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**United Nations Development Programme in Kazakhstan
Project Document**

Project Title: Strengthening the National Capacity of the Republic of Kazakhstan to Regulate Chemicals Through Ensuring Compliance with Obligations Under International Multilateral Environmental Agreements.

Project Number: 00112786

Implementing Partner: Ministry of Ecology, Geology and Natural Resources of Kazakhstan

Start Date: 1 September 2019 **End Date:** 31 August 2021

LPAC Meeting date: 23 July 2019

Brief Description

The main objective of the project is to support the country efforts in strengthening the capacity to implement an integrated approach to the management of chemicals at the national level to effectively implement the Stockholm, Basel and Rotterdam Conventions, Strategic Approach to International Chemicals Management (SAICM) and promote the ratification of the Minamata Convention to achieve Sustainable Development Goal №12 of Agenda 2030 (Transforming our World: the 2030 Agenda for Sustainable Development). This main objective will be achieved through improved interagency coordination among government agencies, improvement of the legislative base for international multilateral environmental agreements (MEAs), capacity building and stakeholder information on chemical safety, a system for the classification and labelling of chemicals.

Contributing Outcome (UNDAF/CPD, RPD or GPD): PFD/CPD Outcome#1.3: Ecosystems and natural resources are protected and sustainably used, and human settlements are resilient to natural and human-induced disasters and climate change. Indicative Output(s) with gender marker: GEN2 for all project outputs	Total resources required:	\$ 500,927	
	Total resources allocated:	\$ 500,927	
	DONOR: UNEP TF :		\$ 249,631
	In-Kind: Government:		\$56,196
	In-Kind: NGOs and Institutions:		\$195,100

Agreed by:

UNDP

Yakup Beris,
Resident Representative



Date: 22.08.2019

Implementing Partner

Akhmetzhan Primkulov,
Vice-Minister of Ecology, Geology and Natural Resources



Date:

I. DEVELOPMENT CHALLENGE

In 2013 the Government stated that the adverse impact of hazardous substances on human health was one of most urgent problems in the field of chemical safety. Priority problems in that respect included: air pollution; contamination of water, including drinking water; pesticides and other residues on food; radioactive, hazardous and municipal waste management; occupational risks due to hazardous substances in agriculture and industry; chemical accidents in industrial facilities and during transportation; illegal traffic of hazardous substances and waste; and the use, storage and disposal of hazardous chemicals of international concern¹.

Government of Kazakhstan is forward to effective chemical management and take the steps to solve the issue. Kazakhstan has started the process on regulations chemicals through ensuring compliance and Kazakhstan has been taking obligations under international MEAs since 2001. Kazakhstan ratified European Agreement concerning the International Carriage of Dangerous Goods by Road (ADR) in 2001. Kazakhstan ratified the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and Their Disposal (2003); Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade (2007); The Stockholm Convention on Persistent Organic Pollutants (2007) and the European Agreement concerning the International Carriage of Dangerous Goods by Road (ADR) (2001). The Minamata Mercury Convention is included in the long-term plan for concluding international agreements for 2017-2019, and work is under way to promote its ratification.

One of the directions "The Concept of Transition of the Republic of Kazakhstan to a Green Economy (GE) to Ensure Sustainable Development of the Country", approved in 2013, is waste management. In the framework of this direction, along with measures to improve the waste management system, the issues of chemical safety were included. According to the Concept of Transition, the following activities should be carried out to GE:

- 1) Improve the legislative mechanisms for the regulation of chemicals, harmonize legislation in the field of health, safety and health, industrial safety, environmental protection, including with respect to the register of chemical products, with the requirements of the Law on the Safety of Chemical Products;
- 2) Ensure the introduction of environmentally sound technologies and processes, including technologies for the destruction of wastes containing persistent organic pollutants and other hazardous waste;
- 3) Implement an international system for the classification and labelling of chemicals;
- 4) To improve the system of statistical reporting and accounting of chemicals at the state level with the formation of emission registers and the transfer of chemicals at the regional and national levels;
- 5) Ensure material and technical equipment of territorial analytical laboratories to obtain reliable operational data on pollution of surface and groundwater, soil and atmospheric air. To further develop the principles of the GE, strategic policy documents should be reflected and continued in legislative and regulatory legal acts, enterprise activities, and be communicated to the public and all stakeholders.

Since 2012, the Government of Kazakhstan has appointed Ministry of ecology, geology and natural resources subdivision JSC Zhasyl Damu as the national working body for the management of hazardous wastes transferred to the responsibility of the republic's property due to lack of ownership by a court decision. One of the main tasks of JSC "Zhasyl Damu" is the development and improvement of methods for monitoring compliance with environmental legislation, as well as the development of normative legal acts in the field of environmental protection and the regulation of greenhouse gas emissions and management of production and consumption of waste and:

Represent the interests of the Government of Kazakhstan in the negotiation processes under the UNFCCC.

Provides substantive support for the implementation of MEAs signed and ratified by Kazakhstan (UNFCCC, Stockholm, Basel, Rotterdam and Vienna Conventions, Convention on Long-range

¹ Kazakhstan, "National profile on chemicals management in Kazakhstan", Astana, 2013

Transboundary Air Pollution, Montreal Protocol for the Protection of the Ozone Layer). The proposed measures will help JSC "Zhasyl-Damu" as a national authority for hazardous waste management.

An assessment of the gaps and needs for capacity building and the need to implement a training program to strengthen JSC Zhasyl-Damu as a national authority for the management of chemical waste and for the staff of the relevant departments of ministries: (Ministry of ecology, geology and natural resources of Kazakhstan - for better implementation of the Basel, Rotterdam, Stockholm Conventions and promotion ratification of Minamata Convention, and the Ministry of Health of the Republic of Kazakhstan for implementation SAICM) in order to improve the work on various activities carried out within the framework of MEAs.

There is no control over the implementation of the requirements of the legislation in the field of chemical safety because of the low capacity of specialists and employees of the Ministry, frequent reorganization of state bodies and staff turnover. The legislative base of the Republic of Kazakhstan is only partially harmonized with the ratified MEAs.

Because of this, legislative requirements are not fully implemented or with large deficiencies, the quality of reports, their preparation and coordination of reporting to the secretariats of the conventions requires improvement. To ensure the sustainability of the results of the proposed project, human and technical capacity will be reorganized and grouped in accordance with these new approaches.

II. STRATEGY

The main objective of the project is to support the Republic of Kazakhstan in strengthening the capacity to implement an integrated approach to the management of chemicals at the national level to effectively implement the Stockholm, Basel and Rotterdam Conventions, Strategic Approach to Integrated Chemicals Management (SAICM) and promote the ratification of the Minamata Convention to achieve Sustainable Development Goal №12 of Agenda 2030 (Transforming our World: the 2030 Agenda for Sustainable Development).

The project "Strengthened Institutional Capacity for Chemicals Management at the National Level" will be achieved through improved interagency coordination among government agencies, improvement of the legislative base for international multilateral environmental agreements (MFAs), capacity building and stakeholder information on chemical safety, a system for the classification and labelling of chemicals.

The fulfilment of the Project tasks will become an important part of the planned work within the framework of the implementation of the Concept on the Transition of Kazakhstan to the Green Economy, since these issues were included in the Action Plan of this Concept. At present, the Ministry of ecology, geology and natural resources is working to introduce amendments and additions to the Concept in terms of strengthening the legislative framework for the regulation of chemicals, taking into account the requirements of chemical conventions to ensure full implementation of state obligations and the creation of systems for the recording and inventory of chemicals and wastes, their movement at the stages of life cycle of production, transformation into waste, burial or destruction. The Ministry considers the need for special statistical reporting on chemicals and mercury, raising awareness and involving the public in the process of fulfilling obligations under all three conventions. As well as improving the access of the public to data on chemicals and wastes, the impact of mercury on the environment and the human body.

The Government establishing a coordinating mechanism for MEAs and transferred these functions to JSC Zhasyl Damu, which is a structural subdivision of the Ministry of ecology, geology and natural resources with 100% state participation. The Information Center of Zhasyl Damu is the national central database for statistical, technical reports and documents related to MEAs.

The work on identification of major barriers and priority measures needed to strengthen national legislation on chemical management will be involving all key government agencies and stakeholders, with attention to the Department of Waste Management Policy, the Department of International Relations of the Ministry of ecology, geology and natural resources and the JSC "Zhasyl-Damu", RGE "Information and Analytical Center" necessary to strengthen institutional capacity with special attention to the JSC "Zhasyl Damu."

Prepared proposals for introduction into the legislation will ensure harmonization between MEAs and the general environmental legislation of the country. It is planned to conduct an analyse of

the existed regulatory and legal framework of the Republic of Kazakhstan, as well as analyse the functions and powers of state bodies, including formulation of a list of directions for further pros and cons for fulfilling the obligations under the Minamata Convention by the country. Inclusion in the Environmental Code of the Republic of Kazakhstan of a section on mercury waste, methods of their transportation, storage and disposal.

The Project will build capacity of the national stakeholders for promoting the registration of imported chemicals will become more controllable, which in turn will help to track the import of hazardous chemicals, and further take measures to comply with MEAs. .

Raising awareness and improved communication among government officials involved in chemicals management processes on POPs and chemicals will enhance understanding of the negative impact of harmful chemicals. In the future, increased awareness and better communication will facilitate the promotion of solutions to these issues at the national level.

The update of the National Chemicals Profiles will provide all stakeholders with complete technical information on chemicals, including import / export, production, as well as interaction between various government agencies, business and the public regarding the management of chemicals.

The availability of appropriate training and special education for the proper assessment of hazards and, accordingly, the use of information elements is fundamental to ensuring safety in the handling of chemicals. Understanding the degree of danger of chemicals leads to the correct actions in their production, use and disposal / disposal of waste. And this understanding will be achieved with better coordination and information exchange, which can provide a single official coordinating body.

Under the Project Strategy the following two proposed measures will support the strengthening of the Republic of Kazakhstan's capacity to fulfil its obligations under the MEA will include:

Measures 1: *Improving National Legislation in the Sphere of Chemical Management.*

Measures 2: *Strengthening the institutional capacity of the national coordinating body, JSC Zhasyl Damu, to improve the reporting on progress and assess the effectiveness of the implementation of the Basel, Rotterdam and Stockholm Conventions and promote ratification of the Minamata Convention, as well as the capacity to update of the National Chemicals Profiles, plan, design, implement, monitor and coordinate the implementation of policies, strategies and national programs for the sound management of chemicals and wastes.*

III. RESULTS AND PARTNERSHIPS

Expected Results

The project's objective is focused on strengthening institutional capacity to manage chemicals at the national level. The project objective will be achieved during 24 month's period in collaboration with central authorities as well as business associations, other relevant national and international projects, academies, NGOs and civil society through implementation both proposed measures through implementation of the following components:

Component 1: Improving National Legislation in the Sphere of Chemical Management.

The work will be involving all key government agencies and stakeholders, with attention to the Department of Waste Management Policy, the Department of International Relations of the Ministry of ecology, geology and natural resources and the JSC "Zhasyl-Damu", RGE "Information and Analytical Center" necessary to strengthen institutional capacity with special attention to the JSC "Zhasyl Damu."

It is necessary to analyse all possible problems, shortcomings and barriers of national legislation for the implementation of coordinated implementation of all chemical conventions. Based on the best legislative practice, to study and adapt it to the conditions of the country and the requirements of the conventions for the introduction of environmentally sound management of chemicals and all wastes throughout their life cycle in accordance with agreed international mechanisms and to significantly reduce their discharge into air, water and soil and to minimize their negative impact on human health and the environment. The following actions will be performed:

Outcome 1: Identify major barriers and priority measures needed to strengthen national legislation.

Output 1. A report will be prepared on the problems, shortcomings and barriers to national legislation for the implementation of the coordinated implementation of all chemical conventions has been prepared and discussed with all relevant stakeholders and presented to the decision-makers.

Output 2. Analyze the best international regulatory practice for a comparative analysis of the relevant national legislation for its further improvement and harmonization with international legislation.

Outcome 2. Recommendations on improvements and additions to the legislation of the Republic of Kazakhstan on chemical management.

Output 1. Recommendations on improvements and additions to the legislation of the Republic of Kazakhstan, which are required in accordance with the provisions of MEAs, will be prepared.

Output 2. Recommendations on improvements and additions to the requirements of the Environmental Code regarding the management of POPs and mercury wastes, especially with regards of their disposal, will be prepared.

Outcome 3. Update of the National Chemicals Profile with completed technical information on chemicals, including import / export, production, as well as interaction between various government agencies, business and the public regarding the management of chemicals.

Component 2: Strengthening Institutional Capacity of the National Coordination Bodies for Chemical Management.

The Project will mainly work at the level of heads and experts of structural subdivisions of state bodies, thus providing institutional memory in the process of its implementation and strengthen sustainability of the project and improve the reporting on progress and assess the effectiveness of the implementation of the Basel, Rotterdam and Stockholm Conventions and ratification of the Minamata Convention, as well as the capacity to plan, design, implement, monitor and coordinate the implementation of policies, strategies and national programs for the sound management of chemicals and wastes.

Outcome 1. Strengthen the Working Group on POPs to better coordinate and monitor the integrated implementation of the main chemical conventions.

Output 1. International and national experts will train the Working Group members to work in line with international requirements for better implementation and strengthening synergy of all chemical conventions.

Output 2. An institutional framework will be prepared and strengthened to improve the work of the Coordination Center.

Output 3. Regular meetings of the Working Group will be organized to develop a system of measures and an action plan to ensure the implementation and synergy of MEAs.

Outcome 2. Strengthen the reporting process under the conventions.

Output 1. Adapt an international system for the classification and labelling of chemicals for Kazakhstan;

Outcome 3. Support to the introduction of environmentally sound technologies and processes, including technologies for the destruction of wastes containing chemical and other hazardous waste.

Outcome 4. Improvement knowledge of national stakeholders on chemical management.

Output 1. Seminars, courses, workshops and seminars on chemical management, including the consequences of their impact on human health and the environment, as well as gender mainstreaming will be conducted.

Output 2. Organize round tables, seminars and meetings with representatives of ministries, parliament, business, industries, NGOs, scientists and civil society to discuss chemical management and interagencies coordination, and etc.

Output 3. Information materials (brochures, leaflets, posters, etc.) on chemical safety and the negative impact of hazardous chemicals on human health will be developed.

Resources Required to Achieve the Expected Results

The Project will be nationally executed by the Ministry of Ecology, geology and natural resources (Ministry), who will act both as the Implementing Partner and the Beneficiary of the project. In its capacity of executing entity, the Ministry will be responsible for overall project management. It will appoint a National Project Director (NPD) -a high-level government official -, who will be primarily responsible for overall implementation of the Project. This responsibility includes representing and supporting project objectives at high decision-making levels within the Government of Kazakhstan. Within the framework of its authority, the NPD will provide support for the facilitation of all project activities such as international consultant missions, trainings for respective staff, ensuring appropriate access to project sites, relevant data, records, agencies and authorities.

Implementation support will be provided by the UNDP Country Office. The UNDP will be an active partner in the project's implementation. It will support implementation by maintaining the project budget and project expenditures, contracting project personnel, experts and subcontractors, undertaking procurement, and providing other assistance upon request of the National Executing Agency. The UNDP will also monitor the project's implementation and achievement of the project outcome and outputs and will ensure the proper use of Special Programme funds. Financial transactions, reporting and auditing will be carried out in compliance with national regulations and established UNDP rules and procedures for national project execution.

The project will be implemented in close coordination and collaboration with all relevant government institutions, local communities, CSO, NGOs and business associations, as well as with other related relevant projects.

Project Implementation Unit will be hired within this project to implement the project activities for achieving the project objective.

Partnerships

The nationally-driven Chemical management requires support from key stakeholders who are interested in making this process a success, and their functions are described below.

Ministry of Ecology, geology and natural resources under the Government of Kazakhstan develops and implements national policy for environmental protection; organizes governmental control over environmental protection and natural resources' use; implements Multilateral Environmental Agreements (MEAs); and licenses uses, releases, transport, storage and disposal of toxic materials and waste, including radioactive. Within its structure, a Department on state policy and waste management develops regulatory acts on implementation of governmental policy on chemical waste; and is involved in the development and implementation of strategic programme documents, formulation of norms in the field of chemical waste.

The Ministry of Health of the Republic of Kazakhstan is focal point for implementation SAICM in order to improve the work on various activities carried out within the framework of MEAs.

Providing, if necessary, statistics on morbidity, mercury content in food and other products, participation in the coordination of a government decree and presidential decree.

Ministry of Justice carries out governmental registration of all normative-legal documents related to chemical management, including the chemical conventions. Implementation of advice in the development of regulatory legal acts, coordination of developed draft regulatory legal acts.

State Revenue Committee of the Ministry of Finance of the Republic of Kazakhstan regulates exports and imports of chemical substances and toxic wastes. The Customs department has been a traditional public sector partner in the previous chemical waste programmes and will continue to be such in the currently proposed chemical management. All reporting on import/exports is done through this agency i.e. CoEP, Customs etc. with importing/exporting business entities submitting required activity reports to the agency with regards to imported/exported goods.

The Committee for Emergency Situations of the Ministry of Internal Affairs carries out functions in the civil protection, prevention and response of natural and man-made emergency situations from chemical. Development of recommendations on introducing amendments to regulatory legal acts, participation in raising public awareness of mercury effects. Development of measures for the safe storage of mercury wastes.

Committee on Statistics under the Ministry on National Economy of the Republic of Kazakhstan consolidates and publishes nationally aggregated data on imports/ export chemical into/out of Kazakhstan. For the effective data consolidation and verification processes, participation of the Committee is important for ensuring the national data review and analysis to ensure accurate reporting. Submission of the necessary statistical data in the field of the environment, public health, production and consumption.

JSC Zhasyl-Damu is a national authority for the management of chemical waste for better implementation of the Basel, Rotterdam, Stockholm Conventions and promotion ratification of Minamata Convention.

On the basis of this organization, it is planned to create a single coordination center for chemical conventions. Also, JSC Zhasyl Damu will provide expert and methodological support, carry out direct interaction with the secretariats of chemical conventions.

Non-governmental sector – NGOs (chemical management, environment protection, air pollutant, Orhus center etc) unites major actors in the chemical sector and serves to disseminate experiences and best practices, and represents organizational as well as ensures related public awareness mechanisms.

NGOs will provide support in organizing seminars and trainings, in the work of dialogue platforms, will provide expert assistance in the development of regulatory legal acts, interact with civil society to raise awareness.

Private sector (industry, recycling) is a main user of chemical in daily business activities. Their cooperation is essential for the project progress and success in terms of effective chemical management and waste.

The private sector will be an indicator of the changes taking place, and will also be the basis for assessing the current situation and developing measures to fulfill the obligations of the Minamata Convention.

Risks and Assumptions

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

Potential risks associated with the project, along with proposed mitigation measures, are summarized in a table below and in Annex C:

Risks and Assumptions	Rating	Measures
<i>Political 1:</i> Frequent government changes can lead to unforeseen changes in policies that will affect the achieving of project targets.	Low	The project will mainly work at the level of heads of structural subdivisions of state bodies, thus providing institutional memory in the process of its implementation. To address changes during the project it will be necessary to train new staff and renegotiate/explain again what was already agreed to, which is time and resource intensive. In the longer term, the concrete deliverables will provide examples, and project will focus on making enduring materials available to facilitate learning after the project.
<i>Institutional 1:</i> Difficulties in including proposals in national legislation since government bodies do not recognize the issues of chemicals management as priorities for the country are surmountable.	Low	Organization of expert meetings and meetings for representatives of authorized bodies to explain the importance and need to introduce safe management of chemicals in national legislation The project has been designed to be implementable under current legislation, and based on strong support from the national government. In the medium term these barriers will be addressed through other UNDP initiatives, along with efforts of others.
<i>Institutional 2:</i> The interagencies coordination will not strengthen at the country level, due to no sufficient desire among the various government agencies to coordinate efforts and exchange information on the management of chemicals and hazardous wastes.	Moderate	Organization of expert meetings and meetings for representatives of authorized bodies to explain the importance and necessity of strengthening safe management of chemicals and national legislation in this area.
<i>Financial 1:</i> Lack of private sector interest and motivation to invest in equipment modernization in accordance with chemical obligations.	Moderate	Organization of round tables, workshops, seminars and trainings to provide information on health effects of hazardous chemicals.

Stakeholder Engagement

The policy dialogue will be facilitated between planners and practitioners who are experts or experienced in waste management issues. An important local stakeholder group is the local governments, which benefit in different ways from improved chemical management practices and use measures. In locations where the functioning of local governments was seriously disrupted in the early years of independence, alternative or parallel mechanisms of local consultation and decision-making emerged, especially in district levels, such as sub district councils or committees.

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

Other local-level stakeholders include interested non-government organizations (NGOs) who are emerging as an important resource in coordinating between communities and between regions. NGOs will be involved in the project implementation in terms of collecting the required important information (e.g. on environmental and health aspects and concerns of mercury releases and

accumulation in the environment), provide the effective communication with local vulnerable communities and raise an awareness of the general public and decision makers. They are provides assistance in communities' rights and interests' protection.

The private sector, the National Chamber of Entrepreneurs and other association will be engaged as a non-direct project beneficiaries, which are responsible for the release of chemical and mercury-containing waste production, including but not limited to private facilities that use mercury-containing device; service providers involved in waste collection, recovery and recycling. The stakeholders have been so far engaged in all phases of preparation of the project and are expected to take active roles in the Project Board in order to steer the project implementation parallel to national circumstances related to this thematic area.

The Government through the Ministry of ecology, geology and natural resources of the Republic of Kazakhstan committed in creation a single coordinating mechanism on chemicals created based on JSC Zhasyl Damu for better communication and information exchange, which can provide a single official coordinating body. As main project implementing agency JSC Zhasyl Damu will be working in close coordination and collaboration with all relevant government institutions, local communities, CSO, NGOs and business associations, as well as with this and other related relevant projects.

To achieve and involve key stakeholders in the process of chemical management Zhasyl Damu JSC will use different methods of communication including face-to-face communication (workshops, round tables, seminars), email, teleconferencing and videoconferencing. As well as variety types of available communication technology such as email, instant messaging, social networking (e.g. Facebook, Instagram), its official sites (www.zhasyldamu.kz), tweeting, blogging and video conferencing.

In Kazakhstan, the media are highly commercialized, and they show a very low interest in environmental issues, which in fact are of great concern to the population. In addition, due to high corruption, access to information is limited due to the involvement of high-ranking influential officials and industrial polluters. Therefore, in recent years, social networks have taken a major role in attracting not only the population, but also government agencies to discuss environmental issues. The project will actively use this new opportunity - to reach the general public directly and/or through active existing public bloggers. This will allow not only to quickly disseminate information due to reposts, but also to get the maximum feedback. In addition, it will require little money to create a sponsored blog and/or attract existing active bloggers.

Gender mainstreaming

The project provides equal opportunities for men and women by considering all aspects of gender equality, i.e. equal rights during production and distribution of resources.

Generally, three groups are most vulnerable from the effects of hazard chemical. The unborn child, small children and people who are regularly exposed (chronic exposure) to high levels of hazard chemical (people who are exposed through their occupations). Mandatory consideration will be given to the specific needs of women during project implementation. Special measures will be developed within the framework of the project for each project partner and major stakeholder, considering gender characteristics and improving the gender balance in the society. The project will develop an analytical report on gender mainstreaming in chemical sector, including the baseline analysis and recommendations on inclusion of gender issues at the national level.

Moreover, the Ministry of Health will be provided with expert assistance to strengthen control over measures to reduce the impact of hazardous substances on women. For example, the development and revision of existing standards for the provision of medical care, considering the characteristics of the female body, will be proposed.

With the help of the project the Emergency Committee can develop emergency response measures in the context of a gender perspective.

The project will also help strengthen the capacity of the following organizations on gender mainstreaming:

- the Ministry of Justice in the analysis and control of the list of occupations not recommended for women.
- the Ministry of Labour and Social Protection in the organization of monitoring compliance with labour laws in women's rights to work.

- the Association GIRLLNWOMLN and non-governmental organizations to raise awareness and specifically raise awareness among stakeholders about gender equality. Conducting questionnaires, assessments, educational seminars and trainings.

South-South and Triangular Cooperation (SSC/TrC)

This project will be precisely based on the successful experience of projects funded by the GEF and SAICM on POPs, mercury and chemicals management. The project provides greater communication and coordination in sharing experiences, best practices and lessons learned, especially with other chemical projects in countries which are the member parties to the chemical Conventions. It is also expected that during the project implementation, countries can meet to share their experiences and to discuss how to implement the recommendations from the reports in the best way. The project will support Kazakhstan's participation in meetings and conferences of parties on chemical Conventions. These conferences and forums are important in providing platforms for sharing accumulated expertise in improving operations of national stakeholders as well as associated knowledge on chemical management.

Knowledge

The main aim of this project is to study the current working of the chemical management and suggest measures on improving the efficiency and effectiveness of national policies by using the concept of knowledge management. The knowledge will support in decision making on time and direct to decreasing any chemical hazardous effect on environment, health and also with proper implementation of safety measures by following strict rules and regulations. The project will identify, analyse, and share lessons learned that might be beneficial in the design and implementation of similar future projects.

Within the project will be prepared following documents and informational materials:

1. National Chemicals Profile
2. Project reports
3. Articles and publications on chemical management, including chemical hazardous effect on environment and human health.
4. Recommendations of interagencies coordination mechanism
5. Training courses for national government bodies and industry companies.

Results from the project will be disseminated within stakeholders and national partners on regular project meetings and project boards as well as project conference and workshops. The local communities will be informed through existing information sharing social networks and forums.

Sustainability and Scaling Up

The project design incorporates the following three strategies for ensuring that capacity development will be sustainable over time. Use multiple "entry points" and involve more incentive based mechanism in water sector to ensure long-term results

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

The issues of ensuring chemical safety, improving the mechanisms for the regulation of chemical substances are fundamental in the relevant section of the "Environmental Code of RK" and "Concept of the Transition of the RK to the Green Economy" for ensuring sustainable development of the country. This will create the necessary political framework for promoting the strengthening of synergies between MEAs and their coordination. The Pollutant Release and Transfer Register (PRTR) can facilitate the implementation and synergy of all conventions. The

ratification of the PRTP will provide instruments on regulatory and monitoring of chemical hazardous.

Changes to policy and institutional frameworks will reinforce the message that Kazakhstan fulfils its commitment under the chemical Conventions and SDGs principles.

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

Through trainings, joint work with national and international experts in the Working Group and various projects in the country, the capacity of relevant national officials and decision-makers on chemicals management is being strengthened. This creates a good human resource base for the sustainable operation of the Government and promotes institutional strengthening of chemicals management for the long term.

IV. PROJECT MANAGEMENT

Cost Efficiency and Effectiveness

The project strategy and design has been specifically chosen to ensure cost-effectiveness. First, in terms of the implementation arrangements, UNDP and the Ministry of ecology geology and natural resources of the Republic of Kazakhstan have established a history of successful collaboration and partnerships, including working jointly on past GEF-funded projects that were successfully implemented. There are several recent notable examples include the Minamata Initiation Assessment project, and the Medical Waste project.

The MIA and Medical wastes projects are successfully completed, but the final evaluation review of these projects mentioned "There are many factors that have contributed to the success of the project to date... In summary, though, it appears to hinge on the good collaboration and cooperation among the project's key stakeholders and, most particularly, in the relationship between the Ministry of ecology geology and natural resources of the Republic of Kazakhstan (previously Ministry of Energy) and the UNDP-CO.

At the national level the project will support the enabling environment for improved chemical management, through policies, laws and regulations that reduce bureaucracy and transaction costs for implementing management principles. The one component of the project focuses on knowledge management. The activities under this component will directly support implementation of Kazakhstan's previously defined national chemical plans. The project will also draw on other similar experiences in other countries in the region, such as Kyrgyzstan and Uzbekistan. For example, the project will work on enhancing interagencies coordination.

This project will also be implemented under standard UNDP and Government of Kazakhstan financial management procedures and requirements, which will ensure cost-effectiveness of aspects such as procurement. Project management will include structured and consistent project workplanning and financial planning, with annual budgeted workplans approved by the Project Board. Cost efficiency and effectiveness will be ensured at each stage of the project by adoption of tender-based (quality for affordable costs) UNDP procurement procedures for all the activities where tendering is required, including the selection of consultancy services and procurement of services, based on the best quality/cost ratio. In addition, project management expenditures are planned at 5% of the project activities budget (in accordance with UNEP TF requirements). Co-financing is also expected in an amount nearly two times the UNEP TF financing.

UNDP jointly with Government of Kazakhstan works on the premise of growing the programme on chemical management. It is shown that can take more efforts in "leveraging" the knowledge than existing one, or can acquire, or can connect to – based on emerging innovation practice. The role of UNDP is establishing south-south cooperation to exchange experience and possible lessons from each other. Hence, UNDP joint Government of the Kazakhstan needs to generate a benefit of presenting a synergy of chemical management projects not only in country level

However with the countries where similar issues are tackled. To improve management and efficiency, UNDP CO nowadays employ multiple project management (MPM) practices. A common way to practicing such management is one project manager lead multiple concurrent projects, which means – the management of a group of multiple projects (MGMP). The UNDP found the organizational and operational factors influencing the effectiveness in MGMP and the criteria for measuring the MGMP effectiveness. These findings were organized as a framework underlying the effectiveness in MGMP, providing important managerial implications and suggesting potential future project implementation. The expected output from National Projects Manager, besides meeting time, cost, performance, and satisfying customers, is the effective use of organizational resources.

Project Management

The Project will be nationally implemented by the Ministry of ecology, geology and natural resources with UNDP Country Office support. It will support implementation by maintaining the project budget and project expenditures, contracting project personnel, experts and subcontractors, undertaking procurement, and providing other assistance upon request of the implementing partner. The UNDP will also oversight the project's implementation and achievement of the project outcome and outputs and will ensure the proper use of the allocated resources. An agreement on Direct Project Costs (DPCs) between UNDP and the Implementing Partner has been determined based on the level of services to be delivered (refer to the Letter of Agreement in Annex Y). In addition, UNDP will provide technical support via practical guides, reference documents, tools and training packages for the use of the project. UNDP will coordinate with project partners to help ensure consistency and synergy among the project in Kazakhstan.

UNDP will engage national and international consultants as needed to ensure high quality and efficiency of the implementation of the project activities. The project will build partnerships with a variety of stakeholders whose participation is needed for successful implementation. The project will be implemented in close coordination and collaboration with all relevant government institutions, NGOs and business associations, as well as with other related relevant projects. In order to prevent commercial conflicts of interest, they will not be eligible to serve on the Project Board, nor will they play a direct role in project governance. But the Project Board may invite them as appropriate to board meetings and discussions of project plans and evaluation.

The project office will be located in Nur-Sultan. It is expected that the project office will be staffed full-time by the Project Manager, Project Assistant, and a team of Experts, as described in Annex D.

V. RESULTS FRAMEWORK²

Intended Outcome as stated in the PFD/Country Programme Results and Resource Framework: Outcome 1.3: Ecosystems and natural resources are protected and sustainably used, and human settlements are resilient to natural and human-induced disasters and climate change.									
Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets: Output 1: Selected settlements have adopted integrated models for sustainable growth Indicator 1.1: Number of new jobs/livelihoods created through management of natural resources ecosystems services, chemicals and waste, sex-disaggregated Baseline: 20 ; Target: 80									
Applicable Output(s) from the UNDP Strategic Plan: SP Output 1.4.1 Solutions scaled up for sustainable management of natural resources, including sustainable commodities and green and inclusive value chains									
Project title and Atlas Project Number: Strengthening the National Capacity of the Republic of Kazakhstan to Regulate Chemicals Through Ensuring Compliance with Obligations Under International Multilateral Environmental Agreements.									
EXPECTED OUTCOME/ OUTPUTS	OUTCOME/OUTPUT INDICATORS ³	Data source	BASELINE		TARGETS (by frequency of data collection)			DATA COLLECTION METHODS	RISKS
			Value	Year	Year 1	Year 2	Year 3		
Overall Outcome Strengthened institutional capacity to manage chemicals at the national level.	Number of strengthened capacity of national government authorities and experts	Reports	500	20 ⁰⁹	50	250	50	Minutes of meetings, round tables, seminars and meetings with representatives of ministries, business, NGOs, scientists and civil society. Project reporting, social networks.	Political 1: Frequent government changes can lead to unforeseen changes in policies that will affect the achieving of project targets. Institutional 1: Difficulties in including
Output 1	1.Number of recommendations on	Eco Code	2	20 ⁰⁷	0	1	0	Minutes of meetings with Ministry of ecology geology	

² UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project.

³ It is recommended that projects use output indicators from the Strategic Plan IFRF, as relevant, in addition to project-specific results indicators. Indicators should be disaggregated by sex or for other targeted groups where relevant.

<p>Improving National Legislation in the Sphere of Chemical Management. GEN2</p>	<p>improvements and additions to the legislation of the Republic of Kazakhstan on chemical management</p> <p>2. Updated National profile</p>	<p>National profile</p>	<p>1</p>	<p>2014</p>	<p>1</p>	<p>0</p>	<p>and natural resources of the Republic of Kazakhstan, official procedures of UNDP. Project Reports with list of recommendations;</p> <p>Official letters from governmental bodies (Ministry of ecology geology and natural resources of the Republic of Kazakhstan, Ministry of foreign affairs).</p>	<p>proposals in national legislation since government bodies do not recognize the issues of chemicals management as priorities for the country are surmountable.</p>
<p>Output 2 Strengthening Institutional Capacity of the National Coordination Bodies for Chemical Management. GEN2</p>	<p>1. Number of trained national interagencies specialists, government authorities.</p>	<p>Reports</p>	<p>500</p>	<p>2019</p>	<p>200</p>	<p>100</p>	<p>Minutes of meetings, round tables, seminars and meetings with representatives of ministries, parliament, business, NGOs, scientists and civil society. Project reporting, national statistics and reporting, interviews, site visit, social networks.</p>	<p>Institutional 2: The interagencies coordination will not strengthen at the country level, due to no sufficient desire among the various government agencies to coordinate efforts and exchange information on the management of chemicals and hazardous wastes.</p>
<p>2. Number of recommendations of Working Group, accepted by Ministry of ecology, geology and natural resources</p>	<p>Reports</p>	<p>Reports</p>	<p>1</p>	<p>2015</p>	<p>1</p>	<p>0</p>	<p>Minutes of meetings with Ministry of ecology geology and natural resources of the Republic of Kazakhstan, official procedures of UNDP. Project Reports with list of recommendations;</p>	<p>Financial 1: Lack of private sector interest and motivation to invest in equipment modernization in accordance with chemical obligations.</p>
<p>3. Number of published articles and publications on chemical management</p>	<p>Publications</p>	<p>Publications</p>	<p>2</p>	<p>2018</p>	<p>3</p>	<p>2</p>	<p>Official information and publications in the media and on the websites of the Ministry of ecology geology and natural resources of the Republic of Kazakhstan and other national partners. Project reporting, interviews, social networks.</p>	

VI. MONITORING AND EVALUATION

Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	Progress data against the results indicators in the RRF will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Annually	Slower than expected progress will be addressed by project management.	Ministry of ecology geology and natural resources of the Republic of Kazakhstan UNDP CO	
Monitor and Manage Risk	Identify specific risks that may threaten achievement of intended results. Identify and monitor risk management actions using a risk log. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Annually	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.	UNDP CO	
Learn	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	At least annually	Relevant lessons are captured by the project team and used to inform management decisions.	Ministry of ecology geology and natural resources of the Republic of Kazakhstan, UNDP CO	
Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project	Ministry of ecology geology and natural resources of the Republic of Kazakhstan, UNDP CO	

	making to improve the project.		performance.	resources of the Republic of Kazakhstan, UNDP CO	
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making.	At least annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.	UNDP CO	
Project Report	A progress report will be presented to the Project Board and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk log with mitigation measures, and any evaluation or review reports prepared over the period.	Annually, and at the end of the project (final report)		Ministry of ecology geology and natural resources of the Republic of Kazakhstan, UNEP TF, UNDP CO Members of project board	
Project Review (Project Board)	The project board will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the Project Board shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	At least annually	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.	Members of project board, UNEP TF	\$ 2,000

VII. MULTI-YEAR WORK PLAN ⁵⁶

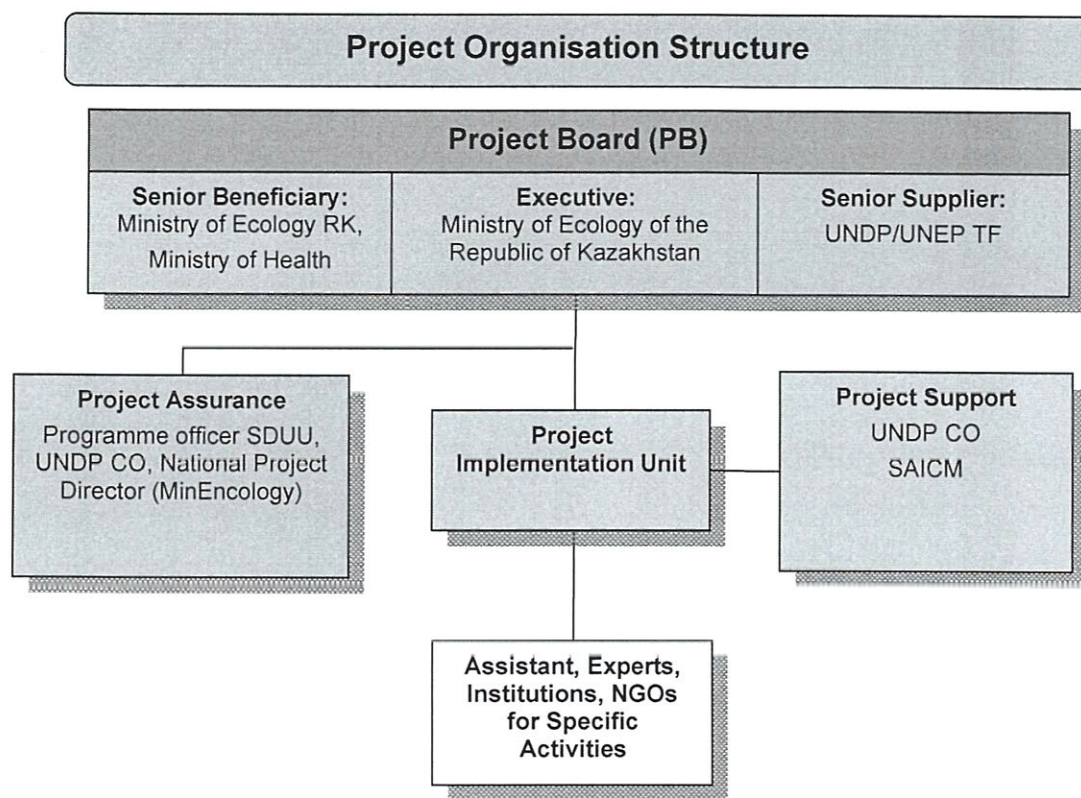
EXPECTED OUTPUTS	PLANNED ACTIVITIES	Planned Budget by Year			RESPONSIBLE PARTY	PLANNED BUDGET	
		Y1	Y2	Y3		Funding Source	Budget Description
OUTPUT (Component) 1: Improving National Legislation in the Sphere of Chemical Management. <i>Gender marker: GEN2</i>	1.1 Conducting Inception Workshop to approve ToRs for the Project Management Unit and Working Group for further approval by the government.	1,500				71300	4,000
	1.2 A report on the problems, shortcomings and barriers to national legislation for the coordinated implementation of all chemical conventions with consideration of gender aspects in chemical management prepared by national and international experts.	2,000	4,000			71400	53,400
	1.3 Hiring an international expert to prepare Terms of References (ToR) for all international and national experts for the preparation of the report, which includes a description of the best legislative experience, gender equality situation, recommendations for improving national legislation.	13,700	14,000		UNDP	71600	3,000
	1.4 Updated National Profile on Chemicals.		14,000	13,700		74200	3,500
	1.5 Conducting round tables, seminars (4), work meetings (1) and discussions on social networks with different stakeholders.	3,000	7,300	4,000		74500	300
	1.6 Validation workshop for the approval of the report on recommendations on the problems, shortcomings and barriers to national legislation for the coordinated implementation of a chemical conventions		1,000			75700	9,000
Sub-Total for Output 1							78,200

⁵ Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

⁶ Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

OUTPUT (Component) 2: Strengthening Institutional Capacity of the National Coordination Bodies for Chemical Management and Gender mainstreaming.	2.1. Recommendations for improving the activities and capacity of the National Coordination Center, gender analysis on gender mainstreaming in the chemical sector provided by an international expert.		2,544				71200	2,544
	2.2 Preparation of a provision for the establishment of the Working Group, including leading experts on all chemical conventions.	5,000	6,000				71300	3,000
	2.3 Conducting regular meetings of the Working Group to develop a system of measures and an action plan (1).	2,000	5,000	3,000		UNEP TF	71400	13,000
	2.4 Preparation of institutional framework for improving the work of the Scientific Coordination Center POP		4,000	4,000		UNDP	71600	16,000
	2.5 Enhancing capacity and the basis for managing information on chemical safety for representatives of industrial enterprises and government agencies.		5,000	2,000				
	2.6 Integration of mercury monitoring into national legislation and for public monitoring of mercury by national expert.		3,000				72100	2,000
	Sub-Total for Output 2							41,544
OUTPUT (Component) 3: Awareness raising, Project management and M&E <i>Gender marker: GEN2</i>	3.1 Round tables, seminars, trainings, meetings and discussion on social networks with representatives of ministries, parliament business NGOs, scientists and civil society were organized to discuss and approve interim and final reports.	15,000	40,000	20,000			71300	4,000
	3.2 Information materials (brochures, leaflets, posters, etc.) on chemical safety, the negative impact of hazardous chemicals on human health and gender issues have been developed and published on social networks and presented to the public.		5,000	3,000		UNDP	71400	43,000
	3.3 National expert/professional blogger hired to assist in creation and maintaining sponsored blog on sound chemical management.						71600	25,000
	3.4. Monitoring and Evaluation, audit	0				UNEP TF	72100	5,000
	3.5. Project implementation costs	6,000	12,000	6,000			72500	2,000
							73100	24,000
	Sub-Total for Output 3							118,000
General Management Support (5%)		2,825	5,810	3,252.2			74596	11,887.2
TOTAL								249,631.2

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS



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

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

There will be not less than three PB members. The Project Board will be chaired by a representative of Ministry of Ecology. The Project Board will also include at least one senior official of the Ministry of Health, Ministry of Investments and Development, NGO.

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

Project Assurance. The UNDP programme officer will be responsible for reviewing Risk, Issues and Lessons Learned logs, and ensuring compliance with the Monitoring and Communications Plan. The PB Representative or designated focal person will also play an important project assurance role by supporting the annual APR process.

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

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

The daily project administration will be performed by the national **project manager (PM)**. PM will be technically supported by contracted national and international service providers. Recruitment of support specialists and procurement of any equipment and materials for the project implementation will be carried out in accordance with relevant rules and procedures for recruitment and procurement. The Project Manager will run the project on a day-to-day basis on behalf of the Implementing Partner within the constraints laid down by the Board. The Project Manager function will end when the final project terminal evaluation report, and other documentation required by the GEF and UNDP, has been completed and submitted to UNDP (including operational closure of the project).

A full-time **Project Assistant** will provide support to the Project Manager in all tasks of the project, including administration, management of information and contacts, logistics, representing the project when the Project Manager is unavailable, and so on. For Project Assistant, the amount payable will only be charged to Project Manager, since the incumbent will not perform any technical role in the project.

National Expert on interdepartmental communication and capacity building will be a locally. An expert will provide work and support the project team during the daily activities of the UNDP project and the Government of Kazakhstan to achieve the project objectives.

IX. LEGAL CONTEXT

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

This project will be implemented by the Ministry of ecology, geology and natural resources ("Implementing Partner") in accordance with its financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

X. RISK MANAGEMENT

1. Consistent with the Article III of the SBAA *[for the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:
 - a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
 - b) assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan.
2. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner's obligations under this Project Document.
3. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/qa_sanctions_list.shtml.
4. 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.
7. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using UNDP funds. The Implementing Partner will ensure that its financial management, anti-corruption and anti fraud policies are in place and enforced for all funding received from or through UNDP.
8. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.
9. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', responsible parties', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with the Implementing Partner to find a solution.
10. The signatories to this Project Document will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP

Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement.

Where such funds have not been refunded to UNDP, the Implementing Partner agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to the Implementing Partner for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud or corruption, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

11. Each contract issued by the Implementing Partner in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from the Implementing Partner shall cooperate with any and all investigations and post-payment audits.
 12. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
 13. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled "Risk Management Standard Clauses" are included, *mutatis mutandis*, in all sub-contracts or sub-agreements entered into further to this Project Document.
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XI. MANDATORY ANNEXES

- 1. Annex A:** Project Quality Assurance Report
- 2. Annex B:** Social and Environmental Screening Template
- 3. Annex C:** Risk Analysis
- 4. Annex D:** Project Board Terms of Reference and TORs of key management positions
- 5. Annex E :** Letter of Agreement for UNDP Support Services

Social and Environmental Screening Template

OFFLINE RISK LOG

Project Title: Strengthening the National Capacity of the Republic of Kazakhstan to Regulate Chemicals Through Ensuring Compliance with Obligations Under International Multilateral Environmental Agreements.		Award ID: 00112786	Date:
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#	Description	Date Identified	Type	Impact & Probability	Countermeasure / response	Owner	Submitted, updated by	Last Update	Status
1	Frequent government changes can lead to unforeseen changes in policies that will affect the achieving of project targets.		Political	I = 2 (minor) P = 2 (no: likely)	The project will mainly work at the level of heads of structural subdivisions of state bodies, thus providing institutional memory in the process of its implementation. To address changes during the project it will be necessary to train new staff and renegotiate, explain again what was already agreed to, which is time and resource intensive. In the longer term, the concrete	UNDP	Project manager Updated annually in Atlas Project Management Module		Updated annually in Atlas Project Management Module

2	Difficulties in including proposals in national legislation since government bodies do not recognize the issues of chemicals management as priorities for the country are surmountable.		Institutional	I = 2 (minor) P = 2 (not likely)	Organization of expert meetings and meetings for representatives of authorized bodies to explain the importance and need to introduce safe management of chemicals in national legislation. The project has been designed to be implementable under current legislation, and based on strong support from the national government. In the medium term these barriers will be addressed through other UNDP initiatives, along with efforts of others.	UNDP	Project manager Updated annually in Atlas Project Management Module		Updated annually in Atlas Project Management Module
3	Lack of private sector interest and motivation to invest in equipment		Financial	I = 2 (minor) P = 3 (not likely)	Organization of round tables, workshops, seminars and trainings to provide	UNDP	Project manager		Updated annually in Atlas Project Management

	modernization in accordance with chemical obligations.				information on health effects of hazardous chemicals.		Updated annually in Atlas Project Management Module		Module
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Project Board Terms of Reference and TORs of key management positions

National Project Manager (NPM)

The National Project Manager (NPM) will be a locally recruited national selected based on an open competitive process. The NPM will be tasked with the day-to-day management of project activities, as well as with financial and administrative reporting. The NPM's prime responsibility is to ensure that the project produces the planned outputs and achieves the planned indicators and indicator targets by undertaking necessary activities specified in the project document to the required standard of quality and within the specified constraints of time and cost. This will require linking the indicators to the work plan to ensure Results-Based Management.

Duties and Responsibilities: The incumbent will be responsible for implementation of the project, including mobilization of all project inputs, supervision of project staff, consultants and oversight of sub-contractors. The PM will be the leader of the Project Team and shall liaise with the government, UNDP, and all stakeholders involved in the project. S/he will be specifically responsible for (a) overall management of the project, (b) work closely with project stakeholders and ensure the project deliveries as per project document and work plan, (c) ensure technical coordination of the project and the work related to legal and institutional aspects, (d) mobilize all project inputs in accordance with UNDP procedures and SAICM Special Programme requirements, (e) finalize the ToR for the consultants and subcontractors and coordinate with Procurement Unit for recruitment, procurement and contracting, (f) supervise and coordinate the work of all project staff, consultants and sub-contractors, (g) ensure proper management of funds consistent with UNDP requirements, and budget planning and control, (h) prepare and ensure timely submission of monthly reports, quarterly consolidated financial reports, quarterly consolidated progress reports, annual, mid-term and terminal reports, and other reports as may be required by UNDP; (i) submit the progress reports and key issue report to the Project Board. (j) prepare quarterly and annual work plan, (k) provide regular input to UNDP corporate system ATLAS for financial and programme management on project progress, financial status and various logs, (l) arrange for audit of all project accounts for each fiscal year (m) undertake field visit to ensure quality of work, and (n) undertake any activities that may be assigned by UNDP and Project Board.

Qualifications and Experience: The incumbent should have a minimum Bachelor degree with MBA/Master degree or Masters in energy/environment or other relevant academic discipline and profession qualifications with at least ten (5) years professional experience at senior level. S/he should have extensive experience and technical ability to manage a large project and a good technical knowledge in the fields related to environment, chemical management, waste management and other related fields, has knowledge in regulatory and financial aspects. S/he must have effective interpersonal and negotiation skills proven through successful interactions with all levels of project stakeholder groups, including senior government officials, NGOs, business associations, private entrepreneurs, technical groups and communities. S/he should have ability to effectively coordinate a complex, multi-stakeholder project and to lead, manage and motivate teams of international and local consultants to achieve results. Good capacities for strategic thinking, planning and management and excellent communication skills both in English and Russian are essential. Knowledge of Kazakh will be an asset. Knowledge of UNDP project implementation procedures, including procurement, on-lene financial systems such as ATLAS, disbursements, and reporting and monitoring will be an added advantage.

Administrative/Finance Assistant

The Administrative and Finance Assistant (AFA), will be a locally recruited national selected based on an open competitive process. He/She will report to National Project Manager (NPM) and assist the NPM in the coordination of the UNDP-GEF project. He/She will have two roles: as an Administrative Assistant and as an Accountant.

Duties and Responsibilities: The incumbent will be responsible to provide overall administration and financial services of the project such as processing payments, raising requisition, purchase order, projects logs etc. using UNDP corporate software ATLAS. S/he will be responsible to provide information to UNDP Project web, RRMC reporting and administrative trouble shooting. S/he will also perform (a) word processing, drafting routine letters/messages/reports, mailing (b) arrange travel, itinerary preparation for project related travels, (c) assist to arrange workshops/seminar/training programmes and mailing, (d) work at reception desk and make appointments and schedule meeting, (e) assist in work-plan and budgeting, (f) photocopying, binding and filing, (g) maintenance of all office equipment and keeping inventory/records of supplies and their usage and any other duties assigned by Project Manager or concerned officials.

Qualifications and Experience: The incumbent should have at least a Bachelor degree in any discipline from a recognized university. S/he should have at least 3 years relevant working experience with foreign aided projects or international development or organizations. Computer proficiency in MS Office (Word, Excel and PowerPoint) and other common software is a prerequisite. Diploma in computer/secretarial science is desirable but not essential. Basic knowledge in procurement, petty cash handling, logistics supports, and filing systems is a basic requirement. Knowledge of UNDP project implementation procedures, including procurement, disbursements, and reporting and monitoring is preferable. Excellent communication skills both in English and Russian are essential. Appropriate knowledge of Kazakh will be an asset.

National expert on interdepartmental communication and capacity building

National expert on interdepartmental communication and capacity building will be a locally recruited person. An expert will provide work and support the project team during the daily activities of the UNDP/GEF project and the Government of Kazakhstan to achieve the project objectives. The main task of the National expert is preparation of recommendations for the effective management of chemicals and proposals for interdepartmental communication, as well as the preparation of activities which aimed at capacity building of stakeholders worked on chemicals management.

Duties and Responsibilities: The incumbent will be responsible to implementation of the project in terms of the tasks outlined above. National expert (a) will create and maintain effective partnerships with project participants, governmental bodies and NGOs. S/he (b) will prepare training materials and presentations for target groups (representatives of governmental bodies, industrial enterprises, NGOs) during the seminars and trainings. S/he (c) will analyze learning outcomes and assess the quality of conducted training, prioritize educational activities.

Qualifications and Experience: The incumbent should have at least a Bachelor degree in ecology, natural sciences, environmental protection or medicine. Academic degree is an advantage. S/he should have at least 5 years of experience in the field of chemicals management. Experience in projects (preferably in the field of chemicals and wastes), including planning and effective development and implementation of projects, taking into account gender equality issues. Knowledge of the country's potential in the field of the environment, as well as professionals and stakeholders at the national level in the field of chemicals and ecology. Experience in capacity building, creation of educational materials (brochures, presentations, articles), conducting of trainings and workshops. Complete computer literacy. Good communication skills both in English and Russian are essential. Work experience in UN agencies is an advantage.

Position Title	\$ Per week	Time Input (week)	Tasks, Inputs and Outputs
Project Team			
National Project Manager	692	105	<p>Duties and Responsibilities: The incumbent will be responsible for implementation of the project, including mobilization of all project inputs, supervision of project staff, consultants and oversight of sub-contractors. The PM will be the leader of the Project Team and shall liaise with the government, UNDP, and all stakeholders involved in the project. S/he will be specifically responsible for (a) overall management of the project, (b) work closely with project stakeholders and ensure the project deliveries as per project document and work plan, (c) ensure technical coordination of the project and the work related to legal and institutional aspects, (d) mobilize all project inputs in accordance with UNDP procedures and SAICM Special Programme requirements, (e) finalize the ToR for the consultants and subcontractors and coordinate with Procurement Unit for recruitment, procurement and contracting, (f) supervise and coordinate the work of all project staff, consultants and sub-contractors, (g) ensure proper management of funds consistent with UNDP requirements, and budget planning and control, (h) prepare and ensure timely submission of monthly reports, quarterly consolidated financial reports, quarterly consolidated progress reports, annual, mid-term and terminal reports, and other reports as may be required by UNDP; (i) submit the progress reports and key issue report to the Project Board, (j) prepare quarterly and annual work plan, (k) provide regular input to UNDP corporate system ATLAS for financial and programme management on project progress, financial status and various logs, (l) arrange for audit of all project accounts for each fiscal year (m) undertake field visit to ensure quality of work, and (n) undertake any activities that may be assigned by UNDP and Project Board.</p>
National expert on interdepartmental communication and capacity building	346	105	<p>National expert on interdepartmental communication and capacity building will be a locally recruited person. An expert will provide work and support the project team during the daily activities of the UNDP/GEF project and the Government of Kazakhstan to achieve the project objectives. The main task of the National expert is preparation of recommendations for the effective management of chemicals and proposals for interdepartmental communication, as well as the preparation of activities which aimed at capacity building of stakeholders worked on chemicals management.</p> <p>The incumbent will be responsible to Implementation of the project in terms of the tasks outlined above. National expert (a) will create and maintain effective partnerships with project participants, governmental bodies and NGOs. S/he (b) will prepare training materials and presentations for target groups (representatives of governmental bodies, industrial enterprises, NGOs) during the seminars and trainings. S/he (c) will analyze learning outcomes and assess the quality of conducted training, prioritize educational activities.</p>
Administrative and Finance Specialist	250	105	<p>The Admin and Finance Specialist will provide support to the project implementation team to carry out broad range of tasks on a daily basis. The Project Specialist will be responsible for all administrative (contractual, organizational and logistics) issues and the issues related to financial operations (payment for services and goods, payments, accounting, cash management and others). Specialist will support project team in daily administration of personnel, travel.</p>

Standard Letter of Agreement between UNDP and Ministry of Ecology, Geology and Natural Resources of Kazakhstan the Republic of Kazakhstan for the provision of support services

Reference is made to consultations between Ministry of ecology, geology and natural resources of Kazakhstan (hereinafter referred to as "MINISTRY") 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 MINISTRY hereby agree that the UNDP country office may provide such support services at the request of the MINISTRY through its institution designated in the relevant project document of the joint project of the UNDP and the MINISTRY.

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 MINISTRY-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.

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.

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 agreement of the UNDP resident representative and the designated institution.

The relevant provisions of the Standard Basic Assistance Agreement (SBAA) between with the MINISTRY 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 MINISTRY 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.

Any claim or dispute arising under or about 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.

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.

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.

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

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 MINISTRY 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 MINISTRY of Kazakhstan (Ministry of ecology, geology and natural resources of the Republic of Kazakhstan) "Strengthening the National Capacity of the Republic of Kazakhstan to Regulate Chemicals Through Ensuring Compliance with Obligations Under International Multilateral Environmental Agreements".

Attachment

DESCRIPTION OF UNDP COUNTRY OFFICE SUPPORT SERVICES

Reference is made to consultations between the Ministry of ecology, geology and natural resources of the Republic of Kazakhstan, the institution designated by the Government of Kazakhstan, and officials of UNDP with respect to the provision of support services by the UNDP country office for the nationally managed project of UNDP and the MINISTRY of Kazakhstan "Strengthening the National Capacity of the Republic of Kazakhstan to Regulate Chemicals Through Ensuring Compliance with Obligations Under International Multilateral Environmental Agreements", Project ID 00112786, or "the Project".

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.

Support services to be provided, including:

Support services	Schedule for the provision of the support services	Amount and method of reimbursement of UNDP (where appropriate)
Payment Process	Ongoing throughout implementation when applicable	USD 38.49
Vendor profile entry in ATLAS	Ongoing throughout implementation when applicable	USD 20.66
Project personnel selection and/or recruitment process * Project Manager * Project Assistant	Start of project	USD 599.81
Staff HR & Benefits Administration & Management (one time per staff including medical insurance enrolment, payroll setup and separation process)	Ongoing throughout implementation when applicable	USD 205.66
Recurrent personnel management services: Staff Payroll & Banking Administration & Management (per staff per calendar year)	Ongoing throughout implementation when applicable	USD 448.67
Consultant recruitment	Ongoing throughout implementation when applicable	USD 234.26
Procurement of goods and services involving local CAP	Ongoing throughout implementation when applicable	USD 540.84
Procurement of goods and services not involving local CAP	Ongoing throughout implementation when applicable	USD 217.35

Issue/Renew IDs (UN LP, UN ID, etc.)	Ongoing throughout implementation when applicable	USD 38.2
F10 settlement	Ongoing throughout implementation when applicable	USD 24.77
Visa request	Ongoing throughout implementation when applicable	USD 38.54
Hotel reservation	Ongoing throughout implementation when applicable	USD 15.87
Travel Ticket processing	Ongoing throughout implementation when applicable	USD 16.51

Total amount for support services shall not exceed 3,000 USD.