Project Risks Log; • Be responsible for managing issues and requests for change by maintaining an Issues Log; • Prepare the Quarterly Project Report (progress against planned activities, update on Risks and Issues, expenditures in UNDP format) and Quarterly Operational Report and submit the reports to the Project Assurance team; • Prepare the Annual Review Report (UNDP format) and Project Implementation Report (GEF format) and submit reports to the Project Assurance team and GEF; based on the ARR, prepare the Annual Work Plan (AWP) and Annual Plan of Activities and Procurement Plan for the project years; 	

- Monitors the implementation of project components, analyses problems that hamper their implementation and takes appropriate measures to ensure timely delivery of required inputs and achievement of project-wide results;
- Monitor financial resources and accounting to ensure accuracy and reliability of financial reports, including proper utilization of funds and delivery, budget revisions, availability of funds, reconciliation of accounts, establishment of internal control mechanisms. Acts as a focal point to liaise with auditors and ensures follow-up actions. Ensures the accuracy and reliability of financial information and reporting;
- Sign annual CDRs with UNDP and the Implementing Partner national agency;
- Monitors and facilitates advocacy and mass media outreach activities, writes success stories, newspapers coverage, PR campaigns;
- Organize workshops, seminars and round tables to introduce project outputs to all stakeholders involved. Render support to related UNDP thematic activities such as publications, sharing of knowledge and group discussions;
- Liaises with other UNDP and UNDP-GEF funded projects to implement possible synergies and reports to UNDP Programme Officer and NPC on conducted activities;
- Undertake resource mobilization activities to be built on the project achievement that contribute to project scaling-up and replication

Closing the Project

- In cooperation with the UNDP CO and national project experts, develop a suitable project exit strategy during the last year of the project, and present it for approval to the UNDP Regional Center in Istanbul;
- Ensure proper operational, financial and programmatic closure of the project;
- Prepare Final Project Review Reports to be submitted to the PSC;
- Identify follow-on actions and submit them for consideration to PSC;
- Manage the transfer of project deliverables, documents, files, equipment and materials to national beneficiaries;
- Prepare final CDR for signature by UNDP and the Implementing Partner.

IV. Competencies

Corporate Competencies:	<ul style="list-style-type: none"> • Demonstrates commitment to UNDP's mission, vision and values; • Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability; • Demonstrating/safeguarding ethics and integrity; • Demonstrate corporate knowledge and sound judgment; • Self-development, initiative-taking; • Acting as a team leader and facilitating team work; • Facilitating and encouraging open communication in the team, communicating effectively; • Creating synergies through self-control; • Managing conflict; • Learning and sharing knowledge and encourage the learning of others; • Informed and transparent decision making
Functional Competencies:	<p><i>Communications and Networking</i></p> <ul style="list-style-type: none"> • Has excellent oral communication skills and conflict resolution competency to manage inter-group dynamics and mediate conflicting interests of varied actors; • Has excellent written communication skills, with analytic capacity and ability to synthesize project outputs and relevant findings for the preparation of quality project reports; • Maturity and confidence in dealing with senior and high ranking members of national and international institutions, government and non-government.

	<p><i>Knowledge Management and Learning</i></p> <ul style="list-style-type: none"> • Promotes a knowledge sharing and learning culture in the team through leadership and personal example; • Actively mentoring project staff under her/his supervision; • Leadership and Self-Management; • Focuses on result for the client and responds positively to feedback; • Consistently approaches work with energy and a positive, constructive attitude; • Remains calm, in control and good humored even under pressure; • Competent in leading team and creating team spirit, stimulating team members to produce quality outputs in a timely and transparent fashion. <p><i>Development and Operational Effectiveness</i></p> <ul style="list-style-type: none"> • Ability to organize and complete multiple tasks by establishing priorities; • Ability to handle a large volume of work possibly under time constraints. <p><i>Job Knowledge/Technical Expertise</i></p> <ul style="list-style-type: none"> • Understands the main processes and methods of work regarding to the position • Strives to keep job knowledge up-to-date through self-directed study and other means of learning; • Demonstrates good knowledge of information technology and applies it in work assignments. <p><i>Leadership and Self-Management</i></p> <ul style="list-style-type: none"> • Builds strong relationships with clients, focuses on impact and result for the client and responds positively to feedback; • Consistently approaches work with energy and a positive, constructive attitude; • Demonstrates good oral and written communication skills.
V. Qualifications Requirements	
Education:	PhD degree in the following areas: engineering, environmental science, international relations, business administration or other relevant fields.
Experience:	At least 10 of years of relevant experience. Practical experience in project management. Working experience in international organizations is an advantage.
Language Requirements:	Excellent command of spoken and written English, Kazakh and Russian are essential
Others:	<ul style="list-style-type: none"> • Sound experience in the project management associated with climate change adaptation, environment protection and corresponding sustainable development and corresponding UN conventions and treaties; • Knowledge of and experience in gender mainstreaming is an asset; • Proven experience in working and collaborating with governments; • Initiative and strong leadership skills; • Result and client-orientations;

	<ul style="list-style-type: none"> • Strong analytical, communication, writing, presentation and communication skills; • Excellent interpersonal and cross cultural communication skills, ability to work in a team and to work under pressure and with tight deadlines, ethics and honesty; • Ability to use information and communication technology as a tool and resource; • Willingness to travel as appropriate
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For Housing Legislation Expert (Team-Leader)

I. Job Information	
Job title:	Housing laws expert (team leader)
Type:	SB-3
Project/department title:	UNDP - Kazakhstan Staff member
Tenure of employment:	1 year (with optional extension provided satisfactory work)
Place of work:	Astana
Accountability:	Project Manager
II. General Information	
<p>Under the supervision of Project Manager the housing laws expert provides instant and issue-related services that guarantee high quality, accuracy and operating sequence. Housing laws expert works closely with governmental partners, project and operating staff of the CO program for information interchange and providing multistage servicing and performing routine duties to maintain instant and thematic accessory services for satisfactory accomplishment of the project parts final results.</p>	
III. Functions / Expected basic results	
<p>1. Improvement of legal and regulatory framework to promote and provide efficient management, maintenance and exploitation of multi-apartment buildings concerning:</p> <p>a) encouragement of responsibility and extension of apartment owners and condominium units participation in due maintenance and exploitation of multi-apartment buildings, b) creating foundation for competition development and involving business in managing multi-apartment buildings,</p> <p>c) distinction between individual and common property in specific multi-apartment buildings,</p> <p>d) ground area usage mode by condominium unit,</p> <p>e) increase of possibilities of the new RoK Housing Relations Act and standards in housing and utilities sector,</p> <p>f) arrangement of Apartment and Premises Owners Council activity,</p> <p>g) improvement of housing assistance arrangement;</p> <p>2. Participation in collection, analysis and distribution of results and project lessons for the purpose of efficient replication in Kazakhstan</p>	
<u>Expected results:</u>	
<p>1. Making suggestions in upgrading (changing, supplementing, correcting, etc.) the RoK Housing Relations Act concerning management, maintenance and operation of the housing fund, as well as the other Laws and Statutory Instruments (LSI) related to the implementation of the present Act,</p> <p>2. Preparing Declaration on Distinction Between Individual and Common Property in Multi-Apartment Buildings Regulation, making recommendations and orders on the appliance,</p> <p>3. Preparing recommendations on ground area usage mode by condominium unit,</p> <p>4. Developing standards of accommodation maintenance in RoK and standard of condominium units disclosed activity, with recommendations on their appliance,</p> <p>5. Preparing order of setting exploitation costs for condominium unit maintenance taking into account current costs for rendering housing and utilities savings for the renovation needed,</p> <p>6. Preparing typical Multi-apartment Buildings Council Regulation,</p>	

7. Preparing recommendations on Criminal Code typical models for cities of various sizes and characters, Criminal Code certification exposure draft,
8. Preparing recommendations for improvement of housing assistance arrangement.
9. Participation in implementation of the pilot project on all-round modernization of one of the 'typical city' districts

Operating functions:

1. Contribution to introductory stage, periodic review of Project implementation and recommendations on improvement
 - Project introductory stage assistance, working up introductory report and participation in introductory workshop;
 - Coordination with the working project and team in order to track the progress, assistance in planning and discovering of key technical problems (if there are any) and ways of their solution;
 - Participation, when it is possible, in Project Managing Committee sessions and other project meetings;
 - Assistance in learning key lessons and replication plan developments for other regions and communities in Kazakhstan. As part of replication strategy provision of assistance in replication materials development for wider distribution and appliance of project results and received lessons;
 - In cooperation with project group and CO UNDP, development of appropriate project completion strategy and presenting it for approval to Project Management Committee (PMC) session.
2. Assistance in planning, staff recruitment, monitoring and estimation
 - Support and consulting assistance in preparation or reconsideration such key documents in planning and estimation as annual project plan (APP), annual working schedule (AWS), project implementation reviews (PIR), reports on the progress of the project implementation, monitoring and overview reports, etc.;
 - Assistance in development of corresponding technical tasks for national and international experts and organizations that are necessary for rendering specific consulting services;
 - Support of Project Manager in preparation and midrange and final estimate implementation (field mission escort and, in case of need, discussion with estimators, etc.).

IV. Requirements to skill level

Education:	Higher education in Law
Work experience:	<ul style="list-style-type: none"> • At least 5 years of legal advice experience in housing and utilities sector, • Experience in Laws and Statutory Instruments development, • Knowledge of housing, corporate law, labor relations, civil, and RoK Housing Relations law of arbitral procedure, legislative acts regulating condominiums activity
Requirements to level of language proficiency:	Written and spoken Russian knowledge. Kazakh and English knowledge is an advantage. Excellent analytical and presentation skills
Other:	Good understanding of the current situation in Housing and Utilities Sector in multi-apartment buildings management. Excellent organizational and interpersonal skills. Ability to work in team. Good computer skills (Word, PowerPoint, Outlook Express, Internet Explorer and other software products)

For Expert (team leader) on residential property management

I. Job Information

Job title:	Expert (team leader) in residential real estate management
Type:	SB-3
Project/department title:	UNDP - Kazakhstan
Tenure of employment:	1 year (with optional extension provided satisfactory work)
Place of work:	Astana
Accountability:	Project Manager

II. General Information
Under the supervision of Project Manager the expert in residential real estate management provides instant and thematic services that guarantee high quality, accuracy and operating sequence. Expert in residential real estate management works closely with governmental partners, project and operating staff of the CO program for information interchange and providing multistage servicing and performing routine duties to maintain instant and thematic accessory services for satisfactory accomplishment of the project parts final results.
III. Functions / Expected basic results
<ol style="list-style-type: none"> 1. Implementation of modern information systems and technologies on multi-apartment buildings management and maintenance in pilot regions which also includes a) development and implementation of quality rating system of multi-apartment buildings maintenance, b) development and implementation of technical assessment system of residential buildings condition with the participation of apartment and premises owners, c) development and implementation of multi-apartment buildings management electronic control system, 2. Providing training for apartment owners in common multi-apartment buildings property management, customers and apartment owners services. Cooperation in business-plan development, 3. Arrangement of work in involvement of the parties concerned into the managing process, of multi-apartment buildings maintenance and exploitation, 4. Analysis of international and local best practices in managing companies models for multi-apartment buildings, 5. Development of management modularized circuits for cities of various types and sizes with the recommendations on their implementation. Implementation of suggested schemes (models) on at least 3 pilot territories, 6. Cooperation in implementation of new institutional and financial models for financing involvement into multi-apartment buildings management and maintenance.
<p><u>Expected results:</u></p> <ul style="list-style-type: none"> • Organization of quality rating system of multi-apartment buildings maintenance with recommendations on their appliance. • Organization of pilot regional information portals in multi-apartment buildings electronic control, • Organization of inventory methods of condominium unit common property with the involvement of apartment and premises owners with recommendations on their use, • Preparation of modeling plans of multi-apartment buildings management and maintenance for Criminal Code with recommendations on their development, • Preparation of recommendations on the Criminal Code international experience involvement for multi-apartment buildings management, maintenance and renovation, • Participation in implementation of the pilot project on all-round modernization of one of the 'typical city' districts, • Preparation of recommendations and project Accumulation of Owners Funds for Capital Renovation, Their Operating Procedure and Control Regulation
<p><u>Operating functions:</u></p> <ol style="list-style-type: none"> 1. Contribution to introductory stage, periodic review of Project implementation and recommendations on improvement <ul style="list-style-type: none"> • Project introductory stage assistance, working up introductory report and participation in introductory workshop; • Coordination with the working project and team in order to track the progress, assistance in planning and discovering of key technical problems (if there are any) and ways of their solution; • Participation, when it is possible, in Project Managing Committee sessions and other project meetings; • Assistance in learning key lessons and replication plan developments for other regions and communities in Kazakhstan. As part of replication strategy provision of assistance in replication materials development for wider distribution and appliance of project results and received lessons; • In cooperation with project group and CO UNDP, development of appropriate project

<p>completion strategy and presenting it for approval to Project Management Committee (PMC) session.</p> <p>2. Assistance in planning, staff recruitment, monitoring and estimation</p> <ul style="list-style-type: none"> • Support and consulting assistance in preparation or reconsideration such key documents in planning and estimation as annual project plan (APP), annual working schedule (AWS), project implementation reviews (PIR), reports on the progress of the project implementation, monitoring and overview reports, etc.; • Assistance in development of corresponding technical tasks for national and international experts and organizations that are necessary for rendering specific consulting services; • Support of Project Manager in preparation and midrange and final estimate implementation (field mission escort and, in case of need, discussion with estimators, etc.). 	
IV. Requirements to skill level	
Education:	Higher technical or economic education
Work experience:	<ul style="list-style-type: none"> • At least 5 years of managing experience in the sphere of housing stock managing, • Knowledge of laws system and regulatory documentation in the sphere of housing and utilities; knowledge of legislative acts regulating the condominiums' activity
Requirements to level of language proficiency:	Written and spoken Russian knowledge. Kazakh and English knowledge is an advantage. Excellent analytical and presentation skills
Other:	Good understanding of the current situation in Housing and Utilities Sector on multi-apartment buildings management. Excellent organizational and interpersonal skills. Ability to formulate and state one's thoughts clearly and correctly. Ability to work in team. Good computer skills (Word, PowerPoint, Outlook Express, Internet Explorer and other software products)

For expert on urban financing and investments

I. Position Details	
Job title:	Expert on lowcarbon urban financing and investments
Project:	UNDP/GEF Projects and RK Government on energy efficiency
Type of contract:	SC
Pre-classified Grade:	SB-3, Midpoint
Location:	Astana, Kazakhstan
Supervisor:	UNDP\GEF Projects Manager on EE
Duration:	12 months (with possible extension subject to satisfactory performance)
Employment:	Full-time

II. BACKGROUND
<p>UNDP, jointly with funding from various donors (GEF and etc.) and national budget of Kazakhstan, has been supporting efforts of RK Government in reducing environmental impact in urban sector, including development and testing of various conditions and incentives to implement necessary measures, and, first and foremost, increasing energy efficiency of various sectors of municipal economy: Housing and Public Utilities (namely, heat, water, and power supply systems, including buildings), power supply, waste management, transport management and etc., including in small settlements.</p>

The Projects provide for strengthening of legal and regulatory, institutional, financial, and other necessary frameworks to plan and implement investment projects leading to low-carbon development of urban areas: implementation of pilot projects/initiatives to demonstrate environmental and economic and social benefits from implementing such projects, as well as distribution and replication of positive practices by attracting funding to low-carbon urban development, creating necessary capacity in beneficiaries, and development of foundations for monitoring and performance assessment and knowledge management.

Final goal of the Projects is to reduce greenhouse gas emissions from priority sectors of municipal economy and develop a comprehensive approach to implement low-carbon urban projects. Parallel/co-benefits of implementing such projects and approaches are as follows: improvement of utilities quality, increase in reliability of infrastructure, support for vulnerable groups of population, and creation and development of communal service.

In 1995, Kazakhstan ratified the UNFCCC as a non-Annex I party, and in 1999 committed to join industrialized nations in their effort to limit GHG emissions and accept a binding and quantified emission limitation of 100% over a 1992 baseline. Further, in 2010 Kazakhstan announced and communicated to the Parties its additional voluntary commitments to reduce GHG emissions by 15% by 2020 below 1990 emissions and by 25% by 2050. The projects implemented by UNDP are also fully aligned with the national priorities to strengthen economic and energy independence of Kazakhstan by promoting resource efficiency and climate resilient growth. Also, the implemented projects are of special relevance in light of RK Government's approval of Concept for Country Transfer to Green Economy, and Energy Saving 2020 Program, setting forth specific areas and steps ensuring that HPU and constructions sectors move toward green development, energy and resource saving.

One of the most important issues when implementing energy efficiency projects is attracting investments and funding for projects aimed at energy consumption reduction. UN Development Programme assists the Government in addressing these important and complex issues through newly launched Projects supported by Global Environmental Fund (UNDP/GEF Projects).

Under these joint Projects, the task is, particularly, to facilitate investments in energy-efficient urban infrastructure, including the implementation of proposed Nationally Appropriate Mitigation Actions (NAMA). This area of work is primarily related to "development and implementation stage of such projects" based on which concepts of urban NAMAs will be implemented in practice within institutional, technical, legal and social aspects. This part of work is related to development of basics of institutional structures to support energy-efficient investment projects, development of necessary design documents of feasibility studies for GHG reduction projects, and etc.

Other part of the work is related to attraction of new additional sources of funding to implement measures under urban NAMAs from banking sector, Government, and donor organizations, including creation of a relevant Fund and assessment of its performance, provision of full support and assistance in funding pilot urban NAMA projects, as well as creation and promotion of diversification strategy and mechanisms for additional funding from public, private, and international sources of funding, including proposals for effective structure of to-be created Fund.

Taking into account the abovementioned, an expert with relevant work experience needs to be hired for full-time, who will, under general supervision of Project Manager and in

cooperation with other Project Experts, be responsible for implementing relevant UNDP/GEF project components related to low-carbon urban development and attraction of investments into implementation of Nationally Appropriate Mitigation Actions (NAMAs).

III. FUNCTIONS / KEY RESULTS EXPECTED

Under the supervision of Project Manager (PM) and in coordination with other Project Experts, Expert on lowcarbon urban financing and investments shall be responsible for successful implementation of activities set forth in the plans of implemented projects, namely:

- support pilot regions in assessing their needs and priorities for relevant priority measures for urban NAMAs, and in developing “feasible” project proposals, including preparation of financial feasibility studies and other documents;
- conduct targeted training and provide technical support to Akimats and local, regional and national stakeholders, including creation and management of new institutional and financial mechanisms, such as ESCO, energy service contracts, concession contracts, public services and PPP contracts, budgeting, progress reports and proposals, participation in negotiations with private investors, and settling organizational and financial issues related to created Fund and development of proposed urban NAMAs;
- coordinate creation and commissioning of a pilot NAMA Fund/Energy Saving Fund;
- coordinate consulting process with participation of most stakeholders to develop a strategy for diversification of funding and mechanisms which can optimize contributions to the NAMA Fund/Energy Saving Fund from a wide range of sources;
- participate in assessing marginal costs and expenses for GHG emissions reduction, determining the priority of investment projects where GHG emissions can be reduced by the most cost-effective method and where there is potential to optimize private capital and funding;
- consult relevant institutions in order to arrange investments into low-carbon urban development, make recommendations for rational institutional and financial measures at national, regional and local levels that are responsible for effective development of urban policies and projects;
- participate jointly with low-carbon urban development, capacity building, energy efficiency and RES specialists, as well as other national and international specialists in creation of institutional and financial frameworks for implementing low-carbon urban projects;
- cooperate with other national experts on short-term contracts to consolidate obtained results and draw lessons during the implementation of supervised components through development of relevant cooperation methods with relevant stakeholders;
- participate in development and adjustment of annual work plans (AWP) for projects jointly with project managers;
- develop Terms of Reference (ToR) for national and international consultants to be engaged by projects under respective Components jointly with Project Manager;
- prepare, jointly with the PR-specialist, methodological, topical and information handouts in corresponding areas under project tasks for further publication in information resources and print;
- make technical project reports in related area;
- make quarterly, semi-annual, and annual reports and other reports in related area;
- perform other tasks requested by Project Manager aimed at achieving project goals and objectives, as well as requests from UNDP Headquarters;

1. timely and qualitatively execute project tasks in accordance with work plans, project documents, and orders from Project Manager

IV. Impact of Results

Successful execution of the abovementioned tasks and achievement of expected outcomes in accordance with Annual Work Plan and Project Document:

2. Relevant institutional structures to support investment projects under the implementation of urban NAMAs are developed;
3. Design documents for economic feasibility of GHG emission reduction projects based on urban NAMAs are developed;
4. Relevant contracts for implementation of pilot projects are prepared, agreed and signed, and tariffs are agreed and approved, if necessary;
5. NAMA Fund/Energy Efficiency Fund is created, and relevant scheme for assessing its performance is developed and launched;
6. Funds to invest in GHG emission reduction activities (projects) from among urban NAMAs are attracted;
7. In cooperation with project experts, support is provided to implementation of a pilot investment low-carbon urban project under Component 4 in regard to assistance in funding arrangement;
8. Diversification and additional funding mechanisms strategy for newly-created NAMA Fund/Energy Efficiency Fund is developed, agreed, and accepted;
9. Cost curves for projects in pilot regions are built (including for pilot district under the implementation of pilot Component 4);
10. Assistance is provided to PM in developing and adjustment of WP, preparing ToR for national and international consultants, making quarterly/semi-annual/annual reports and other reports;
11. Assistance is provided to PR-specialist in preparing methodological, topical, and information handouts;
12. Technical reports on supervised areas are made.

V. COMPETENCIES AND CRITICAL SUCCESS FACTORS

Corporate Competencies:

- Demonstrates integrity by modeling the UN's values and ethical standards
- Promotes the vision, mission, and strategic goals of UNDP
- Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability
- Treats all people fairly without favoritism

Functional Competencies:

Development and Operational Effectiveness

- Skills of planning and management, aimed for achievement of results
- Skills on formulation, implementation and monitoring of project documentation
- Excellent PC commands
- Learning capability

Leadership and Self-Management

- Focus on results for the project
- Demonstration of oral and written communications skills
- Establishment of stable relations with project partners
- Remains calm, in control and good humored even under pressure
- Agreement of actions with and reporting before PM
- Timely and quality execution of requirements of the ToR
- Timely and quality execution of requirements of the SC

VI. RECRUITMENT QUALIFICATIONS	
Education:	<ul style="list-style-type: none"> • Higher education in finance
Experience:	<ul style="list-style-type: none"> • As minimum 10 years of total experience by diploma, • As minimum 6 years of work experience in finance, including budgeting and control of budget execution of companies, attraction of funding, making business plans and business operation analysis reports, • Specialized training/certifications in the financial analysis and budgeting, quality management or related sectors; • Deep knowledge in drafting the budget requests and control of their execution, • Work experience in housing sector and infrastructure is a big advantage, • Participation in projects of international financial institution is an additional plus, • Excellent skills in drafting the analytical reports on business activities of institutions, control of public procurements, including preparation of tender documents, and monitoring of contracts, • Team-working, and excellent communication skills, • their development concepts and strategies • Good computer skills (Word, PowerPoint, Outlook Express, Internet Explorer and other software)
Language requirements:	<ul style="list-style-type: none"> • Fluent Russian, • Strong asset of Kazakh and/or English

For Project Procurement Specialist

I. Position Information	
Job Title:	Project Specialist, Procurement
Project:	UNDP\GEF, RK Government Projects on Energy Efficiency
Type of Contract:	SC
Grade:	SB-2\Max
Supervisor:	Project Manager
Location:	Astana, Kazakhstan
Duration:	12 months (with possible extension subject to satisfactory performance)
Employment:	Full time
II. ORGANIZATIONAL CONTEXT	
<p>The economy of the Republic of Kazakhstan (RK) is one of the major sources of carbon pollution, emitting over 1,000 tons of CO2 per one million dollars of produced product which is twice the value of the world indicator. The main consumer of energy is the industrial sector, including power and heat energy generation (36.9% of the consumption of total volume of primary energy resources), the population (to 30% of consumption – mainly heat and power). The energy sector of the country is a source of 80% of total</p>	

emissions, of which 90% account for heat and power generation sector. Housing and construction sectors are essential factors for the reduction of greenhouse gas emissions at the transition of the country to "green economy". The current condition housing, utilizes and constructions leads to serious accidents, breaks in networks and disconnection of consumers resulting in considerable losses in engineering networks and insufficient delivery of resources to consumers. According to experts' estimates about 70% of buildings have heat and performance characteristics that don't meet modern requirements. The lack of heat consumption metering and control systems leads to considerable overconsumption of energy. New buildings are constructed with serious violations regarding heat insulation. As a whole, it leads the loss of rendered services quality, as well as to poor life quality of the population and, consequently, to negative effects in the global environment (greenhouse effect) and to local environmental pollution and aggravation of sanitary conditions for the population.

The UNDP with the financial assistance of various donors (GoRK, GEF, EBRD, etc.) supports the efforts of the Government of RK on the improving the energy efficiency in the housing-and-municipal sector (in particular, heat, water and power supply systems). The major focus is on small populated areas, existing residential apartment and budgetary buildings (thermal modernization and renovation), construction of new (energy efficient construction) buildings and some others.

The projects focus on the improvement of regulatory and institutional basis of energy efficient practices in communal and municipal housing as well as in construction systems, implementation of pilot projects to demonstrate environmental, economic and social benefits from thermal modernization of residential and public buildings, construction of new energy efficient complexes; replication of best experience and practices, work with various target groups. The implemented projects are particularly relevant in connection with the adoption of the "Concept on the Transition of the Country to "Green Economy" and the Energy Saving-2020 Program in Kazakhstan. These documents envisage specific directions and steps to promote the "green development" of the communal and municipal housing, and construction sector. Each of the UNDP projects is unique. However, they have common goals and based on similar regulatory and technical documents, similar approaches to the project cycle, same experts working on similar subjects. The synergy of the projects leads to considerable positive coordinated outcome in the projects of similar nature and eases in the further replication of these projects. For instance, the energy efficiency of heat supply systems may not be improved without related changes in the existing housing stock and the buildings under construction, etc. The synergy of the projects comes forward as a critical issue.

Considering all mentioned above and improving the management and efficiency, the CO UNDP applies "Multiple Projects Group Management" (MPGM). A common way to do that is to have one project manager lead multiple similar projects.

The UNDP has determined organizational and operational factors that determine MPGM efficiency and laid them out in the specific framework. This framework describes the expected outcomes of the group management. EE Housing, Utilities and Construction Project Manager is expected to provide effective use of organizational resources, ensure effective time management, demonstrate balanced cost-performance behavior and achieve the set goals and objectives

III. FUNCTIONS / KEY RESULTS EXPECTED

The Project Procurement Specialist will provide support to the Project Manager (PM) of UNDP\GEF and RK Government Projects on Energy Efficiency in housing and construction in implementation of projects everyday activities. The Procurement Specialist will be responsible for day-to-day activities on financial support and procurements of goods and services for the project including effective accounting of the project funds and financial reporting in line with UNDP requirements and procedures.

Procurement:

- To prepare in consultation with the project experts and approve the procurement plan; to ensure systematic monitoring of procurements in line with UNDP format and under PM's supervision;
- To collect and rank the information on potential goods/services providers;
- To organize competitive selection of suppliers of goods/services in line with UNDP requirements and procedures;
- To prepare in consultation with the project experts the justifications for selected suppliers of goods/services for review by the relevant UNDP units and UNDP Procurement Committee;
- To prepare, agree upon and arrange the approval of contractual documents pertaining to procurements of goods/services; to control the progress of suppliers' contractual terms and conditions and inform PM.
- To create E-requisitions under signed contracts and tranches, monitoring requests for payment in Atlas
- Equipment inventory, preparing reports about equipment condition

Project Management Financial Provision

- To assist PM in preparing the annual/quarterly project budgets;
- To prepare, where necessary, the project budgetary revisions (at least once a year);
- To maintain the annual project expenditures monitoring in line with the work plan and budget with provision of the relevant information to PM;
- To prepare short-term contracts in line with UNDP requirements and procedures and control the observance of contractual terms and conditions;
- To prepare the annual and quarter reports for enter to UNDP software in Atlas, under project expert's proposals and PM approvals.
- Systematical analyzing of financial situation in Project, which is reflected in Atlas and if it's necessary – to prepare PM suggestions for corrections

Assistance to Project Manager

- To prepare the financial statements in line with the UNDP established procedures and format;
- To prepare the relevant reporting documents such as cost analysis and payment categories;
- To assist PM in planning and preparing the financial monthly, quarterly and annual statements. Procurement Specialist shall also be responsible for the timely preparation of financial documents required for audit and other reporting;
- To ensure the day-to-day financial reporting management; monitor and control the advance payments and other financial reporting; provide the timely relevant information to PM ;
- To assist PM in maintaining tight contacts with project partners and the other agencies through direct contacts, collection of information;
- To maintain the archive data log; to enter all the data pertaining to contracts, reports, the inventory list of equipment, etc., to revise and update such data in the established format for further use;
- To assist PM in determining and formation of cooperation development projects and preparation of draft documents;
- To assist PM in project monitoring activities by revising the existing materials, correspondence, reports, project activities, project inputs, budgets and financial expenditures in line with UNDP requirements; to prepare and archive the above correspondence and materials;

- To assist PM in determining and establishing the cooperation development activities and preparation of draft documents;
- To assist in organizing and providing the logistical support of workshops, meetings, delegations, field studies etc.;
- To maintain the records pertaining to the issuance of project equipment; to maintain monitoring of such equipment;
- To collect the data and other progress information pertaining to the project and project activities

IV. IMPACT OF RESULTS

- Impact on the overall project efficiency in financial resources management contributes to success in implementation of project activities.
- Accurate analysis and presentation of financial information enhances UNDP credibility in use of financial resources and proper financial process management.
- Information provided facilitates decision making of the management.
- High-level and effective communication and positioning of the project in the country.
- Internal communication among project unit and programme is ensured

V. Competencies and Critical Success Factors

Corporate Competencies:

- Demonstrates integrity by modeling the UN's values and ethical standards
- Promotes the vision, mission, and strategic goals of UNDP
- Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability
- Treats all people fairly without favoritism

Professionalism:

- Solid knowledge of administrative and secretarial work; understanding of financial processes and accounting;
- Good knowledge of computer and organizational technology;
- Ability to perform a broad range of activities related to workshop and meeting arrangements;
- Excellent writing and presentation skills for preparation of presentations and reports – in English and Russian;
- Ability to use information and communication technology as a tool and resource.

Development and Operational Effectiveness

- Ability to planning, results-based management and reporting
- Ability to formulation, implementation, monitoring project documentation
- Good knowledge of UNDP procedures, user of software skills, knowledge of Atlas
- Ability to quick learning

Management and Leadership

- Focuses on impact and result for the project and responds positively to feedback
- Demonstrates strong oral and written communication skills
- Builds strong relationships with staff and project partners
- Remains calm, in control and good humored even under pressure

Subordination

- To report to and agree the actions upon with the Project Manager;
- To ensure timely and qualitative fulfillment of the requirements as contained in the Terms of Reference;
- To ensure unconditional fulfillment of the requirements as provided for in the Employment Contract

VI. QUALIFICATIONS	
Education:	University degree, preferably in economics, accounting, financial management or business administration
Experience:	As minimum 5-years work experience in administrative and financial support. Experience in the international companies/organizations is an advantage. Previous experience in working with UNDP/GEF projects is preferable. Team-working. Good commands with office equipment
Language Requirements:	Fluent in English and Russian. Knowledge of Kazakh will be an asset

FOR PR-SPECIALIST

I. Position Details	
Job title:	PR-expert
Project:	UNDP/GEF Projects and RK Government on energy efficiency
Type of contract:	SC
Pre-classified Grade:	SB-3\Q1
Location:	Astana, Kazakhstan
Supervisor:	Project Manager
Duration:	12 months (with possible extension subject to satisfactory performance)
Employment:	Full-time

II. BACKGROUND
<p>The economy of the Republic of Kazakhstan (RK) is one of the major sources of carbon pollution, emitting over 1,000 tons of CO₂ per one million dollars of produced product which is twice the value of the world indicator. The main consumer of energy is the industrial sector, including power and heat energy generation (36.9% of the consumption of total volume of primary energy resources), the population (to 30% of consumption – mainly heat and power). The energy sector of the country is a source of 80% of total emissions, of which 90% account for heat and power generation sector.</p> <p>In 2010 Kazakhstan declared about its voluntary commitments to reduce GHG emissions for 15% by 2020 in comparison with value of 1990 and for 25% by 2050. As a priority trend for mitigation of climate change impact is a urban sector (district heating, buildings, wastes and transport) with possible reduction of annual GHG emissions for 20-30MtCO₂/years what is about 30% from potential total of GHG emissions in Kazakhstan.</p> <p>Realization of activities on energy saving in the sectors of housing and utilities, транспортном и секторе отходов will considerably reduce fuel consumption for electricity and heat energy. Modernization and reconstruction of the sources of heat and electricity energy, heat networks, engineering services will be done using new energy saving technologies which lead to reduction of GHG emissions; reduction of heat losses in existing buildings – is one of the most effective activities for reduction of energy consumption.</p>

The UNDP with the financial assistance of various donors (в том числе GEF), supports the efforts of the Government of RK on the improving the energy efficiency in the городском хозяйстве. The projects are aimed to build capacity on comprehensive planning of measures on GHG emissions reduction in urban infrastructure, approbate the investment engagement, lay out institutional frameworks, and disseminate the positive experience.

Distinct direction of projects activities is accounted for outreach to promote energy efficient в различных секторах городского хозяйства, applying world best practices and technology. Therefore, every project's component provides information outreach of project's activities, renewal of web-site, preparation and issue of information materials in mass media, publishing industries, etc.

Actual attention is paid to demonstration of economic, environmental and social reasonability for reduction of urban GHG emissions through implementation of pilot initiatives in urban infrastructure. This requires a preparation of essential informational and educational information to increase awareness, to improve knowledge, experience and skills by different target groups. Arrangement of training, workshops, conferences in pilot cities of Kazakhstan, which have been selected to implement low carbon projects in urban infrastructure, is one of necessary requirements to successfully promote energy efficiency.

Considering the above mentioned it is necessary the employment of PR Expert, who under the guidance and supervision of Projects Manager will be responsible for effective, timely and quality day-to-day projects support and determined project's framework results works in close collaboration with the projects staff to ensure consistent service delivery

III. FUNCTIONS / KEY RESULTS EXPECTED

Under the supervision of Project Manager (PM) and in coordination with other Project Experts, PR-expert shall be responsible for successful implementation of activities set forth in the plans of implemented projects, namely:

- *Provision of informational outreach campaign support,*
- *Development and updating Internet based information outreach*
- *Preparation and development of information and distribution materials,*
- *Provision of administrative and organizational support in projects implementation related to PR-issues.*

Provision of informational outreach campaign support, focusing on achievement of the following results:

- In cooperation with project experts to draft and publish promo materials, containing
of comprehensive information about urban low carbon planning, energy efficiency in urban sector for municipal stakeholders and other potential promoters and target groups,
- Drafting and dissemination of informational summaries about initiatives to be implemented in pilot cities with application of up-to-date methods for information submission (infographics, etc.),
- Informational support by implementation of pilot low carbon initiatives applying the innovative solutions in effective communications and outreach,
- In cooperation with project experts, drafting and execution of
Stakeholders

Involvement Strategy (for each Akimat and Initiative) with aim to ensure the participation of main stakeholders both supporting and non-supporting ones – process inclusiveness,

- Arrangement of proper awareness of banking sector (briefings for banks) to establish the liaisons with municipal authorities and developers of low carbon projects,
- Drafting the information reviews on international practices for low carbon planning and financing to identify the models to be effective in Kazakhstan,
- Arrangement and conducting PR-campaigns aimed at popularization of low carbon and energy effective projects for national and regional mass media,
- Arrangement and conducting the events for different target groups with focusing on awareness-raising about climate change, concept and processes of low carbon planning and financing,
- Drafting the awareness matrix for cities-participants, assessment of initial projects data and monitoring of middle and final projects values, summarization of lessons learnt

2. Development and updating Internet based information outreach, focusing on achievement of the following results:

- Participation in creation and admin support of project web-site containing info, concept of low carbon projects (initiatives), projects events and results (in 3 languages),
- Creation of inter-municipal portal at web-site for sharing the information between the cities-participants,
- Updating of created portal with resources about low carbon urban projects and events for local administration on periodic basis,
- Publication and dissemination of news bulletin (online and in printed) with leading practice and know-hows on improvement of municipal energy efficiency and climate changes management, incl. opinions of different municipal authorities for national policy developers;

3. Drafting and development of training printouts focusing on achievement of the following results:

- In cooperation with project experts, drafting and dissemination of communication packages. Arrangement and conducting the trainings for Akimats – project participants to remove urban barriers related to low carbon or energy efficiency planning,
- Arrangement and conducting the trainings, drafting and publishing the training materials with aim to improve Akimats capacity by drafting the financial documents to proposed low carbon projects,
- Arrangement and conducting target workshops with aim to promote the concept of low carbon urban development, to share the experience by pilot initiatives, incl. annual or biannual national thematic workshops on leading practice in urban and municipal planning,
- Arrangement and conducting the study tours as experience sharing between the

cities, incl. drafting and holding presentations for project promoters, successful investment involvement, initiating the discussions on wide replication of low carbon initiatives,

4. Provision of administrative and organizational support in Project implementation related to PR-issues, focusing on achievement of the following results:

- *Participation in organization and execution of different seminars/round tables/meetings (in particular, development of press-releases, work with mass media, preparation of information reports on events, etc.);*
- *Organization of interviews, TV-programmes, radio, etc.;*
Drafting the communications materials for project activities and events, including briefing materials and press releases,
- *Contribution to joint information campaigns held by CO and other UNDP Projects, UN Agencies, etc.,*
- *Review of reference materials and maintenance of an information and photo library,*
- *Trips within Kazakhstan based on necessity for the participation in project's events under agreement with Project Manager and UNDP standard operating procedures;*
- *Preparation of required reports and accomplishment of other tasks based on Project*

Manager requests aimed for delivery of the project's targets and activities together with UNDP head office requests

IV. Impact of Results

The key results have an impact on realization of awareness strategy amongst target groups, and organization and execution of the required information and analytical campaigns, PR-campaigns, etc. High quality and timely provision of information outreach of projects activities, administration and update of information about the projects and EE issues in buildings on partners' web-site, development and issue of information materials about the projects and their activities in mass media, participation in preparation and publishing of printed materials with regard to projects activities in accordance with the Work Plan

V. COMPETENCIES AND CRITICAL SUCCESS FACTORS

Corporate Competencies:

- Demonstrates integrity by modeling the UN's values and ethical standards
- Promotes the vision, mission, and strategic goals of UNDP
- Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability
- Treats all people fairly without favoritism

Functional Competencies:

Development and Operational Effectiveness

- Skills of planning and management, aimed for achievement of results
- Skills on formulation, implementation and monitoring of project documentation
- Excellent PC commands
- Learning capability

Leadership and Self-Management

- Focus on results for the project
- Demonstration of oral and written communications skills
- Establishment of stable relations with project partners
- Remains calm, in control and good humored even under pressure
- Agreement of actions with and reporting before PM
- Timely and quality execution of requirements of the ToR
- Timely and quality execution of requirements of the SC

MANAGING CORRESPONDENCE AND REPORTS

- Edits, formats and provides inputs to correspondence, reports, documents and/or presentations using word processing, spreadsheets and databases meeting quality standards and requiring minimal correction,
- Shows sound grasp of grammar, spelling and structure in the required language
- Ensures correspondence, reports and documents comply with established UN standards
- Ability to produce accurate and well documented records conforming to the required standard

OPERATIONAL EFFECTIVENESS, PLANNING, ORGANIZING AND MULTI-TASKING

- Ability to handle a large volume of work possibly under time constraints
- Good knowledge of administrative rules and regulations
- Ability to operate and maintain a variety of computerized business machines and office equipment in order to provide efficient delivery of service
- Ability to organize and complete multiple tasks by establishing priorities
- Plans, coordinates and organises workload while remaining aware of changing priorities and competing deadlines
- Demonstrates ability to quickly shift from one task to another to meet multiple support needs
- Establishes, builds and maintains effective working relationships with staff and clients to facilitate the provision of support

VI. RECRUITMENT QUALIFICATIONS	
Education:	<ul style="list-style-type: none"> • University degree (Master's Degree would be considered an advantage) in the field of journalism, PR-management, social or economic sciences
Experience:	<ul style="list-style-type: none"> • As minimum 4-5 years of relevant work experience in the sphere of journalism, PR and communications in government or commercial structures; • Experience in preparation of analytical reviews within formats for international organizations; • Experience in organisation and execution of conferences, seminars, trainings. Preparation of learning materials, articles, interviews, events in connection to PR activities; • Excellent computer skills, including MS Office applications (Word, Power Point, Outlook Express), Internet explorer as well as other software required for the work delivery, including excellent skills within web-sites development; • Ability to work effectively in a team, good communication skills
Language requirements:	<ul style="list-style-type: none"> • Fluent English • Fluent Russian, • Strong asset of Kazakh

For Project Assistant

I. Job Profile	
Job Code Title:	Energy Efficiency in Housing, Utilities and Construction Projects Assistant
Project Title:	UNDP/Government/GEF projects
Type of Contract:	SC
Location:	Astana, Kazakhstan
Duration:	1 (one) year after signing a contract
Employment:	Full time
Pre-classified Grade:	SB-2 Q3
Supervisor:	The Projects Assistant works under direct supervision of the Energy Efficiency in Housing, Utilities and construction National Project Coordinator (PM).
II. BACKGROUND	
<p>The economy of the Republic of Kazakhstan (RK) is one of the major sources of carbon pollution, emitting over 1,000 tons of CO2 per one million dollars of produced product which is twice the value of the world indicator. The main consumer of energy is the industrial sector, including power and heat energy generation (36.9% of the consumption of total volume of primary energy resources), the population (to 30% of consumption – mainly heat and power). The energy sector of the country is a source of 80% of total emissions, of which 90% account for heat and power generation sector. Housing and construction sectors are essential factors for the reduction of greenhouse gas emissions at the transition of the country to "green economy".</p> <p>The current condition housing, utilities and constructions leads to serious accidents, breaks in networks and disconnection of consumers resulting in considerable losses in</p>	

engineering networks and insufficient delivery of resources to consumers. According to experts' estimates about 70% of buildings have heat and performance characteristics that don't meet modern requirements. The lack of heat consumption metering and control systems leads to considerable overconsumption of energy. New buildings are constructed with serious violations regarding heat insulation.

The UNDP with the financial assistance of various donors (GoRK, GEF, EBRD, etc.) supports the efforts of the Government of RK on the improving the energy efficiency in the housing-and-municipal sector (in particular, heat, water and power supply systems). The major focus is on small populated areas, existing residential apartment and budgetary buildings (thermal modernization and renovation), construction of new (energy efficient construction) buildings and some others.

Each of the UNDP projects is unique. However they have common goals and based on similar regulatory and technical documents, similar approaches to the project cycle, same experts working on similar subjects. The synergy of the projects leads to considerable positive coordinated outcome in the projects of similar nature and eases in the further replication of these projects. For instance, the energy efficiency of heat supply systems may not be improved without related changes in the existing housing stock and the buildings under construction, etc.. The synergy of the projects comes forward as a critical issue.

Considering all mentioned above and improving the management and efficiency, the CO UNDP applies "Multiple Projects Group Management" (MPGM). A common way to do that is to have one project manager lead multiple similar projects.

The UNDP has determined organizational and operational factors that determine MPGM efficiency and laid them out in the specific framework. This framework describes the expected outcomes of the group management.

III. FUNCTIONS

Summary of Key Functions:

The scope of functionary responsibilities is brought to conformity with the Project Document. Project Assistant (PA) shall be responsible for the following key functions:

- **day-to-day administrative and financial support for projects activities;**
- **procurements of goods and services for the project;**
- **effective travel support and organization of events within projects activities;**
- **effective accounting of the projects funds and financial reporting in line with UNDP requirements and procedures.**

The overall goal for the PA's work is the successful implementation of the project in accordance with the goals, work plans and budgets set forth in the project documents, including the following specific tasks:

1. Preparation of the projects budget revisions (at least once a year);
2. Preparation of advance requests as necessary and reporting in accordance with UNDP procedures.
3. Preparation of payment requests.

4. Preparation of travel requests for Project staff, Implementing Partner, and UNDP in accordance with UNDP format, rules and procedures.
5. Logistical support for travel (tickets and hotel reservations).
6. Assistance to the National Projects Coordinator in maintaining regular contacts with Implementing Partner, UNDP, projects partners and other organizations through direct contacts, collection of information and proposals, recording of incoming and outgoing correspondence, drafting letters and organization of meetings.
7. Assistance to the National Projects Coordinator in projects monitoring activities by revising the existing materials, correspondence, reports, project activities, project inputs, budgets and financial expenditures in accordance with UNDP requirements; preparation and archiving the above correspondence and materials.
8. Organization and logistical support of the workshops, task meetings, delegations, field visits etc.
9. Preparation of handouts for workshops, briefings and meetings.
10. Equipment inventory, preparation of reports on equipment condition;
11. Maintaining the records pertaining to the issuance of project equipment to PIU experts; monitoring of such equipment.
12. Collection and distribution of incoming mail, dispatching outgoing mail; locating files etc.
13. Recording of the data related to the office car use.
14. Unofficial translation and acting as a translator where necessary.
15. To prepare in consultation with the projects experts and approve the procurement plan; to ensure systematic monitoring of procurements in line with UNDP format and under Steering Committee (SC) supervision;
16. To organize competitive selection of suppliers of goods/services in line with UNDP requirements and procedures;
17. To prepare in consultation with the projects experts the justifications for selected suppliers of goods/services for review by the relevant UNDP units and UNDP Procurement Committee;
18. To prepare, agree upon and arrange the approval of contractual documents pertaining to procurements of goods/services; to control the progress of suppliers' contractual terms and conditions and inform SC.
19. To create E-requisitions under signed contracts and tranches, monitoring requests for payment in Atlas
20. To prepare short-term contracts in line with UNDP requirements and procedures and control the observance of contractual terms and conditions;
21. To prepare the annual quarterly report for enter to UNDP software in Atlas, under project expert's proposals and SC approvals.
22. Systematical analyzing of financial situation in Project, which reflect in Atlas and if it's necessary – to prepare SC suggestions for corrections.

IV. Impact of Results

The key results have an impact on successful development of the projects. Accurate presentation of information, thoroughly and fully documented work strengthens the capacity of the project and facilitates subsequent action by the supervisor.

The Project Assistant will ensure high quality and accuracy of work as well as permanent support to National Projects Coordinator, so that project Objectives, Outcomes, Outputs and Activities are executed in a timely and appropriate manner within the framework of the project components.

V. Competencies and Critical Success Factors
CORPORATE COMPETENCIES
<input checked="" type="checkbox"/> Demonstrates integrity by modeling the UN's values and ethical standards <input checked="" type="checkbox"/> Promotes the vision, mission, and strategic goals of UNDP <input checked="" type="checkbox"/> Displays cultural, gender, religion, race, nationality and age sensitivity and adaptability
FUNCTIONAL COMPETENCIES
Knowledge Management and Learning <input checked="" type="checkbox"/> Shares knowledge and experience <input checked="" type="checkbox"/> Provides helpful feedback and advice to others in the office <input checked="" type="checkbox"/> Proven networking, team-building, organizational and communication skills Leadership and Self-Management <input checked="" type="checkbox"/> Focuses on result for the client and responds positively to feedback <input checked="" type="checkbox"/> Consistently approaches work with energy and a positive, constructive attitude <input checked="" type="checkbox"/> Remains calm, in control and good humored even under pressure <input checked="" type="checkbox"/> Responds positively to critical feedback and different points of view
MANAGING CORRESPONDENCE AND REPORTS
<input checked="" type="checkbox"/> Edits, formats and provides inputs to correspondence, reports, documents and/or presentations using word processing, spreadsheets and databases meeting quality standards and requiring minimal correction <input checked="" type="checkbox"/> Shows sound grasp of grammar, spelling and structure in the required language <input checked="" type="checkbox"/> Ensures correspondence, reports and documents comply with established UN standards <input checked="" type="checkbox"/> Ability to produce accurate and well documented records conforming to the required standard
OPERATIONAL EFFECTIVENESS, PLANNING, ORGANIZING AND MULTI-TASKING
<input checked="" type="checkbox"/> Ability to handle a large volume of work possibly under time constraints <input checked="" type="checkbox"/> Good knowledge of administrative rules and regulations <input checked="" type="checkbox"/> Ability to operate and maintain a variety of computerized business machines and office equipment in order to provide efficient delivery of service <input checked="" type="checkbox"/> Ability to organize and complete multiple tasks by establishing priorities <input checked="" type="checkbox"/> Plans, coordinates and organises workload while remaining aware of changing priorities and competing deadlines <input checked="" type="checkbox"/> Demonstrates ability to quickly shift from one task to another to meet multiple support needs <input checked="" type="checkbox"/> Establishes, builds and maintains effective working relationships with staff and clients to facilitate the provision of support
RESPONSIBILITIES
<input checked="" type="checkbox"/> coordination and reporting of any actions to National Projects Coordinator; <input checked="" type="checkbox"/> provide on-time and quality performance of the requirements under ToR.; <input checked="" type="checkbox"/> provide absolute fulfillment of the requirements stated in the Service Contract;

VI. QUALIFICATIONS	
Education:	<ul style="list-style-type: none"> • Higher education in the field of Accounting, Finance, Economics, Management or Business Administration.
Work Experience:	<ul style="list-style-type: none"> • The relevant work experience shall exceed 3 years including at least 1 year's work experience in administrative/financial functions in an international company/project. • The computer/office equipment skills, software user skills, accounting and financial expenditures analysis skills, financial reporting and audit skills. • Good knowledge of UNDP procedures will be an additional advantage.
Language requirements:	<ul style="list-style-type: none"> • Proficiency in spoken and written Russian, English; • Knowledge of Kazakh is preferred

Annex 9. Quality Assurance

Under development