Supporting Kazakhstan’s Transition to a Green Economy model

INCEPTION REPORT

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Reporting Period: Inception Phase – (April – September 2015)
ACRONOMYS

UN United Nations
UNDP United Nations Development Programme
EU European Union
UNECE United Nations Economic Commission for Europe
CWR Committee on Water Resources
GoK Government of Kazakhstan
WHO World Health Organization
ETB European Investment Bank
DoA Description of Action
NPD National Project Director
IDB Islamic Development Bank
OECD Organization for Economic Co-operation and Development
OSCE Organization for Security and Co-operation in Europe
GE Green Economy
TOR Terms of References
NGO Non-Government Organization
CAREC Central Asia Regional Environment Centre
IWRM Integrated Water Resources Management
IFI International Finance institutions
GGI Green Growth Indicators
GGGI Global Green Growth Institute
COP Conference of Parties
EECCA Eastern Europe, Caucasus and central Asia
SEA Strategic Environmental Assessment
SGP/GEF Small Grant Programme/Global Environment Fund
SMM Social Media
VCS Visibility and Communication Strategy
ToT Training of Trainers
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EXECUTIVE SUMMARY
The decision of the Republic of Kazakhstan to embark on a green growth development path provides an opportunity and an impetus to diversify the economy, including the water sector. This concept for transition of the Republic of Kazakhstan to Green Economy was approved by a decree of the President of the Republic of Kazakhstan in May 2013 and refers to the Strategy Kazakhstan 2050, which sets guidelines for building a sustainable and efficient economic model based on the country’s transition to a green development path.

The Strategy formulates ambitious targets for each main resource and sector, including the water sector, complementing the targets which already existed. Early estimates indicated that on average Kazakhstan could increase its resource productivity by 2030 and reduce its environmental degradation, with a positive impact on the economy. The targets, which are of direct relevance to this project are related to the water sector such as to “resolve drinking water supply by 2020 and agricultural water supply by 2040”; and energy efficiency sector, i.e. to “decrease energy intensity of GDP by 25 percent by 2020 compared to the 2008 baseline”.

There are definite environmental, societal and economic arguments for Kazakhstan’s transition to a much more resource efficient economy. Undoubtedly a transition towards a green economy will assist the country to further diversify its economic base so as to form a sustainable and modern economic base. Global experience has shown that a Green Economy helps stimulate development, contributes to the social stability, and increases economic potential due to the creation of jobs in the Green Economy sectors.

Adopting the activities outlined in this project will help Kazakhstan make a transition to Green Economy. A challenge for the immediate future is to bridge the gap between what is a practicable in changing the economic policy and what is necessary to ensure a transition towards ‘greening’ the economy. Earlier efforts to integrate sustainability into the national economy – such as the concept on Kazakhstan’s Transition to Sustainable Development – have been limited. The Kazakh Government therefore emphasizes economic incentives green technologies transfers, especially in the energy and water domains. So far financial and business agencies and institutions only conservatively expressed their support for such an initiative. However, in the light of extensive preparations by the government of Kazakhstan for the upcoming EXPO-2017 - Future energy, the emphasis on green technologies and the overall business case for green economy, this project is promisingly timed for a policy breakthrough.

The project will provide a valuable contribution to the water sector in Kazakhstan’s way towards Green Growth as it purposely addresses all of the sectors of society, i.e. the state sector, the private sector as well as civil society. Similarly, all three key dimensions of sustainable development in the water sector are addressed by the project: Economic (Water as an Engine for Growth); environmental (Protection and Conservation of Water Resources) and social (Water for an Improved Quality of Life). Accordingly, the project’s objectives address a policy mix consisting of state-driven, market-oriented, and civil society centered activities and policy instruments in response to the requirements of the Government of Kazakhstan as outlined in the DoA, reiterated during the inception phase and confirmed during the inception meeting. The Project fully support implementation of the State Programme for Water Resources Management. Programme’s main goal is to ensure water security to Kazakhstan by enhancing water resources management efficiency Goals: 1. Secure water supply to the population, environment, and economic sectors through water saving measures and by increasing the amount of available water resources 2. Enhance water resources management efficiency 3. Ensure conservation and protection of aquatic ecosystems.

The inception period allowed to further refine the four results and all activities through a series of in depth discussions with the beneficiary, the Partner organization, implementing Partners, civil society organizations, private sector companies and the donor. The findings of those discussions were presented at the inception
workshop, which took place in Astana on 23 September 2015.

During the inception period, emphasis has been focused on creating synergies among the four results and all of the activities of the project. This is reflected by the organizational structure, which foresee a project manager in charge of all activities. Beyond organizational coherence, activities under the various outputs are being shaped in such a way that they can multiply the impact of certain activities and thus contribute to the future sustainability of the project. This applies in particular on the selection and design of the three pilot projects.

The purpose of this inception note addresses three directions, i.e. to summarize the discussions which were held during the inception period between the partners involved, to reflect them against the original project outline which was developed earlier and thus to provide a set of recommendations as the basis for the work plan, outlining tasks, responsibilities and timelines in detail.

Yet, only a limited number of changes in the specific activities as planned in DoA are suggested based on discussions with National partners.

With respect to Result 1: Water governance in line with Green Economy requirements. With respect to result 1.2, i.e. the review and improvement of the institutional basis for river basin management, it is suggested to drop activity 1.2.3. Instead of designing yet another basin plan, the Water Committee stressed that practical recommendations and trainings are more relevant to improve water resources management at basin level. Activity 1.3.2 was supplemented by specific workshop for Kazakh Parliament representatives to promote accession to the Protocol on Water and Health. The Committee has shown interest to include activities for training on water resources management for relevant staff from Government agencies. Therefore, a new activity has been added 1.4.3. Capacity building of staff.

Activity 2.1.4. Prepare and conduct one technical workshop on Green Economy Indicators, based on OECD experience was added to the Result 2 Water use efficiency increased. Kazakhstan achieved progress in developing legal and institutional framework on its transition towards Green Growth. Nonetheless, there are still gaps, which need to be addressed in order to provide a base for future monitoring and evaluation of the progress. In particular, there is no adopted set of National and Regional Green Growth indicators in Kazakhstan. In view of the fact that Kazakhstan intends to become a member of the OECD, it is suggested to support development of further recommendations for Green Economy Indicators outside the project and in any case in synergy with the implementation of the OECD. Moreover, it was agreed to build cooperation within Result 2 of the project and OECD country programme “Economic Aspects of Water Resource Management in EECCA Countries: Support to the Implementation of the Water Resources Management Programme.

Result 3 Establishment of a modernized environmental governance system facilitated. Originally it was planned to apply the SEA procedure on a river basin management plan that was foreseen as part of activity 1.2.3. The inception period revealed that no such basin plan will be developed as part of project. Therefore, the feasibility of the pilot application of SEA and its focus (a water sector related Government plan or programme) is still to be discussed with the key stakeholders (Water Committee, Ministry of Energy).

Result 4 Quick-win operational highly visible and replicable GE pilot actions. In order to provide quick start of the visible activities for the first year of the project, it was suggested to divide Activity 4.1. into the following parts: (1) Grant programme for NGOs; (2) Pilot projects. Within Activity 4.2. Knowledge management and lessons learnt system concept was developed. It is suggested to hold additional consultations with national partners, in cooperation with UNDP “Green Bridge” Project to identify further implementation of the Concept and hosting of the system, based on the examples of the EU public technology platforms.

The Inception report also describes project Governance and management modules, as well as staffing and Experts composition.
BACKGROUND INFORMATION
In the follow-up to the Rio+20 process on sustainable development, Kazakhstan made a decision to transition towards a sustainable development model - the “Green Economy Concept”, thus aiming to follow a new development paradigm. The project aims to contribute to the implementation of Kazakhstan’s Green Economy strategy with a particular focus on the water sector and climate change illustrating quick-win highly visible concrete results through a series of pilot actions. The Project (i) will provide relevant policy, legislative and normative advice to policy makers and (ii) will generate concrete, visible and replicable benefits through pilot actions.

The Project was developed in consultation with key stakeholders, is aligned with the policy priorities of the Government of Kazakhstan and embedded in the framework of national institutions, thus ensuring national ownership and strengthening long-term national capacities, as key conditions for its long-term sustainable impact.

The program builds on experience and lessons learnt from previous and on-going EU-funded actions aimed to support the sustainable use of resources and environmentally sound policies, and will generate substantial synergies for related initiatives, in particular the regional EU Central Asia Water and Environmental Platform.

The overall objective of the Project is to contribute to the long-term environmentally sustainable and economic development of Kazakhstan through supporting the country’s transition to a Green Economy model.

The specific objectives of the Project are the following:

(i) To contribute to sustainable water management policies and practices;

(ii) To promote a modernized environmental governance system aimed at generating incentives for the transition to a Green Economy model with focus on water resources and climate change;

(iii) To promote the GE transition at local level with focus on water resources and climate change.

The strategic orientation of the Project are:

a) To provide policy analysis and advice to key policy makers, in particular the Committee for the Water Resource Management under the Ministry of Agriculture;

b) To contribute to awareness raising and systematic structured capacity building of policy makers / implementers as well as civil society, media and private sector;

c) To support quick-win high visibility and replicable GE actions on local level with focus on water resources and climate change.

Project Start Date: 1 April 2015
Project Duration: 30 November 2018
PURPOSE OF THE INCEPTION REPORT
This inception report provides background on the state of implementation of the project, the respect of the work plan, the financial situation of the project and how far the project is on track towards achieving its objectives and an assessment as to whether the project objectives and work plan continue to be valid and how far the project management has further developed the project design in close collaboration with the beneficiary, the implementing partners and the donor.

The activities carried out during the inception phase were fully aligned with the DoA.

During the inception period the following activities were carried out:

1. A project management and governance structure was established.

2. The Project was further refined through:
   
   a) A Series of consultations with the national stakeholders in order to elaborate the project document in more details for each activity;
   b) Meetings between representatives of UNDP and UNECE were held to summarize the findings of the consultations and to agree on revisions and changes on the actions level;
   c) A detailed indicative Annual Work Plan for the entire project duration was prepared, accompanied by a detailed budget revision;
   d) An agreement was reached between UNDP and UNECE on the key implementation mechanisms for all outcomes of the Project and the role of each of the partner with the intention to link pilot projects with available solutions or technologies in the EU.

3. A Communication Strategy was drafted based on the EU standard requirements and reflecting the communication needs of the Annual Work Plan and Monitoring Work Plan.
PROJECT MANAGEMENT AND GOVERNANCE
Project Management

**UNDP** is the lead organisation for this Project with direct responsibility and overall coordination function for all components. UNDP will also directly implement Result 2 and Result 4. UNECE is responsible for implementation of Result 1 and Result 3, under general management and coordination of UNDP. Synergy of the project component will be provided through following instruments: joint annual work plan; joint Communication and visibility strategy and joint events.

*Figure 1 Organizational structure*

During the inception period, a project organizational structure was set and staff were recruited.
The primary function of the Project Steering Committee will be to provide strategic guidance to the project. The Project Steering Committee will have a consultative function for the project management to allow stakeholders to provide advice to the project management and to ensure a further integration of the project into civil society, private sector and state sector thus warranting greater outreach for the anticipated project results.

The Project Steering Committee decisions should be made in accordance to standards that shall ensure integrity and transparency. The Project Steering Committee provides a stabilizing influence so organizational concepts and directions are established and maintained with a visionary view.

Terms of Reference of the Steering Committee are provided in Annex A.
GREEN GROWTH IN THE CONTEXT OF KAZAKHSTAN
While the prevailing economic system is unfavorable towards environmental conditions in general, and is limiting the practical applicability of environmental incentives introduced – but not fully developed – by the 2007 environmental code. Information on how the economy is linked to environmental assets is not strong enough to inform policy. Accountability and transparency in the extractive industries have always presented a challenge to resource-based economies. Since Kazakhstan signed up to the Extractive Industries Transparency Initiative (EITI), however, revenue reporting mechanisms have been slowly progressing, with important milestones being achieved.

The concept for transition of the Republic of Kazakhstan to Green Economy, which was approved by a decree of the President of the Republic of Kazakhstan in May 2013, refers to the Strategy Kazakhstan 2050, which sets guidelines for building a sustainable and efficient economic model based on the country’s transition to a green development path.

Ambitious targets have been formulated for the Kazakh economy and for each main resource and sector, including the water sector, complementing the targets which already existed. Early estimates indicated that on average Kazakhstan could realistically increase its resource productivity by a factor of two until 2030 and radically reduce its environmental degradation, with a positive impact on the economy. To achieve this, Kazakhstan should take three types of action:

- Increase the effectiveness of resource use through technical standards and through gradually removing subsidies,
- Ensure that all new infrastructure addresses green standards and provide effective financial incentives, and
- Launch targeted initiatives to stop the most serious degradation and pollution.

The Strategy Kazakhstan 2050 and other strategic program documents set ambitious targets, which are of direct relevance to this project related to:

- Water: “resolve drinking water supply by 2020 and agricultural water supply by 2040”;
- Agriculture: “increase agricultural land productivity by factor of 1.5 by 2020”, and
- Energy efficiency: “decrease energy intensity of GDP by 10 percent until 2015 and by 25 percent by 2020 compared to the 2008 baseline”.

By successfully achieving these targets, Kazakhstan’s resource productivity would largely be on par with the average indicators of the Organization for Economic Cooperation and Development (OECD) members and other developed countries. This project will provide a major contribution and impetus to the water sector in this respect.

The economy of Kazakhstan depends on commodity export and, due to this, is highly exposed to the price fluctuations in the commodity markets. Kazakhstan is expected to achieve a maximum level of oil production and export in the period from 2030 to 2040. Currently there is great uncertainty regarding the prices of hydrocarbons for the short and medium periods.

Kazakhstan’s Innovation Industrial Strategy currently pursued by the government is aware of the potential problems of over-dependence on natural resources. Elements of the natural resource ‘curse’, deriving from excessive reliance on resource extraction revenues, have been broadly discussed in a number of documents that formed the basis for the above mentioned Industrial Strategy.

There are definite environmental, societal and economic arguments for Kazakhstan’s transition to a much more resource efficient economy. Undoubtedly a transition towards a green economy will assist the country to further diversify its economic base beyond extractive industries so as to form a sustainable and modern economic base. Global experience has shown that a Green Economy helps stimulate development, contributes to the national social stability, and increases economic potential.
thanks to the creation of jobs in the Green Economy sectors.

Adopting the activities outlined in this project will help Kazakhstan make a transition to Green Economy has never been so important. A challenge for the immediate future is to bridge the gap between what is a politically practicable in changing the economic policy and what is necessary to ensure the transition to ‘greening’ the economy. While the Kazakhstan National Green Growth Plan and earlier attempts to integrate sustainability into the national economy – namely, the concept on Kazakhstan’s transition to Sustainable Development – have all proposed reforms to address such challenges, success in reality has been elusive, dependent on buy-in from the domestic economic and finance establishment, as well as political will generated in higher government circles.

The Kazakh Government therefore emphasizes economic incentives for low-carbon development and green technologies transfer, especially in the energy domain. Key resources, financial and business agencies and institutions are quite conservative in expressing their full support for such an initiative. However, in the light of extensive preparations by the government of Kazakhstan for the upcoming EXPO-2017 - Future energy, the emphasis on green technologies and overall business case for green economy are promisingly timed for new policy breakthroughs.

Sceptics say that this new concept may end up being shelved in the same way as its predecessor, the concept on transition to sustainable development, unless broader governmental support is ensured at the key stages of its development and implementation. More may be needed to ensure practical advances in the fields of renewables, energy efficiency, and low-carbon development, as well as more effective and sophisticated environmental and resource management. there are, however, several sources that might provide broader governmental support to the Green Growth concept, and that favor its full development and subsequent implementation.

There are opportunities in the energy, waste and water management sectors that provide ‘low-hanging fruit’ for making a Ge transition. Among the ‘low-hanging fruit’ where green economy opportunities are more easily accessible and present win-win-win scenarios is the water management sector, which may offer opportunities. While policy initiatives in these sectors will be important entry points, engaging business is fundamental to making the transition to a green economy. The anticipated pilot activities under outcome 4.1. of this project may indeed offer respective demonstrations how this could be achieved. They are typically long-term investments that reflect socio-economic trends and affect sustainable production and consumption patterns. Undoubtedly major changes to investment and business practice may be tougher to achieve than changes in policy documents.

Water quality and water access continue to feature prominently as top priorities in rural and urban settings. Given the projected increased scarcity of water in specific sub-regions, development of a long-term viable plan for water supply by each region and district is an important measure. the cross-sectoral programme Ak Bulak 2011–2020 targets water supply quality and systematic improvements in water legislation to ensure water use efficiency and savings.

Water tariffs will increase gradually in order to recover expenditures on water treatment plants upgrade and construction.

these and similar measures, which might form parts of a coherent green economy package of incentives, will need to be evaluated to ensure social equity, protection and responsibility. now that the water resources governance is under the jurisdiction of the Ministry of agriculture, a more systematic approach to implementation is finally possible.

To begin with, Kazakhstan intends to update and develop much of its infrastructure over the coming 20 years.

In view of the status of the Kazakh state budget, the project provides an opportunity for bridging the experiences gained since 200.
PROGRESS TOWARDS ACHIEVING OUTPUT TARGETS DURING INCEPTION PERIOD
This chapter provides an overview about the activities undertaken during the inception period outlining specifications received by the beneficiary and respective suggestions for amendments of the project’s activities:

Result 1: WATER GOVERNANCE IN LINE WITH GREEN ECONOMY REQUIREMENTS

Activity 1.1 Transboundary water management
In consultation with the Ministry of Agriculture and the Committee for Water Resources, the following tentative plans have been developed for Activity 1.1. on the basis of the Description of Action in which the following sub-activities were planned:

1.1.1. Training courses on international water legislation;
1.1.2. Development of a review and recommendations on the policy of Kazakhstan for trans-boundary water cooperation.

A third sub-activity, previously included under 1.1.2 has been defined as a separate sub-activity 1.1.3. As the previously planned GEF project on the Ural river is on hold, this project component cannot be as preliminary planned seen only as preparatory work but has to be planned as a stand-alone activity.

1.1.1. Training courses on international water legislation.
Two seminars will be held. The first seminar will include general capacity building on international water legislation and experience of transboundary water cooperation with a focus on the organization and financing of joint bodies. The target group is national level decision makers and technical experts involved in transboundary water cooperation with Russia, China and Central Asian states as well as representatives of the Ministry of Finance, Ministry of Economy and the Ministry of Foreign Affairs. Experiences will be provided by experts and managers from basins and universities in Europe as well as by UNECE staff. Documentation to be provided during the seminar will give examples and advice for the future work in Kazakhstan. The event is planned for November-December 2015 and will take place in Astana.

1.1.2. Development of a review and recommendations on the policy of Kazakhstan for trans-boundary water cooperation
International and national experts will be hired to review the status of transboundary waters and transboundary water cooperation for Kazakhstan, and develop policy recommendations including possible changes in the national legislation for the future improvement of cooperation. The review will take into account:

- Implementation of bilateral agreements and / or protocols on specific transboundary rivers with the Russian Federation and Central Asian states and China;
- Various opportunities to further develop cooperation, including among others, the possible establishment of a water cooperation between the members and neighbors of the Eurasian Economic Union.

A seminar will be organized in the second half of 2016 in Astana to discuss the report and its conclusions after which the report will be finalized.

1.1.3 Assessment of the situation in the transboundary Ural river and Kigach canal
Activity 1.1.3 will focus on the assessment of the situation in the Ural river and Kigach canal, both of which are shared with the Russian Federation. The focus of the assessments will be to provide input to develop further the work of the Kazakh-Russian Bilateral Commission. The plans developed in close cooperation between UNECE and Kazakh counterparts for consultations with the Kazakh counterparts. It has been proposed that one component of this seminar could be the review of “Technical-engineering techniques to address transboundary issues: minimizing the influence, defining specific activities in the Republic of Kazakhstan”.

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by the Kazakh-Russian Bilateral Commission on 20 October 2015. Revisions of activity 1.1.3 may need to be made on the basis of conclusions from this meeting. This is a restriction as final plans can only be agreed on after the Inception Report and meeting.

As the previously planned GEF project on the Ural river is on hold, this project component cannot be, as preliminary planned, seen only as preparatory work but has to be planned as a stand-alone activity.

In the Ural basin the main problem is a declining water flow that hinders fish migration. An expert group will be created to assess the situation as a basis for a seminar with the participation of Russian specialists. The objective of this work is to develop proposals for the improvement of Kazakh-Russian cooperation in the Ural river to be submitted to the Kazakh-Russian Bilateral Commission. It is expected that issues such as minimum environmental flow to ensure fish migration and water quality will be highlighted in the report. This work will be initiated in the beginning of 2016 and will be finalized in 2017. There will be one seminar organized under this activity in addition to one or several expert meetings.

To further the work on the Kigach canal another expert group will organize: (a) a field visit including a reconnaissance survey of the ducts from the source to the estuary, including the selection for a hydropost site on the Kigach canal, (b) one or several technical bilateral meetings to discuss improved Kazakh-Russian cooperation, focusing among other issues on the hydrology of the canal. Once the site selection is completed, Kazhydromet is to install a permanent measuring post, using its national funding from the budget.

Activity 1.2: Review and improvement of the institutional basis for river basin management

In the Description of Action (DoA), the following activities were foreseen:

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1.2.1. Review current experience with river basin management plans in Kazakhstan, with a focus on one pilot basin to be selected during the inception phase;
1.2.2. Prepare policy recommendations for strengthening basin administrations and basin councils, building on international good practice;
1.2.3. Develop a basin plan in full compliance with the green economy concept.

During UNECE missions to Astana in May and July 2015 and in follow-up correspondence, it was agreed with the Committee on Water Resources of the Ministry of Agriculture to drop activity 1.2.3. Instead of designing yet another basin plan, CWR stressed that at this point, practical recommendations and trainings are more relevant to improve water resources management at the basin level.

Relevant officials from Akimats and CSOs will definitely be involved in trainings under activity 1.2.1.

Activities under the Activity 1.2. will start in the 2nd quarter of 2016. Up to four national consultants are to be engaged through short-term contracts; they will be supported by 1-2 international consultants. An NGO or research institute with earlier experience in supporting basin management will be involved (e.g. CAREC).

1.2.1. Review current experience with river basin management plans in Kazakhstan, with a focus on one pilot basin to be selected during the inception phase

CWR has recommended choosing Balkhash-Alakol as the pilot basin for this activity. It was suggested by the Committee that the planned technical workshop in summer 2016 would be organised in Almaty to facilitate the sharing of existing experience with Balkhash-Alakol basin management. The workshop will be attended by representatives of basin councils from all 8 basins and 2 sub-basins.

1.2.2. Prepare policy recommendations for strengthening basin administrations and basin councils, building on international good practice.

CWR has stressed the importance to learn from experience of relevant European countries on how to establish sustainable financing for the basin administrations. Multi-annual planning of water use/distribution at Akimat and/or Basin level is another example of a practical challenge
PROGRESS TOWARDS ACHIEVING OUTPUT TARGETS DURING INCEPTION PERIOD

for which trainings would be needed. It was suggested to hold trainings on multi-annual planning of water use/distribution in those basins that already have some relevant experience (basins of Aral-Syrdarya, Tobol-Turgai and Balkash-Alakol). Once a study on strengthening of basin management with policy recommendation has been completed, a national-level conference for policy-makers will be organised in 2017 to present key findings.

NPD meetings have typically around 30 participants, normally one person per ministry/agency and concentrated 1-hour discussion per topic. The main rationale for national conference is to deliver findings of study to larger audience and to target not only central government, but also akimats and NGO community. It’s also part to communication strategy as a way to promote project and its results.

Activity 1.3: Support for the implementation of the Protocol on Water and Health

The following activities were foreseen in the Description of Action (DoA):

1.3.1. Establish a National expert group for the work on setting targets and target dates;

1.3.2. Prepare National targets and target dates on water and health as the result of participative process;

1.3.3. Support formal adoption of the National targets by appropriate Governmental agencies;

1.3.4. Initiate the implementation of few ‘soft’ (i.e. non-infrastructure) targets;

1.3.5. Prepare the Kazakh national report under the Protocol on Water and Health.

The need to start national target setting process was reiterated at the last NPD Steering Committee meeting on 15 May 2015, even if the ratification process of the Protocol on Water and Health may not be completed by Kazakhstan in 2015. The following modalities have been discussed with stakeholders during the inception period.

1.3.1. Establishing a national expert group on water and health

The national expert group is expected to be established in November 2015. It will be formed by national experts in the field of water resources and public health. The work of the group will build on the experience of other countries where similar expert groups were established to lead the national process of setting targets under the Protocol on Water and Health. Composition of the expert group and its work-plan are to be presented at the meeting of the NPD Steering Committee in November/December 2015.

1.3.2. Setting national targets on water and health

The process of setting national targets on water and health is expected to start in November 2015 and continue until end of 2016-early 2017. The work will be carried out by the national experts with supervision of an international consultant with extensive experience from similar projects in other EECCA countries. At the initial stage, the work of the national expert group will start with the review of the baseline analysis of the situation with water and health in Kazakhstan which was undertaken under the NPD process in 2014. Feedback will be provided throughout the process by experts from UNECE and WHO country office as UNECE and WHO/Europe are co-secretariats of the Protocol with a lot of in-house technical expertise.

1.3.3. Adoption of national targets

Once the national targets are drafted as the result of an open and inclusive process, their official adoption according to established national procedures will be initiated. The national expert group will provide support in drafting the documents needed for formal adoption procedure.

1.3.4. Implementation of few selected targets

This activity is planned for years 2017 and 2018. If the list of potential national targets is already known by the end of 2016 and consensus among key stakeholders reached, the activity 1.3.4. may start in late 2016.

The project beneficiary (CWR) suggested during the inception period that two additional activities are conducted: (a) workshop for parliamentarians in support to ratification of the Protocol, and (b) technical support to Kazakhstan in drafting the national report on implementation of the Protocol. The workshop can be arranged as part of activity 1.3.2. with the funding from the budget line for organising such events for
different stakeholders. To support drafting of the national report, a new activity 1.3.5. is proposed to be included in the project plan.

**1.3.5. Preparation of the Kazakh national report under the Protocol on Water and Health**
The national expert group is expected to support the preparation of the Kazakh national summary report under the Protocol on Water and Health (during the third and fourth global reporting exercises in 2016 and 2019, respectively). A standard format for reporting is available for the countries but as it would be the first time for Kazakhstan to report, oversight will still be needed to ensure good quality of the report and underlying data.

**Activity 1.4: Trained Water Managers**
The following activities were foreseen in the Description of Action (DoA):

1.4.1. Assess the present training opportunities;
1.4.2. Develop the recommendations for needed changes;
1.4.3. Develop the training modules and manuals;
1.4.4. Conduct training of teachers and students.

It is proposed to merge activities 1.4.1., 1.4.2. and 1.4.3. as the assessment, follow-up work on recommendations and development of new training tools are all parts of the same process. The new activity would be titled “1.4.1. Development of training modules and manuals”. During discussions with the CWR at the inception stage, the Committee has shown interest to include activities for training on water resources management for relevant staff from Government agencies. Therefore, a new activity has been added “1.4.3. Capacity building of staff”.

Consultations are underway with two potential partners highlighted in the DoA, the German-Kazakh University and the Green Academy to define their respective roles in the activities contributing to this activity. It is expected that the substantive knowledge and academic network of the University and the links of the Green Academy to the public institutions of Kazakhstan can be utilized optimally to reach different types of stakeholders. There will also be several national consultants hired with short-term contracts, as well as 1-2 international consultants for helping to draw new curricular and to provide some of the trainings.

This component will include expert support to selected research bodies and centers that specialize in green economy and/or water resources management including the development of curricula. The network of higher education institutions to be invited for cooperation will include Taras State University, Kazakh National Agrarian University, Eurasian National University and others. The aim is to work with up to 10 Kazakh universities/institutions. Work is presently on-going to find information on earlier project efforts in this field so that resources can be used as efficiently as possible. As to the capacity building of staff of ministries and other public institutions, this will include a much wider range of institutions than the Water Committee. The list of relevant institutions and staff will be part of the planning process for Activity 1.4.

**1.4.1. Development of training modules and manuals**
A three-year programme will be set up to develop modules of training and curricula in the areas of legal, economic and political aspects of IWRM for universities as well as shorter courses for capacity building of staff. It is expected that the German-Kazakh University will be the main organiser of this activity. Green Academy specialists will be involved in the work on course development for capacity building of staff.

**1.4.2. Conduct training of teachers and students**
Annually a training course will be set up by the German-Kazakh University to test a module of training (legal, economic and political aspects, respectively, in 2016, 2017 and 2018). University teachers, teachers of capacity building courses for professional staff as well as selected students will be invited to these courses.

**1.4.3. Capacity building of staff**
A set of courses will be organized in 2017-2018 to build capacity of staff of ministries and other public institutions. Tentatively five two-day courses will be organized by for example the Green Academy with expert support from the German-Kazakh University.
Result 2: INCREASED EFFICIENCY OF WATER USE

Activity 2.1: Analysis and reform of economic instruments to drive water efficiency (UNDP)
The following activities were foreseen in the Description of Action:

- 2.1.1. Review existing economic instruments in two sectors;
- 2.1.2. Develop a roadmap for reform in one pilot basin;
- 2.1.3. Develop training curricula and conduct training for local officers.

Kazakhstan considers the further improvement of the economic mechanisms as an essential provision for fair sharing and effective use of water resources, both in national and transboundary contexts. These instruments will be adapted to the country specific conditions but the approaches remain all-inclusive and suitable for all countries.

While it is obvious that the economic instruments should be adjusted to ensure the ‘polluter pays’ and ‘user pays’ principles are correctly adopted in Kazakhstan, the instruments should also include incentives to achieve changes and encourage best practice.

The introduction of gradually, progressively large penalties for polluters will provide an opportunity and encourage the financing of capital investments before the charges become so high that the polluters are forced to close down. Similar arguments should be identified for water resource allocation and distribution where water collection, distribution and treatment need to be adequately funded by all water users.

Based on the inception consultation held with Department of Green Economy of the Ministry of Energy, it was suggested to add one more activity 2.1.4. Workshop on OECD green economy indicators.

The result 2 includes three main thematic areas: (1) Economic instruments for drinking water supply and sanitation; (2) Promotion of innovative water technologies and practices in irrigation and water safe technologies; (3) Business models to ensure sustainability of operations, maintenance and financing of water infrastructure. International and National Experts will be recruited to above mentioned areas.

2.1.1. Review existing economic instruments in two sectors (water supply and sanitation)

National and international experts will be recruited to prepare a profile of the current economic instruments, their impact, options for improvement, initial recommendations and training needs analysis.

A series of consultations with stakeholders from Governmental bodies, NGOs and private sector dealing with water supply and sanitation will be held by national consultant in cooperation with international consultant. Based on the consultations, national review will be prepared and recommendations for the improvement of economic instruments will be developed in the field of water supply and sanitation, based on international experience. This will be followed by a detailed data collection phase ensuring that all available data is collected, inventoried, reviewed and analyzed. Non-exhaustively, it will include the data on the relevant policy and programming documents and instruments as well as any key documentation produced by other international donors and agencies. The analysis of the available documents, results of the interviews, personal experiences and knowledge of the current situation will form the basis for the assessment part of the case studies and final recommendations. The final review on economic instruments will be presented at the national workshop in February 2016.

2.1.2. Develop a roadmap for reform in one pilot basin.

The project has been ambitious in focusing on all three major sectors of water management, in particular water supply, irrigation and sanitation to develop road maps. Following communications with the Water Committee of the Ministry of Agriculture, a letter has been sent by UNDP to inquire which of the three subject areas would be of immediate concern and a priority for the Committee to allow to focus the project’s planning for the coming years and provide a rationale for their selection.

The Water Committee clarified that it aims to
focus on water supply, developing a roadmap for reform, to increase the effectiveness and efficiency of economic instruments. Accompanying measures will be considered, to support the transition and overcome some of the barriers for reform. These will include targeted social measures, offering ‘value for money’, and measures to facilitate the transition to water efficient practices (in such sectors such as education, and support for water efficient technologies).

A roadmap for reform in the Balkhash – Alakol pilot basin will be developed. Recommendations will be prepared, in co-ordination with project partners, to develop capacity and apply economic instruments. It is suggested that this activity is to be carried out in cooperation with the Balkash Basin Organisation during the years 2016-2017.

2.1.3. Develop training curricula and conduct training for local officers
Curricula and training modules for staff at institutions involved in setting up and managing water tariffs and subsidies will be developed by the end of 2016. This will include developing training materials and conducting up to four workshops, targeting key stakeholders, such as: the Ministry of Agriculture and Committee on Water Resources; the Ministry of National Economy; the Ministry of Finance; the Ministry of Health and Social Development; the Anti-Monopoly Committee; the Agency for Regulating Natural Monopolies; water utility providers; and water user associations. Co-ordination is intended with other capacity development activities envisaged in the activities 1.4. and 4.2.

2.1.4. Capacity development of the state officials for development green economy indicators
Kazakhstan achieved progress in developing legal and institutional framework on its transition towards Green Growth. Nonetheless, there are still gaps, which need to be addressed in order to provide a base for future monitoring and evaluation of the progress. In particular, there is no adopted set of National and Regional Green Growth indicators in Kazakhstan. In view of the fact that Kazakhstan intends to become a member of the OECD, it is suggested to support development of further recommendations for Green Economy Indicators outside the project and in any case in synergy with the implementation of the OECD country programme. Tasks within the project will be implemented though hiring of short term Expert and conducting one workshop jointly with OECD.

Activity 2.2: Promotion of innovative water technologies and practices in two priority sectors of the economy (irrigation and water safe technologies)
The following activities were foreseen in the Description of Action:

2.2.1. Review the policies that affect the diffusion of innovative technologies and practices for water efficiency and
2.2.2. Develop policy recommendations for the adoption and diffusion for water related innovation.

2.2.1. Review the policies that affect the diffusion of innovative technologies and practices for water efficiency and develop policy recommendations.
It was agreed upon with the CWR that during 2016 a review will take place to understand the limiting factors regarding the diffusion of innovative technologies and practices for water efficiency, and how they could be overcome.

National and international experts will be recruited to review the policy, their impact, initial recommendations and needs analysis.

A series of consultations with stakeholders from Governmental bodies, NGOs and private sector will be held by national consultant in cooperation with international consultant. Based on the consultations, national review will be prepared and recommendations will be developed.

2.2.2. Develop policy recommendations for the adoption and diffusion for water related innovation.
National and international experts will be recruited. A series of consultations with stakeholders from Governmental bodies, NGOs and private sector will be held by national consultant in cooperation with international consultant. Based on the consultations,
national review will be prepared and recommendations will be developed.

Based on the review, a set of recommendations will be prepared for presentation to a national Workshop to be held in 2017, outlining policy recommendations to be included in the state programme BID (Boost Industrial Development) for the development of a national industry for the production of irrigation and drainage machinery and/or equipment for the adoption and diffusion of water-related innovation.

**Activity 2.3: Business models to ensure sustainability of operations, maintenance and financing of water infrastructure**

The following activities were foreseen in the Description of Action (DoA):

2.3.1. Assess the current business models applied in Kazakhstan for managing multipurpose water systems vis-a-vis international good practice, and draft recommendations;

2.3.2. Implement a pilot project in one particular multipurpose water system and produce final recommendations.

Water infrastructures (including dams, reservoirs, irrigation canals) in Kazakhstan are financed by public budgets. International good practice provides options to consider alternative business models, where multiple uses generate the revenues to cover the operation and maintenance costs of these infrastructures, promoting efficient operation, freeing public finance and potentially attracting private operators.

The recent experience suggests that before new investments are undertaken there is an urgent need to review the business models of the dams operation and local automated and remote alert systems, in order to ensure their long-term sustainability, safety, efficiency and effectiveness.

Within the project on “Economic Aspects of Water Resource Management in EECCA Countries: Support to the Implementation of the Water Resources Management Programme of OECD, a report “Sustainable Business Models for Water Supply and Sanitation in Small Towns and Rural Areas in Kazakhstan” was developed.

This report focused on water infrastructure in drinking water supply and irrigation systems, while the report within the Activity 2.3. will focus on small and medium dams.

National and international experts will be recruited. A series of consultations with stakeholders from Governmental bodies, NGOs and private sector will be held by national consultant in cooperation with international consultant. Based on the consultations, national review will be prepared and recommendations will be developed.

2.3.1. Assess the current business models applied in Kazakhstan for managing multipurpose water systems vis-a-vis international good practice, and draft recommendations

Project partners agreed that a study will be carried out on the feasibility of assessing how far international good practice in business models would be applicable to manage small and medium dams in Kazakhstan.

Based on the above, a set of policy recommendations to promote and facilitate the sound management of dams, including revision of relevant regulations or adoption of new, if appropriate will be developed. This action will be followed by a national consultation on managing multipurpose water systems with key stakeholders in the beginning of 2016.

National and international experts will be recruited. A series of consultations with stakeholders from Governmental bodies, NGOs and private sector will be held by national consultant in cooperation with international consultant. Based on the consultations, national review will be prepared and recommendations will be developed.

2.3.2. Implement a pilot project in one particular multipurpose water system and produce final recommendations

The Water Committee suggested that a respective pilot project (see also Activity 4.1.) will be implemented with a particular focus on dam safety aspects. The related pilot projects will be identified in due course. Please refer to chapter 4.1.
National and international experts will be recruited. A series of consultations with stakeholders from Governmental bodies, NGOs and private sector will be held by national consultant in cooperation with international consultant. Based on the consultations, national review will be prepared and recommendations will be developed.

**Activity 2.4: Technical Supervision and Control of hydro-technical infrastructure (UNECE)**

The following activities were foreseen in the Description of Action (DoA):

2.4.1. Strengthen the capacity for training of experts including by procurement of equipment;

2.4.2. Analyse the existing national system of supervision and control of hydro-technical infrastructure and develop recommendations for the improvement of the system;

2.4.3. Conduct training for experts.

This activity will be implemented as planned in the DoA but slightly rearranged as to its sub-activities to benefit from on-going work funded by OSCE, UNECE and Kazakh institutions that will be concluded by the end of 2015. A cooperation with the Executive Board of the International Fund for the Saving of the Aral Sea (EBIFAS) has been established for the achievement of this activity.

**2.4.1. Provision of selected equipment to the Taraz international center for the safety of hydro-technical infrastructure**

It is proposed to change the title of the activity 2.4.1 (formerly: “Strengthen the capacity for training of experts including by procurement of equipment”) in order not to confuse it with trainings, conducted under activity 2.4.3. The substance of the activity would, however, remain the same as described at the DoA. UNECE has previously provided support to the build-up of the Taraz training centre. In the further development of this institution selected equipment will be procured. A list of equipment needed for training purposes will be provided by the training centre.

**2.4.2. Analyse the existing national system of supervision and control of hydro-technical infrastructure and develop recommendations for the improvement of the system**

A round-table (funded separately by OSCE, UNECE and Kazakh authorities) is planned to take place in Astana in November-December 2015 to discuss the development of legislation and institutions on improved safety of hydro-technical infrastructure. The result of the roundtable will provide a preliminary assessment and guidance for the further development of the project activity.

Continued project work involving international and national experts will result in a report and recommendations that will be discussed in another roundtable involving key decision makers planned for the second half of 2016 in Astana. Recommendations for further development of national policies in the field of dam safety will contribute to the activity.

**2.4.3. Training of experts**

Training of experts on current approaches to the safety of hydro-technical structures will be provided in three training sessions in 2016-2017
Result 3: ESTABLISHING A MODERNIZED ENVIRONMENTAL GOVERNANCE SYSTEM

Activity 3.1: Environmental assessment and review procedures in the water sector are improved

The following activities were foreseen in the Description of Action (DoA):

3.1.1. Review the existing national legislation regarding environmental assessment procedures;
3.1.2. Pilot application of the SEA procedure to a selected government water sectoral plan or programme;
3.1.3. Develop guidelines for application of SEA in Kazakhstan based on the pilot in the water sector;
3.1.4. Conduct trainings for the national and local officials to apply SEA in Kazakhstan based on the water sector;
3.1.5. Analyse water policy for the 3rd Environmental Performance Review of Kazakhstan, conduct review mission and draft the recommendations on ways to improve problem areas.

During initial discussions with the Ministry of Energy of the Republic of Kazakhstan in July 2015, the Kazakh national focal points to the UNECE Convention on Environmental Impact Assessment in a Transboundary Context (Espoo Convention) and its Protocol on Strategic Environmental Assessment (Protocol on SEA) indicated two initial priorities for the project. Notably:

a) To review existing national legislative and administrative frameworks in order to prepare for the development of the strategic environmental assessment (SEA) system in line with the Protocol on SEA (legislative review);
b) To assist in the Development of new legislation on SEA, based on the results of the legislative review (legal drafting).

Based on above, activity 3.1.1. will start in the second half of 2016, and will be followed by assistance for legal drafting in early 2017. The further need for capacity building to strengthen Kazakhstan ability to implement SEA, through activities 3.1.2, 3.1.3 or 3.1.4 will be clarified with the Ministry of Energy during the legislative review process in 2016. The project funding does not allow to cover the implementation of all of the sub-activities 3.1.2–3.1.4 and will therefore be allocated only to the priority sub-activity/activities identified.

3.1.1. Revision of the existing national legislation on environmental assessment

The draft paper will be prepared which will consist of:

a) A review of the existing national legislation on environmental assessment and environmental expertise as well as the existing institutional structures, with a view to identifying gaps and development needs;
b) The development of recommendations for required changes or amendments to the legislation as well as institutional and process improvements to effectively implement SEA in full compliance with the Protocol on SEA (and the European Union Directive 2001/42/EC on the assessment of the effects of certain plans and programmes on the environment).

The legislative review will be conducted by a qualified international legal expert with experience in the Kazakh legal systems. The expert will closely work with the Ministry of Energy and be supported by a local expert on environmental assessment (SEA) legislation. The Ministry of Energy will take active part in conducting the review, being responsible for collecting the required materials and participating in their analysis.

In early 2017, based on the proposals for legislative and institutional changes required for development of the SEA system in line with the Protocol, the international and national consultant in cooperation with the Ministry will initiate the preparation of a draft law on SEA. Alternatively, depending on the conclusions of the review and the decisions by the Ministry, amendments to existing legislation will be prepared.
3.1.2. Pilot application of the SEA procedure to a selected government water sectoral plan or programme.

Originally it was planned to apply the SEA procedure on a river basin management plan that was foreseen as part of activity 1.2.3. The inception period revealed that no such basin plan will be developed as part of project. Therefore, the feasibility of the pilot application of SEA and its focus (a water sector related Government plan or programme) is still to be discussed with the key stakeholders (Water Committee, Ministry of Energy).

3.1.3. Develop guidelines for application of SEA in Kazakhstan based on the pilot in the water sector.

Guidelines were to be developed based on practical experience under activity 3.1.2 (pilot application of SEA). The Guidelines will, however, be developed to be applicable in all sectors relevant for conducting the SEA and not limited one to the water sector.

The legislative review on SEA will be initiated in the second half of 2016 and is planned to be completed by early 2017. Further discussions on possible future activities on SEA in Kazakhstan will be conducted during the legislative review in 2016. In early 2017, when the review is completed, possible alternatives will be proposed. During the training on 2-6 November 2015 bilateral consultations UNECE-Kazakhstan are planned and during these consultations the working plan on the activities 3.1.1-3.1.3 will be prepared by UNECE together with MinEnergy.

3.1.4. Conduct trainings for the national and local officials to apply SEA in Kazakhstan based on the water sector

To prepare for the legislative review and legal drafting, five national experts from Kazakhstan will take part in:

a) A one-day sub-regional conference on developing legislative frameworks for the strategic environmental assessment in conformity with the Protocol on SEA;

b) A four-day “Training of Trainers” workshop on the design and delivery of training events on strategic environmental assessment.

The events will take place in Khaheti (Georgia) on 2 - 6 November 2015.

Both events are organised to enhance regional capacities in developing national SEA systems by facilitating the exchange of experience between countries in Eastern Europe, the Caucasus and Central Asia with a view to aligning legislation and practice with the UNECE treaties and the relevant European Union legislation on SEA and EIA.

The purpose of the Training of Trainers workshop (the ToT workshop) is to prepare national experts as trainers for carrying out further SEA capacity-building and awareness-raising events at national and local levels.

Further specific training for the national and local officials to apply SEA in Kazakhstan with a focus on the water sector could possibly be initiated in 2016, depending on the subsequent priority setting and the availability of funds.

3.1.5. Analyze water policy for the 3rd Environmental Performance Review, conduct review mission and draft the recommendations on ways to improve problem areas.

Based on consultations with Kazakh counterparts, the activity 3.1.5. will be conducted in autumn 2016. An international expert will be recruited to assess the country’s performance on management of surface, ground and sea waters and address sustainable water use, water pollution prevention and control, access to safe water and protection of water ecosystems. Based on the analysis, the expert will draft a set of recommendations, which should be measurable and realistic.
Activity 4.1: Demonstration projects in key sectors
The following activities were foreseen in the Description of Action (DoA):
4.1.1. Develop a comprehensive Grants Programme and communicate the Call for Proposals to all target groups;
4.1.2. Complete outreach trips, meetings and consultations in all target regions for the Grants Competition;
4.1.3. Form a pool of pilot projects through a screening and review process;
4.1.4. Provide expert, technical and logistical support for the selected projects and identified international Partners;
4.1.4. Monitor the implementation of the active pilot projects based on individual projects’ monitoring plans.

The main aim of result 4.1. is twofold: I) to provide a tool of demonstrating economically viable pilot activities with the aim of upscaling; ii) to act as a tool to create synergies throughout all results of the project. A series of pilot projects are planned throughout Kazakhstan. The purpose of the pilots are quick-win operational highly visible and replicable GE demonstration pilot actions with demonstrable effects at local (region/city/district) levels implemented in key sectors.

In order to achieve high impact and cost-effective demonstration activities for the first year of the project, this output was sub-divided into the following parts: (1) a Grant programme for NGOs = EURO 600,000; (2) the pilot projects per se = EURO 3,000,000.

4.1.1. Develop a comprehensive Grants Programme and communicate the Call for Proposals to all target groups
During the inception period, a national expert on small grant programme was recruited. The main responsibility of the National Expert within the inception phase included: (1) Development of the ToR for the Grant programme (Annex D); (2) Conducting a workshop for NGOs;

(3) Review the drafts proposals, including project narratives, budget, and other supporting documentation, in a timely manner to meet the deadlines.

The Call for proposals was announced on the UNDP and EU Delegation official websites. Moreover, the relevant information was disseminated through UNDP’s social media networks and e-mail distribution of GEF, ECOPRAVDA, Grazhdanskiy Alyans, and CAREC.

4.1.2. Complete outreach trips, meetings and consultations in all target regions for the Grants Competition
The national expert conducted consultations with local NGOs in Astana, Almaty, Shymkent, Karaganda, Atyrau, Pavlodar, Semey and Ust-Kamenogorsk. Meetings were attended by more than 90 NGOs representatives.

As per deadline for the submission of respective proposals (August 25), 82 project ideas were submitted by NGOs representatives, 15 of them are related to information and PR campaigns.

All accepted project ideas were shortlisted by a Pre-evaluation Committee which included UNDP, CWR RK, SGP/GEF, and experts representatives based on the requirements given in the ToR. The shortlisted applications will be submitted to a Grant Evaluation Committee for the final evaluation and selection. The Grant committee, which includes representatives of the EU, UNDP, CWR, SGP/GEF, other relevant government bodies and technical experts, will select proposals, which meet all requirements. The Grant Committee is scheduled to be held at the beginning of November 2015.

4.1.3. Form a pool of pilot projects through a screening and review process
During the inception phase, guidelines were developed for the selection of the major pilot projects. It includes criteria for selection, development and management of the pilots (Annex C). The pilot projects concepts will be further developed and sharpened through a multi stakeholder approach as well as in
dialogue with the submitting organizations in line with the above-mentioned criteria till the end of 2015. The pilot projects will provide interfaces to the activities 2.1., 2.2., 2.3., 3.1.

In line with the expressed interest of the beneficiary, the pilot projects will be grouped in three main domains, i.e.

a) Sustainable water use and management in agriculture;

b) Municipal water management;

c) Water use and renewable energy.

Activity 4.2. Knowledge management system is in place (UNDP)
The following activities were foreseen in the Description of Action:

4.2.1. Establish Database of relevant technologies and knowledge available at the EU market;

4.2.2. Set up a roster of EU experts and companies interested in partnering within the pilot projects;

4.2.3. Design and print catalogue of the resource efficient technologies and knowledge available in the EU market;

4.2.4. Carry out the workshops on knowledge sharing and capacity building for potential applicants and other target groups;

4.2.5. Scaling up the project results within a broader community based on the Visibility and Communication Strategy.

The activities were already started through the recruitment of a national expert on environmental information. The main task of the Expert is to develop a structure of the database on green technologies, the structure Experts Roster. Please see attached executive summary of the report (Annex E). The final report is available in Russian and can be translated into English upon request.

The main recommendations of the Expert are described below:

Ownership: It is recommended to place the databases on the relevant national internet resource, preferably of the ministry (economy, energy or agriculture) or of an independent business association. Specifics will be identified during internal consultations with stakeholders.

Structure: To develop Data Base and Roster structure including all 6 priorities (not only water related) of State Concept on Green Economy: (1) Water resources; (2) Sustainable agriculture; (3) Energy conservation and energy efficiency; (4) Electro energetics; (5) Waste Management; (6) Reduced air pollution.

4.2.1. Establish Database of relevant technologies and knowledge available at the EU market.
The structure will be developed within the project and will play a role of the networking platform for technologies owners and potential users. The project will focus on the promotion of technologies presented in the data base. This will include relevant reference to upcoming technologies exhibitions, informational campaign in social media, as well as linkage with already existing EU data bases. Technologies, which will be used for pilot projects will be registered in the data base.

This activity will be followed by 4.2.3. Design and printed catalogue of the resource efficient technologies and knowledge available in the EU market.

4.2.2. Set up a roster of EU experts and companies interested in partnering within the pilot projects.
The same approach will be used as in 4.2.1. Establish Database of relevant technologies and knowledge available at the EU market. A respective information campaign will be mostly focusing on the professional associations and social society networks.

4.2.4. Carry out the workshops on knowledge sharing and capacity building for potential applicants and other target groups.
Workshops will be organized as a side events during the EcoTech Exhibition in 2016 and 2017. EcoTech is the largest specialized exhibition in Kazakhstan and Central Asia, which present international and domestic companies engaged in collection, utilization, processing and disposal of industrial and domestic wastes, water treatment and waste water treatment, recycling, gas, air and soil purification, resource-
saving technologies etc.

4.2.5. Scaling up the project results within a broader community based on the Visibility and Communication Strategy.
Successes and lessons learnt will be communicated through organized press conferences during different stages of the program implementation; publication of regular updates on the available electronic and printed resources; publications in media; publication of analytical reports on the successes, lessons, and challenges captured over the project’s course.
COMMUNICATION AND VISIBILITY
Communications and visibility of the project will be provided in compliance with the attached “Communications and visibility strategy” (Annex F.). The strategy is intended to foster visibility and raise the public profile of the joint EU/UNDP/UNECE project “Supporting Kazakhstan’s Transition to a Green Economy Model”. It contains public relations methods including public information outreach, events, electronic and web communications strategies.

The Strategy aims to distribute information about the project, its priorities and achievements. The document is directly linked to the main project objectives to promote effective water management as a key cross-sectoral tool for transition to a Green economy model in Kazakhstan as well as fostering transboundary dialogue in the area. It is drafted in consultation with the project team and UNDP, UNECE and the EU Delegation.

The strategy includes an activity plan for the first reported period (April 2015-March 2016), describing special events, media specific communication activities, production and distribution of information items. The focus is made on reaching out for a wider public and media in Kazakhstan as well as to inform citizens of the EU about this project.

The strategy features an action plan and includes visibility guidelines addressed to the project team to ensure compliance with the requirements of the EU, UNECE and UNDP.

All display, print and audio-video materials, and public events will communicate that the “Supporting Kazakhstan’s transition to a Green Economy Model” is the joint UNECE and UNDP project funded by the European Union. The Communication and Visibility Strategy will strive to promote the positive image of joint cooperation.

The strategy features an action plan and includes visibility guidelines addressed to the project team to ensure compliance with the requirements of the EU, UNECE and UNDP. It is also designed in full consideration of the “Joint Visibility Guidelines for the EC – UN Actions in the Field” document, which stresses that the information and communication activities in place should be aiming to raise awareness of the audiences of the EU-UN cooperation in the country and the impact of these joint activities.
SUGGESTED DEVIATIONS FROM THE DoA INDICATIVE FUTURE WORKPLAN AND SUMMARY BUDGET AMENDMENTS
The project indicative work plan is attached in Annex G. This plan includes timing for all four components for project period April 2015-November 2018.

A detailed annual work plan for the first planning and reporting period, April 2015- March 2016, is attached in Annex H.

Suggested deviations from the Technical Proposal are outlined in Annex I. Variations were introduced based on the consultations with national partners and key stakeholders.

The amended budget is attached in Annex J and includes detailed budget for the first year (UNDP/ UNECE) and a consolidated joint budget. The main variations introduced to the headings: i) Staff and ii) Consultancy cost. This amendment resulted from the decision to strengthen the project staff’s capacity.

The project will be monitored by UNDP through UNDP’s regular standards procedure including the provision of an Annual Review Report to be shared with the Steering Committee. Monitoring and final reporting will take place in the last two months of 2018.
ANNEXES

Supporting Kazakhstan’s transition to a Green Economy model
ANNEX A.

TOR
Project Steering Committee
Supporting Kazakhstan’s Transition to a Green Economy Model

A Purpose of the Project Steering Committee

The primary function of the Project Steering Committee will be to provide strategic guidance to the project. The Project Steering Committee will have a consultative function for the project management to allow stakeholders to provide advice to the project management and to ensure a further integration of the project into civil society, private sector and state sector thus warranting greater outreach for the anticipated project outcomes.

The Project Steering Committee decisions should be made in accordance to standards that shall ensure integrity and transparency. The Project Steering Committee provides a stabilizing influence so organizational concepts and directions are established and maintained with a visionary view. Members of the Project Steering Committee ensure the project’s objectives are being adequately addressed. This is carried out by performing the following functions:

- Review of the progress achieved by the project at regular annual meetings of the Project Steering Committee;
- Providing guidance to the project when required;
- Assist in the prioritization of pilot projects;
- Review the quality of deliverables as identified in the work plan;
- Review the project schedule;
- Suggesting risk management strategies by analyzing the context in which the project operates and identifying potential threats to the project’s success.
B  Project Steering Committee Membership

UNDP will chair the Steering Committee.

The Project Steering Committee will consist of the following full members:

- A representative of the EU Head of Delegation;
- Representatives of the implementing organizations (UNDP, UNECE);
- A representative of the Committee for Water Resources.

The Project Steering Committee will consist of the following thematic members:

- A representative of the Ministry of Energy;
- Representatives of Ministry of Economy;
- Representatives of the Ministry of Health and social responsibilities;
- Representatives of the Committee of Emergency, Ministry of internal affairs.

The Project Steering Committee will consist of the following observers:

Representatives of NGOs: Ecoforum, Ecocentre, Ecomuseum, Eco obraz, Eco otrazhenie, Public Fund Avalon, Human Health Institute, ECOM, Green Salvation, other relevant NGOs, experts, private sector.

C  Role of the Project Steering Committee members

It is intended that the Project Steering Committee will provide leverage through the experiences, expertise, and insight of key individuals at organizations committed to further the objectives of the Supporting Kazakhstan’s Transition to a Green Economy Model project.

The Project Steering Committee members are not responsible for managing the project.
activities, but provide support and guidance for those who do. Thus, individually, Project Steering Committee members should

- Understand the strategic implications and outcomes of initiatives being pursued through project outputs;
- Appreciate the significance of the project for some or all major stakeholders and represent their interests;
- Be interested in the initiative and act as an advocate for boarding the outreach for the outcomes being pursued in the project;

The role of the full Steering Committee members is to provide support and guidance during the whole phase of project implementation. The role of the thematic Steering Committee members is to provide technical expertise in relevant spheres when it is required.

D  Project Steering Committee Meetings

The Project Steering Committee will meet once a year or as required to keep track of issues and the progress of the Supporting Kazakhstan’s Transition to a Green Economy Model project.

The UNDP project manager will organize, schedule the meetings and prepare the agenda for the Project Steering Committee Meetings. The invitation letters will be sent to all full members of the Steering Committee in one month before the event. Agenda will be sent upon confirmation of the participation but not later that in 2 weeks before the event. Additional invitations will be sent to thematic members and observers if necessary depending on the Agenda of the meeting.
### ANNEX B - Indicative Log frame matrix

<table>
<thead>
<tr>
<th>Intervention logic</th>
<th>Indicators</th>
<th>Baselines (incl. reference year)</th>
<th>Targets (incl. reference year)</th>
<th>Sources and means of verification</th>
<th>Assumptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>To contribute to the long-term environmentally sustainable and inclusive economic development of Kazakhstan through supporting the country's transition to a Green Economy model.</td>
<td>Improving water management policy (number of legislation contributed by project to their improvement)</td>
<td>National water legislation and the water management system in Kazakhstan have been reformed, and reform continues. National plan of the state programme of water management based on the following task: improved legislation in the field of water management (2014)</td>
<td>Developing policy recommendations to promote and facilitate sound management of multi-purpose water infrastructure, including revision of relevant regulations or adoption of new, as appropriate (2018)</td>
<td>Government Annual reports</td>
<td>Institutional configuration within the Government is stable</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Agricultural water savings</td>
<td>Introduce modern irrigation practices and other water-saving technologies (will save 1.5 bcm) – 2030</td>
<td>National Statistics stat.gov.kz (Statistic of the ministry of National Economy)</td>
<td>There is a sufficient timeframe for pilot project completion, especially for the third competition cycle</td>
</tr>
<tr>
<td>Overall objective: Impact</td>
<td></td>
<td>National data on agricultural water using is 1000 mln m³, 13.4 km³ per 1 year (2014)</td>
<td>Expand drip irrigation and other up-to-date water-saving technology use in 15% of the crop area, downsize furrow irrigation area from 80% to 5% (2030)</td>
<td>Government websites (MoNE, MoE, MoA) <a href="http://www.zakon.kz">www.zakon.kz</a> Mass Media web-sites International organizations reports “Green Economy concept of the Republic of Kazakhstan”</td>
<td>Stable economic development Political commitment to introduce address environmental needs</td>
</tr>
<tr>
<td>Intervention logic</td>
<td>Indicators</td>
<td>Baselines (incl. reference year)</td>
<td>Targets (incl. reference year)</td>
<td>Sources and means of verification</td>
<td>Assumptions</td>
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</tr>
<tr>
<td><strong>Outcome 1</strong></td>
<td><strong>Water governance is in line with Green Economy requirements</strong></td>
<td>Enhanced basin governance system on the national and basin levels to encourage cross-sector cooperation between water consumers at all levels. Increased stakeholder involvement Improved knowledge and capacity for implementing the Protocol on Water and Health. Improved overall capacity of water managers at central and local levels. Improved efficiency of water use</td>
<td>Basin administrations are understaffed and their rights and obligations are unclear (2015) Kazakhstan lacks knowledge on how to implement main obligation of the Protocol and setting national targets as well as developing action plan for their implementation. (2015) No training available for professional water managers that combines technical expertise with management skills. (2015)</td>
<td>Government Annual reports National Statistics stat.gov.kz (Statistic of the ministry of National Economy) Government websites (MoNE, MoE, MoA) <a href="http://www.zakon.kz">www.zakon.kz</a> Mass Media web-sites International organizations reports “Green Economy concept of the Republic of Kazakhstan”</td>
<td>Provided Project timeframe allows to implement all or major part of recommendations made Any necessary approvals and extra requirements from various governmental bodies are received on time</td>
</tr>
<tr>
<td><strong>Outcome 2</strong></td>
<td><strong>Increased efficiency of water use</strong></td>
<td>Reduction of water consumption per unit of GDP in real terms by 33 % (2020) water users with access to the central water supply in urban areas by 100% and in rural areas at least 88 % (2020) water users with access to sanitation in urban areas by 100% (2020) and in rural areas</td>
<td>97 m3 of water is using for 1000 USD of GDP (2014) 67% have an access to to the central water supply (2014) Less than 50% of population has an access to sanitation (2014)</td>
<td>Government Annual reports National Statistics stat.gov.kz (Statistic of the ministry of National Economy) Government websites (MoNE, MoE, MoA) <a href="http://www.zakon.kz">www.zakon.kz</a> Mass Media web-sites International organizations reports</td>
<td>Any necessary approvals and extra requirements from various governmental bodies are received on time Strong inter-sectoral co-ordination is achieved.</td>
</tr>
<tr>
<td>Intervention logic</td>
<td>Indicators</td>
<td>Baselines (incl. reference year)</td>
<td>Targets (incl. reference year)</td>
<td>Sources and means of verification</td>
<td>Assumptions</td>
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<tr>
<td><strong>Outcome 3</strong></td>
<td>Establishing a modernized environmental governance system</td>
<td></td>
<td></td>
<td></td>
<td>There is a strong inter-sectoral co-ordination</td>
</tr>
<tr>
<td>Support and modernization of existing water infrastructure</td>
<td>at least 88% (2020)</td>
<td>Expected water deficit of 14 bcm by 2030, and of 20 bcm by 2050 (70% of the economic demand)</td>
<td>for the industry and not less than 300 KZT to the population</td>
<td>An assessment report on current technical regulations and quality control practices applied to Kazakhstan’s water infrastructure.</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>Reduction of water deficit for 5,9 km³ by 2040.</td>
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<tr>
<td>Transition to an environmentally sustainable development model and to significantly reduce environmental risks and ecological scarcities while maintaining economic growth and competitiveness</td>
<td>Absence of comprehensive inclusive approach towards planning and designing water management activities (2013)</td>
<td>Completion of a SEA legislative review and recommendations on improvement of water management related regulation (2017).</td>
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<tr>
<td>Outcome 4</td>
<td>Development of transboundary water cooperation</td>
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</tr>
<tr>
<td><strong>Intervention logic</strong></td>
<td>Highly visible and replicable GE pilot actions with demonstrable effects at local (region/city/district) levels</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| **Indicators** | Reduction of water consumption per unit of GDP in real terms by 33% (2020)  
97 m3 of water is using for 1000 USD of GDP (2014)  
67% have an access to the central water supply in urban areas by 100% and in rural areas at least 88% (2020)  
Less than 50% of population has an access to sanitation in urban areas by 100% (2020) and in rural areas at least 88% (2020) |
| **Baselines (incl. reference year)** | 97 m3 of water is using for 1000 USD of GDP (2014)  
67% have an access to the central water supply (2014)  
Less than 50% of population has an access to sanitation (2014) |
| **Targets (incl. reference year)** | The adoption of the least expensive methods of water conservation (2040)  
bringing average tariffs for water supply and sanitation not less than 200 KZT per m3 for the industry and not less than 300 KZT to the population  
bringing average tariffs for water supply and sanitation not less than 200 KZT per m3 for the industry and not less than 300 KZT to the population |
| **Sources and means of verification** | Government Annual reports  
National Statistics stat.gov.kz (Statistic of the ministry of National Economy)  
Government websites (MoNE, MoE, MoA)  
www.zakon.kz  
Mass Media web-sites  
International organizations reports  
Government programme on water management of Kazakhstan |
| **Assumptions** | There is a sufficient timeframe for identification, design and implementation of pilot projects. |
| **Output 1.1** | Development of transboundary water cooperation |
| **Indicators** | N of national experts  
Seminars trained on international water legislation  
N of reviews of transboundary water cooperation of Kazakhstan (with developing recommendations) |
| **Baselines (incl. reference year)** | 0 in 2015  
10 (2015, 2016)  
0 in 2015  
1 (2016) |
| **Targets (incl. reference year)** | 0 in 2015  
10 (2015, 2016)  
0 in 2015  
1 (2016) |
| **Sources and means of verification** | Government Annual reports  
National Statistics stat.gov.kz (Statistic of the ministry of National Economy)  
Government websites (MoNE, MoE, MoA)  
www.zakon.kz  
Mass Media web-sites  
International organizations reports  
Government programme on water management of Kazakhstan  
Seminar’s documentation |
<table>
<thead>
<tr>
<th>Intervention logic</th>
<th>Indicators</th>
<th>Baslines (incl. reference year)</th>
<th>Targets (incl. reference year)</th>
<th>Sources and means of verification</th>
<th>Assumptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Review and improve the institutional basis for river basin management</td>
<td>Review of Balkhash-Alakol river basin management</td>
<td>0 in 2015</td>
<td>2 (1 per river, 2016)</td>
<td>(presentations, agendas, LoPs, other materials)</td>
<td>Review and recommendations</td>
</tr>
<tr>
<td></td>
<td>Technical workshop to share the above review</td>
<td>0 in 2015</td>
<td>2 (1 per river, 2015-2016)</td>
<td></td>
<td>Seminar’s documentation</td>
</tr>
<tr>
<td></td>
<td>Training on multi-annual planning of water use/distribution in Aral-Syrdarya, Tobol-Turgai and Balkhash-Alakol basins</td>
<td></td>
<td></td>
<td>Assessments</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Study on strengthening of basin management is completed with policy recommendations proposed</td>
<td>1 in 2015</td>
<td>3 (2018)</td>
<td>Meetings’ documentation (LoPs, agendas, presentations, other substantive hand-outs, conclusions)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>National-level Conference to present key-findings of the study</td>
<td></td>
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<tr>
<td></td>
<td>National expert group on water and health is established</td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>An open and inclusive</td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

Output 1.2
<table>
<thead>
<tr>
<th>Intervention logic</th>
<th>Indicators</th>
<th>Baselines (incl. reference year)</th>
<th>Targets (incl. reference year)</th>
<th>Sources and means of verification</th>
<th>Assumptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Output 1.3</td>
<td>Support to the implementation of the Protocol on Water and Health</td>
<td>National expert group on water and health is established</td>
<td>0 in 2015</td>
<td>1 in 2016</td>
<td>Documentation setting up an expert group (LoP, agendas of the meetings, resolutions)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>An open and inclusive participative process for setting up national targets on water and health is arranged</td>
<td></td>
<td>All relevant governmental bodies and other stakeholders are actively involved</td>
<td>Documentation on the inclusive process in setting national targets, under the Protocol on Water and Health.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>National targets on water and health are set and adopted</td>
<td></td>
<td># of national targets to be decided by the National expert group in the framework of the open and inclusive participative process</td>
<td>National targets and target dates, under the Protocol on Water and Health.</td>
</tr>
<tr>
<td>Output 1.4</td>
<td>Human resources for transition to Green Economy</td>
<td>Conduct on-the-job training and advanced training of existing engineers, representatives of authorities, and farmers.</td>
<td>0 in 2015</td>
<td>N of Universities involved in training on IWRM - 10 by 2018</td>
<td>Mass-media web-sites</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>N of trainings for government officials conducted with EU support – 5 by 2018</td>
<td>International organizations reports</td>
</tr>
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<td></td>
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<td></td>
<td></td>
<td>A set of educational materials for teachers and students (training modules).</td>
</tr>
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<td></td>
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<td></td>
<td></td>
<td>Programmes, presentations and hand-outs for trainings.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>A set of training materials, agendas, participant registration lists.</td>
</tr>
<tr>
<td>Output 2.1</td>
<td>Analysis and reform of the current economic instruments, their impact, options for improvement,</td>
<td>Preparation of a profile of the current economic instruments, their impact, options for improvement,</td>
<td>0 in 2015 (no reports in these areas)</td>
<td>Increase efficiency of water use (2018)</td>
<td>Government Annual reports</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>National Statistics stat.gov.kz (Statistic of the ministry of National Economy)</td>
</tr>
<tr>
<td>Intervention logic</td>
<td>Indicators</td>
<td>Baselines (incl. reference year)</td>
<td>Targets (incl. reference year)</td>
<td>Sources and means of verification</td>
<td>Assumptions</td>
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</tr>
</tbody>
</table>
| drive water efficiency | initial recommendations and training needs analysis in 2 economic sectors (water supply and sanitation) 
Develop a roadmap for reform in one pilot basin. 
Develop training curricula and conduct training for local officers |  | 1 in 2016-2017 
1 in 2017-2018 | Government websites (MoNE, MoE, MoA) 
www.zakon.kz 
Mass Media web-sites 
International organizations reports 
Government programme on water management of Kazakhstan 
1 Developed training curricula and trainings for officers, Agenda, LoP | |
| Promotion of innovative water technologies and practices in two priority sectors of the economy | Review the policies that affect the diffusion of innovative technologies and practices for water efficiency and develop policy recommendations; Develop policy recommendations for the adoption and diffusion for water related innovation. | 0 in 2015 
0 in 2015 | Promotion of innovative water technologies and practices in two priority sectors of the economy (irrigation and water safe technologies) (2018) 
1 in 2017-2018 | Government Annual reports 
National Statistics stat.gov.kz (Statistic of the ministry of National Economy) 
Government websites (MoNE, MoE, MoA) 
www.zakon.kz 
Mass Media web-sites 
International organizations reports | 1 Review 
1 Report on policy recommendations |
<table>
<thead>
<tr>
<th>Output 2.3</th>
<th>Business models to ensure sustainability of operations, maintenance and financing of water infrastructure</th>
</tr>
</thead>
<tbody>
<tr>
<td>Indicators</td>
<td>Assess the current business models applied in Kazakhstan for managing multipurpose water systems vis-a-vis international good practice, and draft recommendations. Implement a pilot project in one particular multipurpose water system and produce final recommendations.</td>
</tr>
<tr>
<td>Baselines (incl. reference year)</td>
<td>0 in 2015</td>
</tr>
<tr>
<td>Targets (incl. reference year)</td>
<td>Business models to ensure sustainability of operations, maintenance and financing of water infrastructure (2018)</td>
</tr>
<tr>
<td>Sources and means of verification</td>
<td>Government Annual reports, National Statistics stat.gov.kz (Statistic of the ministry of National Economy), Government websites (MoNE, MoE, MoA), <a href="http://www.zakon.kz">www.zakon.kz</a>, Mass Media web-sites, International organizations reports</td>
</tr>
<tr>
<td>Assumptions</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Output 2.4</th>
<th>Technical Supervision and Control of hydro-technical infrastructure</th>
</tr>
</thead>
<tbody>
<tr>
<td>Indicators</td>
<td>Equipment is provided to the Taraz international centre for the safety of hydro-technical infrastructure. Existing national system of supervision and control of hydro-technical infrastructure analysed. Recommendations for the improvement of the system of supervision and control of hydro-technical infrastructure developed. Roundtable involving key stakeholders. Trainings on the safety of hydro-technical infrastructure.</td>
</tr>
<tr>
<td>Baselines (incl. reference year)</td>
<td>0 in 2015, 0 in 2015, 0 in 2015</td>
</tr>
<tr>
<td>Sources and means of verification</td>
<td>Documents confirming handing over equipment, Analysis of the existing national system of supervision and control of hydro-technical infrastructure, Documents confirming handing over recommendations, Roundtable documentation, A set of training materials, agendas, participant registration lists.</td>
</tr>
<tr>
<td>Assumptions</td>
<td></td>
</tr>
<tr>
<td>Output 3.1</td>
<td>Demonstration projects in key sectors</td>
</tr>
<tr>
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<tr>
<td></td>
<td>Environmental assessment and review procedures in the water sector are improved</td>
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<tr>
<td>Output 4.1</td>
<td>Demonstration projects in key sectors</td>
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</tr>
<tr>
<td><strong>Intervention logic</strong></td>
<td><strong>Indicators</strong></td>
</tr>
<tr>
<td>-----------------------</td>
<td>---------------</td>
</tr>
<tr>
<td><strong>Output 4.2</strong></td>
<td><strong>Knowledge management and lessons learnt system is in place</strong></td>
</tr>
</tbody>
</table>
ANNEX C.

CRITERIA FOR SELECTION OF PILOT PROJECT
IDENTIFYING AND DEVELOPING THE PILOT PROJECTS
MANAGEMENT OF THE PILOT PROJECTS

1. CRITERIA FOR SELECTION OF PILOT PROJECTS

Finding the right pilot project is the most critical and challenging task. To create a consistent and transparent selection process, a set of pilot projects selection criteria is suggested.

Pilot projects will be proposed and selected, based on meeting the criteria listed below:

- Pilot projects would reasonably be expected to produce greater environmental protection than would otherwise be achieved by the existing regulatory process;
- Pilot projects will potentially engage in a multi-media environmental approach (water, plus energy, plus climate change, water plus waste management, etc.);
- Pilot projects will share information learned with multiplier groups at national and or local level and the general public. Pilot projects set to provide specific data on the goals, implementation, and performance of its projects;
- Pilot projects’ management will commit itself to participate in the project through a letter of intent;
- Pilot projects will represent diversity in terms of location/geography, size, industry type or sector, environmental impacts, and in the range of their project’s maturity;
- Pilot projects should represent ideas which can be realized in a short period, could have a high level of visibility and be structured in such a way that interested parties could replicate the projects thus ensuring upscaling and sustainability.

2. IDENTIFYING AND DEVELOPING THE PILOT PROJECTS

Descriptions of Pilot Projects: In order to evaluate the pilot projects and their potential impacts, project descriptions will be prepared which will include a general overview, a description of the scope and maturity of the suggested pilot projects, the unique characteristics of this particular pilot project, stakeholder involvement, value in terms of business applicability, replicability, outreach potential, visibility, etc., contact information, and an evaluation of the pilot project based on the selection criteria above.

Furthermore the work plan will be developed for each pilot project to describe the pilots in more detail.

The following Pilot Project Work Plan could serve as a template for the development of specific work plans that will describe how each pilot project will be conducted and completed.

The specific work plans will include descriptions of roles and responsibilities, schedules, objectives, stakeholder involvement, data management procedures, and data assessment and analysis techniques.

In order to examine the potential benefits of the pilot projects, initially three pilot projects will be selected. The information collected through the pilot projects will be reported to the Project Board, with a final analysis due at the end of the project, i.e.
Prior to adoption by the Steering Committee, the specific Work Plans will receive inputs from the beneficiary, i.e. the Committee on Water Resources of the Ministry of Agriculture of the RK, UNDP, the EU, etc.

2.1. Project Identification: Identifying effective and innovative ways in the Kazakh water sector to achieve superior green growth opportunities is the primary goal of the pilot projects to be selected.

2.2. Purpose of Pilot Project Work Plan: The purpose of the Pilot Project Work Plan is to describe how the work of the Pilot Projects will be carried out and accomplished. This includes describing roles and responsibilities, schedules and milestones, research objectives, stakeholder involvement, data management procedures, and data assessment and analysis techniques.

2.3. Project Description:

2.3.1. Background: This section shall include a description of the Pilot Project. The description shall include the activity or function of the entity, the number and the role of the people engaged in this activity, and its location.

2.3.2. Project Scope: This section shall describe the scope and maturity of the pilot project and shall identify and highlight any unique aspects of the pilot project including its visibility, potential for replicability and upscaling, and opportunities for business models.

2.3.3 Objectives of the Pilot Project: Pilot-specific objectives should be described here. The purpose of the pilot-specific objectives is to specify how the project intends to address the criteria outlined above. The Pilot Project objectives should help focus data collection, ensure that all appropriate data is collected and create a database that will support conclusions of the Pilot Project.

2.4. Pilot Project Organization, Roles and Responsibilities.

2.4.1. As the administrator of the Pilot Project, UNDP will:

- Draft data collection protocols;
- Assist in data collection if needed;
- Facilitate communication with local stakeholders and establish a working group;
- Provide training and ensure the extension of the experiences gained to other interested parties in Kazakhstan;
- Communicate to the Project Board on the progress and conclusions of the Pilot Projects; and
- Communicate with stakeholders on the progress and conclusions of the Pilot Project.

2.4.2. Pilot Projects: As the Pilot, the Project will:

- Contribute data on the design and operational performance of their project that is consistent with the data collection protocols developed in dialogue with the relevant expert;
- Participate in Stakeholder Working Groups;
• Communicate with stakeholders about the design and performance of their pilot projects.

2.5. **Project Schedule:** To be completed by the Project manager in dialogue with the pilot project team.

3. **MANAGEMENT OF THE PILOT PROJECTS**

**National Working Group:**
A National Working Group for the Pilot projects will be established as the primary vehicle for stakeholder involvement. A stakeholder is any party (organization or individual) who may be interested in the activities of the Pilots, and is eager in contributing to them. The purpose of the Working Group is to act as a public forum for the evaluation, analysis, and discussion of the pilot projects in general and to ensure outreach, visibility and replication. The Working Group shall be a forum for education, networking, and open communication between private sector, regulatory agencies, environmental or community interest groups, and academics. Establishing cooperative working relationships between various stakeholders is a primary goal of the pilot projects. UNDP will coordinate the Regional Working Group. Meetings will occur approximately twice per year. The Pilot Projects, UNDP and the Working Group should also participate in training and facility tours.

**Reporting:**
An annual report will be prepared to the Project Steering Committee. The report will include baseline conditions at the pilots, updates on the progress of the Pilot Projects, and activities of the National Working Group. The conclusions of the pilot studies will be presented in the final report of the overall project.

**Data Collection and Management:**
In order to evaluate the objectives of the Pilot Project, data will be collected in the following categories:

• Environmental performance;
• Regulatory compliance;
• Use of pollution prevention techniques;
• Continual improvement;
• Team involvement;
• Involvement of interested parties;
• Quality and quantity of environmental information produced;
• Design, and;
• Costs and benefits.

For each of the pilots, a set of baseline data on environmental performance prior to the introduction of the pilot projects, descriptive information about the design of the pilot projects will be prepared.

Data collected through the Pilot Projects will be made available to interested parties and summarized in the reports to be prepared.
Data Quality Assessment, Validation and Usability:

The Project manager shall assess data quality. This shall be accomplished by looking at the following data quality aspects:

- Completeness (is all data included);
- Appropriateness (scope and detail appropriate to support research objectives);
- Accuracy (level of accuracy appropriate to questions being asked);
- Precision (description of desired measurement);
- Relevance (adds information that supports research objectives);
- Comparability (to similar pilots – if known).
ANNEX D.

ToR for NGOs Grant Programme

Subject: Grant Competition for NGOs
Program: UNDP Country Programme document/Energy and Environment Unit
Project: 00093850 EU/UNDP/ UNECE Joint project “Supporting Kazakhstan’s Transition to a Green Economy Model”
Period: July-October 2015

General Information:

The main objective of the project is to provide support to the Republic of Kazakhstan in achieving long-term sustainable development for the interest of all segments of population through the country’s transition to a "green economy" model. The project contributes to the achievement of goals of the “Kazakhstan’s transition to a green economy model” with a focus on: (i) the water sector and climate change; (ii) demonstration of rapid and practical solutions by pilot actions. The project complies with the main political priorities of the Government of Kazakhstan and it is aimed at long-term increase of the national capacity. The project is based on the experience of previous and current projects of the European Union, which are aimed at contribution to the sustainable consumption of natural resources, in particular the EU regional platform in Central Asia on the Environment and Water Resources matters.

As a part of the project component 4 "Implementation of the pilot projects aimed at demonstrating the feasibility of improving the efficiency of water resources management in climate change conditions, which has a high potential of replication and attracting investment" it is planned to assist to the implementation of "green" local water management practices including the factors of climate change through the implementation of the grant program and demonstration projects in water management.

The goal of the grant competition: Creation and implementation of local demonstration project portfolio that is focused at the incorporation of effective approaches, methods and technologies that contribute to the sustainable water resources consumption with the active involvement of the public and local communities in its development and implementation process.

The grant competition will be implemented in 2 phases:

The phase 1 includes a wide public awareness, electronic network distribution, the website of the EU Delegation to the Republic of Kazakhstan, UNDP Kazakhstan, Partners distribution, regional programs of UNDP development in Kyzylorda, Mangystau, etc.), as well as consultative meetings with NGOs in the regions (Aktau, Astana, Karaganda, Shymkent, Kyzylorda, Ust-Kamenogorsk, Semey) to provide a more detailed explanation of competition conditions, to discuss possible project directions and creation of the initial portfolio of project ideas. The initial evaluation of project ideas will be carried out by the project "Supporting Kazakhstan’s
Transition to a Green Economy Model " . This phase will be implemented by September 16, 2015.

The phase 2 will include the development of the detailed project proposals in accordance with grant application submission template. The review, evaluation and project selection for further funding of the developed project proposals will be carried out by the Grant Committee, which will consist of experts, the nature of whom would depend on the specifics of the considered projects, also the representatives of EU Delegation to Kazakhstan and UNDP, the Committee on Water Resources of the Ministry of Agriculture. This stage will be implemented by October 15th, 2015.

The approved grants will contribute to the improvement of life support of local population and communities, likewise to the increase of local communities’ potential in addressing issues of transition to a "green economy" and implementation of "green" technologies in water resource management and climate change, sustainable use of water resources and demonstrate thorough experience and best practices.

The approved project will be funded by the project budget.

**Grant competition subject direction:**

The projects presented in the competition have to be directed on efficient methods, approaches and technology incorporations in the region:

- Sustainable water consumption resources and water saving;
- Water quality;
- Energy efficiency in water supply;
- Cleaning and waste water recycling;
- Water consumption and renewable energy;
- Raise awareness on the efficient water consumption resources and climate change through the implementation of "green economy" practice.

The examples of possible project directions are listed below, however please do not be limited by the mentioned information.

**Sustainable water consumption and water resources management in agriculture**

- Efficient irrigation systems and equipment;
- Water recycling. Prevention and reduction of the amount of water consumption;
- Organic agriculture methods, which would allow to exclude the expensive cleaning process and secondary water recycling.

**Public water supply management:**

- Leak detection in water distribution systems and the identification of unauthorized connections through the utilization of the listening equipment, which explores the water distribution system, detects sounds, indicates the leaks and determines the location of hidden underground leaks. Measuring devices can also be used to help the detection of leaks in the system.
- Sanitary technical devices (pressure reducers, sewage aerator devices, devices for limiting the amount of water in the cistern, fuel-efficient shower heads and modification
of pipelines for waste water reuse) with the low water consumption and modernization program.

**Water consumption and renewable energy:**

- Solar heating: the utilization of solar water heaters for residential premises, social objects and etc.
- The possible ways to utilize the renewable energy for water supply.

**Raise awareness on the efficient water consumption resources and climate change through the implementation of "green economy" practice**

- Information and PR campaigns, which are intended at raising awareness for any of the above listed topics;
- Composing information and promo materials for further rotation and distribution among mass media and other open information channels and events.

**The main requirements to the grant applications:**

All of the proposed projects not only have to comply with the main thematic directions of the grant competition accordingly, but also have to coordinate with the following:

- To be linked to national and local programs and priorities of the program;
- To aim at improving a life support level of the targeted audience;
- To involve local communities in the implementation of project activities;
- To contain a component for improving the potential, training and publishing the project approaches and technologies;
- To implement a mechanism in order to ensure an institutional and financial sustainability of the project after the end of funding;
- To include calculations of economic efficiency of the proposed technology (approach);
- To involve Partners for the joint implementation and co-finance of the project;
- To focus on the social and gender equality;
- To have a high degree of exposure;
- To aim at addressing the most relevant social issues in the region (a high degree of visibility);
- To contain a definition of clear indicators for measuring the achieved results.

Projects, which provide the involvement of women, young adults and vulnerable group of people into the implementation of the project, are most welcomed.

**Grant competition conditions:**

The participation is only opened for NGOs.

The project idea application and project activities must suit the mission statement and performance of the organization.

The work of the project should not duplicate the activities of the organization, financed by the other donors, but it could supplement it.

The maximum amount of the grant is **80 (eighty) thousand USD dollars**.

The availability of co-finance in cash as part of contribution of applicant organization and project Partners (from 5 to 20% of the total amount requested).
Project implementation period shall not exceed 24 months.
UNDP Kazakhstan reserves the right to exercise control over the trust fund expenses and project implementation.
The application must be completed in accordance with the grant application form. The application form is attached.
The contest is planned to select and fund 10-12 projects.
The administrative costs should not exceed 10% under the requested budget.
All purchased within the framework of the target equipment shall be produced in the European Union or Kazakhstan.

**Application submission deadline:**
The applications are accepted by the deadline August 25\textsuperscript{th} 2015, 18:00 PM to the following email address: gulzhamal.issayeva@undp.org, in copy irina.yurchinskaya@undp.org (also it is important that the originals of application are prepared and provided to the following address: Astana, Bokeyhan street, 26, UN building, for the attention of Gulzhamal Issayeva, Project manager).

**Compulsory attachments to the application:**

✓ Copy of state registration of legal entities certificate;
✓ Copy of Organization’s manual;
✓ Copy of TRN of the organization;
✓ Bank reference with a complete information on bank details of the organization (the account in Tenge), as well as the enquiry on debts absence for all types of obligations;
✓ Certificate from tax inspection in relation to the organization payment status for all types of taxes;
✓ Guarantee letter received from Partners, confirming the co-finance of the project with an indication of the amounts in cash and in-kind contributions;
✓ References and letters of support from local government and other organizations and institutions;
✓ Summary of project participants, copies of diplomas and certificates confirming qualification of performers.

**For your attention! Project applications including all of the compulsory attachments to be provided both in paper and electronic formats.**

The applications received after the deadline will not be reviewed. The potential competition participants may ask questions and receive consultation on contest related matters before the deadline from Ekaterina Yuchshenko on the following contact details: 
+7 (727)2653999 (work);
+7 777 2783370 (mobile);
Or from Gulzhamal Issayeva on the following contact details:
+7 (7172)2 696550 (int. 2113).

The information on the competition results will be posted online on the UNDP website: http://www.undp.kz.
The declarant may request additional information during the review process. The materials provided for applications will not be returned.

**Application selection criteria**

All of the pilot projects will be selected upon a competitive basis by an open and transparent application procedures and assessment based on the criteria set out in the tender documentation.

The evaluation of the submitted application will be based on its compliance with the following criteria:

- Compliance of the content of a project application with the grant competition topics;
- A clear vision of the project approach, the process of implementation and its efficiency;
- A thorough and detailed presentation of each section in accordance with the format of the project proposal;
- The problems’ justification, goals and objectives of the project’s initial results shall comply to the planned activities and budget;
- The priorities shall be relevant to the priorities of “green” development;
- The target group has to demonstrate the interest and involvement into the project;
- The creation of public environmental awareness;
- Project sustainability;
- The development of local capacity;
- The gender approach;
- The impact on government policy;
- Communication with other programs and projects;
- The possibility of duplication and replication of the project;
- The complexity of the project;
- The originality of the project’s approach;
- Indicators availability (quantitative and qualitative);
- The Partners and co-finance availability;
- The organization experience in the implementation of informational, environmental and social projects;
- The relevance of social issues (high visibility).
Executive summary of the report on knowledge management (outcome 4.2.)

The overall purpose of the Government of the Republic of Kazakhstan is to transit to environmentally sustainable development and significantly reduce environmental risks and ecological shortages while sustaining economic growth and competitiveness, and to generate well-paid jobs and improve human well-being as well.

This summary briefly describes the Knowledge Management Concept for the Development of Green Economy in Kazakhstan, and carries a proposal for generating a system by creating a database for green technologies and experts.

Overview of Existing Law and Legal, Institutional and Informational and Technical Framework.

Currently, the documents determining the state policy to this end are ‘Strategy ‘Kazakhstan – 2050: a New Political Course of the Established State’ and ‘Nurly Zhol – the Path to the Future.’ These instruments define clear baselines for sustainable and efficient economic model based on the state’s transition to a ‘green’ path of development. Furthermore, the legal framework is formed by the President’s Decrees, Government Orders and state programs on the implementation of tasks set. The Republic of Kazakhstan has fully formulated the state policy regarding transition to a green economy both at the national level and for certain economy sectors and government agencies. The present governmental plans allow for substantial progress in implementing requisite measures, and, specifically, in forming a management system.

An institutional framework has been established in line with the law and legal framework in Kazakhstan. In particular, the Department of Green Economy was established and is operating in the Ministry of Energy of the Republic of Kazakhstan. It is this Department which monitors and coordinates the Concept for Kazakhstan’s Transition to a Green Economy to be implemented. Along with establishing the institutional framework, Non-Governmental Organizations have emerged to further promote the concept of green growth in Kazakhstan, and are actively functioning both at the national and institutional levels. Specifically, the ‘Coalition for Green Economy and the Development of G-Global’ is currently active; as part of its activity, it has created a number of data portals and web-sites to promote green economy concepts.

In recent years, a significant informational database has been created in Kazakhstan based on web-portals and web-sites intended to promote concepts related to Kazakhstan’s transition to a green economy model and the promotion of new, innovative and green technologies. As a result Kazakhstan has a comprehensive informational database to further the development of knowledge and practices management system for the development of green economy.

Principles and Purposes of Knowledge and Practice Management System for Development of Green Economy in the Republic of Kazakhstan

Establishing a respective system will be based on elaborating a database of green technologies and experts and consultants specializing in implementation and assessment of such technologies.
**Principles:**

- Equal Opportunities for state agencies, business, non-governmental organizations and citizens to have access to information on the available green technologies, experts and current analytical reports and publications on implementation of such technologies;
- The transparency of the system will improve its efficiency and establish a green technology market as the database of technologies, experts and analytical reports;
- Partnership between state agencies, business, non-governmental organizations and citizens may become a driving force capable of launching public-private partnership projects;
- Intellectual property right is considered an essential tool for inspiring innovations and implementing new green technologies.

**Purposes:**

1. Integrate efforts of state agencies, business, non-governmental organizations and citizens in providing access to information on the available green technologies, experts and current analytical reports and publications;
2. Improve efficiency of green technology transfer system so as to ensure Kazakhstan's transition to a green economy model;
3. Develop investment decisions on the basis of green technologies and relationships between Green technology/service suppliers and potential users.

**Common Framework of Knowledge and Practice Management System for the Development of Green Economy in the Republic of Kazakhstan**

Based on the principles and purposes of system generation and given that the proposed database addresses multiple tasks, and in order to ensure its stable operation, it is supposed to:

- Uses a modular structure;
- Ensures that each module fulfills individualist specific task;
- Ensures that all modules are to be linked on the basis of general reference data;
- Ensures that the modules are designed, elaborated and implemented subsequently with due regard to priorities.

The system should be generated on the basis of database-related Web-applications, and should have simple structure enabling remote input, storage and structured information representation. Such applications will enable remote users to enter the required data into Web-forms that control the input correctness and keep the data in single database. The structured information maintained in the database may be used to output tabled and graphical queries.
The general structure of the system may be presented as follows:

Guidelines for Stable Functioning of Registers and Databases being Created (Proposals for a National Operator).

1. There are a number of information sources in Kazakhstan, which are intended to promote concepts related to Kazakhstan's transition to a green economy model and promotion of brand-new, innovative and green technologies.

2. The Project will create new modules and improve the existing web-site structures engaging the best developers. It will improve resource efficiency, and the created database will engage stakeholders from state agencies, business, non-governmental organizations and citizens.

3. Kazakhstan's transition to a Green Economy Model should be implemented on a basis of multiple political and governmental decisions stating the major issue-related sectors:

- Water Resources;
- Sustainable Agriculture;
- Energy Conservation/Efficiency;
- Power Engineering;
- Waste Management; and
- Air Pollution Mitigation.

This should be considered when creating the proposed system and databases, including individual certain modules. Emphasizing a single priority area will not comply with the general purposes of the Conception for Kazakhstan's Transition to a Green Economy Model. It is balanced approach allowing to use and develop green technologies in various economy sectors that makes it possible to achieve a synergy and push Kazakhstan closer to accomplishment of the targeted purposes.

For this reason, it is recommended to create each proposed system/database module with due regard to issue-related sectors approved and agreed on the governmental level.

The essential phase for development of the proposed system is to complete the database with green technologies, inventions, know-hows and services. ‘Green Technologies’ System (the System) will consist of three database blocks which should ensure easy access and contacts between Green technology suppliers and the potential users of such technologies/services. Provided that these requirements are fulfilled, the System will facilitate partnership between
technology owners and users and eventually become an element for the development of a market proposing green technologies, inventions, know-hows and services.

Technology suppliers must on their own make decisions on representing information on green technology/service to the database, and there should be no structure or group capable of restricting such opportunities. Ensuring easy access, transparency, partnership, and intellectual property rights) are the major principles of this system.

That said, initially, it will be useful to engage an expert group or consulting agency aimed at maximum promotion of new opportunities to be offered by the System to green technology suppliers and users in order to improve efficiency of the proposed System. In order to more effectively enter the data into the System, it is necessary to link this database with existing sites for searching and representing green concepts, such as:

- ‘Online-Expo 2017’ International Competition;
- ‘Astana EXPO 2017’ International Exhibition;
- ‘Green Technologies’ National Contest;
- ‘Green Bridge’ Annual International Conference; and
- Astana Economic Forum.
Communications and Visibility Strategy

2015-2018

“Supporting Kazakhstan’s Transition to a Green Economy Model”

EU-UNDP-UNECE project (2015-2018)
Executive Summary

This communications and visibility strategy is intended to foster visibility and raise the public profile of the joint EU/UNDP/UNECE project “Supporting Kazakhstan’s Transition to a Green Economy Model”. It contains public relations methods inclusive of, public information outreach, events, electronic and web communications strategies.

The plan and strategy aims to distribute information about the project, its priorities and achievements. The document is directly linked to the main project objectives to promote effective water management as a key cross-sectoral tool for transition to a Green economy model in Kazakhstan as well as fostering transboundary dialogue in the area. It is drafted in consultation with the project team and UNDP, UNECE and EU Delegation.

The plan includes such communications products as special events, media specific Communication pieces, participation at European public events, production and distribution of promo items. The major focus is made on reaching out for a wider public and media in the country and in EU.

The strategy features an action plan and includes visibility guidelines addressed to the project team to ensure compliance with the requirements of the EU, UNECE and UNDP. It is also designed in full consideration of the “Joint Visibility Guidelines for the EC – UN Actions in the Field” document, which stresses that the information and communication activities in place should be aiming to raise awareness of the audiences of the EU-UN cooperation in the country and the impact of these joint activities.

All display, print and, audio - video materials and public events will communicate that the "Supporting Kazakhstan's transition to a Green Economy Model" is the joint UNECE and UNDP project funded by the European Union. The Communication and Visibility Strategy will strive to promote the positive image of joint cooperation.
**Communication objectives**

This document focuses on external communication and information sharing.

Overall objective is:

*To raise awareness among various relevant audiences about the principles of the project aims, objectives, activities and results of the project, the role of the donor in the implementation of the project.*

The strategy will strive to deliver a key message that:

Effective water management is a key pillar that will drive Kazakhstan’s Transition to Green Economy. Transition to a Green Economy will improve quality of every Kazakhstani’s life.

Эффективное управление водой – это важный шаг к переходу страны к Зеленой Экономике, что в свою очередь улучшит качество жизни каждого Казахстанца.

The motto will be:

Water innovation for Green Transformation.

Водная инновация для Зеленой Трансформации

**Overall communication objectives are:**

- Build awareness about activities and results of the project among target audiences.
- Put the issue on Green Economy in Kazakhstan into Mass Media agenda, develop understanding and concern among the public and state officials.
- To demonstrate economic, social and environmental benefits of Green Economy practices.
- Involve civil society and private sector into activities of the project.

**Target Groups**

In Kazakhstan

<table>
<thead>
<tr>
<th>Audiences</th>
<th>Objectives</th>
<th>Channel of communication</th>
</tr>
</thead>
<tbody>
<tr>
<td>Representatives of key state agencies (ministries, parliament, authorities)</td>
<td>Ensure that the State Agencies are aware of the roles of the UN organizations and of the EU in action. Raise awareness on the project aims and activities. Put the issue on Green Economy in Kazakhstan into Mass Media agenda, develop understanding and concern among the public and state officials. Demonstrate economic, social and environmental benefits of Green Economy practices.</td>
<td>Conferences, public events, meetings, UNDP website, reports, printed promo materials, workshops, trainings. All public materials will be shared with colleagues at European Union to distribute through their own channels.</td>
</tr>
<tr>
<td>Mass media</td>
<td>Raise awareness on UN agencies and EU role on the implementation of state concept of Green Economy through this project and Put the</td>
<td>Newsletters, press releases, email distribution, websites, press conferences, contests, public events, social events, SMM, UNDP</td>
</tr>
</tbody>
</table>

| **Representatives of private sector (business units, farmers, water managers, municipal services)** | Raise awareness on UN agencies and EU role on the implementation of state concept of Green Economy through this project and to demonstrate economic, social and environmental benefits of Green Economy practices | Promo materials, banners, leaflets, trainings, workshops, reports, meetings, website, public events, SMM, UNDP website and UNDP Facebook page. All public materials will be shared with colleagues at European Union to distribute through their own channels. |
| **NGOs and water experts** | Ensure that the State Agencies are aware of the roles of the UN organizations and of the EU in action. Involve civil society and private sector into activities of the project | Grants, workshops, conferences, newsletter, promotional material, SMM, UNDP website and UNDP Facebook page. |
| **General public** | Raise awareness on UN agencies and EU role on the implementation of state concept of Green Economy through this project and Put the issue on Green Economy in Kazakhstan into Mass Media agenda, develop understanding and concern among the public. | Media channels, promo materials, educational materials, bill inserts, social media, video clips, banners, contests, public events, flash mobs, marathons, lectures, contests, UNDP website and UNDP Facebook page, SMM, publication of success stories. All public materials will be shared with colleagues at European Union to distribute through their own channels. |

**European Union countries**

| **Diplomats of EU countries in Kazakhstan** | Ensure that the State Agencies are aware of the roles of the UN organizations and of the EU in action. Raise awareness on the project aims and activities. | Conferences, public events, meetings, press conferences, workshops, distribution of reports, announcement of success stories. All public materials will be shared with colleagues at European Union to distribute through their own channels. |
| **EU Citizens** | Ensure that the State Agencies are aware of the roles of the UN organizations and of the EU in action. Raise awareness on the project aims and activities and their importance for Kazakhstan, region and the world. | European based events, such as forums, exhibitions etc. Social Media, Publication of success stories on UNDP websites and UNDP Facebook page. Database created on the basis of output 4.2. that includes all green technologies, experts available in Europe. All public materials will be shared with colleagues at European Union to distribute through their own channels. |
**Communication Activities:**

<table>
<thead>
<tr>
<th>Activity</th>
<th>Indicator</th>
</tr>
</thead>
<tbody>
<tr>
<td>Printed materials (leaflets, banners, promo items, reports)</td>
<td>Increasing number of inquiries from different groups of stakeholders.</td>
</tr>
<tr>
<td></td>
<td>Number of participants at training and workshops.</td>
</tr>
<tr>
<td></td>
<td>Number of inquiries from different groups of stakeholders.</td>
</tr>
<tr>
<td></td>
<td>Number of participants at training and workshops.</td>
</tr>
<tr>
<td>Newsletters, press releases and response to media inquiries</td>
<td>Number of mass media coverage.</td>
</tr>
<tr>
<td></td>
<td>Number of citations on the materials of the project.</td>
</tr>
<tr>
<td></td>
<td>Increased number of participants at the events.</td>
</tr>
<tr>
<td></td>
<td>Number of subscribers to the newsletters.</td>
</tr>
<tr>
<td>Keep websites of UNDP, UNECE and EU, as well as Facebook page of UNDP</td>
<td>Growing number of inquiries from different groups of stakeholders.</td>
</tr>
<tr>
<td></td>
<td>updated on project information</td>
</tr>
<tr>
<td></td>
<td>Number of references to the project in Mass Media.</td>
</tr>
<tr>
<td></td>
<td>Number of citations on the materials of the project.</td>
</tr>
<tr>
<td>Workshops, seminars, public events, media events by the project and in</td>
<td>Number of mass media coverage.</td>
</tr>
<tr>
<td>partnership with other events</td>
<td>Number of citations on the materials of the project.</td>
</tr>
<tr>
<td></td>
<td>Increased number of participants at the events.</td>
</tr>
<tr>
<td></td>
<td>Number of subscribers to the newsletters.</td>
</tr>
<tr>
<td>Networking through participation at various events related to</td>
<td>Growing number of inquiries from different groups of stakeholders.</td>
</tr>
<tr>
<td>environment and water to increase visibility of the project (distribution</td>
<td>Number of subscribers to the newsletters.</td>
</tr>
<tr>
<td>of promo materials and publications)</td>
<td></td>
</tr>
</tbody>
</table>

**Communication tools**

- Through direct communications (trainings, workshops, conferences, exhibitions and etc.) with key stakeholders, NGOs and private sector. This will ensure capacity building among stakeholders, thus creating friendly platform for project implementation.
- Public information outreach such as media conference with major results of the project, press releases, SMM, contests, websites, interviews and reports, flash mobs, marathons, video clips, promo materials. These tools will ensure public involvement into project activities, visual recognition of logos and general understanding of project aims.
- Coordination with other project initiatives and organization activities related to Green Economy awareness raising issue. Through this tool we’ll ensure consistency and coherence with other organizations involved in the same activities, create network/communication with civil society for best results.
- Leaflets and other printed materials will be distributed among stakeholders during public events, trainings, workshops and etc, for information sharing purposes.

All events, press briefings and print materials will be arranged in compliance with this Communication and Visibility strategy.
Note: Enclosed work plan covers one-year period (April 2015 – April 2016). Annual work plan for every consecutive year will be submitted to EU Delegation at the end of reporting period for approval.

Should any extra activity, out with this annual work plan occur, it will be coordinated and organized in consultation with EU Delegation. All public communication/publication will be cleared with EU Delegation.

Promotion of the project in Social Media will include project title, identify donor of the project and project implementing organizations, as required by joint “Joint Visibility Guidelines for the EC – UN Actions in the Field” document. Considering the dynamics of posts on Social Media, that requires quick actions, those posts will follow abovementioned guidelines and they will not have to be cleared by EU, however links to such publications will be shared with EU Delegation.

**Expected outcomes**

Through communication and visibility strategy, it is expected to raise awareness about activities and impact of the project among different groups of stakeholders.

Inform local and EU citizens as well as all stakeholders about available effective practices related to water management in the world.

Create positive image of EU/UNECE/UNDP cooperation

**Visibility Guidelines**

These guidelines are developed to ensure that all produced communications materials comply with the visibility strategy. The main focus is concentrated mainly around the use of logos and different statements required by the visibility guidelines of the EU/UNECE and UNDP.

- The EU flag, UNDP and UNECE logos should enjoy equal prominence in size. In case of various printed materials and their electronic copies intended for public distribution, such as press releases, different reports, leaflets, brochures, banners and etc., all logos should be placed in the header of the main page in this sequence from left to right: the EU flag, UNECE logo and UNDP logo on the right corner.
- To acknowledge funding by the European Union, all following collateral materials: press releases, leaflets, reports, brochures and newsletters, display banners, letterheads, audiovisual productions should carry a following phrase: “This project is funded by the European Union”.
- Certain information materials should include a following disclaimer: “This publication has been produced with the assistance of the European Union. The contents of this publication are the sole responsibility of <insert name of the author/contractor/implementing partner/international organization> and can in no way be taken to reflect the views of the European Union”. For the purposes of better usability, this disclaimer should only be included in the materials which exceed 4 pages length. However, in exceptional cases this rule might be revoked.
- Where deemed appropriate additional element as demonstrated on Annex 1 highlighting the aim of the project will be inserted into document.
- All power point presentations will contain all logos and background color as demonstrated in Annex 2
This Communication and Visibility Strategy and Action plan will be provided to all relevant parties on an appropriate occasion. As it was mentioned, it is non-static document and might be further reviewed and updated in the course of the implementation of the project.
Annex F - 1. Leaflets logo and element sample

Funded by EU
Annex F-2. Power point presentation

Joint EU/UNDP/UNECE Project
“Supporting Kazakhstan’s Transition to a Green Economy Model”

2015 - 2018
## ANNEX G.

### INDICATIVE WORK PLAN: APRIL 2015 - NOVEMBER 2018

<table>
<thead>
<tr>
<th>Years</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
<th>Year 4</th>
<th>Responsible Partner</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>I</td>
<td>II</td>
<td>III</td>
<td>IV</td>
<td>I</td>
</tr>
</tbody>
</table>

### Inception Phase

- **Endorse the concept of the Steering Committee**
  - UNDP

- **Run a series of consultations with the national stakeholders to elaborate and agree on the details of the planned activities to be reflected in the indicative Work Plan for the first year of the Action.**
  - UNDP, UNECE

- **Draft a Visibility and Communication Strategy (VCS). Relevant activities supporting the implementation of the VCS are reflected in the Annual Work Plan.**
  - UNDP

- **Hold an Inception Workshop with the media coverage to present the Action, Partners, and National Counterparts to broader stakeholders. Inception Report summarizes the activities and results of the Inception Phase.**
  - UNDP

- **Inception report development and endorsement**
  - UNDP

- **Project Launching event**
  - UNDP

### OUTCOME 1: WATER GOVERNANCE IN LINE WITH GREEN ECONOMY REQUIREMENTS

#### Output 1.1: Transboundary water management

1.1.1. **Training courses on international water legislation**
  - UNECE

1.1.2. **Development of a review and recommendations on the policy of Kazakhstan for trans-boundary water cooperation.**
  - UNECE

1.1.3. **Assessment of the situation in the transboundary Ural river and Kigach canal**
  - UNECE

#### Output 1.2: Review and improvement of the institutional basis for river basin management
1.2.1. Review current experience with river basin management plans in Kazakhstan, with a focus on one pilot basin to be selected during the inception phase

1.2.2. Prepare policy recommendations for strengthening basin administrations and basin councils, building on international good practice

**Output 1.3: Support for the implementation of the Protocol on Water and Health**

1.3.1. Establishing a national expert group on water and health
1.3.2. Setting national targets on water and health
1.3.3. Adoption of national targets
1.3.4 Implementation of few selected targets
1.3.5 Preparation of the Kazakh national report under the Protocol on Water and Health

**Output 1.4: Trained Water Managers**

1.4.1. Development of training modules and manuals
1.4.2. Conduct training of teachers and students
1.4.3. Capacity building of staff

**OUTCOME 2: INCREASED EFFICIENCY OF WATER USE**

**Output 2.1: Analysis and reform of economic instruments to drive water efficiency**

2.1.1. Review existing economic instruments in two sectors, national consultation with stakeholders
2.1.2. Develop a roadmap for reform in one pilot basin
2.1.3. Develop training curricula and conduct training for local officers
2.1.4. Workshop on Green Economy Indicators

**Output 2.2: Promotion of innovative water technologies and practices in two priority sectors of the economy**

2.2.1. Review the policies that affect the diffusion of innovative technologies and practices for water efficiency and develop policy recommendations
2.2.2. Develop policy recommendations for the adoption and diffusion for water related innovation

**Output 2.3 Business models to ensure sustainability of operations, maintenance and financing of water infrastructure**
| 2.3.1. Assess the current business models applied in Kazakhstan for managing multipurpose water systems vis-a-vis international good practice, and draft recommendations, national consultation with stakeholders | | | UNDP |
| 2.3.2. Implement a pilot project in one particular multipurpose water system and produce final recommendations | | | UNDP |
| **Output 2.4: Technical Supervision and Control of hydro-technical infrastructure** | | | |
| 2.4.1. Provision of selected equipment to the Taraz international center for the safety of hydro-technical infrastructure | | | UNECE |
| 2.4.2. Analyze the existing national system of supervision and control of hydro-technical infrastructure and develop recommendation for the improvement of the system | | | UNECE |
| 2.4.3. Training for experts | | | UNECE |
| **OUTCOME 3: ESTABLISHING A MODERNIZED ENVIRONMENTAL GOVERNANCE SYSTEM** | | | |
| **Output 3.1: Environmental assessment and review procedures in the water sector are improved** | | | |
| 3.1.1. Revision of the existing national legislation on environmental assessment | | | UNECE |
| 3.1.2. Pilot application of the SEA procedure to a selected government water sectoral plan or programme | | | UNECE |
| 3.1.3. Develop guidelines for application of SEA in Kazakhstan based on the pilot in the water sector | | | UNECE |
| 3.1.4 Conduct trainings for the national and local officials to apply SEA in Kazakhstan based on the water sector | | | UNECE |
| 3.1.5 Analyze water policy for the 3rd Environmental Performance Review, conduct review mission and draft the recommendations on ways to improve problem areas | | | UNECE |
| **OUTCOME 4: HIGHLY VISIBLE AND REPLICABLE PILOT ACTIONS, FOCUSING ON WATER RESOURCES AND CLIMATE CHANGE, WITH DEMONSTRABLE EFFECTS AT LOCAL (REGION/CITY/DISTRICT) LEVEL** | | | |
| **Output 4.1: Demonstration projects in key sectors** | | | |
| 4.1.1. Develop a comprehensive Grants Programme and communicate the Call for Proposals to all target groups | | | UNDP |
4.1.2. Complete outreach trips, meetings and consultations in all target regions for the Grants Competition

4.1.3. Form a pool of pilot projects. Multi stakeholder dialogue on pilot projects process

**Output 4.2 Knowledge management system is in place**

4.2.1. Establish Database of relevant technologies and knowledge available at the EU market.

4.2.2. Set up a roster of EU experts and companies interested in partnering within the pilot projects

4.2.3. Design and printed catalogue of the resource efficient technologies and knowledge available in EU market

4.2.4. Carry out the workshops on knowledge sharing and capacity building for potential applicants and other target groups

4.2.5. Scaling up the project results within a broader community based on the Visibility and Communication Strategy

**Output 5. Effective project Management**

5.1. Public consultation to the Inception workshop presentation

5.2. The Project is effectively coordinated to successfully deliver the project outputs

5.3. Effective budget management

5.4. Project Implementation structure is set up

5.5. Steering Committee Meeting

5.6. Provide informational support for all ongoing activities within the project (including media coverage of the events, web page update, SMM, leaflets, banners and all other visual materials)

5.7. Annual narrative and financial reports
### ANNEX H.

#### ANNUAL WORK PLAN: APRIL 2015 – MARCH 2016

<table>
<thead>
<tr>
<th>Years</th>
<th>2015</th>
<th>2016</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>5</td>
<td>6</td>
</tr>
<tr>
<td>7</td>
<td>8</td>
<td>9</td>
</tr>
<tr>
<td>10</td>
<td>11</td>
<td>12</td>
</tr>
<tr>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
</tbody>
</table>

#### Inception Phase

1. **Endorse the concept of the Steering Committee**
2. **Run a series of consultations with the national stakeholders to elaborate and agree on the details of the planned activities to be reflected in the Indicative Work Plan for the first year of the Action.**
3. **Draft a Visibility and Communication Strategy (VCS). Relevant activities supporting the implementation of the VCS are reflected in the Annual Work Plan.**
4. **Hold an Inception Workshop with the media coverage to present the Action, Partners and National Counterparts to broader stakeholders. Inception report summarizes the activities and results of the Inception Phase**
5. **Inception report development and endorsement**
6. **Project Launching event**

#### OUTCOME 1: WATER GOVERNANCE IN LINE WITH GREEN ECONOMY REQUIREMENTS

**Output 1.1: Transboundary water management**

1.1.1. Training courses on international water legislation.

1.1.2. Development of a review and recommendations on the policy of Kazakhstan for trans-boundary water cooperation.

1.1.3. Assessment of the situation in the and Ural river and Kigach canal

**Output 1.2: Review and improve the institutional basis for river basin management**

1.2.1. Review current experience with river basin management plans in Kazakhstan with a focus on one pilot basin to be selected during the inception phase

**Output 1.3: Support for the implementation of the Protocol on Water and Health**
<table>
<thead>
<tr>
<th>Output 1.4: Trained Water Managers</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.4.1. Development the training modules and manuals.</td>
</tr>
</tbody>
</table>

**OUTCOME 2: INCREASED EFFICIENCY OF WATER USE**

<table>
<thead>
<tr>
<th>Output 2.1: Analysis and reform of economic instruments to drive water efficiency</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.1.1. Review existing economic instruments in two sectors, national consultation with stakeholders</td>
</tr>
<tr>
<td>2.1.3. Workshop on Green Economy Indicators</td>
</tr>
</tbody>
</table>

**Output 2.3: Business models to ensure sustainability of operations, maintenance and financing of water infrastructures**

| 2.3.1. Assess the current business models applied in Kazakhstan for managing multipurpose water systems vis-a-vis international good practice, and draft recommendations, national consultation with stakeholders |

**Output 2.4: Technical supervision and Control of hydro-technical infrastructure**

| 2.4.1. Provision of selected equipment to the Taraz international center for the safety of hydro-technical infrastructure. |
| 2.4.2. Analyze the existing national system of supervision and control of hydro-technical infrastructure and develop recommendation for the improvement of the system. |

**OUTCOME 3: ESTABLISHING A MODERNIZED ENVIRONMENTAL GOVERNANCE SYSTEM**

<table>
<thead>
<tr>
<th>Output 3.1: Environmental assessment and review procedures in the water sector are improved</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.1.1. Review of the existing national legislation regarding environmental assessment</td>
</tr>
<tr>
<td>3.1.2. Pilot application of the SEA procedure to a selected government water sectoral plan or programme.</td>
</tr>
<tr>
<td>3.1.4 Conduct trainings for the national and local officials to apply SEA in Kazakhstan based on the water sector.</td>
</tr>
</tbody>
</table>
OUTCOME 4: HIGHLY VISIBLE AND REPLICABLE PILOT ACTIONS, FOCUSING ON WATER RESOURCES AND CLIMATE CHANGE, WITH DEMONSTRABLE EFFECTS AT LOCAL (REGION/CITY/DISTRICT) LEVEL

Output 4.1: Demonstration projects in key sectors

| 4.1.1. Develop a comprehensive Grants Programme and communicate the Call for Proposals to all target groups. |
| 4.1.2. Complete outreach trips, meetings and consultations in all target regions for the Grants Competition |
| 4.1.3. Form a pool of pilot projects. Multi stakeholder dialogue on pilot projects |

Output 4.2. Knowledge management system is in place

| 4.2.1. Establish Database of relevant technologies and knowledge available at the EU market |
| 4.2.2. Set up a roster of EU experts and companies interested in partnering within the pilot projects |

Output 5. Effective project Management

| 5.1. Public consultation to the Inception workshop presentation |
| 5.2. The Project is effectively coordinated to successfully deliver the project outputs |
| 5.3. Effective budget management |
| 5.4. Project Implementation structure is set up. |
| 5.5. Steering Committee Meeting |
| 5.6. Provide informational support for all ongoing activities within the project (including media coverage of the events, web page update, SMM, leaflets, banners and all other visual materials) |
| 5.7. Annual narrative and financial report |
## Variations

### Outcome 1: Water governance in line with Green Economy requirements

#### Output 1.1 Transboundary water management (UNECE)

| Progress To Date | There have been three missions by UNECE during inception period to discuss actions under the Output 1.1 (May, July, and September 2015). An exchange with the Water Committee underlined the importance of this output of the UNECE-lead activities within the project. Therefore the distribution of funds between the different UNECE-lead activities will be slightly modified to make more resources available for output 1.1. A working meeting of 16 September 2015 was held in Astana between UNECE and interested stakeholders to discuss specifically the activities under output 1.1. Needs of the Water Committee related to the selected rivers, i.e. Ural and Kigac were outlined and a timetable for the activities agreed upon. It will however be only after October 2015 during the bilateral meeting for the Kazakh-Russian river commission that all details of sub-activity 1.1.3 can be clarified. |
| Variations from Technical Proposal that occurred or are proposed | During the process of drafting of DoA, it was agreed with the Water Committee to concentrate activity 1.1.3 on the rivers Ural and Kigac. During the inception period so additional request was made to finance background studies on the transboundary rivers of Bolshoi and Malyi Uzen. As resources are limited, it has been agreed that any action in Bolshoi and Malyi Uzen basins will be discussed only if additional money would be meanwhile raised for activities in Kigac and Ural. |
| Main Planning Features for Whole Project | All activities foreseen in the DoA will take place. Certain modalities (such as national partner(s) to be involved in key activities under activity 1.1.3 are to be still negotiated and agreed upon with the Water Committee. All efforts of the project have to be aligned with the work of the Kazakh-Russian bilateral commission The next meeting will be held in October 2015. |
| Main Planning Features for Next Reporting Period | Under activity 1.1.1, a first training course will take place in December 2015 and international experts will be contracted as trainers. The water Committee has confirmed the topic of the first training Planning of the technical processes of the Ural as well as the Kigach will commence. |
## Output 1.2: Review and improvement of the institutional basis for river basin management (UNECE)

### Progress To Date
Two UNECE missions to Astana were organized (May and July 2015) to discuss the plans. In those discussions, the Balkash-Alakol basin was suggested as the pilot basin for activity 1.2.1. As for activity 1.2.2, the Committee suggested to hold trainings on multi-annual planning of water use/distribution in these basins that have already some relevant experience such as the basins of Aral-Syrdarya, Tobol-Turgai and Balkash-Alakol. It was also suggested by the Committee that planned technical workshop in Summer 2016 would be organized in Almaty so that existing experience with Balkash-Alakol basin management could be shared.

### Variations from Technical Proposal that occurred or are proposed
It was decided after discussions with the implementing partner (Water Committee) to drop activity 1.2.3. Instead of designing yet another basin plan, the Water Committee stressed insisted that practical recommendations and trainings are more relevant to improve water resources management at basin level.

### Main Planning Features for Whole Project
Activities under the Output 1.2 will start in 2nd quarter 2016. Up to four national consultants are to be engaged through short-term contracts, to be supported by 1-2 international consultants. An NGO or research institute with earlier experience in supporting of basin managements will be involved, such as CAREC.

### Main Planning Features for Next Reporting Period
Identification of national and international consultants will start in 1st quarter 2016 to allow for a smooth start of the activities under Output 1.2 during the 2nd quarter of 2016.

## Output 1.3. Support for the implementation of the Protocol on Water and Health (UNECE)

### Progress To Date
The process of national target setting was discussed with the Water Committee and the need to start the process was reiterated at the last NPD Steering Committee meeting on 15 May 2015. The planning of the output was finalized with a clear timeline for implementing different activities. The next NPD working meetings (September and November 2015) will be key for preparing the launch of the target setting process.

### Variations from Technical Proposal that occurred or are proposed
An activity for assisting Kazakhstan in preparing its national summary report under the Protocol on Water and Health (third and fourth reporting exercises, in 2016 and 2019, respectively) will be added under the output 1.3.4. The Water Committee suggested to add a new activity, a specific workshop with participation the Kazakh Parliament representatives to promote accession to the Protocol. It’ is suggested that such a workshop will be arranged as part of the existing activity 1.3.2 in view of the existing budget line for organizing of seminars for different stakeholders.
| **Main Planning Features for Whole Project** | The process of setting national targets on water and health is expected to start in November 2015 and continue until end of 2016 early 2017. The work will be carried out by the national experts with supervision of an international consultant. The process of the official adoption of national targets is to be initiated in 2017 by the relevant Governmental body appointed as required by law. |
| **Main Planning Features for Next Reporting Period** | A national expert group is expected to be established after the working meeting of the EUWI National Policy Dialogue Steering Committee on 16 September 2015. The group is expected to start its work on setting targets in October-November 2015 with the review of the baseline analysis of the situation with water and health in Kazakhstan (carried out under the NPD process in 2014). |
| **Output 1.4: Trained Water Managers (UNECE)** | **Progress To Date** Consultations have been held with two potential partners highlighted in DoA, the German-Kazakh University and Green Academy to define their respective roles in the activities contributing to the Output 1.4. |
| **Variations from Technical Proposal that occurred or are proposed** | It is proposed to integrate activities 1.4.1, 1.4.2 and 1.4.3 as the preparation of an assessment, follow-up work on recommendations and development of new training tools are all part of the same process. This new activity would be titled “1.4.1 Development of training modules and manuals”. After request from Water Committee, new activity has been added: "1.4.3 Capacity building of staff". |
| **Main Planning Features for Whole Project** | It is important to identify in cooperation with the Water Committee and the Academy for Public Administration, on which specific areas the capacity building for Government officials will be focused and how participants are to be nominated and selected. |
| **Main Planning Features for Next Reporting Period** | Agreements with the main local institutional partners (i.e. the Green Academy and the German-Kazakh University) will be signed and respective activities launched. There will also be several national consultants hired with short-term contracts, as well as 1-2 international consultants for helping in analyzing existing university curricula and to provide some of the trainings. |
### Output 2.1: Analysis and reform of economic instruments to drive water efficiency (UNDP)

<table>
<thead>
<tr>
<th>Progress To Date</th>
<th>Following communications with key stakeholders, it was clarified that it aims to focus on irrigation and water supply, developing a roadmap for reform, to increase the effectiveness and efficiency of priority economic instruments.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Variations from Technical Proposal that occurred or are proposed</td>
<td>Based on the consultations with project partners, it was suggested to organize a workshop on development of water related indicators on Green Economy for Kazakhstan (based on the OECD green economy indicators)</td>
</tr>
</tbody>
</table>
| Main Planning Features for Whole Project | Developing a roadmap for reform on irrigation and water supply to increase the effectiveness and efficiency of priority economic instruments.  
To recommend water related indicators on Green Economy for Kazakhstan as an outcome of workshop. |
| Main Planning Features for Next Reporting Period | Workshop on OECD Green Economy Indicators in November, 2015. |

### Output 2.4: Technical supervision and control of hydro-technical infrastructure (UNECE)

<table>
<thead>
<tr>
<th>Progress To Date</th>
<th>Planning of the output finalized and coordination achieved with on-going activities supported by OSCE, UNECE and Kazakh institutions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Variations from Technical Proposal that occurred or are proposed</td>
<td>No major variation. Possibly the training courses will be 4 days instead of 5 days long.</td>
</tr>
<tr>
<td>Main Planning Features for Whole Project</td>
<td>The main challenge will be to make sure that the contribution of activity 2.4.2 will be adapted to the internal political processes in terms of development of legislations and institutions in Kazakhstan. 2.4.1 and 2.4.3 are more or less self-standing activities.</td>
</tr>
<tr>
<td>Main Planning Features for Next Reporting Period</td>
<td>Initiation of activities 2.4.1 and 2.4.2.</td>
</tr>
</tbody>
</table>
**Outcome 3: Establishing a modernized environmental governance system**

**Output 3.1: Supporting improved environmental assessment and review procedures in the water sector (UNECE)**

| Progress To Date | The project document has been ambitious in focusing on a comprehensive technical assistance programme to strengthen national capacities to implement the UNECE Protocol on Strategic Environmental Assessment that require significantly larger funding than available under this component. Following communications with key stakeholders, it was clarified that initial focus should be given to revision of the existing national legislation on environmental assessment. |
| Variations from Technical Proposal that occurred or are proposed | Activity 3.1.1. will start in the second half of 2016, and will be followed by assistance for legal drafting in early 2017. Under activity 3.1.2 it was originally planned to apply the SEA procedure on a river basin management plan. The inception period revealed that no such basin plan will be developed as part of project. Activity 3.5.1 (water chapter of Environmental Performance Review) will be conducted in Autumn 2016 as agreed with Kazakh counterparts (was envisaged for early 2016 in DoA). |
| Main Planning Features for Whole Project | The further need for capacity building to strengthen Kazakhstan ability to implement SEA, feasibility of the pilot application of SEA, and its focus through activities 3.1.2, 3.1.3 or 3.1.4 will be clarified with the key stakeholders (Water Committee, Ministry of Energy) in 2016. The project funding is not sufficient to cover the implementation of all of the sub-activities 3.1.2–3.1.4 and will therefore be allocated only to the priority sub-activity/activities identified. |
| Main Planning Features for Next Reporting Period | Five national experts will be trained for the purposes of the project implementation during the following back to back events of 2-6 November, 2015 organized by the UNECE secretariat to the Protocol on SEA: one day sub-regional conference on developing legislative frameworks for the strategic environmental assessment in conformity with the Protocol on SEA; and a four-day “Training of Trainers” workshop on the design and delivery of training events on strategic environmental assessment. International and national experts that will be support Kazakhstan in revision of the national legislation are Identified. |
Outcome 4: Highly visible and replicable pilot actions, focusing on water resources and climate change, with demonstrable effects at local (region/city/district) level

Output 4.1: Demonstration projects across key sectors (UNDP)

| Progress To Date | The call for proposals announced on July 15, 2015 with a deadline on August 25, 2015. By the deadline, 82 proposals were received. All accepted project ideas were shortlisted by Pre-evaluation Committee (UNDP, CWR, relevant experts) based on the requirements given in the ToR (September 16, 2015). All grants applications will be updated by the potential grant receivers and submitted for the Grant Committee, which will be held in the second half of October, 2015. |
| Variations from Technical Proposal that occurred or are proposed | In order to provide quick start of the visible activities for the first year of the project, it was suggested to divide this sub-component into the following parts:
1. Grant programme for NGOs.
2. Pilot projects
   The total Budget for the Grants for NGOs was decreased to the amount not more than 186 000 EUR (technical proposal was EUR 1 000 000) for the first year of the project (April 2015 – March 2016). This amount will be paid to NGOs as a first tranche. Total budget for the NGOs grants is max 600 000 Euro. |
| Main Planning Features for Whole Project | Implementation, monitoring and evaluation of pilot projects and grants. |
| Main Planning Features for Next Reporting Period | To develop three pilot project concepts with participation of stakeholders. Pilots will be aimed to upscaling as well as to act as a tool to create synergies throughout all outcomes of the project. |

Output 4.2. Knowledge management system is in place

| Progress To Date | This subcomponent was already started during the inception period through the recruitment of national expert.
   The main responsibility of expert is to develop a database structure on green technologies, practices and roster of the national and international experts. To develop recommendations on database and rosters national operator to provide sustainability of the project results. |
| Variations from Technical Proposal that occurred or are proposed | The national consultant on database structure creation organized a number of consultations with key stakeholders. During these meetings, it was suggested to indicate a national operator and transfer the created database and experts’ roster for sustainable project results. |
### Outcome 5: Effective Project management

<table>
<thead>
<tr>
<th>Main Planning Features for Whole Project</th>
<th>To create effective knowledge management during technology transfer, using a crosscutting approach to all activities and demonstration projects</th>
</tr>
</thead>
<tbody>
<tr>
<td>Main Planning Features for Next Reporting Period</td>
<td>To indicate informational agency for updating of database and experts’ roster.</td>
</tr>
</tbody>
</table>

#### Output 5.1: Project Implementation structure is set up.

<table>
<thead>
<tr>
<th>Progress To Date</th>
<th>A project implementation structure has been established. Project staff was hired including Project Manager and technical project staff (Project Specialist, PR expert, Project Assistant).</th>
</tr>
</thead>
<tbody>
<tr>
<td>Variations from Technical Proposal that occurred or are proposed</td>
<td>A project Specialist (admin and finance) and expert on water management were added to project structure. The budget was updated accordingly. Project staff and implementation cost budget were increased</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Main Planning Features for Whole Project</th>
<th>The project staff are hired in accordance with UNDP rules and procedures.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Main Planning Features for Next Reporting Period</td>
<td>Effective project activities implementation by a project staff</td>
</tr>
</tbody>
</table>

#### Output 5.3: Effective budget management

<table>
<thead>
<tr>
<th>Progress To Date</th>
<th>A budget revision for the whole project period was done (please, see attached to this report).</th>
</tr>
</thead>
<tbody>
<tr>
<td>Variations from Technical Proposal that occurred or are proposed</td>
<td>The “project staff and implementation cost” budget line is increased due to the new project structure and upgrade of positions scale. Office rent cost was increased in accordance to the actual market rent price. Audit line was added to the budget due to internal UNDP requirements to hold annual financial audit with the budget over the USD 500 000.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Main Planning Features for Whole Project</th>
<th>Project budget are implemented effectively</th>
</tr>
</thead>
<tbody>
<tr>
<td>Main Planning Features for Next Reporting Period</td>
<td>Evaluation, monitoring of project budget, timely submission of the financial report, financial annual UNDP audit.</td>
</tr>
</tbody>
</table>
## BUDGET

### ANNEX J.

#### ESTIMATED BUDGET FOR ACTION (48 months)

<table>
<thead>
<tr>
<th>EXPENDITURE ITEM</th>
<th>No</th>
<th>Unit Cost Average (EUR)</th>
<th>Total (EUR)</th>
<th>No</th>
<th>Unit Cost Average (EUR)</th>
<th>Total (EUR)</th>
<th>TOTAL (EUR)</th>
<th>No</th>
<th>Unit Cost Average (EUR)</th>
<th>Total (EUR)</th>
<th>TOTAL (EUR)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>I. Project Staff &amp; Implementation Cost</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1 Staff (Project Manager)</td>
<td>41</td>
<td>6,100</td>
<td>250,100</td>
<td>9</td>
<td>6,100</td>
<td>54,900</td>
<td>86,900</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.2 Staff (month) UNECE P4 staff management</td>
<td>2</td>
<td>16,000</td>
<td>32,000</td>
<td>2</td>
<td>16,000</td>
<td>32,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.3 Staff (month) UNECE P3 staff substantive input and management</td>
<td>16</td>
<td>14,000</td>
<td>224,000</td>
<td>4</td>
<td>14,000</td>
<td>56,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.4 Staff (expert on water management)</td>
<td>35</td>
<td>1,700</td>
<td>59,500</td>
<td>3</td>
<td>1,700</td>
<td>5,100</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.5 Project coordinator (based in Astana)</td>
<td>38</td>
<td>2,500</td>
<td>95,000</td>
<td>7</td>
<td>2,500</td>
<td>17,500</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.6 Administration Support Staff (PR expert)</td>
<td>41</td>
<td>1,100</td>
<td>45,100</td>
<td>9</td>
<td>1,100</td>
<td>9,900</td>
<td>9,900</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.7 Administration Support Staff (Project Specialist)</td>
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<td>1.8 Administrative support G-staff</td>
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<td>1.9 Technical Support Staff (Project Assistant)</td>
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<td>1.11 Travel /Missions and Study Tours</td>
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<td>666490.06</td>
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<td>70378.16</td>
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<td>*<em>III. Workshops, Meetings, Conferences</em></td>
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### ESTIMATED BUDGET FOR ACTION (1st year) April 2015- March 2016

- **No.**
- **Unit Cost Average (EUR)**
- **Total (EUR)**

**UNDP**

- **No.**
- **Unit Cost Average (EUR)**
- **Total (EUR)**

**UNECE**

- **No.**
- **Unit Cost Average (EUR)**
- **Total (EUR)**

**TOTAL (EUR)**
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<th>130,000</th>
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<td>VI. Indirect Costs</td>
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<td>Programme Support Costs (7%)</td>
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<td>TOTAL PROJECT COSTS</td>
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<td>7,100,000</td>
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<td>704,808</td>
<td>280,340</td>
<td>754,144</td>
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### Changes and justification (UNDP)

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<th>#</th>
<th>Before</th>
<th>Now</th>
<th>Justification</th>
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<tbody>
<tr>
<td>1.1</td>
<td>44</td>
<td>41</td>
<td>Due to PM was hired on June (not in April)</td>
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<tr>
<td>1.1</td>
<td>6100</td>
<td>2366</td>
<td>Budget line is increased due to the new project structure and upgrade of positions scale</td>
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<td>1.4</td>
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<td>A position of water management expert was added</td>
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<td>1.6</td>
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<td>41</td>
<td>Due to PR expert was hired in August (not in April)</td>
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<td>Project Specialist post was added</td>
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<td>1.9</td>
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<td>Due to project assistant was hired in August (not in April)</td>
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<td>A position of driver was added to the project structure</td>
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<td>Consultancy cost was decreased due to increasing of Staff costs</td>
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<td>Communication cost was decreased in accordance to the actual market rent price</td>
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<td>Equipment heading east increased due to project staff is increased</td>
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<td>Audit fee was added in accordance to UNDP rules</td>
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<td>Before</td>
<td>Now</td>
<td>Justification</td>
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<tr>
<td>1.2</td>
<td>32</td>
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<td>Re-distribution of work load between Geneva and Astana based on more detailed planning</td>
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<td>1.3</td>
<td>32</td>
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<td>Increase is due to clarified level of staff involved from Geneva side</td>
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<td>Increase is due to clarified level of staff involved from Geneva side</td>
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<td>Increase is due to clarified level of staff involved from Geneva side</td>
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<td>1.5</td>
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<td>95000</td>
<td>A position of Technical Support Staff was upgraded to Project coordinator (based in Astana) to better meet project needs</td>
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<td>1.8</td>
<td>96000</td>
<td>1E+05</td>
<td>It is the same position as Administration support staff in the planned budget. The rate has been decreased, while the number of months increased</td>
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<td>1.11</td>
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<td>More detailed planning during the inception phase showed the need for a greater number of missions</td>
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<td>2.1</td>
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<td>Shift some of the project tasks from Geneva based staff to decrease overall costs</td>
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<td>Trainings under output 1.4 were added therefore the costs increased</td>
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<td>12000</td>
<td>4500</td>
<td>The decision was made to use more local (national) consultants to reduce costs</td>
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<td>14000</td>
<td>The decision was made to use more local (national) consultants to reduce costs</td>
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<td>3.5</td>
<td>9000</td>
<td>16500</td>
<td>Due to increased number of trainings and public events, costs for publications increased</td>
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<tr>
<td>5.6</td>
<td>50205</td>
<td>50925</td>
<td>Precise needs for equipment and its cost were clarified during the inception phase</td>
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